UITS Project
Monthly Status Report

Project Name: UITS Project		
Status for Dates: 1/27 – 2/29 2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	Organization

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Project Kickoff Session's. Onboarding of the project team. 11 Deliverables delivered.
Infrastructure/ Technical	Working with OIT on the infrastructure and requesting the Development servers.
Functional	Business requirement sessions held with the Tax team. We are one week ahead of schedule.
Testing	NA
Interfaces	Held interface meeting to discuss the 142 listed interfaces.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	NA				
CR02					
CR03					

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Project Kickoff Meeting • Requirements training for the project team • 11 deliverables due within the first 30 days are submitted for DOES approval • MicroSoft Project Plan Baselined • Project team members onboarded • Requirement session held and are currently ahead of schedule • NeoTrack set up for tracking of requirements, use cases and test cases • Requirements loaded into NeoTrack • UITS SharePoint Site has been deployed
	Activities Planned for next Month: • Development and Application servers set up and the environments built • Finalizing the business requirement sessions • Kickoff of the configuration sessions • Use case development from the requirement session to begin • Product configuration to begin for registration • Procurement of the additional project servers

2.1 PMO Key Action Items

PMO Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Open	High	Tom Fontenot	
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	3/13/20	Open	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20				
Project Plan, Schedule and Updates	Business	Del 2	1/27/20				
Project Management Plan (PMP)	Business	Del 5	1/27/20				
Infrastructure Plan	IT	Del 6	2/26/20				
Implementation Plan	IT	Del 7	2/12/20				
Database Management Plan	IT	Del 8	2/19/20				
Legacy Data Plan	IT	Del 9	2/19/20				
Data Conversion Plan	IT	Del 10	2/19/20				

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Test Plan	Business	Del 11	2/12/20				
Agreement Copies	Business	Del 16	2/28/20				
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20				

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • Requirement Session are ongoing with the Tax team • Requirements have been loaded into NeoTrack
2	Activities Planned for This Month: • Finalize the business requirements • Creating project Use Cases • Start of the project configuration session

UI Functional Team	
1	Key Accomplishments: • Project Kick • Project training on the business requirement sessions
2	Activities Planned for This Month: • Review of requirements • Review of Use Cases • Configuration meetings

3.1 Functional Team Action Items

Functional Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
In progress					

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

Tax QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • .Identification of the 142 current interfaces
2	Activities Planned for this month • Validation of interfaces

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces
2	Activities planned for this month • Validation of interfaces

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• Submitted request for Development and Application servers

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Set up of the Developmeent and Application servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Proba bility	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	In Progress	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned

UITS Project
Monthly Status Report

Project Name: UITS Project		
Status for Dates: 3/1 – 3/31 2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	**Organization**

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Project Kickoff Session's. Onboarding of the project team. 11 Deliverables delivered.
Infrastructure/ Technical	The Development environment has been set up. Technical requirement gathering sessions have been set up for next month.
Functional	Business requirement sessions completed 3 weeks early. Use Case's for the first 3 iterations are being created for the configuration sessions.
Testing	NA
Interfaces	A final list of validated interfaces was reviewed and is moving onto the technical requirement sessions.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	NA				
CR02					
CR03					

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Requirements training for the project team • Project team members onboarded • Requirement session held and are currently ahead of schedule • UITS SharePoint Site has been deployed • Deliverable review sessions with Tax and IT on 7 of the 11 deliverables received • Deliverable feedback received for 6 of the 11 deliverables from DOES
	Activities Planned for next Month: • Development and Application servers set up and the environments built • Creating the Business Requirements Traceability Matrix deliverable • Creating the Training Deliverable • Kickoff of the configuration sessions • Use case development from the requirement session to continue • Product configuration sessions to begin for the first three iterations • Procurement of the additional project servers • Deliverable feedback for 5 additional deliverables

2.1 PMO Key Action Items

PMO Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	3/13/20	Open	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Open	High		

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Complete	No updates	Finalizing	Getting set up
Project Plan, Schedule and Updates	Business	Del 2	1/27/20	Received 3/25/20			
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20			
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20		
Implementation Plan	IT	Del 7	2/12/20	In Process			

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20		
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	3/23/20	Being set up
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20		
Test Plan	Business	Del 11	2/12/20				
Agreement Copies	Business	Del 16	2/28/20				
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20			

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval

(orange)	In Progress
(green)	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • Requirement sessions completed 3 weeks early • Requirements have been loaded/updated into NeoTrack • Iteration 1 use case's finalized

Sagitec Functional Team	
2	Activities Planned for This Month: • Finalize the business requirements/Requirements Traceability Matrix Deliverable • Creating project Use Cases for iteration 2 and 3

UI Functional Team	
1	Key Accomplishments: • Requirements finalized • Review of iteration 1 use cases
2	Activities Planned for This Month: • Traceability Matrix Deliverable • Training Deliverable • Review of Use Cases for iteration 2 and 3

3.1 Functional Team Action Items

Functional Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Action Items								

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
In progress					

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

Tax QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • Identification of the 142 current interfaces and reviewed • Finalized interface list
2	Activities Planned for this month • Interface validation meetings

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces
2	Activities planned for this month • Validation of interfaces

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• Development and Application servers deployed • Technical requirement sessions scheduled • 5 deliverable review sessions with IT

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Technical requirement sessions with client • Configuration of NEOInsurance for iteration 1

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Open	High	Tom Fontenot	

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Probability	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	In Progress	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned

Project Name: UITS Project		
Status for Dates: 4/1 – 4/30 2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	**Organization**

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Project Kickoff Session's. Onboarding of the project team. 11 Deliverables delivered.
Infrastructure/ Technical	The Development environment has been set up. Technical requirement gathering sessions have been completed and we are waiting on additional feedback from OIT
Functional	All T01 (Registration) and part of the T02 (Maintenance) use cases have been delivered for review.
Testing	NA
Interfaces	A final list of validated interfaces was reviewed and is moving onto the technical requirement sessions. We attended interface meetings and DOES is reviewing the interface list.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	NA				
CR02					
CR03					

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Requirements training for the project team • Project team members onboarded • Requirement session held and are currently ahead of schedule • UITS SharePoint Site has been deployed • Deliverable review sessions with Tax and IT on 7 of the 11 deliverables received • Deliverable feedback received for 7 of the 11 deliverables from DOES
	Activities Planned for next Month: • Development and Application servers set up and the environments built • Creating the Business Requirements Traceability Matrix deliverable • Creating the Training Deliverable • Kickoff of the configuration sessions • Use case development from the requirement session to continue • Product configuration sessions to begin for the first three iterations • Procurement of the additional project servers • Deliverable feedback for 5 additional deliverables

2.1 PMO Key Action Items

PMO Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	3/13/20	Open	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Open	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Complete	No updates	Finalizing	In Process
Project Plan, Schedule and Updates	Business	Del 2	1/27/20	Received 3/25/20	In Process		In Process
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	4/29/20	In Process
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	4/12/20	In Process
Implementation Plan	IT/Business	Del 7	2/12/20	In Process	3/17/20		

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20		In Process
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	3/23/20	In Process
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	3/23/20	In Process
Test Plan	Business	Del 11	2/12/20				
Agreement Copies	Business	Del 16	2/28/20		No Comments		In Process
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	No Comments	In Process	

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • Requirement sessions completed 3 weeks early • Requirements have been loaded/updated into NeoTrack • Iteration 1 and 2 use cases finalized • Creation of Iteration 3 use cases

Sagitec Functional Team	
2	Activities Planned for This Month: • Finalize the business requirements/Requirements Traceability Matrix Deliverable • Creating project Use Cases for iteration 3 and 4

UI Functional Team	
1	Key Accomplishments: • Requirements finalized • Review and creation of iteration 1 and iteration 2 use cases
2	Activities Planned for This Month: • Traceability Matrix Deliverable • Training Deliverable • Review of Use Cases for iteration 1 and 2 • Iteration 1 configuration sessions

3.1 Functional Team Action Items

Functional Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Action Items								

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
In progress					

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

Tax QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • Identification of the 142 current interfaces and reviewed • Finalized interface list • Reviewed interfaces with DOES
2	Activities Planned for this month • Interface validation meetings

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces
2	Activities planned for this month • Validation of interfaces (Business)

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• Development and Application servers deployed • Technical requirement sessions scheduled • 5 deliverable review sessions with IT • Initiated Conversion Activities for Iteration T01, T02, T03 • Site to Site VPN setup working with DOES OIT. Continuing enabling VPN for additional servers

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Technical requirement sessions with client • Configuration of NEOInsurance for iteration 1 • Continue Conversion Activities for Iteration T01, T02, T03 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Open	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Probability	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	In Progress	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned

Project Name: UITS Project		
Status for Dates: 5/1 – 5/31 2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	**Organization**

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Configuration session Kick off and Training. 13 Deliverables delivered and 11 Deliverables approved.
Infrastructure/ Technical	The Development environment has been set up. Technical requirement gathering sessions have been completed and we are waiting on additional feedback from OIT. Conversion Kickoff and the plan delivered for the first 3 iterations.
Functional	T01 (Registration) Configuration sessions in process. T02 (Maintenance) use cases have been delivered for review.
Testing	NA
Interfaces	Attended interface meetings. Reviewed the interface specification template with DOES.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	NA				
CR02					
CR03					

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Configuration training for the project team • Project team members onboarded • 11 approved deliverables. 13 deliverables submitted • Demo for iteration 1 complete • Development and Application servers set up and the environment was built • Additional project servers procured •
	Activities Planned for next Month: • Development and Application servers set up and the environments built • Creating the Business Requirements Traceability Matrix deliverable • Review and approval of the Training Deliverable • Review and approval of the Requirement Traceability Matrix • Kickoff of the configuration sessions • Use case development to continue • Product configuration sessions for the first three iterations • Deliverable feedback for 2 additional deliverables • Updating of Use Cases • Demo for iteration 2 • Updated work breakdown schedule

2.1 PMO Key Action Items

PMO Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	3/13/20	Open	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Open	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Approved	No updates	Approved	In Process
Project Plan, Schedule, and Updates	Business	Del 2	1/27/20	Received 3/25/20	In Process	Approved	In Process
Requirements Traceability Matrix	Business/IT	Del 4	5/20/20				
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	Approved	In Process
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	Approved	In Process

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Implementation Plan	IT/Business	Del 7	2/12/20	In Process	3/17/20	Approved	In Process
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20	Approved	In Process
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	Approved	In Process
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	Approved	In Process
Test Plan	Business	Del 11	2/12/20	4/19/20	4/20/20	Approved	In Process
Training Plan	Business	Del 13	5/12/20				
Agreement Copies	Business	Del 16	2/28/20		No Comments	Approved	In Process
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	4/20/20	Approved	In Process

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • Configuration Session Kick Off and T01 (Registration Use Case) in progress • Requirements have been loaded/updated into NeoTrack and the Traceability Matrix delivered. • Iteration 2 through 3 use cases finalized • Creation of Iteration 4 and 5 use cases
2	Activities Planned for This Month: • Approval of the Training Plan and Requirement Traceability Deliverable's • Creating project Use Cases for iteration 6, 7 and 8

UI Functional Team	
1	Key Accomplishments: • Configuration Sessions Kick Off • Requirements finalized • Review and creation of iteration 3, 4, and 5 use cases • Training Plan Deliverable submitted • Requirements Traceability Matrix Deliverable submitted
2	Activities Planned for This Month: • Continued Configuration Session • Training Deliverable • Review of Use Cases for iteration 3, 4 and 5 • Completion of Iteration 1 configuration sessions

3.1 Functional Team Action Items

http://doessharepoint.does.dcgov.priv/uits/_layouts/15/start.aspx#/Lists/ActionItems

Functional Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
Total's baselined from the RFP	1113	2	17	212	1344

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

Tax QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • Identification of the 142 current interfaces and reviewed • Finalized interface list • Reviewed interfaces with DOES • Weekly interface status meetings set up
2	Activities Planned for this month • Interface validation meetings

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces • Validation of interfaces (Business)
2	Activities planned for this month • Weekly interface status meetings

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Interface Action Items								

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• Development and Application servers deployed • Technical requirement sessions completed • 5 IT deliverables approved • Initiated Conversion Activities for Iteration T01, T02, T03 • Site to Site VPN setup. Continuing enabling VPN for additional servers • Daily Conversion Meetings scheduled with NG and OIT

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Technical requirement sessions with client • Configuration of NeoInsurance for iteration 2 • Continue Conversion Activities for Iteration T01, T02, T03 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Open	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Proba bility	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	In Progress	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned

Project Name: UITS Project			
Status for Dates: 6/1 – 6/30 2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	**Organization**

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Configuration sessions complete for T01 (Registration), T02 (Employer Maintenance), T03 (Wage Reporting).
Infrastructure/ Technical	Continued development of T01 (Registration), T02 (Employer Maintenance), T03 (Wage Reporting). Conversion for these iterations will be affected based on decision on no of years to convert. Supported Functional Team on Technical Items coming out of Configuration sessions. Continue mapping exercises for Collections – Levy/Rates (Forward Mapping/Reverse Mapping)
Functional	Completed T01, T02, T03 configuration sessions. T01 final use case was delivered to DOES for review. Updating T02 and T03 Use Cases and delivered T04 (Payment Processing) for DOES preparation of next weeks sessions. Complete all Sagitec action items for T01 and T02.
Testing	Sagitec system testing began on the product for T01, T02, T03, T04.
Interfaces	Attended interface meetings. Delivered an example of the interface specification template to DOES.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	NA				
CR02					
CR03					

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Configuration session completed for T01, T02, T03 • Project team members onboarded • 2 deliverables updated based on DOES feedback (Training, Requirement Matrix) • Demo for iteration 1, 2, 3 completed • Additional Software in the procurement process for Active PDF software • T04 Demo for Payment Processing • Weekly Meetings with Sponsor, CIO, Project Team • Document preparation for T04 (Payment Processing), T05 (General Ledger)
	Activities Planned for next Month: • Configuration of the product for T01, T02 • Joint review of the Requirement Traceability Matrix Deliverable feedback • Joint review of the Training Deliverable feedback • Submitting the Business Requirements Traceability Matrix Deliverable for approval based on DOES feedback • Submitting the Training Deliverable for approval based on DOES feedback • Kickoff of the T04 configuration sessions • Use case development to continue • Updating of Use Cases for T01, T02, T03, T04 • Demo for iteration 4 • Updated work breakdown schedule

2.1 PMO Key Action Items

PMO Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	7/10/20	Open	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Closed	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Approved	No updates	Approved	Approved
Project Plan, Schedule, and Updates	Business	Del 2	1/27/20	Updated	Updated	Approved	Approved
Requirements Traceability Matrix	Business/IT	Del 4	5/20/20	In Process	Updated	Pending	Pending
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	Approved	Approved
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	Approved	Approved

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Implementation Plan	IT/Business	Del 7	2/12/20	In Process	3/17/20	Approved	Approved
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20	Approved	Approved
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	Approved	Approved
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	Approved	Approved
Test Plan	Business	Del 11	2/12/20	4/19/20	4/20/20	Approved	Approved
Training Plan	Business	Del 13	5/12/20	6/11/20	6/23/20	In progress	Pending
Agreement Copies	Business	Del 16	2/28/20		No Comments	Approved	Approved
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	4/20/20	Approved	Approved

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • Completed Configuration Session T01, T02, T03 • Requirements have been loaded/updated into NeoTrack and the Traceability Matrix delivered. • Iteration 1 use cases finalized and awaiting DOES feedback • Creation of Iteration 5 use cases • All Sagitec action items for T01 and T02 are closed and Use Cases have been updated
2	Activities Planned for Next Month: • Approval of the Training Plan and Requirement Traceability Deliverable's • Kick off the Configuration Session for T04 • Completing updates for T01, T02, T03 Use Cases • Submittal of T02 and T03 Use Cases for approval • Creating project Use Cases for iteration 6, 7 and 8

UI Functional Team	
1	Key Accomplishments: • Configuration Sessions completion of T02, T03 • Requirements finalized and updated in NeoTrack • Review of iteration T02 and T03 use cases • Training Plan Deliverable updated and reviewed • Requirements Traceability Matrix Deliverable updated and reviewed • Action items completed for T01

UI Functional Team	
2	Activities Planned for Next Month: • Continued Configuration Session • Training Deliverable approval • Requirements Traceability Matrix Deliverable approval • Review of Use Cases in preparation for iteration 4 Configuration Sessions • Completion of Iteration 4 configuration sessions • Complete review and approval of T01 and T02 use cases

3.1 Functional Team Action Items

http://doessharepoint.does.dcgov.priv/uits/_layouts/15/start.aspx#/Lists/ActionItems

Functional Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
Total's baselined from the RFP	1113	2	17	212	1344

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • Product testing for T01, T02, T03, T04 • QA of Use Cases for T01, T02, T03, T04 • Created draft test cases for T01
2	Activities planned for Next month • Product testing for T01, T02, T03, T04 • QA of Use Cases for T05 and T06 • Create draft test cases for T02 and T03

Tax QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • Identification of the 142 current interfaces and reviewed • Finalized interface list • Reviewed interfaces with DOES • Weekly interface status meetings set up • The Interface Specification Template example submitted
2	Activities Planned for Next month • Interface validation meetings • Begin documentation of confirmed interfaces in approved Interface SPS template

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces • Validation of interfaces (Business)
2	Activities planned for Next Month • Weekly interface status meetings • Provide decision regarding Tax Intranet

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Interface Action Items								

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• Development and Application servers deployed • Technical requirement sessions completed • 1 IT deliverables updated • Initiated Conversion Activities for Iteration T01, T02, T03 • Site to Site VPN setup. Continuing enabling VPN for additional servers • Daily Conversion Meetings scheduled with NG and OIT • Configuration of NeoInsurance for iteration T1, T2, T3, T4

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Technical requirement sessions with client completed • Configuration of NeoInsurance for iteration T5 • Continue Conversion Activities for Iteration T01, T02, T03, T04 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items

AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Open	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Probability	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	Closed	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned

9 Sagitec Key Personnel

Sagitec Key Personnel	Onsite/Remote
Shane Cox	Remote
Marcel Mascarenhas	Remote
Pankaj Sharma	Remote
Mike Holte	Remote
Bernt Peterson	Remote

Project Name: UITS Project		
Status for Dates: 6/1 – 6/30 2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	**Organization**

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Configuration sessions complete for T04 (Payment), T05 (General Ledger), T06 (Collection's (In Progress)).
Infrastructure/ Technical	Continued development of T01 (Registration), T02 (Employer Maintenance), T03 (Wage Reporting) T04 (Payments). Conversion for these iterations are under way as a decision for the conversion data was finalized. Supported the Functional team on technical items coming out of Configuration sessions. Continue mapping exercises for Payments (Forward Mapping/Reverse Mapping).
Functional	Completed T04, T05, configuration sessions and the T06 configuration sessions are in progress. T01 final use case was resubmitted for DOES for review. T02 final use case has been submitted for DOES review. All Sagitec action items for T03 and T04 have been completed.
Testing	Sagitec system testing began on the product for T01, T02, T03, T04 and additional test scripts are being developed.
Interfaces	Attended interface meetings. Sagitec is currently working with DOES to complete the specification documents on the first 2 iterfaces.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	Group Accounts	Group accounts were not in the RFP requirements. Sagitec is creating a no cost change request for Group Accounts currently.	Pending		Use case development
CR02					
CR03					

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Configuration session completed for T04, T05. T06 configuration sessions are in progress • Project team members onboarded • The Training deliverable was approved by DOES and the Requirements Matrix deliverable is pending • Demo for iteration T04, T05, T06 completed • Additional Software in the procurement process for Active PDF software • Weekly Meetings with Sponsor, CIO, Project Team • Document preparation for T05 (General Ledger), T06 (Collections) was completed • Document preparation for T01 (Registration), T02 (Account Maintenance) for the work flow documentation is under way
	Activities Planned for next Month: • Configuration of the product for T01, T02, T03, T04 • Approval of the Requirements Traceability Matrix Deliverable • Completion of the T06 configuration session • Kickoff of the T07 configuration sessions • Use case and workflow documentation development to continue • Updating of Use Cases for T01, T02, T03, T04, T05, T06, T07 • Demo for iteration 7 • Updated work breakdown schedule

2.1 PMO Key Action Items

PMO Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	7/10/20	Open	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Closed	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Approved	No updates	Approved	Approved
Project Plan, Schedule, and Updates	Business	Del 2	1/27/20	Updated	Updated	Approved	Approved
Requirements Traceability Matrix	Business/IT	Del 4	5/20/20	In Process	Updated	Pending	Pending
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	Approved	Approved
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	Approved	Approved

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Implementation Plan	IT/Business	Del 7	2/12/20	In Process	3/17/20	Approved	Approved
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20	Approved	Approved
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	Approved	Approved
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	Approved	Approved
Test Plan	Business	Del 11	2/12/20	4/19/20	4/20/20	Approved	Approved
Training Plan	Business	Del 13	5/12/20	6/11/20	6/23/20	In progress	Pending
Agreement Copies	Business	Del 16	2/28/20		No Comments	Approved	Approved
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	4/20/20	Approved	Approved

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • Completed Configuration Session T04, T05 • Requirements have been loaded/updated into NeoTrack and the Traceability Matrix delivered. • Iteration 1 use cases finalized and awaiting DOES approval • Iteration 2 use cases finalized and awaiting DOES approval • Creation of Iteration 6 use cases • All Sagitec action items for T03 and T04 are closed and Use Cases have been updated
2	Activities Planned for Next Month: • Approval of the Requirement Traceability Deliverable's • Kick off the Configuration Session for T07 • Completing updates for T01, T02, T03, T04, T05 Use Cases • Submittal of T03 and T04 Use Cases for approval • Creating project Use Cases for iteration 7 and 8 • Creating project workflow specifications for iterations 1, 2, 3, 4

UI Functional Team	
1	Key Accomplishments: • Configuration Sessions completion of T04, T05 and T06 is in progress • Requirements finalized and updated in NeoTrack • Review of iteration T04, T05 and T06 use cases • Training Plan Deliverable approved • Requirements Traceability Matrix Deliverable pending • Action items completed for T02

UI Functional Team	
2	Activities Planned for Next Month: • Continued Configuration Session • Requirements Traceability Matrix Deliverable approval • Review of Use Cases in preparation for iteration 7 Configuration Sessions • Completion of Iteration 6 configuration sessions • Complete review and approval of T01, T02, T03, T04, T05 use cases

3.1 Functional Team Action Items

http://doessharepoint.does.dcgov.priv/uits/_layouts/15/start.aspx#/Lists/ActionItems

Functional Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
Total's baselined from the RFP	1113	2	17	212	1344

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • Product testing for T01, T02, T03, T04 • QA of Use Cases for T04, T05, T06, T07 • Created draft test cases for T01, T02, T03, T04
2	Activities planned for Next month • Product testing for T01, T02, T03, T04 • QA of Use Cases for T05, T06 and T07 • Create draft test cases for T04 and T05

Tax QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • Identification of the 142 current interfaces and reviewed • Finalized interface list • Reviewed interfaces with DOES • Weekly interface status meetings set up • The Interface Specification Template example submitted
2	Activities Planned for Next month • Interface validation meetings • Begin documentation of confirmed interfaces in approved Interface SPS template

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces • Validation of interfaces (Business)
2	Activities planned for Next Month • Weekly interface status meetings • Provide decision regarding Tax Intranet

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**

Interface Action Items								

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• Development and Application servers deployed • 1 IT deliverables updated • Initiated Conversion Activities for Iteration T01, T02, T03, T04 • Site to Site VPN setup. Continuing enabling VPN for additional servers • Daily Conversion Meetings scheduled with NG and OIT • Configuration of NeoInsurance for iteration T5, T6

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Technical requirement sessions with client completed • Configuration of NeoInsurance for iteration T6 • Continue Conversion Activities for Iteration T01, T02, T03, T04 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Open	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Probability	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	Closed	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot
3	Interface documentation is behind	Working with DOES IT to secure the correct information for the Interface Specification Documentation	Open	7/21/20	Shane Cox	High	High	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned

Project Name: UITS Project		
Status for Dates: 8/1 – 8/31/2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	Organization

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Configuration sessions complete for T06 (Collection's). Configuration sessions for T07 (Rates) are in progress.
Infrastructure/ Technical	Continued development of T01 (Registration), T02 (Employer Maintenance), T03 (Wage Reporting) T04 (Payments). Continued support/development for the T06 & T07 configuration sessions. Conversion for these iterations are under way as a decision for the conversion data was finalized. Supported the Functional team on technical items coming out of Configuration sessions. Continue mapping exercises for Payments (Forward Mapping/Reverse Mapping).
Functional	Completed T06 configuration sessions and the T07 configuration sessions are in progress. Sagitec is reviewing and updated T01, T02, T03 & T04 use cases.
Testing	Sagitec system testing began on the product for T01, T02, T03, T04 and additional test scripts are being developed.
Interfaces	Attended interface meetings. Sagitec is currently working with DOES to complete the specification documents on the first 2 interfaces.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	Group Accounts	Group accounts were not in the RFP requirements. Sagitec is creating a no cost change request for Group Accounts currently.	Pending completion of Configuration Session		Use case development
CR02					
CR03					

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Configuration session completed for T06. T07 configuration sessions are in progress • Project team members onboarded • Requirements Matrix deliverable was approved by DOES • Demo for iteration T07 completed • Additional Software in the procurement process for Active PDF software • Weekly Meetings with Sponsor, CIO, Project Team • Document preparation for T06 (Collections) was completed and T07 (Rates) documentation was created and submitted • Document preparation for T01 (Registration), T02 (Account Maintenance) for the workflow documentation is under way
	Activities Planned for next Month: • Configuration of the product for T01, T02, T03, T04 • Completion of the T07 configuration session • T08 use case documentation will be created • Kickoff of the T08 configuration sessions • Use case and workflow documentation development to continue • Updating of Use Cases for T01, T02, T03, T04, T05, T06, T07 • Demo for iteration 8 • Updated work breakdown schedule • Preparation for Pre-UAT

2.1 PMO Key Action Items

PMO Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	7/10/20	Closed	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	Approved
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Closed	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Approved	No updates	Approved	Approved
Project Plan, Schedule, and Updates	Business	Del 2	1/27/20	Updated	Updated	Approved	Approved
Requirements Traceability Matrix	Business/IT	Del 4	5/20/20	Approved	No updates	Approved	Approved
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	Approved	Approved
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	Approved	Approved
Implementation Plan	IT/Business	Del 7	2/12/20	3/1/20	3/17/20	Approved	Approved

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20	Approved	Approved
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	Approved	Approved
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	Approved	Approved
Test Plan	Business	Del 11	2/12/20	4/19/20	4/20/20	Approved	Approved
Training Plan	Business	Del 13	5/12/20	6/11/20	6/23/20	Approved	Approved
Agreement Copies	Business	Del 16	2/28/20		No Comments	Approved	Approved
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	4/20/20	Approved	Approved

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • Completed Configuration Session T06 and T07 Configuration Sessions are in progress • Requirements have been loaded/updated into NeoTrack and the Traceability Matrix approved • Iteration 1 use cases finalized and awaiting DOES approval • Iteration 2 use cases finalized and awaiting DOES approval • Iteration 3 use cases finalized and awaiting DOES approval • Iteration 4 use cases finalized and awaiting DOES approval • Creation of Iteration 7 use cases • All Sagitec action items for T05, T06 are closed and Use Cases have been updated • Kick off/Training for Correspondence
2	Activities Planned for Next Month: • Configuration Session's for T07 completed • Kick off the Configuration Session for T08 • Completing updates for T01, T02, T03, T04, T05, T06 Use Cases • Submittal of T03 and T04 Use Cases for approval • Creating project Use Cases for iteration 8 and 9 • Creating project workflow specifications for iterations 1, 2, 3, 4

UI Functional Team	
1	Key Accomplishments: • Configuration Sessions completion of T06 and T07 is in progress • Requirements finalized and updated in NeoTrack • Review of iteration T06 & T07 use cases • Requirements Traceability Matrix Deliverable approved • Action items completed for T01, T02, T03, T04, T05, T06 • Kick off/Training for Correspondence
2	Activities Planned for Next Month: • Continued Configuration Session • Review of Use Cases in preparation for iteration 7 & iteration 8 Configuration Sessions • Completion of Iteration 7 configuration sessions • Complete review and approval of T01, T02, T03, T04, T05, T06 use cases • Pre-UAT kickoff

3.1 Functional Team Action Items

http://doessharepoint.does.dcgov.priv/uits/_layouts/15/start.aspx#/Lists/ActionItems

Functional Action Items

AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Action Items								

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
Total's baselined from the RFP	1113	2	17	212	1344

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • Product testing for T01, T02, T03, T04 • QA of Use Cases for T04, T05, T06, T07 • Created draft test cases for T01, T02, T03, T04
2	Activities planned for Next month • Product testing for T01, T02, T03, T04 • QA of Use Cases for T05, T06 and T07 • Create draft test cases for T04 and T05

Tax QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • NA

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • Identification of the 142 current interfaces and reviewed • Provided proposed Finalized interface list to DOES based on feedback from NG • Reviewed interfaces with DOES • Weekly interface status meetings set up • The Interface Specification Template example submitted
2	Activities Planned for Next month • Interface validation meetings • Begin documentation of confirmed interfaces in approved Interface SPS template

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces • Validation of interfaces (Business)
2	Activities planned for Next Month • Weekly interface status meetings • Provide decision regarding Tax Intranet • Provide confirmation of finalized interface list

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Interface Action Items								

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• Development and Application servers deployed • 1 IT deliverables updated • Initiated Conversion Activities for Iteration T01, T02, T03, T04 • Site to Site VPN setup. Continuing enabling VPN for additional servers • Daily Conversion Meetings scheduled with NG and OIT • Configuration of Neonsurance for iteration T6, T7

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Technical requirement sessions with client completed • Configuration of Neonsurance for iteration T07 & T08 • Continue Conversion Activities for Iteration T01, T02, T03, T04 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Open	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Proba bility	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	Closed	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot
3	Interface documentation is behind	Working with DOES IT to secure the correct information for the Interface Specification Documentation	Open	7/21/20	Shane Cox	High	High	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned

Project Name: UITS Project		
Status for Dates: 9/1 – 9/30/2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	**Organization**

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Configuration sessions for T07 (Rates) are in progress. T01, T02, T03 and T04 post configurations are in progress to approve the design documents. T08 (Reports) use case has been delivered and reviewed by DOES. Correspondence sessions were started and will continue over the next couple of months.
Infrastructure/ Technical	Continued development of T01 (Registration), T02 (Employer Maintenance), T03 (Wage Reporting) T04 (Payments). Continued support/development for the T07 configuration sessions. Conversion for these iterations are under way as a decision for the conversion data was finalized. Supported the Functional team on technical items coming out of Configuration sessions. Continue mapping exercises for Payments (Forward Mapping/Reverse Mapping).
Functional	T07 configuration sessions are in progress. Sagitec/DOES is reviewing and updatingT01, T02, T03 & T04 use cases. T08 (Reports) use case has been delivered and reviewed by DOES and the sessions. T09 (Common Functionality) use cases are being developed.
Testing	Sagitec system testing began on the product for T01, T02, T03, T04 and additional test scripts are being developed.

Monthly Highlights	
Interfaces	Attended interface meetings. Sagitec is currently working with DOES to complete the specification documents on the first 6 interfaces (Clean Hands, Ward, Benefits, LMI, IMT & ACH-Debit).

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	Group Accounts	Group accounts were not in the RFP requirements. Sagitec is creating a no cost change request for Group Accounts currently.	Pending completion of Configuration Session Approval		Use case Approval
CR02	Account In Good Standing or Generate Account in Good Standing Letter	Account In Good Standing or Generate Account in Good Standing Letter was not in the RFP requirements. Sagitec is creating a no cost change request for this currently	Pending completion of the Configuration Session Approval		Use Case Development
CR03					

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • T07 configuration sessions are in progress • Project team members onboarded (Testing Lead) • Demo for iteration T07 completed • Additional Software in the procurement process for Active PDF software • Weekly Meetings with Sponsor, CIO, Project Team • Document preparation for T07 (Rates) and T08 (Reports) documentation was created and submitted • Use case approval for T01 (Registration), T02 (Account Maintenance) T03 (Wage Reporting) and T04 (Collections) is in progress
	Activities Planned for next Month: • Configuration of the product for T01, T02, T03, T04 • Completion of the T07 configuration session • Kickoff of the T08 configuration sessions • T08 use case configuration session • Use case and workflow documentation development to continue • Updating of Use Cases for T01, T02, T03, T04, T05, T06, T07 • Demo for iteration 8 • Updated work breakdown schedule • Preparation for Pre-UAT • Correspondence process has been kicked of and session will continue

2.1 PMO Key Action Items

PMO Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	7/10/20	Closed	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	Approved
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Closed	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Approved	No updates	Approved	Approved
Project Plan, Schedule, and Updates	Business	Del 2	1/27/20	Updated	Updated	Approved	Approved
Requirements Traceability Matrix	Business/IT	Del 4	5/20/20	Approved	No updates	Approved	Approved
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	Approved	Approved
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	Approved	Approved
Implementation Plan	IT/Business	Del 7	2/12/20	3/1/20	3/17/20	Approved	Approved

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20	Approved	Approved
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	Approved	Approved
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	Approved	Approved
Test Plan	Business	Del 11	2/12/20	4/19/20	4/20/20	Approved	Approved
Training Plan	Business	Del 13	5/12/20	6/11/20	6/23/20	Approved	Approved
Agreement Copies	Business	Del 16	2/28/20		No Comments	Approved	Approved
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	4/20/20	Approved	Approved

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • T07 Configuration Sessions are in progress • Iteration 1 use cases finalized and awaiting DOES approval (Post configuration sessions are in progress) • Iteration 2 use cases finalized and awaiting DOES approval (Post configuration sessions are in progress) • Iteration 3 use cases finalized and awaiting DOES approval (Post configuration sessions are in progress) • Iteration 4 use cases finalized and awaiting DOES approval (Post configuration sessions are in progress) • Creation of Iteration 8 use cases • All Sagitec action items for T05, T06 are closed and Use Cases have been updated • Correspondence sessions are in process and will continue over the next couple of months
2	Activities Planned for Next Month: • Configuration Session's for T07 completed • Kick off the Configuration Session for T08 (Reports) • Completing updates for T01, T02, T03, T04, T05, T06 Use Cases • Creating project Use Cases for iteration 9 (Common Functionality) • Creating project workflow specifications for iterations 1, 2, 3, 4 • Creating interface specification documents for each interface • Updated Change Request list for UITS from ESSP

UI Functional Team	
1	Key Accomplishments: • T07 Configuration Sessions is in progress • Requirements updated in NeoTrack • Review of iteration T08 use cases • Action items completed for T01, T02, T03, T04, T05, T06 • Correspondence sessions are in progress

UI Functional Team	
2	Activities Planned for Next Month: • Continued Configuration Session for T07 and T08 • Review of Use Cases in preparation for iteration T08 Configuration Sessions • Completion of Iteration 7 configuration sessions • Complete review of T01, T02, T03, T04, T05, T06 use cases • Pre-UAT preparation

3.1 Functional Team Action Items

http://doessharepoint.does.dcgov.priv/uits/_layouts/15/start.aspx#/Lists/ActionItems

Functional Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
Total's baselined from the RFP	1113	2	17	212	1344

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • Product testing for T01, T02, T03, T04 • QA of Use Cases for T07 and T08 • Created draft test cases for T01, T02, T03, T04
2	Activities planned for Next month • Product testing for T01, T02, T03, T04 • QA of Use Cases for T07 and T08 • Create draft test cases for T05 and T06

Tax QA/Testing Team	
1	Key Accomplishments • NA
2	Activities planned for this week • Pre-UAT testing

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • Identification of the 142 current interfaces and reviewed (Still reviewing Tax Internet interfaces) • Provided proposed Finalized interface list to DOES based on feedback from NG and meeting with DOES is in progress for the Tax Internet interface • Weekly interface status meetings • The Interface Specification Documents (4) submitted to DOES
2	Activities Planned for Next month • Interface validation meetings • Begin documentation of confirmed interfaces in approved Interface SPS template

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces • Validation of interfaces (Business)
2	Activities planned for Next Month • Weekly interface status meetings • Provide decision regarding Tax Intranet • Provide confirmation of finalized interface list

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Interface Action Items								
267	Clean Hands Interface with OTR	[redacted]	9/2/2020	10/16/2020	Open	Med	**Ram** Krishnamurthy	

DOES POH 2021 Q53a

Interface Action Items								

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• UAT environment has been set up • Initiated Conversion Activities for Iteration T01, T02, T03 • Site to Site VPN setup. Continuing enabling VPN for additional servers • Conversion Meetings scheduled with NG and OIT twice weekly • Support T07 & T08 Functional Configuration sessions

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Configuration of Neosurance for T01, T02, T03 & T04 ongoing • Support T07 & T08 Functional Configuration sessions • Continue Conversion Activities for Iteration T01, T02, T03 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Open	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Probability	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	Closed	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot
3	Interface documentation is behind	Working with DOES IT to secure the correct information for the Interface Specification Documentation	Open	7/21/20	Shane Cox	High	High	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned

Project Name: UITS Project			
Status for Dates: 10/1 – 10/31/2020	Recent Project Rating:	Green	

Meeting Date:	
Meeting Participant	**Organization**

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	Configuration sessions for T07 (Field Audit) are in progress and will be completed this week. T08 (Reports) Configuration Sessions are in Progress. Correspondence sessions were started and will continue over the next couple of months. T09 (Common Functions) use cases will be delivered the first week of November for DOES review.
Infrastructure/ Technical	Continued development of T01 (Registration), T02 (Employer Maintenance), T03 (Wage Reporting) T04 (Payments). Continued support/development for the T07, T08 configuration sessions. Conversion for these iterations are under way as a decision for the conversion data was finalized. Supported the Functional team on technical items coming out of Configuration sessions. Continue mapping exercises for Payments (Forward Mapping/Reverse Mapping).
Functional	T07, T08 configuration sessions are in progress. T09 (Common Functions) use cases are in the final stages of the QA process and will be delivered to DOES 11/6/2020. Correspondence sessions are in progress between Sagitec/DOES.
Testing	Sagitec system testing began on the product for T01, T02, T03, T04 and DOES is currently preforming Pre-UAT activities. Sagitec delivered 148 test cases over the first four iterations. Pre-UAT will continue until 11/13/2020.

Monthly Highlights	
Interfaces	Attended interface meetings. Sagitec is currently working with DOES to complete the specification documents on the first 6 interfaces (Clean Hands, Ward, Benefits, LMI, IMT & ACH-Debit). Met with NG to review the Tax Internet and attended weekly meetings with Wells Fargo.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	Group Accounts	Group accounts were not in the RFP requirements. Sagitec is creating a no cost change request for Group Accounts currently.	Pending action item completion		Use case Approval
CR02	Account In Good Standing or Generate Account in Good Standing Letter	Account In Good Standing or Generate Account in Good Standing Letter was not in the RFP requirements. Sagitec is creating a no cost change request for this currently	In progress		Use Case Approval
CR03	Tipped Wages	There has been a title change that affects tipped wages. Wage detail is currently reported quarterly, and this title change makes the wage detail weekly.	Submitted		Pending DOES approval

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • T07 configuration sessions are completed except for Field Audit (MTW is finalizing Field Audit) • Project team members onboarded (Testing Lead) • Demo for iteration T08 completed • Additional Software in the procurement process for Active PDF software • Weekly Meetings with Sponsor, CIO, Project Team • Document preparation for T08 (Reports) documentation was created and submitted • Document preparation for T09 (Common Functions) is currently in the Sagitec QA process and will be delivered this week • Use case approval for T01 (Registration), T02 (Account Maintenance) T03 (Wage Reporting) and T04 (Collections) • Pre-UAT training to the DOES Team and Pre-UAT setup • Correspondence meetings continue for T01, T02, T03, T04
	Activities Planned for next Month: • Pre-UAT for T01, T02, T03, T04 • Completion of the T07 configuration session with MTW • Completion of the T08 configuration session • Kickoff of the T09 DOES review • Use case and workflow documentation development to continue • Updating of Use Cases for T01, T02, T03, T04, T05, T06, T07 • Demo for iteration 9 • Updated work breakdown schedule • Correspondence sessions continue throughout the month

2.1 PMO Key Action Items

PMO Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	7/10/20	Closed	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	Approved
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Closed	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Approved	No updates	Approved	Approved
Project Plan, Schedule, and Updates	Business	Del 2	1/27/20	Updated	Updated	Approved	Approved
Requirements Traceability Matrix	Business/IT	Del 4	5/20/20	Approved	No updates	Approved	Approved
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	Approved	Approved
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	Approved	Approved
Implementation Plan	IT/Business	Del 7	2/12/20	3/1/20	3/17/20	Approved	Approved

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20	Approved	Approved
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	Approved	Approved
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	Approved	Approved
Test Plan	Business	Del 11	2/12/20	4/19/20	4/20/20	Approved	Approved
Training Plan	Business	Del 13	5/12/20	6/11/20	6/23/20	Approved	Approved
Agreement Copies	Business	Del 16	2/28/20		No Comments	Approved	Approved
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	4/20/20	Approved	Approved

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • T07 Configuration Sessions are in progress • Iteration 1 use cases finalized/approved • Iteration 2 use cases finalized/approved • Iteration 3 use cases finalized/approved • Iteration 4 use cases finalized/approved • Creation of Iteration 9 use cases • All Sagitec action items for T05, T06 are closed and Use Cases have been updated • Correspondence sessions are in process and will continue over the next couple of months
2	Activities Planned for Next Month: • Configuration Session's for T07 completed • Configuration Session's for T08 completed • Configuration Session's for T09 completed • Completing updates for T01, T02, T03, T04, T05, T06 Use Cases • Updating project workflow specifications for iterations 1, 2, 3, 4 • Creating interface specification documents for each interface • Updated Change Request list for UITS from ESSP

UI Functional Team	
1	Key Accomplishments: • T07, T08 Configuration Sessions is in progress • Requirements updated in NeoTrack • Review of iteration T09 use cases • Action items completed for T01, T02, T03, T04, T05, T06 • Correspondence sessions are in progress

UI Functional Team	
2	Activities Planned for Next Month: • Continued Configuration Session for T07 and T08 • Review of Use Cases in preparation for iteration T09 review • Completion of Iteration 7 and Iteration 8 configuration sessions • Complete review of T01, T02, T03, T04, T05, T06 use cases • Pre-UAT Completion and PIR review

3.1 Functional Team Action Items

http://doessharepoint.does.dcgov.priv/uits/_layouts/15/start.aspx#/Lists/ActionItems

Functional Action Items

AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
Total's baselined from the RFP	1113	2	17	212	1344

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • Product testing for T01, T02, T03, T04 • QA of Use Cases for T07 and T08 • Created 148 test cases for T01, T02, T03, T04 • Creating test cases for T05, T06 • Supporting Pre-UAT

Sagitec QA/Testing Team	
2	Activities planned for Next month • Product testing for T01, T02, T03, T04, T05, T06 • QA of Use Cases for T09 • Create draft test cases for T05, T06, T07, T08

Tax QA/Testing Team	
1	Key Accomplishments • Pre-UAT Kick off and training sessions with DOES • Completion of 148 test cases for T01, T02, T03, T04
2	Activities planned for this month • Pre-UAT testing • PIR prioritization • Pre-UAT close out • Create test cases for T05, T06

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • LMI interface: Approved by DOES, Sent to dev team for the development. • IMT interface: In review with DOES • ACH Debit and Returns Interface: In review with DOES • Recommended changes to DOES/OnPoint for Benefits Interface
2	Activities Planned for Next month • Interface validation meetings • Begin documentation of confirmed interfaces in approved Interface SPS template

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces • Validation of interfaces (Business)
2	Activities planned for Next Month • Weekly interface status meetings • Provide decision regarding Tax Intranet • Provide confirmation of finalized interface list

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Interface Action Items								
267	Clean Hands Interface with OTR	[redacted]	9/2/2020	10/16/2020	Open	Med	**Ram** Krishnamurthy	

Interface Action Items								

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• UAT environment has been set up • Initiated Conversion Activities for Iteration T01, T02, T03 • Site to Site VPN setup. Continuing enabling VPN for additional servers • Conversion Meetings scheduled with NG and OIT twice weekly • Support T07 & T08 Functional Configuration sessions

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Configuration of Neosurance for T01, T02, T03 & T04 ongoing • Support T07 & T08 Functional Configuration sessions • Continue Conversion Activities for Iteration T01, T02, T03 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Open	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Probability	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	Closed	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot
3	Interface documentation is behind	Working with DOES IT to secure the correct information for the Interface Specification Documentation	Open	7/21/20	Shane Cox	High	High	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned
1	Conversion	The NG Conversion plan does not fit inside the project schedule	Currently working to update the NG plan	Open	11/2/2020	Shane Cox	High	High	Ryan Moore-Lee

Project Name: UITS Project			
Status for Dates: 11/1 – 11/30/2020	Recent Project Rating:	Green	

Meeting Date:	
Meeting Participant	Organization

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	T08 (Reports) Configuration Sessions are in Progress and Sagitec is currently working with Desta to finalize the reports. Change Request for Tipped Wages was updated and delivered. Change Requests for Group Account and Joint Account are in process. Updated the Conversion Plan based on the NG plan/dates.
Infrastructure/ Technical	Continued development of T01 (Registration), T02 (Employer Maintenance), T03 (Wage Reporting) T04 (Payments) T05 (General Ledger) T06 (Collections) and T07 (Rates). Continue support for T08, T09 configuration sessions. Conversion for these iterations are under way as a decision for the conversion data was finalized. Supported the Functional team on technical items coming out of Configuration sessions. Continue mapping exercises for Payments (Forward Mapping/Reverse Mapping).
Functional	T08 configuration sessions are in progress. T09 (Common Functions) use cases have been posted for DOES review. Correspondence sessions were completed for T01, T02, T03, and T04.
Testing	Sagitec system testing team supported DOES in preforming Pre-UAT activities. Sagitec delivered 148 test cases over the first four iterations. Pre-UAT was extended an additional week for DOES to get additional testing coverage of the test scripts.

Monthly Highlights	
Interfaces	Attended interface meetings. Sagitec is currently working with DOES to complete the specification documents on the first 6 interfaces (Clean Hands, Ward, Benefits, LMI, IMT & ACH-Debit). Met with NG to review the Tax Internet and attended weekly meetings with Wells Fargo.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	Group Accounts	Group accounts were not in the RFP requirements. Sagitec is creating a no cost change request for Group Accounts currently.	Pending action item completion		Use case Approval
CR02	Account In Good Standing or Generate Account in Good Standing Letter	Account In Good Standing or Generate Account in Good Standing Letter was not in the RFP requirements. Sagitec is creating a no cost change request for this currently	In progress		Use Case Approval
CR03	Tipped Wages	There has been a title change that affects tipped wages. Wage detail is currently reported quarterly, and this title change makes the wage detail weekly.	Submitted		Pending DOES approval
CR04	Joint Account	Joint accounts were not in the RFP requirements. Sagitec is creating a no cost change request for Group Accounts currently.	Pending action item completion		Use case Approval

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Project team members onboarded (Training Lead) • Iteration T08 in progress • Weekly Meetings with Sponsor, CIO, Project Team • Document preparation for T09 (Common Functions) documentation was created and submitted • Pre-UAT training to the DOES Team and Pre-UAT setup • Correspondence meetings continue for T01, T02, T03, T04 • Pre-UAT for T01, T02, T03, T04 • Completion of the T07 configuration session with MTW
	Activities Planned for next Month: • Completion of the T08 configuration session • Kickoff of the T09 DOES review • Use case and workflow documentation development to continue • Updating of Use Cases for T01, T02, T03, T04, T05, T06, T07 • Demo for iteration 9 • Updated work breakdown schedule • Correspondence sessions continue throughout the month

2.1 PMO Key Action Items

AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
			PMO Action Items					
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	7/10/20	Closed	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	Approved
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Closed	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Approved	No updates	Approved	Approved
Project Plan, Schedule, and Updates	Business	Del 2	1/27/20	Updated	Updated	Approved	Approved
Requirements Traceability Matrix	Business/IT	Del 4	5/20/20	Approved	No updates	Approved	Approved
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	Approved	Approved
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	Approved	Approved
Implementation Plan	IT/Business	Del 7	2/12/20	3/1/20	3/17/20	Approved	Approved

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20	Approved	Approved
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	Approved	Approved
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	Approved	Approved
Test Plan	Business	Del 11	2/12/20	4/19/20	4/20/20	Approved	Approved
Training Plan	Business	Del 13	5/12/20	6/11/20	6/23/20	Approved	Approved
Agreement Copies	Business	Del 16	2/28/20		No Comments	Approved	Approved
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	4/20/20	Approved	Approved

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	
1	Key Accomplishments: • T08 Configuration Sessions are in progress • Iteration T01, T02, T03, T04, T05, T06, T07 action items updated for DOES and design documentation was updated • Supported Pre-UAT activities • Creation of Iteration 9 use cases • All Sagitec action items for T01, T02, T03, T05, T06 are closed and Use Cases have been updated • Correspondence sessions are in process and will continue over the next couple of months
2	Activities Planned for Next Month: • Configuration Session's for T08 completed • Configuration Session's for T09 completed • Completing updates for T01, T02, T03, T04, T05, T06, T07, T08 Use Cases • Updating workflow specification documents • Creating interface specification documents for each interface • Updated Change Request list for UITS from ESSP • Secure DOES approval of T05 – T07 use cases

UI Functional Team	
1	Key Accomplishments: • T07 Configuration Sessions are completed • T08 Configuration Sessions is in progress • Sagitec action items completed for T01, T02, T03, T04, T05, T06 • Correspondence sessions are in progress

UI Functional Team	
2	Activities Planned for Next Month: • Completion of T08 and T09 configuration sessions • Complete review and approval of T05, T06, T07 use cases • Post Pre-UAT activities • Begin Correspondence review for T05, T06, T07, T08

3.1 Functional Team Action Items

http://doessharepoint.does.dcgov.priv/uits/_layouts/15/start.aspx#/Lists/ActionItems

70 open action items. There are **9 Sagitec, 57 DOES, 3 MTW** and **1 DOES/Sagitec.**

- T03 Sagitec – 0 | DOES – 2
  - Manage Wage Reports **Sagitec – 0 DOES – 2**
- T04 Sagitec – 0 | DOES – 1
  - Process Payments **Sagitec – 0 DOES – 1**
- T05 Sagitec – 0 | DOES – 1
  - General Ledger **Sagitec – 0 DOES – 1**
- T06 Sagitec – 0 DOES – 19
  - Establish Delinquent Debt **Sagitec – 0 DOES – 3**
  - Manage Levy **Sagitec – 0 DOES – 2**
  - Manage Lien **Sagitec – 0 DOES – 5**
  - Establish and Manage Payment Plan **Sagitec – 0 DOES – 7**
  - Benefits Charge Summary **Sagitec – 0 DOES – 1**
  - Federal Intercepts **Sagitec – 0 DOES – 1**
- T07 Sagitec – 8 | DOES – 23 | DOES/Sagitec – 1 | MTW – 3
  - Field Audit **Sagitec – 1 DOES – 1**
  - Calculate or Adjust Individual Employer **Sagitec – 0 DOES – 2**
  - Submit and Review Employer Appeals **Sagitec – 0 DOES – 2**
  - Process Experience Transfer **Sagitec – 3 DOES – 1**

- COMPAS Configuration Master **Sagitec – 4 DOES – 16 DOES/Sagitec – 1 MTW – 3**

- T08 Sagitec – 1 | DOES – 7
- Project Level Action Items Sagitec – 0 | DOES – 4

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
Total's baselined from the RFP	1113	2	17	212	1344

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • Conducted System testing for T01, T02, T03, T04 • QA of Use Cases for T08and T09 • Created 148 Pre-UAT test cases for T01, T02, T03, T04 • Created System test cases for T05, T06, T07 • Supported Pre-UAT

Sagitec QA/Testing Team	
2	Activities planned for Next month • Continue System testing for T01, T02, T03, T04, T05, T06, T07 • QA of Interface specification documentation •

UI Tax QA/Testing Team	
1	Key Accomplishments • Pre-UAT test case execution ○ Completion of 36 out of 148 test cases for T01, T02, T03, T04
2	Activities planned for this month • Pre-UAT close out •

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • LMI interface: Approved by DOES, Sent to dev team for the development. • IMT interface: In review with DOES • ACH Debit and Returns Interface: In review with DOES • Recommended changes to DOES/OnPoint for Benefits Interface
2	Activities Planned for Next month • Interface validation meetings • Begin documentation of confirmed interfaces in approved Interface SPS template

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces • Validation of interfaces (Business)
2	Activities planned for Next Month • Weekly interface status meetings • Provide decision regarding Tax Intranet • Provide confirmation of finalized interface list

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

Interface Action Items								
267	Clean Hands Interface with OTR	[redacted]	9/2/2020	10/16/2020	Closed	Med	Ram Krishnamurthy	OTR has confirmed that they will only be able to accept one file from DOES. The Clean Hands Interface SPS document will need to be updated to consolidate both PFL and UI debt in a single record for an employer.

Interface Action Items									

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• UAT environment has been set up • Initiated Conversion Activities for Iteration T01, T02, T03, T04 • Site to Site VPN setup. Continuing enabling VPN for additional servers • Conversion Meetings scheduled with NG and OIT twice weekly • Support T08 Functional Configuration sessions

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Configuration of Neosurance for T01, T02, T03 & T04 ongoing • Support T08 & T09 Functional Configuration sessions • Continue Conversion Activities for Iteration T01, T02, T03, T04 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Closed	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Probability	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	Closed	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot
3	Interface documentation is behind	Working with DOES IT to secure the correct information for the Interface Specification Documentation	Open	7/21/20	Shane Cox	High	High	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned
1	Conversion	The NG Conversion plan does not fit inside the project schedule	Currently working to update the NG plan/Sagitec schedule	Open	11/2/2020	Shane Cox	High	High	Ryan Moore-Lee

UITS Project
Monthly Status Report

Project Name: UITS Project		
Status for Dates: 12/1 – 12/31/2020	Recent Project Rating:	Green

Meeting Date:	
Meeting Participant	**Organization**

Project Team	Overall Project Rating	Functional (Design, Development, Test)	Interfaces	Conversion	Comments
Vendor – Sagitec					
Project Lead					

Monthly Highlights	
PMO	T08 (Reports) Configuration Sessions are in Progress and Sagitec is currently working with Desta to finalize the reports. Change Requests for Group Account and Joint Account have been submitted. Updated the Conversion Plan based on the NG plan/dates. Completion of the UITS Questionnaire for DOES.
Infrastructure/ Technical	Continued development of T01 (Registration), T02 (Employer Maintenance), T03 (Wage Reporting) T04 (Payments) T05 (General Ledger) T06 (Collections) and T07 (Rates). Continue support for T08, T09 configuration sessions. Conversion for these iterations are under way as a decision for the conversion data was finalized. Supported the Functional team on technical items coming out of Configuration sessions. Continue mapping exercises for Payments (Forward Mapping/Reverse Mapping).
Functional	T08 configuration sessions are in progress. T09 (Common Functions) use cases are in progress. Correspondence sessions were completed for T01, T02, T03, and T04 and preparation of correspondence for T06, T07, T08.
Testing	Sagitec system testing team continues Pre-UAT PIR testing. Continued to write test scripts for T06, T07and testing development PIRs. Continued testing Wards and LMI interfaces. Continued planning for Lifecycle testing scenarios

Monthly Highlights	
Interfaces	Attended interface meetings. Sagitec is currently working with DOES to complete interface specification documents. Attended weekly meetings with Wells Fargo. Additional interface files requested from DOES.

1 Pending Change Requests

CR Number	CR Title	CR Description	Submitted	PIR	Current Stage
CR01	Group Accounts	Group accounts were not in the RFP requirements. Sagitec created a no cost change request for Group Accounts currently.	In progress		Use case Approval
CR02	Account In Good Standing or Generate Account in Good Standing Letter	Account In Good Standing or Generate Account in Good Standing Letter was not in the RFP requirements. Sagitec is creating a no cost change request for this currently	In progress		Use Case Approval
CR03	Tipped Wages	There has been a title change that affects tipped wages. Wage detail is currently reported quarterly, and this title change makes the wage detail weekly.	Submitted		Pending DOES approval
CR04	Joint Account	Joint accounts were not in the RFP requirements. Sagitec created a no cost change request for Group Accounts currently.	In progress		Use case Approval

2 Project Management Office

Sagitec PMO Team	
	Key Accomplishments this month: • Project team members onboarded (QA, Training & Testing staff) • Iteration T08 (Reports) T09 (Common Functions) in progress • Weekly Meetings with Sponsor, CIO, Project Team • Document preparation for T09 (Common Functions) documentation was created and submitted • Correspondence meetings continue for T01, T02, T03, T04 • Pre-UAT PIR tracking for T01, T02, T03, T04 • Completion of the T07 configuration session with MTW
	Activities Planned for next Month: • Completion of the T08, T09 configuration session • Use case and workflow documentation development to continue • Updating of Use Cases for T01, T02, T03, T04, T05, T06, T07 • Approval sessions for T05, T06, T07, T08, T09 • Updated work breakdown schedule • Correspondence sessions continue throughout the month

2.1 PMO Key Action Items

PMO Action Items								
AI ID	**Title**	**Description**	**Created Date**	**Target Date**	**Open/Closed**	**Priority**	**Assigned to**	**Resolution**
1	Infrastructure Request	Additional documentation so DOES can procure the project servers from OCTO	2/14/20	3/6/20	Closed	High	Tom Fontenot	Documentation submitted
2	Deliverable approval	Working with project sponsor and CIO to review and approve the submitted deliverables	2/28/20	7/10/20	Closed	High	Tom Fontenot/ Ryan Moore-Lee/Shane Cox	Approved
3	VPN access	Working on antivirus issues with OCTO to clear up DOES VPN access for Sagitec users	3/30/20	4/6/20	Closed	High	Tom Fontenot	Complete

2.2 Deliverables Status

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Monthly Project Status Report	Business	Del 1	2/29/20	Approved	No updates	Approved	Approved
Project Plan, Schedule, and Updates	Business	Del 2	1/27/20	Updated	Updated	Approved	Approved
Requirements Traceability Matrix	Business/IT	Del 4	5/20/20	Approved	No updates	Approved	Approved
Project Management Plan (PMP)	Business	Del 5	1/27/20	3/26/20	4/3/20	Approved	Approved
Infrastructure Plan	IT	Del 6	2/26/20	3/6/20	3/13/20	Approved	Approved
Implementation Plan	IT/Business	Del 7	2/12/20	3/1/20	3/17/20	Approved	Approved

Deliverable	Type	ID	Submitted to Tax	Tax Review	Sagitec Response	Joint Final Review	SharePoint Approval
Database Management Plan	IT	Del 8	2/19/20	3/27/20	3/30/20	Approved	Approved
Legacy Data Plan	IT	Del 9	2/19/20	3/23/20	3/23/20	Approved	Approved
Data Conversion Plan	IT	Del 10	2/19/20	3/23/20	4/3/20	Approved	Approved
Test Plan	Business	Del 11	2/12/20	4/19/20	4/20/20	Approved	Approved
Training Plan	Business	Del 13	5/12/20	6/11/20	6/23/20	Approved	Approved
Agreement Copies	Business	Del 16	2/28/20		No Comments	Approved	Approved
Product Roadmap and Release Schedule	Business/IT	Del 17	2/28/20	4/3/20	4/20/20	Approved	Approved

	In Progress
	Done
	Future Delivery

3 Functional Team

Sagitec Functional Team	

1	Key Accomplishments:
	• Sagitec continues to work on T07, T08, T09 Use Cases/Action items
	• T08 configuration sessions held on as needed basis. Currently updating the ETA report use cases.
	• Preparing interface specification documentation
	• Completed the following Workflow Spec
	  o T09 – WFW – T01 Review 501(c)3
	  o T09 – WFW – Review Governmental Employer
	  o T09 – WFW – Review Past Liability
	  o T09 – WFW – Review POA
	• Conducted Action item status meeting (Reoccurring weekly meeting starting 10/8)
	• Continued to write test scripts for T06, T07and testing PIRs
	• Continued testing Wards and LMI interfaces
	• Continued planning for Lifecycle testing scenarios

2	Activities Planned for Next Month: • Configuration Session's for T08 completed • Configuration Session's for T09 completed • Completing updates for T01, T02, T03, T04, T05, T06, T07, T08, T09 Use Cases • Updating workflow specification documents • Creating interface specification documents for each interface • Updated Change Request list for UITS from ESSP • Secure DOES approval of T05 – T08 use cases

UI Functional Team	
1	Key Accomplishments: • T07 Configuration Sessions are completed • T08 Configuration Sessions is in progress • Sagitec action items completed for T01, T02, T03, T04, T05, T06 • Correspondence sessions are in progress
2	Activities Planned for Next Month: • Completion of T08 and T09 configuration sessions • Complete review and approval of T05, T06, T07 use cases • Post Pre-UAT activities • Begin Correspondence review for T05, T06, T07, T08

3.1 Functional Team Action Items

http://doessharepoint.does.dcgov.priv/uits/_layouts/15/start.aspx#/Lists/ActionItems

40 open action items. There are **8 Sagitec, 26 DOES, 4 MTW** and **2 DOES/Sagitec.**

- T03 Sagitec – 1 | DOES – 1
  - Manage Wage Reports **Sagitec – 1 DOES – 1**
- T04 Sagitec – 0 | DOES – 1
  - Process Payments **Sagitec – 0 DOES – 1**
- T05 Sagitec – 0 | DOES – 1
  - General Ledger **Sagitec – 0 DOES – 1**
- T06 Sagitec – 0 DOES – 2
  - Establish and Manage Payment Plan **Sagitec – 0 DOES – 1**
  - Federal Intercepts **Sagitec – 0 DOES – 1**
- T07 Sagitec – 3 | DOES – 17 | DOES/Sagitec – 1 | MTW – 4
  - Process Experience Transfer **Sagitec – 1 DOES – 0**

  - COMPAS Configuration Master **Sagitec – 2 DOES – 17 DOES/Sagitec – 1 MTW – 4**
- T08 Sagitec – 1 | DOES – 1
- T09 Sagitec – 3 | DOES – 0
- Project Level Action Items Sagitec – 0 | DOES – 3 | DOES/Sagitec – 1

Functional Team Iteration Requirement Confirmation Status

	A	B	C	D	A+B+C+D
Iteration	Baselined	Duplicates	Canceled	Deferred/In Work	Total Functional Requirements Mapped to Iteration
Total's baselined from the RFP	1113	2	17	212	1344

4 Quality Assurance/Testing Team

Sagitec QA/Testing Team	
1	Key Accomplishments • Conducted System testing for T01, T02, T03, T04 • QA of Use Cases for T08 and T09 • Retesting 148 Pre-UAT test cases for T01, T02, T03, T04 • Created System test cases for T05, T06, T07 • Supported Pre-UAT PIR retesting

Sagitec QA/Testing Team	
2	Activities planned for Next month • Continue System testing for T01, T02, T03, T04, T05, T06, T07 • QA of Interface specification documentation • Continue building System Test Cases

UI Tax QA/Testing Team	
1	Key Accomplishments • Completion of 148 out of 148 test cases for T01, T02, T03, T04
2	Activities planned for this month • Pre-UAT PIR's retesting • Continue creating system test cases • Continued system testing for T01-T07

4.1 Quality Assurance/Testing Team Action Items

QA Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

4.2 PIR Status Summary for tested iterations

4.3 Test Execution Status Report

5 Interface Team

Sagitec Interfaces Team	
1	Key Accomplishments • Benefits Interface: In Review with DOES • DAFRIN: Received file format from DOES, In review with Sagitec • ACH Credit: SPS interface document draft in completed and in Review with Sagitec • TDEC: Received Verification and Employer files started the SPS document. • ACH Debit: ACH Debit file is in testing internally • Sagitec meet with DOES about updating the interface list, Ram to send us the updated list of interfaces with the field layouts and sample files
2	Activities Planned for Next month • Interface validation meetings • Begin documentation of confirmed interfaces in approved Interface SPS template

Tax Interfaces Team	
1	Key Accomplishments • Review of the 142 interfaces • Validation of interfaces (Business)
2	Activities planned for Next Month • Weekly interface status meetings • Provide confirmation of finalized interface list

5.1 Interfaces Team Action Item

Interface Action Items								
AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution

DOES POH 2021 Q53a

Interface Action Items									
267	Clean Hands Interface with OTR	[redacted]	9/2/2020	10/16/2020	Closed	Med	Ram Krishnamurthy	OTR has confirmed that they will only be able to accept one file from DOES. The Clean Hands Interface SPS document will need to be updated to consolidate both PFL and UI debt in a single record for an employer.

Interface Action Items								

5.2 Interface Milestone Dates Table

Item	Iteration	Type	Interface Name	Interface Transport	Agreement Status	Technical Specification Finalized	Tax Review Period	Connectivity Established	End Date		Comments
									Configuration/ Development	Testing	
					End Dates						
1											

6 Technical and Infrastructure Team

Technical and Infrastructure Team – Key Accomplishments	
1	• UAT environment has been set up • Initiated Conversion Activities for Iteration T01, T02, T03, T04 • Site to Site VPN setup. Continuing enabling VPN for additional servers • Conversion Meetings scheduled with NG and OIT twice weekly • Support T08, T09 Functional Configuration sessions

Technical and Infrastructure Team - Activities Planned for This Month	
1	• Configuration of Neosurance for T01, T02, T03 & T04 ongoing • Support T08 & T09 Functional Configuration sessions • Continue Conversion Activities for Iteration T01, T02, T03, T04 • Continue VPN / DNS setup for additional servers

6.1 Technical and Infrastructure Team Action Items

Technical and Infrastructure Action Items

AI ID	Title	Description	Created Date	Target Date	Open/Closed	Priority	Assigned to	Resolution
1	Site-to-site VPN	Site-to-site VPN is needed for the development of the application	3/30/20	4/10/20	Closed	High	Tom Fontenot	**Complete**

Technical and Infrastructure Action Items								

7 Proposed Project Risks

The following risks are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring:

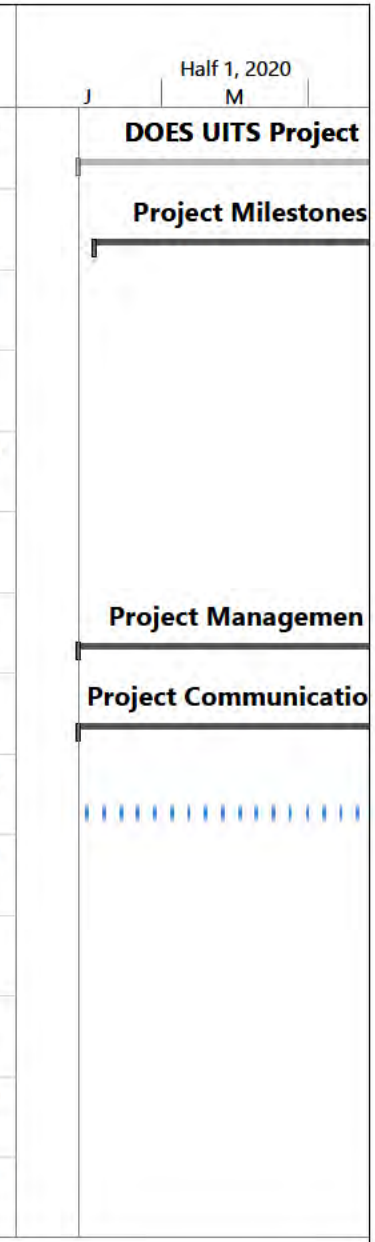
ID	Description	Mitigation	Status	Log Date	Initiator	Impact	Proba bility	Severity	Assigned
1	Delay in the server procurement process	Working with IT to secure the Development and Application servers from OCTO	Closed	2/14/20	Shane Cox	High	High	***Medium***	Tom Fontenot
2	AV and VPN access for the Sagitec new team members	Working with DOES IT and OCTO to solve VPN and AV issues	Closed	3/30/20	Shane Cox	High	***High***	High	Tom Fontenot
3	Interface documentation is behind	Working with DOES IT to secure the correct information for the Interface Specification Documentation	Open	7/21/20	Shane Cox	High	High	High	Tom Fontenot

8 Proposed Project Issues

The following issues are either proposed for initial review and agreement (marked as New), or have been previously identified as needing resolution or monitoring (marked as Open):

ID	Title	Description	Resolution	Status	Log Date	Initiator	Impact	Priority	Assigned
1	Conversion	The NG Conversion plan does not fit inside the project schedule	Sagitec is currently working off the latest NG conversion plan and has updated the project plan. Sagitec will keep monitoring the conversion process.	Open	11/2/2020	Shane Cox	High	High	Ryan Moore-Lee

ID	Indicators	WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish
0		**0**		**37%**	**DOES UITS Project**	**617 days**	**Mon 1/27/20**	**Thu 6/9/22**
1		**1**		**0%**	**Project Milestones**	**612 days**	**Mon 2/3/20**	**Thu 6/9/22**
2		1.1		0%	Data Conversion Complete	0 days	Mon 4/12/21	Mon 4/12/21
7		1.6		0%	UITS Transition Complete	0 days	Wed 5/5/21	Wed 5/5/21
8		1.7		0%	Warranty Start	0 days	Mon 6/14/21	Mon 6/14/21
9		1.8		0%	Warranty Expiration	0 days	Thu 6/9/22	Thu 6/9/22
10		**2**		**30%**	**Project Management**	**359 days**	**Mon 1/27/20**	**Fri 6/11/21**
11		**2.1**		**30%**	**Project Communications**	**359 days**	**Mon 1/27/20**	**Fri 6/11/21**
12		**2.1.1**		**29%**	**Weekly PMO Status Meetings**	**355 days**	**Thu 1/30/20**	**Thu 6/10/21**
34		2.1.1.22		0%	Weekly PMO Status Meetings 22	1 day	Thu 6/25/20	Thu 6/25/20
35		2.1.1.23		0%	Weekly PMO Status Meetings 23	1 day	Thu 7/2/20	Thu 7/2/20
36		2.1.1.24		0%	Weekly PMO Status Meetings 24	1 day	Thu 7/9/20	Thu 7/9/20
37		2.1.1.25		0%	Weekly PMO Status Meetings 25	1 day	Thu 7/16/20	Thu 7/16/20
38		2.1.1.26		0%	Weekly PMO Status Meetings 26	1 day	Thu 7/23/20	Thu 7/23/20



Project: DOES UITS Project
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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
39		2.1.1.27		0%	Weekly PMO Status Meetings 27	1 day	Thu 7/30/20	Thu 7/30/20	
40		2.1.1.28		0%	Weekly PMO Status Meetings 28	1 day	Thu 8/6/20	Thu 8/6/20	
41		2.1.1.29		0%	Weekly PMO Status Meetings 29	1 day	Thu 8/13/20	Thu 8/13/20	
42		2.1.1.30		0%	Weekly PMO Status Meetings 30	1 day	Thu 8/20/20	Thu 8/20/20	
43		2.1.1.31		0%	Weekly PMO Status Meetings 31	1 day	Thu 8/27/20	Thu 8/27/20	
44		2.1.1.32		0%	Weekly PMO Status Meetings 32	1 day	Thu 9/3/20	Thu 9/3/20	
45		2.1.1.33		0%	Weekly PMO Status Meetings 33	1 day	Thu 9/10/20	Thu 9/10/20	
46		2.1.1.34		0%	Weekly PMO Status Meetings 34	1 day	Thu 9/17/20	Thu 9/17/20	
47		2.1.1.35		0%	Weekly PMO Status Meetings 35	1 day	Thu 9/24/20	Thu 9/24/20	
48		2.1.1.36		0%	Weekly PMO Status Meetings 36	1 day	Thu 10/1/20	Thu 10/1/20	
49		2.1.1.37		0%	Weekly PMO Status Meetings 37	1 day	Thu 10/8/20	Thu 10/8/20	
50		2.1.1.38		0%	Weekly PMO Status Meetings 38	1 day	Thu 10/15/20	Thu 10/15/20	
51		2.1.1.39		0%	Weekly PMO Status Meetings 39	1 day	Thu 10/22/20	Thu 10/22/20	
52		2.1.1.40		0%	Weekly PMO Status Meetings 40	1 day	Thu 10/29/20	Thu 10/29/20	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
53		2.1.1.41		0%	Weekly PMO Status Meetings 41	1 day	Thu 11/5/20	Thu 11/5/20	
54		2.1.1.42		0%	Weekly PMO Status Meetings 42	1 day	Thu 11/12/20	Thu 11/12/20	
55		2.1.1.43		0%	Weekly PMO Status Meetings 43	1 day	Thu 11/19/20	Thu 11/19/20	
56		2.1.1.44		0%	Weekly PMO Status Meetings 44	1 day	Thu 11/26/20	Thu 11/26/20	
57		2.1.1.45		0%	Weekly PMO Status Meetings 45	1 day	Thu 12/3/20	Thu 12/3/20	
58		2.1.1.46		0%	Weekly PMO Status Meetings 46	1 day	Thu 12/10/20	Thu 12/10/20	
59		2.1.1.47		0%	Weekly PMO Status Meetings 47	1 day	Thu 12/17/20	Thu 12/17/20	
60		2.1.1.48		0%	Weekly PMO Status Meetings 48	1 day	Thu 12/24/20	Thu 12/24/20	
61		2.1.1.49		0%	Weekly PMO Status Meetings 49	1 day	Thu 12/31/20	Thu 12/31/20	
62		2.1.1.50		0%	Weekly PMO Status Meetings 50	1 day	Thu 1/7/21	Thu 1/7/21	
63		2.1.1.51		0%	Weekly PMO Status Meetings 51	1 day	Thu 1/14/21	Thu 1/14/21	
64		2.1.1.52		0%	Weekly PMO Status Meetings 52	1 day	Thu 1/21/21	Thu 1/21/21	
65		2.1.1.53		0%	Weekly PMO Status Meetings 53	1 day	Thu 1/28/21	Thu 1/28/21	
66		2.1.1.54		0%	Weekly PMO Status Meetings 54	1 day	Thu 2/4/21	Thu 2/4/21	

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Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
67		2.1.1.55		0%	Weekly PMO Status Meetings 55	1 day	Thu 2/11/21	Thu 2/11/21	
68		2.1.1.56		0%	Weekly PMO Status Meetings 56	1 day	Thu 2/18/21	Thu 2/18/21	
69		2.1.1.57		0%	Weekly PMO Status Meetings 57	1 day	Thu 2/25/21	Thu 2/25/21	
70		2.1.1.58		0%	Weekly PMO Status Meetings 58	1 day	Thu 3/4/21	Thu 3/4/21	
71		2.1.1.59		0%	Weekly PMO Status Meetings 59	1 day	Thu 3/11/21	Thu 3/11/21	
72		2.1.1.60		0%	Weekly PMO Status Meetings 60	1 day	Thu 3/18/21	Thu 3/18/21	
73		2.1.1.61		0%	Weekly PMO Status Meetings 61	1 day	Thu 3/25/21	Thu 3/25/21	
74		2.1.1.62		0%	Weekly PMO Status Meetings 62	1 day	Thu 4/1/21	Thu 4/1/21	
75		2.1.1.63		0%	Weekly PMO Status Meetings 63	1 day	Thu 4/8/21	Thu 4/8/21	
76		2.1.1.64		0%	Weekly PMO Status Meetings 64	1 day	Thu 4/15/21	Thu 4/15/21	
77		2.1.1.65		0%	Weekly PMO Status Meetings 65	1 day	Thu 4/22/21	Thu 4/22/21	
78		2.1.1.66		0%	Weekly PMO Status Meetings 66	1 day	Thu 4/29/21	Thu 4/29/21	
79		2.1.1.67		0%	Weekly PMO Status Meetings 67	1 day	Thu 5/6/21	Thu 5/6/21	
80		2.1.1.68		0%	Weekly PMO Status Meetings 68	1 day	Thu 5/13/21	Thu 5/13/21	

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Task		Summary		Deadline	
Milestone		Project Summary		Progress	

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
81		2.1.1.69		0%	Weekly PMO Status Meetings 69	1 day	Thu 5/20/21	Thu 5/20/21	
82		2.1.1.70		0%	Weekly PMO Status Meetings 70	1 day	Thu 5/27/21	Thu 5/27/21	
83		2.1.1.71		0%	Weekly PMO Status Meetings 71	1 day	Thu 6/3/21	Thu 6/3/21	
84		2.1.1.72		0%	Weekly PMO Status Meetings 72	1 day	Thu 6/10/21	Thu 6/10/21	
85		**2.1.2**		**31%**	**Bi-Weekly Project Plan Updates**	**350 days**	**Tue 1/28/20**	**Tue 6/1/21**	
97		2.1.2.12		0%	Bi-Weekly Project Plan Updates 12	1 day	Tue 6/30/20	Tue 6/30/20	
98		2.1.2.13		0%	Bi-Weekly Project Plan Updates 13	1 day	Tue 7/14/20	Tue 7/14/20	
99		2.1.2.14		0%	Bi-Weekly Project Plan Updates 14	1 day	Tue 7/28/20	Tue 7/28/20	
100		2.1.2.15		0%	Bi-Weekly Project Plan Updates 15	1 day	Tue 8/11/20	Tue 8/11/20	
101		2.1.2.16		0%	Bi-Weekly Project Plan Updates 16	1 day	Tue 8/25/20	Tue 8/25/20	
102		2.1.2.17		0%	Bi-Weekly Project Plan Updates 17	1 day	Tue 9/8/20	Tue 9/8/20	
103		2.1.2.18		0%	Bi-Weekly Project Plan Updates 18	1 day	Tue 9/22/20	Tue 9/22/20	
104		2.1.2.19		0%	Bi-Weekly Project Plan Updates 19	1 day	Tue 10/6/20	Tue 10/6/20	
105		2.1.2.20		0%	Bi-Weekly Project Plan Updates 20	1 day	Tue 10/20/20	Tue 10/20/20	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
106		2.1.2.21		0%	Bi-Weekly Project Plan Updates 21	1 day	Tue 11/3/20	Tue 11/3/20	
107		2.1.2.22		0%	Bi-Weekly Project Plan Updates 22	1 day	Tue 11/17/20	Tue 11/17/20	
108		2.1.2.23		0%	Bi-Weekly Project Plan Updates 23	1 day	Tue 12/1/20	Tue 12/1/20	
109		2.1.2.24		0%	Bi-Weekly Project Plan Updates 24	1 day	Tue 12/15/20	Tue 12/15/20	
110		2.1.2.25		0%	Bi-Weekly Project Plan Updates 25	1 day	Tue 12/29/20	Tue 12/29/20	
111		2.1.2.26		0%	Bi-Weekly Project Plan Updates 26	1 day	Tue 1/12/21	Tue 1/12/21	
112		2.1.2.27		0%	Bi-Weekly Project Plan Updates 27	1 day	Tue 1/26/21	Tue 1/26/21	
113		2.1.2.28		0%	Bi-Weekly Project Plan Updates 28	1 day	Tue 2/9/21	Tue 2/9/21	
114		2.1.2.29		0%	Bi-Weekly Project Plan Updates 29	1 day	Tue 2/23/21	Tue 2/23/21	
115		2.1.2.30		0%	Bi-Weekly Project Plan Updates 30	1 day	Tue 3/9/21	Tue 3/9/21	
116		2.1.2.31		0%	Bi-Weekly Project Plan Updates 31	1 day	Tue 3/23/21	Tue 3/23/21	
117		2.1.2.32		0%	Bi-Weekly Project Plan Updates 32	1 day	Tue 4/6/21	Tue 4/6/21	
118		2.1.2.33		0%	Bi-Weekly Project Plan Updates 33	1 day	Tue 4/20/21	Tue 4/20/21	
119		2.1.2.34		0%	Bi-Weekly Project Plan Updates 34	1 day	Tue 5/4/21	Tue 5/4/21	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish
120		2.1.2.35		0%	Bi-Weekly Project Plan Updates 35	1 day	Tue 5/18/21	Tue 5/18/21
121		2.1.2.36		0%	Bi-Weekly Project Plan Updates 36	1 day	Tue 6/1/21	Tue 6/1/21
122		**2.1.3**		**31%**	**Periodic Executive Leadership Updates**	**325 days**	**Wed 2/19/20**	**Wed 5/19/21**
128		2.1.3.6		0%	Periodic Executive Leadership Updates 6	1 day	Wed 7/15/20	Wed 7/15/20
129		2.1.3.7		0%	Periodic Executive Leadership Updates 7	1 day	Wed 8/19/20	Wed 8/19/20
130		2.1.3.8		0%	Periodic Executive Leadership Updates 8	1 day	Wed 9/16/20	Wed 9/16/20
131		2.1.3.9		0%	Periodic Executive Leadership Updates 9	1 day	Wed 10/21/20	Wed 10/21/20
132		2.1.3.10		0%	Periodic Executive Leadership Updates 10	1 day	Wed 11/18/20	Wed 11/18/20
133		2.1.3.11		0%	Periodic Executive Leadership Updates 11	1 day	Wed 12/16/20	Wed 12/16/20
134		2.1.3.12		0%	Periodic Executive Leadership Updates 12	1 day	Wed 1/20/21	Wed 1/20/21
135		2.1.3.13		0%	Periodic Executive Leadership Updates 13	1 day	Wed 2/17/21	Wed 2/17/21
136		2.1.3.14		0%	Periodic Executive Leadership Updates 14	1 day	Wed 3/17/21	Wed 3/17/21
137		2.1.3.15		0%	Periodic Executive Leadership Updates 15	1 day	Wed 4/21/21	Wed 4/21/21
138		2.1.3.16		0%	Periodic Executive Leadership Updates 16	1 day	Wed 5/19/21	Wed 5/19/21

Half 1, 2020
J M

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Task | Summary | Deadline
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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
139		2.1.4		30%	**Periodic Internal Staff Updates**	359 days	Mon 1/27/20	Fri 6/11/21	
204		2.1.4.65		0%	Periodic Internal Staff Updates 65	1 day	Wed 6/24/20	Wed 6/24/20	
205		2.1.4.66		0%	Periodic Internal Staff Updates 66	1 day	Fri 6/26/20	Fri 6/26/20	
206		2.1.4.67		0%	Periodic Internal Staff Updates 67	1 day	Mon 6/29/20	Mon 6/29/20	
207		2.1.4.68		0%	Periodic Internal Staff Updates 68	1 day	Wed 7/1/20	Wed 7/1/20	
208		2.1.4.69		0%	Periodic Internal Staff Updates 69	1 day	Fri 7/3/20	Fri 7/3/20	
209		2.1.4.70		0%	Periodic Internal Staff Updates 70	1 day	Mon 7/6/20	Mon 7/6/20	
210		2.1.4.71		0%	Periodic Internal Staff Updates 71	1 day	Wed 7/8/20	Wed 7/8/20	
211		2.1.4.72		0%	Periodic Internal Staff Updates 72	1 day	Fri 7/10/20	Fri 7/10/20	
212		2.1.4.73		0%	Periodic Internal Staff Updates 73	1 day	Mon 7/13/20	Mon 7/13/20	
213		2.1.4.74		0%	Periodic Internal Staff Updates 74	1 day	Wed 7/15/20	Wed 7/15/20	
214		2.1.4.75		0%	Periodic Internal Staff Updates 75	1 day	Fri 7/17/20	Fri 7/17/20	
215		2.1.4.76		0%	Periodic Internal Staff Updates 76	1 day	Mon 7/20/20	Mon 7/20/20	
216		2.1.4.77		0%	Periodic Internal Staff Updates 77	1 day	Wed 7/22/20	Wed 7/22/20	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
217		2.1.4.78		0%	Periodic Internal Staff Updates 78	1 day	Fri 7/24/20	Fri 7/24/20	
218		2.1.4.79		0%	Periodic Internal Staff Updates 79	1 day	Mon 7/27/20	Mon 7/27/20	
219		2.1.4.80		0%	Periodic Internal Staff Updates 80	1 day	Wed 7/29/20	Wed 7/29/20	
220		2.1.4.81		0%	Periodic Internal Staff Updates 81	1 day	Fri 7/31/20	Fri 7/31/20	
221		2.1.4.82		0%	Periodic Internal Staff Updates 82	1 day	Mon 8/3/20	Mon 8/3/20	
222		2.1.4.83		0%	Periodic Internal Staff Updates 83	1 day	Wed 8/5/20	Wed 8/5/20	
223		2.1.4.84		0%	Periodic Internal Staff Updates 84	1 day	Fri 8/7/20	Fri 8/7/20	
224		2.1.4.85		0%	Periodic Internal Staff Updates 85	1 day	Mon 8/10/20	Mon 8/10/20	
225		2.1.4.86		0%	Periodic Internal Staff Updates 86	1 day	Wed 8/12/20	Wed 8/12/20	
226		2.1.4.87		0%	Periodic Internal Staff Updates 87	1 day	Fri 8/14/20	Fri 8/14/20	
227		2.1.4.88		0%	Periodic Internal Staff Updates 88	1 day	Mon 8/17/20	Mon 8/17/20	
228		2.1.4.89		0%	Periodic Internal Staff Updates 89	1 day	Wed 8/19/20	Wed 8/19/20	
229		2.1.4.90		0%	Periodic Internal Staff Updates 90	1 day	Fri 8/21/20	Fri 8/21/20	
230		2.1.4.91		0%	Periodic Internal Staff Updates 91	1 day	Mon 8/24/20	Mon 8/24/20	

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
231		2.1.4.92		0%	Periodic Internal Staff Updates 92	1 day	Wed 8/26/20	Wed 8/26/20	
232		2.1.4.93		0%	Periodic Internal Staff Updates 93	1 day	Fri 8/28/20	Fri 8/28/20	
233		2.1.4.94		0%	Periodic Internal Staff Updates 94	1 day	Mon 8/31/20	Mon 8/31/20	
234		2.1.4.95		0%	Periodic Internal Staff Updates 95	1 day	Wed 9/2/20	Wed 9/2/20	
235		2.1.4.96		0%	Periodic Internal Staff Updates 96	1 day	Fri 9/4/20	Fri 9/4/20	
236		2.1.4.97		0%	Periodic Internal Staff Updates 97	1 day	Mon 9/7/20	Mon 9/7/20	
237		2.1.4.98		0%	Periodic Internal Staff Updates 98	1 day	Wed 9/9/20	Wed 9/9/20	
238		2.1.4.99		0%	Periodic Internal Staff Updates 99	1 day	Fri 9/11/20	Fri 9/11/20	
239		2.1.4.100		0%	Periodic Internal Staff Updates 100	1 day	Mon 9/14/20	Mon 9/14/20	
240		2.1.4.101		0%	Periodic Internal Staff Updates 101	1 day	Wed 9/16/20	Wed 9/16/20	
241		2.1.4.102		0%	Periodic Internal Staff Updates 102	1 day	Fri 9/18/20	Fri 9/18/20	
242		2.1.4.103		0%	Periodic Internal Staff Updates 103	1 day	Mon 9/21/20	Mon 9/21/20	
243		2.1.4.104		0%	Periodic Internal Staff Updates 104	1 day	Wed 9/23/20	Wed 9/23/20	
244		2.1.4.105		0%	Periodic Internal Staff Updates 105	1 day	Fri 9/25/20	Fri 9/25/20	

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
245		2.1.4.106		0%	Periodic Internal Staff Updates 106	1 day	Mon 9/28/20	Mon 9/28/20	
246		2.1.4.107		0%	Periodic Internal Staff Updates 107	1 day	Wed 9/30/20	Wed 9/30/20	
247		2.1.4.108		0%	Periodic Internal Staff Updates 108	1 day	Fri 10/2/20	Fri 10/2/20	
248		2.1.4.109		0%	Periodic Internal Staff Updates 109	1 day	Mon 10/5/20	Mon 10/5/20	
249		2.1.4.110		0%	Periodic Internal Staff Updates 110	1 day	Wed 10/7/20	Wed 10/7/20	
250		2.1.4.111		0%	Periodic Internal Staff Updates 111	1 day	Fri 10/9/20	Fri 10/9/20	
251		2.1.4.112		0%	Periodic Internal Staff Updates 112	1 day	Mon 10/12/20	Mon 10/12/20	
252		2.1.4.113		0%	Periodic Internal Staff Updates 113	1 day	Wed 10/14/20	Wed 10/14/20	
253		2.1.4.114		0%	Periodic Internal Staff Updates 114	1 day	Fri 10/16/20	Fri 10/16/20	
254		2.1.4.115		0%	Periodic Internal Staff Updates 115	1 day	Mon 10/19/20	Mon 10/19/20	
255		2.1.4.116		0%	Periodic Internal Staff Updates 116	1 day	Wed 10/21/20	Wed 10/21/20	
256		2.1.4.117		0%	Periodic Internal Staff Updates 117	1 day	Fri 10/23/20	Fri 10/23/20	
257		2.1.4.118		0%	Periodic Internal Staff Updates 118	1 day	Mon 10/26/20	Mon 10/26/20	
258		2.1.4.119		0%	Periodic Internal Staff Updates 119	1 day	Wed 10/28/20	Wed 10/28/20	

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
259		2.1.4.120		0%	Periodic Internal Staff Updates 120	1 day	Fri 10/30/20	Fri 10/30/20	
260		2.1.4.121		0%	Periodic Internal Staff Updates 121	1 day	Mon 11/2/20	Mon 11/2/20	
261		2.1.4.122		0%	Periodic Internal Staff Updates 122	1 day	Wed 11/4/20	Wed 11/4/20	
262		2.1.4.123		0%	Periodic Internal Staff Updates 123	1 day	Fri 11/6/20	Fri 11/6/20	
263		2.1.4.124		0%	Periodic Internal Staff Updates 124	1 day	Mon 11/9/20	Mon 11/9/20	
264		2.1.4.125		0%	Periodic Internal Staff Updates 125	1 day	Wed 11/11/20	Wed 11/11/20	
265		2.1.4.126		0%	Periodic Internal Staff Updates 126	1 day	Fri 11/13/20	Fri 11/13/20	
266		2.1.4.127		0%	Periodic Internal Staff Updates 127	1 day	Mon 11/16/20	Mon 11/16/20	
267		2.1.4.128		0%	Periodic Internal Staff Updates 128	1 day	Wed 11/18/20	Wed 11/18/20	
268		2.1.4.129		0%	Periodic Internal Staff Updates 129	1 day	Fri 11/20/20	Fri 11/20/20	
269		2.1.4.130		0%	Periodic Internal Staff Updates 130	1 day	Mon 11/23/20	Mon 11/23/20	
270		2.1.4.131		0%	Periodic Internal Staff Updates 131	1 day	Wed 11/25/20	Wed 11/25/20	
271		2.1.4.132		0%	Periodic Internal Staff Updates 132	1 day	Fri 11/27/20	Fri 11/27/20	
272		2.1.4.133		0%	Periodic Internal Staff Updates 133	1 day	Mon 11/30/20	Mon 11/30/20	

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
273		2.1.4.134		0%	Periodic Internal Staff Updates 134	1 day	Wed 12/2/20	Wed 12/2/20	
274		2.1.4.135		0%	Periodic Internal Staff Updates 135	1 day	Fri 12/4/20	Fri 12/4/20	
275		2.1.4.136		0%	Periodic Internal Staff Updates 136	1 day	Mon 12/7/20	Mon 12/7/20	
276		2.1.4.137		0%	Periodic Internal Staff Updates 137	1 day	Wed 12/9/20	Wed 12/9/20	
277		2.1.4.138		0%	Periodic Internal Staff Updates 138	1 day	Fri 12/11/20	Fri 12/11/20	
278		2.1.4.139		0%	Periodic Internal Staff Updates 139	1 day	Mon 12/14/20	Mon 12/14/20	
279		2.1.4.140		0%	Periodic Internal Staff Updates 140	1 day	Wed 12/16/20	Wed 12/16/20	
280		2.1.4.141		0%	Periodic Internal Staff Updates 141	1 day	Fri 12/18/20	Fri 12/18/20	
281		2.1.4.142		0%	Periodic Internal Staff Updates 142	1 day	Mon 12/21/20	Mon 12/21/20	
282		2.1.4.143		0%	Periodic Internal Staff Updates 143	1 day	Wed 12/23/20	Wed 12/23/20	
283		2.1.4.144		0%	Periodic Internal Staff Updates 144	1 day	Fri 12/25/20	Fri 12/25/20	
284		2.1.4.145		0%	Periodic Internal Staff Updates 145	1 day	Mon 12/28/20	Mon 12/28/20	
285		2.1.4.146		0%	Periodic Internal Staff Updates 146	1 day	Wed 12/30/20	Wed 12/30/20	
286		2.1.4.147		0%	Periodic Internal Staff Updates 147	1 day	Mon 1/4/21	Mon 1/4/21	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
287		2.1.4.148		0%	Periodic Internal Staff Updates 148	1 day	Mon 1/4/21	Mon 1/4/21	
288		2.1.4.149		0%	Periodic Internal Staff Updates 149	1 day	Wed 1/6/21	Wed 1/6/21	
289		2.1.4.150		0%	Periodic Internal Staff Updates 150	1 day	Fri 1/8/21	Fri 1/8/21	
290		2.1.4.151		0%	Periodic Internal Staff Updates 151	1 day	Mon 1/11/21	Mon 1/11/21	
291		2.1.4.152		0%	Periodic Internal Staff Updates 152	1 day	Wed 1/13/21	Wed 1/13/21	
292		2.1.4.153		0%	Periodic Internal Staff Updates 153	1 day	Fri 1/15/21	Fri 1/15/21	
293		2.1.4.154		0%	Periodic Internal Staff Updates 154	1 day	Tue 1/19/21	Tue 1/19/21	
294		2.1.4.155		0%	Periodic Internal Staff Updates 155	1 day	Wed 1/20/21	Wed 1/20/21	
295		2.1.4.156		0%	Periodic Internal Staff Updates 156	1 day	Fri 1/22/21	Fri 1/22/21	
296		2.1.4.157		0%	Periodic Internal Staff Updates 157	1 day	Mon 1/25/21	Mon 1/25/21	
297		2.1.4.158		0%	Periodic Internal Staff Updates 158	1 day	Wed 1/27/21	Wed 1/27/21	
298		2.1.4.159		0%	Periodic Internal Staff Updates 159	1 day	Fri 1/29/21	Fri 1/29/21	
299		2.1.4.160		0%	Periodic Internal Staff Updates 160	1 day	Mon 2/1/21	Mon 2/1/21	
300		2.1.4.161		0%	Periodic Internal Staff Updates 161	1 day	Wed 2/3/21	Wed 2/3/21	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
301		2.1.4.162		0%	Periodic Internal Staff Updates 162	1 day	Fri 2/5/21	Fri 2/5/21	
302		2.1.4.163		0%	Periodic Internal Staff Updates 163	1 day	Mon 2/8/21	Mon 2/8/21	
303		2.1.4.164		0%	Periodic Internal Staff Updates 164	1 day	Wed 2/10/21	Wed 2/10/21	
304		2.1.4.165		0%	Periodic Internal Staff Updates 165	1 day	Fri 2/12/21	Fri 2/12/21	
305		2.1.4.166		0%	Periodic Internal Staff Updates 166	1 day	Mon 2/15/21	Mon 2/15/21	
306		2.1.4.167		0%	Periodic Internal Staff Updates 167	1 day	Wed 2/17/21	Wed 2/17/21	
307		2.1.4.168		0%	Periodic Internal Staff Updates 168	1 day	Fri 2/19/21	Fri 2/19/21	
308		2.1.4.169		0%	Periodic Internal Staff Updates 169	1 day	Mon 2/22/21	Mon 2/22/21	
309		2.1.4.170		0%	Periodic Internal Staff Updates 170	1 day	Wed 2/24/21	Wed 2/24/21	
310		2.1.4.171		0%	Periodic Internal Staff Updates 171	1 day	Fri 2/26/21	Fri 2/26/21	
311		2.1.4.172		0%	Periodic Internal Staff Updates 172	1 day	Mon 3/1/21	Mon 3/1/21	
312		2.1.4.173		0%	Periodic Internal Staff Updates 173	1 day	Wed 3/3/21	Wed 3/3/21	
313		2.1.4.174		0%	Periodic Internal Staff Updates 174	1 day	Fri 3/5/21	Fri 3/5/21	
314		2.1.4.175		0%	Periodic Internal Staff Updates 175	1 day	Mon 3/8/21	Mon 3/8/21	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
315		2.1.4.176		0%	Periodic Internal Staff Updates 176	1 day	Wed 3/10/21	Wed 3/10/21	
316		2.1.4.177		0%	Periodic Internal Staff Updates 177	1 day	Fri 3/12/21	Fri 3/12/21	
317		2.1.4.178		0%	Periodic Internal Staff Updates 178	1 day	Mon 3/15/21	Mon 3/15/21	
318		2.1.4.179		0%	Periodic Internal Staff Updates 179	1 day	Wed 3/17/21	Wed 3/17/21	
319		2.1.4.180		0%	Periodic Internal Staff Updates 180	1 day	Fri 3/19/21	Fri 3/19/21	
320		2.1.4.181		0%	Periodic Internal Staff Updates 181	1 day	Mon 3/22/21	Mon 3/22/21	
321		2.1.4.182		0%	Periodic Internal Staff Updates 182	1 day	Wed 3/24/21	Wed 3/24/21	
322		2.1.4.183		0%	Periodic Internal Staff Updates 183	1 day	Fri 3/26/21	Fri 3/26/21	
323		2.1.4.184		0%	Periodic Internal Staff Updates 184	1 day	Mon 3/29/21	Mon 3/29/21	
324		2.1.4.185		0%	Periodic Internal Staff Updates 185	1 day	Wed 3/31/21	Wed 3/31/21	
325		2.1.4.186		0%	Periodic Internal Staff Updates 186	1 day	Fri 4/2/21	Fri 4/2/21	
326		2.1.4.187		0%	Periodic Internal Staff Updates 187	1 day	Mon 4/5/21	Mon 4/5/21	
327		2.1.4.188		0%	Periodic Internal Staff Updates 188	1 day	Wed 4/7/21	Wed 4/7/21	
328		2.1.4.189		0%	Periodic Internal Staff Updates 189	1 day	Fri 4/9/21	Fri 4/9/21	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
329		2.1.4.190		0%	Periodic Internal Staff Updates 190	1 day	Mon 4/12/21	Mon 4/12/21	
330		2.1.4.191		0%	Periodic Internal Staff Updates 191	1 day	Wed 4/14/21	Wed 4/14/21	
331		2.1.4.192		0%	Periodic Internal Staff Updates 192	1 day	Fri 4/16/21	Fri 4/16/21	
332		2.1.4.193		0%	Periodic Internal Staff Updates 193	1 day	Mon 4/19/21	Mon 4/19/21	
333		2.1.4.194		0%	Periodic Internal Staff Updates 194	1 day	Wed 4/21/21	Wed 4/21/21	
334		2.1.4.195		0%	Periodic Internal Staff Updates 195	1 day	Fri 4/23/21	Fri 4/23/21	
335		2.1.4.196		0%	Periodic Internal Staff Updates 196	1 day	Mon 4/26/21	Mon 4/26/21	
336		2.1.4.197		0%	Periodic Internal Staff Updates 197	1 day	Wed 4/28/21	Wed 4/28/21	
337		2.1.4.198		0%	Periodic Internal Staff Updates 198	1 day	Fri 4/30/21	Fri 4/30/21	
338		2.1.4.199		0%	Periodic Internal Staff Updates 199	1 day	Mon 5/3/21	Mon 5/3/21	
339		2.1.4.200		0%	Periodic Internal Staff Updates 200	1 day	Wed 5/5/21	Wed 5/5/21	
340		2.1.4.201		0%	Periodic Internal Staff Updates 201	1 day	Fri 5/7/21	Fri 5/7/21	
341		2.1.4.202		0%	Periodic Internal Staff Updates 202	1 day	Mon 5/10/21	Mon 5/10/21	
342		2.1.4.203		0%	Periodic Internal Staff Updates 203	1 day	Wed 5/12/21	Wed 5/12/21	

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Task		Summary		Deadline	
Milestone		Project Summary		Progress	

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
343		2.1.4.204		0%	Periodic Internal Staff Updates 204	1 day	Fri 5/14/21	Fri 5/14/21	
344		2.1.4.205		0%	Periodic Internal Staff Updates 205	1 day	Mon 5/17/21	Mon 5/17/21	
345		2.1.4.206		0%	Periodic Internal Staff Updates 206	1 day	Wed 5/19/21	Wed 5/19/21	
346		2.1.4.207		0%	Periodic Internal Staff Updates 207	1 day	Fri 5/21/21	Fri 5/21/21	
347		2.1.4.208		0%	Periodic Internal Staff Updates 208	1 day	Mon 5/24/21	Mon 5/24/21	
348		2.1.4.209		0%	Periodic Internal Staff Updates 209	1 day	Wed 5/26/21	Wed 5/26/21	
349		2.1.4.210		0%	Periodic Internal Staff Updates 210	1 day	Fri 5/28/21	Fri 5/28/21	
350		2.1.4.211		0%	Periodic Internal Staff Updates 211	1 day	Mon 5/31/21	Mon 5/31/21	
351		2.1.4.212		0%	Periodic Internal Staff Updates 212	1 day	Wed 6/2/21	Wed 6/2/21	
352		2.1.4.213		0%	Periodic Internal Staff Updates 213	1 day	Fri 6/4/21	Fri 6/4/21	
353		2.1.4.214		0%	Periodic Internal Staff Updates 214	1 day	Mon 6/7/21	Mon 6/7/21	
354		2.1.4.215		0%	Periodic Internal Staff Updates 215	1 day	Wed 6/9/21	Wed 6/9/21	
355		2.1.4.216		0%	Periodic Internal Staff Updates 216	1 day	Fri 6/11/21	Fri 6/11/21	
356		**3**		**73%**	**Project Inception Phase**	**563 days**	**Mon 1/27/20**	**Fri 3/25/22**	**Project Inception Phas**

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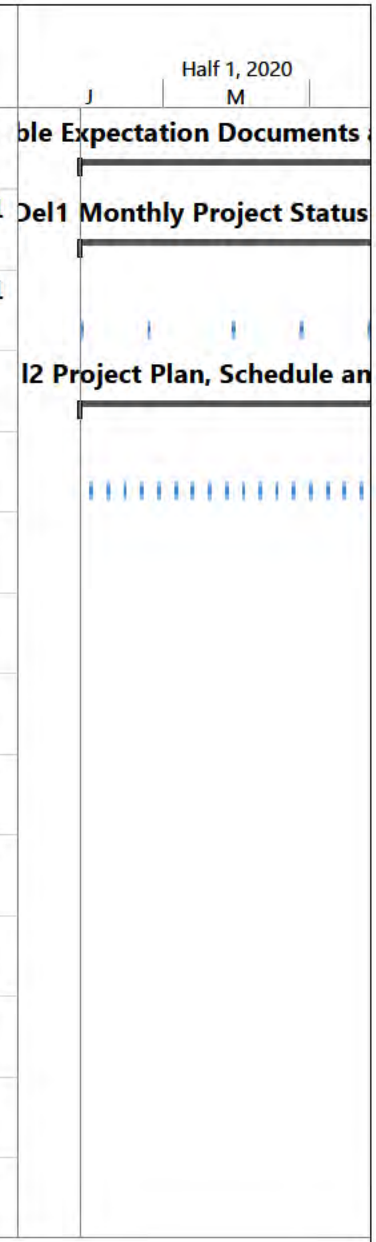
Task		Summary		Deadline	
Milestone		Project Summary		Progress	

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish
358		**3.2**		**73%**	**Deliverable Expectation Documents and Deliverables**	**563 days**	**Mon 1/27/20**	**Fri 3/25/22**
359		**3.2.1**		**74%**	**Del1 Monthly Project Status Reports**	**305 days**	**Mon 1/27/20**	**Mon 3/29/21**
361		**3.2.1.2**		**33%**	**Del1 Monthly Project Status Reports / Acceptance**	**305 days**	**Mon 1/27/20**	**Mon 3/29/21**
377		**3.2.2**		**56%**	**Del2 Project Plan, Schedule and Updates**	**299 days**	**Mon 1/27/20**	**Fri 3/19/21**
379		**3.2.2.2**		**35%**	**Del2 Schedule and updates**	**295 days**	**Fri 1/31/20**	**Fri 3/19/21**
401		3.2.2.2.2		0%	Del2 Schedule and updates 22	1 day	Fri 6/26/20	Fri 6/26/20
402		3.2.2.2.2		0%	Del2 Schedule and updates 23	1 day	Fri 7/3/20	Fri 7/3/20
403		3.2.2.2.2		0%	Del2 Schedule and updates 24	1 day	Fri 7/10/20	Fri 7/10/20
404		3.2.2.2.2		0%	Del2 Schedule and updates 25	1 day	Fri 7/17/20	Fri 7/17/20
405		3.2.2.2.2		0%	Del2 Schedule and updates 26	1 day	Fri 7/24/20	Fri 7/24/20
406		3.2.2.2.2		0%	Del2 Schedule and updates 27	1 day	Fri 7/31/20	Fri 7/31/20
407		3.2.2.2.2		0%	Del2 Schedule and updates 28	1 day	Fri 8/7/20	Fri 8/7/20
408		3.2.2.2.2		0%	Del2 Schedule and updates 29	1 day	Fri 8/14/20	Fri 8/14/20
409		3.2.2.2.3		0%	Del2 Schedule and updates 30	1 day	Fri 8/21/20	Fri 8/21/20



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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
410		3.2.2.2.3		0%	Del2 Schedule and updates 31	1 day	Fri 8/28/20	Fri 8/28/20	
411		3.2.2.2.3		0%	Del2 Schedule and updates 32	1 day	Fri 9/4/20	Fri 9/4/20	
412		3.2.2.2.3		0%	Del2 Schedule and updates 33	1 day	Fri 9/11/20	Fri 9/11/20	
413		3.2.2.2.3		0%	Del2 Schedule and updates 34	1 day	Fri 9/18/20	Fri 9/18/20	
414		3.2.2.2.3		0%	Del2 Schedule and updates 35	1 day	Fri 9/25/20	Fri 9/25/20	
415		3.2.2.2.3		0%	Del2 Schedule and updates 36	1 day	Fri 10/2/20	Fri 10/2/20	
416		3.2.2.2.3		0%	Del2 Schedule and updates 37	1 day	Fri 10/9/20	Fri 10/9/20	
417		3.2.2.2.3		0%	Del2 Schedule and updates 38	1 day	Fri 10/16/20	Fri 10/16/20	
418		3.2.2.2.3		0%	Del2 Schedule and updates 39	1 day	Fri 10/23/20	Fri 10/23/20	
419		3.2.2.2.4		0%	Del2 Schedule and updates 40	1 day	Fri 10/30/20	Fri 10/30/20	
420		3.2.2.2.4		0%	Del2 Schedule and updates 41	1 day	Fri 11/6/20	Fri 11/6/20	
421		3.2.2.2.4		0%	Del2 Schedule and updates 42	1 day	Fri 11/13/20	Fri 11/13/20	
422		3.2.2.2.4		0%	Del2 Schedule and updates 43	1 day	Fri 11/20/20	Fri 11/20/20	
423		3.2.2.2.4		0%	Del2 Schedule and updates 44	1 day	Fri 11/27/20	Fri 11/27/20	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
424		3.2.2.2.4		0%	Del2 Schedule and updates 45	1 day	Fri 12/4/20	Fri 12/4/20	
425		3.2.2.2.4		0%	Del2 Schedule and updates 46	1 day	Fri 12/11/20	Fri 12/11/20	
426		3.2.2.2.4		0%	Del2 Schedule and updates 47	1 day	Fri 12/18/20	Fri 12/18/20	
427		3.2.2.2.4:		0%	Del2 Schedule and updates 48	1 day	Fri 12/25/20	Fri 12/25/20	
428		3.2.2.2.4		0%	Del2 Schedule and updates 49	1 day	Mon 1/4/21	Mon 1/4/21	
429		3.2.2.2.5		0%	Del2 Schedule and updates 50	1 day	Fri 1/8/21	Fri 1/8/21	
430		3.2.2.2.5		0%	Del2 Schedule and updates 51	1 day	Fri 1/15/21	Fri 1/15/21	
431		3.2.2.2.5		0%	Del2 Schedule and updates 52	1 day	Fri 1/22/21	Fri 1/22/21	
432		3.2.2.2.5		0%	Del2 Schedule and updates 53	1 day	Fri 1/29/21	Fri 1/29/21	
433		3.2.2.2.5		0%	Del2 Schedule and updates 54	1 day	Fri 2/5/21	Fri 2/5/21	
434		3.2.2.2.5		0%	Del2 Schedule and updates 55	1 day	Fri 2/12/21	Fri 2/12/21	
435		3.2.2.2.5		0%	Del2 Schedule and updates 56	1 day	Fri 2/19/21	Fri 2/19/21	
436		3.2.2.2.5		0%	Del2 Schedule and updates 57	1 day	Fri 2/26/21	Fri 2/26/21	
437		3.2.2.2.5:		0%	Del2 Schedule and updates 58	1 day	Fri 3/5/21	Fri 3/5/21	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mod	% Comple	Task Name	Duration	Start	Finish
438		3.2.2.2.5		0%	Del2 Schedule and updates 59	1 day	Fri 3/12/21	Fri 3/12/21
439		3.2.2.2.6		0%	Del2 Schedule and updates 60	1 day	Fri 3/19/21	Fri 3/19/21
441		**3.2.3**		**53%**	**Del3 Work Product**	**197 days**	**Fri 1/31/20**	**Fri 10/30/20**
442		**3.2.3.1**		**53%**	**Review and Approve Del3 Work Product**	**197 days**	**Fri 1/31/20**	**Fri 10/30/20**
464		3.2.3.1.2		0%	Review and Approve Del3 Work Product 22	1 day	Fri 6/26/20	Fri 6/26/20
465		3.2.3.1.2		0%	Review and Approve Del3 Work Product 23	1 day	Fri 7/3/20	Fri 7/3/20
466		3.2.3.1.2		0%	Review and Approve Del3 Work Product 24	1 day	Fri 7/10/20	Fri 7/10/20
467		3.2.3.1.2		0%	Review and Approve Del3 Work Product 25	1 day	Fri 7/17/20	Fri 7/17/20
468		3.2.3.1.2		0%	Review and Approve Del3 Work Product 26	1 day	Fri 7/24/20	Fri 7/24/20
469		3.2.3.1.2		0%	Review and Approve Del3 Work Product 27	1 day	Fri 7/31/20	Fri 7/31/20
470		3.2.3.1.2:		0%	Review and Approve Del3 Work Product 28	1 day	Fri 8/7/20	Fri 8/7/20
471		3.2.3.1.2		0%	Review and Approve Del3 Work Product 29	1 day	Fri 8/14/20	Fri 8/14/20
472		3.2.3.1.3		0%	Review and Approve Del3 Work Product 30	1 day	Fri 8/21/20	Fri 8/21/20
473		3.2.3.1.3		0%	Review and Approve Del3 Work Product 31	1 day	Fri 8/28/20	Fri 8/28/20

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Task | Summary | Deadline
Milestone | Project Summary | Progress

Project Status Date: Fri 6/19/20

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
474		3.2.3.1.3		0%	Review and Approve Del3 Work Product 32	1 day	Fri 9/4/20	Fri 9/4/20	
475		3.2.3.1.3		0%	Review and Approve Del3 Work Product 33	1 day	Fri 9/11/20	Fri 9/11/20	
476		3.2.3.1.3		0%	Review and Approve Del3 Work Product 34	1 day	Fri 9/18/20	Fri 9/18/20	
477		3.2.3.1.3		0%	Review and Approve Del3 Work Product 35	1 day	Fri 9/25/20	Fri 9/25/20	
478		3.2.3.1.3		0%	Review and Approve Del3 Work Product 36	1 day	Fri 10/2/20	Fri 10/2/20	
479		3.2.3.1.3		0%	Review and Approve Del3 Work Product 37	1 day	Fri 10/9/20	Fri 10/9/20	
480		3.2.3.1.3:		0%	Review and Approve Del3 Work Product 38	1 day	Fri 10/16/20	Fri 10/16/20	
481		3.2.3.1.3		0%	Review and Approve Del3 Work Product 39	1 day	Fri 10/23/20	Fri 10/23/20	
482		3.2.3.1.4		0%	Review and Approve Del3 Work Product 40	1 day	Fri 10/30/20	Fri 10/30/20	
507		**3.2.12**		**54%**	**Del12 Phase Completion Report**	**220 days**	**Mon 1/27/20**	**Thu 11/26/20**	**Del12 Phase Completion R**
517		3.2.12.10		0%	Del12 Phase Completion Report Tax Refunds and Financial Interfaces	15 days	Tue 6/30/20	Mon 7/20/20	
518		3.2.12.11		0%	Review and Approve Tax Refunds and Financial Interfaces	4 days	Tue 7/21/20	Fri 7/24/20	
519		3.2.12.12		0%	Del12 Phase Completion Report Tax Collections and General Ledger	15 days	Fri 7/31/20	Thu 8/20/20	

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Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
520		3.2.12.13		0%	Review and Approve Tax Collections and General Ledger	4 days	Fri 8/21/20	Wed 8/26/20	
521		3.2.12.14		0%	Del12 Phase Completion Report Tax Rates, Charges, and Field Audit	15 days	Mon 9/21/20	Fri 10/9/20	
522		3.2.12.15		0%	Review and Approve Tax Rates, Charges, and Field Audit	4 days	Mon 10/12/20	Thu 10/15/20	
523		3.2.12.16		0%	Del12 Phase Completion Report Tax Reporting Management Reports	15 days	Mon 11/2/20	Fri 11/20/20	
524		3.2.12.17		0%	Review and Approve Tax Reporting Management Reports	4 days	Mon 11/23/20	Thu 11/26/20	
525		**3.2.13**		**76%**	**Del13 Training Plan**	**142 days**	**Mon 1/27/20**	**Tue 8/11/20**	**Del13 Training**
528		3.2.13.3		0%	Review and Approve Training Plan	37 days	Mon 6/22/20	Tue 8/11/20	
529		**3.2.14**		**15%**	**Del14 Training Materials**	**45 days**	**Tue 12/1/20**	**Wed 2/3/21**	
530		3.2.14.1		45%	DED Training Materials	15 days	Tue 12/1/20	Mon 12/21/20	
531		3.2.14.2		0%	Del14 Training Materials	26 days	Tue 12/22/20	Thu 1/28/21	
532		3.2.14.3		0%	Review and Approve Training Materials	4 days	Fri 1/29/21	Wed 2/3/21	
533		**3.2.15**		**0%**	**Del15 Monthly Warranty Status Report**	**235 days**	**Fri 4/30/21**	**Fri 3/25/22**	
554		**4**		**11%**	**UITS Tax System**	**334 days**	**Mon 3/2/20**	**Fri 6/11/21**	**UITS Tax Syste**

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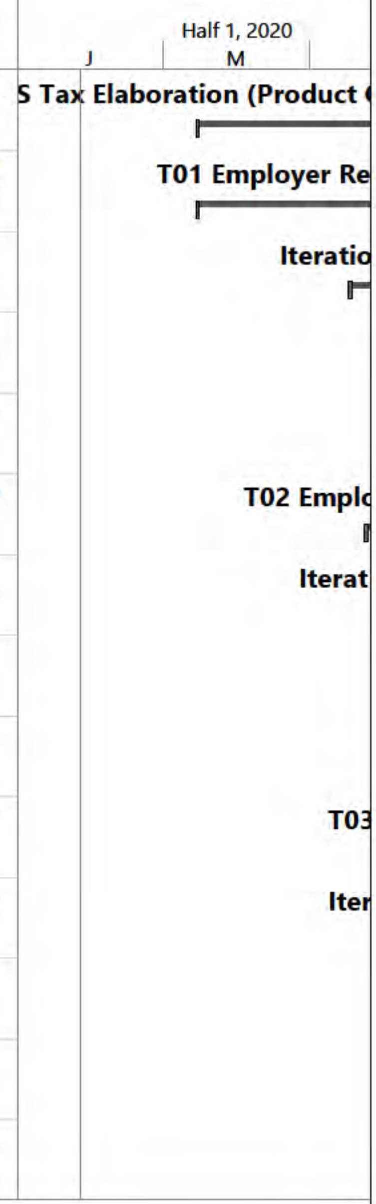
Task		Summary		Deadline	
Milestone	◆	Project Summary		Progress	

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish
561		**4.2**		**9%**	**UITS Tax Elaboration (Product Configuration) Phase**	**276 days**	**Mon 3/16/20**	**Tue 4/6/21**
562		**4.2.1**		**81%**	**T01 Employer Registration**	**77 days**	**Mon 3/16/20**	**Tue 6/30/20**
564		**4.2.1.2**		**83%**	**Iteration Execution**	**30 days**	**Mon 5/18/20**	**Fri 6/26/20**
566		4.2.1.2.2		0%	Product Configuration Documentation Updates	5 days	Mon 6/22/20	Fri 6/26/20
567		4.2.1.3		0%	Iteration Design Review and Approval	2 days	Mon 6/29/20	Tue 6/30/20
568		**4.2.2**		**61%**	**T02 Employer Maintenance**	**31 days**	**Mon 5/25/20**	**Mon 7/6/20**
570		**4.2.2.2**		**72%**	**Iteration Execution**	**18 days**	**Wed 6/3/20**	**Fri 6/26/20**
572		4.2.2.2.2		29%	Product Configuration Documentation Updates	7 days	Thu 6/18/20	Fri 6/26/20
573		4.2.2.3		0%	Iteration Design Review and Approval	6 days	Mon 6/29/20	Mon 7/6/20
574		**4.2.3**		**35%**	**T03 Wage Report**	**20 days**	**Thu 6/11/20**	**Wed 7/8/20**
576		**4.2.3.2**		**21%**	**Iteration Execution**	**14 days**	**Wed 6/17/20**	**Mon 7/6/20**
577		4.2.3.2.1		38%	Product Configuration Session	8 days	Wed 6/17/20	Fri 6/26/20
578		4.2.3.2.2		0%	Product Configuration Documentation Updates	6 days	Mon 6/29/20	Mon 7/6/20
579		4.2.3.3		0%	Iteration Design Review and Approval	2 days	Tue 7/7/20	Wed 7/8/20



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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
580		**4.2.4**		**0%**	**T04 Tax Payments and Refunds**	**75 days**	**Mon 6/29/20**	**Thu 10/8/20**	**T04 Tax Pa**
581		4.2.4.1		0%	Iteration Preparation	4 days	Mon 6/29/20	Thu 7/2/20	
582		**4.2.4.2**		**0%**	**T04 Iteration Execution**	**17 days**	**Fri 7/3/20**	**Mon 7/27/20**	**T0**
583		4.2.4.2.1		0%	Product Configuration Session	10 days	Fri 7/3/20	Thu 7/16/20	
584		4.2.4.2.2		0%	Product Configuration Documentation Updates	7 days	Fri 7/17/20	Mon 7/27/20	
585		4.2.4.3		0%	Iteration Design Review and Approval	3 days	Tue 7/28/20	Thu 7/30/20	
586		**4.2.4.4**		**0%**	**T04 Pre UAT**	**54 days**	**Tue 7/28/20**	**Thu 10/8/20**	
587		4.2.4.4.1		0%	Pre UAT Test Case Preparation (UITS Staff)	25 days	Tue 7/28/20	Mon 8/31/20	
588		4.2.4.4.2		0%	Pre UAT Test Case Execution (UITS Staff)	10 days	Tue 9/1/20	Mon 9/14/20	
589		4.2.4.4.3		0%	Pre UAT Defect Resolution (Sagitec Staff)	19 days	Tue 9/15/20	Thu 10/8/20	
590		**4.2.5**		**0%**	**T05 General Ledger and Financial Interfaces**	**24 days**	**Fri 7/17/20**	**Wed 8/19/20**	**T05 Gene**
591		4.2.5.1		0%	Iteration Preparation	4 days	Fri 7/17/20	Wed 7/22/20	
592		**4.2.5.2**		**0%**	**Iteration Execution**	**17 days**	**Thu 7/23/20**	**Fri 8/14/20**	
593		4.2.5.2.1		0%	Product Configuration Session	10 days	Thu 7/23/20	Wed 8/5/20	

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
594		4.2.5.2.2		0%	Product Configuration Documentation Updates	7 days	Thu 8/6/20	Fri 8/14/20	
595		4.2.5.3		0%	Iteration Design Review and Approval	3 days	Mon 8/17/20	Wed 8/19/20	
596		**4.2.6**		**0%**	**T06 Tax Collections**	**25 days**	**Fri 7/17/20**	**Thu 8/20/20**	
597		4.2.6.1		0%	Iteration Preparation	3 days	Fri 7/17/20	Tue 7/21/20	
598		**4.2.6.2**		**0%**	**Iteration Execution**	**19 days**	**Wed 7/22/20**	**Mon 8/17/20**	
599		4.2.6.2.1		0%	Product Configuration Session	9 days	Wed 7/22/20	Mon 8/3/20	
600		4.2.6.2.2		0%	Product Configuration Documentation Updates	10 days	Tue 8/4/20	Mon 8/17/20	
601		4.2.6.3		0%	Iteration Design Review and Approval	3 days	Tue 8/18/20	Thu 8/20/20	
602		**4.2.7**		**0%**	**T07 Tax Rates, Acquisitions, Tax Appeals, and Field Audit**	**25 days**	**Fri 8/21/20**	**Wed 9/23/20**	**T07 Tax Rates, Acq**
603		4.2.7.1		0%	Iteration Preparation	3 days	Fri 8/21/20	Tue 8/25/20	
604		**4.2.7.2**		**0%**	**Iteration Execution**	**19 days**	**Wed 8/26/20**	**Sat 9/19/20**	
605		4.2.7.2.1		0%	Product Configuration Session	9 days	Wed 8/26/20	Mon 9/7/20	
606		4.2.7.2.2		0%	Product Configuration Documentation Updates	10 days	Tue 9/8/20	Sat 9/19/20	
607		4.2.7.3		0%	Iteration Design Review and Approval	3 days	Mon 9/21/20	Wed 9/23/20	

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
608		**4.2.8**		**0%**	**T08 Tax Reporting (ETA, TPS, Management Reports)**	**29 days**	**Thu 9/24/20**	**Tue 11/3/20**	
609		4.2.8.1		0%	Iteration Preparation	3 days	Thu 9/24/20	Mon 9/28/20	
610		**4.2.8.2**		**0%**	**Iteration Execution**	**19 days**	**Tue 9/29/20**	**Fri 10/23/20**	
611		4.2.8.2.1		0%	Product Configuration Session	9 days	Tue 9/29/20	Fri 10/9/20	
612		4.2.8.2.2		0%	Product Configuration Documentation Updates	10 days	Mon 10/12/20	Fri 10/23/20	
613		4.2.8.3		0%	Iteration Design Review and Approval	7 days	Mon 10/26/20	Tue 11/3/20	
614		**4.2.9**		**0%**	**T09 Common System Functionality**	**24 days**	**Thu 11/5/20**	**Tue 12/8/20**	
615		4.2.9.1		0%	Iteration Preparation	6 days	Thu 11/5/20	Thu 11/12/20	
616		**4.2.9.2**		**0%**	**Iteration Execution**	**15 days**	**Fri 11/13/20**	**Thu 12/3/20**	
617		4.2.9.2.1		0%	Product Configuration Session	8 days	Fri 11/13/20	Tue 11/24/20	
618		4.2.9.2.2		0%	Product Configuration Documentation Updates	7 days	Wed 11/25/20	Thu 12/3/20	
619		4.2.9.3		0%	Iteration Design Review and Approval	3 days	Fri 12/4/20	Tue 12/8/20	
620		**4.2.10**		**0%**	**T10 Tax Interfaces**	**202 days**	**Fri 6/26/20**	**Tue 4/6/21**	**T10 T**
621		4.2.10.1		0%	Interface Requirement gathering and scope definition	21 days	Thu 11/12/20	Thu 12/10/20	

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
622		4.2.10.2		0%	Deliver Tax System Interface Design Scope Confirmation Document	14 days	Thu 11/12/20	Tue 12/1/20	
623		4.2.10.3		0%	DOES Review and Approval - Tax System Interface Design Scope Confirmation	4 days	Thu 11/12/20	Tue 11/17/20	
624		**4.2.10.4**		**0%**	**Interface Template Task Set**	**202 days**	**Fri 6/26/20**	**Tue 4/6/21**	**Interface**
625		4.2.10.4.		0%	Establish/Update Agreement with Interface Partner	60 days	Fri 7/17/20	Wed 10/7/20	
626		**4.2.10.4.**		**0%**	**Define Technical Specification**	**60 days**	**Fri 6/26/20**	**Thu 9/17/20**	**Define Tec**
627		4.2.10.4.		0%	Document Technical Requirements and Interface Design	60 days	Fri 6/26/20	Thu 9/17/20	
628		4.2.10.4.		0%	DOES Review and Approval	4 days	Fri 6/26/20	Wed 7/1/20	
629		**4.2.10.4.**		**0%**	**Interface Development/Connectivity**	**90 days**	**Thu 11/12/20**	**Fri 3/19/21**	
630		4.2.10.4.		0%	Develop/Code/Connectivity/Unit Test Interface	45 days	Thu 11/12/20	Thu 1/14/21	
631		4.2.10.4.		0%	Test Connectivity	45 days	Fri 1/15/21	Fri 3/19/21	
632		**4.2.10.4.**		**0%**	**Test Application**	**37 days**	**Mon 2/15/21**	**Tue 4/6/21**	
633		4.2.10.4.		0%	System Test	7 days	Mon 2/15/21	Tue 2/23/21	
634		4.2.10.4.		0%	UAT	30 days	Wed 2/24/21	Tue 4/6/21	
635		**4.3**		**0%**	**UITS Tax Construction (Development / Unit Test / ST) Phase**	**161 days**	**Wed 7/1/20**	**Thu 2/11/21**	**UITS Tax Construction (D**

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
636		**4.3.1**		**0%**	**T01 Employer Registration**	**12 days**	**Wed 7/1/20**	**Thu 7/16/20**	**T01 I**
637		4.3.1.1		0%	Configuration (Dev) / Unit Testing	6 days	Wed 7/1/20	Wed 7/8/20	
638		4.3.1.2		0%	System Test	5 days	Thu 7/9/20	Wed 7/15/20	
639		4.3.1.3		0%	Iteration Confirmation Demonstration	1 day	Thu 7/16/20	Thu 7/16/20	
640		**4.3.2**		**0%**	**T02 Employer Maintenance**	**12 days**	**Tue 7/21/20**	**Wed 8/5/20**	**T(**
641		4.3.2.1		0%	Configuration (Dev) / Unit Testing	6 days	Tue 7/21/20	Tue 7/28/20	
642		4.3.2.2		0%	System Test	5 days	Wed 7/29/20	Tue 8/4/20	
643		4.3.2.3		0%	Iteration Confirmation Demonstration	1 day	Wed 8/5/20	Wed 8/5/20	
644		**4.3.3**		**0%**	**T03 Wage Report**	**12 days**	**Wed 7/15/20**	**Thu 7/30/20**	
645		4.3.3.1		0%	Configuration (Dev) / Unit Testing	6 days	Wed 7/15/20	Wed 7/22/20	
646		4.3.3.2		0%	System Test	5 days	Thu 7/23/20	Wed 7/29/20	
647		4.3.3.3		0%	Iteration Confirmation Demonstration	1 day	Thu 7/30/20	Thu 7/30/20	
648		**4.3.4**		**0%**	**T04 Tax Payments and Refunds**	**12 days**	**Fri 7/31/20**	**Mon 8/17/20**	**T**
649		4.3.4.1		0%	Configuration (Dev) / Unit Testing	6 days	Fri 7/31/20	Fri 8/7/20	

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ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
650		4.3.4.2		0%	System Test	5 days	Mon 8/10/20	Fri 8/14/20	
651		4.3.4.3		0%	Iteration Confirmation Demonstration	1 day	Mon 8/17/20	Mon 8/17/20	
652		**4.3.5**		**0%**	**T05 General Ledger and Financial Interfaces**	**26 days**	**Thu 8/20/20**	**Wed 9/23/20**	**T05 General**
653		4.3.5.1		0%	Configuration (Dev) / Unit Testing	15 days	Thu 8/20/20	Wed 9/9/20	
654		4.3.5.2		0%	System Test	10 days	Thu 9/10/20	Tue 9/22/20	
655		4.3.5.3		0%	Iteration Confirmation Demonstration	1 day	Wed 9/23/20	Wed 9/23/20	
656		**4.3.6**		**0%**	**T06 Tax Collections**	**26 days**	**Fri 8/21/20**	**Thu 9/24/20**	
657		4.3.6.1		0%	Configuration (Dev) / Unit Testing	15 days	Fri 8/21/20	Thu 9/10/20	
658		4.3.6.2		0%	System Test	10 days	Fri 9/11/20	Wed 9/23/20	
659		4.3.6.3		0%	Iteration Confirmation Demonstration	1 day	Thu 9/24/20	Thu 9/24/20	
660		**4.3.7**		**0%**	**T07 Tax Rates, Acquisitions, Tax Appeals, and Field Audit**	**31 days**	**Tue 10/6/20**	**Tue 11/17/20**	
661		4.3.7.1		0%	Configuration (Dev) / Unit Testing	20 days	Tue 10/6/20	Mon 11/2/20	
662		4.3.7.2		0%	System Test	10 days	Tue 11/3/20	Mon 11/16/20	
663		4.3.7.3		0%	Iteration Confirmation Demonstration	1 day	Tue 11/17/20	Tue 11/17/20	

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
664		**4.3.8**		**0%**	**T08 Tax Reporting (ETA, TPS, Management Reports)**	**20 days**	**Wed 11/18/20**	**Tue 12/15/20**	
665		4.3.8.1		0%	Configuration (Dev) / Unit Testing	12 days	Wed 11/18/20	Thu 12/3/20	
666		4.3.8.2		0%	System Test	7 days	Fri 12/4/20	Mon 12/14/20	
667		4.3.8.3		0%	Iteration Confirmation Demonstration	1 day	Tue 12/15/20	Tue 12/15/20	
668		**4.3.9**		**0%**	**T09 Common System Functionality**	**15 days**	**Thu 12/24/20**	**Thu 1/14/21**	
669		4.3.9.1		0%	Configure (Dev) / Unit Testing	10 days	Thu 12/24/20	Thu 1/7/21	
670		4.3.9.2		0%	System Test	5 days	Fri 1/8/21	Thu 1/14/21	
671		**4.3.10**		**0%**	**T10 Interfaces Functionality**	**161 days**	**Wed 7/1/20**	**Thu 2/11/21**	**T10 Inter**
672		4.3.10.1		0%	Configure (Dev) / Unit Testing	140 days	Wed 7/1/20	Tue 1/12/21	
673		4.3.10.2		0%	Iteration Confirmation Demonstration	3 days	Fri 1/15/21	Wed 1/20/21	
674		4.3.10.3		0%	System test	21 days	Wed 1/13/21	Thu 2/11/21	
675		**1.3.5**		**0%**	**UITS Tax Transition**	**86 days**	**Fri 2/12/21**	**Fri 6/11/21**	
676		**4.4.1**		**0%**	**Tax UAT**	**23 days**	**Fri 2/12/21**	**Tue 3/16/21**	
677		4.4.1.1		0%	UAT Test Case Identification	15 days	Fri 2/12/21	Thu 3/4/21	

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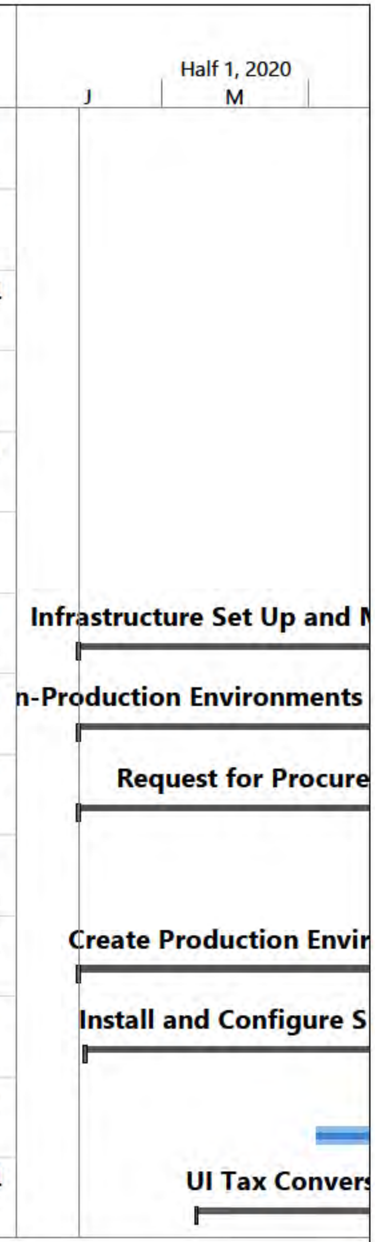
678		4.4.1.2		0%	UAT Data Set Up	8 days	Fri 2/12/21	Tue 2/23/21
679		4.4.1.3		0%	UI Tax UAT Execution	15 days	Wed 2/24/21	Tue 3/16/21
680		**4.4.2**		**0%**	**Tax Training**	**29 days**	**Wed 3/17/21**	**Mon 4/26/21**
681		4.4.2.1		0%	UI Tax Train the Trainer Sessions	10 days	Wed 3/17/21	Tue 3/30/21
682		4.4.2.2		0%	UI Tax End User Training Sessions	20 days	Tue 3/30/21	Mon 4/26/21
683		4.4.3		0%	Tax Implementation	34 days	Tue 4/27/21	Fri 6/11/21
684		**5**		**95%**	**Infrastructure Set Up and Maintenance**	**116 days**	**Mon 1/27/20**	**Mon 7/6/20**
710		**5.3**		**90%**	**Create Non-Production Environments (SharePoint, Knowtion)**	**116 days**	**Mon 1/27/20**	**Mon 7/6/20**
711		**5.3.1**		**50%**	**Request for Procurement**	**116 days**	**Mon 1/27/20**	**Mon 7/6/20**
713		5.3.1.2		0%	Provide hardware and software Knowtion sizing information	1 day	Mon 7/6/20	Mon 7/6/20
781		**5.9**		**87%**	**Create Production Environment**	**112 days**	**Mon 1/27/20**	**Tue 6/30/20**
788		**5.9.3**		**85%**	**Install and Configure Software**	**109 days**	**Thu 1/30/20**	**Tue 6/30/20**
793		5.9.3.5		83%	Verify SW Installations and configuration	42 days	Mon 5/4/20	Tue 6/30/20
806		**6**		**11%**	**UI Tax Conversion**	**280 days**	**Mon 3/16/20**	**Mon 4/12/21**



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809		**6.3**		**13%**	**Perform Conversion Analysis and Mapping**	**203 days**	**Mon 5/18/20**	**Thu 2/25/21**	**Perform Conversion**
823		**6.3.2**		**14%**	**Perform Data Element Mapping (Column Level)**	**69 days**	**Mon 6/8/20**	**Thu 9/10/20**	**Perform Data Elemer**
826		6.3.2.3		13%	Identify and document transformation rules and data anomalies for Employer, Unit and	8 days	Fri 6/19/20	Tue 6/30/20	
827		6.3.2.4		0%	Perform column level data element mapping for Wage Reporting	2 days	Wed 7/1/20	Thu 7/2/20	
828		6.3.2.5		0%	Identify and document transformation rules and data anomalies for Wage Reporting	1 day	Fri 7/3/20	Fri 7/3/20	
829		6.3.2.6		0%	Perform column level data element mapping for Tax Payments	3 days	Mon 7/6/20	Wed 7/8/20	
830		6.3.2.7		0%	Identify and document transformation rules and data anomalies for Tax Payments	3 days	Thu 7/9/20	Mon 7/13/20	
831		6.3.2.8		0%	Perform column level data element mapping for Collections	5 days	Tue 7/14/20	Mon 7/20/20	
832		6.3.2.9		0%	Identify and document transformation rules and data anomalies for Collections	3 days	Tue 7/21/20	Thu 7/23/20	
833		6.3.2.10		0%	Perform column level data element mapping for Tax Rates and Experience Transfer	5 days	Fri 7/24/20	Thu 7/30/20	
834		6.3.2.11		0%	Identify and document transformation rules and data anomalies for Tax Rates and	5 days	Fri 7/31/20	Thu 8/6/20	
835		6.3.2.12		0%	Perform column level data element mapping for Field Audit (COMPAS)	2 days	Fri 8/7/20	Mon 8/10/20	
836		6.3.2.13		0%	Identify and document transformation rules and data anomalies for Field Audit (COMPAS)	1 day	Tue 8/11/20	Tue 8/11/20	
837		6.3.2.14		0%	Perform column level data element mapping for Appeals and Reporting	3 days	Wed 8/12/20	Fri 8/14/20	

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
838		6.3.2.15		0%	Identify and document transformation rules for Appeals and Reporting	1 day	Mon 8/17/20	Mon 8/17/20	
839		6.3.2.16		0%	Perform column level data element mapping for Correspondence	3 days	Tue 8/18/20	Thu 8/20/20	
840		6.3.2.17		0%	Identify and document transformation rules for Correspondence	2 days	Fri 8/21/20	Mon 8/24/20	
841		6.3.2.18		0%	Submit Data Source Column Level Mapping	1 day	Tue 8/25/20	Tue 8/25/20	
842		6.3.2.19		0%	ODJFS reviews Data Source Column Level Mapping and provides feedback to Sagitec	5 days	Wed 8/26/20	Tue 9/1/20	
843		6.3.2.20		0%	Incorporate Feedback for Data Element Mapping (Column Level)	1 day	Wed 9/2/20	Wed 9/2/20	
844		6.3.2.21		0%	Conduct Final QA on Data Element Mapping (Column Level)	2 days	Thu 9/3/20	Fri 9/4/20	
845		6.3.2.22		0%	Determine Conversion methods	2 days	Mon 9/7/20	Tue 9/8/20	
846		6.3.2.23		0%	Develop Conversion Sequence and Specifications	2 days	Wed 9/9/20	Thu 9/10/20	
847		**6.3.3**		**0%**	**Design and Develop Conversion Programs**	**134 days**	**Fri 8/21/20**	**Thu 2/25/21**	**Design and**
854		**6.4**		**0%**	**Conversion Testing Simulation Run #1**	**35 days**	**Thu 10/15/20**	**Wed 12/2/20**	
855		6.4.1		0%	Create Extracts	10 days	Thu 10/15/20	Wed 10/28/20	
856		6.4.2		0%	Execute Conversion Routine	2 days	Fri 11/27/20	Mon 11/30/20	
857		6.4.3		0%	Load Converted Data	2 days	Tue 12/1/20	Wed 12/2/20	

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858		**6.5**		**0%**	**Application Testing Simulation Run #1**	**13 days**	**Thu 12/3/20**	**Mon 12/21/20**	
859		6.5.1		0%	Execute Application Processes	5 days	Thu 12/3/20	Wed 12/9/20	
860		6.5.2		0%	Address Identified Issues	4 days	Thu 12/10/20	Tue 12/15/20	
861		6.5.3		0%	Data Purification - Identify bad data that need to be cleansed	2 days	Wed 12/16/20	Thu 12/17/20	
862		6.5.4		0%	Data Purification - Perform Data Purifications	2 days	Fri 12/18/20	Mon 12/21/20	
863		**6.6**		**0%**	**Conversion Testing Simulation Run #2**	**9 days**	**Tue 12/22/20**	**Mon 1/4/21**	
864		6.6.1		0%	Create/Modify Extracts	5 days	Tue 12/22/20	Mon 12/28/20	
865		6.6.2		0%	Execute Conversion Routine	2 days	Tue 12/29/20	Wed 12/30/20	
866		6.6.3		0%	Load Converted Data	2 days	Thu 12/31/20	Mon 1/4/21	
867		**6.7**		**0%**	**Application Testing Simulation Run #2**	**8 days**	**Tue 1/5/21**	**Thu 1/14/21**	
868		6.7.1		0%	Execute Application Processes	2 days	Tue 1/5/21	Wed 1/6/21	
869		6.7.2		0%	Address Identified Issues	3 days	Thu 1/7/21	Mon 1/11/21	
870		6.7.3		0%	Data Purification - Identify bad data that need to be cleansed	1 day	Tue 1/12/21	Tue 1/12/21	
871		6.7.4		0%	Data Purification - Perform Data Purifications	2 days	Wed 1/13/21	Thu 1/14/21	

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Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
872		**6.8**		**0%**	**Conversion Testing Simulation Run #3**	**11 days**	**Fri 1/15/21**	**Mon 2/1/21**	
873		6.8.1		0%	Create/Modify Extracts	5 days	Fri 1/15/21	Fri 1/22/21	
874		6.8.2		0%	Execute Conversion Routine	4 days	Mon 1/25/21	Thu 1/28/21	
875		6.8.3		0%	Load Converted Data	2 days	Fri 1/29/21	Mon 2/1/21	
876		**6.9**		**0%**	**Application Testing Simulation Run #3**	**13 days**	**Thu 1/28/21**	**Mon 2/15/21**	
877		6.9.1		0%	Execute Application Processes	5 days	Thu 1/28/21	Wed 2/3/21	
878		6.9.2		0%	Address Identified Issues	4 days	Thu 2/4/21	Tue 2/9/21	
879		6.9.3		0%	Data Purification - Identify bad data that need to be cleansed	2 days	Wed 2/10/21	Thu 2/11/21	
880		6.9.4		0%	Data Purification - Perform Data Purifications	2 days	Fri 2/12/21	Mon 2/15/21	
881		**6.10**		**0%**	**Conversion Testing Simulation Run #4**	**11 days**	**Tue 2/16/21**	**Tue 3/2/21**	
882		6.10.1		0%	Create/Modify Extracts	5 days	Tue 2/16/21	Mon 2/22/21	
883		6.10.2		0%	Execute Conversion Routine	4 days	Tue 2/23/21	Fri 2/26/21	
884		6.10.3		0%	Load Converted Data	2 days	Mon 3/1/21	Tue 3/2/21	
885		**6.11**		**0%**	**Application Testing Simulation Run #4**	**13 days**	**Wed 3/3/21**	**Fri 3/19/21**	

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
886		6.11.1		0%	Execute Application Processes	5 days	Wed 3/3/21	Tue 3/9/21	
887		6.11.2		0%	Address Identified Issues	4 days	Wed 3/10/21	Mon 3/15/21	
888		6.11.3		0%	Data Purification - Identify bad data that need to be cleansed	2 days	Tue 3/16/21	Wed 3/17/21	
889		6.11.4		0%	Data Purification - Perform Data Purifications	2 days	Thu 3/18/21	Fri 3/19/21	
890		**6.12**		**0%**	**Conversion Testing Simulation Run #5**	**11 days**	**Wed 3/10/21**	**Wed 3/24/21**	
891		6.12.1		0%	Create/Modify Extracts	5 days	Wed 3/10/21	Tue 3/16/21	
892		6.12.2		0%	Execute Conversion Routine	4 days	Wed 3/17/21	Mon 3/22/21	
893		6.12.3		0%	Load Converted Data	2 days	Tue 3/23/21	Wed 3/24/21	
894		**6.13**		**0%**	**Application Testing Simulation Run #5**	**13 days**	**Thu 3/25/21**	**Mon 4/12/21**	
895		6.13.1		0%	Execute Application Processes	5 days	Thu 3/25/21	Wed 3/31/21	
896		6.13.2		0%	Address Identified Issues	4 days	Thu 4/1/21	Tue 4/6/21	
897		6.13.3		0%	Data Purification - Identify bad data that need to be cleansed	2 days	Wed 4/7/21	Thu 4/8/21	
898		6.13.4		0%	Data Purification - Perform Data Purifications	2 days	Fri 4/9/21	Mon 4/12/21	
899		~~6.14~~		~~0%~~	~~Conversion Testing Simulation Run #6~~	~~18 days~~	~~Thu 4/8/21~~	~~Mon 5/3/21~~	

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
900		~~6.14.1~~		~~0%~~	~~Create/Modify Extracts~~	~~5 days~~	~~Thu 4/8/21~~	~~Wed 4/14/21~~	
901		~~6.14.2~~		~~0%~~	~~Execute Conversion Routine~~	~~4 days~~	~~Thu 4/15/21~~	~~Tue 4/20/21~~	
902		~~6.14.3~~		~~0%~~	~~Load Converted Data~~	~~9 days~~	~~Wed 4/21/21~~	~~Mon 5/3/21~~	
903		~~6.15~~		~~0%~~	~~Application Testing Simulation Run #6~~	~~13 days~~	~~Tue 5/4/21~~	~~Thu 5/20/21~~	
904		~~6.15.1~~		~~0%~~	~~Execute Application Processes~~	~~5 days~~	~~Tue 5/4/21~~	~~Mon 5/10/21~~	
905		~~6.15.2~~		~~0%~~	~~Address Identified Issues~~	~~4 days~~	~~Tue 5/11/21~~	~~Fri 5/14/21~~	
906		~~6.15.3~~		~~0%~~	~~Data Purification - Identify bad data that need to be cleansed~~	~~2 days~~	~~Mon 5/17/21~~	~~Tue 5/18/21~~	
907		~~6.15.4~~		~~0%~~	~~Data Purification - Perform Data Purifications~~	~~2 days~~	~~Wed 5/19/21~~	~~Thu 5/20/21~~	
908		~~6.16~~		~~0%~~	~~Conversion Testing Simulation Run #7~~	~~11 days~~	~~Thu 5/6/21~~	~~Thu 5/20/21~~	
909		~~6.16.1~~		~~0%~~	~~Create/Modify Extracts~~	~~5 days~~	~~Thu 5/6/21~~	~~Wed 5/12/21~~	
910		~~6.16.2~~		~~0%~~	~~Execute Conversion Routine~~	~~4 days~~	~~Thu 5/13/21~~	~~Tue 5/18/21~~	
911		~~6.16.3~~		~~0%~~	~~Load Converted Data~~	~~2 days~~	~~Wed 5/19/21~~	~~Thu 5/20/21~~	
912		~~6.17~~		~~0%~~	~~Application Testing Simulation Run #7~~	~~13 days~~	~~Fri 5/21/21~~	~~Tue 6/8/21~~	
913		~~6.17.1~~		~~0%~~	~~Execute Application Processes~~	~~5 days~~	~~Fri 5/21/21~~	~~Thu 5/27/21~~	

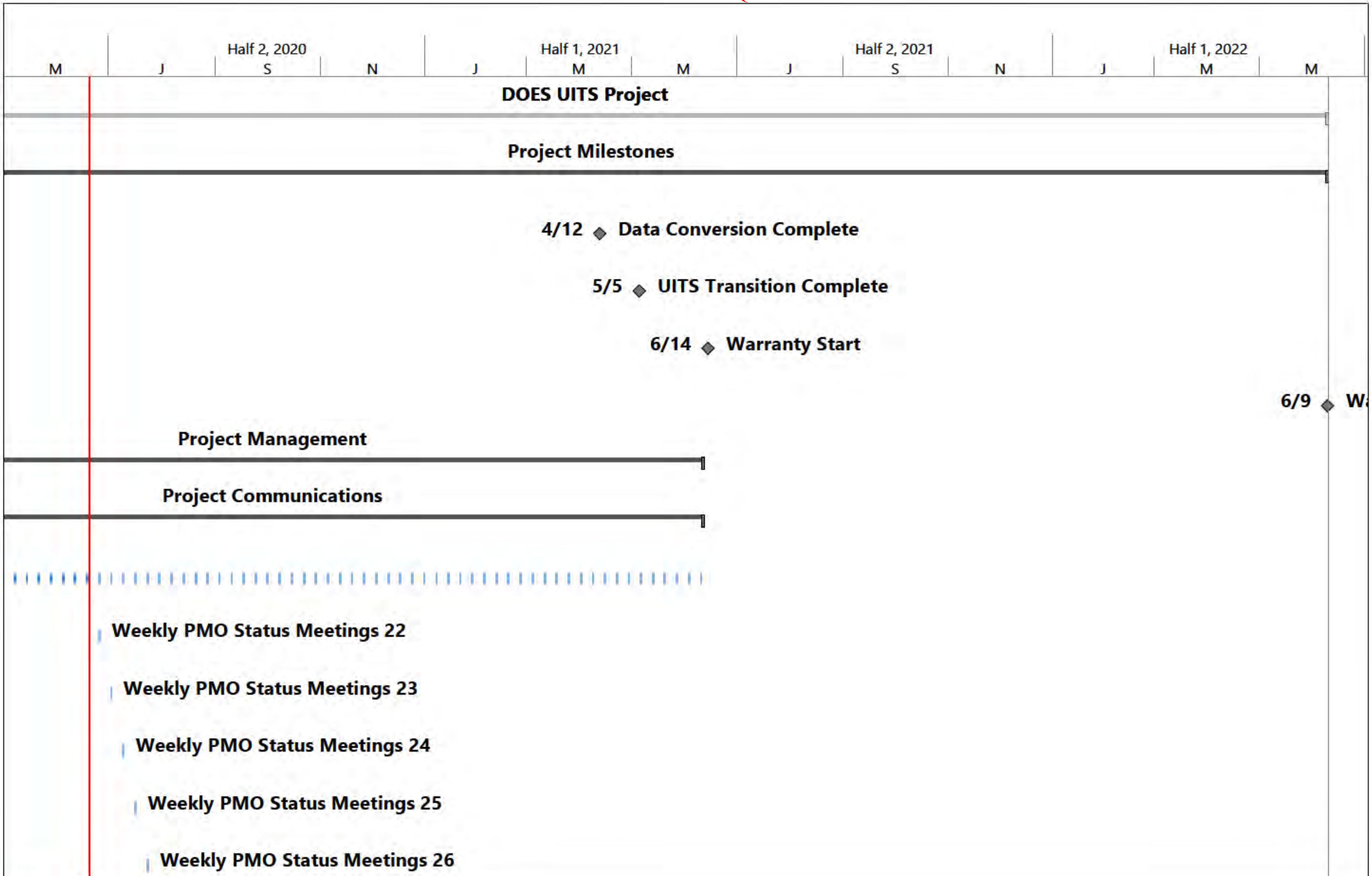
Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress

ID		WBS	Task Mode	% Complete	Task Name	Duration	Start	Finish	Half 1, 2020 J M
914		~~6.17.2~~		~~0%~~	~~Address Identified Issues~~	~~4 days~~	~~Fri 5/28/21~~	~~Wed 6/2/21~~	
915		~~6.17.3~~		~~0%~~	~~Data Purification - Identify bad data that need to be cleansed~~	~~2 days~~	~~Thu 6/3/21~~	~~Fri 6/4/21~~	
916		~~6.17.4~~		~~0%~~	~~Data Purification - Perform Data Purifications~~	~~2 days~~	~~Mon 6/7/21~~	~~Tue 6/8/21~~	

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress



Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress

Half 2, 2020				Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Weekly PMO Status Meetings 27

Weekly PMO Status Meetings 28

Weekly PMO Status Meetings 29

Weekly PMO Status Meetings 30

Weekly PMO Status Meetings 31

Weekly PMO Status Meetings 32

Weekly PMO Status Meetings 33

Weekly PMO Status Meetings 34

Weekly PMO Status Meetings 35

Weekly PMO Status Meetings 36

Weekly PMO Status Meetings 37

Weekly PMO Status Meetings 38

Weekly PMO Status Meetings 39

Weekly PMO Status Meetings 40

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task		Summary		Deadline	
Milestone		Project Summary		Progress	

Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Weekly PMO Status Meetings 41

Weekly PMO Status Meetings 42

Weekly PMO Status Meetings 43

Weekly PMO Status Meetings 44

Weekly PMO Status Meetings 45

Weekly PMO Status Meetings 46

Weekly PMO Status Meetings 47

Weekly PMO Status Meetings 48

Weekly PMO Status Meetings 49

Weekly PMO Status Meetings 50

Weekly PMO Status Meetings 51

Weekly PMO Status Meetings 52

Weekly PMO Status Meetings 53

Weekly PMO Status Meetings 54

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress

Half 2, 2020				Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Weekly PMO Status Meetings 55

Weekly PMO Status Meetings 56

Weekly PMO Status Meetings 57

Weekly PMO Status Meetings 58

Weekly PMO Status Meetings 59

Weekly PMO Status Meetings 60

Weekly PMO Status Meetings 61

Weekly PMO Status Meetings 62

Weekly PMO Status Meetings 63

Weekly PMO Status Meetings 64

Weekly PMO Status Meetings 65

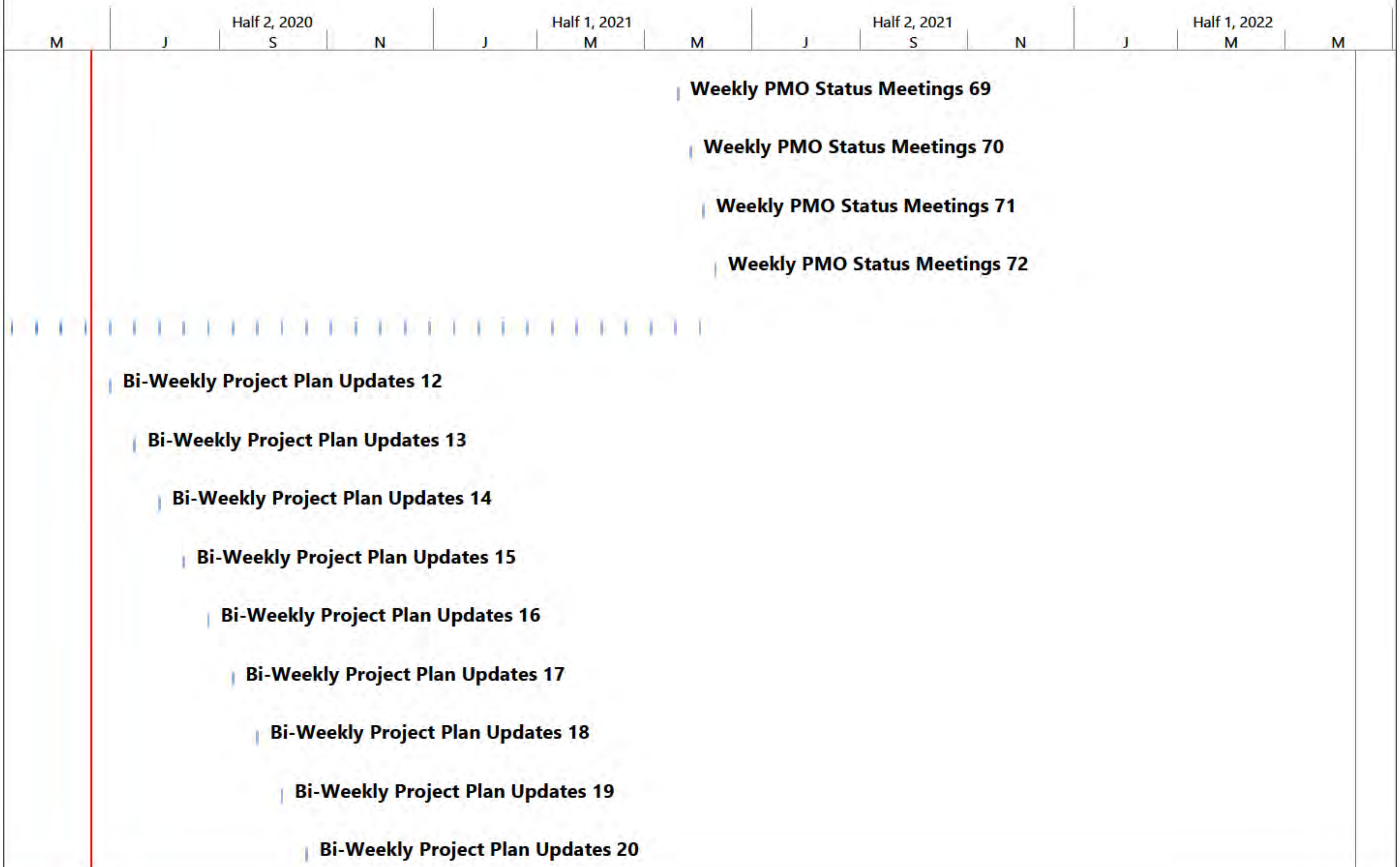
Weekly PMO Status Meetings 66

Weekly PMO Status Meetings 67

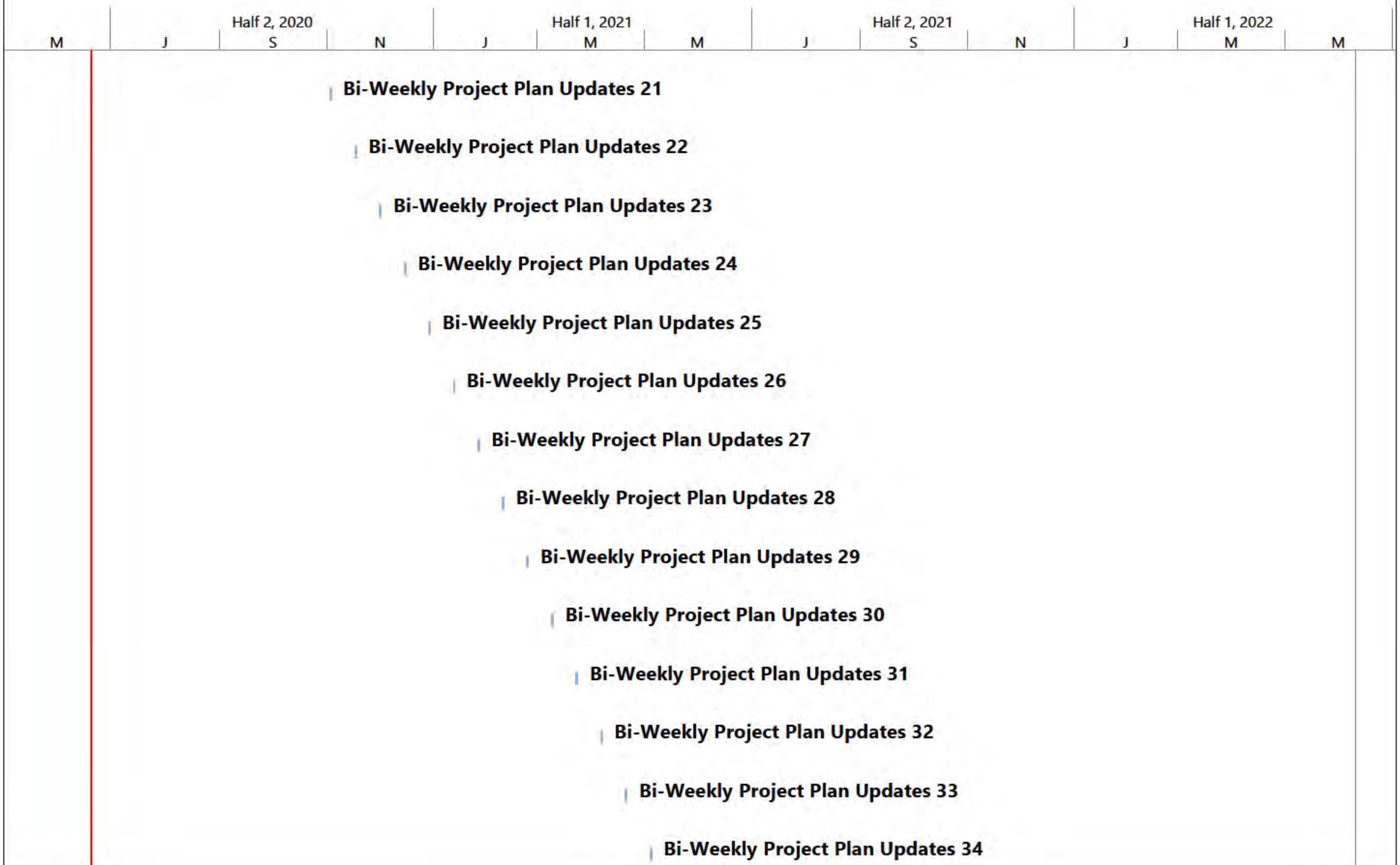
Weekly PMO Status Meetings 68

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress



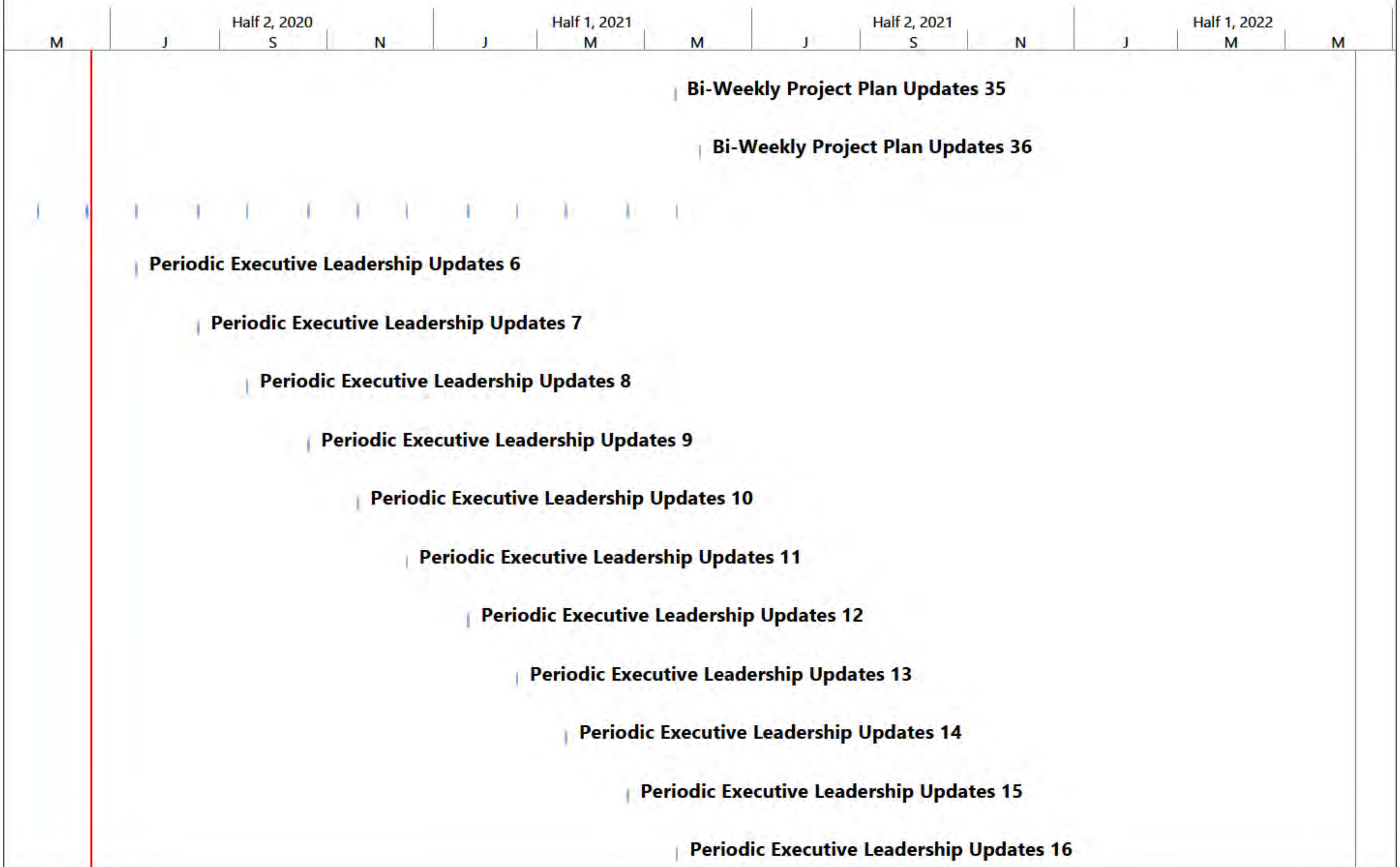
Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone	◆	Project Summary		Progress	



Project: DOES UITS Project
Print Date: Thu 6/25/20

Task		Summary		Deadline	
Milestone		Project Summary		Progress	

Project Status Date: Fri 6/19/20



Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary	Deadline		
	Milestone	Project Summary	Progress		

Project Status Date: Fri 6/19/20

	Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Periodic Internal Staff Updates 65

Periodic Internal Staff Updates 66

Periodic Internal Staff Updates 67

Periodic Internal Staff Updates 68

Periodic Internal Staff Updates 69

Periodic Internal Staff Updates 70

Periodic Internal Staff Updates 71

Periodic Internal Staff Updates 72

Periodic Internal Staff Updates 73

Periodic Internal Staff Updates 74

Periodic Internal Staff Updates 75

Periodic Internal Staff Updates 76

Periodic Internal Staff Updates 77

Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	

Half 2, 2020				Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Periodic Internal Staff Updates 78

Periodic Internal Staff Updates 79

Periodic Internal Staff Updates 80

Periodic Internal Staff Updates 81

Periodic Internal Staff Updates 82

Periodic Internal Staff Updates 83

Periodic Internal Staff Updates 84

Periodic Internal Staff Updates 85

Periodic Internal Staff Updates 86

Periodic Internal Staff Updates 87

Periodic Internal Staff Updates 88

Periodic Internal Staff Updates 89

Periodic Internal Staff Updates 90

Periodic Internal Staff Updates 91

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task		Summary		Deadline	
Milestone		Project Summary		Progress	

Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022				
M	J	S	N	J	M	M	J	S	N	J	M	M	

Periodic Internal Staff Updates 92

Periodic Internal Staff Updates 93

Periodic Internal Staff Updates 94

Periodic Internal Staff Updates 95

Periodic Internal Staff Updates 96

Periodic Internal Staff Updates 97

Periodic Internal Staff Updates 98

Periodic Internal Staff Updates 99

Periodic Internal Staff Updates 100

Periodic Internal Staff Updates 101

Periodic Internal Staff Updates 102

Periodic Internal Staff Updates 103

Periodic Internal Staff Updates 104

Periodic Internal Staff Updates 105

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress

		Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022	
M	J	S	N	J	M	M	J	S	N	J	M	M

Periodic Internal Staff Updates 106

Periodic Internal Staff Updates 107

Periodic Internal Staff Updates 108

Periodic Internal Staff Updates 109

Periodic Internal Staff Updates 110

Periodic Internal Staff Updates 111

Periodic Internal Staff Updates 112

Periodic Internal Staff Updates 113

Periodic Internal Staff Updates 114

Periodic Internal Staff Updates 115

Periodic Internal Staff Updates 116

Periodic Internal Staff Updates 117

Periodic Internal Staff Updates 118

Periodic Internal Staff Updates 119

Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	

Half 2, 2020				Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Periodic Internal Staff Updates 120

Periodic Internal Staff Updates 121

Periodic Internal Staff Updates 122

Periodic Internal Staff Updates 123

Periodic Internal Staff Updates 124

Periodic Internal Staff Updates 125

Periodic Internal Staff Updates 126

Periodic Internal Staff Updates 127

Periodic Internal Staff Updates 128

Periodic Internal Staff Updates 129

Periodic Internal Staff Updates 130

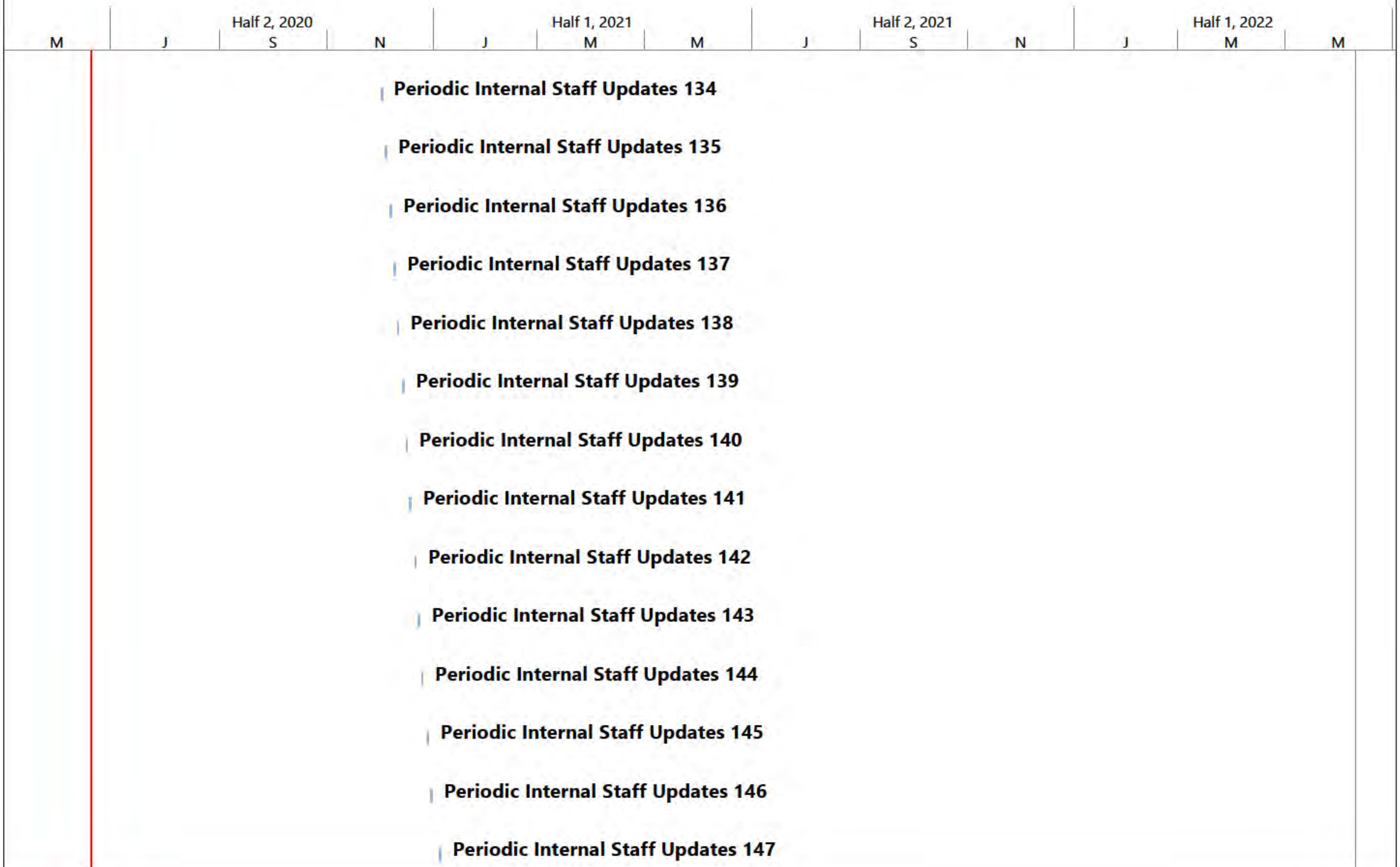
Periodic Internal Staff Updates 131

Periodic Internal Staff Updates 132

Periodic Internal Staff Updates 133

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task	Summary	Deadline
Milestone	Project Summary	Progress



Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	

Half 2, 2020				Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Periodic Internal Staff Updates 148

Periodic Internal Staff Updates 149

Periodic Internal Staff Updates 150

Periodic Internal Staff Updates 151

Periodic Internal Staff Updates 152

Periodic Internal Staff Updates 153

Periodic Internal Staff Updates 154

Periodic Internal Staff Updates 155

Periodic Internal Staff Updates 156

Periodic Internal Staff Updates 157

Periodic Internal Staff Updates 158

Periodic Internal Staff Updates 159

Periodic Internal Staff Updates 160

Periodic Internal Staff Updates 161

Project: DOES UITS Project Print Date: Thu 6/25/20	Task Milestone	Summary Project Summary		Deadline Progress	

	Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022	
M	J	S	N	J	M	M	J	S	N	J	M	M

Periodic Internal Staff Updates 162

Periodic Internal Staff Updates 163

Periodic Internal Staff Updates 164

Periodic Internal Staff Updates 165

Periodic Internal Staff Updates 166

Periodic Internal Staff Updates 167

Periodic Internal Staff Updates 168

Periodic Internal Staff Updates 169

Periodic Internal Staff Updates 170

Periodic Internal Staff Updates 171

Periodic Internal Staff Updates 172

Periodic Internal Staff Updates 173

Periodic Internal Staff Updates 174

Periodic Internal Staff Updates 175

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task | Summary | Deadline
Milestone | Project Summary | Progress

		Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Periodic Internal Staff Updates 176

Periodic Internal Staff Updates 177

Periodic Internal Staff Updates 178

Periodic Internal Staff Updates 179

Periodic Internal Staff Updates 180

Periodic Internal Staff Updates 181

Periodic Internal Staff Updates 182

Periodic Internal Staff Updates 183

Periodic Internal Staff Updates 184

Periodic Internal Staff Updates 185

Periodic Internal Staff Updates 186

Periodic Internal Staff Updates 187

Periodic Internal Staff Updates 188

Periodic Internal Staff Updates 189

Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary	Deadline		
	Milestone	Project Summary	Progress		

Half 2, 2020				Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Periodic Internal Staff Updates 190

Periodic Internal Staff Updates 191

Periodic Internal Staff Updates 192

Periodic Internal Staff Updates 193

Periodic Internal Staff Updates 194

Periodic Internal Staff Updates 195

Periodic Internal Staff Updates 196

Periodic Internal Staff Updates 197

Periodic Internal Staff Updates 198

Periodic Internal Staff Updates 199

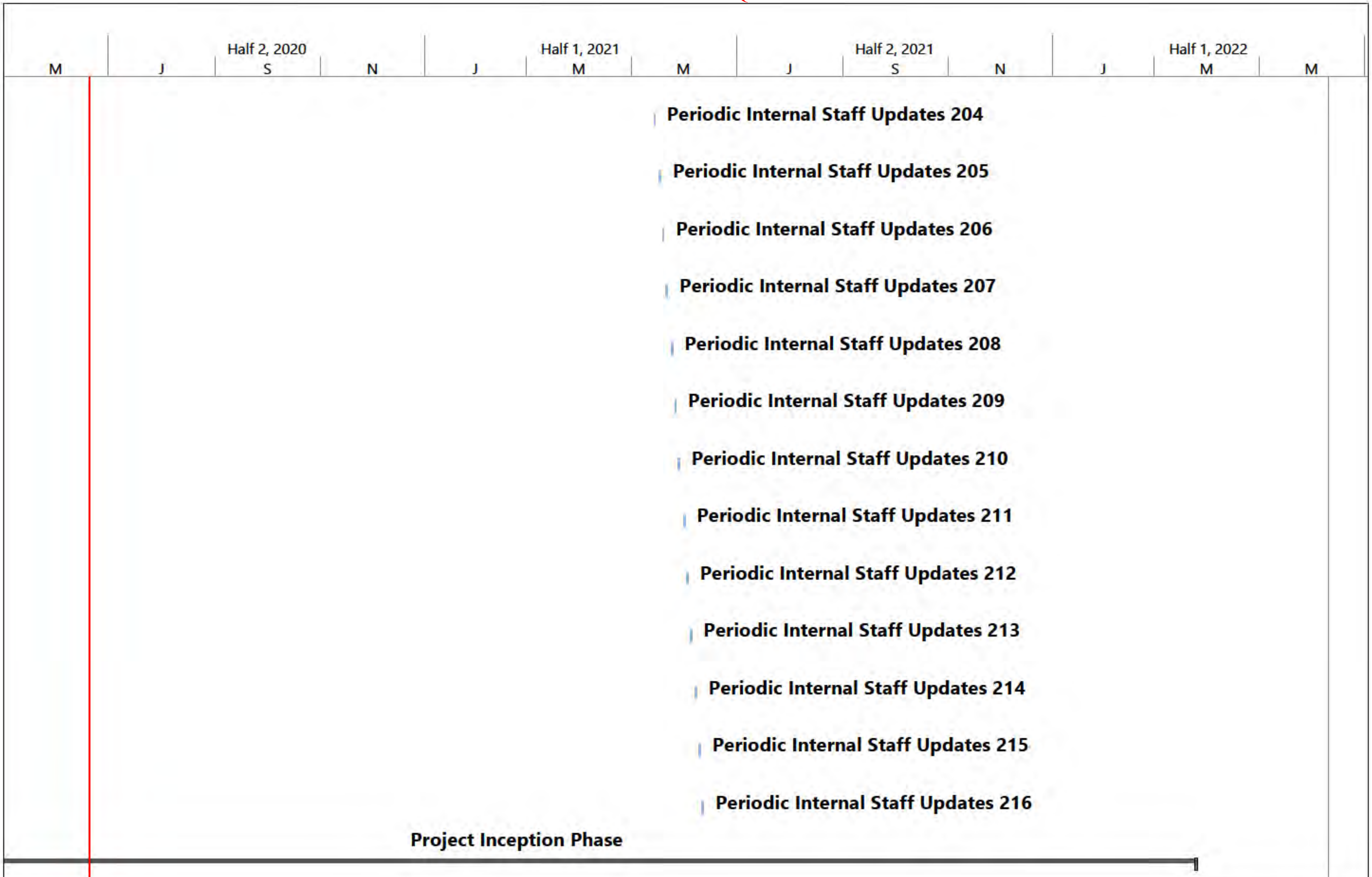
Periodic Internal Staff Updates 200

Periodic Internal Staff Updates 201

Periodic Internal Staff Updates 202

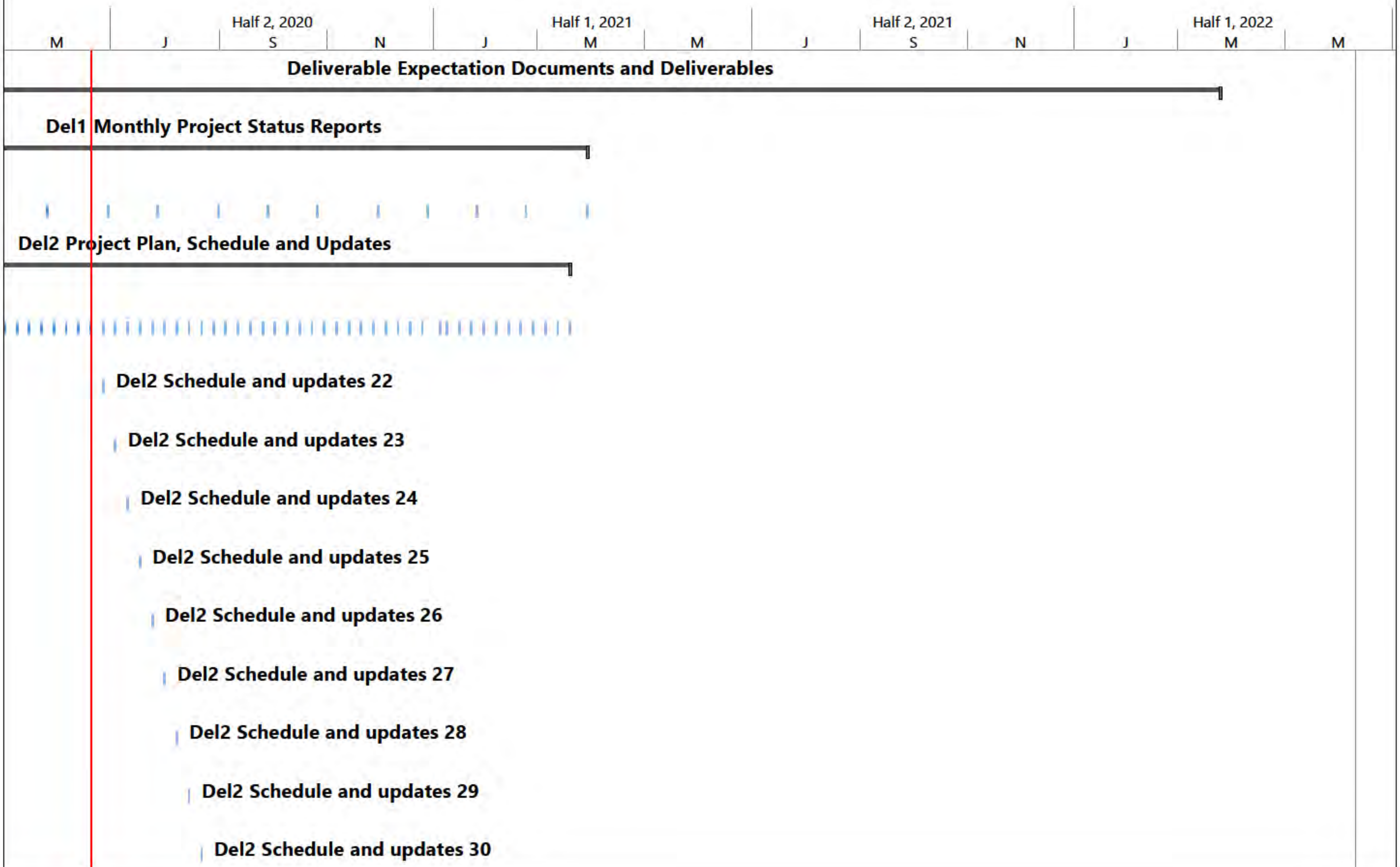
Periodic Internal Staff Updates 203

Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone	◆	Project Summary		Progress	



Project: DOES UITS Project
Print Date: Thu 6/25/20

Task		Summary		Deadline	
Milestone	◆	Project Summary		Progress	



Project: DOES UITS Project
Print Date: Thu 6/25/20

Task
Milestone
Summary
Project Summary
Deadline
Progress

Project Status Date: Fri 6/19/20

	Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022	
M	J	S	N	J	M	M	J	S	N	J	M	M

Del2 Schedule and updates 31

Del2 Schedule and updates 32

Del2 Schedule and updates 33

Del2 Schedule and updates 34

Del2 Schedule and updates 35

Del2 Schedule and updates 36

Del2 Schedule and updates 37

Del2 Schedule and updates 38

Del2 Schedule and updates 39

Del2 Schedule and updates 40

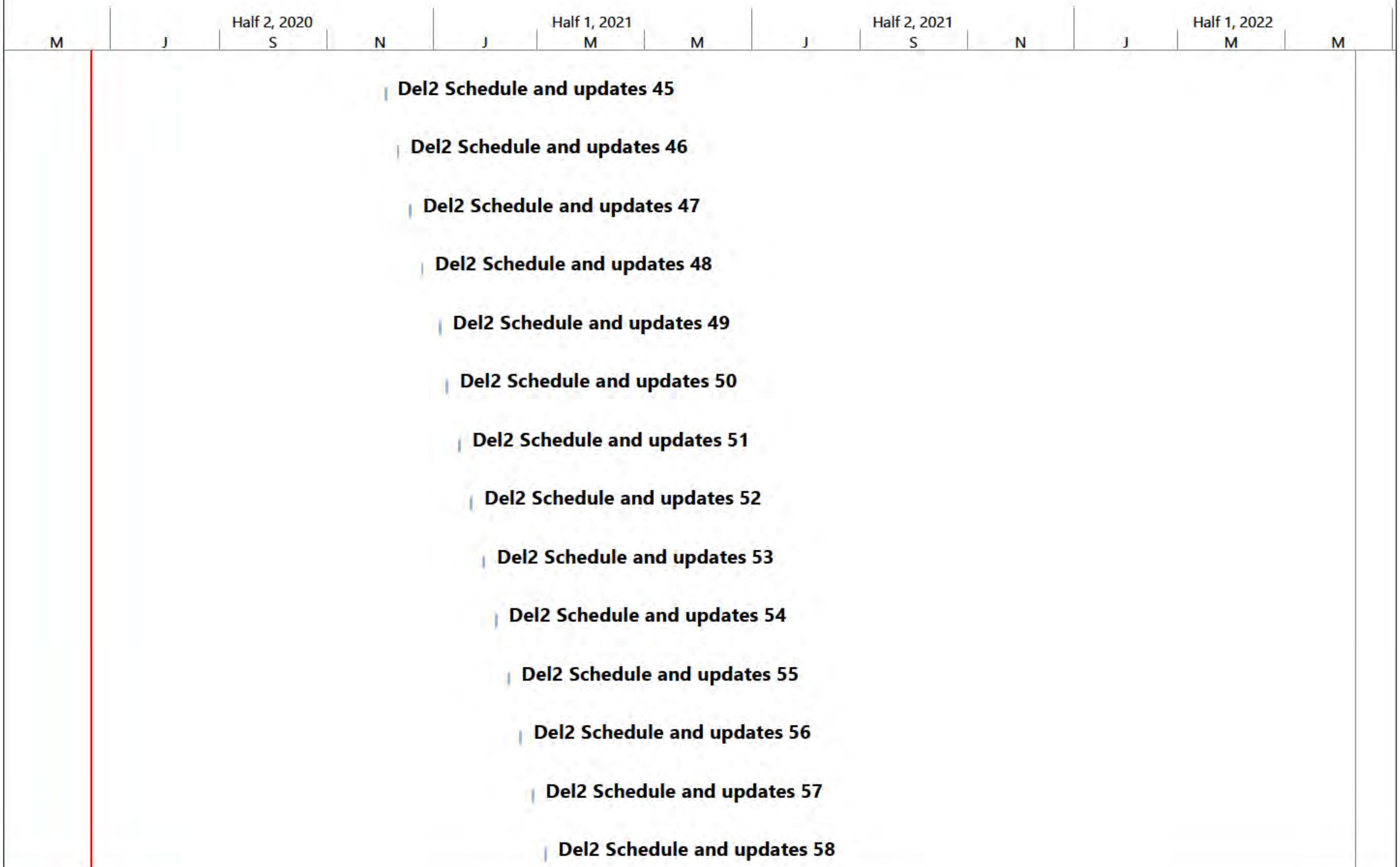
Del2 Schedule and updates 41

Del2 Schedule and updates 42

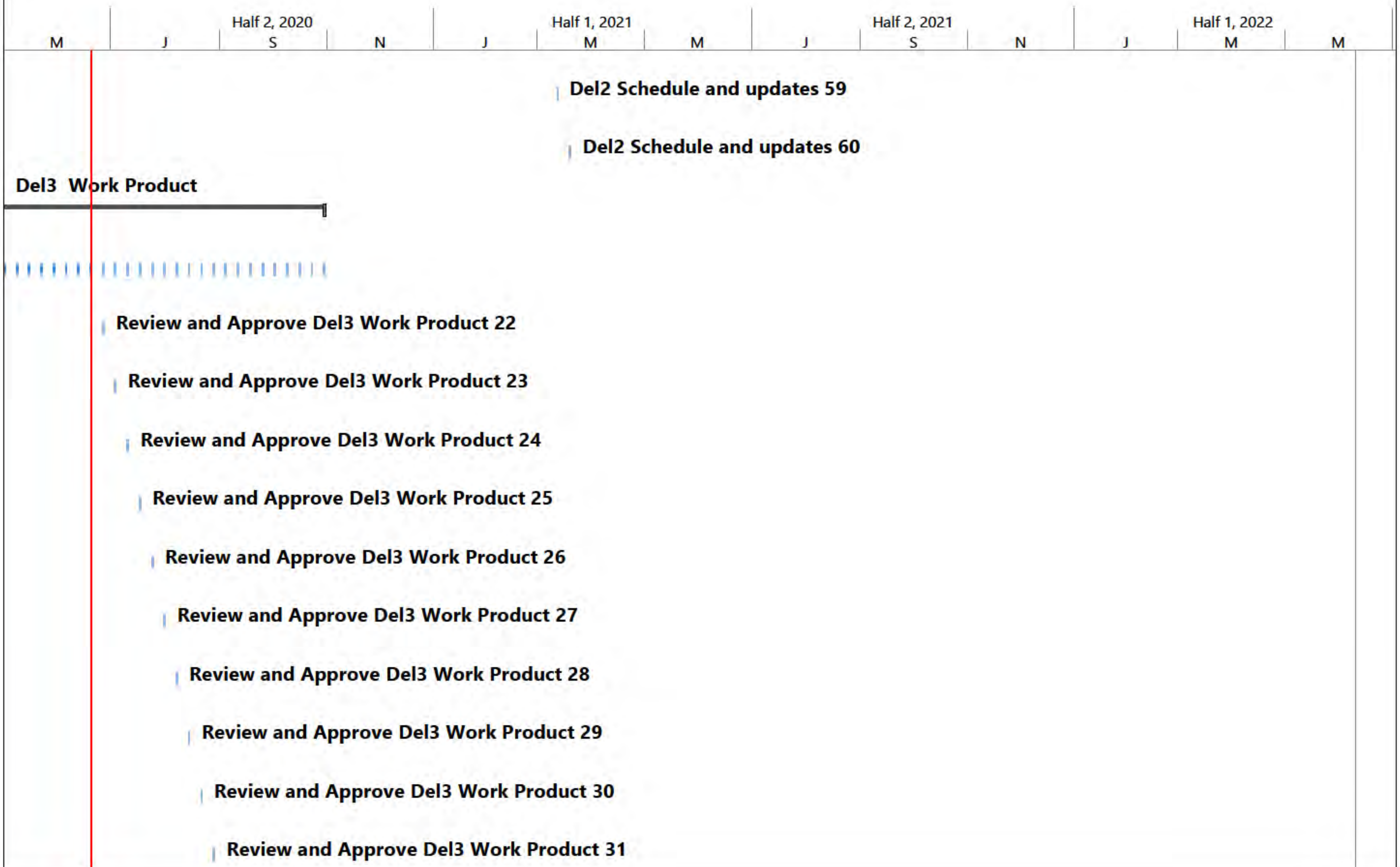
Del2 Schedule and updates 43

Del2 Schedule and updates 44

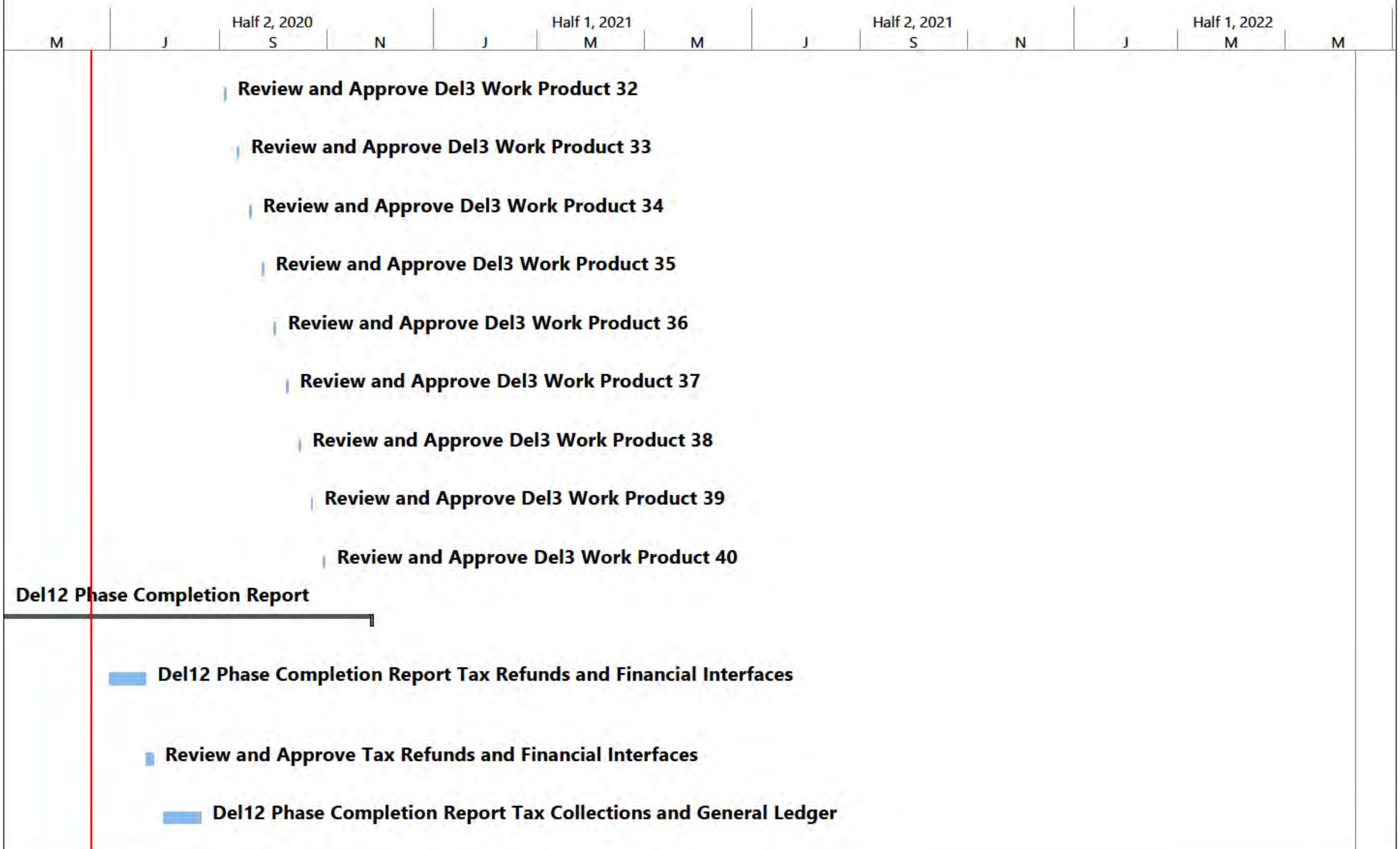
Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary	Deadline
	Milestone	Project Summary	Progress



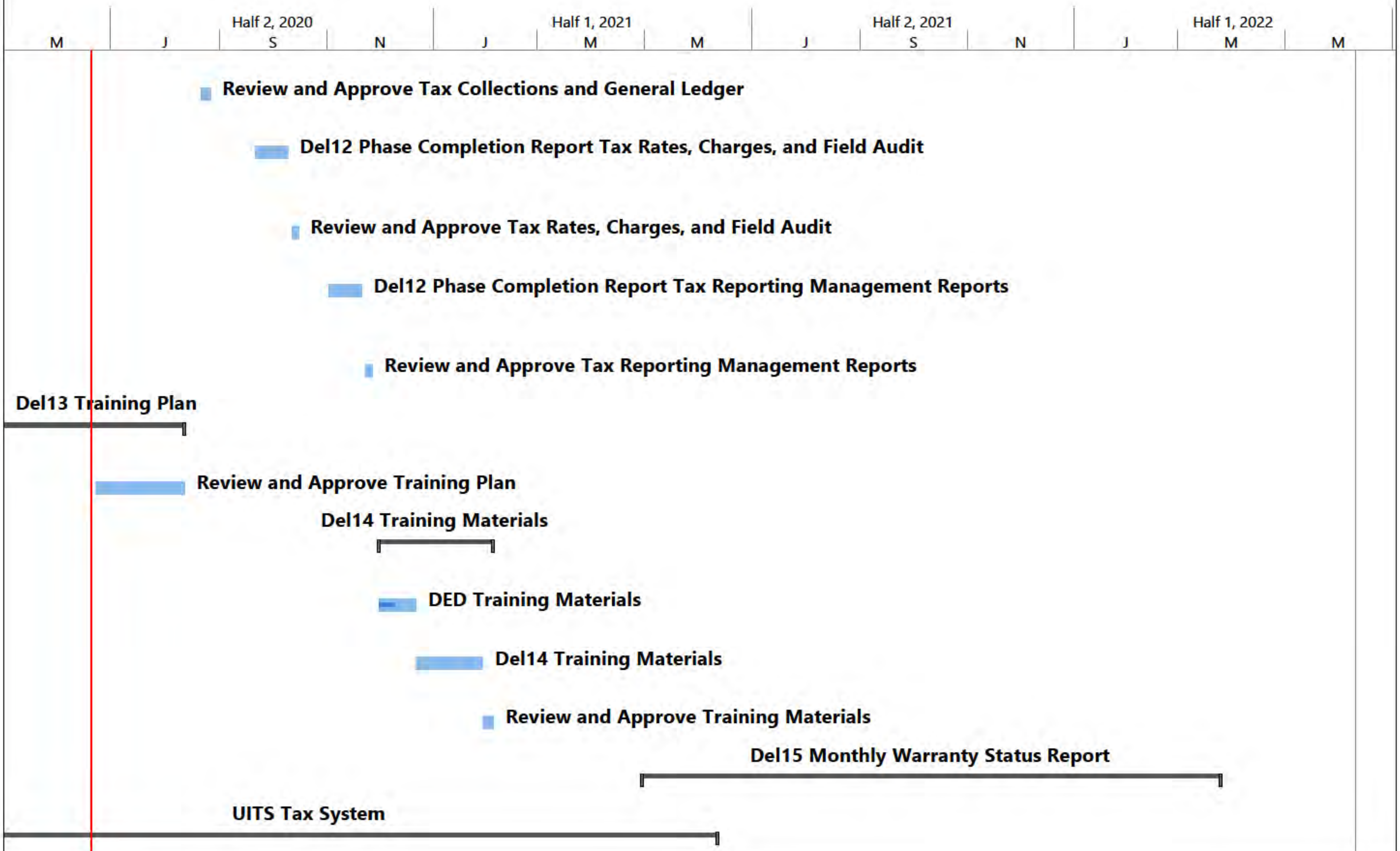
Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	



Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary		Deadline	
	Milestone	Project Summary		Progress	

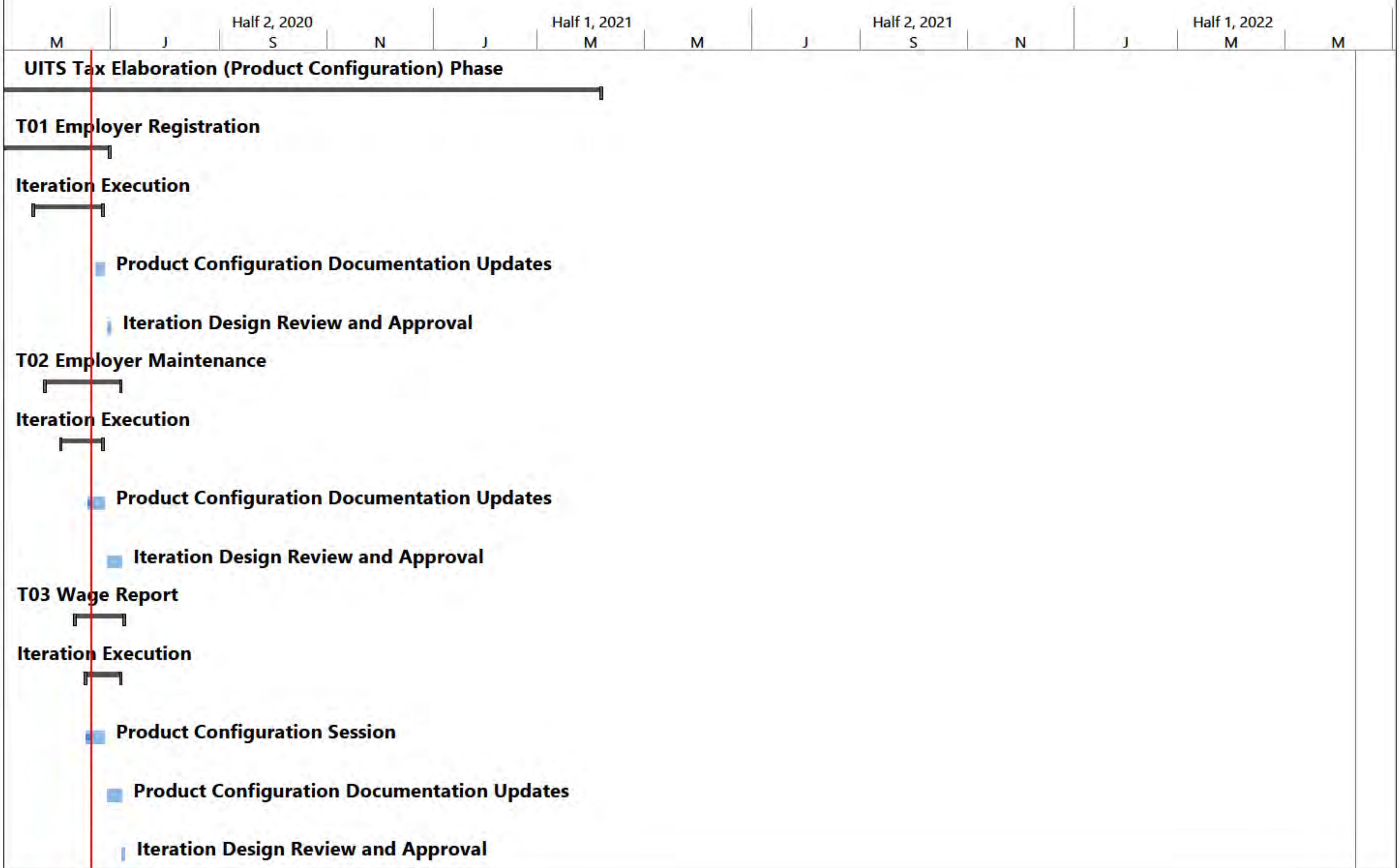


Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	

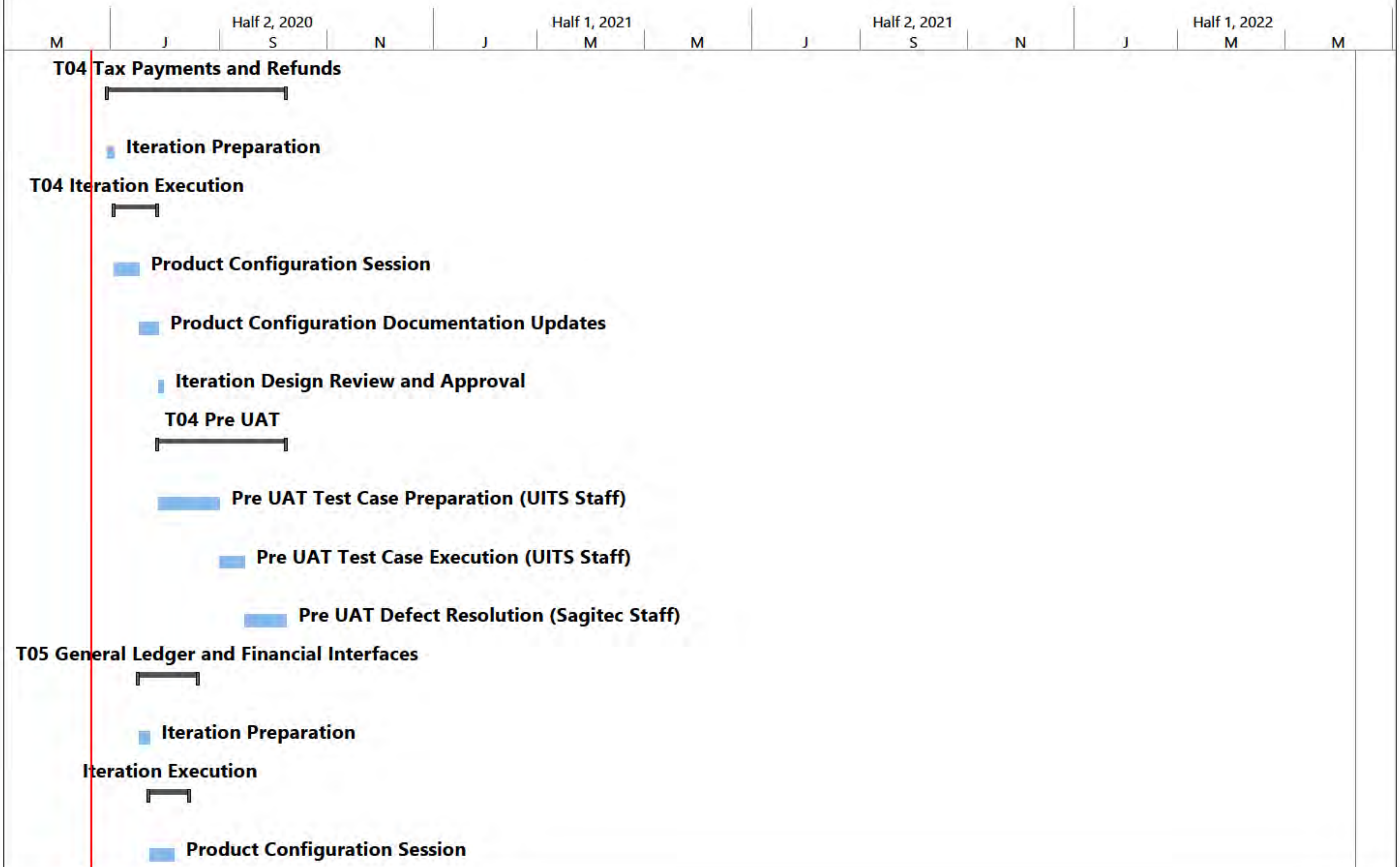


Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	

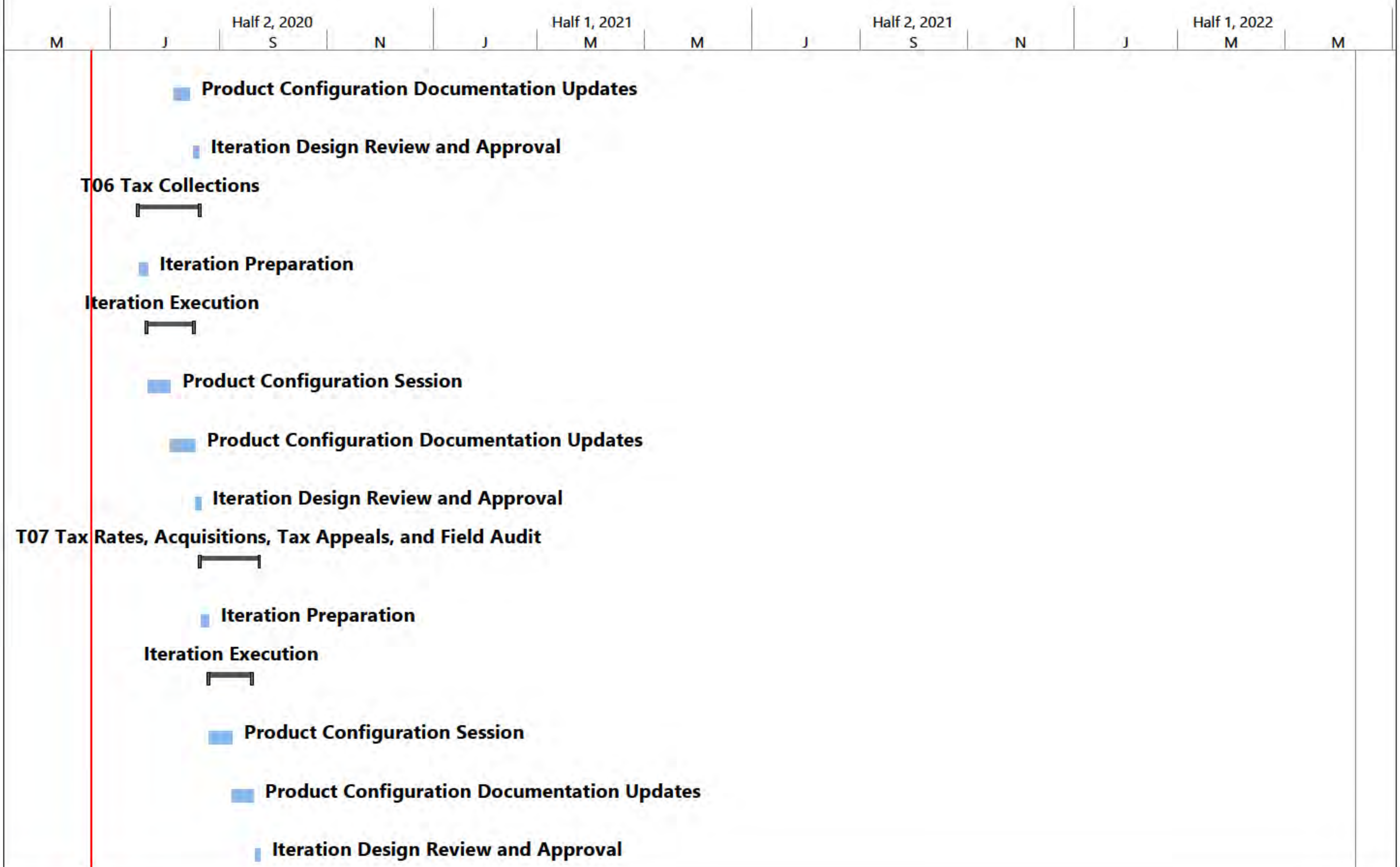
Project Status Date: Fri 6/19/20



Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline
	Milestone		Project Summary		Progress

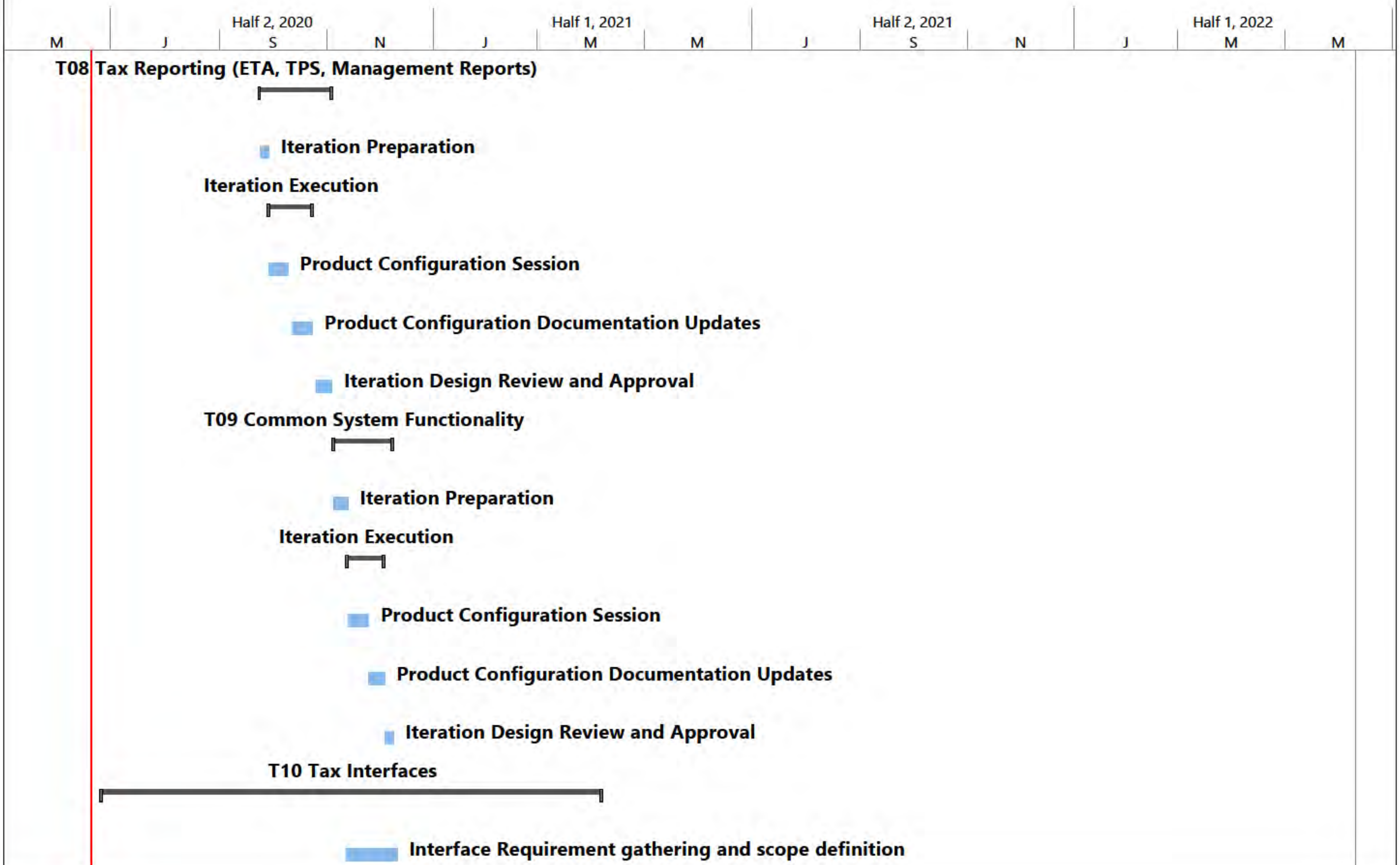


Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary	Deadline
	Milestone	Project Summary	Progress



Project: DOES UITS Project
Print Date: Thu 6/25/20

Task		Summary		Deadline	
Milestone		Project Summary		Progress	



Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	


Half 2, 2020
Half 1, 2021
Half 2, 2021
Half 1, 2022
M J S N J M M J S N J M M
Deliver Tax System Interface Design Scope Confirmation Document
DOES Review and Approval - Tax System Interface Design Scope Confirmation Document
Interface Template Task Set
Establish/Update Agreement with Interface Partner
Define Technical Specification
Document Technical Requirements and Interface Design
DOES Review and Approval
Interface Development/Connectivity
Develop/Code/Connectivity/Unit Test Interface
Test Connectivity
Test Application
System Test
UAT
UITS Tax Construction (Development / Unit Test / ST) Phase
Project: DOES UITS Project
Print Date: Thu 6/25/20
Task
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Project Status Date: Fri 6/19/20
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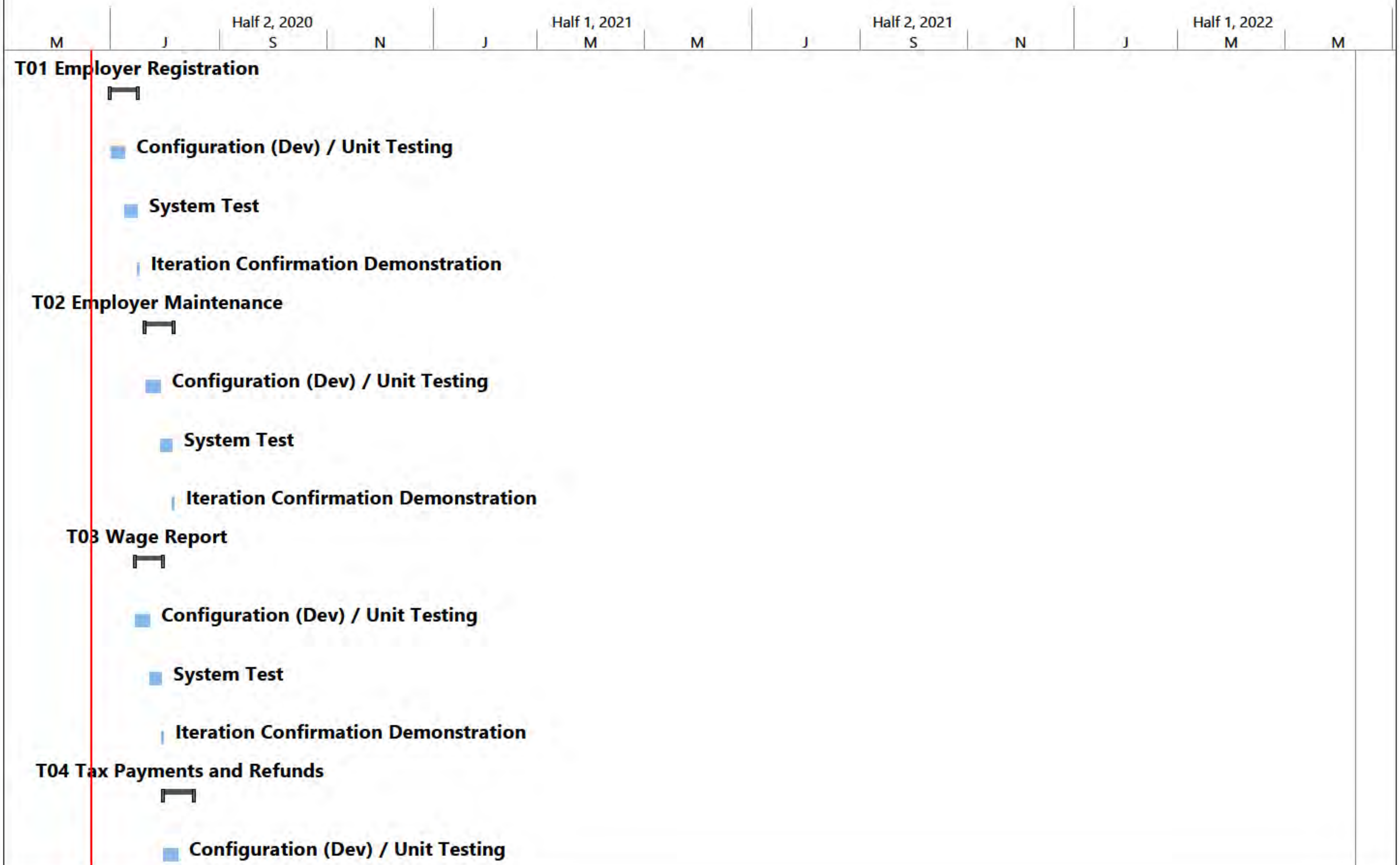


Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary	Deadline
	Milestone	Project Summary	Progress

Half 2, 2020 | Half 1, 2021 | Half 2, 2021 | Half 1, 2022

M J S N J M M J S N J M M

System Test

Iteration Confirmation Demonstration

T05 General Ledger and Financial Interfaces

Configuration (Dev) / Unit Testing

System Test

Iteration Confirmation Demonstration

T06 Tax Collections

Configuration (Dev) / Unit Testing

System Test

Iteration Confirmation Demonstration

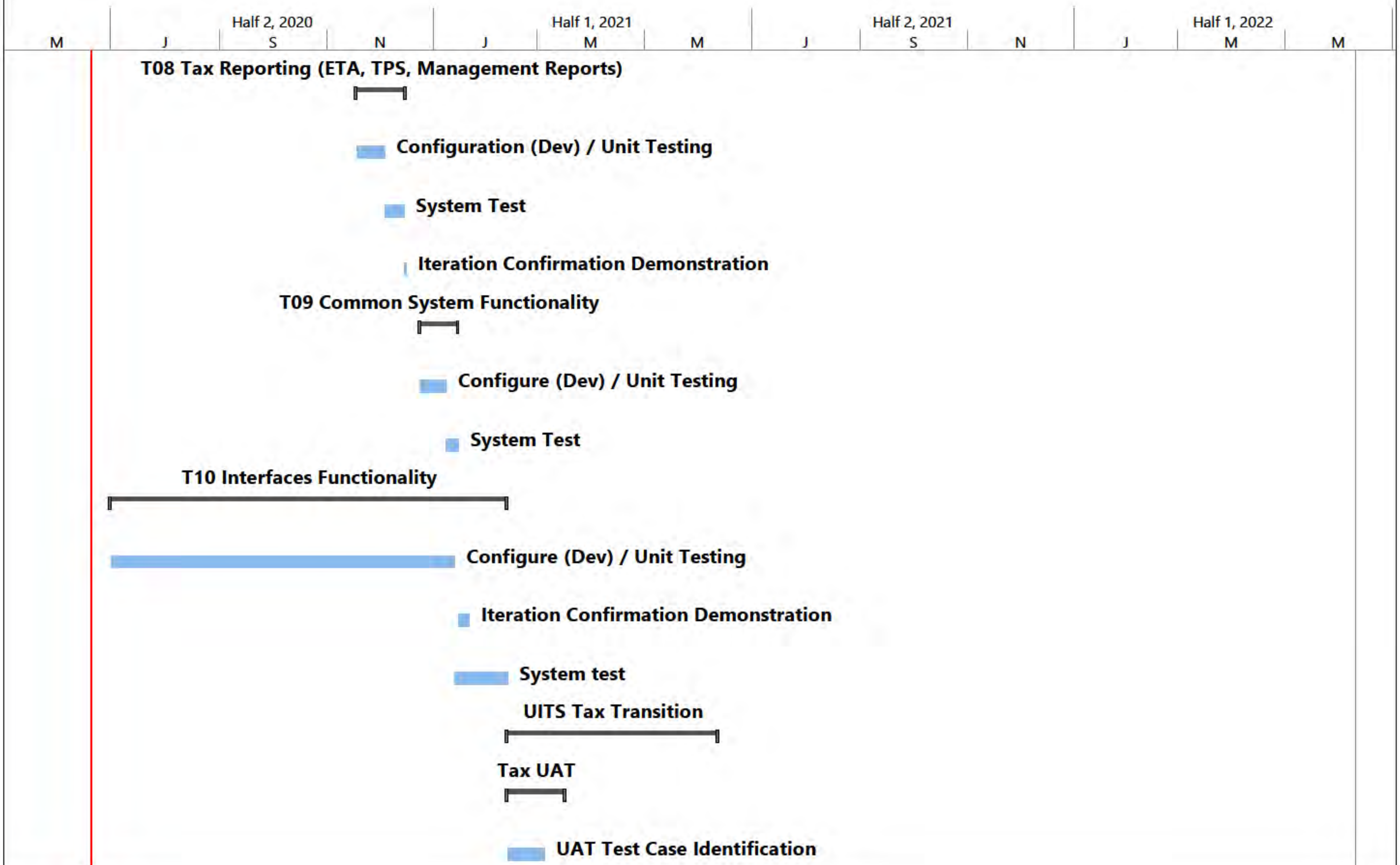
T07 Tax Rates, Acquisitions, Tax Appeals, and Field Audit

Configuration (Dev) / Unit Testing

System Test

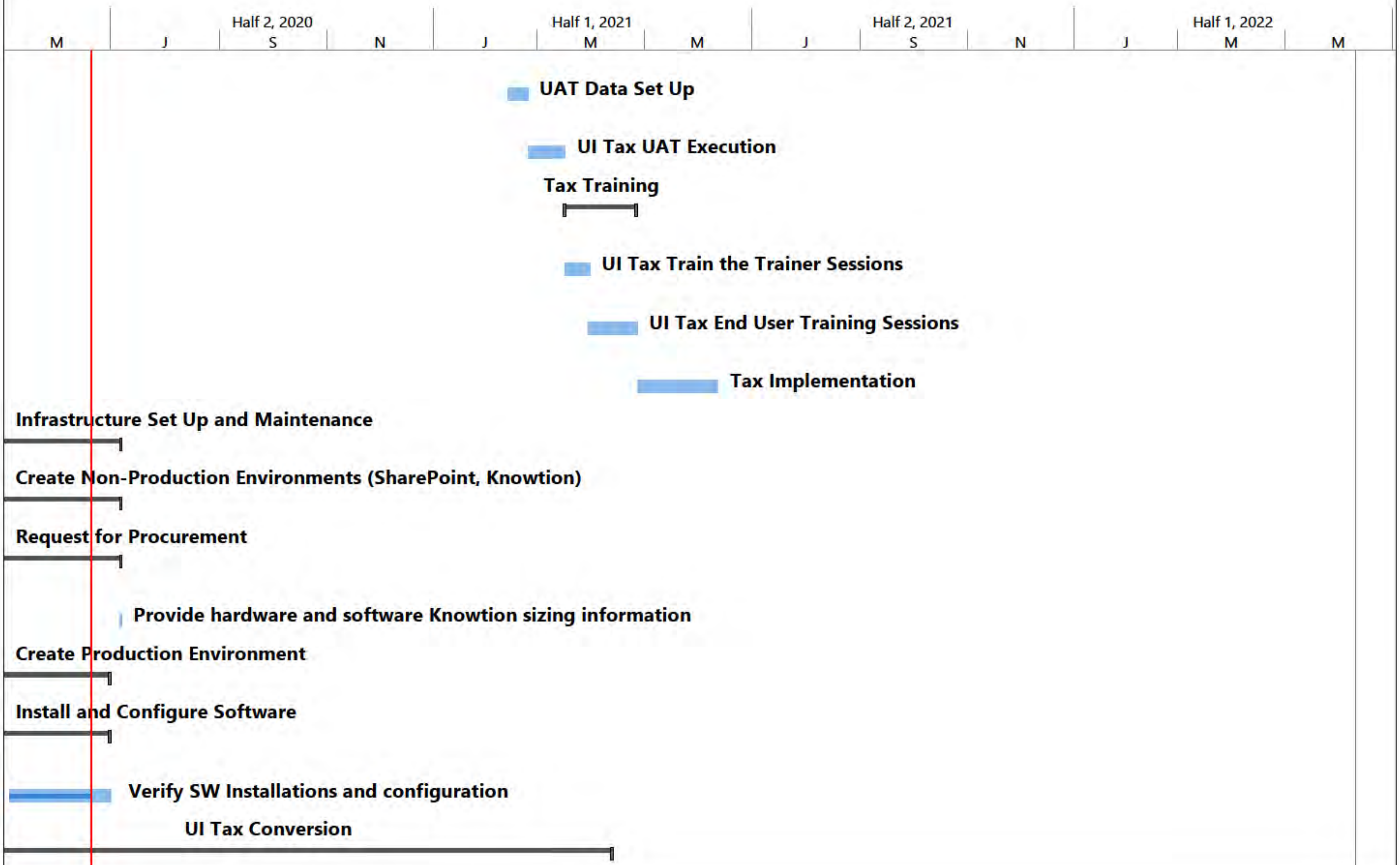
Iteration Confirmation Demonstration

Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	



Project: DOES UITS Project
Print Date: Thu 6/25/20

Task		Summary		Deadline	
Milestone		Project Summary		Progress	



Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	

Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Perform Conversion Analysis and Mapping

Perform Data Element Mapping (Column Level)

Identify and document transformation rules and data anomalies for Employer, Unit and Agent Data

Perform column level data element mapping for Wage Reporting

Identify and document transformation rules and data anomalies for Wage Reporting

Perform column level data element mapping for Tax Payments

Identify and document transformation rules and data anomalies for Tax Payments

Perform column level data element mapping for Collections

Identify and document transformation rules and data anomalies for Collections

Perform column level data element mapping for Tax Rates and Experience Transfer

Identify and document transformation rules and data anomalies for Tax Rates and Experience Transfer

Perform column level data element mapping for Field Audit (COMPAS)

Identify and document transformation rules and data anomalies for Field Audit (COMPAS)

Perform column level data element mapping for Appeals and Reporting

Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary	Deadline
	Milestone	Project Summary	Progress

M	J	Half 2, 2020 S	N	J	Half 1, 2021 M	M	J	Half 2, 2021 S	N	J	Half 1, 2022 M	M

Identify and document transformation rules for Appeals and Reporting

Perform column level data element mapping for Correspondence

Identify and document transformation rules for Correspondence

Submit Data Source Column Level Mapping

ODJFS reviews Data Source Column Level Mapping and provides feedback to Sagitec

Incorporate Feedback for Data Element Mapping (Column Level)

Conduct Final QA on Data Element Mapping (Column Level)

Determine Conversion methods

Develop Conversion Sequence and Specifications

Design and Develop Conversion Programs

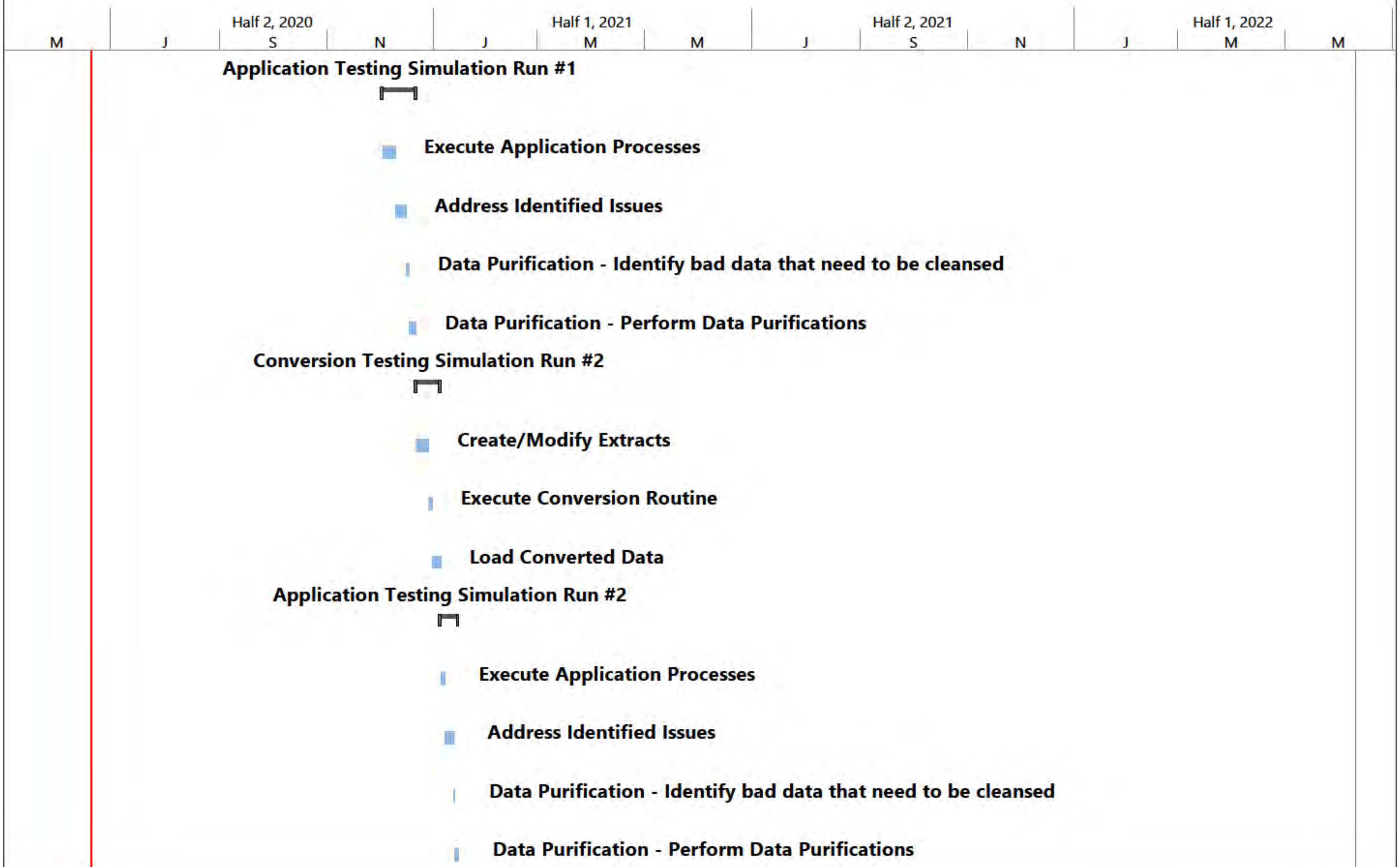
Conversion Testing Simulation Run #1

Create Extracts

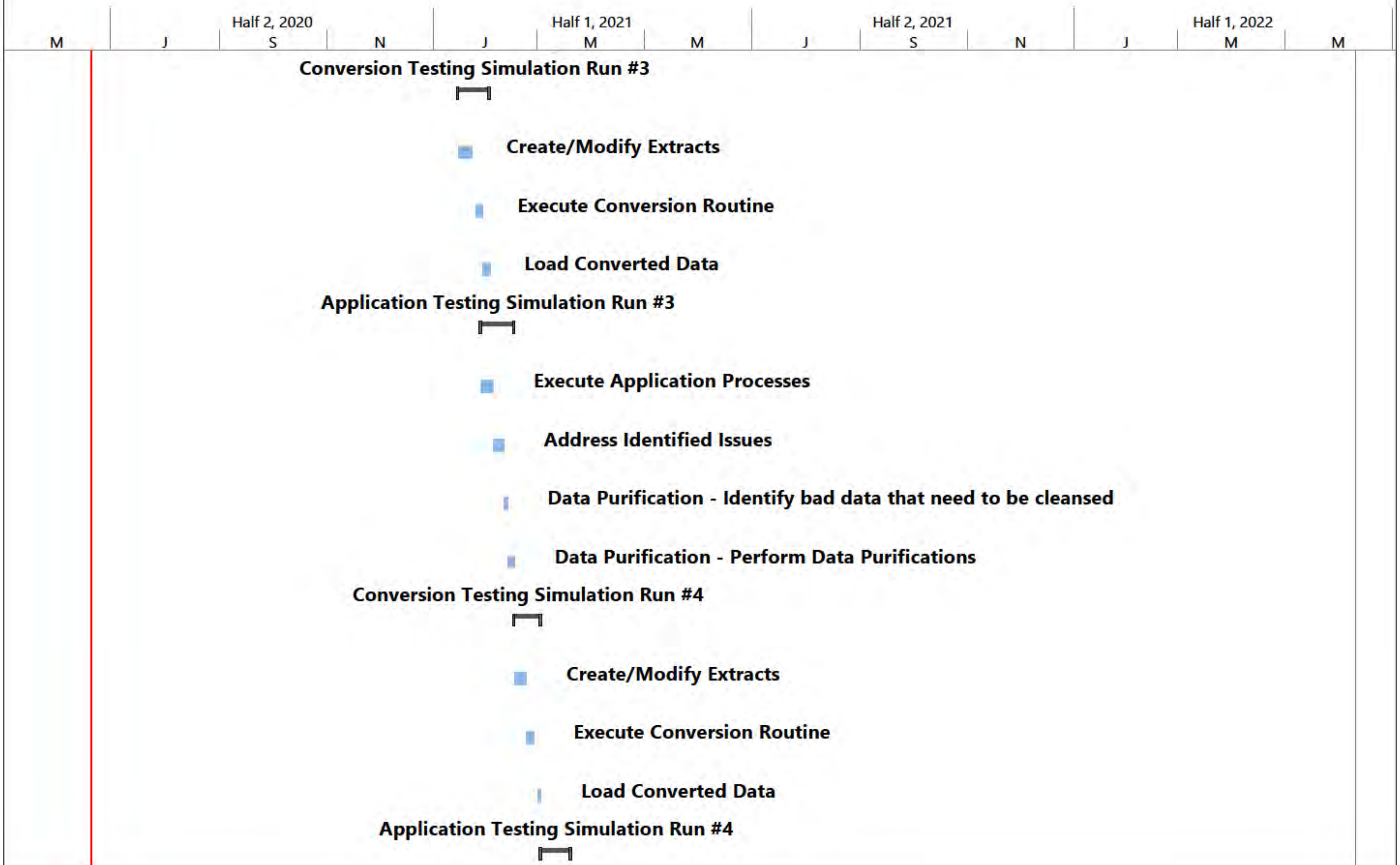
Execute Conversion Routine

Load Converted Data

Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary		Deadline	
	Milestone	Project Summary		Progress	



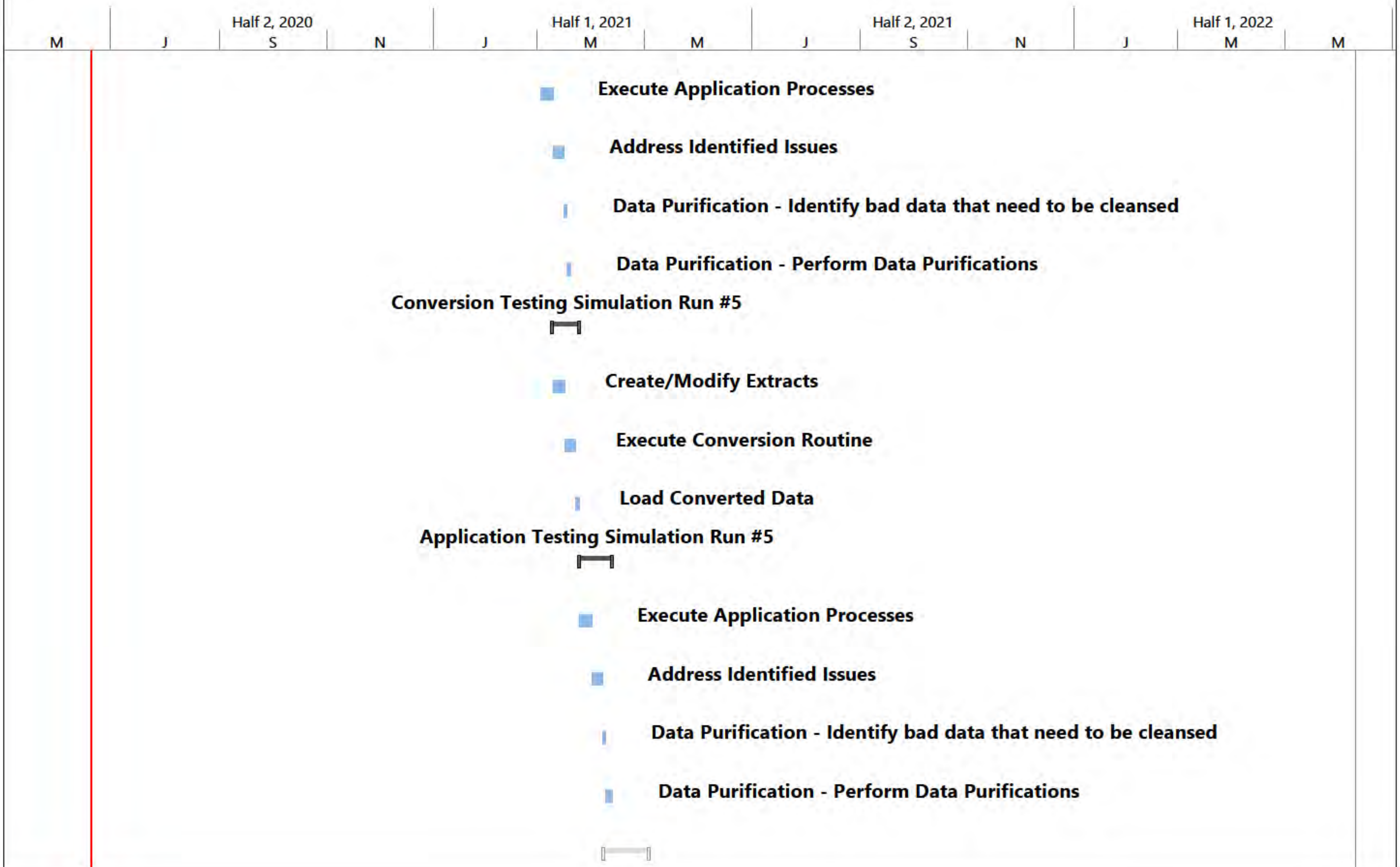
Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	



Project: DOES UITS Project
Print Date: Thu 6/25/20

Task		Summary		Deadline	
Milestone		Project Summary		Progress	

Project Status Date: Fri 6/19/20



Project: DOES UITS Project Print Date: Thu 6/25/20	Task		Summary		Deadline	
	Milestone		Project Summary		Progress	

		Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022	
M	J	S	N	J	M	M	J	S	N	J	M	M

Project: DOES UITS Project
Print Date: Thu 6/25/20

Task
Milestone
Summary
Project Summary
Deadline
Progress

Project Status Date: Fri 6/19/20

	Half 2, 2020			Half 1, 2021			Half 2, 2021			Half 1, 2022		
M	J	S	N	J	M	M	J	S	N	J	M	M

Project: DOES UITS Project Print Date: Thu 6/25/20	Task	Summary	Deadline		
	Milestone	Project Summary	Progress		

Del5 Project Management Plan

Document Control

Document Information

Information	
Sagitec Delivery Owner	Shane Cox
Submission Date	01/27/2020
Acceptance Date	

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1. Purpose

The purpose of the Project Management Plan is to detail the Governance structure for the District of Columbia Unemployment Insurance Tax System (UITS) Project. This structure contains the objectives, scope, timelines, stakeholders, milestones, and key assumptions and constraints. By clearly defining these boundaries, the District of Columbia's Department of Employment Services (DOES) and Sagitec project teams will effectively manage the key time, scope, and cost relationships that will ensure quality is considered across all components of the project.

2. Project Overview and Charter Objectives

The Department of Employment Services (DOES) is partnering with Sagitec to design, develop, implement, test and support a modernized Unemployment Insurance Tax System (UITS) to replace the current legacy system, while also migrating and archiving existing data by the use of modern Information Technology (IT) to achieve DOES's goal of implementing a highly automated and fully integrated UI Tax System.

The UITS project will produce an application that provides the functionality required to administer the District of Columbia's Unemployment Insurance Tax program.

The Tax functionality will manage employer accounts, filing quarterly wage reports, and submission of tax contributions within the Unemployment Insurance Program, and will be broken out across eight UI tax functional areas:

1. Employer registration
2. Employer maintenance
3. Wage reporting
4. Tax payments and refunds
5. General ledger and Financial interfaces
6. Tax Collections
7. Tax rates, Acquisitions, Charges, and Field Audit
8. Tax Reporting (ETA, TPS, Management Reports) and Appeals

Through the joint Sagitec-DOES UI Tax System product configuration sessions for each iteration, the teams will review how Sagitec's Unemployment Insurance Product Solution, Neosurance™, meets DOES UI Tax requirements as confirmed at project start, including any interfaces named in the RFP. If the product does not meet a requirement, the teams will determine how it can be configured to meet those requirements. The product configuration changes will then be implemented, tested, and provided to the DOES UI Tax team for user acceptance testing prior to deployment.

The UITS project will use this model to achieve the following primary business objectives for the District:

- Implement a solution for all functions necessary to set-up, run, administer and manage an efficient, legally compliant UI Tax program that fully integrates with internal and external systems.
- The UI Tax system will be an enhanced self-service portal that will provide DOES with all the functionality required to collect UI taxes.

3. Project Management Plan

The purpose of the Project Management Plan is to define the policies and procedures that will govern the UITS project. In general, the Project Management Plan addresses the management of resources, deliverable acceptance, escalation procedures, communications, milestones, and system acceptance factors. Additional subsidiary plans detailed below will be developed to govern the approach to specific disciplines in project execution.

3.1 Structure of Project Management Plans

According to the requirement from the UITS project's RFP solicitation phase, the main planning deliverables and their subsections are as follow:

- Project Scope Management Plan
- Project Work Breakdown Structure (WBS)
- Quality Management Plan
- Staffing Management Plan
- Communication Management Plan
- Change Control Plan
- Risk Management Plan
- Defect, Error, Issue, and Enhancement Tracking Plan
- Change Management Plan
- Assumptions used to develop each plan.

Project management sub-plans listed above utilize the following assumptions:

1. The project management plans cover the implementation of the UITS solution as specified by the RFP # Doc397018 and the related Contract between DOES and Sagitec.
2. The Project Management Plan (DEL 5) and its subsidiary components (DEL 2 to DEL 17) will be jointly managed by Sagitec and the DOES.

3.2 Sagitec's Proven Project Delivery Methodology

With Sagitec, the District of Columbia benefits from a successful project management approach founded on a committed and collaborative relationship, based on trust, and transparency, and fostered by clear and frequent communications. We are committed to your project's success, and we put our depth of project management experience and industry best practices to work for you. We collaborate with you throughout the project—from project inception through project completion—as One Team.

3.2.1 Phased Delivery with an Iterative Approach

Sagitec's Project Delivery Methodology is comprised of a phased delivery approach with an agile and iterative systems development life cycle (SDLC), driven by project management processes for initiating, planning, executing, controlling, and closing projects, and includes DOES requirements for development and migration.

The Sagitec team will apply this proven approach, aligned with DOES objectives, to deliver the new UI solution you require. We develop and execute a realistic plan, based on standards and experience, to provide the project results DOES and the District of Columbia expect.

The DOES UI Modernization Project will benefit from the lessons we have learned and Sagitec's investment in our technology, solution, and methodology. It also will benefit from our investment in our people, which has made the greatest difference time and again. The team that we propose to manage the project is described in our Administrative Proposal *Section 1.d, Proposed Key Personnel for Delivery of Services.*

3.3 Project Management Disciplines Support our Iterative SDLC

We follow an iterative software engineering approach. Our methodology is based on best practices in high-quality software development that are designed to meet the needs of users within a predictable schedule and budget. Our approach supports the blend of waterfall and iterative development approaches required for your project. It also aligns with principles of agile methodology, but with structured controls such as change control management, which agile methods sometimes do not enforce as rigorously as we require for our projects.

Sagitec's Project Management Methodology incorporates project management strategies, control mechanisms, quality assurance protocols, tools, risk mitigation strategies, and more. These have been built upon our experiences performing large, complex, enterprise-wide integration, and implementation efforts for federal and state clients.

3.4 Combining Iterative and Waterfall Approaches with Agile Principles

Sagitec uses a combination of iterative and waterfall approaches throughout the project phases. We leverage agile principles of flexibility and efficiency as we execute these phases. Our requirements validation process employs a waterfall methodology in the Initiation Phase. The design, development, and implementation phases are iterative; finally, the transition to Operations and Maintenance is also waterfall.

Using an iterative development schedule and delivering fully tested functional increments mitigates the risk inherent in delivering the broad capabilities of a large, complex implementation. This process enables us to demonstrate project progress to DOES early on and to gauge your satisfaction frequently. Additionally, our laser-like focus on implementing stringent project controls keeps our projects on track and on budget, satisfying DOES and its stakeholders. This approach:

- Proactively minimizes the risks associated with evolving requirements and supports a smooth, successful implementation.
- Incorporates careful change request management.
- Provides opportunities for DOES and its stakeholders to visualize the solution as it evolves and to confirm that results meet expectations.
- Eliminates the risks of a "Big Bang" implementation and reduces the risk of the end solution, not meeting expectations and needs.
- Protects the integrity, accuracy, and security of your data; and supports a smooth, successful implementation.

Sagitec teams have applied this combination of iterative and waterfall approaches successfully for numerous, successful UI implementations, including the following:

- Maryland/West Virginia (MWC) Consortium UI modernization Project
- District of Columbia (DC) UI and Paid Family Leave Projects
- South Carolina UI Modernization Project
- Ohio UI System Transformation Project – in progress

Sagitec's Agile, Iterative Approach Delivers Quality Early and Throughout the Project

Our flexible and collaborative approach is agile yet has controls that minimize risk and expedites implementation of critical features of our solution.

Our proven approach has been refined over time and encompasses industry best practices, methods and standards.

We leverage the artifacts, tools and products with our methodology that capture our lessons learned from implementing UI solutions in multiple states and provide benefits across the full spectrum of our projects.

Details on these projects and the methodology we used are included in the Project Reference section of our Administrative Proposal *Section 1.h, Reference Check Forms*. This approach enables us to stay on track, minimize rework, and deliver a solution that precisely meets your needs and is implemented on time and within budget.

The following figure illustrates our comprehensive Sagitec Project Delivery Methodology, which incorporates our Software Development Life Cycle (SDLC) phases and Project Management Methodology (PMM) and project disciplines. This figure also shows how technology and business drivers influence methodology and exemplifies the Production Phase for a complete picture of the scope of our methodology.

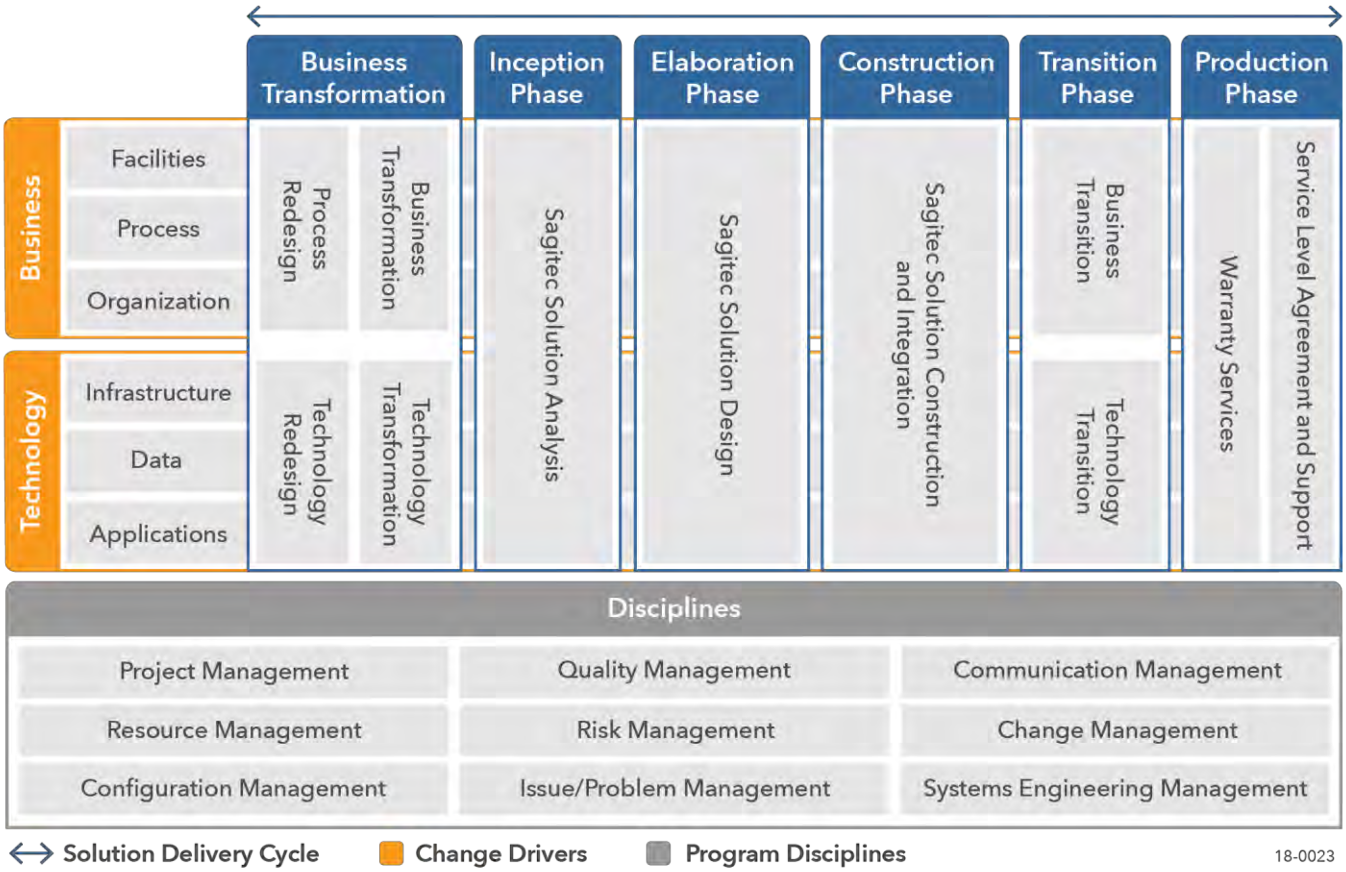

Figure 1- Sagitec's Solution Delivery Approach Delivers a Highly Tested System in Increments

With our Sagitec Project Delivery Methodology, Sagitec designs, develops, and delivers the solution that provides value throughout the project. It offers the incremental results our clients need and expect and provides the modernization roadmap that Labor and Employment agencies need for complex initiatives like the DOES UI Modernization Project. This approach has helped us gain our reputation for project success.

The following figure provides a high-level overview of our Project Delivery approach to design, develop, and deliver increments of functionality, depicting the multiple iterations that use repetitive input and output activities and deliverables.

Each successive iteration builds on the work of the prior iteration, resulting in an iterative design and development process. For example, employer registration iteration serves as the foundation for the employer wage filing iteration. This approach results in a UI modernization solution that is fully compliant with your RFP requirements and with a project that is delivered on time and within budget.

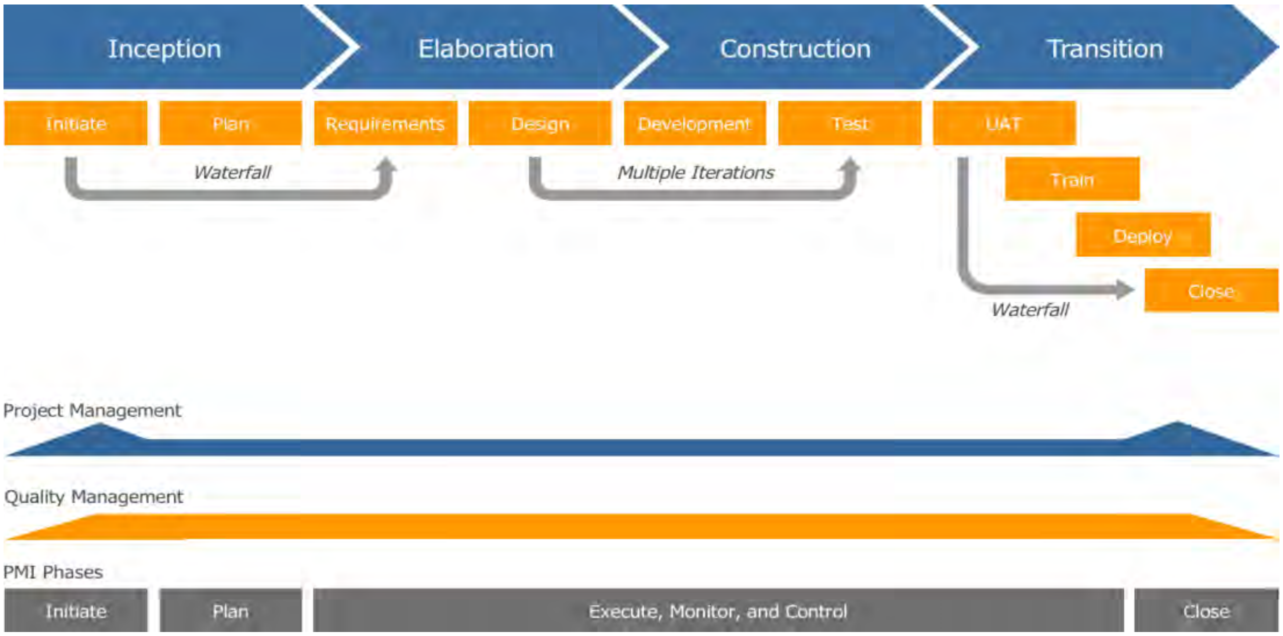

Figure 2- Sagitec's Iterative Approach to Modernizing or Replacing UI Tax System.

Our methodology aligns PMI processes for initiating, planning, executing, monitoring and controlling, and closing projects with SDLC phases and processes intertwined. The approach incorporates agile principles to drive flexibility, efficiency, and make sure iterations meet DOES's needs. For our proposed phased implementation approach for DOES.

3.4.1 Functionality Delivered in Logical Iterations

Sagitec's iterative methodology provides comprehensive functionality that is organized into logical iterations. As project complexity increases, multiple iterations may be introduced, as well as additional control gates, documentation, and project management rigor. This tailoring is critical to developing a methodology that properly supports the project being undertaken in multiple, smaller increments.

- We organize every project into project phases, releases, and iterations. Iterations are treated as "mini-projects" within the overall project, delivering discrete functionality. We design each iteration with an individual scope, value, timeline, and specific deliverables, and we work with you to determine tasks and risks for each iteration.

- Each iteration reflects a specific UI functional module with related DOES business and system requirements. The previous figure depicts multiple iterations that use repetitive input and output activities and deliverables.

- Each successive iteration builds on the work of the prior iteration, resulting in an iterative design and development process. For example, the "employer registration" iteration serves as the foundation for the "employer wage filing" iteration. Using this disciplined approach, we can run parallel iterations that translate to a shorter implementation timeframe for the DOES UI Modernization Project.

Our risk-averse approach to project management and project delivery enables iterative development and testing, waterfall deployments, and configuration changes without disrupting ongoing enterprise operations.

3.4.2 Delivering Functionality Early and Often

Our approach includes the activities and disciplines that enable iterative development and testing, waterfall deployments, and configuration changes without disrupting ongoing enterprise operations. Using an iterative development schedule and delivering fully tested functional increments mitigates the risk inherent in delivering the broad capabilities of a large, complex implementation.

This enables us to demonstrate progress to the UI Modernization Project early on and to gauge your satisfaction often, enabling us to stay on track, deliver a solution that precisely meets your needs, and that is implemented on-time and within budget.

- Uses an iterative design and development process to confirm and validate requirements and design “early and often” throughout the project by reviewing configured solution components in each iteration
- Delivers, on schedule, the functionality, performance, security, quality, and compliance that DOES requires.
- Is designed so users can easily use it and will rapidly adopt it, enabling the DOES to reap the project’s benefits sooner
- Provides enormous flexibility and value throughout the project lifecycle

Our iterative approach allows us to expedite development and release functional components of the application in shorter, incremental timeframes. Each successive iteration builds on the work of the prior iteration. For example, the “employer registration” iteration in a UI tax implementation becomes the foundation for the “employer wage filing” iteration.

Iterations each reflect a specific functional module required to meet your business needs. As the project advances, our delivery methodology enables us to work on multiple iterations simultaneously to expedite the delivery of the functionality of your application.

Sagitec’s Iterative Approach Allows for Incremental Delivery and Validation of the Solution

Our iterative approach allows for user input early and often throughout the project.

Our iterative approach allows the validation of DOES requirements and the alignment with solution components at multiple points in the project.

Our iterative approach captures lessons learned from implementing UI solutions in multiple states and provide benefits across the full spectrum of our Projects.

Our iterative approach allows us to eliminate misunderstandings in requirements and business rules early in the project lifecycle.

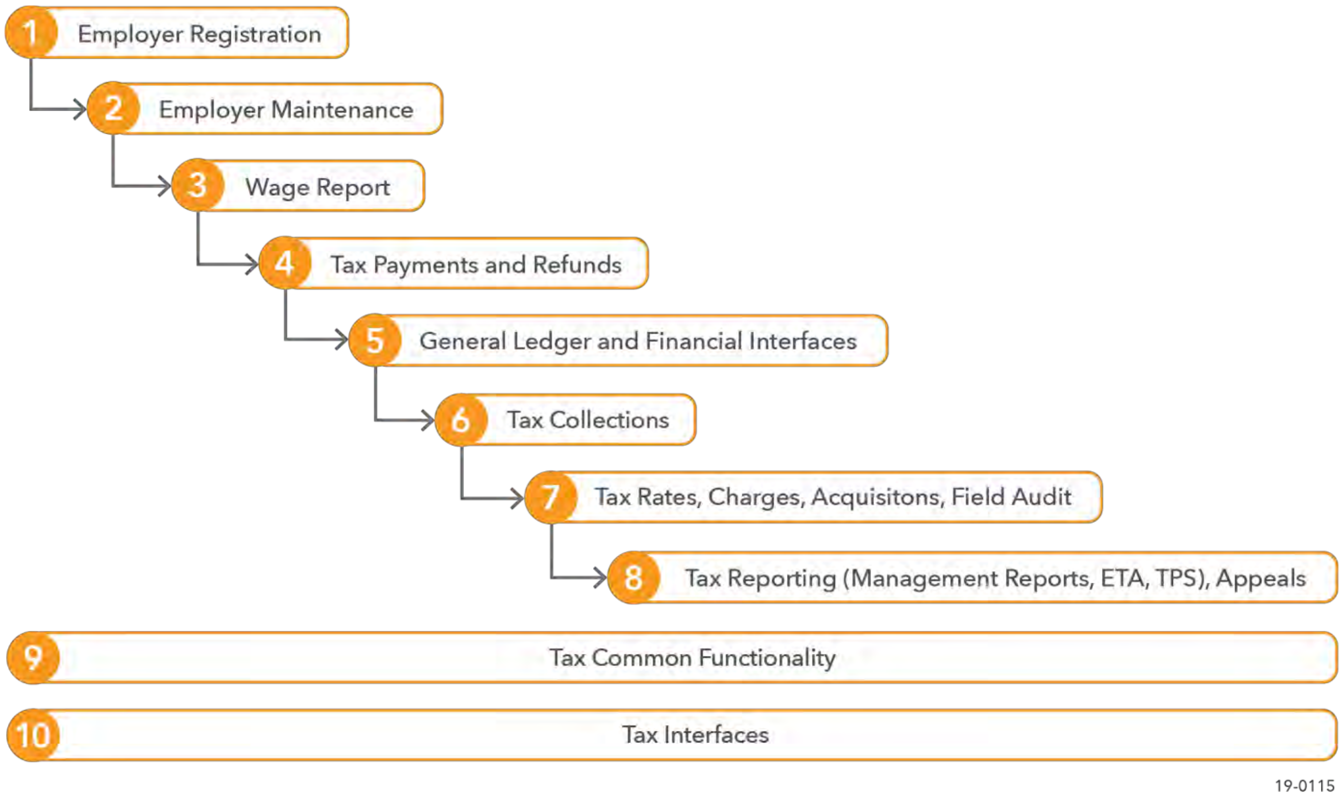

Figure 3- Sagitec Tax Iteration Model

3.5 Project Deliverables

Project deliverables provide the team with specific content upon which to base decisions and to document critical processes that will guide the UITS project through implementation. At the beginning of each project phase, the deliverables required to accomplish the associated tasks are reviewed, and a Deliverable Expectation Document (DED) is created to define the purpose, acceptance criteria, and approvals for each deliverable. In this manner, expectations on content and acceptance are established prior to releasing the associated Deliverable.

3.5.1 List of Project Deliverables

The following key deliverables shall be created during the UITS project. There are two types of deliverables. Contract deliverables from the RFP are designated in the Code column below by the 'DEL' prefix. These deliverables' purpose, content, timing, and acceptance criteria will be validated, updated, and incorporated into Deliverable Expectation Documents (DEDs).

Code	Deliverable Description	Type
DEL1	Monthly Project Status Reports	Document
DEL2	Project Plan, Schedule and Updates	Document
DEL3	Work Product	Document
DEL4	Requirements Traceability Matrix	Document
DEL5	Project Management Plan	Document
DEL6	Infrastructure Plan	Document
DEL7	Implementation Plan	Document
DEL8	Database Management Plan	Document
DEL9	Legacy Data Plan	Document
DEL10	Data Conversion Plan	Document
DEL11	Test Plan	Document
DEL12	Phase Completion Report	Document
DEL13	Training Plan	Document
DEL14	Training Materials	Document

DEL15	Monthly Warranty Status Report	Document
DEL16	Agreement Copies	Document
DEL17	Product Roadmap & Release Schedule	Document
BP01	Requirement Validation and Product Configuration document	Document
BP02	System Security Plan	Document
BP03	System Interface Design Scope Document	Document

Table 1: Project Deliverables

3.5.2 Deliverable Management

Deliverable management is a two-part process. First is the development and approval of the Deliverable Expectation Document (DED). Once the DED is approved, the project team is authorized to work on the deliverable. Once the deliverable is completed and final, it is submitted for approval/acceptance following the Deliverable Submission process.

Develop Deliverable Expectation Document

- **Create Draft DED:** The Sagitec PMO will develop the DED based on input from the deliverable owner, contractual requirements, UITS project standards, process standards and guidelines, and/or technical standards and guidelines. A draft DED includes the following:
  - Standards and Guidelines – The specific items that must be included for the deliverable to be approved.
  - Approach – Defines the approach for the development of the deliverable and the identification of key milestones. Key milestones may include pre-submission dates for larger deliverables.
  - Deliverable Definition – Describes the content of the deliverable, identifies deliverable formats, deliverable components, and assumptions related to each deliverable.
- **Sagitec Internal Review of Draft DED:** Once the Sagitec PMO completes the DED draft, one or more Sagitec team members review the draft DED to ensure the document meets all UITS project requirements. If it meets those requirements, the Sagitec PMO will release the DED for DOES review. Specifically, the Sagitec PMO uploads the DED to the SharePoint site and notifies the DOES UITS Project Manager.
- **DOES UITS Review:** The DOES UITS Project Manager begins a SharePoint Approval Workflow for the document and assigns DOES UITS staff to review the draft DED. If a reviewer requests additional information before recommending approval, the reviewer will enter comments directly in the DED and notify the DOES UITS Project Manager. The manager will then send it back to Sagitec for update. DEDs for which DOES recommends approval are forwarded to the Project Director.
- **Approve Draft DED:** Upon completion of the final review, DOES UITS Project Manager approves the DEDs using the SharePoint Workflow function.

The accepted DED remains accessible through the SharePoint site.

Deliverable Submission and Approval

Once the DED is accepted, the PMO informs the team that the DED has been approved, and the second phase of the Deliverable process commences. Specifically, the Sagitec team proceeds with the work related to the associated deliverable.

This deliverables submission and approval process is a structured approach that includes confirming expectations for each deliverable, acceptance criteria for documentation, and test certification criteria for software. It is embedded in our Quality Assurance process that enhances our ability to meet acceptance criteria *prior* to submitting deliverables for DOES UITS's review and approval.

An assigned deliverable owner manages the acceptance process and is responsible for the deliverable based on our contractual obligation for the specific product.

The following figure depicts this deliverable review process:

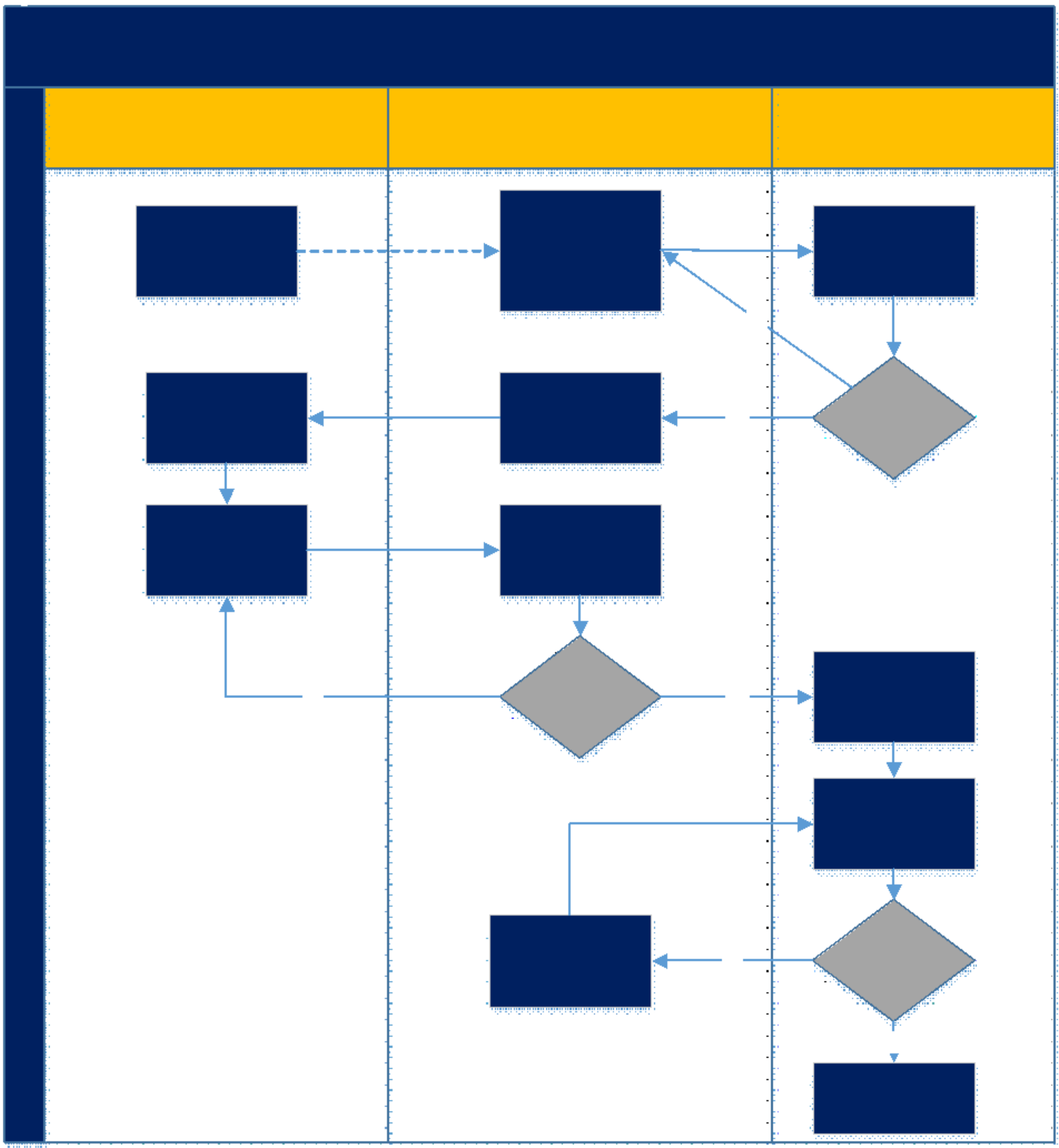

Figure 4- Deliverable Review Process

The formal deliverable approval process will take place within the project SharePoint site, using the document workflow process that is native to the tool. When each document has completed the internal Sagitec quality review process, Sagitec uploads a draft to the SharePoint site for DOES UITS to begin their review. Relevant team members will be added to the workflow, and a task notification email will be sent to each individual. The DOES UITS reviewer can then check out the document, add comments for requested changes within the document, and resave the reviewed version back to SharePoint. Once the deliverable has met the requirements detailed in the DED, each reviewer will approve their task in the workflow. Only when each reviewer has accepted is the deliverable approved. The PMO then informs the Project Manager and team. To help facilitate this approach, the PMO may schedule face-to-face meetings to review comments.

3.6 Project Performance Control

General objectives of the project performance control are:

- To provide frequent indicators of the project progress.
- To provide early warning of problems either in the project's timeline, potential variation outside of scope, or beyond the identified budget.
- To allow employment of corrective actions as early as possible.
- To create a knowledge base for future planning, risk management, and corrective processes.

Performance, risks, and issues will be managed through defined project management and risk management processes.

3.6.1 Performance Reporting Metrics

During the inception phase of the project, the specific performance metrics utilized throughout the project will be identified in collaboration with DOES, along with the specifics of performance and status reporting. The metrics may include the following attributes:

Project Metric	Location
Project Schedule Variance	MPP
Deliverable Status	SharePoint, Monthly Status Report
Requirements Baselined/Implemented	Requirements Traceability Matrix
Software Defects	NeoTrack, Monthly Status Report
Test Case Execution	NeoTrack, Monthly Status Report
System Interface Readiness	Monthly Status Report
Risk/Issue Factors and Mitigation Activities	Risk/Issue SharePoint Logs, Monthly Status Reports
Training "Tool Kits" Readiness and Execution	Monthly Status Report

Table 2: Project Metrics

Project progress will be reported on a weekly basis, and project milestone reviews will be conducted for each major phase, assessing deliverable completion and project schedule. This is described in more detail in Section 7: Quality Management. Significant variances will be discussed in weekly status meetings. If appropriate the event will follow escalation procedures defined in Section 3.6 of this Project Management Plan.

3.6.2 Project Milestone Review

The project schedule is based on a series of "project milestones" that provide formal checkpoints for the Project Steering Committee, Project Director, and the Project Team. Specific milestones are listed in Section 4.2 of this Project Management Plan.

The purpose of the milestone review meeting is to conduct a comprehensive project health status check to ensure the project is on track for implementation and project Go-Live.

3.7 Project Reporting and Report Schedules

Formal reporting is critical to the successful monitoring and management of a project. Sagitec will use a comprehensive Status Report to cover schedule performance, change requests, and open issues. The Status Report will also provide an overall *Project Health Dashboard* that reflects the opinion of key Sagitec and DOES PMO Stakeholders as to how the project is trending. An example of this Dashboard provided in Appendix A as a part of the standard Status Report.

Green	Project critical path timeline is on track; Risks and Issues are being managed actively.
Yellow	Risks and/or Issues impacting Scope, Schedule, and/or Quality require escalation or intervention to prevent delays to the project's critical path timeline.
Red	Risks and/or Issues impacting Scope, Schedule, and/or Quality will prevent on-time implementation.

The project's progress will be documented and provided to the PMO in the form of the weekly status report and a monthly dashboard. The report will reflect the major activities, key accomplishments of each team, and significant issues or indicators of potential delays for the reporting period. The monthly status report will serve as the agenda for the status meetings.

Topics to be covered and discussed will include:

- Tasks completed since the last report.
- Tasks that were delayed, reasons for the delay and expected date of completion.
- A list of open project-level action items organized by team.
- Significant departures from the project schedule together with an assessment of causes, and objectives and strategies to achieve realignment.

- Planned activities for the next scheduled period.
- Summary of major concerns or blockers, risks and issues encountered, proposed recommendations;
- Other topics that require the attention of the Project Director.

A sample of this Status report is provided in Appendix A.

3.8 Project Management Office

Sagitec generates status reports for the status meetings and documents meeting minutes. The Sagitec PMO leverages continuous improvement techniques to review the effectiveness and timeliness of this reporting and, if needed, revises the format, timing or metrics of the monthly status reports. The following table outlines Sagitec's responsibilities that will validate the quality of project management reporting.

Area	PMO Responsibility
Risk and Issue Identification	The Sagitec PMO analyzes the SharePoint risk log to identify trends and root causes. PMO communicates the risks through the status meetings with the project leadership team. This will be done weekly.
Schedule Management	The Sagitec PMO reviews the project plan bi-weekly for accuracy and for evidence that the project plan is being followed and maintained.
Scope Management	The Sagitec PMO reviews the requirements traceability matrix as part of each iteration sign-off to confirm the matrix is being updated and that requirements are traceable to use cases.
Software Defects Tracking	The Sagitec PMO regularly reviews the software defect tracking process. This review includes an analysis of defects to look for trends and "hot spots." Results are included as part of the monthly status report.
Resource Management	The Sagitec PMO reviews onboarding and off-boarding procedures. Upon departure, the Sagitec PMO reviews user access logs to confirm that access to the DOES UI Tax solution is inactivated.
Information Management	The Sagitec PMO reviews the SharePoint portal regularly to confirm that documents are stored appropriately and that naming conventions are followed. Instances of noncompliance are forwarded to the team member for correction.

Table 3: PMO Responsibilities

3.9 Project Escalation

There may be situations that arise on the project where teams can not agree on a path forward, either because they do not have the authority to approve a decision, or because they can not agree on the correct actions/configurations to make. It is important to lay out the path for escalating these decisions to ensure that teams do not impede project progress due to potential disagreements.

The following table details the criteria for escalation from the project's front-line staff to the Executive Steering Committee.

Project Staff Level	Decision Authority	Does/Sagitec Escalation Path
Business Analysts, Subject Matter Experts	• Defining business rules • Designing business processes	Functional Leads/UITS DOES PM
Business/Technical Team Leads	• Setting business strategy and approach • Resolving disagreement over business rules, changes to product not involving cost/scope/schedule change	Project Leadership Team/UITS DOES Sponsor
Project Leadership Team	• Disagreements or issues unable to be resolved at the lead level • Potential changes to project schedule • Potential resource constraints/ team availability	Project Steering Committee/UITS DOES Sponsor
Change Control Board	• Specific to Change Requests, the CCB can approve Class II CRs for implementation	Project Steering Committee/UITS DOES Sponsor
Project Steering Committee	• Potential changes requested involving increased scope and cost	Project Sponsor/Project Director

Table 4: Project Escalation Path

If escalations are determined to require a change request to move forward with the resolution, the Project Leadership Team will engage the Change Control process involving the Change Control Board, and the formal request will be governed by the Change Management Plan.

4. Project Milestones

4.1 High-Level Project Timeline

The UITS project began in October 2019 and is scheduled for implementation in December 2020. Please see the high-level Gantt chart below for more detail.

The project schedule will be baselined, tracked, and executed according to the project milestones outlined in Section 4. The detailed initial Work Breakdown Structure is included in the DEL 2 Project Schedule.

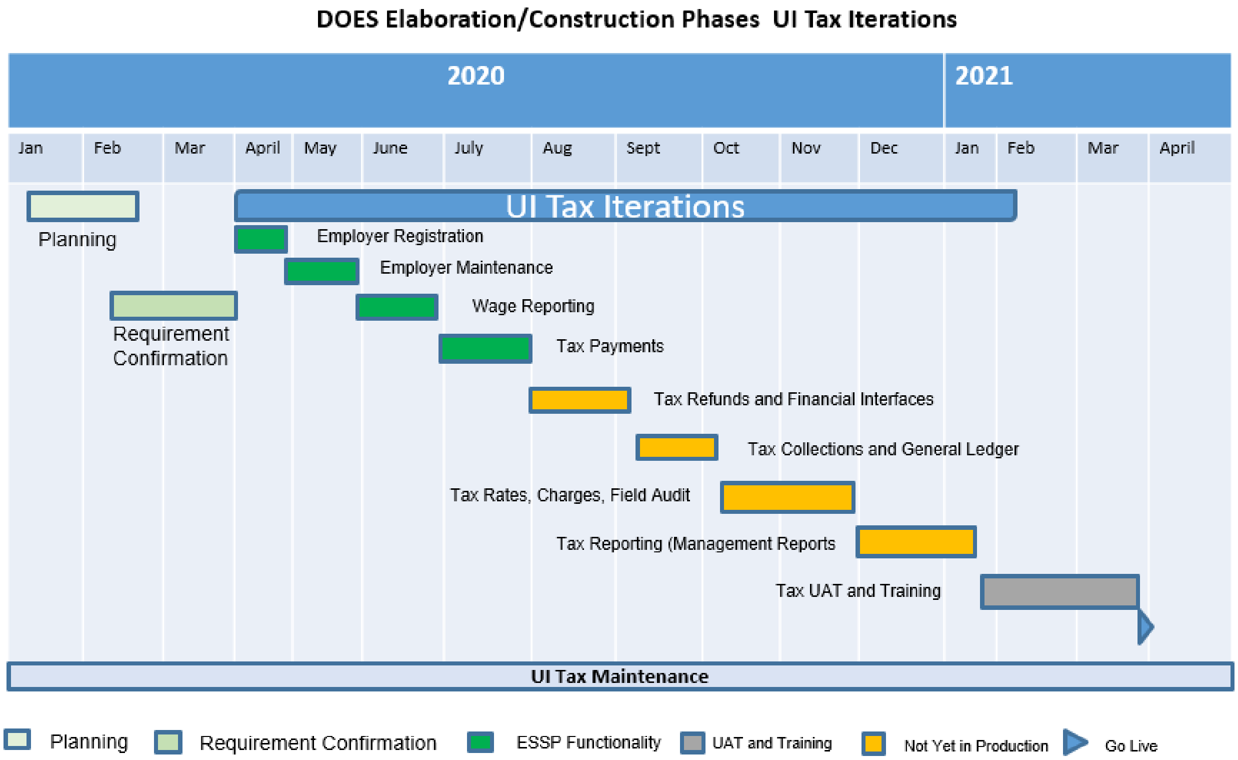

Figure 5- High-Level Project Timeline

4.2 Key Project Milestones

The following table outlines the core milestones that will be actively managed and reviewed during status meetings. These milestones are also captured in the UITS project plan.

Milestone Description	Completion Date
Milestone #1 - Project Inception	March 2020
Milestone #2a UITS Elaboration (Requirement Confirmation)	April 2020
Milestone #2b UITS Elaboration (Product Configuration)	February 2021
Milestone #2c UITS Elaboration (Construction/Testing)	March 2021
Milestone #3 UITS Transition	April 2021
Milestone #4 Data Conversion	April 2021
Milestone #5 Warranty Completion	April 2022

Table 5: Project Milestones

4.3 Project Schedule Management

The UITS project will utilize time management processes to create a detailed project plan and control the project in regard to the approved MPP. These activities will include:

- **Activity definition:** A central list of activities and tasks to be performed to accomplish the project's scope of work will be finalized during project inception and documented in the work breakdown structure (WBS). Detailed tasks to manage at a daily level will be defined during preparation activities for these core activities, e.g., Requirement Confirmation, Product Configuration, User Acceptance Testing, etc.
- **Activity duration estimating:** An estimate for the tasks documented in the project work plan will be based on our life-cycle development methodology and prior experience. Ideally, the tasks should have a level of granularity that allows for measuring, managing, and controlling tasks.
- **Schedule development:** Start and end dates will be generated based on the dependencies between tasks, as well as resource requirements, availability, and the business needs of the stakeholders.
- **Schedule control:** Project teams will be required to report, on a bi-weekly basis, any deviations from plan so that early intervention can be performed and corrective action is taken. The project plan will be updated in a controlled manner to revise activity sequencing and estimates or to add tasks that have been approved.

The baseline schedule for the UITS project will be tracked in the Master Schedule using Microsoft Project (MPP format). The tool will create a baseline and update the critical path as tasks are completed or delayed. In many cases, there are "near-critical paths" that will be closely monitored as well.

When reporting on schedule status, each missed milestone (variance) will be addressed, including cause and potential impacts. If the missed milestone is on the critical path, the impacts and a workaround plan will be identified.

This document contains procedural information in regard to the Schedule Management approaches and activities during the UITS project. The processes and procedures described in this section will apply to the document DEL 2 Project Schedule (MPP).

DOES UITS
MPP_V9_SC.pdf

4.4 Scope Management

Scope Management begins with a clear definition of the project scope and agreement amongst all the stakeholders. At the onset of the project, we work closely with the Project Management Office (PMO), DOES consultants or staff and, as appropriate, with the Sponsors of the UI Modernization Project to confirm the Project Scope. The scope defines the overall objectives for the project and identifies/confirms constraints and assumptions. The primary mechanism used to define project scope at a detailed level are the Requirement Confirmation Sessions held at the start of the Elaboration Phase. These sessions will be held separately to address three areas of requirements:

- RFP Functional Requirements
- RFP Technical Requirements
- Interfaces

During each of these sets of activities, the relevant stakeholders for both Sagitec and DOES will convene to review RFP requirements, discuss intent and meaning, and adjust language as needed to provide greater clarity downstream when it is time to design and validate the system solution. At the completion of the RFP functional requirement confirmation sessions, the updated RFP requirements will be loaded to DEL 4 Requirements Traceability Matrix and the project traceability tool, NeoTrack, for tracking through design and testing. The specific processes followed for this effort are contained in BP01: Requirements Validation and Product Configuration document, and BP03: System Interface Design Scope document.

We also clearly define our roles and responsibilities for DOES and Sagitec team's resources for core activities facilitated within each project phase, we will identify:

- Organizational roles and responsibilities;
- Scope statement for the functional iteration;
- Detailed work plan for each functional iteration.

Once these artifacts are approved, they will be subject to change control. The outcome of this process will be a clearly defined Scope Statement with supporting detail that will provide the foundation for the detailed work plan.

5. Resource Management/Staffing Plan

This section documents the approaches, methods, and controls used within the DOES UITS project to ensure the project has the appropriate skills and resources to accomplish project outcomes. Sagitec understands that having team members with the appropriate skill set is essential to the effectiveness of the UITS Project and this is reflected in the details below. The key staff members are just part of the team required to deliver the new Unemployment Insurance Tax solution. An appropriate approach for staffing additional team members is also vital. Therefore, our staffing plan includes information on how Sagitec plans human resource management, acquires staff, and develops the team throughout the project.

During the planning phases of the project, Sagitec will work with the DOES UITS project leadership to confirm the staff required to perform the tasks identified in the project work breakdown structure (WBS). We conduct this planning analysis through three lenses — organizational, system, and interpersonal — to help define the appropriate characteristics for the staff and the resulting project success.

We fill the identified staff roles using the Sagitec team members who meet the skillsets and availability needs consistent with the WBS timing and duration. When identifying the initial staff for the UITS project and when staffing future additions to the team, Sagitec focuses on key competencies and proficiencies, and previous experience for decision-making.

As staff members are brought into the project, they receive orientation and training consistent with their specific roles and responsibilities. This training enhances the resources' ability to function on a team. As we identify and assign Sagitec team members to the project, the Sagitec Project Manager coordinates any reporting relationships on behalf of these staff to clarify the extent of their focus and dedication to the UITS project for their assigned duration.

As the DOES UITS staff may have both functional responsibilities in their current job as well as an assignment to support the UITS project, we will work with the DOES UITS project leadership to help coordinate expectations and timeframes regarding the involvement of the DOES UITS staff.

5.1 Human Resource Management Definition and Approach

Human resource management is made up of the processes used to make the most effective use of project team members. This includes planning what resources are needed and when acquiring the right team members and developing their expertise and competencies for optimal team performance.

The baselined project schedule provides the needed inputs to create the resource plan. The resource plan to support the project in its entirety will be created and baselined after the schedule is approved.

Resource planning includes the following attributes.

Attribute	Definition
Person	Resource name.
Role	What position or role the person plays on the project.
Responsibilities	Short description of the responsibilities of this person.
Start Date	Start Date for when the resource will be on-board.
End Date	Expected roll-off date.

Table 6: Resource Attributes

5.2 Sagitec Project Resources

Sagitec resources required to deliver the project are summarized in the following table.

Role/ Role (* = Key Personnel)	Staff Name	Dates of Engagement	Skills/Tasks for the UITS Project
Project Director	David Minkkinen	Jan 2020 – March 2021	• Provides overall project leadership • Ensures appropriate resources are allocated to achieve project outcomes • Responsible for overall project performance • Monitors project risks and issues
Project Manager *	Shane Cox	Jan 2020 – March 2021	• Directs project team activities and manages the delivery of the project • Responsible for project schedule, staffing, delivery, budget, performance, and day-to-day activities • Primary person responsible for the day to day delivery of the project • Primary contact for the DOES UITS Project Management team • Manages project risks and issues • Responsible for project status reporting

Functional Managers *	Bernt Peterson	Jan 2020 – Dec 2020	• Responsible for leading UI Tax business areas • Responsible for the planning and execution of business team activities • Develop business design, verify system meets the design specifications • Schedule and conduct user training activities • Work with DOES UI Tax Lead Business Analyst to plan/execute business team activities
Development Lead *	Marcel Mascarenhas	March 2020 – Dec 2020	• Responsible for the planning and execution of development team activities • Manages development tasks and directs activities of operations manager • Works with DOES UI Tax Lead Technical Manager to plan/execute technical team activities
Technical Lead	Pankaj Sharma	Jan 2020 – Jan 2021	• Responsible for technical architecture design • Documents technical design • Coordinates technical architecture implementation among the various teams (infrastructure, application, database, etc.) • Manages Infrastructure set up tasks, security testing, and performance testing analysts • Conducts technical training sessions
Business Analysts	Carrie O'Brien Jason Parent	Jan 2020 – March 2021	• Supports documents business design • Supports testing activities and supports UAT • Supports user training sessions
Database Architect and Administrator	Palil Paliwal	Jan 2020 – Dec 2020	• Responsible for administering and managing the various project database instances

Testing Team Lead *	Supriya Joshi	Feb 2020 – Dec 2020	• Responsible for leading all testing activities of the project • Creates and manages processes for unit, system, interface testing, accessibility testing, performance testing, conversion testing, and UAT • Creates test scripts for various types of testing activities (unit, system, interface, conversion, etc.) • Conducts testing of the System (system, interface, and conversion testing)
Application Testers	Royella Almeida	March 2020 – Dec 2020	• Creates test scripts for various types of testing activities (unit, system, interface, conversion, etc.) • Conducts testing of the System (system, interface, and conversion testing)
Implementation Manager	TBD	Feb 2020 – Dec 2020	• Schedules and manages the project implementation-related tasks • Coordinates with DOES UITS implementation manager to jointly plan and execute project implementation and cutover tasks (external communication plan, cutover weekend plan, contingency plan, war room plan, internal communication plan, implementation team escalation plan, etc.)
Infrastructure Lead	Amit Desai	Jan 2020 – Dec 2020	• Responsible for the planning, installation, and operation of the hosted server/network infrastructure of the project • Schedules and executes infrastructure maintenance/upgrades • Coordinates with the operations manager and DOES to manage infrastructure maintenance tasks
Deployment Lead	TBD	Feb 2020 – Dec 2020	• Creates a deployment work plan and manages deployment tasks • Responsible for the deployment of the application to the various environments

Training Lead	Amy Schroeder	July 2020 – Dec 2020	• Responsible for planning and executing training activities. • Responsible for the creation of training materials, conducting train the trainer training sessions.

Table 7: Sagitec Resource Plan

These resources will be assigned to the DOES UITS Project based on the dates of engagement.

5.3 DOES UITS Resources

Sagitec will work collaboratively with DOES UITS to finalize staffing levels and the project schedule in the Inception Phase of the project. Table 7 and Table 8 below provide further details regarding the key activities that require DOES involvement throughout the UITS project. All of the roles listed in the table below are not required for the entire project duration. These resources will be needed based on the project phase and tasks that are planned for that phase. For example, the UAT testers will be needed a few weeks prior to beginning UAT and through the entire UAT project duration (See Del11 Test Plan). Timelines for the Task Areas in Table 8 can be found in the Del2 Project Schedule (MPP).

Task Area	Task Description
Project Management	• Manage the project, risks, and issues • Review and approve project deliverables
Requirements Confirmation	• Participate in requirements confirmation sessions • Confirm the disposition of each requirement • Review and approve project deliverables
Product Configuration and System Design	• Provide subject matter experts (SMEs) to participate in product confirmation sessions • Identify gaps and confirm requirements are satisfied by the solution • Review and approve design specifications and supplemental specifications • Provide guidance on District laws, policy and regulations • Review and approve project deliverables
User Acceptance Testing (UAT)	• Create test scripts for UAT • Execute test scripts in UAT environment

	• Identify software defects for resolution • Review UAT outcomes and system as ready for production implementation • Review and approve project deliverables
Training	• Identify lead trainers • Attend the "train the trainer" sessions with Sagitec training staff • Execute the end-user training sessions • Participate in technical training • Review and approve project deliverables

Table 8: Project Areas Requiring DOES UI Tax Resources

Specific team members will be expected to participate in the project at different times correlating to the activity areas in Table 8.

Role	Staff Name	Dates of Engagement
Project Sponsor	Ryan Moore-Lee	January 2020 – March 2021
Program Office Team	Mohan Sharma, Ajay Budhraja	Jan 2020 – December 2020
Project Manager	Mohan Sharma, Ajay Budhraja	January 2020 – March 2021
Business Team	Macarena Cantelas, Margaret Hernandez, Teray Kendall	January 2020 – April 2021
Testing (UAT) Team Lead	TBD	Feb 2019 – December 2020
Trainers	Teray Kendall	June 2019 – December 2020

Table 9: DOES UITS Project Roles

5.4 Human Resource Change Management Processes

As with scope, budget, and schedule, changes to resources must be the result of the analysis of an identified risk or issue. In addition to capturing associated changes to budget and schedule, the Sagitec PMO will track changes to staffing, so that appropriate onboarding and off-boarding processes are followed.

Resource changes specific to key personnel can only be submitted as a result of the analysis of a risk or issue and should detail the associated effects (if any) on cost and schedule. After the PMO conducts an impact assessment, the resource's skill level and responsibilities are taken into account. Occasionally, additional changes to the schedule will be identified as a result of the specific person selected. If a schedule change is identified, the change has to go through the change management process before the resource can be approved. In addition, once a resource change is approved at the PMO level, the specific person proposed must go through an additional approval process at the UITS Project Director level. This process applies to key personnel staffed in the following project positions: Project Manager, Technical Architect, and Data Conversion Lead.

5.5 On-Boarding and Training Needs

Training needs will be specific to the workstream and workstream leads will be required to develop their own onboarding documentation. The Sagitec PMO will provide basic onboarding information, including documentation locations, SharePoint and NeoTrack™ functions, project background, communication processes, and risk and issue reporting procedures.

Successful onboarding is critical on this engagement because of the project's size and complexity and the number of staff members involved. Successful onboarding for the project is defined as a resource that understands and can verbalize the project's goals and objectives, communication process, documentation management procedures, and responsibilities.

5.6 Compliance Considerations

Sagitec handles resource security by conducting background checks on all staff added to the project, including subcontractors. This process is managed by the Sagitec Project Manager. In addition, Sagitec and DOES have agreed to a confidentiality agreement that requires compliance for both Sagitec and DOES UI Tax staff. Each staff member added to the project will complete the following DOES credentialing documents:

- Code of Responsibility
- Acknowledgement of Data Confidentiality
- Acknowledgement of Ethical Responsibility
- DOES Form 752A Contract Service Request
- DOES Form 752B Contractor Information
- Emergency Contact Form
- New VPN Request Form
- Photo ID Form
- Contract Worker ID Request Form

5.7 Subcontractor Management

Sagitec is responsible for the performance of any subcontractor assigned to the project. Subcontractor management includes completion of approved subcontractor agreements, amendments to those agreements, operational review, oversight, and performance management. Once agreements are in place, the majority of the effort is related to the operational aspects, with the primary tasks being collection and review of timesheets, reconciliation of timesheets to subcontractor invoices, and performance management. Sagitec will integrate these resources into the project team in order to provide a cohesive team that delivers seamless services to DOES.

Subcontractor management is ongoing throughout the life of the project. Our subcontracts include performance clauses in our subcontractor agreements. We continually review the performance of our subcontractors to ensure they are meeting District project goals and delivering results. Sagitec will manage the subcontractors' work on the project.

6. Communication Management Plan

Communications management defines the overall communications required for this project as well as the audience, purpose, frequency, and method of distribution. Document storage and control defines the requirements and tools used to manage all project communications.

The communications approach for this project serves as the guideline for what information will be communicated, by and to whom the information will be an , and the method in which the communications will be delivered. Effective communication targets the appropriate audience and considers the corresponding media, presentation, and style.

This Communications Plan defines the approach, organization, methodology, and tools for communicating and collaborating throughout the project to ensure a successful implementation. The plan is designed to provide clear direction to all stakeholders and to make sure that designated personnel conduct timely and informative status meetings and reports. Targeted plans keep key stakeholders and impacted staff engaged and informed throughout the project.

Execution of this Communications Plan section results in clear and open lines of communication among the joint Sagitec-DOES UITS project team, external stakeholders, and internal staff. It includes two types of communication/reporting methods for both internal and external communication:

- **Formal Communication/Briefings/Reports.** Regularly scheduled, standing meetings as defined in the Project schedule, such as weekly project meetings, change control meetings, and deliverable status meetings. Monthly status reports, monthly status meetings, project briefings, and documents.
- **Informal Communication.** Regular, ongoing communication between Sagitec team members and the UITS project Team, including communicating with the UITS project leadership, escalating priority issues immediately, conducting presentations, and facilitating meetings.

The Communication Plan for the UITS project will outline the approach and processes that DOES should follow in managing communications across the entire project. From system design throughout implementation, and into production, the Communication Plan becomes the roadmap to identifying, creating, reviewing, and releasing critical information that impacts UITS project activities.

The following figure presents the process for managing the communication plan for the project.

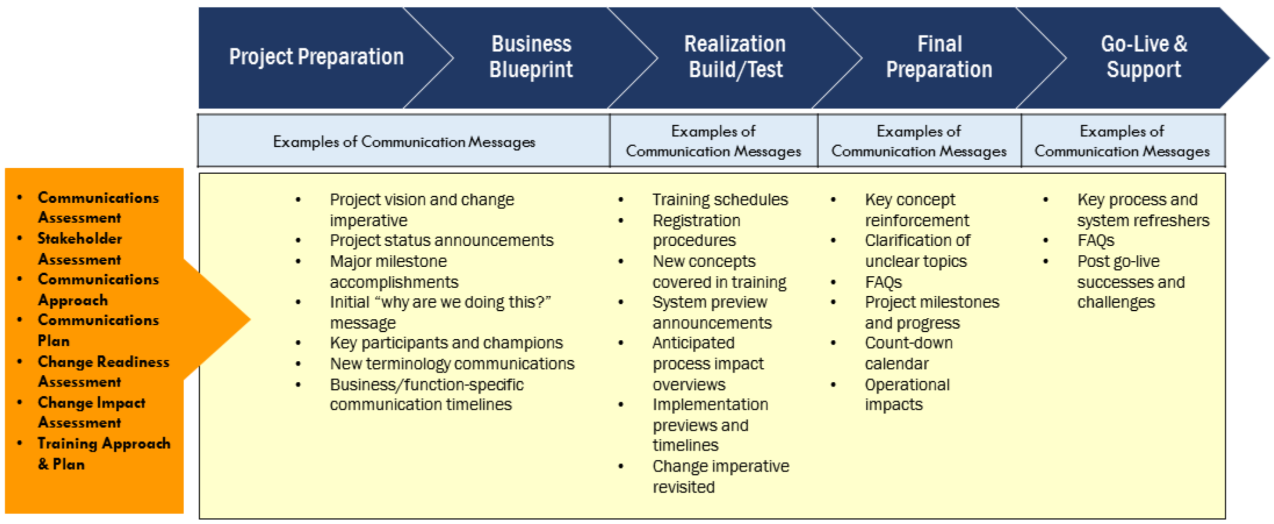

Figure 6: Communications Management Process

6.1 External Stakeholder Communication Management

Overall leadership in communication with user communities has to be led by DOES UITS's Communication teams while the UITS project Team provides technical and informational support. The ability of the UITS Team to leverage the synergy of the team and their project knowledge is stronger prior to Go-Live, while after the Go-Live, the support is oriented mainly on the system's changes.

UITS Project Team role:

- Before Go-Live as a knowledge base for all aspects of the new UITS solution implementation.
- After Go-Live by providing:
    - Technical information support to DOES UI Tax staff
    - Information about future system changes to DOES UI Tax staff and user communities.

DOES and appointed stakeholders will work together closely to implement a comprehensive communication strategy for Employers, TPAs, and DOES UI Tax staff. It is essential that the aforementioned stakeholders are provided all the necessary tools for sharing and distribution of information related to the expected implementation of the new UITS solution before the Go-Live date. In addition, DOES UI Tax staff need to be prepared to answer questions related to the new system during implementation, as well as during the first months of the system production phase.

Communication approaches, tools and channels must be tailored to the future user community to maximize their impact on the success of the system's adoption. Beyond the electronic filing needs the communication plan considers the following:

- Communication phases in coordination with UITS project.
- Communication management.
- Employer types and sizes.
- TPAs and types of services provided to their employer-clients.
- Grouping staff based on their likelihood of accepting change.
- Communication channels preferred by employers, TPAs, claimants, and DOES UI Tax staff.
- Availability of the contact information for targeted electronic communication.

6.2 Communication Phases

The communication plan includes the following activities:

Proactive communication before Go-Live with the following objectives:

- Notify current employers, TPAs, and DOES UI Tax staff of the new system and provide them timeframes for future communications and implementations.
- Ensure the successful onboarding of the currently registered employers and their TPAs;

- Ensure staff has a chance to see what to expect in the new system, stay updated on progress, and, most importantly, are constantly reminded the new system is not taking their job but rather improving it.
- Prepare the future users to a change of the current way of doing things to the new UITS solution processes and features.
- Increase future users' buy-in and lay a framework for successful system adoption.

Ongoing communication after Go-Live with the following objectives:

- Lead the users through the change of the current way of doing business using the new UITS solution features.
- Facilitate the successful transition of the currently registered employers and their TPAs.
- Navigate the new users through registration and initial reporting steps.
- Increase users' buy-in and support successful system adoption.

6.3 Specific Communication Methods

The communication plan considers the following:

- Providing targeted information to individual user groups.
- Combination of broadcasted information and on-demand resources to satisfy various needs and communication preferences of the users.
- Gradual growth of their knowledge about the new system.
- Operative information emphasizing immediate actions needed (activation of online access by the Employers and TPAs, in-depth training which includes process, procedures, and law changes for DOES UI Tax staff).
- Provide a DOES UITS website with updated information about the project, implementation, and changes.

The table below provides the details of different audiences for project communications, as well as the general form those communications may take.

- **Audience**: Refers to the stakeholders to whom the communication is directed.
- **Information Focus**: Refers to the project details most relevant and likely to be conveyed to the specific audience.
- **Style**: Refers to the tone and objective of the communication under development.
    - Promotional – A public communications style designed for an external audience. The degree of background or explanatory information is dependent on the audience and message.
    - Functional – An internal, informational style designed to convey specific project information that may exclude background or certain explanations as a common understanding is assumed.
    - Technical – A communications style designed to convey specific requirements, results or observations.
- **Medium**: Refers to the general method(s) of message delivery. Individual communications may use different delivery methods, including the following:
    - Formal delivery – For formal, written reports or documents. Messages delivered by formal delivery are considered "final" and tend to be PDFs. They can be emailed or printed and provided in person.

  - Email delivery – For draft or working documents or informal communication. Emails are retained and considered part of the Public Record under the Sunshine Law.
  - SharePoint delivery – For messages posted to locations in SharePoint repository previously defined and known to hold content similar to the message. An example might be a report that is run at the same time every week and posted to a reporting folder.
  - Verbal delivery – Any verbal communication by phone or face-to-face meeting.
- **Considerations**: Refers to elements that may inhibit successful communication. These may include geographic distance, level of involvement, or any other details specific to the stakeholder for whom communications are directed.

Audience	Information Focus	Style	Medium	Considerations
PMO, Technical Team Leads, and UITS Project Managers	Effects on scope, budget, time, schedule, resources, risks, issues, and contract compliance.	Functional	Email, SharePoint, Verbal	Acknowledgment may be missed, particularly if communication is passive (e.g. posted to SharePoint). Follow up with agenda items in team TouchPoint meetings to confirm communication.
Project Director, Project Leadership Team (PLT)	Effects on scope, budget, time, schedule, resources, risks, issues, contract compliance, and business objective achievement.	Promotional, Functional, Technical	Formal, Email, SharePoint, Verbal	Recipient will receive a large volume of Messages. High Importance messages or those requiring action or approval will need to be clearly separated from advisement communications.
System Integration Team (Sagitec)	Effects on technical design considerations, technology capabilities, business objective achievement.	Promotional, Functional, Technical	Formal, Email, SharePoint, Verbal	PMO will also need to understand communication paths within the integration team to document in the communication plan.

The UITS project Steering Committee (Executive Leadership)	Effects on budget, schedule, and achievement of business objectives.	Promotional	Formal, Email, Verbal	Executive Leadership includes Executive Director, CIO, and Division Director. Will be interested in different information depending on position. Will need to provide background for context, and PMO will need to tailor communication to areas of interest.
Internal Project Stakeholders	Training and implementation timeline. Changes in business processes and job functions.	Promotional Functional	Formal, Email, Verbal	Project team will need to reach out to DOES UI Tax communications staff in timeline discussions.
External Customer Stakeholders (Employers and Third Party agents)	Effects on schedule and achievement of business objectives. Required engagement for credentialing and access to Employer Portals.	Promotional	Formal, Email, Verbal Focus groups, dry-runs or pilots prior to go-live Webinars	External stakeholders may require a variety of promotional style communications to convey project progress (e.g., public meetings, newsletters, presentations, Web sites, and status reports).
External Partners (Agencies/organizations we interface with). Examples include DOR and DSS	Communication of interface specifications and testing the exchange of data	Functional and technical (Task-Oriented)	Formal, Email, SharePoint, Verbal	Need to provide enough lead time for any changes external partners may need to make for their systems.

Table 10: Communication Audiences and Methods

6.4 Communication Dissemination

The following section defines the plan for disseminating specific project documents. The following lists known types of communications and includes the following elements:

- **Type**:
  - Formal – Less frequent project communications finalized with the appropriate level of detail for the target audience.
  - Project – Frequent project communications required to manage scope, budget, time and resources to meet the Project Schedule and acceptance criteria.
  - Contract – Communications used to manage the relationships between DOES UI Tax and Sagitec. The communications include invoices, status reports, staff approvals, deliverables acceptance, etc.
- **Name**: The title of the document / communication to be used conversationally to identify the communication (e.g. “the UITS Monthly Status Report”).
- **Purpose**: The purpose of the communication.
- **Sender**: The initiator or owner of the communication and responsible for effective communication and for confirming acknowledgment.
- **Recipient**: The target of the communication.
- **Timing and Delivery**: When and how the message is delivered.
- **Acknowledgment**: The process of documenting how the sender knows that the communication was received by the intended recipient and the purpose of the communication was achieved.

The below table details the various project reporting documentation anticipated for this project:

Type	Name	Purpose	Sender	Recipient	Frequency	Acknowledgment
Formal	Monthly Status Report	Update since last Project Leadership Team meeting	Project Manager	PLT, UITS Project Director	Monthly	PLT updates tracking sheet for the week confirming receipt of the document
Contract	Invoices	Communicate deliverables completed in the previous month	Project Manager	Project Director	Monthly	Request Project Director returns positive confirmation of receipt by email
Project	SharePoint Issue Log	To communicate the existence of a new issue	Issue Initiator	PLT	As needed Feeds into SharePoint	Monthly review in PLT meeting
Project	SharePoint Risk Log	Supports analysis of the risk	Risk Initiator	PLT	As needed Feeds into SharePoint	Weekly review in PLT meeting

Project	Action Items Log	Maintain records for action items	Sagitec PMO	PLT	Weekly	Weekly review in PLT meeting
Project	Change Control Log	Maintain records for changes	Sagitec PMO	PLT	Monthly	Weekly review in PLT meeting
Project	Approved Change Request Repository	Maintain central location for all Approved Class II and Class III Change Requests	Sagitec PMO	PLT	As Needed	As needed
Project	Deliverable Expectation Document	Communicate acceptance criteria for Deliverables	Sagitec Project Manager	DOES UITS Project Director	One time in project initiation phase	Approval of DEDs

Table 11: Communication Types, Responsibilities, and Frequencies

6.5 Published Documents vs. Public Website

Communications for the project are intended for specific audiences, both internally and externally. SharePoint provides a centralized team site for document collaboration, version tracking, storage, and more. The project team will be trained to use the site for internal publication and collaboration. Documents posted to the project site will be available to the specific team members and stakeholders with the appropriate access.

6.5.1 Document Storage and Control

All communications are managed by the Project Leadership Team and the PMO. The primary method of document storage and control is Microsoft SharePoint. The SharePoint site serves as the central repository for all project documentation and some project communications.

Site and folder structures are currently in development. As the site is developed and the project matures, modifications are expected in the interest of intuitiveness and navigation for the project team. Deliverables and project documents will be stored in SharePoint, and fall into the following categories:

- **Project Reporting Documents**: These are project documents created in the course of managing the project. These are primarily reports, including status reports, quality management reports, and performance reports. Details of the Monthly Status Report and proposed Testing/QA reports are in the templates in Appendix A of this plan.

- **Project Planning Documents**: Includes all general project plans and schedules with the exception of technical implementation plans that are included in the following category.
- **Project Implementation Documents**: These are project documents related to system implementation and include requirement traceability, use cases, testing results.
- **Project Change Control Documents**: These are project documents related to managing change within the project, including risk and issue reports and change requests managed through the Change Management Plan detailed in Section 10.
- **Miscellaneous** – other project-related documents that may need to be preserved for documentation or future use purposes (for example, address lists, supporting technical studies, important work documents, etc.)

7. Quality Management

The quality management approach on this project establishes the processes, tools, and roles and responsibilities required that will be in place on the project. It also serves to provide management with objective insight into the methods used to guide the quality of work products and deliverables produced, and the quality of processes used to produce those products. This plan goes beyond providing a methodology and instills a quality management culture throughout the project.

Quality management must be a continuous effort lasting for the duration of the project. It includes two main processes:

1. **Quality Assurance (QA)**: Proactive approach that is focused on applied methodologies, approaches, high standards used in project planning activities as well as industry best practices utilized in software development lifecycle. Defined methodology principles assist in the planning, design, and implementation of the processes focused on quality product or service delivery. Quality assurance is built into the process, in all activities, involving all participants, using objective measurements and criteria, and not treated as an afterthought or a separate activity performed by a separate group. Quality Assurance principles and methods are built into the standard project processes.

2. **Quality Control (QC)**: Reactive activities utilized to measure project performance and product quality and provide information necessary for fact-based management and a good selection of corrective methods where necessary. Quality Control Processes and Procedures are focused on all deliverables and processes throughout the UITS project.

Within the Quality Management discipline, there are three primary activities that we perform:

1. Plan and monitor for quality in all aspects of the Project
2. Verify and validate deliverables
3. Assess project processes and assets against organizational standards

7.1 High-Level Project Approach to Quality

The following sections address the high-level approach and processes that will contribute to a quality product using quality measures expected by DOES (See Del11 Test Plan for additional details).

Quality aspects are threaded throughout project phases not only by the Project Management methodology itself but also by the utilization of proven Software Engineering processes aligned to industry standards of various iterative Software Development Methodologies. This section describes how the UITS project will leverage several development methodologies to achieve quality software.

Throughout all of the project processes, a key component of implementing quality into the project's processes is based on the acronym outlining SMART guidelines. This is the structured awareness that mandates that measures related to a project's deliverables must be Specific, Measureable, Attainable, Realistic, and Timely. Templates, project schedules, deliverables and acceptance criteria are based on SMART project management principles.

In this section, quality assurance objectives are highlighted within each phase of the Sagitec Delivery Methodology.

The following figure illustrates quality checkpoints throughout our design and development process that confirms and validates that software functionality is satisfying business and technical requirements early in the project lifecycle.

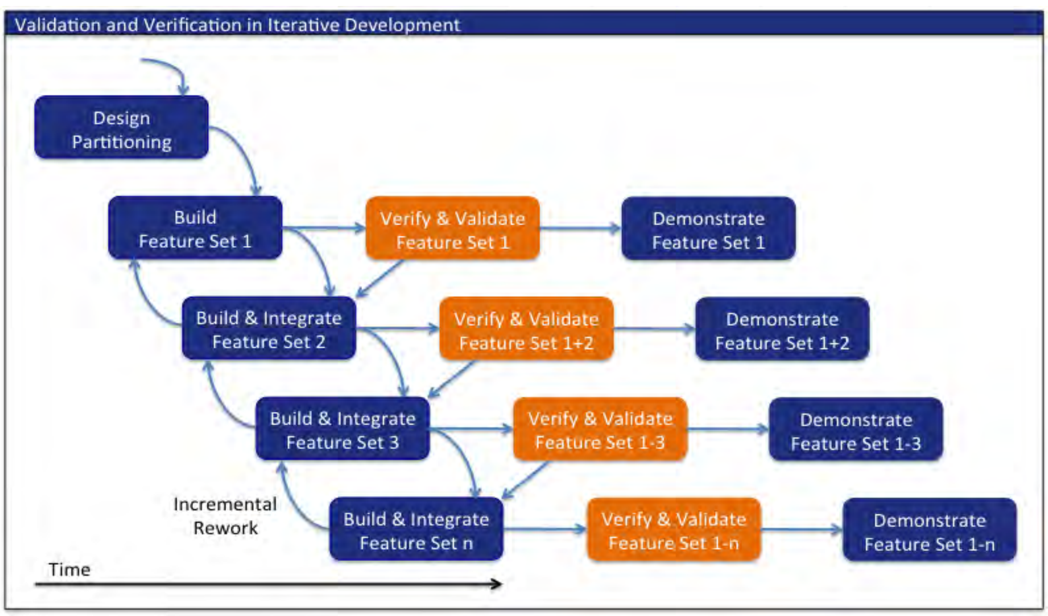

Figure 7- Incremental Build-Verify-Validate-Demonstrate Cycles

For preliminary planning of the iterative phases of the project, business processes and functional components of the application structure have been used as criteria for system partitioning.

In developing the iteration order, Sagitec utilizes a standard sequencing based on the flow of information through the Neosurance ™ UITS application. The team then reviews the RFP Requirements and Supplements to assess their alignment with the Neosurance™ solution. This alignment provided insight into the relative work effort needed for each iteration. This assessment is used to determine durations and make any adjustments in iteration order to provide a logical, streamlined build of the solution as well as insight into higher-risk or complexity so they can be addressed early. The workload across DOES UITS staff is balanced to minimize overlap of iterations that could create resource contention and strive to keep the iterations close to three weeks each. All of these factors used in sequencing the iterations will result in higher quality project deliverables and UITS System.

7.1.1 Integrated Project Teams

Experience from similar projects indicates that the best quality product is created when collaboration between future users represented by Subject Matter Experts (SMEs) and technical and implementation teams exists during requirement validation, design/development, and the transition phases. Effectively integrating DOES UI Tax staff and leveraging their expertise is a key aspect of the software development methodology. The UITS project will pay special attention to the collaboration and communication between technical staff and users (employers, agents, and Tax staff) in order to verify and validate a shared understanding of the System requirements early, and develop and implement the system that fits the needs of future users.

During the development of the new system and migration from the legacy system, concerted steps and actions are taken early and throughout development to collaborate with the SMEs and prepare the DOES UI Tax staff to manage and support a new business application. The steps and activities performed to collaborate, and pool resources will include collaborative management and staffing activities throughout the project and successful training and knowledge transfer programs.

7.2 Phase 1: Inception Phase (Initiate/Plan)

Instilling quality in the Inception phase activities begins with DOES UI Tax documented business process definitions, use cases, requirements, and business process diagrams. We leverage our existing UI Tax solution, Neosurance™, throughout all Software Delivery Life Cycle (SDLC) phases to identify the configurations required to meet DOES UITS requirements.

During the Inception phase, Sagitec will work with DOES to develop and gain agreement on project plans by which progress and success will be measured. This planning, largely contained in this DEL 5 Project Management Plan and other subsidiary plans named in Section 3.2.1, will encompass topics that include:

- How the teams will communicate with internal/external stakeholders.
- How requirement confirmation sessions and product configuration sessions will be executed and how baselined requirements will be traced through to production.
- How changes to scope/schedule/cost will be addressed.
- What processes will be followed to ensure a quality solution.
- Project schedule, project governance, and resources for the project.
- Establishment of project SharePoint site for the central location of documents, templates, and tracking.

- Training of all joint project staff on how to follow these processes and utilize these tools.

7.3 Phase 2: Elaboration Phase (Requirements/Design)

The elaboration phase confirms DOES UITS business and technical requirements while also identifying product configurations during the iterative design sessions. In this phase, we verify quality early and often in order to avoid rework in later phases of the project.

During the elaboration phase of the project, the end product will benefit from DOES UI Tax staff participation in the below project activities, especially as they provide leadership, clarity, and direction, or resolve issues related to these items:

- Requirement baselining during Requirement Confirmation sessions.
- Business Requirements and Design, industry best practices.
- Technical environment and architecture, system design and impact analysis.
- User acceptance testing and user training.
- Integration with other systems (example: Districtwide financial systems and banks).

Utilizing resources from DOES UI Tax in each of these areas will result in a higher quality solution. The knowledge that SMEs can offer will be used to enhance the solution design, resolve issues, mitigate risks, and collect lessons learned.

7.3.1 Phase 2a: Requirements Confirmation

To start, DOES UITS RFP requirements will be transferred into the NeoTrack™ requirement management tool, which will be used throughout the project to trace all requirements. NeoTrack™ contains existing requirement templates for UI Tax systems and provides consistency in requirements' definition, the information needed for measuring, reporting, and changing the requirements throughout the development lifecycle. The templates also drive significant time saving throughout both the Elaboration and the Construction phases of the project. Specifically, once NeoTrack™ is populated, the requirement confirmation sessions with the teams may begin. NeoTrack™ and Neosurance™ will allow the project to augment existing requirements, demonstrate new ideas and a vision for system modifications and incorporate them into the design artifacts quickly and efficiently.

A key to effectively managing requirements is to make them traceable throughout the solution delivery lifecycle. In preparation for confirming requirements, the requirements will be mapped to iterations. Then during each Iteration planning phase, baselined requirements will be mapped to design specifications to make certain the requirements are incorporated into the design. The design will be traced to test cases created and executed in the Construction Phase, to confirm the UITS solution provides desired results through the development and test activities. Requirements traceability matrices will be available throughout the project, so stakeholders can quickly confirm that we have implemented the requirements from analysis to solution delivery. The traceability for each iteration will allow for tracking of requirements that are not addressed in the iteration (backlogged), and ensure that they are added to future iterations for validation.

This phase will be driven as an iterative project activity. The outcome of the Requirement Confirmation sessions is to have all of the requirements baselined to establish a scope baseline for the project. During elaboration, the baselined requirements will be grouped by iteration to allow for configuration/development by iteration.

7.3.2 Phase 2b: Product Configuration Sessions (Design)

Once the requirements for a process are baselined and approved for elaboration, the product configuration of Neosurance™ features will commence. This activity manages quality by identifying and removing potential gaps between baselined requirements and Neosurance™ functionality. During product configuration sessions, the functional and technical teams will collect detailed information that fully describes the new business solution and how users will interact with it to achieve specific business outcomes – Functional Design. Throughout the course of these sessions, the functional team will build a repository of design specifications that describe the new system, including main flows, alternative flows, business rules, screens, reports, interfaces, and correspondences.

During these sessions, specific business rules will be identified, consolidated, and documented. This will include the detailed “how” associated with each step or flow and any policy constraints associated with each flow, the design specification interaction points with the main program areas, the communications (e.g., notices, correspondence), reports and output files, and integration points with third-party products and organizations.

Product configuration analysis will help identify the necessary intersection of business requirements, standardized application business processes, and DC-specific program needs. While the emphasis will be on leveraging existing Neosurance™ product, these sessions will confirm these “COTS” processes are a suitable fit for DOES UI Tax.

Before defining the gap resolution options, the team will consider aspects of how gaps relate to actual business requirements, their inclusions or exclusions in regard to the project scope, and assessment of how critical each business requirement is for supporting defined business objectives.

Each baselined requirement will then be documented into a design specification to establish requirement traceability. This step confirms that requirements are satisfied throughout each project iteration. Design specifications that have requirements mapped to them (i.e., Addressed Requirements) will be used as the reference documentation to address product configuration and development changes to the Neosurance™ product. This approach confirms requirement traceability to detailed design artifacts that will be the basis for the Construction Phase, including system testing.

There may be occasions where a requirement or design specification is not addressed in the time allotted or that a particular piece of functionality is not ready for configuration (e.g., waiting on a decision from Legal department). In this instance, this particular requirement or design specification will be assigned to a backlog and addressed in a future iteration. The requirement/design specification backlog will be actively tracked and managed with DOES to ensure that all functionality defined in the baselined requirements is prioritized and confirmed.

7.4 Phase 3: Construction Phase (Develop/Configure/Test)

During the Construction phase, technical teams configure and/or build the software components of Neosurance™ to meet the DOES UITS business and technical requirements. This includes configuring the business rule and integration layers for the solution and includes unit testing (e.g., micro-scale code testing) and system testing of the Iteration module. The Construction Phase is driven by the principles of Iterative software development.

In the construction phase, we verify quality through code reviews and testing the configured business rules for each iteration of functionality. During each iteration, Sagitec designs, develops, and configures the required functionality to satisfy baselined requirements. During each iteration, we will identify software defects and resolve defects in order to validate and approve the functionality before moving on to the next iteration. The Construction Phase quality assurance processes are intended to accomplish the following:

- Ensure that software code follows development standards and naming conventions for objects, database elements, screen elements, and interface files
- Ensure that software peer reviews are conducted to verify that development standards are being followed
- Ensure that configuration management processes are implemented in accordance with the configuration management plan and quality standards
- Ensure that build management processes are implemented in accordance with the build management plan and quality standards
- Ensure that testing processes are implemented in accordance with the test management plan and quality standards
- Ensure that standard interface protocols are followed in accordance with quality standards
- Ensure that metrics are defined for software defect management and testing processes to ensure that we can measure both progress and quality

7.4.1 Develop Block Components to Quickly Deliver Increments of Functionality

The development team is responsible for translating design documentation into a functioning software product, or Iteration blocks. To develop block components in Neosurance™, the development teams make extensive use of the Sagitec Design Studio™, Microsoft Visual Studio, and SQL Server. As blocks are developed, they are released for unit testing and system testing.

7.4.2 Unit Test Block Components

Unit testing is conducted against the smallest testable element (units) of the software and involves testing the internal structure such as logic and data flow, and the unit's function and observable behaviors. The unit test team (which could be the development team) tests each key decision and decision-to-decision path at least once. The developers may use automated tools (e.g., NDepend) to analyze code structure, enforce design rules, and perform code peer reviews to enhance unit testing. A block must pass unit test quality criteria to move into Functional Testing.

7.4.3 Conduct System Testing

As with Functional Testing, we collate all test data, including results, and deliver them in a system test results document. This comprehensive document includes all information necessary to validate that test execution is consistent with the approved Test Management Plan and that all tests are completed successfully. During System Testing, the emphasis is on validating the interactions among the various components' functions according to program specifications when they are integrated. System Testing involves all system functions, checks all system interfaces, and processes all types of input. It also produces all reports, notices, and correspondence for the client to confirm that test results meet defined business requirements and project specifications. System Testing will be conducted per iteration and in an integrated approach at the completion of Elaboration for user acceptance testing (See Del 11 Test Plan for details related to testing phases).

7.4.4 Perform Internal Functional, Technical, and Internal Block Reviews

The block review is designed to confirm that the solution meets defined quality standards. Each team performs different types of checks at different points in the process to validate that the iteration fulfills UITS requirements.

7.4.5 Additional Construction Phase Activities

During Construction, depending on whether the system is completed, the Sagitec team conducts a variety of activities in parallel with development/configuration/testing.

- Configures UITS business rules.
- Develops interfaces to other systems or system components.
- Develop reports, notices, and correspondence.
- Develops system documentation .
- Finalizes training curriculum and develops training materials.
    - Stands up the training environment.
- Constructs security components.
- Provisions communications and other infrastructure as needed.
- Refines checklists required to assess the readiness of the organization and the technology for implementation.
- Refines the detailed checklists of activities that must be completed before the system is moved to production.

7.5 Phase 4: Transition Phase (UAT, Train, and Deploy Solution)

The purpose of Transition is to test the solution against user expectations and interfacing systems, convert data from existing legacy systems, train users, address software defects, and performance test the application. The Transition Phase is managed as a Waterfall or "one-time" project phase as opposed to an Iterative or "repeated-process" phase.

7.5.1 Acceptance Testing Approach

One of the fundamental principles of System Engineering methodology is "Verify Quality." Testing becomes heavier as the project progresses, but should be a constant factor in any solution deployment. The Del118 Test Plan deliverable includes all testing processes that will be executed for the UITS project, as well as the entry/exit criteria for each of the successive testing efforts (Unit/System/UAT).

7.5.2 User Acceptance Testing (UAT)

Before system Go Live, User Acceptance Testing (UAT) is conducted by DOES UI Tax staff. UAT takes place after the successful completion of System-Level testing. Criteria for UAT will be established in collaboration with DOES UI Tax. UAT will be contingent on successful completion and District approval of the acceptance criteria. The Del11 Test Plan includes the approach for testing connectivity with other District-specific systems and interfaces with external systems such as the payment interface with banks. The Del11 Test Plan will ensure that test data is not actually sent to external systems at the time of testing.

The QA Team will participate in related test meetings, assist in analyzing and documenting test results, and resolve defects. UAT will begin on the start date in the Del2 Project Schedule. After successful completion of UAT, the UITS Project Lead provides formal written notice to the Project Sponsor detailing the results of UAT. Based on the results, the Project Director, in collaboration with the PMO, will determine whether "Go Live" may proceed or if it is to be suspended/ rescheduled.

7.5.3 UAT-Tested, Full System Deployment to the Shared Hosting Site

When all phase iterations for a system are complete, fully tested, and approved by the District as ready for implementation (production-ready), we apply a Waterfall approach in the Transition phase, conducting the comprehensive set of activities required to prepare for and execute deployment of the overall system for DOES UI Tax into the shared Hosting site. Implementations are completed according to the plan schedule, and as discussed later in this section.

7.6 Phase 5: Production Phase (Operations and Maintenance)

In the Production Phase, a complete UI Tax System is operational in the production environment. This phase principally focuses on maintenance, operations, and support to maintain operational availability, performance, security, reliability, and sustainability.

Software Engineering processes adhere to the same SDLC phases (inception through transition) for application maintenance and software enhancements/releases to a System in Production, accompanied by a set of operations-specific activities established in our Operations and Maintenance policies and procedures.

Activities in the Production phase are related to the overall solution, including all the deployed functional iterations. Activities discussed here pertain to the overall UITS system. Examples of the objectives of the production support processes include:

- Predictable performance of the system to your defined service levels.
- Standards of compliance through experienced resources.
- Innovation and continuous improvements to improve efficiencies and drive better performance.
- Seamless transition of enhancements to production.
- Monitoring and reporting on Service Level Agreements (SLAs).

Typical activities performed in this phase of the project include:

- Software Updates and Product Releases:
  - Collaborate with DOES UI Tax to evaluate upgrades/updates and determine if modification activities are to be initiated.
  - Work with DOES UI Tax and follow established Project Management work planning process to schedule and manage software updates.
- Interface Maintenance:
  - Actively support interface maintenance.
  - Follow our System Engineering methodology for interface maintenance.
- Security Management:
  - Follow the DOES UITS approved Security Plan.
  - Use a combination of available native system capabilities to provide audit logs and Security Information And Event Management (SIEM) capabilities to appropriately collect, correlate, and monitor the defined events captured in those audit logs.
- Support Policy and Process Changes:
  - Support Rules Engine Updates and those changes that cannot be completed by District’s business staff.
  - Follow defined System Engineering methodology (Inception, Elaboration, Construction, and Transition) to analyze, design, construct, and implement changes.
- Generate Notices, both for Paper and Electronic Mailing:
  - Support District’s business staff and apply team’s deep technical knowledge and experience with the agreed-upon electronic content management solution when software upgrades are needed.

  - Proactively monitor processes related to the generation of notices, both paper and electronic, and escalate potential issues for resolution immediately.
- Keep Sagitec Framework™ current with changes in technology:
  - Implement scheduled maintenance of the Sagitec Framework™.
  - Work collaboratively with DOES UI Tax staff to update the Sagitec Framework™ and provide strategic guidance as needed.
- Maintain Technical Documentation and Configuration Control:
  - Apply the documentation and configuration control processes used in the initial configuration and development phase to conduct the ongoing maintenance and support phases.
  - Confirm that the maintenance and operations staff follows the same processes as represented in the System Configuration, Operation, and Administration plans and guides developed in the Construction Phase.
- Produce Ongoing Operational Reports:
  - Produce daily, weekly, and monthly reports that track the status of issues, risks, and action items, etc., as defined and finalized with the client prior to the ongoing operations phase of the project.
- Record, Track, and Resolve System Defects:
  - Use the NeoTrack™ defect management tool to record, track, and report on system defects following the defect management process.
- Maintain Performance Standards:
  - Conduct real-time, 24/7/365 performance monitoring on the entire solution environment: databases, servers, email, operating systems, applications, web sites, and network.
  - Design and follow processes and procedures that focus on detecting potential capacity and performance problems before they occur.
  - Implement monitoring processes to manage and meet defined performance SLAs.

A more detailed treatment of the Operations and Maintenance phase of the project will be contained in the Operations Manual. The manual will be a living document that is prepared for the 1st phase and updated as necessary with the details of the 2nd phase pre- and post-implementation.

7.7 Quality Control Approach

Quality Control is the monitoring of project-specific results for quality and identifying corrective, preventive, or improvement actions when results are unsatisfactory (See Del11 Test Plan for additional details).

Our quality control includes both formal and informal quality reviews. In the following paragraphs, we discuss the various types of quality reviews we employ to make sure your solution is of the highest quality possible:

- **Process Reviews.** Includes reviewing key processes that contribute to the quality of the UITS system
- **Overall Deliverable Reviews.** Includes reviews of work products produced prior to submission for acceptance and approval

- **Software-specific Reviews.** Includes specific quality reviews of various aspects of software design and development
- **Peer Reviews.** Includes reviews done by team members on one another's work
- **Project Performance Reviews.** Includes reviews of project performance measures against project milestones and achievements goals, as agreed to in collaboration with DOES UITS staff

We incorporate key process reviews into our project plans and issue tracking logs and manage them as project tasks. We measure progress using the project tools and track and measure quality using our Project Management tools.

To provide quality results, we plan, manage, track, and evaluate quality regularly throughout the project's life cycle.

7.7.1 Process Reviews Validate Process Execution

Process predictability and repeatability are critical for software quality. The QA team continuously monitors project processes against process conformance descriptions approved during the Inception phase. A key component of our Sagitec Delivery methodology is to confirm that our Project Management, software engineering, and QA processes are well-documented, standardized, audited, and proactive.

We use an approved, tailored version of our standard software process for developing and maintaining software, coupled with the use of data-metrics tools. These methods allow our project teams to track the life cycle development methodology and CMMI level standards.

The key process areas address both project and organizational issues and institutionalize effective software engineering and management processes across our projects.

The following table outlines the process of quality reviews and audits that we will perform for DOES UI Tax.

Key Area Monitored	QA Reviews Required	QA Audits Required
Requirements Management Process	• Requirements Management and traceability process is reviewed and approved. • Changes in requirements produce changes in plans and work products.	• Requirements traceability is audited at each project iteration (8 total Tax iterations) • Products are audited for compliance with accepted requirements.
Software Project Planning Process	• Project planning and estimating activities are reviewed.	• Project plans are periodically audited for consistency with the baseline and approved changes.
Software Project Tracking and Oversight Process	• Establishment of the tracking and management tools is reviewed and approved.	• Compliance with the use of tracking tools is audited periodically.

	• Milestone achievement is reviewed as milestones are completed.	• Compliance with the project plan is audited at major milestones. • Proposed changes to the project plan are audited to identify problem areas.
Software Configuration Management Process	• Selection and installation of configuration management tools are reviewed and approved.	• Use of version control is audited to drive consistency with the plan.
Peer Review Process	• Code Peer Review document is reviewed and finalized. • Code peer reviews are scheduled for each iteration	• Audits are conducted to make sure that scheduled peer reviews are conducted. • Reporting of peer review data is complete, accurate, and timely. • Peer review follow-up actions are taken.

Table 12: Review and Audit Processes in Quality Control Approach

Integrating our Project Management and tracking tools with key process areas allows us to efficiently manage projects and track areas that need improvement.

The Sagitec Team performs stringent quality control on all of our work, including inspection and/or testing of both documents and software deliverables prior to submission to DOES UITS staff for review. In addition, the Sagitec Team submits the results of our quality reviews to DOES UITS staff for evaluation and approval, if required.

7.7.2 Formal Software Reviews

The benefit to DOES from our formal software reviews and walkthroughs is the early discovery of software defects so that we may correct each defect before the next step in the software engineering process. This saves rework and provides for a better product.

Our software reviews are a filter to the software engineering process and help:

- Point out needed improvements in the work products of a single person or team.
- Confirm those parts of the solution in which improvement is not necessary.
- Achieve technical work of more uniform quality than we can achieve without reviews.

We establish software review guidelines in advance and distribute them to the Development team to expedite for each project iteration.

7.7.3 Peer Reviews Achieve Quality Assurance

Our Peer Review process described here as an example of how our project team members work together to identify quality issues and track process improvements:

- During the Elaboration Phase, we evaluate design specifications and business rules for logic defects, workflow process concerns, and system design issues.

- Peer reviewers log the errors and assign corrective actions.
- We log identified defects for future statistical comparison.
- During subsequent phases, we conduct further peer reviews on object models, code sets, screens, interfaces, and prototypes.
- We track and take corrective action on defects again.
- We then compare these defects to the earlier records and the corrective action log. This evaluation helps our team to determine why we missed the defect, how we could have prevented it, and whether or not we can avoid similar defects in the future.

7.7.4 Corrective Action Process for Deficiencies

We may invoke the corrective action process based on the results of QC reviews or analysis of the quality metrics. Following QC reviews, the Sagitec Project Manager and QA Manager use the corrective action process if they find major deficiencies in adherence to key management processes.

7.7.5 Project Review Plan

The high-level project review plan for the UITS Project is defined in the following table:

#	Type of Project Review	Frequency	Objectives
1	Initial project review (PR)	Within 4 weeks of project kickoff	Initial project review objectives: • Define the project review schedule according to major project milestone dates and phase transitions • Introduce project reviewer (Sagitec) and purpose of reviews to the client and project leadership
2	Milestone project review	Every major project milestones	Milestone project review key objectives: • Follow up on all previous concerns and recommendations • Assess the project against the project review categories (e.g., time, cost, scope) as they relate to current project phase
3	Interim Project Review	Interim Review only during Milestones 2 and 3	Interim project review key objectives: • Assess the project progress at various points • Assess the project tasks relating to Data Conversion and Performance Testing
4	Pre-go-live project review	Within 4 weeks of Go-	Pre-go-live project review key objectives: • Review testing status and metrics

		Live date	• Review training status and user readiness • Review go-live tactical plans and checklists • Review backup and contingency plans

Table 13: Types of Project Reviews

Quality review outcomes will be provided to DOES UITS during weekly status reports and shared as part of the monthly steering committee meetings.

8. Risk/Issue Management

This section is an introduction to the Sagitec approach that will be detailed in the Risk Management Plan. The Risk/Issue Management process is executed throughout the project lifecycle to anticipate, avoid, and/or mitigate potential risks. This process involves the identification and management of risks (probability of occurrence and impact to project) related to cost, schedule, requirements, design, technical performance, operational performance, and deployment, as well as alternatives for risk management and contingencies at both program and project levels. To enable effective risk monitoring and control, it is critical to obtain input from impacted project stakeholders and track risks consistently, providing access, visibility, and timely, up-to-date status reports to the project stakeholders. Risk response plans will be developed in a collaborative effort between Sagitec and DOES UITS.

8.1 Risk/Issue/Defect Management Definition Plan

Risk/Issue management is critical to the success of any project. Risk management provides tools and techniques for identifying, analyzing, and dealing with project risk and then resolving any subsequent issues.

A risk is an uncertainty, liability, vulnerability, or opportunity that may cause a program or project to deviate from a defined plan. Risks can be positive or negative. A risk is an event that may or may not happen at some time in the future. Risks are inherent in all programs or projects and cannot be totally eliminated.

Risk management refers to the activities undertaken to mitigate (or take advantage of) the potential impact of risks by managing the likelihood and/or severity of the risks. Risk management involves the identification, analysis, oversight, and monitoring of program or project risks. The objective of a risk management process is to identify potential problems before they occur, take advantage of opportunities that arise, initiate suitable action to mitigate negative risk and reduce the impact of unplanned incidents on a program or project.

An issue is an event arising during the performance of the program or project that has not been accounted for in the program or project plan and requires a deviation from either plan with respect to time, cost, and quality. It is a previously unanticipated event that will happen or is happening, which may have a detrimental effect on the program or project objectives. If left unresolved, an issue can impede or prohibit progress by delaying or suspending work effort.

An issue is distinct from a risk. When risks are realized, they often turn into issues. Based on the nature of the issue, one of the resolution actions emerging out of the issue could be a change request, handled through the change control process. The objectives of issue management are:

- To identify issues in order to address or resolve them before they damage the program or project.
- To assign positive actions to the appropriate people to resolve the issue on a timely basis.
- To help ensure that progress in resolving the issue is monitored so that once an issue is raised, it is not subsequently forgotten, overlooked, or incorrectly de-prioritized.

8.1.1 Risk Management

To enable effective risk monitor and control capabilities, it is critical to obtain input from impacted project stakeholders and track risks consistently and provide access, visibility, and timely, up-to-date status reports to the project stakeholders. We define risk response plans in a collaborative effort between Sagitec and DOES, and we perform ongoing monitoring of valid risks as well as identification of new risks, in a similar manner.

Risk management is critical to the success of any project. Risk management provides tools and techniques for identifying, analyzing, and dealing with project risk and then resolving any subsequent issues.

A risk is an uncertainty, liability, vulnerability, or opportunity that may cause a program or project to deviate from a defined plan. Risks can be positive or negative. A risk is an event that may or may not happen at some time in the future. Risks are inherent in all programs or projects and cannot be totally eliminated.

Risk management refers to the activities undertaken to mitigate (or take advantage of) the potential impact of risks by managing the likelihood and/or severity of the risks. Risk management involves the identification, analysis, oversight, and monitoring of program or project risks.

The objective of a risk management process is to identify potential problems before they occur, take advantage of opportunities that arise, initiate suitable action to mitigate negative risk and reduce the impact of unplanned incidents on a program or project.

Risk Management Process

The following table elaborates on each of the Risk Management process steps Sagitec follows.

Risk Management Key Process Steps	
Process Step	**Action**

Risk Identification	• Risk identification is everyone's responsibility • Conduct risk workshops with DOES stakeholders (includes risk priority) • Describe risk events and potential impact in the consolidated risk register
Risk Assessment	• Assign risk owner • Quantify probability and impact • Develop Risk Matrix (impact versus probability) • Assign priorities based on risk severity • Evaluate the required timing of mitigation activity • Analyze mitigation strategies for high priority risks with mitigation activity required in the near term
Risk Response	• Develop detailed mitigation plans • Evaluate the cost/benefit of mitigation activities • Evaluate residual risk • Secure approval for mitigation if threshold exceeded • Assign ownership and accountability for each activity in the mitigation plan
Monitor and Control	• Implement mitigation activities • Monitor progress against plan • Evaluate the effectiveness of mitigation activities and revise as appropriate • Report progress at project risk meetings • Update risk parameters and priorities
Risk Reporting	• Risk Register • Risk Matrix • Project Management Reviews (Top Risk Report Chart)

Table 14-Risk Management Key Processes

Our iterative Risk Management Process flow is illustrated in the following figure.

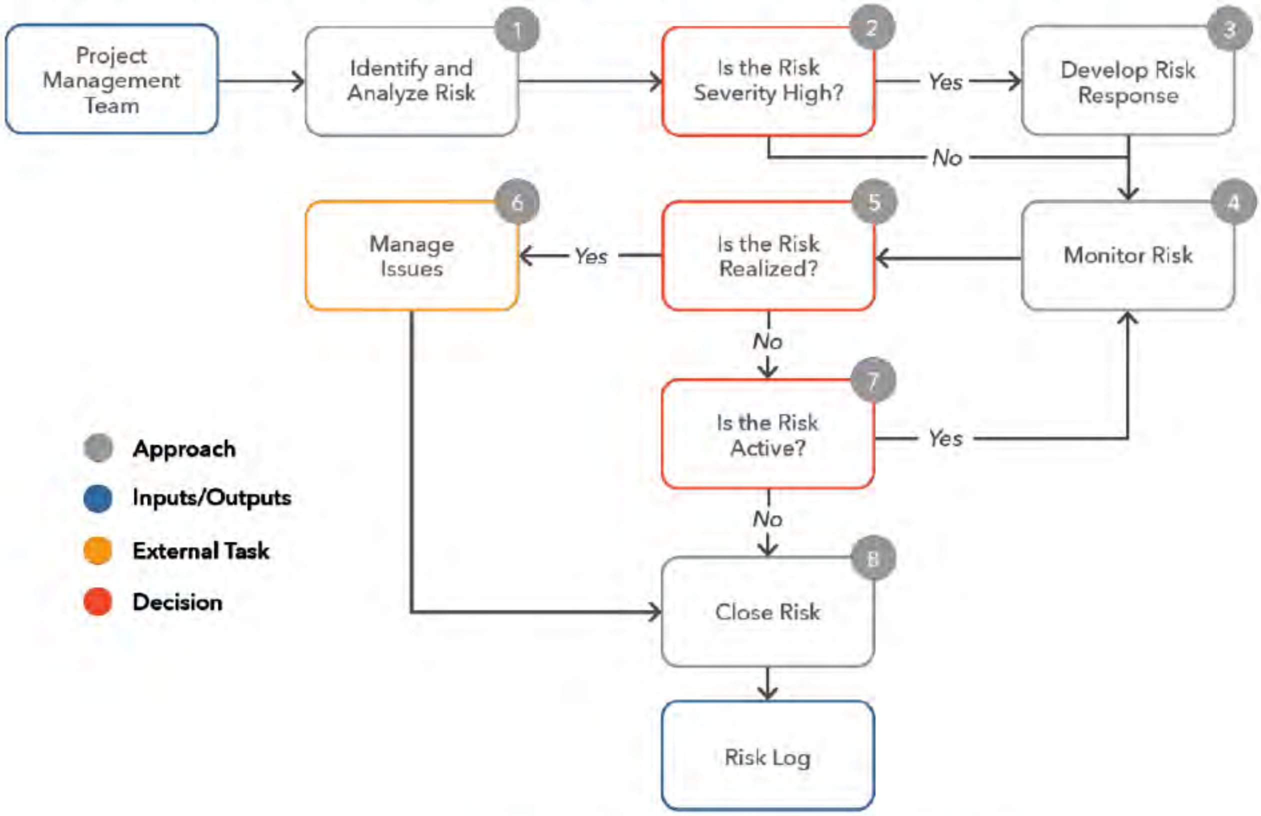

Figure SEQ Figure * ARABIC 8–Sagitec's Risk Management Process

Although we focus here on downside risks, there frequently are upside "opportunities" that can improve project performance by reducing schedule and/or costs. For example, arranging the expedited delivery of a piece of critical hardware can shorten the critical path, thereby enabling earlier completion with attendant lower cost. We use the same processes to manage opportunities as we do for risks, including risk analysis.

Risk Management Tracking

Sagitec tracks and reports the status of risks using two tools, a Risk Register and a Risk Matrix, both of which are maintained in the project's SharePoint database, which is accessible to all authorized personnel including DOES, Sagitec, and advisory and consultant personnel.

Risk Register: The following figure is a generic example of a Risk Register.

Risk Register

ID	Title	Description	Status	Owner	Category	Probability Score	Impact Score	Composite Index	Mitigation Actions	Contingency Actions
<<Unique Risk Id>>	<<Brief Risk Title>>	<<A clear description of what the risk is. Below is an example>>		<<Person>>	<<Category>>	0 - 5	0 - 5	Prob. x Imp.	<<What are the actions that are needed to be taken to close the risk>>	<<What are the actions that are needed to be taken if the risk materializes>>
005	CDN Sync issues at launch	Site Inconsistencies due to CDN Sync issues at launch	Open	John Doe	Launch	3.50	2.00	7.00	* Pre-launch test with CDN Partner * Launch during off-peak hours to limit exposure * CDN Partner to be available in the launch conf. call to handle any unexpected issues	* Use CDN Partner's internal test tool to do specific tests. * CDN Partner to refresh specific instances having issues.

Figure 9–Example Risk Register

The Risk Register can be a spreadsheet with risk ID, title, description, status, owner, category, probability score, impact score, composite score or severity (probability X impact), mitigation actions, and contingency actions.

Risk Matrix: The following figure is an example of a 5X5 risk matrix. Depending upon the complexity of the project, the risk matrix may be 3X3 rather than 5X5. Each risk is placed in the square appropriate to its severity (impact and probability). One can depict how risk is changing from one reporting period to the next. The figure also shows how risk severity is reduced over three reporting periods, going from severity 25 to 16, to 12, and then to 4.

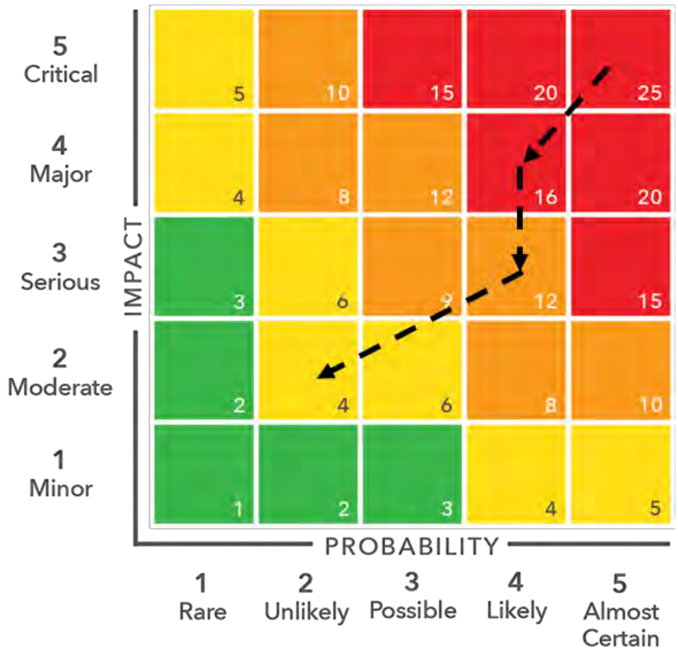

Figure 10–5X5 Risk Matrix

Each identified risk is plotted according to its severity, which is the probability of Occurrence x Impact. The dashed lines depict how the severity changes over four reporting periods. In a typical project, the Risk Matrix contains more than one risk.

8.1.2 Issue Management (Logging and Resolution)

Each project encounters problems, but there are two distinct categories of problems (risks and issues) that require different responses from the project.

An issue is an event arising during the performance of the program or project that has not been accounted for in the program or project plan, and that will necessitate a deviation from either plan with respect to time, cost, and quality. It is a previously unanticipated event that will happen or is happening, which may have a detrimental effect on the program or project objectives. Left unresolved, an issue can impede or prohibit progress by delaying or suspending work effort.

An issue is distinct from a risk. When risks are realized, they often turn into issues. Based on the nature of the issue, one of the resolution actions emerging out of the issue could be a change request, handled through the change control process. The objectives of issue management are:

- To identify issues in order to address or resolve them before they damage the program or project.
- To assign positive actions to the appropriate people to resolve the issue on a timely basis.

- To help ensure that progress in resolving the issue is monitored so that once an issue is raised, it is not subsequently forgotten, overlooked, or incorrectly de-prioritized.

The following table describes Sagitec's perspective on the differences between risks and issues.

Differences Between Risks and Issues	
Risks	**Issues**
Current situation	Future situation
Usually vague	Well defined and usually understood
Immediate resolution not required	Immediate action required
Scope of impact or estimate unknown	Impact is known
Proactive mode	Reactive mode

Table 15-Differences between Risks and Issues

An essential component of the issue management process is effective communication between the project stakeholders and the project team. Mutually agreed-upon parameters are defined to identify, evaluate, and manage risks and issues throughout the lifecycle of the project. This section describes how Sagitec will collaboratively work to identify, escalate, and mitigate issues.

Issue Management Process

Issue Management is the process used to identify and log issues, assess their impact, and determine proper actions for resolution. Failure to promptly identify and address project issues can impede productivity, increase rework, and jeopardize the quality and timeliness of the project solution. Sagitec has a proven process to help identify issues and resolve them before they significantly impact the project.

Our issue resolution process is collaborative and draws upon our extensive experience delivering numerous large-scale system implementation projects. We recommend utilizing SharePoint to record, track, manage, and communicate project issues throughout the life of the project.

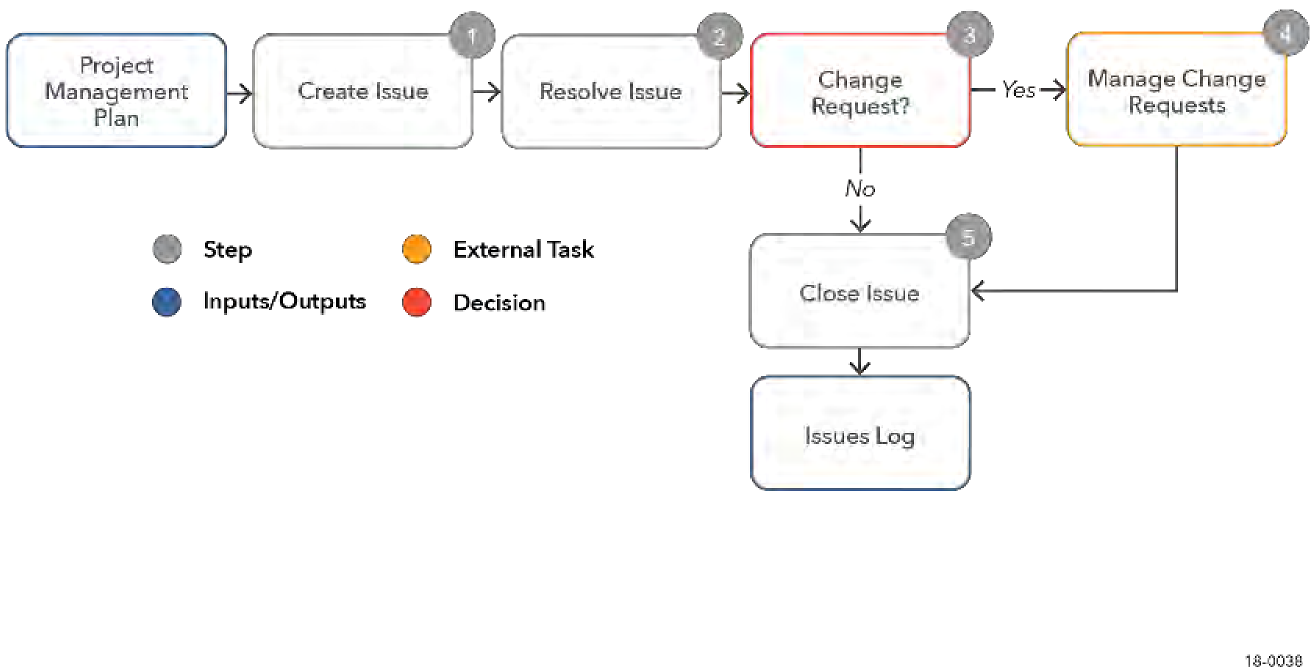

Figure 11-Sagitec's Issue Resolution Approach

Using Sagitec's issue management approach, we leverage Sagitec's browser-based NeoTrack repository to record, track, manage and communicate project issues throughout the life of the project.

Sagitec's Issue Management Roles and Responsibilities

The following table provides the roles and responsibilities involved in our issue management process. Our issue resolution process is collaborative and draws upon our extensive experience delivering numerous large-scale system implementation projects.

Issue Management Roles and Responsibilities	
Roles	**Responsibilities**
Project Manager	• Work with the DOES UI Modernization PMO to define project-specific requirements for the project's issue management process. • If tailoring is necessary, update the Project Management Plan and corresponding Issues Log accordingly. • Identify and validate issues in the Issues Log. • Review and approve issue resolution plans and assignments. • Track issues assigned to the team leaders and escalate unresolved issues when necessary. • Report project issue status.
Process Team Leads	• Identify and document issues in the Issues Log. Escalate issues when necessary. • Identify a resolution or action plan to close an assigned issue. Manage assigned issues to closure. • Assign team members to issues, considering their availability, workload, subject matter knowledge, and level of authority. • Notify PMO of status changes.
Project Stakeholders	• Communicate issues to the project team. • Review and approve the proposed issue resolutions promptly. • Support go-forward processes based upon approved issue resolutions.

Table 16-Issue Management Roles and Responsibilites

Issue Types

We manage all types of issues using our issue management approach. We record, track, manage and communicate all project issues throughout the life of the project, working each issue to a resolution.

The following issue types are encountered in projects and logged in Sagitec's standard Issues Log template.

Issue Types	
Issue Types	**Description**
Contract	Any issue related to the contracts of the project (such as a signed agreement between Sagitec and the client or subcontractors).

External	Any issue related to environmental factors largely outside the control of the project (such as cultural, legal, or regulatory).
Financial	Any issue related to the budget or cost structure of the project (such as an increase or decrease in the project-related budget).
Functional	Any issue related to the overall function of the product (such as requirements or design) being developed by the project.
Quality	Any issue related to the quality requirements of the project.
Organization	Any issue related to internal, client, or third-party organizational or business changes (such as executive leadership role changes).
Performance	Any issue associated with the performance of the application (such as response time, stress testing, and development environments).
Project Management	Any issue related to the management of the project (such as communications, status reporting, and issues management).
Resource	Any issue related to project resources (such as the addition or removal of resources).
Schedule	Any issue related to the Work Plan and related tasks (such as extensions or reductions of the project timeline).
Scope	Any issue related to project scope (such as process, module, and development objects).
Technical	Any issue related to software or hardware, including infrastructure related to the project.
General	Any issue that cannot be categorized into one of the above categories.

Table 17-Issue TypesTable

Issue Priorities

The Issues Log provides the following definitions for issue priorities.

- **Critical.** The issue is jeopardizing overall project objectives and must be addressed immediately.
- **High.** The issue is negatively affecting the project significantly (for example, cost overruns or milestone delays) and must be addressed as soon as possible.
- **Medium.** The issue is negatively affecting the project and should be addressed, monitored, and controlled using regular project issue management processes.
- **Low.** The issue has a minimal effect and should be addressed as cost and schedule permits.

Issue Escalation Levels

Sagitec has a proven process to help identify issues and resolve them before they significantly impact a project. The following table described the issue escalation process that we use on most Sagitec projects.

Issue Escalation Levels		
Escalation Level	**Members**	**Criteria**
Level 1	The project manager or team leads	Issue unresolved with past due ≤ 5 days. High and Critical issues should be brought to the project manager's attention immediately.
Level 2	Project sponsor, project manager, project operations committee	Issue unresolved with past due > 5 days and < 11 days. Unresolved Critical issues should be brought to the project manager and/or project sponsor within three days of being identified.
Level 3	The steering committee, executive leadership	Issue unresolved with past due ≥ 11 days. Unresolved Critical issues should be brought to leadership attention within five days of being identified.

Table 18-Issue Escalation Levels

Sagitec will produce the following deliverables throughout the project: Issue log, Issue Status and Issue mitigation report.

8.1.3 Defect Management

Problem Information Records (PIRs) will be entered by testers when they find issues with the system component they are testing. When a fix is implemented, the testers will be responsible for retesting to ensure the PIR is correct, and logging the PIR into the Neotrack tool.

After PIRs are entered they will be triaged. During the triage process, the reviewer may change the severity of the PIR or the PIR type to reflect a more complete understanding of the issue represented. Triage will be performed by Sagitec during system test activities; however DOES will provide key input into defect severity classification.

Sagitec and DOES will triage UAT PIRs as a team.

Sagitec will follow a structured approach to manage, classify, and resolve defects during the UITS project. The defect management process will be documented in DEL 11 Test Plan.

Sagitec has implemented standard processes of defect management tested during past implementations. The defect management process may change over the course of the project if improvement opportunities are identified. All changes will be implemented using a standard Change Management Process and communicated with and by DOES UITS stakeholders. Defect Classification is an important tool to manage the dynamics of the process. The DOES UITS team and Sagitec will be collectively responsible for classifying defects. Additional details on the process for how defects will be managed and the metrics associated with acceptance are referenced in the DEL 11 Test Plan.

8.1.4 PIR Triage Meetings

PIR Triage meetings will occur throughout testing to confirm understanding of PIRs and to resolve any discrepancies between interpreting a PIR as an enhancement or a defect. If a PIR is clearly understood, then it will not be discussed in these sessions. They will be facilitated by the Functional Manager in partnership with the Test Lead and may be hosted via a teleconference as necessary.

Mandatory Attendees:

- Functional Manager (UITS for UAT, Sagitec for all other test activities)
- Business Lead(s) (UITS for UAT, Sagitec for all other test activities)
- Testers with open defects (UITS for UAT, Sagitec for all other test activities)
- Iteration Development Lead(s)

Meeting Agenda:

- Triage PIRs that require more detail
- Triage PIR to get agreement as to if a PIR is a defect or an enhancement
- Discuss any critical issues preventing progress should be discussed (environmental, external dependencies, etc.)
- Discuss any changes to build schedule Meeting frequency will start at twice a week during UAT test execution. Frequency will be adjusted by the test activity leads based on the volume of defects to be managed and related project needs.

For the detailed Defect Management plan, please refer to Deliverable 11 Test Plan.

9. Configuration Management/Change Control Plan

The Configuration Management section is built using comprehensive, integrated Microsoft toolset including Team Foundation Server.

The source code build and deployment process is automated via the Microsoft Team Foundation Server (TFS), where the Neosurance™ source code resides. When a new team project is created, Team Foundation Server uses the methodology information to automatically configure the team project, including creating the team project web site.

Microsoft provides two methodologies for use with Team Foundation Server – MSF Agile and MSF Formal. Sagitec uses MSF Agile, which draws on the best practices of the Agile community and the Microsoft Solutions Framework (MSF) to deliver a lightweight, easy-to-use methodology designed for teams who must move quickly.

Tools that will be used for UITS project are based on the Microsoft Excel, Microsoft Team Foundation Server and its database; they tightly integrate with each other, as well as with the Visual Studio packages.

9.1 Configuration Management

Configuration Management will consist of a set of strategies and processes used to manage the integrity and ongoing evolution of the UITS project assets, encompassing, but not limited to, hardware management including virtual machines, source code control, work item tracking, build management, and release management (See Del 17 Product Road Map and Release Scheule). It will include management of solution branches, baselines, and distribution; it will also involve identifying and documenting source code and implementing disciplined processes to accurately record, prioritize, and address all deliverables, system requirements, changes, and enhancements. Configuration management process will encompass the activities ensuring that all changes to approved work products are incorporated and managed in a carefully controlled manner. The main objective of Configuration Identification (CI) is to establish and maintain the baselines that define the overall solution architecture and components. The baselines are the basis by which changes to any part of the solution are identified, documented, and tracked through design, testing, implementation, and ongoing production (Inception and Elaboration, Construction, Transition, and Production Phases).

9.1.1 Project Items Under Configuration Management

All of our project plans and procedures, specifications, graphics, models, guides, and manuals, software, and supporting documents are placed under configuration management.

Item	Configuration Control Tool	Repository	Description
Deliverable Documents	Versioning	Standard Document Repository (SharePoint)	Deliverable documents under development will be versioned using 0.x convention, where x is a number from 01 to 99. Final deliverable documents submitted for approval will be versioned using y.x convention, where y is a number starting from 1. Each change related to Change Request will incrementally increase y. • Project Work Plans • Templates • Documents and presentations • Infrastructure (Hardware and Software) • Listing • Schedules

			• Reports • Meeting minutes • Project Checklists • Risk and Issue Log • Change Requests
Requirements	Versioning	NeoTrack™	• Use Cases • Test Cases • Requirements Specifications • Requirements Traceability Matrix (RTM)
Data	Versioning	Microsoft SQL Management Studio	• Data Models
Neosurance™ Source Code	Microsoft team Foundation Server (TFS)	(TFS)	• Code Specifications • Workbooks and databases • Software/Code: • Properties Files • Build Scripts • Release Notes • Deployment Scripts
Neofraud Source Code	Microsoft team Foundation Server (TFS)	(TFS)	• Software/Code: • Properties Files • Build Scripts • Release Notes • Deployment Scripts
Sagitec Framework	Microsoft team Foundation Server (TFS)	(TFS)	• Software/Code: • Properties Files • Build Scripts • Release Notes • Deployment Scripts
Hardware	Microsoft Excel Spreadsheet Versioning	Microsoft Excel Standard Document Repository (SharePoint)	• Hardware Inventory including Virtual Machines used in multiple environments and their related settings • Release Notes

Table 19-UITS Project Items under Configuration Management

9.1.2 Project Repositories

We establish complementary work product repositories (SharePoint and the Microsoft Team Foundation toolset) for document and system deliverables to provide highly accurate document version control, as well as approval workflow capabilities.

Project Repository	Item Stored	Configuration Requirements
Microsoft SharePoint	Deliverable Documents	Versioning
	Project Management Documents	Versioning
	• Meeting minutes	Versioning
	• Log Documents	Versioning
	• Asset Management Spreadsheet	Versioning
	• Release Notes	Versioning
	Other Project Documents	Versioning
Microsoft Team Foundation Server (TFS)	Neosurance™ Source Code	Versioning
	Neofraud™ Source Code	Versioning
	Neomobile™ Source Code	Versioning
	Sagitec Framework Source Code	Versioning
NeoTrack™	Requirements Specifications	Versioning
	Requirements Traceability Matrix (RTM)	Versioning
	Test Cases	Versioning
	Use Cases	Versioning
Microsoft SQL Management	Data Model	Versioning

Studio		

Table 20-Project Repositories

9.1.3 Configuration Baselining

Sagitec will collaborate with the UITS PMO and leadership team to establish and maintain configuration baselines, track and control changes to work products (deliverables), and establish and maintain the integrity of configuration baselines by performing baseline audits.

9.1.3.1 *Establishing and Documenting Solution Baselines*

At the beginning of the Project Elaboration Phase, the **Concept Baseline** for the solution is established. Later, during the Elaboration Phase, the **Functional Baseline** for the solution is created based on requirements and defined configurable items. The Functional Baseline ultimately confirms and documents configurable items and operational procedures in preparation for design and development activities.

The **Allocated Baseline** is then established during Preliminary Design Activities, and during detail design, the **Product Baseline** is established.

The solution's Configuration Items are identified during the baselining process described above. Configuration Items will include also Neosurance™ artifacts impacted by the specific requirements of the UITS Project.

9.1.3.2 *Maintaining Baselined Configuration Items*

The UITS Project will utilize a configuration management approach that tracks changes to system hardware and software components, deliverables, system documentation, and project plans and procedures.

The technical team will maintain a database that contains information for requirements review and validation and which supports requirements traceability throughout the project. Baselined configurations will be maintained in the Configuration Management Database. If a change to a configuration is requested after it has been baselined, disciplined Change Control Process is initiated.

The Infrastructure team will maintain a Microsoft Excel spreadsheet that contains inventory and setup/configuration information for virtual and non-virtual machines that enable review and validation and supports traceability throughout the project. If a change to a configuration is requested after it has been baselined, disciplined Change Control Process is initiated.

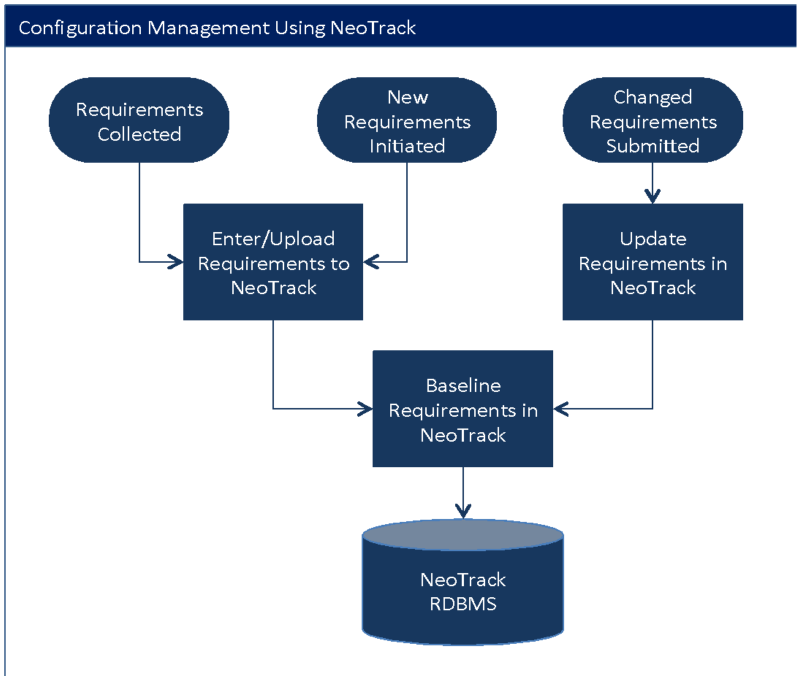

Figure 12-Configuration Management of Project Requirements with NeoTrack ™

An example of application of the Configuration Management in the Requirement Management process is as follows:

All requirements are maintained in a database that serves as a starting point for requirements review and validation. This database also supports requirements traceability throughout the project. To ease the requirements development process and speed the analysis process, our business analysts first transfer, or migrate, the UITS project's RFP requirements into Sagitec's requirements traceability tool, NeoTrack™, which is utilized throughout the project.

Once the requirements tool is populated, the requirement review sessions begin. NeoTrack™ allows us to document and trace requirements throughout the project. Reusable NeoTrack™ requirements templates provide consistency in how the requirements are defined together with clear information needed for measuring, reporting, and changing requirements throughout the project lifecycle. The requirement templates also drive significant timesaving throughout both the Elaboration and the Construction Phases of the project.

Further, we conduct sessions to facilitate collaboration on requirements and finalize functional and technical requirements with a team of Subject Matter Experts (SMEs). The sessions give us the opportunity to collaborate, discuss, validate, augment, modify, or cancel requirements as necessary. The team of business analysts documents the review session results, notes any potential issues, and defines associated mitigation strategies; this information is, again, used for updates and creating of a new baseline in the NeoTrack™. The development team then uses only baselined requirements for configuration and development.

Sagitec's Configuration Management Process complies with IEEE Standard 828-2010 and which allows entry tracking and reporting for comprehensive quality control.

9.2 Configuration Control

The configuration control best practices handle changes systematically to maintain the integrity of the system over the long-term and provide a quality solution. The configuration control approach includes the evaluation of all change requests and change proposals, and their subsequent approval or disapproval. It is the process of controlling modifications to the solution's design, hardware, software, and documentation.

9.2.1 Change Control Activities

The UITS project will manage change requests through consistent change management processes and rigorous adherence to them. Changes to project schedules, budget, scope, objectives, and designs are inevitable on a complex program. Change requests may be the result of legislative changes, input from project team members, project sponsors, or even from external agencies. The System Integration team will provide reports that identify code changes, status of changes for each test release, total defects, and requirements for the entire program.

Any changes that affect cost, schedule, scope, or work products will be tightly managed so that the impacts to the overall project are understood and accommodated within the updated plans. The Change Control Management Plans will recognize two types of changes:

- Changes that have no impact on cost, schedule, scope, or work products:
- Changes that affect cost, schedule, scope, or work products plans. These changes will be submitted to the project's Change Control Board (CCB), defined in the project governance structure. See details in PM03 Change Management Plan.

9.2.2 Configuration Control Tools

During the Construction (Development and Configuration) Phase of the project, Sagitec uses Microsoft Team Foundation Server as the electronic version control system to manage the development efforts being performed on objects in the system. TFS integrates seamlessly with the .NET architecture and development environment used by the development team. The Sagitec team has extensive experience using TFS in a collaborative Development Environment. Our team has in-depth experience with TFS features such as check-in policies, check-in and concurrent checkouts of files, branching, merging, shelving, labeling, and associating check-ins with work items.

9.3 Configuration Verification and Audit

The Configuration Management Process includes a robust Configuration Status Accounting process to ensure the Configuration Items (CI) such as requirements are tracked throughout the project lifecycle. A robust Change Request (CR) management process is a part of the implementation that will manage the identification of the change requests through the entire lifecycle of the change requests, and is detailed below in Section 10: Change Management Plan.

As a part of the CI list, the entire set of requirements, business rules, test cases are all stored in NeoTrack™ including their statuses in the implementation cycle. NeoTrack™ provides for a variety of reports and dashboard features that is used to track the status of implementation of the CIs and take remedial action when required. This effective status tracking of CI items ensures that the project is focused on implementing the requirements that were set forth.

Managing Change Requests (CRs) is a significant, critically important aspect of any system development project, especially a large-scale, complex undertaking. Rigorous, disciplined change request management process will ensure that each change request identified is tracked through the various stages of change request.

During the various stages of the project, the Configuration Management process incorporates baseline and configuration audits to ensure adequate tracking of progress of the project deliverables, including verification of builds before release for testing.

Audit Type	Description
Concept Baseline (CBL) Audit	Concept baseline audit is performed to ensure the initial concept of the project at a high level is baselined and audited.
Functional Baseline (FBL) Audit	Functional baseline audit is performed at the outset of the project start to ensure the established initial requirements; contractual terms are approved including project work plan and scope of work.
Allocated Baseline (ABL) Audit	Allocated baseline audit is performed after the high-level detailed requirements are finalized and approved. This will be done after Milestone 2 of the project is completed.
Product Baseline (ABL) Audit	Product baseline audit is performed after the solution configuration, development, and testing is completed.
Physical Configuration (PCA) Audit	Product baseline audit is performed after the solution configuration, development, and testing are ready for production deployment. This is done to ensure that the all components of the system are documented and tracked through the deployment process.
Functional Configuration (FCA) Audit	Functional Configuration audit is performed after the solution configuration, development, and testing is completed. This is done to ensure that the production- ready solution fully meets the finalized requirements documented at the beginning of the project.

Table 21-Project Configuration and Status Accounting

9.3.1 Concept Baseline (CBL) Audit

Concept baseline audit is performed to ensure the initial concept of the project at a high level is baselined and audited. The following is confirmed in the Concept Baseline Audit:

- RFP
- Project Charter

9.3.2 Functional Baseline (FBL) Audit

Functional baseline audit is performed at the outset of the project start to ensure the established initial requirements; contractual terms are approved including project work plan and scope of work. The following is confirmed in the Functional Baseline Audit:

- Contract
- High level business and technical requirements
- Project work plan
- Project scope

9.3.3 Allocated Baseline (ABL) Audit

Allocated baseline audit is performed after the high-level detailed requirements are finalized and approved. This will be done after Milestone 2 of the project is completed. The following is confirmed in the Allocated Baseline Audit:

- Requirements confirmation sessions
- Baselined requirements

9.3.4 Product Baseline (ABL) Audit

Product baseline audit is performed after the solution configuration, development, and testing is completed. The following is confirmed in the Product Baseline Audit:

- Product configuration sessions
- Iteration design specifications
- Iteration supplemental specifications
- Iteration solution review (UTIS configured solution)

9.3.5 Physical Configuration (PCA) Audit

Product baseline audit is performed after solution configuration, development and testing and is ready for production deployment. This is done to ensure that the all components of the system are documented and tracked through the deployment process.

Several of the artifacts supporting the audit are developed throughout the project and are used in various phases of the project. The audit would include preparing and verification of the following artifacts:

- Hardware and software bill of materials.
- Installation and Configuration documentation for the infrastructure components, including hardware, software (third-party products and Neosurance™) and network components.
- Technical Architecture diagrams, e.g., network diagrams (physical and logical).
- Technical documentation, e.g., Deployment documentation, Operations Manual, Software Configuration documentation, Batch Jobs documentation, System Maintenance documentation, Database Maintenance documentation

9.3.6 Functional Configuration (FCA) Audit

Functional Configuration Audit is performed after the solution configuration, development and testing are completed. This is done to ensure that the production-ready solution is meeting the finalized requirements documented at the beginning of the project.

Functional configuration audits are performed through a variety of tasks and documented results:

- System Testing Results
- Acceptance Testing Results
- Requirements Traceability Matrix
- System Documentation featuring functionality

9.3.7 Configuration Management Internal Audits (CMI)

Configuration Management internal audits are conducted regularly, depending on the project phase, to ensure the configuration management process is followed as set forth in the configuration management plan. For example, during configuration and construction, audits will occur more frequently and will at a minimum be performed monthly. Such audits are crucial to ensure processes that enable a successful implementation are being actually followed by the project team and all other stakeholders involved.

9.3.8 System Requirements Review (SRR)

A System Requirements Review (SRR) is a formal review conducted to ensure that system requirements have been completely and properly identified and approved as a formal deliverable. It ensures that the project can proceed into initial systems development and that all system and performance requirements are defined, testable, and consistent with the overall scope of the project. Such a review will be conducted after the high-level requirements are finalized during the Requirements Definition portion of the Elaboration Phase of the project.

9.3.9 Preliminary Design Review (PDR)

The Preliminary Design Review (PDR) is a technical assessment that establishes the physically Allocated Baseline of a system to ensure a system in operationally effective. This review assesses the design documented in subsystem specifications for each configuration item in the system and ensures that each function, in the Functional Baseline, has been allocated to one or more system configuration items. The PDR establishes the allocated baseline (hardware, software, human/support systems) and underlying architectures to ensure that the UITS system meets the requirements as defined in the scope of the project. This review will be conducted incrementally after elaboration activities are completed for each project iteration.

9.3.10 Critical Design Review (CDR)

A Critical Design Review (CDR) is a multi-disciplined technical review to ensure that a system can proceed to development and test and can meet stated functional and performance requirements. A successful CDR depends on a determination that the detailed design satisfies the requirements. Multiple CDRs will be held for key Configuration Items (CI) at each subsystem level during the elaboration of each iteration, culminating in a system-level CDR.

10. Change Management Plan

The Change Management section documents approaches, methods and controls used within the UIST Project. It describes the strategy and techniques of planning and execution of project control disciplines utilized throughout the implementation of the UI Tax Solution.

This plan describes how DOES and Sagitec will cooperate in managing changes to previously agreed-upon deliverables, work products, design specifications, and baselined (approved) requirements. This plan also outlines how Sagitec will track the status of in-progress change requests to support two separate types of changes (1) for changes that have no material impact on scope, budget, schedule, and/or work products, and (2) for changes that have a material impact on scope, cost, schedule, and/or work products.

10.1 Integrated Change Management Plan

The Change Management Plan focuses on identification and management of changes to deliverables and work products as they evolve throughout the project. The plan details how such proposed changes are recorded and tracked, and ensures the changes are managed appropriately.

Sagitec's methodology uses a controlled change management process in order to manage change to the project plan, scope, schedule, and/or work products.

The following sections describe the Change Management processes and procedures for managing changes to deliverables, work products, design specifications and baselined (approved) requirements.

10.2 Change Management Process

The project establishes a baseline for project schedule, project scope, business and technical requirements and design specifications. These key project outcomes, once approved, are only changed with formal authorization. A deliverable's baseline, if changed, might alter subsequent activities or require rework of already-delivered components, or a combination of both. Once a change has been proposed, assessed, and approved, it will be incorporated as a new baseline and subject it to all relevant downstream processes (e.g., system test, acceptance test). Every effort will be made to execute the full change process from review, analysis, and approval/rejection in a timely fashion. Ultimately, the urgency of process execution will depend on the priority of a particular change request. The following diagram highlights the overall change control process for the UIST Project. The diagram uses the following terms:

- PSC – Project Steering Committee
- CCB – Change Control Board
- PLT – Project Leadership Team
- Sagitec – Sagitec team

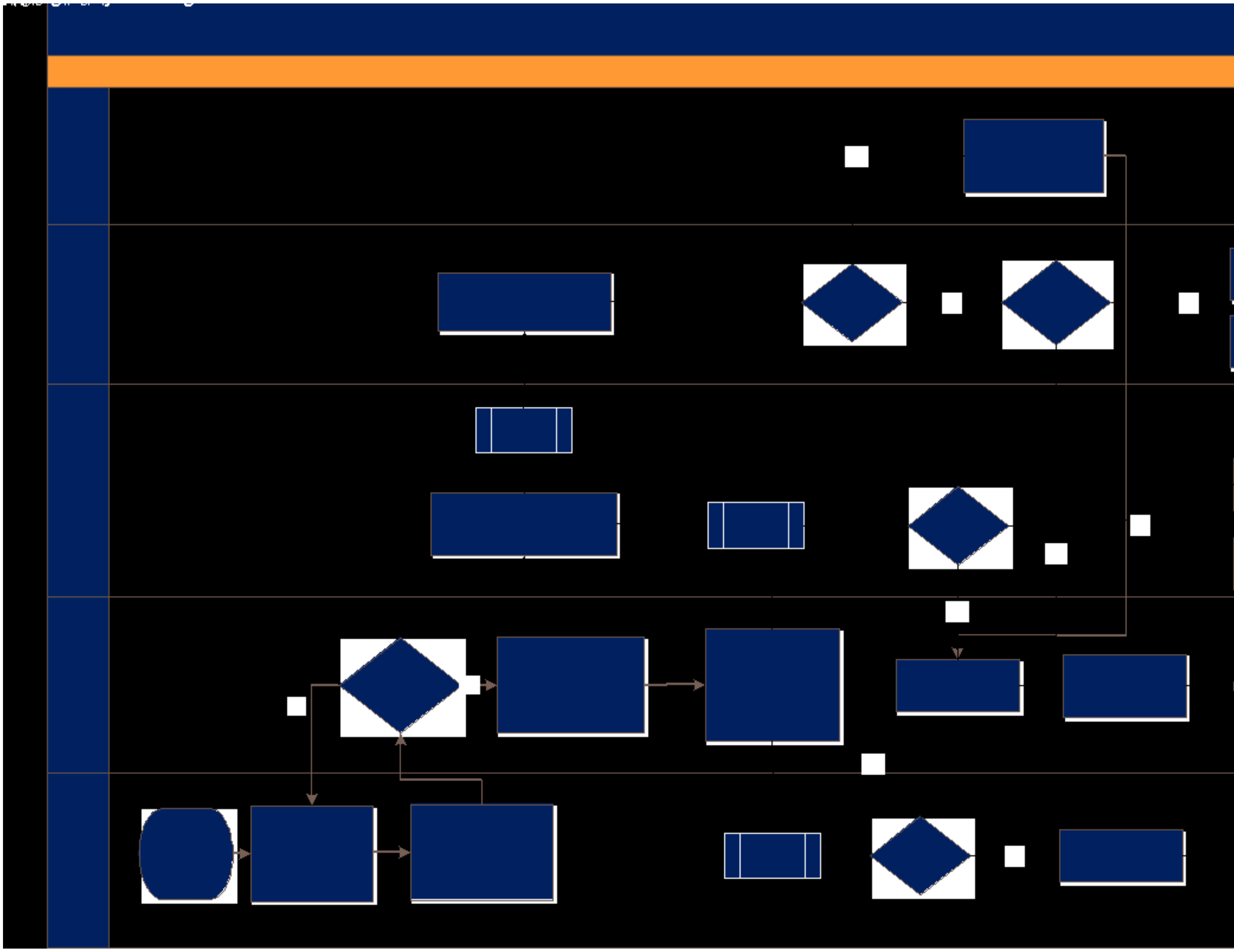

Figure 13-UITS Project Change Management Process

10.3 Change Control Board and Project Leadership Team

The CCB is comprised of (1) the Project Leadership Team (PLT); (2) the Project Steering Team and (3) Sagitec Project Director (David Minkkinen). Approval from CCB will reside with Project Steering team.

The PLT is comprised of (1) the UITS and Sagitec Project Managers (Mohan Sharma and Shane Cox (2) the UITS Program Lead; (3) Sagitec Functional Leads (Bernt Peterson); (4) the UITS and Sagitec technical leads (Pankaj Sharma); and (5) Sagitec PMO. Approval authority on PLT is with UITS team members.

10.4 Change Management Process and Responsibilities

This section outlines the tasks and responsibilities from change request identification through escalation and closure of the change request item.

10.4.1 UITS Documents Change Request (CR)

DOES Lead completes a Request/Evaluation Form and attaches it to a PIR Change Request Item in NeoTrack™. The PIR is assigned to the associated Functional Lead. DOES will separately manage their internal escalation process for communicating changes from UITS SMEs to UITS Leads.

10.4.2 Sagitec Reviews Change Request for Classification

Sagitec resources will review the scope of the change and determine if it is a System Enhancement or a Change Request. A System Enhancement request is any request to change the design or function of the Neosurance configuration once design documentation is approved. A Change Request is any request for change outside of system design or function, including changes related to infrastructure, scope, schedule, resources, or budget.

Once the request has been assigned as a System Enhancement or a Change Request, Sagitec will propose the appropriate Classification (Class I, Class II, Class III). The review will validate the change request scope and confirm the impact on project scope, schedule, budget, and resources. These dispositions will be shared and discussed first with the DOES project leads, then with the Project Leadership Team (PLT) at the next feasible Status Meeting, as necessary.

- For Change Requests and System Enhancements with Classification I, DOES project leads will approve, and Sagitec will schedule the change for implementation. These changes are incidental or minor changes not deemed to be material in nature. These change request and system enhancements will be available to the PLT for reference, but will not be escalated to the CCB.
- For Change Requests and System Enhancements with Classification II, the PLT will share with the Change Control Board (CCB), but approval/denial decision is with the

DOES members of the PLT. Per approval/denial of the PLT, one of three outcomes will occur:
    - Sagitec will schedule the change for implementation.
    - Sagitec will close the change PIR if PLT deems it is not needed.
    - Sagitec will defer the change if PLT deems it is not necessary for the immediate future.

Class II changes will not impact the project's critical path schedule and these changes do not impact the existing project budget.

- For Change Requests and System Enhancements with Classification III, the PLT will escalate to the Change Control Board (CCB). Pending approval/denial of the CCB, one of four options will occur:
    - Sagitec will schedule the change for implementation.
    - Sagitec will close the change PIR if CCB deems not needed.
    - Sagitec will defer the change if CCB deems not necessary for the immediate future.
    - CCB will escalate the change to the Full Steering Committee for approval/denial.

Class III changes have a material impact on the project's schedule and/or budget. Class III changes may get escalated beyond the Project Sponsor depending on the significance of its impact (e.g. cost or schedule shift).

UITS will determine the criteria for escalation from the PLT to CCB and from CCB to the Project Steering Committee.

10.4.3 Change Request Classifications

The Sagitec Project Management Office (PMO) in collaboration with Team Leads analyzes the Request/Evaluation Form to determine the impacted areas, effort to implement the change, and necessary work products. The Team Leads record the results of their analysis with a recommendation for either a change request or a system enhancement, and assigns each to a Class based on specific criteria. The leads then return the analysis to the PMO.

Sagitec proposes the following classification:

- **Class I**: Requires completion of Change Request details into the NeoTrack™ Change Request PIR fields as opposed to requiring the attachment of a formal Request/Evaluation Form. These changes are incidental or minor changes that are not deemed material. These changes are addressed by the project team and communicated, as appropriate. They can be approved by the UITS Project Lead. Class I Change Requests do not become Change Orders.
- **Class II**: Requires completion of the Request/Evaluation Form found in the Appendix of this document. Class II changes do not impact the project schedule or budget, but may include changes to functionality, scope, or to approved design specification or baselined requirements. Class II changes go through the CCB. Class II changes become Change Orders with no associated cost for UITS.
- **Class III**: Requires completion of the Request/Evaluation Form (found in the Appendix of this document), and impacts the project schedule or budget. Class III changes go through the Change Control Board, and may get escalated beyond the CCB depending on the significance of the impact. Class III changes may require a full project impact analysis depending on the scope of the request. Class III changes become Change Orders with an associated cost for UITS.

10.5 Change Management Support Tools

The document repository for Change Requests will be NeoTrack™. NeoTrack™ will contain all proposed Change Request items logged as PIR – Change Request Types. If Sagitec determines through the request evaluation process that a request is a System Enhancement, the PIR Type will be changed from Change Request to Enhancement. Each Change Request or Enhancement PIR will have a Classification type (Class I, Class II, Class III), the necessary Request/Evaluation scope and impact analysis, current status, and an assigned owner.

10.5.1 Change Audits

Sagitec will audit Change Request PIRs and supporting documentation on a quarterly basis to confirm that change requests meet acceptance criteria and the documentation is complete and adequately describes the change item including:

- Change Request PIRs include the appropriate level of detail
- All work products impacted by the approved requests are complete and consistent with the scope defined in the approved Request/Evaluation Form. Relevant design documents (e.g. Use Cases and Supplemental Specifications) are updated before the Change Request PIR is closed.
- All change control processes, procedures, and standards have been followed.

After the audit, any issues identified will be addressed with the PLT before continuing to address the request. Audit results will be available to UITS.

10.5.2 Class II and Class III Change Requests or System Enhancements – Project Impacts

For a change that impacts scope, schedule, budget and/or work products, Sagitec will provide a consolidated Request/Evaluation Form that includes the following information:

- Scope description
- Level of effort
- Proposed schedule
- Resources (person hours)
- Budget

Sagitec will not perform any work until the associated Request/Evaluation Form has been approved.

10.5.3 Request/Evaluation Form

All change requests will be processed in accordance with all project governance levels based on the authorization, roles, and responsibilities of the process participants. To collect information for change request approval, a standard Request/Evaluation Form will be used. The Request/Evaluation Forms will include information that will be used for logging and subsequent monitoring of the Change Management Process.

10.5.4 Request/Evaluation Form Process

The Request/Evaluation Form follows one process to track the progress of implementing the change and a separate process to document the approval of the final Request/Evaluation Form.

When Sagitec completes analysis of the change request, the Sagitec PMO will attach the completed Request/Evaluation Form to the associated PIR item in NeoTrack™ and reassign the PIR to the UITS Project Manager. Once the request has gone through the approval process, UITS will return a scanned copy of the Request/Evaluation Form with physical signature affixed. Sagitec will upload the approved Request/Evaluation Forms to a dedicated Change Request folder in SharePoint. The PIR item and the associated Request/Evaluation Form which does not have an affixed signature will continue through the development and testing lifecycle and act as the tracking object to track the implementation of the application change detailed in the form. Implementation will include updating any relevant design documentation as necessary.

The following table provides details of what PIR status will be assigned to the PIR item logged in NeoTrack™. The statuses reflect the progress of implementing the change logged in the Request/Evaluation Form. .

PIR Status	Team Assigned	Change Request Lifecycle Status
New	UITS	Pending - UITS to submit Request/Evaluation Form.
Returned	Sagitec	Pending - Sagitec to complete/update Change Request evaluation.
Returned	UITS	Pending - UITS to review/respond to Sagitec evaluation.
On Hold	UITS	UITS decided to defer request to later date.
Cancelled	UITS	UITS decided the request is not necessary.
Confirmed for Development	Sagitec	Request/Evaluation Form has been approved by UITS, design specifications have been updated for use by the development and testing teams, and the change is ready to enter the development lifecycle.
Closed	UITS	Change outlined in Request/Evaluation Form has been implemented, including all documentation,configuration, development, and testing activities.

Table 22-NeoTrack™ PIR Change Request Lifecycle

10.5.5 Request/Evaluation Form Details

The Request/Evaluation Form is one comprehensive form that will serve as a base for justification, assessment, evaluation, and approval process and has to be completed using the following detail:

Form	Description
Request Number	Item number assigned to the change request.
Title	Title of requested change.
Brief Description of Change	Brief description of requested change.
Prepared by	Name of the preparer of the change request.
Date Prepared	Date of the change request was created.
Modification Date	Date of the change request was modified.
Submit Date	Date the change was submitted to Sagitec PMO.
Requestor	Name of the person who initiated the change request.
Requestor Contact	Requester Contact information, preferably email.
Proposed Change Description	Detailed description of the proposed change.
Justification	Business impact of the proposed change.
Impact of Not Implementing Proposed Change	Business impact of NOT implementing of the proposed change.
Change Type	One of the following: • New Requirement • Requirement Change • Design Change • Other
Configuration Item	One or more of the following: • Code • Documentation and Project Plans • Other
Change Request Category	One of the following:

	• Class I • Class II • Class III • TBD
Impacted Area and Description of the Impact	One or more of the following: • Batch • Conversion • Correspondence • Database • Integration • Interface • Layout • Reports • Security • Workflow • Other (Please Describe)
Type of Technology Affected	Technology component affected
Modules/Screens/Tables/Files Affected	Technical components affected.
Areas Affected	One or more functional partitions of the system driving iteration schedule.
Estimated LOE	Breakdown of Estimated Level of Effort according to SDLC.
Estimated Cost	Total Cost based on Estimated LOE and rates.
Proposed Iteration	Iteration ID for iteration in which this change could be included.
Sagitec PM Review Date	Date when Sagitec PM completed all CR assessments.
Sagitec PMO Review Date	Date when Sagitec PMO recognized the submitted change request as complete and compliant and logged it into the list of CRs.
CR Approval Status	One of the following: • Approved • Deferred • Rejected

CR Quality Review	Reviewers, dates and signatures of CR Quality Review (completeness, compliance).
CR Approval Date	Date of the approval of the CR by PLT or CCB.
CR Approval Level	One of the following: • Project Lead • PLT • CCB
Approved By	Names and Signatures of the approvers.
Comments	Comments of the approvers.

Table 23-Structure of Change Management Form

11. Final System Acceptance

The Sagitec methodology builds in approval checkpoints throughout the lifecycle of the project, allowing DOES UI Tax to review system design and function in small pieces along the way. At the completion of the project phases, DOES UI Tax will have the opportunity to test the system in its entirety and validate that system requirements are met prior to implementation. Upon completion of this testing and validation exercise, DOES UI Tax will give authorization to go-live with each system. The areas comprising final system acceptance include the following:

- Baselining of all final system requirements.
- Final approval of DEL 4 Requirements Traceability Matrix (RTM), which will be a living document that will be signed off periodically throughout the build phase of the project
- User Acceptance Testing (UAT) exit criteria are met. Acceptance criteria will be established as part of the Del11 Test Plan.
- Training has completed. Details of the training effort will be contained in DEL 13 Training Plan.

12. Project Assumptions and Constraints

The following list outlines key project assumptions and constraints that are central to meeting project objectives and to ensuring DOES UI Tax and Sagitec can meet the UITS project Schedule.

- This Project Management Plan does not supersede the baselined UITS requirements or Final Contract.
- Key business process owners who have ownership of project requirements will be available to participate in scheduled meetings such as requirements confirmation, product configuration sessions, design specification reviews, and testing in accordance with meeting the final UITS project plan deadlines.
- Availability of experienced business SMEs, legal, information technology, program, and project team resources are required to maintain project timeline commitments.
- Key business process owners will be empowered to make decisions during meetings on behalf of DOES UI Tax to support the final UITS project Plan deadlines.
- Review and acceptance of deliverables will occur in a timely manner per the terms District in the UITS Final Contract.
- Sagitec will provide DOES UI Tax with advance notice of required staff and/or meetings, to allow DOES UI Tax to appropriately schedule required resources.
- DOES UI Tax will coordinate the availability of external stakeholders (other agencies, oversight groups, etc.) for consultation during the project, as required.
- DOES UI Tax will coordinate all meetings with internal and external stakeholders as requested by the project team.
- Integration of Interfaces with external systems/stakeholders are considered in scope to the extent defined in the requirement confirmation sessions between DOES UI Tax and Sagitec.
- District and/or federal statutory changes, changes in administrative rules, and District policy changes may impact the project. Any law changes need to be evaluated and assessed to determine schedule/scope impacts using the change control processes outlined in the Change Management Plan.

13. Appendix A: Monthly Status Report Template

Embedded below is a Monthly Status Report template for the UITS Project

2019 UITS Status Report.docx

14. Appendix B: Change Request Template

Embedded below is a Change Request Form template for the UITS Project.

Change Request Template.docx

Del11 Test Management Plan

Document Control

Document Information

Information	
Sagitec Delivery Owner	Shane Cox
Submission Date	02/05/2020
Acceptance Date	

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1 Introduction

1.1 Test Plan Document Scope

The Test Plan deliverable serves as the foundation for defining testing activities on the UITS Project. During each iteration, any lessons learned and process improvements from prior iterations will be incorporated into the test plan for all phases of testing.

This plan describes the various testing methods, scope of testing, roles and responsibilities of the staff involved in each of the activities, tracking and resolution of Problem Incident Reports (PIRs), confirmation of requirements through testing, use of converted data in testing and the project's timeline.

This Test Plan will be reviewed in detail with input from UI project staff and other stakeholders prior to commencing testing activities for the project. The Test Plan includes the following components:

1. Project Test Scope and Timing – Functional scope to be tested, test environment(s), timeframes, and assumptions;
2. Testing Approach and methods of testing;
3. Test Plan – functional areas, test procedures, test phases, test method descriptions, and reporting;
4. Test preparation – inputs, activities, data preparation, and dependencies;
5. Test resources – staff roles, software and system availability and facilities;
6. Key testing milestones – entry and exit criteria and schedule;
7. Quality standards for testing;
8. Test management and reporting – stakeholders' roles, testing tools and documentation, issue/defect tracking and resolution, release communication procedures, and test progress reporting.

2 Project Test Scope and Timing

2.1 General Testing Scope, Definitions and Timing

One aspect of the Software Development Life Cycle discipline is to conduct comprehensive testing activities throughout the UITS Project. Detailed explanations for each type of testing are provided in Section 4 of this deliverable.

Unit, Integration and System Testing consists of Sagitec staff testing the functionality of the UITS Project solution against the baselined requirements and approved design specifications.

Pre-User Acceptance Test (Pre-UAT) consists of controlled and time-boxed testing by UI Tax to confirm that specific functional modules meet the relevant, confirmed requirements and design specifications. This is also an opportunity for UI Tax to gain early exposure to the new System prior to formal UAT. Sagitec staff will assist with recording the results of test cases and documenting errors using issue management but they will not execute any test scenarios as part of Pre-UAT. Converted data will not be used for this exercise.

User Acceptance Testing (UAT) consists of the final UAT testing and acceptance of the solution. This testing will consist of UITS staff executing test scenarios in the UAT environment to ensure the UITS Project is ready for deployment to production. UAT is the traditional end-user testing that will be executed after acceptance of the final functional iteration. The UAT testing will consist of integrated testing of the functional modules. Sagitec staff will assist with recording the results of test cases and document problems using issue management but they will not execute any test scenarios as part of UAT testing phase.

Regression Testing focuses on validating functionality implemented in previous iterations of ESSP remains operable. Test cases from various functional areas are collected for the purpose of repeating them in order to provide suitable coverage to ensure system stability. Typically, regression testing utilizes high volume scripts and is executed multiple times using automated testing scripts. As a result, Sagitec may use NeoCertify™, an automated testing tool to execute the regression test cases.

Performance Testing consists of Sagitec testing the system performance against several traditional performance metrics including response time, load, stress, and transaction volume during simulated production operations. These tests are typically conducted using the anticipated peak volume load. This technical (performance) testing will be conducted to verify batch processes run within the expected batch window, that the online system processing and response time is acceptable for concurrent users performing similar actions, and to confirm the system responds as designed when it exceeds the intended operating limits (number of concurrent users, and volume of transaction data processed).

2.2 Functional Modules slated for Test Inclusion

Baselined requirements and approved design specifications encompass the functional scope that Sagitec will test throughout the UITS Project. These requirements are organized into functional modules which are then assigned to sequential iterations. In each iteration, Sagitec and UI Tax will collaborate during Product Configuration exercises to confirm the UITS application supports baselined requirements.

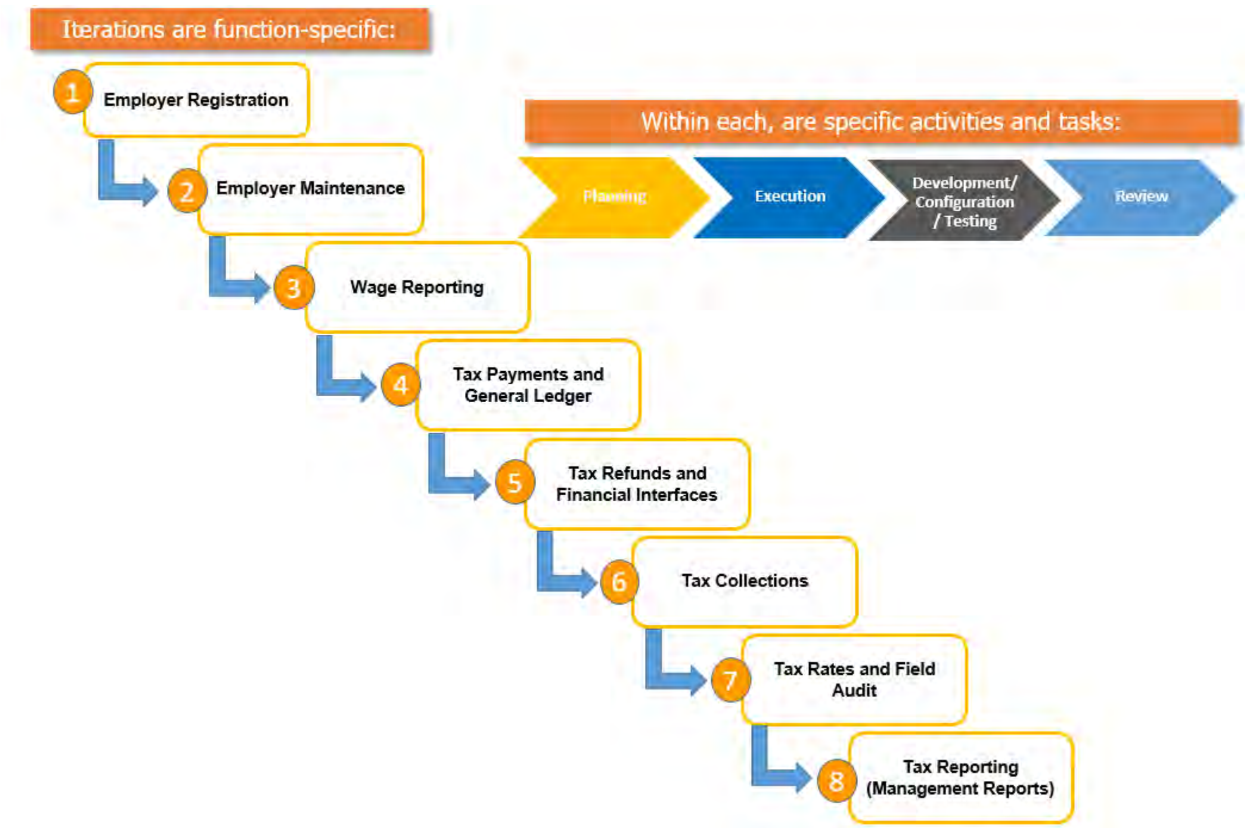

Figure 1: Iterations Planned for the DC UITS Project

Each of the iterations is defined and managed with an individual scope, value, timeline, and deliverables. We will work with the UI Tax to determine the boundaries and test plans for each iteration in preparation for UAT.

2.3 Functionality Planned for Testing

This section documents the functionality scope that will be verified as a part of the testing effort for UITS Project releases.

2.3.1 In-Scope Test Functionality

The Requirement Confirmation Matrix will contain the full list of functional and technical requirements from the RFP as elaborated and baselined during the inception phase of the requirement confirmation sessions. The baselined requirements resulting from the requirement confirmation sessions will encompass the initial Product Backlog and the functionality associated with these requirements will be in scope for testing. The Requirement Confirmation Matrix will contain the current status of each requirement and will be used to confirm that all requirements are traced to their final 'Addressed' status. This status indicates that the requirement has been addressed in a subsequent testable project artifact (e.g., in the case of functional requirements, the design specification).

These functional and technical requirements are stored in NeoTrack™, where their statuses are updated as they move through the SDLC phases However, if a requirement is later amended, added or removed during iteration execution (per the approved PM05 Change Management Plan) then this approved change will determine if the requirement remains in scope for testing.

2.3.2 Functionality Not in Test Scope

All *Addressed* requirements will be tested through the associated design artifacts mapped to test cases and PIRs downstream, as noted in Section 2.3.1. If a requirement is cancelled, that requirement will not be tested.

2.3.3 System Interfaces in Test Scope

A complete list of the system interfaces will be organized under Iteration 10. Each interface will have a separate timeline to address design, development, and system testing that will align with its respective functional iteration. The interactions, system and business rules between the UITS system and the interfacing systems will be validated and tested as part of the final UAT testing phase.

3 Testing Approach

3.1 General Approach to Test Planning

Sagitec's testing approach includes traceability between design specifications and test cases. These planning activities cover developing iteration-specific test plans, setting up test tools and environments, creating test schedules, and establishing UTIS and Sagitec testing roles and responsibilities. Details of how this testing approach varies for each testing method are described in Section 4 - Testing Activities.

General System Test planning and approach include:

- Creating the System Test Plan per Iteration that includes:
  - Developing System Test (ST) Inventory Lists and Test Cases including Description of Testing Objectives
  - Configuring Test Cases with updated Design Specifications

General UAT activities include:

- Creating a User Acceptance Test Plan (UAT) and associated testing milestones
- Confirming Integration testing scenarios suitable for UAT
  - Sagitec will share integration test cases that UIT can modify prior to UAT, which will define the scope of UAT
- Reviewing UAT entry and exit criteria
- Reviewing Pass/Fail Criteria for UAT Integration Test Case execution.

- Software defects will be addressed in daily UAT Triage meetings and evaluated against existing UAT Entry/Exit Criteria noted in this plan.

- Identifying/Reviewing Hardware and Software Requirements
  - This will be addressed in UAT Preparation meetings. Line item(s) will be added to the UAT preparation task list to provide information regarding the required hardware and software requirements.
- Identifying/Reviewing Risks and Contingencies
  - This will be addressed in daily UAT Triage meetings and if required in the Project Status meetings.
- Identifying/Reviewing Problem Determination and Correction Responsibilities
  - Identification of production blocking defects
  - This will be addressed in daily UAT Triage meetings that cover Test Case Execution and PIR defect analysis. Any PIR that requires additional discussion will be reviewed with the UIT team in follow up meetings to the daily UAT Triage
- Reviewing the test strategy, approach, scope, and roles and responsibilities with UIT stakeholders

3.2 Test Scenario and Test Case Development

The process for test case development is to detail test scenarios, develop step-by-step test cases, identify needed data to support test execution, identify scenarios/test cases for System Testing and Integration (life cycle end to end) scenarios/test cases for UAT.

Test case development involves the creation of test scenarios based on UITS Project business processes, development of step-by-step test cases, and identification of data required to support test execution. Test cases will be developed and maintained in the NeoTrack™ project repository, which is summarized in the next section and described in more detail in Section 6 – Test Support Infrastructure.

UIT will have an opportunity to provide feedback on these testing artifacts using the following criteria:

- The process tested represents a critical daily UITS business function
- The process tested represents unique functionality for UITS
- The process tested is “in scope” for the UITS Project

Sagitec will develop test scenarios and test cases by leveraging design artifacts and existing product test scenarios and test cases from previous Neosurance UI Tax projects. UITS participants will provide key input as shown below and may also be updated based on approved changes to the UITS Project design specifications.

For test input and output details specific to each test activity, see the Section 4 Testing Activities.

Sagitec will produce test cases for each iteration. In the event that test cases require updates, test cases will be updated based on product configurations and design modifications that occur throughout the project lifecycle.

As the core modules transition to the UAT testing phase, a comprehensive set of UAT Integration scenarios and test cases will be selected as a part of UAT Prep activities where UIT and Sagitec will agree on the scope of UAT execution.

3.3 Test Design Process and Approach

The test design process considers all key program inputs in defining tests. Test design starts by understanding all requirements and existing artifacts. In the Elaboration phase, teams use this understanding to define high-level test scenarios, test cases, and test data. In the Construction phase, the scenarios are drilled down to detailed "step by step" test cases and test data needs while maintaining full traceability back to the baselined/approved requirement.

The following diagram outlines the overall test design process:

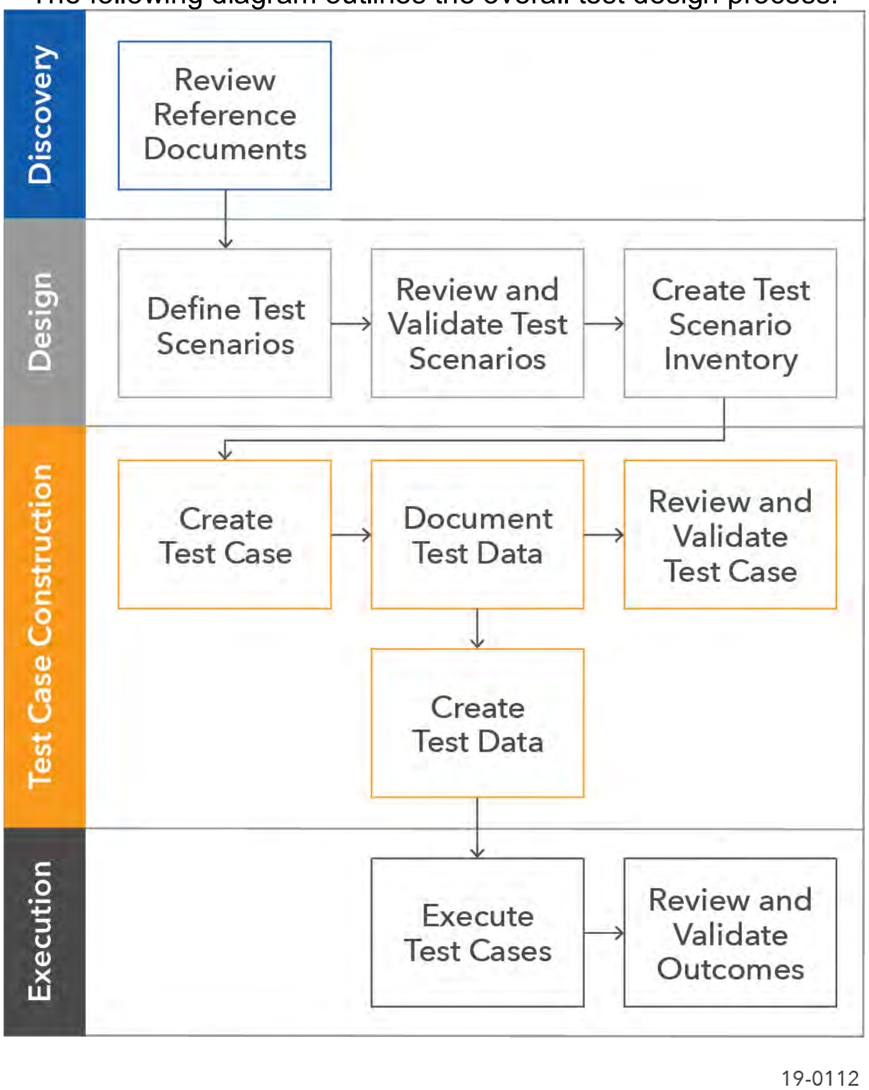

Figure 2: Test Design Process

3.3.1 Inception Phase

The following represent the key activities in the Inception Phase:

- Review business requirements and any existing design documents (use cases, requirements, process flow, and technical design documents)
- Understand priorities of all baselined requirements and business processes
- Identify relevant stakeholders

3.3.2 Elaboration Phase

The following represent the key activities in the Elaboration Phase:

- Identify/define business scenarios based on inputs and priorities
- Consult stakeholders (functional and technical) about test scenarios/cases
- Identify priorities and dependencies within test scenario groups
- Define test scenarios/test cases and identify high level data needs based on requirements

3.3.3 Construction Phase

The following represent the key activities in the Construction Phase:

- Construct system test scenarios/test cases
- Confirm test data required for executing system test cases
- Review and validate test scenarios/system test cases
- Execute system test cases in system test environment
- Record the results of system test case execution and create PIRs for identified software defects; assign defect into appropriate severity to determine if the defect is production blocking or can wait until post production to be fixed.
- Prioritize software defects for resolution based on defect classification
- Execute system test cases that are required to confirm that a software defect has been corrected
- Create progress reports and monitor quality

3.3.4 Transition Phase

The following represent the key activities in the Transition Phase:

- Construct UAT Integration test scenarios/test cases
- Execute UAT Integration test cases in user acceptance testing (UAT) environment, including interfaces and correspondences
- Record the results of Integration test case execution and create PIRs for identified software defects
- Prioritize software defects for resolution based on defect severity classification
- Execute test cases that are required to confirm that a software defect has been corrected
- Create progress reports and monitor quality

3.3.5 Test Scenario and Test Case Traceability

As mentioned above, NeoTrack™ will contain iteration-specific test cases that include test steps, and test data. These test cases are then mapped to Design Specifications, which are linked to associated baselined requirements.

3.3.6 Test Materials Review

Sagitec will work with UIT to review the UAT Integration test scripts that have been identified for execution. Sagitec will provide UAT Integration test scripts as a recommendation for interfaceUIT's execution during the UAT phase, which provide a comprehensive coverage of the functionality implemented, and Sagitec and UIT Staff will meet prior to the start of UAT to review any questions, comments, or requests for addition/modification of Test Cases.

3.3.7 Data Needs

Test data required to execute the test scenarios/test cases will be identified by Sagitec resources during test case creation and the required test data changes will be tracked during test case execution. This includes referential data (i.e. data that will populate the dropdowns) as well as master data (i.e. employer account level) and transactional data (i.e. wage, tax payment data). UIT will work to provide any additional data they desire to use for UAT.

Test data that has been identified as required for test case execution will be documented as part of the test case creation process.

3.3.8 Test Execution

Test execution involves performing tests by following the steps in the test case, identifying defects if any exist, resolving defects, and verifying testing results. The method of execution and type of documentation varies based on type of test being performed. For test execution details specific to each test activity, see Section 4 - Testing Activities.

Some tests are time dependent in order to complete the scenario (i.e., a certain amount of time has to pass in order for the scenario to be completed). For example, post-dated payments are entered but not submitted to the bank until the payment date has passed.

To mimic the passing of time, the records will either be backdated when possible or the system can be time-advanced to meet the time criteria needed to execute a test scenario. As time travel affects all testers in the test region, time travel will follow a strict schedule, and will be communicated to all Sagitec and UITS Testing Resources accordingly

Test scenarios that are time dependent will be managed by the test manager with specific instructions on when to start/end and restart the scenarios. For system test, Sagitec will assign a test manager and for UAT, the test manager will be a UIT-named resource.

3.3.9Test Reporting

Testing activities will be monitored at multiple levels throughout test execution. Test execution will be monitored daily such that variances from the plan can be identified and resolved quickly. After the testing schedule is finalized, the test lead will assign resources to test cases and schedule the tests per the approved plan. For system test, Sagitec will assign a test lead and for UAT, the test manager will be an UIT-named resource. The data obtained from this process will be distributed to UIT stakeholders during regularly scheduled status meetings and placed in SharePoint for reference. This data will also allow the creation of reports that will track the planned versus actual test case execution progress, pass rates, defect counts, and other elements that affect the quality of testing.

3.3.10 UITS Test Schedule

The approved project work plan documents the testing timelines for the overall project. The work plan will be available for project staff to review. The test schedule is included in the overall integrated UITS Project Plan (.mpp) which can be accessed using the following link:

Project Schedule

All changes to the testing schedule will be updated in the project work plan and uploaded to the central repository providing tracking and version control.

Smoke Testing will also be executed for each build into the System Testing and UAT Environments prior to test execution for those activities. For more details, see the section titled Smoke Test.

Regression Testing will be executed toward the end of each iteration to confirm that changes in the existing build did not introduce new defects or impact functionality that was previously tested and passed. For more details, see the section titled Regression Test.

4 Testing Activities

4.1 Primary UITS Project Test Activities

The primary test activities will cover the UITS Project functionality beginning with the testing of the first iteration and gradually increasing in scope to include system functionality in subsequent iterations. The testing activities are outlined in the image below. Unit testing, Integration testing, and system testing as represented in the below diagram will be conducted for each iteration.

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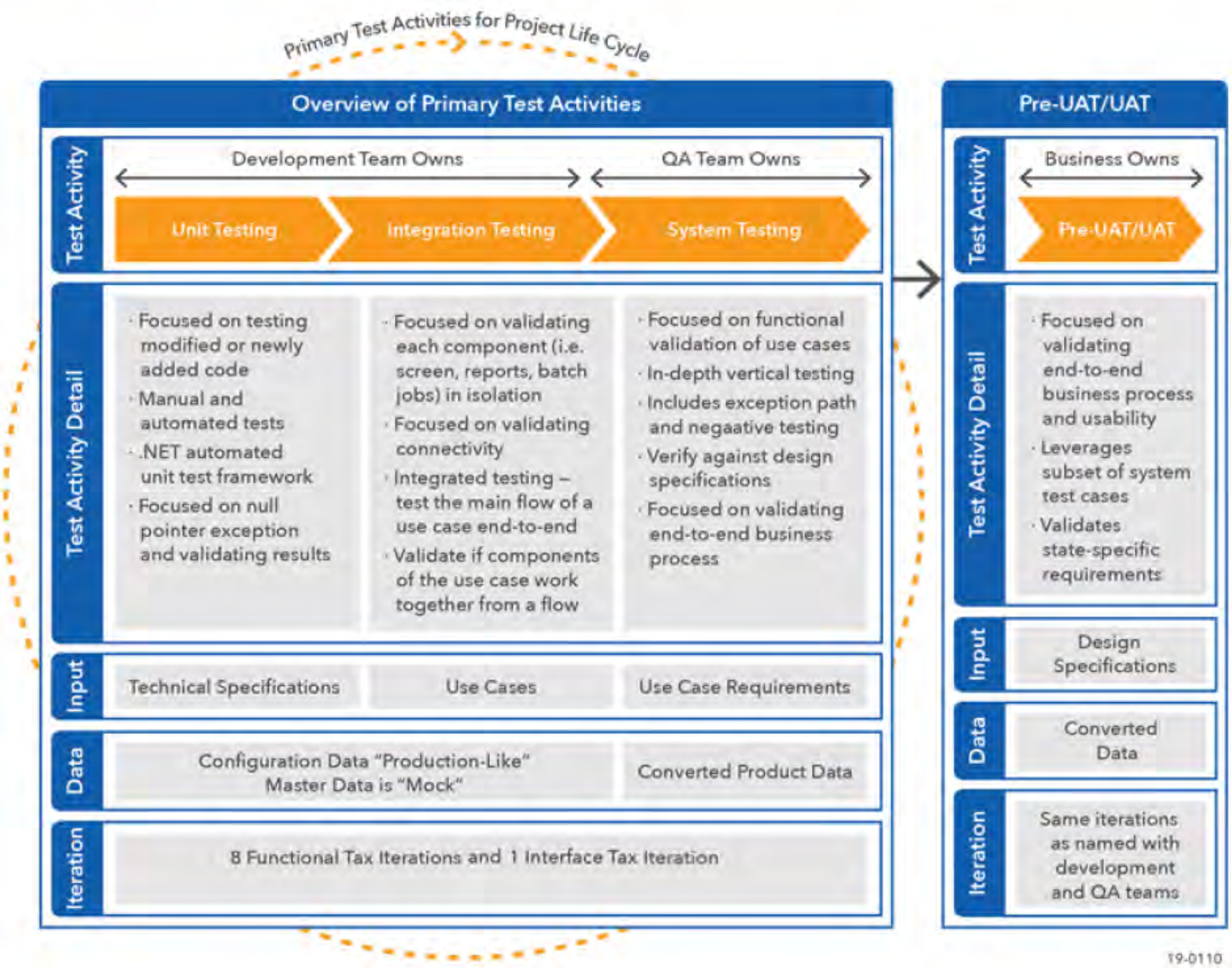

4.2 Unit Testing (Manual and Automated)

The objective of unit testing is to test that the smallest component (unit) of software being developed or changed meets approved requirements and design specifications prior to integrating the component with other parts of the UITS Project solution. Unit testing covers the design specifications, documented business rules, workflows, correspondence, and reports associated with the functional iteration. The objective is to find and fix coding, data and configuration defects before the component is sent to the test team.

Examples include data validations, data type mismatches and input masks such as checking alphanumeric entry into date and number fields, required fields, minimum and maximum field lengths, error message text, GUI standards compliance (style consistency), accessibility standards compliance in the GUI, writing data to databases and interfaces, reading correct data values, and conformance to technical specifications and requirements.

Unit Test Scope Summary	
Input/Basis	Baselined Requirements and approved design/technical specifications. • Use Cases

	● Supplemental Specifications ● Data Mapping Specifications The requirements necessary for testing the UITS Project functionality have been approved and form the basis of the detailed system design. Detailed design will be documented in - Functional Design Specifications (Use Cases and supplemental specifications), and will form the basis for construction of the UITS System.
Approach	**Setup**: Developers will construct their assigned software components using a development environment that can simulate the production architecture and data structures of the test and production environments. **Execution**: Once the developer has completed one or more software components, the component must be unit tested to determine if it meets the requirements specified in the Detailed Design document. The developers perform this test on each component they develop. To effectively develop software, the developers test their components on a frequent basis to determine if their component has been successfully constructed. **Unmodified System**: Within unit testing, developers leverage efficiencies in the length of time spent testing the unmodified components. These unmodified components were tested previously and have not been changed. The likelihood of a non-conformance is much lower than a modified component. Developers spend their time unit testing other areas that have better opportunities for improvements. **Modified System**: When constructing either a new or modified system component, developers will thoroughly unit test the new code to determine if it meets the requirements and design. Full unit testing proceed on new or modified system components and classes to determine if they function in accordance to Development standards.
Owner	Development: testing is performed by the developer working on an existing component, or who creates the new component
Support	Design: clarifications on technical specifications and requirements Infrastructure: support development tools
Entry Criteria	Not Applicable – this testing activity is concurrent with development or modification of software components (units)
Exit Criteria	When a new or modified component has been unit tested and validated by the developer as being ready for integration with the test environment and code review has been completed.
Test Tools	**Team Foundation Server (TFS)**
Automation	N/A
Test Environment(s)	Unit testing will be performed on the developer's local copy of the software. The modified/new units of software will not be checked into the build until they pass unit testing
Test Data	Generated by the developer

Example	A developer is modifying a component that writes to the database. While making the changes, the developer creates or updates the corresponding automated tests and runs it frequently to check his/her work. After making all required changes, s/he opens up their local UITS Project application and checks that the component is doing what s/he expects.
Output/Deliverables	Tests and test results are logged. Problem Incident Reports (PIR) will not be created during unit testing. Developers will make the necessary changes to the software and retest. This cycle will continue until the unit passes. If noncritical defects remain in code being delivered for a build, defects are logged in release notes.
Other Notes	None

Table 1: Unit Test Scope Summary

4.3 Integration Testing (String)

The objective of string integration testing is to test system connectivity. This testing checks the connectivity of the new or updated components through the rest of the UITS application and its interfaces by following the main flow of each delivered use case.

The focus is on making sure the delivered components and interfaces work together in expected ways, checking that the navigation works as expected when going from screen to screen, and finding and fixing defects before use cases are released for sub system testing.

Integration (String Test) Scope	
Input/Basis	Use Cases (main flows)
Approach	**Setup**: multiple tests per use case are created **Execution**: development team runs tests (follows the steps in the use case main flows) and records results or demonstrates the scenario for the functional tester.
Owner	**Development:** testing is performed by a development tester who is not the developer for the components under test
Support	**Design:** clarifications on use cases **Infrastructure:** support build process
Entry Criteria	Unit testing is complete
Exit Criteria	The main flows in the use case pass without critical defects
Test Tools	NeoTrack™ Sagitec Test Studio
Automation	Not Applicable, however, integration testing results will generate from NeoTrack™.
Test Environment(s)	System Test Environment
Test Data	Generated by the developer/tester

Example	During Functional/String Testing, development testers follow the UITS Project use cases. This takes them through several screens, where applicable, and relies on an interface. The testers check the connectivity from screen to screen and system to system, where applicable. If the navigation to the completion screen does not work, or a connection to an interface is causing an error, this is identified and can be corrected before the functionality is released for system testing.
Output/Deliverables	Test results and defects logged

Table 2: Integration (String Test) Scope

4.4 System Testing

System Testing (ST) is the responsibility of the Sagitec team. System testing involves the verification of each component of the functional design module with the inclusion of variations in data and business conditions.

Sagitec commences System Testing for each module within an iteration during, or after the product configuration changes have been completed.

The objective of System Testing is testing business processes as a whole to ensure they can be successfully completed. The entire system does not have to be operational in order to perform this type of testing. These tests:

- Confirm that business processes, specific to the iteration, can be completed end-to-end. This is achieved by testing the functionality using exception data, testing alternate flows, and reviewing system results (activity and error logs, database updates). User security (security role testing) and system administration (including error handling) will be tested during this testing phase, as well as in the phases that follow.
- Validate that the code follows the main and alternate flows of the use cases, and that the sub system is functioning per the requirements and design.
- Validate that the business processes create the intended result.

Another objective of system testing is to validate that the proper business impact results from business scenarios. These tests:

- Test an integrated system in a production-like cycled environment to verify that it meets specified requirements and design.
- Focus on the externally observable details that the system must do within and across key end-to-end functional and cross functional business scenarios that simulate real life situations.

For UITS interfaces that have available test environments, these interfaces will be included in the test scope of this activity.

Prior to test scenario execution, the scenarios will be reviewed by the UITS Testing Team to confirm they represent processing scenarios that the System would encounter after implementation.

All software defects found will follow the defect life cycle defined in the section that outlines the Defect Management Process.

System Testing artifacts include:

1. Test Case Suite: This functionality identifies at a high level each of the test cases required to test the iteration.
2. Test Scenario: A test scenario is a high level description of a business process or activity such as “Upload Quarterly Wage File” or “Process Employer Payment”.
3. Test Cases: A test case is a written series of commands and instructions that describe the execution of a test scenario using a very specific set of data and / or business rules. For example, test cases could include “Process Valid Quarterly XML Employer Reporting File” and “Agent Makes ACH Debit Payment”. A test case includes:
    - Design components (e.g., specific business rule(s), correspondence and reports generated, workflow initiated) tested by the test case.
    - A series of steps or activities that when performed together execute a test scenario.
    - The expected results for significant steps (i.e., steps that verify the successful execution of a business rule, workflow or correspondence).
4. Test case results: The test case results are the documented execution of specific test cases associated with an iteration. A single test case may be executed multiple times, depending upon the number and type of defects discovered during testing. Each test case is executed, validated against expected results, recorded and then saved. A test case includes the following:
    - The date and individual testing the test case.
    - The actual results for the steps in the test case (Compared to the expected results)
    - Test Case execution status (i.e., Pass, Fail, Pass with Exception)
    - Associated Problem Incident Report (PIR) ID if the test case did not pass.
5. Test Results Report: Functional modules are tested within an organized structure referred to as project iterations. Each iteration contains test cases for one or more functional modules. The test results report lists the final results for each of the iteration’s test cases included in the test case suite.

   The Test Results Report includes:

    - A listing of each iteration’s test cases, including the execution status of the test cases included in the test case suite.
    - A table that identifies the number of open and resolved PIRs associated with each build.

Browser testing is coordinated with system, integration and parallel testing. Sagitec performs browser testing using the three primary browsers; Internet Explorer, Edge, Safari, Firefox, and Chrome.

System Testing Scope	
Input/Basis	Baselined Requirements and Approved Design Specifications
Approach	**Setup**: Test cases are created complete with steps, required data, and expected results. Test design guidelines further detail the test design approach. **Review**: Periodic walkthroughs of the business scenarios and test cases are done with UITS prior to execution **Execution**: Sagitec testers are assigned test suites. Test Cases are re-executed until exit criteria is met. Sagitec tester executes and records results in NeoTrack™. In addition, software defects are logged in NeoTrack™.
Owner	Sagitec Testing Team
Support	The following teams provide support during system testing:

	• Sagitec Testers review and prioritize defects • Developers provide support for testing and resolve defects • Designers provide any clarifications needed about functionality • Data conversion team provides assistance with use of converted data • Infrastructure team supports the build process
Entry Criteria	Specific test cases are released as the Development Team completes associated product configuration and unit testing.
Exit Criteria	The following represents the exit criteria for system testing: • System Test Cases have been executed and Iteration confirmation demonstrations have been conducted • **100% of Critical severity PIRs have been closed and any open Moderate severity PIRs have a documented workaround.**
Test Tools	NeoTrack™ Sagitec Test Studio
Automation	System tests selected for regression will be considered for automation. See Regression Test for details on how these are selected.
Test Environment(s)	System Test Environment on OCTO hosted environment
Test Data	Generated data
Example	Example 1 Functional Testing - Testers will test the wage report submission process during system testing. They will submit wages and check the results to ensure the data is stored properly and calculations are correct. Example 2 Cross-Functional Testing - Testers go through the entire life cycle of wage and payment processing and check how it interacts with other function groups, such as employer registration and banking interfaces.
Output/Deliverables	• Test Cases tested • PIRs logged in NeoTrack™
Other Notes	System tests will be traced to Design Specifications. Performance Testing will be run in parallel to system testing activities in a separate environment that is on par with the Production environment in terms of infrastructure (server configuration) and data load.

Table 3: Functional/System Testing Scope

4.5 Pre-User Acceptance Testing

The objective of the pre-user acceptance testing is to provide UI Tax with access to the UI Tax solution prior to the formal User Acceptance Testing (UAT) session, which is planned to begin in January 2021. Providing users with early exposure increases likelihood of system adoption, design specification confirmation, and early identification of system defects.

The Pre-UAT will support functionality defined in the first four UITS iterations.

- T01 Employer Registration
- T02 Employer Portal and Employer Maintenance
- T03 Wage Report
- T04 Tax Payments and Tax Refunds

The available functionality will correlate with functionality that has passed Sagitec System Testing and will not include converted data. As a result Interfaces are not subject to inclusion since they will be managed in Iteration T10 that spans the duration of Iterations T01-T08.

Pre-User Acceptance Testing Scope	
Input/Basis	• System test scenarios/test cases from the Sagitec repository and located in NeoTrack™ • UITS Design Specifications finalized for the first four iterations
Approach	**Setup**: • UI Tax Testers will use system test scenarios/test cases that may be a combination of Sagitec test cases and UI Tax test cases. • Training sessions will be held to ensure the UI Tax testers adequately understand the Pre-UAT process and expectations, as well as how to use NeoTrack for executing testing and logging PIRs. • Sagitec will establish a UAT region within the Microsoft Azure environment and will ensure the correct software build is deployed to the Pre-UAT region of the environment. **Execution**: • UI Tax can execute system test cases in Passed status in NeoTrack™, and may log PIRs specific to these test cases. • UI Tax can create and execute unique test cases within the project scope and within the defined Pre-UAT timeline • PIR close-out. Sagitec will address logged PIRs during a subsequent 60 business-day Resolution Period that will commence at the end of Pre-UAT activities.
Owner	UI Tax will be responsible for executing Pre-UAT test scenarios/test cases in the agreed upon Pre-UAT period. Sagitec will provide UI Tax support to ensure successful completion of the Pre-UAT phase.
Support	• Sagitec provides support with test execution, defect management and issue resolution • Developers provide support for testing and resolution of defects

	• Designers provide any clarifications needed about functionality
Entry Criteria	Completion of Product Configuration Review phase of Iteration T01, T02, T03, and T04.
Exit Criteria	Agreed upon Pre-UAT end date
Test Tools	NeoTrack™
Automation	Not Applicable
Test Environment(s)	UAT region
Test Data	The Data for Pre-UAT will consist of system test data used by Sagitec and will not include any converted data. It is the responsibility of UI Tax to identify additional data that Sagitec will load.
Output/Deliverables	• Pre-UAT test case results documented • Pre-UAT PIRs logged
Other Notes	• Pre-UAT is part of an overall series of transition activities that will lead to successful launch of the UITS Project. For a successful launch, this activity must be coordinated with several test and non-test activities, including training, system demonstrations, and communication to internal project stakeholders. • For Pre-UAT, any requirement within the scope can be tested in the agreed upon Pre-UAT period. It is expected the UI Tax Leads will manage UI Tax staff with test case execution within the timeframe established in the UITS Project Plan (.mpp).

Table 4: Pre-UAT Testing Scope

4.6 User Acceptance Test

The objective of UAT is to confirm the UITS application meets the needs of the business users and conforms to the approved design specifications and baseline requirements.

This testing will also gain the final approval of the delivered solution. UAT approval is the last stage of testing before UITS solution is released into production.

The execution of UAT is the responsibility of UIT and supported by the Sagitec teams. The following assumptions and responsibilities are included in the UAT testing approach:

1. Selected UIT Module Owners will test business functions and log any issues that would prevent a successful launch. Preparation involves UIT members referencing approved functional module design artifacts.
2. Sagitec will recommend Integration test cases that simulate UITS Tax life-cycle scenarios.
3. There will be two UAT windows for the UITS project, reflecting the phased implementation approach for Tax Phases 1 and 2. For each phase, UAT begins after the development and system testing has been successfully completed for all Functional iterations, and Sagitec has conducted full system testing.

The following table outlines the UAT scope and approach.

User Acceptance Test Scope	
Input/Basis	The following represents the input to the UAT testing phase: • Successful completion of 4 Tax Functional Iterations for phase 1, and all 5 Tax Iterations for phase 2 • UAT test cases • UITS Project baselined requirements and approved design specifications
Approach	**Setup**: • UIT Testers will use UAT test cases that may be a combination of Sagitec test cases and UIT test cases. • Training sessions will be held to ensure the UIT testers adequately understand the UAT process and expectations. Sagitec and UIT technical staff will ensure the UAT environment mimics the production environment and the correct software build is deployed to the UAT environment. **Execution**: UITS UAT testers are assigned test suites. Test Cases are re-executed until exit criteria is met. UAT tester executes and records results in NeoTrack™. In addition, software defects (PIRs) are logged in NeoTrack™.
Owner	UIT will be responsible for executing UAT test cases in the agreed upon UAT period. Sagitec will provide UIT the support needed to ensure successful completion of the UAT phase.
Support	The following support will be provided during UAT: • Sagitec provides support with test execution, defect management and issue resolution • Developers provide support for testing and resolution of defects

	• Business analysts provide any clarifications needed about functionality delivered • Infrastructure team supports the software build process
Entry Criteria	The following represents the entry criteria for UAT: • Iteration confirmation demos have been conducted • System Test exit criteria have been met • Test Cases to be used in UAT have been reviewed by UIT. • UAT participants are selected • UAT kickoff meeting has taken place • UAT environment is ready for testing (restored to starting condition as needed) • UAT Test Case Inventory is established
Exit Criteria	The following represents the exit criteria for UAT: • 100% of Test Cases are executed • 100% of Critical severity PIRs closed. Remaining Critical severity PIRs in open status need documented work around and agreed upon timeline for closure. • 85% of Moderate severity PIRs have been close. **Remaining Moderate severity PIRs in open status need documented work around and agreed upon timeline for closure.** • UAT Test Cases will receive a Pass status if no critical or moderate severity PIRs are assigned to them. • Test Cases with defects classified as minor severity will have a status of Passed with Minor Exception. Remaining Minor severity PIRs in open status need agreed upon timeline for closure.
Test Tools	NeoTrack™
Test Environment(s)	UAT environment on OCTO hosted environment
Test Data	Test data will consist of converted data as well as user generated data for specific test scenarios.
Example	UAT test cases will reflect life cycle testing across multiple functional iterations. These test cases focus on core processing scenarios agreed upon by UIT and Sagitec.
Output/Deliverables	UAT Test Plan UAT scenario results documented UAT PIRs logged
Other Notes	UAT is part of an overall series of transition activities that will lead to successful launch of the UITS Project. For a successful launch, this activity must be coordinated with several test and non-test activities, including training, system demonstrations, and communication to the public. For UAT, any requirement within the scope can be tested in the agreed upon UAT period. It is expected UIT will manage this list of

	scenarios to test completion within the timeframe established in the UITS Project Plan (.mpp).

Table 5: User Acceptance Test Scope

4.7 Supplementary Testing Activities

In addition to the primary test activities performed, there will be supplemental test activities that will be performed at various times in the testing phases to support delivery of a high quality solution. These test activities will be owned and executed by Sagitec.

4.7.1 Performance Test

Sagitec defines “Performance Testing” as a mix of Time, Load, Stress, and Volume testing. Generally, Sagitec’s primary goal during performance testing is to learn as much as possible about the system’s capabilities before the application is migrated into production, so that bottlenecks may be addressed and mitigated before going live. In some cases, the goal may be to achieve defined performance metrics for commonly used functionality from the perspective of a typical business user. Other goals may include the measurement of the amount of time required to process a given number of transactions via batch, with a concurrent load of a given number of virtual users.

The following are some tools, techniques and terms which may be used during Performance Testing planning and execution:

1. Microfocus SilkPerformer – This popular load generation tool uses real browsers to simulate user load. Because of its use of active browsers for each “virtual user”, it is one of the only available load testing tools capable of working with the Sagitec Framework. With its powerful scripting language and built in monitoring and reporting tools, SilkPerformer provides a method to easily plan and execute performance tests.
2. Virtual Users – Performance Test tools mimic real system users with “virtual users”, either by generating HTTP requests or through actual browser instances.
3. Network Benchmarking – During any given performance test, a desktop PC with a single virtual user running on it should be directly connected to the web server, without any firewalls, networking equipment, or other infrastructure pieces that may contribute to the overall response time. Loads may be generated from within the LAN or from the cloud, but response time metrics should be collected with this approach in order to isolate the performance of the application and its servers. This data could then be compared with response time data collected on PC’s that have infrastructure components sitting between them and the servers, thereby establishing the impacts of the network on overall system performance.
4. Cloud Virtual Users – Virtual Users generated from the cloud using the cloud extension of Microfocus SilkPerformer.
5. Test Monitoring – Server performance can be monitored using Windows Performance Monitor. Microfocus offers its Server Analysis Module (SAM), which features enhanced reporting capability relative to the standard Windows Performance Monitor. The SAM uses Windows Performance Monitor as its data source.
6. SilkPerformer Workbench – This is the “controller” portion of the SilkPerformer software, where scripts are developed and tests are configured and run.
7. SilkPerformer Agents – Agents are the SilkPerformer load generation engines, which could be virtual machines, physical PC’s distributed within an LAN, or the cloud. Agents are controlled via the Workbench controller.

8. Session Time – This refers to the total amount of time required to complete a given business transaction, from login to logout. It is one variable used in calculating the number of virtual concurrent users.
9. Think Time – Think time is a simulation of a user logged into an application, but not necessarily clicking on anything on the page. Think Time is a factor in calculation of the number of virtual users with which to test.

Sagitec will collaborate with the UIT testing team to define the performance test cases with corresponding transaction time/response time requirements, including testing for anticipated growth of the user base.

Execution of performance testing is the responsibility of the Sagitec testing team supported by the Sagitec development team. It involves a Sagitec QA team identifying various performance test cases and then executing the test cases with a performance test tool to confirm that the application meets or exceeds the performance requirements. Performance test cases are typically derived from system and regression test cases. Sagitec recommends the Microfocus SilkPerformer tool for Performance testing. SilkPerformer is being used in other projects implemented by Sagitec and the results have been very successful.

Performance Test	
Input/Basis	Business transactions and system performance metrics finalized and Service Level Agreements (SLAs) agreed to
Objective/Focus	Performance testing involves simulating a subset of most heavily used or critical business transactions within the UITS Project. It also ensures that the system is performing to agreed-upon performance metrics and SLAs. **Performance test objectives include:** • Performance tuning critical to the UITS Project business transactions for acceptable response times under peak load • Finding and addressing application and infrastructure tuning opportunities • Exposing performance bottlenecks early to resolve before production deployment
Approach	There are four distinct types of performance tests that will be executed. Each type of test will build upon the findings and results of the previous test. In addition, each execution cycle within a performance test will build upon the previous execution. • **Baseline Test**. Baseline response time, processing time and verify performance test cases under a single user load. • **Load Test**. Evaluate the online application performance under a peak hour load condition (to be defined at the time of testing) • **Stress Testing** – Find the breaking point at which the system begins to perform erratically. It is generally performed by increasing the number of virtual users beyond the peak of what would be expected in production, until the application becomes unstable.

	• **Volume Testing** – Used to determine the application's behavior with increased data population in the database. A volume test may consist of increasing the record count in certain tables by yearly growth rate for 4 years.
Owner	Sagitec Technical Architect
Support	UIT technical staff provide historical transactional volume Development team fine tunes code/optimizes SQL Infrastructure team sets up and optimizes environment configuration
Entry Criteria	The following represents the entry criteria for performance testing: • System deployed to performance environment • Test data copied to performance environment • Performance test tool is installed • Monitors installed on servers/networks under examination • System is functional per integration and system testing
Exit Criteria	The following represents the exit criteria for performance testing: • Test results are reported to relevant stakeholders • Performance tuning activities are completed • Remaining performance defects are logged • List of critical resources on the system that represent operational limits of the system with satisfactory performance • Performance of the system is acceptable per SLAs or a mutually agreed upon plan is in place to address remaining issues
Test Tools	Microfocus SilkPerformer
Test Environment(s)	Staging/Performance Environment
Test Data	Generated and converted data
Example	Critical business transactions – Typically, the rule of thumb for identifying performance test scenarios is the use of the so-called "80/20 rule" – the identification of the 20% of the business transactions that will be used 80% of the time (load) in production.This means that the business transactions to select for performance testing should include: • Core and business critical - Most heavily used business transactions which are dependent on daily business operations • High Frequency - Functionality which has > 'n' (state dependent) transactions per day in today's high volume day (i.e. OFPL will indicate business processes with high frequency). • High Customization - Functionality that is highly customized, resource intensive, and/or complex. • Should include monitoring of "normal load" over a period of time to detect resource leaks and misalignments

Output/Deliverables	Technical test results including: ● Test completion overview - actual test results captured for each scenario ● Transaction volume – Total number of transaction processed (pass/fail/errors) ● Average system response time ● Infrastructure resource utilization - snapshot of CPU and memory usage across application servers, DB usage (memory usage/ CPU utilized per DB connection/SQL), top slow performing SQL, no. of DB transactions, and network utilization with various load conditions ● Key findings and recommendations ● Snapshot of all resolved/open performance issues
Other Notes	None

Table 6: Performance Test

4.7.2Failover/High Availability Testing

Assessing System failure is the focus of this testing activity. These tests determine whether backup systems come into use as expected, and identify issues that could prevent successful completion of a disaster recovery plan. For more detail please reference BP03 Disaster Recovery Plan. In general, the failover testing will verify the high availability of the application and database servers including:

- Application servers load balancing
- Database servers

Network Load balancing testing will be limited to a defined list of test scenarios.

Failover/High Availability Testing	
Input/Basis	Performance test cases
Approach	**Setup**: • A test environment will be set up with the same failover configuration planned for production • A set of performance test cases known to cause system stresses will be selected and set up for the target test environment **Execution**: testing will include stressing the system, shutting down servers, and reviewing logs and activity to monitor how the system responds.
Owner	The Sagitec Infrastructure Team Lead will perform failover testing with assistance from UIT staff
Support	Test team will provide performance test cases for stressing the system
Entry Criteria	N/A
Exit Criteria	The following represents the exit criteria for Failover/High Availability Testing: • Performance of the failover system is acceptable. • Remaining defects (PIRs) are logged • Production blocking defects are successfully closed
Test Tools	Microfocus SilkPerformer
Test Environment(s)	The failover tests will be executed in the staging/performance testing and production environments
Test Data	Generated and converted data
Example	While running transactions in the performance testing environment, the infrastructure team will take down one or more database servers to ensure clustering and failover are working properly
Output/Deliverables	Recorded PIRs Documented test results Formal review of test results

Other Notes	Elaboration on plans for testing of the application layer and physical layer high availability will be provided during the detailed planning of this test activity

Table 7: Failover/High-Availability Testing

4.7.3 Interface Test

The objective of legacy integration testing is:

- Verifying inbound/outbound interfaces to/from the UITS system
- Understanding any processing concerns that will be relevant to the implementation plan.

Interface Integration Test	
Input/Basis	The following provides the input for interface testing • Baselined interface requirements and approved interface technical specifications
Approach	**Planning:** Projection on dates and times for intersystem testing. Agreements forged with each interfacing system on changes expected, testing needed, and dates. **Setup**: Test cases are created complete with steps, required data, and expected results. Test design guidelines further detail the test design approach. **Review**: Periodic walkthroughs of the business scenarios and test cases are done with UIT prior to execution **Execution**: Sagitec and UIT interface resources will work with 3rd party interface partners to coordinate test windows for test execution. Testers are assigned test suites. Test Cases are re-executed until exit criteria is met. The tester executes and records results in NeoTrack™. In addition, software defects are logged in NeoTrack™.
Owner	Sagitec and UIT Interface Resources
Support	The following teams provide support during interface testing: • Sagitec Testers review and prioritize defects • Developers provide support for testing and resolve defects • Business Analysts provide any clarifications needed about functionality • Data conversion team provides assistance with use of converted data when necessary • Infrastructure team supports the build process
Entry Criteria	Specific test cases are prepared and test scope is finalized for each interface.
Exit Criteria	The following represents the exit criteria for interface testing during system test: • 100% of the interface test cases have been executed • 85% of executed test cases pass. • 100% of Critical severity PIRs have been closed or acceptable workaround documented and agreed upon timeline for closure. Any open Moderate severity PIRs have a documented workaround. • Only minor PIRs are open Interface test cases will receive a Pass status if no Critical or Moderate defects are assigned to them. Test Cases with defects

	classified as minor severity will have a status of Passed with Minor Exception. Attaining the above test case execution/passage criteria for testing of functionality during system test, even when using stubs and/or simulated connectivity constitutes passage. For interface UAT testing, test case execution/passage criteria are the same, but final test passage includes successful integration and connectivity testing with the 3rd party interface partner.
Test Tools	NeoTrack™
Test Environment(s)	System Test and UAT Test environments
Test Data	Will vary based on each interface, and will be defined as part of each technical specification. In cases where 3rd party interface partners cannot be available for interface system testing, functionality will be tested using stubs and drivers where possible to allow functionality testing to proceed.
Output/Deliverables	Approved technical specifications Approved SLA documentation with interface partners Test Case tested PIRs logged in NeoTrack™
Other Notes	None

Table 8: Interface Testing

4.7.4 Smoke Test

The objective of smoke testing is to save testers time by identifying major build issues quickly. After a build is rejected for failing a smoke test, no further effort is spent on that build until the issue is resolved.

Smoke Test	
Input/Basis	Test cases identified by the test team based on the scope of the software build
Approach	As builds are produced for testing, a rapid and lightweight test set will always be run first to validate the build.
Owner	Build/release Team Lead
Support	Testers provide test cases (automated and manual) for inclusion in the smoke test suite Testers assist by updating test cases as needed
Entry Criteria	Software build with the targeted functionality available
Exit Criteria	No critical PIRs identified
Test Tools	NeoCertify™ NeoTrack™
Test Environment(s)	All environments where software is released

Test Data	Manually created
Example	Immediately after deploying a build to an environment, the build team runs a script that attempts to log into the UITS application on that environment. If the test case fails, the build is not usable and should be rolled back.
Output/Deliverables	Test results and defects (PIRs) in NeoTrack™
Other Notes	Smoke tests are a subset of high-priority regression tests

Table 9: Smoke Test

4.7.5 Regression Test

The objective of regression testing is to determine whether recent code changes have caused previously-working functionality to stop working, thereby saving testers time by identifying major issues quickly.

Sagitec will identify test cases as candidates for regression testing. Regression test cases are identified based on how extensively they incorporate both core functionality and critical path processes. The goal of regression testing is to ensure the maximum amount of coverage for core processing scenarios.

The regression testing process will be executed for every software build.

Regression Testing	
Input/Basis	Previously working and tested functionality
Approach	After making changes, tests that previously passed will be repeated to confirm that the changes did not introduce new defects. Tests that have previously passed will be re-executed if relevant system changes have been made. Regression testing will include both manual and automated test scenarios Automated tests may be created with Sagitec's Test Studio. The best candidates for automation are tests that: • Are easy to automate • Are cumbersome to run manually • Are repeated frequently • Represent important system functionality (not checking for minor issues)
Owner	Sagitec QA Team

Support	Developers will provide release notes to help testers identify the relevant regression tests for a given build
Entry Criteria	N/A
Exit Criteria	N/A Regression Test Cases Passed
Test Tools	Sagitec Test Studio NeoCertify™ NeoTrack™ Other tools as needed
Automation	Tests selected for regression will be considered for automation.
Test Environment(s)	All environments where software is released
Test Data	Manually created, may include converted data where it is needed to check specific defects
Example	A defect has occurred twice that prevents a particular type of issue being created against a particular employer type during the employer registration process. The test team took the steps to reproduce from the defect and created a special test to check that particular condition. When the next test cycle begins with a new build, the test team runs this test to see whether the defect is still fixed.
Output/Deliverables	Test results and defects (PIRs)
Milestones	None
Other Notes	Defects will be one of the sources of regression tests, and will be a guide to determining what to automate. The automated regression test suite is expected to cover the core processing scenarios

Table 10: Regression Test

4.7.6 Vulnerability and Penetration Testing (Security Testing)

The objective of security testing is to determine whether the UITS application correctly addresses the security-focused nonfunctional and technical project requirements. In addition, assessing the vulnerability of the UITS application to identify and address system openings for attack will be achieved.

Vulnerability and Penetration testing consists of applying various penetration testing methodologies and manual audits to assess external portals and identify vulnerabilities and threats, prioritize high-risk vulnerabilities, and provide detailed remediation techniques to reduce the risk of an external portal being compromised. This testing occurs concurrently with performance testing after the completion of the final system integration testing.

Sagitec conducts the security auditing/testing activities as described in Del07 Implementation Plan. The tests evaluate the security controls of the UITS Solution implementation infrastructure. The tests are designed to determine whether Sagitec has properly implemented security controls to prevent unauthorized access.

Vulnerability and Penetration Testing Scope

Input/Basis	Security-focused nonfunctional, technical project requirements, common web application vulnerabilities (OWASP Top 10)
Approach	The functional testing performed as part of the primary test activities will include the functionality of role-based security settings and the administration of application security settings. A separate assessment of the security vulnerabilities of the UITS system will be performed concurrently with System Testing.
Owner	Sagitec Test Lead and Sagitec Technical Architect
Support	Sagitec Security Testing Team, Sagitec Testing Team Developers will assist with troubleshooting security vulnerability issues and defects Sagitec infrastructure team will assist with analysis of security vulnerabilities
UITS Entry Criteria	N/A
Exit Criteria	Critical and High vulnerabilities identified by Burp Suite Web Scanning Tool are resolved
Test Tools	Burp Suite Web Scanning Tool
Test Environment(s)	Staging/Performance Testing or UAT, Production environments
Test Data	N/A
Examples	**Functional role-based security test (WhiteBox testing/scanning)**: Supervisors should have access to update liability information for an employer that regular UIT staff cannot access. The functional test would check logging in as both types of user to validate the role-based security access settings. **Vulnerability test (Blackbox scanning)**: A malicious external user could attempt to retrieve employer information through the claimant portal. A variety of vulnerability tests will be performed to test the application and the infrastructure.
Output/Deliverables	Test results and defects
Other Notes	Due to the sensitive nature of application vulnerability tests, findings will be published to a restricted audience approved by UIT. User Security Testing (i.e. confirming correct access to screens has been granted to staff) will be run as a part of deployment readiness. This testing will be facilitated by the Sagitec Test Team and supported by UIT Business Owners.

Table 11: Vulnerability and Penetration Testing Scope

4.7.7 Americans with Disability Act (ADA) Testing

The Department of Justice (DOJ) published the Americans with Disabilities Act (ADA) Standards for Accessible Design in September 2010. These standards state that all electronic and information technology must be accessible to people with disabilities.

Sagitec complies with ADA Standards by meeting the two central ADA recommendations:

- Self-Regulation: Sagitec exercises self-regulation of accessibility standards as the Department of Justice develops regulations to provide specific guidance to the entities covered by the ADA.
- WCAG2.0: Organizations are encouraged to use the WCAG 2.0 level AA guidelines as a guide on how to become accessible until the DOJ defines the regulations.

WCAG 2.0 Compliance: The World Wide Web Consortium (W3C) sets the main international standards for the World Wide Web and its accessibility. W3C created the Web Content Accessibility Guidelines (WCAG 2.0) which are similar to Section 508, but on an international level. WCAG 2.0 requires specific techniques for compliance and is more current than Section 508. Many countries and international organizations require compliance with WCAG 2.0. The guidelines are categorized into three levels of compliance: A (must support), AA (should support), and AAA (may support).

ADA Testing	
Input/Basis	Tax and Benefits user interface forms (screens)
Approach	Our self-regulation to meet these ADA Standards is based on leveraging an ADA testing software, Compliance Sheriff, to implement a standard approach throughout the solution. Compliance Sheriff provides automated testing and reporting for standards-based Accessibility policies. Compliance Sheriff features a web-based user interface. Using this software tool we apply the following approach: • Create scan definitions • Create transaction scripts • Define checkpoints • Run Scan • View Scan Results • Analyze reported errors (if any) • Address issues and retest (if needed) • Document test results
Owner	Sagitec QA Team
Support	Sagitec NeoTrack team will assist with analysis and resolution of relevant errors
UITS Entry Criteria	N/A
Exit Criteria	**The results of completed scans are summarized by the Health Value (color and % by color).** **Passed with warnings % (green): The scan completed successfully. Sagitec will address the warning messages. These scans may also have visual check recommendation messages that require manual validation of the web page to fix. Pages with visual recommendations will be fixed until the compliance level of 90% is reached.** **Passed with warnings % (yellow): The scan completed with warnings.**

	No errors were found in these scans. Warnings indicate the page can be improved. Pages with warnings will be fixed. **Failed % (red): The scan completed, but one or more pages failed due to an error message. All errors will be fixed. Pages that fail will be corrected.**
Test Tools	Compliance Sheriff
Test Environment(s)	System Testing environments
Test Data	N/A
Examples	Error: ● Duplicate Control ID's found. (e.g. Control ID – Textbox name/Label Names) Explanation: Need to have unique controls' IDs ● INPUT element does not use an ALT attribute, TITLE attribute or linked LABEL. Explanation: Need to associate control with label and to provide alt and title attribute Warning: ● Table uses markup to associate data and header cells, but has no valid ARIA attribute. Explanation: Need to add ARIA attribute in code ● Header has very short header title Explanation: Need to add header of required size **Visual:** ● Verify if text only version is necessary for the page Explanation: If a Text Only Equivalent of a page is provided it must be updated every time the primary content changes. This checkpoint typically is marked N/A because there are sufficient techniques for making complex web content accessible, i.e. a text only version may not be required. ● If validation is performed on input verify the information communicated is accessible to assistive technologies. Explanation: The objective of this technique is to validate user input as values are entered for each field. We have validations in place for all mandatory input fields.
Output/Deliverables	Health Value Reports Pre-UAT PIRs logged
Other Notes	

Table 12: ADA Testing Scope

5 Testing Team Roles and Responsibilities

The figure below describes the roles and responsibilities involved in implementing the UITS Project test plan and approach. Please note that each role does not necessarily require a separate resource.

Role	Responsibilities
Sagitec Test Lead	• Coordinate development, management and tracking of test plans • Coordinate collection, creation, and implementation of test cases and scenarios • Establish agreed upon reporting metrics, check-points, and status reports. • Monitor and report on Sagitec testing milestones. • Monitor and communicate issue management and defect resolution. • Manage coordination functions, Sagitec resources, and deliverables • Define and implement the governance model • Drive implementation of testing best practices • Assess and advise on matters regarding resource allocation and budgeting • Proactively manage testing dependencies across work streams, applications and interfacing systems • Identify, communicate, and escalate testing-related issues and risks extracted from program communications and issues logs • Maintain insight into the change management process and impacts to testing • Monitor changes to program scope, plans, timelines as it impacts testing • Onboard new Sagitec test resources
Sagitec Functional Lead	• Facilitate check-ins with Sagitec testers to confirm progress with PIR resolution and to establish PIR priorities
Sagitec Developers and Technical Testers	• Conduct unit, integration and system tests • Report, resolve, re-test, and close Sagitec- logged PIRs • Assist in UAT defect analysis and resolution • Assist in operational testing set up and administration (batches, data, etc.)
Sagitec Business Analysts and Functional Testers	• Develop and map test cases and scenarios • Execute system test cases • Document PIRs if discovered • Participate in regression testing and issue resolution • Document design deficiencies identified through testing

	• Assist with UAT training and UAT administration (defect triaging and issue resolution) • Participate in operational readiness testing set-up and administration • Communicate risks and issues to leadership team • Monitor progress with Iteration system and UAT testing • Support Test Strategy and detailed test planning, and resource estimation • Lead effort in defect tracking/resolution for the iteration • Clarify PIRs for SME's
Sagitec Infrastructure Lead	• Develop environment strategy • Analyze, Design and Implement testing environments • Support testing team regarding environment
Sagitec Functional Testers	• Prepare automation test plan • Prepare and run automated test cases and report defects if any
Sagitec Release Coordinator	• Coordinate builds to test environments and confirm proper tracking of changes • Ensure proper communication of changes via release notes
Sagitec Test Lead	• Prepares PIR reports and facilitates PIR meetings • Partners with the Phase Test Lead to drive defect resolution and escalation • Reinforces adherence to the defect process
UIT Test Lead	• Communicate test results to UIT stakeholders • Coordinate necessary UIT resources (UAT) for test execution • Manage the execution of the UAT Test plan • Provide program level guidance, leadership, and mentoring on UIT testing activities • Work with program leadership to mitigate and resolve escalated issues and risks • Resource allocation /secure required UIT resources • Gather and analyze communications inputs from UIT testing resources • Create and distribute reporting and dashboard materials • Execute and maintain knowledge management and transfer activities specific to testing processes and timelines. • Create, manage, and execute test communications activities • Manage onboarding materials, training, and process for UIT testers • Attend UAT PIR Triage Sessions
UIT UAT Testers	• Review Design documentation prior to testing. • Report, re-test, and close UIT- logged PIRs

	• Support test case creation and test data definition • Support data preparation for UAT • Support test execution by providing requirement and process clarifications as well as supporting defect triage • Execute UAT test cases • Attend UAT PIR Triage Sessions as necessary

Table 13: Project Roles and Responsibilities

5.1 Staffing and Training Needs

Sagitec will provide training to UIT testers to ensure they have basic testing knowledge before testing. The training will include:

- UITS Project Overview
- Testing basics (what is testing, why we test, how to test)
- Project-specific processes for testing and defect management (e.g. Test Case Execution, Daily PIR Triage)
- Testing Tools (e.g. NeoTrack™)

5.2 External Interface Testing Coordination

As implementation progresses, the system(s) under development may require coordination activities with external parties such as:

- Synchronizing/staging test data between internal and external systems
- Privacy/disguise concerns with external (inbound) data
- Scheduling of external file transfers (Employers and Third Party Administrators)
- Request for electronic transactions (e.g. Banking)
- Identifying and communicating expected down times
- Security access to simulate functional scenarios during testing
- Performance and security impacts to external systems

This coordination is typically controlled and monitored by the Sagitec Interface Team. Sagitec's Test and Interface Leads (or appropriate subject area Test Manager and Interface Lead) will represent the core testing team in any discussions.

6 Test Support Infrastructure

6.1 Test Tools

This project uses specialized testing tools to organize and accelerate the test process. The following tools are planned for the UITS System deployment.

Function	Tool	Benefits
Performance Testing	**SilkPerformer**	**Microfocus SilkPerformer – This popular load generation tool uses real browsers to simulate user load. Because of its use of active browsers for each "virtual user", it is one of the only available load testing tools capable of working with the Sagitec framework. With its powerful scripting language and built in monitoring and reporting tools, SilkPerformer provides a method to easily plan and execute performance tests.**
Requirements and Test Management	**NeoTrack™**	**NeoTrack™ is used to manage all requirements and design documents. NeoTrack™ provides a simple Web-based portal that allows collaborative work by the project team on requirements, use cases, test cases, defects and other related items. It also provides project dashboards**

		for ease of reporting to Project Management. **NeoTrack™ provides the following features:** **Centrally Managed edit, Review and Sign-off - Requirements can be sent to the team and clients for review and feedback. Reviewers can participate in real-time discussions, propose changes, and highlight issues. Approval of agreed upon scope and requirements are facilitated through approval of relevant documents posted to SharePoint.** **Managing Requirements - NeoTrack™ provides the ability to manage requirements by synchronizing only specific details, such as the requirement name and description. This prevents duplication of detailed attributes such as status, priority and releases.** **Full Traceability - NeoTrack™ provides full traceability of requirements, use cases, test cases, defects and other related items. NeoTrack™ tracks the complete version history of all changes done to requirements, use cases, test cases, defects and other related items.** **Manage and Execute Testing - NeoTrack™ provides integrated test management that confirms requirements are met by creating, executing and managing test cases to validate such requirements.**
Automated Functional Regression Testing	**Sagitec Test Studio**	**Sagitec Test Studio may be used to perform script based, automatic regression tests on newly deployed software on any environment that includes Integration Test, System Test, User Acceptance Test, Training and Production. Automatic tests have many advantages which include repeatability, consistency, reliability, speed of execution and speed of feedback on defects form the tests. Sagitec Test Studio uses an Integrated Development Environment (IDE) that allows scripts to be recorded, test cases developed through parameterization of input variables, and provides input data, test execution and test results. Sagitec Test Studio can be part of the continuous integration process where regression tests are performed every time a software build and deployment occurs. The use of Sagitec Test Studio will be evaluated based on the project's timeline and requirements.**
Security Testing	**Burp Suite**	**The Burp Suite Security testing tools will help identify and resolve security vulnerabilities earlier in the development phase of a project. Additionally, Network, Server Administration and Database security will provide protection from external and internal threats when the application is deployed in production. The Burp Suite Security tools identify and remediate web application vulnerabilities in the source code (Static Application Security Testing) as wells as in pre-production and in-**

		production applications (Dynamic Application Security Testing).
Defect Management	**NeoTrack™**	**NeoTrack™ is a tracking tool for creating and managing defects and issues. It uses a simple web interface to easily capture, prioritize and route defects and issues between project team members. NeoTrack™ integrates seamlessly with developer IDE's. It also provides requirements management capabilities resulting in an integrated requirement, testing and defect tracking solution.**

Table 14: Test Tools Summary

7 Test Environmental Requirements

This section presents the technical and hardware resources required for the test plan.

7.1 UITS Project Environments

The following table sets forth the environments required to execute the test plan. Each environment is followed by a description that defines the activities that will be conducted in that environment.

Environment Name	Description
Development/Integration Testing	**Developer-controlled environment for Unit testing and String testing**
System Testing	**Tester owned environment for System testing. Includes interface testing when feasible. Uses both generated and selected samples of converted data.**
User Acceptance Testing (UAT)	**Tester owned environment for System testing (initially) and then User Acceptance testing. For executing Functional test cases that require interface-generated data, external stakeholder participation will be included when their participation is feasible. If end-to-end functional test cases require interface-generated data and external stakeholder is not available, simulated data or stubs will need to be used. Separately, interface related UAT will occur with external participation for all interfaces. . Uses both generated and selected samples of converted data. UIT user acceptance testing (UAT) and Pre-UAT will be conducted in this environment.**
Performance Testing	**Performance team owned environment for performance testing and high availability/disaster recovery testing. Includes interface testing. Uses both generated and selected samples of converted data. Automated load testing will be performed in this region to test concurrent use at peak volumes.**
Training	**No testing will take place in this environment**
Implementation/Production	**No testing will take place in this environment**
Conversion environment	**Conversion testing will take place in this environment. Please see Del10 for more details.**

Table 15: UITS Project Environments

8 Test Data Management

Test data management involves the identification, acquisition, replication, and staging of test data to testers to support executing test scenarios in the various environments.

8.1 Test Data Management Activities

Test data management includes the following activities:

- Setting up environment configuration data (connection strings to interfaces and data sources)
- Setting up system data (dropdown values not editable in the system)
- Setting up seed data (employers, agents, and UI staff) necessary to test functions that require use of existing data
- Saving "gold copies" of test data configurations to be used to restore the system to a previous working condition or to set up a new test environment
- Setting a process to integrate data model changes with restoring a "gold copy" made in an earlier version of the data schema
- Comparing test data across environments for a single record to determine whether a data-related defect is consistent across different versions of the application
- Setting up test automation to create or copy records for quick setup
- Clearing and resetting one-time-use test data for rapid turnaround activities such as UAT, performance testing, and training
- Maintaining data cleansing/masking functions used to protect production data used for testing (functions that obscure personally identifiable information so that it is not disclosed to unauthorized persons)

Testing will have a "Gold" database. This database will be a copy of all the information that is required to start test execution. The "Gold" database is intended to be the starting point of a test execution activity/cycle. It will contain referential data (i.e. data that populates Country, State, Reason, etc. dropdowns) as well as any pre-identified required master and transactional data. When an environment's database is refreshed all changes to data through the execution of scripts and other activity will be dropped, and the database will go back to the day 1 state.

The testing team will identify the data needs of their test cases and will work closely with the data management team to incorporate any changes or data needed in the "Gold" database. For instance, Sagitec testers will determine data needs when writing system test scenarios/cases, and UIT, with Sagitec's assistance, will determine data needs when reviewing UAT test cases. Changes to referential data will follow the Data Management process.

The data management team will provide database "refreshes" to the "Gold" version of the database on an as needed basis. Generally, data refreshes are performed prior to a testing cycle beginning or after the test data is corrupted by testing activities. The refresh gives the users a clean slate in which they can start their execution and prevents data re-use that may lead to invalid PIRs.

During early deployments, data that would normally be entered through a component that is not yet available will be emulated and entered into the Gold database. When the components then become available, the test cases will then use the component for entering the data rather than emulating it.

As the system matures, and additional components become available, the testers will be less reliant upon emulated data, and will instead be adding the data through the application.

Depending on the interface availability and the stability of the design associated with it, certain test cases may entail sending/receiving data directly to the third party interface test environment and other interfaces may use stubbed files to mimic the interface connectivity.

Data used during conversion testing will be based off of a copy of the data provided by UIT for the use of conversion testing. During conversion testing, steps will be taken to cleanse the data to prevent PII information from being accessed. In some cases, this may restrict the ability to test interfaces, especially interfaces that can only be tested in an external system production environment.

8.2Test Data Management

As test cases are created, and required data identified, they will be tracked in NeoTrack™. Test data is delivered as part of the environments in which it is used.

In addition, where specific test data needs exist, those needs are described in the test scenario or test case to which they apply. Required data may include:

- Employer information
- Agent information
- UI Experience Rate
- UI Contribution Rate
- Wage Detail
- Payments
- Collections
- Reports
- Field Audit
- Interface-specific information
- Correspondences
- System Management and Security
- Workflow

9 Defect Management

Problem Incident Reports (PIRs) will be entered by testers into the NeoTrack™ tool when the expected result of test case step does not reconcile with the actual result. After PIRs are entered, they will be triaged. During the triage process, the reviewer may change the severity of the PIR or the PIR type to reflect a more complete understanding of the issue represented. Triage will be performed by Sagitec during system test activities and with UIT during UAT. PIR owners will be responsible for retesting and closing the PIR when it is reassigned back to them indicating it has been fixed.

Sagitec and UIT will triage UAT PIRs as a team.

9.1 Issue Management – Defect Tracking

To track progress against plan, Sagitec will use the core tracking features and elements from NeoTrack™ that are listed below. These data elements reinforce traceability, issue severity, and provide a level of detail required to accurately and efficiently manage PIRs throughout the project lifecycle.

The following table outlines the elements contained in NeoTrack™ that will be used to monitor PIRs and testing results.

Configurable Field	Description
PIR ID	System-generated number, read-only
Test Case Key	System-generated number assigned when creating the associated test case. This field maps the PIR to the Test Case.
PIR Source	Defines the environment where the PIR is logged. Statuses are: • Development QA • System Test • Training • User Acceptance Testing • Production
DS Key	Design Specification that is synonymous with the name of the UITS Final Use Case. This field maps the PIR to the UIT Final Use Case.
DS Component	Design Specification Component that reflects an Activity or Activity Component. This field maps the PIR to details within the UITS Final Design Specification.
Reported By	A dropdown list of Sagitec or UIT testers who have the access to enter PIRs.
Assigned To	A dropdown list of Sagitec or UIT testers who are assigned a task specific to the PIR.
Classification Type	A distinction as to the source of the PIR. This field will default to blank that infers the defect is found at the application level. For example, PIRs that are rooted in the Sagitec Framework level will be updated to reflect Framework. UIT Testers will not be expected to make this determination.
PIR Title	Written title-description of the issue.
PIR Description	Written narrative-description of the issue.
PIR Type	This field is used to distinguish the PIR Type which in turn drives the proper triage approach for the associated issue. PIR Types marked as defects go through a separate triage process than PIR Types identified as Enhancement. The triage process for PIR Types marked Defect is noted in the next section of this plan while Enhancement PIR Type are documented in PM05 Change Management Plan
Severity	This field will be assigned by testers when an issue is documented during system testing. During acceptance testing, the severity will be assigned to PIRs by a combined UIT/Sagitec team. The three severity options are:

	- Critical - Moderate - Minor Section 9.3 Software Defect Classification defines the criteria for each severity.
Priority	An additional level of detail used to further prioritize PIRs within the same Severity Level. The options are High, Medium, and Low.
PIR Status	The status of an issue drives the workflow for closing out issues including the person to whom the issue is currently assigned. These statuses are elaborated in greater detail in the next section of this plan.
Log Tab	Tab for tester to record other notes regarding the issue. Any resolution detail that needs to be conveyed is entered in this field.
Other Details Tab	Tab to provide additional Detail available to coordinate PIR fixes and retesting activities.
History Tab	Tab that contains system-generated log that captures the history of the PIR. This reflects the PIR Log comment, and changes to Status, Priority, Severity, Assigned To, Modified Date, and Modified By Name.
Attachments Tab	Tab to contain any needed attachments.
Related PIR Tab	Tab to map PIR to other related PIRs
Related Test Case Tab	Tab to map PIR to multiple Test Cases.

Table 16: NeoTrack™ Elements for Defect Management

9.2 Defect Management Process

The defect management process may change over the course of the project if improvement opportunities are identified. All changes will be communicated with stakeholders. The following table reflects the PIR lifecycle from being logged to being closed or cancelled.

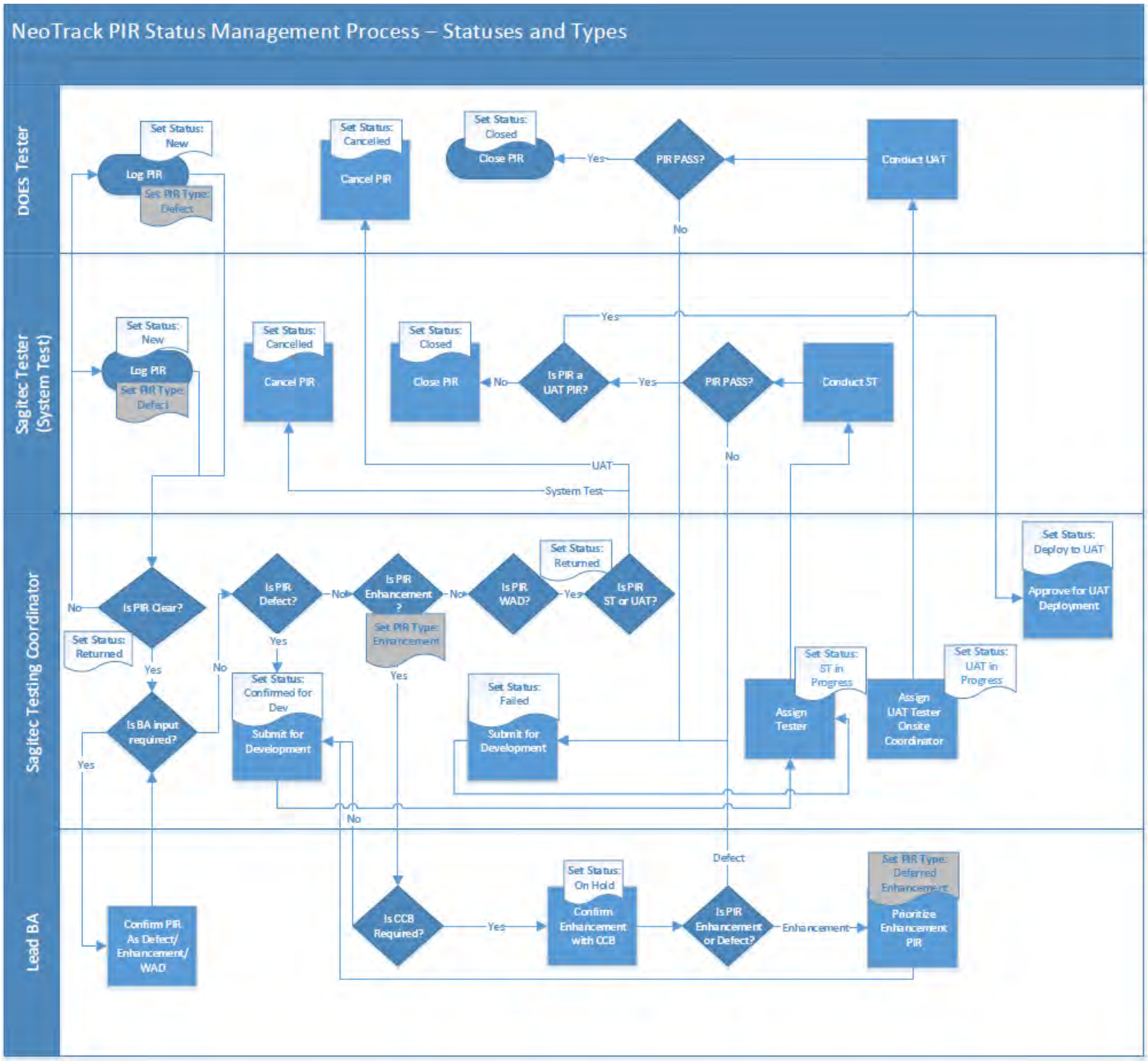

Figure 4: Defect Management Process

9.3 Software Defect Classification

The following defect classification will be used for all testing phases.

A **critical** severity defect must be production-blocking, not have an agreed-to workaround option through either the application or through manual operations, and meets one of the following criteria:

- The defect prevents a tester from further testing; the business process under test is inoperable or not recoverable or the error prevents further execution of the remaining processes in a logical set of business processes, or
- The defect causes unacceptable performance impacts (i.e., exceptionally sluggish System response times that significantly exceed performance requirements), or
- The defect would have significant business impact such as high cost or damage potential that includes significant loss of data, or
- The defect would result in loss of critical data (e.g. PII data), application availability, or confidentiality for data items.

Example: Application causes incorrect liability determination, or incorrect tax rate assignment. The user does not have the ability to register an employer.

A **moderate** severity defect must meet at least one of the following criteria:

- Defect presents an inconvenience to the user but a viable (based on frequency and complexity) application workaround or manual workaround is available.
- Where the business process under test produces partially correct results; defect does not prevent further execution of the remaining processes in a logical set of business processes.
- Defect may cause loss of integrity, availability, or confidentiality (where appropriate) for non-critical data.
- Defect would result in loss of non-critical data (e.g. Employer DBA Name).

Example: The inability to access a correspondence from the appeals detail screen/document tab that can be still be accessed from the Documents (correspondence lookup) screen.

A **minor** severity defect must meet at least one of the following criteria:

- Defect is non-compliant with the specification, but does not interfere significantly with the use of the System.
- Defect reflects an insignificant cost or damage potential to the business.
- Defect does not compromise data integrity, availability, or confidentiality.
- Defect is cosmetic in nature and does not prevent daily operations of the system.

Example: Inconsistent field names being displayed on screens is one example.

1. It is critical that defects are accurately classified with the correct severity (defined above) so that the proper priorities are established. Sagitec and DOES will conduct joint triage meetings on a daily basis during UAT to properly categorize defects. Any disagreements from the triage meetings will be raised to project leadership for resolution.

2. In situations where moderate defects cannot be fixed in UAT by Sagitec (not to exceed 90 % of the moderate test functionality), Sagitec will submit justification and timeframe for closing the defects.

3. Defect resolution and deployment timetable will be provided as soon as possible when the decision is made not to deploy the impacted feature/functionality, or to deploy the feature with defects, or the potential risk is identified to deploy such functionality. Communication to the DOES UITS Project Team on the aforementioned matters should be made no later than 10 days prior to deployment. The advance communication of open defects and the timetable to resolve the open defects will enable DOES to effectively plan and communicate the same to the impacted staff and leadership.

9.4 PIR Triage Meetings

PIR Triage meetings will occur throughout testing to confirm understanding of PIRs and to resolve any discrepancies between interpreting a PIR as an enhancement or a defect. If a PIR is clearly understood, then it will not be discussed in these sessions. They will be facilitated by the Functional Manager in partnership with the Test Lead and may be hosted via a teleconference as necessary.

Mandatory Attendees:

- Functional Manager (UIT for UAT, Sagitec for all other test activities)
- Business Lead(s) (UIT for UAT, Sagitec for all other test activities)
- Testers with open defects (UIT for UAT, Sagitec for all other test activities)
- Iteration Development Lead(s)

Meeting Agenda:

- Triage PIRs that require more detail
- Triage PIR to get agreement as to if a PIR is a defect or an enhancement
- Discuss any critical issues preventing progress should be discussed (environmental, external dependencies, etc.)
- Discuss any changes to build schedule Meeting frequency will start at twice a week during UAT test execution. Frequency will be adjusted by the test activity leads based on the volume of defects to be managed and related project needs.

10 Testing Reports

During test execution for System Testing and UAT, several reports are created regularly to track, manage and communicate the progress and status of testing. These reports include summary and detailed information of test cases executed and defects discovered during testing. The reports are generated based on the data elements captured and maintained in NeoTrack™, which provides for tailoring and filtering by the different data elements. Reporting may change over time to confirm it is addressing project needs.

10.1 Routine Reports

Defect Report and **Test Case Reports** will be leveraged on a routine basis to provide management with the information necessary to act on key testing issues and trends in the defect management process.

The **Defect Report** provides an update for all stakeholders with key information about testing progress and critical issues across all testing. This report will be delivered daily during UAT.

The **Defect Report** provides key defect information to stakeholders and provides the ability to filter results according to:

- Status and severity counts per Iteration and per Iteration Design Specification
- Assignee
- Where they are in the fix process, i.e. is the defect with the client, tester, or developer

Sagitec will be able to generate this report on an ad hoc basis using NeoTrack database queries. This report will include:

- **Total Test Cases:** The number of test cases loaded into NeoTrack for a specific Design Specifications.
- **Not Started:** The number of test cases loaded into NeoTrack for a specific Design Specifications that do not have any steps executed.
- **Pass Test Case:** The number of test cases loaded into NeoTrack for a specific Design Specifications that have been completed successfully with no steps in *Failed* status. The steps in these test cases have either a *Passed* status or a *Passed with Minor Exceptions* status.
- **Failed Test Case:** The number of test cases loaded into NeoTrack for a specific Design Specifications that have a *Failed* status assigned to at least one step.
- **Deferred Test Case:** Occasionally there will be a test case that cannot be properly executed for any number of reasons (i.e., needs functionality to be built in a future iteration). These test cases will be marked as *Deferred. SLAs TBD.*

11 Test Plan Glossary

The following table provides definitions of terms used throughout this deliverable.

Term	Description
Test Case Suite	**A test suite provides a categorization of related test cases per an Iteration. Each Iteration will have a System Test and User Acceptance Testing Test Case Suite.**
Test Scenario	**A test scenario is a high level description of a business process or activity. For example, a test scenario could be "Upload Quarterly Wage File" and the test cases within the test scenario could include "Process Valid Employer Reporting File" and "Process Invalid Employer Reporting File".**
Test Case	**A test case is a written series of commands and instructions that describe the execution of a test scenario using a very specific set of data and/or business rules. A test case includes:** • Design components (e.g., specific business rule(s), correspondence and reports generated, workflow initiated) tested by the test case. • A series of steps or activities that when performed together execute a test scenario. • The expected results for each step in the test case (i.e., steps that verify the successful execution of a business rule, workflow or correspondence).
Test Case Results	**The test case results are the documented execution of specific test cases associated with an iteration. A single test case may be executed multiple times, depending upon the number and type of defects discovered during testing. Each test case is executed, validated against expected results, recorded and then saved. A test case includes the following:** • The date and individual testing the test case. • The actual results for the significant steps (Compared to the expected results) • Test Case execution status (i.e., Pass, Fail, Pass with minor defects, etc.) • Associated Problem Incident Report (PIR) ID if the test case did not pass.
Test Case Results Report	**Functional modules are tested within an organized structure referred to as project iterations. Each iteration contains test cases for one or more functional modules. The test results report lists the final results for each of the iteration's test cases included in the test case suite. A new report will be created at the end of each iteration.**
Software Defect	**A Software Defect is a condition in a software product which does not meet a software requirement as stated in the requirement specifications or user expectations which may not be specified but are reasonable.**
Problem Incident Reports (PIR)	**A Problem Incident Report documents a defect in the software product, an artifact associated with the software product during its development or implementation (for example incomplete or defective test case), or other reasonable user expectations which have not been met. A Problem Incident Report (PIR) is logged within NeoTrack™.**
Regression Testing	**Regression testing is a type of software testing that intends to ensure that changes (later iterations, enhancements or defect fixes) to the software have not adversely affected prior software builds.**
Smoke Testing	**Smoke testing is a type of software testing that comprises of a non-exhaustive set of tests that aim at ensuring that the most important functions included in the software build function properly. The results of this testing is used to decide if a build can be**

	deployed.
Performance Testing	**Performance testing is a type of software testing that intends to determine how a system performs in terms of system responsiveness and stability under a certain loads including "peak loads".**
Supplemental Specifications	**Supplemental design specifications provide detailed design specifications for certain aspects of functionality within the future software product. For example, supplemental specifications are used to document interfaces, correspondences, reports and workflows.**

Table 17: Test Plan Glossary

Del13 Training Plan

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1. Glossary Terms

- **ID Toolkits:** Instructional Design Toolkits. Structured Word documents or a "Work Process Manual." They are a comprehensive tool for instructional designers to organize and structure all of their research on specific business processes. The document is a detailed account of how to work through a particular business process end-to-end, pre-conditions, post-conditions and comprehensive data set up. The toolkits will be used by the Sagitec Training Team to create online help and training materials for training. This is an internal Sagitec documentation approach for building out the training curriculum; it is not a formal deliverable.
- **PUP System (COMPAS):** The Field Audit system that COMPAS/UITS system will replace. The COMPAS training will be a stand-alone training delivered by the solution developer, MTW. The training will be incorporated into the Field Audit curriculum development, and training from the Sagitec team will focus on UITS system functionality integration with COMPAS.
- **NeoTrack™**: Sagitec Studio tool used to administer the system development lifecycle for Sagitec project design specifications. NeoTrack™ provides the functionality to associate requirements to a design specification, and execute testing against those design specifications to validate system functionality.
- **Online Help**: Step-by-step process instructions integrated within the UITS system application.
- **Knowtion™**: An enterprise Knowledge and Learning Management solution. Knowtion™ will house all Online Help.
- **RFP:** DOES's request for proposal that details the expectations of the creation and implementation of the UITS system application.
- **Training Environment:** A working session of the UITS system application that will be reserved for DOES and Sagitec Training Team use.
- **Iterations:** Defined stages of activity used to design, configure, develop, and test subsets of a software application.

2. Overview and Objectives

This plan and the subsequent training and deliverables are intended to define how the Train-the-Trainer (TTT) requirements of the project will be met for the purposes of transitioning users to the UITS system. It includes a summary of the deliverables, the scope, roles, and responsibilities involved in the training initiatives throughout the project. Because training occurs later in the project, details for training may evolve as the project progresses. This plan will be updated accordingly and will be made in coordination with DOES.

The training methodology herein describes some of the activities, resources, and timelines of when items must be completed to deliver quality training that meets the expectations of both DOES and Sagitec. The transition of UITS users will take place during different stages of the UITS project lifecycle, and training will be delivered using a variety of training approaches dependent upon the phase of the project. Sagitec and DOES will work together throughout the different phases of the project to design training that will teach users the functionality of the UITS system. There will be four learning opportunities for DOES staff to develop awareness and skills using the UITS system application. They are:

1. **Instructor-Led Training for DOES Training Facilitators**: Sagitec trainers will deliver instructor-led TTT training to DOES staff that will be responsible for Go-Live training. Training will be provided as close to Go-Live as possible, so the materials are as up-to-date and as fresh as possible. In the event an in-person classroom training cannot be delivered due to the public health crisis, the instructor-led training will be delivered via webinar.
2. **Tutorial Videos for External Audiences:** Sagitec will create short, computer-based training videos that will be available to DOES to post to their website and are focused on employers and agents. These videos are designed to provide a demonstration of the UITS application in a handful of key process areas. They include screen prompts with the steps needed to complete a process from beginning to end, along with other helpful tips.
3. **Screen-Based Online Help:** Sagitec will provide online help within Knowtion™, mapped to the appropriate UITS system screens. The Sagitec Training Team will populate online help topics into Knowtion™ to start.
4. **Other Leave-Behind Learning Materials:** The Sagitec Training Team will create and maintain ID Toolkits, Handbooks, and Job Aids throughout the UITS project. Maintenance of Toolkits, Handbooks, and Job Aids is the responsibility of Sagitec through one round of revisions following TTT sessions. When the revisions take place will be determined in consultation with DOES. ID Toolkits, Handbooks, Job Aids and any additional identified Leave-Behind Materials will be delivered in electronic form.

Upon acceptance of this training plan, the Sagitec Training Team will develop training materials based on what is outlined in this document. The Sagitec Training Lead will review the Training Plan with UITS Project Management periodically to determine modifications that should be made to the plan based on project developments.

2.1. Training Objectives

Outlined below are the objectives for the training effort in the District of Columbia:

- To train DOES trainers so they can successfully transition end-users from the current technical environment to the new technical environment in the UITS application.
- To instill confidence in and decrease resistance from users by preparing them with the knowledge and skills needed to be successful with the new business processes of the UITS application. Training will equip users with the appropriate resources to increase confidence and buy-in.
- To deliver clear, accurate, audience-appropriate reference materials for users to use after Go-Live.
- To provide external users with computer-based system demonstration videos, for select areas of functionality, so they can successfully use the external UITS application portals after Go Live.
- To implement Online Help in Knowtion so that users may search for, find, and use screen-based online help from within UITS system.

3. Training Resources

This section serves to outline the person, facility, and access resources requested by Sagitec to complete the training and knowledge transfer initiative.

3.1. Sagitec Resources

The staffing model will consist of a partial onsite presence with offsite support. Not all of the instructional designers and trainers working on the UITS materials will be onsite. The main onsite presence will occur during the TTT activities. All TTT sessions will be delivered in person. The following definitions begin to describe the roles and responsibilities needed for the training initiative.

Sagitec Resources	
Sagitec Training Lead	The Training Lead is primarily responsible for coordinating all the activities that are related to user transition management on the project. The Training Lead is responsible for scheduling, project planning, task management, project team member onboarding, DOES/onsite coordination, removing work completion barriers, escalating work completion barriers, status updates, PM/DOES relationship management, onsite project team meetings. They also act as the liaison between Sagitec Training Team to the Sagitec onsite project team, as well as the liaison between the Sagitec Training Team and DOES onsite project team. Finally, Sagitec Training Lead, in conjunction with the UITS Training Coordinator will coordinate the TTT curriculum and session scheduling effort.
Sagitec Trainer/ Instructional Designer	A Sagitec staff member that is responsible for creating and implementing the training program. They are responsible for designing the course curriculum and presenting formal TTT classroom sessions. Note: The titles of Instructional Designer and Trainer are used interchangeably in this document because often they will be the same.
Sagitec Functional Owner	A Sagitec staff member who likely was a participating member in the iteration product configuration sessions, designed business rules discussed during the iteration product configuration sessions, and/or performed system testing for functionality covered in the iteration. This person will facilitate the Walkthrough/Pre-Training demonstrations for the training team. They are commonly a Subject Matter Expert (SME) in their assigned area. Functional owners should expect to contribute to training 4-15 hours per training process while Instructional Designers gather information to help build their course.

Table 1: Sagitec Resource Roles

3.2. DOES Resources

The resources defined in this section are not full-time UITS system Training Program Resources. Depending on the timeline of the project, DOES resources will be utilized at different stages and durations of time.

DOES Resources	
UITS System Training Coordinator	DOES staff member who is responsible for working with the Sagitec Training Lead to ensure the success of the training material review effort. This includes informing SME's when they have a document available to review and any follow up needed to ensure the review deadline is met. The UITS Training Coordinator will also work as a liaison between the Sagitec Training Lead and UITS System Trainers to keep the training effort moving smoothly on both sides. The UITS Training Coordinator will, in conjunction with the Sagitec Training Lead, coordinate the TTT curriculum and session scheduling effort. The person best suited for this role is comfortable communicating the status of documents in a review and taking appropriate action to ensure the materials are completed by the deadlines determined. Workload will fluctuate depending on the training phase and timeliness of the reviews being completed.
UITS System Trainers	These are the DOES staff members who oversaw the development of a particular piece of functionality, generally as a participant in the product configuration sessions. They are the early adopters, and they will be responsible for conducting DOES SME reviews of course curriculum and/or training materials. UITS System Trainers will be responsible for helping Sagitec trainers connect the new business processes with the functionality of the UITS system. UITS System Trainers will help Sagitec trainers and Instructional Designers assess audience needs. They will be expected to identify the necessary trainees for each course. They may also be expected to identify any potential training conflicts (e.g., dates, new or potentially difficult subject matter for staff related to business changes).

Table 2: DOES Resource Roles

3.2.1. Roles and Responsibilities

The following table describes main activities related to the preparation of the separate types of training and assigns responsibility for completing the tasks.

Training Type	Role/Step	Responsibility
In-Person Training, Train the Trainer (TTT)	• Design a TTT Curriculum that can be modified for End User Training (EUT) • Design, develop and deliver training materials, that can be modified for EUT • Design, develop, and deliver in-person training • Design, develop and deliver training assessments that can be modified for EUT • Design, develop and deliver training evaluation • One revision of training materials post TTT delivery	Sagitec
	• Identify DOES Trainers • Assign DOES Trainers to Training Sessions with Sagitec • Provide on-site logistical training coordination and support • Evaluate the training effort • Provide Sagitec with one round of feedback for revisions of training material post TTT delivery.	DOES
In-Person Training, End User Training (EUT)	• Modify or use as-is, the TTT Curriculum for EUT • Modify or use as-is, the TTT training materials, for EUT • Modify or use as-is, the TTT training assessments, for EUT • Schedule/assign End Users to Training Sessions • Provide on-site logistical training coordination and support • Evaluate the training effort to improve and revise the curriculum, courses, materials, and assessments for future use	DOES
Training Environment	• Set up the Training Region • Set up appropriate security access • Coordinate application deployment* • Coordinate data refreshes* • Ensure deployment of latest code into the Training Environment*	Sagitec

Table 3: Training Activity Roles and Responsibilities

*Note: Sagitec will be responsible for all items listed above for the Training Environment through final training sessions (April 2021). At the time of UITS Go – Live, the training region will continue to be available for DOES resources to practice executing processes in the new system. As the usage of the environment tapers, the need for ongoing maintenance and support of the Training Region will be evaluated by Sagitec and DOES Project Management. DOES Project Management and Sagitec will work together.

3.3. UITS System Training Environment

The UITS System Training Environment is a separate region wherein Instructional Designers will access system functionality, and fictional data to create training materials as well as learn the system. The UITS System Training Environment will only be used for training purposes. This environment will also be available during training, so UITS System Trainers and UITS System End-Users may execute assigned training lab exercises. The environment requires regular refreshes and code pushes. Both time and dates for refreshes and code push will be formalized before training. Any dependence on data from interfaces with other external systems will be part of coordination for the training effort. The Sagitec Training Team will take ownership of the UITS System Training Environment when ready for use based on the project schedule.

4. Training Methodology

Sagitec's training approach uses an explain-demonstrate-practice methodology. We introduce learners to new concepts — the building blocks of new knowledge. Next, through demonstrations, we reveal how those concepts were implemented within the system's design. Finally, we provide UITS system users with hands-on practice in the new system and the opportunity to practice what they have learned. We provide a training region where they can explore, discover, and make mistakes without repercussion. All these learning activities are strategically designed to increase user confidence and encourage buy-in for the UITS system.

4.1. Training Groups

The Sagitec Training Lead will be responsible for creating a TTT classroom training schedule for the TTT attendees (DOES trainers) that uses the explain-demonstrate-practice method. It is important that Sagitec is aware of the session attendees for each TTT course and that DOES provides Sagitec with a list of the DOES Trainers (and their organizational classification/roles) at least 4-6 weeks before training.

4.2. Training Approach

The Sagitec Training team uses a phased approach to training. Our model is based on the widely accepted A.D.D.I.E Model and incorporates best practices, including the following:

- Learning is an iterative process. Research shows that early and often exposure before implementation is critical to a smooth transition.
- Learning materials and training are built around the future state business processes, which include both automated and manual steps. This helps users understand how their roles fit into the overall process and how their roles affect others and process outcome.
- Whenever possible, training should be delivered "just-in-time". Doing so reduces the risk of learners losing knowledge and skills gained and increase retention rates by allowing learners to apply what they have learned immediately.

- Whenever possible, all users involved in a process are in the same training. This provides context and develops teamwork, which improves learning and adoption.
- Accommodate individual learning styles; training should always include an explanation, a demonstration and practice opportunities.
- Learning, change, and growth doesn't happen all at once, leave-behind reference materials are necessary for success.
- Successful training delivery starts with communication. This includes communication to the project team, individual departments, all-staff, and external stakeholders.

4.2.1. Phase 1: General Communication and Understanding

The objective of the General Communication and Understanding phase is for the Sagitec Training Team to gain a better understanding of their audience, identify any constraints that may exist, communicate the training delivery approach and, construct a timeline for training completion. The Sagitec Training Lead will complete the analysis phase by researching the RFP, Services Requirements, and Sagitec Proposal, working with the DOES training coordinator to conduct audience analysis surveys within DOES, and close collaboration with Sagitec project leaders.

4.2.1.1. Scheduling and Logistics

The DOES Training Coordinator will take the lead in coordinating the schedule and logistics of the training sessions on-site. This will include reserving the necessary resources such as meeting rooms, projectors, computers, etc. In the event an in-person training is not an option due to the public health crisis, instruction will be delivered by Sagitec via webinar. The DOES Training Coordinator will ensure each participant has the resources available to connect to the webinar.

The below table provides high-level planning details and expectations for key training activities that will require joint engagement between:

Resource Activities		
Training Activity	**Roles Involved**	**Anticipated Start**
General Communication Iteration	• Sagitec Training Lead • DOES Training Coordinator	January 2021
Narrow Focus and Personalization	• Sagitec Training Lead • Sagitec Trainers/SMEs • DOES Training Coordinator • DOES Trainers/SMEs	February 2021

Formal Training	• Sagitec Training Lead • Sagitec Trainers • Sagitec BA's • DOES Trainers/SMEs • DOES Training Coordinator	Tax: Will work with DOES as soon as the system is ready to provide training. - 2021

Table 4: Key Project Activity Details

4.2.2. Phase 2: Narrow Focus and Personalization

Sagitec Instructional Designers will use UITS system design documentation to complete their research. Instructional Designers will use system design documentation to obtain information on how the UITS system will behave. They will also use these documents to identify and outline business processes. Sagitec SMEs and the UITS System Leadership Team will also be consulted when defining business processes.

This phase of the training effort includes the majority of the creation of all documents related to the respective TTT sessions.

Phase 2: Narrow Focus and Personalization			
Activity	**Objectives**	**Input**	**Output**
Create curricula	Determine the scope and processes for each training session and which users are to attend the session	Training Lead meets with department managers to collect information regarding processes to include and obtain a list of people to attend	Curriculum document is created for each class. Training attendance sheets are created and will be used to schedule the correct people into their training sessions
Create ID Toolkits*	Create ID Toolkits to use for all other material creation	Design Documents Sagitec BA and SME discussion Training Region Access	ID Toolkit for each UITS iteration.
Create Handbooks	Create Handbooks for each identified curriculum	ID Toolkit Training Region	Curriculum specific Handbooks
Job Aids	Create Identified Job Aids per curriculum	ID Toolkit	Job Aids
Lab Activities	Create Lab Activities for each identified curriculum	ID Toolkit Meeting/Discussion with DOES Training Coordinator	Lab Activities

Table 5: Phase 2 Activity Details

*ID Toolkits outlined on following page.

4.2.2.1. Course Planning and Documentation

ID Toolkits: Sagitec Instructional Designers will use the Instructional Designer Toolkit (ID Toolkit) to organize and structure all their research on specific business processes. The objectives of the ID Toolkits are to:

- Place the correct amount of emphasis on the research/information gathering component of the work that we do.
- Standardize the way that we “take notes” so that work can be more easily transitioned to others if needed.
- Create more accurate and more comprehensive user transition programs; include the “business” matter.
- Align with business processes and how learners think and view the world as opposed to how coders/developers think.
- Better withstand intra-resource allocation changes and other staffing changes outside of the control of the team.

The Sagitec Training Lead will be responsible for organizing the ID Toolkit creation effort. This role is a member of the Sagitec Training and Communications Team.

As an added measure of efficiency, ID Toolkits will also be the sole documents that go through the review process by Sagitec BAs. This review process exists to ensure the information included is accurate, complete, and appropriate to the business process. Once ID Toolkits have completed internal review with Sagitec BAs, they will be placed in a public folder on the project SharePoint site. DOES SMEs are free to review the business relevant details of the ID Toolkits informally, but they are not subject to formal approval from DOES staff. DOES staff’s main formal review function is with the TTT documents.

ID Toolkits will be organized according to Iteration. Iterations are how the development of the system is organized by the development team and will serve as the outline for the training materials going forward.

Handbooks: A reference guide and teaching aid for DOES staff. One handbook will be developed for each identified curriculum that interacts with UITS in order to keep the handbooks smaller and increase their usability. Handbooks will be clear and use easy to understand language. In addition, handbooks will include useful graphics, an index, and a glossary.

Handbooks will be written from the standpoint of a new user to the UITS system, but not to a new DOES staff member. The focus of the handbooks is to train DOES staff on system functions, not on the business of UI or on job functions external to the system. If DOES requires onboarding training for new staff members, the Sagitec-developed user manuals can be modified by DOES after Go-Live Training is complete to meet this need.

Handbooks are developed and written by Sagitec instructional designers and will be reviewed by DOES SMEs. The review cycle follows this general outline:

- Sagitec submits handbook to DOES.
- DOES has 10 business days to review, then returns handbook to Sagitec.
- Sagitec has 5 business days to update handbook based on feedback.
- Sagitec returns handbook to DOES to resolve comments – new comments are not accepted at this time. This is not an opportunity for DOES to send the handbooks out for an additional round of reviews or bring new parties into the review process.

- Handbooks go through a final Sagitec review for formatting considerations prior to training and make any final updates.

Job Aids: A summary of specific tasks in a Handbook for DOES staff. Job Aids will be instructions-based only and not provide the same contextual information and useful graphics that the handbooks include. They will be organized by task, and only made for certain processes (to be determined closer to TTT Training). Job Aids are created from approved handbooks, and should not require a review process.

Lab Activities: Sagitec will include hands-on lab activities as part of the TTT training classroom sessions. Sagitec's Training Team will design lab activities to be as realistic as possible and set up the required data to successfully execute the activities in the UITS training region. Members of the Sagitec project team (Sagitec Trainers and BAs) will be available to answer questions as students are executing practice exercises. Lab activities do not go through a review process. However, the Sagitec Training Lead will work with DOES to identify what tasks will be lab activities.

4.2.3. Phase 3: Formal Training

The implementation phase of training consists of three parts: Train the Trainer, Online Help, and Leave-Behind Training Materials. Breaking training implementation into phases allows users to learn incrementally and gain exposure throughout the project lifecycle. The training implementation phases are detailed down below.

4.2.3.1. UITS System Train the Trainer

Train the Trainer will occur before UITS system implementation and will consist of instructor-led training sessions with lab activities and/or Adobe Captivate simulations. Working with the UITS system trainers and using a TTT model, the Sagitec Training Team will provide the knowledge and tools to gain proficiency in business processes using the UITS system. TTT documentation will be provided digitally and stored in SharePoint at this time.

4.2.3.2. Screen-Based Online Help

Sagitec will provide screen-based online help within Knowtion™. Online Help content is derived from developed ID Toolkit documentation. The Sagitec Training Team will populate online help topics into Knowtion™. DOES will have already reviewed the source documents for creating the online help content (ID Toolkits and Handbooks), so the review of online help content is a more informal process.

Sagitec is also responsible for training on Knowtion in the following areas:

- End Users: This is the everyday user of the UITS system accessing Knowtion™ for online help needs. Since Knowtion™ is designed to integrate seamlessly into the Neosurance ™ product, training will occur during the TTT implementation (February 2021) as part of preparation for end user training.
- There will be a handful of DOES staff responsible for updating Knowtion™ to ensure online help matches any changes made to the system since the online help was first loaded. Training for this will be delivered at a later date. It will be delivered by a Knowtion™ product team that specializes in front-end and back-end Knowtion™ details.

Since Sagitec is responsible for updating online help through Tax implementation in April 2021, this training will not be necessary until then.

4.2.3.3. Other Leave-Behind Learning Materials

The Sagitec Training Team will create and maintain ID Toolkits throughout each phase of the UITS system project. All other training materials are created by using the ID Toolkits as the Sagitec Training Team's "source of truth" documents. ID Toolkits, Handbooks, and Job Aids are the responsibility of Sagitec to maintain until after one round of revisions following the respective TTT sessions. For example, all materials on Tax Iterations will go through one round of revisions following the Tax TTT sessions. However, as the Benefit Iterations are developed, any tax functionality that requires updating based on benefit functionality will be updated in the tax materials by Sagitec. Toolkits, Handbooks, Job Aids and any additional identified Leave-Behind Materials will be delivered in electronic form. DOES will take ownership of all Leave-Behind Materials once all TTT sessions have concluded.

Phase 3: Formal Training			
Activity	**Objectives**	**Input**	**Output**
Present formal (instructor-led) training for the phase before scheduled End User Training in the form of demonstration	Provide basic flow demonstration to users Provide users with handbooks Assign users lab time to complete hands-on activities	Demonstration plan and outline ID Toolkits Handbooks Job Aids	Present materials in a classroom setting Attend lab sessions to guide users
Issue hands-on activities	Provide activities that users can work through on their terms and work through exceptions and errors	Lab Activities	Issue hands-on activities during training sessions
Deliver phased online help content	Provide users with working online help functionality to support Go-Live activities	Create online help content from ID toolkits	Online help for the phase is available in Knowtion™ and UITS system

Table 6: Phase 3 Activity Details

4.2.4. Phase 4: Confirmation of Completion

Despite a great deal of time spent planning and preparing for a successful training program, there is often a lack of enthusiasm for assessing and evaluating its effectiveness. This is not due to a lack of importance, but rather because assessing a training program is a difficult task. Often, organizations assume the training program was effective if the trainees can apply the tasks learned. However, if staff members walk away from training feeling like it was an arduous process, then the program was not truly a success.

With these thoughts in mind, Sagitec determines the effectiveness of a training program in two ways: assessment and evaluation. To assess training is to determine the level of knowledge the user can retain and apply to his or her job. To evaluate is to determine how the user felt about the training provided. Sagitec works with DOES to determine assessment reporting and assessment metrics.

- Assessments and evaluations can be measured in a variety of ways. Based on previous experience, Sagitec believes the following are the most effective assessment methods:
  - **Application Experience (Lab or Training Activities):** During TTT training, trainees will get the opportunity to complete tasks (lab activities) within the system. These activities will take place in scheduled lab sessions and are designed to give the trainers confidence in executing a range of business scenarios. This will ensure DOES trainers are ready to deliver training and assist end-users when they execute the activities for Go-Live training. The results from this type of assessment will aid the trainer in determining if the users are comfortable with the process, or if additional training is required. Not every course or business process will be included in the lab sessions; Sagitec will collaborate with DOES to identify which courses will require lab exercises.
  - **Questionnaire:** Evaluations of training will be completed via a questionnaire at the end of each training course. Questions can include scale questions (i.e., "On a scale of 1 to 10, how well do you think you can perform this task once the system goes live?"). There may also be short answer questions such as "What are the top 3 items you learned in this course? What could have made your training experience better?" These evaluations will be made available through Survey Monkey. Evaluation questions will be prepared with DOES input.

4.2.5. Phase 5: Continued Support

In continued support of the UITS system project, the Sagitec Training Lead will be a part of the transition effort during implementation.

The training materials developed throughout the project are available for any future DOES cross-training efforts. In addition to supplying electronic copies of all materials, the Sagitec Training Team will maintain open communication with the UITS System Trainers and users through implementation. They will be available for questions and are responsible for communicating changes related to training content or format should there be any.

5. Appendix

Below are example of materials created by the Sagitec Training Team.

5.1.1. ID Toolkit

Below is an example of a Process documented within an ID Toolkit. An ID Toolkit consists of processes and various tasks relating to said processes. The audience for this document is Sagitec staff, as it includes technical information required to create deliverables for DOES.

Request a Refund

Process Information			
New System Process		Legacy Process	
Process Name	Request a Refund	Process Name	
Execution Role	Employer (or TPA)	Execution Role	
Process Objective(s)	To request a refund of an UI tax overpayment.	Process Objective	
Process Inputs	The Employer has a credit balance on its UI account due to overpayment.	Process Inputs	
System / Non System Execution Steps	1. Click the Request Refund button. 2. Select Payment Method. 3. Enter Bank or Address information. 4. Click the Finish button. 5. Click the Work Item Number link associated with the Process Refund Request process. 6. Enter Notes. 7. Click Approve or Deny.	System / Non System Execution Steps	
Process Outputs	• The refund request is processed. • The refund is either approved or denied. • If the refund is approved, the Employer receives the refund in approximately	Process Outputs	

	10 days by either direct deposit or check.		
Major Design Decisions (including alternative designs and reasoning for this design)		What are the legacy process pain points/challenges (what don't users like)?	
What are the most notable differences between the old and the new processes?		What are the legacy process pros (what do users want to keep happening?	
Design Specification References			
Which specific UCSs/DSs does this Process Design map back to?	T04 – Process Employer Refund	Are there any noteworthy business rule references?	
Which specific flows does this Process Design map back to?	n/a (this is in the preconditions)	Are there any references to any other documentation to include?	
Workflow Information			
Workflow Process Name	Process Refund Request		

Workflow Activity Name(s)	Execution Steps #s	Role	Workflow Initiation
Process Refund Request	5-7	Internal User	When an Employer requests a refund.
Correspondence			

Correspondence Name	Refund Request Status Change

Correspondence Description	Communication Type	Recipient	Trigger

Notification sent to the Employer's portal inbox that Employer's refund has been approved or denied.	Notice	Employer	Internal Staff approves or denies a refund request.

Script – Request a Refund

Pre-Condition(s):

- An Employer or TPA has an existing UI account.
- The Employer has an eligible credit balance on its UI account.

Post-Condition(s):

- The Employer requested a refund of its credit balance.
- The system initiates a 'Review Refund Request' work item to the UI Agency.

Comprehensive Description of Data Setup for Script:

In order to complete this script, you need an Employer account that has a credit on its UI payment balance.

#	User Action	Data	System Response	Notes
1	From the Employer Portal Home screen, click the Request Refund button in the Total Unpaid Taxes and Amount Due panel.		The system displays the Request Refund Wizard.	The Request Refund button will only display on the Home screen if the Employer has a credit on its UI account.
2	Select Payment Method from the drop-down menu.	1) Direct Deposit 2) Check		• If you select Check from the drop-down menu, the system displays an Address Details panel. • Select the Send To: 'Address Displayed' or 'Enter a New Address' radio button. • If you select Enter a New Address, the system displays fields to enter an address. Enter the Address and click the Next button.

3	Enter Routing Number in the Direct Deposit panel.	1) 051400549		
4	Confirm Routing Number.	1) 051400549		
5	Enter Bank Account Number	1) 400493		
6	Confirm Bank Account Number.	1) 400493		
7	Select Account Type from the drop down menu.	1) Checking		
8	Click the Next button.		The system displays the Request Refund Direct Deposit screen.	This screen displays the details of the refund request. Click the Previous button to return to the previous screen.
9	Click the Next button.		The system displays the Request Refund Direct Deposit Confirmation screen.	The screen displays the message, 'You will receive your refund in approximately 10 business days.'
10	Click the Finish button.		The system displays the Home screen.	

5.1.2. Handbook Example

Below is an example taken from a handbook related to Payments. Each handbook will have a series of identified processes, and then a various number of tasks for each respective process. Task steps are documented as shown below.

1. Employer Submits Payments

1.1. Why You Do It

The objective of this process is to submit a tax payment. In many cases, this process begins when an employer has first filed a wage report; however, payments can be made regardless of whether or not an employer has submitted a wage report. Once the process is complete, ESSP generates a confirmation, and the payment has been submitted.

1.1.1. How You Do It

An employer submits payments through the Payment Wizard in the employer portal. The payment amount and method is entered in the Payment Wizard, and then the wizard is completed to finish the payment submission.

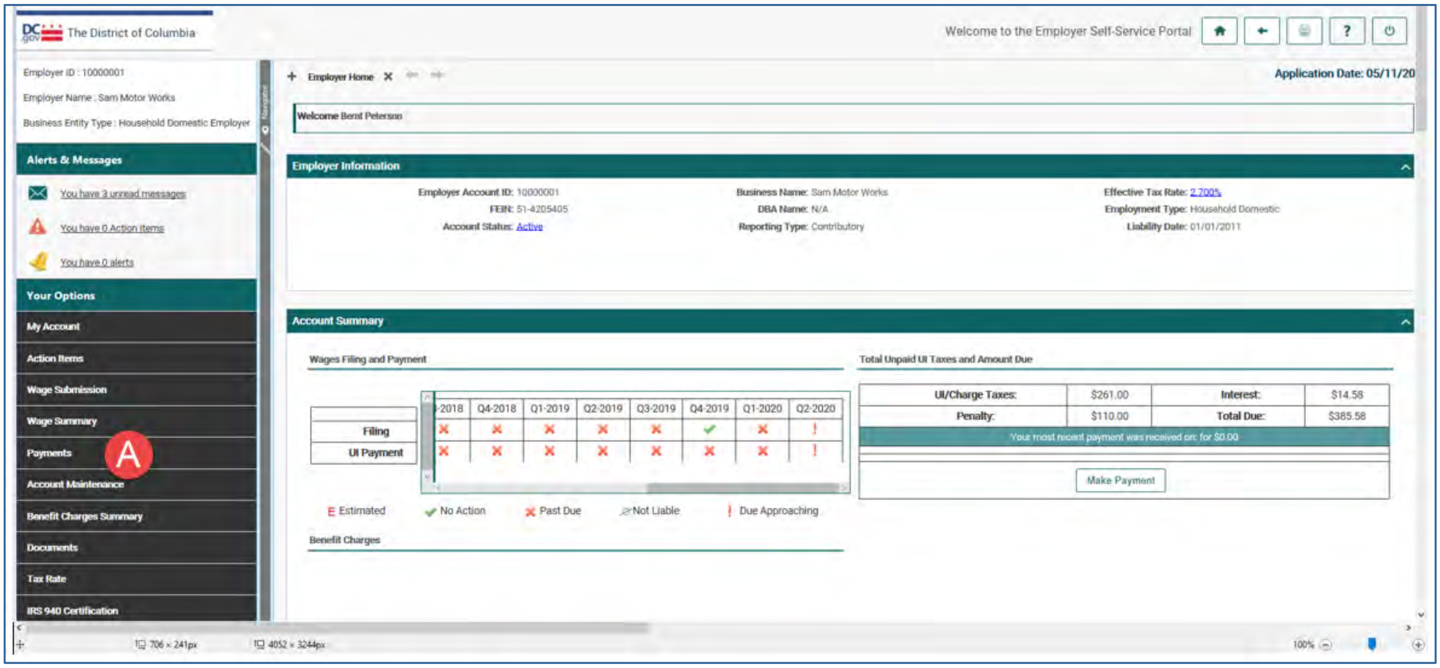
Task 1 – Submit Payment by ACH Debit

This task is completed by an employer in the employer portal. An employer does not have to have filed a wage report to submit payment. Payments can be submitted at any time, with or without payments being due.

For this task, an employer filed a wage report, ESSP calculated the taxes due when the wage report was filed, and the employer now owes payment and wants to make their payment using ACH debit. Once the process is complete, Neosurance displays a Payment Confirmation number. Neosurance then sends the payment into a nightly batch, which interfaces with the financial institution.

For more information on accessing the employer portal, please see Task 1 – Accessing Employer Portal.

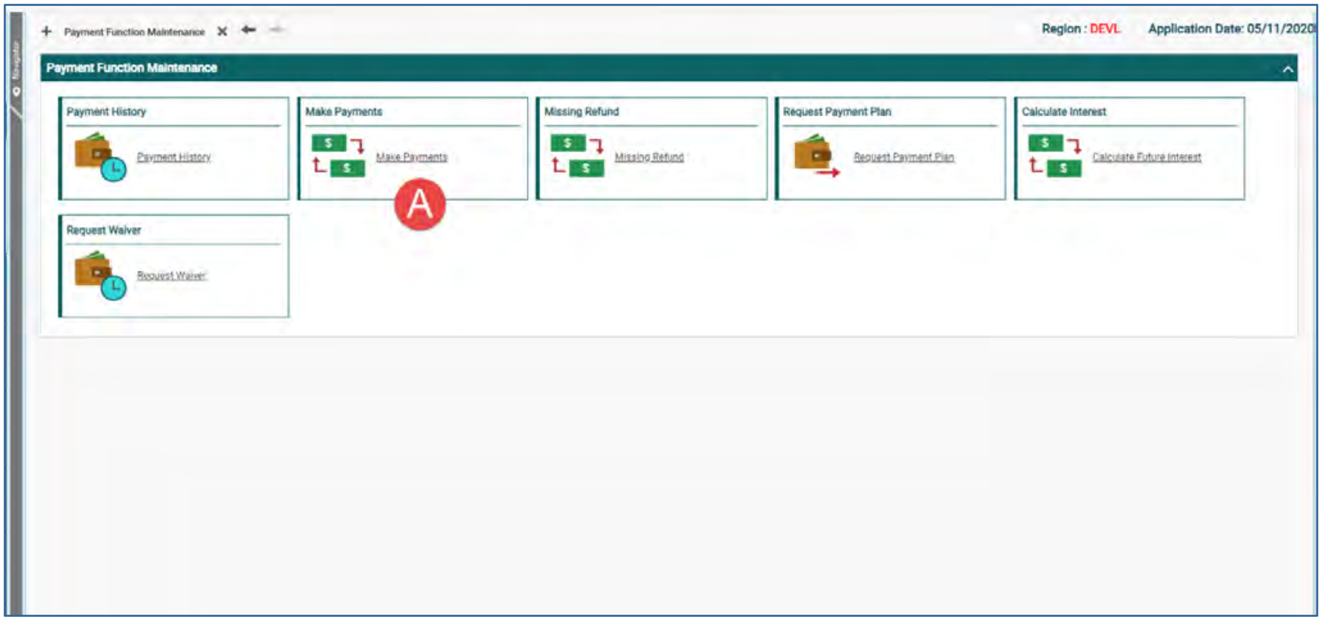
Step 1. Select the Payments main menu item.



Screen : Employer Portal Home screen

(A) *Payments main menu item: Select this main menu item to go to the Payment Function Maintenance screen.*

Step 2. Select the Make Payments icon.

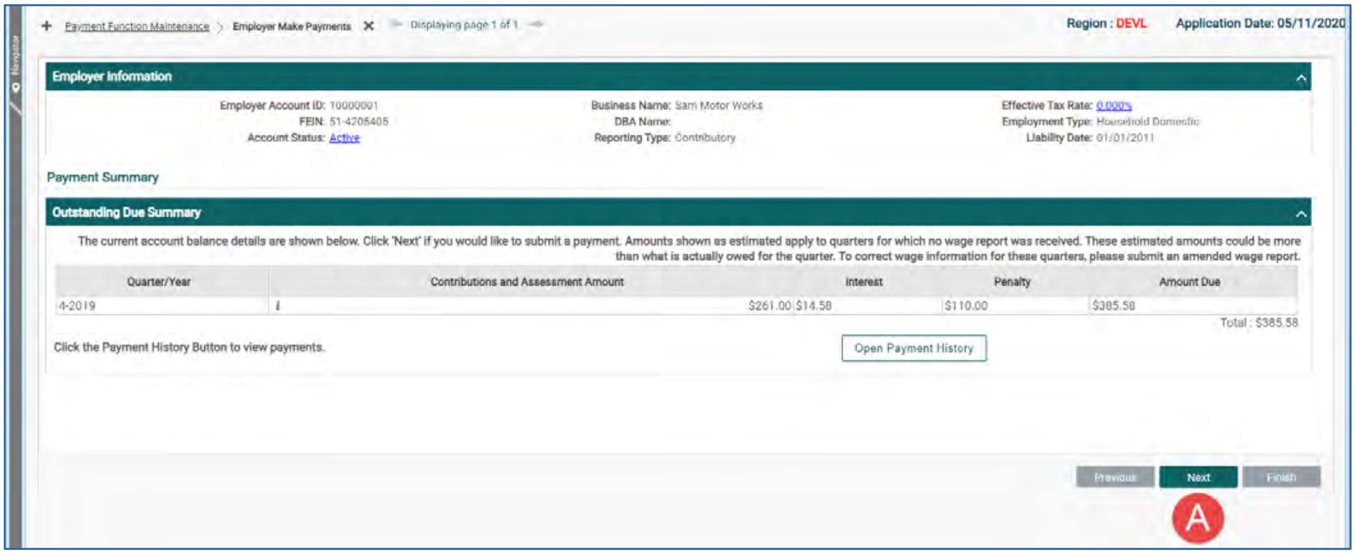


Screen : Payment Function Maintenance screen

(A) *Make Payments icon: Select this icon to open the Payments Wizard and begin the process of making a payment.*

Step 3. Review the information on the Payment Account Summary screen, then click the Next button.

Payment information is located in the Payment Account Summary panel and the Payment History panel. In the Payment History panel, there are options to edit or cancel a payment and to open payment history. Once this information has been viewed, click the Next button.



Screen : Payment wizard - Payment Account Summary screen

(A) *Next button: Click this button to advance to the Payment Method screen in the wizard.*

5.1.3. Job Aid Example

Below is an example of a Job Aid. There will be times that end users need information on a singular task covered in a course. Instead of sending the end users to a large course for that singular task, a Job Aid can be created on the required task. What processes are selected for job aid creation will be part of a collaborative process beginning with curriculum development. Sagitec will develop a preliminary list of proposed processes. DOES will review the list and, if necessary, suggest additions to the list.

Tax Collection: Identify Accounts in Good Standing

#	Staff Action	SYSTEM Response	Additional Information
1.	On the Staff Portal Home screen, select the Employer Lookup main menu item.	SYSTEM displays the Employer Lookup screen.	Alternative Action 1: Access the Employer Lookup screen by selecting the Employer Search icon on the Staff Portal Home screen. Alternative Action 2: If the desired employer account has been recently accessed, select the hyperlinked Employer ID within the Recently Accessed panel on the Staff Portal Home screen.
2.	Enter Search Criteria then select the Search button. Within the generated results, select the hyperlinked Employer ID.	SYSTEM displays the Employer Portal Home screen.	Search Criteria fields: Enter in Search Criteria to narrow down search results. Search button: Select the Search button to have SYSTEM retrieve all employer accounts that match the entered Search Criteria. Employer ID hyperlink: Select the desired Employer ID hyperlink to navigate to the Employer Portal.
3.	Select the Account Maintenance main menu item.	SYSTEM displays the Account Maintenance screen.	-
4.	Select the Request for Good Standing Letter icon.	SYSTEM displays the Request for Good Standing Letter Certification Maintenance screen.	-

5.	Select the Address Details and the confirmation checkbox, then select the Submit button.	SYSTEM receives the request and displays the Request for Good Standing Letter Certification Maintenance – Request for Good Standing Confirmation screen. SYSTEM displays a confirmation message stating, "All changes successfully saved."	A copy of the letter is mailed to the preferred address. A copy of the letter is also available in the Correspondence link in the left Navigation menu. Address Details radio buttons: Select the desired address to send the good standing letter. Confirmation checkbox: Select this checkbox to confirm the request for the good standing letter. Submit button: This button submits the request for the good standing letter.
6.	Select the Correspondence main menu item.	SYSTEM displays the Correspondence screen.	-
7.	Enter search criteria, select the Search button, select the Document Name hyperlink to view the letter, then select the Open button.	SYSTEM generates the results based on the entered criteria. SYSTEM displays a pop up requesting to Open or Save the Document. SYSTEM opens the document for review.	Search Criteria fields: Enter applicable search criteria into the fields, then select the Search button. Document Name hyperlink: Select the document hyperlink to view the letter. Open button: Select this button to open a copy of the document for review. Save button: Select this button to save a copy of the document to the local computer hard drive.

5.1.4. Lab Activity Example

Below is a sample of a lab activity created for a Payments course. Users will be provided the required data to follow the step by step instructions as shown below. Each course designed for TTT will have 3 – 5 lab activities designed for users.

1 Process Payments

1.1 What are we trying to accomplish?

The objective of this process is to submit a tax payment. In order to complete this process, the employer must have filed their wage report. Once the process is complete, the system generates a confirmation, and the payment has been submitted.

For this lab, use the same Employer ID provided to you for the Wages lab activities

1.2 What are the steps to complete the exercise?

Step 1. From the Staff Portal Home screen, select the Employer Lookup main menu item.

Step 2. On the Employer Lookup screen, enter the Employer ID and select the Search button.

Step 3. Select the hyperlinked Employer ID in the Search Results panel. The Employer Portal will open in a separate browser tab.

Step 4. From the Employer Portal Home screen, select the Payments main menu item.

- On the employer portal Home screen, what is the total amount of Unpaid Taxes and Amount Due? ___________________

Step 5. Select the Make Payments icon.

Step 6. Review the information on the Payment Account Summary screen, then click the Next button.

Step 7. Enter the payment method information**:**

- **Payment Amount:** User's choice, however cannot be more than what is due.
- **Payment Method**: Select ACH Debit

Step 8. Click the Next button.

Step 9. Enter the following payment information:

- **Routing Number**: 091000019
- **Confirm Routing Number**: 091000019
- **Bank Account Number**: User's Choice.
- **Confirm Bank Account Number**: Enter same number entered in previous field.
- **Account Type dropdown**: User's choice.
- **Payment Effective Date**: Today's date.

Step 10. Click the Next button.

Step 11. Review the payment verification information, then click the Next button.

Step 12. On the Confirmation screen, click the Finish button.

The payment will be processed by ESSP in the next overnight batch process. This payment will display as "Pending" until that occurs.

When an employer enter a future date in the “Payment Effective Date” step, the payment will display as “Pending” until that future date is reached, and the overnight batch process is completed.

5.1.5. Online Help Example

Below is a example of an Online Help screen. Users will access an integrated link within the UITS system to display screen-based/context sensitive online help in a separate window.

View Employer Payment Plans

Step	User Action	BEACON Response
1.	From the Staff Portal Home screen, select the Employer Services main menu item.	SYSTEM displays the Employer Services screen.
2.	Select the Process Collection Functions icon.	SYSTEM displays the Process Collections Maintenance screen.
3.	Select the Payment Plan icon.	SYSTEM displays the Payment Plan Lookup screen.
4.	Enter the search criteria, then select the Search button.	SYSTEM displays the search results.
5.	Select the hyperlinked Payment Plan Number to see details on the payment plan.	SYSTEM displays the Payment Plan Details maintenance screen.
6.	Review the payment plan details.	Note: Agency staff with the appropriate security roles can close a payment plan that is in default by entering notes and selecting the Close Payment Plan button.

Del17 Product Roadmap and Release Schedule

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Document Information

Information	
Sagitec Delivery Owner	Shane Cox
Submission Date	
Acceptance Date	

1.1. Purpose

The purpose of the Product Roadmap and Release Schedule is to define the strategic view for the District of Columbia Unemployment Insurance Tax System (UITS) Project. This roadmap details where the UITS Project is headed over the mid to long term (over several months); the release plan is the execution of the roadmap defining product features planned for the near term.

Sagitec Framework

The UI Tax System will be constructed on top of the Sagitec Framework, a business domain-neutral technology platform designed to mitigate the risk of technical obsolescence and rapid business change. Together these technologies form a powerful and flexible solution for the District.

The Sagitec Framework is an ‘n-tier’, component-based, object-oriented software architecture built using Microsoft .NET technology. Featuring a reusable series of stacked architectural layers, the framework simplifies maintenance and fosters the reuse of “black box” services, allowing developers to focus on specific business rules, reports, integration, and correspondence. Additionally, the architecture provides the ability to adapt to changes in legislation, policy or statute.

The Sagitec Framework separates the underlying architecture from the business solution. Doing so removes business rules from the software and places them in a business rules repository where they can be accessed and maintained by the District. This way, rules can change without affecting underlying software, and, in many cases, underlying software can change without affecting rules. As a result, changes can be implemented more quickly and Agency has a more flexible architecture to accommodate future changes.

Key capabilities of the Sagitec’s framework n-tier architecture include:

- **Componentization**. Dividing software into logically isolated pieces makes it much easier to respond to changes and maintain the solution long-term.
- **Scalable**: The Sagitec Framework provides the capability to scale each tier independently to meet the needs of the specific implementation. The solution offers this capability through its n-tier architecture design which maintains the independence of each tier within the architecture.
- **Database Independence.** The technical architecture is database agnostic - changes in the underlying database and data access methods do not affect any other architecture layer. The Sagitec Framework has been implemented using multiple databases including DB/400, SQL Server, DB2, and Oracle.

In addition, the Sagitec Framework evolves with changes in technology and exploits the full benefits of distributed, multi-tiered software architectures. This ‘n-tier’ architecture design separates software into layers, thus simplifying maintenance and fostering reuse of software components.

The remainder of this section describes Sagitec Framework layers from an application architecture perspective. We begin with a conceptual overview of the Framework layers. The following diagram shows the relationship between the Framework layers and Application Software layers.

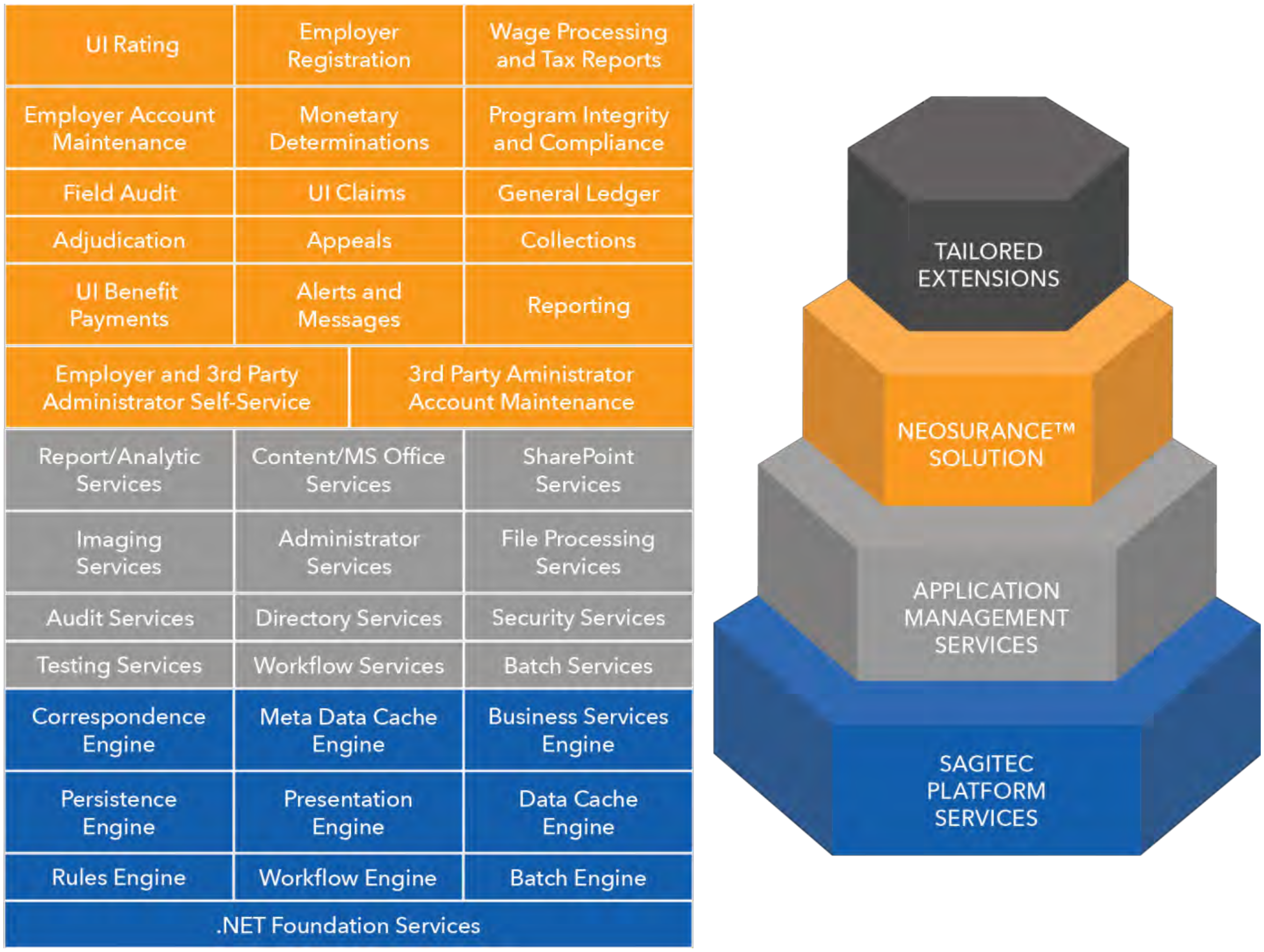

Figure 1: Sagitec Enterprise Architecture

Sagitec Enterprise Framework Services

This layer contains a set of “black box” services that provide the underlying implementation of the UI Tax Solution architecture. The term ‘black box’ refers to objects or services characterized only by their external interface behavior. It contains both runtime and design-time environments supported by a set of tools.

The Sagitec Framework implements a series of engines that provide foundational services to the UITS solution. The Sagitec Framework Engines provide the following:

- **Implement Application Foundation Services**. Application foundation services represent the physical implementation of the software architecture.
- **Implement Development Standards**. The Sagitec Framework Engines provide the ability to implement business logic using XML metadata. XML provides a flexible way to create common, standards-based information formats and share the format and data. The Sagitec Design Studio enforces development standards within the application.

The Sagitec Framework extends Visual Studio.NET by creating a powerful design and development tool that unifies the framework engines with XML metadata. The Sagitec Design Studio is a powerful XML editor that simplifies the process of binding metadata (business rules, field values, data validations and methods) to forms, letters, reports, and files. Sagitec Design Studio provides:

- Improved developer productivity
- Provides total platform extensibility
- Allows solution-focused .NET development

The following table describes .NET foundation Services and Sagitec Framework Engines, which together, represent Sagitec Enterprise Framework Services.

Component	Description
Batch Engine	Operates as a 'helper' service. This helper service acts as a separation layer that populates (loads) objects through published interfaces. This service exploits the benefits of asynchronous, multi-threaded processes to ensure that batch processing is executed any time.
Business Services Engine	The business services engine powers the UITS Solution Business Service Tier. This tier provides the business rules and application logic to process the transactions required to administer the UI Tax program. Service requests initiated by users (internal or external), integration services, or batch programs funnel through this service tier and engine. Service requestors communicate with the Business Services Engine using Windows Communication Foundation (WCF) on the TCP / IP protocol, HTTP, or Web services communication protocols. In turn, the Business Services Engine calls Data Services, retrieves database information, and sends business or integration objects back to each service requestor.
Presentation Engine	Enables the Presentation Tier and is implemented using the following technology for creating a dynamic and interactive user interface for the UITS solution: HTML5, CSS3 and JavaScript. The Presentation Engine runs inside an IIS Web Server and uses Session State Server for session management and ASP.NET server-side services for Web page caching. UITS Solution achieves load balancing and fault tolerance by distributing the Presentation Engine across multiple servers.
Correspondence Engine	Integrates with Correspondence Services and is responsible for retrieving correspondence XML metadata, instantiating correspondence, invoking business services, creating document tracking data, rendering correspondence to a client device, and processing batch correspondence. The Correspondence templates are stored in Open XML format which provides the ability to effectively manage the creation of business correspondences within the UITS application.
Workflow Engine	Provides workflow services built on top of Windows Workflow Foundation to enable the creation of application and service logic for handling asynchronous, parallel tasks and other complex workflow processing. It includes a set of tools for declaring workflows, activities to help define logic and control flow, and runtime for executing the resulting application definition.

Component	Description
Persistence Engine	Handles UITS Solution requests made to any persistence layer. Persistence layers include any object-oriented, relational, network or hierarchical database, flat, or indexed files. This layer provides the UITS Solution with a high degree of separation from the database and provides for database independence, portability, and scalability.
Data and Metadata Cache Engines	Stores commonly retrieved data that changes infrequently. This service boosts system performance because it reduces database network traffic. Examples of commonly retrieved data include system codes, code values, system paths, system messages, and others. Any data that shares similar characteristics can be added to the Data Cache Engine. If any underlying data in the Data Cache Engine changes, UITS will use predefined methods to synchronize and refresh the cache.
.Net Foundation Services	Provides comprehensive .NET Foundation Services. The Sagitec Framework is built upon Microsoft .NET Foundation Services including .NET Class Libraries, Windows Communication Foundation (WCF), Windows Workflow Foundation (WF), Windows Presentation Foundation (WPF).

Table 1: Sagitec Enterprise Framework Services

Enterprise Application Management Services

This layer contains another set of "black box" components that are configurable, but do not typically require custom development. The term "black box" is used to describe hardened technical assets that are proven and typically do not require testing unless they are changed.

Component	Description
Report/Analytic Services	Provides services for storing, organizing, displaying, and retrieving reports created in the run-time version of SQL Report Services.
Content/MS Office Services	Provides required functionality for users to define, manage, and implement correspondence using Microsoft Word. It supplies the underlying framework for exporting data to Excel and provides reporting mechanisms.
Document Management Services	Provides a pre-built environment for searching, retrieving, viewing, and editing document management content from the UITS Solution. The UITS solution will use FileNet Content engine to manage content.
Audit Services	Supports the implementation of audit history functionality. Audits can be placed at the column level of any table and audits can be assigned to tables, users, or security roles.

Component	Description
Security Services	Supports the implementation of application-level security for the UITS Solution. This service is intended to be used by System administrators to create users, assign them to roles, and define the system resources assigned to each role. The UITS Solution supports security down to the file level, including the ability to hide or mask fields based on a security profile.
Administrator Services	Provides system administration activities, such as establishing file paths, setting code parameters and user messages, managing templates, setting archival parameters, and others.
Testing Services	Provides a pre-built design and execution environment to support end-to-end functional testing including unit, systems, integration, life cycle, and regression testing. Includes integrated tools for creating, storing test templates, scenarios, and flows as well as a runtime test execution environment.
Workflow Services	Provides predesigned, configurable processes for authoring and maintaining simple and complex workflows without programming using a combination of Sagitec Design Studio, Visual Studio.NET, and UITS Solution.
Batch Services	Provides a scheduler with the ability to assign specific system tasks to run on a predefined schedule and calendar.
File Processing Services	Provides facilities for defining files, associating data elements, calling validation scripts, and archiving inbound and outbound files (e.g., interface files) to and from other external software applications.

Table 2: Sagitec Enterprise Application Management Services

DC DOES Solution – UITS Tax Business Services

This layer contains a set of business services as foundation for the UITS business services. Business services are considered “grey box” because they provide the ability to adapt to specific requirements and business rules. This layer will be customized and configured to meet the requirements and design specifications for the UITS solution.

The following table provides an overview of the UITS processes included in the implementation.

Process	Description
Employer Registration	• Allows new employers, or those who are reactivating their business, an opportunity to create a UITS Employer Account. • Provides the necessary data to validate business existence, generate a tax rate, and submit correspondence. • Eliminates staff intervention on most employer registrations and reactivations and only “pushes” select registrations (e.g.

Process	Description
	Reimbursable Employers) or complex activity (e.g., mergers) to staff if required by state rules. • Prevents the long waits often associated with employer registrations and the delinquencies in wage filings by automatically creating employer account numbers and rate calculations. • Establishes a permanent username and password, updates Employer Account data, and establishes the Employer Self-Service account upon completion.
Employer and Third Party Administrator Self-Service	• Allows employers and third-party administrators to manage their accounts based on user-level and role-based security. Enables employers and third-party administrators to manage their UITS Tax accounts with no UITS staff intervention. • Allows employers to designate multiple users and/or multiple third-party administrators (by unique role) to administer their UITS account.
Wage Processing and Tax Reports	• Provides employers, third-party representatives, and staff the ability to enter and submit individual Wage records. • Incorporates wage detail submission and Wage record history, wage amendments, and multiple submission modes (zero wage, manual entry, and copy from previous quarters, file upload, and Secure FTP). • Validates employer liability and type (e.g., contributory or reimbursable), produces online/real-time data edits and validations, collects 12th-of-the-Month LMI data, and uses the respective District's calculation rules to calculate the employer's amount due upon submission. • Tracks taxable wages based on social security number (SSN); identifies employer rates, wage based carry-over (successions) scenarios, and penalty rates; incorporates intelligent amendments, non-submission penalties/assessments, and wage transfers. • Enables staff to collect data in a timely fashion, correctly calculate taxes, and improves overall data management for taxes processing. • Provides ACH debit processing for UITS Tax payments.
UI Tax Rating	• Manages annual rate and fee calculations, individual ratings, rate modifications and recalculations, and history. • Allows staff to modify and adjust the actuarial components to fit local regulations, manage employer accounts and protests, and view historical data. • Provides a flexible approach to change rates and calculations as policy designates, add fees, and update employers who are experiencing unusual circumstances (e.g., assigning a new rate based on special protests or appeals).
Employer Account Maintenance	• Allows employers to maintain account information through the Employer Self-Service portal. • Provides real-time access and maintenance capabilities for updating addresses, power of attorney agreements, owner/officer data, company status, merger or acquisition information, or other high-frequency business functions. • Reduces staff workload and intervention and improve agency efficiency, responsiveness and data accuracy.

Process	Description
	• Allows employers to review historical activity and determine the users who performed updates using the audit tracking features of the solution.
Third-Party Administrator Account Maintenance and self-service	• Provides functionality that works with the distinct business situations of small (e.g. certified public accountants) and large employer representatives (e.g. ADP, TALX, or Intuit). • Allows employers, employer representatives, UITS staff to electronically manage power of attorney and roles, client searches, bulk client rate management and review, and client data downloads. • Allows employer representatives to manage multiple employer clients with a single sign-on, submit bulk wage detail and payment data, or simply manage individual employer accounts through self-service. • Provides bulk processing, produces error and confirmation files, and allows bulk processors access without the need for magnetic media tapes, CDs, or paper files.
Field Audit	• Provides an online or offline function that integrates with the tax elements of the solution and maintains a high level of security. • Allows District to meet federal auditing requirements and perform other audit tasks as required. • Includes functionality to select random and targeted audits; validate audit results for TPS accuracy; recalculate employer taxes and assess penalties, fees, and/or refunds; and report on performance.
Federal Reporting	• Generates mandatory ETA and data validation reports to meet U.S. Department of Labor compliance guidelines.
Alerts and Messages	• Routes alerts and messages to the appropriate stakeholder (staff, employer, claimant or third party administrator). This provides an efficient channel to communicate with UITS stakeholders and highlight critical action items.

Table 3: UITS Tax Services

Tailored Extensions

This is the layer where customer-specific tailoring occurs to meet specific requirements for the UITS project. Sagitec will customize and configure Neosurance's business rules, screens, correspondence, and reports to meet District's requirements resulting in the UITS solution. The UITS-specific customizations and configurations will be documented in the UITS use cases and supplemental specifications. The solution will use the Sagitec Studio tools (Sagitec Design Studio and Sagitec Analyst Studio) to make the UITS configurations and customizations.

Application Architecture

The application architecture is fundamentally an integration architecture that provides services that communicate with each other and external applications. The UITS Solution is a combination of compose-able, reusable, and loosely coupled services that, taken in aggregate, describes the term "Service Oriented Architecture" (SOA). As a result, the UITS Solution provides the following capabilities:

- Quickly respond to business changes
- Address new needs with existing applications
- Unlock existing application investments
- Support new channels and complex interactions
- Support organic business change

As described earlier, the UITS Solution will be comprised of several layers. The bottom two layers (Enterprise Framework Services and Enterprise Application Management Services) consist of small granular components and component blocks that can operate independent of each other. These blocks can be modified and extended without affecting the layers that sit on top of them (such as the UITS Tax Solution Layers).

Using the Sagitec Framework's capabilities, the UITS solution will have the flexibility to build "composite" and "aggregate" solutions that remain maintainable. Intra-application communication between components and other layers of the UITS application architecture uses Windows Communication Foundation (WCF) TCP as the primary transport mechanism. Other mechanisms such as HTTP and Named Pipes can also be used when appropriate. Near real-time inter-application (application integration) communication uses Web services wherever possible.

The UITS Solution also supports integration mechanisms that expose application services to external applications as well as consume services from external applications. The UITS solution will implement and expose application-programming interfaces (APIs) using Web Services and SOA.

The UITS Solution will use Integration Objects to send and retrieve information from external applications such as imaging, workflow, and general ledger systems. Custom-tailored, these integration objects elicit services (e.g., APIs, Component Interfaces) from external systems.

Integration Objects serve as wrapper classes of an integrated system. Wrapper mechanisms with well-defined interfaces are useful when dealing with external systems that change. In those situations, the UITS Solution will be essentially unaffected by changes to external systems, and the impact is isolated to the corresponding Integration Object. Integration Objects are powerful because they can create composite business services. Composite services consist of functionality drawn from several sources that create a super-set service.

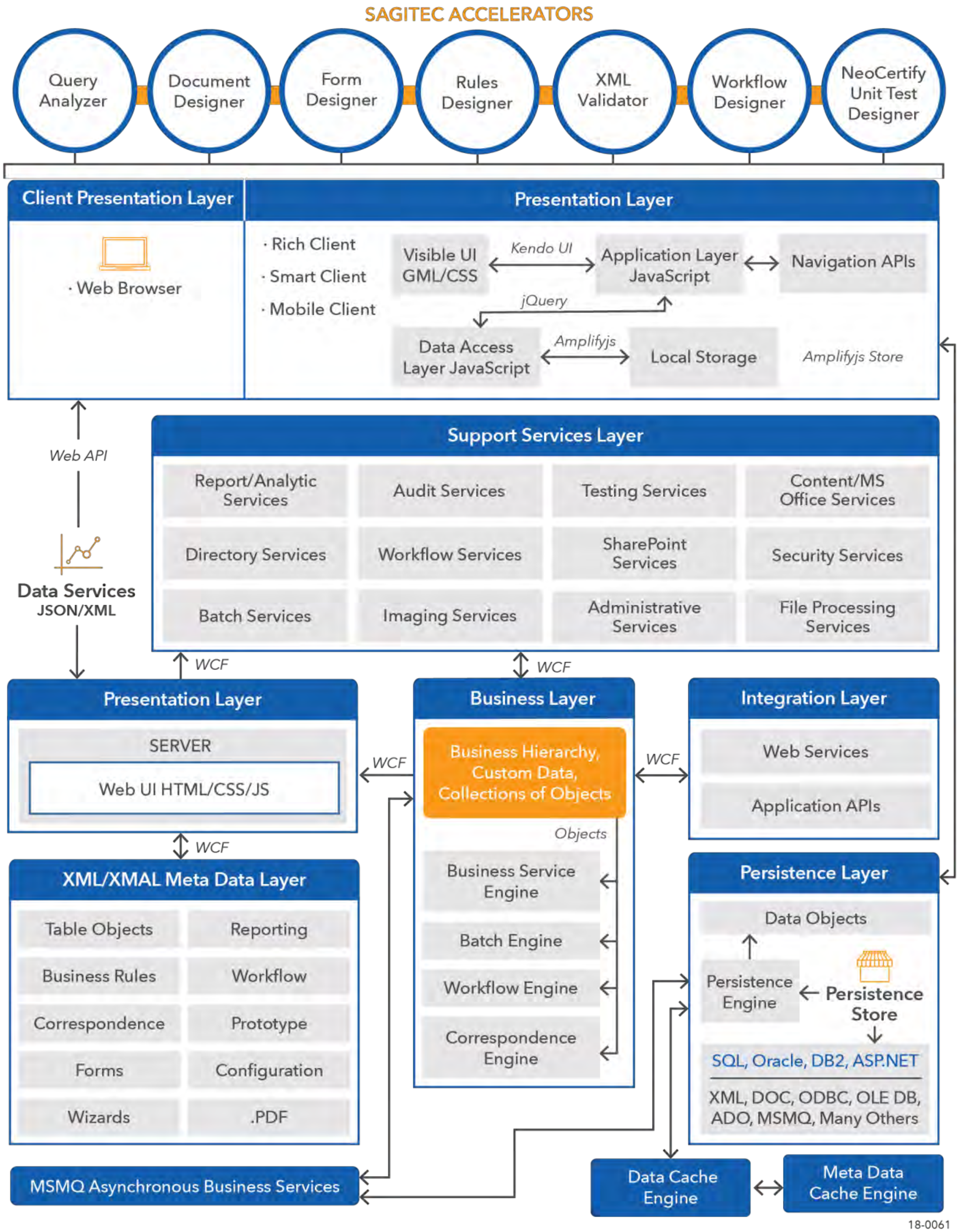

Figure 2: Sagitec Technical Architecture

As described previously, the Sagitec Framework is constructed using Microsoft .NET technology and takes advantage of .NET framework and ASP.NET services. The Sagitec Framework provides the technical foundation for the UITS solution and includes the following four components:

- **Transactional Middleware**. Includes tuple abstraction (SQL) and distributed transaction processing. The framework incorporates a combination of ADO.NET and DTC (distributed transaction coordinator). ADO.NET offers services for controlling two-phase commits and optimistic/pessimistic locking.
- **Message Oriented Middleware (MOM)**. Includes mailbox abstraction and asynchronous messages. The UITS solution will use .NET to send and receive messages with Microsoft Message Queuing (MSMQ).
- **Procedural**. Includes procedure abstraction and/or synchronous interaction. The UITS solution will use Windows Communication Foundation where required to implement procedural middleware.
- **Object and Component**. Includes object abstractions. The UITS solution will use Windows Communication Foundation to expose objects to remote processes, allowing inter-process communication.

The application architecture provided by the Sagitec Framework provides the District with a foundation that allows OUITS team to realize the agencies' technology vision. The following table highlights the capabilities of the application architecture.

Capability	Description
Single Code Base to Maintain Solution Long-Term	Provides a single code base for the solution, reducing the maintenance resources required to sustain the solution long-term.
Component-Based Architecture	Streamlines integration of off-the-shelf components/Third Party Software and services with the Neosurance solution to speed initial development and ease long-term maintenance.
Service-Oriented Architecture (SOA)	Reduces integration and maintenance costs. Offers UITS Tax capabilities to the enterprise. Provides a scalable platform with an open architecture to support process improvements and system integration requirements.
Web-Enabled Front-End	Enables easy-to-use, online, self-service access to employer and Third Party Administrator information, providing a common look and feel to each user through a common browser-based system.
Robust .NET Development Framework Incorporating Leading Vendor Tools	Delivers flexibility to tailor system functionality to meet UITS-specific requirements using the Sagitec Design Studio and Sagitec Analyst Studio.

Capability	Description
Adaptable Application Architecture	Allows upgrades and modifications to the application while minimizing downtime when the DC District and/or Federal policies change, or when Agency's environment demands growth due to increased demand.
Scalable, Open Architecture	Employs leading standards and techniques to promote the interoperability and maintainability of the UITS system.
Integrated Database and Data Structure	Provides an integrated database and removes redundant and out-of-synch data across the DC District.
Enterprise-Level Components	Enables use for internal operations and is extensible to leverage business logic and information throughout the organization.
Business Intelligence (BI) Reporting Features	Supports standard off-peak queries, report customization, and ad hoc reporting — allowing the District's management teams to monitor workloads and key process metrics while complying with federal and agency reporting requirements.
Provides core UITS Tax Functionality	Maps to the DC District's UITS Tax requirements out of the box, reducing configurations and customizations.
Integrates Document Management and Imaging Services for Managing Varied Forms of Content	Reduces manual paper handling and improves the efficiency of the District's business processes. The UITS solution utilizes FileNet Content Management to manage varied forms of content.
Automated Workflow Processes	Removes unwanted manual processes and improves the efficiency of the District's operations. Sagitec Modeling Studio provides the ability to create "push" and "pull" workflows.
Life Cycle Efficiency and Cost-effectiveness.	Accelerates development and reduces long-term maintenance costs.
Browser-based Interface Using Leading Web Development Standards, Based on the .NET Technical Framework	Provides a web-based user interface that is compatible with leading web browsers. The architecture easily integrates with other tools and technologies and does not require specific desktop software to access the application.
Secure Web Environment for High Volume, Online Business Transactions.	Allows secure Web-based self-service for a large volume of, employer, and third-party administrator transactions, including employer wage and payment processing.
Robust Approach to Business Rule Management	Supports change and simplified modification to quickly accommodate changes in policies and laws. Sagitec Analyst Studio provides business rules management capability using XML configuration files.

Table 4: Sagitec Enterprise Architecture Features

Information and Data Architecture Layer

Information and Data Architecture Layer provides a robust information architecture for storing, managing, and accessing structured and non-structured information. UITS information architecture is implemented using an “Information Aggregation” business pattern that allows users to access and manipulate data that is aggregated from multiple sources (UITS database / metadata, ECM metadata, reporting database, knowledge management system, etc.). UITS information architecture captures the process of taking large volumes of data, text, images, video, and so on and using tools to extract useful information from them.

The UITS project will be implemented using Microsoft SQL Server 2012 Enterprise for implementing the data architecture. The UITS Solution data architecture uses patterns that provide a consistent way to persist application data using ADO.NET. The Sagitec framework and ADO.NET provides the District with the following:

- Allows the ability to interact with local and remote data stores (RDBMS, Flat Files, Mainframe, XML, and others)
- Provides optimized libraries for SQL Server
- Provides generic libraries for ODBC (for access to relational database) and OLE DB (for access to data regardless of its format or location)
- Provides intrinsic support for XML
- Provides a focus on both connected and disconnected systems
- Provides transaction management capabilities that supports rollbacks

By design, the Sagitec Framework is database agnostic providing the District the flexibility to change with changes in technology and database products. This capability provides the District the flexibility to port the UITS Solution to any number of relational or object-oriented databases. Further, this can be accomplished with minimal software changes. The UITS data architecture will not use PLSQL, stored procedures, or triggers, which would bind the solution to a specific database.

Microsoft SQL Server 2012 provides many reporting services and features that will be leveraged by the District. Sagitec will use these features to meet the District reporting requirements. MS SQL Server 2012 provides a set of tools and procedures for backup and recovery roll forwards, access path explanations, etc.

Integration Architecture Layer

The UITS application will support the following integration methods to integrate with third-party agencies and applications:

- RESTful and SOAP based web services
- File based interfaces

REST and SOAP based web services will be used to provide UITS integration services. Examples include:

- ICON SSA Authorization
- ICON IBIQ, SIDI and IB message requests and responses
- DHS SAFE interface

File based interfaces will be used to provide UITS integration services. Examples include:

- National Directory of New Hires (NDNH)
- Treasury Offset Program (TOP)

- Employer Wage reporting (originals and amendments)
- Employer and Agent ACH Payments
- Claimant Bank file

In addition, UITS will support the secure FTP file transfer. Support of Secure FTP process enables employers and agents to file wages by uploading the files to the UITS FTP server. In addition, SFTP process will also be used to transfer files with the designated bank to process employer or agent payment transactions.

The UITS application will use File Server storage to support the storage and processing of batches and interfaces. Online and Batch processes are configured to import files from, or export files to, specific folders to this storage to complete business processes.

Users (Employers, Third-party administrators (TPAs) and internal staff) will access the UITS system via the online application. UITS will provide the following functionality to internal and external users:

- Employer registration
- Employer wage submission (originals and amendments)
- Payment processing
- Employer Account Maintenance
- Agent registration
- Agent wage submission (Original and amendments)
- Agent payment submission
- UITS tax services

The UITS system will provide the following integration to ensure data integrity and processing across systems:

1. The UITS system will integrate with the secure FTP server for the file transfer process. Wage submission files will be uploaded by employers and agents using the secure FTP process. The UITS batch processes will retrieve these files, process the uploaded wage files and store them in the UITS SQL database.
2. The UITS system will integrate with designated bank using the secure FTP process for ACH debit/credit payment files.
3. The UITS system will process the online and batch transactions in the UITS SQL database on a daily basis. The UITS system's nightly batch process will create output files from the UITS SQL database which will be sent to external agencies and applications.

Security Architecture

The UITS Solution provides some of advanced security features. The security features are designed for maximum control over granting user permissions, the UITS Solution security simplifies authentication (who you are), authorization (what you can do), and separation of duties (who needs to check your work) – and it is completely customizable. The security architecture also provides single sign-on capabilities, as appropriate, providing each user the resources required to successfully perform the role assigned.

Security configuration begins when a system administrator maps users to one or more business role(s), such as a UITS Tax Support Specialist. A single person can have one or multiple roles, depending on the work they perform. Next, the administrator maps business roles to one or more system resources, such as screens or reports. Administrators can roll up system resources (e.g., an entire subsystem like Payments) or roll them down to a specific field (e.g., Social Security number on a specific screen). The following screens demonstrate how the system administrator will create roles and resources using the role-based security features. Once roles and resources are set up, one or many roles can then be assigned to users.

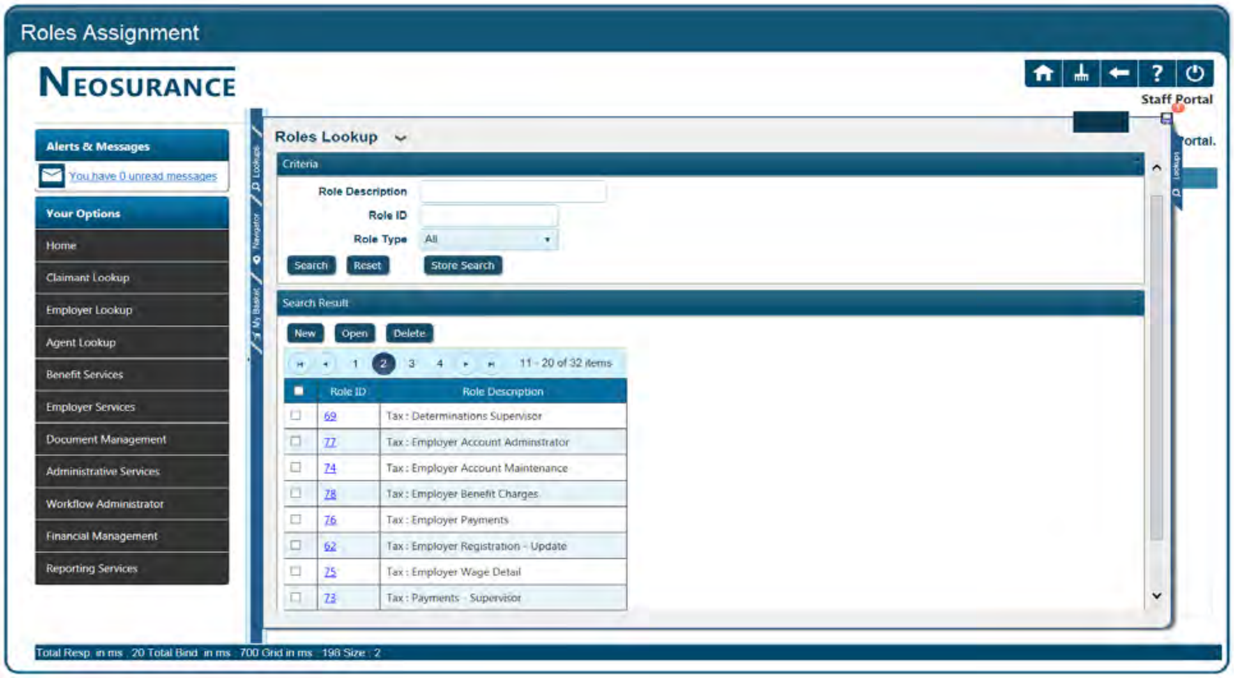

Figure 3: Security Roles Lookup/Assignment Screen

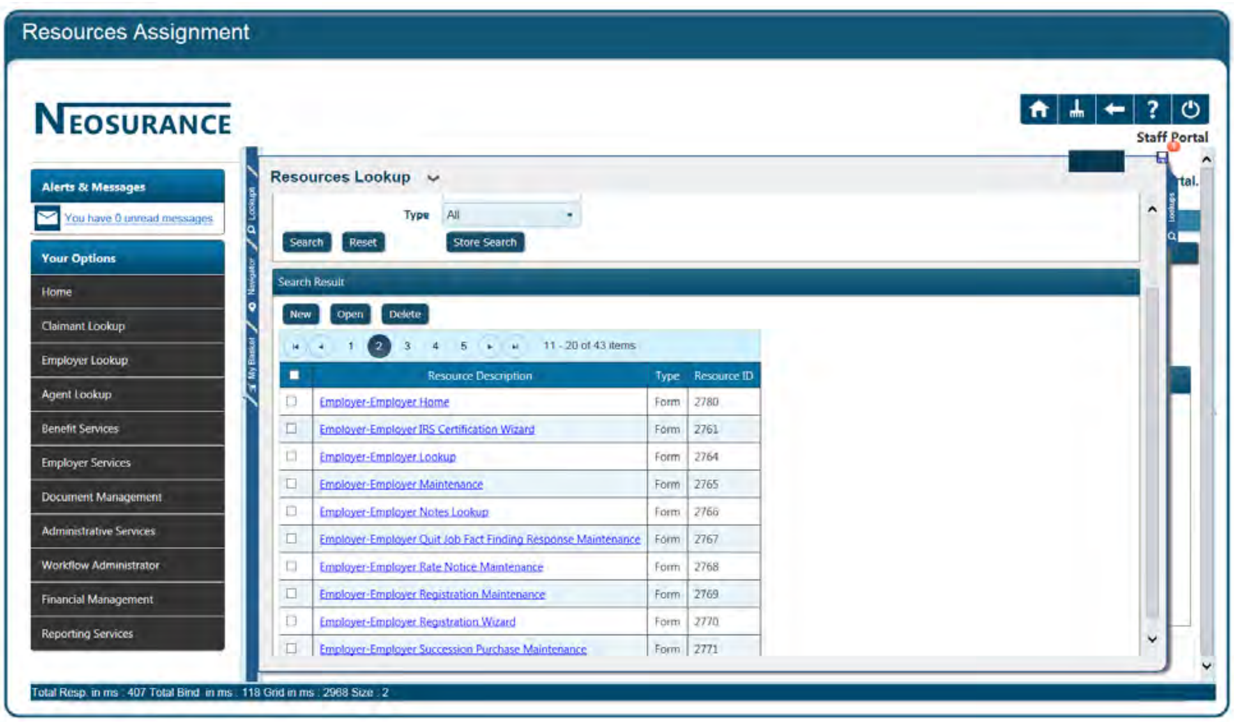

Figure 4: Security Resources Lookup/Assignment Screen

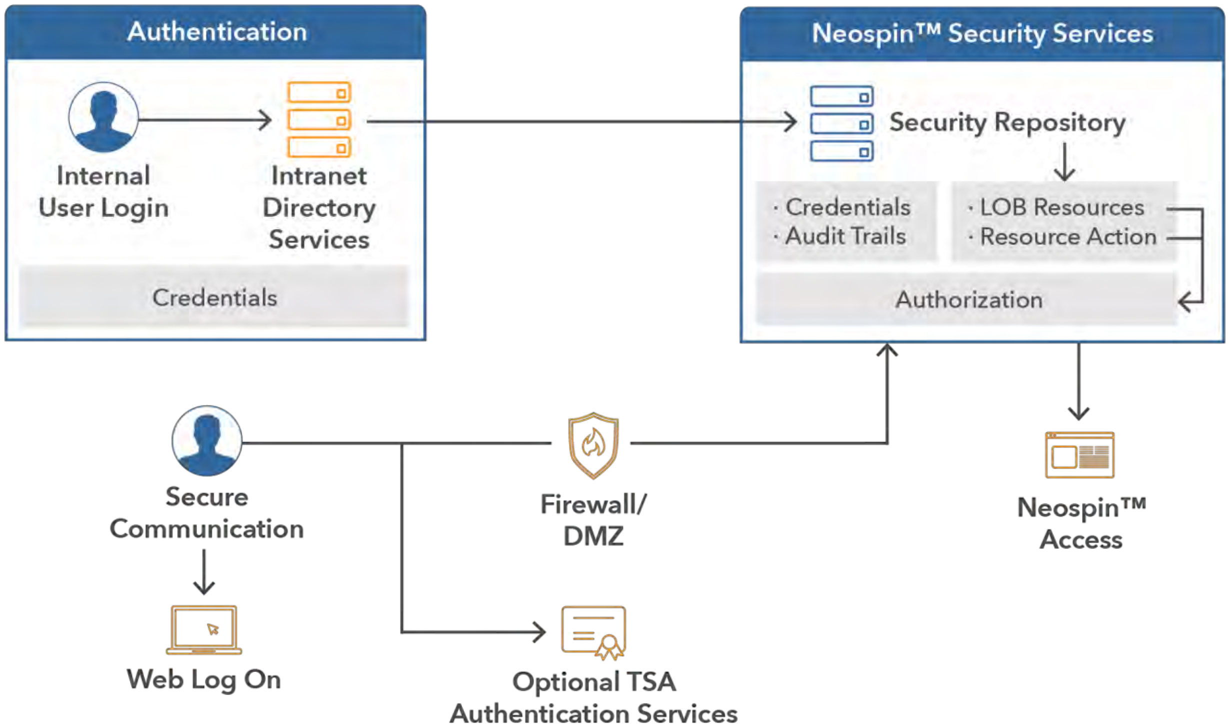

Figure 5: Sagitec Security Model

The following list describes some of the unique features associated with security in the UITS solution.

- **Fine-Grained Resource Security**. The administrator binds the roles and resources to security privileges that control whether resources are visible or editable. In addition, security privileges control whether users can insert, modify, or delete records. Finally, the administrator applies business rules to security privileges that further constrain security by limiting a user's ability to modify their own records or block certain records (e.g., internal employees, legislators).
- **Field-Level Masking**. Allows developers to create field-level formats and map them to the association between a system resource and a user. This means Social Security Numbers, or any other confidential data, can be displayed on a "need to know" basis.
- **Navigation Tracking**. The UITS Solution contains internal methods that capture click streams associated with every user (internal and external) to monitor when users view or modify screen data. Managers can use this data to verify if people are complying with privacy policies and rules.

The UITS solution will capture finely grained information and preserves a complete audit trail of changes made by users (internal and external). Because UITS will preserve the relationship between data and employer accounts, the solution allows auditors and supervisors the flexibility to view audit logs. Key features include:

- **Customized Configuration Settings**. Allows authorized system administrators the flexibility to turn auditing on or off for specific tables, table columns, roles, or users. For example, managers might choose to set different audit levels for new employees for quality assurance purposes.

- **Storing Before-and-After Images**. For every transaction identified, the UITS Solution captures the "before-and-after" image of the changed data element(s), along with named user ID and date/time stamp. The UITS Solution also captures additional information such as MAC and IP addresses, if necessary.
- **Advanced Audit Views**. Provides advanced audit view capabilities out-of-the-box. Auditors and supervisors can search for records changed by Employee X or changes made to Employer Account X. Further, each category has one or more additional search and filter parameters, such as date ranges, employer IDs, SSNs, and others.

Data Security

The UITS solution protects data from unauthorized access at various levels. The framework provides the ability to protect personally identifiable information (PII or PD), which includes data attributes such as below, that are commonly used in a Tax solution:

- Social Security Number
- Employer FEIN
- Bank Account numbers
- Names
- Email addresses

The UITS Data Security procedures will enhance the above list of PII by incorporating additional fields as identified by the District' Security Policy. Some basic samples of Data Security Standards enforced by the framework to protect data and access to PII include:

- The UITS solution will support the most recent version of SSL for secure communication between Web servers and Web browsers, including standards for cryptography such as AES.
- The UITS solution will use Microsoft SQL Server 2012 Enterprise edition, which can enable database inherent security features such as Transparent Data Encryption (TDE) for encrypting data as a whole and / or Cell Level Encryption to encrypt data at Colum level e.g. Password etc.
- The UITS solution will support a variety of current industry standard encryption algorithms.

Sagitec Analyst Studio – Business Rules Services

The UITS application architecture has an integrated rules engine, which is XML-based and uses the DLR (Dynamic Language Runtime).

The Sagitec Analyst Studio provides the ability to modify business logic that consists of both business policies and business rules. Sagitec Analyst Studio improves policy management and testing by providing a graphical way to add and modify business policies. The rules engine implements two types of business policies – Decision Tables and Flow Rules.

The following sections explain how the Decision Tables and Flow Rules will be configured, tested and implemented within UITS. As we continue to work on the technical design of the UITS, the functional areas that will be implemented using business rules services that will be identified. The examples provided below are included to gain an understanding of Decision Tables and Flow Rules and the capabilities of the Sagitec Analyst Studio. This component will be implemented as part of the UITS application architecture.

Decision Tables

Many business policies are tabular in nature and can be depicted as Decision Tables. This can include tax tables (rate), eligibility rules, etc. For example, a decision table is leveraged to determine a District's Domestic employer's UITS liability date used in their liability determination. In this example:

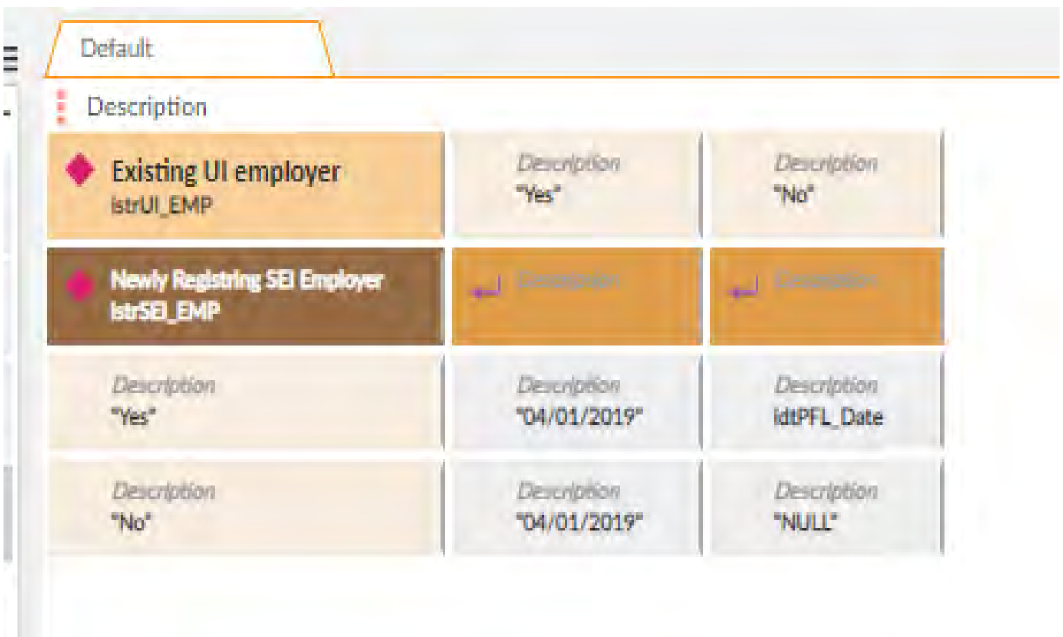

Figure 6: Sagitec S3 –Decision Table Example for Self Employed Individual (SEI)

- For the Domestic employer type, the UITS liability threshold date is derived via the Sagitec S3 decision table and is set based on the below rules:
    - If the Domestic employer is an existing employer in the system then the liability date is set as April 1st, 2019
    - If the Domestic employer is a newly registered account, then the liability date is configured from the date that is collected during the employer registration process

The rules governing such logic are entered into the Decision Tables using the graphical tool. These rules once entered into the tool are executed by calling them from the application. After implementation, these rules can be easily modified by business users outside of the application in the Sagitec Analyst Studio.

1. **Flow Rule** – These are the typical rules that are executed conditionally. Sagitec Analyst Studio evaluates the conditions and the appropriate actions are then initiated based on inference. These actions could be certain method call or assignment.
2. The Flow Rules allow the following elements:

	Condition – Allows for simple IF/IF ELSE blocks or switch statements.
	Assignment – Allows user to assign the various properties of the business object.
	Action – Allows user to call any method written in the C#.
	Call Flow Rule – Ability to call the existing rules providing the reuse of business rules.
	Call Decision Table – Ability to call the Decision Tables providing the reuse of Decision Tables.
	Loop – Ability to perform a block of action/rules multiple times.

Table 5: Sagitec Analyst Studio Actions

In many instances, UITS Tax business processes require a combination of the Decision Tables and Flow Rules to meet the business requirements. This combination is common where there are complex business rules to be implemented.

Sagitec Analyst Studio allows users to test Decision Tables and Flow Rules independently using input values. In other words, business users can add policies and then test them independently of a database, the UITS Solution, or any other application.

The Sagitec Analyst Studio allows the District to maintain current business rules and to adapt to changes in Federal and District law, policy or statute.

Web Self-Service

The UITS Solution provides self-service functionality for internal staff, claimants, employers, and external stakeholders (e.g., TPAs) via Web Portals that can be provided on a 24X7 basis to designated, secured users (system availability period is set as per the SLA's). The UITS solution provides end users with information and functionality that was traditionally performed by call and processing centers, allowing the District staff to focus on core business processes rather than answering rudimentary questions. The self-service features include:

- **Workflow** – The UITS Solution communicates with employers, claimants or third party agents by generating alerts and notifications and pushing them to the Self-Service Web Portal. Workflow provides integrated rules-based routing and processing between UITS and stakeholders to process and track work items and display a holistic view for external users to see outstanding requests/work items.
- **Single Code Base** – The UITS Solution allows any Tax business process (batch or online), computation, or data to be deployed to self-service participants without having to manage separate software code or data.
- **Secure Communication** – The UITS Solution generates emails directing external users to enter the portal to view items requiring action, provides mechanisms for employers to click out into an instant messaging session for real time collaboration with an employer representative or follow up phone call, and provides Web-based access to images, if applicable.
- **Online Self-Service Videos** – This provides video presentations for 24x7x365 training, implements interactive CBT videos for employer, claimants and third party administrators to reduce training costs, and implements important messages for on-the-spot communications capability.
- **Online Document Processing** – The UITS solution allows external users (employers and third party administrators) to submit documents using an online upload process. These documents are stored within the system to allow for retrieval and approval processes.
- **Queries and Reporting** – The UITS solution provides query capabilities giving external users access into their data set, including Export to spreadsheet (e.g. Excel) functionality
- **Account Profile Maintenance** – The UITS Solution provides account maintenance functionality to allow entry, validation and editing of demographic information including addresses, contacts, contact roles, units, names, federal EIN, EFT account, and routing numbers.

Sagitec Modeling Studio – Workflow Services

The workflow component leverages a combination of the .NET Windows Workflow Foundations, Visual Studio .NET, and the Sagitec framework to design, build, and execute UITS workflows. Workflow can be used with or without document management systems. UITS workflow capabilities include:

- **Process Initiation**. Initiates workflows from forms (screens), batch jobs, Web services, and/or scanning and indexing of incoming documents from any ECM System; a workflow service monitors incoming events, checks them against a reference database, and triggers predefined workflows accordingly.
- **Prioritization and Assignment of Work Items**. Automatic work prioritization and escalation based on predefined rules; work items are assigned to individuals or groups depending upon the prioritization set by their Process Managers.
- **Suspension of Work Items**. Users can suspend work items to remove them from the active list of user's "my basket"; users select suspension reason, suspension end date, resume action, and comments to keep everyone updated about the reason for suspension. If a resume action doesn't happen by the suspension end date, a workflow service will automatically resume the work.
- **Queue Assignment Rules**. Work items of a specific activity can be assigned to different queues depending on the attributes of the process.
- **Backup User and Unavailable User**. Process managers can configure user as the backup user of the primary user going on vacation, so over that duration, the backup user will work on the work items for the primary user. Users can mark themselves unavailable to "opt out" of work assignment rotation, but can remain active for work items assigned to them.

- **Case Management**. Case managers retrieve information about the case type, events logged into the system as part of various activities executed as part of the case, and the status of the activities which are executed.
- **Workflow Dashboard**. Provides a snapshot of work; workload can be viewed at various levels including queue level, overdue work items, suspended work items, and work items received yesterday.

The Sagitec Modeling Studio is fully integrated with the UITS Solution as a component that interacts with other Sagitec Framework Services. It can be used to automate collaboration with employers and third-party administrators and external agencies.

The following diagram illustrates the workflow process at a high level.

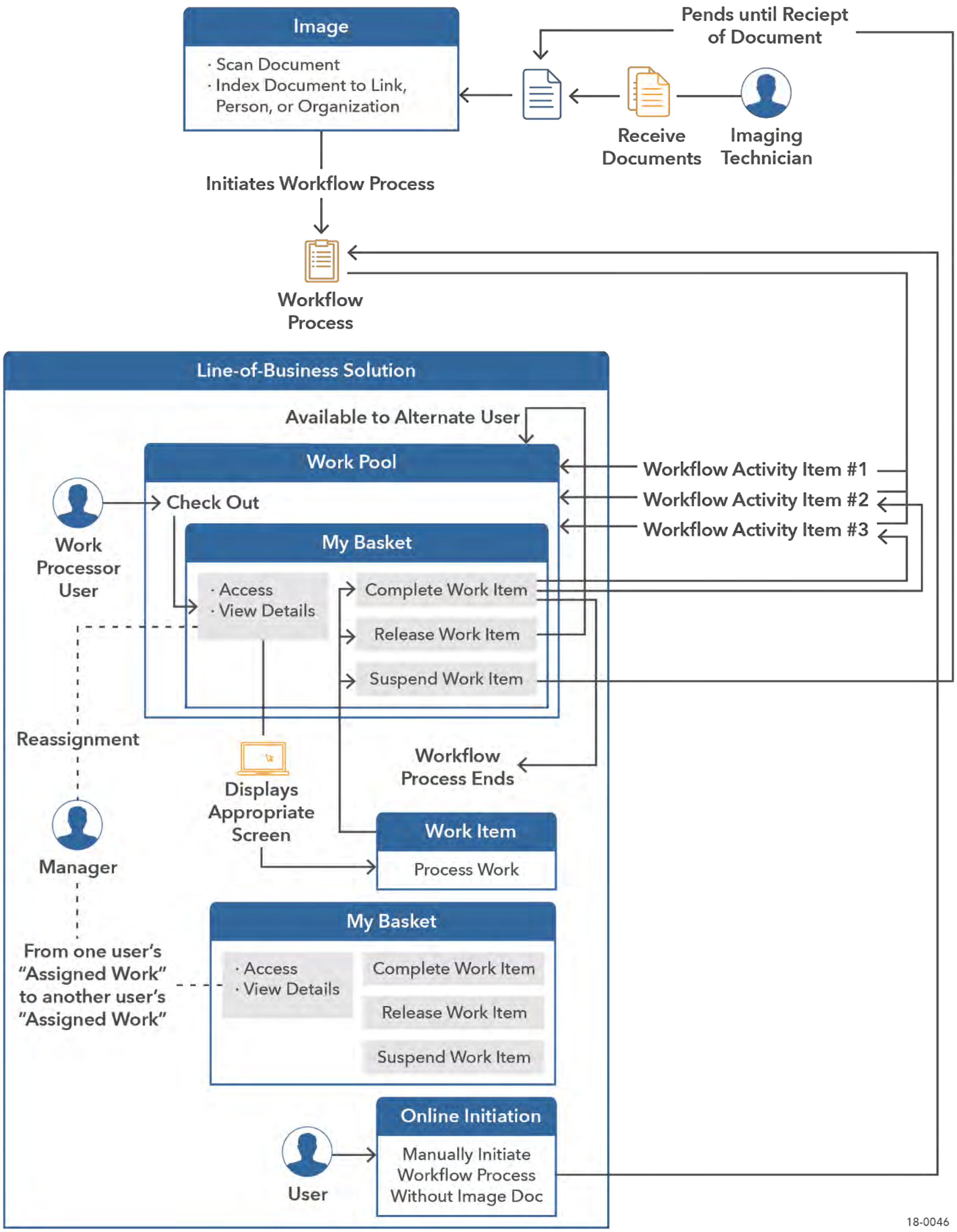

Figure 7: Sagitec Modeling Studio

Document Management

Document Management is a vital component of any UITS solution due to document intensive business processes required for UI business processes. The UITS provides document management features designed to work with or without enterprise content management systems. These capabilities address requirements for generating, sending, tracking and storing documents for employers and TPAs.

The following functionality will be available in UITS for document management:

- Create and store PDF documents in the employer self-service portal. Examples include:
  - New employer registration
  - Wage detail submission summary
  - Payment Voucher
- Store electronic document uploaded by users (employers and third party administrators)
  - Power of Attorney (POA) document
  - 501(c3) supporting documents

These documents will be accessible within the UITS solution (employer, agent and staff).

Reporting Services

The UITS Solution provides a comprehensive reporting environment that enables the creation, management, and delivery of both traditional, paper-oriented reports and interactive, Web-based reports. The UITS solution will use SQL server reporting services and Crystal Reports for Visual Studio depending on the specific reporting requirements. The diagram below shows how reporting services fit into the UITS Solution application and data architecture. Key features of Reporting Service include:

- UITS Solution provides the ability to generate custom built reports. These reports are mostly operational reports (e.g. daily workload for a specific department or workflow queue) that are used to administer the UI program. The UITS Solution uses SQL server reporting services to build and define these reports and maintains them as part of the overall solution. UITS allows export of data to various formats from all its search results as well as custom built reports.
- The UITS solution provides full access to SQL Server Reporting Services (bundled with MS SQL 2014), which provides tools and services to allow you to create, deploy, and manage reports for the District, , as well as programming features that enables UITS to provide customized reporting functionality.

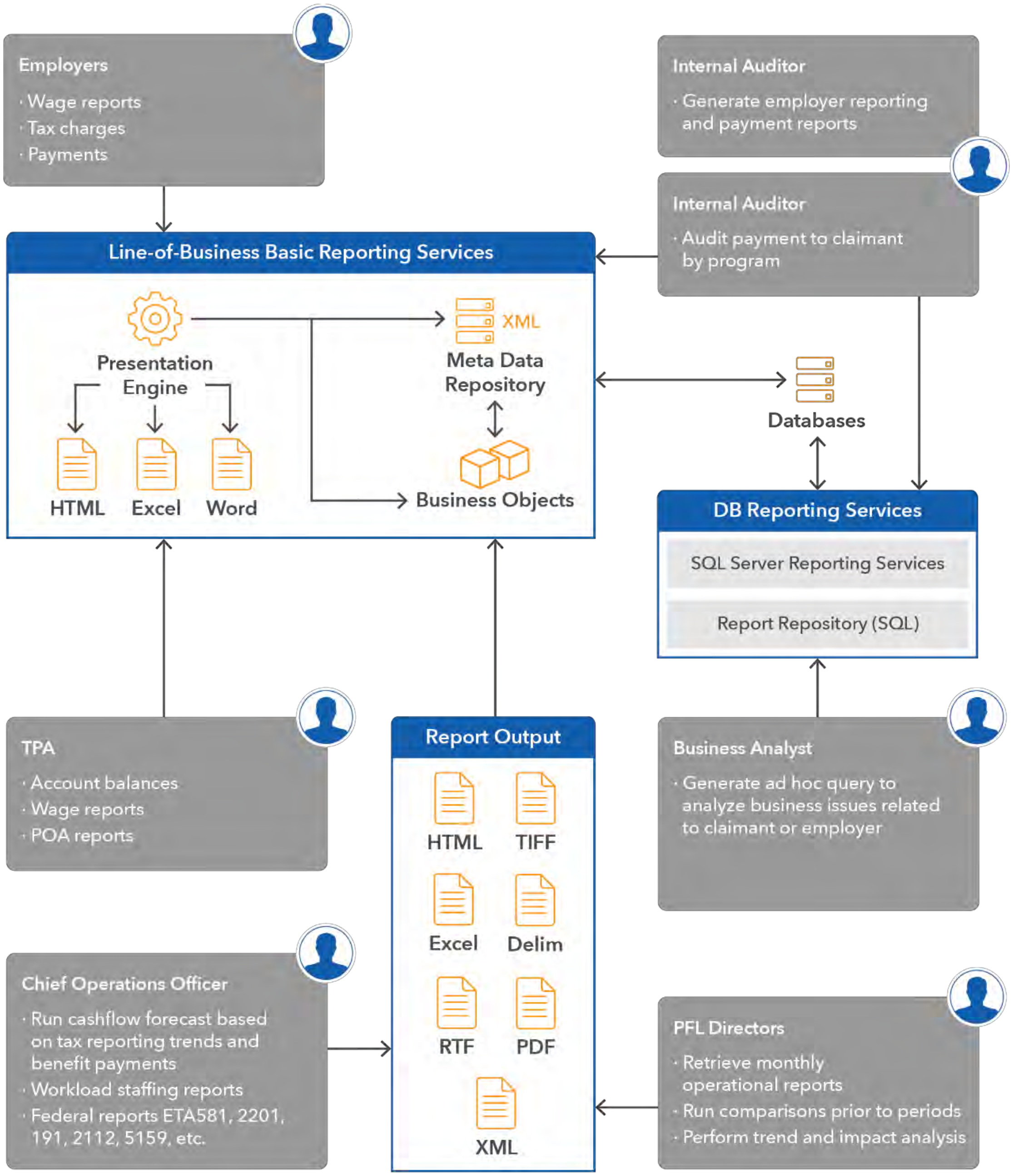

Figure 8: ***Sagitec Reporting Services***

Configuration

For the purposes of this section, the definition of the term configuration parameter or parameter is a variable that must be given a specific value during the execution of a program or a procedure (method) within a program. In the UITS Solution, parameters are retrieved from the database at runtime, logically derived at runtime, or derived from some form of user action. The UITS solution will not contain any “hard coded” parameters in any executable including methods, dynamic SQL, or executable/compiled SQL.

In the UITS Solution, business objects represent tangible business entities created, accessed, and manipulated during the execution of a business process. Business objects contain business data and methods (actions). Business objects encapsulate properties (attributes and data), methods (behavior), and business rules.

The business rules reside in XML metadata outside of the UITS Solution. Business rules are maintained and configured within the Sagitec Analyst Studio. These rules can be tested and verified by users outside of the UITS application providing greater flexibility to test and verify rules. **The UITS Solution invokes and executes business rules during runtime.**

Business objects may contain other business objects, collections of business objects, custom data objects, or custom data object collections (e.g., composite objects). Business objects inherit from a parent business class, and therefore have access to features implemented from their parent. During the validation process, the Application and Business Services Engine retrieves business rule metadata from the XML metadata cache and applies it to the business object. Messages generated during this process are sent back to the calling service for further processing.

Deciding What to Include in Future Releases

Sagitec has a dedicated product team to support the evolution of their products. This includes tracking federal DOL changes and ensuring that our client's solutions are upgraded with these changes. Once changes are verified and tested by our product team, we work with our clients to determine the schedule of migrating these changes to both acceptance test and production regions.

Sagitec has regularly occurring work sessions across PMO teams serving all of our clients where we share and discuss design changes and improvements identified on local projects and applied to client-specific applications. If a change is warranted at the Neosurance™ Product Application (parent level), a code merge is conducted to move relevant code chain set(s) from the project to the product level. Subsequently, each PMO brings the Neosurance™ Application enhancement(s) to their respective client to gauge interest in adopting the change to their local application (child level). If agreed upon and in accordance with formal release schedules, the enhancement(s) are merged into the respective project application. Sagitec releases detailed Release Notes with each deployment and thoroughly tests any release code before deploying to either UAT or Production environment.

2. Build Validation and Readiness Processes

This section references concepts specific to strategies and processes used to manage the integrity and ongoing evolution of the DOES source code control, build management, and release management. It references management of solution branches, baselines, and distribution; it will also involve identifying and documenting source code and implementing disciplined processes to accurately record, prioritize, and address code changes and enhancements.

The term build refers to the process by which source code is converted into a stand-alone form that can be run on a computer or to the form itself. One of the most important steps of a software build is the compilation process, where source code files are converted into executable code. The process of building software is usually managed by a build tool. Builds are created when a certain point in development has been reached or the code has been deemed ready for implementation, either for testing or outright release.

The approaches and methodologies used for the DOES project utilize a robust configuration management approach and process for the propagation of database schema changes and data migration that includes static data (framework, security, and system code data) and converted data to different environments.

1.1 Build Management

As a Gold Certified partner of Microsoft, Sagitec's source code build and deployment process is automated via the Microsoft Team Foundation Server (TFS) where the Neosurance source code resides. An extensible markup language (XML)-driven build script with pertinent configuration details such as database schemas to invoke builds for each environment. Sagitec invokes a build of the source code and deployments to the environments by performing a one-click run on a Microsoft Team Foundation Server build script. The build script is responsible for source code compilation and the copying over of the compiled DLL files to multiple environments (Integration Test, System Test, UAT, Training, Staging/Performance Testing and Production). After a build is deployed to the Integration Test region and verified by business testers, it is deployed to the next environment (System Test). The stable release code is labeled to isolate it from the ongoing development. The labeled source code can be used to do any specific fixes to deployments to stable environments such as UAT, Staging/Performance Testing and Implementation/Production. With each build, release notes are provided to testers to identify which functionality additions and changes have been released for testing.

1.2 Organization, Responsibilities, and Interfaces

Sagitec will use the following organizational structure of relevant roles to Build Management as illustrated in the diagram below:

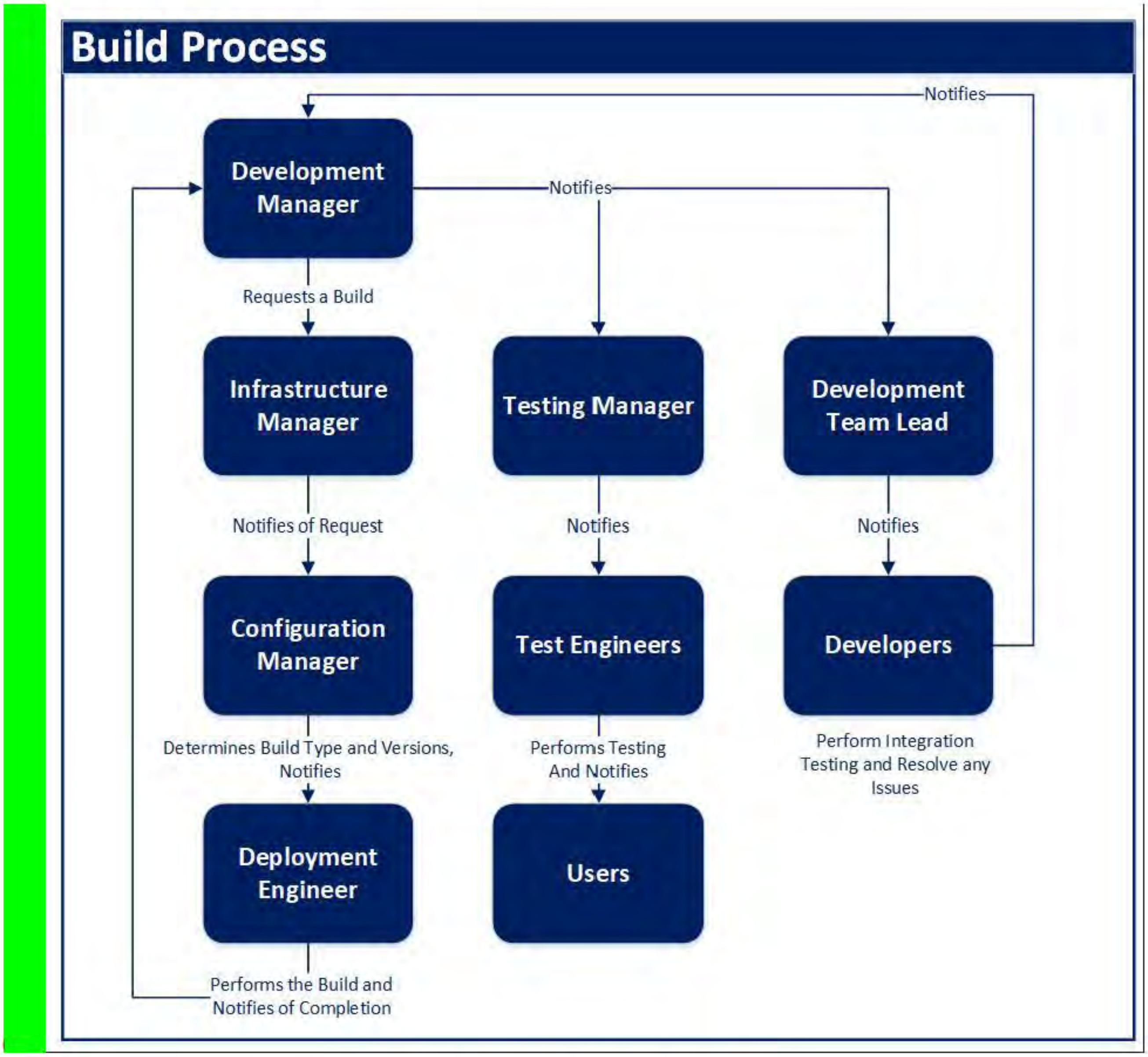

Figure 2: Build Process Flow Diagram

1.3 Tools, Environment, and Infrastructure

1.3.1 Tools

Neosurance's build and deployment process is automated via the Microsoft Team Foundation Server (TFS) where the Neosurance source code resides. TFS manages the development efforts being performed on objects in the system and integrates seamlessly with the .NET architecture and development environment used by the development team. Specific TFS features that are commonly leveraged include check-in policies, check-in and concurrent checkouts of files, branching, merging, shelving, labeling, and associating check-ins with work items. An extensible markup language (XML)-driven build script with pertinent configuration details such as database and LDAP credentials for each environment is used to invoke builds.

1.3.2 Environments

The approaches and methodologies used for the DOES project Post Go Live will include managing code within and between the following technical environments. The System Integration covers propagation of database schema/data and application source code to discrete environments including Development/Integration Testing, System Testing, User Acceptance Testing, and Production.

Environment	Purpose / Descriptions
Development/Integration Testing	• Consists of developer and business analyst workstations that are used in conjunction with TFS and other application-specific servers such as Microsoft Directory Services, batch servers, and a development database server, address validation server and COMPAS server. The development environment allows development collaboration that actually takes place on developer workstations that are pointed to common servers for all non-production environments. • Provides the entire set of business analyst and developer software tools required for creation, edit, and version control of design and development artifacts such as functional requirements, business use cases, source code, and defect tracking.
System Testing	• Consists of Web and Application servers; includes other application-specific servers such as Microsoft Directory Services server, Address Validation server, COMPAS server and a Batch and Reporting server. • Includes FTP for high availability of document management. This environment is used to confirm the application meets business functional requirements. Depending on the specific test activity taking place, this environment is setup to verify and validate the functionality of the application.

Environment	Purpose / Descriptions
User Acceptance Testing (UAT)	• Consists of Web and Application servers load balanced for high availability. It includes other application-specific servers such as a Microsoft Directory Services server, Address Validation server, COMPAS server, FTP server, FTI server, and a Batch and Reporting server. • This environment will be used by the business users to test and verify that the application is designed and developed based on the approved DOES requirements and design.
Staging/Performance Testing	• Consists of Web and Application servers load balanced for the high availability and production load performance of the DOES system. • This environment will be used by the technical staff to test and verify the deployment steps prior to production environment implementation. Additionally, this environment will be used to conduct application performance testing to ensure that the application meets the defined response times. The results of the performance testing will be used to verify the production environment sizing and adjust the sizing, if required.
Conversion	• Consists of Web and Application servers. It includes other application-specific servers such as a Microsoft Directory Services server, Address Validation server, and a Batch and Reporting server. • This environment will be used by the Sagitec and the District technical analyst staff to test and verify the data conversion processes and the application using an unscrambled version of the application data.
Training	• Consists of Web and Application servers. It includes other application-specific servers such as a Microsoft Directory Services server, Address Validation server, COMPAS server and a Batch and Reporting server. • This environment supports training and allows participants to perform hands-on exercises during training delivery. The data in the environment is setup based native data and provides a realistic representation of the actual application environment for the trainees to experience
Production	• Consists of Web and Application servers load balanced for the high availability and production load performance of the DOES system. • Includes Address Validation server, COMPAS server, FTI server; redundant Microsoft Directory Services and FTP servers to provide failover capabilities to meet productions demands during peak loads. This environment serves as the production environment of the UI Tax application

Table 1: Environment Descriptions

1.3.3 Infrastructure

Our build process uses a dedicated build server to perform the build. The build process will connect to the source code repository in the TFS server to execute the process. Once build is complete, the executable is automatically deployed from the build server to application and web servers.

1.4 Build Management Activities

Sagitec follows a strict deployment process that is used to migrate software builds across various environments. In terms of production deployments, there are two types. First is a scheduled production deployment. The scheduled deployment contains many changes based on the previous deployment. The second is a “hotfix deployment” which targets a specific or a small set of time critical changes. These deployment types are described in more detail in this planin Section 1.6.

In terms of an overview, Sagitec will employ the following set of well-defined steps for both data and source code migration. Note that the build and deployment instructions below assume that the Team Foundation Server (TFS) is established and that TFS build is installed on machine(s) to perform application builds.

1) Run the build script that would get a labeled version of the code or latest code from TFS and perform a build.
2) This completes the setup of the build process.
3) Export the various dll files and other compiled artifacts (batch, service and presentation) to network drive path that can be accessed from application and web servers
4) Notify the deployment team on the location and version of the [compiled] files.
5) The deployment team will deploy the application using the deployment procedures described below:
    - Stop the IIS server on the application servers hosting the presentation tier and services tier respectively.
    - Stop the Batch Listener on the application servers hosting the batch tier.
    - Copy the presentation tier compiled files and folders onto the server hosting the presentation tier.
    - Copy the service tier compiled files and folders onto the server hosting the service tier.
    - Copy the batch tier compiled files and folders onto the server hosting the batch tier.
    - Run the copy properties script to copy environment specific properties files (some examples of the properties include URL to SoluSoft, LDAP, deployment region specific database parameters etc.) to the appropriate locations.
    - Start the batch listener on the application server hosting the batch tier
    - Start the IIS server on the application servers hosting the services tier and presentation tier respectively.

New releases will be tested and approved in one environment before propagation to the next, in the following order: Integration Test, System Test, QA/UAT/Performance Testing, Training, and finally to implementation/Production.

- Section 3 System Maintenance and Operations – Process and Procedures
    - DOES Application Deployment Process
    - Pre-Deployment Notification
    - Deployment Preparation
    - Site Takedown and Redirection
    - Database Activity
    - Deployment Processes
        - Automated Deployment Process
        - Manual Deployment Process

- Site Startup
- Smoke Test
- Post-Deployment Notification
- Deployments to other environments

The full details of *PM10 System Maintenance Plan Section 3* are provided as a reference in *Addendum III – System Maintenance and Operations – Process and Procedures*.

1.5 Build Identification

Team Foundation Server assigns a unique identifier to each build. When a complete build is done, TFS marks every file that is a part of the build and labels the build automatically. If a custom build is required with specific files, the Neosurance solution provides the ability to pass the build number for files to picked up and incorporated.

1.6 Build Frequency

Sagitec Framework supports three types of TFS builds:

- **Continuous Integration Process (Build)** - The practice of frequently integrating new or changed code with the existing code repository
- **Iterative Release (Release)** – deploying and testing software builds into a non-production environment (e.g., development/integration test), stabilizing into a final package that is ready for production deployment.
- **Patch Build (Hot Fixes)** - utilized when a critical defect is found in a release, and a code change is required for the release to continue functioning for testing or production purposes.

1.7 Build Directory Structure

Sagitec uses standard publishing method to deploy or distribute C# .Net applications. The application is compiled and published to a folder. Contents of this folder are zipped and copied to the root folder that is mapped to the application pool in IIS server.

Each application is isolated from another deployed in the same environment by application pools in IIS server.

1.8 Build Workspaces

Sagitec Framework supports the use of build workspaces. Workspace is the local copy of code base from a specific branch in Team Foundation Server (TFS) where the code is built and tested in isolation until it is ready to be checked in into TFS.

A separate build server will be dedicated to create workspaces and perform the builds from the workspaces. Code thus built can be promoted for deployment on the server.

1.9 Build Control

Sagitec adapts the configuration of build controllers. Build controller service is dedicated to a single team project collection. The build controller performs the tasks such as determining the name of the build, creating the label in version control, logging notes, and reporting status from the build. The build controller uses the AgentScope activity to delegate processor-intensive work, such as compiling code or running tests, to the build agents within its pool. These build agents can be hosted either on the same build server, or on a different build server. Build Controller can be configured from within Visual Studio or from Team Foundation Administration Console.

Each time a developer checks in code, TFS internally determines a point where it can automatically invoke a build. Such continuous builds catch build failures without waiting on a scheduled build, ensuring stability of the source code within TFS. In addition, TFS can be also be configured to trigger builds at specific intervals (weekly/daily). This is used to continually assess the quality of the build and consistently produce reliable builds.

1.10 Processes to Determine Post Go-Live Release Content

The following steps are used to determine release content:

- The release of new version of application components to the integration/system test regions will be done at an accelerated schedule (once a week) as the project moves into more active testing phase. This will also provide the needed time to release a stable version of the application in each release.
- Emergency releases of the application to the integration/system testing will be performed based on the situation. If a new version of the application is encountering severity 1 level issues (such as an entire module being not functional, users unable to login), a new version of the application which addresses the issue will be released into the integration/system testing region. It is possible, until the issue is addressed, to roll back to the old version of the application. However, it may not always be needed or prudent to roll back given the circumstances. This may be due to the number of database changes already made anticipating the new version of the application or the amount of time needed to fix to the “high severity” issue.
- Defects identified during the testing phase will be addressed based on its priority (critical, high, medium, low) and the availability of staff from the specific module to address them. As the testing moves forward, each release will address defects identified by the testing team and notify the technical manager of the availability of the fix. The technical manager will then determine the appropriate release schedule to move the fix to the integration/system testing regions after considering factors such as related and competing database table changes, data updates or fixes, etc. Once the technical manager identifies the release, the testing coordinator will be notified of the defects that are addressed in each release. It is also possible to prioritize a set of defects to that of building a new functionality, if such change in priority is warranted to move the testing process along in certain critical areas.
- Release of application to the UAT environment will be determined based upon the tested version of the application. In other words, the System Testing region may host a version of the application that is two to three versions newer than the UAT. The project management team and the testing coordinator will determine the appropriate version of the application to release into UAT region based on the stability of the application and the functionality offered by that version.

- Release of the application to the Production region will be done using similar criteria as that of the UAT region release. However, the process will also involve the business user management team, since they will have to manage and provide application and business process related support for the external and internal user community.

3. Release Plan/Roadmap

This section provides an overview of the UITS system functionality that will be developed and implemented in each release, the rationale for each release, as well as the timeline for the releases. For the UITS project, Sagitec will deploy two major releases to UAT. The first release will contain iterations 1-4 and release 2 will include iterations 5-8. The key activities below will be competed for each iteration within a release:

- Conduct Iteration Configuration Session
- Develop/configure Iteration functionality
- System test iteration functionality
- Demonstrate Iteration functionality

Once iterations 1-4 are completed, there will be a pre-UAT for Release 1. The objective of the pre-user acceptance testing is to provide DOES with access to the UITS Tax solution prior to the formal User Acceptance Testing (UAT) session, which is planned to begin in December 2020. Providing users with early exposure increases likelihood of system adoption, design specification confirmation, and early identification of system defects (See Del11 Test Management Plan_Final for more details). Interfaces design and development will span both releases (Interface details will be captured in the Interface SPS and MPP).

3.1. Release 1 Functionality

Release 1 is planned for a four-month duration spanning May 2020 through July 2020. By the end of August 2020, the first iteration of UITS will be released for pre-UAT. The following functionality will be included in the first release. Please note that iteration and release dates are subject to change and will be maintained in Del02_DOES UITS MPP_Final.mpp on SharePoint.

1. **Employer Registration (T01)** - The Employer Registration Module includes functionality to allow Employers to register for an Account and, based on their Liability Determination, be assigned a UI Tax Rate if determined UI Liable. The Employer Registration functionality covers all employment types.
2. **Employer Maintenance (T02) -** The Employer Maintenance Module includes functionality to allow Employers to maintain all account information entered during the general registration process, with the exception of any information which would impact employer liability. This includes Employer Demographic, Contact, Address, and Owner/Officer information. Staff will have additional options to maintain employer accounts, such as assigning notes to an employer account.
3. **Wage Reporting (T03) -** The Wage Reporting Module includes functionality to allow Employers or Agents to submit Wage Detail Reports. The existing wage detail formats will be used by

Agents and Employers to submit wage detail information to the Agency. Upon submission of quarterly reports the System will calculate UI tax due based on the total gross wages reported during the quarterly filing period.

4. **Payments and Refunds (T04) -** The Payments and Refunds module encapsulates the functionality allowing the submission of payments against contribution owed against any UI debt accrued based on wage detail filing. The Payment module will encompass any and all payments made by, or on behalf of, an employer account for which debt is owed to the Agency. Tax refunds encapsulates the functionality allowing for any transaction that results in a net-positive balance on an Employer Account to be credited back to the account in the form of a refund.

3.2. Release 2 Functionality

Release 2 is planned for a four-month duration spanning July 2020 through October 2020. By the start of November 2020, the second release for UITS will be released to UAT. The following functionality is planned for the second release.

Release -2 System Functionality:

1. **General Ledger and Financial Interfaces (T05) -** The Financial Interfaces Module encompasses any and all data-exchanges between UITS and external or intra-agency systems which transact financial or accounting information. The General Ledger Functionality will contain all accounting transactions for UITS business processes, such as, wage and payment transactions.
2. **Tax Collections (T06) -** The Tax Collections Module encapsulates the functionality allowing for the District to recuperate any outstanding amounts owed by an Employer Account based on their UI amounts due or accrued via interest and/or penalties. The module will include details of the means and mechanism of collection, and the establishment of a hierarchy for how collection-payments are applied against amounts due.
3. **Tax Rates and Field Audit (T07) -** The Tax Rates Module encapsulates the functionality allowing for the adjustment of the Assigned Tax Rate for the UI program applied to all UI-Liable Employers. The Field Audit Module encapsulates the functionality allowing users to add UI criteria to targeted audits in addition to the existing unemployment insurance criteria.
4. **Tax Management Reports (T08) -** The Tax Management Reports Module encapsulates the functionality allowing for the on-demand, or scheduled generation of reports related to the UI program at large.

4. Summary

Our release management approach delivers incremental functionality in two releases. It includes the activities and disciplines that enable seamless incremental iteration deployments and configuration changes without disrupting ongoing enterprise operations. Using an iterative development schedule and delivering in increments mitigates the risk inherent in delivering the broad capabilities of a large, complex implementation like the UI Tax System.

Our release plan enables us to demonstrate progress at the earliest possible point in the Project. Additionally, our keen focus on implementing stringent Project controls keeps our Projects on track and on budget, satisfying DOES and its stakeholders. This approach:

- Proactively minimizes the risks associated with evolving requirements; incorporates careful change request management.
- Provides opportunities for DOES to visualize the solution as it evolves to validate that results meet expectations.

The following table highlights some of the best practices that are incorporated into our release plan and approach.

Sagitec's Release Plan and Project Approach Incorporates Best Practices	
Features	**Description and Benefits of Our Release Plan for DOES**
Use an Iterative Design and Development Approach with Two Releases	Our methodology includes an iterative design and development phase to achieve the technical and functional requirements. • Delivers the phased, low-risk implementation required for projects of this scope while also delivering features and functions of the new system incrementally throughout the project. • Includes two UAT releases and multiple iterations so DOES can evaluate and take advantage of results "early and often." This enables us to confirm a fully complete and tested solution for DOES.
Rigorously Trace Requirements Throughout the Project for Each Production Release	A key attribute of our technique for managing requirements is to make them traceable throughout the Project. • With our Requirement Traceability Matrix (RTM), we link requirements to design artifacts • We trace requirements to use case design to make certain the requirements are incorporated into the design. We then trace the design specifications to test scripts, created and executed in the Construction (development/configuration) phase, to confirm the new system provides desired results throughout the development and test activities.
Deploy Working Products for User Testing and Verification "Early and Often" Throughout the Project	• We deploy working products for user validation/confirmation for each iterations to expedite vetting functionality of the new system's features and capabilities as early as possible. • We complete the product configurations for each iteration and confirm that requirements are addressed within each iteration. • We complete the production configuration phase by performing demonstrations of the functionality contained in the interation for user validation/confirmation
Provide a Fully Documented System - Both Technical and Functional	• To develop effective documentation, we leverage our work for each project phase to provide not only training and documentation for end users but also to provide system documentation. • We provide thorough, usable system documentation to help existing and new staff understand how to operate and maintain the new system effectively.

Sagitec's Release Plan and Project Approach Incorporates Best Practices	
Features	**Description and Benefits of Our Release Plan for DOES**
Prioritize Highest Risk Levels First	We work with the DOES team to prioritize iterations and confirm that the highest-level risks are addressed in the initial iterations of the project. • We will collaborate with DOES leadership and resources to define the work to be completed and the risks to be addressed in each iteration.
Adhere to Logical Iteration Cycles	We organize each of our iteration cycles logically into discrete functionality that can be tested and verified independently.

Table 1- Sagitec's Project Release Approach Incorporates Best Practices

Complaint #: ____________________
Assigned To: ____________________
Date Assigned: ____________________

DOES POH 2021 Q59a

ID #:_____/_____
Official Use Only

D.C. OFFICE OF WAGE-HOUR – RETALIATION CLAIM FORM

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED TRANSLATIONS THROUGHOUT YOUR INVESTIGATION?
¿NECESITA TRADUCCIONES A LO LARGO DE SU INVESTIGACIÓN? **YES**/SÍ ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE?__________________
¿CUÁL ES SU IDIOMA PRINCIPAL?__________________

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJA POR SU PROPIA CUENTA? **YES**/SÍ ☐ NO ☐

DO YOU CURRENTLY HAVE A COURT CASE FOR THESE UNPAID WAGES?/
¿TIENE USTED PENDIENTE CASO EN LA CORTE POR SUELDOS NO PAGADOS? **YES**/SÍ ☐ NO ☐

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:

STREET/CALLE: ____________________

CITY/CUIDAD: ____________ **STATE**/ESTADO: ______ **ZIP CODE**/CÓDIGO POSTAL: ____________

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/SU NOMBRE COMPLETO: ____________________

LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SEGURO SOCIAL: ____________

STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: ____________________

CITY/CUIDAD: ____________ **STATE**/ESTADO: ______ **ZIP CODE**/CÓDIGO POSTAL: ____________

DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: ____________________

EMAIL ADDRESS/SU CORREO ELECTRÓNICO: ____________________

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: ____________________

OWNER'S FULL NAME/NOMBRE DEL DUEÑO: ____________________

OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL NEGOCIO: ____________________

BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: ____________________

CITY/CIUDAD: ____________ **STATE**/ESTADO: ______ **ZIP CODE**/CÓDIGO POSTAL: ____________

TYPE OF BUSINESS/TIPO DE NEGOCIO: ____________________

EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR:____________________

IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO EN BANCARROTA? **YES**/SÍ ☐ NO ☐

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/
MARQUE SOLO LA OPCIÓN QUE APLICA A SU SITUACIÓN ACTUAL DE EMPLEO CON ESTA COMPAÑÍA**)**

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $ ________________

PER HOUR?/¿POR HORA? **YES**/SÍ ☐ NO ☐

PER DAY?/¿POR DÍA? **YES**/SÍ ☐ NO ☐

PER WEEK?/¿POR SEMANA? **YES**/SÍ ☐ NO ☐

DATE HIRED/FECHA CONTRATADO:_______-_______-_______

EMPLOYEMENT STATUS/ ESTADO DE EMPLEO:

QUIT (RESIGNATION)/ RENUNCIÓ **YES**/SÍ ☐ NO ☐

IF YES, WHY?/¿SI ES SÍ, PORQUE? ______________________________

QUIT DATE/FECHA DE RENUNCIÓ: _______-_______-_______

TERMINATED/ DESPIDIDO **YES**/SÍ ☐ NO ☐

TERMINATION DATE/FECHA EN QUE FUE DESPIDIDO: _______-_______-_______

IF YES, WHY?/¿SI ES SÍ, PORQUE? ______________________________

STILL EMPLOYED/ USTED EMPLEADO(A) **YES**/SÍ ☐ NO ☐

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: ____________________

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY?/¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

____

WERE YOU HIRED AS AN INDEPENDENT CONTRACTOR?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN CONTRATISTA INDEPENDIENTE? **YES**/SÍ ☐ NO ☐

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: ______________________________

WHAT DAY IS PAYDAY?/¿EL DÍA DE PAGO? **(I.E. FRIDAY/VIERNES)** ______________________________

HOW OFTEN ARE YOU PAID ?/¿CUANTAS VECES? (**CHECK ONE**/MARQUE UNO):

☐ **HOURLY**/CADA HORA ☐ **DAILY**/DIARIO ☐ **WEEKLY**/SEMANAL

☐ **BI-WEEKLY**/ BI-SEMANAL ☐ **SEMI-MONTHLY**/ SEMI-MENSUAL ☐ **MONTHLY** / MENSUAL

WHEN DOES PAY PERIOD END?/ ¿FECHA FINAL DE PAGO?______________________

ARE YOU PAID BY/ PAGAN EN:
☐**CHECK**/CHEQUE ☐**CASH**/ EFECTIVO ☐**DIRECT DEPOSIT**/DEPOSITO DIRECTO ☐ **PAY CARD**/TARJETA DE PAGO

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

____
____
____

(**I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS**/
LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DOES YOUR EMPLOYER KEEP A RECORD OF THE HOURS WORKED?/
¿MANTIENE SU EMPLEADOR UN REGISTRO DE HORAS QUE TRABAJO? **YES**/SI ☐ NO ☐

IF YES, WHAT KIND OF RECORD?/ ¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA? ☐ TIME CARD ☐ TIME SHEET ☐ OTHER ______________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)? **YES**/SÍ ☐ NO ☐
¿TIENE EL EMPLEADOR DEL DEMANDANTE UNA POLÍTICA DE PAGO POR TIEMPO LIBRE?

IF SO, HOW MANY PTO DAYS ____________ SI ES SÍ, CUÁNTOS DÍAS ________________

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN ESTÁ PRESENTANDO

INSTRUCTIONS: GIVE A WRITTEN STATEMENT TO EACH QUESTION. AN INCOMPLETE FORM WILL RESULT IN DELAYS. WHILE IT IS IMPORTANT TO KNOW THE NAMES OF MANAGEMENT INVOLVED, DO NOT INCLUDE THE NAMES OF ANY OF YOUR WITNESSES ON THIS PAGE. INSTRUCCIONES: PRESENTE UNA DECLARACIÓN ESCRITA A CADA PREGUNTA. UN FORMULARIO INCOMPLETO ATRASARA EL PROCESO DE SU DEMANDA. SI BIEN ES IMPORTANTE SABER LOS NOMBRES DE LOS GERENTES GENERALES, NO INCLUYA LOS NOMBRES INCLUYA LOS NOMBRES DE CUALQUIERA DE LOS TESTIGOS EN ESTA PÁGINA.

WHAT CHANGES HAVE OCCURRED AT WORK THAT CAUSED YOU TO MAKE THIS COMPLAINT? /
¿QUÉ CAMBIOS HAN OCURRIDO EN EL TRABAJO QUE LE HA LLEVADO A HACER ESTA DENUCIA?

☐ **TERMINATION**/ TERMINACIÓN ☐ **SUSPENSION** /SUSPENSIÓN ☐ **DEMOTION**/ DESTITUCIÓN

☐ **CHANGE IN HOURS** /CAMBIO DE HORARIO ☐ **CHANGE IN PAY**/ CAMBIO EN EL SALARIO

☐ **DISCIPLINARY ACTION**/ MEDIDAS DISCIPLINARIAS ☐ **WRITTEN WARNING** / ADVERTENCIA POR ESCRITO

☐ **THREAT** / AMENAZA ☐ **TRANSFER** / TRANSFERENCIA ☐ **FORCED TO RESIGN**/ OBLIGADO A RENUNCIAR

☐ **OTHER**/ OTRO: ____

DATE OF CHANGE IN EMPLOYMENT: _______ /_____ /_______ FECHA DEL CAMBIO EN EL EMPLEO: _______ /_____ /_______

NAME(S) OF PERSON(S) CARRYING OUT CHANGE: / NOMBRE(S)DE PERSONA(S) QUE REALIZARON EL CAMBIO:

TITLE:/TITULO: ____________________________

TITLE:/TITULO: ____________________________

TITLE:/TITULO: ____________________________

PLEASE DESCRIBE WHAT HAPPENED? / ¿POR FAVOR DESCRIBA QUE FUE LO QUE PASO?

____

____

____

WHAT REASON DID THE EMPLOYER GIVE FOR YOUR TERMINATION, SUSPENSION, DEMOTION, CHANGE IN HOURS, CHANGE IN PAY AND/OR OTHER? / QUÉ RAZÓN DIO SU EMPLEADOR DAR PARA SU TERMINACIÓN, SUSPENSIÓN, DESTITUCION, CAMBIO DE HORARIO, CAMBIO DE SALARIO Y/U OTROS?

____

THIS PAGE IS CONFIDENTIAL

SECTION 5 WITNESSES /SECCIÓN 5 TESTIGOS

ALL WITNESSES ARE CONFIDENTIAL, AND THE COMPLIANCE SPECIALIST WILL NOT REVEAL THEIR IDENTITIES UNLESS IT BECOMES NECESSARY TO PROCEED WITH THE INVESTIGATION OR TO ENFORCE THE OFFICE OF WAGE-HOUR DETERMINATION. PLEASE LIST ANY WITNESSES TO THE EVENTS DESCRIBED IN QUESTIONS. TODOS LOS TESTIGOS SON CONFIDENCIALES, Y ESTA OFICINA NO REVELAR SU IDENTIDAD A MENOS QUE SEA NECESARIO PARA CONTINUAR CON LA INVESTIGACIÓN O PARA PODER LLEGAR A UNA DETERMINACIÓN POR ESTA OFICINA. POR FAVOR, A CONTINUACIÓN LISTE LOSE TESTIGOS DE LOS ACONTECIMIENTOS.

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____
____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____
____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____
____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____
____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____

SECTION 6 VERIFICATION SHEET/ SECCIÓN 6 HOJA DE VERIFICACIÓN

YOUR CLAIM WILL BE PROCESSED FOR ADMINISTRATIVE ACTION ACCORDING TO DC CODE 32-1308.01. THEREFORE, ADDITIONAL SUPPORTING EVIDENCE MAY BE NEEDED FOR THE OFFICE OF WAGE-HOUR TO BEGIN INVESTIGATING THE MERITS OF YOUR CLAIM.

SU RECLAMO SERÁ PROCESADO PARA ACCIÓN ADMINISTRATIVA DE ACUERDO CON EL CÓDIGO DEL DISTRITO DE COLUMBIA 32-1308.01. POR LO TANTO, ES POSIBLE QUE SE NECESITE EVIDENCIA ADICIONAL PARA QUE LA OFICINA DE SALARIOS Y HORAS DE TRABAJO COMIENCE A INVESTIGAR LOS FUNDAMENTOS DE SU RECLAMO.

UNDER PENALTY OF PERJURY, I SWEAR THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE SALARIOS Y HORAS DE TRABAJO PARA REVELAR TODA LA INFORMACIÓN CONTENIDA EN EL ARCHIVO DEL RECLAMO AL EMPLEADOR, PARA INVESTIGAR EL RECLAMO MÍO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/SU FIRMA: ______________________________ **DATE**/FECHA: ____________________

SIGNATURE REQUIRED / FIRMA REQUERIDA

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INCAPACIDAD A LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR EL FORMULARIO, YO HE IMPRIMIDO ME NOMBRE COMPLETO DEL RECLAMANTE EN LA LÍNEA ASIGNADA.

______________________________ ______________________________ **DATE**/FECHA: ____________________

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE   **PRINT FULL NAME**/IMPRIMA SU NOMBRE COMPLETO

MAIL THIS FORM ALONG WITH SUPPORTING DOCUMENTATION TO (COPIES ONLY)
ENVÍE ESTE FORMULARIO JUNTO CON LA DOCUMENTACIÓN DE RESPALDO A (SOLO COPIAS)

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

CERTIFICATE OF SERVICE

Pursuant to Superior Court Rule 5(b)(2)(C), I HEREBY CERTIFY THAT a true copy of the foregoing

________________________ was mailed, first class, postage prepaid, on __________________, to

________________________________ at the last known address of

____.

(Specify Register Agent Name)
(Name of Company, if applicable)
(Street Address)
(State, City and zip code)

(Name of Person)
(Name of Company, if applicable)
(Street Address)
(State, City and zip code)

(Name of Person)
(Name of Company, if applicable)
(Street Address)
(State, City and zip code)

I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge and belief.

____
(Compliance Specialist Name)
(Compliance Specialist Title)

OR

CERTIFICATE OF SERVICE

Pursuant to Superior Court Rule 5(b)(2)(E), I HEREBY CERTIFY THAT a true copy of the foregoing ________________________ was sent electronically upon written consent, on __________________, to ________________________________ at the provided email address of
____.

(Specify Register Agent Name)
(Name of Company, if applicable)
(Street Address)
(State, City and zip code)

(Name of Person)
(Name of Company, if applicable)
(Street Address)
(State, City and zip code)

(Name of Person)
(Name of Company, if applicable)
(Street Address)
(State, City and zip code)

I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge and belief.

____
(Compliance Specialist Name)
(Compliance Specialist Title)

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Department of Employment Services

MURIEL BOWSER
MAYOR

DR. UNIQUE MORRIS-HUGHES
DIRECTOR

Month xx, 2021

Contact Name
Business Name, LLC
1111 Address ST, NW Suite 100
Washington, DC 200xx

Dear Contact Name,

THIS IS TO ACKNOWLEDGE THAT ***INSERT DOCUMENT NAME*** WAS RECEIVED TODAY IN REGARDS TO: ***INSERT COMPANY NAME.***

____
Print Name and Position

____
Signature

Delivered by: __________________________ Date: _________________

On Behalf Of: ____________________________ Date: _________________
Investigator Name
Wage –Hour Compliance Specialist
Labor Standards Bureau
Office of Wage-Hour

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Department of Employment Services

MURIEL BOWSER
MAYOR

DR. UNIQUE MORRIS-HUGHES
DIRECTOR

NOTICE OF FORMAL PROCESS TO PURSUE YOUR CLAIM WITH THE OFFICE OF WAGE-HOUR (OWH)

The Office of Wage-Hour (OWH) is responsible for the implementation and enforcement of the District of Columbia's wage laws and regulations addressing the payment of minimum wage and overtime compensation, the payment of benefits established by company policy, the timely payment of earned wages and protection from unlawful garnishments. Copies of all laws enforced and administered by OWH may be downloaded at **does.dc.gov**.

Initial Evidence Collection

The first step in the investigative process is the collection of evidence. Each claimant will be required to produce evidence supporting their claims. Relevant evidence shall include, but is not limited to, the following:

- Pay stubs
- Bank records
- The names of witnesses
- Witness statements
- Correspondence sent to you by your employer
- Correspondence which you have sent to your employer

Requests for Additional Information

There may be circumstances which require OWH to request information from you after initial evidence collection is complete. Pursuant to D.C. Official Code 32-1308.01, OWH shall request additional information from the Claimant whenever necessary to:

(A) Amend a charge deemed insufficient;
(B) Cure technical defects or omissions;
(C) Clarify or amplify allegations; or
(D) Ensure that any violations related to or arising out of the subject matter set forth or attempted to be set forth in the original charge are adequately alleged in the complaint.

Notice of Claim

OWH will provide notice of any genuine claim to the appropriate employer as identified through District records. The Notice of Claim shall inform the employer of the following:

- Nature of Claims – The Notice of Claim shall inform the employer of the specific allegations made by the claimant and of the statutes relevant to the claimed violation.
- 20 day Response – After service is proven, the employer is allowed **TWENTY** (20) days to respond by either admitting or denying the claim.

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Department of Employment Services

MURIEL BOWSER
MAYOR

DR. UNIQUE MORRIS-HUGHES
DIRECTOR

If OWH does not issue an Initial Determination within **Sixty** (60) days of initiating an investigation, the claimant may request a hearing before an administrative law judge. The Issuance of the Notice of Claim marks the commencement of OWH's investigation and the 60 day investigatory period.

Initial Determination

Following issuance of the Notice of Claim, OWH will continue to investigate the alleged violations. During this period OWH may request additional information or clarification of facts from you. This stage of the investigation is geared toward arriving at an Initial Determination regarding your claims. An Initial Determination will be made within **SIXTY** (60) days of the issuance of a Notice of Claim. **If an Initial Determination is not issued within 60 days, the claimant may immediately request a hearing before an Administrative Law Judge.** The Initial Determination will contain the following:

- Notice of Right to Hearing – The Initial Determination will include a written notice of the employer's right to a appeal.
- Determination and Order – The Initial Determination will indicate whether a violation has been determined to have occurred and the requirements for cure of the violation.

Appeal or Conciliation

Each party has up to **THIRTY** (30) days after issuance of an Initial Determination to request a hearing before an Administrative Law Judge of the Office of Administrative Hearings.

- Alternatively the Office of Wage and Hour may work with the parties to mediate a conciliation agreement in settlement of the claims.

Signature of Claimant: ___________________________ Date: ___________________________________

GOVERNMENT OF THE DISTRICT OF COLUMBIA

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Anuncio del proceso formal para realizar su reclamo con la Oficina de Salarios y Horas de Trabajo (OWH)

La Oficina de Salario y Horas de Trabajo (OWH, por sus siglas en inglés) es responsable de la implementación y cumplimiento de las leyes y regulaciones salariales del Distrito de Columbia relacionadas con el pago del salario mínimo y la compensación de horas extras; el pago de beneficios establecidos por la política de la compañía, el pago puntual de salarios ganados y la protección contra embargos ilegales. Copias de todas las leyes aplicadas y administradas por la OWH pueden descargarse en does.dc.gov.

Colección de la evidencia inicial

El primer paso en el proceso de investigación es la recopilación de pruebas. Se requerirá que cada demandante presente pruebas que respalden sus reclamos. La evidencia relevante debe incluir, pero no se limita a, lo siguiente:

- Talonarios de pago
- Registros bancarios
- Nombres de los testigos
- Declaraciones de los testigos
- Correspondencia enviada por su empleador
- Correspondencia que usted ha enviado a su empleador

Solicitudes de información adicional

Puede haber circunstancias que requieran que la OWH le solicite información adicional, una vez se haya completado la recopilación de evidencia inicial. De conformidad con el *D.C. Official Code* 32-1308.01, la OWH solicitará información adicional al demandante cuando sea necesario para:

(A) Modificar un cargo considerado insuficiente;
(B) Arreglar defectos u omisiones técnicas;
(C) Aclarar o ampliar las acusaciones; o
(D) Asegurar que cualquier violación relacionada con o que surja del tema expuesto o intentado establecer en el cargo original sea adecuadamente alegada en la queja.

Notificación de reclamo

La OWH notificará cualquier reclamo justificado al empleador apropiado según se identifica a través de los registros del Distrito. La notificación de reclamación informará al empleador de lo siguiente:

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DIRECTOR

- Naturaleza de las reclamaciones – La notificación de reclamación informará al empleador de las alegaciones específicas formuladas por el reclamante y de los estatutos pertinentes a la violación reclamada.
- Respuesta de 20 días - Después de haberse enviado la notificación, se le permite al empleador VEINTE (20) días para responder admitiendo o denegando el reclamo.

Si la OWH no emite una determinación inicial dentro de los sesenta (60) días posteriores a iniciar una investigación, el reclamante puede solicitar una audiencia ante un juez de derecho administrativo. La emisión de la notificación de reclamación marca el comienzo de la investigación de la OWH y el período de investigación de 60 días.

Determinación inicial

Luego de la emisión de la notificación de reclamación, la OWH continuará investigando las presuntas violaciones. Durante este período, la OWH puede solicitarle información adicional o aclaración de hechos. Esta etapa de la investigación está orientada a llegar a una determinación inicial con respecto a sus reclamos. Se realizará una determinación inicial dentro de los SESENTA (60) días posteriores a la emisión de una notificación de reclamación. Si no se emite una determinación inicial dentro de los 60 días, el reclamante puede solicitar de inmediato una audiencia ante un juez de derecho administrativo. La determinación inicial contendrá lo siguiente:

- Aviso de derecho a audiencia - La determinación inicial incluirá un aviso por escrito del derecho del empleador a presentar una apelación.
- Determinación y orden - La determinación inicial indicará si se ha encontrado que se ha producido una infracción y los requisitos para la resolver la infracción.

Apelación o conciliación

Cada parte tiene hasta TREINTA (30) días después de la emisión de una determinación inicial para solicitar una audiencia ante un juez de derecho administrativo de la Oficina de Audiencias Administrativas (OHA, por sus siglas en inglés).

- Continuamente, la Oficina de Salarios y Horas de Trabajo puede trabajar con las partes para mediar en un acuerdo de conciliación en la resolución de los reclamos.

Firma del reclamante: ______________________________ Fecha: ______________________

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DIRECTOR

Date

REQUEST FOR ADDITIONAL INFORMATION

Claim Number: 18-XX-##

Claimant Name
Address
Washington, DC 20000

Dear **Claimant Name**:

In connection with an investigation of **COMPANY** to determine compliance with the District of Columbia wage and hour laws, it is necessary to secure additional information about your employment with the company.

Our records indicate that you filed a claim on **DATE,** but have failed to provide supporting documents. Failure to provide the requested documents within seven (7) days of receipt of this notice, or by no later than **DATE**, will result in your claim being closed.

Sincerely,

Your Name

Your Name
Wage-Hour Compliance Specialist

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Department of Employment Services

MURIEL BOWSER
MAYOR

DR. UNIQUE MORRIS-HUGHES
DIRECTOR

<<Current Date>>

NOTICE OF MISSING INFORMATION NEEDED TO PROCESS YOUR CLAIM

Dear Sir/Madame:

The Office of Wage-Hour has received the form in reference to the claim or complaint that you filed against <<Business Name>>.

In order to process the claim, this office is contacting you for the following reason(s):

- ☐ We need another document that we have included in this envelope. **Please fill it out and include the dates and hours that you worked; the salary that you earned before the employment terminated; the first and last name of the owner or supervisor; the telephone number; and a complete address where we can contact the company, and return it in the enclosed envelope.**

- ☐ We need evidence that will prove your claim/complaint. Please mail us photocopies of the paystubs that you received during your employment using the enclosed envelope.

- ☐ We need the Notice of Hire document. If your employer did not provide you this document, please inform us.

- ☐ The form that we received lacks information. Please call the office on (202) 671-1880 between the hours of 8:30 a.m. to 4:30 p.m., Monday through Friday. The office is closed on holidays.

Thank you for your attention.

Sincerely,

Office of Wage-Hour

Enclosure

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Department of Employment Services

MURIEL BOWSER
MAYOR

DR. UNIQUE MORRIS-HUGHES
DIRECTOR

Current Date

INITIAL DETERMINATION

Claim Number: XX-XX-XXX

COMPLAINANT	**RESPONDENT**
(Name of Complainant)	(Name of company) (Address of company)

The Office of Wage-Hour (OWH) has completed an investigation of the unpaid wages alleged to be due to from**.** while performing work in the District of Columbia.

Summary of Evidence

The Office of Wage-Hour (OWH) received a complaint from COMPLAINANT alleging *(brief explanation of complaint including dates of pay records, time sheets, etc. provided by the complainant)*

(*RESPONDENT NAME)* submitted *(brief explanation of documents provided by the respondent and, why it is relevant; If respondent did not respond, please explain that no response was received and how many days have passed since notice was given)*

Findings of Fact

The OWH reviewed all documents submitted by both parties. From the review, it has been determined (*detailed explanation of **FACTS** learned from reviewing documents and having discussions with both parties)*

Conclusions of Law

In accordance with the provisions of the *WAGE THEFT PREVENTION AMENDMENT ACT OF 2014 (the Act),* the OWH has concluded that the company is in Violation of the (please include a reference to the provision/sections of the specific laws violated). (EXAMPLES

1. DC Code 32-1307: by not providing (CLAIMANT NAEM) with payment of his/her earned wages not later than the working day following his/her discharge (*INSERT DATE*) as required in 32-1303(1).
2. DC Code 32-1011(d)(1)(c): by not providing proof of time and payroll records for the period investigated.
3. DC Code 32-1011(d)(1)(d): by not timely responding to the Notice of Initial Claim and allowing the OWH to investigate the complaint.

4. DC Code 32-1011(d)(1)(e): by not providing the complainant with a written employment notice as required by 32-1008(c).

-OR-

In accordance with the provisions of the *WAGE THEFT PREVENTION AMENDMENT ACT OF 2014 (the Act),* the OWH has concluded that the company is not in Violation of the (please include a reference to the provision/sections of the specific laws that respondent is compliant with***)***

Requirements for Relief (*Include this section only if the Determination is in favor of the complainant*)
(*RESPONDENT NAME*) must provide relief to COMPLAINANT including the payment of back wages totaling of $_______ and liquidated damages totaling $_______.
Also, the company should cure all violations noted in the Conclusion of Law section and is being assessed a total penalty of $_____ . ***(see attached computation)***

Provide a check or money order with an itemized statement to the Office of Wage-Hour BY **XX/XX/XXX**. Make back wages and damages check payable to COMPLAINANT and penalty check payable to the DC Treasurer. Deliver to the **D.C. Department of Employment Services, Office of Wage-Hour, 4058 Minnesota Avenue, NE., Suite 3600, Washington, D.C. 20019.**

Appeal Procedures

If the losing party contests the findings or requirements for relief in this Initial Determination, then they have two options for appeal.

1. Contact the Office of Wage Hour immediately to request conciliation. Pursuant to *DCMR § 32-1308.01. (d)(1) The mayor shall work with the parties in attempt to conciliate. Any conciliation agreement shall be between the respondent and the complainant and shall be reduced to an administrative order requiring the respondent to pay any unpaid wages, compensation, liquidated damages, and fine or penalty owed and requiring the respondent to cure any violations.*

2. Contact the Office of Administrative Hearings within 30 days of receiving this Initial Determination and the attached Final Notice of Right to Formal Hearing. The request form shall be delivered directly to the Office of Administrative Hearings and a copy shall be provided to the Office of Wage-Hour.

Final Administrative Order

Pursuant to *DCMR § 32-1308.01. (c)(10)(B) If a party does not timely file for a formal hearing before an administrative law judge, this initial determination shall be deemed a "Final Administrative Order" and shall be enforceable in the Superior Court of the District of Columbia.*

Sincerely,

____

(Compliance Specialist Name)
Wage-Hour Specialist

ATTACHMENTS:

- Computation of Wages, Damages and Penalties
- Notice of Right to File for Formal Hearing
- Formal Hearing Request Form

CERTIFICATE OF SERVICE

Pursuant to Superior Court Rule 5(b)(2)(C), I HEREBY CERTIFY THAT a true copy of the foregoing ________________________ was mailed, certified, postage prepaid, on __________________, to ________________________________ at the last known address of ____. I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge and belief.

COMPLAINANT:
NAME
Street
City, State zipcode
email: **name@email.com**

RESPONDENT:
NAME
COMPANY NAME
Street
City, State zipcode
email: **name@email.com**

COMPANY NAME **Registered Agent:**
COMPANY NAME
Street
City, State zipcode
email: **name@email.com**

I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge and belief.

____
Name
Title

____

CERTIFICATE OF SERVICE

Pursuant to Superior Court Rule 5(b)(2)(E), I HEREBY CERTIFY THAT a true copy of the foregoing ________________________ was sent electronically upon written consent, on __________________, to ________________________________ at the provided email address of ____. I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge and belief.

____
Name
Title

COMPLAINANT:
NAME
Street
City, State zipcode
email: **name@email.com**

RESPONDENT:
NAME
COMPANY NAME
Street
City, State zipcode
email: **name@email.com**

COMPANY NAME **Registered Agent:**
COMPANY NAME
Street
City, State zipcode
email: **name@email.com**

I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge and belief.

____
Name
Title

Complaint #: 20RET 11
Assigned To: ____
Date Assigned: ____

DOES POH 2021 Q70

ID #: ___/___
Official Use Only

D.C. OFFICE OF WAGE-HOUR – RETALIATION CLAIM FORM

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED TRANSLATIONS THROUGHOUT YOUR INVESTIGATION?
¿NECESITA TRADUCCIONES A LO LARGO DE SU INVESTIGACION? YES/SÍ ☐ NO ☑

WHAT IS YOUR PRIMARY LANGUAGE? ENGLISH
¿CUÁL ES SU IDIOMA PRINCIPAL? ____

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJA POR SU PROPIA CUENTA? YES/SÍ ☐ NO ☑

DO YOU CURRENTLY HAVE A COURT CASE FOR THESE UNPAID WAGES?/
¿TIENE USTED PENDIENTE CASO EN LA CORTE POR SUELDOS NO PAGADOS? YES/SÍ ☐ NO ☑

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:

STREET/CALLE: [redacted]

CITY/CUIDAD: WASHINGTON STATE/ESTADO: D.C. ZIP CODE/CÓDIGO POSTAL: 20019

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/SU NOMBRE COMPLETO: [redacted]

LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SEGURO SOCIAL: [redacted]

STREET ADDRESS/DIRECCIÓN DE DOMICILIO: [redacted]

CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]

DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]

EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: DOWNTOWN FITNESS (DBA) MINT GYM

OWNER'S FULL NAME/NOMBRE DEL DUEÑO: MELISSA & PATRICK JOHN

OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL NEGOCIO: (202) 470-5238

BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 1724 CALIFORNIA ST NW

CITY/CIUDAD: WASHINGTON STATE/ESTADO: TX ZIP CODE/CÓDIGO POSTAL: 20009

TYPE OF BUSINESS/TIPO DE NEGOCIO: FITNESS GYM

EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: MZjmint @ gmail com

IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO EN BANCARROTA? YES/SÍ ☐ NO ☑

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/
MARQUE SOLO LA OPCIÓN QUE APLICA A SU SITUACIÓN ACTUAL DE EMPLEO CON ESTA COMPAÑÍA)

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $ [redacted]

PER HOUR?/¿POR HORA? YES/SÍ ☑ NO ☐

PER DAY?/¿POR DÍA? YES/SÍ ☐ NO ☐

PER WEEK?/¿POR SEMANA? YES/SÍ ☐ NO ☐

DATE HIRED/FECHA CONTRATADO: [redacted] 2019

EMPLOYEMENT STATUS/ ESTADO DE EMPLEO:

QUIT (RESIGNATION)/ RENUNCIÓ YES/SÍ ☐ NO ☑

IF YES, WHY?/¿SI ES SÍ, PORQUE? ______

QUIT DATE/FECHA DE RENUNCIÓ: ___ - ___ - ___

TERMINATED/ DESPIDIDO YES/SÍ ☑ NO ☐

TERMINATION DATE/FECHA EN QUE FUE DESPIDIDO: ___ - ___ - ___

IF YES, WHY?/¿SI ES SÍ, PORQUE? ______

STILL EMPLOYED/ USTED EMPLEADO(A) YES/SÍ ☐ NO ☑

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: [redacted] 2019

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY?/¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

[redacted]

WERE YOU HIRED AS AN INDEPENDENT CONTRACTOR?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN CONTRATISTA INDEPENDIENTE? YES/SÍ ☐ NO ☑

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: BEESNI MALDONADO

WHAT DAY IS PAYDAY?/¿EL DÍA DE PAGO? **(I.E. FRIDAY/VIERNES)** 14TH & 27TH

HOW OFTEN ARE YOU PAID ?/¿CUANTAS VECES? (CHECK ONE/MARQUE UNO):

☐ **HOURLY**/CADA HORA ☐ **DAILY**/DIARIO ☐ **WEEKLY**/SEMANAL

☐ **BI-WEEKLY**/ BI-SEMANAL ☑ **SEMI-MONTHLY**/ SEMI-MENSUAL ☐ **MONTHLY** / MENSUAL

WHEN DOES PAY PERIOD END?/ ¿FECHA FINAL DE PAGO? EVERY 14 or 15 DAYS

ARE YOU PAID BY/ PAGAN EN:

☑ **CHECK**/CHEQUE ☐ **CASH**/ EFECTIVO ☐ **DIRECT DEPOSIT**/DEPOSITO DIRECTO ☐ **PAY CARD**/TARJETA DE PAGO

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

[redacted]

(I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/
LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DOES YOUR EMPLOYER KEEP A RECORD OF THE HOURS WORKED?/
¿MANTIENE SU EMPLEADOR UN REGISTRO DE HORAS QUE TRABAJO? YES/SI ☑ NO ☐

IF YES, WHAT KIND OF RECORD?/ ¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA? ☐ TIME CARD ☐ TIME SHEET ☑ OTHER DIGITAL RECORDS

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)? YES/SÍ ☐ NO ☑
¿TIENE EL EMPLEADOR DEL DEMANDANTE UNA POLÍTICA DE PAGO POR TIEMPO LIBRE?

IF SO, HOW MANY PTO DAYS ________ SI ES SI, CUANTOS DIAS ________

SECTION 4. TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN ESTÁ PRESENTANDO

INSTRUCTIONS: GIVE A WRITTEN STATEMENT TO EACH QUESTION. AN INCOMPLETE FORM WILL RESULT IN DELAYS. **WHILE IT IS IMPORTANT TO KNOW THE NAMES OF MANAGEMENT INVOLVED, DO NOT INCLUDE THE NAMES OF ANY OF YOUR WITNESSES ON THIS PAGE.** INSTRUCCIONES: PRESENTE UNA DECLARACIÓN ESCRITA A CADA PREGUNTA. UN FORMULARIO INCOMPLETO ATRASARA EL PROCESO DE SU DEMANDA. SI BIEN ES IMPORTANTE SABER LOS NOMBRES DE LOS GERENTES GENERALES, NO INCLUYA LOS NOMBRES INCLUYA LOS NOMBRES DE CUALQUIERA DE LOS TESTIGOS EN ESTA PÁGINA.

WHAT CHANGES HAVE OCCURRED AT WORK THAT CAUSED YOU TO MAKE THIS COMPLAINT? / ¿QUÉ CAMBIOS HAN OCURRIDO EN EL TRABAJO QUE LE HA LLEVADO A HACER ESTA DENUCIA?

☑ TERMINATION/ TERMINACIÓN ☐ SUSPENSION /SUSPENSIÓN ☐ DEMOTION/ DESTITUCIÓN

☑ CHANGE IN HOURS /CAMBIO DE HORARIO ☐ CHANGE IN PAY/ CAMBIO EN EL SALARIO

☐ DISCIPLINARY ACTION/ MEDIDAS DISCIPLINARIAS ☐ WRITTEN WARNING / ADVERTENCIA POR ESCRITO

☐ THREAT / AMENAZA ☐ TRANSFER / TRANSFERENCIA ☐ FORCED TO RESIGN/ OBLIGADO A RENUNCIAR

☐ OTHER/ OTRO: ________

DATE OF CHANGE IN EMPLOYMENT: [redacted] 2017 FECHA DEL CAMBIO EN EL EMPLEO: ____/____/____

NAME(S) OF PERSON(S) CARRYING OUT CHANGE: / NOMBRE(S)DE PERSONA(S) QUE REALIZARON EL CAMBIO:

TITLE:/TITULO: MELISSA JOHN

TITLE:/TITULO: PATRICK JOHN

TITLE:/TITULO: BRESNI MALDONADO

PLEASE DESCRIBE WHAT HAPPENED? / ¿POR FAVOR DESCRIBA QUE FUE LO QUE PASO?

[redacted]

WHAT REASON DID THE EMPLOYER GIVE FOR YOUR TERMINATION, SUSPENSION, DEMOTION, CHANGE IN HOURS, CHANGE IN PAY AND/OR OTHER? / QUÉ RAZÓN DIO SU EMPLEADOR DAR PARA SU TERMINACIÓN, SUSPENSIÓN, DESTITUCION, CAMBIO DE HORARIO, CAMBIO DE SALARIO Y/U OTROS?

[redacted]

THIS PAGE IS CONFIDENTIAL

SECTION 5 WITNESSES /SECCIÓN 5 TESTIGOS

ALL WITNESSES ARE CONFIDENTIAL, AND THE COMPLIANCE SPECIALIST WILL NOT REVEAL THEIR IDENTITIES UNLESS IT BECOMES NECESSARY TO PROCEED WITH THE INVESTIGATION OR TO ENFORCE THE OFFICE OF LABOR LAW AND ENFORCEMENT DETERMINATION. PLEASE LIST ANY WITNESSES TO THE EVENTS DESCRIBED IN QUESTIONS. TODOS LOS TESTIGOS SON CONFIDENCIALES, Y ESTA OFICINA NO REVELAR SU IDENTIDAD A MENOS QUE SEA NECESARIO PARA CONTINUAR CON LA INVESTIGACIÓN O PARA PODER LLEGAR A UNA DETERMINACIÓN POR ESTA OFICINA. POR FAVOR, A CONTINUACIÓN LISTE LOSE TESTIGOS DE LOS ACONTECIMIENTOS.

[redacted]

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____
____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____
____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____
____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:
____

Section 6 Verification Sheet / Sección 6 Hoja De verificación

BE ADVISED THAT YOUR CLAIM WILL NOT BE PROCESSED IF ANY OF THE ABOVE REQUIRED SECTIONS ARE INCOMPLETE OR IF YOUR CLAIM IS NOT ACCOMPANIED BY THE NOTARIZED ASSIGNMENT FORM. THE OFFICE OF LABOR LAW AND ENFORCEMENT WILL INVESTIGATE THE MERITS OF YOUR CLAIM.

LE INFORMAMOS QUE SUS RECLAMO NO SERÁ PROCESADO SI CUALQUIERA DE LAS SECCIONES NECESARIAS ESTAN INCOMPLETAS O SI EL FORMULARIO DE RECLAMO NO ES NOTARIZADO. DICHA OFICINA INVESTIGARA LOS MÉRITOS DE SU DEMANDA.

UNDER PENALTY OF PERJURY, I SWEAR THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE OFFICE OF LABOR LAW AND ENFORCEMENT TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE IMPLEMENTACION DE LEYES LABORALES PARA REVELAR TODA LA INFORMACIÓN CONTENIDA EN EL ARCHIVO DEL RECLAMO AL EMPLEADOR, PARA INVESTIGAR EL RECLAMO MÍO Y TOMAR [redacted]DEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/SU FIRMA: [redacted] DATE/FECHA: [redacted]

SIGNATURE REQUIRED / FIRMA REQUERIDA

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INCAPACIDAD A LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR EL FORMULARIO, YO HE IMPRIMIDO ME NOMBRE COMPLETO DEL RECLAMANTE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ______ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ______ DATE/FECHA: ______

MAIL THIS FORM ALONG WITH THE NOTARIZED ASSIGNMENT TO (ORIGINALS ONLY)
ENVIE ESTE FORMULARIO POR CORREO, JUNTO CON LA SOLICITUD ASIGNADA NOTARIZADA (SOLO ORIGINALES):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20-ASSLA-4
Assigned To: ____________
Date Assigned: ____________

DOES POH 2021 Q70

ID #: ____ / ____
Official Use Only

D.C. OFFICE OF WAGE-HOUR
ACCRUED SICK AND SAFE LEAVE WAGE CLAIM

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED TRANSLATIONS THROUGHOUT YOUR INVESTIGATION?
¿NECESITA TRADUCCIONES A LO LARGO DE SU INVESTIGACIÓN? YES/SÍ ☐ NO ☑

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL? ____________

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJA POR SU PROPIA CUENTA? YES/SÍ ☐ NO ☑

DO YOU CURRENTLY HAVE A COURT CASE FOR THESE UNPAID WAGES?/
¿TIENE USTED PENDIENTE CASO EN LA CORTE POR SUELDOS NO PAGADOS? YES/SÍ ☐ NO ☑

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:
STREET/CALLE: [redacted]
CITY/CUIDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20019

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/SU NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIO: [redacted]
CITY/CUIDAD [redacted] STATE/ESTAD[redacted] ZIP CODE/CÓDIGO POSTAL [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: Taxi Transportation
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: Jerry Schaeffer
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL NEGOCIO: 202-398-0526
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 3399 Benning Road NE
CITY/CIUDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20019
TYPE OF BUSINESS/TIPO DE NEGOCIO: Transportation (Taxi)
EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: N/A
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO EN BANCARROTA? YES/SÍ ☐ NO ☑

OWH_ASSLA_Cl_Form Rev 05/17

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/ MARQUE SOLO LA OPCIÓN QUE APLICA A SU SITUACIÓN ACTUAL DE EMPLEO CON ESTA COMPAÑÍA**)**

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: [redacted]

PER HOUR?/¿POR HORA? **YES**/SÍ ☑ NO ☐

PER DAY?/¿POR DÍA? **YES**/SÍ ☐ NO ☐

PER WEEK?/¿POR SEMANA? **YES**/SÍ ☐ NO ☐

DATE HIRED/FECHA CONTRATADO [redacted] 19

EMPLOYEMENT STATUS/ ESTADO DE EMPLEO:

QUIT **(RESIGNATION)**/ RENUNCIÓ **YES**/SÍ ☑ NO ☐

IF YES, WHY?/¿ SI ES SÍ, PORQUE? [redacted]

QUIT DATE/FECHA DE RENUNCIÓ: [redacted] 2020

TERMINATED/ DESPIDIDO **YES**/SÍ ☐ NO ☐

TERMINATION DATE/FECHA EN QUE FUE DESPIDIDO: ____ - ____ - ____

IF YES, WHY?/¿SI ES SÍ, PORQUE? ____________________

STILL EMPLOYED/ USTED EMPLEADO(A) **YES**/SÍ ☐ NO ☐

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: [redacted] 2020

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY?/¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

[redacted]

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO? ____________________

(**I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS**/ LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

[redacted]

DO YOU EVER WORK A DIFFERENT SCHEDULE THAN THE ONE LISTED ABOVE?/
¿TRABAJA EN UN HORARIO DIFERENTE AL QUE MENCIONADO ANTERIORMENTE? **YES**/SÍ ☐ NO ☑

IF YES, LIST THE ALTERNATIVE WORK SCHEDULE/ SI ES SÍ, INDIQUE EL HORARIO DE TRABAJO ALTERNATIVO

N/A

SECTION 6 VERIFICATION SHEET/ SECCIÓN 6 HOJA DE VERIFICACIÓN

BE ADVISED THAT YOUR CLAIM WILL NOT BE PROCESSED IF ANY OF THE ABOVE REQUIRED SECTIONS ARE INCOMPLETE OR IF YOUR CLAIM IS NOT ACCOMPANIED BY THE NOTARIZED ASSIGNMENT FORM. THE OFFICE OF WAGE-HOUR WILL INVESTIGATE THE MERITS OF YOUR CLAIM.

LE INFORMAMOS QUE SUS RECLAMO NO SERÁ PROCESADO SI CUALQUIERA DE LAS SECCIONES NECESARIAS ESTAN INCOMPLETAS O SI EL FORMULARIO DE RECLAMO NO ES NOTARIZADO. DICHA OFICINA INVESTIGARA LOS MÉRITOS DE SU DEMANDA.

UNDER PENALTY OF PERJURY, I SWEAR THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A OFICINA DE IMPLEMENTACION DE LEYES LABORALES PARA REVELAR TODA LA INFORMACIÓN CONTENIDA EN EL ARCHIVO DEL RECLAMO AL EMPLEADOR, PARA INVESTIGAR EL RECLAMO MÍO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PARA RESOLVER EL RECLAMO.

SIGNATURE/SU FIRM[redacted] DATE/FECHA: [redacted]

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

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______________________ ______________________ DATE/FECHA: ______________

SIGNATURE OF ASSISTANT (FIRMA DEL ASISTENTE) PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO

MAIL THIS FORM ALONG WITH THE NOTARIZED ASSIGNMENT TO (ORIGINALS ONLY)
ENVIE ESTE FORMULARIO POR CORREO, JUNTO CON LA SOLICITUD ASIGNADA NOTARIZADA (SOLO ORIGINALES):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Section 4 The Dates Unpaid Leave /Sección 4 Las Fechas Sin Sueldo

List the dates unpaid leave was requested and denied-unpaid/Hours/Rate of Pay/Amount claimed:
Haga una lista de las fechas fue solicitado y negado – sin pagar sin sueldo/ Horas/ Tasa de pago/ Cantidad de reclamo

Dates Unpaid Leave Taken Fechas sin sueldo	Number of Hours Numero de horas	Rate of Pay Tasa de pago	Amount Claimed Cantidad de reclamo
[redacted] 2020	[redacted]	[redacted]	$ [redacted]
2020			$
			$
			$
			$
			$
			$

Total Amount Claimed/Cantidad Total De Reclamo $ [redacted]

Section 5 Records and Policy Information/Sección 5 Información del Registros y Política

Does your employer keep a record of the hours worked?/
¿Mantiene su empleador un registro de horas que trabajo? Yes/Sí ☑ No ☐

If yes, what kind of record?/ ¿Si es sí, qué tipo de registro era? ☑ Time card ☐ Time sheet ☐ Other ____________

How did you notify your employer that you wanted to be paid sick leave?/
[redacted]

If denied, what reason did your employer provide?/ [redacted]
¿Si se le negó, qué razón proporcionó su empleador?
[redacted]

Do you have a copy of this leave slip?/
¿Usted tiene una copia de su formulario de petición de día de enfermedad? Yes/Sí ☐ No ☒

Does your employer have a sick leave policy?
¿Tiene el empleador del demandante una política de pago por tiempo libre? Yes/Sí ☐ No ☒

If so can you provide a copy of the policy?/
¿Si es sí, puede usted proveer una copia de dicha política? Yes/Sí ☐ No ☒

Have you used any sick leave since being employed with this employer?/
¿Has usado tiempo de enfermedad desde que fue empleado con este empleador? Yes/Sí ☐ No ☒

If yes, list the dates you used sick leave: N/A
¿Si es sí, puede usted proveer una copia de dicha política?

Have you used any vacation leave since being employed with this employer?/
¿Has utilizado algun dia de vacación desde que se empleó con este empleador? Yes/Sí ☐ No ☒

If yes, list the dates you took vacation/ Si es sí, liste las fechas que tomó vacaciónes: ____________

Complaint #: 20-RET-7
Assigned To: ______
Date Assigned: ______

DOES POH 2021 Q70

ID #: ____ / ____
Official Use Only

D.C. OFFICE OF WAGE-HOUR – RETALIATION / WAGE TRANSPARENCY CLAIM FORM

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED TRANSLATIONS THROUGHOUT YOUR INVESTIGATION?
¿NECESITA TRADUCCIONES A LO LARGO DE SU INVESTIGACIÓN? YES/SÍ ☐ NO ☒

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL?

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJA POR SU PROPIA CUENTA? YES/SÍ ☐ NO ☒

DO YOU CURRENTLY HAVE A COURT CASE FOR THESE UNPAID WAGES?/
¿TIENE USTED PENDIENTE CASO EN LA CORTE POR SUELDOS NO PAGADOS? YES/SÍ ☐ NO ☒

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:

STREET/CALLE: [redacted]

CITY/CUIDAD: WASH STATE/ESTADO: DC. ZIP CODE/CÓDIGO POSTAL: 20019

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/SU NOMBRE COMPLETO: [redacted]

LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SEGURO SOCIAL: [redacted]

STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]

CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]

DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]

EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: The MARY ELIZABETh House – TMEH

OWNER'S FULL NAME/NOMBRE DEL DUEÑO: DR. CAROlyn Graham

OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL NEGOCIO: 202/ 827-8854

BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 210 55th St, NE

CITY/CIUDAD: Washington STATE/ESTADO: DC. ZIP CODE/CÓDIGO POSTAL: 20019

TYPE OF BUSINESS/TIPO DE NEGOCIO: Child & Family Services – Housing

EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: cgraham@elizabethmary.org

IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO EN BANCARROTA? YES/SÍ ☐ NO ☒

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/ MARQUE SOLO LA OPCIÓN QUE APLICA A SU SITUACIÓN ACTUAL DE EMPLEO CON ESTA COMPAÑÍA)

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $ [redacted]

PER HOUR?/¿POR HORA? YES/SÍ ☒ NO ☐

PER DAY?/¿POR DÍA? YES/SÍ ☐ NO ☐

PER WEEK?/¿POR SEMANA? YES/SÍ ☐ NO ☐

DATE HIRED/FECHA CONTRATADO [redacted] 2017

EMPLOYEMENT STATUS/ ESTADO DE EMPLEO:

QUIT (RESIGNATION)/ RENUNCIÓ YES/SÍ ☐ NO ☐

IF YES, WHY?/¿SI ES SÍ, PORQUE?

QUIT DATE/FECHA DE RENUNCIÓ:

TERMINATED/ DESPIDIDO YES/SÍ ☒ NO ☐

TERMINATION DATE/FECHA EN QUE FUE DESPIDIDO: [redacted] 2019

IF YES, WHY?/¿SI ES SÍ, PORQUE? [redacted]

STILL EMPLOYED/ USTED EMPLEADO(A) YES/SÍ ☒ NO ☐

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: [redacted] 2019

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY?/¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

[redacted]

WERE YOU HIRED AS AN INDEPENDENT CONTRACTOR?/ ¿SE CONTRATÓ PARA TRABAJAR COMO UN CONTRATISTA INDEPENDIENTE? YES/SÍ ☐ NO ☒

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: ~~Dr~~ VIRGINIA HENDERSON

WHAT DAY IS PAYDAY?/¿EL DÍA DE PAGO? (I.E. FRIDAY/VIERNES) Bi-weekly FRIDAY

HOW OFTEN ARE YOU PAID ?/¿CUANTAS VECES? (CHECK ONE/MARQUE UNO):

☐ HOURLY/CADA HORA ☐ DAILY/DIARIO ☐ WEEKLY/SEMANAL

☒ BI-WEEKLY/ BI-SEMANAL ☐ SEMI-MONTHLY/ SEMI-MENSUAL ☐ MONTHLY / MENSUAL

WHEN DOES PAY PERIOD END?/ ¿FECHA FINAL DE PAGO? thurs to thurs

ARE YOU PAID BY/ PAGAN EN:

☒ CHECK/CHEQUE ☐ CASH/ EFECTIVO ☐ DIRECT DEPOSIT/DEPOSITO DIRECTO ☐ PAY CARD/TARJETA DE PAGO

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

[redacted]

(I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/ LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DOES YOUR EMPLOYER KEEP A RECORD OF THE HOURS WORKED?/ ¿MANTIENE SU EMPLEADOR UN REGISTRO DE HORAS QUE TRABAJO? YES/SÍ ☒ NO ☐

IF YES, WHAT KIND OF RECORD?/ ¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA? ☒ TIME CARD ☐ TIME SHEET ☐ OTHER Time clock

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)? ¿TIENE EL EMPLEADOR DEL DEMANDANTE UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☒

IF SO, HOW MANY PTO DAYS ________ SI ES SI, CUANTOS DÍAS ________

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN ESTÁ PRESENTANDO

INSTRUCTIONS: GIVE A WRITTEN STATEMENT TO EACH QUESTION. AN INCOMPLETE FORM WILL RESULT IN DELAYS. WHILE IT IS IMPORTANT TO KNOW THE NAMES OF MANAGEMENT INVOLVED, DO NOT INCLUDE THE NAMES OF ANY OF YOUR WITNESSES ON THIS PAGE. INSTRUCCIONES: PRESENTE UNA DECLARACIÓN ESCRITA A CADA PREGUNTA. UN FORMULARIO INCOMPLETO ATRASARA EL PROCESO DE SU DEMANDA. SI BIEN ES IMPORTANTE SABER LOS NOMBRES DE LOS GERENTES GENERALES, NO INCLUYA LOS NOMBRES INCLUYA LOS NOMBRES DE CUALQUIERA DE LOS TESTIGOS EN ESTA PÁGINA.

WHAT CHANGES HAVE OCCURRED AT WORK THAT CAUSED YOU TO MAKE THIS COMPLAINT? / [redacted]
¿QUÉ CAMBIOS HAN OCURRIDO EN EL TRABAJO QUE LE HA LLEVADO A HACER ESTA DENUCIA?

☒ TERMINATION/ TERMINACIÓN ☐ SUSPENSION /SUSPENSIÓN ☐ DEMOTION/ DESTITUCIÓN

☒ CHANGE IN HOURS /CAMBIO DE HORARIO ☐ CHANGE IN PAY/ CAMBIO EN EL SALARIO

☒ DISCIPLINARY ACTION/ MEDIDAS DISCIPLINARIAS ☐ WRITTEN WARNING / ADVERTENCIA POR ESCRITO

☒ THREAT / AMENAZA ☐ TRANSFER / TRANSFERENCIA ☐ FORCED TO RESIGN/ OBLIGADO A RENUNCIAR

☐ OTHER/ OTRO: ________

DATE OF CHANGE IN EMPLOYMENT [redacted] 19 FECHA DEL CAMBIO EN EL EMPLEO: ____/____/____

NAME(S) OF PERSON(S) CARRYING OUT CHANGE: / NOMBRE(S)DE PERSONA(S) QUE REALIZARON EL CAMBIO:

TITLE:/TITULO: DR. Carolyn Graham – CEO

TITLE:/TITULO: [redacted] – supervisor

TITLE:/TITULO: [redacted] – Senior residualion Coach

PLEASE DESCRIBE WHAT HAPPENED? / ¿POR FAVOR DESCRIBA QUE FUE LO QUE PASO?

[redacted]

WHAT REASON DID THE EMPLOYER GIVE FOR YOUR TERMINATION, SUSPENSION, DEMOTION, CHANGE IN HOURS, CHANGE IN PAY AND/OR OTHER? / QUÉ RAZÓN DIO SU EMPLEADOR DAR PARA SU TERMINACIÓN, SUSPENSIÓN, DESTITUCION, CAMBIO DE HORARIO, CAMBIO

[redacted]

SECTION 5 WITNESSES /SECCIÓN 5 TESTIGOS

ALL WITNESSES ARE CONFIDENTIAL, AND THE COMPLIANCE SPECIALIST WILL NOT REVEAL THEIR IDENTITIES UNLESS IT BECOMES NECESSARY TO PROCEED WITH THE INVESTIGATION OR TO ENFORCE THE OFFICE OF WAGE-HOUR DETERMINATION. PLEASE LIST ANY WITNESSES TO THE EVENTS DESCRIBED IN QUESTIONS. TODOS LOS TESTIGOS SON CONFIDENCIALES, Y ESTA OFICINA NO REVELAR SU IDENTIDAD A MENOS QUE SEA NECESARIO PARA CONTINUAR CON LA INVESTIGACIÓN O PARA PODER LLEGAR A UNA DETERMINACIÓN POR ESTA OFICINA. POR FAVOR, A CONTINUACIÓN LISTE LOSE TESTIGOS DE LOS ACONTECIMIENTOS.

[redacted]

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:

____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:

____

NAME/NOMBRE: ______________________ **TITLE** /TITULO: ______________________
ADDRESS /DIRECCIÓN: ______________________
PHONE NUMBER /NUMERO DE TELÉFONO: ______________________
EMAIL ADDRESS / CORREO ELECTRÓNICO: ______________________
DESCRIBE WHAT THEY SAW OR HEARD IN CONNECTION TO YOUR COMPLAINT / DESCRIBIR LO QUE VIERON O ESCUCHARON EN RELACIÓN A SU DEMANDA:

____

SECTION 6 VERIFICATION SHEET / SECCIÓN 6 HOJA DE VERIFICACIÓN

BE ADVISED THAT YOUR CLAIM WILL NOT BE PROCESSED IF ANY OF THE ABOVE REQUIRED SECTIONS ARE INCOMPLETE OR IF YOUR CLAIM IS NOT ACCOMPANIED BY THE NOTARIZED ASSIGNMENT FORM. THE OFFICE OF WAGE-HOUR WILL INVESTIGATE THE MERITS OF YOUR CLAIM.

LE INFORMAMOS QUE SUS RECLAMO NO SERÁ PROCESADO SI CUALQUIERA DE LAS SECCIONES NECESARIAS ESTAN INCOMPLETAS O SI EL FORMULARIO DE RECLAMO NO ES NOTARIZADO. DICHA OFICINA INVESTIGARA LOS MÉRITOS DE SU DEMANDA.

UNDER PENALTY OF PERJURY, I SWEAR THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

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SIGNATURE/SU FIRM[redacted] DATE/FECHA[redacted]

SIGNATURE REQUIRED / FIRMA REQUERIDA

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INCAPACIDAD A LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR EL FORMULARIO, YO HE IMPRIMIDO ME NOMBRE COMPLETO DEL RECLAMANTE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO DATE/FECHA:

MAIL THIS FORM ALONG WITH THE NOTARIZED ASSIGNMENT TO (ORIGINALS ONLY)
ENVIE ESTE FORMULARIO POR CORREO, JUNTO CON LA SOLICITUD ASIGNADA NOTARIZADA (SOLO ORIGINALES):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20WP-121
Assigned To: ______
Date Assigned: ______

ID #: ______
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED TRANSLATIONS THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☑
¿NECESITA TRADUCCIONES A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? ENGLISH
¿CUÁL ES SU IDIOMA PRINCIPAL? ______

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJA POR SU PROPIA CUENTA? YES/SÍ ☐ NO ☑

DO YOU CURRENTLY HAVE A COURT CASE FOR THESE UNPAID WAGES?/
¿TIENE USTED PENDIENTE CASO EN LA CORTE POR SUELDOS NO PAGADOS? YES/SÍ ☐ NO ☑

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:
STREET/CALLE: [redacted] WASHINGTON, DC 20019
CITY/CUIDAD: ______ STATE/ESTADO: ______ ZIP CODE/CÓDIGO POSTAL: ______

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/SU NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]
CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: KBEC GROUP, INC.
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL NEGOCIO: (202) 590-8388
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 3040 MONROE ST NE
CITY/CIUDAD: WASHINGTON STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20017
TYPE OF BUSINESS/TIPO DE NEGOCIO: TRANSITION
EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: [redacted]@kbecgroup.com
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO EN BANCARROTA? YES/SÍ ☐ NO ☑

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SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/ MARQUE SOLO LA OPCIÓN QUE APLICA A SU SITUACIÓN ACTUAL DE EMPLEO CON ESTA COMPAÑÍA)

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $ [redacted]

PER HOUR?/¿POR HORA? YES/SÍ ☑ NO ☐

PER DAY?/¿POR DÍA? YES/SÍ ☐ NO ☐

PER WEEK?/¿POR SEMANA? YES/SÍ ☐ NO ☐

DATE HIRED/FECHA CONTRATADO [redacted] -2019

EMPLOYEMENT STATUS/ ESTADO DE EMPLEO:

QUIT/ RENUNCIÓ YES/SÍ ☐ NO ☑

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ____________

QUIT DATE/FECHA DE TERMINACION: ____________

TERMINATED/ DESPIDIDO YES/SÍ ☑ NO ☐

TERMINATION DATE/FECHA DE TERMINACION: [redacted] 2019

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? [redacted]

STILL EMPLOYED/ USTED EMPLEADO/A YES/SÍ ☐ NO ☑

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: [redacted] 2019

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY?/¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

[redacted]

WERE YOU HIRED AS AN INDEPENDENT CONTRACTOR?/ ¿SE CONTRATÓ PARA TRABAJAR CÓMO UN CONTRATISTA INDEPENDIENTE? YES/SÍ ☐ NO ☑

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: [redacted]

WHAT DAY IS PAYDAY?/¿EL DÍA DE PAGO? (I.E. FRIDAY/VIERNES) 16th + 30th

HOW OFTEN ARE YOU PAID ?/¿CUANTAS VECES? (CHECK ONE/MARQUE UNO):

☐ HOURLY/CADA HORA ☐ DAILY/DIARIO ☐ WEEKLY/SEMANAL

☐ BI-WEEKLY/ BI-SEMANAL ☑ SEMI-MONTHLY/ SEMI-MENSUAL ☐ MONTHLY / MENSUAL

WHEN DOES PAY PERIOD END?/ ¿FECHA FINAL DE PAGO? 16th, 30th

ARE YOU PAID BY/PAGAN EN: ☐ CHECK / CHEQUE ☐ CASH / EFECTIVO ☑ BOTH / AMBOS

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

[redacted]

(I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/ LUNES, MIERCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SABADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DID YOUR EMPLOYER KEEP A RECORD OF THE HOURS YOU WORKED?/ ¿MANTUVO SU EMPLEADOR UN RECORD DE HORAS QUE SU TRABAJO? YES/SÍ ☑ NO ☐

IF YES, WHAT KIND OF RECORD WAS IT?/ ¿SÍ ES SÍ, QUÉ TIPO DE REGISTRO ERA? (FOR EXAMPLE: TIME CARD/ TIME SHEET/ ETC.) LOG BOOK, TIME SHEETS

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/
¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ☑

IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)? YES/SÍ ☐ NO ☑
¿TIENE EL EMPLEADOR DEL DEMANDANTE UNA POLÍTICA DE PAGO POR TIEMPO LIBRE?

IF SO, HOW MANY PTO DAYS ________
SI ES SI, CUANTOS DÍAS ________

(YOU MUST PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/
DEBE USTED DE PRESENTAR UNA COPIA DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN)

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS: YES/SÍ ☐ NO ☑

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? /
¿TIENE USTED ALGÚN TIPO DE HERRAMIENTA QUE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ☑

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? /
¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ☑

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 RECORD DE SALARIOS ADEUDADAS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ☑ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/
¿QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS? 9/1/19 (FROM/DESDE MM/DD/YY) TO/A 12/2/19 (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE SALARIOS DEBIDOS POR FECHA (CHECK ONE/MARQUE UNO):
☐ **DAILY**/DIARIO ☐ **WEEK ENDING**/FINAL DE SEMANA ☐ **PAY PERIOD ENDING**/FINAL DEL PERIODO DE PAGO ☐ **PAYDAY**/DIA DE PAGO

DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]			$	/ / - / /	$		$
			$	/ / - / /	$		$
			$	/ / - / /	$		$
			$	/ / - / /	$		$
			$	/ / - / /	$		$
			$	/ / - / /	$		$
			$	/ / - / /	$		$
/ / - / /	$		$	/ / - / /	$		$
/ / - / /	$		$	/ / - / /	$		$
/ / - / /	$		$	/ / - / /	$		$

ADDITIONAL NOTES/ NOTAS ADICIONALES: [redacted]

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SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 RECORD DE SALARIOS ADICIONALES ADEUDADAS

ARE YOU OWED TIPS?/¿DEBE USTED PROPINAS? YES/SÍ ☐ NO ☑

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______________ TO/A ______________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ______________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ☑

CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________

*(YOU **MUST** PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/ DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO)*

ADDITIONAL NOTES/ NOTAS ADICIONALES: ______________

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $______________

ARE YOU OWED COMMISSIONS?/ ¿DEBE USTED COMISIONES? YES/SÍ ☐ NO ☑
(YOU **MUST** ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
DEBE PRESENTAR UNA COPIA DEL PLAN DE LA COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $______________

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ☑

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $______________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO)?/
¿SU EMPRESA OFERTA PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☑

*(YOU **MUST** PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/ DEBE PRESENTAR UNA COPIA DE LA GUÍA DE BENEFICIOS DE LA COMPAÑÍA)*

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : HOURS/ HORAS ______ DAYS/ DÍAS ______ WEEKS/ SEMANA ______

AMOUNT OWED?/¿QUÉ CANTIDAD DEBE? $______________

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS IMPAGADOS QUE RECLAMA $______________

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ☑ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

[redacted]

SECTION 7 VERIFICATION SHEET/ SECCIÓN 7 HOJA DE VERIFICACIÓN

BE ADVISED THAT YOUR CLAIM WILL NOT BE PROCESSED IF ANY OF THE ABOVE REQUIRED SECTIONS ARE INCOMPLETE OR IF YOUR CLAIM IS NOT ACCOMPANIED BY THE NOTARIZED ASSIGNMENT FORM. THE OFFICE OF WAGE-HOUR WILL INVESTIGATE THE MERITS OF YOUR CLAIM.

LE INFORMAMOS QUE SUS RECLAMO NO SERÁ PROCESADO SI CUALQUIERA DE LAS SECCIONES NECESARIAS ESTAN INCOMPLETAS O SI EL FORMULARIO DE RECLAMO NO ES NOTARIZADO. DICHA OFICINA INVESTIGARA LOS MÉRITOS DE SU DEMANDA.

UNDER PENALTY OF PERJURY, I SWEAR THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A OFICINA DE IMPLEMENTACION DE LEYES LABORALES PARA REVELAR TODA LA INFORMACIÓN CONTENIDA EN EL ARCHIVO DEL RECLAMO AL EMPLEADOR, PARA INVESTIGAR EL RECLAMO MÍO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/SU FIRMA [redacted] DATE/FECHA [redacted]

[redacted] (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INCAPACIDAD A LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO DE PAGO DE SALARIO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR EL FORMULARIO, YO HE IMPRIMIDO ME NOMBRE COMPLETO DEL RECLAMANTE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ______ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ______ DATE/FECHA: ______

MAIL THIS FORM ALONG WITH THE NOTARIZED ASSIGNMENT TO (ORIGINALS ONLY)
ENVIE ESTE FORMULARIO POR CORREO, JUNTO CON LA SOLICITUD ASIGNADA NOTARIZADA (SOLO ORIGINALES):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20 WP 162
Assigned To: ____
Date Assigned: ____

DOES POH 2021 Q70

ID #: ____
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED TRANSLATIONS THROUGHOUT YOUR INVESTIGATION? YES ☑ NO ☐
¿NECESITA TRADUCCIONES A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? ENGLISH
¿CUÁL ES SU IDIOMA PRINCIPAL? ____

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJA POR SU PROPIA CUENTA? YES/SÍ ☑ NO ☐

DO YOU CURRENTLY HAVE A COURT CASE FOR THESE UNPAID WAGES?/
¿TIENE USTED PENDIENTE CASO EN LA CORTE POR SUELDOS NO PAGADOS? YES/SÍ ☐ NO ☑

STREET ADDRESS [redacted] SE REALIZÓ:
STREET/CALLE: [redacted]
CITY/CUIDAD: WASHINGTON D.C. STATE/ESTADO: ____ ZIP CODE/CÓDIGO POSTAL: 20020

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/SU NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]
CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: CONTEMPORARY FAMILY SERVICES INC
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL NEGOCIO: 2/525-1527
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 3300 PENNSYLVANIA AVE SOUTH EAST
CITY/CIUDAD: WASHINGTON DC STATE/ESTADO: ____ ZIP CODE/CÓDIGO POSTAL: 20020
TYPE OF BUSINESS/TIPO DE NEGOCIO: HUMAN SERVICES/MENTAL HEALTH ORGANIZATION
EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: ____
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO EN BANCARROTA? YES/SÍ ☑ NO ☐

Section 3 Employment Information/Sección 3 Información de Empleo

(Check only the option that applies to your current employment status with this company/
Marque solo la opción que aplica a su situación actual de empleo con esta compañía)

Current rate of pay/ Tasa actual de pago: $ [redacted]

Per hour?/¿Por hora? **Yes/Sí** ☑ No ☐

Per day?/¿Por día? **Yes/Sí** ☐ No ☐

Per week?/¿Por semana? **Yes/Sí** ☐ No ☐

Date hired/Fecha contratado: [redacted] 2014

Employement Status/ Estado De Empleo:

Quit/ Renunció **Yes/Sí** ☐ No ☐

If yes, why?/¿Sí es sí, porque? COMPANY CLOSED

Quit date/Fecha de termínacion: ___ - ___ - ___

Terminated/ despidido **Yes/Sí** ☐ No ☐

Termination date/Fecha de termínacion: ___ - ___ - ___

If yes, why?/¿Sí es sí, porque? ______

Still employed/ usted empleado/a **Yes/Sí** ☐ No ☐

Last day worked/El último día que trabajo: ______

What type of work did you do for this company?/¿Que tipo de trabajo hizo usted para está compañia?
[redacted]

Were you hired as an independent contractor?/
¿Se contrató para trabajar cómo un contratista independiente? **Yes/Sí** ☐ No ☐

Full name of your supervisor/Nombre completo de su supervisor: H [redacted]

What day is payday?/¿El día de Pago? **(i.e. Friday/Viernes)** THE 15TH AND THE 30TH

How often are you paid ?/¿Cuantas veces? **(Check One/Marque Uno):**

☐ **Hourly/**Cada Hora ☐ **Daily/**Diario ☐ **Weekly/**Semanal

☑ **Bi-weekly/** Bi-semanal ☐ **Semi-Monthly/** Semi-Mensual ☐ **Monthly** / Mensual

When does pay period end?/ ¿Fecha final de pago? ______

Are you paid by/Pagan en: ☐ **Check** / cheque ☐ **Cash** / efectivo ☐ **Both** / ambos

What is your work schedule?/¿Cuál es su horario de trabajo?
[redacted]

(i.e., Mon, Wed, Fri 10:00am - 4:30pm, Tue & Sat 9:30am-8:00pm with ½ hr lunch break – include any breaks/
Lunes, Miércoles, Viernes 10:00am - 4:30pm, Martes & Sábado 9:30am-8:00pm con ½ hr almuerzo – Incluye tiempos de descanso)

Did your employer keep a record of the hours you worked?/
¿Mantuvo su empleador un record de horas que su trabajo? **Yes/Sí** ☑ No ☐

If yes, what kind of record was it?/ ¿Si es sí, qué tipo de registro era?
(For example, Time Card/ Time Sheet/ Etc.) ______

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Section 4 Type of claim are you filing / Sección 4 Tipo de reclamación está presentando

Do you have any outstanding loan balances due to your employer?/ ¿Usted tiene algún tipo de préstamo que le debe a su empleador? Yes/Sí ☐ No ☐

If yes, how much?/¿Si es sí, cuánto? $________

Does your company have a paid time off policy (PTO)? ¿Tiene el empleador del demandante una política de pago por tiempo libre? Yes/Sí ☐ No ☐

If so, how many PTO days ________
Si es si, cuantos días ________

*(You **MUST** provide copy(ies) of pay stub(s) showing the deduction(s)/ Debe usted de presentar una copia de los talonarios de pago demostrando la deducción)*

Unauthorized deductions/Deducciones no autorizadas: Yes/Sí ☐ No ☐

Do you have any equipment belonging to this employer? / ¿Tiene usted algún tipo de herramienta que pertenezca a su empleador? Yes/Sí ☐ No ☐

Were you an officer of the corporation, or a partner in the business? / ¿Ha sido usted un funcionario de la corporación o un socio en el negocio? Yes/Sí ☐ No ☐

Section 5 Record of wages owed / Sección 5 Record de salarios adeudadas

Are you filing for your wages?/ ¿Usted está reclamando por su pago? Yes/Sí ☐ No ☐

For what time period were you not paid wages?/ ¿Qué período de tiempo no le pagaron su salarios? ________ To/A ________
(From/Desde MM/DD/YY) (MM/DD/YY)

Please list wages owed by date /Por favor liste salarios debidos por fecha (<u>Check One/Marque Uno</u>):
☐ Daily/Diario ☐ Week ending/Final de semana ☐ Pay period ending/Final del periodo de pago ☐ Payday/Dia de pago

Date(s) Fecha(s)	Rate of pay Tasa de pago	Hrs Horas	Amount Cantidad	Date(s) Fecha(s)	Rate of pay Tasa de pago	Hrs Horas	Amount Cantidad
[redacted]				/ / - / /	$ *		= $
				/ / - / /	$ *		= $
				/ / - / /	$ *		= $
				/ / - / /	$ *		= $
				/ / - / /	$ *		= $
				/ / - / /	$ *		= $
				/ / - / /	$ *		= $
				/ / - / /	$ *		= $
				/ / - / /	$ *		= $
				/ / - / /	$ *		= $

Additional notes/ Notas adicionales: ________

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 RECORD DE SALARIOS ADICIONALES ADEUDADAS

ARE YOU OWED TIPS?/¿DEBE USTED PROPINAS? YES/SÍ ☐ NO ☑

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______ TO/A ______

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ______

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ☑

CHECK #/NUMERO DEL CHEQUE: ______ **DATE OF CHECK**/FECHA DEL CHEQUE: ______
CHECK #/NUMERO DEL CHEQUE: ______ **DATE OF CHECK**/FECHA DEL CHEQUE: ______
CHECK #/NUMERO DEL CHEQUE: ______ **DATE OF CHECK**/FECHA DEL CHEQUE: ______

(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/
DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ______

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $ ______

ARE YOU OWED COMMISSIONS?/ ¿DEBE USTED COMISIONES? YES/SÍ ☐ NO ☑
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
DEBE PRESENTAR UNA COPIA DEL PLAN DE LA COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $ ______

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ☑

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $ ______

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO)?/
¿SU EMPRESA OFERTA PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☑

(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
DEBE PRESENTAR UNA COPIA DE LA GUÍA DE BENEFICIOS DE LA COMPAÑÍA)

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : **HOURS**/ HORAS ______ **DAYS**/ DÍAS ______ **WEEKS**/ SEMANA ______

AMOUNT OWED?/¿QUÉ CANTIDAD DEBE? $ ______

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS IMPAGADOS QUE RECLAMA [redacted]

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ☑ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

N/A

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SECTION 7 VERIFICATION SHEET / SECCIÓN 7 HOJA DE VERIFICACIÓN

BE ADVISED THAT YOUR CLAIM WILL NOT BE PROCESSED IF ANY OF THE ABOVE REQUIRED SECTIONS ARE INCOMPLETE OR IF YOUR CLAIM IS NOT ACCOMPANIED BY THE NOTARIZED ASSIGNMENT FORM. THE OFFICE OF WAGE-HOUR WILL INVESTIGATE THE MERITS OF YOUR CLAIM.

LE INFORMAMOS QUE SUS RECLAMO NO SERÁ PROCESADO SI CUALQUIERA DE LAS SECCIONES NECESARIAS ESTAN INCOMPLETAS O SI EL FORMULARIO DE RECLAMO NO ES NOTARIZADO. DICHA OFICINA INVESTIGARA LOS MÉRITOS DE SU DEMANDA.

UNDER PENALTY OF PERJURY, I SWEAR THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A OFICINA DE IMPLEMENTACION DE LEYES LABORALES PARA REVELAR TODA LA INFORMACIÓN CONTENIDA EN EL ARCHIVO DEL RECLAMO AL EMPLEADOR, PARA INVESTIGAR EL RECLAMO MÍO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/SU FIRMA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO FIRMA ORIGINAL SE ACEPTARA)

DATE/FECHA: [redacted]

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INCAPACIDAD A LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO DE PAGO DE SALARIO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR EL FORMULARIO, YO HE IMPRIMIDO ME NOMBRE COMPLETO DEL RECLAMANTE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ______ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ______ DATE/FECHA: ______

MAIL THIS FORM ALONG WITH THE NOTARIZED ASSIGNMENT TO (ORIGINALS ONLY)
ENVIE ESTE FORMULARIO POR CORREO, JUNTO CON LA SOLICITUD ASIGNADA NOTARIZADA (SOLO ORIGINALES):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20-WP-230
Assigned To: ____
Date Assigned: ____

DOES POH 2021 Q70

3736066
ID #: ____/____
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM
Oficina de Salarios y Horas de Trabajo de D.C.: Formulario de Reclamación de Pago de Salario

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED INTERPRETATION/TRANSLATION SERVICES THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☑
¿NECESITA SERVICIOS DE INTERPRETACIÓN Y/O TRADUCCIÓN A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? ____
¿CUÁL ES SU IDIOMA PRINCIPAL? ____

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED? YES ☐ NO ☑
¿FUE CONTRATADO PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJO POR SU PROPIA CUENTA? SÍ ☐ NO ☐

STREET ADDRESS [redacted] A CALLE DONDE EL TRABAJO SE REALIZÓ:
STREET/CALLE [redacted]
CITY/CUIDAD: Wash, D.C. **STATE**/ESTADO: 20020 **ZIP CODE**/CÓDIGO POSTAL: ____

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/ NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SU SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]
CITY/CUIDAD: [redacted] **STATE**/ESTADO: [redacted] **ZIP CODE**/CÓDIGO POSTAL: [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: Manhattan Inc.
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL DUEÑO /NEGOCIO: (2)486-7699
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 4312 Halley Terr. S.E #202
CITY/CIUDAD: Wash **STATE**/ESTADO: D.C. **ZIP CODE**/CÓDIGO POSTAL: 20032
TYPE OF BUSINESS/TIPO DE NEGOCIO: CRF-Home - Group Home
HOW MANY EMPLOYEES?/ ¿CUÁNTOS EMPLEADOS TIENE EL NEGOCIO? (CHECK ONE/MARQUE UNO):
☑ **LESS THAN 25**/MENOS DE 25 ☐ **25 TO 99**/25 A 99 ☐ **100 OR MORE**/100 O MÁS
EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: ____
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO O EN BANCARROTA? YES/SÍ ☐ NO ☑

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/ MARQUE SOLO LA OPCIÓN QUE APLICA A SU ESTADO ACTUAL DE EMPLEO CON ESTA COMPAÑÍA**)**

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: [redacted]

PER HOUR?/ ¿POR HORA? **YES/**SÍ ☑ NO ☐

PER DAY?/ ¿POR DÍA? **YES/**SÍ ☐ NO ☐

PER WEEK?/ ¿POR SEMANA? **YES/**SÍ ☐ NO ☐

DATE HIRED/FECHA DE CONTRATACIÓN: ____ - ____ - ____

EMPLOYMENT STATUS/ ESTADO DE EMPLEO:

QUIT/ RENUNCIÓ **YES/**SÍ ☐ NO ☐

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ____________

QUIT DATE/FECHA DE RENUNCIA: ____ - ____ - ____

TERMINATED/ FUE DESPEDIDO **YES/**SÍ ☐ NO ☐

TERMINATION DATE/FECHA EN QUE FUE DESPEDIDO: ____ - ____ - ____

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ____________

STILL EMPLOYED/ TODAVÍA ESTA EMPLEADO/A **YES/**SÍ ☑ NO ☐

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: ____________

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY? /¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

____

WERE YOU MISCLASSIFIED AS AN INDEPENDENT CONTRACTOR?/
¿FUE ERRÓNEAMENTE CLASIFICADO COMO CONTRATISTA INDEPENDIENTE? **YES/**SÍ ☐ NO ☑

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: ____________

WHAT DAY IS PAYDAY?/¿QUÉ DÍA ES EL DÍA DE PAGO? **(I.E. FRIDAY/VIERNES)** ____________

HOW OFTEN ARE YOU PAID ?/¿CON QUE FRECUENCIA LE PAGAN? (**CHECK ONE/**MARQUE UNO):

☐ **HOURLY/**CADA HORA ☐ **DAILY/**DIARIO ☐ **WEEKLY/**SEMANAL

☑ **BI-WEEKLY/** BI-SEMANAL ☐ **SEMI-MONTHLY/** SEMI-MENSUAL ☐ **MONTHLY** / MENSUAL

WHEN DOES PAY PERIOD END? / ¿CUÁNDO SE TERMINA EL PERIODO DE PAGO? ____________

ARE YOU PAID BY/ LE PAGAN EN: ☐ **CHECK** / CHEQUE ☐ **CASH** / EFECTIVO ☐ **BOTH** / AMBOS Direct DePosit

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

____

____

(**I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/** LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DID YOUR EMPLOYER KEEP A RECORD OF THE HOURS YOU WORKED?/
¿MANTUVO SU EMPLEADOR UN REGISTRO DE HORAS QUE USTED TRABAJO? **YES/**SI ☑ NO ☐

IF YES, WHAT KIND OF RECORD WAS IT?/¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA? on Phone!!
(FOR EXAMPLE: TIME CARD/ TIME SHEET/ ETC.)

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN QUE ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/ ¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? **YES**/SÍ ☐ NO ☑

IF YES, HOW MUCH?/ ¿SI ES SÍ, CUÁNTO? $________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)? ¿TIENE SU EMPLEADOR UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? **YES**/SÍ ☐ NO ☑

IF SO, HOW MANY PTO DAYS ________
SI ES SI, DE CUANTOS DÍAS ________

(YOU MUST PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/ *USTED DEBE DE PROPORCIONAR COPIA(S) DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN(S))*

UNAUTHORIZED DEDUCTIONS/ DEDUCCIONES NO AUTORIZADAS: **YES**/SÍ ☐ NO ☐ – unsure

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? / ¿TIENE USTED ALGÚN TIPO DE EQUIPO QUE LE PERTENEZCA A SU EMPLEADOR? **YES**/SÍ ☐ NO ☑

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? / ¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? **YES**/SÍ ☐ NO ☑

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 REGISTRO DE SALARIOS ADEUDADOS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? **YES**/SÍ ☑ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/ ¿POR QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS? [redacted] **TO**/A [redacted]
(**FROM**/DESDE MM/DD/YY) (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE LOS SALARIOS DEBIDOS POR FECHA (**CHECK ONE**/**MARQUE UNO**):
☐ **DAILY**/DIARIO ☐ **WEEK ENDING**/FINAL DE SEMANA ☐ **PAY PERIOD ENDING**/FINAL DEL PERIODO DE PAGO ☐ **PAYDAY**/DIA DE PAGO

DATE(S)	RATE OF PAY	HRS	AMOUNT	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $

ADDITIONAL NOTES/ NOTAS ADICIONALES: ________

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 REGISTRO DE SALARIOS ADICIONALES ADEUDADOS

ARE YOU A TIPPED EMPLOYEE?/¿ES USTED UN EMPLEADO QUE RECIBE PROPINAS? YES/SÍ ☐ NO ☑
ARE YOU OWED TIPS?/¿ SE LE DEBE PROPINAS? YES/SÍ ☐ NO ☑

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______________ **TO/A** ________________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ________________________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: **YES/SÍ** ☐ NO ☑

CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________

***(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE**/ USTED DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO A ESTA OFICINA)*

ADDITIONAL NOTES/ NOTAS ADICIONALES: ____

____

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE LA CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $ ______________

ARE YOU OWED COMMISSIONS?/ ¿ LE DEBEN A USTED COMISIONES? YES/SÍ ☐ NO ☑
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
USTED DEBE DE ADJUNTAR UNA COPIA DEL PLAN DE COMISIÓN DEL EMPLEADOR**)**

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $ ______________

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ☑

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $ ______________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO) PAYOUT?/
¿OFRECE SU EMPLEADOR PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☑

(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
USTED TIENE QUE PRESENTAR UNA COPIA DE LA POLITICA DE BENEFICIOS DE LA COMPAÑÍA)

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : **HOURS**/ HORAS ______ **DAYS**/ DÍAS ________ **WEEKS**/ SEMANA ________

AMOUNT OWED?/¿QUÉ CANTIDAD LE DEBEN? $ ______________

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS NO PAGADOS QUE RECLAMA $ ______________

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ☑ NO ☐

[redacted]

SECTION 7 VERIFICATION SHEET / SECCIÓN 7 HOJA DE VERIFICACIÓN

YOUR CLAIM WILL BE REVIEWED FOR ADMINISTRATIVE ACTION ACCORDING TO DC CODE § 32-1308.01. ADDITIONAL INFORMATION MAY BE REQUESTED.

SU RECLAMACIÓN SERÁ REVISADA POR ACCIÓN ADMINISTRATIVA DE ACUERDO CON EL CÓDIGO DE DC § 32-1308.01. INFORMACIÓN ADICIONAL PUEDE SER REQUERIDA.

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE DOES OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, JURO O AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE SALARIOS Y HORAS DE TRABAJO DEL DEPARTAMENTO DE SERVICIOS DE EMPLEO (DOES, POR SUS SIGLAS EN INGLÉS) DEL DISTRITO DE COLUMBIA PARA DIVULGAR CUALQUIER Y/O TODA LA INFORMACIÓN CONTENIDA EN MI ARCHIVO DE RECLAMO A MI EMPLEADOR, PARA INVESTIGAR MI RECLAMO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/ FIRMA: [redacted] DATE/FECHA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO LA FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA, REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INHABILIDAD DE LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR ESTA SOLICITUD, YO HE IMPRIMIDO MI NOMBRE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ______ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ______ DATE/FECHA: ______

MAIL THIS FORM ALONG WITH SUPPORTING DOCUMENTATION TO (COPIES ONLY)
ENVÍE ESTE FORMULARIO JUNTO CON LOS DOCUMENTOS DE RESPALDO POR CORREO REGULAR A (SOLO COPIAS):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20-WP231
Assigned To: ______
Date Assigned: ______

DOES POH 2021 Q70

890317
ID #: ___/___
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM
Oficina de Salarios y Horas de Trabajo de D.C.: Formulario de Reclamación de Pago de Salario

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED INTERPRETATION/TRANSLATION SERVICES THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☒
¿NECESITA SERVICIOS DE INTERPRETACIÓN Y/O TRADUCCIÓN A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL? ______

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED? YES ☐ NO ☒
¿FUE CONTRATADO PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJO POR SU PROPIA CUENTA? SÍ ☐ NO ☐

STREET ADDRESS WHERE THE WORK WAS PERFORMED / DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:
STREET/CALLE: [redacted]
CITY/CUIDAD: Washington D.C. **STATE**/ESTADO: ______ **ZIP CODE**/CÓDIGO POSTAL: ~~20746~~ 20009

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/ NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SU SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]
CITY/CUIDAD: [redacted] **STATE**/ESTADO: [redacted] **ZIP CODE**/CÓDIGO POSTAL: [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: Bishops, Dupont Circle
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL DUEÑO /NEGOCIO: 571-208-~~[illegible]~~ 5681
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 1742 Connecticut Ave.
CITY/CIUDAD: Washington DC **STATE**/ESTADO: ______ **ZIP CODE**/CÓDIGO POSTAL: 20009
TYPE OF BUSINESS/TIPO DE NEGOCIO: Hair Salon
HOW MANY EMPLOYEES?/ ¿CUÁNTOS EMPLEADOS TIENE EL NEGOCIO? (CHECK ONE/MARQUE UNO):

☒ **LESS THAN 25**/MENOS DE 25 ☐ **25 TO 99**/25 A 99 ☐ **100 OR MORE**/100 O MÁS

EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: [redacted]@bishops.co
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO O EN BANCARROTA? YES/SÍ ☐ NO ☒

OWH_WPForm Rev 01/20

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/
MARQUE SOLO LA OPCIÓN QUE APLICA A SU ESTADO ACTUAL DE EMPLEO CON ESTA COMPAÑÍA**)**

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $ [redacted]

PER HOUR?/ ¿POR HORA? **YES**/SÍ ☐ NO ☐

PER DAY?/ ¿POR DÍA? **YES**/SÍ ☐ NO ☐

PER WEEK?/ ¿POR SEMANA? **YES**/SÍ ☐ NO ☐

DATE HIRED/FECHA DE CONTRATACIÓN [redacted] 19

EMPLOYMENT STATUS/ ESTADO DE EMPLEO:

QUIT/ RENUNCIÓ **YES**/SÍ ☐ NO ☑

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ______

QUIT DATE/FECHA DE RENUNCIA: ___ - ___ - ___

TERMINATED/ FUE DESPEDIDO **YES**/SÍ ☑ NO ☐

TERMINATION DATE/FECHA EN QUE FUE DESPEDIDO: [redacted] 20

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ______

STILL EMPLOYED/ TODAVÍA ESTA EMPLEADO/A **YES**/SÍ ☐ NO ☑

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: [redacted] 2020

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY? /¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?
[redacted]

WERE YOU MISCLASSIFIED AS AN INDEPENDENT CONTRACTOR?/
¿FUE ERRÓNEAMENTE CLASIFICADO COMO CONTRATISTA INDEPENDIENTE? **YES**/SÍ ☑ NO ☐ [redacted]

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: [redacted] [redacted]

WHAT DAY IS PAYDAY?/¿QUÉ DÍA ES EL DÍA DE PAGO? **(I.E. FRIDAY/VIERNES)** Friday

HOW OFTEN ARE YOU PAID ?/¿CON QUE FRECUENCIA LE PAGAN? (**CHECK ONE**/MARQUE UNO):

☐ **HOURLY**/CADA HORA ☐ **DAILY**/DIARIO ☐ **WEEKLY**/SEMANAL
☑ **BI-WEEKLY**/ BI-SEMANAL ☐ **SEMI-MONTHLY**/ SEMI-MENSUAL ☐ **MONTHLY** / MENSUAL

WHEN DOES PAY PERIOD END? / ¿CUÁNDO SE TERMINA EL PERIODO DE PAGO? Saturday

ARE YOU PAID BY/ LE PAGAN EN: ☑ **CHECK** / CHEQUE ☐ **CASH** / EFECTIVO ☐ **BOTH** / AMBOS

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?
[redacted]

(I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/
LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DID YOUR EMPLOYER KEEP A RECORD OF THE HOURS YOU WORKED?/
¿MANTUVO SU EMPLEADOR UN REGISTRO DE HORAS QUE USTED TRABAJO? **YES**/SI ☑ NO ☐

IF YES, WHAT KIND OF RECORD WAS IT?/¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA?
(FOR EXAMPLE: TIME CARD/ TIME SHEET/ ETC.) Clock In (not Accurate)

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN QUE ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/ ¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ☑

IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)? ¿TIENE SU EMPLEADOR UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☑

IF SO, HOW MANY PTO DAYS ________
SI ES SI, DE CUANTOS DÍAS ________

(YOU MUST PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/ USTED DEBE DE PROPORCIONAR COPIA(S) DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN(S))

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS: YES/SÍ ☐ NO ☑

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? / ¿TIENE USTED ALGÚN TIPO DE EQUIPO QUE LE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ☑

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? / ¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ☑

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 REGISTRO DE SALARIOS ADEUDADOS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ☑ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/ ¿POR QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS? [redacted] TO/A [redacted]
(FROM/DESDE MM/DD/YY) (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE LOS SALARIOS DEBIDOS POR FECHA (CHECK ONE/MARQUE UNO):
☐ DAILY/DIARIO ☐ WEEK ENDING/FINAL DE SEMANA ☐ PAY PERIOD ENDING/FINAL DEL PERIODO DE PAGO ☐ PAYDAY/DIA DE PAGO

DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
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/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $

ADDITIONAL NOTES/ NOTAS ADICIONALES: [redacted]

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 REGISTRO DE SALARIOS ADICIONALES ADEUDADOS

ARE YOU A TIPPED EMPLOYEE?/¿ES USTED UN EMPLEADO QUE RECIBE PROPINAS? YES/SÍ ☐ NO ☑
ARE YOU OWED TIPS?/¿ SE LE DEBE PROPINAS? YES/SÍ ☐ NO ☑

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______________ **TO**/A ________________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ __________________________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: **YES**/SÍ ☐ **NO** ☑

CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________

***(YOU <u>MUST</u> PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE**/ USTED <u>DEBE</u> PROVEER UNA COPIA DEL CHEQUE SIN FONDO A ESTA OFICINA)*

ADDITIONAL NOTES/ NOTAS ADICIONALES: ____

____

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE LA CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $________________

ARE YOU OWED COMMISSIONS?/ ¿ LE DEBEN A USTED COMISIONES? **YES**/SÍ ☐ **NO** ☑
(YOU <u>MUST</u> ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
USTED DEBE DE ADJUNTAR UNA COPIA DEL PLAN DE COMISIÓN DEL EMPLEADOR**)**

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $________________

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? **YES**/SÍ ☐ **NO** ☑

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $________________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO) PAYOUT?/
¿OFRECE SU EMPLEADOR PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? **YES**/SÍ ☐ **NO** ☑

(YOU <u>MUST</u> PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
USTED <u>TIENE</u> QUE PRESENTAR UNA COPIA DE LA POLITICA DE BENEFICIOS DE LA COMPAÑÍA)

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : **HOURS**/ HORAS ______ **DAYS**/ DÍAS ________ **WEEKS**/ SEMANA ________

AMOUNT OWED?/¿QUÉ CANTIDAD LE DEBEN? $________________

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS NO PAGADOS QUE RECLAMA $[redacted]

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? **YES**/SÍ ☑ **NO** ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

[redacted]

YOUR CLAIM WILL BE REVIEWED FOR ADMINISTRATIVE ACTION ACCORDING TO DC CODE § 32-1308.01. ADDITIONAL INFORMATION MAY BE REQUESTED.

SU RECLAMACIÓ N SERÁ REVISADA POR ACCIÓ N ADMINISTRATIVA DE ACUERDO CON EL CÓ DIGO DE DC § 32-1308.01. INFORMACIÓ N ADICIONAL PUEDE SER REQUERIDA.

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE DOES OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, JURO O AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE SALARIOS Y HORAS DE TRABAJO DEL DEPARTAMENTO DE SERVICIOS DE EMPLEO (DOES, POR SUS SIGLAS EN INGLÉS)DEL DISTRITO DE COLUMBIA PARA DIVULGAR CUALQUIER Y/O TODA LA INFORMACIÓN CONTENIDA EN MI ARCHIVO DE RECLAMO A MI EMPLEADOR, PARA INVESTIGAR MI RECLAMO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PARA RESOLVER EL RECLAMO.

SIGNATURE/ FIRMA: [redacted] DATE/FECHA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO LA FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA, REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INHABILIDAD DE LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR ESTA SOLICITUD, YO HE IMPRIMIDO MI NOMBRE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ____ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ____ DATE/FECHA: ____

MAIL THIS FORM ALONG WITH SUPPORTING DOCUMENTATION TO (COPIES ONLY)
ENVÍE ESTE FORMULARIO JUNTO CON LOS DOCUMENTOS DE RESPALDO POR CORREO REGULAR A (SOLO COPIAS):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20-WP-213
Assigned To: ______________________
Date Assigned: ______________________

DOES POH 2021 Q70

[redacted] 923157

ID #:____/____
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM
Oficina de Salarios y Horas de Trabajo de D.C.: Formulario de Reclamación de Pago de Salario

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED INTERPRETATION/TRANSLATION SERVICES THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☑
¿NECESITA SERVICIOS DE INTERPRETACIÓN Y/O TRADUCCIÓN A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL? ______________

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED? YES ☐ NO ☑
¿FUE CONTRATADO PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJO POR SU PROPIA CUENTA? SÍ ☐ NO ☐

STREET ADDRESS WHERE THE WORK WAS PERFORMED / DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:

STREET/CALLE: [redacted]

CITY/CUIDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20032

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/ NOMBRE COMPLETO: [redacted]

LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SU SEGURO SOCIAL: [redacted]

STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]

CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]

DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]

EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: Manpower DC

OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]

OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL DUEÑO /NEGOCIO: 202 924 1249

BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: ______________________

CITY/CIUDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20032

TYPE OF BUSINESS/TIPO DE NEGOCIO: Non profit organization

HOW MANY EMPLOYEES?/ ¿CUÁNTOS EMPLEADOS TIENE EL NEGOCIO? (CHECK ONE/MARQUE UNO):

☑ LESS THAN 25/MENOS DE 25 ☐ 25 TO 99/25 A 99 ☐ 100 OR MORE/100 O MÁS

EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: ______________________

IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO O EN BANCARROTA? YES/SÍ ☐ NO ☑

OWH_WPForm Rev 01/20

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/ MARQUE SOLO LA OPCIÓN QUE APLICA A SU ESTADO ACTUAL DE EMPLEO CON ESTA COMPAÑÍA**)**

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $ [redacted]

PER HOUR?/ ¿POR HORA? **YES/SÍ** ☑ **NO** ☐

PER DAY?/ ¿POR DÍA? **YES/SÍ** ☐ **NO** ☐

PER WEEK?/ ¿POR SEMANA? **YES/SÍ** ☐ **NO** ☐

DATE HIRED/FECHA DE CONTRATACIÓN: [redacted] 19

EMPLOYMENT STATUS/ ESTADO DE EMPLEO:

QUIT/ RENUNCIÓ **YES/SÍ** ☐ **NO** ☑

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ____

QUIT DATE/FECHA DE RENUNCIA: ____ - ____ - ____

TERMINATED/ FUE DESPEDIDO **YES/SÍ** ☑ **NO** ☐

TERMINATION DATE/FECHA EN QUE FUE DESPEDIDO: [redacted] 20

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? [redacted]

STILL EMPLOYED/ TODAVÍA ESTA EMPLEAD [redacted]

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO [redacted] 20

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY? /¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

[redacted]

WERE YOU MISCLASSIFIED AS AN INDEPENDENT CONTRACTOR?/ ¿FUE ERRÓNEAMENTE CLASIFICADO COMO CONTRATISTA INDEPENDIENTE? **YES/SÍ** ☐ **NO** ☐

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: [redacted]

WHAT DAY IS PAYDAY?/¿QUÉ DÍA ES EL DÍA DE PAGO? **(I.E. FRIDAY/VIERNES)** N/A

HOW OFTEN ARE YOU PAID ?/¿CON QUE FRECUENCIA LE PAGAN? **(CHECK ONE/**MARQUE UNO**):**

☐ **HOURLY/**CADA HORA ☐ **DAILY/**DIARIO ☐ **WEEKLY/**SEMANAL

☐ **BI-WEEKLY/** BI-SEMANAL ☐ **SEMI-MONTHLY/** SEMI-MENSUAL ☐ **MONTHLY /** MENSUAL

WHEN DOES PAY PERIOD END? / ¿CUÁNDO SE TERMINA EL PERIODO DE PAGO? N/A

ARE YOU PAID BY/ LE PAGAN EN: ☐ **CHECK** / CHEQUE ☐ **CASH** / EFECTIVO ☐ **BOTH** / AMBOS

WHAT IS YOUR WORK SCHEDULE?/[redacted]

(I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/ LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO**)**

DID YOUR EMPLOYER KEEP A RECORD OF THE HOURS YOU WORKED?/ ¿MANTUVO SU EMPLEADOR UN REGISTRO DE HORAS QUE USTED TRABAJO? **YES/SÍ** ☑ **NO** ☐

IF YES, WHAT KIND OF RECORD WAS IT?/¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA?
(FOR EXAMPLE: TIME CARD/ TIME SHEET/ ETC.) Time sheet at KIPP

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN QUE ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/
¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ☑
IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $______

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)?
¿TIENE SU EMPLEADOR UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☑

IF SO, HOW MANY PTO DAYS ______
SI ES SI, DE CUANTOS DÍAS ______

(YOU MUST PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/ USTED DEBE DE PROPORCIONAR COPIA(S) DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN(S))

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS:

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? /
¿TIENE USTED ALGÚN TIPO DE EQUIPO QUE LE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ☑

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? /
¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ☑

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 REGISTRO DE SALARIOS ADEUDADOS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ☑ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/
¿POR QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS? [redacted] (FROM/DESDE MM/DD/YY) TO/A [redacted] (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE LOS SALARIOS DEBIDOS POR FECHA (CHECK ONE/MARQUE UNO):
☐ DAILY/DIARIO ☐ WEEK ENDING/FINAL DE SEMANA ☐ PAY PERIOD ENDING/FINAL DEL PERIODO DE PAGO ☐ PAYDAY/DIA DE PAGO

DATE(S) [redacted]

DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]	[redacted]	[redacted]	[redacted]	__/__/__-__/__/__	$	*	= $
__/__/__-__/__/__	$	*	= $	__/__/__-__/__/__	$	*	= $
__/__/__-__/__/__	$	*	= $	__/__/__-__/__/__	$	*	= $
__/__/__-__/__/__	$	*	= $	__/__/__-__/__/__	$	*	= $
__/__/__-__/__/__	$	*	= $	__/__/__-__/__/__	$	*	= $
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__/__/__-__/__/__	$	*	= $	__/__/__-__/__/__	$	*	= $
__/__/__-__/__/__	$	*	= $	__/__/__-__/__/__	$	*	= $
__/__/__-__/__/__	$	*	= $	__/__/__-__/__/__	$	*	= $

ADDITIONAL NOTES/ NOTAS [redacted]

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 REGISTRO DE SALARIOS ADICIONALES ADEUDADOS

ARE YOU A TIPPED EMPLOYEE?/¿ES USTED UN EMPLEADO QUE RECIBE PROPINAS? YES/SÍ ☐ NO ☑
ARE YOU OWED TIPS?/¿ SE LE DEBE PROPINAS? YES/SÍ ☐ NO ☑

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ____________ TO/A ____________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ____________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ☑

CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________

(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/ USTED DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO A ESTA OFICINA)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ____________

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE LA CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $ ____________

ARE YOU OWED COMMISSIONS?/ ¿ LE DEBEN A USTED COMISIONES? YES/SÍ ☐ NO ☑
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
USTED DEBE DE ADJUNTAR UNA COPIA DEL PLAN DE COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $ ____________

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ☑

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $ ____________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO) PAYOUT?/
¿OFRECE SU EMPLEADOR PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☐

*(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
USTED TIENE QUE PRESENTAR UNA COPIA DE LA POLITICA DE BENEFICIOS DE LA COMPAÑÍA)*

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : HOURS/ HORAS ______ DAYS/ DÍAS ______ WEEKS/ SEMANA ______

AMOUNT OWED?/¿QUÉ CANTIDAD LE DEBEN? $ ____________

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS NO PAGADOS QUE RECLAMA $ [redacted]

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ☑ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

[redacted]

SECTION 7 VERIFICATION SHEET/ SECCIÓN 7 HOJA DE VERIFICACIÓN

YOUR CLAIM WILL BE REVIEWED FOR ADMINISTRATIVE ACTION ACCORDING TO DC CODE § 32-1308.01. ADDITIONAL INFORMATION MAY BE REQUESTED.

SU RECLAMACIÓ N SERÁ REVISADA POR ACCIÓ N ADMINISTRATIVA DE ACUERDO CON EL CÓ DIGO DE DC § 32-1308.01. INFORMACIÓ N ADICIONAL PUEDE SER REQUERIDA.

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE DOES OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, JURO O AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE SALARIOS Y HORAS DE TRABAJO DEL DEPARTAMENTO DE SERVICIOS DE EMPLEO (DOES, POR SUS SIGLAS EN INGLÉS)DEL DISTRITO DE COLUMBIA PARA DIVULGAR CUALQUIER Y/O TODA LA INFORMACIÓN CONTENIDA EN MI ARCHIVO DE RECLAMO A MI EMPLEADOR, PARA INVESTIGAR MI RECLAMO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/ FIRMA: [redacted] DATE/FECHA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO LA FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA, REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INHABILIDAD DE LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR ESTA SOLICITUD, YO HE IMPRIMIDO MI NOMBRE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ______ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ______ DATE/FECHA: ______

MAIL THIS FORM ALONG WITH SUPPORTING DOCUMENTATION TO (COPIES ONLY)
ENVÍE ESTE FORMULARIO JUNTO CON LOS DOCUMENTOS DE RESPALDO POR CORREO REGULAR A (SOLO COPIAS):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20-WP-241
Assigned To: ____________
Date Assigned: ____________

DOES POH 2021 Q70

209156

ID #: ___/___
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM
Oficina de Salarios y Horas de Trabajo de D.C.: Formulario de Reclamación de Pago de Salario

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED INTERPRETATION/TRANSLATION SERVICES THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☑
¿NECESITA SERVICIOS DE INTERPRETACIÓN Y/O TRADUCCIÓN A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? Amharic
¿CUÁL ES SU IDIOMA PRINCIPAL? ____________

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED? YES ☐ NO ☑
¿FUE CONTRATADO PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJO POR SU PROPIA CUENTA? SÍ ☐ NO ☐

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:

STREET/CALLE: [redacted]

CITY/CUIDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: ____________

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/ NOMBRE COMPLETO: [redacted]

LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SU SEGURO SOCIAL: [redacted]

STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]

CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]

DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: ____________

EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: TATTYE INC

OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]

OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL DUEÑO /NEGOCIO: 3019052599

BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 7401 Georgia Ave

CITY/CIUDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20012

TYPE OF BUSINESS/TIPO DE NEGOCIO: 7 Eleven Franchise Store

HOW MANY EMPLOYEES?/ ¿CUÁNTOS EMPLEADOS TIENE EL NEGOCIO? (CHECK ONE/MARQUE UNO):

☐ LESS THAN 25/MENOS DE 25 ☐ 25 TO 99/25 A 99 ☐ 100 OR MORE/100 O MÁS

EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: ____________

IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO O EN BANCARROTA? YES/SÍ ☐ NO ☑

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/ MARQUE SOLO LA OPCIÓN QUE APLICA A SU ESTADO ACTUAL DE EMPLEO CON ESTA COMPAÑÍA**)**

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $ ____________

PER HOUR?/ ¿POR HORA? **YES/**SÍ ☑ NO ☐

PER DAY?/ ¿POR DÍA? **YES/**SÍ ☐ NO ☐

PER WEEK?/ ¿POR SEMANA? **YES/**SÍ ☐ NO ☐

DATE HIRED/FECHA DE CONTRATACIÓN:_____-_____-_____

EMPLOYMENT STATUS/ ESTADO DE EMPLEO:

QUIT/ RENUNCIÓ **YES/**SÍ ☐ NO ☐

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ____________________

QUIT DATE/FECHA DE RENUNCIA: _____-_____-_____

TERMINATED/ FUE DESPEDIDO **YES/**SÍ ☐ NO ☐

TERMINATION DATE/FECHA EN QUE FUE DESPEDIDO: _____-_____-_____

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ____________________

STILL EMPLOYED/ TODAVÍA ESTA EMPLEADO/A **YES/**SÍ ☐ NO ☐

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: [redacted]

WHAT TYPE OF [redacted] ¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

WERE YOU MISCLASSIFIED AS AN INDEPENDENT CONTRACTOR?/ ¿FUE ERRÓNEAMENTE CLASIFICADO COMO CONTRATISTA INDEPENDIENTE? **YES/**SÍ ☐ NO ☑

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: [redacted]

WHAT DAY IS PAYDAY?/¿QUÉ DÍA ES EL DÍA DE PAGO? **(I.E. FRIDAY/VIERNES)** ____________

HOW OFTEN ARE YOU PAID ?/¿CON QUE FRECUENCIA LE PAGAN? (**CHECK ONE/**MARQUE UNO):

☐ **HOURLY/**CADA HORA ☐ **DAILY/**DIARIO ☑ **WEEKLY/**SEMANAL

☐ **BI-WEEKLY/** BI-SEMANAL ☐ **SEMI-MONTHLY/** SEMI-MENSUAL ☐ **MONTHLY** / MENSUAL

WHEN DOES PAY PERIOD END? / ¿CUÁNDO SE TERMINA EL PERIODO DE PAGO?____________

ARE YOU PAID BY/ LE PAGAN EN: ☑ **CHECK** / CHEQUE ☐ **CASH** / EFECTIVO ☐ **BOTH** / AMBOS

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

[redacted]

(I.E., MON, WED, FRI 10:00AM - 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/ LUNES, MIÉRCOLES, VIERNES 10:00AM - 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DID YOUR EMPLOYER KEEP A RECORD OF THE HOURS YOU WORKED?/ ¿MANTUVO SU EMPLEADOR UN REGISTRO DE HORAS QUE USTED TRABAJO? **YES/**SI ☐ NO ☐

IF YES, WHAT KIND OF RECORD WAS IT?/¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA?
(FOR EXAMPLE: TIME CARD/ TIME SHEET/ ETC.) ____________________

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN QUE ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/
¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ☒

IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $__________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)? YES/SÍ ☐ NO ☐
¿TIENE SU EMPLEADOR UNA POLÍTICA DE PAGO POR TIEMPO LIBRE?

IF SO, HOW MANY PTO DAYS __________
SI ES SI, DE CUANTOS DÍAS __________

*(YOU **MUST** PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/*
USTED DEBE DE PROPORCIONAR COPIA(S) DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN(S))

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS: YES/SÍ ☐ NO ☐

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? /
¿TIENE USTED ALGÚN TIPO DE EQUIPO QUE LE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ☒

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? /
¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ☒

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 REGISTRO DE SALARIOS ADEUDADOS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ☒ NO [redacted]

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/
¿POR QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARI[redacted] TO/A [redacted]
(FROM/DESDE MM/DD/YY) (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE LOS SALARIOS DEBIDOS POR FECHA (**CHECK ONE/MARQUE UNO**):
☐ **DAILY**/DIARIO ☐ **WEEK ENDING**/FINAL DE SEMANA ☐ **PAY PERIOD ENDING**/FINAL DEL PERIODO DE PAGO ☐ **PAYDAY**/DÍA DE PAGO

DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
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				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $

ADDITIONAL NOTES/ NOTAS ADICIONALES: __________

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 REGISTRO DE SALARIOS ADICIONALES ADEUDADOS

ARE YOU A TIPPED EMPLOYEE?/¿ES USTED UN EMPLEADO QUE RECIBE PROPINAS? YES/SÍ ☐ NO ☑
ARE YOU OWED TIPS?/¿SE LE DEBE PROPINAS? YES/SÍ ☐ NO ☑

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______________ TO/A ______________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ______________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ☑

CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________

(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/ USTED DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO A ESTA OFICINA)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ______________

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE LA CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $______________

ARE YOU OWED COMMISSIONS?/ ¿LE DEBEN A USTED COMISIONES? YES/SÍ ☐ NO ☑
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
USTED DEBE DE ADJUNTAR UNA COPIA DEL PLAN DE COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $______________

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ☑

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $______________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO) PAYOUT?/
¿OFRECE SU EMPLEADOR PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☑

*(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
USTED TIENE QUE PRESENTAR UNA COPIA DE LA POLITICA DE BENEFICIOS DE LA COMPAÑÍA)*

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : HOURS/ HORAS ______ DAYS/ DÍAS ________ WEEKS/ SEMANA ________

AMOUNT OWED?/¿QUÉ CANTIDAD LE DEBEN? $______________

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS NO PAGADOS QUE RECLAMA $ [redacted]

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ☑ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

[redacted]

SECTION 7 VERIFICATION SHEET/ SECCIÓN 7 HOJA DE VERIFICACIÓN

YOUR CLAIM WILL BE REVIEWED FOR ADMINISTRATIVE ACTION ACCORDING TO DC CODE § 32-1308.01. ADDITIONAL INFORMATION MAY BE REQUESTED.

SU RECLAMACIÓ N SERÁ REVISADA POR ACCIÓ N ADMINISTRATIVA DE ACUERDO CON EL CÓ DIGO DE DC § 32-1308.01. INFORMACIÓ N ADICIONAL PUEDE SER REQUERIDA.

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE DOES OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, JURO O AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE SALARIOS Y HORAS DE TRABAJO DEL DEPARTAMENTO DE SERVICIOS DE EMPLEO (DOES, POR SUS SIGLAS EN INGLÉS)DEL DISTRITO DE COLUMBIA PARA DIVULGAR CUALQUIER Y/O TODA LA INFORMACIÓN CONTENIDA EN MI ARCHIVO DE RECLAMO A MI EMPLEADOR, PARA INVESTIGAR MI RECLAMO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/ FIRMA: [redacted] DATE/FECHA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO LA FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA, REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INHABILIDAD DE LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR ESTA SOLICITUD, YO HE IMPRIMIDO MI NOMBRE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ______ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ______ DATE/FECHA: ______

MAIL THIS FORM ALONG WITH SUPPORTING DOCUMENTATION TO (COPIES ONLY)
ENVÍE ESTE FORMULARIO JUNTO CON LOS DOCUMENTOS DE RESPALDO POR CORREO REGULAR A (SOLO COPIAS):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20-WP-172
Assigned To:
Date Assigned:

DOES POH 2021 Q70

399689
ID #: /
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED TRANSLATIONS THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☑
¿NECESITA TRADUCCIONES A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL?

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJA POR SU PROPIA CUENTA? YES/SÍ ☐ NO ☑

DO YOU CURRENTLY HAVE A COURT CASE FOR THESE UNPAID WAGES?/
¿TIENE USTED PENDIENTE CASO EN LA CORTE POR SUELDOS NO PAGADOS? YES/SÍ ☐ NO ☑

STREET ADDRESS WHERE THE WORK WAS PERFORMED / [redacted] CALLE DONDE EL TRABAJO SE REALIZÓ:
STREET/CALLE: [redacted]
CITY/CUIDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20001

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/SU NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIO: [redacted]
CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: The CalPro Group
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: ~~Georgia Ave # Stat 64~~ UnKnown
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL NEGOCIO: 202 409-4496
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 6323 Georgia Ave NW #56164
CITY/CIUDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20040
TYPE OF BUSINESS/TIPO DE NEGOCIO: Temp Service
EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: unKnown
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO EN BANCARROTA? YES/SÍ ☐ NO ☑

OWH_WPForm Rev 05/17

Section 3 Employment Information/Sección 3 Información de Empleo

(Check only the option that applies to your current employment status with this company/ Marque solo la opción que aplica a su situación actual de empleo con esta compañía)

Current rate of pay/ Tasa actual de pago: $ [redacted]

Per hour?/¿Por hora? Yes/Sí ☑ No ☐

Per day?/¿Por Día? Yes/Sí ☐ No ☑

Per week?/¿Por semana? Yes/Sí ☐ No ☑

Date hired/Fecha contratado [redacted] 19

Employement Status/ Estado De Empleo:

Quit/ Renunció Yes/Sí ☐ No ☑

If yes, why?/¿Sí es sí, porque? ______

Quit date/Fecha de termínacion: ___-___-___

Terminated/ Despidido Yes/Sí ☐ No ☑

Termination date/Fecha de termínacion: ___-___-___

If yes, why?/¿Sí es sí, porque? ______

Still employed/ Usted empleado/a Yes/Sí ☐ No ☑

Last day worked/El último día que trabajo: [redacted] 19

What type of work did you do for this company?/¿Que tipo de trabajo hizo usted para está compañia?

[redacted]

Were you hired as an independent contractor?/ ¿Se contrató para trabajar cómo un contratista independiente? Yes/Sí ☐ No ☑

Full name of your supervisor/Nombre completo de su supervisor: Ramon

What day is payday?/¿El día de Pago? (I.E. Friday/Viernes) Unknown

How often are you paid ?/¿Cuantas veces? (Check One/Marque Uno):

☑ Hourly/Cada Hora ☐ Daily/Diario ☐ Weekly/Semanal

☐ Bi-weekly/ Bi-semanal ☐ Semi-Monthly/ Semi-Mensual ☐ Monthly / Mensual

When does pay period end?/ ¿Fecha final de pago? Unknown

Are you paid by/Pagan en: ☐ Check / Cheque ☐ Cash / Efectivo ☐ Both / Ambos

What is your work schedule?/¿Cuál es su horario de trabajo?

[redacted]

(I.E., Mon, Wed, Fri 10:00am – 4:30pm, Tue & Sat 9:30am-8:00pm with ½ hr lunch break – include any breaks/ Lunes, Miércoles, Viernes 10:00am – 4:30pm, Martes & Sábado 9:30am-8:00pm con ½ hr almuerzo – Incluye tiempos de descanso)

Did your employer keep a record of the hours you worked?/ ¿Mantuvo su empleador un record de horas que su trabajo? Yes/Sí ☑ No ☐

If yes, what kind of record was it?/ ¿Si es sí, qué tipo de registro era? (For example: Time Card/ Time Sheet/ Etc.) Sign in/out

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/
¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ☑

IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)?
¿TIENE EL EMPLEADOR DEL DEMANDANTE UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☑

IF SO, HOW MANY PTO DAYS ________
SI ES SI, CUANTOS DÍAS ________

(YOU MUST PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/
DEBE USTED DE PRESENTAR UNA COPIA DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN)

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS: YES/SÍ ☐ NO ☑

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? /
¿TIENE USTED ALGÚN TIPO DE HERRAMIENTA QUE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ☑

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? /
¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ☑

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 RECORD DE SALARIOS ADEUDADAS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ☑ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/
¿QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS [redacted] TO/A [redacted]
(FROM/DESDE MM/DD/YY) (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE SALARIOS DEBIDOS POR FECHA (**CHECK ONE/MARQUE UNO**):
☐ **DAILY**/DIARIO ☐ **WEEK ENDING**/FINAL DE SEMANA ☐ **PAY PERIOD ENDING**/FINAL DEL PERIODO DE PAGO ☐ **PAYDAY**/DIA DE PAGO

DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]				/ / - / /	$	*	= $
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ADDITIONAL NOTES/ NOTAS ADICIONALES: ________

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 RECORD DE SALARIOS ADICIONALES ADEUDADAS

ARE YOU OWED TIPS?/¿DEBE USTED PROPINAS? **YES**/SÍ ☐ NO ☑

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______________ **TO**/A ______________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ______________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: **YES**/SÍ ☐ NO ☑

CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ **DATE OF CHECK**/FECHA DEL CHEQUE: __________

(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/
DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ______________

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $ ______________

ARE YOU OWED COMMISSIONS?/ ¿DEBE USTED COMISIONES? **YES**/SÍ ☐ NO ☑
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
DEBE PRESENTAR UNA COPIA DEL PLAN DE LA COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $ ______________

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? **YES**/SÍ ☐ NO ☑

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $ ______________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO)?/
¿SU EMPRESA OFERTA PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? **YES**/SÍ ☐ NO ☑

(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
DEBE PRESENTAR UNA COPIA DE LA GUÍA DE BENEFICIOS DE LA COMPAÑÍA)

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : **HOURS**/ HORAS ______ **DAYS**/ DÍAS ______ **WEEKS**/ SEMANA ______

AMOUNT OWED?/¿QUÉ CANTIDAD DEBE? $ ______________

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS IMPAGADOS QUE RECLAMA $ [redacted]

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? **YES**/SÍ ☑ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

[redacted]

SECTION 7 VERIFICATION SHEET/ SECCIÓN 7 HOJA DE VERIFICACIÓN

BE ADVISED THAT YOUR CLAIM WILL NOT BE PROCESSED IF ANY OF THE ABOVE REQUIRED SECTIONS ARE INCOMPLETE OR IF YOUR CLAIM IS NOT ACCOMPANIED BY THE NOTARIZED ASSIGNMENT FORM. THE OFFICE OF WAGE-HOUR WILL INVESTIGATE THE MERITS OF YOUR CLAIM.

LE INFORMAMOS QUE SUS RECLAMO NO SERÁ PROCESADO SI CUALQUIERA DE LAS SECCIONES NECESARIAS ESTAN INCOMPLETAS O SI EL FORMULARIO DE RECLAMO NO ES NOTARIZADO. DICHA OFICINA INVESTIGARA LOS MÉRITOS DE SU DEMANDA.

UNDER PENALTY OF PERJURY, I SWEAR THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A OFICINA DE IMPLEMENTACION DE LEYES LABORALES PARA REVELAR TODA LA INFORMACIÓN CONTENIDA EN EL ARCHIVO DEL RECLAMO AL EMPLEADOR, PARA INVESTIGAR EL RECLAMO MÍO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/SU FIRMA: [redacted] DATE/FECHA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INCAPACIDAD A LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO DE PAGO DE SALARIO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR EL FORMULARIO, YO HE IMPRIMIDO ME NOMBRE COMPLETO DEL RECLAMANTE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ______ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ______ DATE/FECHA: ______

MAIL THIS FORM ALONG WITH THE NOTARIZED ASSIGNMENT TO (ORIGINALS ONLY)
ENVIE ESTE FORMULARIO POR CORREO, JUNTO CON LA SOLICITUD ASIGNADA NOTARIZADA (SOLO ORIGINALES):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20WP 362
Assigned To: ____
Date Assigned: ____

DOES POH 2021 Q70

ID #: ___/___
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM
Oficina de Salarios y Horas de Trabajo de D.C.: Formulario de Reclamación de Pago de Salario

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED INTERPRETATION/TRANSLATION SERVICES THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☒
¿NECESITA SERVICIOS DE INTERPRETACIÓN Y/O TRADUCCIÓN A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL? ____

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED? YES ☐ NO ☒
¿FUE CONTRATADO PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJO POR SU PROPIA CUENTA? SÍ ☐ NO ☐

STREET ADDRESS WHERE THE WORK WAS PERFORMED / DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:
STREET/CALLE: [redacted]
CITY/CUIDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20006

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/ NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SU SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]
CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: K. Coleman Legal Document Preparation, LLC
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL DUEÑO /NEGOCIO: 202-503-6558
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 1629 K. St. NW
CITY/CIUDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20006
TYPE OF BUSINESS/TIPO DE NEGOCIO: ____
HOW MANY EMPLOYEES?/ ¿CUÁNTOS EMPLEADOS TIENE EL NEGOCIO? (CHECK ONE/MARQUE UNO):
☒ LESS THAN 25/MENOS DE 25 ☐ 25 TO 99/25 A 99 ☐ 100 OR MORE/100 O MÁS
EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: [redacted]@kcldp.com
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO O EN BANCARROTA? YES/SÍ ☐ NO ☒

OWH_WPForm Rev 01/20

Section 3 Employment Information/Sección 3 Información de Empleo

(Check only the option that applies to your current employment status with this company/ Marque solo la opción que aplica a su estado actu[redacted]pañía)

Current rate of pay/ Tasa actual de pago: [redacted]

Per hour?/ ¿Por hora? Yes/Sí ☐ No ☐

Per day?/ ¿Por Día? Yes/Sí ☐ No ☐

Per week?/ ¿Por semana? Yes/Sí ☐ No ☐

Date hired/Fecha de contratación [redacted] 2020

Employment Status/ Estado De Empleo:

Quit/ Renunció Yes/Sí ☐ No ☐

If yes, why?/¿Sí es sí, porque? [redacted]

Quit date/Fecha de renuncia: [redacted]

Terminated/ Fue despedido Yes/Sí ☐ No ☒

Termination date/Fecha en que fue despedido: ____-____-____

If yes, why?/¿Sí es sí, porque? ____________________

Still employed/ Todavía esta empleado/a Yes/Sí ☐ No ☒

Last day worked/El último día que trabajo: ____________

W[redacted]

¿Fue erróneamente clasificado como contratista independiente? Yes/Sí ☐ No ☐

Full name of your supervisor/Nombre completo de su supervisor: [redacted]

What day is payday?/¿Qué día es el día de Pago? (i.e. Friday/Viernes) Friday, [redacted]

How often are you paid ?/¿Con que frecuencia le pagan? (Check One/Marque Uno):

☐ Hourly/Cada Hora ☐ Daily/Diario ☐ Weekly/Semanal

☐ Bi-weekly/ Bi-semanal ☐ Semi-Monthly/ Semi-Mensual ☐ Monthly / M[redacted]

When does pay period end? / ¿Cuándo se termina el periodo de pago? Friday, [redacted]

Are you paid by/ Le pagan en: ☐ Check / Cheque ☐ Cash / Efectivo ☐ Both / Ambos

What is your work schedule?/¿Cuál es su horario de trabajo? [redacted]

(i.e., Mon, Wed, Fri 10:00am – 4:30pm, Tue & Sat 9:30am-8:00pm with ½ hr lunch break – include any breaks/ Lunes, Miércoles, Viernes 10:00am – 4:30pm, Martes & Sábado 9:30am-8:00pm con ½ hr almuerzo – Incluye tiempos de descanso)

Did your employer keep a record of the hours you worked?/ ¿Mantuvo su empleador un registro de horas que usted trabajo? Yes/Sí ☐ No ☐

If yes, what kind of record was it?/¿Si es sí, qué tipo de registro era? (For example: Time card/ Time sheet/ ~~Etc.~~) timesheets prior to sept. 14th → ADP after sept. 14th

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN QUE ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/
¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ☒

IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $______

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)?
¿TIENE SU EMPLEADOR UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☐

IF SO, HOW MANY PTO DAYS 104 hours
SI ES SI, DE CUANTOS DÍAS ______

(YOU MUST PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/
USTED DEBE DE PROPORCIONAR COPIA(S) DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN(S))

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS: YES/SÍ ☐ NO ☒

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? /
¿TIENE USTED ALGÚN TIPO DE EQUIPO QUE LE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ☒

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? /
¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ☒

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 REGISTRO DE SALARIOS ADEUDADOS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ☒ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/
¿POR QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS? [redacted] TO/A [redacted]
(FROM/DESDE MM/DD/YY) (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE LOS SALARIOS DEBIDOS POR FECHA (CHECK ONE/MARQUE UNO):
☒ DAILY/DIARIO ☐ WEEK ENDING/FINAL DE SEMANA ☐ PAY PERIOD ENDING/FINAL DEL PERIODO DE PAGO ☐ PAYDAY/DIA DE PAGO

DATE(S)	RATE OF PAY	HRS	AMOUNT	DATE(S)	RATE OF PAY	HRS	AMOUNT
[redacted]							

ADDITIONAL NOTES/ NOTAS ADICIONALES: travel expences included
hotel - $509.00 - 4 nights parking - $114.95 for 4 days

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 REGISTRO DE SALARIOS ADICIONALES ADEUDADOS

ARE YOU A TIPPED EMPLOYEE?/¿ES USTED UN EMPLEADO QUE RECIBE PROPINAS? YES/SÍ ☐ NO ☒
ARE YOU OWED TIPS?/¿ SE LE DEBE PROPINAS? YES/SÍ ☐ NO ☒

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ____________ TO/A ____________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ____________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ☒

CHECK #/NUMERO DEL CHEQUE: ________ DATE OF CHECK/FECHA DEL CHEQUE: ________
CHECK #/NUMERO DEL CHEQUE: ________ DATE OF CHECK/FECHA DEL CHEQUE: ________
CHECK #/NUMERO DEL CHEQUE: ________ DATE OF CHECK/FECHA DEL CHEQUE: ________

(YOU __MUST__ PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/ USTED __DEBE__ PROVEER UNA COPIA DEL CHEQUE SIN FONDO A ESTA OFICINA)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ____________

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE LA CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $ ____________

ARE YOU OWED COMMISSIONS?/ ¿ LE DEBEN A USTED COMISIONES? YES/SÍ ☐ NO ☒
(YOU __MUST__ ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
USTED DEBE DE ADJUNTAR UNA COPIA DEL PLAN DE COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $ ____________

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ☒
IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $ ____________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO) PAYOUT?/
¿OFRECE SU EMPLEADOR PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☒

*(YOU __MUST__ PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
USTED __TIENE__ QUE PRESENTAR UNA COPIA DE LA POLITICA DE BENEFICIOS DE LA COMPAÑÍA)*

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : HOURS/ HORAS ______ DAYS/ DÍAS ______ WEEKS/ SEMANA ______

AMOUNT OWED?/¿QUÉ CANTIDAD LE DEBEN? $ ____________

**TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS NO PAGADOS QUE RECLAMA** $ 5,562.13

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ☐ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?
- the checks wouldn't come in until october
she would have to open another bank accont,
ADP messed up, she had too much going on

YOUR CLAIM WILL BE REVIEWED FOR ADMINISTRATIVE ACTION ACCORDING TO DC CODE § 32-1308.01. ADDITIONAL INFORMATION MAY BE REQUESTED.

SU RECLAMACIÓ N SERÁ REVISADA POR ACCIÓ N ADMINISTRATIVA DE ACUERDO CON EL CÓ DIGO DE DC § 32-1308.01. INFORMACIÓ N ADICIONAL PUEDE SER REQUERIDA.

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE DOES OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, JURO O AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE SALARIOS Y HORAS DE TRABAJO DEL DEPARTAMENTO DE SERVICIOS DE EMPLEO (DOES, POR SUS SIGLAS EN INGLÉS)DEL DISTRITO DE COLUMBIA PARA DIVULGAR CUALQUIER Y/O TODA LA INFORMACIÓN CONTENIDA EN MI ARCHIVO DE RECLAMO A MI EMPLEADOR, PARA INVESTIGAR MI RECLAMO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/ FIRMA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO LA FIRMA ORIGINAL SE ACEPTARA)

DATE/FECHA: [redacted]

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA, REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INHABILIDAD DE LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR ESTA SOLICITUD, YO HE IMPRIMIDO MI NOMBRE EN LA LÍNEA ASIGNADA.

[redacted]
SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE

[redacted]
PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO

DATE/FECHA [redacted]

MAIL THIS FORM ALONG WITH SUPPORTING DOCUMENTATION TO (COPIES ONLY)
ENVÍE ESTE FORMULARIO JUNTO CON LOS DOCUMENTOS DE RESPALDO POR CORREO REGULAR A (SOLO COPIAS):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20 WP 363
Assigned To: ____
Date Assigned: ____

DOES POH 2021 Q70

ID #: ____ / ____
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM
Oficina de Salarios y Horas de Trabajo de D.C.: Formulario de Reclamación de Pago de Salario

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED INTERPRETATION/TRANSLATION SERVICES THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☒
¿NECESITA SERVICIOS DE INTERPRETACIÓN Y/O TRADUCCIÓN A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL? ____

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED? YES ☐ NO ☒
¿FUE CONTRATADO PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJO POR SU PROPIA CUENTA? SÍ ☐ NO ☐

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:
STREET/CALLE: [redacted]
CITY/CUIDAD: Washington D.C. STATE/ESTADO: District of Columbia ZIP CODE/CÓDIGO POSTAL: Washington D.C.

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/ NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SU SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]
CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: K Coleman Legal Document Preparation, LLC
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL DUEÑO /NEGOCIO: 202-403-2283
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 1629 K St. N.W. Suite #300
CITY/CIUDAD: Washington STATE/ESTADO: District of Columbia ZIP CODE/CÓDIGO POSTAL: 20006
TYPE OF BUSINESS/TIPO DE NEGOCIO: Legal
HOW MANY EMPLOYEES?/ ¿CUÁNTOS EMPLEADOS TIENE EL NEGOCIO? (CHECK ONE/MARQUE UNO):

☐ LESS THAN 25/MENOS DE 25 ☒ 25 TO 99/25 A 99 ☐ 100 OR MORE/100 O MÁS

EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: kcoleman@kcldp.com
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO O EN BANCARROTA? YES/SÍ ☐ NO ☒

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/
MARQUE SOLO LA OPCIÓN QUE APLICA A SU ESTADO ACTUAL DE EMPLEO CON ESTA COMPAÑÍA**)**

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: [redacted]

PER HOUR?/ ¿POR HORA? **YES/**SÍ ■ NO ☐

PER DAY?/ ¿POR DÍA? **YES/**SÍ ☐ NO ☐

PER WEEK?/ ¿POR SEMANA? **YES/**SÍ ☐ NO ☐

DATE HIRED/FECHA DE CONTRATACIÓ[redacted] 202[illegible]

EMPLOYMENT STATUS/ ESTADO DE EMPLEO:

QUIT/ RENUNCIÓ **YES/**SÍ ■ NO ☐

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? [redacted]

QUIT DATE/FECHA DE RENUNCIA[redacted] 2020

TERMINATED/ FUE DESPEDIDO **YES/**SÍ ☐ NO ■

TERMINATION DATE/FECHA EN QUE FUE DESPEDIDO: ______ - ______ - ______

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ____________________

STILL EMPLOYED/ TODAVÍA ESTA EMPLEADO/A **YES/**SÍ ☐ NO ■

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO:[redacted]020

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY? /¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

Public Relations

WERE YOU MISCLASSIFIED AS AN INDEPENDENT CONTRACTOR?/
¿FUE ERRÓNEAMENTE CLASIFICADO COMO CONTRATISTA INDEPENDIENTE? **YES/**SÍ ☐ NO ■

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: Katrina Janae Coleman

WHAT DAY IS PAYDAY?/¿QUÉ DÍA ES EL DÍA DE PAGO? **(I.E. FRIDAY/VIERNES)** Friday

HOW OFTEN ARE YOU PAID ?/¿CON QUE FRECUENCIA LE PAGAN? (**CHECK ONE**/MARQUE UNO):

☐ **HOURLY/**CADA HORA ☐ **DAILY/**DIARIO ☐ **WEEKLY/**SEMANAL

■ **BI-WEEKLY/** BI-SEMANAL ☐ **SEMI-MONTHLY/** SEMI-MENSUAL ☐ **MONTHLY** / MENSUAL

WHEN DOES PAY PERIOD END? / ¿CUÁNDO SE TERMINA EL PERIODO DE PAGO? September 18

ARE YOU PAID BY/ LE PAGAN EN: ■ **CHECK** / CHEQUE ☐ **CASH** / EFECTIVO ☐ **BOTH** / AMBOS

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

[redacted]

(**I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/**
LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DID YOUR EMPLOYER KEEP A RECORD OF THE HOURS YOU WORKED?/
¿MANTUVO SU EMPLEADOR UN REGISTRO DE HORAS QUE USTED TRABAJO? **YES/**SÍ ■ NO ☐

IF YES, WHAT KIND OF RECORD WAS IT?/¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA?
Time Sheet and Time Card through ADP

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN QUE ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/
¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ■

IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)?
¿TIENE SU EMPLEADOR UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ■

IF SO, HOW MANY PTO DAYS 17
SI ES SI, DE CUANTOS DÍAS ________

(YOU __MUST__ PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/
USTED DEBE DE PROPORCIONAR COPIA(S) DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN(S))

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS: YES/SÍ ☐ NO ■

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? /
¿TIENE USTED ALGÚN TIPO DE EQUIPO QUE LE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ■

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? /
¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ■

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 REGISTRO DE SALARIOS ADEUDADOS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ■ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/
¿POR QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS? [redacted] TO/A [redacted]
(FROM/DESDE MM/DD/YY) (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE LOS SALARIOS DEBIDOS POR FECHA (__CHECK ONE/MARQUE UNO__):
☐ DAILY/DIARIO ☐ WEEK ENDING/FINAL DE SEMANA ■ PAY PERIOD ENDING/FINAL DEL PERIODO DE PAGO ☐ PAYDAY/DIA DE PAGO

DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $

ADDITIONAL NOTES/ NOTAS ADICIONALES: ________

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 REGISTRO DE SALARIOS ADICIONALES ADEUDADOS

ARE YOU A TIPPED EMPLOYEE?/ ¿ES USTED UN EMPLEADO QUE RECIBE PROPINAS? YES/SÍ ☐ NO ■
ARE YOU OWED TIPS?/ ¿ SE LE DEBE PROPINAS? YES/SÍ ☐ NO ■

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______________ TO/A ______________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ______________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ■

CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________

(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/ USTED DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO A ESTA OFICINA)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ______________

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE LA CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $ ______________

ARE YOU OWED COMMISSIONS?/ ¿ LE DEBEN A USTED COMISIONES? YES/SÍ ☐ NO ■
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
USTED DEBE DE ADJUNTAR UNA COPIA DEL PLAN DE COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $ ______________

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ■

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $ ______________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO) PAYOUT?/
¿OFRECE SU EMPLEADOR PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ■

*(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
USTED TIENE QUE PRESENTAR UNA COPIA DE LA POLITICA DE BENEFICIOS DE LA COMPAÑÍA)*

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : HOURS/ HORAS ______ DAYS/ DÍAS ________ WEEKS/ SEMANA ________

AMOUNT OWED?/¿QUÉ CANTIDAD LE DEBEN? $ ______________

**TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS NO PAGADOS QUE RECLAMA** [redacted]

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ■ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

[redacted]

YOUR CLAIM WILL BE REVIEWED FOR ADMINISTRATIVE ACTION ACCORDING TO DC CODE § 32-1308.01. ADDITIONAL INFORMATION MAY BE REQUESTED.

SU RECLAMACIÓ N SERÁ REVISADA POR ACCIÓ N ADMINISTRATIVA DE ACUERDO CON EL CÓ DIGO DE DC § 32-1308.01. INFORMACIÓ N ADICIONAL PUEDE SER REQUERIDA.

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE DOES OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, JURO O AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE SALARIOS Y HORAS DE TRABAJO DEL DEPARTAMENTO DE SERVICIOS DE EMPLEO (DOES, POR SUS SIGLAS EN INGLÉS)DEL DISTRITO DE COLUMBIA PARA DIVULGAR CUALQUIER Y/O TODA LA INFORMACIÓN CONTENIDA EN MI ARCHIVO DE RECLAMO A MI EMPLEADOR, PARA INVESTIGAR MI RECLAMO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/ FIRMA: [redacted] DATE/FECHA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO LA FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA, REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INHABILIDAD DE LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR ESTA SOLICITUD, YO HE IMPRIMIDO MI NOMBRE EN LA LÍNEA ASIGNADA.

[redacted] DATE/FECHA: [redacted]

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE **PRINT FULL NAME**/IMPRIMA SU NOMBRE COMPLETO

MAIL THIS FORM ALONG WITH SUPPORTING DOCUMENTATION TO (COPIES ONLY)
ENVÍE ESTE FORMULARIO JUNTO CON LOS DOCUMENTOS DE RESPALDO POR CORREO REGULAR A (SOLO COPIAS):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20 WP 364	
Assigned To: ______	
Date Assigned: ______	

DOES POH 2021 Q70

ID #: ___/___
Official Use Only

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED TRANSLATIONS THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☒
¿NECESITA TRADUCCIONES A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL? ______

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED?/ Contractor
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJA POR SU PROPIA CUENTA? YES/SÍ ☐ NO ☐

DO YOU CURRENTLY HAVE A COURT CASE FOR THESE UNPAID WAGES?/
¿TIENE USTED PENDIENTE CASO EN LA CORTE POR SUELDOS NO PAGADOS? YES/SÍ ☐ NO ☒

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:
STREET/CALLE: [redacted]
CITY/CUIDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20006

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/SU NOMBRE COMPLETO: [redacted]
LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SEGURO SOCIAL: [redacted]
STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]
CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]
DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]
EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: K Coleman Legal Document Prep, LLC
OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]
OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL NEGOCIO: 202 403 2283
BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 1629 K Street NW
CITY/CIUDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20006
TYPE OF BUSINESS/TIPO DE NEGOCIO: Legal Doc. Preparation Company
EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: Kcoleman@kcldp.com
IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO EN BANCARROTA? YES/SÍ ☐ NO ☒

OWH_WPForm Rev 05/17

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/
MARQUE SOLO LA OPCIÓN QUE APLICA A SU SITUACIÓN ACTUAL DE EMPLEO CON ESTA COMPAÑÍA)

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $ [redacted]

PER HOUR?/¿POR HORA? **YES**/SÍ ☑ NO ☐

PER DAY?/¿POR DÍA? **YES**/SÍ ☐ NO ☑

PER WEEK?/¿POR SEMANA? **YES**/SÍ ☐ NO ☑

DATE HIRED/FECHA CONTRATADO [redacted] 2020

EMPLOYEMENT STATUS/ ESTADO DE EMPLEO:

QUIT/ RENUNCIÓ **YES**/SÍ ☑ NO ☐

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? [redacted]

QUIT DATE/FECHA DE TERMINACIO[redacted] 2020

TERMINATED/ DESPIDIDO **YES**/SÍ ☐ NO ☑

TERMINATION DATE/FECHA DE TERMINACION: ______

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ______

STILL EMPLOYED/ USTED EMPLEADO/A **YES**/SÍ ☐ NO ☑

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: ______

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY?/¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

[redacted]

WERE YOU HIRED AS AN INDEPENDENT CONTRACTOR?/
¿SE CONTRATÓ PARA TRABAJAR CÓMO UN CONTRATISTA INDEPENDIENTE? **YES**/SÍ ☑ NO ☐

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: [redacted]

WHAT DAY IS PAYDAY?/¿EL DÍA DE PAGO? (I.E. FRIDAY/VIERNES) 9/18/2020

HOW OFTEN ARE YOU PAID ?/¿CUANTAS VECES? (CHECK ONE/MARQUE UNO):

☐ **HOURLY**/CADA HORA ☐ **DAILY**/DIARIO ☐ **WEEKLY**/SEMANAL

☑ **BI-WEEKLY**/ BI-SEMANAL ☐ **SEMI-MONTHLY**/ SEMI-MENSUAL ☐ **MONTHLY** / MENSUAL

WHEN DOES PAY PERIOD END?/ ¿FECHA FINAL DE PAGO? 9/13/2020

ARE YOU PAID BY/PAGAN EN: ☑ **CHECK** / CHEQUE ☐ **CASH** / EFECTIVO ☐ **BOTH** / AMBOS

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

no

(I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/
LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DID YOUR EMPLOYER KEEP A RECORD OF THE HOURS YOU WORKED?/
¿MANTUVO SU EMPLEADOR UN RECORD DE HORAS QUE SU TRABAJO? **YES**/SÍ ☑ NO ☐

IF YES, WHAT KIND OF RECORD WAS IT?/ ¿SI ES SÍ, QUÉ TIPO DE REGISTRO ERA?
(FOR EXAMPLE: TIME CARD/ TIME SHEET/ ETC.) time sheet

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/
¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ☒

IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)?
¿TIENE EL EMPLEADOR DEL DEMANDANTE UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☒

IF SO, HOW MANY PTO DAYS ________
SI ES SI, CUANTOS DÍAS ________

(YOU MUST PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/
DEBE USTED DE PRESENTAR UNA COPIA DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN)

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS: YES/SÍ ☐ NO ☒

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? /
¿TIENE USTED ALGÚN TIPO DE HERRAMIENTA QUE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ☒

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? /
¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ☒

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 RECORD DE SALARIOS ADEUDADAS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ☒ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/
¿QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS? [redacted] TO/A [redacted]

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE SALARIOS DEBIDOS POR FECHA (CHECK ONE/MARQUE UNO):
☐ DAILY/DIARIO ☒ WEEK ENDING/FINAL DE SEMANA ☐ PAY PERIOD ENDING/FINAL DEL PERIODO DE PAGO ☐ PAYDAY/DIA DE PAGO

DATE(S)	RATE OF PAY	HRS	AMOUNT	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
				/ / - / /	$	*	= $
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				/ / - / /	$	*	= $
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/ / - / /	$	*	= $	/ / - / /	$	*	= $
/ / - / /	$	*	= $	/ / - / /	$	*	= $

ADDITIONAL NOTES/ NOTAS ADICIONALES: ________

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 RECORD DE SALARIOS ADICIONALES ADEUDADAS

ARE YOU OWED TIPS?/¿DEBE USTED PROPINAS? YES/SÍ ☐ NO ☒

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______ TO/A ______

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ______

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ☒

CHECK #/NUMERO DEL CHEQUE: ______ DATE OF CHECK/FECHA DEL CHEQUE: ______
CHECK #/NUMERO DEL CHEQUE: ______ DATE OF CHECK/FECHA DEL CHEQUE: ______
CHECK #/NUMERO DEL CHEQUE: ______ DATE OF CHECK/FECHA DEL CHEQUE: ______

(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/ DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ______

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $ ______

ARE YOU OWED COMMISSIONS?/ ¿DEBE USTED COMISIONES? YES/SÍ ☐ NO ☒
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
DEBE PRESENTAR UNA COPIA DEL PLAN DE LA COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $ ______

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ☒

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $ ______

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO)?/
¿SU EMPRESA OFERTA PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☒

(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/ DEBE PRESENTAR UNA COPIA DE LA GUÍA DE BENEFICIOS DE LA COMPAÑÍA)

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : HOURS/ HORAS 142 DAYS/ DÍAS ______ WEEKS/ SEMANA ______

AMOUNT OWED?/¿QUÉ CANTIDAD DEBE? $ [redacted]

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS IMPAGADOS QUE RECLAMA $

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ☒ NO ☐

[redacted]

SECTION 7 VERIFICATION SHEET / SECCIÓN 7 HOJA DE VERIFICACIÓN

BE ADVISED THAT YOUR CLAIM WILL NOT BE PROCESSED IF ANY OF THE ABOVE REQUIRED SECTIONS ARE INCOMPLETE OR IF YOUR CLAIM IS NOT ACCOMPANIED BY THE NOTARIZED ASSIGNMENT FORM. THE OFFICE OF WAGE-HOUR WILL INVESTIGATE THE MERITS OF YOUR CLAIM.

LE INFORMAMOS QUE SUS RECLAMO NO SERÁ PROCESADO SI CUALQUIERA DE LAS SECCIONES NECESARIAS ESTAN INCOMPLETAS O SI EL FORMULARIO DE RECLAMO NO ES NOTARIZADO. DICHA OFICINA INVESTIGARA LOS MÉRITOS DE SU DEMANDA.

UNDER PENALTY OF PERJURY, I SWEAR THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A OFICINA DE IMPLEMENTACION DE LEYES LABORALES PARA REVELAR TODA LA INFORMACIÓN CONTENIDA EN EL ARCHIVO DEL RECLAMO AL EMPLEADOR, PARA INVESTIGAR EL RECLAMO MÍO Y TOMAR LAS MEDIDAS QUE SE CONSIDEREN NECESARIAS PAR A RESOLVER EL RECLAMO.

SIGNATURE/SU FIRMA [redacted] DATE/FECHA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INCAPACIDAD A LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO DE PAGO DE SALARIO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR EL FORMULARIO, YO HE IMPRIMIDO ME NOMBRE COMPLETO DEL RECLAMANTE EN LA LÍNEA ASIGNADA.

[redacted] DATE/FECHA: [redacted]

SIGNATURE OF ASSISTANT / FIRMA DEL ASISTENTE PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO

MAIL THIS FORM ALONG WITH THE NOTARIZED ASSIGNMENT TO (ORIGINALS ONLY)
ENVIE ESTE FORMULARIO POR CORREO, JUNTO CON LA SOLICITUD ASIGNADA NOTARIZADA (SOLO ORIGINALES):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Complaint #: 20-WP-357
Assigned To: ______
Date Assigned: ______

DOES POH 2021 Q70

ID #: ___/___
Official Use Only

RCVD 17 SEP '20
TH, 17 P#3:51

D.C. OFFICE OF WAGE-HOUR: WAGE PAYMENT CLAIM FORM

Oficina de Salarios y Horas de Trabajo de D.C.: Formulario de Reclamación de Pago de Salario

PRELIMINARY QUESTIONS / PREGUNTAS PRELIMINARIAS

DO YOU NEED INTERPRETATION/TRANSLATION SERVICES THROUGHOUT YOUR INVESTIGATION? YES ☐ NO ☒
¿NECESITA SERVICIOS DE INTERPRETACIÓN Y/O TRADUCCIÓN A LO LARGO DE SU INVESTIGACIÓN? SI ☐ NO ☐

WHAT IS YOUR PRIMARY LANGUAGE? English
¿CUÁL ES SU IDIOMA PRINCIPAL? ______

WERE YOU HIRED TO WORK AS A SUBCONTRACTOR OR WERE YOU SELF-EMPLOYED? YES ☐ NO ☒
¿FUE CONTRATADO PARA TRABAJAR CÓMO UN SUBCONTRATISTA O TRABAJO POR SU PROPIA CUENTA? SÍ ☐ NO ☐

STREET ADDRESS WHERE THE WORK WAS PERFORMED/ DIRECCIÓN DE LA CALLE DONDE EL TRABAJO SE REALIZÓ:

STREET/CALLE [redacted]

CITY/CUIDAD: 20024 STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20024

SECTION 1 PERSONAL INFORMATION/SECCIÓN 1 INFORMACIÓN PERSONAL

FULL NAME/ NOMBRE COMPLETO: [redacted]

LAST 4 DIGITS OF SOCIAL SECURITY NUMBER/ÚLTIMO CUATRO NÚMEROS DE SU SEGURO SOCIAL: [redacted]

STREET ADDRESS/DIRECCIÓN DE DOMICILIÓ: [redacted]

CITY/CUIDAD: [redacted] STATE/ESTADO: [redacted] ZIP CODE/CÓDIGO POSTAL: [redacted]

DAYTIME PHONE NUMBER(S)/SU NÚMERO DE TELÉFONO: [redacted]

EMAIL ADDRESS/SU CORREO ELECTRÓNICO: [redacted]

SECTION 2 BUSINESS INFORMATION/SECCIÓN 2 INFORMACIÓN DEL NEGOCIO

BUSINESS NAME/NOMBRE DEL NEGOCIO: Washington Life magazine

OWNER'S FULL NAME/NOMBRE DEL DUEÑO: [redacted]

OWNER'S/BUSINESS PHONE #/NÚMERO DE TELÉFONO DEL DUEÑO /NEGOCIO: (202) 578=8320 or (202) 492-5551

BUSINESS STREET ADDRESS/ DIRECCIÓN DEL NEGOCIO: 2301 Tracy Place, NW

CITY/CIUDAD: Washington STATE/ESTADO: DC ZIP CODE/CÓDIGO POSTAL: 20024

TYPE OF BUSINESS/TIPO DE NEGOCIO: Magazine

HOW MANY EMPLOYEES?/ ¿CUÁNTOS EMPLEADOS TIENE EL NEGOCIO? (CHECK ONE/MARQUE UNO):

☒ LESS THAN 25/MENOS DE 25 ☐ 25 TO 99/25 A 99 ☐ 100 OR MORE/100 O MÁS

EMPLOYER'S EMAIL ADDRESS/CORREO ELECTRÓNICO DEL EMPLEADOR: [redacted]@washingtonlife.com or [redacted]@wash

IS THE BUSINESS CLOSED OR IN BANKRUPTCY?/¿ESTÁ CERRADO EL NEGOCIO O EN BANCARROTA? YES/SÍ ☐ NO ☒

OWH_WPForm Rev 01/20

SECTION 3 EMPLOYMENT INFORMATION/SECCIÓN 3 INFORMACIÓN DE EMPLEO

(CHECK ONLY THE OPTION THAT APPLIES TO YOUR CURRENT EMPLOYMENT STATUS WITH THIS COMPANY/
MARQUE SOLO LA OPCIÓN QUE APLICA A SU ESTADO ACTUAL DE EMPLEO CON ESTA COMPAÑÍA)

CURRENT RATE OF PAY/ TASA ACTUAL DE PAGO: $[redacted]

PER HOUR?/ ¿POR HORA? YES/SÍ ☐ NO ☐

PER DAY?/ ¿POR DÍA? YES/SÍ ☐ NO ☐

PER WEEK?/ ¿POR SEMANA? YES/SÍ ☒ NO ☐

DATE HIRED/FECHA DE CONTRATACIÓ[redacted]2009

EMPLOYMENT STATUS/ ESTADO DE EMPLEO:

QUIT/ RENUNCIÓ YES/SÍ ☐ NO ☒

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ______

QUIT DATE/FECHA DE RENUNCIA: ___-___-___

TERMINATED/ FUE DESPEDIDO YES/SÍ ☐ NO ☒

TERMINATION DATE/FECHA EN QUE FUE DESPEDIDO: ___-___-___

IF YES, WHY?/¿SÍ ES SÍ, PORQUE? ______

STILL EMPLOYED/ TODAVÍA ESTA EMPLEADO/A YES/SÍ ☐ NO ☐

LAST DAY WORKED/EL ÚLTIMO DÍA QUE TRABAJO: ______

WHAT TYPE OF WORK DID YOU DO FOR THIS COMPANY? /¿QUE TIPO DE TRABAJO HIZO USTED PARA ESTÁ COMPAÑIA?

______

WERE YOU MISCLASSIFIED AS AN INDEPENDENT CONTRACTOR?/
¿FUE ERRÓNEAMENTE CLASIFICADO COMO CONTRATISTA INDEPENDIENTE? YES/SÍ ☒ NO ☐

FULL NAME OF YOUR SUPERVISOR/NOMBRE COMPLETO DE SU SUPERVISOR: [redacted]

WHAT DAY IS PAYDAY?/¿QUÉ DÍA ES EL DÍA DE PAGO? (I.E. FRIDAY/VIERNES) 1st and 15h of the month

HOW OFTEN ARE YOU PAID ?/¿CON QUE FRECUENCIA LE PAGAN? (CHECK ONE/MARQUE UNO):

☐ HOURLY/CADA HORA ☐ DAILY/DIARIO ☐ WEEKLY/SEMANAL

☒ BI-WEEKLY/ BI-SEMANAL ☐ SEMI-MONTHLY/ SEMI-MENSUAL ☐ MONTHLY / MENSUAL

WHEN DOES PAY PERIOD END? / ¿CUÁNDO SE TERMINA EL PERIODO DE PAGO? 14th and 31st

ARE YOU PAID BY/ LE PAGAN EN: ☒ CHECK / CHEQUE ☐ CASH / EFECTIVO ☐ BOTH / AMBOS

WHAT IS YOUR WORK SCHEDULE?/¿CUÁL ES SU HORARIO DE TRABAJO?

[redacted]

(I.E., MON, WED, FRI 10:00AM – 4:30PM, TUE & SAT 9:30AM-8:00PM WITH ½ HR LUNCH BREAK – INCLUDE ANY BREAKS/
LUNES, MIÉRCOLES, VIERNES 10:00AM – 4:30PM, MARTES & SÁBADO 9:30AM-8:00PM CON ½ HR ALMUERZO – INCLUYE TIEMPOS DE DESCANSO)

DID YOUR EMPLOYER KEEP A RECORD OF THE HOURS YOU WORKED?/
¿MANTUVO SU EMPLEADOR UN REGISTRO DE HORAS QUE USTED TRABAJO? YES/SÍ ☐ NO ☒

IF YES, WHAT KIND OF RECORD WAS IT?/¿SÍ ES SÍ, QUÉ TIPO DE REGISTRO ERA?
(FOR EXAMPLE: TIME CARD/ TIME SHEET/ ETC.) ______

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 REGISTRO DE SALARIOS ADICIONALES ADEUDADOS

ARE YOU A TIPPED EMPLOYEE?/¿ES USTED UN EMPLEADO QUE RECIBE PROPINAS? YES/SÍ ☐ NO ☐
ARE YOU OWED TIPS?/¿ SE LE DEBE PROPINAS? YES/SÍ ☐ NO ■

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______________ TO/A ______________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ______________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ☐

CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________

(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/ USTED DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO A ESTA OFICINA)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ______________

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE LA CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $ ______________

ARE YOU OWED COMMISSIONS?/ ¿ LE DEBEN A USTED COMISIONES? YES/SÍ ■ NO ☐
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
USTED DEBE DE ADJUNTAR UNA COPIA DEL PLAN DE COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: [redacted]

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ■

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $ ______________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO) PAYOUT?/
¿OFRECE SU EMPLEADOR PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ■

*(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
USTED TIENE QUE PRESENTAR UNA COPIA DE LA POLITICA DE BENEFICIOS DE LA COMPAÑÍA)*

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : HOURS/ HORAS ______ DAYS/ DÍAS ________ WEEKS/ SEMANA ________

AMOUNT OWED?/¿QUÉ CANTIDAD LE DEBEN? $ ______________

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS NO PAGADOS QUE RECLAMA [redacted]

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ■ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

[redacted]

SECTION 4 TYPE OF CLAIM ARE YOU FILING / SECCIÓN 4 TIPO DE RECLAMACIÓN QUE ESTÁ PRESENTANDO

DO YOU HAVE ANY OUTSTANDING LOAN BALANCES DUE TO YOUR EMPLOYER?/
¿USTED TIENE ALGÚN TIPO DE PRÉSTAMO QUE LE DEBE A SU EMPLEADOR? YES/SÍ ☐ NO ☐

IF YES, HOW MUCH?/¿SI ES SÍ, CUÁNTO? $________

DOES YOUR COMPANY HAVE A PAID TIME OFF POLICY (PTO)?
¿TIENE SU EMPLEADOR UNA POLÍTICA DE PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ☒

IF SO, HOW MANY PTO DAYS ________
SI ES SI, DE CUANTOS DÍAS ________

*(YOU __MUST__ PROVIDE COPY(IES) OF PAY STUB(S) SHOWING THE DEDUCTION(S)/
USTED DEBE DE PROPORCIONAR COPIA(S) DE LOS TALONARIOS DE PAGO DEMOSTRANDO LA DEDUCCIÓN(S))*

UNAUTHORIZED DEDUCTIONS/DEDUCCIONES NO AUTORIZADAS: YES/SÍ ☒ NO ☐

DO YOU HAVE ANY EQUIPMENT BELONGING TO THIS EMPLOYER? /
¿TIENE USTED ALGÚN TIPO DE EQUIPO QUE LE PERTENEZCA A SU EMPLEADOR? YES/SÍ ☐ NO ☐

WERE YOU AN OFFICER OF THE CORPORATION, OR A PARTNER IN THE BUSINESS? /
¿HA SIDO USTED UN FUNCIONARIO DE LA CORPORACIÓN O UN SOCIO EN EL NEGOCIO? YES/SÍ ☐ NO ☒

SECTION 5 RECORD OF WAGES OWED / SECCIÓN 5 REGISTRO DE SALARIOS ADEUDADOS

ARE YOU FILING FOR YOUR WAGES?/ ¿USTED ESTÁ RECLAMANDO POR SU PAGO? YES/SÍ ☒ NO ☐

FOR WHAT TIME PERIOD WERE YOU NOT PAID WAGES?/
¿POR QUÉ PERÍODO DE TIEMPO NO LE PAGARON SU SALARIOS? [redacted] TO/A [redacted]
(FROM/DESDE MM/DD/YY) (MM/DD/YY)

PLEASE LIST WAGES OWED BY DATE /POR FAVOR LISTE LOS SALARIOS DEBIDOS POR FECHA (__CHECK ONE/MARQUE UNO__):
☐ DAILY/DIARIO ☒ WEEK ENDING/FINAL DE SEMANA ☒ PAY PERIOD ENDING/FINAL DEL PERIODO DE PAGO ☐ PAYDAY/DIA DE PAGO

DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD	DATE(S) FECHA(S)	RATE OF PAY TASA DE PAGO	HRS HORAS	AMOUNT CANTIDAD
[redacted]							

ADDITIONAL NOTES/ NOTAS ADICIONALES: I am owed $37,000 in lost wages, per my contract from 04/01 to 8/11/20 plus up to 4x damages for being late, or $148,000.00

[redacted]

SECTION 6 RECORD OF ADDITIONAL WAGES OWED / SECCIÓN 6 REGISTRO DE SALARIOS ADICIONALES ADEUDADOS

ARE YOU A TIPPED EMPLOYEE?/¿ES USTED UN EMPLEADO QUE RECIBE PROPINAS? YES/SÍ ☐ NO ☐
ARE YOU OWED TIPS?/¿ SE LE DEBE PROPINAS? YES/SÍ ☐ NO ■

IF YES, LIST DATES/ SÍ ES SÍ, LISTA LAS FECHAS ______________ TO/A ______________

AMOUNT OF TIPS OWED/ CANTIDAD DE PROPINAS DEBIDO $ ______________

DO YOU HAVE A BAD CHECK(S)?/ ¿USTED TIENE UN CHEQUE(S) SIN FONDOS?: YES/SÍ ☐ NO ☐

CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________
CHECK #/NUMERO DEL CHEQUE: __________ DATE OF CHECK/FECHA DEL CHEQUE: __________

(YOU MUST PROVIDE A COPY OF THE BAD CHECK TO THIS OFFICE/ USTED DEBE PROVEER UNA COPIA DEL CHEQUE SIN FONDO A ESTA OFICINA)

ADDITIONAL NOTES/ NOTAS ADICIONALES: ______________

IF YES, INDICATE TOTAL AMOUNT OF ALL BAD CHECKS /
SI ES SÍ, INDIQUE LA CANTIDAD TOTAL DE TODO LOS CHEQUES SIN FONDO: $______________

ARE YOU OWED COMMISSIONS?/ ¿ LE DEBEN A USTED COMISIONES? YES/SÍ ■ NO ☐
(YOU MUST ATTACH A COPY OF EMPLOYER'S COMMISSION PLAN/
USTED DEBE DE ADJUNTAR UNA COPIA DEL PLAN DE COMISIÓN DEL EMPLEADOR)

IF YES, INDICATE AMOUNT/SÍ ES SÍ, INDIQUE CUÁNTO: $[redacted]

HAVE YOU RECEIVED ANY ADVANCES ON THE WAGES DUE?/
¿HA RECIBIDO USTED ALGÚN ADELANTO DE DINERO DEL CUAL RECLAMA? YES/SÍ ☐ NO ■

IF YES, HOW MUCH?/ ¿SÍ ES SÍ, CUÁNTO? $______________

DOES YOUR COMPANY OFFER VACATION PAY OR PAID TIME OFF (PTO) PAYOUT?/
¿OFRECE SU EMPLEADOR PAGO DE VACACIONES O PAGO POR TIEMPO LIBRE? YES/SÍ ☐ NO ■

*(YOU MUST PROVIDE A COPY OF THE COMPANY'S VACATION POLICY/
USTED TIENE QUE PRESENTAR UNA COPIA DE LA POLITICA DE BENEFICIOS DE LA COMPAÑÍA)*

IF SO, HOW MANY/ SÍ ES SÍ, CUÁNTO : HOURS/ HORAS ______ DAYS/ DÍAS ________ WEEKS/ SEMANA ________

AMOUNT OWED?/¿QUÉ CANTIDAD LE DEBEN? $______________

TOTAL AMOUNT OF UNPAID WAGES YOU ARE CLAIMING/
TOTAL DE LOS SUELDOS NO PAGADOS QUE RECLAMA $[redacted]

HAVE YOU DEMANDED YOUR UNPAID WAGES?/
¿HA EXIGIDO USTED EL PAGO DE SU SALARIO? YES/SÍ ■ NO ☐

WHAT REASON DID THE EMPLOYER GIVE FOR NOT PAYING YOU?/ ¿QUE RAZÓN LE DIO EL EMPLEADOR PARA NO PAGARLE?

[redacted]

SECTION 7 VERIFICATION SHEET / SECCIÓN 7 HOJA DE VERIFICACIÓN

YOUR CLAIM WILL BE REVIEWED FOR ADMINISTRATIVE ACTION ACCORDING TO DC CODE § 32-1308.01. ADDITIONAL INFORMATION MAY BE REQUESTED.

SU RECLAMACIÓ N SERÁ REVISADA POR ACCIÓ N ADMINISTRATIVA DE ACUERDO CON EL CÓ DIGO DE DC § 32-1308.01. INFORMACIÓ N ADICIONAL PUEDE SER REQUERIDA.

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM THAT THE INFORMATION I HAVE GIVEN ON THIS COMPLAINT FORM IS TRUE AND ACCURATE. I AUTHORIZE THE DOES OFFICE OF WAGE-HOUR TO RELEASE ANY AND ALL INFORMATION CONTAINED IN MY COMPLAINT FILE TO MY EMPLOYER, TO INVESTIGATE MY CLAIM, AND TAKE ANY ACTION DEEMED NECESSARY TO RESOLVE THE CLAIM.

BAJO PENA DE PERJURIO, JURO O AFIRMO QUE LA INFORMACIÓN QUE HE DADO EN ESTE FORMULARIO DE RECLAMO ES VERDADERA Y PRECISA. AUTORIZÓ A LA OFICINA DE SALARIOS Y HORAS DE TRABAJO DEL DEPARTAMENTO DE SERVICIOS DE EMPLEO (DOES, POR SUS SIGLAS EN INGLÉS) DEL DISTRITO DE COLUMBIA PARA DIVULGAR CUALQUIER Y/O TODA LA INFORMACIÓN CONTENIDA EN MI ARCHIVO DE RECLAMO A MI EMPLEADOR, PARA INVESTIGAR MI RECLAMO Y TOMAR LAS MEDIDAS QUE SE [redacted]

SIGNATURE/ FIRMA: [redacted] DATE/FECHA: [redacted]

ORIGINAL SIGNATURE REQUIRED (ONLY ORIGINAL SIGNATURE ACCEPTED)/
FIRMA ORIGINAL REQUERIDA (SOLO LA FIRMA ORIGINAL SE ACEPTARA)

UNDER PENALTY OF PERJURY, I HEREBY CERTIFY THAT THE CLAIMANT NAMED ABOVE, WHO REQUIRES ASSISTANCE DUE TO DISABILITY OR INABILITY TO READ OR WRITE, AUTHORIZED ME TO COMPLETE THIS WAGE PAYMENT CLAIM FORM FOR HIM/HER. IF THE CLAIMANT WAS UNABLE TO SIGN THIS APPLICATION, I HAVE PRINTED MY NAME ON THE SIGNATORY LINE.

BAJO PENA DE PERJURIO, YO CERTIFICO QUE EL RECLAMANTE NOMBRADO ARRIBA, REQUIRIÓ ASISTENCIA A CAUSA DE INCAPACIDAD O INHABILIDAD DE LEER O ESCRIBIR, ME AUTORIZÓ A COMPLETAR ESTE FORMULARIO DE RECLAMO PARA ÉL/ELLA. SI EL RECLAMANTE NO PUEDE FIRMAR ESTA SOLICITUD, YO HE IMPRIMIDO MI NOMBRE EN LA LÍNEA ASIGNADA.

SIGNATURE OF ASSISTANT/ FIRMA DEL ASISTENTE ____ PRINT FULL NAME/IMPRIMA SU NOMBRE COMPLETO ____ DATE/FECHA: ____

MAIL THIS FORM ALONG WITH SUPPORTING DOCUMENTATION TO (COPIES ONLY)
ENVÍE ESTE FORMULARIO JUNTO CON LOS DOCUMENTOS DE RESPALDO POR CORREO REGULAR A (SOLO COPIAS):

D.C. DEPARTMENT OF EMPLOYMENT SERVICES
OFFICE OF WAGE-HOUR
4058 MINNESOTA AVENUE, NE, SUITE 3600 | WASHINGTON, D.C. 20019 | PHONE: (202) 671-1880 | FAX: (202) 673-6411

Most Recent 10 Settlements

	Claim #s	a. The date the settlement agreement was executed	b. The date of complaint(s) underlying the settlement agreement	c. Alleged violations that the settlement purports to resolve (whether or not the employer admits the allegations);	d. Number of employees covered by the settlement agreement;	e. Total amount of payments employees will receive under the settlement agreement	f. Deadline(s) for required payment(s);	g. Whether full payment was received by the deadline (if passed) or at all; and	h. Any other required action or compensation by the employer, such as employer agrees to provide additional sick days, comply with other District laws,
1	20-WP-048	1/23/2020	10/30/2019	unpaid wages due	Less than 10	1	wages, damages and penalty by 1/14/20	yes	No
2	20-WP-079	1/28/2020	12/4/2019	unpaid wages due	Less than 10	1	wages by 1/31/20	yes	No
3	20-MW-9	2/4/2020	11/9/2019	unpaid wages due	Less than 10	1	wages by 2/14/20	yes	No
4	19-WP-200	3/24/2020	3/5/2019	unpaid wages due	Less than 10	2	Wages and penalty by 6/1/20	yes	no
5	20-WP-291	8/10/2020	3/29/2020	unpaid wages due	Less than 10	1	Wages, damages and penalty by 8/17/20	No, deadline was 8/26/20	No
6	20-WP-239	8/12/2020	2/24/2020	unpaid wages due	Less than 10	1	8/19/2020	No, deadline was 8/26/20; penalty received 9/23/20	No
7	21-WP-4514	12/8/2020	10/26/2020	unpaid wages due	Less than 10	5	Beginning 12/23/20-5/23/21; penalty 4/23 and 5/23/21	Pending	No
8	20-WP-169	10/21/2020	1/26/2020	wages, damages, leave	Less than 10	1	11/12/2020	Yes	No
9	20-WP-218	12/2/2020	2/11/2020	damages due	Less than 10	1	Damages received 12/23/20; penalty paid 12/12/20	Yes	No
10	19-WP-530	12/2/2020	9/16/2019	unpaid wages due	Less than 10	1	wages received 9/18/20; penalty 12/23/20	Yes	No