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# Kansas Department of Labor Data Management and Data Analytics Request for Proposal

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National Association of State Workforce Agencies  
Information Technology Support Center

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## I. PURPOSE

On the behalf of Kansas Department of Labor (KDOL), the National Association of State Workforce Agencies (NASWA) is releasing this RFP to acquire services related to the two major items enumerated below:

1. Perform data management/integration-type activities with the end objective of creating, persisting, and refreshing a single, cleansed, high quality, system of record data store that is frequently fed by the multifarious, current KDOL UI production data bases. One outcome of this activity will be to better position KDOL for full UI IT System Modernization; the second outcome is to enable a quality data repository in which UI Integrity and Fraud analytics and reporting can be executed (see item 2 below).
2. Using the data store created above and a contractor-provided Business Intelligence suite of tools, enhance KDOL's current integrity related discovery and case investigation automation capabilities, and augment with pattern discovery, predictive analysis ranking high risk potential fraud. KDOL requires additional data matching capabilities and data enrichment capabilities to provide further insight into integrity analysis as well as normal benefit adjudication processes. An overall outcome expected from this effort is reducing fraud prior to payments being improperly issued by KDOL.

The solutions to 1 and 2 above shall be extensible such that they can be easily reused in a modernized UI IT system solution; KDOL does not want to invest in throwaway solutions. The created data store may be a Data Warehouse (DW), an Operational Data Store (ODS), or some other repository. KDOL and NASWA's Information Technology Support Center (NASWA/ITSC) require that the Contractor determine the best fit solution with a clear and detailed justification and description. KDOL and NASWA/ITSC have final approval as to what type data store is created.

While NASWA/ITSC is acquiring these services, KDOL and NASWA/ITSC are in partnership for this engagement. The delivery of these services to the satisfaction of KDOL is vitally important.

The data management and UI integrity-related activities will occur in contract stages and options as shown below. NASWA/ITSC and KDOL have incorporated an initial assessment activity for Phases B through D. There will be final acceptance testing for each Phase, base contract and all options. Acceptance Testing will use a tiered defect remediation approach as defined in Section VI.L.9.

### **Base Awarded Contract: Phase A: Contractor Delivered Tool set, KDOL Staff Readiness Training**

1. Data management, quality, and data integration tool set
2. Business Intelligence reporting, dashboards, portals, predictive analysis tool sets

3. Data Quality for Name, Address and Contact (phone, email) and geocoding address data
4. KDOL staff readiness training

**Base Awarded Contract: Phase B: Build, Persist, Refresh Data Store with Benefits Data as Initial Focus (occurs simultaneously with Phase A; KDOL requests parallel phases)**

1. Initial build of System of Record, quality Data Store (Data Warehouse/Mart or Operational Data Store) with focus on Benefits data and initial emphasis on Benefits Integrity data, including Overpayments/collections data
2. Continue build of Data Store (Data Warehouse/Mart or Operational Data Store) with Focus on Remaining Benefits Data, including New hire, Wage reports
3. Phase C Assessment (determine viability of Option One below and whether the Option should be executed)

**Contract Option One (this is an option that may or may not be exercised) - Phase C: Contractor Expands, Persist, Refresh Data Store with Tax Data**

1. Continue build-out of Data Store (Data Warehouse/Mart or Operational Data Store) with Focus on UI Tax data
2. Assessment (determines viability of Option Two below and whether the Option should be executed)

**Contract Option Two (this is an option that may or may not be exercised) - Phase D: Contractor Expands, Persists, Refreshes Data Store with Appeals Data**

1. Continue build-out of Data Store (Data Warehouse/Mart or Operational Data Store) with Focus on UI Appeals data

**Contract Option Three - Phase E (each activity may or may not be executed with Base Option):**

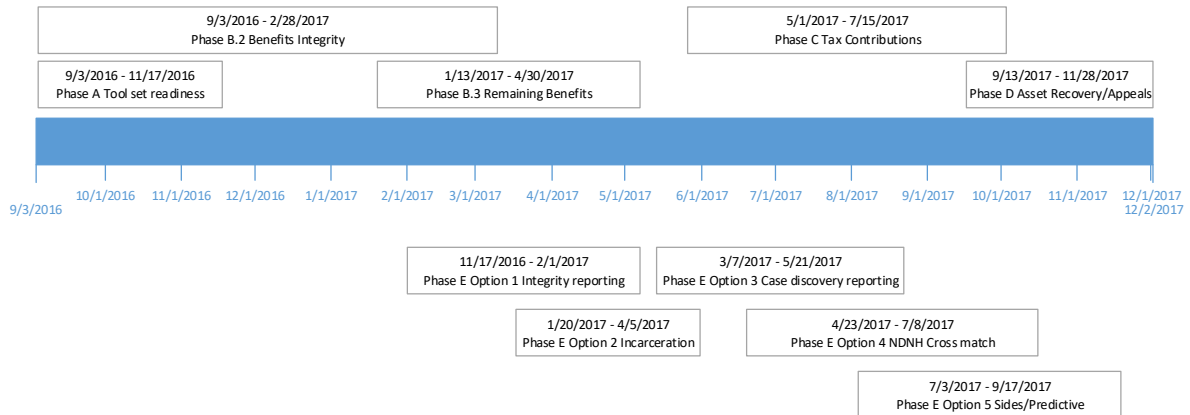
1. Integrity Discovery reporting
2. Incarceration
3. Case discovery reporting for Case Management
4. NDNH Cross-Match
5. Predictive Scoring and SIDES Response

Execution of the options depends on budget, pricing and contractor performance.

The Phases described above are intended to build on each other and should be conducted in parallel where appropriate. Below is a draft concept of this parallel approach; the major activity durations are notional.

### Concept parallel effort timeline

Note Phase B, C, D will have a quick assessment effort before design finalization



## II. BACKGROUND

The current KDOL Unemployment Insurance system is based upon the original mainframe system implemented over 30 years ago. Most business logic processing is still working on that system. While there have been significant enhancements over the years the core system is still performing as designed. Due to point solution upgrades there are now 3 distinct environments (Mainframe, Internet Web, and Siebel) with data moving between them for daily interactions. Each of the 3 environments has different technology and data stores. Some of the latest enhancements now update all of the data environments simultaneously; however, there is limited data quality/verification to ensure that all updates and data transfers are working correctly. Nightly, all data is moved back to mainframe for batch processing and all data is considered in sync when the batch processing is complete and data is copied back out to the other environments. The Mainframe is considered System of Record for most purposes and will be the basis for the great majority of the data for these efforts.

The Web environments provide self-service tools for claimants, Employers, and TPAs (Third Party Administrators). The Siebel environment provides a platform for call center staff to record and respond to customer updates and inquiries. Most KDOL staff use multiple systems throughout the day.

UI System Capabilities generally consists of:

- UI Tax/Contributions
- UI benefit application and payment,
- Appeals
- Asset Recovery/Collections,
- Integrity/Fraud

This Engagement will encompass all of these capabilities, in phased implementation identified above.

Initial analysis verified that the mainframe provides the best System of Record in most functional areas. This Engagement will discern to bring together the best System of Record from these current environments.

### III. SCOPE OF WORK DEFINITIONS

#### A. Base Awarded Contract: Phase A

It is expected that the products and services accomplished in Phase A, will be utilized in Contract Base: Phase B and subsequent contract options and phases. No additional products will be needed.

KDOL has very limited reporting capabilities today and almost no self-service data discovery capabilities. A mature UI data management and BI environment is needed that has access to current data environments, to feed a UI System of Record, quality data store, from which Integrity-related analysis and reporting can be conducted.

A mature BI Environment is a combination of data architecture, BI tools, solutions, Skills, training, BI Infrastructure and procedures to ensure data/information is usable to appropriate audiences. The ability to take data from a variety of sources, match/mesh these into business usable data structures and then present intuitive dashboards and analytics is part of the evolution of moving from reports on past data to insight about current activities and predictive patterns to use for ongoing UI decision support.

The phase will encompass what is normally considered **procurement/licensing /Installation/training.**

Acceptance will be based on successful completion of items 1 through 6 below (including any referenced Appendix), and solely determined by KDOL and ITSC.

#### **1. The Contractor must provide the following product(s) and satisfy the associated requirements (see Appendix B for more detailed requirements)**

1. BI Portal for role-based KDOL staff user access
2. Reporting, including ad hoc reporting and report development, Graphics, charts solution are also included.
3. Matching Engine
4. Data quality, data cleansing tools
5. Data discovery and profiling tools (self-service, data mining)
6. Analytics, Predictive Analytics capability
7. Mapping displays of KDOL data on GIS Maps
8. ETL and Data Integration Tools



9. Infrastructure Specifications to support the solutions (Production, Test, Development).
10. Output format user or report flexible (PDF, Excel, HTML, XML, etc.)
11. Data store
12. Configuration and Development tools

**An elaboration of the product requirements is presented below:**

### **Development Tools**

Development Tools will be needed to support Data Analysis (Profiling, quality, cleansing), data integration including ETL, and Reporting. Using the tools from the BI vendor solution suite for data profiling, ETL design, mapping, reporting and data discovery (Self Service) is the preferred approach. Continuing use of Microsoft SSIS ETL capabilities will be used as appropriate.

### **Match Engine**

Most matching today is being done on the Mainframe and uses very restricted hard matches on SSN, Name, Birth Date, etc. The majority of matching efforts are directed toward claimant data. However, there is some matching that will be done in future around employer data. A modern matching engine is planned to allow hard and fuzzy matches upon a variety of data in attempts to get the highest probability of matching. This will first be used to validate data from our own internal data environments (i.e. Mainframe, Siebel, SQL Server). But ultimately this will be utilized by all data coming from other sources like NDNH (National Directory of New Hire), ICON, as well as others. KDOL will likely use additional data sources in future for validation. These additional data sources will need the matching engine to find probable matches.

### **Data Quality, Cleansing, and Profiling**

Data quality comes from having the procedures, governance and monitoring in place to verify that data quality is ensured at all points of the data lifecycle from initial capture, through cyclical processing, and analytics. It also is necessary to have the appropriate solutions in place to capture data with as much quality edits as possible early. The overall approach to data quality includes:

- Data governance, set data quality metrics and responsibilities
- Data capture, edits, services to get quality
- Data Profiling to see current data matches Governance expectations.
- Data monitoring to ensure quality levels are maintained.
- Data cleanup, fix data issues when they arise, fix code causing problems
- Data transition, as you transition to new solutions cleanse data during transition design
- Process impact. Some processes allow for data quality to degrade

Note these efforts will not implement a full data governance discipline and procedures. Vendor will need to engage KDOL business and technical teams to clarify data purpose, meaning and formats. Identifying where we can put data quality metrics on data interfaces and data stores will be part of Phase B-D efforts.

In KDOL, the data quality challenge also comes from having the same data in multiple data stores that have a variety of update cycles. So the data quality also includes:

- Comparison that like data in multiple data stores is in fact in alignment
  - Noted gaps include Deceased Data and Bankruptcy data.
- Identifying the system of record for dependable reporting and variations during different periods of day. Initial efforts have clarified the SOR in most cases.
- Data at different levels of detail. Summarized for one purpose, kept at detail for another, not enough detail kept to support decision making or full audit or transactional transparency. Our System of Record conversations have clarified where the appropriate detail level is kept.
- Validation all real-time data update services are in fact working as designed.
- Data quality is usually supported by BI solution suite and combination of data architecture practices, development practices, Data integration Layer, specific data quality cleanup projects, business operation processes and ongoing Data governance practices.
- Data services for quality monitoring
- Profiling, range checks and controls

### **Data Integration Layer**

KDOL will need a mature Data integration layer. The normal collection of capabilities allows for a series of solutions to support isolation of data and presentation tiers from the processing tier. And will allow extremely reduced time to define/develop data coming or going to other sources/partners. The following series of capabilities are included in a modern data integration layer strategy.

1. Data mapping and transformation
2. Connectivity/ Routing, delivery management
3. Monitoring/reporting, store transmissions, recovery, Logging
4. Security, access control, encryption, key management
5. Call data logic services/create data logic services (API, WEB Services)
6. G2B/B2B gateways. EFT/EDI/XML, HL7 support.
7. ETL/ load, FTP, quality exceptions, alert exceptions, CDC (Change Data Capture) Near Real time data Sync.
8. Messaging support, JMS, HTTP, IM
9. Format changes, messaging on delivery/failure
10. Data integration design/development environments/products
11. Mobile application integration/authorization

## **2. Metrics to assist with estimating solution pricing**

1. System users Up to 300 Internal
2. BI Developers up to 4 staff
3. Ad-hoc users/subject experts. Up to 10 staff
4. Data Integration up to 8 concurrent data sources
5. Operational and administration up to 4 KDOL staff for BI and data integrations/ETL tools 4 staff

## **3. Validation of solution**

This phase will also create a POC (Proof of Concept) Data topic Data store build and design (i.e. Benefits Continued (weekly) Claim data) (other business subject data universes will be built as part of following phases), This will be used to validate all tools and configuration capabilities and to support training efforts.

Note, hardware and operating system will be provided by KDOL with specifications being provided by Vendor as part of proposal. KDOL is primarily a Microsoft environment with MS Windows servers, MS SQL Database Servers.

## **4. Contractor Training Requirements of KDOL**

1. Developer training to KDOL staff on Data integration layer concepts/capabilities, matching engine, data profiling, data discovery, reporting, portal development, Topical data stores building (i.e. data mart, universe, logical grouping of suite of data.)
2. Training on up to 10 business subject experts/users on self-service reporting, how to discover data, how to utilize variety of graphing, mapping and drill down features
3. Operations and support staff training on configuration changes, security profiles, patch updates, Development/test/production environment movement of solutions/components

## **5. Services**

1. Installation and configuration of above,
2. Training operations support staff
3. Discovery of Business Intelligence Portal needs and initial designs and deployments

## 6. Data Quality for Name Address and Contact Data

KDOL needs a solution to provide quality data for claimants and employers information, including names, addresses, contact information (email, phone, etc.). KDOL and NASWA/ITSC will work with the Contractor to identify the full set of data to be encompassed. Address quality is especially important due to the volume of mail KDOL uses. Returned mail is costly and delays customer support efforts. This effort will enable a full featured data quality capability to support both real time (for data capture from web pages and CSR) and batch cyclical (for NCOA updates, etc.). To reduce the risk of fraud Identity verification will be used to add a degree of trust to customer transactions. And all data will become Geocoded so that different views and analysis can be done on a Map. (This includes mail address, physical and other address, email location, IP location, Phone location.)

This effort will procure the tools, installation, training for development, and proof of concept support.

Product pricing, annual and fee based pricing proposal based.

This effort is supported by several areas

1. Name, Address, Contact data quality products
2. Identity verification
3. Geocoding

## B. Based Awarded Contract: Phase B and Contract Options C and D Approaches

Each of these phases will follow a common pattern. Vendor may use agile or SDLC or other approved methodology, but the following steps shall be accomplished within each phase.

1. Assessment- Conduct quick assessment, four (4) weeks in length, to validate location, access methods and understanding of source data, current gaps in source data.
2. Assessment write-up review by KDOL and NASWA/ITSC. The result of this assessment and A above may result in a collaborative adjustment between KDOL, ITSC, and the Contractor to the pricing for each of these Phases for the remaining their remaining work.
3. Analysis of existing data and system of record determinations.
4. Quality and profiling of existing records. Identifying coded data and location of coded value.
5. Design of target data store, including rationale and recommendation to ITSC and KDOL on the most appropriate type of data store with KDOL and ITSC making the final determination.
6. KDOL establishment of Development Target Data store (IE Hardware, Database, storage) (repeat for Test, Production and Production failover)
7. Design of initial load to target data store
8. Development of initial load solution

9. Quality checks of source to target
10. Movement of initial load solution to Test environment
11. Design of daily sync to target data store
12. Development of target sync to target data store
13. Quality checks for daily sync to target data store. Base number of reports to validate data quality, completeness and accessibility
14. Movement of Daily Sync load solution to Test environment
15. Analysis of Reporting needs (see limit for Vendor)
16. Analysis of Dashboard needs
17. Design of reporting infrastructure (Data Warehouse, Data Marts, universes, etc.)
18. Development of Target Data to reporting data infrastructure
19. Development of Dashboards
20. Development of reports
21. Movement of Dashboards and Reports to Test
22. Finalization of Design and development documentation.
23. Development of operational guidelines/control procedures to move solution to production.
24. Development of procedures for Failover and fall back of overall solution to recoverable solution.
25. Finalization of daily/cyclical operational procedures
26. Testing of failover capabilities.

### **Special Notes on these phases.**

1. In most cases production data will be used as source data to build the data store.
2. There are currently 6 major KDOL production data stores for data, and 4 for content which are described in Appendix A.
3. In Design and Development steps we will have one or more developers being mentored to accomplish the same work. Code checks and configuration checks are all expected to include KDOL developers.
4. KDOL developers will develop some reports in addition to those in Vendor's defined list and will be deployed at same time.
5. KDOL Developers will develop some of the data movement from source to target and target to reporting infrastructure. Determination at design completion will assign from 10-25% to KDOL staff by project team.
6. Access to VSAM source data will be supported by KDOL developers. (Many scripts (Batch Cobol and JCL in most cases) are already being used to unload parts of these data sources). If a VSAM utility is needed to support initial load or daily sync, vendor will support mainframe installation and product usage. Any utilities needed to support this effort will be left with KDOL and should be included in Phase A solution (Our Mainframe has Attunity available on another LPAR but it is not licensed on the KDOL used LPAR and

- KDOL has no experience with it. And we are not sure if it has all modules needed by vendor.)
7. KDOL would prefer design/build extracts from VSAM source data is accomplished once for an entire file. And not go back to design for portions of the file each time a portion comes into design effort.
  8. Initial documentation should be completed within each step. Step is not considered complete unless solution is working and documentation is completed.
  9. KDOL technical staff and Business Subject Matter Experts will be available for analysis and Design steps and will be the approval teams for delivered dashboards and reports.
  10. KDOL Staff will execute movement of solution from Test environment to Production with vendor providing a support role. KDOL staff will support daily and cyclical operational jobs as needed once solution is moved from development to test and from test to production.
  11. Because of volume it is preferred that daily sync design only move changed data, not the entire data store. We recognize that current VSAM files in some cases may not have adequate date/time stamp that can be used to drive this.
  12. Performance of Data movement is a concern. System of record is usually available after night batch processing is completed. This is usually 3-6 AM. From this time period until users would like to access the dashboards and reports is limited as most CSRs start at 7 AM.

Acceptance for Phases B, C, and D will be based on:

1. Successful completion of items 1 – 26 in section B above
2. The Special Notes in section B above
3. Comply with subsections 1 through 6 under section A above
4. The successful build-out and frequent update of the consolidated data store, comprised of high quality KDOL production system of record, cleansed data as solely determined by KDOL and NASWA/ITSC

See Section VI.L.5-9 for more details on the acceptance testing process.

Performance of dashboards and reports is a concern. Dashboards should support a phased load capability if possible so initial data most valuable is loaded first while rest is being loaded. Some reports should meet criteria to be pre-run and available as needed. However, some should meet criteria to be run on demand.

### **C. Phase E Options and Descriptions**

All Phase E efforts will be mini projects in themselves. Each project will require traditional analysis, discovery, design, development and testing. Each project is scoped to deliver new technical capabilities, new business capabilities and reduce

legacy debt. Each accomplishes a usable solution that by itself can be deployed. In most cases they are dependent on Phase A and B capabilities.

## 1. Integrity Core analytics

With the assembly of the core data of the Unemployment system there will be the ability to deliver data for Integrity analytics and predictive scoring. Upon Completion of Phase B, the core data for UI Integrity will be available for additional analysis and insight.

This effort will require traditional analysis, Designed user stories, proof of concepts and development, but should be achievable under SDLC or agile approaches. The intent here is to set a cap on contract deliverables with the intent that the contractor will leave KDOL with the core of the data architecture, skill to use data and tools and models of working solutions as template for future development. Estimated that 5 significant user stories of Integrity analytics will be developed can be run on scheduled basis, (i.e. Daily, Weekly, etc.) or on demand. KDOL Staff will also develop 2 user stories and solutions.

Completed solution should be surface-able inside of reporting infrastructure and dashboards as appropriate.

While the dashboards and reporting capabilities in Phase B are focused on overall UI Benefits and flows this effort will follow with specific scenarios that are usual areas of patterns for likely fraud.

## 2. Incarceration

Under unemployment insurance regulations, unemployment insurance claimants cannot receive benefits while incarcerated. They must be able to work, available to work, and actively seeking work — this is not possible while incarcerated.

Applying for unemployment benefits while in jail is an act of fraud. Catching such violations requires time-consuming cross-matching of records from dissimilar sources. The Kansas Department of Labor's unemployment division does not enjoy a fully automated process in identifying these attempts. Rather, it is labor-intensive.

### **Data Impact**

Incarceration data will become available from jails throughout Kansas and other states. If a Person receiving benefits is in Jail, then we will have data to support benefit periods and jail period overlaps. KDOL currently has data from State corrections institutions.

This new data will be from local jails and other sources and is being delivered weekly and is stored into 1 single table.

Using the new Data available this effort will provide claimants matched with incarceration records for overlap of claimed and paid periods. A Scoring model will be used to identify high value/risk claimants to focus limited investigative activities on.

Two separate data sources will be used for this effort. One is the data from State of Kansas Department of corrections of all inmates in jail. The other is the new data from vendor where there is a possible match to a claimant in our system.

### **3. Data Discovery for Case Management**

KDOL needs capability to discover new fraud using old fraud patterns as well as the ability to detect a new pattern no one could predict. Analysis of patterns and business activity to develop capabilities so case-workers get information they need to surface and investigate cases. Note this effort builds on capabilities in Phase B and E1 and should not replicate those efforts.

New Pattern Analytics - The Fraud Unit will use the Data from current data stores and Phase B data stores to develop ad-hoc reporting support, and constant data analytics to detect new patterns of fraudulent transactions.

- BI reporting to detect patterns, analytics to continue to refine business rules, activity /next activity actions
- New universes as necessary to support ad-hoc pattern detection
- Research Data on specific case attributes

Integration of any developed solution into reporting infrastructure and dashboards. Availability of any logical data marts/universe/warehouse to appropriate people.

Case research autodata collection. (This is a series of services that allow to assemble all appropriate data into usable format and preserve it as part of case research)

#### **Examples**

- Get all data about claim history (claimant and claim profiles)
- Get all employers claimant has worked with and their fraud profile
- Find any other claims with similar profile (I.e. employer, IP address, phone, location)

### **4. NDNH Data Cross Match**

This effort will review current data capture (KDOL Web) and data flows between KDOL and partners (Kansas DCF (for Childcare) NDNH (National Directory of New Hire) Clearinghouse) and businesses and TPA (Third Party Administrative services). The Data flows will be migrated from Mainframe to Target Platform. The Data Cross Matching will utilize modern matching with fuzzy matching logic to identify and score



higher probable matching to support using new hire in support of various fraud and risk concern areas including:

- Ensure we look at any claims they may be filing
- Let DCF know in case that person is responsible for child support somewhere.
- See if we can get some money back if they owe us money (Overpayments)
- See if they are claiming workers Comp payments.

This effort will require Data exchanges, Data Match Engine, workflow, and other data matching, analytics and reporting.

The ability to get timely New Hire Data from employers allows both KDOL to reduce exposure by making payments on claims from employees who have returned to work and it provides Kansas DCF a source of information that allows them to pursue child care support from the new employers.

### **Technical Debt and Impact**

Get quality data on New Hires from employers to State (SDNH) and to/from Federal (NDNH) for all parties to use to reduce improper payments. Develop reporting/matching capabilities and scoring based upon matching and data algorithms to focus on highest probable fraud situations, enable items to be cleared or investigated (Case Management) as needed so each situation is only handled once. Migrate capabilities from Mainframe to Modern as possible. Note that some new-hire data may still be need on mainframe for batch job support and the analysis and design should be structured to clearly support this. Develop prediction models based upon demographics and historical patterns for employers and claimants to guide prediction probability of new hire being reported timely or not stopping claim filing. The below are the major areas of effort.

### **Effort features**

A unique Data Quality data services will be used to geocode the IP address and compare the Reported Address of New hire claimant with address on our system of Claimant address with IP address used when claimant is reporting claims. mileage separation of these geocoded points will be used as a factor in claim risk.

- Prediction capabilities to advise claim approval processes based upon New Hire reporting pattern by some employers.
- Possible outcomes of this effort might be a sophisticated algorithm to initiate a case based upon claimant being hired and still filing claims. This algorithm then could be used as normal business cycle reviews of claimant data. And auto-create the case based upon Case API.

## **5. SIDES Predictive Scoring**

KDOL has generally looked at past and current data to determine if there is fraud occurring. However, it is known that fraud follows certain patterns and profiles. KDOL would like to use our available data to generate the ability to predict that

something is likely to occur. The ability to predict is a first step in taking actions. The second part of these efforts will be to refine the prediction models into an abstract service that can be called from an application or data interface layer component. Recognizing that the prediction models will continually be refined KDOL will need the ability to continually evolve the callable services.

1. Predictive scoring of data from claims, claimants, businesses that will identify a probability score that the claim (initial or continuing) might become fraud or cause an overpayment.
2. Predictive models for businesses that may become higher rated due to responsiveness or inadequate clarification of separation of base pay confirmation efforts.

Note this effort will involve a review of the design of the data from SIDES (State Information Data Exchange System) including timing of the data exchange and data store structures. It is probable that the SIDES data exchange will be rebuilt using the Data Integration layer capabilities now available from the Phase A Readiness effort. And this will become a pattern to rebuild more external interfaces in the future.

Acceptance for Phase E will be solely determined by KDOL and NASWA/ITSC based satisfying C.1-5 above.

#### **IV. SOLUTION OBJECTIVES**

The high level major objectives and outcomes of this KDOL, NASWA/ITSC engagement:

1. Procurement/licensing/Installation of Development tools for Data analysis, match engine, and data quality, cleansing, and profiling.
2. Developer training on Data integration layer concepts/capabilities, matching engine, data profiling, data discovery, reporting, portal development, Topical data stores building (i.e. data mart, universe, logical grouping of suite of data.)
3. Create a standalone, relational data store of all KDOL UI data were the system of record for each element and all quality measures are met. An associated data dictionary and model(s) are also produced and delivered. The data store shall be synchronized with the diverse KDOL production data stores using Data Integration/ETLs tool(s). Data fixes shall not be implemented in the legacy data stores by the Contractor. The following data management activities are required:
  - a) Source identification - the 'System of Record' needs to be identified first. If the same record is stored in multiple systems, the system which holds the most relevant copy (most valid, actual, or complete) of that record is referred to as a 'System of Record'.
  - b) Data collection - the data needs to be collected from various sources as some sources may attach a new piece of information, while dropping pieces which they are not interested in. Collection from a Data source will

only occur once to minimize modifying extract logic and data flows. If a piece of Data is determined to be dropped, then it will take confirmation from KDOL that it is unnecessary in going forward UI support system.

- c) Transformation - the transformation step takes place both during the input, while data are converted into a format for processing, as well as on the output when distributing the master records back to the particular systems and applications.
  - d) Data consolidation - the records from various systems which represent the same physical entity are consolidated into one record - a master record. The record is assigned a version number to enable a mechanism to check which version of record is being used in particular systems. KDOL believes our Mainframe System of Record provides a single consolidated record today for core system record.
  - e) Data deduplication - often there are separate records in the company's systems, which in fact identify the same customer. For example, the bank may have a record identifying a customer while the bank's insurance subsidiary or department maintains a separate database of customers having a different record for the same customer. It is vital that these two records are de-duplicated and maintained as one master record. KDOL believes that the Mainframe System of Record currently should not contain any duplication of core data.
  - f) Error detection - based on the rules and metrics, the incomplete records or records containing inconsistent data should be identified and sent to their respective owners before publishing them to all the other applications.
  - g) Data correction - related to error detection, this step notifies the owner of the data record that there is a need to review the record manually
4. The Data Store type Target will be in the nature of an Operational Data Store (ODS), etc.) and design shall be approved by KDOL and ITSC, and based on the Contractor's proposed approach that best meets KDOL's dual needs of:
- a. Best positions KDOL for data migration as a part of an overall UI IT Modernization Project in the future
  - b. Best positions KDOL for BI-based predictive data analytics focused on Integrity and Overpayments

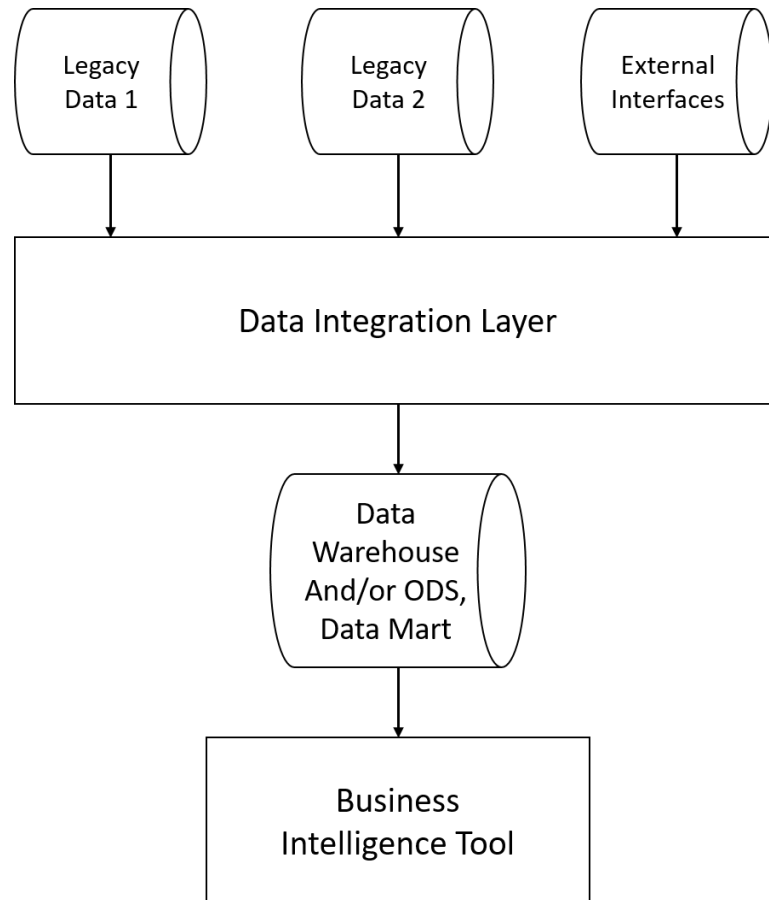
It is recommended that a 3<sup>rd</sup> form normalized model shall be implemented, with exceptions possible but requiring KDOL approval (See Draft Target Data models for Benefits and Tax as examples.)

- 5. For Reporting purpose, it is proposed that a reporting environment that leverages the ODS and could be a series of Data marts/universes or single Data Warehouse, the schema and universes shall be clearly defined for approval by KDOL and ITSC, and then implemented.
- 6. A Business Intelligence tool-based predictive data analytics engine with a focus on Overpayments and Integrity which uses the applicable data in the data store.
- 7. Define, subject to KDOL and ITSC approval, and implement an overall Data Management and Integration Architecture
  - a. Initial load and mapping of each of the phases for data migration

- b. Data synchronization on an ongoing daily basis will build out data integration architecture.
- 8. A data management approach that accelerates the build out of the data store with Integrity-related data first for BI consumption and initiating predictive data analytics activities
- 9. Integration between the predictive data analytics and KDOL's Siebel Case Management system
  - a. The following focus areas are examples of items identified above in the Integrity focused efforts section (Phase E). A prediction will surface a rank scored list that can be worked in a holding area and can generate an investigative case if supporting data is viable. The Holding area will generate a data gathering effort via data services to provide supporting documents to investigator.
    - i. Predictive scoring of data from claims, claimants, business that will identify a probability score that the claim (initial or continuing) might become fraud or cause an overpayment.
    - ii. Predictive models for businesses that may become higher rated due to responsiveness or inadequate clarification of separation of base pay confirmation efforts.
    - iii. Prediction based upon claimants past patterns that they may not become able and available due to Incarceration, multiple jobs, out of state
- 10. Adhere to KDOL state and federal security standards and guidelines.
- 11. Maintain environments to conform to all state-required audit levels.

## A. Notional Architecture

A conceptual architecture, for illustrative purposes, is shown below.



It is expected that the initial effort will focus on end of day processing to feed data through the data integration layer. (All data is considered in sync at end of nightly batch processing on Mainframe). Optimization should occur to minimize loading of changed data only. Future efforts will look to migrate some of the data flows to near real time but the model should support both.

## B. Major Deliverables

A listing of some major deliverables are provided; this enumeration is not comprehensive and for all deliverables see Appendix F.

- Project Management Plan
- Data Dictionary for target data architecture
- Data Model(s) for Target Data Architecture
- Data Management and Integration Architecture for target
- Integrity Analysis including algorithms, queries, pattern matching schema
- Data Policies, Security, Quality Measures
- DW/DM Data Stores Design

- Data Quality Report/Metrics and Procedures
- Communications Plan. ITSC and NASWA and KDOL State IT Management
- Training Plan and Curriculum
- Data Store build out (Test, Development) and scripts for production
  - Scripts for loading production from Test and for ongoing loading test from production and development (sample data) from production
- Data Integration/ETL
  - Data integration design deliverables for each data initial load and daily sync load.
  - Operational procedures for running and recovery.
- BI Tool
- Delivered Dashboards and reports in each phase.
  - Phase B. 4 dashboards and 13 reports
    - Claimant 360 dashboard
    - Claims dashboard.
    - Asset Recovery Dashboard
    - Fraud/Integrity Dashboard
  - Phase C 2 dashboard and 10 reports
    - Tax dashboard
    - Employer 360 dashboard
  - Phase D 1 dashboards and 2 reports.
    - Appeals dashboard
- Phase E efforts Analysis, Design and Build artifacts

## V. PROPOSAL FORMAT AND TIMELINE

### A. Format

Proposals shall be received on or before the proposal deadline of November 11, 2016, at 5:00 PM Eastern. **Late proposals will not be accepted.** It is the responsibility of Bidder to ensure that its proposal is received by NASWA/ITSC, on or before this deadline.

All proposals must also be submitted electronically to [rfp\\_responses@itsc.org](mailto:rfp_responses@itsc.org).

Bidders shall respond to every item listed in Section VII.A, addressing every requirement described in the body of the RFP and its attachment in the 'Solution' section of their proposal. Bidder's must complete the tables in Appendices B – E as part of the 'Solution' section of their response. Bidders shall segregate and provide separately the portion of the proposal that contains the cost and payment schedule, and include completed tables provided in Section VI.M.

## B. Timeline

The following RFP Schedule of Events represents ITSC’s best estimate for this RFP.

<b>EVENT</b>	<b>TIME (EST)</b>	<b>DATE</b> (all dates are state business days)
1. RFP Issued	5:00 p.m.	10/7/2016
2. Pre-proposal Bidders Conference	2:00 p.m.	10/17/2016
3. Written “Questions & Comments” Deadline	5:00 p.m.	10/17/2016
4. Response to Written “Questions & Comments”		10/21/2016
5. Proposal Deadline	5:00 p.m.	11/11/2016
6. Vendor Oral Presentations (optional)		Week of 11/21
7. Completion of Technical Proposal and Oral Presentation Evaluations		12/7/2016
8. Best and Final Round		12/14/2016
9. Contract Negotiations Deadline		01/6/2017
10. Contractor Contract Signature Deadline		01/20/2017

NASWA/ITSC reserves the right, at its sole discretion, to adjust the RFP Schedule of Events as it deems necessary. Any adjustment of the Schedule of Events shall constitute an RFP amendment, and ITSC will communicate on its website, [www.itsc.org](http://www.itsc.org).

## C. Guidelines for Questions and Comments

All questions pertaining to this RFP must be submitted in writing via e-mail to [rfp\\_responses@itsc.org](mailto:rfp_responses@itsc.org) by 5:00 PM EST on October 17, 2016. Questions submitted after this date and time will not be considered. The consolidated questions and answers will be posted at <http://itsc.org/Pages/VCO.aspx>. Only answers transmitted in this manner will be considered official and valid.

## VI. PROPOSAL AND CONTRACTUAL REQUIREMENTS

This section outlines specific information required in your response and will be used by ITSC and KDOL as a basis for Contractor selection, and form part of the contractual requirements with the Contractor. Please provide proof where applicable. Sections III and IV and each referenced attachment, especially Appendices B through F, are also encompassed in the Proposal and Contractual Requirements. Bidders must clearly label and identify responses to each Section III, Section IV, Appendix detailed requirements, as well as all requirements within this section. A bidder’s failure to clearly

trace RFP requirements to bid responses could adversely affect their scoring.

## A. Eligibility Requirements

1. Must have conducted at least one large scale data management activities at least very similar as required in this procurement, with a preference for engagements in the UI domain and for more than one large scale similar project. Appendix A identifies the specific activities and tasks that must be successfully executed by the Contractor, and to the acceptance of KDOL and ITSC.
2. Minimum of 5 years as a vendor performing similar activities.
3. Must have 5 years of data analytics project expertise similar to as required in this procurement, with a preference for engagements in the UI domain.
4. Must have at least one, with a preference for more including in the UI domain, project where used the proposed ETL, and Data Integration solution
5. Key personnel shall perform over 80% of their work onsite KDOL.
6. Provide the Proposer's most recent independent audited financial statements. The financial statements must:
  - a. reflect an audit period for a fiscal year ended within the last 36 months
  - b. be prepared with all monetary amounts detailed in United States currency
  - c. be prepared under United States generally accepted auditing standards
  - d. include: the auditor's opinion letter; financial statements; and the notes to the financial statements
  - e. be deemed, in the sole discretion of the C.P.A. employed by the Bidder's State and charged with the financial document review, to reflect sufficient financial stability to undertake the subject agreement with the State

In lieu of the aforementioned independent audited financial statements, provide a financial institution's letter of commitment for a general Line of Credit in the amount of three million dollars (\$3,000,000.00), U.S. currency, available to the Proposer. The letter must specify the Proposer's name, be signed and dated within the past three (3) months by an authorized agent of the financial institution, and indicate that the line of credit shall be available for at least 18 months.

### **Note:**

Reviewed or Compiled Financial Statements will not be deemed responsive to this requirement and will not be accepted.

All persons, agencies, firms, or other entities that provide opinions regarding the Proposer's financial status must be properly licensed to render such opinions. ITSC may require the Proposer to submit proof of such licensure detailing the state of licensure and licensure number for each person or entity that renders the opinions.



## B. Vendor Information

Proposals must have a cover page that includes:

Name of Prospective Vendor  
Project Title  
Contact Person  
Address  
Telephone, Fax Number, and E-Mail Address

## C. References

Provide at least three (3) to five (5) references that match the scope of work outlined in this solicitation for projects that were completed successfully. In addition, provide at least three (3) to five (5) references for relevant projects/experience for any Commercial off-the-self Software (COTS) products which are proposed as a part of the Solution. Provide the principal contact, telephone number and email address, as well as a brief description of work performed. At least three (3) references must be available and responsive. Points will be deducted from the score for this criteria if the evaluation committee is unable to reach three (3) of the references provided. ITSC reserves the right to include other governmental entities as additional references. ITSC also reserves the right to call references as needed.

## D. Financials

Provide a copy of the last certified, audited financial statements for your company. ITSC reserves the right to review financials as needed.

## E. Project Roles and Responsibilities

### **Contractor**

- Contractor shall organize and manage the contractor's staff or subcontractors assigned to the project.
- Contractor may acquire specialized expertise through the use of subcontract agreements. Subcontracts must be identified in the proposal. State must approve, in writing, any subcontractors added during the Agreement term. Contractor staff and subcontractors shall be available and work during hours compatible with KDOL's normal business hours, which are typically 8:00 AM to 5:00 PM Central time, Monday through Friday, with the exception of State approved holidays.

## **F. Key Personnel**

### **1. Lead System and Data Management/Integration Architect**

Contractor's Lead System Architect Required Qualifications:

- Experience in this role on one (1) or more successful projects that utilized the proposed Solution tools and approach.
- A minimum of five (5) years of experience in systems architectural analysis and design work related to the proposed Solution.
- Experience working on one (1) or more projects that utilize the software development methodology being proposed in The Contractor's Solution.
- At least five years (5) of direct experience with ad hoc reporting architectures and technologies
- An undergraduate degree in an area relevant to the skills needed for leading the design of the proposed Solution

#### **Preferred**

- Experience as Lead Data Architect in large-scale UI software development project (Greater than five million dollars)

### **2. Project Manager**

Project Manager Minimum Qualifications:

- A Bachelor's degree from an accredited university
- A current PMI PMP certificate with a copy attached in the response  
At least a total of ten (10) years of experience providing lead PM services with a minimum of two IT projects from design through full client acceptance. As proof of this requirement, references should be provided for both projects.
- Experience guiding at least one project with a minimum value of \$3,000,000.00 and 5 team members.
- Demonstrated familiarity with the proposed methodologies.  
Excellent oral and written communication skills

### **3. BI Analyst**

- Experience in this role on one (1) or more successful projects that utilized the proposed Solution tools and approach.
- A minimum of five (5) years of experience in BI analysis work related to the proposed Solution.
- Excellent oral and written communication skills

## **G. Project Management**

### **1. Project Manager**

Contractor will assign a Project Manager who will fulfill the normal responsibilities of a project manager as defined by the IT Project Management Methodology (ITPMM) established by the State of Kansas. Contractor Project Manager will also:

- Serve as the Contractor's single point of contact to KDOL for the project.
- Be engaged throughout the duration of the project.
- Not be a subcontractor but must be an employee of the primary contractor.
- Be asked to make presentations or assist KDOL in the creation and delivery of presentations.
- Present the project overview to the Procurement Negotiation Committee and field any questions if selected as a finalist in the process.

KDOL shall assign a Project Manager who shall fulfill the normal responsibilities of a project manager as defined by the Project Management Institute. KDOL's project manager shall also serve as a single point of contact to the Contractor. KDOL's project manager shall be engaged throughout the duration of the project.

## **2. Project Management Plan (PMP)**

Contractor shall develop a Project Management Plan to be approved by KDOL that provides a project work breakdown, work assignments, and work schedule. Contractor shall update the Project Management Plan as necessary and deliver it to KDOL for approval at least bi-weekly throughout the duration of the project.

The PMP shall ensure that adequate planning and resource allocation occurs to support to this project. The Contractor must work with the KDOL Project Manager to develop and finalize a detailed, comprehensive project management plan.

The PMP shall include plans for project meetings, communications, issue and risk management, reporting and billing. The PMP shall also include a detailed project schedule identifying key tasks and sub-tasks, associated milestones and deliverables. All resources, including any sub-contractors.

KDOL project support resources shall be identified with associated planned workload requirements to accomplish the tasks. The Contractor shall conduct the development of this documentation and shall schedule meetings with KDOL Project Manager to review drafts and collect input to finalize the PMP. The PMP must be created in draft form, with version control and contain a signature sheet for Contractor and KDOL signatures signifying approval of the document.

## **3. Project Status Reporting**

Contractor shall hold weekly project status meetings with KDOL throughout the duration of the project, unless another frequency is mutually agreed upon by both parties. The Contractor's project manager shall deliver a meeting agenda to the all stakeholders at least one business day prior to the status meeting. The Contractor's project manager shall deliver a meeting recap to the all stakeholders no more than one business day after the status meeting. Required attendees include the KDOL Project Manager, KDOL Technical Lead, Contractor Project Manager, and Contractor Technical Lead. Other team members, from Contractor or KDOL may be requested to attend as needed.

The Contractor's Project Manager may be asked to create and make presentations on specific issues at these meetings.

The Contractor's Project Manager is required to provide weekly status reports to all KDOL project stakeholders. This report can be combined with the weekly project status meeting recap and shall include but is not limited to:

- Current reporting period accomplishments
- Next reporting period planned activities
- Project's actual cost-to-date versus budgeted cost-to-date
- Project's current schedule versus baseline schedule
- Project action items closed, open, and new
- Project impediments closed, open, and new
- Project issues closed, open, and new

#### **4. Issues Management Plan**

Contractor shall develop an Issues Management Plan to be approved by KDOL that describes the process used to manage project issues and escalation of issues to ensure timely resolution. The Issues Management Plan shall be updated and delivered to KDOL for approval within one business day after making changes to the plan.

#### **5. Change Management Plan**

Contractor shall develop a Change Management Plan to be approved by KDOL that describes the process used to manage changes to any aspect of the project, especially changes to scope and requirements. The Change Management Plan shall be updated and delivered to KDOL for approval within one business day after making changes to the plan.

#### **6. Risk Management Plan**

Contractor shall develop Risk Management Plan to be approved by KDOL that describes the process used to manage project risks and the escalation of realized risks. The Risk Management Plan shall be updated and delivered to KDOL for approval within one business day after making changes to the plan.

#### **7. Communication Plan**

Contractor shall develop a Communication Plan to be approved by KDOL that provides, at minimum, the plan's purpose, communication goals and objectives, communications roles, communication tools and methods, high level project communication messages, escalation procedures, and an action plan that dictates who is informed of what and when. Contractor shall update the Communication Plan as necessary and deliver it to KDOL for approval within one business day after making changes to the plan.

#### **8. Lessons Learned**

The Contractor will conduct at least one session with the KDOL project team to review what was learned during the project.

The purpose of this session is to review and document all new and unexpected findings relating to the business processes, database issues, technical design, application development, and implementation activities. Everyone will freely discuss the good and bad aspects of the project so that good practices are repeated and bad practices are eliminated.

## **H. Quality**

### **1. Quality Assurance Plan**

Contractor shall develop a Quality Assurance Plan to be approved by KDOL that ensures that the project is being managed, developed, and deployed in a sound, reasonable way and that the project's deliverables are of acceptable quality before they are delivered to the project's clients. Contractor shall update the Quality Assurance Plan as necessary and deliver it to KDOL for approval within one business day after making changes to the plan.

### **2. Quality Assurance Management**

Contractor will assign a Quality Assurance Manager who will:

- Fulfill this work order's quality assurance reporting requirement.
- Fulfill this work order's test plan requirement.
- Manage all Contractor quality assurance activities.
- Be engaged throughout the duration of the project.
- Not be a subcontractor but must be an employee of the primary contractor.
- The Quality Assurance Manager must report to the same person in the Contractor's organization as the Project Manager and is not accountable to the Contractor's Project Manager.
- Be asked to make presentations or assist KDOL in the creation and delivery of presentations.

### **3. Quality Assurance Report**

Contractor shall develop a Quality Assurance Report to be approved by KDOL. Contractor shall update the Quality Assurance Report as necessary and deliver it to KDOL for approval within one business day after making changes to the plan.

## **I. Training**

Contractor shall provide training on the use of the software to KDOL UI. Training will be one-on-one or classroom style in up to three locations in Kansas. All costs incurred by the contractor in connection with training, including, but not limited to, the actual training costs, travel, and course attendance time is the responsibility of the contractor.

### **1. Training Plan**

Training plans detailing methodology for training all user roles.

### **2. Training Guide**

The Contractor shall be responsible for the creation and delivery of a training guide used to guide the instructor in providing training to end-users and support personnel.

This activity involves the development of a guide that includes lesson objectives, lesson plans, and samples of all training materials.

### **3. Training Materials**

The Contractor shall be responsible for the creation and delivery of the training materials necessary to support training of the end-users of the application during the implementation stage. This activity involves development of any necessary presentation slides, instruction manuals, wall charts, or other materials that will be used in the training sessions. It also involves obtaining copies of relevant documents, particularly sections of the user documentation, for distribution to the users during the training sessions.

### **4. Developer Training**

The Contractor shall be responsible for training the KDOL technical support staff (a maximum of ten staff members) in the software platform on which the system shall be developed.

### **5. Software Training**

The Contractor shall be responsible for providing “hands-on” assistance in the training of KDOL support personnel (a maximum of ten staff members) in the use of the software platform(s) on which the system is developed. This shall be in addition to formal training classes provided to the KDOL support personnel.

### **6. End-user Training**

The Contractor shall develop end-user training course materials that cover the as-built Template system. End-user training classes (maximum of six classes with up to 20 attendees per class) shall be co-taught by the Contractor and a KDOL instructor(s). The course shall cover all of the processes contained within the new system and shall encompass the complete KDOL project lifecycle.

The training shall include “hands-on” exercises that introduce the users to the functionality of the new system.

### **7. Maintenance Support Training**

The Contractor shall document the maintenance strategy that KDOL will be required to follow to support the daily operation of the new system and associated COTS software to the degree needed.

### **8. Training Timeline**

Training for supervisors and auditors shall occur no more than 5 business days after completion of User Acceptance Testing.

### **9. User Manual**

The user manual shall be used to support end-users of the application during operational use. The manual shall be process based and contain both explanations and examples that instruct the user in the “how to” and “why” principles behind the process being covered and shall relate to their specific business function (i.e., design, maintenance, administration, construction). Detailed screen prints explaining the purpose of each data element, its relevance in the process being performed, and

a range (or list) of possible values shall be provided. The user manual shall be available both online from the system and in hardcopy format. Kansas SMEs will be available to assist in reviewing and validating the User Manual.

#### **10. User Quick Reference Guide**

The user quick reference guide is a 'checklist' format that is used to support end-users of the application during operational use. This activity involves development of reference cards and/or online help screens that shall be used in support of daily operations.

#### **11. Administration Guide**

System administrators who are supporting the system shall use the Administration Guide. This guide shall include instructions on how to setup new users of the system and how to administer the system security. This activity includes the development of descriptions of the various levels of user access.

### **J. Post-Implementation Support Plan**

#### **1. Warranty**

Contractor will warrant that original unaltered Contractor code is free of defects for a period of 6 months subsequent to code going into production. Code defects are defined as software programming bugs of the original unaltered Contractor code that was based upon and tested by the State in the technology environment specified in this work order. KDOL is responsible for ensuring that 1) code has not been altered by parties other than Contractor, unless Contractor requests a designate to perform the alteration, and 2) the technology environment has not changed since State acceptance testing or from environment specified in this work order.

Contractor will create a plan outlining their post-implementation support structure and methodology for the new system during the warranty period. This plan will identify:

- Contractor's support personnel
- Contractor's plan for communicating bugs and fixes
- A rating scheme for severity of system error
- Response timeframes for each severity level
- All other applicable activities related to maintaining support for the new system during the warranty period

The plan will be reviewed and signed-off by the KDOL project team prior to its execution.

#### **2. Support**

Contractor will provide KDOL support in the form of answering KDOL staff, management, and development staff questions for a period of 6 months after implementation.



### **3. Maintenance**

Contractor will provide software updates to KDOL at no additional cost for four or more years after implementation of software. Updates are any improvement to the base software that would benefit KDOL and are provided to other customers.

## **K. Additional Services Provided**

### **1. CITO Reporting Requirements**

KDOL is required to follow the Chief Information Technology Officer (CITO) reporting requirements. The KDOL Project Manager is responsible for adhering to the CITO reporting requirements as pertains to this project. Contractor's Project Manager shall provide any information required to conform to the CITO reporting requirements.

All projects must follow and adhere to the IT Project Management Methodology (ITPMM) established by the State of Kansas. Contractor may be asked to provide leadership at any or all of the five phases as outlined in the ITPMM: Concept and Definitions, Planning, Startup, Execution, and Close-Out. More information on the ITPMM can be found at: <http://da.state.ks.us/kito/ITPMM.HTM>

All information technology initiatives and acquisitions will comply with the State of Kansas Technical Architecture. For information technology projects with total cumulative cost greater than \$250,000, project plan documents will include an Architectural Statement for review by the Chief Information Technology Officer of the appropriate branch. For information technology initiatives and acquisitions with a total cumulative cost less than \$250,000, agencies are required to notify the appropriate branch CITO only when the proposed initiative or acquisition does not comply with the Technical Architecture.

### **2. Project Collaboration Site**

The Contractor shall be responsible for establishing and maintaining a project collaboration site (i.e. Microsoft SharePoint) through which all project communications, materials, schedules, issues tracking and deliverables shall be housed. The project collaboration site shall be secure and accessible to designated project team members.

All materials stored in the collaboration site will be copied to KDOL upon request for a period up to 60 days after the completion or suspension of the project.

## **L. General Considerations**

### **1. Billing and Reporting**

Invoices shall detail the work orders that have been completed and accepted by the KDOL Project Manager and will be accompanied by the approved Work Order Completion and Acceptance form for each work order on the invoice.



## **2. KDOL Review and Approval Process**

It is the responsibility of the KDOL Project Manager to ensure that the appropriate subject matter experts (SME) and technical experts are included in the review and approval process.

Each deliverable or activity that requires KDOL signoff must be approved by KDOL Project Manager prior to invoicing.

This project will use an iterative review and approval process for the deliverables.

The steps in the review and approval process are as follows:

- Contractor submits the deliverable to KDOL for the first review and approval. Module deliverables require a code review by KDOL staff and the developer.
- KDOL reviews the deliverable within 10 working days and approves or requests revisions. Any request outstanding for more than 10 days will default to “approved” unless a longer term has been agreed upon by the Contractor and KDOL.
- Contractor makes revisions resubmits to KDOL.
- Approval and acceptance of all deliverables is the sole responsibility of KDOL.

No deliverable will be considered complete and no payment will be made on a deliverable until it has been accepted by and received signoff from KDOL.

Acceptance of all deliverables is at the sole discretion of KDOL.

## **3. File format, deliverable format, and content review of deliverables**

The Contractor will submit samples of all deliverables to the KDOL project team for review prior to starting the activity to produce the deliverable. The file format of each deliverable must be approved prior to its creation (this includes the tool(s) being used to create the deliverable). The KDOL Project Manager will, along with the appropriate KDOL staff, review the samples for acceptable format and content and will either approve as is or make recommendations for changes to meet KDOL expectations and standards.

All deliverables will be provided to KDOL in softcopy in an agreed upon format.

## **4. Project Logistics**

As part of the Contractor’s technical proposal and approach to the project, a discussion should be included which indicates the quantity of on-site versus off-site resource utilization. KDOL will furnish office space for the Contractor’s project team as needed. The Contractor shall be responsible for providing parking for their staff whenever they are on-site. KDOL also plans to provide communication lines, telephones (for local calls and long distance calls related to this project only), and photocopier for the Contractor to use while on-site. Printers and plotters will also be available on-site for use by the Contractor; however, it will be the Contractor’s responsibility to provide printer drivers or other items that are necessary to obtain the desired output and to make their own copies. KDOL will not provide the Contractor with administrative support personnel.

The Contractor shall provide all other equipment (including hardware and software), supplies, administrative overhead, logistics, lodging and other items or expenses necessary for the Contractor's staff to complete the project. Any software that is developed by Contractor and used for the project shall be provided to KDOL upon completion of the project.

## **5. Acceptance**

Software and Deliverables shall be deemed accepted when the Authorized User (usually the KDOL project manager, or their designee) determines that such Software and Deliverables successfully operate in accordance with the Requirements. At a minimum, Acceptance Criteria for Software and All Deliverables, and for the Solution as a whole, shall ensure that all of the functionality described in the Requirements set forth in this RFP has been delivered to the Authorized User. Acceptance of any one Deliverable shall not imply Authorized User's concurrence that the Deliverable will function properly with or within the Solution. Contractor shall be responsible for ensuring that all Deliverables function properly within the Solution. Should a previously Accepted Deliverable require further modification in order to work properly with or within the Solution, Contractor shall be responsible for all costs associated with such modification.

Such Authorized User agrees to commence Acceptance testing within five (5) days after receipt of the Software or Deliverable, and the applicable acceptance readiness certification as defined in this RFP the SOW. Acceptance testing will be no longer than thirty (30) days, or such other period as may be agreed in writing or Statement of Work between Authorized User and Contractor. Acceptance is deemed to occur if Authorized User fails to deliver to Contractor either a written notice of Acceptance or a list of outstanding defects within 10 days of completion of Acceptance testing, unless the Parties agree otherwise in writing or Statement of Work. Contractor agrees to provide to such Authorized User such assistance and advice as such Authorized User may reasonably require, at no additional cost, during such Acceptance testing. All travel expenses are expressly included in the applicable SOW pricing. The prioritization of defects shall be as set forth in the applicable Statement of Work. The assignment of priorities shall be mutually agreed upon by the Parties subject to the practices identified within this RFP.

## **6. Software and Deliverable Cure Period**

Contractor shall correct any reproducible or demonstrable non-conformities identified in writing hereunder and shall thereafter re-submit such previously non-conforming Software or Deliverable for re-testing within thirty (30) days of written notice of non-conformance, or as otherwise agreed between the Authorized User and Contractor. During such time, the Parties agree to work together in good faith to resolve such issues. After such time, in the event that Contractor fails to deliver Software or a Deliverable which meets the Requirements, such Authorized User may, in its sole discretion: (i) reject the Software or Deliverable in its entirety and recover amounts previously paid for the applicable Software or Deliverable; (ii) issue a "partial Acceptance" of the Software or Deliverable with an equitable adjustment in the price to account for such deficiency; or (iii) conditionally accept the applicable Software or

Deliverable while reserving its right to revoke Acceptance if timely correction is not forthcoming. Failure of the Software or a Deliverable to meet, in all material respects, the corresponding Requirements after the second set of acceptance tests shall constitute a default by Contractor. In the event of such default, the Authorized User may, at its sole discretion, terminate its order, in whole or in part, for the Solution to be provided thereunder by Contractor. Contractor shall accept return of any products or Software provided to such Authorized User, and Contractor shall refund any monies paid by such Authorized User pursuant to the order, or portion thereof terminated, the Solution contemplated under the order being considered as a whole not as a sum of its parts. All costs of de-installation and return of product or Software shall be borne by Contractor. This remedy is in addition to and not in lieu of any other remedies available to the Authorized User.

#### **7. Solution Acceptance Criteria**

Solution shall be deemed accepted when the Authorized User determines that such Solution successfully operates in accordance with the Requirements. Such Authorized User agrees to commence Acceptance testing within five (5) days after deployment of the Solution. Contractor agrees to provide to such Authorized User such assistance and advice as such Authorized User may reasonably require, at no additional cost, during such Acceptance testing.

#### **8. Solution Cure Period**

Contractor shall correct any non-conformities identified hereunder and shall thereafter re-submit such previously non-conforming Solution or component products or Services for re-testing within fifteen (15) days of written notice of non-conformance to Contractor, or as otherwise agreed between the Authorized User and Contractor. In the event that Contractor fails to deliver a Solution which meets the Requirements, such Authorized User may, in its sole discretion: (i) reject the Solution in its entirety and recover amounts previously paid hereunder; (ii) issue a "partial Acceptance" of the Solution with an equitable adjustment in the price to account for such deficiency; or (iii) conditionally accept the applicable Solution while reserving its right to revoke Acceptance if timely correction is not forthcoming. Failure of the Solution to meet, in all material respects, the specifications and performance standards after the second set of acceptance tests shall constitute a default by Contractor. In the event of such default, the Authorized User may, at its sole discretion, terminate its order, in whole or in part, for the Solution to be provided thereunder by Contractor. Contractor shall accept return of any products or Software provided to such Authorized User, and Contractor shall refund any monies paid by such Authorized User pursuant to the order, or portion thereof terminated, the Solution contemplated under the order being considered as a whole not as a sum of its parts. All costs of de-installation and return of product or Software shall be borne by Contractor. This remedy is in addition to and not in lieu of any other remedies of the Authorized User set forth herein, in the applicable SOW, or available at law or in equity.

## 9. Successful Acceptance Testing

Successful Acceptance testing shall occur when all system requirements, including functional, non-functional, and technical, are met without level 1 and 2 defects. At KDOL's sole discretion to accept the system with level 1 or level 2 defects.

### Defect Severity Levels

#### A. A CRITICAL (LEVEL 1) defect is defined as a failure:

1. That does not have a viable workaround or a failure that blocks or obstructs further Acceptance Testing; the viability of any workaround for a critical defect is at the sole discretion of the State.
2. That would have significant business impact such as high cost or damage potential, to include significant loss of data, or severe performance impacts (i.e., very sluggish System response times non-compliant with performance requirements);
3. Where 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;
4. That results or would result in loss of critical data integrity, availability, or confidentiality for data items.

#### B. A MODERATE (LEVEL 2) defect is defined as a failure:

1. Of application code that would present an inconvenience to the user but a viable workaround is available; the viability of any workaround for a moderate defect is at the sole discretion of the State.
2. Where the business process under test produces partially correct results which would have moderate cost or damage potential to the business;
3. That does not prevent further execution of the remaining processes in a logical set of business processes, or;
4. That may cause loss of integrity, availability, or confidentiality (where appropriate) for non-critical data

#### C. A MINOR (LEVEL 3) defect is defined as a failure:

1. That is non-compliant with the specification, but does not interfere significantly with the use of the System;
2. Where there is insignificant cost or damage potential to the business, or;
3. In which data integrity, availability, or confidentiality (where appropriate) is not compromised. (Cosmetic faults are one example.)

### Test Results Tracking and Trends

The Contractor shall track the following testing parameters including at a minimum:

1. Defect density rates over time and by unit testing, integration testing, System testing

2. Defect/fix rate
3. Defect/fix/reject rate
4. Root Cause analysis<sup>1</sup>

All unit, integration and System test results shall be available upon request.

A matrix of test statistics substantially shall be provided by the Contractor, to include:

### **Test Results Tracking and Trends**

The Contractor shall track the following testing parameters including at a minimum:

1. Defect density rates over time and by unit testing, integration testing, System testing.
2. Defect/fix rate
3. Defect/fix reject rate
4. Root Cause Analysis<sup>1</sup>

### **Defect Tracking**

The status of each defect shall be tracked by the Contractor and shall include the minimum status of each as shown below:

1. Unassigned – Defect to be fixed not assigned yet
2. Assigned – Defect to be fixed assigned, includes developer’s name and date of assignation
3. In-Progress- Defect is being actively worked
4. Resolved – Defect is fixed and is awaiting re-test verification
5. Closed – Defect fixed after State re-test
6. Re-Open – Defect not correctly fixed
7. Canceled – Logged defect no longer considered a defect by State
8. Fixed – Defect resolved, Deliverable complies with all Specifications.
9. Duplicate – Defect is a duplicate of an already existing defect
10. Incomplete – the Defect is not completely described
11. Cannot reproduce – Defect could not be reproduced
12. Won’t fix – Defect cannot be fixed or the State and Contractor agree that it is not necessary to fix.
13. Fix rates – Time to fix defect for each priority level

The Contractor shall track time intervals related to fixing a Defect (the time a Defect reaches a final state), as well as tracking time intervals for the other status measures as defined above. The Contractor shall provide access to such data and to the tool used in projecting future schedule durations for testing.

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<sup>1</sup> Root cause analyses shall be actively fed back in to the development process to help improve overall development efficiencies

For every release into production, the Contractor shall conduct at least one iteration with appropriate testing.

**M. Pricing**

Bidders shall segregate and seal separately the portion of the proposal that contains the cost and payment schedule. This information will be evaluated by the Evaluation Committee.

**Price Breakdown by Phase**

Phase	Basis of Estimate	Labor Hrs.	Labor Cost	Other costs including Materials	Total costs
Project Startup					
Contract Base: Phase A:					
Item 1 (III.A.1)	See table XX for detailing. Numbers here should match totals from Table XX				
III.A. 3					
III.A. .4					
III.A. .5					
III.A. .6					
Phase B.1					
Phase B.2	Must address items III.B,1-26 and Special notes. The bidder is to specifically identify hours associated with				

	Knowledge Transfer and Training to KDOL staff				
Phase B.3					
Phase C.1					
Phase C.2					
Phase D.1					
Phase D.2					
Phase D.3					
Phase E.1					
Phase E.2					
Phase E.3					
Phase E.4					
Phase E.5					
Program Management by Base Contract and Option					
Quality by Base Contract and Option					
Training					
Warranty					

**Products for Phase A**

Product Group	Product Name	Initial Cost	Annual cost
Business Intelligence	A		
	B		
Data Integration			
Data Quality, Name Address contact			
Totals		\$	\$

Note initial cost will include base price and first years cost if that is how vendor prices it. Annual cost will be due 1 year from initial purchase date.

Each product will be on a separate line under appropriate group.

## N. Conflicts with Terms, Conditions, or Requirements

- A. Bidder shall list any exceptions or confirm that it has no exceptions to any of the terms, conditions or requirements of this RFP and/or documents contained in the Appendices.
- B. Exceptions shall be accompanied by alternative or substitute language, which would be acceptable to Bidder. Conflicts with stated requirements shall be noted in the corresponding paragraphs within Bidder's response format.
- C. Additional terms or conditions proposed by Bidder for consideration shall be provided with a reference to the corresponding paragraph in the RFP or Appendices.

## VII. PROPOSAL SCORING AND SELECTION

### A. Proposal Rating Criteria & Evaluation

Proposals will be evaluated as described in this section. Proposals that do not meet the minimum eligibility criteria will be automatically disqualified and will not be scored. The criteria and the level of importance associated with each is listed below:

<b>Scoring Criteria</b>
<b>Solution</b>
<b>Key Staff</b>
<b>Financial Stability</b>
<b>Past Experience and References</b>
<b>Proposed Tools and Products</b>
<b>Data Integration</b>
<b>Business Intelligence</b>
<b>Data Quality, Name address contact</b>
<b>Timeline to phase completions</b>
<b>Cost to phase completion</b>
<b>Terms and Conditions</b>
<b>Overall Cost</b>



## **B. Proposal Evaluation**

An Evaluation Committee will judge the merit of proposals timely received in accordance with established evaluation criteria set and process.

## **C. Evaluation Process**

KDOL will undertake an intensive, thorough, complete and fair evaluation process. All Bidders shall be afforded fair and equal treatment throughout the evaluation process.

Each Evaluation Committee member will independently evaluate the merits of proposals received in accordance with the evaluation factors stated within this RFP, followed by discussion of the entire Evaluation Committee. The sole objective of the Evaluation Committee will be to recommend for award the proposal determined most advantageous to KDOL.

### **1. Basis for Award**

The purpose of this RFP is to solicit proposals for the goods/services specified herein. The requirements stated within this RFP represent the minimum performance requirements necessary for response as well as desired elements of performance.

### **2. Clarifications/Discussions**

KDOL may conduct discussions with selected Bidders for the purpose of promoting understanding of KDOL's requirements and Bidder's proposal, clarifying requirements, and making adjustments in services to be performed and in prices and or rates. Bidders engaged in such discussions may be sent a list of questions and will be given a specified number of days in which to formulate and submit written responses to the questions and provide any related revisions to their initial proposals. The nature of the questions will be, generally, clarifying in nature and will permit related revisions to proposals. Such revisions will be at the option of Bidder, but will be limited to the guidelines set forth in KDOL's requested clarifications. No major changes will be permitted, nor will KDOL accept any additional written materials not relevant to the questions/clarifications requested.

### **3. Best and Final Offers ("BAFO")**

Adjustments may also be allowed in conjunction with clarifications, discussions, presentations and or demonstrations, but only to the extent such revisions are consistent with the proposal requirements.

These revisions will be considered as best and final offers. Such adjustments shall be submitted in writing.

### **4. Final Evaluations**

After completion of clarifications, presentations, and BAFOs, as may be required, the Evaluation Committee will re-consider the initial proposal ratings and may make any

adjustments they believe to be warranted as a result of the additional information obtained.

#### **5. Notice of Intent to Award**

Upon approval of the recommendation, a Notice of Intent to Award will be published by ITSC and the Awarded Bidder will be contacted by NASWA/ITSC to complete post-award requirements.

#### **6. Adequacy and Completeness of Response**

In general, all aspects of a proposal will be evaluated based on its adequacy and completeness with regard to the information requested in the RFP and its appendices; i.e., compliance with terms, conditions and other provisions contained in the RFP, as well as Bidder's ability to read and follow instructions. Failure of Bidder to provide the information required in this RFP in the format requested may result in disqualification of the proposal.

This responsibility belongs to Bidders.

#### **7. Contract Review**

Bidders shall review the attached sample Terms and Conditions, Operational Service Agreement, and Data Security Agreement and list any exceptions or confirm that no exceptions are taken to each contract. Any exceptions to the aforementioned shall be accompanied by alternative or substitute language which would be acceptable to Bidder. ITSC will review the proposal to ensure Bidder has not taken any exceptions which may be deemed unacceptable or exceptions to stated requirements which may be deemed unacceptable in meeting the RFP requirements of KDOL. Any exceptions taken could result in elimination of Bidder's proposal from further consideration, or result in delay or failure to execute a contract, whereby ITSC could terminate the award and commence negotiations with another Bidder.

#### **8. Award and Notification**

##### **1. Award Recommendation**

Upon completion of the evaluation process, the Evaluation Committee will formulate a recommendation as to which proposal(s) is/are determined to be most advantageous to the KDOL within available resources.

##### **2. Notice of Intent to Award**

Upon approval of the recommendation by KDOL, a Notice of Intent to Award will be published by NASWA/ITSC. The awarded Bidder(s) will be contacted by ITSC to complete post-award requirements.

## **VIII. TERMS AND CONDITIONS**

Appendix G contains the terms and conditions.

## IX. APPENDICES

### Appendix A Legacy Data Quality

The Source data from the Mainframe and Siebel and SQL servers identified above is good quality. However, there will be data enrichment and data quality effort that needs performed.

In each of the data environments there is a large percentage of coded value data (e.g., 1-male, 2-female) Most of these coded values need clarified during data integration and migration. KDOL has the coded mappings. But the target data architecture and data integration design will need to determine best approach for next generation UI and reporting support.

Profiling of the data in the Mainframe and other data stores should be part of quality measures for baseline determination. While we believe the data is of good quality there should be efforts to verify and document this belief or gaps as they exist.

- a) Any Gaps that can be resolved during data migration will be considered. An average for legacy migration that is solvable is 10%.
- b) Any Gaps that should be moved back to source system will be delivered to KDOL as service request and will be considered out of scope for this project.

For Name, Address and contact data quality the data migration will undertake a quality process to cleanse address and phone and email quality and geocode each address to the appropriate Latitude/longitude. This will require a name, Address and contact data quality services. KDOL will plan on using the same capabilities and services for enhancing data at time of data collection. And cycle update of data quality for Name and address and phone/email contact data changes (Example NCOA changes).

The following model demonstrates the data flows between environments today.

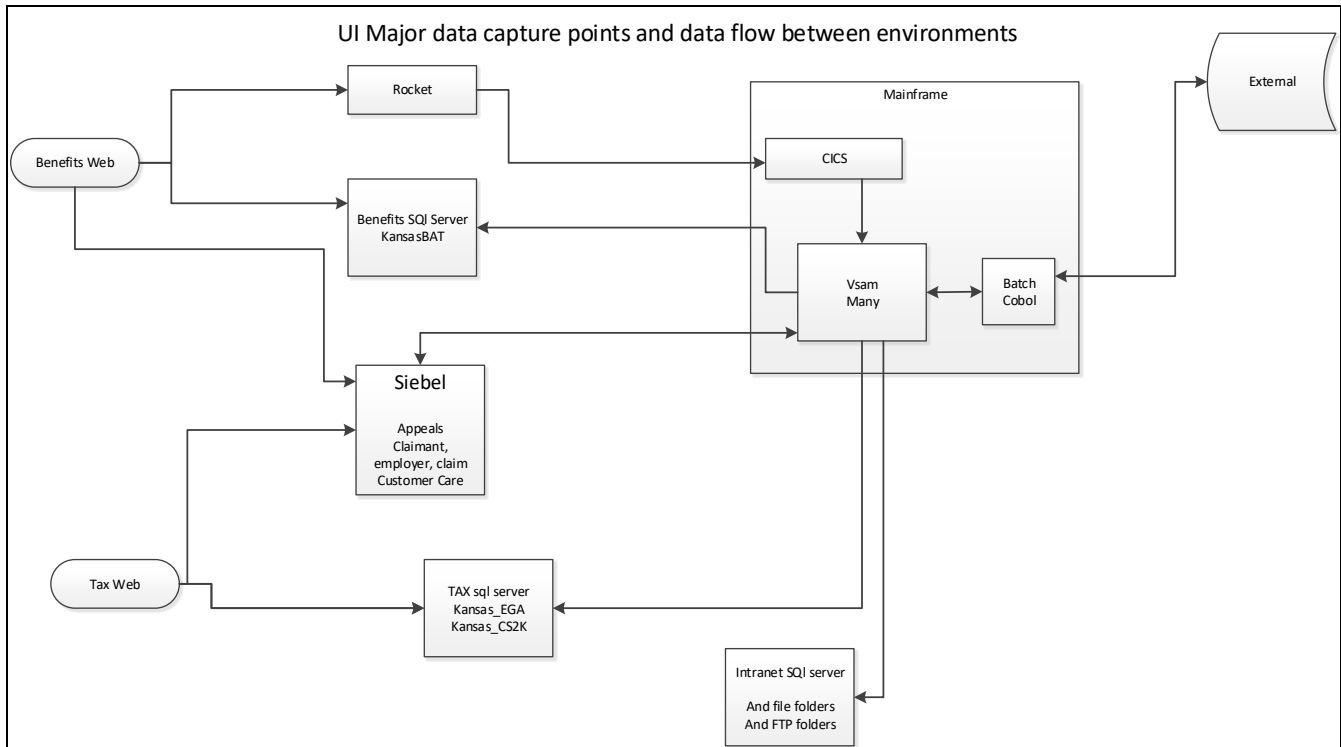


Figure 1 Data environment with data flow channels.

### Legacy Data Stores and Quality

1. The Mainframe VSAM data stores.
2. Siebel Data stores on SQL Server
3. Web data stores to support claimants and employer web interactions on SQL server.
  - a. Two (2) for employer web portal support
  - b. One (1) for claimant web portal support and IVR support
4. Intranet Data stores are used as display purposes only. Daily feeds from other data stores generate data loaded for viewing on Intranet web pages. This data store is out of scope for this effort. And will likely be replaced by dashboards and new reporting environment.
5. KDOL has Content (documents, images, recordings) in various systems. This content is not part of this effort. Content is currently stored in:
  - Filenet on-premise system
  - Siebel as direct attached documents
  - Also SharePoint Documents
  - Also Directory based documents.

### Source Data for Phase B, C, D efforts

The source data exists in all of the data stores referenced above. For each effort the following data stores will be considered within the scope of each effort. While this is not all of the data this will give us the core data in each area and the foundation to build on and move forward with.

## 1. Phase B-2: Overpayments

Overpayment	
.OPAFIL	Overpayment file
Siebel	
Asset Recovery File	
Bankruptcy File	

Phase B details available

- Copybooks for Overpayments system.
- Logical Data model of current Overpayment system

Reversed Engineered models with data dictionaries where possible are available for MS SQL server data stores (Erwin Models):

- Tax Portal (Database KansasCS2K, KansasEGA)
- Claimant Portal (KansasBAT)

## 2. Phase B-3: Benefits Integrity Focused

Includes Mainframe files

Siebel Files

Mainframe Benefits	Fields Est	
.BARFIL	250	Benefit Activity Record
.LSTFIL	6	Last employer file
Siebel		
Address		More than one address
Kansas BAT		Not included

## 3. Phase B-4: Benefits Remaining

Includes Mainframe files

Siebel Files

Kansas BAT files

Additional Benefits	fields	
.CSFIL	23	Child support file
.UCXFEREQ - ICON	25	ICON Requests
.UCXFERSP - ICON		ICON Responses

.NONFIL	28	Non-monetary file
.MSGFIL	8	Message file - Issue codes
.WSRFIL	32	Work share file
.HSJFIL	30	New hire history file
.BASFIL	12	contains all wage information ordered by SSN.
Siebel	Tables	
S-Correspondence	1	
S-Notes	1	
S-Activities	1	
KansasBAT	Tables	
IVR files	2	IVR activity
User Repository files	5	Logon activity and iP

The following documents, provides the KDOL understanding of the current legacy data environments and common data across all environments:

- Copybooks for Mainframe Files
- Logical model for Benefits (Mainframe VSAM)
- Logical model for Benefits Siebel
- Mapping Documents for Benefits Sub Topics Maps current data across environments

#### 4. Option One: Phase C

Employer	Est fields	
.BASNAM	11 Fields	name file for base recs. Only part of the base recs are on the basefile.
.BIMFIL	9 Fields	base wage info after 4 qtrs on the earfile.
.BNKFIL	11 Fields	Bank info that is printed on back of 210's > 250.
.CREFIL	22 fields	file used for overpaid accounts to determine interest credited to their accounts.
.DEAFIL	23 fields	Detail account info for transaction that are not balance
.EARFIL	128 fields	Employer account info
.HRXKC210	1 field	used to order 210's to print

.LIAFIL	23 fields	Contains the non-liable accounts
.MALFIL	25 fields	contains address information
.RATEFILE	23 fields	contains rate information/ factors used to determine rates
.RGNFIL	9 fields	contains field rep information by regions.
.ZIPFILZ	7 fields	zip/district file
.LIEMFIL	19 fields	Lien master file
.LIENNUM	27 fields	contains active lien information ??
Siebel	Tables	
Investigation Assignments	1	
Employer Contacts	1	
Employer Sides Information	1	
Employer Addresses	1	
Employer Audits	1	
Kansas CS2K	6	
Kansas EGA	6	

Appendix H provides the details for the following Tax items:

- Copybook for Mainframe Files
- Logical model for Tax/Contributions (Mainframe VSAM)
- Logical model for Tax Siebel
- Conceptual data model for UI-Tax



## Appendix B Requirements for Base Option: Phase A- Evaluation Readiness

### Technical Requirements

Requirement	Available out box	Available with customization (Indicate the level of complexity to customize and have this type of customization been accomplished before by the key personnel)	Not available
<b>Data Integration Layer</b>			
Web-based User interface			
Scalability for # of intended users			
Integration of packaged applications. Suite works together			
Database consolidation. Ability to merge multiple data structures in match merge			
Connectivity; support for integration of legacy systems, relational and non-relational data sources. Approach for VSAM access available			
Connectivity; support for integration of legacy systems, relational and non-relational data sources. Approach for SQL Server available.			
Connectivity; support for integration of legacy systems, relational and non-relational data sources. XML, Web Message formats			
Support for web services, service orientation, microservices architecture and Data services.			
Integration with messaging middleware.			
Development collaboration			

Requirement	Available out box	Available with customization (Indicate the level of complexity to customize and have this type of customization been accomplished before by the key personnel)	Not available
Data Validations			
Complex Transformations			
Preview source data in design			
Run mapping rules in design			
Scheduler			
Real-time triggers			
Transaction rollbacks			
Single install			
Ease of Use			
Complex lookups			
Publish flows as workflows			
Split and join data streams			
Alerts and Notifications			
Data Source Connectivity			
Visual Mapping of source to target data migrations			
Ability for End point to capture data from FTP, API or EDI source			
Ability to accept CDC (Change Data Capture) source and only move data that has changed since last move.			
Ability for multiple endpoint formats to use same data integration service.			
Self-Service Data Preparation			
Self-Contained ETL and Data Storage			
Governance and Metadata Management			
Ability to send/transfer/enrich data at message level			
Ability to access custom coded data API for data enrichment/quality checks			

Requirement	Available out box	Available with customization (Indicate the level of complexity to customize and have this type of customization been accomplished before by the key personnel)	Not available
<b>Business Intelligence solution</b>			
Ad Hoc Analysis			
Online Analytical Processing (OLAP)			
Predictive Analysis			
Trend Indicators			
User Friendly Interface			
Ad Hoc Reporting			
Issue Indicators			
Automatic and Scheduled Reporting			
Customizable Dashboard(s)			
Customizable Features			
Topic Report access portal (multiple topics)			
Dashboard development, topic dashboards			
Customer 360 Dashboard			
Graphic Benchmark Tools			
Graphical development Tools			
Performance Measurements for BI solution			
Mobile access to BI content, securely			
Self-Service (report request, format, Data Discovery)			
Architecture for data access, user access			
Security, roles, restricted			
Visualization of content in a variety of formats			
GIS Visualization of BI Content			
Development too/ for BI Reporting/graph/chart			

Requirement	Available out box	Available with customization (Indicate the level of complexity to customize and have this type of customization been accomplished before by the key personnel)	Not available
Development tool for Portal development			
Development tool for Data Matching/merging			
Fuzzy match tool for scoring a data match			
Format of output self-selectable (PDF, HTML, Excel, Txt/csv)			
<b>Technical requirements of Name Address and contact data quality solution</b>			
Ability to check for NCOA changes in near real time(API type access)			
Ability to batch check all claimants and employer address for changes based upon NCOA data			
Ability to geocode address to rooftop accuracy in batch mode and near real time			
Ability to geocode location of phone number			
Ability to geocode location of IP address			
Ability to quality check name (first and last names) to form and nationally recognized content			
Ability to quality check based upon cultural spellings.			
Ability to quality check phone numbers for form and validity			

<b>Requirement</b>	<b>Available out box</b>	<b>Available with customization (Indicate the level of complexity to customize and have this type of customization been accomplished before by the key personnel)</b>	<b>Not available</b>
Ability to check Email address for form and validity.			
Ability to parse Email to domain and flag as high risk domain			
Ability to provide additional address and contact information for a known person			
Ability to provide validation of address to USPS acceptable format and validity for that city/zip code			
Ability to complete Zip+4 coding based upon address			

**Functional requirements**

<b>Requirement</b>	<b>Available out box</b>	<b>Available with customization (Indicate the level of complexity to customize and have this type of customization been accomplished before by the key personnel)</b>	<b>Not available</b>
Training for developers for BI solution			
Training for Developers for DI Solution			

Requirement	Available out box	Available with customization (Indicate the level of complexity to customize and have this type of customization been accomplished before by the key personnel	Not available
Training for Developers for Data quality Name and Address contact data quality			
Training for subject experts for ad-hoc self-service reporting			
Proof of Concept data solution to validate all technical requirements			
Operational procedures for recovery and failover of solution			
Operation procedures for keeping software current			
Installation of all solution components			
Discovery and analysis of reporting portal needs, roles, topics			
Working reporting portal supporting a variety of topics			
Ability to perform data profiling on data source			
Ability to deliver a data service that can be accessed by multiple apps			
Ability to enable a data service to update multiple data stores and guarantee delivery			
Ability to enable a data Integration from source data to update multiple data stores and guarantee delivery			
Ability to establish data quality reports and alerts to ensure we keep quality data			
Ability to enrich data during data integration to add value/content or change format			

Requirement	Available out box	Available with customization (Indicate the level of complexity to customize and have this type of customization been accomplished before by the key personnel)	Not available
Ability to visualize data in variety of formats including charts, graphs, maps, Excel, drillable.			
Ability to keep address and contact information for claimants and employers current and capture quality data.			
Ability to geocode all addresses for Phase B-D efforts.			

## Appendix C Requirements for Base Option: Phase B - Benefits

### Functional Requirements

Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Develop and assessment of legacy data structures for this topic			
Conduct analysis on expectations of target environment			
Conduct demos of what is possible in target capabilities			
Deliver an Assessment and analytics report of current and target gaps and concerns			
Develop project plan for phase efforts and KDOL involvement			
Develop an unload plan for each VSAM file			
Code an Unload capability for each VSAM file			
Develop design of Target Data Store			
Conduct profiling of existing data and quality areas of concern			
Develop Quality issue matrix for assignment to KDOL or Data integration effort.			
Designed solution to resolve data quality assigned to Data integration effort			
Develop/Code data integration to load initial data store.			
Insert all coded data into target data store			
Deliver Specs to KDOL for target data store for server, database, storage needs			
Develop quality control reporting to validate source to target accuracy/completeness			
Migration plan and operational guide to migrate all developed capabilities from Development to test			
Design of Daily Sync plan for each VSAM data source or SQL server Data source			
Develop/Code data integration to load Daily Sync to data store.			



Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Adjust/Develop quality control reporting to validate source to target accuracy/completeness and that they stay in sync.			
Analysis on reporting needs. Top 10 for Vendor			
Assist KDOL on analysis of Reporting needs. 5 for KDOL staff to build.			
Assist/mentor KDOL staff to build reports.			
Analysis on reporting portal needs			
Migrate all reports to reporting portal for access by users			
Demos of what functionally usable dashboard capabilities exist and how business users utilize them			
Analysis on Dashboard needs. Top 3 for Vendor			
Design and build dashboards			
Assist/mentor KDOL staff to build dashboard components			
Validate final design and final documents			
Assist KDOL staff to move overall solution to production			
Development of operation procedures for failover and recovery of overall solution			
Test of recovery approach as defined			
Finalize operation guide for daily weekly, etc. cycles			
Conduct performance metrics and analysis on Unload, movement, load, translation to ensure optimum solution			
Data Dictionary for target database			
Data models for target database (Logical/Physical)			
Data management and integration architecture			
Data Policies standards guides for consistent data movement and design			
Data Integration mapping source to target			

Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Data Integration Design document			
Communication Plan			
Project management plan			
Weekly Project management reporting			
KITO project Management reporting			
Issue Management Plan			
Change Management Plan			
Post implementation and warranty period support plan			
Data governance best practices guidelines			

## Appendix D Requirements for Phase C - Tax

### Functional Requirements

Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Develop and assessment of legacy data structures for this topic			
Conduct analysis on expectations of target environment			
Conduct demos of what is possible in target capabilities. Specifically, for Tax based data.			
Deliver an Assessment and analytics report of current and target gaps and concerns			
Develop project plan for phase efforts and KDOL involvement			
Develop an unload plan for each VSAM file			
Code an Unload capability for each VSAM file			

Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Develop design of Target Data Store			
Conduct profiling of existing data and quality areas of concern			
Develop Quality issue matrix for assignment to KDOL or Data integration effort.			
Designed solution to resolve data quality assigned to Data integration effort			
Develop/Code data integration to load initial data store.			
Insert all coded data into target data store			
Deliver Specs to KDOL for target data store for server, database, storage needs			
Develop quality control reporting to validate source to target accuracy/completeness			
Migration plan and operational guide to migrate all developed capabilities from Development to test			
Design of Daily Sync plan for each VSAM data source or SQL server Data source			
Develop/Code data integration to load Daily Sync to data store.			
Adjust/Develop quality control reporting to validate source to target accuracy/completeness and that they stay in sync.			
Analysis on reporting needs. Top 10 for Vendor			
Assist KDOL on analysis of Reporting needs. 5 for KDOL staff to build.			
Assist/mentor KDOL staff to build reports.			
Analysis on reporting portal needs			
Migrate all reports to reporting portal for access by users			
Demos of what functionally usable dashboard capabilities exist and how business users utilize them			

Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Analysis on Dashboard needs. Top 2 for Vendor			
Design and build dashboards			
Assist/mentor KDOL staff to build dashboard components			
Validate final design and final documents			
Assist KDOL staff to move overall solution to production			
Development of operation procedures for failover and recovery of overall solution			
Test of recovery approach as defined			
Finalize operation guide for daily weekly, etc. cycles			
Conduct performance metrics and analysis on Unload, movement, load, translation to ensure optimum solution			
Data Dictionary for target database			
Data models for target database (Logical/Physical)			
Data management and integration architecture			
Data Policies standards guides for consistent data movement and design			
Data Integration mapping source to target			
Data Integration Design document			

## Appendix E Requirements for Phase D - Asset Recovery, Appeals

### Functional Requirements

Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Develop and assessment of legacy data structures for this topic			
Conduct analysis on expectations of target environment			
Conduct demos of what is possible in target capabilities. Specifically, in focus areas of appeals.			
Deliver an Assessment and analytics report of current and target gaps and concerns			
Develop project plan for phase efforts and KDOL involvement			
Develop an unload plan for each VSAM file			
Code an Unload capability for each VSAM file			
Develop design of Target Data Store			
Conduct profiling of existing data and quality areas of concern			
Develop Quality issue matrix for assignment to KDOL or Data integration effort.			
Designed solution to resolve data quality assigned to Data integration effort			
Develop/Code data integration to load initial data store.			
Insert all coded data into target data store			
Deliver Specs to KDOL for target data store for server, database, storage needs			
Develop quality control reporting to validate source to target accuracy/completeness			
Migration plan and operational guide to migrate all developed capabilities from Development to test			

Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Design of Daily Sync plan for each VSAM data source or SQL server Data source			
Develop/Code data integration to load Daily Sync to data store.			
Adjust/Develop quality control reporting to validate source to target accuracy/completeness and that they stay in sync.			
Analysis on reporting needs. Top 3 for Vendor for Appeals			
Assist KDOL on analysis of Reporting needs. 2 for KDOL staff to build.			
Assist/mentor KDOL staff to build reports.			
Analysis on reporting portal needs			
Migrate all reports to reporting portal for access by users			
Demos of what functionally usable dashboard capabilities exist and how business users utilize them			
Analysis on Dashboard needs. One for Appeals for Vendor			
Design and build dashboards			
Assist/mentor KDOL staff to build dashboard components			
Validate final design and final documents			
Assist KDOL staff to move overall solution to production			
Development of operation procedures for failover and recovery of overall solution			
Test of recovery approach as defined			
Finalize operation guide for daily weekly, etc. cycles			
Conduct performance metrics and analysis on Unload, movement, load, translation to ensure optimum solution			
Data Dictionary for target database			

Requirement	Past Experience (Be specific and relate similarities to this project)	Tools used	Not available
Data models for target database (Logical/Physical)			
Data management and integration architecture			
Data Policies standards guides for consistent data movement and design			
Data Integration mapping source to target			
Data Integration Design document			

## Appendix F Deliverable Requirements

Frequency	Deliverable	Description	Due
Once	1. Conflict of Interest Disclosure	The Supplier will disclose all members of their and their subcontractors', organization or business that perform duties as an elected official, appointed official, are or were an employee of the Commonwealth of Virginia in the last three years, or otherwise may give the perception of a conflict of interest.	Proposal
Iterative	2. DW Data Dictionary		Design stage of each phase
Iterative	3. DW Data Model(s)		Design stage of each phase
Iterative	4. Data Management and Integration Architecture		Design stage of phase I
Iterative	5. Integrity Analysis including algorithms, queries, pattern matching schema		Analysis stage of each phase
Iterative	6. Data Policies, Security, Quality Measures		Analysis stage of each phase
Iterative	7. DW/DM Data Stores Design		Design stage of each phase
Iterative	8. Data Quality Report/Metrics and Procedures		Analysis stage of each phase
Iterative	9. Project Management Plan		Proposal
Iterative	10. Training Plan and Curriculum 11. Estimated 10 personnel in IT community		Proposal



Frequency	Deliverable	Description	Due
	12. 10 People as business Subject Matter Experts for Self-service reporting.		
Once	13. Final DW/ODS Data Store		Design stage of each phase
Once	14. Data Integration/ETL Tool		Proposal
Once	15. BI Tool		Proposal
Iterative	16. Project Status Reports		Weekly
Iterative	17. Issue Management Plan		Proposal
Iterative	18. Change Management Plan		Proposal
Iterative	19. Risk Management Plan		Proposal
Iterative	20. Quality Assurance Plan		Proposal
Iterative	21. Training Materials		Prior to Training
Iterative	22. Post Implementation Support Plan		Proposal
Iterative	23. CITO Reporting Requirements		Monthly
Iterative	24. Delivered Dashboards and reports in each phase. 25. Phase 1. 2 dashboards and 10 reports 26. Phase 2 1 dashboard and 10 reports 27. Phase 3 2 dashboards and 10 reports.		Development of each phase
Iterative	28. DG Charter/Information Needs/ /Vision Statement/Mission Statement		Analysis Stage of Phase I
Iterative	29. DG Charter/Implementation Roadmap		Analysis Stage of Phase1
Once	30. Data Governance Council, Data Stewardship Committee, Data Stewardship Teams		Analysis stage of Phase 1

<b>Frequency</b>	<b>Deliverable</b>	<b>Description</b>	<b>Due</b>
Iterative	31. Data Quality Policies and Measurements		Analysis stage of Phase 1
Iterative	32. Issue Log and Issue Resolutions / Compliance Reporting and Non Compliance Issues		Weekly
Iterative	33. Data Quality Assessment Report/Gap Analysis Report /Business Rules & Requirements/Technical Specs & Design		Analysis stage of each phase
Iterative	34. Data Quality Assessment Report/Conversion Inventory at Record Level		Analysis stage of each phase
Iterative	35. Data Quality Assessment Report/System of Record		Analysis stage of each phase
Iterative	36. Data Quality Assessment Report/Profile Analysis, Results and Recommendations		Analysis stage of each phase
Iterative	37. Data Quality Assessment Report/Define Data Quality Metrics Document		Analysis stage of each phase
Iterative	38. Technical Specifications for Data to be Fixed during Transformation and Load		Analysis stage of each phase
Iterative	39. Technical Specifications for Data to be Remediated in Legacy and Method		Analysis stage of each phase
Iterative	40. Technical Specifications for Business Rules and Requirements		Analysis stage of each phase

<b>Frequency</b>	<b>Deliverable</b>	<b>Description</b>	<b>Due</b>
Iterative	41.	Communication Plan	Proposal

## Appendix G CESER Contract Terms & Conditions



***Center for Employment Security  
Education and Research***

***444 North Capitol St. NW, Suite 142  
Washington, DC 20001***

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### **CESER General Contract Terms and Conditions**

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### **Clause**

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## **1. Definitions**

- A. *Agreement* shall mean the Master Agreement entered into between Contractor and CESER, including the Scope of Work, these General Terms and Conditions, and any other attachments and exhibits.
- B. *Services* shall mean those services Contractor is to provide pursuant to the Agreement, including any Scope of Work.
- C. *Work* shall mean all work, deliverables, documents, data, goods, and other materials produced, developed, collected, or authored by Contractor pursuant to the Agreement.
- D. *Concerned Funding Agency* means any third party entity providing funding, in whole or in part, related to the Agreement.

## **2. Relationship**

The Contractor is an independent contractor, and the relationship between CESER and the Contractor shall be solely contractual and not in the nature of a partnership, joint venture, or general agency. Neither party may speak nor act on behalf of the other, nor legally commit the other.

## **3. Arbitration and applicable law**

Any controversy or claim arising out of or relating to this Contract or breach thereof shall be settled by arbitration to be held in the District of Columbia. Judgment upon the award rendered by the arbitrators may be entered in any court having jurisdiction thereof. This Contract will be governed by the laws of the District of Columbia.

## **4. Assignment and Subcontracting**

This Contract or any interest hereunder shall not be assigned or transferred by the Contractor without prior written consent of CESER and is subject to such terms and conditions that CESER may impose.

## **5. Financial Record Keeping and Inspection**

The Contractor warrants that it shall, during the term of the Agreement and for a period of three (3) years following the termination or expiration of the Agreement, maintain accurate and complete financial records, including accounts, books, and other records related to charges, costs, disbursements, and expenses, in accordance with generally accepted accounting principles and practices, consistently applied.

CESER, directly or through its authorized agents, auditors or other independent accounting firm, at its own expense, and the Concerned Funding Agency directly or through its duly authorized representatives, shall have the right, from time to time, upon at least ten (10) days notice, to audit, inspect, and copy the Contractor's records. The Contractor shall fully cooperate, including by making available such of its personnel, records and facilities as are reasonably requested by CESER or the Concerned Funding Agency. This Section shall

remain in force during the term of the Agreement and for the three (3) years following the termination or expiration of the Agreement. If an audit, litigation, or other action involving the records is started before the end of the three (3) year period, Contractor agrees to maintain the records until the end of the three (3) year period or until the audit, litigation, or other action is completed, whichever is later.

## **6. Audit**

The Contractor, at its own expense, shall meet the applicable audit requirements of OMB Circular A-133 if the Contractor has more than \$500,000 in expenditures in a year in awards (including contracts, grants, cooperative agreements, etc.) made by a federal agency. The Contractor must submit a copy of its A-133 audit report, prepared by an independent certified public accounting firm, to the attention of Chief Financial Officer, Center for Employment Security Education and Research, 444 North Capitol Street, N.W., Suite 142, Washington, D.C. 20001 within 30 days of its receipt of the audit report. In instances where non-compliance with federal laws and regulations has been noted in the Contractor's audit report, the Contractor must outline in writing its plan for corrective action and must affirmatively respond to CESER when its corrective action plan has been successfully completed.

Contractor shall keep audit reports, including reports of any of its sub-subcontractors, on file for three (3) years from their issuance. Contractor shall permit independent auditors to have access to the records and financial statements as necessary for CESER and Contractor to comply with OMB Circular A-133.

Contractor agrees that in the event that Contractor's audit report indicates instances of noncompliance with federal laws and regulations, including but not limited to OMB Circular A-133, that Contractor covenants and agrees to take any and all corrective actions necessary or required or as directed by CESER.

Contractor agrees to provide audits annually.

In the event that audits are not received, CESER may, in its discretion,

- a) withhold a percentage of the sums due and owing hereunder until the audit is completed satisfactorily;
- b) withhold or disallow overhead charges; or
- c) suspend this Contract until the audit is completed and all required reports are provided.

The Contractor shall hold harmless, indemnify and defend CESER and the Concerned Funding Agency or agencies, their consultants and each of their officers, partners, agents and employees from any and all liability, claims, losses, (including but not limited to the loss or threatened loss of tax exempt status), costs, fees, expenses, penalties, damages and/or obligations including but not limited to the costs of defense of such claims, attorney's and audit fees arising out of the failure to provide such audit reports. The Contractor shall include the provisions of this Section 15 in any subcontract executed in connection with this Project.

## **7. Allowable Costs**

Allowable costs shall be determined in accordance with applicable Office of Management and Budget Circulars A-21, A-87, A-102, A-110, A-122, and A-133 as well as by the terms of the agreement between CESER and the Concerned Funding Agency, and any rules of, or guidelines issued by, the Concerned Funding Agency. The Contractor is responsible for reimbursing CESER in a timely and prompt manner for any payment made under this subcontract which is subsequently determined to be unallowable by CESER, the Concerned Funding Agency, or other appropriate Federal or State officials.

## **8. Right to Disseminate**

Unless otherwise expressly set forth to the contrary in the Contract, CESER shall have the right to use and have used, for any purpose, unpatented information concerning the services performed by the Contractor which the Contractor may disclose to CESER during performance of this Contract if such information is furnished without restrictions on its use.

## **9. Remedies**

The Contractor acknowledges that monetary damages alone will not adequately compensate CESER in the event of a breach by the Contractor of the restrictions imposed and therefore the Contractor hereby agrees that in addition to all remedies available to CESER at law or in equity, including, if applicable, under the District of Columbia Trade Secrets Act, or corresponding applicable State law, CESER shall be entitled to interim restraints and permanent injunctive relief for enforcement thereof, and to an accounting and payment over of all receipts realized by the Contractor as a result of such breach.

## **10. Ownership Rights**

The services provided by the Contractor pursuant to the Agreement shall be “work for hire” and therefore all Work shall be sole and exclusive property of CESER. To the extent that the Services, or any part of them, may not constitute work for hire under the law, Contractor hereby transfers to CESER all right, title, and interest in and to the Work. Without limiting the foregoing, CESER shall have access to the Work at any time during the term of the Agreement.

## **11. Personnel**

Any personnel identified in the Agreement as individuals who will be performing the Services or producing the Work may not be changed without the written approval of CESER.

## **12. Modification of the Contract**

The Agreement may not be modified except by further written agreement signed by the parties.

## **13. Excusable Delays**

The Contractor shall not be liable for damages, including liquidated damages, if any, for delays in performance or failure to perform due to causes beyond the control and without fault or negligence of the Contractor. Such causes include but are not limited to, acts of God, acts of the public enemy, acts of the United States Government, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, or unusually severe weather.

## **14. Inspection of Services**

- A. All services shall be subject to inspection by CESER, to the extent practicable at all times and places during the Contract. All inspections by CESER shall be made in such manner as not to unduly delay the work.
- B. If any services performed hereunder are not in conformity with the requirements of this Contract, CESER shall have the right to require the Contractor perform the services again in conformity with the requirements of the Contract, at no additional expense to CESER. When the defective services performed are of such nature that the defect cannot be corrected by re-performance of the services, CESER shall have the right to: (1) require the Contractor to immediately take all steps necessary to ensure future performance of the services in conformity with the requirements of the Contract; and (2) reduce the Contract price to reflect the reduced value of the services performed. If the Contractor fails to perform promptly the services again or to take necessary steps to ensure future performance of the services in conformity with the requirements of the Contract, CESER shall have the right to either (a) by Contract or otherwise have the services performed in conformity with the Contract requirements and charge the Contractor any costs incurred by CESER that is directly related to the performance of such services; or (2) terminate this Contract.

## **15. Insurance Requirements**

The Contractor shall effect and maintain with a reputable insurance company a policy or policies of insurance providing an adequate level of coverage in respect of all risks which may be incurred by the Contractor, arising out of the Contractor's performance of the Agreement, in respect of death or personal injury, or loss of or damage to property. The Contractor shall produce to CESER, on request, copies of all insurance policies referred to in this condition or other evidence confirming the existence and extent of the coverage given by those policies, together with receipts or other evidence of payment of the latest premiums due under those policies.



## **16. Confidential Information**

Any information regarding CESER that is not generally publicly known or available, whether or not such information would constitute a trade secret under statutory or common law, that is disclosed to or discovered by the Contractor during the course of the Agreement (hereinafter, "Confidential Information") shall be considered confidential and proprietary to CESER, and the Contractor shall maintain all Confidential Information in confidence; shall employ reasonable efforts to ensure the security of the Confidential Information; and shall not disclose the Confidential Information to any third party or use the Confidential Information except as necessary to perform the Services or produce the Work. Should the Contractor receive a subpoena directing disclosure of any Confidential Information, the Contractor shall immediately inform CESER and cooperate fully with CESER in responding to the subpoena.

## **17. Laws and ordinances**

The Contractor shall comply will all applicable laws, ordinances, rules and regulations including Federal, State, and Municipal authorities and departments relating to or affecting the work herein or any part thereof, and shall secure and obtain any and all permits, licenses and consents as may be necessary in connection therein.

## **18. Limitation of Liability**

Notwithstanding any other provision of the Agreement, under no circumstances shall the liability of CESER to the Contractor exceed to the total amount of compensation to be paid to the Contractor.

## **19. No waiver of conditions**

Failure of CESER to insist on strict performance shall not constitute a waiver of any of the provisions of this Contract or waiver of any other default of the Contractor.

## **20. Public release of information**

Unless the prior consent of CESER is obtained, the Contractor shall not, except as may be required by law or regulation, in any manner advertise or publish or release for publication any statement or information mentioning CESER, or the fact that the Contractor has furnished or contracted to furnish to CESER the services required by this Contract, or quote the opinion of any employee of CESER.

## **21. Taxes**

Unless prohibited by law or otherwise stated to the contrary to this contract, the Contractor shall pay and has not included in the price of this contract, any Federal, State or Local

Sales Tax, Transportation Tax, or other similar levy which is required to be imposed upon the work or services to be performed.

## **22. Term and Termination**

The Agreement shall be for such term as is set forth in the Agreement. The Agreement may be terminated by CESER prior to the end of any term on fifteen (15) days written notice.

In addition, this Agreement may be terminated by either party on written notice should the other party: (a) fail to cure a material breach within ten (10) days of delivery of written notice; (b) become insolvent; (c) be the subject of a bankruptcy filing; or (d) cease doing business. Upon termination, the Contractor shall deliver to CESER: all Work, whether in final or draft form, that has been produced as of the date of termination; all Confidential Information; and any materials or items previously provided to the Contractor by CESER. Upon receipt thereof by CESER, the Contractor shall be paid for work performed through the date of termination. In all instances of terminations, the Contractor shall use best efforts to not incur new costs and expenses after the notice of termination, and shall cancel as many outstanding obligations as possible.

## **23. Warranty of Services**

The Contractor warrants and represents that: (a) the Services shall conform to the Scope of Services in all respects; (b) the Work shall be original to the Contractor and shall not infringe the copyright or other rights of any party; (c) the Contractor possesses, and shall employ, the resources necessary to perform the Services in conformance with the Agreement; (d) the Services shall be performed, and the Work produced, in accordance with high standards of expertise, quality, diligence, professionalism, integrity, and timeliness; and (e) the Contractor has no interest, relationship, or bias that could present a financial, philosophical, business, or other conflict with the performance of the Work or create a perception of a conflict or a lack of independence or objectivity in performing the Work.

## **24. Special Damages**

Neither party shall be liable to the other for consequential or indirect damages, including lost profits, or for punitive damages, arising from breach of the Agreement.

## **25. Concerned Funding Agency**

This Agreement is subject to the terms of any agreement between CESER and a Concerned Funding Agency and in particular may be terminated by CESER without penalty or further obligation if the Concerned Funding Agency terminates, suspends or materially reduces its funding for any reason.

Additionally, the payment obligations of CESER under this Agreement are subject to the timely fulfillment by Concerned Funding Agency of its funding obligations to CESER.

## **26. Review and Coordination**

To insure adequate review and evaluation of the Services and Work, and proper coordination among interested parties, CESER shall be kept fully informed concerning the progress of the Work and Services to be performed hereunder, and, further, CESER may require the Contractor to meet with designated officials of CESER from time to time to review the same.

## **27. Entire Agreement**

The Agreement constitutes the entire agreement between the parties relating to the subject matter of the contract. The Agreement supersedes all prior negotiations, representations and undertakings, whether written or oral.

## **28. Flow down Provisions**

The Contractor agrees to assume, as to CESER, the same obligations and responsibilities that CESER assumes toward the Concerned Funding Agency under those Federal Acquisition Regulations (FAR), if any, and applicable Concerned Funding Agency acquisition regulations, if any, that are mandated by their own terms or other law or regulation to flow down to subcontractors or sub grantees, and therefore the Agreement incorporates by reference, and the Contractor is subject to, all such mandatory flow down clauses. Such clauses, however, shall not be construed as bestowing any rights or privileges on the Contractor beyond what is allowed by or provided for in the Agreement, or as limiting any rights or privileges of CESER otherwise allowed by or provided for in the Agreement. The Contractor also agrees to flow down these same provisions to any lower-tier subcontractors.

## **29. Compliance with Applicable Laws**

In addition to its general commitment to comply with all applicable laws, the Contractor specifically agrees to the following requirements, to the extent that such requirements are applicable:

- A. to comply with the Civil Rights Act of 1964 and all other Federal, State or local laws, rules and orders prohibiting discrimination. Consistent with the foregoing, Contractor agrees to comply with Executive Order 11246, entitled "Equal Employment Opportunity," as amended by Executive Order 11375, and as supplemented by U.S. Department of Labor regulations at 41 C.F.R. Part 60;
- B. to make positive efforts to utilize small businesses, minority-owned firms and women's business enterprises in connection with the work performed hereunder, whenever possible;

- C. to provide for the rights of the Federal Government in any invention resulting from the work performed hereunder, in accordance with 37 C.F.R. Part 401 and any applicable implementing regulations;
- D. to comply with all applicable standards, orders, and regulations issued pursuant to the Clean Air Act of 1970 (42 U.S.C. 7401 *et. seq.*) and the Federal Water Pollution Control Act (33 U.S.C. 1251 *et. seq.*), as amended;
- E. to comply with the certification and disclosure requirements of the Byrd Anti-Lobbying Amendment (31 U.S.C. 1352), and any applicable implementing regulations, as may be applicable, including: 1) certification that Sub-Contractor has not, and will not, use Federal funds to pay any person or organization for influencing or attempting to influence an officer or employee of any Federal agency; a member, officer, or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352; and 2) disclosure of any lobbying with non-Federal funds that takes place in connection with obtaining a Federal award.
- F. to certify that neither it, nor any of its principal employees, has been debarred or suspended from participation in Federally-funded contracts, in accordance with Executive Order 12549 and Executive Order 12689, entitled "Debarment and Suspension," and any applicable implementing regulations.

### **30. Indemnification**

Should one party (the "Indemnified Party") incur or suffer any liability, damage, or expense, including reasonable attorney's fees, in connection with the defense of a legal proceeding brought by a third party arising out of the negligent or other wrongful actions of the other party (the "Indemnifying Party"), then the Indemnifying Party shall indemnify and hold harmless the Indemnified Party for such liability, damage, or expense.

### **31. Survival**

Sections 3, 4, 9, 10, 16, 18, 20, 24, 30, and 31 shall survive termination of this the Agreement.

## Appendix H Resource documents for data structures

The following resources will be provided to vendors that complete the Non-Disclosure form. The files will be loaded on a secure server and the vendor will be provided userid and access privileges for duration of the RFP process. The following content will be available.

### Data Models

- a. VSAM on Mainframe
  - i. VSAM Benefits
  - ii. VSAM TAX
  - iii. VSAM Overpayments
- b. Siebel on SQL Server
  - i. Siebel logical Benefits
  - ii. Siebel logical Tax
- c. Web Data structures on SQL Server
  - i. Note these are reverse modeled from source data
  - ii. Tax CS2K
  - iii. Tax EGA
  - iv. Benefits BAT

### Copy Books from Mainframe

- a. Benefits- multiple
- b. Tax- multiple
- c. OverPayments- multiple

### Draft Target Data Models

- a. KDOL conceptual Data model
- b. Benefits Claimant
- c. Benefits Initial Claim
- d. Benefits weekly claim
- e. Tax

**NON DISCLOSURE FORM FOR ITSC ACCESS**

## Appendix I Requirements for Phase E 1-5

Requirement	Past Experience	Tools used	Not available
<b>E-1 Integrity Core Analysis</b>			
User stores for advanced Integrity insight			
Roadmap for user story development			
Prioritization plan for roadmap			
Summary Analysis of Integrity Needs			
Designed approach for each user story			
Developed solution to each user story			
Integration into reporting portal as needed			
Integration into Dashboards as needed			
<b>E-2 Incarceration</b>			
Analysis of data flows and procedures			
Modification design of data flows to target data integration architecture			
Develop data integration of Incarcerated data into target data architecture			
Development of report/analytics to surface high value potential fraud due to incarcerated			
Development of ability that if once cleared they will not be included in analysis for some period			
Incorporate capability into dashboards/portals as needed			
Trigger an automated case to be initiated based upon highest value fraud			
Back load data to Mainframe if needed to support current batch cycle processing			
<b>E3 Data Discovery for case</b>			
Analysis of current discovery capabilities and entry points			
Analysis of current patterns for fraud and filter criteria capabilities			
Investigation of potential additional data sources to assist in detecting fraud.			
Development of new pattern analytics to see if additional patterns are emerging			
Development of data stores/universes to assist with business experts to detect ad-hoc new patterns			

Requirement	Past Experience	Tools used	Not available
Integration of designed and built solution into dashboards and portals as needed.			
Develop case research auto-collection for case details.			
<b>E4 NDNH New Hire</b>			
Analysis of current new hire data flows and partner needs/expectations			
Report on opportunities to support new hire from end to end data flows and value to all parties more effectively.			
Identify and prioritize all opportunities for KDOL approval			
Redesign data flows if needed. Reengage partner agreements as necessary with KDOL assistance			
Develop reporting to support high risk fraud due to new hire data			
Develop data service to trigger weekly claim application process for additional questions if impacted by new hire data			
Generate an Investigation case on high value fraud based upon new hire data. Apl driven			
Integrate data structure changes into target Data architecture			
Back feed data to legacy data stores if necessary for new hire data			
Geocode IP address for all IP events.			
Compare IP Lat/long location with physical location and employer location for high mileage gap probability risk			
Develop prediction model to predict probability of claimant committing fraud based upon new hire and employer's fraud profile.			
Incorporate prediction model into Adjudicator review process for weekly claim reviews.			
Integration of designed and built solution into dashboards and portals as needed.			
<b>E.5 Sides Predictive</b>			

Requirement	Past Experience	Tools used	Not available
Analysis of current SIDES data flows and response to request patterns.			
Redesign using target data integration architecture as needed.			
Analysis based upon customer profiles on response patterns to separation and wage request(Large employers, med, governmental, TPA supported, etc)			
Build impact reporting for employers whose responsiveness is impacting rate structure			
Build predictive and historical model of slow responsiveness and trigger enhance information collection processes			
Enable a prediction service for Employer support staff to visualize probability that employer will have responsive issues and guidance for resolutions (API service to Siebel page) or employer dashboard			
Integration of designed and built solution into dashboards and portals as needed.			