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DeAngela Burns-Wallace, Secretary

Laura Kelly, Governor

TO: Unemployment Compensation Modernization and Improvement Council

FROM: Rick Beattie, Director, Office of Procurement and Contracts, Kansas Department of Administration

DATE: October 15, 2021

SUBJECT: Bidder Replies to the Video Presentation Council Follow-Up Questions

REF: UI Modernization RFP (EVT0007951)

As requested, attached are the responses to the Council's questions that were submitted following the video presentations by the four bidders to the Council the week of September 27, 2021.

All four responses have been combined alphabetically into a single PDF document. Each bidder's response can be located by clicking on the link within the table of contents. The original questions also have been included for reference.

Regards,

Rick Beattie
Director | Office of Procurement and Contracts
Kansas Department of Administration

Cc: Secretary DeAngela Burns-Wallace

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Council Follow Up Questions for KDOL UI Modernization Bidders

Company Unemployment System Implementation History

1. Please specify each state in which you (or any subsidiary or acquired company) have contracted to perform work implementing an unemployment compensation system. For each state, please specify whether the system was implemented on time and within budget. Please note any states where the product was ultimately not implemented. For each state, please specify the date when the contract was initially entered into and the go-live dates for both tax and benefits programs, if applicable. If implementation is in progress, please state the anticipated go-live date.

ACCENTURE RESPONSE

Accenture has decades of experience modernizing the most complex systems used within the Public Sector, from Unemployment Insurance, to Integrated Eligibility, Tax, Licensing, Child Welfare, Vaccine Management and much more.

With that extensive experience, Accenture has evolved our recommendations around Unemployment Insurance to leverage the industry leading platforms that we have included in our response – Salesforce, Azure, and Oracle in order to create a system that is always modern and evergreen. Leveraging the power of Software-as-a-Service breaks the dependence on Commerial off-the-shelf (COTS) providers and System Integrator partners.

The following is a summary of the representative projects Accenture highlighted in our original response. In the last two years we have successfully implemented systems with this platform based strategy for many additional states. We wish to respect those States' privacy and contractual requirements and hence have limited our response to the references from our original response.

- **Workers' Compensation Board** – Alberta: WCB Alberta teamed with Accenture to modernize and re-platform the Case Information System (CIS), one of its core applications that Accenture originally developed in the early 1990s, from legacy mainframe application to a .NET distributed environment. The purpose of this re-platforming was to support WCB Alberta's goal of moving off the IBM mainframe to modernize its' applications and to a platform that would support growth and innovation while reducing operating costs. The project duration was from January 2016 to July 2020. The modernized code was successfully implemented August 3, 2020 and has been in production ever since with very few production bugs - a great feat, considering the size of effort.
- **CalConnect** – Leveraging the Salesforce platform, The CalCONNECT program and system is responsible for identification of persons who may have come into contact with a person infected with COVID-19 ("contacts"); contacting, scheduling, and referral to testing for infection; follow-up and referral to isolation to prevent community transmission; tracing downstream contacts in turn; and offering compassionate support throughout. The project is managed by CDPH and serves the 61 Local Health Jurisdictions (LHJs) in California. The platform supports Contact Tracers, Case Investigators, and Supervisors. In addition, the program provides support to local health officers and Local Health

Department personal that support the Case Investigation and Contact Tracing efforts related to COVID-19. The system was implemented in one year; the solution started May 2020 and still ongoing.

- **New South Wales (NSW) Department of Communities and Justice (DCJ)** – Leveraging the Salesforce platform, Accenture worked as part of a multi-vendor team, providing a majority of the resources to design, develop, and implement a modern child welfare case management system for NSW. The ChildStory solution leverages native Salesforce integration capabilities. After go-live in 2018, Accenture became NSW's prime maintenance and operations vendor, providing all the Application Managed Services for the ChildStory solution. With Accenture's assistance, the Department has identified a series of functional expansions to further improve user experience and expand platform reach to a broader partner network. The project began in November 2016, went live in November 2018 and is currently ongoing for maintenance support.

2. Have any of your implementations had delays to original implementation schedules. If yes, please provide relevant details.

ACCENTURE RESPONSE

Accenture's implementations have had delays driven by circumstances both within and outside of our control. In both types of situations, the Accenture team works with our clients to communicate and understand the issues as they arise and works collaboratively with the client to address and resolve any issues quickly / in a timely manner. Candid, open, and trust based communications are critical to resolving these issues.

3. How long have you (or any subsidiary or acquired company) offered UI systems? Please specify the earliest date you (or any subsidiary or acquired company) had a tax and benefits product go live in a state.

ACCENTURE RESPONSE

Accenture has been working with clients helping design and implement Unemployment Insurance systems for over 20 years / since the turn of the century. Those experiences in UI have shaped Accenture's recommendations around Unemployment Insurance modernization.

4. Please describe improvements to your system from your earliest product implementations to your most recent product implementations and specify any further improvements you are proposing for Kansas. Please specify which states you consider to be your earliest product implementations and your most recent implementations.

ACCENTURE RESPONSE

Accenture has working on UI systems since the turn of the century. In those solutions, we focused on custom built, monolithic solutions that were challenging to deliver and maintain. Those experiences in Unemployment Insurance have shaped Accenture's recommendations around Unemployment Insurance modernizations. Our recommendation to leverage industry leading platforms including Salesforce, Azure, and Oracle creates a system that is always modern and evergreen. Leveraging the power of Software-as-a-Service breaks the dependence on COTS providers and System Integrator partners.

5. What is the most challenging system implementation you have had in the past seven years and how would you expect Kansas to compare to that implementation, considering the age and status of Kansas's current system?

   ACCENTURE RESPONSE

   Accenture's work at the Workers' Compensation Board – Alberta was a challenging but successful implementation that is highly similar to the Kansas UI Modernization project. At WCB Alberta, the existing solution and data was also housed in a legacy IBM mainframe application. In addition, the overall goals of the project at WCB Alberta were similar to those of the Kansas UI Modernization project -- to modernize its applications and move to a platform that would support growth and rapid, continuous innovation while reducing operating costs. Given the successes at WCB – Alberta, we would expect that the Kansas UI Modernization project also be a successful implementation.

6. Have you ever been subject to a lawsuit by any of your client states or by any participants within the UI system in any of your client states? If so, please specify the state and the status of the litigation.

   ACCENTURE RESPONSE

   Litigation involving every type of professional services firm—including consultants—has become commonplace over the last two decades worldwide. The number of such situations worldwide in which Accenture is involved is minuscule in relation to its total number of clients. The ultimate outcome of any pending litigation will not adversely affect Accenture's ability to provide the services described our proposal.

   Any significant legal proceedings involving Accenture would be disclosed in our filings (10Ks, 10Qs, and Annual Reports) with the Securities and Exchange Commission; these filings can be accessed at http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001134538

7. What are you doing to connect the unemployment system administrators in the various states where you have a product in place?

   ACCENTURE RESPONSE

   As is the case with our other Public Service industries, we plan on connecting unemployment system administrators and business leaders through a Multi-State forum. This interaction facilitates conversations, idea sharing, joint thinking, and system innovations.

Product Details

8. Please identify any third-party identity verification vendors your product interfaces with currently or can interface with.

   ACCENTURE RESPONSE

   Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. These platforms have robust in-built integration to both identity and access management. Salesforce Identity Integration supports all third-party Identity Provider systems that use established standards such as SAML, as well as supports direct integration with Social Sign On identity providers like Facebook, Twitter, Google, LinkedIn and more.

   Accenture has configured the platform to work with many SAML-based identity management solutions such as Okta and ID.me through the platform's robust out of the box APIs for integration with identity verification services. These integrations provide NIST 800-63-3 IAL2 & AAL2 aligned capabilities for online and in-person identity verification.

9. Has your unemployment compensation product integrated with workforce services systems? If so, please provide specific state examples. If not, please provide information on the ability of your system to integrate with workforce services systems.
   a. Is your product able to interface with America's Job Link Alliance for workforce services (AJLA is the platform used to support KansasWorks.com)?

   ACCENTURE RESPONSE

   Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. Accenture's workforce services partner, Jobiqo, has been leveraged in mutiple public and private clients to provide workforce services and has native, inbuilt integration with the Salesforce platform. In addition to Jobiqo, Accenture is able to integrate the solution for the KDOL modernization with other workforce services systems through industry standard integration methods such as RESTful Webservices.

   a. Yes. Accenture's proposed solution is able to interface with AJLA using RESTful Webservices which we understand is AJLA's standard integration method.

10. How many steps/clicks is required within your system for a claimant to reach a live representative or schedule a live call back?

   ACCENTURE RESPONSE

   Claimants can reach a live representative in as little as one step. This leverages the Amelia AI chatbot that Accenture developed in conjunction with KDOL. Amelia allows claimants to live chat with agents who are able to assist them with their Unemployment Insurance claims.

11. Does your system offer a chatbot support tool?

ACCENTURE RESPONSE

Yes. The proposed solution for the KDOL Modernization project does include a chatbot support tool. In fact, Accenture has already worked in conjunction with KDOL to develop Amelia, a chatbot that currently supports KDOL Claimants.

12. Where is the data hosted in your product? Has your product had any data breaches? Has any cloud hosting service used by your product had any data breaches? Please provide further information for any breaches.

ACCENTURE RESPONSE

Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. Data will be hosted in these clouds in Government specific areas with FedRamp High and Pub 1075 compliance. These environments include full scope internal vulnerability assessments, third party audits, and penetration tests.

13. What is required to add new, additional unemployment compensation programs to your system?

ACCENTURE RESPONSE

As illustrated in our video demo, the Accenture solution for the KDOL Modernization project is architected to quickly add unemployment compensation programs. Unemployment compensation programs are defined by a set of parameters and configurable rules. The Rules Engine that forms the backbone of our solution utilizes these parameters and rules to determine eligibility, unemployment benefits, overpayments, and other elements of a claim. Authorized personnel have the following options to add a new program:

- Create a new program by configuring it with new parameters and rules
- Clone an existing program that closely resembles the desired program, edit the configuration parameters and rules, and add or remove some rules

All of these can be accomplished through configuration. Additionally, to help provide integrity to the program and to facilitate audits, the solution can be configured with multiple levels of approvals prior to launch of the program.

14. Is your product able to integrate with a work search requirement reporting system involving employers and state workforce services agencies?

ACCENTURE RESPONSE

Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. These platforms allow for data to be shared across multiple platforms through a set of common, industry standard integrations. In addition to integrating with existing reporting systems involving employers and state workforce service agencies, the Accenture solution integrates with the existing KDOL business reporting toolset.

15. Are the reporting and workforce management tools within your system able to be used with the U.S. Department of Labor's Resource Justification Model?

ACCENTURE RESPONSE

Yes. Accenture's solution leverages KDOL's existing data model and Business Objects reporting capabilities to access data required to support the RJM process. Any adminstrative data available within the current data model would be available either through Business Objects or through Salesforce reports or dashboards, either of which can easily export data to Excel format to faciltate the annual RJM submission.

16. Does your system have an alternative to personal questions as a means of identity verification?

ACCENTURE RESPONSE

Yes. Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. These platforms have robust in-built integration to identity and access management.

Acenture's solution allows for multiple authentication methods, including username and password, certificate-based authentication, delegated authentication, SAML single sign-on, and social sign-on through a third-party authentication provider are supported. KDOL can also apply the two-factor authentication requirement to users as well. Furthermore, Accenture's solution supports direct integration with Social Sign On identity providers like Facebook, Twitter, Google, LinkedIn and more.

Accenture has configured the platform to work with many SAML-based identity management solutions such as Okta and ID.me through the platform's robust out of the box APIs for integration with identity verification services. These integrations provide NIST 800-63-3 IAL2 & AAL2 aligned capabilities for online and in-person identity verification.

17. Is a user notified by text or email when a change is made to their profile/account within your system?

ACCENTURE RESPONSE

Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. This solution allows for configurations to deliver proactive alerts via email or text when events and user actions are detected. These are not limited but definitely include profile and account changes within the system

18. Does your system detect keystroke trackers?

ACCENTURE RESPONSE

No. Protection against key loggers (and other phishing, malicious software, and social engineering threats) is primarily driven at the end user device through current and up to date anti-virus and anti-malware software. However, the Accenture solution for the KDOL UI Modernization project does help prevent the risk that keyloggers present by providing for multi factor authentication. In the Accenture solution, a one time use code can be sent to another device to complete the login process.

19. Are client states able to create and modify custom reports within your system? Please describe the process required to do so.

ACCENTURE RESPONSE

Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. These platforms include a powerful suite of analytics and reporting tools to help customers view and analyze their data that can be accessed via the web or mobile device in real-time. Any user who is given permission to do so may easily and quickly build comprehensive reports and dashboards using a wizard-driven reporting engine. As illustrated in our video demo, these reports and visualizations can include highly intuitive graphical dashboards for at-a-glance views of important KPI metrics and executive dashboards for quick access to critical real-time and historical operational data.

In addition, the Accenture solution for the KDOL UI Modernization project is integrating to the existing KDOL business reporting toolset which further optimizes capabilities and user self-service for data reports.

20. How flexible and adaptable is your system to future legislative changes to unemployment systems (both state and federal changes) and would any required modifications to systems incur additional costs to the state?

ACCENTURE RESPONSE

Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. Given these platforms and the configurability and scalability of these platforms, the Accenture solution is very flexible and adaptable to future state and federal legislative changes.

The Accenture solution for the KDOL Modernization project is architected to quickly make changes to unemployment compensation programs. Unemployment compensation programs are defined by a set of parameters and configurable rules. The Rules Engine that forms the backbone of our solution utilizes these parameters and rules to determine eligibility, unemployment benefits, overpayments, and other elements of a claim. Authorized personnel have the following options to amend a program by editing the configuration parameters and rules, and add or remove some rules. All of these can be accomplished through configuration. Additionally, to ensure integrity of the program and to facilitate audits, the solution can be configured with multiple levels of approvals prior to launch of the program.

Modifications to the system would require effort as described above – but may or may not include additional costs to the State by the Vendor. Given the industry leading nature of the platforms proposed by Accenture and widespread availability of those skills, appropriately trained State resources could make these changes.

21. What is the capacity of your product to handle in terms numbers of claimants, employers, and KDOL staff?

ACCENTURE RESPONSE

Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. These platforms provide the foundation to the world's largest governments and private organizations and hence can scale to the requirements of Kansas claimants, employers and KDOL staff.

As an example, the Salesforce platform supports over 25 billion API calls per day. The Azure and Oracle platforms bring almost infinite elasticity in their PaaS and Iaas components and allow for tremendous scalability. This scalability and elasticity also means that KDOL doesn't have to pay for capacity that it doesn't need.

Furthermore, the Accenture solution for the KDOL UI Modernization project will include disaster recovery capabilities provided natively by the platforms that we leverage.

22. What is the timeline for upgrades or obsolescence of your product/system?

ACCENTURE RESPONSE

Accenture's solution for the KDOL UI Modernization project leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. These platforms are evergreen and hence do not face the risk of obsolescence like other purpose built software solutions. Each platform upgrades functionality on an emergency and periodic (multiple times per year) basis to provide the latest functionality to KDOL. While we can support these udgrades, KDOL can, through their own staff experienced in the platforms, evaluate and manage the upgrades with the platforms.

23. How frequently is your product updated and upgraded?

ACCENTURE RESPONSE

Accenture's solution for the KDOL UI Modernization leverages a set of industry leading platforms including Salesforce, Azure, and Oracle. These platforms are upgraded multiple times per year which provides an evergreen solution and the latest functionality to KDOL regularly. Emergency patches for system maintenance and security vulnerabilities are applied immediately, giving KDOL and the State resassurances of the reliability and safety of the solution.

Product Performance through Pandemic

24. Please specify the timeframe for the implementation of your PUA program in spring of 2020, including the first date claimants were able to file claims and the first date payments were made to PUA claimants.

ACCENTURE RESPONSE

Accenture did not implement the PUA program in the spring of 2020 on our proposed solution.

25. For each state in which you operated a benefits system in 2020 or 2021, please provide information on the amount of fraud experienced by each state, including separate information for the pandemic-specific programs.

ACCENTURE RESPONSE

We wish to respect our State clients' privacy and our joint contractual requirements and hence are unable to respond to this question.

26. Please provide information on the wait time for claimants to receive payment in states serviced by your benefit programs in 2020 and 2021 for all unemployment compensation programs.

ACCENTURE RESPONSE

We wish to respect our State clients' privacy and our joint contractual requirements and hence are unable to respond to this question.

27. Please identify the two states served by your product/system that had the most challenges with fraud during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.

ACCENTURE RESPONSE

We wish to respect our State clients' privacy and our joint contractual requirements and hence are unable to respond to this question.

28. Please identify the two states served by your product/system that had the most challenges with timely payments to eligible and entitled claimants during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.

ACCENTURE RESPONSE

We wish to respect our State clients' privacy and our joint contractual requirements and hence are unable to respond to this question.

29. Please respond to and address any negative media coverage your product/system has received in any states throughout the pandemic, either for fraud or for difficulty in making timely payments to eligible and entitled claimants.

ACCENTURE RESPONSE

Accenture works collaboratively with all of its State government clients regarding media inquiries and provides support, when requested, for State Public Information officers to effectively respond to such inquiries.

30. If a state using your product/system was early to identify fraud during the pandemic, were you able to use that early identification to effectively protect your other client states from expansive fraud? If not, please explain the reason you were unable to do so.

ACCENTURE RESPONSE

Accenture was able to bring the experiences from other States to our other State clients. Some key experiences included implementing ID verification through products like Okta.

Kansas Implementation

31. Please clarify whether you or the State of Kansas would own any computer code for your product and any data within the system. For both code and data, please state whether the State would own any in the event your company goes out of business or the contractual relationship between you and the state terminates.

ACCENTURE RESPONSE

All the configuration and customization through code that Accenture delivers as part of the application that is built on top of the Salesforce, Azure, and Oracle platforms will be fully owned by State of Kansas. All the data will also be owned by State of Kansas. At the end of the contractual relationship between the State of Kansas and Accenture, all data as well as the configuration and customizations delivered by Accenture are fully owned by the State of Kansas.

The underlying platform code for the Salesforce, Azure, and Oracle components are considered Intellectual Property. However, these components are widely available for subscription through a number of other channels that Kansas has access to. Given size and scale, it is highly unlikely for Accenture, Salesforce, Microsoft, and Oracle to cease to exist as business entities.

32. Would you have an in-person presence in Kansas for the project team or would work be done remotely?

ACCENTURE RESPONSE

Prior to the COVID-19 pandemic, Accenture consistently had staff working in Topeka alongside State employees. We look forward to renewing that close collaboration. Accenture expects to have the majority of our leadership roles located onsite in Topeka, KS throughout the duration of the project. They would be supported by onsite delivery teams staffed from among our 550 Kansas City-based employees as well as others working remotely from our Advanced Technology Centers.

33. Would the addition of Kansas to your portfolio of partner states require expanded staff or could it be handled within existing company resources?

ACCENTURE RESPONSE

With over 64,000 US-based staff, Accenture will not require expanded staffing levels to deliver the UI Modernization project for KDOL. Accenture has already identified critical and key roles for the program and is poised to start when KDOL is ready to start.

34. Where is your company headquartered and where will work on the Kansas project be performed by your company?

ACCENTURE RESPONSE

Our corporate Headquarters are located at 161 N Clark, Chicago, IL 60601.

Accenture expects to have the majority of our leadership roles located onsite in Topeka, KS throughout the duration of the project. They would be supported by onsite delivery teams staffed from among our 550 Kansas City-based employees as well as others working remotely from our Advanced Technology Centers.

35. Who would train KDOL staff and other Kansas stakeholders in using your product?

ACCENTURE RESPONSE

Accenture would train KDOL training staff and other Kansas stakeholders to use the system. In addition, in this Train the Trainer approach, the Accenture team would work closely with the identified KDOL trainers to provide guidance as they conduct the initial training session for a subset of the total population. As a team, we would evaluate and monitor all training effectiveness, along with the Organizational Readiness.

As part of the Modernization project, Accenture would create and provide materials such as Training Courses, User Manuals, Guides, Desk Aids, End User Webinars, and video training would be created per the plans developed with the team. Materials would be inclusive of KDOL modifications and configurations, as applicable. Materials would meet federal and State Accessibility requirements and be transitioned to KDOL staff for training via the Train the Trainer approach.

36. What do you anticipate to be the greatest challenges with implementing your product in Kansas and how do you plan to address those challenges?

ACCENTURE RESPONSE

The greatest challenges for KDOL’s Modernization project will be the workers’ and the public users’ readiness, KDOL key staff capacity through the Modernization, and protecting the system by focusing on system security. Accenture has a field tested track record helping our clients overcome these challenges.

CHALLENGE #1: Preparing workers and citizens to use the new system

To help you prepare Kansans for a new system, we will develop:

- A clear communication plan to guide the outreach;
- Robust learning guides that leverage various delivery approaches such as video, “how-to” document, job aid, interactive chatbot, webinar, help guide, FAQs;
- Resource listings for more complex assistance/escalation via phone, message chat, email;
- Readiness training for support staff and super users;
- A Command Center for hypercare, centralized communication/coordination, and setting priority/ guidance

CHALLENGE #2: Ensuring capacity for KDOL key staff

KDOL’s key staff are crucial to supporting both the legacy systems with ongoing activities as well as the modernization project. Their institutional knowledge and understanding about how Kansas runs and manges UI is necessary to inform the Modernization Project. It will be important to evaluate and supplement their workload to create sufficient capacity for success in both ongoing activities as well as the modernization. Accenture is uniquely positioned to assist KDOL with both ongoing activities as well as modernization activities.

CHALLENGE #3: Focusing on security

Security and security threats against State systems are accelerating at an exponential rate. With the amount of personal and protected data housed within the Modernized UI system, the solution must be able to constantly evolve against security threats. Accenture’s solution leverages the securest industry platforms that include Salesforce, Azure, and Oracle which are constantly evolving to meet the threats that are present. Accenture includes security throughout system design, configuration, and test. Accenture also includes comprehensive security and penetration tests and activities throughout the delivery. These securities cover all of the environments—including the conversion test environment where we perform data obfuscation.

<u>Other</u>

37. Please clarify if you offer contracts for product purchasing, product licensing, or both. If both, please clarify the amount of time required for the cost difference between licensing a purchasing to break even.

ACCENTURE RESPONSE

Accenture’s solution for KDOL leverages industry SaaS, PaaS, and IaaS licensing and does not require KDOL to purchase or license a monolithic piece of software. Thus, there is no applicable break-even point for these options. Instead, the combination of Salesforce, Azure, and Oracle capabilities in our solution provide a more rapid modernization to a flexible, scalable, and configurable cloud platform that helps to enable KDOL’s dynamic future.

38. Please specify any current or previous (within the past 5 years) relationship you have had with the Kansas Department of Labor or other Kansas state agencies. How successful do you consider that partnership to be?

ACCENTURE RESPONSE

Over the last five years and beyond, Accenture has continuously worked with the State of Kansas in a multitude of projects for multiple agencies including the Kansas Department of Labor, the Kansas Department of Health and Environment, and the Kansas Department for Children and Families. We would describe the overall partnership between Accenture and the State as positive, long lasting relationship—where we share in our successes; where we own and correct our mistakes; and where we communicate unabashedly.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

Company Unemployment System Implementation History

1. Please specify each state in which you (or any subsidiary or acquired company) have contracted to perform work implementing an unemployment compensation system. For each state, please specify whether the system was implemented on time and within budget. Please note any states where the product was ultimately not implemented. For each state, please specify the date when the contract was initially entered into and the go-live dates for both tax and benefits programs, if applicable. If implementation is in progress, please state the anticipated go-live date.

Each of our FAST unemployment system projects are listed below. We provide the state, program(s), project start and completion dates for each implementation. Please note that for each of the projects we present in the following tables, our software is in active, meaningful use for the jurisdiction and no project has been abandoned either for failure to implement or replacement by another product. All our clients are references and we encourage agencies considering FAST to speak with the agencies we have implemented our software.

California – Employment Development Department

Program	Start	Finish
Unemployment Insurance Tax	September 2009	January 2011

This project was implemented on time and on budget. Version 10 of the FAST software was implemented in May 2018.

Michigan – Unemployment Insurance Agency

Program	Start	Finish
Unemployment Insurance Tax	August 2011	August 2012
Unemployment Insurance Benefits	September 2012	September 2013
Pandemic Unemployment Assistance	March 2020	April 2020

This project was implemented on time and on budget. Version 10 of the FAST software was implemented in January 2018.

Montana – Department of Labor & Industry

Program	Start	Finish
Unemployment Insurance Tax	February 2013	February 2014
Pandemic Unemployment Assistance	April 2020	April 2020

This project was implemented on time and on budget.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

Washington – Employment Security Department

Program	Start	Finish
Unemployment Insurance Benefits	May 2015	January 2017
Pandemic Unemployment Assistance	March 2020	April 2020

The State of Washington Employment Security Department requested to postpone the original production roll out date by three months to better prepare their organization for the move to the new system. FAST was ready to implement and all known requirements were met by the initial agreed production date. FAST absorbed all related costs and agreed to the new date without any additional charge to the client.

Version 10 of the FAST software was implemented in January 2018.

Illinois – Department of Employment Security

Program	**Start**	**Finish**
Unemployment Insurance Tax	July 2016	September 2017
Short-Time Compensation (WorkShare IL)	December 2020	April 2021

These projects were implemented on time and on budget. Version 12 of the FAST software was implemented in September 2021.

The State of Illinois' Unemployment Insurance Tax Modernization project was the recipient of the 2018 National Association of State Chief Information Officers (NASCIO) State IT Recognition Award for the *Digital Services: Government to Business* category. Information about the award is available at https://nascio.org. The winning nomination can be viewed at https://www.nascio.org/wp-content/uploads/2020/09/NASCIO-IL-2018-Government-to-Business-IDES.pdf

Massachusetts – Executive Office of Labor and Workforce Development

Program	**Start**	**Finish**
Pandemic Unemployment Assistance	March 2020	April 2020

This project was implemented on time and on budget.

Alaska – Department of Labor and Workforce Development

Program	**Start**	**Finish**
Pandemic Unemployment Assistance	April 2020	May 2020

This project was implemented on time and on budget.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

Hawaii – Department of Labor and Industrial Relations

Program	Start	Finish
Pandemic Unemployment Assistance	April 2020	May 2020

This project was implemented on time and on budget.

Puerto Rico – Department of Labor and Human Resources

Program	Start	Finish
Pandemic Unemployment Assistance	June 2020	August 2020

This project was implemented on time and on budget.

Oregon – Employment Department

Program	Start	Finish
Unemployment Insurance Tax	July 2021	September 2022 (In progress)
Paid Family & Medical Leave Premiums	July 2021	September 2022 (In progress)
Unemployment Insurance Benefits	September 2022	March 2024 (In progress)

This project is currently in progress and is operating according to plan.

2. Have any of your implementations had delays to original implementation schedules. If yes, please provide relevant details.

Yes. Due to client preference, one rollout was delayed three months after the originally agreed-upon go-live date.

Although FAST was ready to implement and all requirements were met by the initial agreed production date, Washington State decided to postpone rollout three months to allow for additional agency readiness. FAST agreed to continue to support the agency activities through a three-month extension of the rollout schedule without any increase in implementation costs to the client.

3. How long have you (or any subsidiary or acquired company) offered UI systems? Please specify the earliest date you (or any subsidiary or acquired company) had a tax and benefits product go live in a state.

FAST has offered UI systems for over a decade. Our first FastUI project began in September 2009. FastUI Tax first entered production in January 2011 for the State of California Employment Development Department. Combined FastUI Tax and Benefits first entered production in September 2013 for the State of Michigan Unemployment Insurance Agency.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

4. Please describe improvements to your system from your earliest product implementations to your most recent product implementations and specify any further improvements you are proposing for Kansas. Please specify which states you consider to be your earliest product implementations and your most recent implementations.

The earliest FastUI implementation began in 2009 for the State of California for administration of UI Tax Contributions. This implementation was delivered using Version 7 of our core COTS solution. Since the original implementation, we have released multiple new versions of our core FastUI solution and California is now using Version 10 in production.

Michigan is currently using Version 10 for UI Tax and Benefits and is scheduled to go live with a Core21 version of the software in July 2022.

The most recent implementations include the Pandemic Unemployment Assistant systems with Puerto Rico being the latest jurisdiction to implement that software.

The State of Oregon is currently in progress implementing our newest version, Core21 FastUI. This multi-phased implementation includes unemployment insurance tax and benefits.

For the State of Kansas, we propose to implement Core21 FastUI.

The following describes the major improvements and functionality that has been added to each new version of our software since Version 7 was implemented for UI Tax in California. Please note this list is not inclusive of all features and enhancements added to the core product. Enhancements and changes to the software over time are driven by external customer feedback (claimants and employers), agency feedback and needs, and our ability to improve the software as technology changes. At a high level, almost every new version of our software includes:

- Improvements to user interfaces (both e-Services and internal)
- More control in the hands of agency users to modify processing without engaging developers
- Additional self-service options for citizens
- Security enhancements

Specific to UI functionality, there have been many improvements in the last two years including:

- Redesigned UI Initial Claims
- UI Wage Exchange
- Enhanced BAM & BTQ Support
- Enhanced Monetary Determination

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

- Enhanced Benefit Issue
- Enhanced Employer Wages
- ICON Integration
- SAVE Integration
- SIDES Integration
- UI ETA Reporting Integration

Version and Release Year	Highlighted Features
Version 7 2008	• New Executive Manager to provide quick access to system and user monitoring. • New business process flow diagramming with graphical presentation. • Ability to support multiple languages in FAST software, correspondence and e-Services. ***Technical Enhancements*** • Microsoft.Net Framework 2.0. • Support for Microsoft Windows Server 2005 and SQL Server 2005. • Improvements to support for XML files. • Improvements to data compression and batch processing.
Version 8 2010	• Improved navigation within FAST software and side by side views. • New image-based data entry/view functionality. • e-Services product redesign to streamline navigation. • Improved General Ledger which can be used to manage multiple ledgers and additional interface capabilities. ***Technical Enhancements*** • Microsoft .NET Framework 3.5. • Support for Microsoft Windows Server 2008 Release 2 and SQL Server 2008. • Incorporation of Microsoft Silverlight and Windows Presentation Foundation (WPF). • Ability to run FAST software on multiple platforms and in a web browser.
Version 9 2012	• Improved screen design, navigation and user interface to make large amounts of information available at summary level with easy drill-down to the underlying detail. • Embedded, user-friendly online help. • New executive manager with improved graphical representation of data, including pie, stacked bar, bar, and line graphs. • Security improvements resulting from browser-based, application-specific access and enhanced user activity tracking tools. • Expanded timesheet functionality to Case and Lead managers. • New Snapshot functionality.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

Version and Release Year	Highlighted Features
	• New project management tool suite that can be used to plan and track implementation-related schedules, including rollouts, test scenarios, requirements, meeting minutes. • New XML viewer. • Specialized functions for unemployment insurance. ***Technical Enhancements*** • Microsoft .NET Framework 3.5. • Accessible on any computer, tablet, or smartphone using a web browser without plug-ins
Version 10 2015	• E-services redesigned to more prominently display important information. • Enhanced look and feel, navigation, user interface. • Cases redesigned to improve usability and increase functionality. • New content manager as a file storage and sharing system. • New fraud dashboard to graphically display the results of fraud analysis. • Enhanced document editor tool to provide undo/redo actions for up to 20 actions. • New sealed records functionality. • Deferred processing. • Single name repository. • FTI added to documents as protected fields. • Visual enhancements to the system, language table decode length improvements, and increased font size. ***Technical Enhancements*** • 64-bit NextKeys that enhance performance and never run out of available values. • Client source code access.
Version 11 2017	• Improvements to interface design. • Collections, Bankruptcies, Garnishments, and Liens enhancements. • New Return Loss Management subsystem. • e-Services two-step verification. • Improvements to FTP and e-Services Developer API Portal. ***Technical Enhancements*** • Microsoft .NET Framework 4.7.
Version 12 2019	• Redesigned user interface. • Improved Accessibility using WCAG 2.1 Standards. • Improved responsive design for mobile devices. • New functionality for monitoring Key Performance Indicators (KPIs). • Technical tool enhancements – icon list tool, tech validation tool. • File processing and transfer enhancements. • Role based security.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

Version and Release Year	Highlighted Features
	• New e-Services assistant. • Redesigned Payments and Cashiering subsystems. • New transaction ledgers. • Enhanced Monetary Determination. • Enhanced Benefit Issue. • Enhanced Employer Wages. • ICON Integration. • SAVE Integration. • SIDES Integration. • UI ETA Reporting Integration. • Enhanced Analytics. • e-Services Interface Redesign. • e-Services Assistant (Chatbot). • Ticketing Management. • Purging. • Virtual Lobby ***Technical Enhancements*** • Security Enhancements for compare, custom logon authentication, environment sets.
Version Core21 2021	• Redesigned UI Initial Claims. • UI Wage Exchange. • Enhanced BAM & BTQ Support. • User Interface Enhancements. • Context Help. • Single Sign-On Support. ***Technical Enhancements*** • Microsoft .NET 5 Framework. • C# Code Base.

5. What is the most challenging system implementation you have had in the past seven years and how would you expect Kansas to compare to that implementation, considering the age and status of Kansas's current system?

FAST partnered with the country of New Zealand's Inland Revenue Department to replace the nation's entire tax system which includes the administration of child support, Working for Families Tax Credits, KiwiSaver (U.S. 401k equivalent), paid parental leave, and student loans. The Inland Revenue Transformation project started in August 2015 and is about to complete its sixth and final rollout on time and under budget. The project involved moving Inland Revenue functionality into FAST Software from a COBOL mainframe system built in the early 1980s. Inland Revenue also embarked on a complete business transformation that included reforming processes, legislation, and organizational design. Inland Revenue collected $78.2 billion from 2019 – 2020 from 3.9 million employees and 216,000 employers.

Because of our focus on replacing government systems, FAST has extensive experience helping agencies to migrate from old and often fragile legacy platforms. As with the New Zealand system, which was over 30 years old, for the Kansas implementation we anticipate issues with data conversion and systems cutover. We know from experience that solving these challenges requires more than just software, tools, and methodology. We will need to have a strong executive group from the State that can assist in making decisions to mitigate these issues in a timely manner.

6. Have you ever been subject to a lawsuit by any of your client states or by any participants within the UI system in any of your client states? If so, please specify the state and the status of the litigation.

FAST has never been the subject of a lawsuit brought by any of our clients or client states.

One lawsuit was filed in Michigan by external parties. With the implementation of the new system, the state decided to enforce requirements that were not previously enforced. This resulted in a substantial increase in misrepresentation cases. The decision to enforce the requirements was made by the state. As the external parties were prohibited from suing the state, they decided to pursue any private companies that they thought might be involved. State project representatives testified that the requirements were correctly implemented by FAST as specified by the state and required by state law. Subsequently, the state law was amended by the legislature.

Originally filed in the spring of 2017, the lawsuit is still active. While not widely reported, there have been a number of court rulings that have been very favorable to the defendants, FAST included. The current scope of the lawsuit is limited to whether FAST, CSG and Michigan agency staff, acting together, failed to provide proper notice to four claimants who received fraud determinations. There are several motions currently awaiting rulings from the court. FAST does not anticipate that this lawsuit will impact its ability to provide services to the State of Kansas.

7. What are you doing to connect the unemployment system administrators in the various states where you have a product in place?

We facilitate multiple channels for our UI clients to connect:

- **Client Forum** – We host the FAST Client Forum, which is a website for clients to ask questions, discuss common problems and solutions, and communicate about changing legislation. New clients have full access to the forum history so you can search for previous questions and answers.
- **Pandemic Recovery Task Force** – The FAST Pandemic Recovery Task Force was created to make our clients aware of how other clients were tackling the common challenges the pandemic presented. The task force put on Solution Series seminars that presented clients with information on how to tackle new pandemic problems using their existing FAST software.
- **RACC Annual Customer Conference** – RACC brings together FAST clients from across the globe to network and learn from each other. The conference includes a core product update along with panels hosted and presented by our clients. Each year we poll our clients to determine which topics are included in the conference programming.
- **Annual Compliance Conference** – The FAST Annual Compliance conference is an opportunity for our clients to discuss the hottest topics in compliance. This includes discussing the latest trends and best practices in improving collections, audit, and reducing fraud.
- **Compliance Miniseries** – The FAST Compliance Miniseries brings together clients and FAST industry experts in virtual meetings to address current compliance topics that are relevant to many areas within our client agencies. The presentations are designed to share best practices already in place as well as explore new opportunities to improve customer experience, reduce costs, and improve operational efficiency.
- **UI Conference Networking Opportunities** – FAST is an annual sponsor for NASWA and UWC conferences. Each year, we facilitate client collaboration by providing opportunities for FAST's UI clients to network with each other.

Product Details

8. Please identify any third-party identity verification vendors your product interfaces with currently or can interface with.

We offer Fast Identity Verification Services (FIVS) and strongly encourage our clients to subscribe. FIVS offers access to hundreds of millions of public records and data points from providers like TransUnion, Experian, Data Axle, DBIP, IBIS, Mergent, Enformion, and more. FIVS combines fully automated online identity-verification services with a cloud-based user interface that supports users in further analyzing and verifying flagged identities, optimizing fraud-based business rules, developing more robust fraud-prevention measures, and reporting results. Five jurisdictions, including Hawaii, Montana, Puerto Rico, Massachusetts, and Alaska, use FIVS for ID verification and have prevented substantial fraud.

FastUI can also interface with any other third-party identify verification vendor. Examples of services FastUI currently interfaces with include but are not limited to:

- Integrity Data Hub (UI Integrity Center)
- Social Security Administration
- ID.me
- LexisNexis
- Thomson Reuters
- Pondera

FastUI also supports interfaces to crossmatch claimant identity to prevent fraudulent claims. Examples of current FastUI crossmatch sources include but are not limited to:

- UI ICON
- Systematic Alien Verification for Entitlements (SAVE)
- National Directory of New Hires
- State Directory of New Hires
- Incarceration
- Death
- Worker's Compensation
- Disability
- Secretary of State / Department of Motor Vehicle / Driver License
- Department of Revenue

9. Has your unemployment compensation product integrated with workforce services systems? If so, please provide specific state examples. If not, please provide information on the ability of your system to integrate with workforce services systems.

Yes. Michigan and Washington integrate with their respective state workforce services systems to exchange data for work search requirement, labor statistics, profiling, Reemployment Eligibility and Assessment (REA), and Reemployment Services and Eligibility Assessments (RESEA).

   a. Is your product able to interface with America's Job Link Alliance for workforce services (AJLA is the platform used to support KansasWorks.com)?

Yes. FastUI uses the FAST Gateway to interface with external systems. FAST Gateway is an integrated suite of tools to manage web services, file transmission, and other interfaces to external systems.

10. How many steps/clicks is required within your system for a claimant to reach a live representative or schedule a live call back?

The system can be configured to facilitate contact with a live representative in as little as one step/click.

Our clients are using our software to provide their customers with robust self-services capabilities. Our intuitive, user-friendly websites are easy to navigate, mobile ready, and designed for ADA compliance. These features greatly reduce the need for users to engage with live representatives.

During the project we will work with KDOL to define the self-service options that will be available to claimants via the FastUI Claimant e-Services portal. Claimants will have immediate access to resources such as the integrated FAST e-Services assistant (chatbot support tool), secure messaging within the FastUI Claimant e-Services portal, as well as user documentation and how-to videos. KDOL will ultimately determine how quickly claimants can connect to live representatives.

Further, our software can be quickly changed to address new support needs. When user demand to connect to live representation surges, we can quickly diagnose, implement, and deploy changes to address the new and evolving needs of the claimants.

Implementation of FastUI also includes defining how to integrate with KDOL's call center technology. The capabilities of the call center technology will have an impact on how quickly a claimant is connected to live representation.

11. Does your system offer a chatbot support tool?

Yes. Our solution includes a virtual assistant (chatbot) which allows employers and claimants to chat with a fully automated assistant that can answer common questions and guide them directly to locations in the FastUI e-Services portal based on a library of pre-configured topics, questions, and responses. By answering simple inquiries, the assistant enables customers to complete more tasks online – reducing calls and visits to agencies while increasing customer satisfaction. For example, a claimant can ask "When will I get paid?" and the assistant can direct the claimant to their latest benefit payment status. A claimant may ask "How do I update my address?" and the assistant can provide the claimant a link to navigate directly to the address update request.

The assistant functionality provides agency staff with detailed data and insights into the assistant's ability to fulfill customers' needs and the types of questions being asked online. This information can be used to add questions and feedback to the assistant to continuously improve the online customer service. Built-in reporting includes the following metrics:

- Number of messages sent by customers. Users can view the number of discrete messages from customers allowing agencies to see how frequently customers are interacting with the assistant.
- Accuracy reporting. Users can view statistics illustrating customer reports of inaccurate answers, assistant reports of low confidence, or customer clicks on links or buttons provided by the assistant during a chat interaction.

12. Where is the data hosted in your product? Has your product had any data breaches? Has any cloud hosting service used by your product had any data breaches? Please provide further information for any breaches.

Data resides exclusively in datacenters located within the United States.

FastUI software has not had any data breaches. Fast Hosting Services has not had any data breaches.

We would like to address inaccurate statements that were made publicly regarding data breaches and FastUI software:

- Michigan 2017 – Michigan state officials said that workers' personal data may have been compromised. The Michigan State Police determined that no personal data was accessed and no wrongdoing was detected. Michigan officials are on record saying this was not a data breach.
- Washington 2020 – Washington state officials said residents' personal data may have been compromised. The potential breach involved third-party software that was completely unrelated to FAST software or the FastUI implementation.

13. What is required to add new, additional unemployment compensation programs to your system?

FastUI is designed to allow your agency to implement new unemployment compensation programs quickly and accurately. The software handles new programs as well as stimulus or extensions to existing programs. The majority of FastUI functionality is configurable which means new programs and extensions can be implemented using configuration entries and business rules. Once requirements are established, we can implement and have staff testing within just a few days—depending on the complexity of the requirements. We often find the software configuration is one of the easier tasks for new programs. Often defining new business processes, implementing organizational changes, and creating new communications tend to take the longest.

We believe the results speak for themselves. The following are the timelines, from the project start, within which jurisdictions began accepting PUA initial claims and making payments using FastUI.

Jurisdiction	Project Start to First Initial Claim	Project Start to First Payment
Alaska	6 Days	21 Days
Hawaii	6 Days	23 Days
Massachusetts	16 Days	22 Days
Michigan	14 Days	14 Days
Montana	7 Days	14 Days
Puerto Rico*	73 Days	76 Days
Washington	22 Days	24 Days

**Puerto Rico initially implemented PUA and paid benefits using their existing UI system which is not a FAST product. Once FAST was engaged later to administer the program using FastUI, the required data conversion added complexity.*

14. Is your product able to integrate with a work search requirement reporting system involving employers and state workforce services agencies?

Yes. Michigan and Washington integrate with their respective state workforce services systems to exchange data for the work search requirement.

15. Are the reporting and workforce management tools within your system able to be used with the U.S. Department of Labor's Resource Justification Model?

Yes. Michigan currently uses FastUI reporting tools to perform resource justification model (RJM) reporting and forecasting. The tool uses system data to display past performance and allows the agency to see future projections. The agency can update parameters to create "what if" scenarios to see how future funding could be impacted by changes in operations. FastUI also provides integrated Key Performance Indicator (KPI) and analytic functionality that allows for advanced RJM projections.

16. Does your system have an alternative to personal questions as a means of identity verification?

Yes. We can utilize pattern matching, bank verification, PIN letters to pre-validated addresses, SMS text to pre-validated phone numbers, and email codes to pre-validated email addresses to verify identity. This is in addition to identity quizzes and advanced fraud analytics.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

17. Is a user notified by text or email when a change is made to their profile/account within your system?

Yes. FastUI supports sending text and/or email notifications when profile/account changes are made. KDOL will decide what notifications are sent and the content of the notifications.

18. Does your system detect keystroke trackers?

No. However, FastUI can help the agency prevent and detect internal and external fraud. There are several tools built in to record and document an electronic audit trail of all user and customer activity. Security features provide the agency with the ability to monitor and search for suspicious activity. Internally, smart separation of duty controls are configured to ensure appropriate system access levels.

19. Are client states able to create and modify custom reports within your system? Please describe the process required to do so.

Yes. Authorized users have the ability to create and modify custom reports. Reports may take several forms including formal reports, ad hoc queries, dynamic user-built reports, and configurable data cubes and key performance indicators (KPIs).

Formal reports can be created by a report template using a graphical user interface. An authorized user can drag and drop data fields onto the report template, resizing and formatting them as necessary. Users create new types of reports by designing report templates that incorporate data extracted from FastUI databases using a SQL query. Developers can create report templates that require user-entered parameters or reports that run automatically based upon given dates or events. Reports can also be configured to include a cover sheet that explains the report or provides details about the report.

Ad hoc queries provide an authorized user the ability to define and maintain ad hoc SQL queries. For example, if a user only wants to view financial data for a given date range, the query can be configured to prompt for and apply “from” and “to” date parameters. Authorized users can modify existing queries as needs change.

Dynamic user-built reports are supported through the My Searches function which allows authorized users with no technical training to build and run their own queries through a point-and-click interface. Personalized queries are created through use of a pre-configured data navigation tree. Users select specific data items and specify selection criteria while traversing the tree.

Data cubes allow authorized users to visualize, analyze, and manipulate selected data from the system's databases using a pivot-table paradigm. Through use of data cubes, users can access an enhanced and flexible view of data in a manner that is more complex than an ad hoc query and more flexible than a formal report. Data cubes provide users a visual and dynamic reporting tool to help spot trends, support business decisions or to develop answers to on-the-fly questions.

Key Performance Indicators (KPIs) offer a business intelligence and reporting tool for authorized users to view historical and forecasted data with actual figures to assist users in trend and data analysis. KPIs illustrate performance measurements through easily discernable indicators that are designed to quickly inform and alert management to the progress and productivity of an agency's business.

Many of our current projects engage state resources to create and modify their custom reports. As part of our knowledge transfer activities, the FAST team works with an agency to train state resources to be able to configure and modify their own reports. These knowledge transfer activities support not only the skills required to create and maintain reports, but also significantly increase staff's ownership of the new system and business processes.

20. How flexible and adaptable is your system to future legislative changes to unemployment systems (both state and federal changes) and would any required modifications to systems incur additional costs to the state?

Very. FastUI is designed to be flexible and adaptable to allow your agency to respond to new legislation and program changes quickly and accurately. Any federal legislative changes that extend beyond configuration changes would be performed and maintained by FAST through the FAST Development Center in Denver, Colorado. Very rarely do state legislative changes require modifications that result in additional costs to the state, an example of a more substantial legislative change would be a new program such as Paid Family Leave. The majority of FastUI functionality is configurable which means most legislative changes can be implemented using configuration entries and business rules. Agency staff would be engaged in the system verification once any changes are complete and there are agency costs associated with staff involvement.

Typically, the system changes are not the most time consuming tasks required to administer new legislation. Agencies often have new policies and processes to define, organizational change to implement and communication with claimants and employers to consider.

As part of every implementation, we perform knowledge transfer to the State's technical teams so they can support the system and implement legislative changes independently. While not a requirement, many of our customers have engaged FAST to obtain additional implementation services after a project has gone live to assist in supporting new agency initiatives and legislative changes. The additional implementation services do incur additional costs usually on a time and material basis.

21. What is the capacity of your product to handle in terms numbers of claimants, employers, and KDOL staff?

FastUI software is optimized to scale and is designed to not be constrained by the number of concurrent claimants, employers, and KDOL staff. One client is using FastUI to manage over 12 million claimant accounts. Another client is using FastUI to manage over 1.5 million employer accounts. The number of client staff using FastUI range from 300 to 4,600 users. We work with our clients to recommend hardware infrastructure that best meets the population and anticipated levels of activity.

Fast Hosting Services continually monitors the hosted environment for performance bottlenecks and can easily expand to accommodate additional demand as needed. Fast Hosting Services is used to support our FastUI PUA implementation which provides services to over 1.8 million claimants with no known performance issues. According to the Bureau of Labor Statistics, Kansas saw peak unemployment during the pandemic around 187,000 claims, which is well below the peak load experienced in our FastUI PUA application.

22. What is the timeline for upgrades or obsolescence of your product/system?

Product version upgrades are released periodically, typically every two to three years. Agencies have the choice to move to new versions on their own timeline. Historically, agencies choose to upgrade to new versions because of the additional and enhanced functionality available in each new version. However, we have never had an agency on an unsupported version. All in-use versions of FAST software are supported to ensure clients can continue operating their businesses in a reasonable fashion. Clients can choose to install software updates themselves, use on-site FAST resources, or hire FAST support services at an hourly rate if the client is not currently engaged with FAST for dedicated support services.

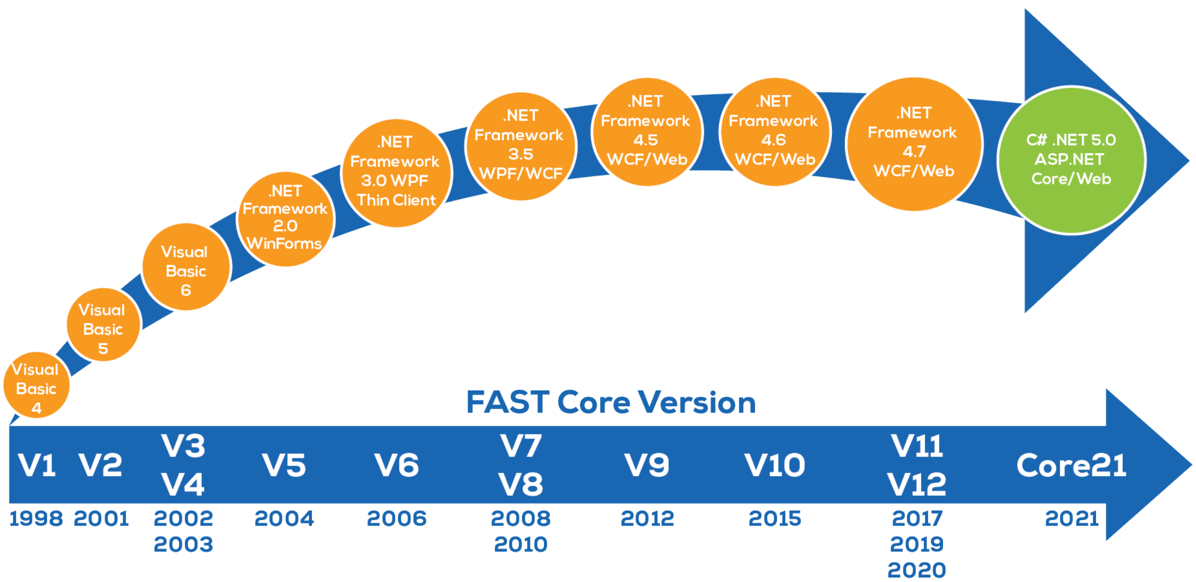
23. How frequently is your product updated and upgraded?

Product version upgrades are released periodically, typically every two to three years. Service packs to current software versions are released quarterly.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

We design our new versions to leverage new technologies, improve usability, and add/improve functionality. We also keep up with technology trends and the latest versions of operating systems, mobile platforms, and database management systems through ongoing product enhancements and periodic upgrades. Our client agencies choose their implementation schedule for both services packs and version upgrades.

Version Upgrade Timeline



Product Performance through Pandemic

24. Please specify the timeframe for the implementation of your PUA program in spring of 2020, including the first date claimants were able to file claims and the first date payments were made to PUA claimants.

Jurisdiction	Project Start	First Initial Claim	First Payment
Alaska	April 17, 2020	April 23, 2020 (6 days)	May 8, 2020 (21 days)
Hawaii	April 21, 2020	April 27, 2020 (6 days)	May 14, 2020 (23 days)
Massachusetts	March 31, 2020	April 16, 2020 (16 days)	April 22, 2020 (22 days)
Michigan	March 27, 2020	April 10, 2020 (14 days)	April 10, 2020 (14 days)
Montana	April 14, 2020	April 21, 2020 (7 days)	April 28, 2020 (14 days)
Puerto Rico*	June 16, 2020	August 28, 2020 (73 days)	August 31, 2020 (76 days)
Washington	March 27, 2020	April 18, 2020 (22 days)	April 20, 2020 (24 days)

**Puerto Rico initially implemented PUA and paid benefits using their existing UI system which is not a FAST product. Once FAST was engaged later to administer the program using FastUI, the required data conversion added complexity.*

25. For each state in which you operated a benefits system in 2020 or 2021, please provide information on the amount of fraud experienced by each state, including separate information for the pandemic-specific programs.

It is FAST's policy to keep client data private. We encourage Kansas to talk to each of our clients to understand how they managed fraud during the pandemic. The five jurisdictions that use Fast Identity Verification Services (Alaska, Hawaii, Massachusetts, Montana, and Puerto Rico) all prevented substantial fraud.

26. Please provide information on the wait time for claimants to receive payment in states serviced by your benefit programs in 2020 and 2021 for all unemployment compensation programs.

We are not aware of any widespread issues with the FastUI solution that prevented any of our clients from making timely payments. There is no system limitation that prevents an agency from releasing a benefit payment as soon as it is requested. The reality is every agency has different policies, procedures, and staffing levels that can prevent a timely payment. We worked closely with our agency partners to identity processes that could be streamlined to help expedite payments. Our clients were able to leverage the flexibility of the FastUI solution to make business decisions and modify processes to respond to unprecedented claim loads. The system's flexibility enabled them to balance the urgency of issuing timely benefits while working to prevent fraudulent claims.

It is FAST's policy to keep client data private, however the following chart displays publicly available first payment timeliness statistics as reported to the USDOL Employment & Training Administration. PUA first payment statistics are not publicly available.

Michigan		
Month	**% Payments Issued <= 21 Days**	**Workload**
Jan 2020	90.5%	42,465
Feb 2020	81.5%	16,513
Mar 2020	92.7%	27,020
Apr 2020	90.1%	582,057
May 2020	39.3%	271,503
Jun 2020	36.3%	90,993
Jul 2020	47.8%	63,978
Aug 2020	34.8%	38,819

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

Sep 2020	46.1%	24,072
Oct 2020	38.3%	19,837
Nov 2020	57.4%	21,790
Dec 2020	66.9%	29,753
Jan 2021	73.1%	34,629
Feb 2021	51.7%	20,179
Mar 2021	40.7%	16,672
Apr 2021	80.2%	27,039
May 2021	68.6%	32,905
Jun 2021	41.8%	20,084
July 2021	54.6%	16,470
Aug 2021	64.3%	16,645

Washington		
Month	**% Payments Issued <= 21 Days**	**Workload**
Jan 2020	93.3%	16,946
Feb 2020	92.2%	11,279
Mar 2020	98.6%	56,665
Apr 2020	95.6%	258,027
May 2020	57.3%	78,242
Jun 2020	39.3%	41,315
Jul 2020	38.0%	47,512
Aug 2020	49.9%	17,574
Sep 2020	63.1%	12,837
Oct 2020	52.6%	10,388
Nov 2020	62.7%	13,402
Dec 2020	56.3%	16,220
Jan 2021	58.6%	14,855
Feb 2021	42.4%	10,979
Mar 2021	31.9%	15,077
Apr 2021	71.1%	10,871
May 2021	62.2%	9,414
Jun 2021	80.8%	16,019
July 2021	72.6%	14,688
Aug 2021	50.1%	8,776

Source: USDOL Employment & Training Administration

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

27. Please identify the two states served by your product/system that had the most challenges with fraud during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.

Prior to the pandemic, both Washington and Michigan had business procedures that required a certain amount of time to pass before a claim could be paid. This measure was an important step for fraud prevention. There were also rules and workflows in place to allow review of claims that were backdated before those weeks in the past could be paid. At the onset of the workplace shutdowns across the country, the federal Department of Labor instructed states to remove their waiting periods and to automatically allow claimants to be paid for previous weeks on backdated claims. These changes along with a dramatic increase in claim filing, created an enormous challenge for states as they worked to balance getting benefits to claimants as quickly as possible while still working to prevent fraudulent payments. Agencies were under pressure to increase claim throughput and made decisions to change business rules and staffing to meet those demands. In response to the increase of fraudulent claims, agencies decided to make further changes to those business rules as well as other prior other decisions.

FAST was able to support both MI and WA though the dramatic swings in changing business needs through the pandemic and worked with both agencies to implement new fraud rules. As the fraudsters changed their approach over time, FAST kept our clients apprised of activities that other sites were experiencing. Unfortunately, neither Michigan nor Washington was able to take advantage of the Fast Identity Verification Services (FIVS).

For the clients that used FIVS, we were able to significantly help with reducing agency review workload, expediting payments, and preventing fraudulent payments. FIVS leverages aggregated data across participating jurisdictions as well as other external data sources to identify fraud trends. Once a new fraud scheme was identified, we were able to quickly implement new checks to stop these fraudulent schemes across the board for all participating clients. FIVS was used to analyze over 3.95 million unique claims without an impact to business workload. In total, over 260,000 fraudulent claims were identified and stopped—which prevented a substantial number of improper payments. We were able to clear over 1.79 million claims through various validation methods without adding to the agency's workload burden. FIVS was extremely successful at identifying fraudulent claims with a false positive rate of only .097%--enabling the vast majority of legitimate claimants to receive payments without delay.

28. Please identify the two states served by your product/system that had the most challenges with timely payments to eligible and entitled claimants during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.

FAST is not aware of any widespread issues with the FastUI solution that prevented any of our clients from making timely payments to eligible claimants. Most challenges came from external factors outside of agency or FAST control. The following discusses some of the ways we were able to assist our clients in making timely payments during the pandemic:

- **Adjusting Business Rules to Handle Workload** – Clients had to take a close look at the efficiency of their business processes. We worked closely with our clients to adjust business rules in the system to remove manual reviews where possible. This was done carefully to ensure the proper integrity checks remained in place.
- **Adapting to USDOL Requirements, Often Retroactively** – All clients experienced a fair amount of uncertainty with how to be compliant with new USDOL requirements. This was especially challenging when guidance was released retroactively. We coordinated across all our client sites to standardize our implementation approach to new rules and regulations. This coordination and standardization helped to implement guidance quickly which in turn helped getting compliant payments to claimants more efficiently.
- **Onboarding New Agency Staff** – FastUI is designed to be user-friendly and easy to use. We helped our clients quickly onboard new staff using our integrated Help and Training tools. We provide computer-based training courses that guide new users through the basics of FastUI. Users also had access to integrated help topics that provide context-driven systemwide procedural help.
- **Consulting on System Hardware** – Michigan and Washington use state-managed system hardware instead of Fast Hosting Services. We worked closely with state infrastructure teams to provide guidance on how and where to scale up hardware to meet the increased claims load. Our PUA clients that used Fast Hosting Services for hardware did not experience hardware issues throughout the pandemic.
- **Adapting to Remote Work** – As our client offices closed, FAST was able to seamlessly transition to remote work models with little to no impact on project operations. This meant that our teams continued support and worked around the clock to quickly respond to any issues. FAST continues to follow our client's lead for remote work and have returned to office as our clients return to office.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

29. Please respond to and address any negative media coverage your product/system has received in any states throughout the pandemic, either for fraud or for difficulty in making timely payments to eligible and entitled claimants.

FAST appreciates this opportunity to discuss negative media coverage and other statements made in public forums.

FAST systems were responsible for delayed payments in Washington and Michigan - **This is false**. FAST is not aware of any widespread FastUI software issues that prevented any FastUI client from issuing timely payments. The following contributed to some of the issues that the media incorrectly attributed to the FastUI system:

- **Use of State-Managed Hardware** Washington and Michigan use state-managed hardware for their FastUI implementations. Like many other states, their hardware was not equipped for the sudden and unexpected claim volume caused by the pandemic. FAST consulted with each state's infrastructure team and made recommendations on how and what to scale up to accommodate the new volume. FAST PUA clients that used Fast Hosting Services for solution hardware did not experience hardware issues during the pandemic.
- **Use of Third-Party State Single Sign-On** Washington and Michigan use a state single-sign on solution for citizens to log in to the FastUI claimant portal. The single sign-on adds an additional layer and potential point of failure between the claimant and the FastUI e-Services portal. Neither state's single sign-on solution is a FAST product and FAST has no control over its implementation or performance. Each third-party solution experienced stability issues with the increased pandemic volume. FAST offers native single sign-on options and strongly recommends against using a third-party single sign-on solution. FAST clients that used our native e-Services login did not experience these issues during the pandemic.
- **Washington Declined Use of Fast Identity Verification Services** Washington decided against using FAST Identity Verification Services (FIVS) to validate and process claim identity verification. Jurisdictions that used FIVS were able to verify claimant identity quickly while preventing fraudulent benefits.
- **Michigan Fell Behind on FastUI Performance Enhancements** FAST releases quarterly service packs, or updates, to the FastUI software that contain performance enhancements and system corrections. While FAST strongly recommends staying up-to-date on service pack implementations, ultimately, each client decides if and when to implement these updates. Michigan chose not to prioritize these updates before the pandemic began. FAST clients that stayed current on updates were better able to respond to the pandemic.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

FAST was responsible for widespread fraud in Washington – **This is false**. Washington made a choice to not implement the Fast Identity Verification Services (FIVS). Most states, including Washington, relaxed verifications to accelerate claim payments. FIVS was offered as a solution to help expedite claims while still validating claimant identity. The jurisdictions that used FIVS during the pandemic all prevented substantial fraud.

FAST systems were responsible for billions of dollars of fraudulent benefit payments in California – **This is false**. FAST implemented the system used for collecting UI contributions from employers in California. FAST is not involved with the benefit claim processing in California.

FAST systems require paper processing for benefit claims in California – **This is false**. FAST implemented the system used for collecting UI contributions from employers in California. FAST is not involved with the benefit claim processing in California.

FAST systems were responsible for billions of dollars of fraudulent benefit payments in Illinois – **This is false**. FAST implemented the system used for collecting UI contributions from employers in Illinois. FAST is not involved with the benefit claim processing in Illinois.

A FAST "system glitch" was responsible for 93% error rate in misrepresentation (fraud) determinations in Michigan – **This is false**. FastUI is implemented according to our client's business rules. There were no system errors related to processing misrepresentation (fraud) determinations in Michigan. After Michigan aligned its misrepresentation business processes with newly updated USDOL guidance, agency staff were directed to review and reverse any prior misrepresentation determination that was issued under the previous business rules. This resulted in a 93% reversal rate and has been incorrectly reported as a "system error."

30. If a state using your product/system was early to identify fraud during the pandemic, were you able to use that early identification to effectively protect your other client states from expansive fraud? If not, please explain the reason you were unable to do so.

Yes. Clients that used Fast Identity Verification Services (FIVS) were able to take advantage of fraud schemes identified in other jurisdictions. This is because FIVS uses aggregated data from all participating jurisdictions as well as external data sources to identify fraud schemes. We were able to quickly identify new schemes and implement business rules for all participating jurisdictions to stop fraudulent claims across the board. This resulted in FIVS jurisdictions preventing substantial fraud. We strongly encourage all clients to subscribe to FIVS to take advantage of the services offered.

FAST ENTERPRISES' RESPONSE TO FOLLOW UP QUESTIONS

It was falsely stated in a public forum that Washington was the first state to experience widespread fraud and that FAST neglected to use this information to prevent fraudulent activity in Illinois and California. The State of Washington chose not to use FAST services for fraud prevention. Further, FastUI is not implemented for administering UI or PUA benefits in either California or Illinois. FastUI is only used to administer UI Tax programs in California and Illinois and has no impact on preventing fraudulent benefits in either of those states. We strongly encourage officials to take advantage of reference checks to verify the accuracy of statements.

Kansas Implementation

31. Please clarify whether you or the State of Kansas would own any computer code for your product and any data within the system. For both code and data, please state whether the State would own any in the event your company goes out of business or the contractual relationship between you and the state terminates.

Material owned by FAST and licensed to the State will continue to be owned by FAST. The State of Kansas will be granted a perpetual license to such material. FAST source code is kept in escrow by a third-party escrow agent and would be provided to clients in the event FAST ceases doing business. FAST maintains a multi-user escrow agreement for the benefit of all of its clients and FAST would add the State as a beneficiary of this escrow agreement. This escrow is updated on a quarterly basis and includes the source code of FastUI and associated source materials. FAST is happy to provide a copy of our multi-user escrow agreement upon request.

KDOL development staff have access to view FAST-owned application source code to assist with troubleshooting and site-specific development efforts.

Software:

- FAST owns the software that we license to the State of Kansas. The State will own any software produced specifically for Kansas by the on-site project team.

Configuration Data:

- Configuration data provided by FAST will continue to be owned by FAST. Modifications and additions to configuration data that are made by the on-site project team will be owned by the State.

Employer/claimant data:

- Owned by the State.

If the contractual relationship between FAST and the State terminates the perpetual license remains in effect. This means that the State can continue to use the software, however, the State would no longer have access to new service packs or support from FAST.

32. Would you have an in-person presence in Kansas for the project team or would work be done remotely?

FAST will have an in-person presence in Kansas for the entirety of the project. The FAST team will relocate to Topeka and work side-by-side with their agency counterparts in the project space to focus on the tasks necessary to meet the project milestones. Moving rather than commuting not only enables FAST staff to be present for the full work week, but also allows us to become part of the local community. This practice enhances our own staff engagement and retention in addition to demonstrating our individual and corporate commitment to the project. Subject to COVID considerations, we will perform the project in-person. Remote work will only occur on an exception basis (e.g., due to COVID; to procure short-term assistance; or to procure assistance from a particular specialist in our headquarters).

We are committed to addressing local employment opportunities for Kansas residents. As a regular part of each of our projects, we will seek to hire resources from the local community as well as train agency staff to support the new system. Our reputation of employing the best professionals in our industry has been largely earned by building and recruiting a workforce from the project locations we serve. Our personnel come from nationwide and local recruiting efforts that include college career fairs, class presentations, campus interviews, and student organization sponsorship.

90% of FAST employees work in the United States. None of our development is done offshore and long-term support and maintenance of the system is provided by a combination of agency and FAST staff.

33. Would the addition of Kansas to your portfolio of partner states require expanded staff or could it be handled within existing company resources?

Your project will primarily be staffed by existing FAST resources. We are a growing company and we are always hiring new information technology professionals to support our growth. It is likely that a few new employees will be assigned to the project. Projects are typically staffed with about 85% current FAST employees and 15% newly hired FAST employees.

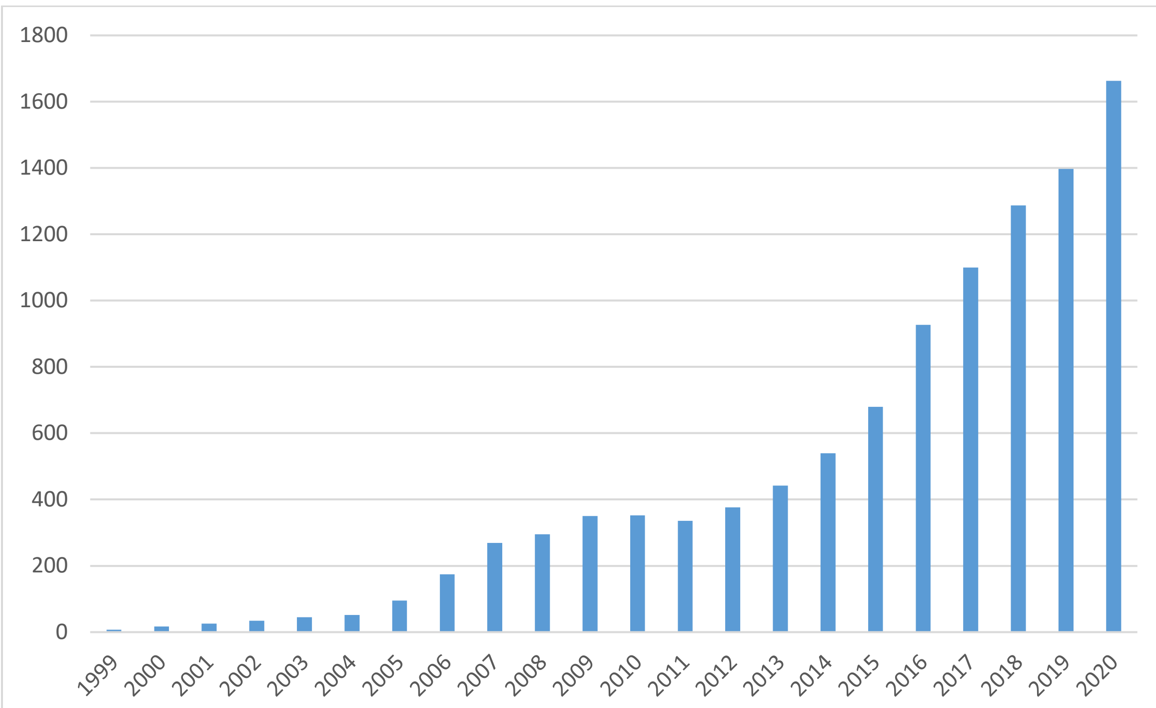
We provide training and orientation for all FAST project personnel regardless of their position or experience. New employee orientation and training at our headquarters includes:

- Hands-on training with our software

- Orientation in government administration functions and challenges
- Education on common state agency security policies and procedures
- Training on expectations and standards for FAST professional behavior

FAST has experienced consistent growth for close to 25 years and we are committed to providing the proper staffing levels for successful project completion. FAST has the resources needed to provide experienced and capable project team members dedicated to meeting the requirements of our clients.

Number of FAST Employees 1999 - 2020



34. Where is your company headquartered and where will work on the Kansas project be performed by your company?

Our company is headquartered along with our Development Center in Denver, Colorado. The project team will be located in Topeka, Kansas. FAST personnel assigned full-time to the project will live in the Topeka area during their time on the project. We consider this commitment to move to our clients' sites to be one of the key success factors of our projects. Co-location provides an exceptional opportunity to create a culture of teamwork and cooperation within the project team. This arrangement also facilitates over-the-shoulder reviews and provides an opportunity to openly discuss issues and resolve problems as they arise. A collaborative attitude facilitates early mutual agreement and open discussions during the course of the project.

In addition to the FAST staff in Topeka the project will receive support from other FAST staff. We have specialists in specific areas of our software and in specific functional areas (such as compliance, fraud and identity verification, and data warehousing) that can be brought in to assist as needed.

35. Who would train KDOL staff and other Kansas stakeholders in using your product?

FAST prefers to use a train-the-trainer approach where FAST trainers work with KDOL trainers—or other staff appointed by KDOL management—to develop and deliver the training program. KDOL trainers are more equipped to tie system functionality with agency business knowledge in a way that engages their peers. The FAST Training Team will be physically located in Topeka during the project. This approach also gives KDOL internal resources who can provide on-going training and assist with training new hires and future initiatives. Alternatively, when an agency is unable to provide staff to participate in training delivery, our professional trainers can deliver the training (in person or virtually).

For external stakeholders, there are two distinct groups: interface partners and e-Services users. For interface partners, there may or may not be training depending on the partner's interaction with the data. When training is needed, it is usually customized to the partner's needs and may be delivered by a development team or training team member.

For e-Services users, the software is designed to be intuitive to the general public with support coming from frequently asked questions (FAQs) and tip text. Focus groups and third-party usability testing during implementation also help ensure that the end product is accessible and approachable for a wide range of users including claimants, large companies, mom-and-pop shops, and third-party administrators. During the Training phase of the project, it is also common for agencies to engage professional organizations to provide e-Services demonstrations. These smaller, more industry-specific sessions allow the external users to ask questions and receive real-time feedback.

36. What do you anticipate to be the greatest challenges with implementing your product in Kansas and how do you plan to address those challenges?

UI modernization is a very large and complex undertaking. Some of the many challenges that KDOL and FAST will need to manage include:

- **Executive Engagement:** The project will not be possible without the support and participation of KDOL's management team. If selected, we will confirm executive participation at the contract stage so that the parties have a mutual understanding before the project begins.
- **Methodology:** The FAST methodology is unique. Agencies are never familiar with it before we engage, and it takes time for them to become acclimated. It is, however, essential to successful, on-time delivery. During the Preparation Phase, we will provide methodology training to KDOL staff. Our existing clients can help manage this challenge – "yes, it's different, but it works!!"
- **Converted Data:** Legacy data can present substantial challenges. It is not realistic to expect data to be 100% purified before converting. We bring approaches, tools and techniques to ensure all required data can be migrated; to repair data systematically where possible; to ensure the new system can operate properly on converted data – even if the legacy data has inaccuracies or is incomplete; and to ensure residual converted data issues are addressed over time as necessary.
- **Change Management:** Even the best software can struggle if appropriate attention is not given to change management. For 24+ years we have been successfully delivering large, complex solutions to government agencies. Change management is integrally baked into almost every aspect of our methodology. For example, while user acceptance testing is essential for ensuring that a new system works correctly, our approaches to user acceptance testing are also very much designed with change management in mind.
- **Infrastructure:** One of COVID's many impacts was an unprecedented spike in UI claim volumes. For agencies using state managed infrastructure, it was rarely possible to instantly obtain the CPU, memory and storage needed to handle the spike. Fast Hosting Services can provide certainty to KDOL with respect to infrastructure pricing while maintaining agreed service levels. In short, procurement laws do not govern our ability to deploy computer hardware resources.
- **Fraud:** We strongly recommend subscribing to the Fast Identification Verification Services (FIVS). While FIVS does involve additional costs, the benefits far outweigh the cost for our clients who have chosen to implement FIVS

Other

37. Please clarify if you offer contracts for product purchasing, product licensing, or both. If both, please clarify the amount of time required for the cost difference between licensing a purchasing to break even.

To date, we have not "sold" our product to any entity. We offer our software on either a licensing or subscription basis. Subscription pricing provides a form of financing whereby, instead of funding a large project up-front, an agency is charged a fixed annual subscription amount every year. However, we only offer subscription pricing in conjunction with early exit provisions. Because it is a form of financing, subscription pricing will always be more costly than the traditional cost structure. The upfront cost is lower, but the total cost is higher, regardless of the duration.

38. Please specify any current or previous (within the past 5 years) relationship you have had with the Kansas Department of Labor or other Kansas state agencies. How successful do you consider that partnership to be?

This would be our first engagement in the State of Kansas.

Council Follow Up Questions for KDOL UI Modernization Bidders

Company Unemployment System Implementation History

1. *Please specify each state in which you (or any subsidiary or acquired company) have contracted to perform work implementing an unemployment compensation system. For each state, please specify whether the system was implemented on time and within budget. Please note any states where the product was ultimately not implemented. For each state, please specify the date when the contract was initially entered into and the go-live dates for both tax and benefits programs, if applicable. If implementation is in progress, please state the anticipated go-live date.*

Sagitec has never had a project failure – All of our projects have met the project objectives, project requirements, project scope, and implemented all the business processes and functionality required by each state. Sagitec has never had a project terminated and all our projects are either implemented or we are currently working on implementation. Each one of our projects are delivered based on the client approved timeline and budget. Sagitec has never had penalties imposed for project implementations.

In terms of unemployment insurance modernization projects, we have either successfully implemented our solution or are working towards implementing our solution in the following state agencies:

Summary Sagitec's Labor and Employment Clients with Neosurance™					
Labor and Employment Departments Using Neosurance™	**Status**	**Contract Start Date**	**Go Live Date**	**On-Time**	**On- Budget**
Washington D. C. Dept. of Employment Services (DOES): UI Tax	Successfully Implemented in Production October 2014	April 2014	October 2014	Yes	Yes
Maryland Dept. of Labor (DOL): UI Tax, Benefits, and Appeals	UI Benefits Programs Administration successfully implemented in April 2020. Tax, Appeals and additional Benefits components	October 2015	September 2020	Significant additional scope, pandemic and other factors changed the implementation date	Yes

Summary Sagitec's Labor and Employment Clients with Neosurance™					
Labor and Employment Departments Using Neosurance™	**Status**	**Contract Start Date**	**Go Live Date**	**On-Time**	**On- Budget**
	successfully implemented in September 2020				
South Carolina Dept. of Employment and Workforce (SCDEW): UI Tax	Successfully Implemented in Production March 2018	June 2016	March 2018	The project was delayed 6 months as the UI benefits system (implemented by another vendor) was delayed and had to be implemented first. After implementation of UI benefits, we successfully deployed the UI Tax solution in March 2018.	Yes
North Carolina Dept. of Employment Security (NCDES): UI Tax	The six-month tax design phase is in the SOW finalization phase.	Expected Start Date: Dec 2021	Only UI Tax design is in scope – 6 month design project.	N/A	N/A
Delaware Dept. of Labor (DDOL): UI Benefits (Pandemic processing)	Benefits Administration functionality successfully implemented May 2020	April 2020	May 2020	Yes	Yes
Ohio Department of Job and Family Services (ODJFS) – UI Tax, Benefits, and Appeals	In Progress, UI tax is on schedule for a December 2021 implementation, and UI benefits is scheduled for September 2022	January 2019	UI Tax is scheduled to be implemented in December 2021 and UI Benefits in December 2022	Pandemic and other factors changed the implementation date	Yes

Summary Sagitec's Labor and Employment Clients with Neosurance™					
Labor and Employment Departments Using Neosurance™	**Status**	**Contract Start Date**	**Go Live Date**	**On-Time**	**On- Budget**
Texas Workforce Commission: (TWC): UI Tax, Benefits and Appeals	Tax, benefits, and appeals started in January 2021.	June 2021	UI Tax is scheduled to be implemented in August 2022 and UI Benefits in February 2024	Yes	Yes

Table: Sagitec's UI Clients that Selected Neosurance™, the Modular Solution We Propose for Kansas

2. *Have any of your implementations had delays to original implementation schedules. If yes, please provide relevant details.*

The Maryland and South Carolina projects were delayed from their original implementation date.

South Carolina

The South Carolina UI tax project experienced a 6 month delay to the original project schedule. The main reason for the delay was due to the delayed implementation of South Carolina's UI benefit system by another vendor (Capgemini). South Carolina was adamant, with our agreement, that the interface should only by developed for the new benefits system as the work required to interface to the legacy system would be a significant amount of work and only useful for a short period.

Sagitec worked with South Carolina to modify the project schedule to align with the implementation of the new UI benefits system.

Maryland

The Maryland UI Tax, Benefits and Appeals project experienced a delay from the original implementation date. Factors that contributed to these delays include:

- The project originally was established as a consortium project with Maryland and West Virginia comprising the MW Consortium. This original project configuration contributed to project delays and West Virginia eventually left the consortium.
- Data conversion ETL (extract, transform and load) activities took longer than originally planned and contributed to the delay.
- Interface design, setup and testing took longer than expected due to changing interfacing vendors (ex: banking vendors) or interfacing agency/vendor resource and timeline commitment and contributed to the delay.

- Implementation of significant number of enhancements prior to go-live resulted in additional time and effort contributing to the overall project delay.
- Extended time taken to close out design issues and approve design documents contributed to the delay.
- User acceptance testing of the application took longer than expected and contributed to the delay.
- The onset of the pandemic contributed to the project delay.

A full tax, benefits, and appeals system implementation can be achieved within 30-36 months if state staff are solely dedicated by executive leadership to the modernization effort, project approvals are made timely by the state, change requests and "emerging" requirements are kept to a minimum, and the vendor and the state team work cohesively with an outcomes-based approach that focuses on system functionally outcomes and quality. Often, we find through no fault of the state workforce agency, competing priorities limit the availability of staff time to commit to the effort. New policies, changes in leadership or competing interests lead to a high degree of "requirements churn" where new requirements are added, existing requirements are changed and different client functional units have a different understanding of what a requirement means.

This project started out as a consortium project with two states that brought forth its own set of challenges such as building consensus for decisions with both the states, coordinating schedules and resources with both the states, obtaining deliverable approvals from both the states and resolving issues specific to each state (ex: data conversion issues) and common issues to the consortium (ex: UAT dates).

Sagitec has well established procedures to mitigate these and other factors that add time to a project's schedule. However, they cannot be fully mitigated without an impact to schedule. Other factors are outside of either the clients or Sagitec's control and can impact the project schedule (i.e., pandemic or a recession).

Sagitec works with all our clients to reach consensus, overcome hurdles, and always ensures that the project is delivered and meets the business and technical requirements of the project and meets stakeholder expectations.

3. *How long have you (or any subsidiary or acquired company) offered UI systems? Please specify the earliest date you (or any subsidiary or acquired company) had a tax and benefits product go live in a state.*

Sagitec has provided UI system implementation services since 2013 with our first client, Washington D.C. Department of Employment Services going live with a UI tax system in October 2014. Since our first implementation of our Neosurance™ solution, we have also implemented solutions in the following states:

- UI Tax implementation in South Carolina (March 2018)
- Pandemic Programs (PUA, PEUC, FPUC, LWA, EB) system in Maryland (April 2020) and in Delaware (May 2020).
- Fully integrated UI Tax, Benefits and Appeals system in Maryland (September 2020).

We are also in the process of implementing fully integrated UI Tax, Benefits and Appeals systems in Ohio and Texas.

4. Please describe improvements to your system from your earliest product implementations to your most recent product implementations and specify any further improvements you are proposing for Kansas. Please specify which states you consider to be your earliest product implementations and your most recent implementations.

Since our first implementation in October 2014, we have had numerous improvements to the Neosurance™ solution including:

1. **Questionnaire framework –** this feature provides the ability to configure questionnaires by creating them from the ground up with questions grouped into question sets and associating them with specific issue type, sub type. These questionnaires are used to present claimants and employers with fact finding questionnaires based on the specific issue type or subtype associated with the claim.

2. **Appeal skills-based assignments –** this feature provides the ability to configure the association of judges/officers to Appeal type such as Rate Notices, Liability Determination, Benefits Charge Statements, Monetary Determination, Non-Monetary Determination etc. to enable better assignment of appeal cases to appropriately skilled judges.

3. **Enhanced user credential management –** this feature is based on the most common user credential management issues observed after implementation. Additional features were added to enable authorized agency staff to resend username or temporary passwords.

4. **Enhanced security feature –** Secure Captcha was added as a feature during login, user credential management and account activation to prevent bots from attacking the system.

5. **Fraud detection and prevention –** New fraud detection parameters were added to identify fraudulent claims from being filed based on disposable or repetitive email domains, IP addresses and other criteria. Potentially fraudulent claimants were restricted from accessing their portal until documentation was submitted and identity was verified.

6. **Agent download center –** this feature was added based on feedback from agents and their needs to better administer their client employer accounts. As a result of this feedback, we added a download center to allow agents access to the information for which they most frequently reach out to agency staff such as tax rates, outstanding debt, payments, benefit charges for their clients.

7. **Workflow supervisor dashboard –** this feature enhanced dashboards to bring more information at the fingertips of supervisors, so that they can review the case load for the agency staff and monitor the outstanding tasks to manage the staff SLAs.

8. **Enhanced communication between agency and users –** Additional communication features were added to enable authorized agency staff to interact with employers or claimants regarding their account and maintain a history of the communication.

9. **Mobile Application –** Android and iPhone compatible mobile app was developed to complement the self-service online system for employers and claimants. Some of the most common features used by employers and claimants such as account maintenance, viewing correspondence and messages, filing zero wage report, filing weekly certifications, viewing payments are part of the mobile application.

10. **Enhanced User Interface –** we implemented an enhanced user interface and improved the user experience in each of our solution portals: Employer, Claimant, Third Party Administrator (TPA) and staff. The user interface was enhanced with cleaner look-and-feel to incorporate user feedback and apply the new trends in graphical user interface developments. The online system is also designed to be responsive based on the device used and meets ADA compliance requirements.

11. **Queuing Solution for Web Traffic Management –** as a result of the pandemic claim volumes we implemented a queuing solution to manage transaction volumes during peak load periods in order to improve the user experience. The users would be assigned a token and a spot in the queue and will be informed when it is their turn to login to the system. This prevented claimants from having to endlessly wait or retry accessing the system.

12. **Enhanced Multi-lingual Capabilities** – we implemented features that enhances our client's ability to load translations into the system to improve the overall solution's multi-lingual capabilities.

13. **Pandemic programs** – pandemic programs functionality was added to the system in a short period of time and PUA systems were set up for Maryland and Delaware in about 4 weeks' time. All pandemic programs such as PUA, PEUC, FPUC, LWA and MEUC were incorporated in the system.

14. **Online Help** – online and context-based help has been added to the system to guide staff, claimants, employer and agents with the different features in the system. Based on the security access of the user, context-based help and How-Do-I related content is displayed in the left navigation of the system to direct the user to efficiently use the system.

15. **Technical Platform Upgrades –** Regular upgrades are made to the system's low-code application platform and is proven to be dependable and continuously adaptable to take advantage of advances in technology, thereby avoiding technical obsolescence within systems' base technology platform. See also answer to #23 about our Product Road map and how often we update our product with additional technical features and capabilities.

5. *What is the most challenging system implementation you have had in the past seven years and how would you expect Kansas to compare to that implementation, considering the age and status of Kansas's current system?*

The Maryland and West Virginia Consortium project was the most challenging system implementation we have had in the past seven years. Some of the unique challenges were specific to the project structure involving a multi-state consortium project, including:

- Alignment of common requirements and common processes across multiple states
- Management of multiple leadership structures, teams and cultures
- Management of project staff across two disparate states
- Implementation of consistent project processes across two states
- Configuration of the solution simultaneously to address the different requirements across two states
- Data conversion and interface design and development across two states

These challenges are not expected to be experienced in the Kansas UI Modernization project. Hence, we did not list those challenges in the response below. However, several other factors listed below are expected to be challenges that the joint Sagitec and KDOL teams will need to manage, address and mitigate from future occurrences.

State specific challenges:

- Allocation of adequate number of dedicated project state project staff (Business, Technical and Testing staff) while managing operations and support of existing UI customers and the system that support them.
- Timely review and approval of design documents can be a challenge due to the level of detail involved in the review and approval process.
- Existence of disparate legacy data sources with potentially inconsistent data resulting in time spent to resolve discrepancies, deciding on acceptable resolutions to discrepancies and implementing changes to the application to accommodate the data conversion issues.
- Due to the duration of the project, potential changes in key agency leadership positions and their direction to the project can be expected.
- Due to the duration of the project, potential changes in the project scope can be expected due to new federal or state legislations or mandates and changes initiated by interfacing parties due to their priorities.
- Interfacing state, federal and private sector (ex: banking) staffing and their ability to meet the project timeline could affect the overall project timeline.
- Coordinating with the interfacing agencies and performing connectivity and business scenario testing of about 100 interfaces requires significant effort.
- Timely decision on key issues that have a direct impact on the project success.
- Revisiting approved design and requesting enhancements or other minor changes results can result in significant additional workload including impact analysis, business process redesign, redevelopment of application components already developed, introduction of regression issue and retesting resulting in overall timeline and cost impact.
- Finalization of the following artifacts has traditionally been a challenge with any client:
    - Correspondence templates – involves business team, communication team and legal team review of 400+ correspondences resulting in significant workload that must be planned effectively.
    - Security Matrix – involves deciding what roles the staff will have in the system and their level of access.
- Testing and reconciliation of about 100 Federal Reports and Data Validation extract involves significant effort, often requiring time from business staff involved in day-to-day operations of their existing system.

6. *Have you ever been subject to a lawsuit by any of your client states or by any participants within the UI system in any of your client states? If so, please specify the state and the status of the litigation.*

Sagitec has never had a lawsuit filed against us by any of our UI clients or any of our other non-UI clients. Sagitec has been serving clients in the State Government market for over 17 years and we now have 37 government clients.

7. *What are you doing to connect the unemployment system administrators in the various states where you have a product in place?*

The voice of the customer plays a significant role in shaping Sagitec's vision and product roadmap. As a result, Sagitec has developed a dedicated Customer Advocacy team with the following goals:

Measure, track, and take action to improve customer satisfaction

Sagitec has formal and informal mechanisms designed to capture the voice of the customer, and organizational commitment to using feedback for improvement.

The Annual Customer Satisfaction Program is the cornerstone of Sagitec's customer feedback efforts, aggregating data from interviews with each customer organization. The feedback is used by to coach individual account teams, and aggregated to understand trends, strengths, and opportunities to inform broader organizational efforts.

Represent customer needs at the forefront of Sagitec's business

The primary function of the Customer Advocacy team is to be the voice of the customer internally and represent the needs of customers as a whole at Sagitec's strategic planning levels.

The team spearheads Technical Advisory and Innovation efforts to gather customer input on user experience and technology roadmaps, including dedicated groups, discussion boards, and surveys.

Create broader connections across organizations

Customer Advocacy expands the Sagitec relationship by bringing customers and leadership and subject matter experts from across the Sagitec organization together. Additionally, the team encourages and fosters customer-to-customer interaction.

Exclusive expert-led virtual events with Q&A sessions are held throughout the year. Event recordings are housed with other Sagitec resources in dedicated user community site. The user community also provides customers with access to one another to foster collaborative problem-solving and ideation.

Communicating with customers regularly and transparently

Sagitec prioritizes communicating transparently with customers and providing insight into its overall performance and goals.

The Customer Advocacy team provides regular newsletter updates highlighting the topics customers care about most, including upcoming events, product updates, and new initiatives.

8. Please identify any third-party identity verification vendors your product interfaces with currently or can interface with.

Sagitec is working on implementing interfaces with LexisNexis for identity verification/identifying the claimants for potential fraud in Maryland. Several aspects of the solution have already been implemented in production. The implementation for the remaining components is in progress and are expected to be completed by December 2021.

Sagitec is in discussions with Ohio and Texas to potentially integrate the Neosurance™ Solution with LexisNexis.

Sagitec has also implemented an interface with NASWA Integrity Data Hub for identifying the potential fraud claimants. This solution is already in production in Maryland.

9. Has your unemployment compensation product integrated with workforce services systems? If so, please provide specific state examples. If not, please provide information on the ability of your system to integrate with workforce services systems.

a. Is your product able to interface with America's Job Link Alliance for workforce services (AJLA is the platform used to support KansasWorks.com)?

Yes, our Neosurance™ has integrated with workforce services systems. In Maryland our implementation we integrated with Geographic Solutions REX system. This solution integrated with their workforce services system via web services based real-time interface receiving work search information during the weekly certification process. The work search information is evaluated during the weekly certification process and the result of the evaluation results in issue creation based on the business rules. There are also several batch-based interfaces to the workforce services system.

Our UI product can be easily integrated, using similar technology approaches, with AJLA used by Kansas to support KansasWorks.com.

10. How many steps/clicks is required within your system for a claimant to reach a live representative or schedule a live call back?

Sagitec's chatbot implementation allows for a single click to reach a live representative. The users can request for a live representative to chat with by typing a single pre-defined word such as "Representative". They will be connected to the available live representative or placed on a queue to wait till the next representative is available.

In terms of the clicks needed to reach a live representative from the IVR system, the answer depends on KDOL's IVR system implementation and the prompts used. Sagitec's Neosurance™ solution does not control the IVR system prompts.

11. Does your system offer a chatbot support tool?

Sagitec offers both Live Chat and Chatbot functionality to allow a State Workforce Agency (SWA) the ability to provide claimants and employers with another self-service delivery channel to get unemployment and reemployment services.

Chatbot provides an intelligent service that is trained based on previous queries for information that can be used to answer additional queries. Constituents simply ask questions and perform a variety of activities related to their UI accounts and associated functionalities by virtue of self-service. Chatbots understand and processes natural language. They provide definitions or descriptions from your organization's knowledge base (FAQs, trainings, or any knowledge base that exists, even externally like the Internet) and provides links to documents for download.

Live Chat provides person to person communication to answer queries from your constituents. This service provides the ability to connect your constituents with an agent who can answer the claimants or employers question or resolve their issue. If an agent is not able to answer a query, they can pull an expert into the same chat or transfer the chat to a specialist who can answer the question or resolve the issue. An agent can also respond to multiple chats at any given time. These capabilities make your call center agents more efficient in answering claimant and employer inquiries.

12. Where is the data hosted in your product? Has your product had any data breaches? Has any cloud hosting service used by your product had any data breaches? Please provide further information for any breaches.

Our product is currently hosted on the Sagitec managed Microsoft Azure Government Cloud tenant, on a State's Microsoft Azure Government Cloud Tenant, and in a state data center depending upon the choice of the State where it is implemented. The data associated with the product is hosted where the product is hosted.

In Washington DC, our product and the associated data is hosted in the DC Office of Chief Technology Officer (OCTO) data center. In Maryland, Delaware, South Carolina and Ohio, the product and the associated data is hosted in the Sagitec managed Microsoft Azure Government Cloud tenant. In Texas, the product and the associated data is hosted in the Texas client managed Microsoft Azure Government Cloud tenant.

None of our hosting environments has had a data breach.

13. What is required to add new, additional unemployment compensation programs to your system?

The Neosurance™ solution's Add Special Programs feature is a quick and easy way to add a new federal or state program. It is a multi-step question-and-answer process built by taking all federal programs over the last 30 years and incorporating their attributes and requirements. The program set up is a straightforward and intuitive process that can be set up by staff based on the UIPL guidance provided by DOL with minimal effort.

The system will guide KDOL staff to set up the program based on:

1. Program parameters such as program type (DUA/PUA, Federal or State Extension, EB, Additional Compensation), name of the program, if an application is required to be eligible, and should the application be reviewed by staff for eligibility
2. Eligibility parameters such as application acceptance dates, program effective dates, Regular UI exhaust or BYE date, last payable week on the program and any earnings requirements
3. Monetary determination criteria, such as, minimum and maximum WBA or percentage of Regular UI WBA, number payable weeks
4. Other parameters such as work search requirements, employer charging rules (federal, state or employer charges) and priority of the program when there are multiple active special programs.

5. For additional compensation programs, such as FPUC or LWA, additional parameters are added such as identifying the base programs that are eligible for the additional payment. The program can go into effect immediately based on the effective date of the program and release payments to eligible claimants.
6. For DUA, the program can be implemented for specific counties or statewide.

The flexibility to create and maintain special programs provides the following benefits:

- The ability for claimants to receive benefits in an automated fashion when they are not eligible for standard unemployment insurance benefits
- Each special program is customizable to accommodate specific program requirements
- Automated identification of eligible claimants based on their unique circumstances
- Flexible and easy to maintain changes that may occur for specific programs
- All programs are maintained in one integrated application
- The ability to arrange special programs in a hierarchical order to accommodate claimants that may be eligible for more than one program

Significant changes to Unemployment Programs similar to the Pandemic Programs (PUA) will require certain level of design and development activities as some of these programs changed the eligibility to a broader set of citizens who were traditionally not eligible for Regular UI Program.

With the addition of the Pandemic Programs (PUA, PEUC, LWA, MEUC and FPUC) to the Neosurance™ product, new configurations were added to the solution that will benefit new programs in the future. Examples of that are:

1. PUA program eligibility was limited to a fixed number of eligible weeks unlike most of the other programs that are based on the exhaustion of the monetary balance within the eligibility period. New program level configuration was added to set up programs based on monetary balance or number of weeks as the driving factor for payments
2. Additional compensation programs can be exempt from offsets based on the DOL guidance
3. PUA program broadened the eligibility to claimants who were traditionally not eligible for unemployment (ex: gig workers, self-employed citizens).

This is another example of how we constantly maintain and update our Neosurance™ product.

14. Is your product able to integrate with a work search requirement reporting system involving employers and state workforce services agencies?

Yes, the Neosurance™ solution can integrate with any work search requirements reporting system via web services based real-time interface to receive work search information during the weekly certification process. The work search information is evaluated during the weekly certification process and the result of the evaluation could result in creation of issue for adjudication and hold payments, based on the business rules.

There are also several batch-based interfaces to the workforce services system that can also be implemented.

15. Are the reporting and workforce management tools within your system able to be used with the U.S. Department of Labor's Resource Justification Model?

Yes. The Resource Justification Model is based on the data from a federal ETA report. The underlying data to calculate the time taken to finish the various business processes is available in the system to be able generate the necessary reports to support the Resource Justification Model.

16. Does your system have an alternative to personal questions as a means of identity verification?

Yes – Neosurance™ performs identity verification with the Social Security Administration and easily integrates with all market leading supplemental identify verification services (ID.me, LexisNexis, Experian). Neosurance™ also has additional security mechanisms built throughout every tier of the architecture including potential integration with identifying information from other State agency data (ex: Driver's license data).

17. Is a user notified by text or email when a change is made to their profile/account within your system?

Yes, correspondence is sent through multiple channels including text message and/or email when a change is made to user data based on the user's preferred method of communication.

In addition, correspondence is sent using the user's preferred method of communication when specific business events that require notification to the users pertaining to action items, warnings, informational messages, or presence of a new correspondence.

18. Does your system detect keystroke trackers?

A keystroke logger generally refers to a virus or malware that has infected an individual client machine (ex: user's desktop or laptop computer). Any solution, whether on premise or in the cloud, would not be best positioned to detect keystroke loggers. To detect and eliminate keystroke loggers and other viruses, the state should ensure that the agency is employing anti-virus software on all staff or public machines on their network and ensure that the anti-virus and anti-malware software is continuously kept up to date. Furthermore, the agency can decide on how best to educate their customers to minimize risks pertaining to keystroke trackers and other online identity theft schemes (Ex: phishing schemes).

However, cross site scripting or "man-in-the-middle" attacks could be considered a form of keystroke tracking. Neosurance™ mitigates the risk of these attacks by sanitizing all web requests and responses for malicious content. Sanitization removes malicious characters and JavaScript that executes scripts in end users browser to hijack their web session and exploit the user's privileges to exploit sensitive data.

19. Are client states able to create and modify custom reports within your system? Please describe the process required to do so.

Yes, Neosurance™ clients can create and modify reports on any data or meta-data within the Neosurance™ solution.

Neosurance™ provides a broad set of more than 125 standard reports and dashboards within the solution. The Neosurance™ Reporting module includes the following:

- Generates mandatory reporting (ETA, TPS) and data validations to meet U.S. Department of Labor (DOL) compliance guidelines. Although these report specifications are standard, correctly interpreting data, validating and checking for errors, and proper performance tuning provide KDOL with the information required for DOL and KDOL decision-makers.
- Provides an inventory of baseline management reports and dashboards that can be configured to provide KDOL management with point-in-time or real-time information about agency performance.
- Provides powerful standard and ad-hoc reporting capabilities for fiscal reporting
- Enables authorized staff to easily configure reports, retrieve custom data sets, and export them instantly to Microsoft Excel for further analysis from any "lookup" screen in the system
- Provides comprehensive reporting dashboards for all UI Tax, Benefits and appeals business processes.

The client states can create and modify custom reports by means of the following processes:

- Design and configuration of standard Neosurance™ reports and dashboards will be done during product configuration sessions with KDOL staff, who will have the opportunity to modify the report content to meet KDOL needs.
- Additional reports can be designed to meet the project requirements during the product configuration sessions by KDOL staff and Sagitec staff.
- Trained KDOL staff can either create or modify custom reports after go-live or create ad hoc reports using the ad hoc report generation tool.

20. How flexible and adaptable is your system to future legislative changes to unemployment systems (both state and federal changes) and would any required modifications to systems incur additional costs to the state?

The Neosurance™ Solution provides extensive configuration capabilities to address Federal and State policy changes providing the flexibility to make future changes. These capabilities make business processes significantly more efficient allowing state labor agencies the ability to quickly adapt to changing federal and state laws and policies.

The Neosurance™ business rules capabilities of our solution support the breadth of complex business functions required to support the full scope of a UI program including tax, benefits and appeals. For example, with its automated workflows and business rules, Neosurance™ provides:

- Efficient and accurate self-service claimant registration
- Automatic monetary determinations and payment
- Simplified adjudication
- Automatic generation of correspondence
- The ability to scale to meet increased workload with minimal manual intervention
- Consistent processing results, whether source data is provided in a bulk file, entered as a single transaction, or streamed from an external interface
- The ability to assign effective dates and move a historical rule to be currently effective
- Validation of data for accuracy and consistency

Sagitec's business rules engine places more power in the hands of UI business analysts and administrators. Rules can be created, modified, viewed, and copied (cloned) by your authorized staff. As a modern, easy-to-maintain solution, Sagitec's solution separates business rules from application code. This allows business analysts to create, change, model, design, test, and deploy business rules to, for example:

- Quickly establish special program parameters and accommodate changes such as new program parameters based on Federal or state changes.
- Efficiently carry out tasks such as changing monetary calculations or experience rating.

This capability enables you to immediately respond to legislative changes and unforeseen events, and policies are applied consistently and accurately. Modification of business rules by your staff without programming and technical support can save days to weeks of time it would otherwise take to implement policy and law changes.

Listed below are some examples of UI business process areas that are configured using Sagitec Analyst Studio™. These rules are incorporated into UI Business Rule Configurations and integrated with the Neosurance™ Solution to expedite implementation timeframes and provide flexibility for the State of Kansas to adapt to future changes in state and federal policy, law, and regulations. The rules engine is fully integrated with the Neosurance™ Solution and provides configurable rules in the following areas:

UI Tax Configurations:

- UI Liability determinations
- Experience rating and benefit charging
- Employer tax rates
- Mergers and Acquisition business logic
- Collections (Levies, Liens, Garnishments, Third Party Collections)
- Payment processing hierarchy
- Field Audit Selection Criteria
- TPA Management/ Affiliate third-party administrators.

UI Benefit Configurations:

- Claimant Eligibility Processing – this logic determines if the claimant is active or inactive and routes the claimant through the correct path to file claims or use the system. This rule controls the available functions in the claimant self-service portal.
- Modify or add a new UI benefit program
- UI benefit program hierarchy
- Monetary calculation (MBA and WBA). Change business rules including monetary calculations.
- Collections (Offset logic and collection hierarchy)
- Benefit charging business rules
- Overpayment establishment and interest calculation
- Claims requiring adjudication or appeals

General Administrative Configurations:

- Role and Resource-based Security Configuration
- Workflow Configuration
- System Parameters
- Message Configuration

- Correspondence Configuration
- Imaging/document management Configuration
- Audit and Logging Configuration
- Reporting/Analytics Configuration
- User Interface Themes and Styles

The required modifications to the system in order to comply with the new Federal or State law changes depends on the level of changes being implemented. Simple changes such as changing the tax rate tables each year or changing the WBA amount can be done without any additional costs to the state. Complex changes such as introduction of Pandemic Unemployment Programs or entirely new business correspondence to comply with a new federal or state law change would incur additional costs to the state. Our technical architecture and business design minimizes the amount of effort it takes to incorporate changes in Neosurance™.

Configurable Components within the Neosurance™ Solution

The following table describes many of the configurable components that support unemployment insurance business processes.

Neosurance™ Solution Configuration Tools that provide Flexibility to Respond to Federal and State Program Changes in Policy and Law
Business Rules. Business rules are maintained and configured within the Sagitec Analyst Studio™, which is delivered as part of Neosurance™ solution. These rules can be tested and verified by users outside of the Neosurance™ application, expediting implementation timeframes. UI staff can change rules without affecting the underlying software architecture. (Conversely, underlying software changes can be implemented without affecting the UI-specific business rules.)
Workflow (Sagitec Modeling Studio™). Represents predesigned, configurable processes for authoring and maintaining simple and complex workflows without programming using a combination of Sagitec Design Studio™, Visual Studio.NET, and Sagitec Modeling Studio™.
System Administration Functions. Neosurance™ system administrators are above to perform the following functions: Workflow configuration; Role-Based Security Administration; System Parameters; Administration; Messages Administration; Reporting Configuration; Batch Process Administration; and Correspondence Management.
Batch Processes. Neosurance™ provides comprehensive batch processing, including scheduling, job dependencies, and batch monitoring.
Deployment and External Services. Sagitec follows a structured release management plan and deployment schedule. Microsoft Team Foundation Server (TFS) is used to manage software configurations.
User Interface, Themes, and Styles. The Neosurance™ solution provides users multiple self-service channels for Claimants, Employers, and Staff. Staff and employers (and their representatives) can manage all aspects of their accounts through configurable self-service portals that are configurable to match state web themes/appearance.
Third-Party Products. The Sagitec Framework™ reduces the reliance on third-party products. Resources will need to be trained on FileNet, SQL server, and Microsoft .NET.
Correspondence Management. Provides required functionality for users to define, manage, and implement correspondence using Microsoft Word templates. It supplies the underlying framework for exporting data to Excel and provides mechanisms for using Reports and Dashboards. The Correspondence Generation process is an integral part of the Sagitec Technology Platform™. (No third-party vendor correspondence-generation

Neosurance™ Solution Configuration Tools that provide Flexibility to Respond to Federal and State Program Changes in Policy and Law
software is used for this function.) Content/MS Office Services – provides integration with FileNet document management services or other document management software for storage and retrieval of generated documents.
Mobile Devices. Neosurance™ utilizes a responsive web design that can render the application using any mobile device. We also provide a mobile solution, which allows your external stakeholders, such as claimants, to interact with KDOL using mobile devices. In Maryland, 50% of claimants interact with the Agency using mobile devices.
Security Parameters. Supports the implementation of role-based, application-level security for the Neosurance™ solution. The Neosurance™ solution supports security down to the file level, including the ability to hide or mask fields based on a security profile. Security configuration begins when a system administrator maps line-of-business users to one or more business role(s), such as an auditor or Labor and Employment Specialist. A single person can have one or multiple roles, depending on the work they perform. Next, the administrator maps business roles to one or more system resources, such as screens or reports.
Reporting and Analytics. Provides services for storing, organizing, displaying, and retrieving reports created in the run-time version of reporting tools, such as, Cognos and SQL Report Services.
SharePoint Services. Represents a pre-built environment for authoring, searching, retrieving, viewing, and editing SharePoint content from the Neosurance™ solution.
Imaging Services. Represents a pre-built environment for searching, retrieving, viewing, and editing ECM content from the Neosurance™ solution.
Audit Services. Supports the implementation of audit history functionality. Audits can be placed at the column level of any table, and audits can be assigned to tables, users, or security roles. Customized Configuration Settings allow authorized administrators the flexibility to turn auditing on or off for specific tables, table columns, roles, or users. For example, managers might choose to set different audit levels for new employees for quality assurance purposes.
Directory Services. Represents a pre-built environment for integrating Neosurance™ with Active Directory to centrally manage identities and relationships for authentication and authorization.
Administrator Services. Supports systems administration activities, such as establishing file and printer paths, setting code titles and user messages, managing templates, setting archival parameters, and others.
Testing Services. Represents a pre-built design and execution environment to support end-to-end functional testing, including unit, systems, integration, life cycle, and regression testing. Includes integrated tools for creating, storing test templates, scenarios, and flows as well as a runtime test-execution environment.
File Processing. Provides facilities for defining files, associating data elements, calling validation scripts, and archiving inbound and outbound files (e.g., interface files) to and from other external software applications.

Table: Tools that Promote Configurability and Flexibility Within the Neosurance™ Solution

21. What is the capacity of your product to handle in terms numbers of claimants, employers, and KDOL staff?

The Neosurance™ solution was built to be able to handle claims loads as large as the size of California during a major recession. By hosting the application in the cloud, Neosurance™'s and our infrastructure hosting architecture has the ability to quickly respond to surges in claims and user traffic, like we saw during the pandemic by upsizing the infrastructure components both vertically and horizontally. Equally important is the ability to downsize the infrastructure components when the peak load decreases so KDOL is no longer paying for the additional resources it no longer needs. In an on-premise environment, these resources need to be available all the time, whether needed or not and at a much higher cost to KDOL.

The Neosurance™ solution in the State of Maryland served over 2 million active claimants during the pandemic and 135,000 active employers. The system currently has approximately 8,000 active staff user accounts and external state agency user accounts. The Neosurance™ system in the state of Delaware currently has over 48,000 active claimants and 408 active staff user accounts.

State	Types of Users*	Total number of entities	Number of Active User accounts
Maryland	Claimants	2,980,013	2,417,801
	Employers	169,598	115,907
	State Staff / External agency users	N/A	8,134
Delaware	Claimants	78,020	48,657
	State Staff	N/A	408

Table: Neosurance System Load Volumes During the Pandemic

* Entity and user counts represent only active entities or users. The user counts do not include Third Party Administrator user counts.

In addition, the cloud-based Neosurance™ Solution and Microsoft Azure infrastructure has been configured for the expected system capacity in South Carolina, Ohio and Texas.

22. What is the timeline for upgrades or obsolescence of your product/system?

The Neosurance™ solution and Sagitec Technology Platform was designed to avoid technology obsolescence. In the past, when new systems were custom built, they were already technologically out of date on the day they were implemented. These implementations did not stay current with changes in technology and required costly vendor support to maintain and update the system with new releases, new functionality or new technology features. Our approach at Sagitec is different. We consistently update the Neosurance™ solution and Sagitec Technology Platform with new business and technical features avoiding technology obsolescence (see product roadmap). This approach prevents KDOL from having to rip and replace their system after it becomes obsolete. In the answer to question 23, we disclose our product road map and you can observe the changes that we have made to the product and the technology platform over the last 17 years. This approach and planned product upgrades are included in the services and support we provide KDOL and our other customers.

Sagitec provides quarterly and annual upgrades of our product to our clients. Release notes are provided to each client, and we work with each client to implement the new releases of software.

23. How frequently is your product updated and upgraded?

The Benefits of our Product Roadmap

While many vendors have tried to develop a repeatable framework solution, few have been successful. By the time Sagitec formed in 2004, software frameworks were a proven and useful approach to develop and deliver systems quickly. However, most vendors made little to no investment in ongoing framework development, and none made it the core component of their business assets as Sagitec has done. Most vendors constructed a framework and then progressively changed it for each new project. That results in multiple framework versions—each a "distant relative" to the next.

The idea of a single, common framework is often too costly for most vendors to maintain, especially given a varied industry focus and client base. Sagitec is different. While our competitors are busy recoding systems to "un-embed" the business rules they hardcoded for earlier clients (expending valuable time and money), we provide a flexible, loosely coupled architecture with our Neosurance™ Solution providing extensive configuration capabilities for our clients.

Our Commitment

Since 2004, we have upgraded in parallel with Microsoft's .NET platform, seamlessly incorporating new features that we have been able to turn around and deliver straight to our clients' framework to provide additional features. Sagitec has remained committed to the continued evolution of our Sagitec Framework™. We have demonstrated this commitment over the years by re-investing our profits and expanding our line of products to include the Sagitec Modeling Studio™ (workflow services), Sagitec Analyst Studio™ (business rules services), and Sagitec Test Studio™ (testing services). We also continually bolster our offerings with the latest powerful tools (or "accelerators") to enhance our ability to deliver or update a system.

We continue to evolve our products and take a critical look at the future evolution needs of our clients on a regular basis. Our product roadmap is strategically defined every two years to ensure our customers have access to updated products that integrate newer technology trends and business functionality.

The following diagram demonstrates our current product roadmap that highlights the evolution of Sagitec's software products through 2020. We are currently updating our product roadmap beyond 2020 using feedback from our customers.

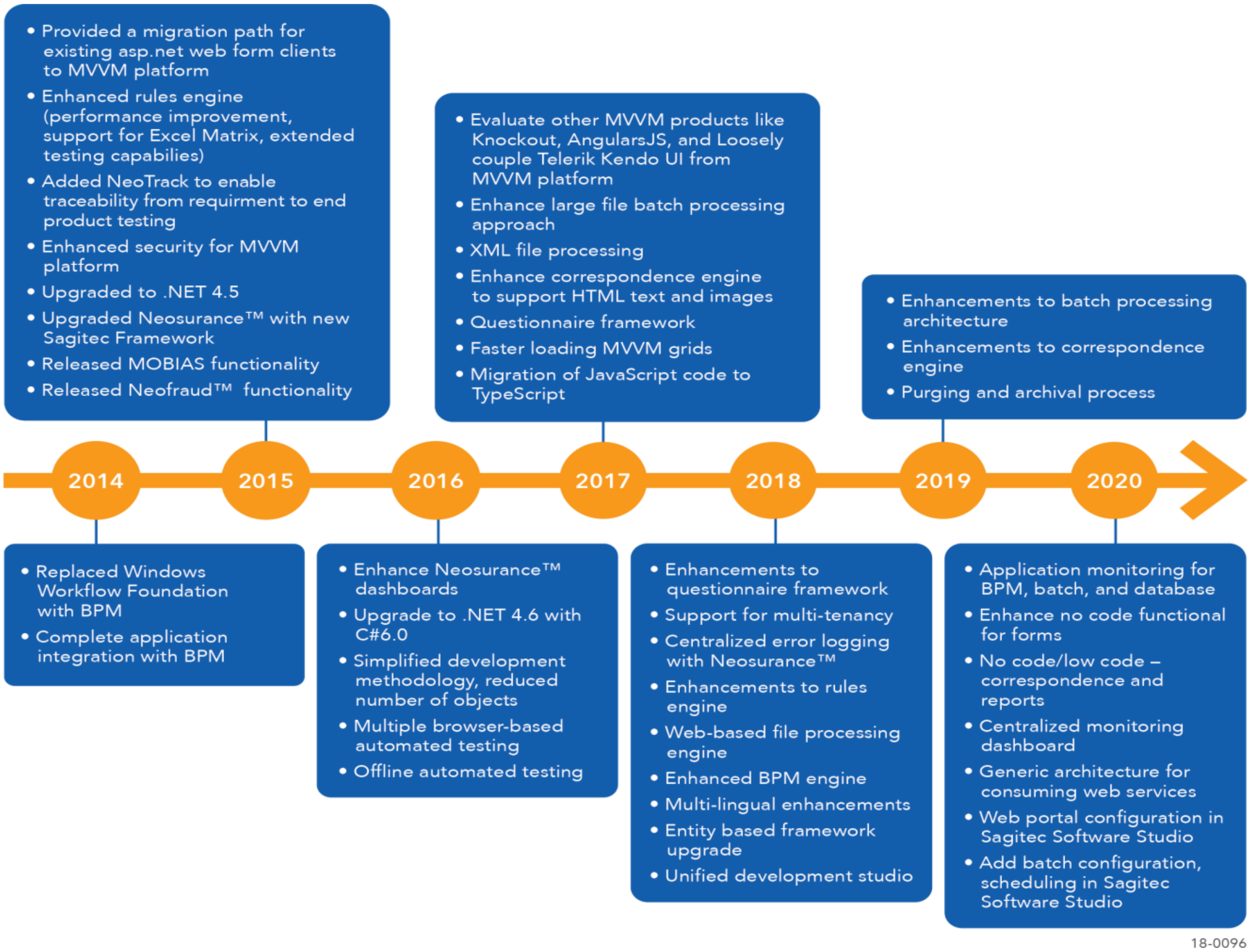


Figure – Sagitec's Product Road Map

The product roadmap is reviewed and strategized regularly by our dedicated product team.

Sagitec provides a comprehensive plan to address the ongoing application maintenance, upgrade, and enhancements for the State of Kansas. The previous figure illustrates our technical product roadmap highlighting the progression of releases and upgrades and features planned to be released in upcoming versions.

The following tables highlight the upgrades and evolution of the Sagitec Framework™ over the past 17 years, illustrating our ongoing commitment to, and investment in, our technical framework.

Evolution of the Sagitec Framework™ from 2004 to 2009			
Area of Evolution	**Framework 1.0 (2004)**	**Framework 2.0 (2005)**	**Framework 3.0 (2009)**
Enterprise Architecture	First release based on .NET 1.1; N-tier architecture; XML-based representation	Implemented generics, master pages, and multi-threaded batch services	Implemented asynchronous messaging; Introduced NeoFlow™ based on Windows Workflow Foundation (WWF)
Enterprise Integration	SQL server database.	Implemented DB2/400 database; LDAP authentication, ECM integration adaptors; Financial (GL) integration adaptors	Implemented multi-factor authentication framework (RSA/PassMark/Entrust); MSMQ integration
Security & Control	Deployed role-based security; fine-grained security at the control level	Data-based security; Rule-based security; Fine-grained auditing at field level	Implemented Exception management framework; Fine-grained user activity logging
Usability	100% browser based; Based on ASP.NET Web forms	Allow user preferences; Updated web controls; Smart Navigation	Implemented AJAX controls; Seamless Workflow-driven processes; CSS styling
Business/ System Management	Manage reference values, messages, security, etc.; Batch Process Monitor	Enhanced Batch Monitor across servers; Integrated exception management	Implemented Workload monitoring
SDLC Management	Deployed Studio for designing web forms and business rules (Validations)	Support for designing Correspondence, Reports, and interface file layout	Support for Workflow Diagram design; Studio support for Prototype; Automated migration using Cruise Control; Automated code review using Code-Gym

Table – The Sagitec Framework™ Evolution from 2004 to 2009

Sagitec Framework™ Evolution from 2010 through 2017					
Area of Evolution	**Framework V4.0 (2010)**	**Framework V4.0 (2011)**	**Framework V4.5 (2014)**	**Framework V5.0 (2015)**	**Framework V6.0 (2017)**
Enterprise Architecture	Implemented parallel computing extensions; Enriched asynchronous messaging; 64-Bit version; Multi-processor computing; Updated	Implemented "on the fly" ADA compliance; OpenXML; architecture for multilingual support	Migration to MVVM architecture; Migration to Web API from WCF; Upgraded Rule Engine performance with DLR	Upgrade Business Process Management Engine (Sagitec Modeling Studio™)	Entity Framework Architecture upgrade, Centralized Error Logging, Moving JavaScript to TypeScript, Parallel batch processing

Sagitec Framework™ Evolution from 2010 through 2017					
Area of Evolution	**Framework V4.0 (2010)**	**Framework V4.0 (2011)**	**Framework V4.5 (2014)**	**Framework V5.0 (2015)**	**Framework V6.0 (2017)**
	Workflow Engine				
Enterprise Integration	Added SharePoint integration adaptor; Upgraded ECM adaptors;	First deployment on Oracle		Prototype use of Enterprise Service Bus	
Security & Control	Added encryption at database, file, and document level	Implemented Full audit; Full tracing; Performance monitoring; Addressed sans top 25 security vulnerability			
Usability	Implemented JQuery UI controls	Implemented spell checking; Accordion panels; Enhanced user preferences; Enhanced experience such as cascading dropdown, automated grid formatting, etc.	Implemented Kendo UI controls; Enhanced charting controls; CSS3 styling; Advanced HTML 5.0 features; Native Mobile Application Support	Cascading list drop-down controls, FIPS Security Compliance, Command line XML deployment utility, Export of Presentation layer result sets	Faster MVVM grids, New UX Controls
Business and System Management	Performance and control reports	Dashboard; Calendaring/Scheduling	Added Decision Tables and Logical Rules to Rules Engine; Implemented Process Modeling and Execution using BPMN 2.0 Standards	Configurable Dashboards, BPM Enhancements (Reassign activity to supervisor, failover configuration and queue performance improvement)	Questionnaire Framework

Sagitec Framework™ Evolution from 2010 through 2017					
Area of Evolution	**Framework V4.0 (2010)**	**Framework V4.0 (2011)**	**Framework V4.5 (2014)**	**Framework V5.0 (2015)**	**Framework V6.0 (2017)**
SDLC Management	Launched NeoCertify™ for Unit testing, Regression testing, Build Verification testing Enhanced support for file design and correspondence design	Enhanced Sagitec Test Studio™ for Performance testing Automated System Test case documentation Updated studio with WPF controls and provided run time view during design	Deployed the Sagitec Analyst Studio™ for modeling and testing business rules independent of the solution Deployed the Sagitec Modeling Studio™ to model business processes and automate execution	Updates to Sagitec Analyst Studio™; Updates to Sagitec Design Studio™ (BPM, Web Forms, Correspondence, and Report); NeoTrack™ requirements management tool for end-to-end SDLC management	Sagitec Web Studio™ (SWS) - Unified development platform that integrates Sagitec development tools with centralized deployment to manage design and development over the web

Table – The Sagitec Framework™ Evolution from 2010 to 2017

Sagitec Framework™ Evolution from 2018 through 2020			
Area of Evolution	**Framework V6.x (2018)**	**Framework V6.x (2019)**	**Framework V7.0 (2020)**
Enterprise Architecture	Enhancements to Questionnaire architecture, Support for Multitenancy, Central Error logging, Entity based framework, Multilingual framework	Enhancements to Batch processing engine; Enhancements to Correspondence Engine	No code/low code for development components, Application performance monitoring for BPM and database
Enterprise Integration	Web-based file processing engine		Generic architecture for consuming web services; Centralized monitoring dashboard of all system components
Security & Control		New Compliance requirements for IRS 1075 and FedRAMP	
Usability		New Graphical User Interface	

Sagitec Framework™ Evolution from 2018 through 2020			
Area of Evolution	**Framework V6.x (2018)**	**Framework V6.x (2019)**	**Framework V7.0 (2020)**
Business and System Management	Rules Engine Enhancements	Purging and Archival process	Application performance monitoring for batch processing
SDLC Management	Unified web-based Development Studio (S3)		Web portal configuration in S3; Batch configuration and scheduling in S3

Table – The Sagitec Framework™ Evolution from 2010 to 2020

Sagitec will continue to enhance its framework and offerings for the benefit of all our clients, and we are ready, day one, to focus on the State of Kansas's business and the strategy for tackling your unique business needs.

Sagitec's Customer Advocacy Programs

The mission of Sagitec's customer advocacy programs both serves Sagitec's customer organization as well as the Sagitec's organization. We have the following customer advocacy program goals:

- Collect and incorporate the voice-of-the-customer in order to improve all Sagitec's products, services, and processes
- Help customers to collaborate with one another to solve problems and generate ideas in such a way that Sagitec can input this into the voice-of-the-customer loop
- Provide effective and efficient customer-to-Sagitec and Sagitec-to-customer communication over the entire customer relationship
- Educate customers of products, services, methodologies, changes, and other important news
- Provide as much transparency as possible between Sagitec and customers
- Continually increase customer satisfaction, loyalty, and support

To support achieving the above goals, Sagitec has developed several teams, tools, and communication avenues. These include:

- **Sagitec's User Community**: Open to all staff members that work for a Sagitec customer who has purchased our software solutions. We typically host 2 webinars per month and use Knowtion™ as our User Community Platform.
- **Technical Advisory Board**: A subset of representative clients serving two-year board terms.
- **Knowtion™**: Sagitec's knowledge and learning management application used to distribute news and information to customers.
- **Infrastructure Community of Practice**: A special interest group within our larger user community that focuses on infrastructure-related activities such as security, performance, servers, the cloud, and Development Operations.
- **Application Developer's Community of Practice**: A special interest group within our larger user community exclusively for people who use Sagitec Modeling Studio™ (workflow services), Sagitec Analyst Studio™ (business rules services), Sagitec Test Studio™ (testing services), and Sagitec Software Studio (S3). These tools are used to configure our solutions to meet client requirements. We share best practices and lessons learned, help each other troubleshoot through problems, set standards, and host training events.

Sagitec will continue to enhance its technical framework and offerings for the benefit of all our clients, and we are ready, day one of the UI Modernization Project, to focus on the State of Kansas's business and the strategy for tackling your unique business needs. We will incorporate KDOL user feedback in Neosurance™ solution updates, and we will continue to incorporate recommendations from other non-Kansas user groups, making the improvements available to all Neosurance™ users as part of periodic updates.

Deciding What to Include in Future Releases

Sagitec has a dedicated product team to support the evolution of their products. This includes tracking federal changes and ensuring that our client's solutions are upgraded with these changes. Once changes are verified and tested by our product team, we work with our clients to determine the schedule of migrating these changes to both acceptance test and production regions.

Sagitec has regularly occurring work sessions across PMO teams serving all our clients where we share and discuss design changes and improvements identified on local projects and applied to client-specific applications. If a change is warranted at the Neosurance™ Product Application (parent level), a code merge is conducted to move relevant code chain set(s) from the project to the product level. Subsequently, each PMO brings the Neosurance™ Application enhancement(s) to their respective client to gauge interest in adopting the change to their local application (child level). If agreed upon and in accordance with formal release schedules, the enhancement(s) are merged into the respective project application. Sagitec releases detailed Release Notes with each deployment and thoroughly tests any release code before deploying to either UAT or Production environment.

Sagitec will continue to enhance its framework and offerings for the benefit of all our clients, and we are ready, day one, to focus on KDOL's business and the strategy for tackling your unique business needs.

24. Please specify the timeframe for the implementation of your PUA program in spring of 2020, including the first date claimants were able to file claims and the first date payments were made to PUA claimants.

During the pandemic, on receiving the approval to begin work from Maryland, Sagitec successfully implemented the PUA system within a short implementation timeline of less than a month. In addition to implementing the PUA program specific requirements, Sagitec worked with the Maryland DOL to create bridge programs for data transfer and interfacing between the legacy application and the Neosurance™ system.

The Maryland Neosurance™ PUA system went live on April 24, 2020 and the claimants successfully filed claims and weekly certifications on day one. The payments for all Pandemic Program claims (PUA, PEUC, FPUC) were sent out starting on May 9, 2020. The entire payment functionality was available from day 1 of the system implementation. However, the Maryland DOL decided to release payments a few weeks after the claims and certifications were filed to ensure they had done the due diligence on the claims filed prior to issuing payments. The system provided the ability for the claimants to back date the claims and file for all the weeks that the claimants were eligible for based on state policy and rules.

In the state of Delaware, the Neosurance™ PUA system went live on May 16, 2020, and the payments were processed starting May 29, 2020.

After the initial implementation, in both the states, the system was able to make extended benefit (EB) claim and weekly certification submission processes available to the claimants as soon as EB went into effect using the EB setup process within Neosurance™. The EB payments were made without any delay. LWA Program was implemented without any delay when the states were approved for LWA funding. Furthermore, the system implemented CARES Act extension in December 2020 and American Rescue Plan Act in March 2021 with no interruption in payments to the claimants, including the FPUC-2. In addition, the MEUC program was implemented timely so that the claimants could apply and receive benefits.

Additionally, several state legislative bills and Governor's executive orders were implemented in Maryland to provide Pandemic relief to Employers by means of Tax rate calculation changes and Deferred Tax Payments due dates for qualified employers. These changes were implemented in time to issue the Tax Rate notices for the 2021 and Quarter 1 Tax rate filing due date.

25. For each state in which you operated a benefits system in 2020 or 2021, please provide information on the amount of fraud experienced by each state, including separate information for the pandemic-specific programs.

The tables below provide numbers for Potential Identity Fraud Claimants for Maryland. The numbers are broken by Pandemic vs. Non-Pandemic related programs. Adding the identity fraud-related changes in the system has helped save Maryland billions of dollars. In fact, the Sagitec team was instrumental in identifying the first fraud scheme attempted in Maryland during the Pandemic in late June 2020. The initial fraud scheme identified in less than 10 days of its occurrence in late June 2020 resulted in Maryland being able to stop fraudulent payments of over $500 million.

Claimants Identified as Potential Fraudulent in Maryland (Pandemic Related Programs – PUA/PEUC)	
Description	**Count Of Claimants**
Total Claimants suspected of fraud	548,944
Claimants cleared of fraud	109,294
Claimants still suspected of fraud	*658,238

Claimants Identified as Potential Fraudulent in Maryland (Non-Pandemic Related Programs)**	
Description	**Count Of Claimants**
Claimants suspected of fraud	1,005,308
Claimants cleared of fraud	74,742
Claimants still suspected of fraud	**1,080,050

Sagitec was able to identify these fraud schemes due to the fraud-based functionality that was implemented with the Neosurance™ solution.

* These suspected fraudulent claimants have had a stop placed on their claim. Over 90% of these suspected fraudulent claimants remain in this status since they have not sent in identity verification documents. This is further validation that they are fraudulent claims.

** The number of potentially fraudulent claimants in Non-Pandemic related programs in Maryland shows a higher number because the claimant files a single integrated claim that determines the eligibility of the claimant for Regular UI Program first and if they are not qualified for Regular UI, the claim is then evaluated for Pandemic Program eligibility. Since the fraud detection is done at the beginning of the claim filing process, the claimants are marked as potentially fraudulent even prior to determining eligibility for Regular UI Program and therefore categorized as Regular UI Program claimants.

26. Please provide information on the wait time for claimants to receive payment in states serviced by your benefit programs in 2020 and 2021 for all unemployment compensation programs.

The wait time for the claimants to receive a payment depends on multiple factors such as the following:

- Resolution of non-monetary issues blocking payments for a claimant until the staff reviews and releases the payment.
- Awaiting response for fact-finding from the employer or claimant to process payments.
- Awaiting response from potentially fraudulent claimants to submit identity verification documentation.
- Resolution of identity verification work items by staff.

Weekly certifications are processed for payment each weekday when the payment files can be sent to the banks for posting. Claimants with no issues or work items affecting their eligibility are paid without any delays. The average wait time for a claimant to receive a payment from the date the week was requested when there are issues or work items affecting payments is 7 days in the state of Maryland for all unemployment compensation programs. The average wait time is 2 days in Delaware for the PUA program.

27. Please identify the two states served by your product/system that had the most challenges with fraud during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.

Maryland

During the beginning of the pandemic program claim filing, Sagitec alerted the Maryland Department of Labor (MDOL) of potentially fraudulent activity after observing a surge in Unemployment Insurance claims and weekly certifications including regular and pandemic claims using out of state mailing addresses. Sagitec performed an in-depth analysis of Maryland's claim activity and quickly determined that a massive fraud scheme attempted to defraud Maryland by utilizing automated bots and humans to file fraudulent claims. Sagitec consulted with MDOL and immediately froze most out-of-state accounts. Sagitec worked with MDOL and their banking vendor to block payments before they were made, and where payments had been made, block the use of those debit cards to more than **47,500 bogus claims saving Maryland and the Federal Department of Labor more than $501 million.**

During further in-depth analysis, Sagitec was able to identify similar fraudulent activity in Maryland's in-state claims and implemented appropriate controls and stops to deal with the fraudulent claims filing. In addition to our client states, South Carolina, Washington DC, Delaware, Ohio and Texas, details of the scheme have been shared with MDOL, the National Association of State Workforce Agencies (NASWA), and federal authorities for the benefit of all state workforce agencies (SWA).

Sagitec continued to monitor the claim volume and patterns of various identifying information (mailing address, email address, IP address, etc.) and continually enhanced the fraud detection and mitigation processes implemented in the system to manage the ever-changing fraud schemes observed during the pandemic.

In addition, Sagitec has implemented solutions to integrate with NASWA's Integrity Data Hub and LexisNexis suite of products to enhance the fraud detection. Furthermore, Sagitec has partnered with financial institutions (Wells Fargo and Bank of America) to implement technological solutions to verify banking information and debit card fraud detection.

Delaware

Sagitec implemented a PUA system for the State of Delaware and processed all PUA claims. The Regular UI claims continued to be processed in Delaware's existing mainframe system. The identity verification process was completed in the mainframe system and verified accounts were integrated with the PUA system. Any claims identified as potentially fraudulent were put on a Fraud hold in the PUA system to avoid payments from being sent out to claimants. This level of integration allowed Delaware to proactively identify fraudulent payments and prevent payments from being sent to fraudulent claimants.

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28. Please identify the two states served by your product/system that had the most challenges with timely payments to eligible and entitled claimants during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.

During the pandemic, in the state of Maryland, there were many claim filings that resulted in a significant volume of non-monetary issues created in the system. These issues could potentially hold payments until they were adjudicated in a timely manner. There was a significant backlog of non-monetary issues that were pending adjudication as the state of Maryland experienced staffing shortages and did not have the resources to adjudicate claims at the pandemic level. As a result, the payments were on hold until the issues were resolved. To clear these large backlogs, Sagitec provided weekly analysis regarding the payments that were on hold due to certain issues. Sagitec worked closely with the state staff in determining various logic and business rules to identify issues affecting large population of claimants and with Maryland approval worked to either cancel the issues or determine automated resolution so that payments were made from the system in a timely manner.

Another scenario impacting payments was associated with the state of Maryland's contract with the Bank of America ending sooner than expected. This created a challenge in moving approximately 350,000 active claimants filing certification from Debit card to an alternate payment method of Direct Deposit within a short period of time during the pandemic. To achieve a smooth transition, Sagitec proposed a solution to notify claimants on the login page of the upcoming change and prompt them to elect an alternate payment method using the Broadcast Messages feature in Neosurance™ to ensure the claimants' banking information was collected and validated well before the final cutover to make payments via direct deposit.

Over a span of 5 weeks, the entire claimant population was successfully moved to direct deposit with a small percentage choosing check payments.

In Delaware, the system had to release the payment file in coordination with the legacy system. There were special features incorporated in the Neosurance™ system to put a hold on payments for the claimant if the staff had detected an issue with the claimant's identity or claim's authenticity.

During the pandemic, the volume of claim filings was significantly higher (20-fold increase) than anticipated by the state. As a result, the Sagitec infrastructure team continuously monitored and made appropriate changes to accommodate the performance of the system. Application and database related modifications were made to handle the volumes without impacting the availability of the system for the claimants, employers and other users.

All the above-mentioned key learnings will be used to overcome challenges in future implementations.

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29. Please respond to and address any negative media coverage your product/system has received in any states throughout the pandemic, either for fraud or for difficulty in making timely payments to eligible and entitled claimants.

Sagitec experienced some negative coverage during the onset of the pandemic during our implementation of Maryland's modernized UI system, BEACON One-Stop. The updated and agreed upon project plan anticipated a go-live date of May 2020. The project team realized immediately as the pandemic set in that the implementation was at a crossroads: 1) Wait for the modernization of their existing Unemployment Insurance (UI) system to get completed 2) Make changes in the legacy system to implement the new federal pandemic programs.

Given the pandemic's unique challenges, deploying a new system with unprecedented claims volume increases the risk substantially. Enterprise deployments always require a careful coordination of the SWA's technical deployments and its partners, organizational change management, and training, among others. Choosing to wait a few months and deploying after the pandemic's initial surge would also be problematic. It would require transitioning claimants already filing weekly certifications from one system to the other.

Maryland DOL, in consultation with Sagitec, initially chose a hybrid deployment approach. Sagitec developed the Pandemic Program related functionality and would deploy a modernized customer-facing claims intake system for all UI claims (UI, EB, PECU, PUA) in April 2020. This would ensure that the claimant's experience was uniform throughout the life of the claim. The cloud solution would be able to scale based on the claim volumes, as needed. After the initial claim surge, the functionality of the remaining benefits and tax and appeals would be released so that MDOL could take advantage of the efficiencies provided by a superior modern solution and improved business processes.

Using this strategy, Sagitec deployed BEACON One-Stop for MDOL, a comprehensive UI claimant portal in April 2020. It enabled unemployed workers to apply for all available benefits in one application and receive payments regardless of whether they may qualify for UI, PEUC, or PUA. All remaining solution functionality (Tax, Appeals and the remaining Benefits System functionality) was released shortly thereafter in September 2020.

While Sagitec expected a massive claims volume, the newly deployed system experienced performance issues in the first week of production operations. Due to the performance issues, the system initially received negative media publicity. While the team was trying to determine the root cause, Sagitec deployed a virtual queue feature to manage the claim transaction traffic.

The team determined the root cause of the problem:

1. With thousands of claimants trying to access the system, specific queries required optimization to improve performance. Following hyper-optimization of certain system areas, the solution was auto-scaling to the load experienced within one week.
2. The database server was not responding well when users executed cross-database queries. Per Microsoft's recommendation, the affected functionality was refactored to resolve the issue.

Following this **one week** period of performance issues many of the issues reported and attributed to "the system" were in no way related to the system. For example, Sagitec implemented the modernized UI system but was not the call center vendor and had absolutely no responsibility for call center software, staffing or any other aspect of call center operations. Call wait times and the inability to get detailed and consistent answers were attributed to the "new system". However, the call center was not part of the BECAON system implementation.

Similarly, federal laws and regulation require hands on reviews of certain categories of claims. The modernized BEACON system expedited a massive number of claims and paid without human intervention for those that qualified without the need for additional documentation or review – a drastic improvement over the antiquated system. However, a backlog accrued of those claims that required follow up, additional documentation, identity verification or clarification. Increasing staffing during the pandemic was difficult for all state workforce agencies and during this period claims that were ready to review but did not have the staff to be worked were picked up by news outlets as "something wrong with the system" when, in fact, the system was not the root cause of the issue.

Also, Sagitec took a highly proactive approach to fraud prevention and in consultation with our Maryland client, we took a number of very effective steps early in the pandemic to identify fraudulent claims. For example, in one week with over 2 million claims Sagitec flagged over 1 million claims as potentially fraudulent. Later, through investigation, 95% of those flagged were proven to be fraudulent. The remainder were paid after investigation, document requests and interviews with claimants. Many of these were picked up by the news as "something wrong with the system" when, in fact, the solution was performing exactly as strategic policy dictated.

The facts are that:

- There was a one-week period of performance issues where Sagitec worked as cohesive team with our Maryland client to mitigate the issue in real time and to completely resolve the issue within the week while other states experienced many months of system performance issues.
- Minor issues common to all enterprise system deployments were found and fixed in real time with little or no impact to solution functionality or performance.
- News stories failed to investigate issues with any depth and continuously released misleading or false reports attributing problems to "system issues" that were not related to the deployed solution. Their reporting could not distinguish between fraudulent claims, claims awaiting documentation, claims awaiting identity verification or claims with outstanding issues holding payment. During the pandemic, Maryland paid 98% of claims which was one of the highest payment rates in the country. However, all unpaid claims were attributed to "system issues" which was false and misleading.

30. If a state using your product/system was early to identify fraud during the pandemic, were you able to use that early identification to effectively protect your other client states from expansive fraud? If not, please explain the reason you were unable to do so.

Yes, we did share our knowledge of these fraudulent schemes with Federal Department of Labor stakeholders. Sagitec kept our Neosurance™ product team and Delaware implementation team updated on the fraudulent activities experienced in Maryland. As a result, our product is enhanced to prevent the fraudulent activities and our client in Delaware benefited from the information in Maryland. In addition, information about these fraudulent schemes were shared with our other clients in Washington DC, South Carolina, Ohio and Texas. In addition, MDOL shared the details of the fraud schemes identified with the National Association of State Workforce Agencies (NASWA), and federal authorities for the benefit of all state workforce agencies (SWA).

In addition, Neofraud, our advanced predictive analytics, machine learning, and data modeling technology solution can sift through historical claims data on previous fraud cases and produce a trained fraud model that can accurately predict the likelihood that claimants will commit fraud. These models can be applied to UI claim data to identify fraud before it occurs or very early in the process. Follow-ups and investigations can then happen to help reduce or eliminate fraudulent claims/payments.

This product is part of our bid for KDOL and it has been updated with what we learned and experienced during the pandemic, particularly related to fraud.

Kansas Implementation

31. Please clarify whether you or the State of Kansas would own any computer code for your product and any data within the system. For both code and data, please state whether the State would own any in the event your company goes out of business or the contractual relationship between you and the state terminates.

Sagitec's solution consists of two major components from an application code perspective.

The first component is called the Sagitec technical platform (Platform Services and Application Management Services). The Sagitec technical platform provides the underlying technology architecture for all our business applications and is the common platform used by all our clients. The technical platform is not business application specific or client specific. The source code for this component of the solution is owned by Sagitec and will not be shared with the State of Kansas. However, the source code for this component can be stored with third-party escrow vendor such that the source code will be available to State of Kansas in the event Sagitec goes out of business. The source code for this component will not be available to the State of Kansas in the event the contractual relationship is terminated. Kansas can continue to choose to procure the annual software support maintenance offering (similar to any other third-party software) to continue to obtain updates to the Sagitec technical framework.

The second component is the code pertains to the Application Services and Tailored Extensions (Neosurance™ – UI Tax, Benefits and Appeals system). This is the portion of the solution that houses the UI Tax, Benefits and Appeals business domain related application code. The source code for this component will be provided to the State of Kansas. The UI program data housed within the system will be owned by the State of Kansas.

32. Would you have an in-person presence in Kansas for the project team or would work be done remotely?

Based on our experience modernizing UI systems we would highly recommend and prefer that our project team, including all the key staff be on-site and in-person working with and developing working relationships and a strong cohesive team with the KDOL project team members. However, Sagitec will work with the state at contract award to follow any state and/or local guidelines or health concerns that may impact on-site work.

33. Would the addition of Kansas to your portfolio of partner states require expanded staff or could it be handled within existing company resources?

Sagitec's technical platform is a low code/no code application platform which greatly reduces the need for a huge contingent of developers and other technical staff. We deploy dedicated senior subject matter experts and architects to each client implementation and use a national partner to augment each client team for more rudimentary roles.

Kansas will have dedicated senior Sagitec business analysts, technical architects, project managers, subject matter experts who average 10 years of UI modernization experience.

We expect to staff our senior project staff using our existing experienced staff with UI implementation expertise. There may be a need to add additional junior level staff depending upon the implementation of some of our existing client implementations. We are well positioned to serve KDOL project needs using our existing talented staff and staff augmentation, if necessary.

In addition, we have a strategic partnership with the largest staffing firm in the country, TEKsystems. TEKsystems assists Sagitec in staffing our projects with resources such as testing analysts, data conversion analysts, interface analysts and technical analysts.

34. Where is your company headquartered and where will work on the Kansas project be performed by your company?

Sagitec is headquartered in Saint Paul, Minnesota and we have an office and data center in Topeka, Kansas. The vast majority of our work will be in Kansas with the project team members from KDOL.

In addition, we have offices in

- Oakland, California
- Sacramento, California
- Englewood, Colorado
- Tampa, Florida
- Jefferson City, Missouri
- New York, New York
- Salt Lake City, Utah

35. Who would train KDOL staff and other Kansas stakeholders in using your product?

Sagitec provides robust training and knowledge transfer materials and services to fill the knowledge gap between the old and the new systems, allowing users to hit the ground running at system go-live, confident in their ability to navigate and process work with your modernized UI solution. Our Training Plan is comprehensive. The plan addresses KDOL required deliverables and includes but is not limited to training/knowledge transfer goals and standards, schedules, distinct training environments, course modules tailored for diverse populations, tools and documentation, training courses and documents, glossary of terms, training surveys & evaluation/ assessments. Sagitec's training approach is similar to the ADDIE (Analyze, Design, Develop, Implement, and Evaluate) approach, and is proven successful across multiple implementations. High-level Sagitec training phases include:

Planning (Analyze) Phase - Training planning establishes the comprehensive UI Training Plan, which serves as the overall blueprint for the design, development, execution, and assessment of the entire training program. During this phase, we create the curricula, communication, and knowledge transfer activities required to promote user adoption.

Design Phase - In training design, we create templates to be used for training materials, create outlines and storyboards, instructor-led modules (and eLearning, if applicable), and plan for implementation and evaluation. All courses are designed to be role-based and modular, so participants receive training pertinent to their job responsibilities.

Development Phase - The training development phase is the longest phase of the process. During this phase, Sagitec creates custom Instructional Design toolkits (ID toolkits), which are a living document and a source of truth that our trainers update throughout the project life cycle of the project. From the ID toolkits, Sagitec can leverage the information from one toolkit to many different training deliverables, such as handbooks, online help, videos, and eLearning simulations.

Implementation Phase - In the training delivery phase, Sagitec trainers will arrive onsite to deliver training to KDOL trainers on system functionality, as well as general training techniques so that your trainers can successfully conduct training for the remaining KDOL selected staff.

Evaluation Phase - In training evaluation, we assess the effectiveness of the training by observing user adoption and other metrics identified during the training planning.

Our general approach to training uses an explain-demonstrate-practice methodology. We introduce learners to new concepts—the building blocks (i.e., foundation) of new knowledge. Next, through demonstrations, we reveal how those concepts were implemented within the system's design. Finally, we give learners the opportunity to "touch and feel" the new system and to practice what they have learned. We turn users loose in a sandbox environment where they can explore, discover, make mistakes, and "go rogue" without repercussions. To assist users, the Neosurance™ solution has a robust help function that is detailed and easy to use. All our learning activities are strategically designed to increase user confidence and encourage buy-in for the new system.

Sagitec's approach to learning design draws upon our understanding of how adults learn best, and we embed key principles of adult learning theory into course design to allow for effective knowledge transfer. Recognizing that adults have individual learning styles and varied needs, we provide a blended learning solution, combining multiple delivery methods and instructional strategies in our curricula.

In addition to the Train-the-trainer training, Sagitec will create training videos for key Self-Service functionality for claimants, employers and third-party agents. KDOL will be able to publish links to these videos in their agency website, landing page of the modernized UI system or in other channels such as YouTube.

36. What do you anticipate to be the greatest challenges with implementing your product in Kansas and how do you plan to address those challenges?

We have faced many challenges with our 17 years of developing and implementing public sector solutions. We have learned many lessons that have led us to continuously improve our solutions and processes. Some of the key challenges and lessons learned from our 37 public sector projects include those described in the following pages. We have also developed recommendations for our clients to help them avoid the pitfalls others have encountered before them. Those recommendations are also included.

Challenge 1: Lack of Rigorous Organizational Change Management.

Every public sector project we implement represents a transformational change to the agency and stakeholders involved. Characteristics that make this type of change transformational include but are not limited to the following:

- Tight coordination between application design and testing activities and OCM activities
- A clear understanding of Implementation Methodology to convey OCM milestones
- Close coordination with application security role configuration and OCM end-user roles
- Fundamental changes to technology and business processes

- Communicating design enhancements impacting the claimant, employer, agent, medical provider, and staff service portals via OCM milestones
- Shifts in "unspoken" organization culture and values
- Broad impact on job roles and responsibilities, and required skills and abilities
- New language, terms, concepts, and subject matter to learn

In addition to the transformational nature of the change, a new technical solution will affect all agency stakeholders, both internal and external, in different ways and at different times. Each of the complex projects we have implemented, Sagitec has provided lessons that help us understand what to do – and what not to do – for a smooth and successful transition to a new system, the size and scope of KDOL's modernized UI system.

Lessons Learned:

We have learned the need to collaborate with clients to create a cohesive, joint approach to OCM for a seamless implementation. We design and follow a strategic, consistent change management approach to help people make a successful transition to the future state.

We have learned that certain factors are particularly critical for success. The following table describes those critical success factors and the key activities Sagitec incorporates into our organizational change management approach to achieve success.

Key Organizational Change Management Challenges and Success Factors		
Area	**Key Activities**	**Critical Success Factors**
System Adoption	Build competency of program sponsor and other critical staff and stakeholders to lead the successful transition.	Confirm that Leadership Team is moving toward the same goals, projecting united front while asking for and acting on feedback from all stakeholders.
Organization Redesign	Analyze and redesign agency structures (e.g., processes and organization) as needed for greater efficiency and effectiveness after implementation of the new system; at minimum, job roles and responsibilities will need updating.	To achieve success in an increasingly dynamic future, organizations must adjust their structures to keep up with changes to their business, new leadership strategies, and a more fluid employee base.
Change Management Training	Provide additional training for staff on successful change management, including Self-Management Through Transition.	Increasingly, supervisors and staff must learn to manage their reactions to change while supporting each other to become more adaptable as they identify and act on opportunities.
Communication Support	Equip State/Agency leadership and leverage existing processes and channels to communicate successfully with program stakeholders and support implementation.	Communicate key messages often, in line with the system development lifecycle, and using a variety of methods.

Table: OCM Challenges and Critical Success Factors

Challenge 2: Data Conversion

Based on experience, we have encountered and overcome multiple challenges during data conversion. Challenges of data conversion include the following: missing data, duplicate records, conflicting data from multiple systems, no entries for required fields, different definitions of fields between systems, changes in data elements meaning over time, legacy data in wrong format, maintaining data synchronization, short timeframes, large data volumes, overwhelming data cleanup requirements, extensive system downtime for conversions activities.

Lessons Learned:

Based on the lessons we have learned from multiple data conversions for our clients, Sagitec's well-established and repeatable process to migrating data from legacy systems to new systems has been refined to incorporate the following attributes for project success:

- **Establish a collaborative approach.** Developing a collaborative relationship with the project's PMO and stakeholders is critically important and enables us to quickly validate and confirm unique needs and data concerns regarding source system data. Collaboration helps us expedite a clean conversion and protect the integrity of KDOL's data. Collaborative conversion planning with the agency PMO that includes State stakeholders to provide an effective, real-world plan.
- **Plan meticulously and begin conversion activities early in the project.** To set the stage for success, we initiate data conversion activities with meticulous planning at the start of the project. Developing the conversion plan collaboratively with the KDOL team results in a plan that incorporates real-world strategies and constraints.
- **Develop detailed data maps and conversion rules.** Study the legacy system data closely and verify assumptions.
- **Use automated ETL/conversion tools** that have been demonstrated in multiple comparable implementations to be reliable and effective.
- **Conduct multiple mock conversions** early in the project to enable preemptive incident correction. Conducting mock conversions early in the project results in more thoroughly tested conversion routines and more accurately converted data.
- **Conduct thorough, iterative testing** to identify and address incidents early, minimizing the number of manual conversions and iterations of data extraction runs. Run detailed reconciliation reports at each stage of the conversion process.
- **Optimize User Acceptance Testing (UAT**) by using converted data to further validate data accuracy before a public agency system goes live.
- **Use automation wherever possible and appropriate.** Automated conversion tools optimize the conversion process, minimize manual data entry, promote accuracy, and support the integrity of the implementation schedule. We maximize the use of the SQL Server Integration Services (SSIS) tool throughout the data conversion process. We bring our NeoTrack™ tool for tracking and managing issues to closure.
- **Create scrubbing reports to provide a system-wide view of converted data.** These reports include a listing of invalid data elements and summary counts. We use these reports to gain a complete picture of conversion errors and to make conversion decisions with the

KDOL team. Audit converted data with reconciliation reports to confirm data is converted properly. Prioritize cleanup of most critical data first.

- **Encrypt data with sensitive attributes.** As part of our continuous focus on data security and privacy, we encrypt sensitive data (Social Security Numbers, names, etc.) in motion and at rest on all databases in each technical environment.
- **Design and build conversion processes and use tools to maximize reuse and repeatability.** Conversion tools and processes should be as transferable as possible across multiple data sources, and the conversion process for each data source should provide support for updates, refreshes, and/or reconversion of data if needed.

Our team employs these strategies to overcome data conversion challenges, enabling the conversion to succeed and the project to progress on schedule. We also have created a chart of critical success factors that impact successful data conversion, described in the following table:

Critical Success Factors for Data Conversion	
Critical Success Factor	**Impact**
Accurate identification of legacy data	Ensuring that all data sources are identified ensures efficient mapping, transformation rule development, and loading of legacy data into the target databases and will minimize analysis and rework.
Knowledgeable KDOL staff available to support conversion activities	The KDOL's team is the most knowledgeable about legacy data sources, definitions, usage, and quality. Their expertise will be critical to correct mapping to the new system databases, developing accurate transformation rules, and any data cleansing required prior to conversion execution.
Decision making authority resides within conversion team for most decisions	From the start of the conversion engagement, beginning with legacy data source identification, important decisions will need to be made regarding what data to convert into the new system, how to convert it, how far back to convert, etc. Having the **authority to make those decisions present on the team enables timely decisions to ensure the conversion effort stays on** schedule.
Close integration of the KDOL and Sagitec conversion teams during mapping, testing, and conversion	The KDOL and Sagitec teams need to establish a tight working relationship as they execute conversion activities. Doing so improves clarity in communication and ensures the teams can work effectively to resolve data issues encountered during the conversion effort.
Conduct mock conversion and reconciliation activities early and often	Early, frequent conversion and reconciliation runs allow early testing of transformation rules and scripts, which in turn allows plenty of time to identify and correct. Late discovery of issues can be challenging to resolve later in the project.
Create transparency in the status of conversion effort throughout the project	Providing full visibility into the accurate status of conversion efforts enables project leadership to manage a successful conversion effort. Sagitec reporting is designed to provide transparency across a range of metrics.

Critical Success Factors for Data Conversion	
Critical Success Factor	**Impact**
Apply the iterative principles of Sagitec's systems development methodology.	Applying the iterative principles of our overall systems development methodology to the conversion process provides continual improvement of data quality and the reduction of manual data entry as the activities progress. Having clean, tested data early in the project lifecycle also helps with Unit Acceptance Test (UAT), reducing the overhead and time required for incident correction. The earlier we correct issues, the less they affect other code, and the less they lengthen regression testing timelines.
Maintain Flexibility and be active in contingency planning	Challenges arise in any conversion efforts that have the potential to impede progress. Having flexibility in sequencing, resources, transformation approach, and other areas opens alternate paths to mitigate those challenges. Sagitec's approach to conversion incorporates active contingency planning as a way to ensure progress continues despite obstacles.

Table: Data Conversion Critical Success Factors

Challenge 3: Delivering the Solution that Matches Client Expectations

Lessons Learned

Apply the iterative and agile principles of Sagitec's systems development methodology. Our methodology incorporates lessons we have learned throughout our years of experience with projects similar to KDOL's. We have continuously improved our approach which combines best practices in Project management with an iterative, agile software development approach that allows us to confirm requirements, business rules, and functionality "early and often" throughout the Project Lifecycle. This approach shares models of the new solution to our clients early and often for confirmation that we are on track and that we meet our clients' expectations early in the project.

- Iterations each reflect a specific functional module required to meet your business needs.
- As the project advances, our delivery methodology enables us to work on multiple iterations simultaneously to expedite the delivery of the functionality of your application.
- Using this disciplined approach, we can run parallel threads that translate to a shorter implementation timeframe.
- Our approach enables us to deliver applications in small increments throughout development.
- We take an evolutionary approach to validate the effective requirements traceability, quality development, and early and continuous adoption of your system take place.
- This approach further supports controlled risk for the rapid deployment of your requirements

Expose Users to the Solution "Early and Often" throughout the Project. Sagitec leverages proven processes and integrated tools to provide a collaborative experience throughout your project. Sagitec demonstrates prototype(s) with your staff and stakeholders as early and often as possible. As a part of our Project Delivery Methodology, we incorporate formal application demonstrations:

- During Project Inception to share baseline Product application capabilities
- At the beginning and end of each Functional Iteration to validate configuration changes made during a functional iteration have been correctly applied
- During Organizational Change Management events to communicate and support project awareness
- During Product Configuration Confirmation (PCC) to confirm changes applied in design work sessions
- During UAT to reinforce functionality as needed

Our approach helps us achieve a high-quality software implementation for KDOL, without restricting the ability to target your unique requirements. This approach dramatically improves your ability to evolve your solution quickly, configure the solution to meet KDOL's specific requirements, and respond to program or policy changes continuously and rapidly as your business changes and grows.

Establish and adhere to a comprehensive Deliverables Expectation Document (DED) process. We will collaborate with the KDOL PMO to determine the final deliverables format, frequency, and content during our planning activities. The following paragraphs describe our approach to deliverable submission, review, and approvals and will be aligned with KDOL policies. Sagitec will meet the KDOL's requirements for deliverables.

In our project methodology, Deliverable Submission and Review is a two-part process. The first part is the development and approval of the Deliverable Expectation Document (DED). A DED is created based on input from the deliverable owner, contractual requirements, KDOL project standards, process standards and guidelines, and technical standards and guidelines. A draft DED includes the following:

- Standards and Guidelines: The specific items that must be included for the deliverable to be approved.
- Approach: Defines the approach for the development of the deliverable and the identification of key milestones. Key milestones may include pre-submission dates for larger deliverables.
- Deliverable Definition: Describes the content of the deliverable, identifies deliverable formats, deliverable components, and assumptions related to each deliverable.
- Format: Specifies email, document, graphics, etc.

Sagitec's DED review process allows the Sagitec and KDOL teams to confirm that we address your expectations for the deliverable before proceeding too far into deliverable development. This deliverables submission and approval process is a structured approach that includes confirming expectations for each deliverable, acceptance criteria for documentation, and test certification criteria for software. It is a part of our Quality Assurance process, which enhances our ability to meet acceptance criteria before submitting deliverables for review and approval.

Challenge 4: Coding Language Leads to Obsolescence

Lessons Learned: Use Coding Language that Helps Clients Avoid Technical Obsolescence.

The Sagitec Technical Platform is a Low-code application platform (LCAP) and is proven to be dependable and continuously adaptable to take advantage of advances in technology, thereby avoiding technical obsolescence within systems' base technology.

Summary: Based on Client Challenges and Lessons Learned from all our Projects We Have Developed Recommendations for State Workforce Agency (SWA) Project Success

From the past 17 years of working with SWAs, we have developed a set of recommendations that we suggest State Workforce Agencies (SWAs) consider as they undertake a transformative, complex, mission critical IT project. While the following list discusses many important topics, it is no way exhaustive. However, these recommendations are confirmed by more than 17 years of experience successfully implementing these types of projects.

Following are additional project implementation challenges and our recommendations to successfully avoid them.

Establish the Project as a State/Department Initiative

- Technology projects impact all divisions of a state agency. Agency Information Security professionals will need to review architecture plans and refined technical requirements. Information technology professionals will need to review technical requirements for adherence to state technical regulations and policy. Legal counsel will need to review major policy changes. Finance staff will need to make sure accounting practices are followed and that the system produces the proper financial information. Legislative affairs staff need to stay abreast of the project's progress to answer constituent questions and inform state lawmakers. This list is meant to highlight a few examples but is in no way comprehensive. If the project is viewed as a "division initiative," the work can become "siloed," and decisions can be made without being fully informed. Often this results in major changes and reworks late in the project, which negatively impacts the project schedule.
- We recommend assigning resources from across the organization to the project on day one and viewing the project as an agency-wide initiative. This will result in project champions throughout the organization with fully informed decision-making, resulting in a higher quality outcome.

Embrace an Outcomes-Based Strategy and Clearly Set Expectations

- Clearly set expectations for system implementation, support, and operations as defined by the resultant contract. There are two overarching approaches: prescriptive and outcomes based. The prescriptive approach results in defining exactly "what" you want as well as "how" you want it done. The outcomes-based approach identifies the goals and objectives of the implemented system and requires solution providers to propose their best solution to meet your desired outcomes.

- Often a mix of both approaches yields the best result. States should explicitly document any processes, state required interfaces and interface mechanisms, required project methodologies, or anything for which you not only expect a particular outcome - but also require the bidder to accomplish the outcome in a specific way.
- Conversely, we recommend asking bidders to propose creative and innovative solutions for those items that the state has a clear expectation or explicit outcome but is agnostic on how the outcome is achieved. The proposed solution can then be evaluated for effectiveness. Further, this approach reveals the experience and maturity of the bidder and the suitability of the proposed technology.

Clarify Specifics Regarding Desired Project Methodology

- If your agency or a central state authority requires a specific project management methodology, we recommend that SWA's **describe the process and artifacts in detail to the awarded vendor.** This allows bidders to consider the process when proposing a schedule. Otherwise, consider asking bidders to propose a project methodology that you can evaluate when scoring the RFP. In many cases, the latter approach will again reveal the experience and maturity of the bidder and allow the vendor to use the approach that has been successful in the past.

Implement Rigorous Organizational Change Management

- While there are many factors important to the project's success, one of the most critical for KDOL is to be fully committed to the organizational change management (OCM) process. The success of every enterprise modernization project is dependent on the "three-legged stool": people, process, and technology. The Sagitec Neosurance™ Solution is the best technology available today. However, neglecting training or avoiding a thorough examination of current business processes will lead to a challenging project with unrealized potential regardless of the technology solution.
- Change is hard for every organization and can easily create staff consternation, resistance, and pushback. This is rarely malicious and is often a natural reaction to the discomfort posed by change. These reactions can be mitigated by transparent communication and clear expectations for staff and stakeholders. Paramount to the project's success is support and buy-in throughout all levels of the organization, starting from the very top. Management must be dedicated to seeing the project through to completion while being careful to solicit and act upon feedback from line staff. Everyone impacted by the project must have a voice throughout all phases of the project.

Establish a Dedicated Project Team

- Subject Matter Experts assigned to modernization projects tend to, and should, be the most experienced and knowledgeable within the organization. If complications arise or workloads increase with existing day-to-day work, it can be tempting to pull these project resources "temporarily" to assist less experienced staff. Invariably this leads to an unmanageable workload for the individuals as they try to juggle operational work and project tasks and leads to project delays as deadlines slip. Not all project roles will require a full-time commitment. For full-time project roles, we recommend having those resources fully dedicated to project work.

- We recommend that SWAs provide the size and makeup of the proposed state project team. This information enables bidders to resource allocate and level their project plan, resulting in much more accurate proposed schedules. The other option here is to ask the bidder to identify the level of resources that will be needed from the state to successfully complete the project. This, again, will result in more accurate proposed schedules.

Empower Subject Matter Experts

- The modernization process presents many opportunities for improvement and to reimagine long-standing approaches to work processes and workflow. Many of these processes evolved organically over time as a response to challenges with technology. With these limitations eliminated, your agency can modify work processes to be most efficient with higher quality outcomes. However, there is an understandable tendency for senior management to want to review decisions that may result in a business process change regardless of impact. This leads to a bottleneck and has an exponentially negative impact on the project schedule.
- We recommend empowering your subject matter experts to make difficult decisions, confirming their authority to others. Often, these changes are the result of intense discussion and collaboration within the project team and have already undergone rigorous review by your most knowledgeable staff. There will be a subset of decisions that need review by senior management or counsel. We recommend making the subset of those decisions clear to project resources and establishing an escalation process for timely decision making.

Carefully Manage Partner Relationships throughout the Project

- We recommend engaging partners early and continuously. Emphasis should be placed on the need for their involvement and the risks to their business processes posed by an interruption of data. Complex, mission-critical projects must consider, interface and exchange data with other state agencies and partners.
- Many of these partners may not view their involvement in the project as a priority as it will not be perceived to be directly related to their core mission. However, these interfaces and the data being exchanged are often just as mission-critical to partners as they are to KDOL. Without their active participation, project timelines will slip, and the risk of interface defects impacting both state and partner business processes will increase.

Clearly Define Requirements, including Systems and Interfaces that are Required

- Any requirements definition already completed should be provided to the awarded vendor - including functional, non-functional (technical), and general requirements. Further, consider delineating system performance expectations as either service levels or expressed as quality attributes. Consider including a full list of ancillary systems requiring an interface or exchanging data with the proposed solution. The list should include both the current and desired interface mechanism.

Determine a Maintenance, Support, and Operations Strategy as Part of the State's Overarching IT Strategy

- System implementation is not the end – but instead, it is the end of the beginning. Thought should be given to how the state desires to maintain, support, and operate the system from day one. Options include state-supported, vendor-supported, and hybrids of both. When choosing your strategy, it is important to consider your agency's strategic plan – and by extension, your IT strategic plan.
- Sagitec recommends solutions that offer comprehensive features that combines the following for a single support and pricing structure: Cloud Hosting, Operations and Support, COTS Solution Maintenance, COTS Solution Upgrades. There is no "right" or "wrong" answer. Each approach has advantages with inherent risks that must be mitigated. State agency decisions should be informed by how the agency envisions IT can best support the goals and objectives of the agency's strategic plan both now and into the future.

Sagitec will work with KDOL and discuss how we can best structure the project and collaborate to avoid these challenged and ultimately, achieve your desired results.

Other

37. Please clarify if you offer contracts for product purchasing, product licensing, or both. If both, please clarify the amount of time required for the cost difference between licensing a purchasing to break even.

Sagitec offers contracts for product purchasing and product licensing for all Sagitec products (Ex: Sagitec Technical Platform, Neosurance™, Neofraud, Sagitec Analyst Studio – S3) with the exception of the Sagitec Mobile Application Subscriptions and Sagitec Live Chat and/or Chatbot service subscriptions. The Sagitec Mobile Application and the Chat services are offered only as subscription services and are not offered for purchase. Therefore, the cost difference between licensing and purchasing breakeven is not applicable.

38. Please specify any current or previous (within the past 5 years) relationship you have had with the Kansas Department of Labor or other Kansas state agencies. How successful do you consider that partnership to be?

Sagitec has worked with the Kansas Public Employees Retirement System (KPERS) since 2004. The partnership has been highly successful. We collaborated to implement their pension solution in two phases over 24 months, beginning in 2004. Since then, we successfully collaborated to integrate with the Statewide SAP financial solution, updated the user experience for members and employers, re-engineered employer reporting processes, and implemented significant plan/policy changes. We are proud of the relationships and results we have achieved over the last 17 years with KPERS.

"Over the years, Sagitec has been a wonderful technology partner for KPERS, and our new member app project is no exception. They have been unfailingly responsive to our needs and ideas. The experience, skill, and professionalism they bring to the table have made our vision a reality. Our staff and KPERS employers are excited to see the impact the new hire app can have on millennials, meeting them where they are, with the technology they use every day, to help them get a solid start toward retirement readiness." – Kristen Basso, Communications Officer, KPERS

TCS Response
Kansas Department of Labor
Unemployment Insurance System

UI Modernization Council Follow Up Questions for KDOL UI Modernization Bidders

Bid Event Number: EVT0007951, RFP No: RFX0001764

October 13th, 2021

CONFIDENTIALITY STATEMENT

The data contained herein shall not be disclosed, duplicated, or used in whole or in part for any purpose other than to evaluate the proposal, provided that if a contract is awarded to this offer as a result of, or in connection with, the submission of these data, the propose shall have the right to duplicate, use or disclose the data to the extent provided in the agreement. This restriction shall not limit the right to use information contained in the data if it is obtained from another source without restriction.

TATA CODE OF CONDUCT

We, in our dealings, are self-regulated by a code of conduct as enshrined in the 'TATA Code of Conduct'. We request your support in helping us adhere to the code in letter and spirit. We request that any violation or potential violation of the code by any person be promptly brought to the notice of the Local Ethics Counsellor or the Principal Ethics Counsellor or the CEO of TCS. All communication received in this regard will be treated and kept as confidential.

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1. Company Unemployment Insurance System Implementation History

Q1. Please specify each state in which you (or any subsidiary or acquired company) have contracted to perform work implementing an unemployment compensation system. For each state, please specify whether the system was implemented on time and within budget. Please note any states where the product was ultimately not implemented. For each state, please specify the date when the contract was initially entered into and the go-live dates for both tax and benefits programs, if applicable. If implementation is in progress, please state the anticipated go-live date.

TCS Response:

Current In Production Customers

State	Initial Contract Date	Go Live Date	On-Time and On Budget	Other Details
Mississippi	Sep, 2004	Tax: January, 2007, Benefits March, 2009	Yes	After the initial implementation, TCS has delivered iterative upgrades and enhancements since the initial production implementation. Specifically, added additional capabilities to the tax system in 2013, and enhanced the benefits system in two phases, in May 2016 and Jun 2017 including migrating to a cloud platform. The tax system was multi-tenant, cloud enabled in August 2017. In addition to routine maintenance and operations, TCS most recently implemented the pandemic UI programs in 2020.
Maine	Apr, 2013	Benefits (2 Phases in September 2017); Tax in November, 2018	Yes	In addition to routine maintenance and operations, TCS most recently implemented the pandemic UI programs in 2020.
Missouri	Dec, 2012	November 2016	Yes	In addition to routine maintenance and operations, TCS most recently implemented the pandemic UI programs in 2020.
Wyoming	Jan, 2017	Benefits June 2018, Tax May 2019	Yes	The completed implementation was 30 months. For the UI tax system, the implementation was completed one month ahead of schedule. In addition to routine maintenance and operations, TCS most recently implemented the pandemic UI programs in 2020
Connecticut PUA	Mar, 2020	April, 2020	Yes	The system utilized the TCS UI 4.0 platform and was implemented into production in 5 weeks.

Current In Progress Implementations

State	Initial Contract Date	Planned Go Live Date	On-Time and On Budget	Other Details
Connecticut	Apr, 2018	Benefits and tax July 2022	Yes	The actual start date for the implementation was October 2018.

				Please note. The original implementation date was June 2021. Based upon the COVID-19 pandemic and the focus on current operations, the state and TCS agreed to extend the go-live date.
New York	May, 2019	Benefits and Tax December, 2022	Yes	

Other State Experience (Not current Engagements)

State	Initial Contract Date	Go Live Date	On-Time and On Budget	Other Details
New Mexico	May, 2001	Nov, 2002	No	TCS provided implementation services for a UI Benefits solution. The contract was completed, and then a new set of competitive procurements were initiated to include a new tax system and upgraded benefits solution to integrate with the Tax system.
Nebraska	Aug, 2004	July, 2007	Yes	TCS provided implementation services for a UI Benefits solution. The contract was completed, and then a new set of competitive procurements were initiated to include a new tax system and upgraded benefits solution to integrate with the Tax system.

While we strive to maintain ongoing, long standing relationships with all our clients, there are times when our clients decide to move in a different direction that may not include TCS. In those instances, we work with our partners to ensure a graceful exit so that they have the best opportunity to succeed in their new path.

Q2. Have any of your implementations had delays to original implementation schedules. If yes, please provide relevant details.

TCS Response:

TCS has not experienced any project schedule delays due to missed deliverables or other delivery issues. There have been instances where extenuating circumstances have dictated a realigned schedule. In Connecticut, the impacts of the COVID-19 pandemic caused an overall extension of the project plan by 13 months, to July 2022.

Q3. How long have you (or any subsidiary or acquired company) offered UI systems? Please specify the earliest date you (or any subsidiary or acquired company) had a tax and benefits product go live in a state.

TCS Response:

TCS has been involved in developing Unemployment Insurance Solutions for over twenty years. The Mississippi system was the first complete TCS production implementation for both benefits and tax in 2009. Mississippi is still a flagship customer for TCS today.

Q4. Please describe improvements to your system from your earliest product implementations to your most recent product implementations and specify any further improvements you are proposing for Kansas. Please specify which states you consider to be your earliest product implementations and your most recent implementations.

TCS Response:

The TCS UI 4.0 Platform has evolved and continues to evolve with technological advancements and as the needs and outcomes of the UI program dictate.

Technology Transformation In Action

The first major technology transformation of our platform was conducted in 2016, which involved the incorporation of cloud technologies, which provided the ability to host our system on major cloud providers (e.g., Amazon Web Services, Microsoft Azure, and Google Cloud) to take advantage of the capacity and extensibility capabilities that the cloud offers. Shortly afterwards, TCS created a mobile application for claimants, to provide greater self-service capabilities. Similarly, we have created a self-service application for employers.

Over the past 18 months, TCS has continued to evolve our platform by adding other technology innovations, including the use of virtual agents, chatbots, integration with contact center technologies like AWS connect, and the use of robotics and artificial intelligence (AI) to automate routine processes for better customer service and improved agency efficiency. We have also invested in analytics capabilities to help combat fraud and abuse. Using our proven platforms for fraud prevention and detection in the financial services industry, TCS created our Advanced Fraud Analytics platform to increase UI agency capabilities for reducing the risk of fraudulent activities.

Additionally, TCS has evolved our platform and can utilize no-code / low-code interfaces such as the Salesforce technology platform. This capability embraces the increased usage of such platforms to contribute to lower overall maintenance and an increased user and customer experience.

Going forward, TCS will continue to expand our use of robotics, AI, and advanced analytics to increase our technology capabilities in support of improved operational efficiency and customer service. Further, TCS plans to continue to upgrade our user experience layers to increase the ease of use within our platform for customers and agency workers. Lastly, we have been increasing our focus on the integration of re-employment capabilities within our solutions and expect to continue to build functionality that will provide an integrated re-employment focus within the management of an Unemployment Insurance solution.

Functional / Business Transformation

Over years, the solution has been enhanced to implement new UI programs such as pandemic related programs during the pandemic, emergency programs during the recession in last decade. We also enhanced our solution to provide configurability for more functions such as scheduler for appeals cases as well as nonmonetary cases.

The solution had multiple interfaces implemented for various states as each state had some state specific interfaces and it has helped to make the solution more comprehensive.

The solution also has been enhanced to implement multi-lingual correspondence focusing on providing equitable access to wider group of customers.

The solution has been always updated to align to the industry trends. It has been recently upgraded with features such as chatbot, analytical dashboards and new user experience. The chatbot function not only provides answers to frequently asked questions, but also provides updates to the claimant based on status of their claim, issue, and payment processing.

Q5. What is the most challenging system implementation you have had in the past seven years and how would you expect Kansas to compare to that implementation, considering the age and status of Kansas's current system?

TCS Response:

The implementation for the State of Missouri might have been the most challenging implementation TCS encountered. The legacy Missouri UI system was almost 48 years old and the existing state staff had limited knowledge of the data organization in the legacy system and hence segregating the data logically between benefits and employers was a challenge. As a result, we mutually agreed to perform a big bang approach model for both benefits and tax. This was the first TCS implementation of a UI solution in a big bang implementation approach. With meticulous planning and multiple dry runs in the planning helped TCS and Missouri in successful execution of this program.

Based on the experience of earlier implementation replacing very old existing system similar in age and status of Kansas's current system, we expect to keep a focus on migration of data starting with data mapping early in the project phases and determine any data issues using data profiling and multiple planned dry runs. We also expect early planning and finalization of for any data bridging requirements to provide sufficient time for project teams to develop and test the data bridges.

Q6. Have you ever been subject to a lawsuit by any of your client states or by any participants within the UI system in any of your client states? If so, please specify the state and the status of the litigation.

TCS Response:

TCS has not been subject to any legal proceedings for the UI systems in our client states.

Q7. What are you doing to connect the unemployment system administrators in the various states where you have a product in place?

TCS Response:

As part of our established governance, TCS executives connect with the unemployment system administrators on a regular basis. During these meetings, the focus is on reviewing past performance and discussing future transformation initiatives. Our project teams are closely coordinated to help share ideas, enhancements, components, and framework upgrades.

TCS is also an active participant in the Innovate UI initiative being led by the ITSC. Innovate UI is a consortium formed with the states that are currently using or in an implementation using the UI system based on the transfer base system developed for Mississippi.

Lastly the TCS UI Center of Excellence (COE) also regularly shares point of view (POV) documents on topical issues and share learnings from all States across the states we support.

2. Product Details

Q8. Please identify any third-party identity verification vendors your product interfaces with currently or can interface with.

TCS Response:

The TCS UI 4.0 Platform is an open, flexible, and modern platform that provides states like Kansas with the flexibility to implement a variety of tools to help create a secure experience for users. TCS has implemented our platform with multiple identity verification vendors, including ID.me and LexisNexis. The platform architecture and integration capabilities allow us to interface with any third-party identity verification vendor that KDOL may select.

Additionally, the TCS UI 4.0 platform includes capabilities to increase identity proofing, details of which can be provided in a more private setting due to the sensitive nature of this topic.

Q9. Has your unemployment compensation product integrated with workforce services systems? If so, please provide specific state examples. If not, please provide information on the ability of your system to integrate with workforce services systems.

TCS Response:

The TCS UI 4.0 Platform has been integrated with workforce systems based upon an individual state's requirements. For example, We integrated the UI solution with an in-house, custom developed solution called MS Works for State of Mississippi , and have integrated with Americas Job Link Alliance for the State of Maine.

TCS understands the significance of this integration and will work with the State of Kansas to create an effective functional and technical interface with the Kansas Works system and the My Reemployment Plan, so as to maximize the re-employment opportunities.

TCS has also included a workforce subsystem as part of the expanded TCS UI 4.0 platform. The workforce system could be configured and customized for use within the State of Kansas, if required. This workforce system can help state workforce agency to intelligently align and recommend relevant jobs to the unemployed claimants from the list of available jobs. The matching and recommendations are created based upon a claimants' cognitive profile consisting of insights on their core motivations, working and learning style along with their workplace values. This cognitive profile is created based on a simple one-minute assessment which is unbiased and gender neutral. Unlike usual HR Tech products or services, TCS workforce is holistic and built on an overarching framework. It compliments & easily integrates without disrupting the existing technology eco-system.

a. Is your product able to interface with America's Job Link Alliance for workforce services (AJLA is the platform used to support KansasWorks.com)?

TCS Response:

Yes, the TCS UI 4.0 Platform is able to integrate with America's Job Link Alliance for workforce services, TCS has already implemented this integration for the State of Maine.

Q10. How many steps/clicks is required within your system for a claimant to reach a live representative or schedule a live call back?

TCS Response:

The TCS UI 4.0 Platform is configurable based upon the needs of an individual state. Ideally, the implementation should provide a one-click access to either reach a representative, schedule a call back, or engage a pre-configured chat bot to help answer questions (which then can at any time switch to a live chat). Assuming this is the goal within the State of Kansas, TCS will configure our customer experience user interface to integrate with the existing AWS contact center solution at Kansas (or any other platform) with this objective in mind.

Q11. Does your system offer a chatbot support tool?

TCS Response:

The TCS UI 4.0 Platform is pre-configured with chatbot capabilities, which we have implemented in multiple states. For the State of Kansas, we anticipate integrating with the chat infrastructure currently implemented at Kansas, unless a different or new experience is required.

Our chatbot is designed to assist claimants with questions on Unemployment FAQs, and can be provisioned in multiple languages as well.

In addition to assisting claimants with FAQs that you may have seen in our demonstration video, our chatbot also provides contextualized information for each claimant's unique situation by identifying where they are with their UI claims process and what are the next steps for the claimant to follow in plain, "Non-UI" language. These intelligent services are made available to claimants via chatbot, voice bot / IVR bot and mobile application.

Q12. Where is the data hosted in your product? Has your product had any data breaches? Has any cloud hosting service used by your product had any data breaches? Please provide further information for any breaches.

TCS Response:

TCS relies on partnerships with leading cloud providers such as Amazon Web Services (AWS), Google and Microsoft Azure to provide secure cloud hosted services that meet the requirements of FedRAMP certification. The TCS UI 4.0 platform provides additional layers of data encryption with the FIP 140-2 compliant encryption algorithm, ensuring the data is always secured, state authorized personnel are the only ones who can view sensitive data, there is no scope of data breach via the cloud provider services and all sensitive data access is properly audited.

All data for Kansas will be hosted within the United States. For the Kansas implementation, TCS has proposed an implementation on AWS, which has FedRAMP certified data centers within the United States that will contain all the non-production, production, and disaster recovery environments. Both production and disaster recovery sites are geographically redundant (within the United States) to ensure contingency in the event of major disasters.

Part of our implementation and support methodology is to undergo regular security vulnerability scans for our state implementations. Our practice is to utilize these scans to proactively address any potential risk areas. There have been no data breaches reported in our UI solution implementations.

Q13. What is required to add new, additional unemployment compensation programs to your system?

TCS Response:

The TCS UI 4.0 Platform natively supports all programs required for an Unemployment Insurance agency. It supports multiple configurations which can allow adding a new program without making code changes based on the program definition.

For example, at the beginning of the COVID-19 pandemic, there were multiple Federal Unemployment Insurance programs that were created, including the Pandemic Unemployment Assistance (PUA) program. Given the configuration capabilities built into our platform, TCS implemented the PUA program, in addition to all the pandemic related UI programs, within 2 to 5 weeks for most of our customers. In addition to PUA, several other programs like Pandemic Emergency Unemployment Compensation (PEUC), Federal Pandemic Unemployment Compensation (FPUC), Mixed Earners Unemployment Compensation (MEUC), Lost Wages Assistance (LWA) under CARES Act, CAA and ARPA could be implemented through configuration changes in a matter of days. With some states having now decided to end the federal programs, TCS has been able to successfully “switch-off” the programs in a matter of days.

Q14. Is your product able to integrate with a work search requirement reporting system involving employers and state workforce services agencies?

TCS Response:

The TCS UI 4.0 Platform has the capability to integrate with external systems using various technologies. This includes integrating with reporting system involving employers and state workforce agencies.

One example to highlight is the integration of TCS UI 4.0 platform to workforce solution at one of the States. The integration provides a list of matching jobs to the claimants as they complete claim application, providing them with an option to apply for a suitable job. A revised job list is also presented to the claimants when they file their weekly certification. With this integration capability, claimants have a seamless one-stop experience for work search without having to switch between systems.

A similar integration can be implemented at Kansas to get work search records from workforce solution and use the details to create work search entry during weekly certification.

Q15. Are the reporting and workforce management tools within your system able to be used with the U.S. Department of Labor’s Resource Justification Model?

TCS Response:

Yes, the TCS UI 4.0 Platform is configured to work with the USDOL’s Resource Justification Model. We have currently implemented this in the State of Maine.

Q16. Does your system have an alternative to personal questions as a means of identity verification?

TCS Response:

The TCS UI 4.0 Platform provides a multi-factor authentication approach for identity verification so that claimants have access to multiple controls to prove valid access to the account. These controls can include access to the verified email of the account holder, phone number, app based or personal information-based verifications. More details can be provided in a more private setting to ensure these implementation details are not made public and making their way to bad actors.

Q17. Is a user notified by text or email when a change is made to their profile/account within your system?

TCS Response:

The TCS UI 4.0 Platform is pre-configured to notify a user via text or email when a change is made to their profile. These notifications are configurable and can be enabled for various events that may occur for a user. There are additional measures and checks that we have implemented to ensure protection against account takeover and malicious activities by bad actors beyond the Unemployment Insurance security requirements. TCS would be willing to discuss these specifics in a protected, private session with the State.

Q18. Does your system detect keystroke trackers?

TCS Response:

The TCS UI 4.0 platform is configured to integrate with services that provide protection against many kinds of bot activities including keystroke trackers. We have implemented these and other enhanced security features (e.g., Application Firewall Security) for our customers in Mississippi, Maine, and Connecticut.

Q19. Are client states able to create and modify custom reports within your system? Please describe the process required to do so.

TCS Response:

The TCS UI 4.0 Platform includes a comprehensive business intelligence reporting and analytics platform that is configurable, and ultimately designed to put the power of data in every user's hands. The main purpose of the Business Intelligence (BI) solution is to allow business users to obtain meaningful insights of the UI business transactional data, without the intervention of Information Technology professional to write reports.

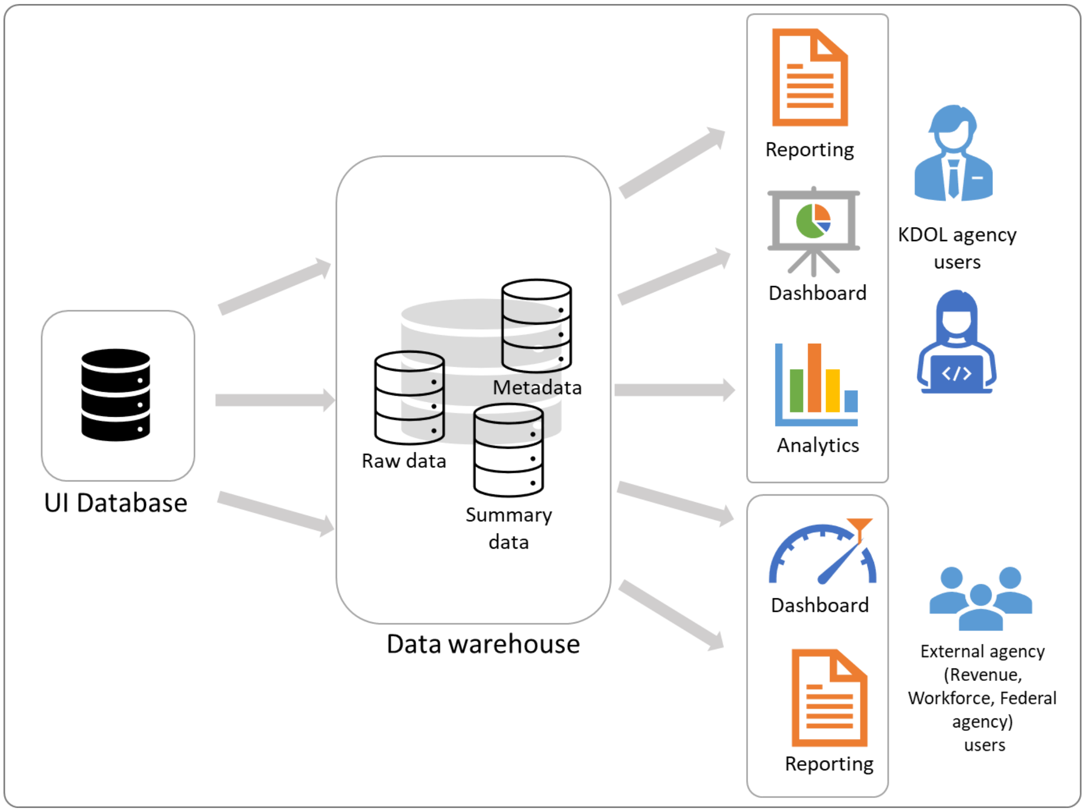

Figure 1: TCS UI Platform Business Intelligence

At the center of the BI solution is a data warehouse, which contains the business datasets modeled on the UI transactional database. The data warehouse is periodically synchronized with the transactional database (frequency of the synchronization can be configured at each dashboard / component level). From the data warehouse, a BI tool (e.g., Tableau, Cognos, or any preferred solution by Kansas) is used to generate the Analytical Reports, Dashboards, Standard and ad-hoc reports. TCS has provided within our proposal response a list of standard, pre-configured reports and dashboards included within our systems, including all required federal reporting.

While the TCS UI 4.0 Platform comes pre-configured with dashboards and reports, these can be customized and created as per the business user's needs and its access can be controlled with Role Based Access Control (RBAC). The business users can define / updated dashboard / reports using data sets available to them based on their access. TCS understands that the KDOL will need to share the UI data with various agencies periodically. For this purpose, we provide the following two approaches to our customers.

- **Secured and automated data exchange**: TCS' UI solution has a robust Integration and Interface solution which is capable of exchanging data using SFTP and Web Services. Thus, the data can be shared using this automated system with the agencies which require UI data in a standard format (CSV, Text, XML, JSON, etc.).
- **Web based data access**: We also have the capability to share data securely using our web application to the other agencies. In this approach, a user account of the designated user(s) from the requesting agency will be created in the modernized UI web application. These designated agency users will be given a role-based and restricted access only to the relevant UI data required as per data sharing agreement with the agency.

For ad-hoc reporting, users can take control of their data and reporting needs, without IT involvement, in order to meet the growing requests for reports and data from internal and external stakeholders. Whatever tool

KDOL decides to use (e.g., our proposed tool or an alternative), users will be able to access data based on their roles and access to data, and will be able to develop reports and dashboard using simple drag and drop options. The following screen shot illustrates this capability as an example of what a user could be able to accomplish by writing their own report.

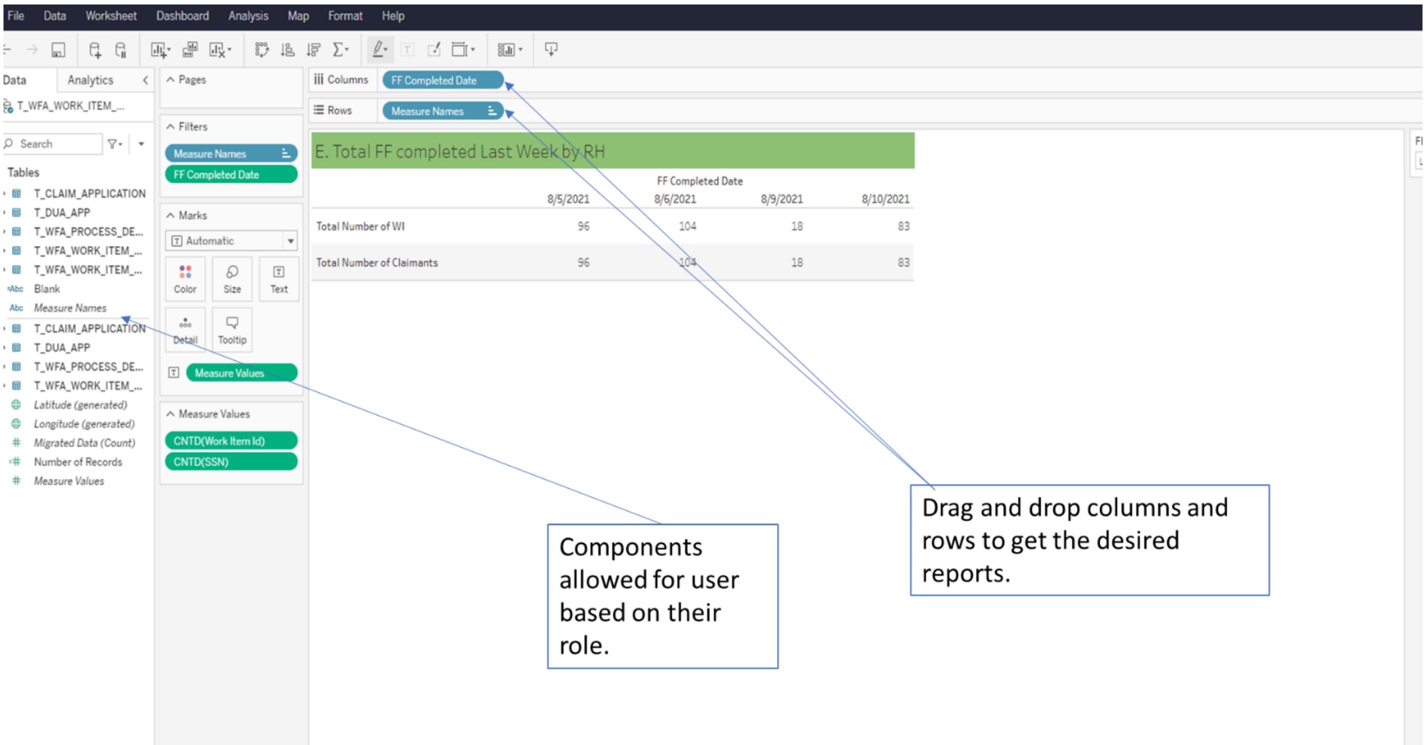

Figure 2: Ad-hoc Reporting Capability

Q20. How flexible and adaptable is your system to future legislative changes to unemployment systems (both state and federal changes) and would any required modifications to systems incur additional costs to the state?

TCS Response:

The TCS UI 4.0 Platform is designed to allow easy configuration of changes driven by federal or state law changes. This is made possible due to the modular design of the platform. During implementation phase, any federal and state law changes would go through the agreed change control process. TCS will work with the state to determine the most appropriate way to address the change. In many cases, we are able to work across our customers to achieve synergies in addressing program and platform enhancements, which reduces the cost of any future optional enhancements that might be additional to our scope of services.

Post implementation, any configurable changes will be handled as part of our maintenance and support activities by TCS. As for new, additional programs that may be required in the future due to federal or state laws, TCS will configure and implement such programs through our support and maintenance agreement.

Q21. What is the capacity of your product to handle in terms numbers of claimants, employers, and KDOL staff?

TCS Response:

The TCS UI 4.0 Platform is architected as a cloud-based, highly scalable product that is designed to handle infinite capacity. The architecture has the ability to automatically scale up and down to leverage the power of a cloud services architecture to maintain an excellent user experience regardless of usage. The following are some of the statistics for increase in volumes that our solutions were able to scale up during the COVID-19 pandemic.

Citizens Served	Initial Claims Processed	Weekly Certs Processed	Benefits Amount Paid
849,000	2.77 Million	12.3 Million	$11.81 Billion
800 % Increase	1,300 % Increase	1,600 % Increase	4,000 % Increase

Q22. What is the timeline for upgrades or obsolescence of your product/system?

TCS Response:

The TCS UI 4.0 Platform is something we call “forever modern”. By utilizing common products within our platform, KDOL will be able to stay current with technology, perpetually innovate, and take advantage of future technology trends without having to replace a full system.

Periodically, as part of our maintenance and operations service, TCS performs routine maintenance (e.g., software, server patching) on components of the production system, so as to avoid any production issues due to technology. Additionally, our product owners will review the objectives and outcomes of the program together with KDOL, and continue to evaluate any necessary changes that may need to be accounted for. The TCS UI 4.0 Platform is a living, extensible system that will continue to evolve as you do. Historically, we have shown through our other customers that we continually evolve the platform, driven by requirements, needs, and outcomes. We have been ensuring this with our other states who are live in production, and have been able to bring in and share upgrades done in one state with others promoting reuse and cost sharing.

Q23. How frequently is your product updated and upgraded?

TCS Response:

The TCS UI 4.0 Platform is updated and upgraded regularly—and routine upgrades are reviewed and planned on a quarterly basis. As part of our service delivery for the State of Kansas, TCS will jointly define a roadmap with you to define an industry best practice strategy for an updated, current system. This roadmap will then drive updates and upgrades. TCS has evolved our platform, and has increased the usage of cloud services in order to minimize the need for manual upgrades and prolong the overall extensibility and livelihood of the platform.

In general, each software component used is always kept at the current version minus 1, so as to be current without undue risk. These upgrades are identified and rolled out based on the plan. Additionally, the architecture is based on cloud services, this minimizes the need for manual upgrades and ensures the system is current with the technology and service standpoint and has prolonged life.

3. Product Performance through Pandemic

Q24. Please specify the timeframe for the implementation of your PUA program in spring of 2020, including the first date claimants were able to file claims and the first date payments were made to PUA claimants.

TCS Response:

As and when the UIPLs for Pandemic related programs were released, TCS UI Center of Excellence (CoE) team reviewed the law, analyzed the impact and recommended changes required in the UI solution. Following are the timelines for different states were these suggestions reviewed, incorporated and rolled out for the constituents.

State	PUA Implementation	PUA Payments
Mississippi	Mississippi started implementation of PUA program from first week of April-2020 and implemented changes in two weeks.	Mississippi started taking PUA application in by 18th April 2020 and started PUA payments from 24th April 2020.
Maine	The Analysis and development took 2 weeks and was completed by end of April-2020.	First Date on which Claimants was able to File Application: 1st May 2020 and First Claimant payment was done on 6th May 2020.
Wyoming	5 Weeks timeframe for implementation of PUA. Started by 29th March 2020 and was live on 7th May 2020.	First date claim filed on 7th May 2020, first payment made on 10th May 2020.
Missouri	Implementation timeframe of 4 weeks.	Claimants started filing PUA claim on 18th Apr 2020 and first payment date 22nd April 2020.
Connecticut	State was not live with the TCS solution at the time of pandemic. TCS worked with Connecticut to setup a standalone PUA system interfacing with their legacy system. The work on the standalone started from end of march-2020 and implemented in 5 weeks including setting up of a new production environment in the cloud, and changes required for the pandemic on the state side.	The PUA applications were started on 7th May 2020 and payments processed from 8th May 2020.

Q25. For each state in which you operated a benefits system in 2020 or 2021, please provide information on the amount of fraud experienced by each state, including separate information for the pandemic-specific programs.

TCS Response:

TCS is not authorized to communicate statistics on behalf of our customers on issues related to their programs, including fraud. We can confirm that during the pandemic, TCS continues to provide active support to maintain and enhance each production system to continuously reduce the risk of fraud. Due to the sensitive subject matter, the actions and methods we use to address fraud can be discussed in a private session.

Q26. Please provide information on the wait time for claimants to receive payment in states serviced by your benefit programs in 2020 and 2021 for all unemployment compensation programs.

TCS Response:

In the states our system is live in production, more than 87% of the claimants were paid timely (less than 2 weeks) during 2020 and 2021, which meets or exceeds the current USDOL standard.

Additional checks and balances were added for fraud prevention and detection activities. Suspicious claimants had to go through ID verification process. Apart from this, there was no specific wait time from product/system perspective.

Q27. Please identify the two states served by your product/system that had the most challenges with fraud during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.

TCS Response:

During the pandemic, TCS worked with all of our states to implement and enhance measures to address fraud related issues. Some of the key steps taken to prevent and detect fraud are listed below:

- Implemented dynamic fraud detection rule engine, Suspicious claimants accounts were identified, verified/reviewed, and acted upon to prevent fraud.
- Specifically in Maine, TCS implemented an interface to import fraud records reported by individuals and employers. These records were processed as per business rules and requirements for fraud prevention and detection.
- 2-day discovery process – Data extract of claims filed within last 2 days with exhaustive parameters related to fraud prevention and detection is being shared with staff for review and to act upon. Suspicious claimants who escaped automated fraud prevention checks will be caught by this process.
- Upgraded IDH version to IDV. Information received from IDV were used in fraud detection rule engine and fraud prevention and detection as per business rules and requirements.
- Implemented interface with ID.me to verify claimant’s identity. ID.me is one of the verification methods along with manual ID upload.
- While performing certain critical activities verification points and notification were introduced.
- Implemented masking functionality which allows removing fraudulent activities from legitimate claimant’s account whose account was taken over (ATO) by fraudsters.

Q28. Please identify the two states served by your product/system that had the most challenges with timely payments to eligible and entitled claimants during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.

TCS Response:

In the state of Mississippi, when the PUA program was rolled out, initial approach was for claimants to upload their identity proof through self-service. State staff would review the identity proofs against the claimant details and approve the claim. Due to the high volumes, the manual approval process caused delay in payments for some claimants. TCS implemented Robotics Process Automation (RPA) to automate the verification of claim details to expedite the approval process, reduce the burden on staff resources, and increase the ability to make timely payments.

Additionally in Mississippi, TCS implemented an interface with ID.me to expedite the identity verification process which eventually reduced wait time for UI payments. Lastly, TCS implemented additional dashboards to identify claimants who are waiting for first payment due to outstanding non-monetary investigation and adjudication. Investigation and adjudication were expedited by referring to this dashboard which ultimately reduced wait time for UI payments.

In the state of Maine, claimants would have to call the contact center in order to reset their log in passwords—this was one of the legacy policies to help combat fraud in the state. In a “normal” environment, this policy was not a burden on the call center. However, with the onset of the pandemic and the exponential spike in users, TCS and the state identified that implementing a self-service password reset option as a way to reduce burden on call center staff. By utilizing our data analytics and fraud prevention capabilities, we were able to securely implement this feature and free up agency call center resources to serve claimants requiring call center support.

Q29. Please respond to and address any negative media coverage your product/system has received in any states throughout the pandemic, either for fraud or for difficulty in making timely payments to eligible and entitled claimants.

TCS Response:

Although there has been some press coverage about the State of Maine and its Unemployment Insurance program, the agency remains a strong customer reference for TCS. While we believe that the Kansas Department of Labor has spoken with the State of Maine through the procurement process, we would be happy to organize a call between the State of Maine and Kansas for you to directly ask any additional follow up questions about our partnership and our performance

Q30. If a state using your product/system was early to identify fraud during the pandemic, were you able to use that early identification to effectively protect your other client states from expansive fraud? If not, please explain the reason you were unable to do so.

TCS Response:

TCS has implemented a process to share improvement initiatives and other enhancements amongst the states being supported by TCS. This includes sharing of ideas and solutions for fraud prevention within the states. The following are some of the key illustrations:

- There was a component created for identification of fraud using patterns and business rules. Such rules were shared and used within all states.
- There were solutions related to interfaces such as IDH or integration with third party verification using ID.me were also jointly discussed and solutions shared with all states.
- Details of suspicious or confirmed fraud information repositories were shared by all states.

4. Kansas Implementation

Q31. Please clarify whether you or the State of Kansas would own any computer code for your product and any data within the system. For both code and data, please state whether the State would own any in the event your company goes out of business or the contractual relationship between you and the state terminates.

TCS Response:

The State of Kansas would own the application code and intellectual property as it relates to the UI solution proposed to Kansas. Similarly, all of the data within the system is owned by the State of Kansas.

Although not distinctly part of the original RFP, TCS did propose an optional solution for advanced fraud analytics and citizen sentiment analysis. For this particular product, TCS would provide the State of Kansas with a license for this software, but the State would still own the data.

Q32. Would you have an in-person presence in Kansas for the project team or would work be done remotely?

TCS Response:

All work will be performed in the United States, TCS identified key personnel for the project, all of whom will be working from Kansas. Additionally, other resources may selectively travel to Kansas on an as-needed basis, or will work remotely from our delivery center in Milford, Ohio.

As part of our proposal and commitment to Kansas, TCS did include Veracity Consulting, Inc. a local, certified woman-owned small business based in Overland Park, Kansas to be part of our implementation team as a local subcontractor.

Q33. Would the addition of Kansas to your portfolio of partner states require expanded staff or could it be handled within existing company resources?

TCS Response:

We would be honored work with you in this important transformation effort. While TCS has over 500,000 associates globally, we have over 40,000 in North America, and over 300 associates working specifically in our Unemployment Insurance practice today. We will primarily staff this project using our existing resources for key positions, and may look at an expanded team for other positions.

In addition, as mentioned in Q32, our local delivery partner, Veractity Consulting, Inc., will provide additional local resources for our delivery team.

Q34. Where is your company headquartered and where will work on the Kansas project be performed by your company?

TCS Response:

TCS's North America headquarters are in Edison, New Jersey, and in Mumbai, India globally. TCS will perform all work on this project in the United states, with a mixture of delivery taking place in both Kansas and from our delivery center in Milford, OH.

Q35. Who would train KDOL staff and other Kansas stakeholders in using your product?

TCS Response:

As defined in our proposal response TCS will be conducting “Train the trainer” sessions for KDOL staff and Kansas stakeholders. TCS proposes to identify various champions from the KDOL project team who will be involved in project execution and will have greater understanding of the solution, enabling them to conduct the training for KDOL staff and other Kansas stakeholders. In our experience, this method is the most effective manner to conduct meaningful, impactful training sessions, integrated with our overall organizational change management plan to deliver the trainings to maximize knowledge transfer and readiness. TCS will be supporting all the trainings conducted for KDOL staff and Kansas stakeholders in terms of technical support and addressing any solution related questions.

TCS is willing to and can be equipped to deliver more of the training directly and can be discussed within the context of project initiation.

Q36. What do you anticipate to be the greatest challenges with implementing your product in Kansas and how do you plan to address those challenges?

TCS Response:

A primary challenge in implementing a new system is related to organizational change management. A transformation of this scale will change how the state administers a UI program, and beyond simply implementing a new system, a comprehensive plan to address the readiness of the State, both KDOL and other stakeholders, in addition to all constituents, is critical for success. TCS’s comprehensive implementation approach includes our change management method and we will work together to manage all aspects of the change through extensive communication and governance processes.

Data migration will be a challenge that will need to be addressed. Our mature and proven data migration methodology will be instrumental in executing a successful data migration for Kansas. TCS will work with KDOL to profile various data elements and perform cleansing of them as needed. Another challenge will be to address any backlog items pending at the time of go-live if the volume of such items is large. TCS will work with KDOL to define transition planning to ensure all such items are appropriately converted into trackable work items and are allowed to be worked upon post transition to the modernized system.

While these are challenges, they are far from insurmountable. In addition to our extensive experience in modernizing UI systems and having direct experience with these data sets and technologies, TCS has been performing work of similar and greater complexity for some of the largest businesses in the world including 70% of the fortune 500. Standing behind our UI practice is the full scale and resources of TCS, including 500,000 associates worldwide that are ready to step in should additional resources or unique expertise be required.

5. Others

Q37. Please clarify if you offer contracts for product purchasing, product licensing, or both. If both, please clarify the amount of time required for the cost difference between licensing a purchasing to break even.

TCS Response:

The TCS UI 4.0 Platform is a solution based upon existing, publicly available application and solution components. As such, there is no license fee associated with the base application.

Q38. Please specify any current or previous (within the past 5 years) relationship you have had with the Kansas Department of Labor or other Kansas state agencies. How successful do you consider that partnership to be?

TCS Response:

Although TCS has deep relationships with many private sector organizations within the State of Kansas, we do not have any current or previous business relationships with the State.

About Tata Consultancy Services (TCS)

Tata Consultancy Services is a purpose-led transformation partner to many of the world's largest businesses. For more than 50 years, it has been collaborating with clients and communities to build a greater future through innovation and collective knowledge.
TCS offers an integrated portfolio of cognitive powered business, technology, and engineering services and solutions. The company's 469,000 consultants in 46 countries help empower individuals, enterprises, and societies to build on belief.

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DeAngela Burns-Wallace, Secretary

Laura Kelly, Governor

Council Follow Up Questions for KDOL UI Modernization Bidders

Company Unemployment System Implementation History

1. Please specify each state in which you (or any subsidiary or acquired company) have contracted to perform work implementing an unemployment compensation system. For each state, please specify whether the system was implemented on time and within budget. Please note any states where the product was ultimately not implemented. For each state, please specify the date when the contract was initially entered into and the go-live dates for both tax and benefits programs, if applicable. If implementation is in progress, please state the anticipated go-live date.
2. Have any of your implementations had delays to original implementation schedules. If yes, please provide relevant details.
3. How long have you (or any subsidiary or acquired company) offered UI systems? Please specify the earliest date you (or any subsidiary or acquired company) had a tax and benefits product go live in a state.
4. Please describe improvements to your system from your earliest product implementations to your most recent product implementations and specify any further improvements you are proposing for Kansas. Please specify which states you consider to be your earliest product implementations and your most recent implementations.
5. What is the most challenging system implementation you have had in the past seven years and how would you expect Kansas to compare to that implementation, considering the age and status of Kansas's current system?
6. Have you ever been subject to a lawsuit by any of your client states or by any participants within the UI system in any of your client states? If so, please specify the state and the status of the litigation.
7. What are you doing to connect the unemployment system administrators in the various states where you have a product in place?

Product Details

8. Please identify any third-party identity verification vendors your product interfaces with currently or can interface with.
9. Has your unemployment compensation product integrated with workforce services systems? If so, please provide specific state examples. If not, please provide information on the ability of your system to integrate with workforce services systems.
    a. Is your product able to interface with America's Job Link Alliance for workforce services (AJLA is the platform used to support KansasWorks.com)?
10. How many steps/clicks is required within your system for a claimant to reach a live representative or schedule a live call back?
11. Does your system offer a chatbot support tool?

12. Where is the data hosted in your product? Has your product had any data breaches? Has any cloud hosting service used by your product had any data breaches? Please provide further information for any breaches.
13. What is required to add new, additional unemployment compensation programs to your system?
14. Is your product able to integrate with a work search requirement reporting system involving employers and state workforce services agencies?
15. Are the reporting and workforce management tools within your system able to be used with the U.S. Department of Labor's Resource Justification Model?
16. Does your system have an alternative to personal questions as a means of identity verification?
17. Is a user notified by text or email when a change is made to their profile/account within your system?
18. Does your system detect keystroke trackers?
19. Are client states able to create and modify custom reports within your system? Please describe the process required to do so.
20. How flexible and adaptable is your system to future legislative changes to unemployment systems (both state and federal changes) and would any required modifications to systems incur additional costs to the state?
21. What is the capacity of your product to handle in terms numbers of claimants, employers, and KDOL staff?
22. What is the timeline for upgrades or obsolescence of your product/system?
23. How frequently is your product updated and upgraded?

Product Performance through Pandemic

24. Please specify the timeframe for the implementation of your PUA program in spring of 2020, including the first date claimants were able to file claims and the first date payments were made to PUA claimants.
25. For each state in which you operated a benefits system in 2020 or 2021, please provide information on the amount of fraud experienced by each state, including separate information for the pandemic-specific programs.
26. Please provide information on the wait time for claimants to receive payment in states serviced by your benefit programs in 2020 and 2021 for all unemployment compensation programs.
27. Please identify the two states served by your product/system that had the most challenges with fraud during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.
28. Please identify the two states served by your product/system that had the most challenges with timely payments to eligible and entitled claimants during the pandemic. Please describe how you were able to assist that state in resolving those issues and how you were able to use that experience to benefit other states using your product/system.
29. Please respond to and address any negative media coverage your product/system has received in any states throughout the pandemic, either for fraud or for difficulty in making timely payments to eligible and entitled claimants.

30. If a state using your product/system was early to identify fraud during the pandemic, were you able to use that early identification to effectively protect your other client states from expansive fraud? If not, please explain the reason you were unable to do so.

Kansas Implementation

31. Please clarify whether you or the State of Kansas would own any computer code for your product and any data within the system. For both code and data, please state whether the State would own any in the event your company goes out of business or the contractual relationship between you and the state terminates.
32. Would you have an in-person presence in Kansas for the project team or would work be done remotely?
33. Would the addition of Kansas to your portfolio of partner states require expanded staff or could it be handled within existing company resources?
34. Where is your company headquartered and where will work on the Kansas project be performed by your company?
35. Who would train KDOL staff and other Kansas stakeholders in using your product?
36. What do you anticipate to be the greatest challenges with implementing your product in Kansas and how do you plan to address those challenges?

Other

37. Please clarify if you offer contracts for product purchasing, product licensing, or both. If both, please clarify the amount of time required for the cost difference between licensing a purchasing to break even.
38. Please specify any current or previous (within the past 5 years) relationship you have had with the Kansas Department of Labor or other Kansas state agencies. How successful do you consider that partnership to be?