**OPTUM**®

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August 16, 2019

U.S. Citizenship and Immigration Services
California Service Center

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| **Re:** | **Petition for L-1B Status** |
| **File:** | **WAC1920250144** |
| **Petitioner:** | **Optum Services, Inc.** |
| **Beneficiary:** | **Himanshu Srivastava** |

Dear Sir or Madam:

This letter is submitted in response to the Request for Evidence (RFE) that was issued by your office on May 28, 2019, regarding Optum Services, Inc. ("Optum")'s individual L-1B petition seeking to obtain Mr. Himanshu Srivastava's ("Mr. Srivastava") temporary services in a specialized knowledge capacity as Software Engineer. My name is Vijay D'Souza, Director Technology for Optum Services, Inc., and I am authorized to confirm the information contained herein for Optum Services, Inc.

## The Petitioner

Optum Services, Inc. is part of UnitedHealth Group Incorporated ("UnitedHealth Group" or "Petitioner"), a leading healthcare company serving more than 85 million people worldwide. Optum Services, Inc. has its own federal taxpayer identification number and serves as the employer of many of the employees who work within UnitedHealth Group. However, for purposes of corporate identification and marketing, UnitedHealth Group stands as the identity of our corporate enterprise, which includes six major business units: UnitedHealthcare Employer & Individual, UnitedHealthcare Medicare & Retirement, UnitedHealthcare Community & State, OptumHealth, OptumInsight, and OptumRx. The business units are strategically linked, which allows us to offer exceptional service, broad capabilities, and enduring value in creating a modern healthcare system.

## Responses to Specific Questions/Requests

1. **Proprietary Technologies: United HealthOne 2.0 ("UHOne 2.0") application, UHOne Facets Batch ("UHOne Facets") framework, Claims and Financial Tagging System ("FTS")**

Optum would like to continue to employ Mr. Srivastava in the Specialized Knowledge position of Software Engineer for a continued period of two years. In this position, Mr. Srivastava will work closely with business team in implementation, review, and provide technical expertise to cross-

sectional team members assigned to the UHOne 2.0 proprietary applications. The proprietary United HealthOne 2.0 ("UHOne 2.0") application, UHOne Facets Batch ("UHOne Facets") framework, and the Claims and Financial Tagging System ("FTS") technologies are an integrated family of Optum proprietary applications to support UHOne's major healthcare products like HPG2, APG, Dental Gen3, Healthiest You and other short-term products in production pipeline by enabling the claim processing, enrollment, billing and payments to servicing provider.

The primary goal of the application is to support UHOne's new business sales, installation, ongoing administration, and launch of new products. The application provides users with the ability to generate new business proposals from any location for all available and new products in any state. It also generates online rates based on benefit selection, census information, and other factors such as geographic location and industry. UHOne's rating system supports new business proposals and installations as well as plan changes and renewals for existing customers. Once a new product is launched, policy, benefit and eligibility data are fed to support systems to produce contracts and ID cards. It will also establish claim, eligibility, billing, and commission information using UHOne 2.0 facets batch framework. UHOne 2.0 Facets batch framework maintains databases that support the client base as well as the functions that are key to the automated administration of the business. Policy, benefit, and employee/dependent data is transmitted daily whenever changes in status occur. Financial Tagging System provides the billing and accounting functions for UHOne 2.0 policies, including payment and delinquency tracking, and electronic generation of letters to customers. As a major source of UnitedHealth Group's total business, the UHOne 2.0 application relies on numerous proprietary applications and subsystems to operate effectively.

The UHOne 2.0 application, UHOne Facets framework, and the Claims and FTS system technologies are essential to UHOne claim, eligibility and billing processing for the products currently in market and others in production pipeline. UHOne's commercial products like HPG2, APG, Dental Gen3, and Lean Products generate claims which need to be processed automatically within the Service Level Agreement (SLA). If the SLA is not met, the Company could suffer interest or penalty to the practitioner/insured. The proprietary application is critical business functionality for claims processing and UHOne products to succeed. **The UHOne 2.0 application generates estimated revenue of $500 million per year**.

**UnitedHealth One (UHOne) 2.0 application:** is a UHOne proprietary application solution, which provides a lower cost, modern platform for retail health businesses to service the consumers through their choice of channels at a time of their choosing. It allows for first-touch resolution, products that are affordable; in a financially sustainable model. Additionally UHOne 2.0 application enables an "outside-in" consumer experience through implementation of the Human Centered Design and Lean Start Up methodologies; maximizes business responsiveness to regulatory changes and opportunities through simplified Legal and Compliance processes; expands product and service offerings for consumers through a streamlined product development cycle; and increases direct leadership exposure to consumers through expanded listening/shadowing sessions with call center staff.

**UHOne Facets Batch Framework:** is an Optum proprietary framework that processes Facets core batches using common batch wrapper NT_COMMON_BATCHWRPR. The common wrapper executes a custom batch wrapper to read the configuration xml, perform any pre-and post-

processes, modify the run book, and execute the batch. This script receives batch name and database name as parameters. Based on the batch name, the corresponding section in the configuration file is read and all the batch specific information is fetched and stored in a global dictionary object. In addition, the generic information is received and stored in the dictionary object. The various steps in the pre-process xml are read and the required steps are executed. The runbook for the batch is modified with the override parameters and the modified runbook is run to execute the batch. The various steps in the post process xml are read and the required steps are executed. The scope of this enhancement was to provide an automated solution for facets batch program to run it without any manual intervention. Along with that framework was enhanced to support multiple files and trading partners. Mr. Srivastava played a critical role as a Facets SME in designing and testing of the batch flow and how the scheduling was automated. As a result of the changes, over 60 new batches have been created and tested and an additional, 100+ batches are planned to support future growth.

**Financial Tagging System (FTS)**: is a part of Optum's proprietary FSG (Financial Summary Group) suite of applications, and is a crucial application for day-to-day financial activities for Optum and United Healthcare. The FTS application is responsible for financial tagging all the data from various claims processing engines within Optum with the corporate General Ledger. This data, in turn, feeds into UnitedHealth Group's financial statements. This makes FTS one of the most critical applications in the accounting area. The FTS suite of applications, including FDS, UMAS, and UCAS, utilizes the services of FTS to ensure appropriate data is tagged on the respective feeds.

In addition to specialized knowledge of the UHOne 2.0 application, UHOne Facets framework, and the FTS system , the U.S. position also requires specialized knowledge in following proprietary UHOne 2.0 application, UHOne Facets framework, and the FTS system  sub-applications:

- **Health Protector Guard 2:** HPG2 is the first medical product to be launched by UHOne that will generate claims. Whenever a provider (Practitioner or Facility) provides service to a patient, they submit a claim (paper or electronic) to the insurer through the UHOne application. Based on the service rendered and the visit amount paid by the patient, a fair amount needs to be paid to the provider or patient for each claim. The proprietary HPG2 application, developed in-house by Mr. Srivastava, calculates the amounts to be paid to the provider or patient by UHOne. The proprietary application uses hundreds of business logics rules and algorithms specific to a product for this calculation. Once the calculation is done, the application tells the printing vendor to issue check for the amount to be paid along with PRA (Provider Remittance Advice) and EOB (Explanation Of Benefits). Without this application in place, the claim cannot be issued, which results in failure of the products launched in market.

- **Financial Tagging System – FDRI**: FDRI (Financial Data and Reporting Improvement Program) focuses on improving the accuracy and automation of the financial reporting for Specialty Benefits.  This project was created to handle a subset of all the changes under the FDRI program which includes creating and sending membership transactions to financial tagging System. There is a complex algorithm that runs in the background to ensure that the all retroactivities that has been happen in current rolling period should have been reported to General Ledger. A separate process has been developed for scenarios, when Membership

transactions posted incorrectly to the General Ledger. In such a scenario, these transactions need to be Reversed and then Corrected by the process.

- **Stepwise Bulk Update Rate Engine:** This is an application that generates online rates based on benefit selection, census information, and other factors such as geographic location and industry. UHOne's rating system also supports new business proposals and installations as well as plan changes and renewals for existing customers. It provides an on demand portal for business users to generate quotes for customers based on benefit selection. It also used to re-rate the subscribers during a monthly or annual updates. This process is critical as it lets the subscriber know and pay the actual premium to the insurance company in order to maintain the policy active. The policy holder enrolled on UHOne products on Facets can review their rates by calling the customer service in a real-time manner. Mr. Srivastava worked with cross-sectional teams to integrate and implement Stepwise services in UHOne. With his technical knowledge, he implemented the unique architecture for Stepwise services and supervised implementation of separate Stepwise modules.

- **UHOne Online Enrollment:** This is business-critical module with multiple enhancements planed for which Mr. Srivastava's presence is required. Mr. Srivastava created the architecture, functional design and baselined the process from its scratch and successfully developed, tested and working with Business team to implement new enhancements Mr. Srivastava has already utilized his specialized knowledge of the UHOne platform and eligibility intake Framework to recommend and implement several enhancements that improve reliability and user experience of the application.

- **UHOne Claims and Repricing:** The scope of this enhancement was to provide an automated solution for Claims processing and repricing. UHOne Claims repricing application reprice the claims received by UHOne using the repricing client MULTIPLAN. For every valid claim in the daily 837 EDI file, provider, procedure, and price of the procedures performed are identified and repriced using the Multiplan repricing engine for various trading partner. Mr. Srivastava expertise in claims and repricing module played an important role in designing, development and testing of the claims processing and repricing framework.He also researched and evaluates alternative solutions for complex business requirements and proposed claims Multiplan Recall process to retain the data fields from the original 837 and not the one returned from Multiplan. He further fine-tuned the developed/existing code for Performance optimization.

## Optum's proprietary software development framework:

Optum's Interface development framework follows OSAM (Optum Scalable Agile Method) principles of agile development which is a scalable, lean, metrics-driven approach to software delivery that fosters engineering excellence and agile maturity at any scale. It also consists variety of method, tools and frameworks. Additionally, Facets Batch Framework is an Optum proprietary framework that processes Facets core batches using common batch, perform any pre-and post-processes, modify the run book, and execute the batch jobs. The Facets Batch Framework also consists of complex applications such as Eligibility, Intake, Claims Repricing, Financial Tagging System, Stepwise Rate Engine and Membership Maintenance applications that are configured as per Optum's development standards and coding principles. Talend and mule development

framework has been built from scratch that used to develop, deploy and execute Talend and Mule applications, these frameworks, build and deploy tools are configured in-house and not available outside Optum's ecosystem. Mr. Srivastava has over 6 years of Optum's interface development experience and has been built some of these frameworks from scratch.

2. **Specialized Knowledge Position in the U.S.:**

UHOne 2.0 application enables an "outside-in" consumer experience through implementation of the Human Centered Design and Lean Start Up methodologies; maximizes business responsiveness to regulatory changes and opportunities through simplified Legal and Compliance processes; expands product and service offerings for consumers through a streamlined product development cycle; and increases direct leadership exposure to consumers through expanded listening/shadowing sessions with call center staff. The UHOne 2.0 application currently administers approximately **115,000 policies to 160K members, generates an estimated revenue of $500 million per year**. As such a large portion of UnitedHealth Group's business, the maintenance and improvement of UHOne 2.0 is vitally important to continued growth and profitability of the company.

Mr. Srivastava has been an integral part of the UHOne 2.0 application since it's initiation in 2017 and developed many of the proprietary components such as the UHOne Facets Batch framework, utilizing his specialized knowledge in the UHOne 2.0 Claims and finance process. The framework Application manages all claims processing for UHOne products launched in the United States. The primary goal of the application is to support UHOne's products like HPG2, Dental Gen3 and other short-term products in pipeline by enabling the claim processing and payments to servicing provider. Consequently, Optum has decided to further enhance the UHOne 2.0 application, UHOne Facets framework, and the FTS system to address the changes needs in US healthcare system and, hence, Mr. Srivastava's vast expertise is required to continue to improve the quality of services delivered to our consumers by updating and implementing new functionalities to this robust and reliable proprietary platform.

Optum is currently engaged in substantial enhancements of UHOne 2.0 to address the changes needs in US healthcare system and, hence, Mr. Srivastava's vast expertise is required to continue to improve the quality of services delivered to our consumers by updating and implementing new functionalities to this robust and reliable proprietary platform. Optum is currently engaged in increasing the number of UHOne products launched in US market in response to Affordable Care Act. To further this business need, the UHOne2.0 claim processing functionality will be implemented for the HPG2 (Health Protector Guard 2) and APG (Accident Protector Guard product, with later plans to implement this functionality in Dental Gen3, Lean Products, and other short term products. All of these UHOne commercial products will rely on the UHOne Batch framework and financial tagging system application developed by Mr. Srivastava. This enhancement/initiative require his specialized knowledge as Mr. Srivastava is the Batch framework architect who has designed the framework and currently maintaining them and he understands the business needs. Mr. Srivastava is required to maintain Automated Member and Claims Creator tool for business users which is used during system and integration testing to create new members and claims data in test environments. Same time zone presence and availability will ensure accelerated and expedite delivery for stringent project schedules and enhancement of

business knowledge. His presence is critical for the smooth delivery and implementation of all the above enhancements to production as it directly impacts the Company's business interests and quality of service provided to the Optum and UnitedHealth Group's customers.

Further, Mr. Srivastava will work in parallel with Business, Configurations, Quality Assurance and Release Management teams in the deploying the changes for below system enhancements which are still changing and requires Mr. Srivastava's expertise for all of 2019 and 2020 deliverables as already agreed to by Business:

- **ACA for North Carolina:** UHOne is UnitedHealth Group platform to support ACA membership for North Carolina initially and then rolled out for New Jersey and New York. Starting in 2019 and finishing in 2020, enhancements will be made to UHOne 2.0 to ensure that we are compliant with State and Federal regulations and able to provide services on the platform. Success of this program will lead to UnitedHealth Group returning to the ACA. Financials have not been designed as the project is in early stages of analysis.
    - o Mr. Srivastava is a key resource, who has complete understanding of UHOne's interface development methodology in the agile environment. He also has conducted multiple "Business Requirement walkthroughs" and discussions with senior-level stakeholders regarding the necessary changes to the application. He is already working with Optum Advisory Services team for defining the approach for UHOne's re-entry into ACA with North Carolina. His prior experience with Optum's development framework equips him to give feasibility checks in stipulated timeframe. His frequent interactions with application owners helped him develop a better understanding of the entire application and act as the Single Point of Contact (SPOC) to coordinate efforts with the business.

- **Optum Rx - Send and Receive Accumulators:** The purpose of the project is to develop a process to exchange the claim accumulators back and forth between Optum Rx and UHOne Facets to make sure that claims are processed with the correct deductible and coinsurance values. This will also handle issues when there is a timing issue between the processing of medical and pharmacy claims where accumulators are out of sync or the accumulators become overstated. The process communicate with claims highway team using different feeds and also updates UHOne Facets database to sync accumulators information. **Development work is planned for June with an estimated budget of $15M**.
    - o Mr. Srivastava has acquired advanced technical knowledge in the healthcare and insurance technology industry through working with Optum's proprietary applications, tools, and technologies. He has over 2 years of prior experience with Claims highway and accumulator sharing application. During his tenure in Dental facets he mentored the team of developers to implement Facets Payment Integrity (Pronto) to standardize the Dental Claims Utilization Review process and provide **business cost saving of $5.5M annually** and gained vast experience in sending and receiving claims accumulator across different applications. If this application does not go live, claim processing will be hindered and it will result in vast economic losses for UHOne, hence, Mr. Srivastava's vast expertise is required to continue to improve the quality of services delivered to our consumers by updating and implementing new functionalities to this robust and reliable proprietary platform.

- **Provider Portal - Healthx:** Provider portal gives providers the tools they need to improve population health, collaborate on performance incentives, and drive better outcomes. The purpose of the project is to provide the modern and advanced level of service to our providers, The Healthx orchestration platform improves clinical outcomes, lifts utilization, and decreases administrative burden across the board. The process communicates with Heathx using different feeds to update their database with existing provider's data. This process will make communication between UHOne, the member, and the provider efficient while reducing administrative costs across the board. **Development work began in July with an estimated budget of $10M.**
  - Mr. Srivastava already has played a vital role in successful and timely completion of critical compliance projects in Dental and UHOne Facets. He is the development lead of the team responsible to launch this application and already involved with the business requirement walkthroughs and discussions with business partners regarding complex changes needed on this application and conducting feasibility analysis on the requirements. Due to security reasons related to PHI protected data the business cannot share the data required for applications' implementation so the implementation is difficult from offshore. Same time zone presence and availability will ensure accelerated and expedite delivery for stringent project schedules and enhancement of business knowledge. His presence is critical for the smooth delivery and implementation of all enhancements to production as it directly impacts the Company's business interests and quality of service provided to the Optum and UnitedHealth Group's customers.

- **Accident Protector Guard - Policy Packets:** APG is the next medical product to be launched by UHOne around October 2019. Whenever a policy is purchased from UHOne portal the details about subscriber's eligibility, active members and policy benefits is stored in facets database. All these information needs to be sent to subscriber in form of a policy document. The document also contains the online image of the form submitted on UHOne portal. This process provides ability to print and mail a paper copy of policy packet document. It also has ability to reprint (regenerate) policy when policy changes occur (add dependent, change coverage, etc.). Policy packet process needs to be enhanced before Accident protector guard launch **in October 2019 with an overall budget of $18M.**
  - Mr. Srivastava played a critical role as a Facets SME in designing, development and successful implementation of the Policy Packet application Suite for Health Protector Guard, Healthiest You and Dental Gen 3 products. He also owns the team responsible for launching critical healthcare products such as Health Allies Discount Cards, Dental, Vision and Healthiest You, Since these changes are needed prior to the APG product launch in October Mr. Srivastava detailed knowledge of the application and underlying processes gained during his role abroad enables him to identify the pain areas for Business and provide the solution quickly and needed for smooth and timely delivery of the enhancements.

More specifically, in the U.S. role Mr. Srivastava is needed to perform the following specialized knowledge duties:

| Specialized Knowledge Professional Position | | |
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| **Specialized Knowledge Duty** | **Specific, day-to day task involved in the completion of duty** | **Percentage of time spent performing each duty** |
| Project/SPRFs Analysis & Design | • Designs, Develops, and modifies highly specialized applications, software technologies, and systems to drive Optum's user efficiency and overall business success;<br>• Designs, develops, and implements new features that build on existing functionalities, including but not limited to integration the existing functionalities with new technology;<br>• Designs and develops reporting as needed to summarize and analyze Optum system functionalities;<br>• Creates efficient, high-performance enhancements to these proprietary Optum system enhancements that directly address and achieve specific Optum customer goals;<br>• Conducts "Business Requirement walkthroughs" and discusses with senior-level stakeholders regarding the changes to the application;<br>• Analyzes, estimates, and designs the implementation of the new requirements and finds an optimal solution for implementing the requirements; and<br>• Creates a high level design document and discusses the same with technical design review board and helps development team in the design of technical solutions and in the delivery of the requirement solution.<br><br>**This duty requires the Beneficiary's specialized knowledge because:**<br><br>Mr. Srivastava is a key resources, who conducts "Business Requirement walkthroughs" and discussions with senior-level stakeholders regarding the changes to the application. He leads feasibility analysis of the requirements, which can only be accomplished by a person with expertise | 30% |

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| | on an application because he needs to understand the requirement and verify the business standard point. His experience equips him to give feasibility checks in stipulated timeframe. His frequent interactions with application owners helped him develop a better understanding of the entire application for the following purposes: preparation of technical specification documents and detailed design documents for all the changes that come as requirements in the project; prepare technical specification documents and conduct regular meeting with the business to obtain approvals for the defined scope; coordinate with the offshore team for the end-to-end development; and act as the Single Point Of Contact (SPOC) to communicate with the business. | |
| Development of critical modules | • Ensures all applications, software technologies, and systems meet Optum's demanding standards for privacy and security, as required by Optum's strict internal policies and industry-specific regulations; <br> • Collaborates with Optum solutions users to build, extend, and enhance all applications that accelerate efficiency and innovation across the organization; <br> • Adheres to Optum version control, release management, and deployment protocols to distribute new  functionalities to the user bases; <br> • Satisfies Optum data accessibility standards by ensuring all Optum electronic information and technology is fully usable by people with disabilities; <br> • Coordinates with the offshore team for the end-to-end development, and will act as the Single Point of Contact (SPOC) in all questions regarding the application; <br> • Translates complex business requirements into ETL or Mule code, Automation and performance tuning of the application; <br> • Participates in test case walkthrough provided by the QA team and help them in preparation of test data for all the scenarios; <br> • Prepares Unit tests Cases and holds the Integration Testing Responsibility; and | 40% |

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| | • Performs Unit and Integration Testing in Development Environment, Code Reviews, and Coordination of Deliverables.<br><br>**This duty requires the Beneficiary's specialized knowledge because:**<br><br>As the UHOne 2.0 Subject Matter Expert, Mr. Srivastava closely works with the development team and performs code review, as well as deliverable's review. Mr. Srivastava developed the critical finance applications and is the most knowledgeable resource regarding these components. He analyzes all simple, medium, and complex requirements and raises clarifications and obtains user responses to confirm the scope of development, prepares and defines the implementation approach and pseudo code logic to meet the requirements, translates the technical requirements into SQL scripts and performs Unit testing upon confirming the approach, provides guidance and support to fellow team members and helps them to understand the technical functional requirement and complete the development on time, and prepares the unit test cases and performs integration testing before sending it to the QA team. | |
| System Testing | • Creates efficient, high-performance enhancements to these proprietary Optum system enhancements that directly address and achieve specific Optum customer goals;<br>• Ensures compliance with Optum's internally-developed software development life cycle protocols and ensures project priorities are recorded and satisfied according to those protocols, raising any risk factors to the appropriate Optum project management team;<br>• Facilitates all Optum quality assurance protocols, including user acceptance testing, by quickly resolving issues and providing all required metrics and data, including issue tracking;<br>• Provides post-deployment support and quickly responds to and resolves unexpected service problems in production; | 10% |

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| | • Works with the Quality Analysis team to help them understand the test scenarios and lead test case walkthrough and provide suggestions for validating all scenarios;<br>• Assists the QA team in creation of test data in all scenarios based on the requirement and will provide support in creation of test data for all the scenarios by providing the execution steps to the QA team for testing the process flow; and<br>• Is responsible for resolving any defect or concerns raised by QA or business team and taking necessary action on them.<br><br>**This duty requires the Beneficiary's specialized knowledge because:**<br><br>As the liaison to the QA team, Mr. Srivastava assists them in understanding the test scenarios, conducts test case walkthrough and provides suggestions for validating all scenarios, assists the QA team in creating test data in all scenarios based on the requirement, provides support in creation of test data for all the scenarios and provide the execution steps to the QA team for testing the process flow, and investigates any and all concerns raised by the QA team and take necessary actions. This responsibility can only be tasked to someone with an in-depth understanding of the applications and processes in question because the QA team requires a high level of specialized knowledge in their liaison. | |
| Deployment/Validation | • Constantly improves functionality, reliability, testability, availability, latency, scalability, and efficiency;<br>• Ensures these proprietary systems satisfy Optum's rigorous internally-defined technical requirements for performance, resiliency, availability, and scalability;<br>• Prepares deployment plan and coordinates the deployments;<br>• Synchronizes different environments for multiple releases;<br>• Validates production deployment and participates in the production check-out and updating the status to stake holders; | 10% |

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| | • Resolves production deployment and post-deployment issues;<br>• Provide post deployment support in the form of business change requests and ensure that all the required processes and standards have been followed to ensure that high quality deliverables to the business users; and<br>• Works with infrastructure/support team to conduct root cause analysis of any production failure.<br><br>**This duty requires the Beneficiary's specialized knowledge because:**<br><br>Mr. Srivastava's expertise is necessary because as he has been associated with UHOne projects for years, he has better control of the processes used in almost all the modules of UHOne Facets. As such, Mr. Srivastava performs the aforementioned activities, plays a key role in resolving all the production deployment and post-deployment issues with ease and high quality; provides post-deployment support in the form of business change requests, and ensures that all the required processes and standards have been followed to ensure that high quality deliverables to the business users. | |
| Onshore/offshore coordination | • Acts as the communication liaison between business and development teams at onshore;<br>• Provides updates to business partners, application leads, and solution architects on the project's progress and discusses any potential issues affecting the project implementation;<br>• As development lead, is responsible for delivery and meeting the deadlines for a deliverable and works with the team to remove any roadblock whether technical or functional;<br>• Collaborates with the business team to discuss requirement gap, define solutions needed for the project, and ensure that the deliverables are deployed with the best quality; and<br>• Guides and trains the business on how to use the existing on new applications post-deployment.<br><br>**This duty requires the Beneficiary's specialized** | 10% |

| | **knowledge because:**<br><br>Mr. Srivastava acts as a communication liaison between the business and development teams. He provides updates to the business partners, development leads, and solution architects regarding project progress and discusses any potential issues to the project implementation with them. | |
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In order to perform these tasks, a <u>minimum</u> of 24 months training and hands on experience with the UHOne 2.0 application, UHOne Facets framework, and the FTS system and all its tools are required for someone to come up at a minimal level for the position. It is extremely difficult to hire and train a new resource and get them adapted with the activities that are being performed in the application along with its vast technical and functional knowledge. The UHOne 2.0 application, UHOne Facets framework, and the FTS systems are business-critical projects and the services provided to the Company are impacted if the position is not filled with an experienced resource. The experience that Mr. Srivastava possesses in the application are un-paralleled and can't be transferred in terms of knowledge of Optum's proprietary applications and designing robust solutions for quality and accuracy testing for the UHOne 2.0 application, UHOne Facets framework, and the FTS system and their related applications. Detailed knowledge of the application and underlying processes gained during his role abroad enables him to identify the pain areas for Business and provide the solution quickly, so that UnitedHealth Group can compete in the market.

In performing each of these day-to-day job duties, Mr. Srivastava must directly apply the extensive, highly specialized knowledge of Optum's proprietary frameworks, applications, products, and/or technologies, that he acquired in our organization abroad.

3. <u>**Beneficiary's Specialized Knowledge:**</u>

Mr. Srivastava has worked on the UHOne 2.0, UHOne Facets, and FTS for Optum since April 2013. Mr. Srivastava has a profound understanding of the importance of the UHOne 2.0 application, UHOne Facets framework, and the FTS system and how they relate to Optum and UnitedHealth Group's vital business goals. Through his more than 74 months working on the UHOne 2.0, UHOne Facets, and FTS, Mr. Srivastava gained highly specialized knowledge the proprietary platform and its associated proprietary tools. Mr. Srivastava emerged as the Subject Matter Expert and key contributor accountable for the design, development, and solution coordination for this platform and its applications. In addition to his extensive experience with the UHOne 2.0 application team, he has obtained extensive training exclusive to the UHOne 2.0, UHOne Facets, and FTS projects that are unique to him and his experience with the application. Mr. Srivastava has been involved in more than **20 individual UHOne 2.0, UHOne Facets, and FTS development projects representing more than $500 million in total project funding**. The specialized knowledge in this proprietary application is imperative to handling the future development and integration projects for the UHOne 2.0 application, for which Optum is requesting authorization for Mr. Srivastava work on in the United States.

The U.S. position has the dual responsibility of understanding and participating in the technical application development initiatives for the platform as well understanding the business development efforts by Optum. Mr. Srivastava has proven to be exceptionally talented and understanding how Optum's business technologies are utilized by Optum and UnitedHealth Group's business staff, and has developed tools to facilitate business utilization of the UHOne 2.0, technical capacity.

Specifically, Mr. Srivastava has innovated and developed the following the UHOne 2.0 related tools:

- o **Automated Member Creation**: This process is used to create data use this process to create subscriber for or claims load process as well with specific name and address information. Savings: $450K

- o **MUnit Framework**: MUnit is a Mule application testing framework that allows us to easily build automated tests for our integrations and APIs. It provides a full suite of integration and unit test capabilities. Savings: $120K

- o **Event Logging Framework**: This Mule Services framework is used to perform Event Logging in DB to reduce the Heap Dump issue and help track down issues easily using event logs tables. It also provides code reusability. Savings: $150K.

- o **Mule Domain Project:** This project allows multiple development teams to work in parallel using the same set of reusable connectors. Defining these connectors as shared resources at the domain level allows the team to help us to reduce the infrastructure and maintenance cost per year. Savings: $250K.

- o **Generic outbound router:** This router is a reusable process to perform file transfers from NAS to SFTP or ECG, and reduced the redundant codes. It also helps us reducing QA and dev efforts. Savings: $167K.

- o **Standard Checker:** Checks for the Standards that needs to be followed while creating a Database component and Mule APIs. Savings: $300K.

- o **Template Express:** This tool is used to generate SQL scripts, XML Files, Rollback and control scripts as per the requirements. Savings: $242K.

- o **Dynamic Archival Process:** This process is used to archive data using dynamic queries clubbed into a single component Stored procedure, which also enables code reusability. Savings: $350K.

- o **Deployment Utility**: This is the light weight windows application to compile and deploy different database components and verifying the results. User can compile, deploy, verify, create a copy and share the results. Savings: $200K.

The position also requires an advanced level of expertise in handling business stakeholders and clients during application demos, requirement understanding, answering queries/questions, meeting their expectations, and resolving conflicts and issues; advanced knowledge in handling complex and unique technical, infrastructure, database, performance, monitoring, reporting and security issues during production deployments; and expertise in handling day to day user issues related to working, availability, and access of the application and its resources.

This level of expertise cannot be attained through trainings only because it also requires extensive relevant work experience. Mr. Srivastava has a strong technical background, as he possesses a Bachelor of Technology degree in Electronics and Communications Engineering from the Gautam Buddha Technical University, formerly known as the Uttar Pradesh Technical University, in India. These academic credentials have been determined by a reliable credentials evaluation service, which specializes in evaluating foreign educational credentials, to be equivalent to a U.S. Bachelor's degree in Electronics Engineering. He also has acquired advanced technical knowledge in the healthcare and insurance technology industry through working in this industry for over six (6) years, all six (6) years of which have involved working with Optum's proprietary applications, tools, and technologies.

Below are few knowledge transfer sessions, trainings which were are unique to Mr. Srivastava. These Knowledge Transfer Sessions are very much specific to this project and aren't available to others. These knowledge transfer sessions helped Mr. Srivastava gain and build his specialized knowledge on Optum's proprietary systems as well as advanced knowledge on the US healthcare domain.

| Knowledge Transfer Sessions | | | |
|---|---|---|---|
| **Training Name & Topics covered** | **Trainer** | **Duration** | **Dates** |
| UHOne Architecture<br>• Process flow<br>• Environment Architecture (test, dev, stage, prod)<br>• Business Rules Configuration(BRC)<br>• Static BRC<br>• Crosswalk BRC<br>• Literal BRC | Abhishek Goel | 80 Hours (20 Days - 04 Hrs a day) | 01/04/2016 – 01/29/2016 |
| TWS scheduling<br>• UHOne batch schedule<br>• Job migration Process<br>• TWS environments | Abhishek Goel | 15 Hrs (5 Days – 3 Hrs a Day) | 03/06/2017– 03/10/2017 |
| Knowledge Transition on Jenkins deployment<br>• Introduction of Jenkins<br>• Jenkins creation<br>  Code hub link to Jenkins | Santosh K Yadav | 40 Hrs ( 20 Days - 02 Hrs a day) | 03/13/2017 – 04/11/2017 |

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| • Db deployment through Jenkins<br>• Talend batch deployment through Jenkins<br>• Repository creation and deployment<br>• Error logging Mechanism | | | |
| Facets Batch Configuration<br>• Claims, Provider, Member Batch configuration and execution<br>• Debugging and error handling | Abhishek Goel | 30 hrs (6 Days – 5 Hrs a day) | 06/07/2017 – 06/14/2017 |
| Mulesoft Training<br>• API Implementation, Monitoring & Versioning<br>• Microservice architecture<br>• Security and governance of micro-services<br>• Load Balancing<br>• Mule Management Console(MMC) | Lawaniya, Ankit | 80 Hours (10 Days – 8 Hours a Day) | 09/07/2017 – 09/20/2017 |
| Onbase Business Configuration | Carol Tincher | 24 Hours (12 Days – 2 Hours a Day) | 02/15/2018 - 03/02/2018 |
| Optum Scalable Agile Methodology(OSAM) | Koti | 18 Hours (3 Days – 6 Hours a Day) | 04/16/2018 - 04/18/2018 |
| Agile and Servant leadership | Nicole Allen | 12 Hours (2 Days – 6 Hours a Day) | 07/30/2018 - 07/31/2018 |
| Causal Analysis & Resolution (CAR) for Technology | Sue Varichak | 2 hours | 09/24/2018 |

During his day to day activities, he serves as the SPOC for all technical questions related to the framework modifications, architectural changes, and Quality Assurance activities related to the UHOne application. He leads activities for the project including working on setting impact and design strategies in collaboration with a variety of teams, including onshore and offshore teams. Mr. Srivastava provides functional and technical suggestions to a variety of technical teams involved in the project to ensure proposed enhancements to the UHOne application are feasible and can be delivered during the anticipated timeframe. He also prepares system and technical documents to be presented to the management team and used to train onshore resources, including the creation of flowcharts and diagrams outlining the system.

Due to his advanced role and experience with Optum, Mr. Srivastava leads knowledge transfer sessions with onshore and offshore teams to train new resources on the UHOne application and its enhancements. Below are few knowledge transfer sessions, trainings which were facilitated by Mr. Srivastava

| Training Name & Topics covered | Trainer | Duration | Dates |
|---|---|---|---|
| Knowledge Transition on Facets Batch Framework<br>• Brief History and Overview<br>• Framework architecture and folder descriptions<br>• Properties XML structure and configuration<br>• Framework parameters and their uses<br>• Log debugging and error handling | Himanshu Srivastava | 30 Hours (15 Days - 2 Hrs a Day) | 10/09/2017 – 10/27/2017 |
| Talend Interface development<br>• Talend ETL Framework<br>• Standards and Best Practices<br>• Code checking and deployment process<br>• Debug and logging mechaninsm<br>• Version Control | Himanshu Srivastava | 20 Hours (10 Days - 2 Hrs a day) | 03/28/2018 - 04/11/2018 |
| IVR Applications Suite<br>• Overview of IVR inquiry services<br>• Rest API development process and best practices<br>• Request and Response formats<br>• Error code and descriptions<br>• SOAP UI testing process<br>• Event log table and debugging of failed transactions | Himanshu Srivastava | 10 Hours (5 Days - 2 Hrs a day) | 06/11/2018 - 06/15/2018 |
| Facets Universtity Training<br>• Group, Class and plan structure<br>• Susbcriber/Member<br>• Product Configuration | Himanshu Srivastava | 40 Hours (20 Days - 2 Hrs a day) | 08/28/2018 - 09/21/2018 |

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| • Claims creation and processing<br>• EDI processing | | | |
| Git Branching Strategy<br>• Best Practices and standards<br>• Git flow workflow architecture<br>• Release and Hot Fix<br>• Merging and code management | Himanshu Srivastava | 10 Hours (5 Days - 2 Hrs a day) | 02/04/2019 - 02/08/2019 |
| Mule API Development<br>• Mule Best Practices and standards<br>• Mule service development architecture<br>• Mule Management Console<br>• Mule Event logging Framework<br>• SEDA architecture | Himanshu Srivastava | 20 Hours (10 Days - 2 Hrs a day) | 03/18/2019 - 03/29/2019 |
| Membership Maintenance Application Suite<br>• Ehub enrollment process<br>• Facets Enrollment Application<br>• ISL layer<br>• Facets Extended Integrations Services<br>• Event log table and reprocessing of failed applications | Himanshu Srivastava | 20 Hours (10 Days - 2 Hrs a day) | 04/08/2019 - 04/19/2019 |
| Business Rules Configuration(BRC)<br>• Static BRC<br>• Crosswalk BRC<br>• Literal BRC | Himanshu Srivastava | 2 Hours | 05/06/2019 |
| Facets Extensions XCOM | Himanshu Srivastava | 10 Hours (5 Days - 2 Hrs a day) | 06/03/2019 - 06/07/2019 |

Using these unique set of skills, he ensures development, quality testing, and serves as the Subject Matter Expert for the UHOne 2.0 application, UHOne Facets framework, and the FTS system. His strong expertise in Facets Customization, FXIs and Mulesoft development, as well as specialized knowledge in our proprietary applications, facilitates client interaction, analysis of software and

hardware engineering requirements, and onsite and offshore product development. It also helps him to easily analyze, design, develop, and implement development projects, and to interpret and design functional units based on business needs. Mr. Srivastava has an advanced knowledge of solutions and services that can be aligned for business needs, as well as the challenges associated with UHOne's goals to provide exceptional service to its existing and new business customers. With this specialized knowledge, he can analyze customer and business requirements and design development protocols to ensure data accuracy and best serve the customer's needs.

Mr. Srivastava **has been asked to perform this specialized role in the U.S. because no Optum employee in the U.S. or abroad possesses the same level and** *combination* **of experience, training, and knowledge to be able to perform these critical project tasks.**

Mr. Srivastava is the Subject Matter Expert for the UHOne 2.0 application, UHOne Facets framework, and FTS system and has been the only team member to serve in his function for the last 74 months Currently we do not have any more-qualified candidates to meet these criteria that will be available to support and maintain the momentum that is needed to deploy all these key programs for Optum and UnitedHealth Groups' needs.

The table below lists the resources, along with their specialization, who perform similar type of work in the organization:

| Team Member | Months of Experience with UHG Technology | Education Specialized Training or Certifications | Description of job duties noting unique skillset |
|---|---|---|---|
| **Himanshu Srivastava**<br><br>Software Engineer | 74 Months | Education: Bachelor of Technology<br><br>Certified in: AHM250, Mulesoft, Talend and Lean certified<br><br>Specialized training in: UHOne 2.0 Enrollment, Claims and Finance processing, Facets FXIs , Talend, Mulesoft, EIEI, Custom Extensions and Configuration of TriZetto Facets Batches | • Utilizes knowledge of Health Care Business, Facets application, EIEI and EDI processes and technical knowledge and all financial applications;<br>• Successfully leads the team responsible for launching critical healthcare products such as HPG2, Health Allies Discount Cards, Dental, Vision and Healthiest You Products;<br>• Plays a vital role in successful and timely completion of critical compliance projects in Dental and UHOne Facets;<br>• Researches and evaluates alternative solutions for complex business |

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| | | | requirements, creating re-usable components and work on UHOne-2.0 core components and frameworks; and<br>• Plays a crucial role in reviewing deliverable components developed by the team in order to give a 100% defect free delivery.<br><br>Mr. Srivastava is the only resource who has specialized technical knowledge of UHOne 2.0 application needed to research and identify new functionalities that needs to be added to enhance the Custom Frameworks and implement these for claims processes required for current and future state products.<br><br>He also manages an onshore development team and ensures timely completion and delivery of the project by extending functional and technical support when required, working with support teams and assist them on production issues and bug fixing. |
| Rohit Goel<br><br>Associate Software Engineer II | 24 months | Education: Bachelor of Technology<br><br>Specialized training in: Talend | • Provides development and support based on requirements given.<br><br>**This resource cannot perform the Beneficiary's job duties because:** he does not have complete functional knowledge of the UHOne 2.0 Claims, Finance and Enrollment process and has not been involved in the development of the UHOne 2.0 batch framework. Prior to joining the development team |

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| | | | he was part of app support team. This means he does not have much exposure of development and it is practically impossible for him to comment on development timelines, feasibility at this point in his career. He is currently being trained by Mr. Srivastava on key modules like, claims, Enrollment and Finance. |
| Piyush Srivastava<br><br>Quality Analyst | 8 months | Education: Bachelor of Technology<br><br>Specialized training in: Automation Testing and Selenium. | • Works on unit and system testing for requirements given; and<br>• Creates test cases and providing demo of completed applications to business.<br><br>**This resource cannot perform the Beneficiary's job duties because:** he has recently joined Optum and does not have complete functional knowledge of the UHOne 2.0 Claims, Finance and Enrollment process and has not been involved in the development of the UHOne 2.0 batch framework. |
| Sachin Pant<br><br>Quality Analyst | 12 months | Education: Bachelor of Technology<br><br>Specialized training in: Manual Testing and Talend Basics and Onbase. | • Works on unit and system testing for requirements given;<br>• Creates test cases and providing demo of completed applications to business; and<br>• Is learning automation testing with help of other QA members.<br><br>**This resource cannot perform the Beneficiary's job duties because:** he has recently joined Optum and does not have complete functional knowledge |

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| | | | of the UHOne 2.0 Claims, Finance and Enrollment process and has not been involved in the development of the UHOne 2.0 batch framework. |
| Mandeep Kohli<br><br>Associate Software Engineer II | 8 months | Education: Bachelor of Technology<br><br>Specialized training in: Talend | • Provides development and support based on requirements given; and<br>• Is responsible for deployment related activities.<br><br>**This resource cannot perform the Beneficiary's job duties because:** he has recently joined Optum and does not have complete functional knowledge of the UHOne 2.0 Claims, Finance and Enrollment process and has not been involved in the development of the UHOne 2.0 batch framework. |
| Sumit Kumar<br><br>Quality Analyst | 32 months | Education: Bachelor of Technology<br><br>Certified Quality Engineer.<br><br>Specialized training in: Automation Testing and Talend. | • Works on unit and system testing for requirements given;<br>• Creates test cases and providing demo of completed applications to business; and<br>• Provides automation and performance testing knowledge to QA team members.<br><br>**This resource cannot perform the Beneficiary's job duties because:** he works as quality analyst and does not have exposure of development. At this point in his career, he is not knowledgeable enough to comment on development timelines. He assists the team by sharing QA timeline which helps us to overall finalize project completing effort. |

Mr. Srivastava has been associated with the UHOne 2.0 application, UHOne Facets framework, and the FTS system for around 74 months. He is the Subject Matter Expert and is the key contributor who is accountable for the architecture, design, development and coordinating the solution of Optum's proprietary UHOne 2.0 application, UHOne Facets framework, and the FTS system, and its dozens of related subsystems and linked systems, such as Stepwise Rating, Payment Engine, and Claims GL. Most of these peripheral applications are integrated within the UHOne 2.0 application and his knowledge is highly specialized and extremely important to provide the best solution for updating, and integrating new products into UHOne 2.0. Along with his technical expertise, he has gained functional specialization some of the most crucial segments of Optum Business, and has innovated tools to help Optum and UnitedHealth Group's business staff fully utilize them. His knowledge of these key business areas is essential in building the UHOne 2.0 Claims Batch framework and financial tagging applications and highly differentiates him from other resources in a similar position. He has designed and architected major components in the proprietary application and is responsible for many major releases in the UHOne 2.0 application, UHOne Facets framework, and the FTS system, making him the only resource having complete end-to-end exposure to these technologies, both in technical and functional aspects.

Mr. Srivastava is the expert on business processes due to his extensive working sessions and facilitation meetings with the UHOne 2.0 Business, configuration, Actuarial and Finance teams, the system analyst teams and the operations teams. Mr. Srivastava has gained this expertise during his tenure with UHOne 2.0 by creating the Facets Batch framework from within a short span of time and providing quality resolutions to the issues encountered. <u>Mr. Srivastava is the key resource on the team and supporting the critical UHOne 2.0 Claims and Finance batch process.</u> If there are abends encountered, resolutions need to be defined very quickly and applied so the batches can complete in the critical overnight period before all online users come in to work. Optum relies on Mr. Srivastava to fix major issues in a timely manner to minimize impact on other development actions. By working on these batch issues, he has gained advanced knowledge that is outstanding and noteworthy as compared to others and has made incomparable key contributions to the UHOne 2.0 application, UHOne Facets framework, and the FTS system and their users.

### Conclusion

Mr. Srivastava's experience with Optum has provided him with in-depth high-level knowledge and understanding of Optum's specialized proprietary procedures, products, operations and technologies, which cannot be found in the general workforce. Such knowledge would be difficult to impart to another individual without significant economic harm to the company, especially in light of the stringent timelines for the massive planned updates to the UHOne 2.0 application, UHOne Facets framework, and the FTS systems. In addition, Mr. Srivastava's extensive, directly related experience and role at our foreign subsidiary ensures that he is highly qualified to assume this important specialized knowledge position at our offices in the United States. It is evident that Mr. Srivastava's specialized knowledge experience with Optum Global Solutions (India) Private Limited relates directly to the core of our organization.

We respectfully request that you favorably adjudicate the L-1B petition on behalf of Mr. Srivastava. Please contact our counsel directly if you require additional information.

Thank you in advance for your assistance.

Sincerely,
Optum Services, Inc.

Vijay D'Souza
Director Technology, Optum