Texas Workforce Commission



Request for Offers

Unemployment Insurance System Replacement

RFO Number: 320-1900001

Date Issued: July 11, 2019

Anticipated Schedule of Events

July 11, 2019: Issuance of RFO

July 25, 2019: Deadline for Submission of Questions (2:00 p.m. CT)

August 14, 2019: Release of Official Responses to Questions (2:00 p.m. CT)

September 12, 2019:Deadline for Submission of Offers (2:00 p.m. CT)  
 (Late Offers will not be considered)

February 2020: Tentative Contract Award

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## Glossary of Acronyms and Terms

| **Acronym/ Term** | **Description/Definition** |
| --- | --- |
| 24/7/365 | 24 hours per day, 7 days per week, 365 days per year |
| 3PAO | Third Party Assessment Organization (for FedRAMP) |
| ACH | An automated clearing house (ACH) is an electronic funds-transfer system run by the National Automated Clearing House Association (NACHA). This payment system deals with payroll, direct deposit, tax refunds, consumer bills, tax payments and many more payment services. |
| Active2 | DOL requirement for ETA 581 reporting purposes to show Employers that have gone two (2) quarters since last paid wages but are still operating. |
| AD&M | Application Development and Maintenance (TWC IT) |
| ADA | Appeals Database Administration |
| ADC | Austin Data Center (serves as the State printing agency) |
| AES | Advanced Encryption Standard |
| ALM | Application Lifecycle Management |
| AoC | Award of Contract |
| AP | Appeals Databases |
| APAP | Appeals views on non-appeals databases |
| API | Application Programming Interface is a set of commands, functions, protocols, and objects that programmers can use to create software or interact with an external system. |
| ARRA | American Recovery and Reinvestment Act of 2009 |
| AT | Appeals Tribunal |
| ATAA | Alternative Trade Adjustment Assistance |
| ATO | Authority to Operate |
| BA | Benefits Databases |
| BABP | Benefits views on non-benefits databases |
| BAFO | Best and Final Offer |
| BAM | Benefits Accuracy Measurement |
| Big Bang | A Big Bang implementation occurs when all modules of a solution go live at the same time. The alternative approach is to adopt a phased approach where solution modules go live in a planned sequence, gradually replacing the legacy system. |
| BLS | Bureau of Labor Statistics |
| BPC | Benefit Payment Control |
| Breach | The loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access, or any similar term referring to situations where individuals gain access or potential access to personally identifiable information (PII), whether physical or electronic for an unauthorized purpose. |
| BTQ | Benefits Timeliness and Quality |
| CA | Commission Appeals |
| CAPPS | Centralized Accounting and Payroll/Personnel System (CPA System) |
| CAS | Computer Assisted Scheduler |
| CAST | Tele-Center Collection of Applications for the State of Texas |
| CC | Call Center |
| CE | Claims Examiner |
| CEC | Central Electronics Complexes |
| CFR | Code of Federal Regulations |
| Change Order | Document authorizing deliverables or work being added to or deleted from the original scope of work of a contract. |
| Change Request | A formal proposal to modify the project scope, cost and/or schedule. |
| CICS | Customer Information Control System |
| CISO | Chief Information Security Officer |
| CMS | Content Management System (currently FileNet) |
| Code-1 | Address validation software by Pitney Bowes |
| CPA | Comptroller of Public Accounts (Texas) |
| CPA firm | Certified Public Accounting firm |
| CPU | Central Processing Unit |
| Credential | A credential is the all-encompassing term used to describe any type of traditional and non-traditional award within the context of education, training, workforce, and employment development. Credentials are awarded by third-party entities, who have relevant authority to issue such credentials, after individuals demonstrate proficiency or competency in a given occupation or field. Credential awards can be earned from a variety of sources, including, but not limited to, educational institutions, industry associations, or government agencies. |
| CSE | Child Support Enforcement (Texas) |
| CSR | Customer Service Representative |
| Customer | TWC UI Customers are those who interact with the TWC UI Program including Claimants, Employers, TPAs, Accountants, Attorneys/Representatives, Other Governmental Entities, Law Enforcement, and other external parties. |
| CWC | Combined Wage Claim |
| CY | Calendar Year |
| DCI | Data Collection Instrument (DOL form) |
| DCS | Data Center Services, also known as DIR Shared Technology Services (STS), provided through the Texas Department of Information Resources (see <https://dir.texas.gov/View-About-DIR/Data-Center/Landing.aspx>).  Texas’ DCS program provides all server management functions including system administration, operating system management and patching, base security services, dedicated local area network connectivity, storage services, backup services and disaster recovery services. DIR has multi-vendor contracts in place to provide data center consolidation services for 27 state agencies designated to participate in the program. |
| DD 214 | Certificate of Release or Discharge from Active Duty Form 214 |
| DED | Deliverables Expectations Document |
| DIR | [Department of Information Resources](http://dir.texas.gov) (Texas) |
| DOL | Department of Labor |
| DPS | Department of Public Safety (Texas) |
| DR | Disaster Recovery |
| DRBCP | Disaster Recovery and Business Continuity Plan |
| DSHS | Texas Department of State Health Services |
| DUA | Disaster Unemployment Assistance |
| EAGLE | External Agency and Law Enforcement (system) |
| EB | Extended Benefits |
| EBN | Electronic Bankruptcy Notifying (system) |
| EBS | Employer Benefits Services (TWC’s employer self-service portal) |
| ECF | Electronic Court Filing (system) |
| EFT | Electronic Funds Transfer |
| EIR | Electronic Information Resources |
| EMPRESP | Employer Response |
| ET | Employment and Training (DOL) |
| ETA | Employment & Training Administration (DOL) |
| ETL | Extract, Transform, Load |
| EUC | Emergency Unemployment Compensation |
| Event | Means a suspected or attempted unauthorized access, use, disclosure, modification, loss or destruction of Confidential Information, including but not limited to Federal Tax Information (FTI), PII and Sensitive Personal Information (SPI), which has the potential for jeopardizing the confidentiality, integrity or availability of the Confidential Information, but excludes completed, unsuccessful hacking events using common tools such as PING, netstat, telnet, tracert, etc. An Event becomes a Breach when the event involves actual unauthorized access, use, disclosure, modification, loss or destruction of Confidential Information, which has the potential for jeopardizing the confidentiality, integrity or availability of the Confidential Information |
| FCCC | Federal Claims Control Center |
| FedRAMP | Federal Risk and Authorization Management Program |
| FEIN | Federal Employer Identification Number |
| FEMA | Federal Emergency Management Agency |
| FIPS | Federal Information Processing Standard |
| FTE | Full-time Equivalent |
| FTI | Federal Tax Information |
| FTP | File Transfer Protocol |
| FUTA | Federal Unemployment Tax Act |
| FY | State Fiscal Year |
| HCTC | Health Care Tax Credit |
| HHSC | Health & Human Services Commission (Texas) |
| HOCM | Hearing Officer Case Management |
| IaaS | Infrastructure as a Service (IaaS) is a service model that delivers computer infrastructure on an outsourced basis to support enterprise operations. Typically, IaaS provides hardware, storage, servers and data center space or network components; it may also include software. |
| IBIQ | The Interstate Inquiry (IBIQ) application provides for real-time transmissions of requests for information and responses to the requests. It allows a State to send inquiries concerning wage and benefit information to other States and receive a response while interviewing the claimant. It does not provide direct access to another State's files. |
| ICON | UI Interstate Connection Network |
| ID | Identification |
| IDaaS | Identity as a Service |
| IMS | Integrated Master Schedule |
| Incident | An occurrence that actually or potentially jeopardizes the confidentiality, integrity, or availability of an information system or the information the system processes, stores, or transmits or that constitutes a violation or imminent threat of violation of security policies, security procedures, or acceptable use policies. |
| Interface | A shared boundary across which two separate components of a computer system exchange information. |
| IRORA | Interstate Reciprocal Overpayment Recovery Agreement |
| IRS | Internal Revenue Service |
| IT | Information Technology |
| IT IS | Information Technology Infrastructure Services (TWC IT) |
| IV&V | Independent Verification and Validation |
| IVR | Interactive Voice Response (system) |
| JAWS | Job Access With Speech |
| JCL | Job Control Language |
| KTP | Knowledge Transfer Plan |
| LADT | Liable Agent Data Transfer |
| LAN | Local Area Network |
| LAUS | Local Area Unemployment Statistics |
| LBB | Legislative Budget Board (Texas) |
| LEP | Limited English Proficiency |
| LEU | Last Employing Unit |
| Leveraged DCS Non-SaaS solution | A vendor leverages the DCS program to host the software in a public cloud outside the DCS and provide all server management functions to support the software including system administration, operating system management and patching, base security services, dedicated network connectivity, storage services, backup services and disaster recovery services. The vendor sells a license for this solution. |
| LMCI | Labor Market and Career Information (TWC department) |
| LORRM | Local Office Record Request Management |
| LPAR | Logical Partition |
| LWDB | Local Workforce Development Board created pursuant to Texas Government Code § 2308.253 and certified by the Governor pursuant to Texas Government Code § 2308.261. There are twenty-eight (28) Local Workforce Development Boards in Texas. |
| M&O | Maintenance and Operations |
| Material System Defect | Functionality that does not conform to the approved detailed design documentation or does not meet established TWC performance standards |
| MMP | Monthly minimum payment |
| MOTS | Modifiable Off-The-Shelf is a software solution that can be configured, modified, and customized after being purchased from the software vendor. MOTS is a software delivery concept that enables simple or complex configuration as well as source code or programmatic customization of a standard prepackaged, market-available software solution to meet business objectives. |
| MR | Motion for Rehearing |
| MSDES | Military State Data Exchange System |
| MSU | Million Service Unit |
| NACES | National Association of Credential Evaluation Services, <http://www.naces.org> |
| NAICS | North American Industry Classification System |
| NDNH | National Directory of New Hires |
| NIST | National Institute of Standards and Technology |
| Non-SaaS Solution | A vendor offers to host the software and provide all server management functions to support the software including system administration, operating system management and patching, base security services, dedicated network connectivity, storage services, backup services and disaster recovery services. The vendor sells a license to the state agency for this solution. |
| NSF | Nonsufficient Funds |
| OAG | Office of Attorney General (Texas) |
| OCM | Organizational Change Management |
| OCR | Optical Character Recognition |
| OCSE | Office of Child Support Enforcement (Federal) |
| ODBC | Open Database Connectivity |
| OGC | Office of General Counsel |
| OIG | Office of Inspector General (DOL) |
| OP | Overpayment |
| OPACS | Overpayment Accounting System |
| PaaS | Platform as a Service (PaaS) is a cloud computing service model, along with Software as a Service (SaaS) and Infrastructure as a Service (IaaS). It provides end users with the hardware, operating systems, storage or network capacity they need over the cloud to be able to run existing applications or develop new ones. |
| PACER | Public Access to Case Electronic Records |
| PEO | Professional Employer Organization |
| PII | Personally Identifiable Information (PII) is any data that could potentially identify a specific individual. Any information that can be used to distinguish one person from another. |
| PIN | Personal Identification Number |
| PMI | Project Management Institute |
| PMO | Project Management Office (TWC) |
| PMP | Project Management Professional |
| PO | Purchase Order |
| POA | Power of Attorney |
| POC | Proof of Claim |
| QA | Quality Assurance |
| QCEW | Quarterly Census of Employment and Wages |
| QSAM | Queued Sequential Access Method |
| RA | Reviewing Attorney |
| RACM | Reviewing Attorney Case Management |
| RAM | Random Access Memory |
| RAR | Readiness Assessment Report (for FedRAMP) |
| RESEA | Reemployment Services and Eligibility Assessments (DOL program focusing on reemployment of UI Claimants) |
| REST | Representational State Transfer |
| RFO | Request for Offers |
| RID | Regulatory Integrity Division (TWC) |
| RMC | Records Management Center (TWC) |
| RREM | Rapid Reemployment Model |
| RTAA | Reemployment Trade Adjustment Assistance |
| RTM | Revenue and Trust Management |
| S/S/H | Saturdays/Sundays/Holidays when Agency is closed |
| SaaS | Software as a Service (SaaS) is a software delivery model in which the state agency purchases use of the software solution by subscription rather than a license. The subscription cost covers installation, hosting, upgrades, growth, disaster recovery, and maintenance. The solution is accessed by users using a thin client via a web browser, runs on infrastructure that may or may not be shared with other vendor customers, has no license or maintenance fee, and storage and compute is covered by the subscription or SaaS charge. The state agency does not manage, purchase, lease, or control the underlying cloud infrastructure including network, servers, operating systems, storage, or even individual application capabilities, except for limited user-specific application configuration settings. |
| SAVE | Systematic Alien Verification for Entitlements Program administered by the U.S. Citizenship and Immigration Services, a component of the Department of Homeland Security |
| SCM | Software Configuration Management |
| SDDS | State Unemployment Tax Act Dumping Detection Software |
| SDLC | System Development Life Cycle |
| SDNH | State Directory of New Hires |
| Service Delivery Solutions | For purposes of this RFO and ease of understanding, this term refers to any of these solution types: IaaS, PaaS, SaaS, non-SaaS, Leveraged DCS non-SaaS, and DCS offerings. |
| SFTP | Secure File Transfer Protocol |
| SH | Special Hearings (TWC) |
| SHA | Secure Hash Algorithm |
| SID | The State Identification (SID) inquiry provides for immediate identification of the state(s) with wage information on file for a specific SSN. |
| SIDES | State Information Data Exchange System. An electronic method of exchanging information and documentation. There is a similar method of data exchange called SIDES E-Response. |
| SLA | Service Level Agreement |
| SME | Subject Matter Expert (Business and/or Technical) |
| SOAP | Standard Object Access Protocol |
| SPI | Sensitive Personal Information |
| SQL | Structured Query Language |
| SSA | Social Security Administration |
| SSN | Social Security Number |
| SSO | Single Sign On |
| STC | Short Term Compensation (also known as Shared Work) |
| STS | Shared Technology Services, provided through the Texas Department of Information Resources (see <https://dirsharedservices.service-now.com/dir>) |
| SUTA | State Unemployment Tax Act |
| TATX | Tax views on non-tax databases |
| TDCJ | Texas Department of Criminal Justice |
| TEGL | Training and Employment Guidance Letter (DOL) |
| TIN | Taxpayer Identification Numbers |
| TLS | Transport Layer Security |
| TOP | Treasury Offset Program |
| TPA | Third Party Administrator |
| TPDF | Texas Project Delivery Framework |
| TPS | Tax Performance System Program |
| TRA | Trade Readjustment Allowance |
| TRX | Extended Trade Readjustment Allowance |
| TUCA | Texas Unemployment Compensation Act (<https://twc.texas.gov/agency/twc-primary-enabling-state-statutes#tuca)> |
| TWC | Texas Workforce Commission |
| TWC Data | All data entered in to the Awarded Vendor-supplied solution, either by Texas Claimants, Employers, TPAs, TWC Staff, local users, or other State of Texas staff is the property of the Texas Workforce Commission. |
| TWIST | The Workforce Information System of Texas. The current legacy system is scheduled to be modernized within the next 6 years from the posting date of this RFO. |
| U.S.C. | United States Code (also USC) |
| UAT | User Acceptance Testing |
| UBS | Unemployment Benefits Services (TWC’s claimant self-service portal) |
| UC | Unemployment Compensation |
| UCFE | Unemployment Compensation for Federal Employees |
| UCX | Unemployment Compensation for Ex-Service Members |
| UI | Unemployment Insurance |
| UI Auto-Registration | If a UI Claimant fails to register in the Labor Exchange system within seven (7) calendar days of filing an Initial Claim, TWC systems automatically register Claimant in the Labor Exchange system from the information provided during the UI Benefits Initial Claim filing process |
| UIEV | Unemployment Insurance Employment Verification |
| UIO&CS | UI Operations and Customer Service |
| UIPL | Unemployment Insurance Program Letter (DOL) |
| UIQ | The Unemployment Insurance Query (UIQ) provides State Unemployment Insurance agencies real-time online access to SSA data. This includes SSN verification and Title II benefit payment data via the Department of Labor (DOL) ICON Hub. |
| URL | Universal Resource Locator |
| USAS | Uniform Statewide Accounting System |
| Use Case | A Use Case is a list of actions or event steps, typically defining the interactions between a role (known in the Unified Modeling Language as an actor) and a system, to achieve a goal. The actor can be a human or other external system. |
| USPS | United States Postal Service |
| UTR | Unemployment Tax Registration (online system) |
| UTS | Unemployment Tax Services |
| VoIP | Voice over Internet Protocol |
| VPAT | Voluntary Product Accessibility Template |
| VSAM | Virtual Storage Access Method |
| WBS | Work Breakdown Structure |
| WCAG | Web Content Accessibility Guidelines |
| WIC | Withdrawal Initial Claim |
| WIT | [WorkInTexas.com](http://www.workintexas.com) (Internet self-service job matching system). The current system is being replaced by Geographic Solutions Virtual OneStop® (VOS) system which should be live by July 2019. |
| WOTC | Work Opportunity Tax Credit |
| WRAPS | Workforce, Reporting, Accounting, and Purchasing System, is TWC’s accounting system |

# Background

## 1.1 Purpose of this RFO

The Texas Workforce Commission (TWC) seeks to acquire a Modifiable Off-The-Shelf (MOTS) technology solution to replace its existing Unemployment Insurance (UI) System including Benefits, Appeals, and Tax applications, to include services to implement the MOTS, make essential modifications required for Texas, migrate relevant data, and provide a shared maintenance and operations (M&O) solution after the MOTS is put into production. Shared M&O means the Awarded Vendor will provide an M&O Plan listing all roles and responsibilities required for M&O, including the forty-eight (48) full-time equivalent (FTE) positions now in TWC Information Technology (IT) division who support the current UI system, plus additional technical staff provided by the Awarded Vendor to augment the existing staff to adequately maintain and operate the MOTS, its environments, and data once placed into production.

## 1.2 The Federal/State UI Program

The mission of TWC is to promote and support a workforce system that creates value and offers employers, individuals, and communities the opportunity to achieve and sustain economic prosperity.

The major functions of TWC include developing the workforce, providing support services including child care for targeted populations participating in workforce training and adult education and literacy services, providing services for people with disabilities to obtain training and employment, and administering the unemployment compensation programs.

America’s unemployment compensation program originated in 1935 as part of the Social Security Act. Its objectives are to help unemployed workers get through temporary, involuntary unemployment and to support the business community in anticipation of economic downturn. In Texas, TWC strengthens the state economy by providing the workforce development component of the Governor’s economic development strategy.

Federal and State governments have a shared responsibility for administering the program in all fifty (50) states, District of Columbia, Puerto Rico, and Virgin Islands. Each state legislates its own tax structure, qualifying requirements, benefit levels and disqualification provisions. However, State law must conform to federal requirements. The U.S. Department of Labor (DOL) ensures that state laws meet all requirements for approval.

Therefore, any MOTS selected by TWC must meet Federal requirements and allow modifications specific to Texas.

## 1.3 TWC’s Current UI System

TWC originally built the UI tax, benefits, and appeals systems in the 1980s/1990s and has been adding functionality for over thirty-five (35) years. These systems are built on outdated and obsolete technology that has grown organically over several decades, but no longer possess the necessary performance or agility to adapt and evolve to the fast-paced changes required to support a modern workforce of over thirteen (13) million. As a result, TWC’s systems cover today’s basic needs; but workarounds, including manual databases, spreadsheets, tickler lists, and desk procedures, have been put in place to keep up with changes. After years of postponing essential modernization due to tight budgets and competing priorities, imminent upgrades are needed to support the agency’s mission.

The following are examples of challenges with the current legacy systems:

1. Problematic to enhance or modify the existing system, and system maintenance requires extensive programming to incorporate changes and requires multiple days to update and refresh data;
2. Significant parts of the system’s processing are performed in batch mode overnight, lessening responsiveness and timeliness to customers;
3. Offers minimum self-service functionality;
4. Not customer-centric;
5. Has issues with meeting all the accessibility requirements;
6. Does not allow agency to use cross-matching systems such as the Systematic Alien Verification for Entitlements (SAVE) and Social Security Administration (SSA) in real-time, a requirement that is becoming mandatory;
7. Does not embrace business intelligence (e.g., flow of screens based on previous answers, making determinations, etc.);
8. Availability of and access to data for reporting and historical purposes is limited;
9. Applications have been continually updated because of mandated legislative and DOL changes, which has made the system difficult to maintain from a programming perspective;
10. Applications require a significant amount of specialized knowledge to use, which increases the time it takes to train new employees and attain proficiency (e.g., extensive codes, batch types, Customer Information Control System (CICS) “green screens,” number of screens required to perform a transaction, etc.);
11. Cost of maintaining the applications is extremely high due to the complexity of the data structures and code constructs;
12. Paper-intensive;
13. Minimal automated workflow; and
14. Redundant processes and data entry.

Declining federal funds for the administration of the UI program presents a challenge to the State of Texas to do more with less and creates the opportunity to maximize services and technology to address operational inefficiencies. Therefore, TWC is seeking a fixed-price MOTS hosted solution that solves the business and technical problems described herein and that satisfies the system and business requirements of the agency. A modern UI system is vital to the agency’s future success and represents a critical step in delivering UI services to customers with an overarching objective of getting Texans back to work as quickly and efficiently as possible.

The goals of the UI System Replacement Project (“the Project”) include the ability to:

* Improve customer service and quality;
* Reduce costs;
* Eliminate manual, error-prone, labor-intensive processes;
* Increase data accuracy;
* Improve security and privacy;
* Enhance system usability including accessibility;
* Seamlessly integrate with other internal/external IT assets;
* Easily and securely share data;
* Improve access to historical data and generate reports;
* Reduce maintenance and support time and costs; and
* Incorporate technical standards (e.g., software development standards, database standards, and user interface standards) and modern technologies.

## 1.4 Summary of Requested Services

TWC desires to procure a fixed-price MOTS hosted solution that is customizable to meet the needs of Texans. This solution will replace the non-integrated systems currently supporting the UI program with a single, modern, integrated, web-based solution. The solution selected to replace the UI legacy systems will be implemented during State Fiscal Years (FY) 2020 through FY 2024.

TWC seeks a qualified Offeror with verifiable, successful experience implementing at least one (1) UI replacement system that replaces mainframe and web applications.

The scope of work includes implementation of MOTS application(s) to replace mainframe and web-based UI applications while continuing to provide all functionality currently available in the TWC UI systems; replacement of the mainframe with a cloud-based or on-premise solution; mapping and migration of existing data including active and archived; replacement of all existing reports; replacement of all interfaces; shared responsibility with TWC for organizational change management (OCM); ability for TWC to use cross-matching systems such as the Systematic Alien Verification for Entitlements (SAVE) and SSA in real time; and an M&O plan of shared responsibility between the Awarded Vendor and TWC IT UI Systems ongoing support of the replacement UI system and transitional support of the legacy system. The Awarded Vendor will be responsible for delivering an M&O Plan, see [Task 14](#_2.2.14_Required_DeliverableTask), complete with a full listing of tasks, roles, responsibilities, skills, and number of staff required to sustain the adopted system, including:

* Intake of modification requests from business areas;
* Analysis and estimation of modification requests;
* Creation/maintenance of development, test, and production environments;
* Build management;
* Delivery of regularly scheduled releases;
* Configuration management;
* A full array of systems engineering including business requirements, design, development of modifications, systems testing, user acceptance testing, load and stress testing, deployment readiness, deployment; and
* Post-deployment support.

“Shared” responsibility means the Awarded Vendor’s M&O Plan must include the forty-eight (48) FTE positions now in TWC IT division who support the current UI system, plus additional technical staff provided by the Awarded Vendor to augment the forty-eight (48) FTEs to adequately maintain and operate the MOTS as described in the preceding bullets.

Migration of non-UI system applications is outside the scope of this effort, but planning must be aligned with TWC’s other migrations off the mainframes.

### 1.4.1 Solution Key Functions

The Awarded Vendor will implement a UI System Replacement solution that must provide the following key functions for TWC:

1. Extensive self-service options for customers;
2. Basic and enhanced customer support, such as the use of text messages and a secure customer portal;
3. Automate manual, paper-based processes to increase workflow efficiencies, reduce operational costs, and enhance data integrity;
4. Enhance TWC’s UI program integrity with capabilities to improve prevention, detection and recovery of UI improper payments;
5. Enhance Data Privacy and Cyber Security, further defined in [Section 1.4.3](file:///\\actdc101p.rtdcx101p.twc.state.tx.us\Root\USERS\baichje1\0%20UI%20&amp;%20RID%20Modernization\ITSC%20Review\01_UI%20System%20Replacement%20RFO%202019-0326%20OGC%20comments%20addressed_Combined_Final_DraftV2.docx#_1.1.3_Data_Privacy) and Attachment 5;
6. Integrated workflow for assigning, managing, monitoring, and approving work;
7. Integration with other systems (e.g., WorkInTexas (WIT), SSA, Internal Revenue Service (IRS), National Directory of New Hires (NDNH), State Information Data Exchange System (SIDES), etc.) and the TWC data warehouse;
8. Automated data population, cascade data between input screens, and drop-down menus to improve productivity and reduce data entry errors;
9. Improved secure electronic communication within TWC as well as among TWC’s customers and approved third-parties;
10. Timely access to information necessary for performance measurement and quality management;
11. Immediate access to data and customizable dashboards to support decision-making;
12. A unified case management system, with workflow that interfaces with or is integrated with UI data, to store claims, determinations, claimant and employer data, benefit overpayment information, and appeals information;
13. A scalable platform with a flexible architecture based on common technical standards to support process improvements and system integration requirements;
14. Meets Texas state and federal requirements (such as the Texas Unemployment Compensation Act (TUCA) (<https://twc.texas.gov/agency/twc-primary-enabling-state-statutes#tuca)>) and can easily adapt to future changes;
15. Internal and external communications with modern features (e.g., personalized broadcasts and mass mailings);
16. Accessible system, must meet Electronic Information Resources (EIR) accessibility requirements as defined in [Section 6.9](file:///\\actdc101p.rtdcx101p.twc.state.tx.us\Root\USERS\baichje1\0%20UI%20&amp;%20RID%20Modernization\ITSC%20Review\01_UI%20System%20Replacement%20RFO%202019-0326%20OGC%20comments%20addressed_Combined_Final_DraftV2.docx#_6.9_Electronic_Information), that provides a user experience with intuitive and easy to use features;
17. Optimized for mobile devices (either through responsive design or mobile applications);
18. Can be maintained and enhanced easily by the state or any third-party vendor; and
19. Reporting capabilities to produce reports for DOL, TWC, Employers, Claimants, and Staff.

### 1.4.2 Basic Tenets

The Awarded Vendor will implement their solution in a manner that conforms with the following tenets:

1. Build a solution that minimizes vendor dependency and promotes Texas independence in using, maintaining and enhancing the system;
2. Leverage Exportable Code[[1]](#footnote-1) products and methods where appropriate to reduce risk and lower both short- and long-term costs;
3. Configure and develop a core solution that can be easily extended to additional states;
4. Build a solution that allows Staff to make changes through configuration – from the parameter to component level – with minimal IT or vendor assistance;
5. Create a sustainable and extensible platform that promotes reusability, product innovation, and scalability by using innovative concepts provided in a manner that is Training and Employment Guidance Letter (TEGL) 31-04 (<https://wdr.doleta.gov/directives/attach/TEGL31-04.pdf>) compliant and suitable to a government setting with funding constraints; and
6. Follow an industry accepted software engineering methodology, or a hybrid methodology based on industry accepted methodologies and proven best practices, from requirements gathering through deployment to production and during warranty period.

### 1.4.3 Data Privacy and Cyber Security

The proposed solution must comply with TWC’s requirement that all data remain in the United States and meet stringent **Data Privacy and Cyber Security** requirements. These include, but are not limited to:

1. Ensuring solutions that include in whole or in part cloud-based services are hosted by a Cloud Service Provider that has attained Federal Risk and Authorization Management Program ([FedRAMP](https://www.fedramp.gov/)) (Moderate) Authority to Operate (ATO) or will have attained FedRAMP (Moderate) ATO prior to Award Date;
2. Ensuring cloud-based solutions are located within the United States and all access and support of the solution is performed from the United States;
3. Ensuring software, data and services are isolated within the cloud environment so that other cloud customers sharing physical or virtual space cannot access other customer data or applications;
4. Providing a complete listing of all data centers within the cloud environment where this solution will operate;
5. Ensuring data in transit and at rest is encrypted using FIPS 140-2 compliant algorithms and modules;
6. Ensuring any storage devices used in the solution are securely sanitized and/or destroyed prior to disposal using methods acceptable by [NSA/CSS](https://www.nsa.gov/resources/everyone/media-destruction/);
7. Conducting an annual assessment of the security controls in place on all information systems used in the solution;
8. Incorporating multi-factor authentication for access to the cloud solution from the internet;
9. Ensuring, if using Network Edge Managed Services, that the National Institute of Standards and Technology (NIST)/ISO/IEC 27018:2014 certification has been achieved for the specific services being added to the portfolio;
10. Ensuring the protection of TWC confidential information, including PII and SPI from unauthorized disclosure, unauthorized access, and misuse, at a minimum in accordance with the NIST Special Publication 800-122, Guide to Protecting the Confidentiality of PII (<https://nvlpubs.nist.gov/nistpubs/legacy/sp/nistspecialpublication800-122.pdf>) through the implementation of controls such as role-based access controls, encryption at rest and in transit, etc.;
11. Providing for Security Vulnerability Assessments and Controlled Penetration testing by TWC and/or its agent as agreed to for the duration of services of the Awarded Vendor;
12. Fully cooperating with the TWC Chief Information Security Officer (CISO) and security team in the detection and remediation of any security vulnerability of the hosting infrastructure and/or the application; and
13. Providing a dedicated Hardware Security Module (HSM) appliance for encryption key management.

### 1.4.4 Hosted Environment

In the hosted environment, the Awarded Vendor will be responsible for all aspects of the system, excluding State-maintained network access. The Awarded Vendor will host the solution including data store(s), software and services, screens, reports and all other programs necessary to meet TWC’s requirements.

While hosting a solution, the Awarded Vendor must be responsible for data migration, network availability, security, operations, disaster recovery (DR), and support, and for providing network access and adequate bandwidth for file transfers, user access and data entry. The Awarded Vendor will have the option, but is not required, to leverage Texas Department of Information Resources (DIR) Data Center Services (DCS) cloud offerings. Should the Awarded Vendor provide hosting outside of DCS, award of the contract will be contingent upon DIR approval of a DCS Hosting Exemption request. TWC will have final approval of cloud hosting vendor.

The host environment must comply with the following:

1. Complete compliance with all Federal and Texas laws, statutes, regulations, policies, standards, and industry best practices;
2. All data entered in to the Awarded Vendor-supplied solution, either by Texas Claimants, Employers, Third Party Administrator (TPAs), Staff, local users, or other State of Texas Staff is the property of the Texas Workforce Commission (“TWC Data”). TWC Data may not be released to other parties, including in aggregate form, without the express written permission of TWC. At the time of termination of this Contract for any purposes, all TWC Data must be provided to TWC in an acceptable electronic form (extracted in a structured format easily importable into another data store to include all relevant models, scripts, etc.) and none of the TWC Data may remain on the Awarded Vendor’s system, after such event;
3. Data in Awarded Vendor’s custody will never be used, under any circumstances, for any purposes other than those agreed to in the contract;
4. At a minimum, 99.95% scheduled uptime, excluding planned downtime for maintenance;
5. Adequate capacity to ensure prompt response to both data inquiry/lookup and data modification transactions at all times;
6. The Awarded Vendor must provide sufficient, secure data storage to operate and support the hosted cloud solution;
7. Offered cloud solutions must provide for dynamic scaling to minimize ongoing costs through provisioning of minimal platform/infrastructure resources necessary to maintain operations during average traffic periods and have utilization triggers that will allow for automatic provisioning of additional resources during peak traffic periods and then return to the minimal resource configuration once peak traffic triggers have subsided;
8. All hardware and software components of the hosting infrastructure must be fully supported by their respective manufacturers at all times; and
9. Any scaling to handle traffic and computing surges, including cloud bursting, must continue to meet FedRAMP (Moderate) ATO.

## 1.5 Texas Data Center Services Program

In 2005, the Texas Legislature, by action of House Bill 1516, 79th Legislature (Regular Session), established the foundation of a shared technology infrastructure and directed the Texas Department of Information Resources (DIR) to coordinate a statewide program to consolidate infrastructure services. Texas Government Code, Section 2054.391 requires state agencies included in the Data Center Services (DCS) program to use such services, unless otherwise approved by the DIR Executive Director through a Data Center Services Exemption.

DIR, in its capacity as manager of the DCS program, works with agencies to promote the use of the services, and where applicable, to determine if an exemption to any component of the program is warranted.

DIR has determined that the use of SaaS as a managed service is consistent with the state strategic plan and the DCS framework. Therefore, TWC seeks vendor(s) to offer a service delivery solution that is financially viable, protects data, and is in the best interest of the State of Texas.

Offerors are invited to offer one or more of the following service delivery solutions as defined in the Glossary of this RFO:

* Software as a Service (SaaS)
* Infrastructure as a Service (IaaS)
* Platform as a Service (PaaS)
* Vendor-Hosted Non-SaaS Solution
* Leveraged DCS Non-SaaS Solution

For Offerors offering one of the above Solutions, the following are required:

* Provide a Third-Party Assessment Organization (3PAO) Readiness Assessment Report\* attesting to Fed-Ramp Ready (Moderate) status;
* Deliver services in accordance with service level agreements outlined in this RFO;
* Provide server management functions aligned with the DCS functions in Exhibit 4 of the DCS agreement; and
* A justification for using a vendor hosted solution with identified advantages and/or challenges for using TWC/State of Texas hosted solution.

\*FedRAMP (Moderate) Provisional Authority to Operate (P-ATO) through the Joint Authorization Board (JAB) or Authority to Operate (ATO) through a Federal Agency will also fulfill this requirement

Offerors may include an offer to host the application or solution in the State Consolidated Data Center (locations in Austin or San Angelo), operating on DCS infrastructure.

More details about the DCS Vendor Contracts, MSAs and SOWs may be found at: <https://dir.texas.gov/View-Contracts-And-Services/Pages/Content.aspx?id=45>

Alternatively, copies of the DCS Master Services Agreements can be obtained by contacting DIR’s Public Information Office at [PIO@dir.texas.gov](mailto:pio@dir.texas.gov).

## 1.6 Accessibility Statement

TWC is committed to making our IT systems, documents, and other EIR accessible to everyone, including people with disabilities. Every element of each IT system delivered to TWC must be fully accessible as described in [Section 6.9](#_6.9_Electronic_Information) of this document. In addition, all Project communication, notes, presentations, documentation, and other supporting materials must be fully accessible as described in Section 6.9.

## 1.7 Current Technical Environment

The current technical environment for the legacy systems are summarized below.

### 1.7.1 UI Applications

The UI system is comprised of three (3) primary functions: Tax, Benefits, and Appeals. About thirty (30) applications run on the mainframes and servers to accomplish these functions.

| **Applications** | **Where Application Runs** D=Desktop M=Mainframe S=Server | **Where Data Resides** | **Primary Interface** E=External (Outside TWC) I=Internal (Inside TWC) |
| --- | --- | --- | --- |
| **Tax** | | | |
| Tax | M (CICS and batch) | DB2, Virtual Storage Access Method (VSAM), Queued Sequential Access Method (QSAM) | I |
| Unemployment Tax Services (UTS) | S | DB2, VSAM | E |
| Unemployment Tax Registration (UTR) | S | DB2, VSAM | E |
| QuickFile/TaxWEB | M (WebSphere) and S | DB2, Client | E |
| **Benefits** | | | |
| UI Mainframe | M | DB2 | I |
| Unemployment Benefits Services (UBS) | S (JBOSS) | DB2 | E |
| Employer Benefits Services (EBS) | S (JBOSS) | DB2 | E |
| SAVE Programs | S | DB2 | I |
| Unemployment Insurance – Employment Verification (UIEV) | S | DB2 | I |
| Employer Response (EMPRESP) | S | DB2 | E |
| SIDES | S | DB2 | I |
| UI Interstate Connection Network (ICON) | M | DB2 | I |
| External Agency and Law Enforcement (EAGLE) portal | S | DB2 | E (only authorized LEOs) |
| Overpayment Accounting System (OPACS) | M | DB2, VSAM | I |
| Claimant Emailer (batch java) | S | DB2 | I |
| Employer Emailer (batch java) | S | DB2 | I |
| **Appeals** | | | |
| Appeals Tribunal (AT) Case Processor | D | DB2, FileNet | I |
| Image Filer | D | DB2, FileNet | I |
| Call Center List (CC) | D | DB2 | I |
| Local Office Record Request Management Filer (LORRM) (server) | D | DB2, FileNet | I |
| Fact Finding (server) | D | DB2, FileNet | I |
| Computer Assisted Scheduler (CAS) | D | DB2 | I |
| Case Check | D | DB2, FileNet | I |
| Case Print (server) | S | DB2, FileNet | I |
| Appeals Database Administration (ADA) | D | DB2, FileNet | I |
| Hearing Officer Case Management (HOCM) | D | DB2 | I |
| Decision Print (a.k.a. Hearing Officer Decision) | D | DB2 | I |
| Appeal Status | D | DB2 | I |
| Benefits Inquiry | D | DB2 | I |
| Appeals Data Conversion (batch job) | M | DB2, VSAM | I |
| Telephone Log | D | DB2 | I |
| Batch Print (server) | S | DB2, FileNet | I |
| Image Creation | D | DB2 | I |
| Commission Appeals (CA) Case Processor | D | DB2, FileNet | I |
| Remote Server | D | DB2 | I |
| CA Assigner | D | DB2 | I |
| Reviewing Attorney Case Management (RACM) | D | DB2 | I |
| Archive/Conversion complete job - APDB910A | M | DB2 | I |
| **Non-UI systems that use Benefits data** | | | |
| Tele-Center Collection of Applications for the State of Texas (CAST) | S | DB2, SQL Server | I |
| Interactive Voice Response (IVR) | M | DB2 | I/E |
| EAGLE | M (data only) | DB2 | E |
| Clear2There File Transfer Protocol (FTP) Jobs | M | DB2 | E |
| **Non-UI systems that use Tax data** | | | |
| Open Records | M (batch) | DB2, VSAM, QSAM | E |
| Magnetic Media | M (CICS and batch) | QSAM | I |
| Electronic Correspondence | S (part of UITAXSERV) | IBM FileNet, DB2 | E |
| Secure FTP project | M (batch), S | QSAM | E |
| EAGLE | M (data only) | DB2 | E |
| External Partner Usage Reports | M (batch) | DB2, VSAM, QSAM | E |
| Work Opportunity Tax Credit (WOTC) | M (CICS and batch) | VSAM, QSAM | E |
| **Non-UI systems** | | | |
| Labor Law (Payday) | M (batch, WebSphere) and S | DB2, QSAM | I |
| Online Wage Claim | S | DB2 | E |
| Foreign Labor Certification | M (CICS and batch) | VSAM, QSAM | I |
| Print Services Forms Control | M (CICS and batch) | VSAM, QSAM | I |
| Texas Business Conference | M (batch) | QSAM | E |
| Cash Draw Expenditure Reporting | S, M(batch) | DB2 | E |
| Office Directory (mainframe CICS) | M (CICS and batch) | VSAM, QSAM | I |

### 1.7.2 UI Mainframe

The mainframe environment includes two (2) IBM 2817 Central Electronics Complexes (CECs) running in a Sysplex:

* 2965 Model J02 (57 million service units (MSUs)) with multiple logical partitions (LPARs).
* 2965 Model R02 (140 MSUs) with multiple LPARs.

### 1.7.3 UI Servers

The server environment includes:

* A clustered environment of three (3) servers. Each server consists of six (6) central processing units (CPUs) (Intel® Xeon® CPU E5-4617 0 @ 2.90GHz x86\_64) and 32 GB RAM.
* Servers run Red Hat Enterprise Linux Server release 6.10 (Santiago).

The appeals system uses scanners: Xerox DocuMate 4799.

### 1.7.4 UI Data Repositories

The UI System depends upon two (2) primary data repositories (DB2 and VSAM), both on the mainframe. Outside of the existing explicit interfaces/data exchanges, TWC applications share data via DB2. Thus, the applications are tightly coupled through this mechanism of data sharing. For example, wage records from Tax are shared with Benefits through a view of the Tax wage table. This is a key factor in planning a phased implementation of the replacement system. See [Section 2.2.6](#_2.2.6_Required_Deliverable) for specific data migration requirements.

The information below summarizes TWC’s data repositories:

* Appeals uses DB2;
* Benefits uses DB2;
* Tax uses VSAM and DB2;
* ICON model code uses VSAM;
* TWC uses 854 views to share data between the applications, including 68 views for Appeals, 483 views for Benefits, and 303 views for Tax, details below; and
* The current UI Benefits System has approximately 4.7 million claims in DB2. These claims are primarily from the last 4 years. There are approximately 250,000 new claims added each quarter and 250,000 old claims archived each quarter.

**DB2 Database Size (Uncompressed), Table Counts, Record Counts**

| **Business Area** | **Database Size (MB)** | **Table Count** | **Record Count** |
| --- | --- | --- | --- |
| Appeals | 18,174 | 59 | 129,792,500 |
| Benefits | 265,512 | 321 | 1,091,476,685 |
| Global | 264,568 | 153 | 1,318,978,760 |
| Tax | 152,092 | 185 | 1,095,613,144 |

**VSAM Database Size (Uncompressed)**

| **Business Area** | **Database Size (MB)** |
| --- | --- |
| Tax – Active Storage | 21,840 |
| Tax – Inactive Storage | 14,929 |

**Appeals Views (APAP) on Non-Appeals Databases**

| **Business Area** | **View Count** |
| --- | --- |
| Benefits Administration | 62 |
| Employment | 2 |
| Global Data Management | 28 |
| Human Resources | 1 |
| Planning | 1 |
| Tax Administration | 3 |

**Benefits Views (BABP) on Non-Benefits Databases**

| **Business Area** | **View Count** |
| --- | --- |
| Appeals | 24 |
| Complaint Management | 3 |
| Employment | 12 |
| Global Data Management | 72 |
| Human Resources | 5 |
| Information Management | 4 |
| Individual Registration | 1 |
| Policy Administration | 1 |
| Planning | 1 |
| Tax Administration | 22 |

**Tax Views (TATX) on Non-Tax Databases**

| **Business Area** | **View Count** |
| --- | --- |
| Benefits Administration | 23 |
| Employment | 1 |
| Global Data Management | 57 |
| Human Resources | 8 |
| Information Management | 4 |
| Management Support | 3 |
| Policy Administration | 2 |
| Planning | 1 |
| Procurement Management | 1 |

**View Owners on Appeals Databases (AP)**

| **View Owner** | **View Count** |
| --- | --- |
| Benefits | 24 |
| Appeals | 61 |

**View Owners on Benefits Databases (BA)**

| **View Owner** | **View Count** |
| --- | --- |
| Appeals | 62 |
| Payday/Labor Law | 2 |
| WIT | 31 |
| Workforce UI Web Portal | 8 |
| Job Training Partnership Act (Obsolete) | 1 |
| Tax Management Information | 1 |
| Tax | 23 |
| The Workforce Information System of Texas (TWIST)/One-Stop | 4 |
| Youth Services (Obsolete) | 1 |
| Benefits | 334 |

**View Owners on Tax Databases (TA)**

| **View Owner** | **View Count** |
| --- | --- |
| Appeals | 3 |
| Benefits | 22 |
| Payday/Labor Law | 1 |
| WIT | 7 |
| Labor Statistics | 1 |
| Access/Security | 1 |
| Tax Clearinghouse (Automated Clearing House (ACH)) | 8 |
| EAGLE (External Agency) | 7 |
| Job Training Partnership Act (Obsolete) | 1 |
| Tax Management Information | 6 |
| Learner Outcome | 4 |
| TWIST/One-Stop | 3 |
| Tax | 199 |

**Benefit Claim Archive**

| **Archived Records** | **Archived Claims** | **Database Size (MB)** |
| --- | --- | --- |
| 1,328,464,255 | 6,848,681 | 478,474 |

**Tax Archive**

| **Archived Records** | **Database Size (MB)** |
| --- | --- |
| 98,111,238 | 498,601 |

**Wage Record Archive**

| **Archived Records** | **Database Size (MB)** |
| --- | --- |
| 195,654,547 | 17,805 |

The Offeror should include a fifteen percent (15%) per year growth factor when sizing storage.

### 1.7.5 UI Interfaces

The UI System currently includes ~224 interfaces of varying frequency and the number may increase by the start of this Project:

* Tax application: ~126 interfaces.
* Benefits application: ~95 interfaces.
* Appeals application: 3 interfaces.

See [Attachment 7](#_Attachment_7_–) – UI Interface Summary for more details.

## 1.8 Current Metrics

The following tables contain UI and RID operational metrics for CY 2014 – 2017. These volumes fluctuate depending on unemployment claim rates, recessions, disasters, new business registrations and other UI demands. To estimate peak levels for when such events will happen, Offerors should factor in a 500% increase above current annual levels.

**UI Summary**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Year** | **Claims Filed** | **Payment Requests** | **Weeks Compensated** | **Tele-Center Calls** | **# of Determinations Issued** | **# of AT Level Appeals** | **# of CA Level Appeals** |
| 2017 | 934,683 | 8,020,130 | 6,552,732 | 2,222,716 | 1,860,807 | 127,078 | 14,799 |
| 2016 | 941,277 | 9,562,448 | 7,847,514 | 2,427,508 | 1,960,529 | 110,950 | 15,823 |
| 2015 | 979,726 | 8,807,504 | 7,433,680 | 2,389,917 | 1,913,690 | 108,776 | 16,183 |
| 2014 | 894,527 | 7,843,669 | 6,503,535 | 2,693,390 | 1,810,764 | 112,982 | 17,182 |

**UI Accounts**

|  |  |  |
| --- | --- | --- |
|  | **Total Active Employer Accounts** | **Total Inactive Employer Accounts** |
| As of July 31, 2018 | 540,926 | 381,631 |

**UI Correspondence**

|  |  |  |  |
| --- | --- | --- | --- |
| **Year** | **Electronic Correspondence** | **Paper Correspondence** | **SIDES** |
| 2017 | 5,087,946 | 10,387,009 | 582,346 |
| 2016 | 4,137,355 | 11,746,223 | 246,540 |

**UI Initial and Additional Claims Filed**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Year** | **New Intrastate** | **Workshare** | **Additional** | **Transitional** | **Interstate Agent** | **Interstate Liable** | **State Totals** |
| 2017 | 678,641 | 5,320 | 155,393 | 41,351 | 25,701 | 28,277 | 934,683 |
| 2016 | 661,678 | 10,843 | 157,231 | 47,309 | 27,722 | 36,494 | 941,277 |
| 2015 | 703,092 | 10,967 | 155,426 | 42,372 | 30,185 | 37,684 | 979,726 |
| 2014 | 629,866 | 5,813 | 143,173 | 49,924 | 32,494 | 33,257 | 894,527 |

Note: In 2016, 52% of claims were filed through the Web interface, 48% on the phone, and a small percentage through other methods (e.g. mass claims)

**UI Payment Requests**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Year** | **Intrastate** | **Workshare** | **Interstate Liable** | **State Totals** |
| 2017 | 7,289,371 | 52,299 | 333,399 | 8,020,130 |
| 2016 | 8,601,924 | 111,539 | 466,323 | 9,179,786 |
| 2015 | 8,091,324 | 87,489 | 454,998 | 8,633,811 |
| 2014 | 7,231,337 | 47,894 | 383,777 | 7,663,008 |

Note: In 2016, 64% of payment requests were received through the Web interface, 35% through the   
IVR system, and 1% on paper.

**UI Payments**

| **Year** | **Weeks Compensated** | **State UI Payments** | **First Payments** | **Final Payments** | **Average Weekly Payment** | **Average Actual Duration (Weeks)** |
| --- | --- | --- | --- | --- | --- | --- |
| 2017 | 6,552,732 | $2,513,878,637 | 431,975 | 186,660 | $383.64 | 15.17 |
| 2016 | 7,847,514 | $3,056,483,117 | 470,065 | 227,137 | $389.48 | 16.69 |
| 2015 | 7,433,680 | $2,758,702,683 | 482,925 | 200,362 | $371.11 | 15.39 |
| 2014 | 6,503,535 | $2,211,879,391 | 408,789 | 194,815 | $340.10 | 15.91 |

**UI Call Center (CC)**

|  |  |  |
| --- | --- | --- |
| **Year** | **Claims Call (Average Time in mm:ss)** | **Inquiry Call  (Average Time in mm:ss)** |
| 2017 | 14:41 | 9:27 |
| 2016 | 14:08 | 8:57 |

**Appeals and Commission Appeals (CA)**

| **Year** | **AT Appeals Filed** | **CA Appeals Filed** | **AT Hearings Held** | **CA Hearings Held** | **AT Decisions** | **CA Decisions** |
| --- | --- | --- | --- | --- | --- | --- |
| 2017 | 127,078 | 14,799 | 124,150 | 553 | 113,453 | 14,604 |
| 2016 | 110,950 | 15,823 | 119,192 | 535 | 107,975 | 15,816 |
| 2015 | 108,776 | 16,183 | 116,598 | 559 | 103,897 | 16,551 |
| 2014 | 112,982 | 17,182 | 127,488 | 689 | 112,385 | 17,753 |

**Benefit Payment Control (BPC) Investigations**

**Correspondence**

|  |  |  |  |
| --- | --- | --- | --- |
| **Year** | **Claimant Contact Request Letters (CCR)** | **Employer Earnings Verification (EV) Forms/Letters** | |
| **Sent** | **Returned** |
| 2017 | 34,323 | 327,315 | 136,050 |
| 2016 | 42,039 | 319,390 | 148,057 |
| 2015 | 49,494 | 304,312 | 148,172 |
| 2014 | 73,221 | 121,840 | 84,547 |

Note: These Correspondence volumes are included in the UI Correspondence table above.

**Cross-Match Hits**

|  |  |  |  |
| --- | --- | --- | --- |
| **Year** | **New Hire** | **Wage Benefit** | **Incarceration** |
| 2017 | 85,712 | 531,098 | 10,249 |
| 2016 | 94,947 | 599,671 | 8,898 |
| 2015 | 89,206 | 598,710 | 6,212 |
| 2014 | 96,712 | 106,448 | 3,249 |

**Investigations Completed (Employment & Training Administration (ETA) 227 Report)**

|  |  |
| --- | --- |
| **Year** | **Cases  (Fraud & Non-Fraud)** |
| 2017 | 117,875 |
| 2016 | 134,576 |
| 2015 | 128,039 |
| 2014 | 147,370 |

**BPC Collections**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Year** | **Collectable Accounts** | **Overpayment Installment Agreement Notices Issued** | **Statement of Overpaid Unemployment Benefit Account Notices Issued** | **Treasury Offset Notices Issued** |
| 2017 | 547,179 | 61,470 | 211,331 | 16,217 |
| 2016 | 538,903 | 62,003 | 209,975 | 100,175 |
| 2015 | 558,704 | 67,566 | 242,360 | N/A |
| 2014 | 559,133 | 79,847 | 263,281 | N/A |

**System Users**

|  |  |  |  |
| --- | --- | --- | --- |
| **System** | **Average Concurrent Users** | **Hourly Peak Users** | **Maximum Concurrent Users** |
| Mainframe | 1,000 | 1,300 | 1,300 |
| Web Application – UBS | 677 | 17,095 | 1,035 |
| Web Application – UTS | 439 | 5,301 | 750 |
| EBS | 25 | 370 | 100 |

# Project Scope

## 2.1 Scope of Work

The UI System Replacement Procurement and Project Scope includes all requirements in this RFO that are not identified as Optional. The following Sections 2.1.1, Scope Includes, and 2.1.2, Scope Excludes, provide highlights of functionality and/or systems specifically included or excluded from the Project Scope. The in-scope Project Deliverables are described separately.

### 2.1.1 Scope Includes

The Scope includes all functionality from the existing system and/or processes, unless TWC intentionally eliminates specific functionality during the Design phase. Specifically, the Scope includes the following:

* Customization and/or Configuration, Testing, Training, Implementation, and Support for the new UI system that replaces the existing UI systems and interfaces providing Tax, Benefits, Appeals, RID, RTM, Statistical Sampling, and performance evaluation functionality;
* Organizational Change Management (OCM) activities relating to the Project necessary to prepare for the change, implement and manage the change, and reinforce the change;
* Design, development, testing, and execution of data conversion/migration from the legacy system(s) to the hosted solution;
* Design, development, testing and implementation of updated interfaces with WIT, SSA, IRS, NDNH, SIDES, ICON, and all other systems exchanging data with UI;
* Externally-facing user interfaces and correspondence that comply with [Texas Labor Code § 301.064](http://www.statutes.legis.state.tx.us/Docs/LA/htm/LA.301.htm) supporting multiple languages;
* Documentation including, but not limited to: Requirements; Design; Configuration; Data Repositories and Migration; Testing; Training; Implementation Plan; OCM; and Post-Go-Live Support;
* Replacement, maintenance and support of any functions that exist only in UI (e.g., CAST); and
* DOL reports, management reports, and ad hoc reporting.

### 2.1.2 Scope Excludes

The Scope does not include:

* Replacement or modification of TWC’s current Workforce systems; and
* Modifying other legacy systems.

## 2.2 Tasks and Required Project Deliverables

The following tasks and deliverables are required for the Project. These deliverables are also the invoice points. If the Offeror desires more frequent invoice opportunities than the formal deliverables, Offeror must identify and negotiate sub-deliverables before the contract is final. TWC will not negotiate sub-deliverables after the contract has been signed.

Following each deliverable below, provide a response in which you:

* Either state that you accept all activities and work products or describe any changes you propose. If you propose changes, map your proposed changes to the deliverables, activities and work products in the RFO.
* Describe the approach you propose to use to develop the deliverable, including your understanding of the deliverable and how you plan to achieve success.
* Do not repeat the information provided in the RFO.

**Failure to follow these instructions may cause response to be deemed nonresponsive and disqualified.**

Offerors must:

* Identify any User Groups and/or other mechanisms through which customers provide product feedback and input regarding functions that will be included in any future releases.
* Identify any additional modules and/or functions that are available with the current product offerings.
* Describe any value-added benefits, services, and/or deliverables that are not required by this RFO that the Offeror proposes to provide within the Offeror’s fixed price proposal and, thus, at no additional cost to the State.

All Awarded Vendor deliverables are subject to State and Federal review and approval prior to final approval, acceptance, and payment. [Attachment 4](#_Attachment_4_–) contains the Project’s Deliverables Expectations Document (DED) template. During the project, a DED for each deliverable will be prepared by the TWC IT Project Manager based upon inputs from the Awarded Vendor and appropriate TWC program and IT stakeholders. Once approved by TWC, the DED will be incorporated herein for all purposes and will be the tool used to monitor the Awarded Vendor’s work on the deliverable and for the deliverable acceptance criteria.

* No work is to be performed on any deliverable associated with a payment milestone until the DED has been approved in writing by the TWC IT Contract Manager and the Awarded Vendor.
* Should the Awarded Vendor perform work on any contract deliverable prior to DED approval, TWC will not be responsible for, nor pay any associated costs the Awarded Vendor may incur.
* The Awarded Vendor must specify and gain prior approval in writing for any software used for the Deliverable.
* As each Project deliverable is submitted, the Awarded Vendor must include a copy of the DED as the cover sheet.
* Deliverables must be tracked in a tracking sheet approved by TWC.
* All deliverables must be completed within the original contract amount.

Each deliverable must meet the following minimum acceptance criteria:

* Be presented in a format appropriate for the subject matter and depth of discussion;
* Be organized in a manner that presents a logical flow of the deliverable’s content;
* Represent factual information reasonably expected to have been known, based on industry standards, at the time of submittal;
* In each section of the deliverable, include only information relevant to that section of the deliverable;
* Contain content and presentation consistent with industry best practices in terms of deliverable completeness, clarity, and quality;
* Meet the acceptance criteria applicable to that deliverable, including any State policies, functional or non-functional requirements, or industry standards; and
* Contain no structural errors such as poor grammar, misspellings or incorrect punctuation.

A draft written deliverable may contain limited structural errors such as incorrect punctuation and shall represent a significant level of completeness toward the associated final written deliverable. The draft written deliverable shall otherwise comply with minimum deliverable quality criteria above.

The Deliverable Acceptance is defined in [Section 3.5](#_3.5_Deliverable_Acceptance).

### 2.2.1 Task 1: Plan and Setup Project

The Awarded Vendor will be responsible for the Project Planning and Setup activities and work products necessary to complete the initial planning and setup tasks for the Project.

Activities include:

* Plan and conduct a Project kick-off meeting
  + Conduct a kick-off meeting at location and time selected by TWC to introduce Awarded Vendor and TWC Staff and provide a common understanding of the Project scope and approach with TWC stakeholders;
  + Create the agenda and presentation materials. Awarded Vendor will provide draft materials to the IT Project Manager and Program Project Manager for approval a minimum of five (5) business days prior to the meeting. The IT Project Manager and Program Project Manager will approve agenda and presentation materials before the meeting; and
  + Create meeting minutes to document the meeting. The IT Project Manager and Program Project Manager will approve the meeting minutes and the Awarded Vendor will distribute meeting minutes to all TWC stakeholders.
* Develop a detailed phased Implementation Strategy
  + Assess the current UI legacy systems and develop a detailed phased implementation strategy which allows TWC to sustain continuous business and system operations for the duration of the Project to include solutions for maintaining data integrity and reports throughout the project;

Recommend a single implementation approach or multiple implementation approaches, e.g., phased, “Big Bang,” etc., for the entire scope of the Project to include rationale, benefits, risks, and costs for each approach;

An example of a phased approach could be implementing Tax, then Benefits, and then Appeals each in eighteen (18) month cycles;

TWC is open to various implementation approaches; however, TWC prefers a phased approach with demonstrations of interim progress to Stakeholders;

* + Include the delivery methodology describing the tactical implementation details;
  + Factor in TWC’s “tight coupling” of data via DB2 when developing legitimate phased implementation paths where “tight coupling” refers to:

Mutual dependency between Tax, Benefits, and Appeals on the same data that will impact phased implementation paths;

Dependency by other non-UI systems on the same UI data;

Current dual structure, i.e. some DB2 and some VSAM, of UI data.  Offerors must address this and implement a consistent structure;

* + Identify implementation time windows. Based on fluctuations in UI workload during the year, the best implementation time windows are:

Last two (2) weeks in February through the first two (2) weeks in March;

Last two (2) weeks in May through the first two (2) weeks in June;

Last two (2) weeks in August through the first two (2) weeks in September; and

Last two (2) weeks in November through the first two (2) weeks in December.

* + Schedule system implementations to fall within one of these implementation windows. If a scheduled implementation is delayed and will fall outside of one of these implementation windows, Awarded Vendor will reschedule implementation for the next implementation window.
* Project Management Plan
  + The Awarded Vendor will submit a detailed Project Management Plan. The Awarded Vendor will review the Plan completed by TWC that is based on the Texas Project Delivery Framework (TPDF) Project Plan template and make necessary updates to reflect all project management processes and controls for the Project. This Framework Project Plan describes the Project and how it will be managed; it does not include an estimated timeline. The plan includes five (5) appendices (Quality Register, Communication Register, Configuration Items Register, Performance Register and Risk Register) and a Project Glossary. Detailed information about the TPDF is located on the DIR website (<https://dir.texas.gov/View-Resources/Pages/Content.aspx?id=16>).
* Create a detailed Work Breakdown Structure (WBS) and Project Integrated Master Schedule (IMS)
  + Create the WBS and IMS in collaboration with TWC, aligning it with the phased Implementation Strategy accepted by TWC;
  + Ensure the IMS includes all tasks, deliverables, milestones, dependencies, and resources (e.g., Awarded Vendor, TWC IT, TWC Program, external partners, and DCS/STS) necessary to complete the Project;
  + The IMS must clearly detail the project’s critical path and critical path tasks for tracking and reporting purposes;
  + Maintain the IMS, in Microsoft Project or another software tool and version approved by TWC; and
  + Publish the schedule in PDF format at intervals agreed upon by the Project Team.
* Create Staffing Plan
  + Create a Staffing Plan in collaboration with TWC and align it with the phased Implementation Strategy accepted by TWC

Include both Awarded Vendor and TWC resources;

Identify all roles, responsibilities, knowledge, skills, abilities; and

Detail the percent of time and duration for each TWC staff person. Note: TWC IT Staff will not be 100% available during the project at all times so that they can sustain the current legacy systems.

* + Maintain the Staffing Plan and publish updates at intervals agreed upon by the Project Team.
* Develop Test Plan
  + In collaboration with TWC, the Awarded Vendor will define and develop a Test Plan. The test plan must detail the overall test strategy, approach, methods, entrance and exit criteria, and roles and responsibilities for each testing phase of the system;
  + TWC anticipates the following forms of testing will be conducted to ensure the solution performs and functions as required by the approved requirements specification:

Unit testing;

System testing;

Integration testing;

User acceptance testing;

Security testing;

EIR accessibility testing;

Load testing; and

Stress testing;

* + The Test Plan must include a plan to manage multiple simultaneous test environments in order to accommodate various concurrent testing activities; and
  + The Awarded Vendor must define a strategy enabling TWC to validate time-based scenarios and features and enable test data to be aged. Offerors should describe their approach to aging test data. This process should provide maximum flexibility and must not require burdensome planning and controls on test teams.
* Create Lessons Learned Collection Process
  + Review existing TWC lessons learned and set up the process for collecting lessons learned throughout the project.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 1A | Kick-off Meeting Agenda, Presentation, and Minutes | At a minimum, the Agenda, presentation materials, and meeting minutes must be approved by IT Project Manager and Program Project Manager. | Award of Contract (AoC) + 14 calendar days |
| 1B | Implementation Strategy | At a minimum, the Strategy must:  Include rationale, benefits, risks, and costs for each approach;  Include a recommended implementation approach that factors in TWC’s “tight coupling” of data via DB2;  Include a strategy and schedule for replacing all in scope applications and for sustaining dependencies between legacy applications and replacement applications until the UI system is fully replaced;  Include a strategy and schedule for keeping data in sync throughout project between replacement applications and legacy applications; and preserving data integrity for all reports and queries until the UI replacement system is fully implemented;  Be closely aligned with TWC’s other migrations off of the mainframes; and  Describe how the recommended implementation strategy minimizes organizational risk, including rationale that supports the recommendation. | AoC + 30 calendar days |
| 1C | Project Management Plan | At a minimum, the Project Management Plan must:  Use the existing TPDF Project Plan;  Describe technique for measuring project performance and progress in an objective manner;  Detail all management processes, procedures, and controls for project management processes (Quality Management, Communication Management, Configuration Management, Performance Management, Risk Management);  Include a realistic strategy for incorporating TWC personnel in day-to-day activities for the duration of the project; and  Align with the phased Implementation Strategy accepted by TWC. | AoC + 45 calendar days |
| 1D | Detailed WBS and IMS | At a minimum, the Detailed WBS and IMS must:  Align with the phased Implementation Strategy accepted by TWC;  Include all tasks, deliverables, Project Status Reports, milestones, dependencies and resources;  Identify the project’s critical path;  Describe technique for conducting what-if analyses as the project progresses;  Include a realistic strategy for incorporating TWC personnel in day-to-day activities for the duration of the project;  Consider the proper sequencing of the work required to result in a successful project that can be completed within the contract time;  Be maintained in Microsoft Project or another software tool and version approved by TWC; and  Be updated at least every two (2) weeks throughout the Project. | AoC + 45 calendar days; then every two (2) weeks |
| 1E | Staffing Plan | At a minimum, the Staffing Plan must:  Align with the phased Implementation Strategy accepted by TWC;  Include both Awarded Vendor and TWC resources;  List all roles, responsibilities, knowledge, skills, abilities;  Detail the percent of time and duration for each TWC staff person; and  Be updated periodically as agreed. | AoC + 45 calendar days; then periodically as agreed |
| 1F | Test Plan | At a minimum, the Test Plan must:  Be stored in the TWC SharePoint site;  Align with the phased Implementation Strategy accepted by TWC;  Include the development of test cases;  Describe approach for unit test, system test, integration test, user acceptance test, security test, EIR accessibility test, load test, and stress test;  Include software testing metrics and reporting;  Incorporate a test and evaluation strategy that leverages local and remote TWC Staff as well as customers to experience, test, and train on the system;  Include an early access sandbox plan that that includes local and remote users and allows them to familiarize themselves and provide feedback;  Describe end-to-end tests to assess total, holistic system performance including network transmissions;  Describe, in detail, how testing activities integrate with requirements management functions and support tracking requirements validation and verify that tests validate all TWC requirements;  Include both Awarded Vendor and TWC resources; and  Include schedules and durations for each test type. | AoC + 45 calendar days |
| 1G | Lessons Learned Collection Process | At a minimum, the Process must:  Describe how the lessons learned approach supports continuous improvement throughout the project;  Describe how lessons learned will be captured and documented;  Describe at what points in the project lessons learned will be evaluated. | AoC + 45 calendar days |

The Offeror must include a draft version of deliverables 1B, 1C, 1D, 1E, 1F, and 1G with their proposal.

### 2.2.2 Task 2: Manage Requirements

The Awarded Vendor will be responsible for implementing a requirements management process that specifies, documents, and maintains all requirements necessary to configure, customize, host, and operate the solution for TWC. Recent experience suggests that progressive elaboration is required. UI requirements and UI Process descriptions ([Attachment 5](#_Attachment_5_–) and [Attachment 6](#_Attachment_6_–), respectively) may require further elaboration and decomposition by the Awarded Vendor. Through the requirements elaboration processes, the Awarded Vendor and TWC will establish the final UI system requirements baseline. Effort to support thorough requirements elaboration must be included in the base cost and built into the proposed IMS. TWC has final approval over all requirements and under no circumstances will the Awarded Vendor’s base code set, framework, MOTS product(s), or any technical base proposed by the Awarded Vendor be used to determine finalized requirements unless TWC approves.

Activities include:

* Develop a Requirements Management Plan
  + The Requirements Management Plan must provide detailed definition of processes, approaches, and artifacts proposed to:

Elicit final TWC functional/non-functional requirements ensuring the awarded vendor fully understands TWC business requirements and functional needs;

Decompose TWC requirements in a manner that supports clear requirements traceability and requirements verification;

Document requirements enabling full understanding of integrated workflow requirements;

Support changes to requirements as they are identified;

* + Ensure that the Requirements Management Plan is implemented at project start and adhered to and incorporated throughout the full lifecycle of the project;
  + Ensure customers, stakeholders, managers, developers, and users are all involved in the requirements management process; and
  + Ensure that a requirements configuration management process is implemented and that no changes are made to baselined requirements without performing a risk analysis, re-estimating impacts to cost and schedule, and validation amongst the stakeholders.
* Host Requirements Workshops
  + Identify and schedule requirements workshops to confirm and clarify all Business/Functional and Technical/System requirements, see [Attachment 5](#_Attachment_5_–), and process descriptions, see [Attachment 6](#_Attachment_6_–);
  + Develop workshop agendas and subject-specific handouts to be provided to workshop participants at least 24 hours prior to start of workshop;
  + Facilitate workshops with users and document results; and
  + Follow up on any open action items.
* Create requirements baseline and maintain solution requirements for the duration of the project in TWC’s application lifecycle tool/software (e.g. today, TWC is using the Hewlett Packard (HP) Application Lifecycle Management (ALM) toolset). Awarded Vendor and TWC will use TWC’s lifecycle tool. The application lifecycle tool will remain under TWC’s control (IT environment) and the contents will become the property of the State of Texas;
* Ensure requirements specifications are developed for all hardware and software subsystems in a sufficient level of detail to ensure a successful implementation;
* Ensure requirements are well-defined, understood, and that all documented are correct, unambiguous, consistent, and verifiable (testable);
* Distribute completed documentation to appropriate stakeholders for validation;
* Schedule final requirements walkthrough and gain TWC approval;
* Create requirements traceability matrix and ensure requirements can be traced bi-directionally through design, code and test phases to verify that the system performs as intended, contains no unnecessary software elements, and supports comprehensive and accurate impact analysis;
* Create and maintain the requirements traceability matrix in TWC’s ALM for the duration of the project; and
* Involve TWC IT Staff in use of ALM and transfer knowledge of best practices to TWC Staff.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 2A | Requirements Management Plan | At a minimum, the Plan must:  Be stored in the TWC SharePoint site;  Provide detailed definition of processes, approaches, and artifacts employed supporting requirements:  Elicitation;  Decomposition;  Documentation; and  Change management;  Ensure that the Requirements Management Plan is implemented at project start and adhered to and incorporated throughout the full lifecycle of the project;  Ensure customers, stakeholders, managers, developers, and users are all involved in the requirements management process; and  Ensure that a requirements configuration management process is implemented and that no changes are made to baselined requirements without performing a risk analysis, re-estimating impacts to cost and schedule, and validation amongst the stakeholders. | TBD in accordance with the IMS |
| 2B | Requirements Workshops | At a minimum, the Requirements Workshops must:  Be scheduled in a manner that ensures Subject Matter Expert (SME) attendance;  Be well organized and address business functions that invited SMEs can evaluate and define;  Ensure agendas and supporting materials that are distributed prior to the workshop to ensure participants are well prepared;  Be led by a seasoned facilitator;  Include agendas and all supporting materials needed to support effective requirement decisions (solution demonstrations, design/workflow artifacts, etc.); and  Confirm, clarify, and document all requirements. | TBD in accordance with the IMS |
| 2C | Requirements Baseline | At a minimum, the Requirements Baseline must:  Include “as-is” and “to-be” requirements;  Be organized by release, iteration, or phase;  Be documented in TWC’s ALM; and  Be formally reviewed and approved by the TWC’s IT Project Manager and Program Project Manager. | TBD in accordance with the IMS |
| 2D | Requirements Traceability Matrix | At a minimum, the Requirements Traceability Matrix must:  Map requirements to System Detailed Design, test plans, test cases, and implementation/code artifacts;  Support valuation at each project phase that all requirements are defined and validated and that all design, test, and code artifacts support TWC needs;  Be organized by release, iteration, or phase;  Be documented in TWC’s ALM; and  Be formally reviewed and approved by the TWC’s IT Project Manager and Program Project Manager. | TBD in accordance with the IMS |

The Offeror must describe their current requirements management tool and describe how they will incorporate TWC’s ALM.

The Offeror must include a draft version of deliverables 2A, 2C, and a draft requirements template with their proposal.

### 2.2.3 Task 3: Design Holistic UI Replacement System

The Awarded Vendor will be responsible for definition and documentation of functional and technical design specifications providing a holistic view of the UI system. Solution designs must provide TWC business and technical staff to understand system behaviors, workflows, and integration architectures and must address all system components including but not limited to software, hardware, operating environment, and infrastructure.

Activities include:

* Create a holistic UI replacement system design document.
  + Map Requirements Baseline to new UI solution, specifying if each requirement is a core system capability, a simple configurable option, a complex configurable option, or requires custom development. The Awarded Vendor must substantiate core system support of TWC requirements mapped to core system capabilities. Substantiation must be provided through supporting base product specifications or functioning prototypes;
  + Detail the MOTS hosted solution to be supplied including all configurable items;
  + Include the Use Cases that address requirements described in [Attachment 5](#_Attachment_5_–);
  + Design and specify all software and hardware required to support the solution including any hardware or software that would need to be supplied directly to TWC by the Awarded Vendor;
  + Design and specify the future cloud-based or server-based operating environment required to support the solution; and
  + Solution design artifacts must provide functional details of the complete system enabling TWC business and technical teams to understand base solution capabilities and define/approve recommended configurations and/or customizations. Thus, base product functional and technical design specifications must define all component level behavior as well support full understanding of integrated user and data workflows.
* Develop a Software Purchase and Licensing Plan
  + The Awarded Vendor will develop the Software Purchase and Licensing Plan with input from TWC’s IT Infrastructure Services (IT IS) and Application Development and Maintenance (AD&M) departments to include the complete list and quantity of licenses needed to operate Awarded Vendor’s solution in any environment (development, test, production, etc.) including third-party software and hardware.;
  + Itemize the costs of such hardware or software. Awarded Vendor agrees that in the event that additional licenses or software products not included in the signed contract and are required to satisfy such requirements, Awarded Vendor must be responsible for the costs of any and all such additional software licenses. However, TWC will retain the right to ownership of any such licenses;
  + Detail the provisions of the initial software purchase or subscription, including the user licensing model(s) being offered, such as: concurrent users, named users, unlimited users, or a hybrid model. This initial software purchase or subscription is to cover the period from Go-Live through the end of the Warranty Period;
  + Detail the cost of the solution’s base configuration that meets TWC’s requirements as well as any additional functionality or customizations for TWC to consider adding to the base configuration at the sole discretion of TWC. If the Offeror recommends a phased implementation approach, Offeror will detail the cost of their solution by phase; and
  + Describe the approach to keeping hardware and software up-to-date. Awarded Vendor must maintain an N to N-1 software and hardware update strategy policy at all times during the project, where “N” in this case is the latest service pack, patch, major update, maintenance release, driver, firmware version, etc. and “N-1” is two releases older than the latest “N” release. Offeror must describe their approach to replacing older versions with newer ones.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 3A | System Design Document | At a minimum, the Document must:  Clearly specify how the current mainframe and web-based applications will be replaced with a new system that provides existing functionality plus new requirements;  Logical, technical-level architecture documentation;  Include a mapping of requirements;  Document high-level architecture;  Specify all software and hardware to include versions, specifications, and interoperability with other software and hardware products; and  Specify the future cloud-based or server-based operating environment required to support the solution. | TBD in accordance with the IMS |
| 3B | Software Purchase and Licensing Plan | At a minimum, the Plan must:  Specify all types of software licenses required to operate the replacement UI system;  Identify the purpose of each software;  Include the quantity of licenses required to fully operate the replacement UI system;  Include the licenses cost, both initial and on-going, and describe what is included (e.g., permitted use, updates, upgrades, maintenance of software and hosting environment, etc.); and  Align acquisition schedule with the IMS. | TBD in accordance with the IMS |

The Offeror must include a draft version of deliverable 3A; their solution’s logical, technical-level architecture; and an inventory of all third-party software and hardware products including version number with their proposal. Cost information identified in this Section are to be submitted separately as defined in [Section 10.2](#_10.2_Submission_Details), Submission Details.

### 2.2.4 Task 4: Assess Infrastructure

The Awarded Vendor will conduct an infrastructure assessment to ensure the network infrastructure is reliable, secure, and scalable to meet or exceed the expected demands associated with the Awarded Vendor’s solution. The Awarded Vendor will provide all tools necessary to complete the assessment. The goal is to identify infrastructure shortcomings early, so that they can be remediated prior to Go-Live.

Activities include:

* Conduct infrastructure assessment to ensure Awarded Vendor’s solution can handle traffic from the following users:
  + TWC UI Claimants, Employers, TPAs, and
  + TWC Staff located at:

TWC Tele-Centers,

TWC Workforce Solutions facilities,

TWC Tax Field Offices,

Remote users (telecommuting staff, partner agencies, etc.),

TWC UI Admin Building, Austin, TX, and

TWC Main Building, Austin, TX.

* Prepare an Infrastructure Report that documents current performance, identifies any current or known future issues, and contains actionable recommendations to optimize infrastructure for Awarded Vendor’s solution.
  + Specify new hardware required including product type, model, quantity, unit cost, and total cost; and
  + Specify new software required including product, quantity, unit cost, and total cost.

The Awarded Vendor will complete the following deliverable during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 4A | Infrastructure Report | At a minimum, the Report must:  Support the system design created in [Task 3](#_2.2.3_Required_Deliverable);  Include network device hardware and software discovery and inventory;  Include network topology;  Report on current performance (utilization, errors, etc.) of network devices and ports;  Identify any issues;  Contain actionable recommendations to optimize infrastructure for Awarded Vendor’s solution; and  Align network update schedule with the IMS. | TBD in accordance with the IMS |

The Offeror must include their solution’s infrastructure architecture and a list of all tools necessary to complete the infrastructure assessment with their proposal.

### 2.2.5 Task 5: Configure/Develop System and Conduct Technical Acceptance Testing

During this activity, the Awarded Vendor will complete all required configuration and customization activities for all approved UI features and requirements and based on the approved implementation approach and plans. During the configuration/development phase of the Project, the Awarded Vendor will execute relevant test defined for this phase in the approved Test Plan. The Awarded Vendor must demonstrate that phase Exit Criteria are satisfied in order to deploy software to begin user acceptance testing (UAT).

Activities include:

* Create a Software Development Plan detailing the software configuration and development methodology and processes.
* Develop a Configuration Management Plan associated with the development process:
  + Ensure all critical development documents; including but not limited to requirements, design, and code; are maintained under an appropriate level of control;
  + Ensure processes and tools are in place to identify code versions and to rebuild system configurations from source code;
  + Ensure processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization and timely scheduling of maintenance actions; and
  + Ensure that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.
* Complete all activities necessary to implement the software core system capabilities, simple and complex configurations, and custom developed software necessary to create a UI solution that meets TWC’s requirements;
* Demonstrate prototype(s) with Staff and stakeholder representatives (both central office and remote) as appropriate to get valuable feedback on potential additions or changes early in the project and incorporate the feedback;
* Document a Technical Test Plan that addresses all functional, non-functional, and technical requirements; solution configuration; data conversion and migration; interfaces and data exchange; reporting; accessibility; regression and system integration testing; prototyping; performance testing; load testing; and security scans. The Technical Test Plan will include a Technical Acceptance Testing Checklist containing all necessary activities to perform Technical Acceptance Testing on the solution; and
* Execute Test Plan for Conduct System Configuration/ Customization testing activities:
  + The Awarded Vendor must develop relevant test cases and test scripts required to fully validate all phase requirements are validated;
  + The Awarded Vendor must maintain requirements traceability to validate testing suites achieve required requirements coverage;
  + The Awarded Vendor must demonstrate completion of all Conduct System Configuration/Customization Test Checklist items based on checklists in the approved Test Plan; and
  + Demonstrate Conduct System Configuration/Customization that test Exit Criteria are satisfied.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 5A | Software Development Plan | At a minimum, the Plan must:  Be stored in the TWC SharePoint site; and  Include software configuration and development methodology and processes. | TBD in accordance with the IMS |
| 5B | Configuration Management Plan | At a minimum, the Plan must ensure:  All critical development documents; including but not limited to requirements, design, and code; are maintained under an appropriate level of control;  Processes and tools are in place to identify code versions and to rebuild system configurations from source code;  Processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization and timely scheduling of maintenance actions; and  Mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version. | TBD in accordance with the IMS |
| 5C | Configured Tax System | The Tax functionality meets requirements identified in [Task 2](#_2.2.2_Required_DeliverableTask). | TBD in accordance with the IMS |
| 5D | Configured Benefits System | The Benefits functionality meets requirements identified in [Task 2](#_2.2.2_Required_DeliverableTask). | TBD in accordance with the IMS |
| 5E | Configured Appeals System | The Appeals functionality meets requirements identified in [Task 2](#_2.2.2_Required_DeliverableTask). | TBD in accordance with the IMS |
| 5F | Configured RID System | The RID functionality meets requirements identified in [Task 2](#_2.2.2_Required_DeliverableTask). | TBD in accordance with the IMS |
| 5G | Configured RTM System | The RTM functionality meets requirements identified in [Task 2](#_2.2.2_Required_DeliverableTask). | TBD in accordance with the IMS |
| 5H | Updated Test Plan | At a minimum, the updated Plan must:  Be stored in the TWC SharePoint site;  Include:  Any Test Plan updates to plans for the current or subsequent test process that have been agreed to by the TWC IT Project Manager and the Awarded Vendor Project Manager;  Unit Tests results, including the volume of unique scripts and pass rate;  Systems Integration Test results (SIT), including the volume of unique scripts and pass rate;  Accessibility Test results, including the volume of unique scripts and pass rate;  Updated requirements traceability matrix tracing all test cases to the relevant TWC requirement that is validated;  Substantiation that Conduct System Configuration/ Customization phase testing Exit Criteria are achieved;  A detailed definition outstanding issues, if deviations from approved SIT Exit Criteria are approved by the TWC IT Project Manager;  List of all tools required;  Setting up reusable test data with a strong preference to test on TWC migrated data as early as possible;  End-to-end tests to assess total, holistic system performance including network transmissions;  TWC Test Staff FTE requirements;  Schedules/durations for each test type;  The Technical Acceptance Testing Checklist; and  The procedure for tracking and correcting defects. | TBD in accordance with the IMS |
| 5I | Completed Technical Acceptance Testing Checklist | At a minimum, the Checklist must:  Document successful completion of all activities necessary to implement the software core system capabilities, simple and complex configurations, and custom developed software necessary to create a UI solution that meets TWC’s requirements;  Report results from all technical testing and prototype(s) that are a prerequisite to UAT; and  Demonstrate successful completion of all Technical Acceptance activities and Technical Acceptance Testing Checklist items. | TBD in accordance with the IMS |

The Offeror must include a draft version of deliverables 5A, 5B, and 5H with their proposal.

### 2.2.6 Task 6: Migrate Data

The Awarded Vendor will complete all activities necessary to migrate all data and sustain data integrity throughout all project phases.

Activities include:

* Collaborate with TWC SMEs to gather inputs for and create a Data Migration Strategy and Plan;
* If the Offeror proposes a phased implementation, the data migration strategy must include TWC’s existing databases and describe how data will be shared between the new and existing databases while both systems are operational; and
* Migrate data
  + Conduct data migration and testing activities;
  + Track and correct defects;
  + Provide validation scenarios for TWC approval including record count verification;
  + Verify and validate mock migrations;
  + Propose a data migration schedule that provides converted data during functional testing activities; and
  + Coordinate with internal and external TWC UI stakeholders.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 6A | Data Migration Strategy and Plan | At a minimum, the Strategy and Plan must:  Include:  Initial assumptions for migration;  Business rules/transformations logic involved in the migration (Texas specific rules);  Dependencies on other systems and data points;  Impact to existing legacy systems during down-steam data extract;  Validation/reconciliation requirements;  Error handling;  Test conditions;  Risks/issues log;  Rollback condition;  Data file handling; and  Detailed Cutover Plan.  Start data migration activities as early as possible;  Include all legacy data sources, data analysis, data mapping of all data fields from our current systems to the new system, and conversion methods;  Clearly identify any data that will not be migrated, including an access strategy for non-migrated data;  Factor in TWC’s “tight coupling” of data via DB2;  Be closely aligned with TWC’s other migrations off of the mainframes;  Include extract, transform, and load (ETL) rules;  Include a data dictionary;  Specify ETL tool and version;  Define default data values;  Specify methods for data cleansing and removing duplicates;  Include a design, configure, and test conversion and migration process with dry runs;  Verify and validate multiple mock end-to-end migrations;  Include regular reports of progress and issues to TWC;  Include testing and reporting;  Describe how and when converted data will be run through all key processes, analyzed for errors and inconsistencies, and tracked until resolved;  Identify Awarded Vendor and TWC roles and responsibilities;  Align data migration with the IMS; and  Specify data migration tools. | TBD in accordance with the IMS |
| 6B | Migrate Data | At a minimum, the migrated data must:  Include all existing legacy system data  Meet all Texas retention requirements:  Benefits  Ten (10) calendar years plus the current year;  Tax  All active accounts no matter how old (Status records plus ten (10) years of other records); and  At least ten (10) years plus the current year for all accounts (per retention schedule);  Appeals  All Claims;  Collections  All Tax accounts with active liens, assessments, or judgements;  All locked Claims; and  All Claims with Overpayments.  Successfully pass all verification and validation scenarios;  Include testing and reporting; and  Align with the IMS in general and provides migrated data for validation during testing phases.  At a minimum, Awarded Vendor must demonstrate that they successfully:  Conducted all data migration and testing activities;  Tracked and corrected all defects; and  Verified and validated mock migrations. | TBD in accordance with the IMS |

The Offeror must include a draft version of deliverable 6A with their proposal.

### 2.2.7 Task 7: Implement Interfaces

The Awarded Vendor will complete all activities necessary to implement all new and replacement interfaces to their system.

Activities include:

* Develop a detailed phased Interface Implementation Strategy and Plan
  + Review and confirm the interfaces identified in [Attachment 7](#_Attachment_7_–), UI Interface Summary, and develop a detailed implementation strategy and plan which allows TWC to sustain continuous business and system operations for the duration of the Project. The interface approach must align with the solution implementation strategy proposed in Section 2.2.1;
  + Ensure all system interfaces are exactly described, by medium and by function, including inputs/outputs, data format, and frequency;
  + Interfaces that are no longer needed or will be replaced by System functionality may be excluded from the inventory with the approval of the TWC IT Project Manager; and
  + Collaborate with TWC SMEs to gather inputs for and create the Interface Implementation Strategy and Plan.
* Implement the interfaces
  + Conduct implementation and testing activities;
  + Track and correct defects;
  + Verify and validate interfaces; and
  + Coordinate with stakeholders internal and external to TWC.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 7A | Interface Implementation Strategy and Plan | At a minimum, the Strategy and Plan must:  Start interface activities as early as possible;  Identify interfaces Awarded Vendor already developed for other states;  Define the interface architecture and technical specifications;  Describe the approach for coordinating with stakeholders internal and external to TWC to ensure they can meet Project deadlines;  Identify Awarded Vendor and TWC roles and responsibilities;  Describe the implementing and testing processes in detail;  Emphasize testing as early in development as possible, including using mock data and files;  Validate system interface processes using migrated data defined and planned in Section 2.2.6; and  Align with the IMS. | TBD in accordance with the IMS |
| 7B | Implemented Interfaces | At a minimum, Awarded Vendor must demonstrate that they successfully:  Conducted all implementation and testing activities;  Tracked and corrected all defects;  Verified and validated interfaces; and  Coordinated with stakeholders internal and external to TWC. | TBD in accordance with the IMS |

The Offeror must include a draft version of deliverable 7A with their proposal.

### 2.2.8 Task 8: Replace Reports

The Awarded Vendor will perform activities necessary to provide a comprehensive reporting capability and to support all Federal, Legislative, and internal planning data analysis reporting needs. Reporting scope is based on TWC’s existing reports, documented in [Attachment 8](#_Attachment_8_–).

Activities include:

* Confirm the current report and ad hoc query inventory with the appropriate program/business area(s). Reports and queries that are no longer needed or will be replaced by System functionality through dashboards, screens, etc. may be excluded from the inventory with the approval of the TWC IT Project Manager and Program Project Manager;
* Confirm and document requirements for future state reports and queries;
* Design and document the reporting environment so that it is responsive and will not negatively impact the Production environment; and
* Implement the replacement reports and queries.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 8A | Inventory of all Required Reports and Ad Hoc Queries (See [Attachment 8](#_Attachment_8_–)) | At a minimum, the Inventory must:  Plan and schedule report replacement in WBS to align with phased implementation schedule; and  Include queries which end users may run themselves. | TBD in accordance with the IMS |
| 8B | Confirm and Document Requirements for Reports and Ad Hoc Queries | At a minimum, the Requirements must:  Be documented in TWC’s ALM;  Include all required reports and queries required by TWC in approved inventory; and  Specify the environment for reports and queries. | TBD in accordance with the IMS |
| 8C | Implement Replacement Reports and Queries | At a minimum, Awarded Vendor must demonstrate that they successfully:  Conducted all report implementation and testing activities;  Tracked and corrected all defects; and  Verified and validated data and results. | TBD in accordance with the IMS |

### 2.2.9 Task 9: Plan and Implement OCM

The Awarded Vendor will perform activities necessary to migrate TWC UI Staff and Customers at all levels from the existing (“as-is”) business environment to the future (“to-be”) business environment. The goal of these services is to equip and support Staff and Customers to successfully adopt change. TWC UI Customers are those who interact with the TWC UI Program including Claimants, Employers, TPAs, Accountants, Attorneys/Representatives, Other Governmental Entities, Law Enforcement, and other external parties.

Activities include:

* Develop a detailed OCM Plan
  + Collaborate with TWC stakeholders to gather inputs for the Plan;
  + Prepare an Organizational Readiness Assessment detailing TWC’s aptitude and capacity for change and recommendations to guide the change program to realize expected outcomes;
  + Conduct Change Impact Assessment to identify impacted Staff and Customers; then outline the context of the change as well as its impact on Staff and Customers;
  + Perform Gap Analysis to identify the gaps in skills, jobs, and personnel between the as-is and to-be business environments;
  + Develop Communication Plan, including a Public Media Campaign and an Internal Communications Plan, to notify Staff and Customers of the changes and to provide them with discussion and feedback forums. It also includes the development of a recruitment plan if needed; and
  + Create Readiness Checklist and Readiness Kit for each Project phase. The Readiness Checklist contains a detailed list of OCM activities that must be completed prior to Go-Live. The Readiness Kit will prepare TWC leadership, line management, and Staff for all aspects of the change and provide recommendations for reinforcing desired behaviors; and
  + Include a responsibility assignment matrix describing the participation by various roles in completing OCM Plan tasks and deliverables.
* Store all technical documentation on the TWC SharePoint site, TWC’s HP ALM, or TWC’s Local Area Network (LAN) as directed by the TWC IT Project Manager. All documentation created during the Project becomes the Property of TWC.
* Implement OCM Plan and complete all items on the Readiness Checklist.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 9A | OCM Plan | At a minimum, the Plan must:  Address the change management needs of both the UI Program and IT areas;  Include an Organizational Readiness Assessment, a Change Impact Assessment, and a Gap Analysis;  Include an Communication Plan;  Describe the transition to maintenance plan;  Include release notes; and  Include Readiness Checklist and Readiness Kit. | TBD in accordance with the IMS |
| 9B | Technical Documentation Stored | At a minimum, Awarded Vendor must demonstrate that they successfully:  Stored all technical documentation as directed by the TWC IT Project Manager. | TBD in accordance with the IMS |
| 9C | Implemented OCM Plan | At a minimum, Awarded Vendor must demonstrate that they successfully:  Reviewed Readiness Kit with TWC leadership and implemented requested changes; and  Completed all items on the Readiness Checklist. | TBD in accordance with the IMS |

The Offeror must include a draft version of deliverable 9A with their proposal.

### 2.2.10 Task 10: Implement Automated Testing Solution

The Awarded Vendor will implement an Automated Testing Solution for executing Functional and automated Regression Tests, Accessibility Tests, and Performance Tests on all solution components. The Awarded Vendor will document instructions and conduct knowledge transfer sessions with TWC Staff that will use the system to perform testing.

Although there is a preference for 100% code coverage with unit tests, there is an understanding that constraints may be associated with meeting those standards. TWC will require the Awarded Vendor to design and implement automated unit tests with a minimum of 85% code coverage each for Appeals, Benefits, and Tax modules, using a risk-based approach to determine which tests should be automated and in which order. Modules that will not meet these standards must request an approval exception by the TWC Project Manager.

Activities include:

* Create an Automated Testing Solution Test Plan
  + Describe the automated testing process;
  + Include recommended tool(s), version number(s), and where Offeror has implemented previously;
  + Define the scope of automation and software testing metrics;
  + Include automation testbed preparation activities; and
  + Describe the schedule and timeline of scripting and script execution including how it ties to the delivery methodology.
* Establish an Automated Testing environment including test data. Awarded vendor must use TWC’s automated test tool (e.g. today, TWC is using MicroFocus Unified Functional Testing for automated functional and regression testing). Awarded vendor must use TWC’s load and performance test tool (e.g. today, TWC is using JMeter for load and performance testing). The Awarded Vendor will initially populate the testing environment with test data;
* Provide training for TWC Staff;
* Jointly develop and execute automated tests with TWC. The Awarded Vendor will manage the entire effort;
* Provide documentation for Automated Testing solution including usage of the Test system and its environment(s); creating and maintaining test scenarios and scripts; logging, comparing, and exporting test results; and coordinating testing with Awarded Vendor support staff; and
* Conduct knowledge transfer sessions with TWC Staff.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 10A | Automated Testing Solution Test Plan | At a minimum, the Plan must:  Be stored in the TWC SharePoint site;  Align with the phased Implementation Strategy accepted by TWC;  Describe the automated testing process;  Include recommended tool(s), version number(s), and where Offeror has implemented previously;  Define the scope of automation;  Include automation testbed preparation activities; and  Describe the schedule and timeline of scripting and script execution. |  |
| 10B | Automated Testing Solution Documentation | At a minimum, the Documentation must:  Include developing and executing automated testing for the UI solution; training plan for TWC Staff on automated test suite; and documentation on running, maintaining and creating new automated tests. | TBD in accordance with the IMS |
| 10C | Implemented Automated Testing Solution | At a minimum, Awarded Vendor must demonstrate that they successfully:  Implemented the Automated Testing Solution; and  Conducted knowledge transfer sessions with TWC Staff. | TBD in accordance with the IMS |

The Offeror must include a draft version of deliverable 10A with their proposal.

### 2.2.11 Task 11: Conduct System Testing

During this phase, the Awarded Vendor will execute test activities defined in the approved Test Plan for each testing phase (Unit, System, Integration, User Acceptance, Security, Accessibility, Load, Stress, and Performance Testing). At the completion of each testing phase, the Awarded Vendor will update the Test Plan, requirements traceability matrix, and demonstrate satisfaction of test phase Exit Criteria. During all testing activities, the Awarded Vendor will collaborate with TWC to resolve identified defects according the Test Plan and defect resolution processes. Offeror responses must describe testing methods, artifacts, and support of TWC UAT execution. Offerors must provide the estimated level of effort TWC is expected to contribute to vendor conducted testing.

**User Acceptance Testing**

In addition to execution of vendor testing activities, the Awarded Vendor must support TWC’s UAT planning and execution. UAT will be performed by TWC users in the test environment using test data to confirm that the application meets the agreed upon requirements.  UAT will be physically conducted in Austin, TX. As part of the Test Plan, the Awarded Vendor will develop the UAT plan that includes the methods for documenting and communicating test results and responses to Awarded Vendor teams, TWC, and other stakeholders. The Awarded Vendor will work with TWC define specifications and capabilities of UAT environments and support TWC development of test cases, test scripts, test data setup, test cycles and necessary UI configuration, as needed. TWC will perform acceptance testing with the support of the Awarded Vendor team. UAT activities will not be completed until TWC is confirms that all approved requirements are satisfied.

The Awarded Vendor will support the UAT phase by:

* Checking that the environment is up and running and ensure smooth testing with the proper data set and necessary/privileged access provided to business users;
* Helping users so that they can execute tests and review results;
* Assisting the functional stream coordinators and business users to monitor the defect data;
* Assisting the logging of defects in the test management tool;
* Aiding in establishing the traceability on the requirements spanning across various business units;
* Validating the test data inline to test cases, in coordination with the development team;
* Providing regular updates to the business team on progress, defect management support and reporting;
* Establishing UAT test user accounts to follow the resemblance of the actual users;
* Providing collaboration with the user community (all the business areas impacted/affected with the proposed change/new system); and
* Resolving UAT defects and other reported issues in a timely manner.

Activities include:

* Implement the Test Plan identified in [Task 1](#_2.2.1_Required_DeliverableTask);
* Ensure system clock can be changed to conduct date and time simulation tests for date and time sensitive functionality and code in the development and test environments;
* Test data must be able to be aged;
* Conduct tests using migrated data as early as possible in the test cycle;
* Define automated process to move a copy of production data, including associated content management data, into the development and test environments. Offeror must provide the option to de-identify data;
* Describe breakpoint restore and purge testing process for the above referenced test data;
* Define Product Quality Metrics for Testing, to be negotiated and accepted by TWC before testing begins;
* Develop Test Cases and Scripts ensuring 100% coverage of functional requirements with traceability to TWC’s HP ALM;
* Ensure Test Cases are developed and stored in TWC’s automated testing tool;
* Ensure Test Scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results;
* Test UI System to meet agreed-upon quality metrics including code quality, pass/fail rates, and reopen rates;
* Ensure test results are verified and document test results, including formal logging of errors found in testing;
* Resolve system defects timely as defined in the approved Test Plan;
* Update the requirements traceability matrix to reflect test cases scripts executed to verify requirement implementation;
* Support UAT executed by TWC; and
* Demonstrate approved Exit Criteria are satisfied to proceed through review gates at the conclusion of each test activity.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 11A | Updated Test Plan | At a minimum, the Plan must:   * Be stored in the TWC SharePoint site; * Updates must include:   + Any Test Plan updates to plans for the current or subsequent test process that have been agreed to by the TWC IT Project Manager and the Awarded Vendor Project Manager;   + Updated results of tests of test results reported in with the previous Updated Test Plan (See [Deliverable 5H](#_2.2.5_Required_DeliverableTask));   + Load Test results, including the parameters used to validate system performance;   + Performance Test results, including the parameters used to validate system performance;   + Accessibility Test results, including the volume of unique scripts and pass rate;   + Updated requirements traceability matrix tracing all test cases and processes to the relevant TWC functional and non-functional requirements;   Substantiation that Conduct System Configuration/ Customization phase testing Exit Criteria are achieved; and  A detailed definition outstanding issues, if deviations from approved SIT Exit Criteria are approved by the TWC IT Project Manager. | TBD in accordance with the IMS |
| 11B | Product Quality Metrics for Testing | At a minimum, the Product Quality Metrics must:  Include MOTS configurations, data migration, and interfaces;  Classify defect severity according to TWC;  Establish the number of defects allowed in each class to exit each test review gate and enter the next test phase; and  Meet agreed-upon quality metrics before deployment to Production. | TBD in accordance with the IMS |
| 11C | Test Cases and Scripts | At a minimum, the Test Cases and Scripts must:  Be stored in TWC’s HP ALM;  Cover  Accessibility;  MOTS;  TWC-specific configurations;  Data migration/mapping/cleansing;  Interfaces;  System performance; and  System security.  Be complete, with step-by-step procedures, required pre-existing events or triggers, and expected results. | TBD in accordance with the IMS |
| 11D | UI System is Tested to Meet Agreed-Upon Quality Metrics | At a minimum, Awarded Vendor must demonstrate that they successfully:  Met agreed-upon quality metrics before deployment to Production;  Ensured test results are verified and documented, including formal logging of errors found in testing; and  Established separate environments for production, development, and test with production data, not test data. | TBD in accordance with the IMS |
| 11E | UI System is Tested to proceed through review gates | At a minimum, Awarded Vendor must demonstrate that they successfully:  Achieved agreed-upon quality metrics to exit one type of testing and enter the next type of testing. Testing types include:  System Test;  Integration Test;  User Acceptance Test;  Data Validation Test;  Load Test;  Stress Test;  Vulnerability & Penetration Tests; and  End-to-end test to assess total, holistic functionality and system performance including network transmissions.  Obtained a go-no go decision from TWC to exit one test phase and enter the next, including to deploy to production. | TBD in accordance with the IMS |

The Offeror must include six (6) sample test cases and scripts, two (2) each for Appeals, Benefits, and Tax with their proposal.

### 2.2.12 Task 12: Create and Conduct Training

The Awarded Vendor will perform activities necessary for knowledge transfer so that TWC is self-sufficient in order to operate and maintain the solution. Training must cover anyone affected by the system, including but not limited to Program and IT Staff, new hires, external users, and providing guides to TWC’s UI Customers and partners.

Activities include:

* Implement a Training environment that hosts the version of the solution that will be implemented in production for TWC;
* Develop and implement a repeatable process for synchronizing the training environment with de-identified production data;
  + Data must be able to be aged;
  + Data must support all training needs and scenarios;
* Create Training Plans for each IT and Program area;
* Create Training Materials that includes any Texas-specific modifications;
* Design and document Training Courses;
* Create User Manuals, Guides, and Desk Aids;
* Create End User Webinars and video training;
* Conduct training;
* Evaluate and monitor all training for effectiveness, and conduct additional training as needed;
* Create a Knowledge Transfer Plan (KTP) to allow TWC Program and Technical staff to operate, maintain, configure and modify the solution with little or no involvement from the Awarded Vendor;
  + Technical knowledge transfer must include system support and operational aspects such as hardware and software support, design, development and test tool sets, patch and upgrade application, network and database support, batch processing, system technical operation, back-up and recovery steps, system table maintenance, system administration, security administration, interface operation and monitoring, system maintenance, implementation and other system specific operations including the use of all system/data-related tools required to support the System;
* Execute the KTP and transfer knowledge; and
* Demonstrations, as requested, for TWC executives, stakeholders, and staff.

TWC retains the right to edit and/or customize the training materials, guides, desk aids, webinars, and videos for use by TWC and its stakeholders.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 12A | Training Environment | At a minimum, the Environment must:  Be available statewide and allow for a maximum of eight hundred (800) concurrent users;  Be customizable for each IT and Program area to have their own training data, records and administration;  Provide for unique training data, records and administration for instructors (both IT and TWC training staff);  Enable instructors to create historical or backdated cases for training scenarios with de-identified data;  Provide an automatic refresh for selected records (as specified by TWC training staff), de-identified, on a scheduled (e.g., weekly) basis and on demand;  Specify an obfuscation tool or method to protect PII and Federal Tax Information (FTI) production data used in testing;  Provide instructors the capability to troubleshoot and reset customer records, scenarios, and data in real-time; and  Include real-time support for training environments (Sunday through Saturday from 7 AM to 7 PM Central). | TBD in accordance with the IMS |
| 12B | Training Plans for each IT and Program Area | At a minimum, the Plans must:  Include approach; schedule with all tasks, deliverables, dependencies and resource requirements; identified risks, issues and mitigation strategies;  Include a System Configuration Training Plan;  Include a Technical Support Training Plan;  Describe the training materials, resource plan, and timeline in support of the State-wide rollout of the solution to TWC staff;  Include a Train-the-Trainer approach that leverages the existing TWC Training Staff for the solution’s implementation; and  Identify any Awarded Vendor staffing resources that would be needed to supplement the TWC Training staff. | TBD in accordance with the IMS |
| 12C | Training Materials | At a minimum, the Training Materials must:  Include documentation and knowledge transfer necessary for instructors, UI/RID solution users, and Staff to be self-sufficient;  Include Instructor Guides;  Include Participant materials (student manual and exercise workbook);  Be compliant with federal and State Accessibility requirements, as defined in [Section 6.9](#_6.9_Electronic_Information), and utilize print and digital formats;  Be delivered in a TWC approved electronic format, MS Word is preferred; and  Include all Texas-specific modifications made to the base MOTS solution. | TBD in accordance with the IMS |
| 12D | Training Courses | At a minimum, the Training Courses must:  Include training necessary for TWC instructors, Program and IT Staff, new hires, and external users to be self-sufficient; and  Include hands-on exercises conducted in the Training Environment. | TBD in accordance with the IMS |
| 12E | Completed Training | At a minimum, Awarded Vendor must demonstrate that they successfully:  Conducted all Train-the-Trainer training; System Configuration training; and Technical Support training. | TBD in accordance with the IMS |
| 12F | Guides and Desk Aids | At a minimum, the Guides and Desk Aids must:  Include documentation and reference materials necessary for TWC Staff and Customers to be self-sufficient;  Include   * + UI User Guides for the Public;   + UI User Guides for Employers;   + Solution User Guides for Staff working at TWC;   + Quick Reference Guides; and   + Desk Aids for each defined user role.   Be compliant with federal and State Accessibility requirements, as defined in [Section 6.9](#_6.9_Electronic_Information), and utilize print and digital formats; and  Be delivered in electronic format, MS Word is preferred. | TBD in accordance with the IMS |
| 12G | End User Webinars and Video Training | At a minimum, the End User Webinars and Video Training must:  Be designed, developed, recorded, and published on TWC external web site; and  Be compliant with federal and State Accessibility requirements, as defined in [Section 6.9](#_6.9_Electronic_Information), and utilize print and digital formats. | TBD in accordance with the IMS |
| 12H | Knowledge Transfer Plan | At a minimum, the Plan must:  Capture knowledge from Awarded Vendor to allow TWC Program and Technical staff to operate, maintain, configure and modify the System with little or no involvement from the Awarded Vendor;  Clearly define the responsibilities and assumptions for Awarded Vendor and TWC provided training (e.g., TWC will provide object-oriented developer training for TWC technical staff, Awarded Vendor will provide solution configuration training for Awarded Vendor’s solution, etc.);  Specify methods and metrics for tracking progress in achieving training and knowledge transfer objectives;  Include sufficient instruction, training, time and resources to accomplish a transfer of knowledge to assure that TWC is able to properly, effectively and independently operate, maintain, enhance, configure, and modify the System; and  Include a plan of action to transfer that knowledge to TWC Staff. | TBD in accordance with the IMS |
| 12I | Completed Knowledge Transfer | At a minimum, Awarded Vendor must demonstrate that they successfully:  Conducted all knowledge transfer activities included in the Knowledge Transfer Plan  Confirmed that TWC Program and Technical staff can operate, maintain, configure and modify the System with little or no involvement from the Awarded Vendor;  Scored an average of 75% or higher on knowledge transfer completion surveys from all trainees for all areas;  Shared responsibility, between TWC and Awarded Vendor, for technical work throughout the project;  Completed classroom and on-the-job training; and  Conducted instructor- and self-assessments of IT staff readiness. | TBD in accordance with the IMS |

The Offeror must include a draft version of deliverables 12B (just one (1) draft training plan) and 12H with their proposal.

### 2.2.13 Task 13: Deployment Planning and Execution

The Awarded Vendor will perform activities necessary to fully implement the solution including system configurations, customizations, data conversion and migration, interfaces, reports, organizational change management, testing, and training.

Activities include:

* Verify that necessary system functions are available and/or that alternative solutions are developed to help avoid major disruption of services to UI customers and to prevent delays in paying UI benefits when due as identified in the ETA 9177 Report – Pre-implementation Planning Checklist Report for State Unemployment Insurance (UI) Information Technology (IT) Modernization Projects (<https://wdr.doleta.gov/directives/attach/UIPL/UIPL_11-18.pdf>) in the current version at the time of implementation
  + Develop detailed narrative report;
  + Report must be certified by TWC and submitted to the U.S. DOL ETA approximately 180 calendar days (6 months) prior to the projected implementation “Go-Live” date; and
  + Support includes any clarifications or follow-up requested by ETA.
* Create and execute Deployment Readiness Plan for each deployment
  + Create Readiness Checklist;
  + Identify day of deployment action items, primary and secondary task owners;
  + Define dress rehearsal activities and execute successfully;
  + Report on UAT results, all Severity 1 and Severity 2 defects, defined in [Attachment A10.4](#_A10.4_Service_Level), must be resolved prior to go-live; and
  + Receive Go/No-Go Executive Decision.
* Create and execute Day of Deployment Plan for each deployment
  + Identify Communications Officer and define Communications Plan;
  + Define Command Center / Bridge Line during each deployment;
  + Identify day of deployment action items and status updates throughout the day;
  + Enlist support by TWC IT team;
  + Provide end user support;
  + Create and implement Help Ticket Management Process; and
  + Define Roll Back Plan.
* Demonstrate that the UI solution is fully operational for ninety (90) calendar days with no Severity 1 defects.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 13A | Completed ETA 9177 Report | At a minimum, Awarded Vendor must demonstrate that they successfully:  Verified that necessary system functions are available and/or that alternative solutions are developed to help avoid major disruption of services to UI customers and to prevent delays in paying UI benefits when due as identified in the ETA 9177 Report; and  Obtained certification by TWC and submitted the Report to the U.S. DOL ETA approximately 180 calendar days (six (6) months) prior to the projected implementation “Go-Live” date. | TBD in accordance with the IMS |
| 13B | Deployment Readiness Plan and Execution | At a minimum, Awarded Vendor must demonstrate that for each deployment they successfully:  Completed all items on the Readiness Checklist;  Completed all Day of Deployment Action Items;  Conducted dress rehearsal;  Published UAT results; and  Acted on Go/No-Go Executive Decision. | TBD in accordance with the IMS |
| 13C | Day of Deployment Plan and Execution | At a minimum, Awarded Vendor must demonstrate that for each deployment they successfully:  Identified Communications Officer and defined Communications Plan;  Defined Command Center / Bridge Line during each deployment;  Identified day of deployment action items and reported status updates throughout the day;  Enlisted support by TWC IT team;  Provided end user support;  Created and implemented Help Ticket Management Process; and  Defined Roll Back Plan. | TBD in accordance with the IMS |
| 13D | Post Deployment and Execution | At a minimum, Awarded Vendor must demonstrate that:  The UI solution is fully operational for ninety (90) calendar days with no Severity 1 defects. |  |

The Offeror must include a draft version of Deployment Readiness Plan and Day of Deployment Plan with their proposal.

### 2.2.14 Task 14: Maintenance and Operations Plan

The Awarded Vendor will include an M&O Plan for post Go-Live support throughout the term of the Contract, during the implementation period and post Go-Live. The M&O Plan must:

* Consider the current workload, throughput targets, and demand for UI System Services; review service level agreements (SLAs) in [Attachment 10](#_Attachment_10_–) and recommend additional Program area SLAs; and determine the total capacity required to meet SLAs;
* Include all forty-eight (48) current FTE positions in the UI Systems Management unit, see table below, including currently filled positions and vacancies filled throughout the life of the project and contract as part of the M&O Plan. TWC values their institutional knowledge, relationship with business customers, and commitment and plans to retain and train existing staff to support the replacement UI system; therefore, current skills should not influence or limit Offeror’s proposed solution in any way;

| **UI Systems Role** | **Head Count** |
| --- | --- |
| UI Systems Manager | 1 |
| Quality Assurance (QA) Senior Lead | 1 |
| Systems Engineering Senior Lead | 1 |
| Analyst Team Lead | 1 |
| Developer Team Leads (Mainframe) | 2 |
| Web Team Lead (Client Server) | 1 |
| Analysts | 11 |
| Mainframe Developers | 18 |
| Object Oriented Developers (currently Java) | 12 |
| **Total** | **48** |

* Specify all roles, including but not limited to maintenance and support for applications, builds, data, environments, infrastructure, and administration of third-party tools; staffed by TWC or Awarded Vendor; responsibilities; duties; skills; performance standards; organizational chart; and the number of staff needed in each role to establish and manage a support team to meet M&O demand and SLAs;
* Develop a checklist of knowledge transfer topics;
* Include documents from both the vendor and each TWC UI IT staff person indicating completion for each knowledge transfer item and readiness to accept responsibility;
* Identify anticipated workload volumes and staffing required to meet volumes;
* Specify how the Offeror will provide knowledge transfer and skills training to TWC’s forty-eight (48) FTEs to fill the M&O roles (to be included in the Knowledge Transfer Plan defined in [Task 12](#_2.2.12_Required_DeliverableTask));
* Specify how the Offeror will augment the forty-eight (48) FTEs with additional Offeror or subcontractor staff to fill all required roles and responsibilities, if necessary;
* Specify the scope of M&O support including how the Offeror will phase in M&O production support in a phased rollout considering TWC IT UI Systems’ responsibilities for continuing support of legacy systems through the final deployment;
* Include an organizational chart for IT Support Staff in TWC UI Systems; and
* The Awarded Vendor will submit a Monthly Operations Status Report due no later than the fifth (5th) calendar day after the end of the month to include a summary of uptime and unplanned outage activities, accomplishments, planned downtime and future activities, and issues.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 14A | M&O Plan | At a minimum, the Plan must:  Specify all tasks; roles; responsibilities; skills; the number of staff needed by role; and performance standards;  Identify anticipated workload volumes and staffing;  Contain a governance process for the M&O of the new solution including, but not limited to:  A process to intake, analyze, and estimate the effort to implement modification requests;  The creation and maintenance of development, test, and production environments;  The delivery of regularly scheduled releases;  A recommended approach for configuration management;  A recommended approach for leveraging other states’ functionality and features who share the common vendor;  A full array of systems engineering including business requirements, design, development of modifications, systems testing, UAT, load and stress testing, deployment readiness, deployment; and  Post-deployment support.  Include all forty-eight (48) current FTEs;  Specify staff augmentation plan;  Specify knowledge transfer and skills training;  Include checklist of knowledge transfer topics;  Specify scope and phased approach to support operations throughout the term of the Contract;  Include updated organizational chart; and  Include shared M&O in the technical knowledge transfer plan. | AoC + 90 calendar days |
| 14B | Monthly Operations Status Reports | At a minimum, Awarded Vendor must submit Monthly Operations Status Reports. | TBD in accordance with the IMS |

The Offeror must include a draft version of the checklist of knowledge transfer topics with their proposal.

### 2.2.15 Task 15: Additional Implementation Support

The Additional Implementation Support deliverable provides discretionary funding for additional Project activities or revisions necessitated due to unanticipated mandates and/or other changes essential to solution delivery. These Implementation Support hours will be available for use at TWC’s discretion for additional work related to the contracted deliverables. The Additional Implementation Support deliverable price will be set for two thousand (2,000) hours.

Expenditure of these funds will be managed through the TWC IT Project Management Office (PMO) Change Control process which requires Change Request(s) to be approved by the Project Steering Committee and Sponsors.

To support the Change Management processes, the Awarded Vendor must:

* Participate on the Project Change Control Board;
* Establish processes to provide timely, accurate impact analysis and cost assessment of requested changes to support CCB evaluation and prioritization of requested changes;
* Establishing a process for tying in the requirements elaboration process as appropriate to the change request process; and
* Establish a process for implementation of approved changed in the delivery cycle.

The Project Steering Committee will consist of top TWC management and executives, specific membership will be decided by TWC after contract award.

Activities include:

* Additional work as defined by approved Change Requests and their associated Change Orders; and
* Work products and tasks as assigned by the TWC IT Project Manager; and review and approval of the work products by the TWC IT Contract Manager.

The Awarded Vendor will complete the following deliverable during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 15A | Additional Implementation Support | Acceptance Criteria will be defined in approved Change Requests and their associated Change Orders. | TBD in accordance with the IMS |

### 2.2.16 Task 16: Annual Software Maintenance and Support Subscription

The Offeror will define the services included in annual software licensing and support and any additional annual cost outside the initial purchase or subscription model defined in [Task 3](#_2.2.3_Required_DeliverableTask): Design Holistic UI Replacement System. Any costs for recurring annual support and/or software licensing must be fixed from the date of Go-Live and guaranteed not to increase for the first four (4) years after go-live, and the annual price will be listed in [Attachment 12](#_Attachment_12_–), Pricing.

Post-Project support and services will include:

* The Awarded Vendor’s hosting, DR facilities, and all Texas data must remain located in the United States throughout the term of the Contract;
* Annual subscription, maintenance and support for all environments (Development; Test; Training; and Production) including discount for paying annual maintenance in advance;
* Upgrades, releases and patches if applicable;
* Change Management activities:
  + Release packaging and coordination (calendar; frequency; content prioritization; functional, regression, performance and release testing; and communications);
  + Release Process and Procedures;
  + Minimum / Maximum number and types of releases; and
  + Release coordination, communications and Release Notes.
* Updates to all System (requirements, detailed design, security, operations, etc.) documentation to reflect any changes that have occurred during the Warranty and/or Annual Software Maintenance and Support period(s);
* Updates to Training Materials prior to each major release;
* Training environment capabilities required for post-Project remain the same as specified above for [Task 12:](#_2.2.12_Required_Deliverable) Create and Conduct Training with the exception that the maximum number of concurrent users will be three hundred fifty (350);
* The Awarded Vendor will provide at least one (1) FTE Staff member, onsite required, to function as a Product Analyst for the duration of this Task. Responsibilities will include functioning as a SME for TWC Staff and serving as a Liaison between the Awarded Vendor and TWC. Activities include:
  + Facilitate requirements documentation for future solution enhancements;
  + Explain and clarify future Awarded Vendor releases;
  + Assist with issue and/or defect reporting and resolution as appropriate; and
  + Other solution related activities as directed by the TWC IT Project Manager.
* The Awarded Vendor will submit a Monthly Operations Status Report due no later than the fifth (5th) calendar day after the end of the month to include a summary of uptime and unplanned outage activities, accomplishments, planned downtime and future activities, and issues.

**Service Delivery Solutions (SaaS, IaaS, PaaS, non-SaaS Vendor-Hosted)**

Offeror must comprehensively list the server management functions they will provide in their offering and include the costs in Attachment 12 - Pricing.

**DCS Related Expenses (DCS or DCS-Leveraged non-SaaS Vendor-Hosted)**

Programs that receive services through the DCS program are billed according to resources consumed. The DCS Resource Units are measured and billed on a monthly basis. Hardware Services Charges (HSC) and Software Services Charges (SSC) are charged based on hardware and software acquired to support application servers. Application servers are classified as Platinum, Gold, Silver, and Bronze, depending on the architecture and support requirements. The DCS Agreement, Exhibit 4 describes the pricing structure.

If proposing a DCS solution, Offeror should comprehensively list their infrastructure requirements for DCS infrastructure within a State Data Center for financial review by TWC and DIR. Offeror should leave DCS costs blank. TWC Purchasing Division will coordinate with DIR to ascertain DCS costs.

The Awarded Vendor will complete the following deliverable during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 16A | Annual Software Maintenance Support and Subscription | At a minimum, Awarded Vendor must demonstrate that they successfully:  Kept hosting, DR facilities, and all Texas data located in the United States;  Provided annual subscription, maintenance and support for all environments;  Provided upgrades, releases and patches;  Conducted Change Management activities;  Provided updates to all System documentation;  Provided updates to Training Materials;  Maintained Training environment capabilities;  Provided at least one (1) full-time Staff member, onsite required, to function as a Product Analyst; and  Submitted Monthly Operations Status Reports. | TBD in accordance with the IMS |

### 2.2.17 Task 17: Maintain Effective Cyber Security

The Awarded Vendor will provide cyber security artifacts to demonstrate compliance with the controls necessary to maintain the confidentiality, integrity, and accessibility of the UI System. These control requirements are listed in [Section 1.4.3](#_1.1.3_Data_Privacy) and Technical/System requirements in [Attachment 5](#_Attachment_5_–).

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 17A | FedRAMP ATO | Awarded Vendor must provide certification from a Federal Agency Sponsor that their cloud hosting solution has FedRAMP ATO for systems with a Moderate risk level. | AoC |
| 17B | Security Assessment Plan | Awarded Vendor must provide a plan to assess the information security controls implemented to determine whether they are operating as intended and the extent to which they are producing the desired results.  This plan must include the:  Security monitoring methods;  Control measurement methodology;  Data analysis/benchmarking; and  Continuous improvement cycle. | Acceptance of System Design Document (Deliverable 3A) + 120 days |
| 17C | Incident Response Plan | Awarded Vendor must provide a plan that defines the steps that will be taken to detect, respond to, and recover from information security incidents including, but not limited to:  Cybercrime;  Data loss;  Privacy violations; and  Malware intrusions. | Acceptance of System Design Document (Deliverable 3A) + 120 days |
| 17D | System Security Plan | Awarded Vendor must provide a system security plan that outlines the preventative, detective, and corrective controls using a NIST 800-53 format in compliance with IRS Publication 1075. | Acceptance of System Design Document (Deliverable 3A) + 180 days |
| 17E | Implemented Security Plans | At a minimum, Awarded Vendor must demonstrate that they successfully implemented all tasks outlined in the following plans:  Security Assessment Plan;  Incident Response Plan; and  System Security Plan. | TBD in accordance with the IMS |

### 2.2.18 Task 18: End of Contract Services

Both TWC and the Awarded Vendor agree that upon any termination of this Contract, a seamless and transparent transfer is in the best interest of TWC stakeholders. TWC and the Awarded Vendor therefore agree to develop and implement a reasonable transition plan (the “Transition Plan”) designed to achieve an efficient transfer of responsibility to another entity, in a timely manner, and to cooperate fully throughout the post-termination period until such transition is complete. TWC requires that the Awarded Vendor work in conjunction with TWC and any subsequent contractor to ensure a smooth transition at the end of any contract resulting from this solicitation.

At the end of this contract the Awarded Vendor must:

* Fully cooperate with any subsequent vendor;
* Provide a written plan that details disposition of TWC Data and hand-off of services;
* Agree to transfer the data in its custody to any subsequent vendor, via secured means;
* Comply with audit verification that all data has been transferred that is necessary for record retention, access logging and investigation, confirming that no data is retained once the transfer is complete, received, and usability has been confirmed;
* Certify that TWC Data has been removed and sanitized from Awarded Vendor’s hosted solution; and
* The Awarded Vendor must identify any TWC proprietary documentation and return it to the TWC IT Contract Manager. Any electronic copies of TWC proprietary information stored on Awarded Vendor equipment must be transferred back to TWC before being deleted. The format and the medium of transfer will be at the discretion of TWC.

TWC and the Awarded Vendor must develop a Transition Plan for the orderly, effective transition of data and operations at the termination of this Contract. The Transition Plan will specify the tasks to be performed by the parties, the schedule for the performance of such tasks, and the respective responsibilities of the parties associated with the tasks. The Transition Plan will be completed at a date agreed upon by TWC and the Awarded Vendor, but not later than six (6) months from the award of the Contract.

The written Transition Plan must include, at a minimum, the procedures and schedule under which:

* The Awarded Vendor’s and the TWC’s transition managers will meet to review the status of Transition Plan activities and to resolve any issues;
* Outside vendors will be notified of procedures to be followed during the transition;
* All TWC Data and information, documents, mail, instruments, and other relevant information are transferred to TWC, via secured means;
* Financial reconciliation of all funds;
* Any interim measures deemed necessary to ensure compliance with federal and state law and regulations are taken; and
* Final approval of the Transition Plan resides with TWC. The Awarded Vendor and TWC will revisit the plan during January of each year of the Contract. The termination of services under this Contract, occurring for any reason, will be governed by and follow the approved Transition Plan.

The Awarded Vendor must cooperate with TWC to assist with the orderly transfer of the services, functions, and operation provided by the Awarded Vendor hereunder to another service provider. Awarded Vendor personnel critical to the transfer efforts will be identified by the parties. The Awarded Vendor will ensure the cooperation of its key employees during the transfer process. The Awarded Vendor will provide full disclosure to TWC of all services required to perform services previously performed by the Awarded Vendor within thirty (30) calendar days of any TWC request for same. The Awarded Vendor will exercise reasonable efforts to affect a transfer of license or assignment of agreement(s) for any Software or third-party services utilized by the Awarded Vendor to provide services to TWC. The Awarded Vendor will ensure that TWC obtains appropriate access to third-party services, hardware, software, personnel, and facilities required to perform an orderly transition.

In the event, any Contract resulting from this RFO expires or is terminated for any reason before the end of the Contract period, the Awarded Vendor must extend the services hereunder for a period up to one hundred eighty (180) calendar days (time period is at sole discretion of TWC), or until such time as services of a new Contract is in effect and implemented, as determined by and at the sole discretion of TWC. Following this Termination Assistance period, the Awarded Vendor will answer questions from TWC on an “as needed” basis. The Awarded Vendor will work with TWC and any other organization(s) designated by TWC to facilitate an orderly transition of services at the end of the Contract term.

The Awarded Vendor will complete the following deliverables during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| 18A | Transition Plan | At a minimum, the Plan must include the procedures and schedule under which:  A seamless and transparent transition of data and operations will occur to a subsequent contractor;  The Awarded Vendor’s and the TWC’s transition managers will meet to review the status of Transition Plan activities and to resolve any issues;  Outside vendors will be notified of procedures to be followed during the transition;  All TWC Data and information, documents, mail, instruments, and other relevant information are transferred to TWC, via secured means;  Financial reconciliation of all funds;  Any interim measures deemed necessary to ensure compliance with federal and state law and regulations are taken; and  The Awarded Vendor and TWC will revisit the plan during January of each year of the Contract. | No later than AoC + six (6) months |
| 18B | Completed Transition Plan | At a minimum, Awarded Vendor must demonstrate that they successfully:  Fully cooperated with any subsequent vendor;  Provided a written plan that details disposition of TWC Data and hand-off of services;  Transferred the data in its custody to any subsequent vendor, via secured means;  Complied with audit verification that all data has been transferred that is necessary for record retention, access logging and investigation, confirming that no data is retained once the transfer is complete, received, and usability has been confirmed;  Certified TWC Data has been removed and sanitized from Awarded Vendor’s hosted solution;  Returned any TWC proprietary documentation to the TWC IT Contract Manager; and  Confirmed that any electronic copies of TWC proprietary information stored on Awarded Vendor equipment was transferred back to TWC before being deleted. | TBD as requested by TWC |

## 2.3 Optional Task and Project Deliverable

Offerors may, if desired, submit an offer for the Optional Task and Project Deliverable described in this section. TWC will conduct the evaluation of all responses based solely on the Tasks and Required Project Deliverables in Section 2.2, not including any optional deliverables. Offerors will not be penalized for not submitting an offer for the Optional Task and Project Deliverable. Once TWC selects one (1) Offeror with whom to enter negotiations, TWC will determine whether to award the Optional Task and Project Deliverable (if Offeror included a proposal for that item) based on the total price of the offer, proposed price for that deliverable, Offeror’s qualifications related to that deliverable, and TWC’s available funding. If TWC determines that the Optional Task and Project Deliverable is too costly or exceeds the proposed budget, TWC may consider a separate procurement at a later date.

Following each deliverable below, provide a response in which you:

* Either state that you accept all activities and work products or describe any changes you propose. If you propose changes, map your proposed changes to the deliverables, activities and work products in the RFO.
* Describe the approach you propose to use to develop the deliverable, including your understanding of the deliverable and how you plan to achieve success.
* Do not repeat the information provided in the RFO.

### 2.3.1 Optional Task 1: Content Management System

The Awarded Vendor will provide a replacement for TWC’s existing content management system (CMS), IBM FileNet; and integrate it with the Awarded Vendor’s UI Replacement System. FileNet Content Manager is a document management engine that combines enterprise content (e.g., documents, correspondence, and related materials used in UI operations), security and storage features with ready-to-use workflow and process management capabilities. The Awarded Vendor will conduct training, provide documented instructions, and conduct knowledge transfer sessions with TWC staff. Any costs for recurring annual support and/or software licensing must be fixed from the date of Go-Live, and the annual price will be listed in [Attachment A12.](#_A12.4_Pricing_for)5, Pricing for Optional Deliverables.

Activities include:

* Confirm the current FileNet functionality and requirements;
* Describe the CMS to replace FileNet;
* Develop a Software Purchase and Licensing Plan
  + Include the complete list and quantity of licenses needed to operate CMS solution in any environment (development, test, production, etc.) including third-party software and hardware. The Awarded Vendor will develop the Licensing Plan with input from TWC’s IT IS and AD&M departments;
  + Itemize the costs of such hardware or software. Awarded Vendor agrees that in the event that additional licenses or software products not included in the signed contract and are required to satisfy such requirements, Awarded Vendor must be responsible for the costs of any and all such additional software licenses. However, TWC will retain the right to ownership of any such licenses;
  + The Offeror will detail the provisions of the initial software purchase or subscription, including the user licensing model(s) being offered, such as: concurrent users, named users, unlimited users, or a hybrid model. This initial software purchase or subscription is to cover the period from Go-Live through the end of the Warranty Period; and
  + The Offeror will detail the cost to configure the CMS solution to meet TWC’s requirements as well as any additional functionality or customizations for TWC to consider adding to the base configuration at the sole discretion of TWC. If the Offeror recommends a phased implementation approach, Offeror will detail the cost of their solution by phase.
* Migrate data from FileNet to the CMS solution;
* Implement the interfaces
  + Conduct implementation and testing activities;
  + Track and correct defects;
  + Verify and validate interfaces; and
  + Coordinate with stakeholders internal and external to TWC.
* Conduct System Testing;
* Create and Conduct Training;
* Integrate with Awarded Vendor’s UI Replacement System; and
* Provide documentation for CMS solution.

The Awarded Vendor will complete the following deliverable during this Task:

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| OD1A | Provide an integrated, tested CMS solution | At a minimum, Awarded Vendor must demonstrate that they successfully:  Created a CMS design document;  Developed a Software Purchase and Licensing Plan;  Migrated data from FileNet to the CMS solution;  Implemented the interfaces;  Conducted System Testing;  Created and Conducted Training;  Integrated with Awarded Vendor’s UI Replacement System; and  Provided documentation for CMS solution. | TBD in accordance with the IMS |

### 2.3.2 Optional Task 2: Workforce Connect

The Awarded Vendor must implement all available NASWA/ITSC Workforce Connect modules or substantially similar functionality to integrate and exchange data across disparate IT systems, including commercial off-the-shelf solutions other than one(s) being offered. The Offeror must describe how their System will interface, including data exchanged and Single Sign On (SSO) integration, with Workforce Connect or similar functionality and any costs associated with the interface. The Offeror must state whether or not they have successfully interfaced with Workforce Connect previously, with which state, and the approximate implementation date.

| **No.** | **Deliverable** | **Acceptance Criteria** | **Due Date** |
| --- | --- | --- | --- |
| OD2A | Implement all available Workforce Connect modules | At a minimum, Awarded Vendor must demonstrate that they successfully:  Implemented all modules;  Conducted System Testing;  Created and Conducted Training;  Integrated with Awarded Vendor’s UI Replacement System; and  Provided documentation. | TBD in accordance with the IMS |

## 2.4 Deliverables Schedule

The UI System Replacement project is expected to be conducted and completed during FY 2020 through FY 2024. TWC is open to various implementation approaches as described in Deliverable 1B, Implementation Strategy.

Offeror must submit a Major Milestones table, see Section 2.4.1, for each phase defined in Deliverable 1B, including estimated completion dates. In addition, each phase must have a corresponding pricing table, see [Attachment 12](#_Attachment_12_–) – Pricing.

### 2.4.1 Major Milestone Tables

Offeror must provide estimated completion dates for Deliverables in the Major Milestones table below in addition to the proposed WBS and/or detailed IMS. Offeror must label Major Milestone Tables for each phase defined in Deliverable 1B and use the same labels for the corresponding phase pricing tables in Attachment 12.

| **Deliverable Number** | **Deliverable**  **Name** | **Estimated Completion Date** |
| --- | --- | --- |
| 1 | Plan and Setup Project |  |
| 1A | Kick-off Meeting Agenda, Presentation, and Minutes |  |
| 1B | Implementation Strategy |  |
| 1C | Project Management Plan |  |
| 1D | Detailed WBS and IMS |  |
| 1E | Staffing Plan |  |
| 1F | Test Plan |  |
| 1G | Lessons Learned Collection Process |  |
| 2 | Manage Requirements |  |
| 2A | Requirements Management Plan |  |
| 2B | Requirements Workshops |  |
| 2C | Requirements Baseline |  |
| 2D | Requirements Traceability Matrix |  |
| 3 | Design Holistic UI Replacement System |  |
| 3A | System Design Document |  |
| 3B | Software Purchase and Licensing Plan |  |
| 4 | Assess Infrastructure |  |
| 4A | Infrastructure Report |  |
| 5 | Configure/Develop System and Conduct Technical Acceptance Testing |  |
| 5A | Software Development Plan |  |
| 5B | Configuration Management Plan |  |
| 5C | Configured Tax System |  |
| 5D | Configured Benefits System |  |
| 5E | Configured Appeals System |  |
| 5F | Configured RID System |  |
| 5G | Configured RTM System |  |
| 5H | Update Test Plan |  |
| 5I | Completed Technical Acceptance Testing Checklist |  |
| 6 | Migrate Data |  |
| 6A | Data Migration Strategy and Plan |  |
| 6B | Migrate Data |  |
| 7 | Implement Interfaces |  |
| 7A | Interface Implementation Strategy and Plan |  |
| 7B | Implemented Interfaces |  |
| 8 | Replace Reports |  |
| 8A | Inventory of all Required Reports and Ad Hoc Queries |  |
| 8B | Confirm and Document Requirements for Reports and Ad Hoc Queries |  |
| 8C | Implement Replacement Reports and Queries |  |
| 9 | Plan and Implement OCM |  |
| 9A | OCM Plan |  |
| 9B | Technical Documentation Stored |  |
| 9C | Implemented OCM Plan |  |
| 10 | Implement Automated Testing Solution |  |
| 10A | Automated Testing Solution Test Plan |  |
| 10B | Automated Testing Solution Documentation |  |
| 10C | Implemented Automated Testing Solution |  |
| 11 | Conduct System Testing |  |
| 11A | Updated Test Plan |  |
| 11B | Product Quality Metrics for Testing |  |
| 11C | Test Cases and Scripts |  |
| 11D | UI System is Tested to Meet Agreed-Upon Quality Metrics |  |
| 11E | UI System is Tested to proceed through review gates |  |
| 12 | Create and Conduct Training |  |
| 12A | Training Environment |  |
| 12B | Training Plans for each IT and Program Area |  |
| 12C | Training Materials |  |
| 12D | Training Courses |  |
| 12E | Completed Training |  |
| 12F | Guides and Desk Aids |  |
| 12G | End User Webinars and Video Training |  |
| 12H | Knowledge Transfer Plan |  |
| 12I | Completed Knowledge Transfer |  |
| 13 | Deployment Planning and Execution |  |
| 13A | Completed ETA 9177 Report |  |
| 13B | Deployment Readiness Plan and Execution |  |
| 13C | Day of Deployment Plan and Execution |  |
| 13D | Post Deployment and Execution |  |
| 14 | Maintenance and Operations Plan |  |
| 14A | M&O Plan |  |
| 14B | Monthly Operations Status Reports |  |
| 15 | Additional Implementation Support |  |
| 15A | Additional Implementation Support |  |
| 16 | Annual Software Maintenance and Support Subscription |  |
| 16A | Annual Software Maintenance Support and Subscription |  |
| 17 | Maintain Effective Cyber Security |  |
| 17A | FedRAMP ATO |  |
| 17B | Security Assessment Plan |  |
| 17C | Incident Response Plan |  |
| 17D | System Security Plan |  |
| 17E | Implemented Security Plans |  |
| 18 | End of Contract Services |  |
| 18A | Transition Plan |  |
| 18B | Completed Transition Plan |  |

### 2.4.2 CMS (Optional)

Offerors may, if desired, provide estimated milestone dates for the Optional Deliverable in the table below.

| **Deliverable Number** | **Deliverable**  **Name** | **Estimated Completion Date** |
| --- | --- | --- |
| OD1 | CMS (Optional) |  |
| OD1A | Provide an integrated, tested CMS solution (Optional) |  |

### 2.4.3 Workforce Connect (Optional)

Offerors may, if desired, provide estimated milestone dates for the Optional Deliverable in the table below.

| **Deliverable Number** | **Deliverable**  **Name** | **Estimated Completion Date** |
| --- | --- | --- |
| OD2 | Workforce Connect (Optional) |  |
| OD2A | Implement all available Workforce Connect modules (Optional) |  |

## 2.5 Overall Project Approach

The Offeror must describe the overall process (i.e., used throughout the Project or for more than one (1) deliverable) proposed to satisfy the Project goals and objectives.

Do not repeat deliverable-specific approaches or project management practices described in other sections.

## 2.6 Project Assumptions

The Offeror must describe any business, economic, legal, programmatic, or practical assumptions that underlie the Offeror’s response to this RFO. The example assumption provided in the table below is for illustrative purposes only and should not be included in Offeror’s response. TWC reserves the right to accept or reject any assumptions. Offeror may add more rows as needed.

**All assumptions not expressly identified and incorporated into the contract resulting from this RFO will be deemed rejected by TWC.**

| **Item #** | **Reference (Section, Page, Paragraph)** | **Description** | **Rationale** |
| --- | --- | --- | --- |
| Example | 2.2.13 | Offeror assumes that implementation will not require site-specific implementation plans. | The solution is completely browser based. |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |

# Project Processes

## 3.1 Roles and Responsibilities

The Awarded Vendor is responsible for all deliverables. TWC staffing is provided only for assisting with requirements, subject matter expertise, collaboration, review, support, execution of UAT, data unload, data transfer and knowledge transfer purposes, unless otherwise agreed to in the Best and Final Offer (BAFO) or later during the project implementation through a contract amendment.

TWC is providing an IT Project Manager, a Program Manager, and an IT Contract Manager who will work as a team with the Awarded Vendor Project Manager.

The TWC IT Project Manager oversees the Awarded Vendor Project Manager for overall coordination on Project monitoring, status reporting, issue resolution, and implementation. The TWC IT Project Manager manages or oversees all aspects of the Project lifecycle, including budget tracking, invoice processing, project planning and tracking, issue resolution, risk management, and change management.

The TWC Program Manager represents the program/business areas, ensures proper customer and program input into design, and facilitates adequate staffing from the business and IT areas.

The TWC IT Contract Manager monitors the Awarded Vendor performance; reviews deliverables to ensure specifications are met; and approves invoice(s) for payment as appropriate. The IT Contract Manager also identifies and resolves contract-related issues and approves all contract changes and amendments with inputs from the Project Steering Committee.

The Awarded Vendor Project Manager:

* Provides overall coordination for Awarded Vendor’s Project planning, tracking and monitoring, status reporting, issue resolution, risk management, and change management;
* Manages and staffs Awarded Vendor resources during all phases of the Project, ensuring all contract requirements are met, all deliverables delivered within the promised price and timeline;
* Ensures overall quality, accuracy and value of all work products and deliverables;
* Facilitates adequate staffing from the Awarded Vendor; and
* Ensures the Project deliverables meet all TWC requirements, quality, and standards.

TWC will provide technical and business SMEs as required for the execution of the Project. The Offeror must describe their expectations of TWC Staff participation in this Project, including types of expertise needed and approximate amount or percentage of time expected.

## 3.2 Project Management Practices

TWC has existing Project Management Practices and templates, including project planning and tracking, monitor and change control, issue resolution, risk management, and project closeout. The Project Team will discuss the Awarded Vendor’s practices and TWC’s practices and mutually agree in writing as to which practices apply and what tailoring is required.

In this section, Offeror is to describe its practices; however, the final practices will be agreed upon by the Project Team. If you propose using any proprietary or hosted tools to support any of these practices, include a description of how TWC will be able to access the information and how TWC can retain the information after the Project is complete. In addition, the Offeror must provide a list of all Project Management deliverables including deliverable content, due dates, and update frequency.

### 3.2.1 Project Planning and Tracking

The Offeror must describe their Project Management process and deliverables, including Project planning and tracking of scope, schedule, and costs. The Offeror also must describe how the solution can be implemented to allow for incremental deliveries and successes.

### 3.2.2 Project Meetings

The Offeror must describe how they plan, execute, and document meetings including but not limited to meeting agendas, meeting invitations, distribution of pre-meeting material, facilitation techniques, meeting documentation, and tracking of action items, decision logs, issue logs, risk matrix, and lessons learned.

### 3.2.3 Monitor and Change Control

The Offeror must describe their Monitor and Change Control process and deliverables.

The Offeror must describe the performance indicators used to measure Project performance during the entire life of the Project and how they monitor and report on those performance indicators. The performance indicators must include, at a minimum, measurements of schedule, cost, scope, and quality.

The Offeror must describe how they create and maintain a user-friendly data visualization tool that provides an analysis and visual representation of the performance indicators for the Project.

### 3.2.4 Issue Logging and Resolution

The Offeror must describe their Issue Logging and Resolution process and deliverables.

### 3.2.5 Risk Management

The Offeror must describe their Risk Management process and deliverables.

### 3.2.6 Quality Management

The Offeror must describe their Quality Management process and deliverables, including formal reviews and sign-offs.

### 3.2.7 Close Phase and Project

The Offeror must describe their Phase and Project Closeout process and deliverables, including documenting all work completed and capturing lessons learned.

## 3.3 Project Risks, Assumptions and Constraints

### 3.3.1 Risks

Project Risks include:

* Legislation or other regulatory action could require changes in the business requirements after this RFO is posted and/or the Project has begun;
* The possibility of future State and federal legislation could limit the availability of Staff (business area and IT) as they may be diverted to implement mandates with short deadlines for other systems; and
* Staff with Project knowledge may leave the agency or team.

### 3.3.2 Assumptions

Assumptions related to the Project and procurement are as follows:

* Funding will be approved during the 86th Legislative Session;
* The Commissioners, the Executive Team and the designated representatives from each business area will fully support this initiative;
* SMEs will be available to provide input on business requirements and validate information documented in Project deliverables based upon the IMS proposed by Awarded Vendor and approved by TWC;
* Awarded Vendor Staff will work with TWC Staff to document requirements impacting solution configuration early in the Project; and
* TWC will continue to use the current UI systems until all design, testing, implementation and acceptance activities are completed successfully.

### 3.3.3 Constraints

Project Constraints include the following:

* Any selected cloud services provider must meet the FedRAMP requirements and have attained FedRAMP (Moderate) ATO prior to Award Date;
* This Project is limited by the allocated budget;
* The business areas providing SMEs will be required to maintain an excellent level of customer service which could limit the availability of TWC Staff during peak workload times; and
* IT Staff will support a continuing need for consistent legacy system availability during all phases of the Project which could limit the availability of technical staff.

## 3.4 Deliverable Submission and Review

The Awarded Vendor must provide early samples of deliverables in draft form, at approximately 25% and 75% complete, to the TWC IT Project Manager and the Program Manager for feedback and possible re-direction/course-correction before the entire deliverable is produced. The deliverable must be submitted in a format approved by the TWC IT Project Manager and the Awarded Vendor must complete QA reviews and any required remediation before delivery to TWC.

* If the deliverable cannot be provided within the scheduled time frame, the Awarded Vendor is required to email the TWC IT Project Manager and Program Manager with the reason for the delay and the proposed revised IMS. The request for a revised schedule must include the impact on related tasks and the overall Project. A request for a revised schedule must be reviewed and approved by the TWC IT Project Manager before being placed in effect;
* Once the deliverable is completed, a TWC SME will conduct a quality review prior to the deliverable being submitted to the Project Team reviewers. The Awarded Vendor will send an email to the Project Team reviewers that specifies the review due date and provides links to the items to be reviewed. The Awarded Vendor will provide hard copies upon request, hard copies may be produced on TWC equipment;
* TWC and the Awarded Vendor will agree on the duration and deliverable review periods. TWC will provide reviewer roles and responsibilities before the deliverables are submitted for review. TWC may assign IV&V staff deliverable review responsibilities;
* If requested by TWC, Awarded Vendor must provide a walk-through of the deliverable before the review begins to facilitate the review;
* The Project Team and appropriate SMEs will review the draft and final deliverables;
* TWC may require up to ten (10) business days to review deliverables, depending upon the complexity. TWC will conduct detailed deliverable reviews to attempt to identify all needed corrections; however, TWC will require more rounds of review/revision if:
  + The first review resulted in new information being added, because that new information may require revision; or
  + Updated deliverables do not resolve TWC comments/concerns to TWC’s satisfaction;
* Review and revision times may be shortened by conducting deliverable review meetings after the Project Team reviewers have completed their independent reviews. The Awarded Vendor Project Manager and/or TWC IT Project Manager will schedule Project Team review meetings. The time lapse between providing the deliverable and the review meeting will be agreed upon before the meeting is scheduled. Most updates will be done online in the review meeting. Any updates that must be done offline will be documented in a Review Comments spreadsheet, using an existing template; and
* Once the deliverable is completed, a TWC SME will conduct a quality review prior to the deliverable being submitted to the Project Team reviewers. The Awarded Vendor will send an email to the Project Team reviewers that specifies the review due date and provides links to the items to be reviewed and will provide hard copies upon request. Hard copies may be produced on TWC equipment.

TWC and the Awarded Vendor must agree on corrective actions and revised timeframes for reviews of deliverables if significant quality issues are encountered during deliverable review. Repeated quality issues will be escalated according to [Section 4.2](#_4.2_Escalation_Path), Escalation Path.

## 3.5 Deliverable Acceptance

Deliverable acceptance will be achieved only when TWC approves the deliverable in writing or electronically in the TWC Project repository. Approval will occur during the review period if the TWC IT Contract Manager or designee does not request any changes or all requested changes are made and accepted by the TWC IT Contract Manager or designee during the review period. Approval will occur after the original review period if the TWC IT Contract Manager requests changes during the review period that are still in progress or in subsequent review at the end of the original review period.

Deliverable acceptance criteria include:

* Work conforms to the description and intent of all written agreements between the Awarded Vendor and TWC (e.g., BAFO, DEDs) unless all parties mutually agree in writing to modification;
* Deliverable meets all applicable TWC and Project standards, including but not limited to security, privacy and accessibility;
* Documents are structured and written to convey the information in a logical, comprehensible manner, using correct spelling and grammar;
* The deliverable includes a description of how it fits into the full Project life cycle;
* If part of the deliverable is an activity, the Task describes the process and the outcomes for that activity (e.g., conducting group input sessions);
* All work products are stored on the TWC SharePoint site, TWC’s ALM, or TWC’s LAN as directed by the TWC IT Project Manager;
* TWC will retain all ownership of final work products and working documents after the deliverable is complete. TWC will also maintain ownership of any incomplete work products if there is a termination according to the terms and conditions (see [Attachment 1](#_Attachment_1_–) - Texas Workforce Commission - Terms & Conditions);
* All deliverables and other work products related to each Project phase, including research, notes, and important emails that are not included in the final deliverables, are stored in the Project directory or SharePoint site;
* Any confidential Project documents or information are stored in a secure, limited access directory on the TWC share drive; and
* Deliverables will be produced using agreed upon document templates; are tailored with the Project name and/or logo; and includes the saved date/time and filename and path in the document footer. Documents and recommendations received are subject to Project Team and stakeholder review and approval.

## 3.6 Invoices

The Awarded Vendor may invoice TWC for a deliverable only after TWC has formally accepted the deliverable in writing. TWC documents deliverable approval using Microsoft Outlook voting buttons and approval must be received from all documented signatories or their designees. Awarded Vendor may not invoice TWC for work in progress deliverables.

Invoices will be prepared in accordance with [Attachment 1](#_Attachment_1_–) - Texas Workforce Commission - Terms & Conditions, Section 7, Invoicing Instructions.

Invoices must be submitted to TWC at theaddress indicated on the Purchase Order (PO), signatures are not required on invoices. The TWC Accounting Department requires copies of invoices for their files. The Awarded Vendor may also submit invoices electronically via email to [appo@twc.state.tx.us](mailto:appo@twc.state.tx.us). The Awarded Vendor should submit an electronic copy to the TWC IT Contract Manager and the Program Manager.

Incomplete invoices must be corrected, resubmitted to TWC, and will be paid within thirty (30) days of receipt of the uncontested invoice.

Payments will be made in accordance with [Attachment 1](#_Attachment_1_–) - Texas Workforce Commission - Terms & Conditions, Section 8, Payment. This includes payments made by Awarded Vendor to any subcontractor, and payments by a subcontractor to any other person or entity that provides goods or services under this Contract.

## 3.7 Reports and Meetings

The Awarded Vendor is required to provide weekly written Project Status Reports for this Project to the TWC IT Project Manager and the Program Manager by close of business the first business day of each week throughout the life of the Project, unless a different due date is mutually agreed upon in writing by the TWC IT Project Manager, Program Manager, and Awarded Vendor Project Manager. Weekly status reports are not paid deliverables. The Awarded Vendor Project Status Reports will:

* Cover all work performed and completed during the week for which the Project Status Report is provided and present the work to be performed during the subsequent week;
* Include the percent complete for each deliverable and an updated Project Milestone table;
* Include any positive or negative events since the last report of which TWC Executive Management should be aware;
* Identify any problems (to include, but not limited to, preparation and/or acceptance of deliverables) encountered or still outstanding with an explanation of the cause and resolution of the problem or how the problem will be resolved; and
* Provide dashboard views of schedule performance with respect to critical deliverables and milestones.

The Awarded Vendor will be responsible for conducting weekly status meetings with the TWC IT Project Manager and the Program Manager and other TWC Project Team members at a mutually agreed upon day, time and location.

The Awarded Vendor will provide a Monthly Project Schedule report within five (5) business days after the end of each month. The Monthly Project Schedule report must include a comparison of actuals to the Baseline Schedule and development and implementation of a Remedial Schedule to bring the project back on schedule if necessary. Remedial Schedule and associated remedies must be approved by the TWC Project Manager prior to implementation. Development of the Remedial Schedule and implementation of Remedial Schedule remedies must be made at no additional cost to TWC.

The Awarded Vendor will comply with and support TWC’s IT Investment Management process, which is a business-driven governance structure that prioritizes and oversees all investments in IT. The IT Investment Management process helps ensure the highest value functionality is developed and that those changes to the plans or scope during the Project do not affect the ultimate realization of the planned benefits. The Business Enterprise Strategic Technology (BEST) Team is responsible for ensuring that TWC’s IT initiatives and proposed projects help the organization achieve its strategic goals and objectives. Project Steering Committees are responsible for reviewing, prioritizing, and overseeing tactical and strategic IT initiatives across the organization and monitoring the effective and cost-efficient application of information technologies, related personnel resources and funding.

This Project is under a Project Steering Committee’s direct oversight and monitoring. The TWC IT Project Manager submits an individual monthly Project Status Report, providing detail about the Project, a status summary, accomplishments, budget, timeline, issues, and change requests. The reports are submitted to the TWC PMO by saving them in the shared directory by close of business on the fifth business day of the month. PMO reviews for completeness, obtains corrections if needed, and updates the Project Portfolio List based on the reports.

## 3.8 Project Change Requests

The Project Steering Committee will oversee this Project’s Change Control. TWC considers a change to be any activity that alters the scope, deliverables, basic architecture, cost or schedule of the Project. All Change Requests are documented through the appropriate method(s) described below. Once a change is approved by the Project Steering Committee, all related tasks are incorporated into the IMS.

* Change Requests can be initiated at any level, but must be submitted by the TWC Project Manager;
* The Awarded Vendor must identify all functional interdependencies related to the change request and respond with a time and effort estimate to TWC initiated change requests within five (5) business days of receipt;
* The Project Steering Committee will review Change Requests and may approve the Change Request, consider alternatives, direct the Project Team to do more research, reject the Change Request and continue the Project, or reject the Change Request;
* Should a Change Request approved by the Project Steering Committee require a change to the contract, then the IT Contract Manager will work with the Awarded Vendor Project Manager to create and gain the TWC and Awarded Vendor approvals necessary; and
* The resulting signed Change Order will be incorporated herein for all purposes. Affected work must not begin until the Change Order is signed. The Change Order must specify the acceptance requirements for invoicing the agreed upon price.

# Performance Management

## 4.1 Firm Fixed Price

The Awarded Vendor must complete all requirements stated herein, including subsequent revisions and clarifications, for the firm, fixed price per item listed in [Attachment 12](#_Attachment_12_–) within the time frame noted in the Project Plan for each deliverable. Unless stated in [Attachment 12](#_Attachment_12_–), TWC will assume absolutely no other costs exist to satisfy the RFO’s requirements and the Offeror’s proposed solution. Therefore, the Awarded Vendor will be responsible for any additional costs.

The fixed-deliverable price is for conducting the scope of work described in the RFO, and TWC will only consider Change Orders that increase cost for increases in that defined scope of work. TWC is greatly committed to this Project and will work with the Awarded Vendor to mitigate risk and resolve issues quickly.

**However, please note:**

* Conflicting information contained in the Exhibits, and, or Attachments relating to functional or technical requirements will be resolved in favor of TWC; and
* A misunderstanding by the Awarded Vendor of the complexity or scope of the functional or technical requirements within the contract and all attachments and Exhibits will not result in cost increase for TWC. For this reason, TWC stresses the expectation that Offerors include anticipated costs with respect to progressive requirements elaboration, see [Section 2.2.2](#_2.2.2_Required_Deliverable).

## 4.2 Escalation Path

It can be expected in a large, complex engagement like this Project that issues will arise. TWC anticipates most of such issues will be resolved within the Project Team. In the event of defective performance or failure to meet the agreed timeline, the Awarded Vendor must make every effort to immediately restore the contracted level of service. Project issues that cannot be resolved by the Project Team will need to be raised to a higher authority for timely resolution.

The escalation path described below ensures that the next level of management is informed if an issue cannot be resolved at the lower level. The Offeror must provide the escalation path within the Offeror’s organization for issues that cannot be resolved at the Project Manager level. Offeror responses to Section 3.2 Project Management Practices should accommodate this escalation process when defining relevant management practices.

The Awarded Vendor Project Manager will identify, document, evaluate, and either resolve or manage issues in order to prevent or mitigate threats to the success of the Project. The Awarded Vendor Project Manager will perform the following activities:

* Report issues that have or will occur to the TWC IT Project Manager, who will add them to the Project Issue Log and track them on a weekly basis until resolved;
* Establish issue priorities with the TWC IT Project Manager; and
* Work with the TWC IT Project Manager to make assignments for resolution.

In the event that the Project Team cannot resolve an issue, either the Awarded Vendor Project Manager or the TWC IT Project Manager may escalate the issue. Both parties must continue to carry out all their respective responsibilities while the issue is being resolved.

For issues that need to be escalated and resolved at a higher level, the following escalation procedure will be followed:

| **Level** | **Members** | **Escalation Process** |
| --- | --- | --- |
| Level 1 | Awarded Vendor Project Manager, TWC IT Project Manager, TWC Program Manager | The Level 1 members will have regular weekly meetings to discuss project status and issues. If Level 1 members are unable to resolve an issue, they may request that the issue be escalated to Level 2 for resolution. |
| Level 2 | Project Steering Committee, General Counsel, Internal Audit, and/or Procurement & Contract Services | The Level 2 members will attempt to resolve the issue at this level. If the issue cannot be resolved, then Level 2 parties will determine the appropriate next escalation point for ultimate resolution of the issue. |

Processes described in Section 3.2 must minimally support this escalation process and include weekly risk meetings. Issues that are escalated will also be included in the weekly Project Status Reports.

## 4.3 Corrective Action

TWC uses a Vendor Performance Improvement Log to document requested improvements and the results.

Awarded Vendor must provide a proposed corrective action plan to address quality issues with Awarded Vendor Staff assigned to the Project. Awarded Vendor must describe the process for monitoring improvement and the actions to be taken, such as training, additional QA reviews, or staff replacement if quality does not improve sufficiently.

TWC plans to engage a third-party vendor to perform Independent Verification and Validation (IV&V) activities for the duration of the development effort at TWC’s expense. The purpose of the IV&V is to help TWC build quality into the System during the Project life cycle. The Awarded Vendor must fully cooperate with any IV&V vendor assigned to this Project. Such cooperation includes expeditiously providing the IV&V vendor with full and complete access to all project work products, records, materials, personnel, meetings, and correspondence as the IV&V vendor may request and implementing identified recommendations. Additionally, the Awarded Vendor must include the obligations of this provision in all its contracts with its subcontractors that work on this Project.

TWC’s request for remedial action does not constitute a change in scope, and Awarded Vendor is not entitled to additional compensation nor extra time for corrective actions.

# Customer/Vendor-Furnished Equipment and Work Space

The Awarded Vendor Project Staff will be physically located in one (1) of TWC’s office buildings at or near either 4800 N. Lamar Blvd, Austin, TX or 101 East 15th Street, Austin TX, as job duties require to ensure effective collaboration among TWC and Awarded Vendor Project Team members. The Awarded Vendor will ensure that appropriate Staff are available to TWC within a reasonable time frame (e.g., two (2) business days for routine Project matters), whether on or off site.

TWC will provide work space, computer, printer, connectivity and any other basic equipment required for onsite Awarded Vendor Staff to complete the deliverables. TWC will provide collocated Awarded Vendor Project Staff with PCs with Microsoft Office (Outlook, Word, Excel, PowerPoint, and Access). TWC may require a Licensing Plan that covers all TWC and vendor-owned software, using an existing TWC template, if there are software requirements beyond the basics mentioned above.

TWC must pre-approve any work to be performed off site or on Awarded Vendor equipment.

TWC will neither provide nor reimburse parking for Awarded Vendor staff.

TWC will not reimburse the Awarded Vendor for travel or expenses. Travel expenses must be included in the fixed-price deliverable costs.

**All work for the Project must be performed within the United States.**

# Additional TWC Requirements

## 6.1 Retainage

The Awarded Vendor will be paid eighty percent (80%) of each deliverable upon completion and acceptance by TWC. The final twenty percent (20%) of each deliverable will be retained until System Acceptance as specified in Section 6.2, System Acceptance.

## 6.2 Final System Acceptance

System Acceptance is the period of time for TWC to approve the system’s operation in a full production environment. System Acceptance will be achieved when the following conditions have been met:

* All awarded Deliverables have been accepted and signed off by the TWC IT Contract Manager;
* All production releases have been completed and the system has been fully implemented (i.e., for all users) for a minimum of thirty (30) business days;
* The system is running in accordance with the approved detailed design documentation and all of the following conditions are met:
  + No Severity 1 defects exist;
  + No more than ten (10) Severity 2 defects exist; and
  + All remaining, unresolved Severity 3 and 4 defects are prioritized.
* A material system defect is defined as functionality that does not conform to the approved detailed design documentation or does not meet established TWC performance standards. TWC will determine whether or not a material system defect exists and assign a defect severity, defined in [Attachment A10.4](#_A10.4_Service_Level);
* TWC will document System Acceptance in writing;
* Incremental production releases of component deliverables prior to the final production release will not require a System Acceptance period, but the Awarded Vendor must provide production support; and
* All Training for TWC Staff is complete.

## 6.3 Warranty

The Awarded Vendor must provide a warranty period of at least one (1) calendar year beginning the day after System Acceptance, as defined above, during which time defects identified must be corrected at no additional cost to the State. The Warranty covers defects that TWC reports to the Awarded Vendor using the approved process on or before the Warranty Period End Date. Correction and testing of such defects may extend beyond the Warranty Period End Date as needed until acceptance. Lower priority warranty defects shall be corrected at no cost during the duration of the contract, regardless of when they are prioritized.

The Awarded Vendor and TWC will agree in writing on the Warranty process before the Warranty period begins, including but not limited to identification and reporting, correcting, testing and acceptance, production software release, warranty completion confirmation process, escalation paths, and warranty staff location, using an existing TWC template.

## 6.4 Term of Contract

The Contract will be effective from the date of Contract award for a period of six (6) years. TWC will have the option to renew the term of the Contract for up to six (6) additional years in any combination of years or months for maintenance and support.

## 6.5 Software Escrow Agreement

The Awarded Vendor shall maintain copies of the Awarded Vendor-Owned Software System Source Materials in escrow with an independent nationally-recognized technology escrow company pre-approved by the State. The escrowed materials shall include the Custom-Developed Software, the Awarded Vendor-Owned Software and (subject to any EULA or separate third-party escrow agreement incorporated in this Contract) the Third-Party Software, including as to all such Software Upgrades. All costs for establishing and maintaining the System Source Materials in escrow shall be borne by the Awarded Vendor. The Awarded Vendor shall notify the State of each Upgrade to the Software held in escrow.

Within fifteen (15) calendar days after the State’s written acceptance of the implementation of the System, the Awarded Vendor shall submit to the State a letter naming the escrow company that the Awarded Vendor intends to use, with the understanding that the State may approve or disapprove the named company. This letter must include the name, address, and full contact information for the recommended escrow company, and a proposed three-party escrow agreement among the State, the Awarded Vendor, and the escrow company. The State will indicate its approval or disapproval in writing.

Within fifteen (15) calendar days after the execution of the escrow agreement, the Awarded Vendor shall place the System Source Materials in escrow with the approved escrow company. The escrow agreement shall state that it is a supplementary agreement to this Contract pursuant to Section 365(n) of the United States Bankruptcy Code. The Awarded Vendor shall provide the State with a signed letter from the escrow company in question stating that the code has been placed in escrow and confirming the State's right to obtain the System Source Materials directly from the escrow company in the event of Awarded Vendor default as described below. Throughout the term of the Contract and any extensions of same, the Awarded Vendor shall periodically update the System Source Materials and notify the State in writing that it has been updated and that the System Source Materials in escrow is current with the State's production environment, matches the State's production version level, and includes any upgrades, updates, enhancements, or new releases that are applied to the State’s system. The State, at its option and expense, may verify the completeness and accuracy of the System Source Materials by independent audit during the Contract Term.

If for any reason during the Contract Term, (a) a receiver, trustee or similar officer is appointed for the business or property of Awarded Vendor; (b) Awarded Vendor files a petition in bankruptcy, files a petition seeking any reorganization (without confirming immediately in writing to the State that it will continue to maintain the System in accordance with the terms of the Contract or any applicable maintenance agreement; (c) Awarded Vendor makes an arrangement, composition or similar relief under any law regarding insolvency or relief for debtors, or makes and assignment for the benefit of creditors; (d) any involuntary petition or proceeding under bankruptcy or insolvency laws instituted against the Awarded Vendor and not stayed, enjoined or discharged within 60 days; (e) Awarded Vendor takes any corporate action authorizing any of the foregoing: (f) any similar or analogous proceedings or event to those in clauses (a) through (e) above occurs in respect of Awarded Vendor within any jurisdiction outside the United States; (g) Awarded Vendor ceases to carry on its business with relates to the Software (h) Awarded Vendor in material breach of its obligations as to maintenance or modification of the System under the Contract or any maintenance agreement entered into in connection with the System and has failed to remedy such default notified by the State to Awarded Vendor within the period set forth in this agreement; or (i) Awarded Vendor becomes unable or unwilling to fulfill its obligations to maintain or support as described herein, the Awarded Vendor agrees to deliver the System Source Materials held in escrow to the State and also agrees that, under such terms, the State may instruct the escrow company in writing for and on behalf of the Awarded Vendor to deliver the System Source Materials held in escrow to the State. In the event that the Awarded Vendor fails to deliver the System Source Materials in a timely manner, as determined by the State, the State may obtain the System Source Materials directly from the escrow company pursuant to the escrow agreement.

## 6.6 Responsibility of Awarded Vendor

The Awarded Vendor is solely responsible for implementing the work in full compliance with all applicable laws, regulations, and all requirements within TWC’s RFO and Awarded Vendor’s proposal. Awarded Vendor is responsible for any work or materials required from any subcontractor. TWC will not directly contract with a subcontractor identified, or required, by the Awarded Vendor’s response to TWC’s RFO.

TWC reserves the right to work directly with the subcontractors under this contract if the Awarded Vendor has performance or contract issues that remain unresolved after appropriate escalation and corrective action.

## 6.7 Security Agreements and Background Checks

Awarded Vendor Project Staff must sign and submit TWC security agreements and receive notification that there are no barriers to employment prior to their start date. Pursuant to Section 2.23 of Texas Workforce Commission - Terms & Conditions, Awarded Vendor must submit fingerprint-based criminal background checks on all personnel assigned to the services related to this Project and provide TWC with the information required for TWC to conduct a Criminal History Report Investigation.

## 6.8 Mandatory Training

Awarded Vendor Project Staff must comply with TWC Mandatory Training requirements.

## 6.9 Electronic Information Resources Accessibility

All documents of any format (e.g., Word, Excel, PowerPoint, and PDF) delivered to TWC for Project deliverables, including early samples of deliverables in draft form, as well as systems developed or procured must meet all of the following EIR accessibility requirements in the current version at the time of implementation:

* Section 508 of the Rehabilitation Act (29 United States Code (U.S.C.) 794d) (<https://section508.gov/>);
* Web Content Accessibility Guidelines (WCAG) 2.0 (<http://www.w3.org/TR/WCAG20/>), conformance level AA;
* Title 1 Texas Administrative Code, Part 10, Chapter 206 (<http://texreg.sos.state.tx.us/public/readtac$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=206>); and
* Title 1 Texas Administrative Code, Part 10, Chapter 213 (<http://texreg.sos.state.tx.us/public/readtac$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=213>).

Accessibility testing must include test planning, test execution and issue remediation with the following:

* Test with an automatic accessibility testing tool such as WAVE for the initial testing – resources are available at <http://webaim.org/resources/>.  Any issues listed by the testing tool as an error must be resolved.  Issues listed as warnings or alerts must be reviewed and resolved wherever applicable. TWC must approve any exceptions;
* Test to ensure that color contrast passes WCAG 2.0 AA standards. Any contrast checking tool that uses the algorithm specified by WCAG 2.0 is acceptable. TWC will use the Paciello Group’s Colour Contrast Analyser and the Contrast test feature of the WAVE toolbar to confirm contrast requirements;
* Test to ensure the system is usable with the keyboard when no additional assistive technology software running (such as a screen magnifier or a screen reader);
* Test to ensure the system not only meets technical accessibility requirements, but is actually usable in a screen reader. TWC typically uses Job Access With Speech (JAWS) for the screen reader testing. When testing with a screen reader check that:
  + All visible content is read out, including a descriptive page title;
  + All active elements are operable from the keyboard;
  + The page is properly structured to allow navigation of the content; and
  + There isn't anything that is invisible to visual users, but can be heard by screen reader users;
* Test to ensure the system is usable with a screen magnifier or browser zoom. TWC typically uses ZoomText or Windows Magnifier for screen magnifier testing. When testing with a screen magnifier check for:
  + Inconsistent layout that makes it harder to find things;
  + Excessive space between elements that hinder users from finding content on different sides of the page;
  + Images (especially of text) that look fuzzy when magnified; and
  + Test without a mouse;
* For browser-based systems, test in multiple browsers. Specific browsers and browser versions will be agreed upon by the Project Team during test planning;
* Manually verify required techniques that are not easily evaluated with an automatic tool, such as useful alternative text, timed responses, and page flicker;
* Test to ensure the mobile application complies with WCAG 2.0 AA standards; and
* Fully cooperating with the TWC Accessibility team in the detection and remediation of any accessibility issues.

The Offeror’s proposal must provide:

* Description of the Offeror’s plan to ensure compliance with these requirements throughout the term of the Contract;
* Description of the Offeror’s knowledge of and experience in creating accessible systems;
* Details about the accessibility of both tool output and tool usage for each proposed tool; and
* Completed Voluntary Product Accessibility Template (VPAT). The VPAT is available at: <https://www.itic.org/policy/accessibility/vpat>.

# Bonding and Insurance Requirements

## 7.1 Payment Bond

A Payment Bond is required for a contract in excess of $25,000, including any selected alternates. The Payment Bond shall be executed in the amount of the Contract Sum and is payable to TWC solely for the protection and use of payment bond beneficiaries who have a direct contractual relationship with Awarded Vendor or Subcontractors of all claimants supplying labor and material.

## 7.2 Performance Bond

A Performance Bond is required if the contract reaches or exceeds $100,000. Performance Bonds must be in the amount of the total awarded contract including any selected alternate pricing amounts. The Performance Bond is for the protection of TWC.

Both a Performance Bond and a Payment Bond will be required on contracts of $100,000.00 and over.

## 7.3 Fidelity Bond

The Awarded Vendor must obtain and keep in force during the life of the Contract, a fidelity bond that indemnifies TWC against loss arising from a fraudulent or dishonest act, including unauthorized release of TWC Data, computer fraud, forgery or alterations, theft or disappearance and destruction on the part of the Awarded Vendor, its employees, officers, agents, and subcontractors holding positions of fiduciary trust. The Awarded Vendor must obtain a bond for the total amount of the contract value to be determined after Contract notice of award.

The bond must be executed by a corporate surety or sureties holding certificates of authority to do business in the State of Texas and acceptable to TWC. If a surety upon a bond is cancelled, reduced or otherwise amended, the Awarded Vendor must immediately notify TWC and provide a replacement bond adequate to cover the terms and conditions of this section.

The Awarded Vendor must be the Principal insured entity and TWC must be the assigned certificate holder as the Bond Obligee. A copy of the bond must be forwarded to:

Texas Workforce Commission  
Financial Operations  
101 East 15th Street  
Austin, TX 78778‐0001

The failure of the Awarded Vendor to provide evidence of the required bond within fifteen (15) business days of the Contract notice of award may result in termination of the Contract award. In the event that any of the coverage is canceled by the insurer for any reason, the Awarded Vendor must immediately notify TWC of such cancellation and must obtain replacement coverage acceptable to TWC and provide proof of such replacement coverage within fifteen (15) business days after the cancellation of coverage.

## 7.4 Cyber Liability Insurance

The Awarded Vendor will be best positioned to control the manner and means of how the system is implemented and maintained. Therefore, the express intent of the parties is to hold the Awarded Vendor accountable for information security and privacy standards and practices of Awarded Vendor organization as they pertain to the solution implemented.

The Awarded Vendor must provide a certification within fifteen (15) business days of the Contract notice of award of Cyber Liability Insurance with limits of at least twenty million dollars ($20,000,000) to be in full force and effect during the term of the Contract. The insurance must provide coverage for losses and expenses that could include, but are not limited to, notification costs, crisis management or data reconstruction resulting from a breach. Proof of the insurance coverage must be presented by providing a certificate of insurance to TWC. All coverage must be maintained in full force and effect during the term of the Contract. In the event that any coverage is canceled by the insurer for any reason, the Awarded Vendor must immediately notify TWC of such cancellation and must obtain replacement coverage and provide proof of such replacement coverage within fifteen (15) business days after the cancellation of coverage.

The Fidelity Bond and Cyber Liability Insurance coverage must not limit any liabilities or any other obligations that the Awarded Vendor has under the Contract.

# Liquidated Damages

## 8.1 TWC Expectations and Risk Management

TWC expects the Awarded Vendor to perform its responsibilities and tasks as specified in this RFO and any resulting Contract. This expectation is reasonable, within normally acceptable business practices, and in the best interests of TWC and its Customers. The Awarded Vendor must include in its offer an acknowledgement that TWC will be damaged if the Awarded Vendor fails to fulfill its obligations under the Contract.

TWC has chosen to address the majority of the Project risks related to Awarded Vendor performance through the assignment of liquidated damages. The liquidated damages described below represent the projected financial loss and expenditures that may occur as a result of Awarded Vendor’s non-performance, including financial loss as a result of Project delays.

If the Awarded Vendor does not fulfill its obligations under the RFO and any resulting Contract, TWC will be damaged. Establishing the precise amount or value of such damage would be difficult to quantify. The liquidated damages provided for herein do not represent a penalty; rather, the liquidated damages represent a good faith effort by TWC to establish a reasonable estimate of the damages that will be incurred by TWC in the circumstances described.

TWC will have the right to collect liquidated damages against the Awarded Vendor upon demand for payment. In addition, if at any time there are amounts payable to the Awarded Vendor under the Contract, TWC will have the right to deduct and/or withhold the amount of any liquidated damages assessed by TWC against the Awarded Vendor from the amounts payable to the Awarded Vendor.

TWC will notify the Awarded Vendor in writing, of any default specified herein, and such liquidated damages must be paid by the Awarded Vendor within thirty (30) calendar days of the TWC notice. Upon receipt of written notice, the Awarded Vendor will have ten (10) calendar days to provide a written explanation of any justification that may be applicable to the liquidated damages being considered and a corrective action plan for bringing the operations within the standards specified. TWC will have the right to approve and make changes to the corrective action plan submitted by the Awarded Vendor. The corrective action plan must be implemented by the Awarded Vendor at no cost to and upon approval by the TWC IT Contract Manager. Liquidated damages will not be assessed during the specified cure period for the activity in question. The Awarded Vendor’s failure to pay the assessed liquidated damages within the designated time frame may be deemed by TWC as a breach of Contract.

TWC has identified certain instances of default or non-performance that, should they continue to occur over extended periods of time, will cause extreme financial losses to and hardship for TWC. Should the Awarded Vendor fail to complete the work within the agreed upon times or terms, TWC will assess and collect liquidated damages in the amounts set out below in subsections 8.1.1 through 8.1.2. However, if such conditions of default continue, TWC intends to pursue recovery of actual losses resulting from the Awarded Vendor’s failure to perform, and expressly reserves this right. TWC’s failure to assess liquidated or actual damages for any of the specific instances cited in no way modifies or waives TWC’s right to assess additional liquidated or actual damages relating to other similar occurrences in addition to the specific liquidated damages noted below in subsections 8.1.1 through 8.1.2.

The Awarded Vendor must be solely responsible for any unauthorized use, reuse, distribution, transmission, manipulation, copying, modification, access, or disclosure of TWC Data and any non-compliance with data privacy and security requirements. In the event that the State must mitigate an unauthorized breach of confidential data, the Awarded Vendor must reimburse the State for any costs incurred.

### 8.1.1 Prior **to** UI Solution Go-Live for TWC

8.1.1.1 Failure of Awarded Vendor to submit deliverables as agreed to in the approved IMS will result in an assessment of one thousand dollars ($1,000) per calendar day after the scheduled due date up to 100% of the deliverable amount. The cure period will be one (1) calendar day following the due date.

8.1.1.2 Deliverables that require corrections after the 2nd or subsequent TWC review will result in an assessment of one thousand dollars ($1,000) per calendar day for any required corrections after 2nd or subsequent TWC review. The cure period will be one (1) calendar day following the due date.

8.1.1.3 Failure of Awarded Vendor to successfully complete major implementation Milestones as identified in [Section 2.4 Deliverables Schedule](#_2.4_Deliverables_Schedule) by the due dates in the Awarded Vendor’s IMS approved by TWC will result in the following assessments based on the Severity defined in the table below:

* Critical - ten thousand dollars ($10,000) per calendar day
* High - five thousand dollars ($5,000) per calendar day
* Medium - one thousand dollars ($1,000) per calendar day
* Low - five hundred dollars ($500) per calendar day

The cure period will be one (1) calendar day following the due date.

Liquidated damages are capped to 100% of the Deliverable Price specified in Attachment 12 Pricing.

| **Deliverable Number** | **Deliverable**  **Name** | **Severity** |
| --- | --- | --- |
| 1 | Plan and Setup Project |  |
| 1A | Kick-off Meeting Agenda, Presentation, and Minutes | Low |
| 1B | Implementation Strategy | High |
| 1C | Project Management Plan | High |
| 1D | Detailed WBS and IMS | High |
| 1E | Staffing Plan | High |
| 1F | Test Plan | High |
| 1G | Lessons Learned Collection Process | Medium |
| 2 | Manage Requirements |  |
| 2A | Requirements Management Plan | High |
| 2B | Requirements Workshops | High |
| 2C | Requirements Baseline | High |
| 2D | Requirements Traceability Matrix | High |
| 3 | Design Holistic UI Replacement System |  |
| 3A | System Design Document | High |
| 3B | Software Purchase and Licensing Plan | High |
| 4 | Assess Infrastructure |  |
| 4A | Infrastructure Report | Medium |
| 5 | Configure/Develop System and Conduct Technical Acceptance Testing |  |
| 5A | Software Development Plan | High |
| 5B | Configuration Management Plan | High |
| 5C | Configured Tax System | Critical |
| 5D | Configured Benefits System | Critical |
| 5E | Configured Appeals System | Critical |
| 5F | Configured RID System | Critical |
| 5G | Configured RTM System | Critical |
| 5H | Updated Test Plan | High |
| 5I | Completed Technical Acceptance Testing Checklist | High |
| 6 | Migrate Data |  |
| 6A | Data Migration Strategy and Plan | High |
| 6B | Migrate Data | Critical |
| 7 | Implement Interfaces |  |
| 7A | Interface Implementation Strategy and Plan | High |
| 7B | Implemented Interfaces | Critical |
| 8 | Replace Reports |  |
| 8A | Inventory of all Required Reports and Ad Hoc Queries | High |
| 8B | Confirm and Document Requirements for Reports and Ad Hoc Queries | High |
| 8C | Implement Replacement Reports and Queries | Critical |
| 9 | Plan and Implement OCM |  |
| 9A | OCM Plan | High |
| 9B | Technical Documentation Stored | Medium |
| 9C | Implemented OCM Plan | Critical |
| 10 | Implement Automated Testing Solution |  |
| 10A | Automated Testing Solution Test Plan | High |
| 10B | Automated Testing Solution Documentation | High |
| 10C | Implemented Automated Testing Solution | Critical |
| 11 | Conduct System Testing |  |
| 11A | Updated Test Plan | High |
| 11B | Product Quality Metrics for Testing | High |
| 11C | Test Cases and Scripts | High |
| 11D | UI System is Tested to Meet Agreed-Upon Quality Metrics | High |
| 11E | UI System is Tested to proceed through review gates | Critical |
| 12 | Create and Conduct Training |  |
| 12A | Training Environment | High |
| 12B | Training Plans for each IT and Program Area | High |
| 12C | Training Materials | High |
| 12D | Training Courses | High |
| 12E | Completed Training | Critical |
| 12F | Guides and Desk Aids | High |
| 12G | End User Webinars and Video Training | High |
| 12H | Knowledge Transfer Plan | High |
| 12I | Completed Knowledge Transfer | Critical |
| 13 | Deployment Planning and Execution |  |
| 13A | Completed ETA 9177 Report | Critical |
| 13B | Deployment Readiness Plan and Execution | Critical |
| 13C | Day of Deployment Plan and Execution | Critical |
| 13D | Post Deployment and Execution | Critical |
| 14 | Maintenance and Operations Plan |  |
| 14A | M&O Plan | High |
| 14B | Monthly Operations Status Reports | Medium |
| 15 | Additional Implementation Support |  |
| 15A | Additional Implementation Support | Medium |
| 16 | Annual Software Maintenance and Support Subscription |  |
| 16A | Annual Software Maintenance Support and Subscription | Low |
| 17 | Maintain Effective Cyber Security |  |
| 17A | FedRAMP ATO | Critical |
| 17B | Security Assessment Plan | Critical |
| 17C | Incident Response Plan | Critical |
| 17D | System Security Plan | Critical |
| 17E | Implemented Security Plans | Critical |
| 18 | End of Contract Services |  |
| 18A | Transition Plan | High |
| 18B | Completed Transition Plan | Critical |

### 8.1.2 After UI Solution Go-Live for TWC

8.1.2.1 Failure to maintain FedRAMP (Moderate) ATO will result in an assessment of five thousand dollars ($5,000) per calendar day. The cure period will be one (1) calendar day following loss of ATO.

8.1.2.2 Unavailability of the solution to Claimants, Employers, TPAs, local or external users, outside the mutually approved scheduled maintenance period, for more than two (2) hours, after a one (1) hour cure period will result in an assessment of two thousand dollars ($2,000) per hour.

8.1.2.3 Unavailability of the solution to TWC and partner Staff, outside the mutually approved maintenance period, for more than two (2) hours, after a one (1) hour cure period, will result in an assessment of two thousand dollars ($2,000) per hour.

8.1.2.4 Failure of the solution to provide the data needed for management and/or performance reporting requirements on a daily basis will result in an assessment of one thousand dollars ($1,000) per day following a one (1) calendar day cure period.

8.1.2.5 Failure of Awarded Vendor to notify TWC both verbally and in writing immediately, but no later than twelve (12) hours, if Awarded Vendor experiences an Incident, Event, Breach, subpoenas, or an inadvertent release that affects information or TWC Data will result in an assessment of two thousand dollars ($2,000) per day following a one (1) calendar day cure period.

# Offeror Capabilities

## 9.1 Offeror Staff Capabilities

Describe Offeror Staff capabilities specific to this Project’s requirements. Include the following:

* Project organization chart for Offeror’s proposed staff;
* One (1) summary table, with a row for each proposed Project participant, including the following: Participant name, role or position in current employment, employer name (i.e., Offeror or subcontractor name), key function(s) in current role/position, years of experience for role/position, proposed role on this Project, percent of time to be dedicated to the Project, whether proposed to be onsite or remote, and years of experience with UI systems and modernization efforts. TWC expects appropriate key Staff to be dedicated to this Project;
* Résumé for the Offeror Project Manager and each Offeror Staff resource to be assigned to the Project. Include on each résumé the name of the current employer and the length of time employed by current employer. Résumés may be provided in an attachment rather than in this section, if desired. Failure to provide résumés for the specific Project Manager and Staff proposed for the Project will result in a score of zero (0) for staffing. If needed for confidentiality, the PII of the individual on the résumé may be redacted; and
* Agreement that the Awarded Vendor Project Manager will take direction from the TWC IT Project Manager and the TWC Program Manager within the scope of the BAFO and parameters of the Project Steering Committee’s direction.

The Offeror’s proposed Staff must meet the following Minimum Qualifications:

| **#** | **Qualification Item** | **Offeror  Agrees to Meet?** | |
| --- | --- | --- | --- |
| 1 | Project Manager must have at least five (5) years of experience working as a Project Manager on IT projects with three (3) years of experience working as a Project Manager for Offeror implementing their UI solution. | Yes | No | |
| 2 | Project Manager must have three (3) years of experience working as a Project Manager on IT projects involving Federal reporting practices and environment. | Yes | No | |

## 9.2 Key Personnel

Key Personnel are Awarded Vendor staff that, should they leave during the performance period, will, in TWC’s opinion, have a substantial negative impact on the Awarded Vendor’s performance under the Contract.

Key Personnel are defined as the following six roles:

* Project Manager (submit resume with proposal)
* Lead System Architect (submit resume with proposal)
* Lead Data Architect (submit resume with proposal)
* Lead Software Developer/Programmer (submit resume with proposal)
* Lead Business Analyst (submit resume with proposal)

Key Personnel shall be available to perform Contract requirements 30 days from the AoC date. Unless explicitly authorized by the TWC Contract Manager or specified in the Contract, Key Personnel shall be assigned as a dedicated resource.

Key personnel shall perform continuously for the duration of the Contract, or such lesser duration as specified in the Technical Proposal. Key Personnel may not be removed by the Awarded Vendor from working under the Contract without the prior written approval of the TWC Contract Manager.

The provisions of this section apply to Contractor Personnel and Key Personnel working on this Project.

### 9.2.1 Key Personnel Minimum Qualifications

Offeror’s team must include, at a minimum, the following dedicated Key Personnel:

#### Project Manager

The Offeror’s Project Manager must meet or exceed the following minimum qualifications:

* Successfully managed at least two (2) or more IT project(s) which each:
  + Had a budget of at least $10 million in IT application development services;
  + Spanned at least a three (3) year timeline;
  + Had complexities requiring coordination of work between multiple entities and contractors in a distributed environment. A successful project is defined as a project that met all of its stated objectives to the customer’s satisfaction; and
  + Had similar scale to this Project, and that must have included the system development phases associated with design through deployment and full client acceptance. As proof of this requirement, references should be provided for both projects, but must include at least one reference for each $10 million IT project;
* A minimum of ten (10) years or more of project management experience in the public or private sector;
* Project management experience in one (1) or more of the following business applications: UI, Financial Accounting, Case Management, Government Revenue, Insurance, or Claim Processing;
* A minimum of ten (10) years of hands-on experience using project management methodologies and associated tools and metrics;
* A minimum of ten (10) years of experience with iterative information system development methodologies;
* A current Project Management Professional (PMP) credential from the Project Management Institute (PMI);
* A minimum of a bachelor’s degree from an accredited college or university. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current National Association of Credential Evaluation Services (NACES) members – http://www.naces.org. The Offeror is responsible for any evaluation fees; and
* Written at least one (1) project guide or led at least one (1) project training which communicated and translated technical terminology, concepts, and issues in terms understandable to technical and non-technical management and staff.

The Offeror’s Project Manager should have some or all of the following desired qualifications:

* A minimum of ten (10) years or better of experience in managing systems architecture development, software development, and implementation projects;
* Led two (2) or more projects that involved designing business processes and procedures and developing new systems;
* Led three (3) or more projects that involved communication and customer relationship management activities with both internal and external stakeholders;
* A minimum of three (3) years of experience in the UI automation field;
* Experience as a Project Manager on at least one (1) large scale development which involved migration of data from a legacy system to the new UI solution; and
* A technology related master’s or postgraduate degree from an accredited college or university in an area that supports the skills needed for managing the UI solution. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current NACES members – http://www.naces.org. The Offeror is responsible for any evaluation fees.

#### Lead System Architect Minimum Qualifications

The Offeror’s Lead System Architect must meet or exceed the following minimum qualifications:

* Experience in this role on two (2) or more projects which each had budgets of at least $10 million in IT application development services and spanned at least a three (3) year timeline;
* Experience in this role on one (1) or more successful UI or Government Revenue system projects;
* A minimum of ten (10) years of experience in systems architectural analysis and design work related to the UI solution;
* Experience working on two (2) or more projects that utilize the software development methodology being proposed in the Offeror’s UI solution;
* Over seven (7) years of experience with object-oriented design and development tools;
* A minimum of ten (10) years of experience creating technical roadmaps for complex systems being deployed using a phased approach that allows lessons learned in early phases to be incorporated into the later phases;
* A minimum of seven (7) years of experience in architecture, design and implementation of highly available, scalable, and maintainable enterprise architecture solutions;
* A minimum of seven (7) years of experience in performance tuning, optimizing and troubleshooting enterprise systems;
* A minimum of a bachelor’s degree from an accredited college or university. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current NACES members – http://www.naces.org. The Offeror is responsible for any evaluation fees; and
* Written at least one (1) project guide or led at least one (1) project training which communicated and translated technical terminology, concepts, and issues in terms understandable to technical and non-technical management and staff.

The Offeror’s Lead System Architect should have some or all of the following desired qualifications:

* A minimum of ten (10) years of experience in multi-entity common system operations and support models;
* A technology related master’s or postgraduate degree in an area with the skill set needed for leading the design of the UI solution. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current NACES members – http://www.naces.org. The Offeror is responsible for any evaluation fees;
* Experience working on three (3) or more projects where Quality best practices were applied to project processes (such as ISO 90003, CMMI, or Six Sigma);
* A minimum of two (2) years of experience with the Offeror’s UI solution; and
* Experience as a Lead System Architect on at least one (1) large scale development which involved migration of data from a legacy system to the Offeror’s UI solution.

#### Lead Data Architect Minimum Qualifications

The Offeror’s Lead Data Architect must meet or exceed the following minimum qualifications:

* Experience in this role on two (2) or more projects which each had budgets of at least $10 million in IT application development services and spanned at least a three (3) year timeline;
* Experience in this role on one (1) or more UI or Government Revenue system projects;
* Experience in three (3) or more successful projects with scope requiring relational database design, logical and physical modeling, database tuning and optimization, and capacity planning to support mission-critical and 24X7 enterprise applications;
* A minimum of at least seven (7) years of development experience utilizing tools and techniques required by the UI solution;
* A minimum of seven (7) years of experience working with large software systems data architectures;
* A minimum of seven (7) years of experience with data modeling tools that will be utilized in the UI solution;
* A minimum of three (3) years of experience with remediating and converting legacy databases including extract, transform, and load tools;
* A bachelor’s degree from an accredited college or university. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current NACES members – http://www.naces.org. The Offeror is responsible for any evaluation fees; and
* Written at least one (1) project guide or led at least one (1) project training which translated and communicated technical terminology, concepts, and issues in terms understandable to technical and non-technical management and staff.

The Offeror’s Lead Data Architect should have some or all of the following desired qualifications:

* A minimum of five (5) years of experience with application development project lifecycles including requirements gathering, analysis, design, development, testing, and implementation;
* A minimum of two (2) years of experience in using data management best practices, such as Master Data Management;
* A minimum of two (2) years of experience with data migration to the Offeror’s UI solution;
* A minimum of two (2) years of experience with remediating and converting legacy databases which have included IBM databases; and
* A technology related master’s or postgraduate degree from an accredited college or university in an area with the skill set needed for leading the database elements of the UI solution. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current NACES members – http://www.naces.org. The Offeror is responsible for any evaluation fees.

#### Lead Software Developer/Programmer Minimum Qualifications

The Offeror’s Lead Software Developer/Programmer must meet or exceed the following minimum qualifications:

* Experience in this role on two (2) or more projects which each had budgets of at least $10 million in IT application development services and spanned at least a three (3) year timeline;
* Experience in this role on two (2) or more successful UI or Government Revenue system projects;
* A minimum of seven (7) years of hands on experience with the operating systems, relational database, and development technologies that will be utilized to develop and deploy the UI solution;
* Experience in two (2) or more major projects as its Lead Software Developer/Programmer;
* A minimum of seven (7) years of hands on experience utilizing the software development methodology to be utilized in the UI solution;
* A minimum of ten (10) years of hands on experience with object-oriented design and modeling techniques; and
* A bachelor’s degree from an accredited college or university. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current NACES members – http://www.naces.org. The Offeror is responsible for any evaluation fees.

The Offeror’s Lead Software Developer/Programmer should have some or all of the following desired qualifications:

* A technology related master’s or postgraduate degree in an area with the skill set needed for leading the development and programming of the Offeror’s UI solution. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current NACES members – http://www.naces.org. The Offeror is responsible for any evaluation fees;
* Written at least one (1) project guide or led at least one (1) project training which translated and communicated technical terminology, concepts, and issues in terms understandable to technical and non-technical management and staff; and
* A minimum of two (2) years of experience with the Offeror’s UI solution.

#### Lead Business Analyst Minimum Qualifications

The Offeror’s Lead Business Analyst must meet or exceed the following minimum qualifications:

* A minimum of five (5) years of verifiable experience performing business analysis on one (1) or more projects which had a budget of at least $5 million in IT application development services and spanned at least an eighteen (18) month timeline;
* A minimum of five (5) years of experience as a Business Analyst or SME of UI benefit/contributions/appeals systems;
* A minimum of five (5) years eliciting and documenting “As Is” requirements and identifying efficient “To Be” processes;
* At least two (2) projects as a Business Analyst conducting Fit/Gap analysis at a detailed level, including comparison of business rules and analysis from both a business and an IT perspective;
* At least three (3) years of experience in the writing, identification, definition, implementation, and validation of use cases;
* A minimum of two (2) years of experience within the last five (5) years with the Offeror’s UI solution; and
* A bachelor’s degree from an accredited college or university. If the degree has been obtained in another country, it is required that the degree or coursework be evaluated for equivalency. TWC accepts evaluations performed by companies that are current NACES members – http://www.naces.org. The Offeror is responsible for any evaluation fees.

The Offeror’s Lead Business Analyst should have some or all of the following desired qualifications:

* Experience on five (5) or more projects as the Lead Business Analyst;
* A minimum of two (2) years of experience with use of the bidder’s proposed tool to be used in the collaborative requirements definition process;
* A minimum of eight (8) years of experience leading large teams and/or a minimum of eight (8) years of extensive industry experience and is considered at the top of his/her field;
* Three (3) or more years of experience with the Offeror’s UI solution;
* An International Institute of Business Analysis (IIBA) professional certification;
* Excellent verbal and written communication skills which are documented in a sample work product not to exceed 500 words, such as a use case or user story; and
* A minimum of five (5) years of experience working on projects subject to internal and external audits in state or federal government organizations.

### 9.2.2 Personnel Substitution

Awarded Vendor must ensure that they provide the level of staff agreed to in Section 9.1, Offeror Staff Capabilities, and swiftly correct any insufficient vendor staffing levels in order to avoid negative impact on the Project schedule. Awarded Vendor must update the staffing plan (staff numbers and/or skills) if staff levels are impacting the Project progress (i.e., not enough vendor staff to make timeline or quality).

If Awarded Vendor must replace a named staff member before the Project begins or during any phase of the Project, Awarded Vendor must first obtain consent of TWC to do so. The Awarded Vendor shall not substitute staff for reasons other than staff separation, medical leave, or staff performance. The replacement staff member must have qualifications and experience that equal or exceed the named staff member and be acceptable to TWC. TWC reserves the right to interview any proposed staff member, before or during the Project, and to request replacement of Awarded Vendor Staff that are perceived as being unqualified, non-productive, unable to fully perform the job duties, disruptive, or known, or reasonably believed, to have committed a major infraction(s) of law, Department policies, or Contract requirements. Awarded Vendor must provide prompt verification of the replacement staff member's qualifications and an onboarding plan to bring the replacement up to speed.

To replace any personnel, the Awarded Vendor must submit résumés of the proposed personnel along with their initial request as soon as the need for substitution is known but no longer than three (3) business days from the initial request. TWC will review and provide feedback within three (3) business days. The replacement must start work on the Project as soon as possible, but no longer than ten (10) business days from the initial request. If a substitution request is approved, Awarded Vendor must coordinate a transition period of up to sixty (60) calendar days to ensure roles, responsibilities and working knowledge is effectively transitioned to the replacement staff.

## 9.3 Offeror Service Capabilities

Describe the Offeror organization's and its subcontractors’ overall qualifications and experience to carry out a Project of this nature and scope. Offeror must limit responses in this area to ten (10) pages. The use of “boilerplate” content in the response must be extremely limited (i.e., target this information for the specific needs outlined for this Project).

Describe each task, responsibility, and/or deliverable that will be subcontracted to another entity in sufficient detail that TWC understands based on your offer, exactly what entity will be performing what portion of the overall requirements. Include the name of the subcontractor performing the work and provide the résumé of the Project Manager or person tasked with the specific responsibility. Offeror must provide demonstrated subcontractor experience in completing the tasks required in this Project.

The Offeror or their subcontractor(s) must meet the following Minimum Qualifications:

| **#** | **Qualification Item** | **Offeror  Meets?** | |
| --- | --- | --- | --- |
| 1 | Offeror must have been in the Software Development business for a minimum of five (5) years. | Yes | No | |
| 2 | Offeror has designed, developed, configured and/or customized, and successfully implemented at least one (1) complete integrated UI solutions (Benefits or Tax) within the last five (5) years for paying customers external to the Offeror’s organization. The Offeror must supply at least one (1) but no more than three (3) references that verify this qualification item. | Yes | No | |

TWC prefers that Offeror will provide both the technology solution and the Staff who will configure, implement, or support it. TWC may award additional points for Offerors that successfully implemented more than one complete integrated UI solution.

## 9.4 Offeror References

Offeror must provide a minimum of three (3) verifiable references excluding TWC. The three (3) references should cover Offeror capabilities, not just individual staff capabilities. References may be a combination of the prime Offeror and subcontractor Offeror references, with at least one (1) prime Offeror reference. If the Offeror has contracted with TWC within the last five (5) years, the Offeror must include TWC as a fourth reference. For TWC references, provide the Project name and timeframe but do not provide any specific individual’s name.

TWC must be able to reach each reference directly by phone or email within one (1) week of initial contact, or the evaluation score will be zero (0) for that reference.

* Submit the reference contact information, including name, email and phone number, with your response in this section;
* TWC uses references during the first evaluation, so we will not allow you to provide reference contact information later in the selection process;
* TWC must contact the references directly, without the Offeror acting as an intermediary to set up contact; and
* To ensure the reference understands which project we are requesting information about:
  + Provide the dates and the name of the project; and
  + Provide the name of the company (yours or a subcontractor’s) that had direct dealings with your reference.

References must focus on the following:

* Experience with the Offeror’s design, implementation, and delivery of the UI and any other integrated Workforce solution(s);
* Experience with the Offeror’s data conversion and migration from legacy system(s) to the new hosted solution;
* Experience with the Offeror’s development, implementation, and replacement of interfaces to other systems both internal and external to the customer’s organization;
* Experience with the Offeror ensuring data privacy and information security for safeguarding PII;
* Successful completion of a project of similar size and complexity; and
* Lessons learned or other observations from working with the Offeror throughout the implementation project and during subsequent support and enhancement activities.

# Offer Submission Requirements

## 10.1 Offeror Instructions

### 10.1.1 UI Proposal (Required)

The Offeror must:

10.1.1.1 Provide a proposal for implementing a UI solution that will completely replace the TWC UI legacy systems. However, a proposal to replace TWC’s existing CMS is Optional.

10.1.1.2 Phrase response in terms and language that can be easily understood by non-technical personnel.

10.1.1.3 Include the entire text of the RFO within your response, reformatting as needed. Ensure that your document outline and Table of Contents matches TWC’s RFO outline. You may add an overview or attachments.

10.1.1.4 Do not include a restatement of the desired service or functionality. Do not repeat detail(s) already included in the RFO. Focus your response on what you will do to ensure that your solution meets TWC’s needs.

10.1.1.5 Carefully review Attachment 1 - Texas Workforce Commission - Terms & Conditions. Offerors must submit in writing with their offer any exceptions taken to those Terms & Conditions and include alternative language for same. State and Federal statutes are not negotiable. TWC will look more favorably on Proposals that offer no or few exceptions, reservations, or limitations to the Terms and Conditions of the RFO, including the TWC Terms & Conditions in Attachment 1.

10.1.1.6 Unless a section requires a specific Offeror response, it is sufficient to state “Understand and will comply” following the section.

10.1.1.7 Clearly label your response (e.g., begin all of your responses with “Offeror Response” or “[Offeror name] Response”); do not rely on formatting alone.

10.1.1.8 Ensure your written response complies with EIR accessibility requirements, per Section 11.4.1 of Attachment 1 - Texas Workforce Commission – Terms & Conditions.

10.1.1.9 Avoid redundancy within your response. If information applies to more than one (1) section, include it in only one (1) section and reference it in all other applicable places.

10.1.1.10 Limit response to no more than one thousand five hundred (1,500) pages including all attachments and graphics. Conciseness and clarity of content in proposals are required; vague and general proposals may be considered non-responsive and may result in disqualification (or adversely affect your evaluation score).

10.1.1.11 Ensure that all deliverable methodologies, assumptions and exclusions are included under the specific deliverable in [Section 2.2](#_2.2_Required_Project), Required Project Deliverables and [Section 2.3](#_2.3_Optional_Project), Optional Project Deliverables.

10.1.1.12 Ensure that all methodologies that apply to the entire Project or multiple deliverables are included under [Section 2.5](#_2.5_Overall_Project), Overall Project Approach.

### 10.1.2 HUB Participation (Required)

TWC requires, as a condition of an award, that Offerors comply with Texas Government Code Chapter 2161, Subchapter F and the Historically Underutilized Businesses (HUB) Plan relating to the State’s program on HUB. Offerors must comply with [Attachment 11](#_Attachment_11_–) - HUB Subcontracting Plan. **If the total bid is greater than $100,000 or the section below is marked “Yes”**, Offerors **must** complete the [Attachment 11](#_Attachment_11_–) - HUB Subcontracting Plan documents and submit them as part of their response to this solicitation. If awarded a contract, and HUB sub­contractors are used, Offeror will be required to submit a monthly HUB Progress Assessment Report.

TWC has determined that there are subcontracting opportunities in this Project:

**Yes**  **No**

## 10.2 Submission Details

Required submission format and number of copies for each proposal:

* Response Due Date: Submit Technical Offer and Financial Offer as described below no later than **September 12, 2019** at 2:00 p.m. Central Time.
* Technical Offer: Submit one (1) double-sided hard copy of the Technical RFO response bound with spirals or in notebooks plus one (1) soft copy PDF file on a DVD or flash drive.
* Financial Offer (separate from the Technical Offer):
  + Submit one (1) hard copy of [Attachment 12 - Pricing](#_Attachment_12_–), of the response plus one (1) soft copy PDF file on a separate DVD or flash drive; and
  + Submit one (1) hard copy original plus one (1) soft copy of the financial statement as detailed in Section 10.3, Financial Statement Content, on a separate DVD or flash drive.

Offeror questions regarding this RFO:

* Submit questions using [Attachment 3](#_Attachment_3_–) - Offeror Questions & Answers Template, no later than **July 25, 2019** at 2 p.m. Central Time. Include the RFO Section and Page for each question.
* TWC will post all Offeror Questions & Answers and, if appropriate, an Amended RFO to all Offerors by **August 14, 2019** at 2 p.m. Central Time.

Contact and address information for Offeror questions and response submission:

Texas Workforce Commission  
Purchasing Department  
Primary Contact Name: Paul Hesser  
Email: [paul.hesser@twc.state.tx.us](mailto:paul.hesser@twc.state.tx.us)

Phone: 512-936-3339

Mailing Address (for U.S. Express Service):   
Texas Workforce Commission  
Procurement and HUB Services   
4405 Springdale Rd, Room 342T  
Austin, TX 78723

## 10.3 Financial Statement Content

### 10.3.1 Financial Statement

Offeror must provide annual financial statements within the past three (3) years. They are to include an income statement, a balance sheet, a statement of cash flows and all required notes. Include the State/Province and Country in which you are incorporated and the principal place of business. The required levels of assurance/accuracy in the financial statements are listed below.

Audited Financial Statements by a Certified Public Accounting (CPA) firm.

If audited financials are not available, then the following may be submitted as a clearly-stated substitute for the audited financials:

* Reviewed Financial Statements by a CPA firm.
* Compiled Financial Statement by a CPA firm.

The financial statements will be reviewed by a TWC Analyst for financial viability and will receive a pass/fail mark. TWC reserves the right to disqualify an Offeror that receives a fail mark.

### 10.3.2 Frequency

The Awarded Vendor must provide the financial statements in Section 10.3.1 annually throughout the term of the Contract.

### 10.3.3 Warranty of Financial Good Standing

A sworn Warranty of Financial Good Standing by which the Offeror warrants that to the best of its knowledge there are no actions, suits, or proceedings pending or threatened against or affecting it or any of its property in any court or before any arbitrator or before or by any governmental entity, domestic or foreign, except actions, suits, or proceedings of the character normally incident to the kind of business conducted by it as to which any adverse determination in excess of any accruals to reflect potential liability would not materially adversely affect its business, assets, operations, or condition, financial or otherwise, taken as a whole, or materially adversely affect its ability to perform its obligations under this RFO and any resulting contract, and it is not in material default with respect to any material Order of any court, arbitrator or governmental entity and that your company is not for sale or to become acquired by another business entity during the twelve (12) months following the Offer Submission Deadline.

Additionally, the Offeror warrants that all of the financial information it provided to TWC in accordance with Section 10.3 of this RFO fairly present its consolidated financial position as of the date of its submission to TWC and that there has not been any material adverse change in its business, assets, liabilities, or condition, financial or otherwise.

# Screening and Evaluation Criteria

TWC reviews the submitted proposals to determine if they are responsive. For a proposal to be considered responsive and to be evaluated for selection, the following requirements must be met:

* The proposal must be received at TWC by the deadline date and time;
* The proposal must be complete with required original signatures;
* The proposal must contain all information required for each deliverable;
* The proposal must be submitted in the format described in the RFO; and
* All required attachments must include signatures and be part of the proposal.

Offerors must include all proposed modifications to Attachment 1 - Texas Workforce Commission - Terms & Conditions, with proposal. All proposals will be screened for inclusion of all required information prior to release to the Evaluation Team. TWC may exclude from further consideration for selection any non-responsive proposal or portion of a proposal.

**Any exceptions or deviations by the Offeror to Attachment 1 - TWC’s Terms & Conditions (T&Cs), may make the offer unacceptable for award without discussion. If an Offeror proposes exceptions to the Terms & Conditions, TWC may make an award without discussion to another Offeror that did not take exceptions to the Terms & Conditions. At a minimum, proposals that have exceptions to TWC’s Terms & Conditions will have points deducted from the scoring item related to exceptions to TWC’s Terms & Conditions, which is worth up to five percent (5%) of the total score.**

TWC Purchasing will determine this based upon the following criteria:

* 5% when Offeror will comply with all TWC T&Cs with no exceptions;
* 4% when Offeror will comply with most TWC T&Cs with very few exceptions;
* 3% when Offeror will comply with some TWC T&Cs with moderate exceptions;
* 1% when Offeror will comply with few TWC T&Cs with several critical exceptions; and
* 0% when Offeror will not comply with TWC T&Cs.

In compliance with the provisions of Texas Government Code, Title 10, Subtitle D, Section 2155.074, Section 2155.075, Section 2156.007, Section 2157.003 and Section 2157.125, and Texas Administrative Code, Title 34, Chapter 20 Rule §20.509, information obtained from the Statewide Procurement Division’s Vendor Performance Tracking System (VPTS) will be used in evaluating responses to solicitations for goods and services to determine the best value for the state.

The Evaluation Team will evaluate proposals based on the best value to the agency. The best value is determined as follows:

| **Proposal Section** | **% of Score** |
| --- | --- |
| Deliverables, schedule, and methodologies | 50% |
| Cost (10% is the service delivery solution and 10% are all other costs) | 20% |
| Data Privacy, Cyber Security, and SLAs | 10% |
| Documented experience for Offeror, subcontractors and proposed Offeror Staff confirmed by references and information available from the VPTS | 15% |
| Exceptions to TWC’s Terms & Conditions as described above | 5% |

## 11.1 Evaluation, Oral Presentations, and Site Visits

Proposals will be scored by the Evaluation Team to identify the Finalist(s). The TWC Evaluation Team will score all proposals on the total submission except the 10% for the service delivery solution.

If proposing a DCS solution, Offerors should comprehensively list their infrastructure requirements in Section 2.2.16 for DCS infrastructure within a State Data Center for financial review by TWC and DIR. Offerors should leave DCS costs blank.

If an Offer, with a DCS solution, is evaluated as a finalist, it will be referred to TWC Purchasing who will then coordinate with DIR to estimate DCS costs. After receiving the DIR-provided DCS costs from TWC Purchasing, the TWC Evaluation Team will score all Offerors’ service delivery solutions, 10% of the total cost score, to determine total scores.

Offerors determined to be Finalist(s) for award may be required to provide a proof of concept to TWC representatives to do one or more of the following:

* Clarify its Proposal and ensure a mutual understanding of the Proposal’s content;
* Showcase its approach to the Work;
* Demonstrate and discuss Offeror’s products and services; and
* Demonstrate the professionalism, qualifications, skills, and work knowledge of its proposed candidates.

TWC will determine the scope and format of any such proof of concepts, demonstrations, and interviews and may record them. Additionally, if TWC selects more than one Finalist, the scope and format of these proof of concepts, demonstrations, and interviews may vary from one offeror to the next, depending on the particular issues or concerns the State may have with each Offeror’s Proposal.

TWC normally will not rank proof of concepts, demonstrations, and interviews. Rather, if TWC conducts the proof of concepts, demonstrations, and interviews as part of the technical evaluation, TWC may use the information it gathers during this process in evaluating the technical merits of the Proposals. If TWC holds the proof of concepts, demonstrations, and interviews for one or more Finalist(s) after the evaluation phase, TWC may decide to revise its existing Proposal evaluations based on the results of this process.

Offerors must confirm in writing any substantive oral clarifications of their Proposals made during the course of discussions. Any such written clarifications then become part of the Offeror’s Proposal and are binding if the Contract is awarded. The Procurement Officer will notify Offerors of the time and place of a proof of concept.

The Evaluation Team, at its discretion, may travel to view qualified Offerors’ proposed solutions (or a close approximation) in operation, or may view or investigate qualified Offerors’ proposed solutions in operation remotely using appropriate technology. This will become part of the evaluation process.

## 11.2 BAFO

The Agency reserves the right to negotiate with and/or to request BAFOs from any or all Offerors as a part of the formal evaluation process. If the Agency requests a formal, written BAFO, the Offeror will be notified of the allotted time to respond to the request. If an Offeror does not respond to the Agency’s request within the allotted time, the Agency will consider the most recent offer to be the BAFO.

**TWC reserves the right to award single, multiple, partial or no awards.**

**Award of contract is contingent upon availability of funding and authorization by the Texas State Legislature.**

# Attachments

Attachment 1 – Texas Workforce Commission - Terms & Conditions

Attachment 2 – Offeror Agreement

Attachment 3 – Offeror Questions & Answers Template

Attachment 4 – Deliverables Expectations Document

Attachment 5 – UI Requirements and Response Sheet

Attachment 6 – UI Process Descriptions

Attachment 7 – UI Interface Summary

Attachment 8 – UI Report Summary

Attachment 9 – Anonymized Sample

Attachment 10 – Service Level Agreements

Attachment 11 – HUB Subcontracting Plan

Attachment 12 – Pricing

## Attachment 1 – TWC - Terms & Conditions (6/28/19)

By responding to the solicitation or fulfilling the awarded Purchase Order (PO), the Vendor agrees to the terms and conditions below, which apply to and become a part of every Texas Workforce Commission (TWC) purchase. Only mutual written exceptions will be valid. Where a purchase is made without the Invitation for Bids (IFB); Request for Offers (RFO) or Request for Proposals (RFP) process, “IFB/RFO/RFP” equates to “Purchase Order” and “Bidder/ Offeror/Proposer” equates to “Vendor”. Any speci­fication in the solicitation that is in conflict with these standard terms and conditions takes precedence. All references to “days” shall be calendar days unless specified otherwise.

**1. SOLICITATION RESPONSE REQUIREMENTS**

* 1. **Written Specifications**: TWC will not be bound by any oral statement or representation contrary to the written specifications contained in the solicitation.
  2. **Incomplete Responses:** Late, illegible, incomplete and/or unsigned responses may be deemed non**-**responsive and may not be considered.
  3. **Freight:** Prices quoted are to include freight prepaid, F.O.B. Destination (Free on Board). Enter unit price on quantity and unit of measure specified - extend and show total. In case of errors in extension, unit prices shall govern.
  4. **Firm Pricing:** Pricessubmitted are expected to be firm for TWC acceptance for thirty (30) days from the solicitation deadline. "Discount from list" offers are not acceptable unless specifically requested. Cash discounts will not be considered in determining the low offer. All cash discounts submitted will be taken if earned.Prices must remain firm for the duration of the term of the PO/contract.
  5. **Ties**: In the case of tie bids, the award will be made in accordance with the preferences listed under 34 TAC Rule 20.306
  6. **Preferences:** In making an award, TWC shall apply the preferences listed at 34 Texas Administrative Code (TAC) § 20.306. For purchase or lease of computer equipment TWC shall apply a preference for manufacturers that have a computer recycling program as described in 1 TAC § 217.11.
  7. **Bid Alteration/Withdrawal:** A submitted response to a solicitation cannot be altered or amended after the solicitation deadline, except by formal negotiation via the RFO/RFP processes. Any alteration made before the solicitation deadline is to be initialed by Vendor or the Vendor’s authorized agent. Vendors are not allowed to withdraw their submitted response after the solicitation deadline without approval by TWC.
  8. **Rejection of Bids:** In accordance with Texas Government Code § 2156.008, TWC reserves the right to reject a bid in which there is a material failure to comply with specification requirements. TWC may reject all bids or parts of bids if the rejection serves the state’s best interest.
  9. **Tax Exempt:** Purchases made for State use are exempt from the State Sales tax and Federal Excise tax. Do not include tax in bid. Excise Tax Exemption Certificates are available upon request.
  10. **Other Entities:** TWC requests that the Vendor extends the same contract prices and conditions to Local Workforce Development Boards (LWDB) and Child Care Management Services (CCMS) entities contractually linked with TWC if awarded the contract.
  11. **Identify All Parties:** TWC requires all business partners, equipment, support or maintenance providers who will perform under an awarded contract to be identified prior to contract award for TWC approval. Substitutions of providers shall be submitted in writing for TWC approval during the term of the agreement.
  12. **No Travel:** TWC will not reimburse a Vendor for travel and expenses unless specifically provided for in the contract documents. In that event, such reimbursement will not exceed the state travel reimbursement rates and limits established by the then current General Appropriations Act.

1. **GENERAL CONDITIONS**
   1. **Damage to Grounds and Buildings:** Vendor shall be financially responsible for any or all damage done by its employees, agents and subcontractors to the TWC grounds and buildings. Vendor is responsible for the removal of all debris resulting from work performed under the contract.
   2. **Disclosure of Information:** TWC, the Comptroller General of the United States, or any of their duly authorized representatives shall have access to any books, documents, papers and records which are directly pertinent to this procurement.
   3. **Texas Public Information Act:**
      1. Information, documentation, and other material in connection with this solicitation or any resulting contract may be subject to public disclosure pursuant to Texas Government Code, Chapter 552 (the “Public Information Act”).
      2. All information submitted in response to the solicitation is subject to public disclosure pursuant to the Public Information Act. In the event of a request for information pertaining to the solicitation, TWC will comply with the provisions of the Public Information Act to protect the interests of the State of Texas. The Public Information Act allows the public to have access to information in the possession of a governmental body. Therefore, the Vendor must clearly identify any confidential or proprietary information on the page on which it appears in the solicitation response and reference the specific exception to disclosure in the Public Information Act. Proprietary information identified by the Vendor in advance will be kept confidential to the extent permitted by state law. Any information not clearly identified as confidential or proprietary shall be deemed to be subject to disclosure pursuant to the Public Information Act.
      3. All information, documentation and other material in connection with the solicitation or any resulting contract will be retained by TWC for the period specified in the Records Retention Schedule created under Texas Government Code, Chapter 441. The information will not be returned to the Vendor who submitted it during the retention period time.
      4. Vendor is required to make any public information created or exchanged with the state pursuant to any contract with TWC, and not otherwise excepted from disclosure under the Texas Public Information Act, available in a format that is accessible by the public at no additional charge to TWC.
   4. **Award of Contract:**
      1. Responding to a solicitation is an offer to contract with the State based upon the terms, conditions, and specifications contained in the solicitation. Submitted responses do not become contracts unless and until they are accepted and an award is made by TWC Procurement and Hub-Services and a PO is issued to the Vendor.
      2. TWC reserves the right to negotiate price and terms with any and all Vendors, to accept or reject all or any part of a Vendor’s response, waive minor technicalities, to request Best and Final Offers from all or any Vendors, and make an award that represents Best Value to the agency or the State.
      3. Subsequent to award, TWC may, at its sole option, request the Vendor to negotiate contract amendments or renewals as is determined to be in the best interest of the agency or the State.
      4. TWC reserves the right to use a third party to negotiate price related to any Information Technology solicitation or contract.
      5. TWC reserves the right to make an award on the basis of low line item bid, low total of line items, or in any other combination that will serve the best interest of the State and to reject any and all bid items in the sole discretion of the State.
   5. **Vendor Assignments:** No assignment is permitted the Vendor without prior written consent of TWC. Any written request for assignment must be accompanied by written acceptance of the assignment by the assignee. Except where otherwise agreed in writing by TWC, assignment will not release Vendor from its obligations pursuant to the contract.
   6. **TWC Assignments:** TWC may sub-lease or assign equipment and related services provided via the contract to other entities which contract with TWC to provide agency support or services.
   7. **INDEMNIFICATION**
      1. **Acts or Omissions: Vendor shall indemnify and hold harmless the State of Texas, TWC, AND/OR THEIR OFFICERS, AGENTS, EMPLOYEES, REPRESENTATIVES, CONTRACTORS, ASSIGNEES, AND/OR DISIGNEES FROM ANY AND ALL LIABILITY, ACTIONS, CLAIMS, DEMANDS, OR SUITS, AND ALL RELATED COSTS, ATTORNEY FEES, AND EXPENSES arising out of, or resulting from any acts or omissions of the Vendor or its agents, employees, subcontractors, order fulfillers, or suppliers of subcontractors in the execution or performance of the Contract and any Purchase Orders issued under the Contract. THE DEFENSE SHALL BE COORDINATED BY VENDOR WITH THE OFFICE OF THE ATTORNEY GENERAL WHEN TEXAS STATE AGENCIES ARE NAMED DEFENDANTS IN ANY LAWSUIT AND VENDOR MAY NOT AGREE TO ANY SETTLEMENT WITHOUT FIRST OBTAINING THE CONCURRENCE FROM THE OFFICE OF THE ATTORNEY GENERAL. VENDOR AND TWC AGREE TO FURNISH TIMELY WRITTEN NOTICE TO EACH OTHER OF ANY SUCH CLAIM.**
      2. **Infringements:** 
         1. **Vendor shall indemnify and hold harmless the State of Texas, TWC, AND/OR THEIR EMPLOYEES, AGENTS, REPRESENTATIVES, CONTRACTORS, ASSIGNEES, AND/OR DESIGNEES from any and all third party claims involving infringement of United States patents, copyrights, trade and service marks, and any other intellectual or intangible property rights in connection with the PERFORMANCES OR ACTIONS OF VENDOR PURSUANT TO THIS CONTRACT. VENDOR AND TWC AGREE TO FURNISH TIMELY WRITTEN NOTICE TO EACH OTHER OF ANY SUCH CLAIM. VENDOR SHALL BE LIABLE TO PAY ALL COSTS OF DEFENSE INCLUDING ATTORNEYS’ FEES. THE DEFENSE SHALL BE COORDINATED BY VENDOR WITH THE OFFICE OF THE ATTORNEY GENERAL WHEN TEXAS STATE AGENCIES ARE NAMED DEFENDANTS IN ANY LAWSUIT AND VENDOR MAY NOT AGREE TO ANY SETTLEMENT WITHOUT FIRST OBTAINING THE CONCURRENCE FROM THE OFFICE OF THE ATTORNEY GENERAL.**
         2. **Vendor shall have no liability under this section if the alleged infringement is caused in whole or in part by: (1) use of the product or service for a purpose or in a manner for which the product or service was not designed, (2) any modification made to the product without Vendor’s written approval, (3) any modifications made to the product by the Vendor pursuant to TWC’s specific instructions, (4) any intellectual property right owned by or licensed to TWC, or (5) any use of the product or service by TWC that is not in conformity with the terms of any applicable license agreement.**
         3. **If Vendor becomes aware of an actual or potential claim, or TWC provides Vendor with notice of an actual or potential claim, Vendor may (or in the case of an injunction against TWC, shall), at Vendor’s sole option and expense; (1) procure for TWC the right to continue to use the affected portion of the product or service, or (2) modify or replace the affected portion of the product or service with functionality equivalent or superior product or service so that TWC’s use is non-infringing.**
      3. **Taxes/Workers’ Compensation/Unemployment Insurance – Including Indemnity:**
         1. **VENDOR AGREES AND ACKNOWLEDGES THAT DURING THE EXISTENCE OF THIS CONTRACT, VENDOR SHALL BE ENTIRELY RESPONSIBLE FOR THE LIABILITY AND PAYMENT OF VENDOR’S AND VENDOR’S EMPLOYEES’ TAXES OF WHATEVER KIND, ARISING OUT OF THE PERFORMANCES IN THIS CONTRACT. VENDOR AGGREES TO COMPLY WITH ALL STATE AND FEDERAL LAWS APPLICABLE TO ANY SUCH PERSONS, INCLUDING LAWS REGARDING WAGES, TAXES, INSURANCE, AND WORKERS’ COMPENSATION. THE STATE OF TEXAS AND/OR TWC SHALL NOT BE LIABLE TO THE VENDOR, ITS EMPLOYEES, AGENTS, OR OTHERS FOR THE PAYMENT OF TAXES OR THE PROVISION OF UNEMPLOYMENT INSURANCE AND/OR WORKERS’ COMPENSATION OR ANY BENEFIT AVAILABLE TO A STATE EMPLOYEE OR EMPLOYEE OF ANOTHER GOVERNMENTAL ENTITY CUSTOMER.**
         2. **VENDOR AGREES TO INDEMNIFY AND HOLD HARMLESS THE STATE OF TEXAS, TWC, AND/OR THEIR EMPLOYEES, AGENTS, REPRESENTATIVES, CONTRACTORS, AND/OR ASSIGNEES FROM ANY AND ALL LIABILITY, ACTIONS, CLAIMS, DEMANDS, OR SUITS, AND ALL RELATED COSTS, ATTORNEYS’ FEES, AND EXPENSES, RELATING TO TAX LIABILITY, UNEMPLOYMENT INSURANCE AND/OR WORKERS’ COMPENSATION IN ITS PERFORMANCE UNDER THIS CONTRACT. VENDOR SHALL BE LIABLE TO PAY ALL COSTS OF DEFENSE INCLUDING ATTORNEYS’ FEES. THE DEFENSE SHALL BE COORDINATED BY VENDOR WITH THE OFFICE OF THE ATTORNEY GENERAL WHEN TEXAS STATE AGENCIES ARE NAMED DEFENDANTS IN ANY LAWSUIT AND VENDOR MAY NOT AGREE TO ANY SETTLEMENT WITHOUT FIRST OBTAINING THE CONCURRENCE FROM THE OFFICE OF THE ATTORNEY GENERAL. VENDOR AND TWC AGREE TO FURNISH TIMELY WRITTEN NOTICE TO EACH OTHER OF ANY SUCH CLAIM.**
   8. **Vendor Performance:** In accordance with Texas Government Code §§ 2155.074 and 2155.075, Vendor performance may be used as a factor in the award.
   9. **Force Majeure:** TWC may grant relief from performance of an awarded contract or PO, or extend a performance period, if the Vendor is prevented from compliance and performance by an act of war, order of legal authority, act of God, or other unavoidable cause not attributable to the fault of the Vendor. If the Vendor requests the relief, the burden of proof for the need of such relief shall rest upon the Vendor, who must file a written request for such release or extension. If TWC grants such relief due to circumstances known by the agency, the agency must document such reasons in the contract file.
   10. **Dispute Resolution Procedures:**
       1. Procurement Disputes: Any actual or prospective Vendor who is aggrieved in connection with the solicitation, evaluation, or award of a contract may formally protest to the Deputy Executive Director. Such protests must be made via certified mail and received in the appropriate Director’s office within ten (10) business days from the date of the announcement of the award. The written protest must include: the number of the solicitation being protested; the grounds for the protest, including a description of any alleged acts or omissions by TWC that form the basis for the protest; any written information which the protestor believes is relevant to the award; and the basis for the protestor’s interest in the procurement. TWC will make available to the protestor all requested documents not exempted from disclosure under Texas and federal law. TWC will provide copies of these documents upon payment of the fees adopted by TWC for record duplication. The protestor will be provided an opportunity for an informal meeting with the Director or his designee, to discuss the protest, however, TWC may limit the amount of time allocated for the meeting. The Director will issue the final written decision to the protestor.
       2. **Contract Disputes:** TWC follows the dispute resolution process provided for in Texas Government Code, Chapter 2260 to resolve contract disputes.
   11. **Debt to the State:** Vendor agrees that any payments due under this contract will be applied towards any debt including, but not limited to, delinquent taxes and child support that is owed to the State of Texas.
   12. **Hold-Over Provision:** In the event contract renewal negotiations are not completed prior to the contract expiration date, both parties agree that services shall be provided by the Vendor and accepted by TWC , subject to all original terms and conditions of the contract, for a period not to exceed ninety (90) days following the original contract expiration date. The hold-over service costs shall be the pro-rated rates in effect immediately prior to such expiration. Such hold-over agreement shall not be interpreted to extend the term of the original contract. TWC may ter­mi­nate such hold-over service by providing written notice of cancellation not less than ten (10) business days prior to the cancellation date.
   13. **Supporting Documents, Retention**: Vendor shall maintain and retain supporting fiscal and any other documents relevant to showing that any payments under this Contract were expended in accordance with the laws and regulations of the State of Texas, including but not limited to, requirements of the Comptroller of the State of Texas and the State Auditor. Vendor shall maintain all such documents and other records relating to this Contract and the State’s property for a period of seven (7) years after the date of submission of the final invoices or until a resolution of all billing questions, whichever is later. Vendor shall make available at reasonable times and upon reasonable notice, and for reasonable periods, all documents and other information related to this Contract. Vendor and the subcontractors shall provide the State Auditor with any information that the State Auditor deems relevant to any investigation or audit. Vendor must retain all work and other supporting documents pertaining to this Contract, for the purposes of inspecting, monitoring, auditing, or evaluating by TWC and any authorized agency of the State of Texas, including an investigation of audit by the State Auditor.
   14. **State Auditor:** Vendor shall cooperate with any authorized agents of the State of Texas and shall provide them with prompt access to all of such State’s work as requested. Vendor’s failure to comply with this Section shall constitute a material breach of this Contract and shall authorize TWC and the State of Texas to immediately assess appropriate damages for such failure. Pursuant toTexas Government Code § 2262.154, the acceptance of funds by Vendor or any other entity or person directly under this Contract, or indirectly through a subcontract under this Contract shall constitute acceptance of the authority of the State Auditor's Office, or any successor agency, to conduct an audit or investigation in connection with those funds. Vendor acknowledges and understands that the acceptance of funds under this Contract shall constitute consent to an audit by the State Auditor, Comptroller or other agency of the State of Texas. Vendor shall ensure that this paragraph concerning the State’s authority to audit funds received indirectly by subcontractors through Vendor and the requirement to cooperate is included in any subcontract it awards. Furthermore, under the director of the legislative audit committee, an entity that is subject of an audit or investigation by the State Auditor must provide the State Auditor with access to any information the State Auditor considers relevant to the investigation or audit.
   15. **Limitation on TWC's Liability:** TWC will not be liable for any incidental, indirect, special, or consequential damages under contract, Tort, (including negligence), or other legal theory. TWC's liability to Vendor under the contract will not exceed the total charges to be paid by TWC to Vendor under the contract.
   16. **State Ownership:** The Parties agree that TWC will own all right, title and interest in and to the work products including deliverables, source and object code and documentation developed by the Vendor in connection with the contract.
       1. All work products including deliverables, source and object code and documentation, in whole or in part, will be deemed works made for hire of TWC for purposes of copyright law and copyright will belong solely to TWC.
       2. To the extent that any such work product or deliverable does not qualify as a work made for hire under applicable law, and to the extent that the deliverable or work product includes materials subject to copyright, patent, trade secret, or other proprietary right protection, Vendor agrees to assign, and hereby assigns, all right, title, and interest in and to the work products and deliverables, including without limitation all copyrights, inventions, patents, trade secrets, and other proprietary rights therein (including renewals thereof) to TWC.
       3. Vendor will assist TWC or its nominees to obtain copyrights, trademarks, or patents for all such work products or deliverables in the United States and any other countries. Vendor agrees to execute all papers and to give all facts known to it necessary to secure United States or foreign country copyrights and patents, and to transfer to TWC all the right, title, and interest in and to such work products or deliverables. Vendor agrees to not assert any moral rights under applicable copyright law with regard to such work products and deliverables.
       4. Vendor agrees to reproduce and include TWC's copyright and other proprietary notices and product identifications provided by Vendor on such copies, in whole or in part, or on any form of the work products or deliverables.
   17. **License:** In accordance with 2 Code of Federal Regulations § 200.315, all appropriate State and Federal agencies will have a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, translate or otherwise use, and to authorize others to use for State or Federal purposes all materials, deliverables and work products, including software and modifications thereof, and associated documentation designed, developed, or installed with Federal Financial Participation under the contract, including but not limited to those materials covered by copyright, all source and object code, instructions, files, and documentation composing the system.
   18. **Most Favored Customer:**  If during the term of the contract, the Vendor enters into another contract with any customer for substantially similar services at prices more favorable than those provided to TWC, the contract may be amended to provide the more favorable prices to TWC.
   19. **Governing Law and Venue:** The contract shall be executed in and governed, construed and interpreted under the laws of the state of Texas. Vendor agrees that proper venue for a claim arising under the contract shall be brought in a court of competent jurisdiction in Travis County, Texas.
   20. **Severability:** If any provision of the contract is construed to be illegal or invalid, such provision shall be deemed stricken and deleted to the same extent and effect as if never incorporated into the contract, but all other provisions shall remain in full force and effect.
   21. TWCand the Vendor must adhere to the directions in the President’s Executive Order (EO) 13224, Blocking Property and Prohibiting Transactions With Persons Who Commit, Threaten to Commit, or Support Terrorism. This Executive Order prohibits any transaction or dealing by United States persons, including but not limited to the making or receiving of any contribution of funds, goods, or services to or for the benefit of those persons listed in the General Services Administration’s Excluded Parties List System (EPLS) which may be viewed on the System for Award Management (SAM) site at <http://www.Sam.gov>
   22. **No Waiver**: Nothing in this contract shall be construed as a waiver of the TWC’s or the State’s sovereign immunity. This contract shall not constitute or be construed as a waiver of any of the privileges, rights, defenses, remedies, or immunities available to the TWC or the State of Texas. The failure to enforce, or any delay in the enforcement, of any privileges, rights, defenses, remedies, or immunities available to TWC or the State of Texas under this contract or under applicable law shall not constitute a waiver of such privileges, rights, defenses, remedies, or immunities or be considered as a basis for estoppel. TWC does not waive any privileges, rights, defenses, or immunities available to TWC by entering into this contract or by its conduct prior to or subsequent to entering into this contract.
   23. **Redacted Electronic Copy:** Under House Bill 3430, 80th Texas Legislature, (transferring Texas Government Code § 2177.052, to Texas Government Code, Chapter 322, and redesignating it as § 322.020) and as per the following requirements, no later than two (2) business days after Vendor’s receipt of notice from TWC, the Vendor must deliver to TWC two (2) electronic copies of its complete proposal. Vendor shall deliver these electronic copies to TWC via overnight delivery in compliance with all of the following requirements:
       1. Two (2) compact discs (CDs), each containing a copy of Vendor’s response to solicitation, in searchable Portable Document Format (PDF) format, which has excised, blacked out, or otherwise redacted information from its solicitation response that Vendor reasonably considers to be confidential and exempt from public disclosure under the Texas Public Information Act, Chapter 552 of the Texas Government Code (this should be a de minimis portion, if any, of Vendor’s solicitation response, such as social security numbers). Each CD shall also contain an Appendix for Vendor’s solicitation response which provides a cross reference for the location of all information redacted by Vendor and a general description of the redacted information. These two (2) identical CDs should be entitled “For Public Release: Redacted Version of [Name of Vendor]’s Proposal and Exhibits. Texas Workforce Commission’s RFP/RFO/IFB solicitation No. \_\_\_\_.”
       2. Per Texas Government Code § 322.020, the Texas Legislative Budget Board (LBB) has now implemented a major contracts database.
       3. TWC shall upload to the LBB’s contracts database the text of the complete contract (with limited redaction and appendix) no later than ten (10) days after date of contract award. By submitting a response to this solicitation, Vendors acknowledge that they understand and accept this requirement. See the LBB website at <<http://www.lbb.state.tx.us/>>.
       4. **American Recovery and Reinvestment Act (ARRA or the Recovery Act)**
          1. Buy American Requirements for Construction Material prohibits the use of funds appropriated for the Recovery Act for any project for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufactured goods used in the project are produced in the United States.
          2. Whistleblower Protection: Pursuant to Section 1553 of the American Recovery and Reinvestment Act, Vendors shall promptly refer to the U.S. Department of Labor, Office of Inspector General any credible evidence that a principal, employee, agent, contractor, sub-recipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving ARRA funds
   24. **Background Check**: Vendors must submit criminal background checks on all key personnel assigned to the services related to this solicitation, as authorized by Texas law, and at Vendor expense.  Key personnel are defined as personnel whose oversight and guidance is essential to the subject services. TWC may provide any finalist for a contract position a Contractor Criminal History Report Investigation Request form P33c which contractor must complete and submit back to TWC as required on the form. To obtain a facility access badge, contractor must provide TWC with either a completed form P-33c or a recent criminal background check within fifteen (15) days of contract award.  TWC will not issue a Purchase Order until the criminal background check has been completed and passed.
   25. **Privacy**: Vendor who has access to sensitive personally identifiable information (“Sensitive PII”), including anyone who views contracts, collects, uses, maintains, stores or destroys Sensitive PII of TWC employees, job seekers, employers, customers or partners, must safeguard that information.
       1. Sensitive PII is anything that alone or in combination with available information can identify an individual, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience or unfairness to an individual.
       2. Awarded Vendor must have a Non-Disclosure Agreement (NDA) on file with TWC prior to handling Sensitive PII.
       3. In order to safeguard Sensitive PII, Awarded Vendor must:
          1. Collect Sensitive PII only as authorized.
          2. Limit the use of Sensitive PII.
          3. Minimize the proliferation of Sensitive PII.
          4. Secure Sensitive PII both physically and in electronic form.
          5. Report suspected privacy incidents within twenty four (24) hours to the TWC Contract Manager or, email the TWC Information Security Office at [CISO@twc.state.tx.us](mailto:CISO@twc.state.tx.us).
       4. Awarded Vendor will not transmit Sensitive PII via email or store on CDs, DVDs, thumb drives and the like without prior review and encryption protocol approved by TWC.
       5. Failure to follow these requirements may constitute a breach of contract.
   26. **Change in Law:** Any alterations, additions, or deletions to the terms of this Contract which are required by changes in federal or state law or regulations are automatically incorporated into this Contract without written amendment hereto, and shall become effective on the date designated by such law or by regulation.
   27. **Davis-Bacon Act**: Vendors on all prime construction contracts in excess of $2,000 must comply with the Davis-Bacon Act (40 U.S.C. §§ 3141-3144) as supplemented by the Department of Labor regulations (29 CFR Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction.”)
   28. Vendor will comply with the Copeland “Anti-Kickback” Act (40 U.S.C. § 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”).
   29. **Contract Work Hours and Safety Standards Act** (40 U.S.C. §§ 3701-3708). For all contracts in excess of $100,000 that involve the employment of mechanics and laborers, Vendor shall comply with 40 U.S.C. §§ 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5).
   30. **Environmental Protection:** Vendor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the mandates of the Clean Air Act (42 U.S.C. § 7401 et seq.) and the Federal Water Pollution Control Act, as amended (33 U.S.C. §1251 et seq.).

**3. REQUIRED CERTIFICATIONS**

By responding to this solicitation and accepting the award of a contract or purchase order, Vendor certifies to the following:

* 1. Vendor represents and warrants that all statements and information prepared and submitted in this Proposal are current, complete, true and accurate. Submitting a Proposal with a false statement or material misrepresentations made during the performance of a contract is a material breach of contract and may void the submitted Proposal and any resulting contract.
  2. **All Terms and Conditions Met:** that all terms and conditions listed in the solicitation will be met.
  3. By submitting the Proposal, Vendor represents and warrants that the individual submitting this document and the documents made part of this Proposal is authorized to sign such documents on behalf of the Vendor and to bind the Vendor under any contract that may result from the submission of this Proposal.
  4. **U.S. Department of Homeland Security’s E-Verify System:** By entering into this Contract, the Contractor certifies and ensures that it utilizes and will continue to utilize, for the term of this Contract, the U.S. Department of Homeland Security’s E-Verify system to determine eligibility of:
     1. All persons employed to perform duties within Texas, during the term of the Contract; and
     2. All persons (including subcontractors) assigned by the Respondent to perform work pursuant to the Contract, within the United States of America.
     3. The Contractor shall provide, upon request of TWC, an electronic or hardcopy screenshot of the confirmation or tentative non-confirmation screen containing the E-Verify case verification number for attachment to the Form I-9 for the three (3) most recent hires that match the criteria above, by the Contractor, and Contractor’s subcontractors, as proof that this provision is being followed.
     4. **If this certification is falsely made, the Contract may be immediately terminated, at the discretion of TWC and at no fault to TWC, with no prior notification. The Contractor shall also be responsible for the costs of any re-solicitation that TWC must undertake to replace the terminated Contract.**
  5. **Inducements:** that the Vendor has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted solicitation response.
  6. **Lobbying:** it shall not and has not used any federally appropriated funds to pay any person or organization for influencing or attempting to influence any officer or employee of any federal agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any federal contract, grant, or any other award covered by 31 U.S.C. § 1352. Vendor certifies that it shall disclose any lobbying with non-federal funds that takes place in connection with obtaining any federal award by completing and submitting Standard Form LLL. Further, Vendor certifies that no funds provided under the contract will be used in any way to attempt to influence in any manner a member of Congress to favor or oppose any legislation or appropriation by Congress, or for lobbying with State or local legislators.
  7. **Not Ineligible:** that neither it nor its principals are presen­tly debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from partici­pat­ing in this transaction by any federal department or agency.
  8. **Non-Discrimination:** The Vendor agrees that no person will, on the ground of race, color, religion, sex, national origin, age, disability, political affiliation, or religious belief, be excluded from the participation in, be denied the benefits or, be subjected to discrimination under, or be denied employment in the administration of, or in connection with, any program or activity funded in whole or in part with funds available under this Contract. The Vendor certifies compliance with the Rehabilitation Act of 1998 § 508, 29 U.S.C. § 794d, relating to the use of electronic and information technology for individuals with disabilities; the Housing and Urban Development Act § 3, 12 USC §1701u Sec. 1701u, relating to economic opportunities for low- and very low-income persons; Titles VI and VII of the Civil Rights Act of 1964 (Public Law 88-352); Section 504 of the Rehabilitation Act of 1973 (Public Law 93-112); Executive Order 11246, “Equal Employment Opportunity,” as amended by Executive Order 11375, “Amending Executive Order 11246 relating to Equal Employment Opportunity,” and as supplemented by regulations at 41 C.F.R. Part 60, “Office of Federal contract Compliance Programs, Equal Employment Opportunity Department of Labor.”; the Americans with Disabilities Act of 1990 (Public Law 101-336); and all amendments to each.
  9. **Drug-Free Workplace:** The Vendor agrees to provide a drug-free workplace in compliance with the Drug-Free Workplace Act of 1988 (102 Stat. 4304, P.L. 100-690, Title V, Subtitle D).
  10. **Franchise Tax:** TheVendor is not currently delinquent in the payment of any franchise tax owed to the State of Texas, pursuant to Article 2.45, Texas Business Corporation Act.
  11. **Child Support:** The Vendor is not ineligible to receive the specified grant, loan, or payment under Section 231.006 of the Texas Family Code (relating to child support) and acknowledges that the contract may be terminated and payment may be withheld if certification is inaccurate. Pursuant to Texas Family Code § 231.006(c), Vendor must provide the name and Social Security Number (SSN) of each person with at least 25% ownership of the business. This information must be provided prior to contract award.
  12. **Certain Bids and Contracts Prohibited:** Under Texas Government Code § 2155.004, Vendor certifies that the individual or business entity named in the solicitation response is not ineligible to receive the specified contract and acknowledges that the contract may be terminated and/or payment withheld if this certification is inaccurate.
  13. **Fair Business Practices:** The Vendor has not been found guilty of unfair business practices in a judicial or state agency administrative proceeding during the preceding year. The Vendor further affirms that no officer of the Vendor has served as an officer of any company found guilty of unfair business practices in a judicial or state agency admin­istrative proceeding during the preceding year.
  14. **Antitrust:** Affirms under penalty of perjury of the laws of the State of Texas that (1) in connection with this Response and any resulting contract, neither I nor any representative of the Vendor has violated any provision of the Texas Free Enterprise and Antitrust Act, Tex. Bus. & Comm. Code Chapter 15; (2) in connection with this Response and any resulting contract, neither I nor any representative of the Vendor have violated any federal antitrust law; and (3) neither I nor any representative of the Vendor have directly or indirectly communicated any of the contents of this Response to a competitor of the Vendor or any other company, corporation, firm, partnership or individual engaged in the same line of business as the Vendor.
  15. **No Compensation:** The Vendor has not received compensation for participation in the preparation of the solicitation. This section does not prohibit a Vendor or contract participant from providing free technical assistance.
  16. **Conflict of Interest:** Vendor has disclosed any existing or potential conflict of interest relative to the performance of the contract. Failure to do so will be grounds for contract termination.
  17. **Prohibition on Certain Bids and Contracts related to Disasters and Hurricanes Katrina and Rita:** Under Texas Government Code § 2155.006, the Vendor certifies that the individual or business entity named in response to this solicitation is not ineligible to receive the specified contract and acknowledges that any contract resulting from this solicitation may be terminated and payment withheld if this certification is inaccurate.
  18. **Independent Contractor:** Vendor or Vendor’s employees, representatives, agents and any subcontractors shall serve as an independent contractor in providing the services under any contract resulting from this solicitation. Vendor and Vendor's employees, representatives, agents and any subcontractors shall not be employees of TWC. Should Vendor subcontract any of the services required in this solicitation, Vendor expressly understands and acknowledges that in entering into such subcontract(s), TWC is in no manner liable to any subcontractor(s) of Vendor. In no event shall this provision relieve Vendor of the responsibility for ensuring that the services rendered under all subcontracts are rendered in compliance with this solicitation and any resulting contract.
  19. **Workers’ Compensation Insurance.** Vendor must maintain Workers’ Compensation insurance coverage in accordance with statutory limits.

Workers Compensation: Statutory Limits

Employers Liability: Each Accident $1,000,000

Disease – Each Employee $1,000,000

Disease – Policy Limit $1,000,000

Commercial General Liability:

Occurrence based:

Bodily Injury and Property Damage

Each occurrence limit: $1,000,000

Aggregate limit: $2,000,000

Medical Expense each person: $5,000

Personal Injury and Advertising Liability: $1,000,000

Products/Completed Operations Aggregate Limit: $2,000,000

Damage to Premises Rented to You: $50,000

NOTE: The required coverage is to be with companies licensed in the state of Texas with an “A” rating from A.M. Best, and authorized to provide the corresponding coverage.

* 1. **Felony Criminal Convictions:** Vendor represents and warrants that Vendor has not and Vendor’s employees have not been convicted of a felony criminal offense, or that, if such a conviction has occurred, Vendor has fully advised TWC as to the facts and circumstances surrounding the conviction.
  2. **Restricted Employment for Former State Officers or Employees Under Texas Government Code § 572.069**: Vendor certifies that it has not employed and will not employ a former TWC or state officer who participated in a procurement or contract negotiations for TWC involving Vendor within two (2) years after the state officer or employee left state agency employment or service. This certification only applies to former state officers or employees whose state service or employment ceased on or after September 1, 2015.
  3. Vendor certifies that both of the following statements are true and correct and that the Vendor understands that making a false statement is a material breach of the contract and is grounds for termination of contract award:
     1. Vendor is current in Unemployment Insurance taxes, Payday and Child Labor law monetary obligations, and Proprietary School fees and assessments payable to the State of Texas, to the extent applicable.
     2. Vendor has no outstanding Unemployment Insurance overpayment balance payable to the State of Texas.
  4. **State of Israel:** In contracts worth $100,000 or more in value, if Vendor is a Company as defined by Texas Government Code § 808.001 with 10 or more full-time employees, and Vendor isn’t a sole proprietorship, Vendor represents and warrants that, pursuant to Texas Government Code § 2270.002, Vendor does not boycott Israel and will not boycott Israel during the term of any contract executed with TWC.
  5. **Foreign Terrorist Organizations**: Vendor represents and warrants that it is not engaged in business with Iran, Sudan or a foreign terrorist organization, as prohibited by Section 2252.152 of the Texas Government Code.
  6. **Executive:** Vendor certifies they are in compliance with Texas Government Code § 669.003, relating to contracting with the executive head of a State agency. If applicable, Vendor will complete the following for TWC evaluation:

|  |  |
| --- | --- |
| Former Executive Name: |  |
| State Agency Name: |  |
| Date Separated from Agency: |  |
| Position with Vendor: |  |
| Date employed with Vendor: |  |

* 1. Vendor agrees to comply with Texas Government Code § 2155.4441, pertaining to purchasing products and materials produced in the State of Texas.

1. **SPECIFICATIONS**
   1. Any catalog, brand name or manufacturer's reference used in the solicitation is descriptive only (not restrictive), and is used to indicate type and quality desired. Submitted responses containing other brands that are functionally equivalent will be considered unless TWC has advertised the solicitation as proprietary under Texas Government Code § 2155.067. If Vendor takes an exception to the solicitation's specifications and Vendor’s response contains equivalent product, Vendor is required to include additional information such as manufacturer, brand or trade name, illustrations, and specifications for the equivalent product as part of their response to the solicitation. If Vendor takes no exception to the specifications, the Vendor must furnish the item(s) as specified in the solicitation.
   2. Manufacturer's standard warranty shall apply unless otherwise stated in the solicitation. Written warranty is to be provided with product, and is to include the point-of-contact name, phone number, and all information needed to initiate a warranty service call.
   3. **No Substitutions:** Vendor will not make any substitution to the specifications of any solicitation or PO, unless the substitution is (1) proposed to TWC in writing by the Vendor, and (2) supported by the expressed written prior approval of TWC.
   4. **Replacement Parts Available:** The Vendor, in connection with an agreement with the manufacturer of the equipment, warrants that new or reconditioned replacement parts will be available until five (5) calendar years after the date of the award of the contract. All replacement parts must meet or exceed original manufacturer's specifications and be compatible with existing equipment.
   5. All electrical items must meet all applicable OSHA standards and regulations, and bear the appropriate listing from Underwriters Laboratory (UL), Factory Mutual Resource Corporation (FMRC), or National Electrical Manufacturers Association (NEMA).
   6. Vendor guaranteesproduct offered will meet or exceed specifications; that the product is new, in current production, including the manufacturer's standard equipment and accessories; and is qualified for full maintenance coverage, service and support at, or below, the manufacturer's standard maintenance rates.
   7. **Projects Using Iron or Steel Products:** Pursuant to Texas Government Code § 2252.202, iron or steel products produced through a manufacturing process and used in the project must be produced in the United States.
2. **DELIVERY**
   1. Vendor is to show the number of days required to place material in the receiving location under normal conditions. Failure to state delivery time obligates Vendor to complete delivery within fourteen (14) days. Unrealistically short or long delivery promises may cause Vendor’s response to be disre­garded. Consistent failure to meet delivery promises will be grounds for termination of the contract.
   2. If delay is foreseen, Vendor shall give written notice to TWC who reserves the right to extend delivery date if reasons appear valid. Vendor must keep TWC advised at all times of status of order. Default in promised delivery (without accepted reasons) or failure to meet specifica­tions authorizes TWC to purchase the ordered products elsewhere and charge full increase, if any, in cost and handling to defaulting Vendor. Any damages incurred by TWC as a result of the default may also be assessed to the defaulting Vendor.
   3. Delivery shall be made on State business days between 8:00 am and 5:00 pm, unless prior approval has been obtained from TWC.
3. **VALIDATION, INSPECTION & TESTS**
   1. Vendor agrees to provide TWC with infor­mation necessary to validate any statements made in the Vendor’s solicitation response, if requested by TWC. This may include, but is not limited to, allowing access for on-site observation, granting permission for TWC to verify information with third parties, allowing inspection of Vendor’s records, and allowing inspection of plans for compliance.
   2. All goods will be subject to inspection and test by TWC to the extent practicable at all times and places. Tests may be performed on samples called for, or on samples taken from regular shipment. In the event products tested fail to meet or exceed all conditions and requirements of the specification, the cost of the sample used and the cost of the testing shall be borne by the supplier. Goods that have been delivered and rejected in whole, or in part may, at TWC's option, be returned to the Vendor or held for disposition at Vendor's risk and expense. Latent defects may result in revocation of acceptance.
4. **INVOICING INSTRUCTIONS**
   1. Invoices must be submitted to TWC according to the instructions on the PO to the named individual and theaddress indicated on the PO. Invoice must show TWC as the receiving agency.
   2. Submit invoice in duplicate. Upon request, one copy will be returned when making payment.
   3. Invoices mustinclude thename and address of Vendor**,** which must be identical to the information stated on the PO.
   4. The TWCPO number and dateof the PO must be shown on all invoice copies.
   5. Invoice must have description of each item. Item numbers must be shown to correspond with the item numbers on the PO.
   6. Quantity and date delivered, unit of measure specified and total price of each item must be shown, all prices extended on the invoice, with all extensions on the invoice totaled, and the grand total shown.
   7. Discounts, if applicable, must be stated, extended, and deducted to arrive at a Net Total for the invoice.
   8. Trade-in values must be stated on the invoice.
5. **PAYMENT**
   1. Payment shall be made in accordance with Chapter 2251 of the Texas Government Code, commonly known as the Texas Prompt Payment Act. Chapter 2251 governs remittance of payment and remedies for late payment and non-payment.
   2. TWC will incur no penalty for late payment if payment is made within thirty (30) days of acceptance of goods or services, or within thirty (30) days of receipt of an uncontested invoice submitted according to the instructions on the PO, whichever comes last.
   3. In no event shall use of the product by TWC, for any purpose during any phase of the acceptance testing, constitute acceptance of any product by TWC.
   4. Prior to any payment being made, the goods or services being invoiced must have been received and accepted by TWC.
6. **PATENT, TRADEMARK, COPYRIGHT AND OTHER INFRINGEMENT CLAIMS**
   1. Vendor shall indemnify, save and hold harmless the State of Texas from and against claims of patent, trademark, copyright trade secret or other proprietary rights, violations or infringements arising from the State’s or Vendor’s use of acquisition of any services or other items provided to the State of Texas by Vendor or otherwise to which the State of Texas has access as a result of Vendor’s performance under this Contract, provided that the State shall notify Vendor of any such claim within a reasonable time of the State’s receiving notice of any such claim. If Vendor is notified of any claim subject to this section, Vendor shall notify TWC of such claim within five (5) business days of such notice. No settlement of any such claim shall be made by Vendor without TWC prior written approval. Vendor shall reimburse the State of Texas for any claims, damages, losses, costs, expenses, judgments or any other amounts, including but not limited to, attorney’s fees and court costs, arising from such claim. Vendor shall pay all reasonable costs of the State’s counsel and shall also pay costs of multiple counsel, if required to avoid conflicts of interest.
   2. Should the goods, or use of the goods, become the subject of a claim of infringement of a United States patent, trademark, copyright, trade secret or other proprietary rights**,** TWC may require the Vendor to procure for TWC the right to continue using the goods, to replace or modify the same to remove the infringement, or to accept return of the goods.
   3. Vendor represents that it has determined what licenses, patents and permits are required under this Contract and has acquired all such licenses, patents and permits.
   4. Vendor agrees that for the exclusive use by TWC for State business, TWC is free to reproduce without royalty, all manuals, publications, main­tenance programs, diagnostics and docu­men­tation pertaining to any product developed as a result of the contract.
7. **TERMINATION PROVISIONS**
   1. TWC reserves the right to immediately terminate any PO or contract resulting from or connected to this solicitation, in whole or in part, without recourse or penalty for breach of contract by the Vendor.
   2. TWC reserves the right to terminate for convenience any PO or contract resulting from or connected to this solicitation, in whole or in part, without recourse or penalty upon TWC within thirty (30) days written notice, including but not limited to the following reasons:
      1. Failure to obtain or sustain funding from either Federal or State funding sources.
      2. Amendment or judicial interpretation of State or Federal laws or regulations that render fulfillment of the contract substantially unreasonable, impossible, or unnecessary.
   3. In the event of termination of the contract due to lack of funding or for the convenience of TWC, Vendor must, unless otherwise mutually agreed upon in writing, cease all work immediately upon the effective date of termination. A settlement may be made based on respective interests of the parties as of the date of termination.
   4. TWC expressly reserves any and all legal remedies to which it may be entitled to collect related to any and all damages directly or indirectly resulting from breach of contract, by the Vendor or any of its agents, representatives, subcontractors, employees, or any other party acting on behalf the Vendor.
   5. TWC shall retain ownership of all work products including deliverables, source and object code, and documentation in whatever form that they exist. In addition to any other provision, the Vendor shall transfer title and deliver to the TWC any partially completed work products, deliverables, source and object code, or documentation that the Vendor has produced or acquired in the performance of the contract.
8. **INFORMATION TECHNOLOGY (IT) PURCHASES:**
   1. During the term of the contract, the Vendor must notify TWC whenever an engineering change is made that may affect TWC's use of the product. It will be the sole option of TWC to accept the change.
   2. Vendor represents that the product and all its elements, including, but not limited to, documentation and source code, meet the standards issued by the American National Standards Institute.
   3. Vendor agrees that TWC owns the source code to any jointly-developed application(s) resulting from the contract.
   4. As required by 1 TAC, Chapter 213:
      1. Effective September 1, 2006, state agencies shall procure products which comply with the State of Texas Accessibility requirements for Electronic and Information Resources specified in 1 TAC, Chapter 213 when such products are available in the commercial marketplace or when such products are developed in response to a procurement solicitation.
      2. Vendor shall provide TWC with the URL to its Voluntary Product Accessibility Template (VPAT) for reviewing compliance with the State of Texas Accessibility requirements (based on the federal standards established under Section 508 of the Rehabilitation Act of 1973, as amended (29 USC § 794d)), or indicate that the product/services accessibility information is available from the General Services Administration “Buy Accessible Wizard” (<http://www.buyaccessible.gov>). Vendors not listed with the “Buy Accessible Wizard” or supplying a URL to their VPAT must provide TWC with a report that addresses the same accessibility criteria in substantively the same format. Additional information regarding the “Buy Accessible Wizard” or obtaining a copy of the VPAT is located at http://www.section 508.gov/.
      3. TWC will use either VPAT or the Buy Accessible Wizard to assess the degree of accessibility of a proposed product when making the procurement decision.
   5. Vendor shall follow Web Content and Accessibility Guidelines. (WCAG 2.0) as applicable for new websites, applications or redesigns.
   6. Texas Health and Safety Compliance
      1. Vendor hereby certifies its compliance with Subchapter Y, Chapter 361, Texas Health and Safety Code and the Texas Commission on Environmental Quality rules, 30 TAC, Chapter 328.
      2. Failure of a Vendor to provide this certification shall render the Vendor ineligible to participate in the bidding process. TWC shall reject the related bid and not evaluate it.
   7. Vendor agrees that all products and/or services equipped with hard disk drives (i.e. computers, telephones, printers, fax machines, scanners, multifunction devices, etc.) shall have the capability to securely erase data written to the hard drive prior to final disposition of such products and/or services, either at the end of the Customer’s Managed Services product’s useful life or the end of the related Customer Managed Services Agreement for such products and/ services, in accordance with 1 TAC, Chapter 202.
9. **\*\*\*NOTE TO VENDORS: Any terms and conditions attached to a Vendor’s solicitation response will not be considered unless the Vendor specifically refers to them on the face of the first page of their response.**

**\*\*\*WARNING: Such terms and conditions may result in disqualifi­cation of the submitted Vendor’s response. (e.g. responses with the laws of a State other than Texas, requirements for prepayment, limitations on remedies, etc.)**

## Attachment 2 – Offeror Agreement

Offeror must complete the following information, sign and return this page as part of their response to this solicitation. By signing below, the Offeror agrees to provide the items/services specified and to abide by all terms and conditions in this RFO and in any contract resulting from an award.

Any exceptions taken to Attachment 1, Terms & Conditions, as set forth in this document must be identified in detail and accompany your response to this solicitation. Provide alternate language if you take exceptions to the Terms and Conditions. Any exceptions not identified in detail at the time your response is submitted will not be considered. Please complete the following:  No exceptions taken OR  Yes, exception taken due to (state your reason):

The firm, fixed price per item listed in [Attachment 12](#_Attachment_12_–) must remain firm, fixed pricing from the date of contract award through the end of the contract period.

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Signature of person authorized to make this agreement |  | Date Signed |
|  |  |  |
| Printed name of person signing above |  |  |

*OFFEROR INFORMATION*

|  |  |  |
| --- | --- | --- |
| Offeror Name: |  |  |
| Mailing Address: |  |  |
| Billing Address:  (if different from above) |  |  |
| City, State & ZIP Code: |  |  |
| Phone No./Fax No.: |  |  |
| E-Mail Address: |  |  |
| Employer Identification No.: |  |  |
| Texas Identification No.: |  |  |

In an effort to minimize identity theft, every company/individual MUST have an Employer Identification Number (EIN), also known as a federal tax identification number prior to award of a contract. For information on obtaining your EIN, you may call 800-829-4933 or visit the following website: [https://www.irs.gov/businesses/small-businesses-self-employed/](https://www.irs.gov/businesses/small-businesses-self-employed)

The Texas Identification Number is the payee identification number assigned and used by the Texas Comptroller of Public Accounts (CPA) to process payment for goods/services. Enter this number in the space provided above if number is not pre-printed. If this number is not known, please visit <https://fmx.cpa.texas.gov/fmx/login.php?page=/fmx/payment/forms/agy/AP-152/index.php> to set up a Texas Identification Number.

Check here if you are a sole ownership or partnership and complete Section 3.21 of the TWC Terms & Conditions, Attachment 1.

## Attachment 3 – Offeror Questions & Answers Template

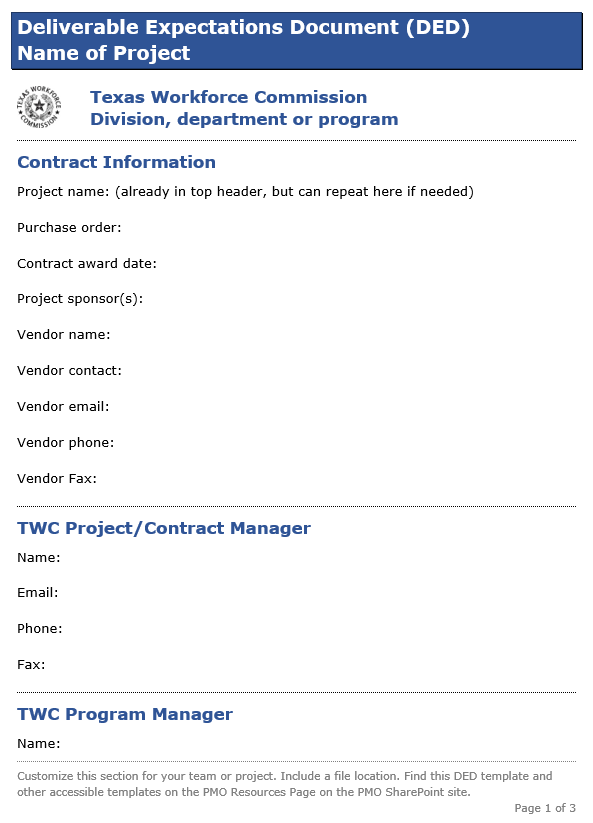
Offerors must submit their questions using this template, including the specific RFO Section and Page related to each question. TWC will respond in the same format and will include an Amended RFO if needed. The answers refer to a specific location in the RFO whenever possible. If similar questions are asked, TWC may reference a response to another question. If TWC modifies the RFO in response to an Offeror question, then TWC notes “Yes” in the last column on the right, RFO Modified to Clarify.

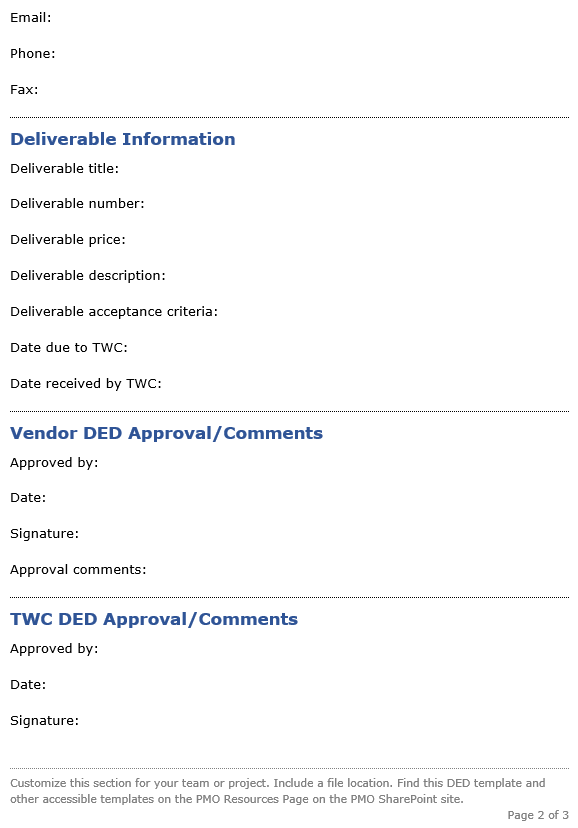
| **No.** | **RFO Section** | **Page** | **Question** | **Answer** | **RFO Modified to Clarify?** |
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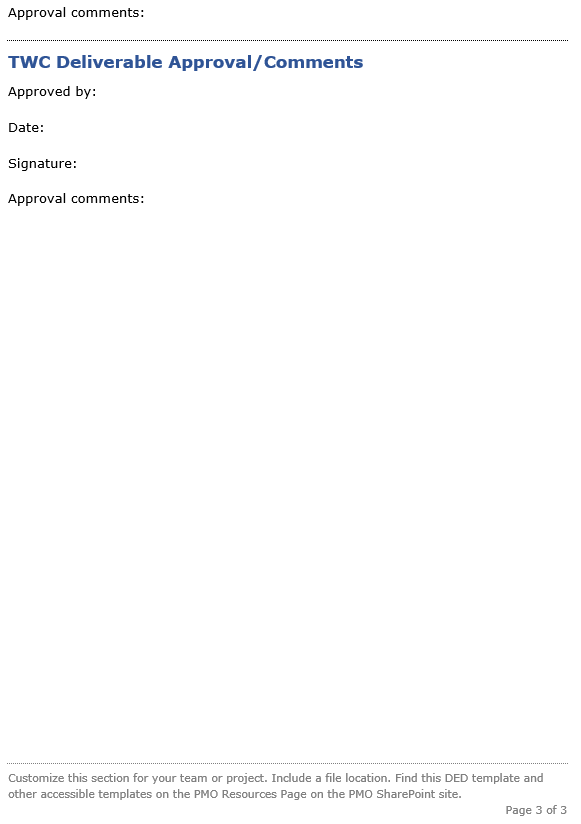
## Attachment 4 – Deliverables Expectations Document

As detailed in the Section 2.2, a DED for each deliverable will be prepared by the TWC IT Project Manager based upon inputs from the Awarded Vendor and appropriate TWC program and IT stakeholders. Once approved by TWC, the DED will be incorporated into the Contract for all purposes and will be the tool used to monitor the Awarded Vendor’s work on the deliverable and for the deliverable acceptance criteria.

The current version of the DED template is attached below.







## Attachment 5 – UI Requirements and Response Sheet

This attachment provides TWC’s high-level business/functional and technical/system requirements. These high-level requirements are further specified through initial Use Cases provided with [Attachment 6](#_Attachment_6_–). This attachment does not reflect final system requirements or the complete scope of the required system. As noted in [Section 2.2.2](#_2.2.2_Required_Deliverable) Task 2: Manage Requirements, TWC anticipates these high-level requirements will be progressively elaborated and decomposed during the requirements management process. Requirements elaboration will be completed in collaboration between TWC and the Awarded Vendor.

**Business/Functional Requirements**

**For each Business/Functional requirement**, the Offeror must:

* Indicate if their solution Fully Meets, Partially Meets, or Does Not Meet the requirement;
* Specify if the requirement is a Core System Capability, a Simple Configurable Option, a Complex Configurable Option, or Requires Custom Development; and
* Provide a descriptive response including:
  + How the requirement is or will be met;
  + If the requirement is in production at an existing site;
  + All functions by actor and how they operate; start to end workflow including main activities, alternate activities, and special cases; validations; screen shots as appropriate; correspondence; tracking and reporting; and all system integrations and interfaces;
  + Provide supporting documentation; and
  + Identify system components that support the requirement.

| **REQ #** | **BUSINESS/FUNCTIONAL REQUIREMENT DESCRIPTION** | **Reference** |
| --- | --- | --- |
| UI-1 | The System must provide an intuitive, user friendly, cost-effective, web-based system which provides a full range of UI services for Texas Claimants, Employers/TPAs, and Staff.  Describe in detail all Claimant functions and how they operate.  Describe in detail all Employer/TPA functions and how they operate.  Describe in detail all Staff functions and how they operate.  Describe real-time and batch processes.  Describe how the solution will increase workflow efficiencies, reduce operational costs, and enhance data integrity.  Describe how the solution will improve prevention, detection and recovery of UI improper payments. |  |
| UI-2 | The Offeror must ensure that the services provided for the Project are not impacted by services provided by the Offeror to any other state or agency. |  |
| Ben-1 | The System must include all functionality necessary to submit shared work and mass claims. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-2 | The System must include all functionality necessary for Employers to manage claims. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-3 | The System must include all functionality necessary to register a Claimant. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-4 | The System must include all functionality necessary to manage a customer's profile. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-5 | The System must include all functionality necessary to file claims. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-6 | The System must include all functionality necessary for Claimants to manage claims. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-7 | The System must include all functionality necessary for Staff to manage claims for Employers and Claimants. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-8 | The System must include all functionality necessary to request payments. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-9 | The System must include all functionality necessary to receive and process payment requests. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-10 | The System must include all functionality necessary to initiate, investigate, and adjudicate Benefits issues. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-11 | The System must include all functionality necessary to charge Employer accounts. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-12 | The System must include all functionality necessary to receive and process Claimant and Employer correspondence. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-13 | The System must include all functionality necessary to create and update program data. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-14 | The System must include all functionality necessary to edit data with the option of placing the record back into workflow. | [Attachment A6.1](#_A6.1_Benefits) |
| Ben-15 | The System must include all functionality necessary to respond to inquiries. | [Attachment A6.1](#_A6.1_Benefits) |
| Tax-1 | The System must include all functionality necessary to register an Employer. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-2 | The System must include all functionality necessary to service an Employer account. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-3 | The System must include all functionality necessary to submit wage reports to TWC. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-4 | The System must include all functionality necessary to submit payments to TWC. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-5 | The System must include all functionality necessary to receive and process wage reports. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-6 | The System must include all functionality necessary to receive and process payments. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-7 | The System must include all functionality necessary to determine UI tax rates for Employers. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-8 | The System must include all functionality necessary to conduct Employer audits. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-9 | The System must include all functionality necessary to assign work to Staff. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-10 | The System must include all functionality necessary to request a Rule 13 tax hearing. | [Attachment A6.2](#_A6.2_Tax) |
| Tax-11 | The System must include all functionality necessary to generate and transmit reports. | [Attachment A6.2](#_A6.2_Tax) |
| AT-1 | The System must include all functionality necessary to file an appeal. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-2 | The System must include all functionality necessary to receive and route an appeal. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-3 | The System must include all functionality necessary to process an appeal. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-4 | The System must include all functionality necessary to submit documentation. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-5 | The System must include all functionality necessary to schedule a hearing. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-6 | The System must include all functionality necessary to create and send hearing notices. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-7 | The System must include all functionality necessary to conduct a hearing. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-8 | The System must include all functionality necessary to issue a decision. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-9 | The System must include all functionality necessary to record a decision. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-10 | The System must include all functionality necessary to respond to inquiries. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| AT-11 | The System must include all functionality necessary to generate and transmit reports. | [Attachment A6.3](#_A6.3_Appeals_Tribunal) |
| CA-1 | The System must include all functionality necessary to file an appeal. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-2 | The System must include all functionality necessary to receive and route Commission Appeals. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-3 | The System must include all functionality necessary to process an appeal. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-4 | The System must include all functionality necessary to submit documentation. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-5 | The System must include all functionality necessary to assign an appeal to a Reviewing Attorney. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-6 | The System must include all functionality necessary to support an attorney's review of an appeal including producing a recommendation for the Commissioners. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-7 | The System must include all functionality necessary to assign CA appeals to a docket. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-8 | The System must include all functionality necessary to issue a decision. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-9 | The System must include all functionality necessary to record a decision. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-10 | The System must include all functionality necessary to schedule a hearing. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-11 | The System must include all functionality necessary to create and send hearing notices. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-12 | The System must include all functionality necessary to conduct a rehearing. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-13 | The System must include all functionality necessary to respond to inquiries. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| CA-14 | The System must include all functionality necessary to generate and transmit reports. | [Attachment A6.4](#_A6.4_Commission_Appeals) |
| SH-1 | The System must include all functionality necessary to file a Special Hearing (SH) request. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-2 | The System must include all functionality necessary to receive and route a Special Hearing request. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-3 | The System must include all functionality necessary to process a request. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-4 | The System must include all functionality necessary to submit documentation. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-5 | The System must include all functionality necessary to schedule a hearing. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-6 | The System must include all functionality necessary to create and send hearing notices. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-7 | The System must include all functionality necessary to conduct a hearing. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-8 | The System must include all functionality necessary to create a proposal. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-9 | The System must include all functionality necessary to assign Special Hearings appeals to a docket. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-10 | The System must include all functionality necessary to issue a decision. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-11 | The System must include all functionality necessary to record a decision. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-12 | The System must include all functionality necessary to respond to inquiries. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| SH-13 | The System must include all functionality necessary to generate and transmit reports. | [Attachment A6.5](#_A6.5_Special_Hearings) |
| RID-1 | The System must include all functionality necessary to prevent and detect fraud. | [Attachment A6.6](#_A6.6_Regulatory_Integrity) |
| RID-2 | The System must include all functionality necessary to investigate high risk activity and fraud. | [Attachment A6.6](#_A6.6_Regulatory_Integrity) |
| RID-3 | The System must include all functionality necessary to investigate, prepare, and refer cases for criminal prosecution. | [Attachment A6.6](#_A6.6_Regulatory_Integrity) |
| RID-4 | The System must include all functionality necessary to collect taxes, penalties, interest, and other related Employer charges and fees. | [Attachment A6.6](#_A6.6_Regulatory_Integrity) |
| RID-5 | The System must include all functionality necessary to collect benefits overpayments. | [Attachment A6.6](#_A6.6_Regulatory_Integrity) |
| RID-6 | The System must include all functionality necessary to perform interstate reciprocal requests for overpaid benefits. | [Attachment A6.6](#_A6.6_Regulatory_Integrity) |
| RID-7 | The System must include all functionality necessary to perform federally mandated audits on the UI program (UI Benefits, UI Tax, and Data Validation). | [Attachment A6.6](#_A6.6_Regulatory_Integrity) |
| RTM-1 | The System must include all functionality necessary to perform reconciliations. | [Attachment A6.7](#_A6.7_Revenue_and) |
| RTM-2 | The System must include all functionality necessary to process criminal court ordered restitutions. | [Attachment A6.7](#_A6.7_Revenue_and) |
| RTM-3 | The System must include all functionality necessary to issue refunds. | [Attachment A6.7](#_A6.7_Revenue_and) |
| RTM-4 | The System must include all functionality necessary to process accounting transactions. | [Attachment A6.7](#_A6.7_Revenue_and) |
| RTM-5 | The System must include all functionality necessary to reimburse state agencies. | [Attachment A6.7](#_A6.7_Revenue_and) |
| RTM-6 | The System must include all functionality necessary to post remittances. | [Attachment A6.7](#_A6.7_Revenue_and) |
| RTM-7 | The System must include all functionality necessary to process correspondence/reports. | [Attachment A6.7](#_A6.7_Revenue_and) |
| RTM-8 | The System must include all functionality necessary to bill external customers for data sharing agreements. | [Attachment A6.7](#_A6.7_Revenue_and) |
| Perf-1 | The System must include all functionality necessary to perform quality reviews. | [Attachment A6.8](#_A6.8_General_1) |
| Gen-1 | The System must include all functionality necessary to generate and distribute outgoing correspondence as well as receive and process incoming correspondence. | [Attachment A6.9](#_Correspondence) |
| Gen-2 | The System must include all functionality necessary to manage cases. | [Attachment A6.9](#_Correspondence) |
| Gen-3 | The System must include all functionality necessary to enter and update solution code tables and business rules. The Offeror must include an inventory of Code or Lookup Tables and Business Rules with their proposal. | [Attachment A6.9](#_Correspondence) |
| Gen-4 | The System must include all functionality necessary to graphically present information for decision making. | [Attachment A6.9](#_Correspondence) |
| Gen-5 | The System must include all functionality necessary to support the functions of the Labor Market and Career Information department. | [Attachment A6.9](#_Correspondence) |
| Gen-6 | The System must include all functionality necessary to capture and display Claimant and Employer account notes. | [Attachment A6.9](#_Correspondence) |
| Gen-7 | The System must include all functionality necessary to allow other state UI agencies to use the solution. | [Attachment A6.9](#_Correspondence) |
| Gen-8 | The System must include all functionality necessary to conduct system searches and view the results. | [Attachment A6.9](#_Correspondence) |
| Gen-9 | The System must include all functionality necessary to securely configure access to the UI solution. | [Attachment A6.9](#_Correspondence) |
| Gen-10 | The System must include all functionality necessary to allow Employers, Claimants, TPAs, and other external parties to use UI services independent of the involvement of Staff. | [Attachment A6.9](#_Correspondence) |
| Gen-11 | The System must include all functionality necessary to allow external agencies and law enforcement agencies to access UI data. | [Attachment A6.9](#_Correspondence) |
| Gen-12 | The System must include all functionality necessary to process work from initiation to completion. | [Attachment A6.9](#_Correspondence) |
| Gen-13 | The System must include all functionality necessary to perform database queries. | [Attachment A6.9](#_Correspondence) |
| Gen-14 | The System must include all functionality necessary to generate and transmit reports. | [Attachment A6.9](#_Correspondence) |
| Gen-15 | The System must include all functionality necessary to validate entered or selected data to ensure solution operates on and with clean, correct, and useful data. | [Attachment A6.9](#_Correspondence) |
| Gen-16 | The Offeror must agree that all data entered in to the Offeror-supplied solution, either by Texas Claimants, Employers, TPAs, TWC Staff, local users, or other State of Texas Staff is the property of the TWC (“TWC Data”). TWC Data may not be released to other parties, including in aggregate form, without the express written permission of TWC. At the time of termination of this Contract for any purposes, all TWC Data must be provided to TWC in an acceptable electronic form and none of the TWC Data may remain on the Offeror’s system, after such event. |  |
| Gen-17 | The proposed solution's externally-facing user interfaces must comply with the Texas Labor Code § 301.064, however support for additional languages is required. The inclusion of Spanish is required, and the inclusion of Vietnamese, Arabic, Mandarin, Korean, and Somali is preferred. Offeror must describe how their system can generate documentation in other languages.  The System must allow Staff to display Staff screens in Spanish. |  |
| Gen-18 | The System must include all functionality necessary to gather, analyze, and report on Staff performance and operational metrics. |  |
| Gen-19 | Offeror must describe how their system can be deployed in a teleworking environment while still meeting TWC's mission and operational needs. |  |
| Gen-20 | The System must include all functionality to allow customers to use credit/debit cards, online checking, and Electronic Funds Transfers (EFTs) to pay TWC. |  |
| Gen-21 | The System must archive data according to business rules and allow authorized users to reinstate and interact with archived data.  The Offeror must describe their data archiving functionality and whether archived data remains in the system in separate tables, remains in the productions tables but is flagged as “archived” so as to be ignored by regular operations, archived off to a separate system maintained by the vendor, deleted entirely, or whether the vendor archives off to a separate system they expect to be developed and maintained by TWC.  The Offeror must describe how their solution will un-archive data from the existing legacy archive and the time to access archived data. |  |
| Gen-22 | The System must capture pre-selected responses in fields where possible, via drop-down menu lists or a similar approach, to standardize responses. For example, the reason for separation from Employer and the reason for overturning a decision on appeal. The Offeror must describe how these pre-selected responses are created and who has permissions to edit the predetermined values.  The System must pre-populate data fields where possible and cascade data between input screens to improve productivity and reduce data entry errors. |  |
| Gen-23 | The System must incorporate a “collect once use many” approach to data entry in order to eliminate redundant data entry. |  |
| Gen-24 | The System must provide spell checking in designated fields. |  |
| Gen-25 | The Offeror must describe what components of the solution are configurable by TWC including functionality, look/feel, new fields, rules engine, etc. |  |
| Gen-26 | The Offeror must provide a summary of the training deliverables to include the Training Plan, Training Materials, Training Courses, System Configuration Training Plan, and Technical Support Training Plan. | [Task 12](#_2.2.12_Required_Deliverable) |
| Gen-27 | The System must display a user agreement for Claimants, Employers, TPAs, etc. and require that they acknowledge and accept the agreement prior to accessing the system. TWC will provide the specific language. |  |
| Gen-28 | The System must include a system administration user interface that allows authorized TWC Staff to:  Update dynamic reference data that business wants to control (e.g., monetary parameters, error messages, etc.) in code tables, reference tables, or rules engine. Additional reference data may be added to this framework in subsequent components.  Input and maintain messages and release notes that can be displayed on specifically identified system pages.  Input and maintain messages to be displayed to individuals or groups for a specified audience during a specified date and time range. For example, system outage message for a specific geography. |  |
| Gen-29 | The System must include modern features available across the industry, including social media, personalized broadcasts and mass mailings. The Offeror will describe how their solution will adapt to future social media platforms. |  |
| Gen-30 | The Offeror must describe how their solution will be accessible via multiple Internet browsers. Specify the browsers and versions supported by the solution. Specify any browsers and versions with known compatibility issues with the solution.  The System must provide printer-friendly versions of all Web pages. |  |
| Gen-31 | The System must provide mobile capabilities which may include mobile applications or friendly on mobile devices through adaptive and responsive design. The Offeror must describe how mobile capabilities through their solution are secure. |  |
| Gen-32 | The System must have the capability to display broadcast messages, banners, and alerts to all, specific, or a subset of users configurable by TWC. |  |
| Gen-33 | The System must display a TWC-approved, system use notification banner message before granting system access informing potential users that the user is accessing a Texas State Government information system. Notification wording to be provided by the Information Security Office (ISO). |  |
| Gen-34 | The System must provide integrated, on-line user guides based on the role of the user, which identify capability and functionality available to Claimants, Employers, TPAs, and Staff. |  |
| Gen-35 | The Offeror solution must provide on-line user documentation that is indexed and searchable. The solution also must provide links to TWC sites and documents such as those currently displayed on <https://twc.texas.gov/> (such as Unemployment Benefits, TWC Home, Contact Information, Work Search Log, and Unemployment Benefits at a Glance). |  |
| Gen-36 | The Offeror solution must provide separate, focused and customized on-line help at the system, function, screen, error, and field levels. |  |
| Gen-37 | The System must comply with all DOL and Texas state UI requirements, such as the TUCA (<http://twc.texas.gov/agency/twc-primary-enabling-state-statutes>). |  |
| Gen-38 | The System must be kept current with Federal and State regulations and laws regarding UI eligibility, service delivery, data capture, and reporting. The Offeror must describe how their solution will do so and include details regarding timing to make changes, communication of changes to those utilizing the solution, procedures for customer testing and signoff before implementation, and how changes are priced. |  |
| Gen-39 | The System must include secure internet-based support, audio and video conferencing, and messaging capabilities such as chat and message center. |  |
| Gen-40 | The System must produce all documents related to an open records request, including automatic redaction of PII. |  |
| Gen-41 | The System must validate all entered and imported data to the greatest extent possible and describe how their solution will allow TWC to validate imported data. The System must display appropriate and meaningful message(s) to the user when data does not meet the edit/validation requirements.  The Offeror must describe how their solution allows a user to review and modify the business rules associated with importing and validating data.  The Offeror must describe any known constraints for exporting and importing data. |  |
| Gen-42 | The Offeror must describe their customer support approach at launch and long-term support offerings. The support must occur within the United States. |  |
| Gen-43 | The Offeror must describe their approach to handling customization requests by TWC and its customers; the controls around that process, and how they are priced. |  |
| Gen-44 | The System must accommodate any change of DOL or related mandated data elements, categories, and/or reports per DOL deadlines without additional cost, including changes created through DOL approved waivers. |  |
| Gen-45 | The System must allow Staff to search for specific cases based on parameters (from DOL or internal), review the cases, select cases to include in the population, and generate a comprehensive case file including all correspondence for each case. |  |
| Gen-46 | The Offeror must describe their approach to collaboration and ensuring effective collaboration with clients throughout all Required Project Deliverables. Describe typical client resource requirements by phase. Describe the customer coordination process for new releases, and anticipated frequencies of releases. |  |
| Gen-47 | The System must support electronic signatures. |  |
| DOI-1 | The Offeror must describe their approach for moving data between their solution and TWC’s operational and reporting databases. The Offeror must include any tools used to keep data in sync. |  |
| DOI-2 | The Offeror must describe how their solution will ensure database integrity between production database, any replicated reporting databases, and copies made for back-up and recovery. |  |
| DOI-3 | The System must capture all data elements, including calculated fields, required by DOL for UI programs (Tax, Benefits, Appeals, RID, RTM, Statistical Sampling, and performance evaluation) and be able to extract them to the TWC reporting system and/or the TWC Data Warehouse (once implemented).  The System must provide ongoing daily database transactions to TWC’s Data Warehouse (changes only) after initial load. The format should work with TWC’s current data warehouse software. |  |
| DOI-4 | The System must have audit tracking and control capabilities for data modifications and deletion; and must describe in detail how these features work and what flexibility customers have in terms of customizing them. Examples of tracking and control expected are:  Identification of data entry in key fields with details of what changed from and to, who made the change, and when it occurred;  Role-based controls on initial data entry, updates, corrections, and deletions;  Deletions in the form of “soft deletions” so that the original data/values remain in the system and can be queried, exported to TWC’s data warehouse, or even viewed in the system by staff with sufficient privileges; and  Each deletion should also have a “reason why” in the form of a reason category and a free text explanation. |  |
| DOI-5 | The System must collect all data elements required to meet Federal, Texas and local, operational requirements and export the information to the TWC reporting system and/or the TWC Data Warehouse (once implemented). Data elements include but are not limited to:   * Extract of real-time Labor Market and Career Information (LMCI) data (surveys, employer contact data). * Customer information and demographics (initial and subsequent updates). * Employer "demographics" (such as # employees; type of business) - both initial and subsequent updates. |  |
| EIR-1 | The System must meet EIR accessibility requirements. | [Section 6.9](#_6.9_Electronic_Information) |
| EIR-2 | The System must comply with ETA guidance and support alternative access options for individuals with barriers to filing by phone or on-line, such as those with Limited English Proficiency (LEP) (UIPL 30-11), Babel notices, disabilities, literacy issues including computer literacy, and computer access issues, etc. |  |
| RMC-1 | The System must meet TWC’s Records Retention Schedule (<https://www.tsl.texas.gov/sites/default/files/public/tslac/slrm/state/schedules/320.PDF>). |  |
| RMC-2 | The System must provide the ability for Staff to specify archive/purging rules according to retention policies. |  |
| Rep-1 | The System must include all functionality necessary to create reports. The Offeror must describe how their solution accesses data for reports and analysis without negatively impacting the production environment. | [Attachment 8](#_Attachment_8_–) |
| Rep-2 | The System must include all functionality necessary to analyze data and create ad hoc reports including but not limited to production reports, error reports, statistical reports, and metrics reports (including performance measurement/key performance indicators reports). | [Attachment A6.9](#_Generate_Reports) |
| Rep-3 | The System must accommodate DOL mandated data and report validation functions. The System must collect the data necessary to produce required Federal Data Validation extract files (Tax, Benefits, and Appeals). | [Attachment A6.9](#_Generate_Reports) |
| Rep-4 | The System must include all functionality necessary to create all federal and state mandated reports. Awarded Vendor must ensure that these reports are timely and accurately updated to meet new state or federal reporting requirements including development of new state or federal reports that are mandated after the date that this RFO is published and thru the life of the contract.  The System must be able to save and retain a copy of the data files used to create the reports, so the reports can be regenerated for reconciliation and auditing purposes. | [Attachment A6.9](#_Generate_Reports) |
| SLA-1 | The Offeror must describe how they will meet or exceed the SLAs. | [Attachment 10](#_Attachment_10_–) |

**Technical/System Requirements**

**For each Technical/System requirement**, the Offeror must:

* Indicate if their solution Fully Meets, Partially Meets, or Does Not Meet the requirement;
* Specify if the requirement is a Core System Capability, a Simple Configurable Option, a Complex Configurable Option, or Requires Custom Development; and
* Provide a descriptive response including:
  + How the requirement is or will be met;
  + If the requirement is in production at an existing site;
  + Provide supporting documentation; and
  + Identify system components that support the requirement.

| **REQ #** | **TECHNICAL/SYSTEM REQUIREMENT DESCRIPTION** |
| --- | --- |
| Int-1 | The System must include all functionality necessary to replicate or improve upon the interfaces described in [Attachment 7](#_Attachment_7_–). |
| Int-2 | The System must implement all available SIDES modules, including SIDES E-Response. The System must include all functionality necessary to onboard/remove new TPAs and employers, transmit and receive responses from the SIDES broker, and implement new modules if mandated by DOL. |
| Int-3 | The System must replace the Texas EAGLE system for interfaces to external partners as described in [Attachment A6.9](#_Workflow). |
| Int-4 | The System must provide the ability to exchange rate information with Employers and TPAs. |
| Int-5 | The Offeror must provide interfaces with their solution as needed using industry standards such as the following: Standard Object Access Protocol (SOAP) or Representational State Transfer (REST) web services. These services will be secured for usage based on the logged in user’s security using OpenID or some other compatible token-based open ID system acceptable to both parties and approved by TWC. Only registered users of the external interfaces will be allowed to access the API methods. |
| Int-6 | The System must interface with WIT (e.g., for UI Auto-Registrations).  The Offeror must describe the commercial off the shelf labor exchange solutions with which they have successfully interfaced their UI solution, the implementation date, and the state. |
| IT-1 | The System must be flexible and adaptable in post-implementation customization to meet TWC’s needs. This includes the flexibility to bring other programs, services, or tracking online quickly in response to emergency programs (e.g., ARRA) or events (e.g., Hurricane Harvey). The Offeror must describe their approach to handling customization requests by TWC; the controls around that process, and how they are priced, in the event the offeror is contracted to maintain the System post-implementation. |
| IT-2 | The System must support role-based access whether the roles are defined within the solution itself, TWC’s existing systems, or a third-party tool. TWC management and Staff will require logons that allow them to act on behalf of either Employers or Claimants. |
| IT-3 | The Offeror must describe their solution’s architecture including, but not limited to, operating systems, database management system, software development language, hardware specifications, web servers, reporting environment and tools, and other technical specifications. Describe the solution’s target technical environment specifications including its framework; scalability; and performance metrics. Show evidence that all security infrastructure protection layers are isolated from application layers and components in such a way that compromised application components may not bypass or compromise security infrastructure protection layers or other application layers (i.e., n-tier architecture, defense-in-depth).  Address what other UI solutions or modules share a common platform and are integrated with the UI solution.  Address how the solution eliminates the need to support multiple technology applications and platforms. |
| IT-4 | The System must include at a minimum dedicated development, test (system and UAT), production, and training environments available to staff, users, and technical support. Production and non-Production environments must meet the same FedRAMP requirements whether in support of Agency operations or for testing. The Offeror must describe the process for configuration updates to these environments and other helper applications.  The System must include the ability for TWC to link the test and training environments with other TWC test and training environments via “test” and “training” interfaces so that TWC can leverage end-to-end data in test and training as well as production environments. |
| IT-5 | The Offeror must provide a description of how they ensure that Web application software design and coding are in compliance with software development industry standards and address, at minimum, the most current Open Web Application Security Project (OWASP) Top 10 Most Serious Web App Vulnerabilities and SANS Top 25 Most Dangerous Programming Errors. |
| IT-6 | The Offeror must describe how they secure data transmissions per Agency rules. |
| IT-7 | The Offeror must propose a strategy to uniquely identify a customer across all related agency applications (i.e., WIT, UI, Child Care, etc.) in a multi-vendor environment. |
| IT-8 | The Offeror must describe how their solution supports IRS mandated requirements for the Treasury Offset Program (TOP) and complies with IRS Publication 1075 requirements. |
| IT-9 | The Offeror must describe their method(s) of processing transactions (real-time, batch, large volume updates) and where each approach is implemented.   The System must complete all overnight processing at least 60 minutes prior to start of work the next business day. If overnight processing does not complete at least 60 minutes prior to start of work the next business day, The System must remain available to process online transactions. |
| IT-10 | The Offeror must:  Ensure solutions that include in whole or in part cloud-based services are hosted by a Cloud Service Provider that has attained FedRAMP (Moderate) ATO or will have attained FedRAMP (Moderate) ATO prior to Award Date;  Ensure offered cloud solutions provide for dynamic scaling to minimize ongoing costs through provisioning of minimal platform/infrastructure resources necessary to maintain operations during average traffic periods and have utilization triggers that will allow for automatic provisioning of additional resources during peak traffic periods and then return to the minimal resource configuration once peak traffic triggers have subsided;  Ensure cloud-based solutions are located within the United States and all access and support of the solution is performed from the United States;  Ensure software, data and services are isolated within the cloud environment so that other cloud customers sharing physical or virtual space cannot access other customer data or applications;  Provide a complete listing of all data centers within the cloud environment where this solution will operate;  Ensure data in transit and at rest using is encrypted FIPS 140-2 compliant algorithms and modules;  Ensure any storage devices used in the solution are securely sanitized and/or destroyed prior to disposal using methods acceptable by NSA/CSS;  Conduct an annual assessment of the security controls in place on all information systems used in the solution;  Incorporate multi-factor authentication for access to the cloud solution from the internet;  Ensure, if using Network Edge Managed Services, that the National Institute of Standards and Technology (NIST)/ISO/IEC 27018:2014 certification has been achieved for the specific services being added to the portfolio;  Ensure the protection of TWC confidential information, including PII and SPI from unauthorized disclosure, unauthorized access, and misuse, at a minimum in accordance with the NIST Special Publication 800-122, Guide to Protecting the Confidentiality of PII (https://nvlpubs.nist.gov/nistpubs/legacy/sp/nistspecialpublication800-122.pdf) through the implementation of controls such as role-based access controls, encryption at rest and in transit, etc.;  Provide for Security Vulnerability Assessments and Controlled Penetration testing by TWC and/or its agent as agreed to for the duration of services of the Awarded Vendor;  Fully cooperating with the TWC Chief Information Security Officer (CISO) and security team in the detection and remediation of any security vulnerability of the hosting infrastructure and/or the application; and  Providing a dedicated Hardware Security Module (HSM) appliance for encryption key management. |
| IT-11 | The Offeror must provide their security policies and procedures that address, at a minimum, the following:  Privacy & Confidentiality  Data Classification  Critical Information Asset Inventory  Control Oversight and Safeguard Assurance  Information Security Risk Management  Security Oversight and Governance  Security Compliance and Regulatory Requirements Management  Cloud Usage & Security  Security Assessment and Authorization (Technology Risk Assessment)  External Vendors & Third-Party Providers  Secure Application Development  Penetration Testing  Vulnerability Testing  Enterprise Architecture, Roadmap, and Emerging Technology  Secure Systems Services, Acquisition, and Development  Security Awareness and Privacy Training  Cryptography  Change Management  Media (Handling & Sanitization)  Physical and Environmental Protection  Access Management  Network Access and Perimeter Controls  Internet Content Filtering  Data Loss Prevention  Identification and Authorization  Spam Filtering  Portable and Remote Computing  Vulnerability Assessment  Malware Protection  Security Monitoring and Event Analysis  Incident Response |
| IT-12 | The Offeror must provide an SSO capability between their solution and Okta using OpenID or some other token-based open ID compatible with Okta. Okta is the TWC IDentity as a Service (IDaaS) solution for identity management, authentication, and authorization.  The System must log all events associated with user IDs including System access and System access attempts. |
| IT-13 | The System must prompt all users to log-on and register for an account. The System’s authentication facilities must support the ability for the user to sign-in and reset their password to a new password using authentication criteria other than password (attributes known only to the user). Users include TWC Staff, Claimants, Employers, and TPAs.  The Offeror must describe how Staff register for accounts, and how permissions are issued and removed. |
| IT-14 | The Offeror must describe how their solution allows for expansion to use a future TWC-provided identity management platform to control sign on, provisioning, and role assignment. This identity management platform may integrate with the Offeror’s solution through Web services (WS-\*), including possible federation. |
| IT-15 | The System must enforce role-based access, enabling access to client records based on user authorizations, while not displaying confidential information elements not required for the intended use. Role-based access will also include geolocation or IP-based limitations, that is users with staff access may be limited to where they can access the system. |
| IT-16 | The Offeror solution must be designed and implemented so that personal, confidential, and sensitive information is secured by ensuring identification and authentication, authorization, and audit trails. The authorization method will limit access to information required by the requester’s business functions. |
| IT-17 | The System must include the use of secure, computer-generated, time-stamped audit trails to independently record the date and time of operator entries and actions that create, modify, view, or delete data. No system user, including system administrators, should have the ability to modify the audit trail. Record changes shall not obscure previously recorded information. The System must retain all prior values of changed data and provide the ability to restore a prior version of a record. |
| IT-18 | The Offeror solution must provide a secure mechanism to electronically transfer audit trail logs, on an on-going basis, to TWC. |
| IT-19 | The Offeror must provide details on securing production data in non-Production environments. As an alternative to maintaining production environment level FedRAMP requirements for all environments (i.e. encryption, access controls, etc.).   As an alternative to maintaining production environment level FedRAMP requirements for all environments, the Offeror may prescribe a strategy and methodology for both pre-and post-implementation describing all necessary data requirements and processes to secure data in non-Production environments. |
| IT-20 | The Offeror must provide copies of application security assessments of the current application that were conducted by an independent, third party specialist security firm. In addition, the Offeror must agree to supply copies of application security assessments of future releases of the application conducted by an independent, third party specialist security firm. The Offeror must receive approval from TWC and any other statutorily required review for the results prior to implementing any release. Offeror must allow TWC to perform security assessments prior to Go-Live and periodically during the life of the systems use by TWC. |
| IT-21 | The Offeror must provide copies of enterprise security assessments or certification/accreditations performed by independent third-party specialist security firms in the past three (3) years. |
| IT-22 | The Offeror must describe how they will account for (i.e., to ensure the integrity of) all TWC Data upon receipt and ensure it is properly stored before, during, and after processing. The Offeror must store electronic and hard copy information in a place physically secure from access by unauthorized persons. |
| IT-23 | The Offeror must describe the hosting and processing of TWC’s confidential electronic records in a secure computer facility to ensure that:   * Where in-use on a shared computer system or any shared data storage system, appropriate information security protections are in place. * Process and store information in electronic format, such as magnetic tapes or discs, in such a way that unauthorized persons cannot retrieve the information by means of computer, remote terminal or other means. * Related output is given the same level of protection as required for the source material. |
| IT-24 | The Offeror must affirm the System will be located within the United States and all access and support of the System will be performed from the Unites States. |
| IT-25 | The System must meet or exceed the DCS standards for hardware refresh (five (5) year refresh). |
| IT-26 | The System must meet or exceed the DCS standards for technical currency of hardware and software (n/n-1). |
| IT-27 | The System must provide backup services, in accordance with the data retention and recovery requirements of the data. |
| IT-28 | The System must provide for installation, configuration, and maintenance of all components of the system; including the operating system and other software components to insure upgrades and security patching activities are performed timely.  The System must maintain data integrity for all upgrades and enhancements. |
| IT-29 | The Offeror will provide TWC a Disaster Recovery and Business Continuity Plan (DRBCP) at least thirty (30) business days prior to solution implementation. The Offeror will successfully demonstrate DR and recovery prior to Go-Live. |
| IT-30 | The System must provide off-site media and DR support and services in accordance with the DR Plan, to include providing dedicated secure, off-site back-up storage for TWC data. |
| IT-31 | The Offeror will provide an annual briefing to the TWC related to its DRBCP and processes. |
| IT-32 | The Offeror must describe how their solution’s authentication facilities provide a configurable option to send notifications to the user for administrator-defined security events, such as password expiration. |
| IT-33 | The Offeror must describe how their solution will use transaction management and rollback functionality to ensure the integrity of the resources they access. |
| IT-34 | The Offeror must describe how their solution will ensure database integrity between production database, any replicated reporting databases, and copies made for back-up and recovery. |
| IT-35 | The Offeror must describe how they will migrate data from the current system, including archived data, and perform any data cleansing, see [Task 6](#_2.2.6_Required_DeliverableTask). |
| IT-36 | The System must normalize data to the highest extent possible. |
| IT-37 | The Offeror must describe how they will certify that if immediate purging of all data storage components is not possible, all TWC Data remaining in any storage component will be safeguarded to prevent unauthorized disclosures and physically transported to TWC. |
| IT-38 | The Offeror will certify (by letter verification and validation) that the TWC Data processed during the performance of this Agreement will be completely purged from all data storage components, and no output will be retained by the Offeror at the termination of contract agreement. |
| IT-39 | The Offeror must describe how they will synchronize data between their solution and any existing systems. |
| IT-40 | The System must accept data uploads from any approved partner systems (e.g., Employer filings, NDNH, Office of the Attorney General (OAG)/Child Support Enforcement (CSE), State Directory of New Hires (SDNH), Texas Department of State Health Services (DSHS), Texas Department of Criminal Justice (TDCJ), Comptroller, Clear2There, etc.). |
| IT-41 | The Offeror must describe how they will allow UI to exchange data with Workforce systems; including but not limited to WIT, TWIST, Vocational Rehabilitation, and Adult Education & Literacy; during and after the system implementation described in [Task 13](#_2.2.13_Required_DeliverableTask): Deployment Planning and Execution. Examples of access or views include:  UI notifies Workforce  Active claim. WS checks that claimants are registered for work. Includes auto-registration.  Claimant Profile at Work Registration. Real-time data sent to pre-fill work registration.  Claimant Wage Demand. WS uses the claimant’s normal wage level for job matching.  Claimant Address Updates  Exhausted or Expired claim. WS should no longer report job matching issues to UI.  Claimants who are potentially required to attend Reemployment Services and Eligibility Assessments (RESEA)  Claimants who need to be rescheduled for RESEA  Workforce notifies UI  Claimant fails to answer Job Match Alert  Claimant refuses job referral or offer  Claimant fails to attend job interview  Claimant fails to report for work after being hired  Claimant is hired via WS job referral  Claimant inactivates work registration  Number of open job match alerts for claimant in past 90 days  Work Registration status of other state claimants  RESEA scheduled claimants and notifications to attend orientation meeting  Claimants who failed to attend RESEA meetings  Eligibility issues discovered during RESEA meetings |
| IT-42 | The System must be available twenty-four (24) hours a day, seven (7) days a week, including holidays, but excluding Offeror’s scheduled maintenance which is expected to be completed outside of Sunday thru Friday, 5:00 a.m. to 12:00 a.m. Central Time. Whenever the system is not available, an advisory notice will be viewable to users. |
| IT-43 | The System must provide system capacity allowing 25,000 concurrent users and be scalable for expansion. |
| IT-44 | The System must support an average response time for basic transactions, such as insert, update, delete, and queries from a single table in 2 seconds measured at the 90th percentile. |
| IT-45 | The Offeror must describe how their solution will be scaled to meet increased demands for users and/or business functions during peak seasons, disasters, and economic downturns. |
| IT-46 | The Offeror must describe how updates and changes to their solution will be communicated to ensure on-going operations are not adversely impacted. |
| IT-47 | The Offeror must describe their hosted solution’s availability and typical scheduled maintenance window. |
| IT-48 | The Offeror will inform TWC no later than thirty (30) minutes of the loss of any contracted services including the service(s) disrupted and estimated time of recovery. |
| IT-49 | The Offeror must describe their approach for allowing TWC to report system problems. |
| IT-50 | The Offeror must describe their approach to handling errors, such as web page errors, data type-related errors, function failures, divide by zero, not enough memory, transaction errors, interface errors including data validation, etc. |
| IT-51 | The Offeror must create and maintain a technical resource guide readily available to TWC designated staff. |
| IT-52 | The System must include log and issue tracking for problems, issues, changes, and requests. The Offeror must describe their recommended ticketing system. |
| IT-53 | The System must eliminate a business need for continued development, maintenance, and support of the UI legacy systems. |
| IT-54 | The Offeror must describe how all software patches and new releases will be deployed with appropriate notification, instruction, testing, and approval. |
| IT-55 | The Offeror must describe their organization’s patch management policy. |
| IT-56 | The Offeror must describe how they handle application and data structure changes to support new grants, legislatively mandated changes, disaster events, etc. |
| IT-57 | The Offeror must describe how they leverage usage data to improve their solution. |
| IT-58 | The Offeror must provide a functional and technical product roadmap that outlines future releases, platform and environment upgrades and/or modifications, and their timing. |
| IT-59 | The Offeror must affirm that they will comply with TWC data governance best practices including providing adequate notice of changes, scheduling sufficient time for testing, and allowing TWC to remediate issues in any downstream systems prior to moving proposed changes into production. |
| IT-60 | The System must be customizable to include TWC branding and other agency identity elements.  The System must allow authorized TWC Staff to input and maintain a privacy policy, system messages, and release notes that can be displayed on specifically identified pages.  The System must allow authorized TWC Staff to input and maintain messages to be displayed to individuals or groups for a specified audience during a specified date and time range. For example, system outage message for a specific geography. |
| IT-61 | The System must handle errors created through batch processes, store related errors, and generate alerts for each batch error.  The System must stop error records from continuing through any automated processing steps while allowing continued process of all other records.  The System must ensure error messages are written in plain English and including specific directions to follow in the event of an error.  The System must store user error messages for later retrieval and review. |
| IT-62 | The System must reconnect to resources, services, and applications that were temporarily unavailable once the resource, service, or application becomes available. |
| IT-63 | The System must ensure all date computations utilize a four-digit year date field. All dates on reports, whether electronic or printed, must utilize a four-digit year format. All inputted dates, whether user-entered or System supplied, must utilize a four-digit year format.  The System must record data time changes to the nearest 100th of a second. |
| IT-64 | The System must execute functionality according to set business rules.  The System must maintain business rules in a user configurable format.  The System must allow all business rule changes to be version controlled and previous rule versions must be available and enforceable.  The System must include a business rules engine that detects and rejects conflicts, optimizes redundancy among the rules and permits a rule update to be done without disrupting other system activities. |
| IT-65 | The System must identify archived records and not allow archived records to be updated.  The System must monitor the archive process and log the outcome including any errors.  The System must perform routine, at least quarterly, reviews of archived data to verify no loss of archived files and verify the ability to retrieve archived files. |
| IT-66 | The System must allow authorized users to suspend a process prior to process execution.  The System must allow authorized users to terminate a process.  The System must have the capability to be configured to stop or continue processing based on success or failure of predecessor processes.  The System must be able to resume a suspended process.  The System must provide the capability to restart failed batch jobs at the last committed transaction (checkpoint restart).  The System must be configurable to initiate corrective action when a batch job fails to start or terminates abnormally.  The System must provide escalation capabilities for processes based on configurable values. |
| IT-67 | The Offeror must design appropriate and feasible continuity mechanisms and procedures to meet the agreed business continuity targets, including the processes and procedures to leverage alternate infrastructure and/or environments.  In case of a system failure, the System must resume operations within TWC's recovery time objective for enterprise systems.  All business continuity requirements apply to both pre-production and production environments.  The System must provide planned and proven redundancy that includes automatic detection and failover mechanisms for each potential point of failure that could result in a service outage.  The System must not have a single point of failure except as approved, in writing by TWC.  The System must utilize hardware or software to distribute connectivity and load processing across multiple, redundant computing resources for performance and failover capabilities. |
| IT-68 | The system must be constructed using modular components for ease of maintenance.  The system must be capable of minor repairs, routine maintenance, system checks, archiving and backups, without taking the system out of service.  A minimum of 10% of the total lines of source code for custom/customized software must be composed of in-line comments.  Code must be maintained in a Source Code Control Repository. Describe the method and tools that will be used.  The system must provide the capability for authorized users to implement approved database changes or fixes. |

## Attachment 6 – UI Process Descriptions

This Attachment contains high-level UI process descriptions. Awarded Vendor must configure their solution or develop new software to perform all UI processes for Texas to meet DOL, Federal Unemployment Tax Act (FUTA), SSA, and TUCA requirements. Awarded Vendor must configure or develop all UI processes including those not listed in this Attachment, either implemented after this RFO is posted or accidentally omitted. TWC has made every effort to be inclusive but there is always the possibility of oversight.

Offerors are strongly encouraged to recommend process improvements from other implementations so that Texas can achieve best in class operational efficiency and quality.

### A6.1 Benefits

#### Submit and Process Shared Work and Mass Claims

This process includes all activities required to submit and process shared work and mass claims.

Actors

* Claimants
* Employers (including Representatives and TPAs)
* Staff

Main Activities – Shared Work

* System must allow Employers to submit an online application(s) to participate in the shared work program
  + Electronically upload (Portal, email, XLS or CSV)
  + Can adapt to future approved standards
  + Paper (US Mail, fax)

System must allow Staff to enter details

* System must allow Employers to have multiple active Shared Work plans
* System must allow Staff to review and approve/deny the plan based on business rules
* Once plan approved, System must send Employers a link to UI portal for Claimants to complete a UI application (including demographics) for the Shared Work Program
  + System must prepopulate fields where applicable such as

Last employer

Dates of employment

* System must send all appropriate correspondence to Claimant such as
  + Statement of benefits
* System must send all appropriate correspondence to Employers such as
  + Wage Verification Notice
  + Approval determination
* System must allow Claimants, Employers, and Staff to upload documents
* System must validate upload/receipt of union acknowledgement form
* System must create non-monetary issues based upon answers in the Shared Work initial, additional, and continued claim filing process
* System must allow Employers to file weekly or bi-weekly claims certifications (indicating reduced hours)
* System must make appropriate payment for each Claimant based on a prorated percentage of their UI weekly benefit amount according to business rules
* System must allow for breaks in filing of claim certifications by Employer
* System must allow Claimants to switch to any other claim program from a Shared Work Claim based on business rules
* System must allow the Employer to submit plan modifications to an approved plan including adding to the participant list
* System must automatically terminate the plan when the plan end date is reached based on business rules
* System must allow Staff to terminate the plan for good cause based on business rules
* System must allow the Employer to withdraw their Shared Work Plan
* System must charge base period Employers for any benefits paid during the claim year
* System must allow Claimants to withdraw from the Shared Work Plan
* System is not required to withhold child support obligations from Shared Work payments
* System must allow Employers to submit plan modifications to a pending plan up to the day before the estimated begin date for work reduction
* System must allow Employers to submit a shared work plan application, the union form (if union affected) and the names and SSN of participants for plan approval.
* System must allow the following plan status; approved, denied, expired, incomplete, pending and terminated
* System must allow the employer to search for a plan in any status
* System must allow the employer to print and/or save the plan
* System must allow representatives/TPAs to manage shared work claims for the employer

Main Activities – Mass Claims

* System must allow Employers to submit a mass layoff request, agreement letter, and questionnaire and list of employees to participate in the Mass Claim program
  + Electronically (Portal, email)
* System must allow Employers to have multiple Mass Claim requests in progress
* System must allow Employers to provide employee demographics, mailing address, and details needed to establish a claim
* System must allow Employers to give fact finding information such as when they report additional pay on the questionnaire
* System must allow Staff to review and validate Mass Claim requests based on business rules
* System must process claims for all Claimants included in the application, create and rule (when applicable) on appropriate cases, and send all appropriate correspondence to Claimant based on business rules such as
  + Handbook
  + Filing instructions
  + Etc.
* System must keep claim in pending status until Claimant chooses to participate
* If the Claimant requests payment, System must complete claim and send additional appropriate correspondence to Claimant based on business rules such as
  + Statement of benefits
  + Etc.
* System must send all appropriate correspondence to Employers such as
  + Wage Verification Notice
* System must allow Claimants to switch to any other claim program from a Mass Claim
* System must allow the Employer to submit Mass Claim modifications up to the day before the layoff date
* System must allow the Employer or appropriate Staff to cancel the Mass Claim request up to the day before the layoff date
* System must void pending claim(s) based on Business Rules
* System must allow Staff to manually perform all activities within Mass Claim
* System must allow representatives/TPAs to manage Mass Claims for the employer
* System must display a warning message when Staff attempts to complete a claim that was filed via the mass claims process (if in incomplete status)

Alternate Activities and Special Cases – Mass Claims

System must support the following alternate activities and special cases:

* Mass updates to all claims filed under the mass claim

#### Manage Claims – Employer

This process includes all activities required for Employers to manage claims.

Actors

* Employers (including Representatives and TPAs)
* Staff

Main Activities

* System must allow Employers to respond to notices
  + Notice of UI claims both individual and in mass (e.g., Disaster Unemployment Assistance (DUA) claims)
  + Chargeback
  + Earnings verifications (includes quarterly cross match/wage benefit, new hire, interstate wage benefit, etc.)
  + Request for earnings to close a disqualification
* System must allow Employers to initiate and respond to inquiries (e.g., fact finding, secure messages, etc.)
* System must allow Employers to report issues (e.g., fraud tips, job refusals, additional pay, etc.)
* System must allow Employers to view estimates of charges and/or reimbursements
* System must allow Employers to request information including but not limited to:
  + Chargeback summary
  + Copies
  + Check claims status
* System must allow Staff, Employer and Authorized TPA’s to view, update, or delete chargeback address, designated claims address, physical address, or other addresses
* System must record changes real time, where possible
* System must take appropriate action based on business rules and information received, including but not limited to:
  + Create an issue and assignment
  + File an appeal
  + Create a wage investigation
  + Change or edit an existing case
  + Adjudicate a case
  + Close, reverse, maintain a disqualification or ineligibility

Issue letters based on business rules

* + Process incoming correspondence
  + Process and send outgoing correspondence
  + Etc.
* System must interface with a business intelligence or network traffic monitoring tool (such as Splunk) and flag claims

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Work search exemption request
* Back pay or retroactive pay

#### Register Claimant

This process includes all activities required to register Claimants in the System and generally is tied to File Claims and Manage Claims.

Actors

* Claimants
* Staff

Main Activities

* System must allow Claimants to register for an account online (self-service)
* System must capture registration data including but not limited to:
  + First and last name
  + User ID
  + Password
  + Email address
  + Security questions
  + DOB
  + SSN
  + Addresses
  + Phone number

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Duplicate profile

#### Manage Customer (Individual) Profile

This process includes all activities required to manage a customer’s profile (demographic information for an individual).

Actors

* Claimants/Individuals
* Staff

Main Activities

* System must allow Claimants to add, update, and view demographic information based upon business rules and permissions, including but not limited to:
  + Name (add only)
  + Address (mailing and residential)
  + Email address
  + Driver’s license or other ID
  + Date of birth
  + Veterans Status
  + Education Level
  + Race
  + Ethnicity
  + Gender
  + Citizenship or work authorization
  + Union status
  + Language preference (currently English or Spanish)
  + Phone numbers and type (home, work, mobile)
  + Email address
  + Correspondence preferences (including text messaging, email, phone, etc.)
  + Payment method
  + IRS Withholding
  + Customary hours
* System must allow Staff to add, update, cancel, and view demographic information based on business rules and permissions, including but not limited to the items listed above and:
  + SSN
  + Certification method
  + Victims of ID theft based upon SSN require enhanced identification procedures
* System must perform cost-effective identity-proofing services in real-time to verify Claimant identity using public and proprietary data sources
  + Texas Driver’s License
  + SSN with SSA
  + Alien ID with SAVE
  + Other innovative data sources and approaches
* With some exceptions (e.g., domestic violence, fraud cases, etc.), System must notify Claimant of changes made to some of the above fields
* System must electronically interface with external software (during the UI claims filing process) to validate address information (such as Code-1). Offeror must specify if additional third-party data verification options exist
  + Phone number
  + email address
  + Etc.

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Duplicate profiles
* Track current and subsequent verification of Alien ID and authority to work (e.g., dates)

#### File Claims

This process includes all activities required to file claims.

Actors

* Claimants
* Staff
* System

Main Activities

* System must allow all Actors to file a claim
* System must allow Claimants to register for an account if necessary
* System must provide the ability to create and display integrated scripts/prompts for all claims customizable by claim type, program, and languages
* System must automatically identify and establish the type of claim that must be filed (e.g., New Claim, Additional Claim, Reopened Claim, Transitional Claim, Extended Benefits (state and/or federal), Trade Readjustment Allowance (TRA), Short Term Compensation (STC), and DUA)
* System must evaluate Claimant and Claim based on eligibility requirements established in the TUCA and take appropriate action
* System must calculate UI monetary determination for all program and claim types. The Offeror must describe how they calculate the weekly benefit amount, maximum benefit amount, monetary balance, base period, alternate base period, wage suppression, wage additions and denials, wage credits, wage investigations, and monetary history. System must determine separate eligibility based on wages received from other states. System must display calculation to Staff.
* System must perform the following steps for each Claim Type and take appropriate action based on business rules:
  + Regular Claim

Pre-Claim assessment and Post-Claim instructions

Assessment questions (to determine claim type-military, federal, combined wage)

Collect Seasonal, Educational and Professional Athlete employment

Establish and/or Change claim date (backdate)

Collect last Employer detail including occupational codes and collect desired occupation

* Ensure liable employer is selected, determine if additional questions should be asked based upon business rules
* 1099/Contract labor
* Business name and address
* First and last dates (month, day and year) Claimant worked for last employer
* Number of hours worked and pay rate if Claimant worked this week (including Sunday)
* Information related to job separation or other eligibility requirements
* Normal wage information
* Statement on reason for separation
* Base period wages

Claim wage

* Alternate base period wages based on TX business rules
* Acknowledgement and deletion of wages
* Conduct wage investigation

Request wages earned in other states (combined wage claim)

Determine if claim filed in another state

Other sources of income including but not limited to

* Pension
* Severance
* Workers Compensation
* Wages in lieu of notices

Display potential entitlement (Staff only)

Establish Normal wage

Establish work search requirement based on business rules

Prompt Staff to review ineligibilities and disqualifications and take appropriate action based on business rules

Provide information on work search registration (in WIT) and work search requirements

Display continuing eligibility requirements: ability, availability, and work search

Provide filing instructions, UI Handbook, etc. per business rules

Notify last Employer that claim has been filed (excluding Mass Claims, Shared Work, TRA/Extended Trade Readjustment Allowance (TRX), DUA, and Reemployment Trade Adjustment Assistance (RTAA)) and track responses

* Timely
* Adequate

For each claim, the System must establish a Claim Program, Claim Type, File State, and Application Type based on business rules

For each claim, the System must allow Staff to modify data including but not limited to:

* Fact finding
* Last employer
* Assessment questions

Conclusion

* Summary
* Benefits rights interview
* Next steps

Messages

* + Unemployment Compensation for Ex-Service Members (UCX)

Same basic steps as Regular claim

Collect military last Employer detail and wages

System must establish and utilize military pay grade information (as provided by the DOL) to assist with UCX monetary calculations

System must interface with the Federal Claims Control Center (FCCC) and transmit data to them and receive data from them and appropriately process that data (integrate into system)

* + Unemployment Compensation for Federal Employees (UCFE) Claim

Same basic steps as Regular claim

Collect federal last Employer detail and wages

System must interface with the FCCC and transmit data to them and receive data from them and appropriately process that data (integrate into system)

* + Combined Wage Claim (CWC) Claim

Same basic steps as Regular claim

Wage transfer request

Billing

System must support ICON CWC functionality

* + Interstate Claim

Same basic steps as Regular claim

Collect other state working history

Other state details

* System must allow Staff to set reminders concerning future determination creation and closure
  + Pension
  + Severance
  + Availability
  + Etc.
* System must allow Claimants to have a claim with a combination of program types based on business rules
* System must allow the appropriate Actors to apply for Special Programs such as
  + TRA

Same basic steps as Regular claim, but with some items specific to TRA

System must provide the ability to file, process and determine eligibility for TRA claims based upon new or existing federal legislation

System must generate a monetary determination for Basic TRA, Additional TRA, and Completion TRA entitlement

System must generate a monetary determination for Remedial/Prerequisite TRA entitlement

System must process Health Care Tax Credit (HCTC) eligibility under both the TRA/ATRA and Reemployment Trade Adjustment Assistance and Alternative Trade Adjustment Assistance (R/ATAA) programs

* + DUA

Same basic steps as Regular claim, but with some items specific to DUA

System must provide the ability to file, process and determine eligibility for DUA claims based upon new or existing federal legislation

System must send monetary and nonmonetary determinations for the DUA program

* + RTAA

System must provide the ability to file, process and determine eligibility for R/ATAA claims based upon new or existing federal legislation

Application must be specific to RTAA

System must send monetary and nonmonetary determinations for the R/ATAA program

* + Emergency Unemployment Compensation (EUC)

System must provide the ability to file, process and determine eligibility for Emergency Unemployment claims based upon new or existing federal legislation

System must send monetary and nonmonetary determinations for the EUC program

* + Extended Benefits (EB)

System must provide the ability to file, process, and determine eligibility for State EB claims based upon new or existing state legislation

System must send monetary and nonmonetary determinations for the EB program

* + Shared Work

System must provide the ability to file, process, and determine eligibility for Shared Work (STC) based upon new or existing state or federal legislation

System must send monetary and nonmonetary determinations for the Shared Work program

* + Mass Claims

System must provide the ability to file, process, and determine eligibility for UC using the mass claims program based upon business rules

System must send monetary and nonmonetary determinations for claims filed using mass claims

* For all Special Programs, System must include customized workflow based on type and DOL and Texas program specific rules and questions
* System must perform the following validations based on type of claim, including but not limited to:
  + SSNs
  + Active claim (e.g., benefit year has not ended, and claim has a balance available)
  + Time to file (e.g., previous benefit year ended, and Claimant needs to file a new claim)
  + Work search required
  + Etc.
* System must notify Staff and Claimant of any errors that occur when filing claim or when a claim cannot be filed
* Offeror must describe how their System can interface with WIT to demonstrate how the Claimant met work search requirements

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Cannot locate Employer account
  + Capture claim details and mark as incomplete
  + Create assignment for Staff to validate
  + Complete claim
* Take claim without a last Employer (e.g., no work record, entitlement programs, etc.)
* Wrong named Employer
  + Voiding and recomplete with correct Employer
  + Change account number
* System must allow Staff to access and update partially completed applications (claims in progress)
* System must automatically establish the new (transitional) claim for benefits when the benefit year has ended with the current weekly claim
* System must determine if a Claimant is potentially eligible for a new program type based on new quarter of wages and business rules

#### Manage Claims – Claimant

This process includes all activities required for Claimants to manage claims (self-service).

Actors

* Claimants

Main Activities

* System must allow Claimants to manage claims using a secure portal or similar functionality
* System must allow Claimants to request 1099-G (initial and corrected)
* System must allow Claimant to change certain claim related information, including but not limited to:
  + Payment method (bank card, direct deposit, etc.)
  + IRS Withholding
* With some exceptions (e.g., domestic violence, fraud cases, etc.), System must notify Claimant of changes made online, such as
  + Personal Identification Number (PIN) changes
  + Password changes
  + Address changes
* System must allow Claimant to opt-in and out of electronic correspondence
* System must allow Claimant to file an appeal
* System must allow Claimant to respond to fact finding and information requests
* System must allow Claimant to upload and download documents
* System must allow Claimant to initiate a wage investigation
* System must allow Claimant to view claim(s) data, such as but not limited to:
  + Payment status
  + Weekly benefit amount
  + Maximum benefit amount
  + Electronic correspondence
* System must allow Claimant to submit a request for claim information, such as but not limited to:
  + Proof of claim (POC)
  + Exhaustion letter
  + Fact finding statements
* System must allow Claimant to repay overpayments (not in current filing status)
* System must allow Claimant to submit a work search log
* System must allow Claimant to request payment of waiting week
* System must allow Claimant to request wages earned in other states (combined wage claim) and initiate a wage investigation in another state
* System must allow Claimant to report returned to work
* System must take appropriate action based on business rules and information received, including but not limited to:
  + Process a payment
  + Create an issue and assignment
  + Process an appeal
  + Create a wage investigation
  + Change or edit an existing case
  + Adjudicate a case
  + Close, reverse, maintain a disqualification or ineligibility
  + Process incoming correspondence
  + Process and send outgoing correspondence
  + Record changes real time
  + Etc.
* System must interface with a business intelligence or network traffic monitoring tool (such as Splunk) and flag claims

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Fraud cases
* Authorized representative with claim restrictions

#### Manage Claims – Staff

This process includes all activities required for Staff to manage claims for Employers and Claimants.

Actors

* Staff
* System

Main Activities

* Staff can perform all functions (roles-based) included in [Manage Claims-Employer](#_Manage_Claims_–), excluding key functions or information (e.g., passwords, payment method, etc.)
* Staff can perform all functions (roles-based) included in [Manage Claims-Claimant](#_Manage_Claims_–_1), excluding key functions or information (e.g., passwords, payment method, etc.)
* System must (re)calculate UI monetary determination for all program and claim types. The Offeror must describe how they calculate the weekly benefit amount, maximum benefit amount, monetary balance, base period, alternate base period, wage suppression, wage additions and denials, wage credits, wage investigations, and monetary history. System must determine separate eligibility based on wages received from other states
* System must allow Staff to perform the following and System must take appropriate action based on business rules and information received:
  + Perform robust search, filter and sort of data
  + Search for, view, and maintain Claimant and Employer portal accounts

Reset account (passwords, PINs, etc.)

Disassociate

Lock accounts/Restrict access

Etc.

* + Assign, reassign, self-assign, and present work items (electronic or paper) based on:

Skills

Issue type and issue reason identification

Language

Staff availability (vacation, holiday, sick, etc.)

Priority

Pending or no action pending

* + Process mass changes and updates, for example:

Back date multiple claims

Update work search requirement

Change Employer due date for multiple claims

Issue correspondence to multiple Claimants and Employers

* + Convert weeks to different program types and claims
  + Special Claim Maintenance

Trigger payment

Flip waiting week flag

Move balance to disqualification

Adjust amounts in disqualification

Change claim end date

Remove exhaust date

* + Review issues and complete the claim to make it valid, such as:

Wage and name discrepancy

Incomplete claim

Void and unvoid claims

Correct Employer/change account numbers

Unlock claims locked for ID theft victims

* + Manage wages

Acknowledge, add, delete, initiate wage investigation on Texas wages,

CWC wages,

Military wages,

Federal wages based on business rules

* + View, resend, add IB transactions
  + View, resend, add UCX/UCFE transactions
  + Process DD 214s
  + Update IRS Withholding
  + Request and process federal proof of earnings
  + Cancel payments (warrants)
  + Update child support obligation (very limited)
  + Add entitlement (Completion/Remedial TRA)
  + Correct earnings on weeks claimed
  + Add and modify notes
  + Change payment method (very limited)
  + Update and reissue correspondence (return mail)
  + Log manual correspondence
  + Change claim date (backdate)
  + Change work search requirements based on business rules
  + Change SSN for reasons such as ID theft, etc.
  + Request work search logs based upon business rules (i.e., random, number established by staff, immediately, etc.)
  + Provide the capability to obtain completed work search logs for review based upon business rules (i.e., random, number established by staff, etc.)

Request work search log if required

View and update work search log status

* Enter verification results
* Create a case(s)
  + Provide the capability to obtain samples of completed work search log validations for quality assurance
  + Request and process out of state work registration
  + Process wage corrections such as

Update SSN on wage records

Change amounts on wage records

* + Issue Claimant corrected 1099-G and System must correct IRS 1099 transmission amount
  + Update normal wage
  + Update customary hours
  + Withdraw Initial Claim (WIC)

Notify another state

Issue a decision

Return other state wages

Unmark Texas wages

Issue billing adjustments (Employer charging)

Etc.

* + System must track progress toward lifting a previous disqualification and take action according to business rules

Automatically closing

Send notification to Claimant

* + System must allow authorized Staff to view current and prior claim information (payment status, pending items, EMPRESP, etc.), including but not limited to:

Detail of certified continued week applications including all information requested of the Claimant at the time of filing the continued week application

Overpayment for the Claimant, including overpayment status

Week(s) overpaid

Amount of overpayment

Reason for overpayment

Program under which overpayment occurred

Statute of limitations and balances (Fraud, Non-Fraud, Fraud Penalty Trust Fund, Fraud Penalty, Interest, Court Costs, Other penalties, and penalty week balances)

System/Staff must be able to move some or all of a claim record from one benefit year, program, or SSN to another benefit year, program, or SSN

Detailed information attached to a nonmonetary issue/determination includes but isn’t limited to:

* Claim type,
* Issue type,
* Issue reason,
* Detection date,
* Start/end dates,
* Decision code,
* Fact finding,
* Contact attempts,
* Status,
* Adequate/Inadequate (for EMPRESP)
* Count/No Count
* Adjudicator

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* System must preserve the integrity of a fraudulent claim while allowing the true identity holder to file a valid claim (called “Pseudo Claims”)
  + Move the fraudulent claim off the true owner’s SSN and generate a unique identifier to track the fraudulent claim or portion thereof
  + Retain all accounting records
  + Link, cross reference, and display SSNs/IDs (valid and all fraudulent)
  + Lock SSN/ID to prevent further fraud whether the victim wants to file or not
  + Ensure system doesn’t take any automatic actions on pseudo claims

No issue of 1099s

Collection efforts of the overpayments

TOP collection

* + System sends corrective letters to true identity holder
  + System must allow Staff to correct any actions that were previously taken
  + System must send notification to victim and alert Staff when they can file their claim

#### Request Payment

This process includes all activities required to request payments.

Actors

* Claimants
* Employers under Shared Work program
* Staff

Main Activities

* System must allow Claimants to request payment via internet, IVR, or paper
  + Dynamically generate questions and record answers

Document employment/1099/Contract labor

* + English and Spanish
  + Determine date to file
  + System must capture Actor’s confirmation of truth in filing statement of the information provided (Claimants and Employers only)
* System must allow Claimants to document their work search activities
* System must allow for a biweekly claiming cycle with exceptions for one-week, late filing, and back dated claim certifications
* System must ensure that a continued week ending date is within the benefit year for it to be claimed. Exceptions are for other programs (not all inclusive) such as Federal extensions and TRA/RTAA
* System must ensure that a Claim will be paid based on preferred method (default is bank card)
  + Inform Claimant of current method
  + Allow Claimant to change method
* System must perform validations based on type of claim
  + SSNs
  + Active claim
  + Time to file
  + Work search required
  + Etc.
* System must provide the ability for Staff, Claimants, or Employers to record a return to full-time employment
* System must take appropriate action based on business rules (including Supreme Court Java decision) and information received
  + Breaks in filing
  + Breaks in reported earnings
  + Stop if failure to report earnings past return to work date
  + Stop if new hire issue
  + Stop if wage benefit issue
  + Stop if incarceration issue
  + Identify potential issues; such as Claimant quit, refused an offer of work, was discharged, was unable to work, or was unavailable for work; and present dynamic fact finding
  + Return to work
  + Etc.

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Shared Work
* Payment request on hold
* Incompletes
* Not allowed to request payment
* System must provide the ability to file and process continued claim applications to determine eligibility to pay R/ATAA benefits

#### Receive and Process Payment Requests

This process includes all activities required to receive and process payment requests.

Actors

* Staff
* Comptroller
* Debit Card Vendor

Main Activities

* System must confirm eligibility
* System must process payment requests based on business rules
  + Payable weeks
  + Payment amount
  + Reported earnings
  + Reported hours (customary)
  + Overpayments
  + Deductions and Offsets (child support, withholding, overpayments, etc.)
  + Payment method (warrant or ACH transaction)
  + Release past payment request

Appeal reversal

Monetary redeterminations

Previously underpaid

Waiting week

Etc.

* System must convert weeks to different program types and claims based on business rules
* System must allow authorized Staff to reissue payment according to business rules
* System must recalculate a benefit payment when payment variables change
* System must allow a weekly payment from multiple sources (e.g., Federal Additional Compensation).
* System must automatically enroll Claimants in debit card program if necessary
* System must send notification to Claimant of Child Support withholding if necessary and update adjustments
* System must prenote validation of direct deposit
* System must electronically submit/receipt any new or modified information related to debit cards or EFTs to/from the benefits payment vendor
* System must issue program payment based on business rules (hierarchy)
  + System must only issue a benefit payment if there is an unencumbered balance on the claim
* System must prepare, send, and resend withhold amounts to appropriate parties
  + IRS
  + OAG
  + Interstate Reciprocal Overpayment Recovery Agreement (IRORA)
  + Etc.
* System must generate an ACH file containing the benefit payment information (examples: Claimant information, account information, amount of the payment and payment method) to disburse payment
* System must notify WIT of any Claimants that meet Reemployment Services and Eligibility Assessments (RESEA) criteria
* System must coordinate with RTM (must stay manual)
  + Authorize and release ACH payments
  + Verify warrant run (send email to ATOS)
  + System must generate entries to Workforce, Reporting, Accounting, and Purchasing System (WRAPS) and Uniform Statewide Accounting System (USAS) after verification by RTM
  + System must allow data to be imported to a database via Open Database Connectivity (ODBC) link or other system capable
* System must retain history of all payments
* System must process TRA payment and RTAA Wage subsidy requests based on business rules and take appropriate action
  + System must allow Staff to enter/update Trade Adjustment Assistance petition certifications under the Trade Act of 1974, as amended in 2002, 2009, 2011, 2015, and any future updates
  + System must account for a different earnings exemption under the TRA program if the individual is in full-time training and earnings are less than the UI Weekly Benefit Amount that established TRA
  + System must allow Staff, prior to system electing choice automatically, to select a choice between a Claimant continuing on TRA/RTAA program and beginning their UI entitlement
* System must provide verification of payment transmission

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Pull/cancel a payment
* Returned ACH payments
* Process notices of changes
  + Bank account number changes
  + Bank routing number changes
  + Bank account closures
* Assignments or notifications
  + Notification of payment failures
  + Creation of assignments and workflows based upon business rules
* Void by statute
  + Send correspondence
  + Fund reversal
  + Post corrections
* Special pull-backs (fraudulent accounts)
* Refund reversals

#### Initiate, Investigate, and Adjudicate Benefits Issues

This process includes all activities required to initiate, investigate, and adjudicate Benefits issues.

Actors

* System
* Staff
* Claimants
* Employers
* TPAs

Main Activities

* System must implement all available SIDES modules
* System must allow Staff, Employers, and TPAs to log into SIDES using SSO
* System must allow Staff, Employers, and TPAs to view request and responses from SIDES, web, etc.
* System must allow Staff to run multiple sessions at the same time (e.g., review a Claimant and an Employer side by side)
* System must provide claim summary to Staff to eliminate accessing multiple screens
  + Case association
  + Allow for filtering, sorting, and searching
  + Sort by date and time
* System and Staff must be able to create and handle issues from a variety of sources (cross-matches, Employer responses, claims taking, tips, leads, etc.) that require additional research to resolve, such as:
  + Non-Separation Issues
  + Separation Issues
  + Monetary Issues (e.g., alternate base period)
  + Fraud

Requires a second vote (fraud requires a first and second vote)

* System must flag cases for additional review based on business rules such as
  + Unidentified regular and federal Employers
  + WIT notification of

Claimant being hired

Job refusal

RESEA non-attendance

And other issues

* + Wage additions
* System must include Case Management and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)
* Staff, Claimants, Employers, and TPAs must be able to complete conditional fact finding
* System must provide the ability to schedule fact finding and follow up interviews and document the deadlines for messages, fact finding and follow up interviews per business rules
* Staff and System must be able to (re)trigger conditional fact findings (a request for information) for Claimants and Employers to complete with notification by preferred method
* System must provide a way to track future issues and reopen cases per business rules (e.g., job offer, pension, etc.)
* System must allow Staff to create fact finding
* System must allow Staff who created fact finding the ability to edit it within a specified time limit based on business rules
* System and Staff must be able to issue decisions including
  + Selection of determinations from a drop-down list where ever possible
  + Selection of determinations, count/no-count, multiple interested parties to include Unions, chargeback, etc. where ever possible based on business rules
  + If unable to auto-determine, the system must guide Staff on count/no-count and interested parties based upon business rules
  + Provide calendar feature for Staff when taking fact finding or issuing decisions to assist with the correct begin and end date selection (intuitive date suggestions by system)
  + Ability to override system-identified issue detection date
* System must preclude adjudication of an issue that has been resolved in another state when wages are received from other state (20 Code of Federal Regulations (CFR) 616.8)
* System must use decisions to take appropriate action to process adjustments based on business rules, including but not limited to:
  + Evaluate eligibility
  + Creation of overpayment
  + Release of payment
  + Notification to UI Tax

Duplicate wage records

SSN corrections

Etc.

* + RESEA reschedule list
  + Etc.
* Decisions issued by the System must conform with TWC and DOL established guidelines on what constitutes a “quality” nonmonetary decision.
* System must issue an appropriate system-generated written decision to all interested parties. If Staff must deny benefits to the Claimant, the decision should contain sufficient information to enable those receiving the decision to understand why.

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Claimant and/or Employer can file an appeal
  + 14 calendar days for regular claims
  + 60 calendar days for DUA
* Authorized Staff can change determination within time window (in days) based on business rules and TUCA § 212.054
* If fraud determinations are issued on TRA claims, the System must disqualify Claimant for any trade assistance services under federal TAA program (lifetime and doesn't affect other programs)
* System must allow Staff to exchange information with Equifax via their portal
  + Log in/Authenticate
  + Send and receive messages
  + Download documents
  + Automate current copy/paste functionality
  + Document results in TWC case file

#### Employer Charging

This process includes all activities required to charge Employer accounts.

Actors

* System
* Claimants
* Employers
* TPAs
* Staff
* Other States

Main Activities

* System must include all functionality necessary to perform benefit charging and reimbursements
* System must identify benefit charges, no-charges, and reimbursements for claims
* System must issue appropriate Employer correspondence when first pay is released
* System must determine which Employers or pooled accounts are chargeable and/or non-chargeable
* System must support TPA functions granted by Employers
* System must create assignments or cases based on business rules
* System must be able to identify when an account is liable for charges or reimbursements and issue determinations based on business rules
* System must identify, support, and display Predecessor/Successor accounts such as
  + Shared liability
  + Shared charge amounts
  + Account relationships on claims
* System must determine whether the Employer is Reimbursable or Contributory
* System must generate and process CWC benefit charges (IB-6)
* System must allow Staff to accept data from other states
  + CWC-0212 (timely and adequate)
  + IB-5 (determination of state liability)
  + Etc.
* System must support the incoming and outgoing billing and payment process of IB-6 charges as defined in ETA 399
* System must support ICON CWC functionality
* System must support SIDES functionality related to charging
* System must calculate Employer charge to the ten thousandths of the decimal based on business rules
* System must apply charges and billing to Federal and Military accounts (ETA 191)
* System must correctly assess charges when wage suppression determination has been issued
* System must reconcile benefit charges such as
  + Payments
  + Overpayments
  + Cancellations
  + Refunds
  + Etc.
* System must generate and issue benefit charge statements on a timely basis
* System must support the reimbursable Employer billing processes
* System must accept and process benefit charge and reimbursement protests
* System must accept and process adjustments to Employer charging or billing
* System must allow authorized Staff, Employer and TPA’s to view charge information including historical information
* System must allow Staff to view the distribution of benefit charges and credits to Employers (including those charged to the Non-chargeable Benefits Account) for each continued claim week, including any amount mutualized
* System must take appropriate action based on business rules and information received, including but not limited to:
  + Calculate Tax rates
  + Establish quarterly billing
  + Timing of charge statements
* System must allow Staff to manually perform all activities within Employer Charging
* System must generate appropriate chargeback document when Employer has been changed from Last Employer to Base Period Employer only

#### Receive and Process Claimant and Employer Correspondence

See Correspondence in [Attachment A6.9](#_Correspondence) General.

#### Manage Program Data

This process includes all activities required to create and update program data.

Actors

* Staff

Main Activities

* System must allow authorized Staff to set up and modify program/resource data including but not limited to:
  + Create, update, activate/inactivate records
  + Create new issue types and reasons
  + Disaster declarations

System must allow Staff to enter/update DUA/ Federal Emergency Management Agency (FEMA) certifications for disaster relief (including area for disaster relief, project number and eligible workers, the start and stop date of the disaster period, and work search requirements)

System must allow Staff to set up disaster tracking for pre-declared events

* + Mass claims ID (MLO ID)
  + Shared work plans
  + Labor disputes

System must allow Staff to create labor disputes, including Employer and union information and details of the dispute

Once established, System must notify Staff if the claim is labor dispute impacted and present fact finding and follow business rules regarding last Employer

System must allow both the Employer and the union to provide a list of workers involved in the labor dispute

System must generate appropriate correspondence to Employers and unions based on business rules

* + Trade petitions

System must allow Staff to create petition details or transfer those details from TWIST

Information includes petition details and worker list

* + EUC or EB
  + Monetary benefit calculations
  + Benefits Timeliness and Quality (BTQ) and Benefits Accuracy Measurement (BAM) random numbers/algorithms
  + Work search parameters
  + Justification for change
  + Fact finding question sets

#### Correct Errors and Data Cleansing

This process includes all activities required to edit data with the option of placing the record back into workflow.

Actors

* Staff with role-based permissions

Main Activities

* System must allow Staff to correct data entered in error, based on business rules
  + Remove inappropriate notes or notes entered on the wrong person
  + Remove entries made on the wrong claim or wrong person
  + Etc.
  + System must retain auditable correction log
* System must allow Business Staff to place the record back into workflow if necessary such as:
  + Reports
  + Payment processes
  + Interfaces

#### Respond to Inquiries

This process includes all activities required to respond to inquiries.

Actors

* Staff

Main Activities

* System must enable Staff to initiate and respond to inquiries via:
  + Phone
  + Electronic (Email, chat, or secure messaging)

Forms or templates available to capture identifying information

* + Mail
  + Fax
* System must allow Staff to verify name, address, and SSN/Alternate ID of the Claimant
* System must enable Staff to research Claim information
* System must provide information to Staff in a concise manner, allowing Staff to dive down for additional details as needed, summary page of some sort so Staff can see the entire Claimant record.
* System should use intuitive language and reduce the use of acronyms and codes
* System must allow Staff to respond to inquiries
  + System must record summary of response tied to a Claimant, Employer, or TPA and associated with their record

Email

Phone number

Time

Date

Topic

Staff member

Etc.

* + Respond based on requestor’s preferred communication method
  + Display/Insert context sensitive statements using preformatted text (e.g., how to file an appeal) depending on the contact method, editable by Business Staff

### A6.2 Tax

#### Register Employer

This process includes all activities required to register an Employer.

Actors

* Employers
* Staff
* TPAs

Main Activities

* System must allow Employers and TPAs to register online (self-service)
  + Unique ID using current numbering scheme
  + Associate/Dissociate a TPA to Employer account
  + Authorize and identify the service functions for which the TPA may act on behalf of that Employer
  + Upload, Optical Character Recognition (OCR), image multiple source documents (IRS 147c, articles of organization, etc.)
  + Employers and Staff to complete and modify partially saved Employer registrations within a configurable time period
  + View registration status
  + An Employer account must have one individual assigned as the administrator who can (de)authorize access to the Employer account for other individuals and TPAs
  + An Employer account can have multiple individuals who can access it, each assigned to different roles, with different access rights, and with unique contact information
* System must prevent Benefits Claimants from accidentally registering for a UI Tax Accounts and vice versa
* System must capture registration data including but not limited to:
  + First name, middle initial or name, and last name
  + Suffixes (i.e. SR, JR, III, IV, MD, etc.) as a separate field
  + User ID
  + Password
  + Email address
  + Security questions
  + FEIN
  + Owner/Officer Information (i.e. SSN, title, residence address, email address, etc.)
  + Addresses, with option for all foreign addresses
  + Phone number, with area and country code, if required
  + Registrants relationship with employer
  + Business entity name
  + General Partner name (if partnership, except for general partnerships when we require all partner names)
  + Trade name (DBA)
  + Business type (i.e. Individual/Sole Proprietor, Corporation, LLC, General Partnership, LLP, Political Subdivision, Non-Profit, Reimbursing, etc.)
  + Employment type (i.e. regular, domestic or agricultural)
  + Nature of [business] activity
  + Liability information (i.e. employment state date, wages start date, first $1500 quarter, 20th week of employment date, FUTA years, US citizens employed outside US, current number of employees, subject subsection of TUCA 201.021-8, etc.)
  + Acquisition information (business acquired, date, total or partial, etc.)
  + Secretary of State information (i.e. state of jurisdiction, filing/charter number, registered agent information, filing date, original name, etc.)
  + TPA selection
  + TPA authorization (i.e. selection of TWC area handling such as UI Tax reports and/or tax payment, Benefits claims and/or Appeals; POA document completion with electronic/digital signature; etc.)
  + TPA selection changes (i.e. remove one TPA and revoke POA, add different TPA and new POA completion, etc.)
  + Etc.
* System must allow for Employment Titles associated with Employer and/or contact names (i.e. Corporate President, CPA, TPA, Service Agent, General Partner, Trustee, Executor, Executrix, Administrator, etc.) for entity styling, bankruptcy and trust/estate UI & RID matters
* System must allow a third-party administrator (TPA) to register online for a TPA account with multiple addresses and locations using the current TPA number assignment structure.
  + The TPA process will consist of multiple service functions
  + TPAs can handle Benefits and/or Tax for Employers
* System must allow Staff to register Employers (phone, mail, fax, paper documents)
  + Unique ID using current numbering scheme
  + Upload, OCR, image multiple source documents (IRS 147c, articles of organization, etc.)
  + Employers and Staff to complete and modify partially saved Employer registrations within a configurable time period
  + View registration status
  + Send required forms to Employers (approved hardship only)
* System must capture and validate registration data including but not limited to:
  + Domestic and Foreign Addresses (payroll address, unemployment address, chargeback address, special address such as refund warrant delivery, etc.), country code, county, county FIPS code, phone numbers (UI, claims, and tax purposes), Officer or Ownership information (i.e. entity/ownership type, partner/general partner name(s), officers and titles), trade name(s)/DBA(s), points of contact, email addresses, Charter/Filing number, filing agent, filing date & jurisdiction state (domestic=TX, foreign=non-TX)
  + Federal ID
  + Account recovery information (phone number, email, Federal Employer Identification Number (FEIN), Employer ID, other)
  + Acquisition/Predecessor/Successor information if applicable
  + Seasonal designation
  + Licenses

Texas Department of Licensing and Regulation for licensed staff leasing companies (Professional Employer Organizations (PEOs))

* System must validate new accounts
  + The Offeror must describe their system’s process for validating new Employer accounts
  + The Offeror must describe how their validating process eliminates scammers creating fake or fraudulent Employer accounts
  + System will flag exceptions for manual review and Staff corrections
* System must (re)determine type of liability
  + Currently Texas has Liable (Regular, Domestic, and Agricultural), Not Liable, Pending, Error (may not be needed in future, these are often caused by duplicate accounts, liability not yet reached or first wages not yet paid)
  + Allow for multiple types of liability
  + Handle Employers who are contributing or reimbursing, as well as how they handle changes between the two
* System must track account status
  + Currently Texas has Active, Active2, Inactive, Terminated, Archived
* System must be able to identify all accounts that were established that have not met liability and update the liability accordingly
* System must be able to calculate timeliness for both new business and successors according to the ETA 581 business rules
* System must offer multiple correspondence methods selectable by Employers including
  + Electronic (default with opt out for other options, override for approved hardship)
  + Mail (allow Employer to designate an address for each program)
  + SIDES
  + TPAs
* Send confirmations to Employers
  + Electronic (default with opt out for other options, override for approved hardship)
  + Mail
* System must keep Employer accounts active for two quarters after final wages date
  + For DOL ETA 581 reporting only
  + Employers do not have to file quarterly reports
  + System will not show Employer accounts as Active, create a special status

Currently Texas has a status of “Active2”

* System must automatically inactivate accounts based on business rules
* System must provide a list of available resources as determined by Staff that the Employer might find useful, editable by Staff
  + New hire
  + Employment posters
  + Texas Business Conference
* System must display dashboards for Staff, customizable by Staff

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Prevent and correct duplicate registrations
  + Provide notice of a duplicate account to Employer/TPA and Staff

Preference is for Employer to self-service and update existing account information

* + System must allow Staff to merge duplicate accounts and record notes on how the duplicate was resolved
* Non-liable accounts
  + Employer should be prevented from creating an account if they are non-liable, except for voluntary election of coverage
  + System should inform Employers if their account is non-liable
  + Staff should be able to create or make accounts non-liable
  + System/Staff can purge non-liable accounts
  + System should prevent users from filing reports or making tax payments to non-liable accounts
* Pending accounts
  + System must allow Staff to track the investigation
  + System must allow Staff to update account based on investigation findings
  + System must notify Employer of resolution in writing after investigation is complete
* Benefits/Tele-center cannot locate Employer account
  + Capture benefits claim details and mark as incomplete
  + Create assignment for Staff to validate
  + Complete benefits claim

#### Service Employer Accounts

This process includes all activities required to service an Employer account.

Actors

* Employers
* Staff
* TPAs

Main Activities

* System must allow Employers and TPAs to update their account online (self-service)
  + Multiple points of contact with defined role (e.g., Tax only, Benefits only, etc.)
  + Authorize, revoke, and identify the service functions for which the TPA may act on behalf of that Employer
  + Upload multiple source documents (audit documents, IRS 147c, articles of organization, etc.)
  + Retrieve and view all accounts (active, archived, etc.)
  + Data to capture

Entity Name

Addresses (Tax address, chargeback address, designated claims address, physical address, other)

Phone number, points of contact, email address

Federal ID

Wage information

Acquisitions (for the purpose of using wages reported by another entity)

* + Allow posting of supplemental wage reports and provide warning prior to posting that an original report has already posted and suggest adjustment in lieu of supplemental
  + Adjust wage report data
  + Reallocation of payments
  + Submit inquiries and provide feedback
  + Send confirmations to Employers
* System must capture and geolocate (including but not limited to country, region, city, latitude, longitude, zip code, time zone, ISP, domain, net speed, area code, weather, mobile, elevation, port), Internet Protocol (IP) addresses in all versions (including but not limited to IPv4 and IPv6) associated with self-service to assist Staff in detecting fraudulent schemes
* System must allow Staff to update Employer accounts (phone, mail, fax)
  + Multiple points of contact with defined role (e.g., Tax only, Benefits only, etc.)
  + Upload multiple source documents (audit documents, IRS 147c, articles of organization, etc.)
  + Retrieve and view all accounts (active, archived, etc.)
  + Data to capture

Entity name

Addresses (Tax address, chargeback address, designated claims address, other)

Phone number, points of contact, email address

Federal ID

Wage information

Acquisitions (for the purpose of using wages reported by another entity)

* + Allow posting of supplemental wage reports and provide warning prior to posting that an original report has already posted and suggest adjustment in lieu of supplemental
  + Adjust wage report data
  + Add, abate, and adjust penalties, interest, and fees
  + Reallocate money
  + Transfer reports, wage records, and money
  + Taxable wage balancing
  + Process refunds including statute of limitation rules with management and legal override
  + Process refunds automatically for established-in-error accounts
  + Process requests for IRS 940C FUTA certifications (i.e. system-generated or special, manual abstracts)
  + Receive, verify, and process IRS 940B requests for 940C FUTA certifications
  + Make inquiries to Employers/TPAs and record account comments, with access to or creation of macro scripts
  + Texas specific requirements such as:

Annual domestic filers

House Bill 2120 – Benefit Wage Credits [(http://twc.texas.gov/files/twc/815-adopted-rule-092010-twc.pdf](http://twc.texas.gov/files/twc/815-adopted-rule-092010-twc.pdf))

House Bill 2015 – Penalty for Misclassification of Certain Workers (<https://capitol.texas.gov/tlodocs/83R/billtext/html/HB02015H.htm>)

House Bill 3150 – PEO Bill (<https://www.tdlr.texas.gov/peo/peolaw.htm>)

State Unemployment Tax Act (SUTA) dumping legislation

Etc.

* + Employee leasing (PEOs)
  + Payrolling
  + Multi-state employment
  + Etc.
* System must interface with Cisco voice over internet protocol (VoIP) telephones
* System must take appropriate action to process wage record adjustments based on business rules, including but not limited to:
  + Quarterly chargebacks
  + Update tax rate
  + Etc.
* System must include all functionality necessary to identify potential SUTA dumping cases (currently SUTA Dumping Detection Software (SDDS)). The Offeror must describe how the System cross-matches Employer records and quarterly wage data to identify Employers who meet the criteria for potential SUTA dumping as well as how the System tracks and maintains those flagged records through to completion
* System must be able to capture, track, and display any dollar amounts (e.g., total wages, taxable wages, etc.) regardless of size. Texas has Employers reporting over $1 billion in total and taxable wages and over $10 million in taxes due
* System must include Case Management, Correspondence and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Ensure Benefits is informed of TPAs and Employer relationship changes
* Bypass system edits to service accounts, such as establish and adjust account liability

#### Submit Wage Reports

This process includes all activities required to submit wage reports to TWC.

Actors

* Employers
* Staff
* TPAs

Main Activities

* System must allow Employers/TPAs to upload wage reports via secure Employer Portal or FTP option
  + No limit on number of employees included in the report
  + No limit on the number of Employer reports submitted in a batch by a TPA
  + Allowed file formats include

ICESA

MMREF

XLS or CSV

Popular payroll software (e.g. QuickBooks/Intuit)

Adaptable to accommodate future approved standards

* + System must include the ability to add or modify upload data fields based on law or rule changes
  + System must scan files for viruses, validate uploaded data with warnings and upload prevention if required, notify user if errors found, provide receipt confirmation and posting confirmation notifications
* System must allow Employers/TPAs to manually enter wage reports
  + Allow Employers/TPAs to import information from prior quarter if desired
  + Allow Employers/TPAs to quickly report zero (0) wages
  + Save partially completed reports
  + Delete or edit incorrect or incomplete reports

System must reprocess wage data, replace with correct wage data, and take appropriate action based on how the data changed

* + System must validate uploaded data and provide notification if errors
  + System must compare reported Texas Total Taxable Wage amount with system calculated amount and require Employers/TPAs to resolve discrepancy (i.e. multi-state employment, unreported acquisition with predecessor wages, etc.) prior to processing
  + System must allow Staff to prevent Employers/TPAs from modifying certain data

While an audit is in process

Audit findings

Fraud blocks

Bankruptcy stop or RID freezes to quarter(s)

Etc.

* System must allow Staff to upload wage reports on behalf of Employers who send their report in via paper
* System must notify Employers/TPAs
  + Default is email, otherwise via United States Postal Service (USPS)
  + Advanced notice that report is coming due
  + Report is past due
  + Tax payment is due
  + Tay payment is past due
* System must determine if a payment is due and allow Employers/TPAs to Submit a Payment
* System must send confirmation to Employers/TPAs

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Splitting Wage Reports across same or multiple Employers for the same quarter

#### Submit Payments

This process includes all activities required to submit payments to TWC.

Actors

* Employers
* Staff
* TPAs

Main Activities

* System must allow authorized users (Employers and TPAs) to
  + Submit payments
  + Designate payments

Tax payments

Voluntary contributions

* + Schedule future payments
  + View status of payments
  + Edit, modify, cancel payments
  + Set up and deactivate bank accounts
  + Deactivate bank account after receiving notice of issues
  + Require users to confirm bank account information before processing payment
  + Send Nonsufficient Funds (NSF) notices and payment notices, including confirmation number, to Employer/TPA-selected delivery choice
  + View payment history
  + View payment issues

NSF

Wrong bank account number

Etc.

* System must prevent bank account entry errors
* System must provide confirmation of payment
* System must accept full and partial payments; and displays the remaining balance after partial payment is made
* System must notify Employers/TPAs of how a partial payment will be allocated to debt (i.e. tax debt versus penalties and interest)
* System must notify Employers/TPAs of Refund restrictions (one hundred eighty (180) calendar days) of any credits tied to Credit Card payments
* System must notify Employers/TPAs of Refund restrictions (thirty (30) calendar days) of any credits tied to any other remittance type except Credit Card
* System must allow interface with CPA’s TEXNET system for EFT remittances
* System must allow TPA to submit single remittance via CPA’s TEXNET and then upload an EFT Allocation File to distribute payment amounts to client UI Tax accounts, with validation feedback to resolve all invalid EID issues prior to processing

#### Receive and Process Wage Reports

This process includes all activities required to receive and process wage reports.

Actors

* Employers
* Staff
* TPAs

Main Activities

* System must accept, validate, and post wage reports from Employers
  + All reports must be processed, even supplementals, after the Employer is presented a warning (e.g., “There is already a wage report on file for this quarter. Do you wish to Replace, Adjust, or Proceed to File?”)
  + Post Employer quarterly reports real-time
  + Calculate taxable wages, taxes, penalties, and interest
  + Record and retain full audit trail of all transactions
  + Must associate predecessor/successor relationships in calculations
  + Must allow for multistate employment in calculations
  + Must allow for SSN, Taxpayer Identification Numbers (TINs), and pseudo numbers (whenever an SSN is unavailable, a unique employee reference number needs to be assigned for taxable wage calculations, every employee must receive a different reference number for taxable wage calculation purposes)
* System must allow Staff and Employers/TPAs to add and modify quarterly reports for acquisitions (predecessor/successor)
  + Total acquisition
  + Partial acquisition
  + Split quarterly reports for same quarter between accounts

Overall total and taxable wage amounts

Employees and their wage records

* System must allow Staff to adjust dates
  + Report postmark date
  + Report due date
* System must be able to flag an Employer who is permitted to file paper quarterly wage reports (electronic hardship), and must automatically provide paper forms to those Employers
* System must allow Employers, TPAs, and Staff to view historical information
  + Wage reports submitted
  + Adjustments
  + Report transfers to another account
  + Unemployment active claims, historical claims, chargebacks
  + Etc.
* System must allow Staff to delete reports and reinstate reports if archived
* System must allow Staff to transfer reports between accounts
* System must automatically create, issue, and post estimated reports for an Employer who fails to file within a certain timeframe based on business rules
* System must allow Staff to estimate wage reports if system cannot
* System must indicate or flag when wage reports are estimated
* System must remove estimated flag or indicator when quarterly report has been adjusted for actual wages
* For TPAs filing wages on behalf of their Employers, System must indicate or flag when wages have already been filed for each Employer
* System must notify Employers/TPAs of actions such as
  + Processing confirmation or processing issues
  + Adjustments
  + Estimates
  + Failure to file on time
  + Etc.

Main Activities – Process Adjustments

* System must upload and process Wage Record adjustments or allow Staff to process adjustments manually, one or many, in real-time and calculate taxable wages, taxes, penalties, and interest
  + For adjustments to multiple quarters, System must be able to handle any order of entry (i.e., order does not need to be chronological)
  + System must allow adjustments that transfer wage records between Employer accounts
  + System must provide employee count adjustments to LMCI for statistical purposes
* If a Wage Record adjustment results in a decrease in wages or a change in the number of employees originally reported, System must
  + Capture reason for decrease (from a selection list or field details provided via upload file)
  + Create an assignment for Staff review prior to processing
  + Inform user entering data that adjustment will be reviewed
  + If a Benefits Claim is associated with the Wage Record adjustment, increase priority of assignment for Staff review
* System must prevent Employers/TPAs from adjusting certain quarterly Wage Records based on business rules
  + While an audit is in process
  + Audit findings
  + Fraud blocks
  + Bankruptcy stop or RID freezes to quarter(s)
  + Beyond three (3) year statute
  + Rule 13 decision
  + Etc.
* System must allow Employer/TPA to adjust Other State Taxable Wages if originally reported incorrectly and recalculate Texas Taxable Wages accordingly
* System must maintain Wage Record adjustment audit trail and allow Staff to reverse a Wage Record adjustment if determined to be unreasonable with notification to submitter of reversal and reason
* System must allow Staff to solicit additional information from submitter related to Wage Record adjustment required to make final determination
* System must allow Employer/TPA to upload support documentation required for Wage Record adjustment review & final determination
* System must interface with audit program to allow uploading of Wage Record adjustments with inclusion of misclassified worker penalties
* System will recalculate Total Wages and Texas Taxable Wages when Wage Record adjustments are processed, as well as adjust tax, penalties and/or interest
  + System must allow authorized users (Employers and TPAs) to View status of Wage Record adjustments
  + Edit, modify, cancel Wage Records adjustments that have yet to process
* System must correct and post the information and calculate any Tax and/or Benefit changes resulting from an adjustment with audit trail tracking of all changes
* System must notify Employer of any adjustment transactions

#### Determine Rates

This process includes all activities required to determine UI tax rates for Employers.

Actors

* Staff
* Employers
* TPAs

Main Activities

* System must automatically calculate and assign tax rates using:
  + First wages date
  + Liability date
  + First chargeable quarter
  + Eligibility date
  + Acquisitions
  + North American Industry Classification System (NAICS) code
  + Calculations are based on rate formulas

The appropriate Employer experience and tax rate calculation based on the TUCA Section 204 (<http://www.statutes.legis.state.tx.us/Docs/LA/htm/LA.204.htm>)

TWC Rules Chapter 815 (<http://twc.texas.gov/files/jobseekers/rules-chapter-815-unemployment-insurance-twc.pdf>)

* System must use the following tax rate components based on TUCA and TWC Rules, including but not limited to:
  + General Tax Rate

Benefit Ratio

* + Replenishment Tax Rate

Replenishment Ratio

* + Employment and Training Investment Assessment (ETIA)
  + Obligation Assessment

Obligation Assessment Ratio

Prior Year Rate

* + Deficit Tax Rate

Deficit Ratio

Prior Year Rate

* + Interest Tax Rate
* System must (re)calculate the following rate types:
  + Preliminary
  + Political Subdivision
  + Interim
  + Annual

Regular

Domestic

* + C Rate (account activity caused rate change)
  + F Rate (acquisition related rate, combined rate)
  + G Rate (special industry rate)
  + H Rate (acquisition related rate, highest rate value)
  + N Rate (rate components changed, but no change in overall rate)
  + X Rate (Forced rate based on a court order)
* System must recalculate tax rates and taxes due based on account changes, including but not limited to:
  + Adjustments (e.g., Quarter report adjustments/corrections with increased/decreased taxable wages)
  + Acquisitions
  + Voids of acquisitions
  + First chargeable quarter
  + Reallocation of remittances
  + NAICS code change
  + Voluntary contributions
  + Chargeback adjustments
  + Reopened accounts
  + Transferred reports and remittances
* System must not calculate rates for reimbursing accounts
* System must delete rates for established-in-error accounts
* System must calculate shared rates for situations such as
  + Franchisor/Franchisee, reacquisitions
  + Partial acquisitions
* System must allow Staff to override automatic rate calculations
* System must allow Employers/TPAs to upload and process partial transfer of experience data (Form C-82/C-83) according to TUCA
* System must allow Staff to override partial transfer of experience data (Form C-82/C-83)
* System must allow Staff to view all historical rates including reason for changes and no changes
* System must allow Staff to override shared rate information between predecessor and successor accounts for partial acquisitions and transfer of taxable wages
* System must allow Staff to update transfer taxable wages
* System must generate Employer Chargeback summary report upon request
* System must include all functionality necessary to identify potential SUTA dumping cases (currently SDDS)
* The Offeror must describe how the System cross-matches Employer records and quarterly wage data to identify Employers who meet the criteria for potential SUTA dumping as well as how the System tracks and maintains those flagged records through to completion
* System must manage UI trust fund floor and ceiling amounts based on TUCA
* System must calculate surplus credit rate reduction based on TUCA
* System must process voluntary contributions for situations including, but not limited to:
  + System must apply payments to the Employer account and lower their General Tax Rate
  + System must apply credits to the Employer account (e.g., Appeals) and reallocate the payment from Voluntary Contribution Journal to the General Cash Journal
* System must allow Staff to post corrections
* System must allow Staff and Employers to perform voluntary contribution and “what if” scenarios to view the outcome of new tax rate calculations prior to the outcome becoming official
* System must generate and distribute outgoing correspondence
  + Based on templates
  + Customizable by Staff
  + Allows Staff to create new templates
  + English and Spanish
  + Distributed based on Employers preferred method
  + System to capture and retain history of all correspondence sent
  + Types of correspondence including, but not limited to:

Tax rate notices

Annual rate notices

Voluntary contribution

Letters

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Tax rate surplus credit rate reduction
* Benefit chargebacks adjustments
* Automatically calculate the tax rate of single or multiple predecessors or successors Employer(s) account when there is a total or partial transfer of business
* Group accounts
* For multiple transactions on the same day, process transactions based on order of precedence
* Allow TPAs to extract a rate file for multiple Employer accounts

#### Conduct Audits

This process includes all activities required to conduct Employer audits.

Actors

* Employers
* Staff
* TPAs

Main Activities

* System must include all functionality necessary to select Employers to be audited
  + Random
  + Stratified by characteristics of an Employer account

System must allow Business Staff to change characteristics without technical support assistance

* System must allow Staff to manually select audit candidates
* System must either integrate with COMPAS (Texas current auditing software; <http://www.mtwsolutions.com/>) or include similar functionality
  + At a minimum, the Offeror must describe how their system notifies Employers of an audit; downloads existing Employer and wage data; allows for expanded audits; accepts audit findings; process results into System; and sends post audit correspondence
* System must update Employer account based on audit results
* System must generate and distribute outgoing correspondence
  + Based on templates
  + Customizable by Staff
  + Allows Staff to create new templates
  + English and Spanish
  + Distributed based on Employers preferred method
  + System to capture and retain history of all correspondence sent
  + Types of correspondence including, but not limited to:

Audit appointment letter

Pre-audit questionnaire

Post-audit letter including audit findings

Survey

#### Assign Investigative Tasks

This process includes all activities required to assign work to Staff and track via workflow.

Actors

* Staff

Main Activities

* System must include all functionality necessary to assign investigative tasks to Staff such as
  + Wage investigations
  + Misclassified worker referrals
  + Account liability
  + Missing or incorrect FEIN
  + Refund requests
  + Abatement requests
  + Adjustment review
  + Identify duplicate Employer accounts
  + Update Employer accounts (e.g., Employer quarterly reports, notice of discontinued employment, etc.)
  + Etc.
* System must allow a liability assignment workload item to be created when an Employer FEIN/Employer account number is not detected in our system
* Offeror must describe how their System allows for
  + Prioritization
  + Dates (created, assigned, due, etc.)
  + Role-based assignment
  + System generated assignments
  + Staff manually issued assignments
  + Workload balancing
  + Transfers and voids assignments
  + Tracks assignments and provides dashboard functionality
  + Search and header sorting
  + Dashboards
  + Supervisor/Management review/approval and quality control review with request to Staff for corrective actions
  + Notifications and Alerts
  + Generates summary and detailed reports for management
  + Metrics
  + Spreadsheet historical assignment trend analysis (e.g., dashboard)
* System must include Case Management, Correspondence and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Assignments submitted via email

#### Request Rule 13 Hearing

This process includes all activities required to request a Rule 13 tax hearing.

Actors

* Staff
* Employers
* TPAs
* Attorneys

Main Activities

* System must allow Employers to submit a Rule 13 hearing request in writing
  + Internal system message
  + Email
  + Letter

Mailed and scanned into system

Uploaded by Employer

* Upon arrival, System must
  + Link request to one or more accounts
  + Place a stop to halt all standard assessment actions, but continue collection process
  + Notify Staff of Rule 13 work assignment
  + Assign a Tax Decision number
  + Record the issue of the hearing
  + Issues assignment
  + Alert Staff
* System must allow Staff to upload supporting documents into Rule 13 Packet
  + Drag and drop or similar functionality to determine which documents to include in packet
* System must track the entire process (beginning to end) and allow Staff to view status with complete audit trail
  + Alert Staff of status changes
* System must allow Staff to search all fields on all Rule 13 hearings
* System must not allow assignments to be closed until 30 calendar days after a decision is rendered and all account actions are completed
  + Adjustments
  + Rate changes
  + Etc.
* Allow Employer to submit a Motion for Reconsideration
  + Allow Employer to submit for Motion to Withdrawal
* System must include Case Management, Correspondence and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Allow for dynamic interface with Office of General Counsel (OGC)

#### Generate Reports

This process includes all activities required to generate and transmit reports.

Actors

* Staff

Main Activities

* DOL Reports
  + System must calculate and generate ETA 581 reports

Including Active2

* + System must perform data validation for ETA 581 reports

Including Active2

* + System must generate DOL reports
  + System must distribute DOL reports to Tax Management for approval
  + System must allow Staff to correct and modify DOL reports
  + System must upload reports to DOL
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports
* System must be able to generate operational, performance, and management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must allow Staff to run reports indicating an “As of” date
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

#### Respond to Inquiries

This process includes all activities required to respond to inquiries.

Actors

* Staff

Main Activities

* System must enable Staff to receive inquiry via:
  + Phone
  + Electronic (Email, chat, or secure messaging)

Forms or templates available to capture identifying information

* + Mail
  + Commissioner’s Office, Executive Staff, Benefits, Office of General Counsel, Open Records, Office of Attorney General, Governor’s Office, IRS, etc.
* System must allow Staff to verify name, address, and SSN/Alternate ID of the Inquiry Contact (e.g., company owner, accountant, Power of Attorney (POA), Claimant, etc.)
* System must enable Staff to research case information
* System must allow Staff to capture and redact (if necessary) any required documentation or system screens, account audit trail, notes/comments, etc.
* System must allow Staff to respond to inquiries
  + System must record summary of response tied to a Claimant, Employer, or TPA and associated with their record

Email

Phone number

Time

Date

Topic

Staff member

Etc.

* + Respond based on requestor’s preferred communication method
  + Display/Insert context sensitive statements using preformatted text (e.g., how to file an appeal) depending on the contact method, editable by Business Staff

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Allow Staff to research account history, including archived data, and construct a linear timeline of account events including account establishment, acquisitions, and transactions

### A6.3 Appeal Tribunal

#### File Appeal

This process includes all activities required to file a lower authority appeal.

Actors

* Employers
* Claimants
* Attorneys/Representatives
* Staff (assist with filing appeals)

Main Activities

* System must allow appeals to be filed via fax, mail, online, and in person; appeals cannot be filed by email
* System must provide appeal forms and instructions for how to file an appeal on internet (currently <https://twc.texas.gov/jobseekers/how-appeal-decision>), but no special form is needed to file an appeal
* System must capture the following appeal data elements, at a minimum:
  + Name
  + SSN/Alternate ID
  + Current address
  + Date TWC mailed the Determination Notice
  + A copy of the Determination Notice, if possible
  + Any dates on which Appellant will not be able to participate in a hearing
  + Reason for appeal
  + Accommodations, e.g. interpreter, in-person hearing, scheduling conflicts
* System must help direct Parties to Local TWC offices (Tax and Workforce) available for assistance when filing an appeal

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Appeals can still be filed without an adverse determination or appeal rights, although the correspondence may lead to a response other than creating the case
* Do not display a determination/decision as appealable when a party does not have appeal rights to a determination/decision

#### Receive and Route Appeal

This process includes all activities required to receive and route an appeal.

Actors

* Staff

Main Activities

* System must interface with TWC’s CMS, currently FileNet, or include all functionality necessary to store documents, correspondence, and related materials in a CMS. The Offeror must describe how their system allows conversion of documents to digital format; digital formats supported; parties to upload files (e.g., audio, video, documents, etc.); users to view in real-time and in color; users to delete, re-order, annotate, orient, and split pages, and redact similar to Adobe Pro
* System must ingest documents, correspondence, and related materials into the CMS and begin appropriate workflow depending on transmission method
  + In person, fax, online/self-service portal, and mail
* System must allow Staff to initiate workflow if required
* System must verify Name and SSN/Alternate ID of the Claimant
* System must determine the appeal level and route appropriately
* System must allow Staff to route an appeal between appropriate departments depending on user permissions
  + Lower Authority
  + Higher Authority
  + Tele-center
  + Chargebacks
  + SH
  + Other

#### Process Appeal

This process includes all activities required to process an appeal.

Actors

* Staff

Main Activities

* System must allow Staff to view
  + Existing appeals cases
  + Existing UI information, including attachments associated to issues
  + High-level summary for an appeal hearing (e.g. base period wages, interested parties, timeliness of appeal, opt-in for electronic correspondence, special accommodations, etc.)
* System/Staff must research adverse determinations and/or decisions
* System must allow Staff to route an appeal between appropriate departments depending on user permissions
  + Lower Authority
  + Higher Authority
  + Tele-Center
  + Chargebacks
  + Special Hearings
  + Other
* System/Staff must create a new case or new appeal as appropriate
  + System generates case or appeal number or identifier
  + System/Staff inputs appeal data

Appeal date

Filing method

Appellant

Receipt date

Accommodations (languages, type of Employer, restrictions on availability, in person, etc.)

* + System must allow for the creation of multiple appeals cases based on a single appeals document
  + Staff manually or System automatically must associate determination correspondence to the appeals case for use in hearing packets
  + System must perform edit checks (e.g., timeliness check, flagged Employer account numbers, flagged Claimants, etc.) and displays customizable messages based on the edit checks
  + System/Staff must add or remove

Parties

Issues

Special instructions

Time zone instructions

Addresses

Scheduling Parameters

* Hearing Officer skill level
* Assign/Exclude a specific Hearing Officer
* Program code
* Employer account
* Issue
* Priority
* Accommodations
* Language
* Type of business
* System must provide status in secure, self-service portal
* System must include Case Management and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Pend for various reasons such as
  + Documentation
  + Rule 13
  + Accommodations
  + Investigations
  + Language translations
* Delete case data (e.g., processed in error)
* Multi-claim
* Companion cases
* Resets
* Re-openings
* Continuances
* Remands
* Expedited
* Withdrawals
* Cancellations
* On the Record
* Order of Dismissal
* Generate correspondence
  + Favor letter (e.g. determination favorable, no appeal necessary)
  + Cancellation letter
  + Request for information letter (representation, scheduling, etc.)
  + Early appeal letter
  + Ad hoc letters

#### Submit Documentation

This process includes all activities required to submit documentation.

Actors

* Staff
* Claimants
* Employers
* Attorneys/Representatives

Main Activities

* System must receive and process all incoming correspondence and associate it with an electronic identifier (e.g., SSN, Entity ID, alternate ID)
  + Mail
  + Fax
  + Online uploads
  + Email
  + In person
  + Goal is to associate documents with a case within two (2) hours of receipt
* System must capture (e.g., OCR or similar) and store data from incoming documents (both electronic and paper) such as:
  + Date received
  + Method received (electronic or paper)
  + Date postmarked and submitted
  + Document type
  + Sender information
  + Document text
  + Etc.
* System must allow Staff to manually key entry of document information
* System must read bar codes or similar coding to support the automated processing of the item when returned by the recipient
* System must ingest document information into the CMS and begin workflow
  + In person, fax, online, email, and mail
  + Intra- and inter-departmental transfers

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Returned mail and bad addresses
* Documentation submitted prior to Appeal processed
* Language translations

#### Schedule Hearing

This process includes all activities required to schedule a hearing.

Actors

* Staff

Main Activities

* System must automatically or manually schedule or assign an appeal
  + Automatic scheduling must be based on business defined criteria including:

Hearing officer skill level and schedule

Program code

Employer account

Issue

Priority

Case age

Time off

Accommodations

Language

Criteria set during appeal processing

Etc.

* System must notify all parties of scheduled hearings
* System must verify that all required documentation exists in the CMS prior to scheduling
* System must transmit hearing data to the telephone conferencing system such as
  + Hearing date
  + Hearing time
  + Hearing Officer name and phone number
  + Case number
  + Etc.
* System must generate a dashboard for the Hearing Officer including caseload and time lapse information
* System must capture metrics and generate management reports

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Reschedule or unscheduled hearings/cases
* Expedited
* Multi-claims
* Companion cases

#### Create and Send Hearing Notices

This process includes all activities required to create and send hearing notices.

Actors

* Staff

Main Activities

* System must generate required documentation in the CMS (currently FileNet) based on hearing schedule, instructions, issues, etc.
* System must allow Staff to add and associate documentation to the appeals case for use in hearing packets
* System must generate outgoing correspondence in English and Spanish
* System must retrieve required documentation from the CMS (currently FileNet):
  + Hearing Notice (case details, scheduling details, and issues)
  + Hearing Instructions
  + Fact Finding Statements (questions and answers taken to adjudicate the claim at the benefits level)
  + Employer’s Response
  + Relevant Documents (interdepartmental and correspondence submitted by parties)
  + Determinations
  + Appeal Documents
  + All prior higher authority and/or lower authority decisions
* System must compile generated and retrieved documentation into a Notice of Hearing Packet, annotate it with page numbers, and make the compiled document available in the CMS (currently FileNet)
* System must transmit Notice of Hearing Packet to all parties and Hearing Officers using electronic correspondence, the Austin Data Center (ADC), as well as allow for local printing when needed, based on customer preferences
  + Allow for electronic and paper printing
  + Allow Staff to choose which items are to be included in the Hearing Packet
  + Allow Staff to customize the item order
  + Allow for backup system to access Notice of Hearing packets during internet or network outage
  + ADC must mail Notice of Hearing Packets to parties not subscribed to Electronic Correspondence
* System must update the UI data including:
  + Document that correspondence was sent, method, and to whom
  + Update case information to reflect the scheduled hearing

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Returned mail
* Reprint Notice of Hearing Packets
* Corrected Notice of Hearing Packet
* Correction of documents included in the file or correspondence
  + Ability to remove and move documents or correspondence
  + Letters
  + Tracking
  + Edit metadata
  + Redacting

#### Conduct Hearing

This process includes all activities required to conduct a hearing.

Actors

* Employers
* Staff
* Claimants
* Attorneys/Representatives
* Witnesses
* Interpreters

Main Activities

* System must interface with Telephone Conferencing system (currently Clear2There) for conducting hearings or provide similar functionality
  + System must be able to:

Record phone calls

Playback at variable speeds, and other playback features

Provide online hearing registration

Perform incoming and outgoing hearing data transfer (date, time, names of parties, case number, proceeding number, length of recording, etc.)

Store recordings (currently 4 years as defined by retention schedule)

Provide telephone conferencing service for unlimited parties and international phones, including disconnect, muting

* + System/Staff must be able to:

Create new entry for hearing in the Telephone Conferencing system

Add/edit participant details (name, job title, phone number, special instructions, registration information)

Add/edit case notes

Add/edit bookmarks

Search (Claimant, name, SSN, hearing officer, date, Employer account number, Employer name, case number, proceeding number, hearing number)

Upload/clip/modify/download/burn recordings

Associate recording with electronic case file

* System must allow Staff to electronically mark exhibits in the CMS
* System must allow Staff to view case information during the hearing including but not limited to:
  + Electronic hearing packet optimized to conduct electronic hearing
  + UI data as appropriate

Claim certifications

Fact finding from other determinations

Liable accounts

Reported wages

Etc.

* System must allow Staff to view a high-level summary for an appeal hearing (e.g. base period wages, interested parties, timeliness of appeal, opt-in for electronic correspondence, special accommodations, etc.)
* System must allow Staff to exchange documentation during hearing between all participants

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* No shows
* Withdrawals
* Resets/Continuances
* Hearing substitution/reassignment of scheduled hearing to another hearing officer
* Backup system in case conference system unavailable
* Unscheduled Interpreter request
* Create UI/Fraud/Tax investigation based on testimony and evidence
  + Ineligibilities
  + SUTA dumping
  + Acting as an unlicensed PEO
  + Identity theft
  + Etc.

#### Issue Decision

This process includes all activities required to issue a decision.

Actors

* Staff

Main Activities

* System must allow Staff to view cases assigned to Hearing Officer in case management software
* System must allow Staff to search and select a hearing to begin drafting a decision
* System prepopulates data to the greatest extent possible
* System must allow Staff to create a decision in the case management software
  + Addresses

Edit and validate addresses if necessary

Add recipients if necessary

* + Appearances

Import call ins/registrations from telephone conferencing system

Add appearances

* + Case History

Automated insert of statements based on case criteria

Insert statements using preformatted text templates including retrieving data from UI/Appeals system

Insert ad hoc text

* + Findings of fact

Insert statements using preformatted text templates including retrieving data from UI/Appeals system (e.g., initial claim date, employment dates, job title, etc.)

Insert ad hoc text (e.g., narrative description of findings of fact)

* + Issues

Automated insert of statements based on case criteria (e.g., issue statements)

Insert statements using preformatted text

Insert ad hoc text

* + Conclusions

Automated insert of statements based on case criteria (e.g., sections of law)

Insert statements using preformatted text (e.g., precedent decisions and sections of law)

Insert ad hoc text (e.g., narrative description of conclusions of law)

* + Decision

Automated insert of statements based on case criteria (e.g., decision rulings)

Insert statements using preformatted text (e.g., decision rulings)

Insert ad hoc text (e.g., customized decision ruling), may require supervisor approval

* System must allow Staff to view complete decision and allow editing of all sections
* System must allow Staff to submit decision for mailing
* System must add mail date and appeal deadline
* System must transmit decision to state printing agency or local printers
  + Print and stuff envelopes
  + Mail decision based on business rules
* System must include templates in English and Spanish
* System must upload decision into CMS/self-service portals

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Customizable form decisions (ability to issue a standardized decision with minimal data entry)
  + Non-appearance
  + Chargeback
  + Withdrawal
  + Timeliness
  + Good cause
* Issue “On The Record” decisions
  + Out of state overpayment agreement
  + Multiple good cause issues without stating a reason
  + Orders of dismissal
* Pulling decisions
  + Removing a decision from printing/mailing/publishing queue
  + Roll back data update
  + Delete inserted document(s)
* Decision review (e.g., for new hires or complicated issues)
* Foreign mail
* Interoffice mail
* Corrected decision
* Hearing officers using typists

#### Record Decisions

This process includes all activities required to record a decision in the UI system.

Actors

* Staff
  + Appeals
  + Fraud/BPC
  + Tax
  + Benefits

Main Activities

* System must automatically capture and record decision/hearing properties from Conduct Hearing and Issue Decision (contingent on workflow approval in various departments)
  + Appearances
  + Recording length
  + Appellant favored or not
  + Issues
  + Ruling

Pay or no pay

Dates of ineligibilities/disqualifications

Void determinations/decisions

Etc.

* + Affected party
  + Liability status

Charge or no charge

Adequacy of Employer’s response

Etc.

* + Decision type
  + Hearing officer
  + Date submitted and mailed
  + Change or no change (is an update to the UI system required?) to the determinations
* System must allow Staff to manually correct decision properties if necessary
* System must use decisions to take appropriate action to process adjustments based on business rules, including but not limited to:
  + Evaluate eligibility
  + Creation of overpayment
  + Release of payment
  + Etc.
* System must allow Staff to exchange documents with Records Management Center (RMC) as needed

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Hearing officer using typist (record date dictated and date typed)
* Corrected decision

#### Respond to Inquiries

This process includes all activities required to respond to inquiries.

Actors

* Staff

Main Activities

* System must enable Staff to receive inquiry via:
  + Phone
  + Electronic (Email, chat, or secure messaging)

Forms or templates available to capture identifying information

* + Mail
  + Fax
* System must allow Staff to verify name, address, and SSN/Alternate ID of the Claimant
* System must enable Staff to research case information
* System must allow Staff to respond to inquiries
  + System must record summary of response tied to a Claimant and associated with a Case/SSN

Email

Phone number

Time

Date

Topic

Staff member

Etc.

* + Respond based on requestor’s preferred communication method
  + Display/Insert context sensitive statements using preformatted text (e.g., how to file an appeal) depending on the contact method, editable by Business Staff
* System must provide the ability to notify all parties of a status change
* System must allow Staff to route an inquiry between appropriate departments depending on user permissions
  + Lower Authority
  + Higher Authority
  + Tele-Center
  + Chargebacks
  + SH
  + Supervisor/Management
  + Other

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* No appeal filed or on record
* Change of address
* Language translations
* Withdrawal of an appeal
* Submit case documentation
* Complaint
* Postponement request
* Expedite request
* Scheduling requests
* Interpreter requests
* Recording requests
* Subpoena requests
* Ability to flag inquiries for a specific Staff member
  + Topic
  + Claimant
  + Employer
  + Etc.
* Create UI/Fraud/Tax investigation based on status inquiry
  + Ineligibilities
  + ID theft

#### Generate Reports

This process includes all activities required to generate and transmit reports.

Actors

* Staff

Main Activities

* DOL Reports
  + System must generate DOL reports
  + System must distribute DOL reports to Appeals and CA Management for approval
  + System must allow Staff to correct and modify DOL reports
  + System must upload reports to DOL
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

### A6.4 Commission Appeals

#### File Appeal

This process includes all activities required to file a higher authority appeal.

Actors

* Employers
* Claimants
* Attorneys/Representatives
* Staff (assist with filing appeals)

Main Activities

* System must allow appeals to be filed via fax, mail, online, and in person; appeals cannot be filed by email
* System must provide appeal forms and instructions for how to file an appeal on internet (currently <https://twc.texas.gov/jobseekers/how-appeal-decision>), but no special form is needed to file an appeal
* System must help direct Claimants to Local TWC offices (Tax and Workforce) available for assistance when filing an appeal
* System must capture the following appeal data elements, at a minimum:
  + Name
  + SSN/Alternate ID
  + Current address
  + Date TWC mailed you the Determination Notice
  + A copy of the Determination Notice, if possible
  + Any dates on which appellant will not be able to participate in a hearing
  + Reason for appeal
  + Accommodations, e.g. interpreter, in-person hearing, scheduling conflicts
* System must help direct Parties to Local TWC offices (Tax and Workforce) available for assistance when filing an appeal

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Appeals can still be filed without an adverse determination or appeal rights, although the correspondence may lead to a response other than creating the case
* Do not display a determination/decision as appealable when a party does not have appeal rights to a determination/decision

#### Receive and Route Appeal

This process includes all activities required to receive and route an appeal.

Actors

* Staff

Main Activities

* System must ingest into the CMS and begin appropriate workflow depending on transmission method
  + In person, fax, online/self-service portal, and mail
* System must allow Staff to initiate workflow if required
* System must verify Name and SSN/Alternate ID of the Claimant
* System must determine the appeal level and route appropriately
* System must allow Staff to route an appeal between appropriate departments depending on user permissions
  + Lower Authority
  + Higher Authority
  + Tele-Center
  + Chargebacks
  + SH
  + Other

#### Process Appeal

This process includes all activities required to process an appeal.

Actors

* Staff

Main Activities

* System automatically or Staff manually must be able to locate an existing case number assigned by AT or CA (for Motion for Rehearings (MRs))
* System must display
  + Existing appeals cases
  + Existing UI information, including attachments associated to issues
  + High-level summary for Staff review (e.g. base period wages, interested parties, timeliness of appeal, opt-in for electronic correspondence, special accommodations, etc.)
* System must create CA or MR proceeding number
* System must perform edit checks (e.g., timeliness check, flagged Employer account numbers, flagged Claimants, etc.) and displays customizable messages based on the edit checks
* System must create and send acknowledgement letter
  + Print
  + Route
  + Mail/electronic correspondence
* System/Staff must initiate workflow
  + Pend appeal (waiting for AT documentation)
  + Un-pend appeal
* System must include Case Management and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Duplicates
* Appeal tied to archived data
* Favor letters
* Second motion for rehearing
* Non-appeal documentation (additional documents) submitted by Claimants or Employers
* Ad hoc letters
  + Authorization letters
  + Void letters
  + Customized letters
* Withdrawals
* Re-openings
* Resets
* Cancellations
* Correction of documents included in the file or correspondence
  + Ability to remove and move documents or correspondence
  + Letters
  + Tracking
  + Edit metadata
  + Redacting

#### Submit Documentation

This process includes all activities required to submit documentation.

Actors

* Staff
* Claimants
* Employers
* Attorneys/Representatives

Main Activities

* System must receive and process all incoming correspondence and associate it with an electronic identifier (e.g., SSN, Entity ID, alternate ID)
  + Mail
  + Fax
  + Online uploads
  + Email
  + In person
  + Goal is to associate documents with a case within two (2) hours of receipt
* System must capture (e.g., OCR or similar) and store data from incoming documents (both electronic and paper) such as:
  + Date received
  + Method received (electronic or paper)
  + Date postmarked and submitted
  + Document type
  + Sender information
  + Document text
  + Etc.
* System must allow Staff to manually key entry of document information
* System must read bar codes or similar coding to support the automated processing of the item when returned by the recipient
* System must ingest document information into the CMS and begin workflow
  + In person, fax, online, email, and mail
  + Intra- and inter-departmental transfers

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Returned mail and bad addresses
* Submitted documentation prior to Appeal processed

#### Assign to Reviewing Attorney

This process includes all activities required to assign an appeal to a Reviewing Attorney (RA).

Actors

* Staff

Main Activities

* System must allow Staff to set assignment criteria
  + Default recording minute assignment based on the inventory of cases
  + Maximum number of cases
  + Maximum number of MRs per week
  + Target docket
* System must automatically assign appeals to RAs
  + Balance workload among RAs based on skillset, hearing minutes, absences (e.g., holiday, vacation, sick, etc.)
* System must allow Staff to override system assignments
* System must allow Staff to generate assignment list for all attorneys (e.g., using a dashboard):
  + Case load
  + Status by case
  + Appeal Age at assignment
* System must include a Management Assignment Dashboard
  + Searchable
  + Cases not making target docket flag/alert
  + RA date and docket number Sortable
  + Translation Status/missed Docket

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Expedited cases must be assigned immediately
* Companion cases
* Multi-claims
* Special requests from management
* Send cases for translation
  + System flags/alerts Staff when translation complete in real-time

#### Attorney Review

This process includes all activities required to produce a recommendation for the Commissioners.

Actors

* Staff

Main Activities

* System must generate attorney dashboard
  + Case load (weekly quota)
  + Status by case
  + Show the current assignment and all prior assigned cases not yet mailed easily viewable on one screen
* System must allow RA to select a specific case and display UI and appeals information such as
  + Underlying determinations
  + Address change history
  + AT decision
  + Correspondence list
  + Wage credit detail
  + Case documentation
  + EMPRESP information
  + Claim certifications filing history
  + Staff notes
* System must generate attorney recommendation documents based on templates with versioning including
  + Cover Sheet (see [Attachment 9 - Anonymized sample](#_Cover_Sheet_(Anonymized)))

Case Number

SSN

Issues

Claim type

Appearances

Determinations

RA

Docket

AT Decision

Hearing Officer

Length of Hearing

Recommendation Code

Insert information using preformatted text templates including retrieving data from UI/Appeals system

Insert ad hoc text

Needs a check box for Acknowledgement Letter Change

Needs a check box for simple affirm decision

Needs a check box for simple deny MR

Needs a set of check boxes for the Distribution Stamp (Claimant, Claimant Attorney, Employer, Employer Attorney, File, Additional Addresses

Users must be able to add and modify fields on form templates within the System with minimal need to seek outside programming assistance

* + Case Summary (see [Attachment 9 - Anonymized sample](#_Case_Summary_(Anonymized)))

Indicator that a Case Summary is a supplement to the original

Procedural note

Employer and/or Claimant testimony

File documents

AT Decision

CA Appeal

Recommendation

Insert statements using preformatted text templates including retrieving data from UI/Appeals system

Insert ad hoc text

Users must be able to add and modify fields on form templates within the System with minimal need to seek outside programming assistance

* + Decision (see [Attachment 9 - Anonymized sample](#_Decision_Examples_(Anonymized)))

System must capture decisions in the CMS

Addresses

* System must be able to flag address changes by parties after the case has been processed and assigned up until the date of the mailing
* Edit and validate addresses if necessary
* Alert/Flag any address changes
* Add recipients if necessary

Short Form Decisions

* Affirm
* Affirm with one exception
* Deny MR
* Dismissal
* Insert statements using preformatted text templates including retrieving data from UI/Appeals system
* Insert ad hoc text
* Etc.

Long Form Decisions

* Case History
* Automated insert of statements based on case criteria
* Insert statements using preformatted text templates including retrieving data from UI/Appeals system
* Findings of fact
* Insert statements using preformatted text templates including retrieving data from UI/Appeals system
* Insert ad hoc text
* Conclusions
* Automated insert of statements based on case criteria (e.g., sections of law)
* Insert statements using preformatted text (e.g., precedent decisions and sections of law)
* Insert ad hoc text (e.g., narrative description of conclusions of law)
* Decision
* Automated insert of statements based on case criteria (e.g., decision rulings)
* Insert statements using preformatted text (e.g., decision rulings)
* Insert ad hoc text (e.g., customized decision ruling)

Users must be able to add and modify fields within the program without the need to seek outside programming assistance

* System must store RA work product and allow for permission-based access and versioning
* System must allow access to digital records at variable speed with search and bookmarks
* System must transcribe digital recordings and allow Staff to edit
* System must allow Staff to complete review of appeal and produce recommendation documents
  + RA must designate distribution of decision to be mailed
* System/Staff must send recommendation documents to supervisor or docket based on business rules
  + Staff can manually modify business rules by individual
* System must generate assignment list for each attorney (Dashboard)
  + Case load
  + Status by case
  + Weekly assignment report for RA and management
* System must allow Staff to view a high-level summary for an attorney review/rehearing (e.g. base period wages, interested parties, timeliness of appeal, opt-in for electronic correspondence, special accommodations, etc.)

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Send cases for translation
* Rehearing worksheet (supervisor review)
  + Automatic rehearing (timeliness)
  + Recommended rehearing
* Voting sheet
* Void requests
* Interoffice memo (workflow handoff to another department) such as
  + RID holds (identity theft investigations)
  + Tax investigations
  + UI Operations & Customer Service (UIO&CS) investigations
  + General Counsel
  + AT Process Appeal request
  + Some sent immediately, others sent after vote
* Supplemental summary request
  + System generated report on Supplemental Summary requests and status tracking

#### Docketing

This process includes all activities required to assign CA appeals to a docket including docketing, circulate summaries, pre-process docketed cases, document Commissioner vote, and post-process docketed cases.

Actors

* Staff

Main Activities – Docketing

* System must allow Staff to assign case and associated documentation (cover sheet, summary, proposed decision, etc.) to docket
  + Docket date
  + Docket number
  + Check the distribution stamp for number of copies to be mailed to interested parties
* System/Staff makes copies of docket packets (cover sheet, summary, AT decision(s), etc.)
  + Commissioners
  + CA
  + Others as needed
* System/Staff prepares lists of all cases on docket
  + Alpha list – list of docketed cases by Claimant name
  + Legal list – list of docketed cases by appeal case number for publication by Secretary of State due to state law
  + Employer list – list of docketed cases by Employer name
  + Numeric list – list of docketed cases by case number
* System must generate a Docket Dashboard to include
  + Number of cases on docket
  + Number of pulled cases and who pulled them (by Commission Office)
  + Which cases have short form dissents and by which Commission Office
  + Number of Rehearing votes
  + Number of Remands
  + How many of assigned cases missed their target docket
  + RA analysis by missed docket, pulls, etc.
  + Weekly number of RAs based on quota assigned minutes

Alternate Activities and Special Cases – Docketing

System must support the following alternate activities and special cases:

* Removing a case from docket at any point in the workflow
* Docket cancellation or rescheduling (keep docket number constant once assigned but allow docket date to change)
  + Individual
  + In mass for situations such as a Commissioner vacancy

Main Activities – Circulate Summaries

* System/Staff distributes copies to Commissioners
* System must track summary workflow including supplemental requests and distribution

Alternate Activities and Special Cases – Circulate Summaries

System must support the following alternate activities and special cases:

* AR supplemental summary (a result of what Commissioners put on their pull list)
* Additional supplemental summary request (requests from Commission offices for additional information)

Main Activities – Pre-Process Docketed Cases

* System/Staff stores case files submitted to docket
  + Electronic case files
  + Case documentation including privileged attorney/client work product
* System/Staff modifies signatures (dissents, recuse, etc.) on decision based on Commissioner directive for uncontested cases
* System/Staff prepares decisions for mailing for uncontested cases
  + Date stamp
  + Make copies
  + Fold and stuff envelopes
  + Bundle and hold pending vote
* System/Staff prepares lists of docketed cases
  + Commissioners’ List – all pulled/contested cases on docket
  + Attorney’s List – identifies the RA associated with the pulled case
  + Docket Slips – used to record docket meeting votes

Alternate Activities and Special Cases – Pre-Process Docketed Cases

System must support the following alternate activities and special cases:

* Removing a case from docket

Main Activities – Document Vote

* System must allow Staff to record docket votes and dissents, including notes associated with each case
* System must support Commission voting processes; including using laptops, notebooks, tablets, and mobile devices; during the workflow process of an appeal

Alternate Activities and Special Cases – Document Vote

System must support the following alternate activities and special cases:

* Depending on the life cycle of an appeal there may be multiple voting rounds, each with different voting options and outcomes as defined in Texas law

Main Activities – Post-Process Docketed Cases

* System/Staff creates the final vote list memo with docket vote for pulled/contested cases
  + Approved by CA Director and/or designee
  + Distributed to Commissioners
* System/Staff prepares and stores final vote list of all docketed cases
* System/Staff notifies RA of action required based on docket votes
  + Reversed, modified, and/or remanded decisions
  + Rehear cases
  + Resubmit cases
  + Memo creation and distribution with interdepartmental tracking
  + Pulled/Contested case log
  + RID and OGC voted held cases
  + Affirm AT decision contrary to RA recommendation
* System must circulate modified/reverse decisions to Management and Commissioners for approval
* System/Staff records decisions in CMS
* System/Staff must print, fold, and stuff envelopes for remaining pulled/contested case decisions
  + Include appeal rights with decision
* Staff must mail envelopes

#### Issue Decision

This process includes all activities required to issue a decision.

Actors

* Staff

Main Activities

* System must allow Staff to modify decisions in accordance with commission vote (e.g., updating dissents, updating decision language, long form dissent, etc.)
* System must allow Staff to search and select an assigned case to issue a decision
* System must allow Staff to submit a decision for mailing
* System must allow Staff to add mail date and appeal deadline
* System must include English and Spanish document templates
* System must transmit decision to state printing agency or local printers, print and stuff envelopes
* System must upload decision into CMS/self-service portals
* System must mail decision based on business rules

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Pulling decisions
  + Removing a decision from printing/mailing/publishing queue
  + Roll back data update
  + Delete inserted document(s)
* Foreign mail
* Interoffice mail
* Re-date/Re-mail decisions
* RAs using typists
* Correction of documents included in the file or correspondence
  + Ability to remove and move documents or correspondence
  + Letters
  + Tracking
  + Edit metadata
  + Redacting

#### Record Decision

This process includes all activities required to record a decision in the UI system.

Actors

* Staff
  + Appeals
  + Fraud/BPC
  + Tax
  + Benefits

Main Activities

* System must automatically capture or fill out decision properties and record in the UI System
  + Is appellant favored (yes or no)
  + Issues
  + Ruling

Pay or no pay

Dates of ineligibilities/disqualifications

Void determinations/decisions

Etc.

* + Affected party
  + Mail date
  + Liability status

Charge or no charge

Adequacy of Employer’s response

Etc.

* + Decision type
  + Votes

Record the majority vote

Commissioners concur/dissent

Short Form / Long Form

* System must allow Staff to manually correct decision properties if necessary

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Decisions implemented by other departments
  + Benefits (see [Attachment A6.1](#_A6.1_Benefits_1))
  + Tax (see [Attachment A6.2](#_A6.2_Tax))
  + RID/BPC (see [Attachment A6.6](#_A6.6_Regulatory_Integrity))
  + With traceability or status back to CA

#### Schedule Hearing

This process includes all activities required to schedule a hearing.

Actors

* Staff

Main Activities

* System must automatically or manually schedule or assign an appeal
  + Automatic scheduling must be based on rehearing worksheet and business defined criteria including:

RA skill level and schedule

Program code

Employer account

Issue

Priority

Case age

Time off

Accommodations

Language

Criteria set during appeal processing

Etc.

* System must notify all parties of scheduled hearings
* System must verify that all required documentation exists in the CMS prior to scheduling
* System must transmit hearing data to the telephone conferencing system and CA programs such as
  + Hearing date
  + Hearing time
  + Hearing Officer name and phone number
  + Case number
  + Etc.
* System must generate a dashboard for the RA and management including caseload and time lapse information
  + System must capture metrics and generate management reports

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Reschedule or unscheduled hearings/cases
* Expedited
* Multi-claims
* Companion cases

#### Create and Send Hearing Notices

This process includes all activities required to generate and transmit reports.

Actors

* Staff

Main Activities

* System must generate required documentation in the CMS based on hearing schedule, instructions, issues, etc.
* System must allow Staff to add and associate documentation, including determination correspondence, to the appeals case for use in rehearing packets
* System must generate outgoing correspondence in English and Spanish
* System must retrieve required documentation from the CMS
* System must compile generated and retrieved documentation into a Notice of Rehearing Packet, annotate it with page numbers, and make the compiled document available in the CMS
  + Required documentation includes:

Rehearing Notice (case details, scheduling details, and issues)

Rehearing Instructions

Fact Finding Statements (questions and answers taken to adjudicate the claim at the benefits level)

Employer’s Response

Relevant Documents (interdepartmental and correspondence submitted by parties)

Determinations

Appeal Documents

All prior higher authority and/or lower authority decisions

* System must transmit Notice of Rehearing Packet to all parties using electronic correspondence, the ADC, as well as allow for local printing when needed, based on customer preferences
  + Allow for electronic and paper printing
  + Allow Staff to choose which items are to be included in the Hearing Packet
  + Allow Staff to customize the item order
* System must update the UI data including:
  + Document that correspondence was sent, method, and to whom
  + Update case information to reflect the scheduled hearing
* System must transmit Notice of Rehearing Packets to state printing agency, print, stuff, and mail envelopes

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Returned mail
* Reprint Notice of Rehearing Packets
* Corrected Notice of Rehearing Packet
* Correction of documents included in the file or correspondence
  + Ability to remove and move documents or correspondence
  + Letters
  + Tracking
  + Edit metadata
  + Redacting

#### Conduct Rehearing

This process includes all activities required to conduct a rehearing.

Actors

* Employers
* Staff
* Claimants
* Attorneys/Representatives
* Witnesses
* Interpreters

Main Activities

* System must interface with Telephone Conferencing system (currently Clear2There) for conducting hearings or provide similar functionality
  + System must be able to or alternatively allow for the integration of third party hearing software (e.g., Clear2There):

Record phone calls

Playback at variable speeds

Provide online hearing registration

Perform incoming and outgoing hearing data transfer (date, time, names of parties, case number, proceeding number, length of recording, etc.)

Store recordings (currently 4 years as defined by retention schedule)

Provide telephone conferencing service for unlimited parties and international phones, including disconnect, muting

* + System/Staff must be able to:

Create new entry for hearing in the Telephone Conferencing system

Add/edit participant details (name, job title, phone number, special instructions, registration information)

Add/edit case notes

Add/edit bookmarks

Search (Claimant, name, SSN, hearing officer, date, Employer account number, Employer name, case number, proceeding number, hearing number)

Upload/clip/modify/download/burn recordings

Associate recording with electronic case file

* System must allow Staff to electronically mark exhibits in the CMS
* System must allow Staff to view case information during the hearing
  + Electronic hearing packet
  + UI data as appropriate

Claim certifications

Fact finding from other determinations

Liable accounts

Reported wages

Etc.

* System must allow Staff to exchange documentation during hearing between all participants

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* No shows
* Withdrawals
* Resets/Continuances/Reopenings
* Hearing substitution/reassignment of scheduled hearing to another RA
* Backup system in case conference system unavailable
* Unscheduled Interpreter request
* Create UI/Fraud/Tax investigation based on testimony and evidence, examples include:
  + Ineligibilities
  + SUTA dumping
  + Acting as an unlicensed PEO

#### Respond to Inquiries

This process includes all activities required to respond to inquiries.

Actors

* Staff

Main Activities

* System must enable Staff to receive inquiries
  + Phone
  + Electronic (Email, chat, or secure messaging)

Forms or templates available to capture identifying information

* + Mail
  + Verify name, address, and SSN/Alternate ID of the Claimant
* System must enable Staff to research case information
* System must allow Staff to respond to inquiries
  + System must record summary of response
  + Respond based on requestor’s preferred communication method
  + Display/Insert context sensitive statements using preformatted text (e.g., how to file an appeal) depending on the contact method, editable by Business Staff
* System must provide the ability to notify all parties of a status change
* System must allow Staff to route an appeal between appropriate departments depending on user permissions
  + Lower Authority
  + Higher Authority
  + Tele-Center
  + Chargebacks
  + Special Hearings
  + Supervisor/Management
  + Other

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* No appeal filed or on record
* Change of address
* Withdrawal of an appeal
* Submit case documentation
* Complaint
* Commissioner Vacancy
* Postponement Request
* Expedite Request
* Scheduling requests
* Interpreter requests
* Ability to flag inquiries for a specific Staff member
  + Topic
  + Claimant
  + Employer
  + Etc.

#### Generate Reports

This process includes all activities required to generate and transmit reports for Commission Appeals.

Actors

* Staff

Main Activities

* DOL Reports
  + System must generate DOL reports
  + System must distribute DOL reports to Appeals and Commission Appeals Management for approval
  + System must allow Staff to correct and modify DOL reports
  + System must upload reports to DOL
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

### A6.5 Special Hearings

#### File Request

This process includes all activities required to file a Rule 13 Tax-Special Hearing request.

Actors

* Employers
* Attorneys/Representatives
* TWC Tax Representatives
* Special Hearings’ Staff

Main Activities

* System must allow Requests to be filed via fax, mail, online, and in person; no special form is needed to file a Request
* System must help direct Parties to Local TWC offices (Tax and Workforce) available for assistance when filing a Request
* System must capture the following Request data elements, at a minimum:
  + Name
  + Tax Number
  + Current address
  + Date of adverse Tax determination
  + Any dates on which appellant will not be able to participate in a hearing
  + Reason for Request
  + Accommodations, e.g. interpreter, in-person hearing, scheduling conflicts

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* After Staff review of Rule 13 request, System must allow Staff to route
  + B-27 Claimants to Appeals
  + Rate protests to proposal and docket without hearing

#### Receive and Route Request

This process includes all activities required to receive and route a Special Hearing request.

Actors

* Staff

Main Activities

* System must ingest Request into the CMS
  + In person, fax, online, and mail
* System/Staff verifies Tax Account Number
* System/Staff routes to appropriate department
  + Tax
  + Special Hearings

#### Process Request

This process includes all activities required to process a request.

Actors

* Staff

Main Activities

* System/Staff verifies Tax account number
* System displays
  + Existing Rule 13 cases
  + Existing Tax information, including attachments associated to issues
  + High-level summary for an Rule 13 hearing (e.g. Tax determinations, audit documents)
* System/Staff must research adverse determinations and/or decisions
* System routes to appropriate department, with limits based on user permissions
  + Tax
  + Special Hearings
* System/Staff must be able to research exclusions of Claimants with existing UI claims and notify Appeals department as appropriate
* System/Staff creates new case or new appeal as appropriate
  + System generates case or appeal number or identifier
  + System/Staff inputs appeal data

Appeal date

Filing method

Appellant

Receipt date

Accommodations (languages, type of Employer, restrictions on availability, in person, etc.)

* + System/Staff adds determinations to appeal as appropriate
  + System performs edit checks (e.g., timeliness check, flagged Employer account numbers, flagged Claimants for exclusions, etc.) and displays customizable messages based on the edit checks
  + System/Staff adds or removes

Parties

Issues

Special instructions

Time zone instructions

Addresses

Scheduling Parameters

* Hearing Officer skill level
* Assign/Exclude a specific Hearing Officer
* Program code
* Employer account
* Issue
* Priority
* Accommodations
* Language
* Type of business
* System updates status in self-service portal
* System must include Case Management and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Pend (suspend action on case and note account) for various reasons such as
  + OGC (law suit or other action in a different forum)
  + Re-investigation
* Delete case data (e.g., processed in error)
* Companion cases
* Resets
* Motions for Reconsideration
* Continuances
* Expedited
* Withdrawals
* Generate correspondence
  + Request for information letter (representation, scheduling, etc.)
  + Refer to Appeals letter

#### Submit Documentation

This process includes all activities required to submit documentation.

Actors

* Staff

Main Activities

* System must receive and process all incoming correspondence and associate it with an electronic identifier (e.g., case number, Tax account number)
  + Mail
  + Fax
  + Online uploads
  + Email
  + In person
* System must capture (e.g., OCR or similar) and store data from incoming documents (both electronic and paper) such as
  + Date received
  + Method received (electronic or paper)
  + Date postmarked and submitted
  + Document type
  + Sender information
  + Document text
  + Etc.
* System must allow Staff to manually key entry of document information
* System must read bar codes or similar coding to support the automated processing of the item when returned by the recipient
* System must ingest document information into the CMS and begin workflow
  + In person, fax, online, email, and mail
  + Intra- and inter-departmental transfers
* Goal is to associate documents with a case within two (2) hours of receipt

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Returned mail and bad addresses
* Submitted documentation prior to Request processed

#### Schedule Hearing

This process includes all activities required to schedule a Special Hearing request.

Actors

* Staff

Main Activities

* System must automatically or manually schedule or assign a request
  + Automatic scheduling must be based on business defined criteria including:

Hearing officer skill level and schedule

Program code

Employer account

Issue

Priority

Case age

Time off

Accommodations

Language

Criteria set during request processing

Etc.

* System must notify all parties of scheduled hearings
* System must verify that all required documentation exists in the CMS prior to scheduling
* System must transmit hearing data to the telephone conferencing system such as
  + Hearing date
  + Hearing time
  + Hearing Officer name and phone number
  + Case number
  + Etc.
* System must generate a dashboard for the Hearing Officer including caseload and time lapse information
* System must capture metrics and generate management reports

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Reschedule or unscheduled hearings/cases
* Expedited
* Multi-claims
* Companion cases

#### Create and Send Hearing Notices

This process includes all activities required to create and send hearing notices.

Actors

* Staff

Main Activities

* System must generate required documentation in the CMS based on hearing schedule, instructions, issues, etc.
* System must generate outgoing correspondence in English and Spanish
* System must retrieve required documentation from the CMS including:
  + Hearing Notice (case details, scheduling details, and issues)
  + Hearing Instructions
  + Relevant Documents (interdepartmental and correspondence submitted by parties)
  + Determinations
  + Request Documents
* System must transmit Notice of Hearing Packet to all parties using electronic correspondence, the ADC, as well as allow for local printing when needed, based on customer preferences
  + Electronic
  + Paper
* System must update the Tax data including:
  + Document that correspondence was sent, method, and to whom
  + Update case information to reflect the scheduled hearing
* ADC must mail Notice of Hearing Packets

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Returned mail
* Reprint Notice of Hearing Packets
* Corrected Notice of Hearing Packet
* Correction of documents included in the file or correspondence
  + Ability to remove and move documents or correspondence
  + Letters
  + Tracking
  + Edit metadata
  + Redacting

#### Conduct Hearing

This process includes all activities required to conduct a hearing.

Actors

* Employers
* Staff
* Attorneys/Representatives
* Interpreters

Main Activities

* System must interface with the telephone conferencing system (currently Clear2There) for conducting hearings or provide similar functionality
  + Recording phone calls
  + Provide online hearing registration
  + Case notes
  + Incoming and outgoing hearing data transfer (date, time, names of parties, case number, proceeding number, length of recording, etc.)
  + Stores recordings (currently four (4) years as defined by retention schedule)
  + Associate recording with electronic case file
  + Upload/clip/modify/download/burn recordings
  + Search (Hearing Officer, date, Employer account number, Employer name, case number, proceeding number, hearing number)
  + Provide telephone conferencing service for unlimited parties and international phones, including disconnect, muting
  + New case entry
  + Add/edit participant details (name, job title, phone number, special instructions, registration information)
  + Playback at variable speeds
  + Add/edit bookmarks
* System must allow Staff to electronically mark exhibits in the CMS
* System must allow Staff to view case information during the hearing
  + Electronic hearing packet
  + Tax data
* System must allow Staff to exchange documentation during hearing between Staff and all participants

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* No shows
* Withdrawals
* Resets/Continuances
* Hearing substitution/reassignment of scheduled hearing to another Hearing Officer
* Backup system in case conference system unavailable
* Unscheduled Interpreter request
* Create Tax investigation based on testimony and evidence
  + SUTA dumping
  + Acting as an unlicensed PEO

#### Create Proposal

This process includes all activities required to create a proposal for Commission review.

Actors

* Staff
* Hearing Officers

Main Activities

* System must generate hearing officer dashboard
  + Case load
  + Status by case
  + Show the current cases and all prior assigned cases not yet mailed easily viewable on one screen
* System must allow Hearing Officers to select a case and display tax information such as:
  + Account number
  + Case documentation
  + Tax worksheet or other form
  + Tax reports
  + Proposals are attorney work products and cannot be access by anyone other than certain Special Hearings staff and Hearing Officers based on business rules
* System must allow Staff to generate case list for all Hearing Officers (e.g., using a dashboard):
  + Case load
  + Status by case
  + Appeal Age at assignment
* System must include a Management Assignment Dashboard
  + Searchable
  + Hearing date and docket number Sortable
* System must generate hearing officer proposal documents based on templates with versioning including
  + Proposal

Case Number

Tax account number

Issues

* System must generate Worksheet from template including
  + Appearances
  + Hearing Officer
  + Length of Hearing
  + Subject Code
  + Insert information using preformatted text templates including retrieving data from UI/Appeals/Tax system
  + Additional distribution addresses

#### Docketing

This process includes all activities required to assign Rule 13 proposals to a docket including docketing, circulate summaries, pre-process docketed cases, document Commissioner vote, and post-process docketed cases.

Actors

* Staff

Main Activities - Docketing

* System must allow Staff to assign case and associated documentation, Hearing File and proposal, to docket
  + Docket date
  + Docket number
* System/Staff makes copies of docket packets (cover sheet and proposals)
  + Commissioners
* System/Staff prepares lists of all cases on docket
  + Legal list – list of docketed cases by Tax case number for publication by Secretary of State due to state law
  + Numeric list – list of docketed cases by case number
* System must restrict access to docket to only certain Special Hearings Staff and Commission offices based on business rules

Alternate Activities and Special Cases – Docketing

System must support the following alternate activities and special cases:

* Removing a case from docket at any point in the workflow
* Docket cancellation or rescheduling (keep docket number constant once assigned but allow docket date to change)
  + Individual
  + In mass for situations such as a Commissioner vacancy

Main Activities – Circulate Proposals

* System/Staff distributes copies to Commissioners
* System must track proposal workflow including supplemental requests and distribution

Alternate Activities and Special Cases – Circulate Proposals

System must support the following alternate activities and special cases:

* Request for more information, other departments or program advice, or correction to Proposals from Commissioners

Main Activities – Pre-Process Docketed Cases

* System/Staff stores case files submitted to docket with restricted access
  + Electronic case files
  + Case documentation including privileged attorney/client work product

Alternate Activities and Special Cases – Pre-Process Docketed Cases

System must support the following alternate activities and special cases:

* Removing a case from docket

Main Activities – Document Vote

* System must allow Staff to record docket votes and long form and short form dissents including notes associated with each case
* System must support Commission voting processes during the workflow process of an appeal

Alternate Activities and Special Cases – Document Vote

System must support the following alternate activities and special cases:

* Depending on the life cycle of a proposal, there may be multiple voting rounds each with different voting options and outcomes as defined in Texas law

Main Activities – Post-Process Docketed Cases

* System/Staff must prepare and store final vote list of all docketed cases
* System/Staff must notify Hearing Officer of action required based on docket votes
  + Reversed, modified, and/or remanded proposals
  + Rehear cases
  + Resubmit cases
  + Memo creation and distribution with interdepartmental tracking
  + Request for OGC guidance
* System must circulate modified proposals to Commissioners for approval
* System/Staff must record proposals in the CMS
* System must allow Staff to search for past Rule 13 decisions
* System/Staff must print, fold, and stuff envelopes for remaining decisions
  + Include appeal rights with decision
* Special Hearings Staff mails envelopes

#### Issue Decision

This process includes all activities required to issue a decision.

Actors

* Staff

Main Activities

* System must display cases assigned to Hearing Officer in case management software
* System must allow Staff to search and select assigned hearing to issue a decision
* System must allow Staff to create decision in case management software
  + Addresses

Edit and validate addresses if necessary

Add recipients if necessary

* + Appearances

Import call ins/registrations from the Telephone Conferencing system

Add appearances

* + Case History

Automated insert of statements based on case criteria

Insert statements using preformatted text templates including retrieving data from Tax system

* + Findings of fact

Insert ad hoc text (e.g., narrative description of findings of fact)

* + Issues

Automated insert of statements based on case criteria (e.g., issue statements)

Insert statements using preformatted text

* + Conclusions

Automated insert of statements based on case criteria (e.g., sections of law)

Insert statements using preformatted text (e.g., sections of law)

Insert ad hoc text (e.g., narrative description of conclusions of law)

* + Decision

Automated insert of statements based on case criteria (e.g., decision rulings)

Insert statements using preformatted text (e.g., decision rulings)

Insert ad hoc text (e.g., customized decision ruling), may require supervisor approval

* System must display complete decision and allow editing of all sections
* System must submit decision for mailing
* System must add mail date and appeal deadline
* System must transmit decision to state printing agency or local printers
* System must include English and Spanish templates
* System must upload into CMS and self-service portals
* System/Staff must print, fold, and stuff envelopes
* System/Staff must mail decision based on business rules

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Form decisions (ability to issue a standardized decision with minimal data entry)
  + Non-appearance
  + Withdrawal
  + Timeliness
* Issue On-The-Record decisions
* Pulling decisions
  + Removing a decision from printing/mailing/publishing queue
  + Roll back data update
  + Delete inserted document(s)
* Decision review (e.g., for new hires or complicated issues)
* Foreign mail
* Interoffice mail
* Corrected decision
* Hearing officers using typists

#### Record Decision

This process includes all activities required to record a decision in the UI system.

Actors

* Staff
  + Tax
  + Special Hearings

Main Activities

* System must automatically capture and record decision/hearing properties (contingent on workflow approval in various departments)
  + Appearances
  + Recording length
  + Issues
  + Ruling

Abatement

Employee/independent contractor

Tax rate protests

Date of liability

Etc.

* + Decision type
  + Hearing officer
  + Date submitted and mailed
* System must allow Staff to manually correct decision properties if necessary
* System must notify Appeals of decisions with exclusions so Appeals can take appropriate action
  + System redacts identifying information and includes redacted attachment for Appeals use
  + System must allow Staff to manually redact identifying information
* System must notify Tax of decisions issued each docket with all attachments available
* System must use decisions to take appropriate action to process adjustments based on business rules, including but not limited to:
  + Tax account adjustments
  + Etc.

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Hearing officer using typist (record date dictated and date typed)
* Corrected decision

#### Respond to Inquiries

This process includes all activities required to respond to inquiries.

Actors

* Staff

Main Activities

* System must allow Staff to receive inquiry
  + Phone
  + Electronic (Email, chat, or secure messaging)

Forms or templates available to capture identifying information

* + Mail
  + Verify Employer identifying information
* System must allow Staff to research case information
* System must allow Staff to respond to inquiries
  + System must record summary of response tied to an Employer and associated with a Case

Email

Phone number

Time

Date

Topic

Staff member

Etc.

* + Respond based on requestor’s preferred communication method
  + Display/Insert context sensitive statements using preformatted text (e.g., how to file an appeal) depending on the contact method, editable by Business Staff
* System must provide the ability to notify all parties of a status change
* Route inquiries to appropriate department/Staff
  + Lower Authority
  + Higher Authority
  + Tele-Center
  + Chargebacks
  + Special Hearings
  + Supervisor/Management
  + Other

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* No Request filed or on record
* Change of address
* Withdrawal of a Request
* Submit case documentation
* Complaint
* Postponement request
* Expedite request
* Scheduling requests
* Interpreter requests
* Ability to flag inquiries for a specific Staff member
  + Topic
  + Employer
  + Etc.
* Create UI/Fraud/Tax investigation based on status inquiry
  + Other misclassified workers discovered
  + Other acquisition possible

#### Generate Reports

This process includes all activities required to generate and transmit reports.

Actors

* Staff

Main Activities

* Operations, Performance, and Management reports
  + System must generate weekly report with status of pending cases including current state and red flags
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

### A6.6 Regulatory Integrity Division

#### Prevent and Detect Fraud

This process includes all activities required to prevent and detect fraud.

Actors

* Staff
* Employers
* Potential Fraudsters
* Legitimate SSN Holder
* 3rd Parties (tips and leads)

Main Activities

* System must allow for Nudges (behavioral economics) at various points in the claims process including just in time information. The Offeror must describe how their system:
  + Notifies Claimants and processes their responses
  + Filters the responses
  + Takes appropriate action
  + Allows for online experiments (e.g., A/B and multivariate tests)
* System must perform cross-matches
  + Incarceration (currently Appriss and TDCJ)
  + Death (DSHS)
  + SDNH (OAG)
  + NDNH (Office of Child Support Enforcement (OCSE))
  + Wage Benefit (UI Tax)
  + Locked or Black lists
  + Interstate Wage Benefit and Claims
* System must analyze cross-matches to prioritize them and take appropriate action based on business rules, which may include the following (not an exhaustive list):
  + Automatically creating an investigation, if appropriate
  + Automatically send earnings verification letters to Employers and process returns and take appropriate action, if appropriate
  + Automatically produce an overpayment, if appropriate
* System must analyze UI Benefits and system data to identify suspicious claim activity, such as fictitious Employers and identity theft, using predictive analysis/score and fraud criteria in a machine learning environment
  + Based on fraud matrix score and business rules
  + Automatically create cases and issue contact requests
  + Create, categorize, and prioritize fraud watch list
  + Generate reports for Staff to review

Data visualization

* + Manually create cases

Issues contact requests

* + Assign cases to Staff
  + System automatically adjudicates based on business rules and case status/type
* System must detect high risk activity from internal TWC Staff
* System must process tips and leads submitted using TWC Hotline, email, or Staff
* System must allow Staff to identify multi-Claimant schemes (e.g., identify multiple claims with the same bank account, address, IP address, same demographic features, etc.)
  + Relate associated claims
  + Establish joint and several liability
* System must include Case Management and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

#### Investigate Potential Fraud

This process includes all activities required to investigate high risk activity and fraud.

Actors

* Staff
* Claimants
* Employers and TPAs
* Potential Fraudster
* Legitimate SSN Holder
* 3rd Parties (Complainants, Banks, Office of Inspector General (OIG), etc.)

Main Activities

* System must perform cross-matches on New Hire and Wage Benefits. The Offeror must describe how their system notifies Employers and processes their responses, filters the responses, and takes appropriate action
  + Perform cross-matches
  + Create non-monetary assignment based on business rules, including Business Staff to adjust threshold criteria
  + System must generate and distribute

Earnings Verification letter to Employer

Potential Fraud Claimant Contact request

* + System must allow Employer to submit and process Earnings Verification response for requested weeks and any subsequent weeks provided by Employer
  + System must allow Employer to submit Earnings Verification response by type of earnings

Regular wages

Additional pay

Vacation/Paid Time Off

Etc.

* + System must allow Staff to view earnings verification requests and responses that are processed through the SIDES interface
  + System must convert unstructured payroll information into weekly earnings and populate an earnings verification response the SIDES interface can process
  + System must analyze data using predictive analysis/score and fraud criteria in a machine learning environment and provide a recommendation to be reviewed by Staff to accept, modify, or reject
  + System must allow Supervisor to review Staff recommendation and accept, modify, or reject
  + System must contact parties
  + System must make determinations and auto-adjudicate non-fraud earnings corrections
  + System must provide a fraud recommendation to be reviewed by Staff to accept, modify, or reject

If fraud, a Senior Investigator review is required (second vote)

If vote is overturned by the Senior Investigator, System must allow Supervisor to conduct final review

* + System/Staff must establish overpayment
* System must perform cross-matches on Incarceration records
  + Perform cross-matches
  + Staff validates incarceration using Justice Exchange
  + Contact parties if needed
  + Make determinations
  + Determine fraud and no-fraud

If fraud, a senior investigator review is required (second vote)

* + System/Staff must establish overpayment
* System must perform cross-matches on Death records
  + Perform cross-matches
  + Contact parties
  + Make determinations
  + Determine fraud and no-fraud

If fraud, a senior investigator review is required (second vote)

* + System/Staff must establish overpayment
* System must flag claims where TWC has already determined that the Claimant did not work for a specific Employer (e.g., in ID theft situations) to prevent reinvestigation of the same issue
* System must perform high-risk hits using predictive analysis/score for Identity Theft
  + Verify identity of true SSN holder
  + Make determinations

Identity Theft Claim

* If payment made
* Establish overpayment
* Notify Collection
* Lock account
* If no payment made
* Lock account
* If Claimant responds timely
* Verify identity of true SSN holder
* If Claimant verified
* Claim proceeds as usual
* If Claimant not-verified
* Establish overpayment if necessary
* Lock account
* If Claimant fails to respond to contact request
* Open period of ineligibility issued
* Issue a determination for failure to respond
* If payment made
* Establish overpayment
* Lock account
* If Claimant responds after open period established
* Verify identity of true SSN holder
* Reverse or close open ineligibility
* Remove overpayment
* Unlock account

Valid Claim

* Claim proceeds as usual
* System must allow Staff to investigate potential high-risk activity
  + Internal

Staff analyze data

Staff opens case if necessary

* Contact parties
* Create Report of Findings
* Issue recommendations
  + Fictitious Employers

Staff analyze data

Staff opens case if necessary

* Contact parties
* Make determinations
* Determine fraud and no-fraud
* Relate associated claims to multi-Claimant, fictitious employment/Employer, and other schemes
* Establish joint and several liability for court-ordered restitution on multi-Claimant, fictitious employment/Employer, and other schemes
* Notify state and/or federal probation of collections by TWC through offset, absorption or the Treasury Offset Program, or other, for court ordered restitution
  + Tips and Leads

Staff analyze data

Staff opens case if necessary

* Contact parties
* Make determinations
* Determine fraud and no-fraud
* If fraud, a senior investigator review is required (second vote)
* Establish overpayment
* For all fraud determinations, System must:
  + Count the case for DOL case tracking
  + Establish an additional fraud monetary penalty on willful fraud amount and allow for allocation between funds based upon current law
  + Allow Investigators to add additional interested parties (one or more Employers)
  + Determine willful and administrative earnings corrections based on business rules
* System must allow Claimant to address open issues in a real-time, interactive manner using messaging, portals, predefined scripts, and interactive fact-finding, including but not limited to:
  + Investigations
  + Cross-matches
  + Availability
  + Earnings
  + Etc.
* System must notify Staff when Claimant has out of state wages
* System must include Case Management and Workflow functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)
* When a case is remanded or referred, System must create a work item to be researched by the appropriate party to gather additional information, track the work item, and return the response to the requestor

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Special investigations
* Multi-Claimant schemes
* Code claims as part of a special investigation or multi-Claimant scheme for ETA 227 reporting and historical purposes
* Former TWC employee files a non-liable Last Employing Unit (LEU) claim
* DUA claims-2 specific fraud decisions for DUA
* TRA and/or TRX claims

#### Investigate, Prepare, and Refer Cases for Criminal Prosecution

This process includes all activities required to further investigate, prepare, and refer cases for criminal prosecution.

Actors

* Staff

Main Activities

* System must identify BPC Earnings fraud determinations for use by Prosecutions unit, based on business rules, and save them in the CMS:
  + Claim ID
  + Claimant name and address
  + County
  + SSNs
  + Egregiousness level

Breakdown of willful fraud weeks and administrative forfeiture weeks

* + Fraud determination date
  + Form of payment (direct deposit or debit card)
  + Number of List Employers involved during fraud period
* System must send Notices of Potential Prosecution based on prosecution status codes, templates and business rules.
* System must present Staff with a list of cases likely for prosecution
  + System must allow Staff to further investigate case and select the case for prosecution or instead move to the collection path
  + System must generate and send out subpoena notices on cases for prosecution based on templates
* System must allow Staff to deselect cases for prosecution
  + System must move the case to the collection path and change Prosecutions monthly minimum payment (MMP) amount to the collections MMP amount
  + System must replace the deselected case with the next likely case for prosecution
* System must allow Staff to save case evidence in the CMS
* System must allow Staff to create a Profit Analysis report
  + Benefit week ending
  + File date
  + Earnings reported for claim week by Claimant
  + Benefits received for claim
  + Actual earnings for Claimant from Employer
  + Amount would have received if truthful about earnings (the net amount)
  + System must allow Staff to modify report
* System must allow Staff to create an Identity Report based on template and business rules
  + Attach evidence
  + System must allow Staff to modify report
* System must allow Staff to indicate when the investigation is complete
  + Staff makes recommendation
  + Manager makes final decision
* System must create a Case Summary, basically a fraud storyline, based on case details, templates and business rules
  + System must allow Staff to modify Case Summary details
  + System must allow Staff to attach evidence, screen shots, electronic correspondence, etc. to Case Summaries
* System must be able to print or save electronically preselected UI benefit records in a specific order
  + Staff makes recommendation
  + System must allow Staff to modify report
  + Manager makes final decision
* System must be able to output Case data
  + Print
  + Electronic media
  + Including Business Records Affidavit based on business rules and templates
* System must track when Case Summary is sent to County for prosecution and the progress of the case within the Texas criminal justice system
* System must allow Staff to track/account for restitution ordered and paid in criminal prosecutions based on business rules
* System must have connected functionality with other TWC Units so that a Prosecution case and related actions are placed on hold (and can alter be reactivated if appropriate) based on business rules

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Stop collection actions if Claimant enters into a payment plan and makes the minimum payment

#### Collect Taxes

This process includes all activities required to collect taxes, penalties, interest, and other related Employer charges and fees.

Actors

* Staff
* Civil process servers

Main Activities

* System must display debt owed by Employers, including breakdown by type of debt
* System must generate and mail default notices to all liable parties
  + Staff can correct errors and make changes to the document before it is generated
* System must generate and mail liens to county clerks to be recorded
  + System must allow Staff to correct errors and make changes to the document before it is generated
  + System processes purchase orders
  + Finance aggregates all daily transactions by county
* System must generate a copy of lien and notice of lien and mail to all liable parties
  + This happens a few weeks after lien has been issued to county
* System must record lien fee against Employer account
* System must send notice to State Comptroller to initiate a Vendor Hold (including lottery winnings, etc.)
* System must generate a bank freeze candidates list
  + Staff reviews list for accurate information (name, SSN, FEID, address, etc.)
  + Staff indicates correct amount and authorize system to generate a bank freeze to the specific bank(s) indicated
  + System generates freeze documents
  + Staff mails/faxes freeze documents to bank(s)
* Based on results from bank, Staff authorizes the System to issue a levy
  + System generates levy
  + Staff mails levy to bank(s)
* System must be able to create work candidate reports based on dates and conditions of Employer accounts
* System must generate assessments candidate list
  + Assessments group reviews list for accurate information (name, SSN, FEID, address, etc.)
  + Assessments group authorizes system to generate assessment packet
  + System generates notice of assessment packet

Purchase order

Notice of assessment certification (for the Civil process server to sign notifying of results of service attempt)

Notice of assessment

* Civil process server serves Employer with notice of assessment
  + If successfully served, Staff generates abstract of assessment
  + Staff files abstract of assessment with county clerk
* System must be capable to process and secure FTI to allow Texas to participate in TOP program
* System must be compliant with all TOP and IRS Publication 1075 security requirements
* System must send/receive debt to IRS for TOP
  + Calculate amount to send to TOP
* Depending on payment type (certified funds, electronic funds, check, credit card)
  + Staff can authorize immediate release of lien or assessment
  + System will generate lien or assessment release after 35 calendar days or 180 calendar days (credit cards)
  + Staff mails lien or assessment release to Employer
* System must allow Staff to enter surety bond amount
* System must maintain an order of precedence for applying repayments based on business rules and allow Staff to override
* If Employer protests and petitions to court
  + Staff updates Employer record and stops automated collection process if necessary
* Staff can hold/override/stop/suspend the collection process at any time in the process
  + System must allow Staff to record reason
  + System must prevent automatic collection activities based on certain conditions such as:

Bankruptcy

Rule 13 hearing (as defined in the TWC Rules)

Etc.

* Staff can record comments regarding collections attached to Employer account
  + Collections comments contain confidential information and are segregated from other account comments
* Bankruptcy
  + System must provide the ability to electronically interface with the U.S. Bankruptcy Courts Centralized Electronic Bankruptcy Notifying (EBN) system to receive notification and updates of bankruptcy filings for Texas debtors
  + System automatically and daily identifies tax accounts and officers that have filed for bankruptcy through Public Access to Case Electronic Records (PACER) match program.
  + System must allow Staff to electronically submit and alter a POC with associated attachments to PACER
  + System must allow Staff to enter, update, and view bankruptcy cases as well as interface with court system
  + System must flag Bankrupt tax accounts based on business rules
  + System must flag Bankrupt officers accounts based on business rules to stop collections and prevent any inadvertent violation of the bankruptcy stay
  + Accounts Examiners verify the validity of the tax debt, review the system to insure there has not been any collection action taken that may be in violation to Bankruptcy Code and send out field assignments to obtain any delinquent quarterly tax reports.
  + Upon completion of review of Employer or liable officer tax account, Staff will file a POC with the respective bankruptcy court through the Electronic Court Filing (ECF) system for certain cases (all pre-petition tax debt in Chapter 13 and Chapter 11 cases).

Staff monitors adherence to the plan under Chapter 11 in PACER.

Staff change tax balance to Uncollectable status (unless there is Officer Liability debt that can be pursued) for entities that have been fully liquidated under Chapter 7

Staff advises other departments to take appropriate action if Employer defaults on bankruptcy plan (Chapter 11) or after the plan is confirmed for post-petition debt (Chapter 13)

* Lien
* Bank freeze
* Etc.

If the Employer does not default on the bankruptcy plan, Staff monitor bankruptcy case to ensure payment is received from the Employer in accordance with the court’s payment plan.

* System must be able to generate operational, performance, and management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must collect and track performance metrics
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Staff authorizes system to generate bank freeze release if the freeze was generated in error
* Staff authorizes system to generate lien release if the lien was generated in error
* Staff can accelerate the collection process
  + Fast path

Liens

Default notices

Freezes

* + Additional liens and freezes

#### Collect Benefits Overpayments

This process includes all activities required to collect benefits overpayments.

Actors

* Staff

Main Activities

* System must generate determinations with appeal rights as appropriate and send to Claimant
* System must generate collection notices and send to Claimant
* System must allow Staff to reissue a collection notice with appeal rights as appropriate and send to Claimant
* Staff responds to Claimant inquiries
  + Review system to relay reason for overpayment
  + Set up repayment plans
  + Obtain copy of documents and send to Claimant
* System must allow Claimant various options for payment submission including electronic payment (debit, credit, and EFT)
* System must automatically process absorptions and offsets
* System must track and store FTI data separately
  + System must follow FTI security and audit requirements (IRS Publication 1075)
* System must track overpayment and recovery types and apply them correctly, in cases such as:
  + Claimant payments
  + Bankruptcy Trustee payments
  + Title company payments
  + Mortgage company payments
  + Offset/Absorption benefits
  + Court ordered restitution
  + Vendor Hold captures
  + TOP captures
  + TOP payments from Claimant
  + IRORA
* System must be capable of notifying paying states requesting the recoupment of a Texas established overpayment
* System must allow Staff to process repayments to be applied to outstanding overpayment from TOP where needed and excluding TOP as appropriate
* System must track overpayment at the following levels:
  + Debt-type
  + Claim
  + Week
* System must allow Staff to scan court judgements and court ordered restitutions in FileNet or similar system and link to Claimant(s) accounts
* System must allow Staff to waive overpayments, cancel absorptions/offsets, put collection of overpayments on hold, transfer overpayments based on appeal or court ordered (jointly and severally), and issue refunds
  + Process individually
  + Process in mass
  + Capture reason for rejection/correction
  + Adjust overpayment balance accordingly
  + Process adjustments when a recovery exceeds debt based on business rules
  + Process TRA/TRX overpayment waivers per regulation
* System must allow repayments to be accepted and applied to overpayments even after statute of limitation on overpayment collection has expired and allow monthly overpayment statements to be generated
* System must maintain an order of precedence for applying repayments and benefit offsets to overpayment debt based on business rules
* System must allow a Staff user to manually override the default hierarchy for applying cash repayments to overpayments
* System must automatically initiate Vendor Holds
* System must be capable to process and secure FTI to allow Texas to participate in TOP
* System must be compliant with all TOP and IRS Publication 1075 security requirements
* System must send/receive debt to IRS for TOP
  + Calculate amount to send to TOP

Single overpayment established

Multiple overpayments established

* + Generate notices to Claimant prior to referral to TOP
  + Send change transactions
  + Process transmission errors identified by IRS
  + Track remaining balance
  + Process intercepts and reversals
  + Process Agency Debt Extract file from TOP to synchronize/reconcile systems
* System must send debt to Texas Comptroller
  + Process recoveries
  + Track remaining balance
* System must allow Staff to view collection and payment history
* System must allow Staff to initiate notices of assessment
  + Assessments group reviews list for accurate information (name, SSN, address, etc.)
  + Assessments group authorizes system to generate assessment packet
  + System generates notice of assessment packet

Purchase order

Notice of assessment certification (for the Civil process server to sign notifying of results of service attempt)

Notice of assessment

* Civil process server serves Employer with notice of assessment
  + If successfully served, Staff generates abstract of assessment
  + Staff files abstract of assessment with county clerk
* System must have the capability to report ill-gotten gains to IRS
* System must provide the ability to electronically interface with the U.S. Bankruptcy Courts Centralized EBN system to receive notification and updates of bankruptcy filings
* Upon completion of review of Claimant account, Staff will file a POC with the respective bankruptcy court through the ECF system for certain cases
* System must be able to generate operational, performance, and management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must collect and track performance metrics
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Fraudsters who have never had a claim but committed fraud
  + Restitution
  + Collections
  + Notify state and/or federal probation of collections by TWC through offset, absorption or the Treasury Offset Program, or other, for court ordered restitution

#### IRORA

This process includes all activities required to perform interstate reciprocal requests for overpaid benefits.

Actors

* Staff
* Non-Texas Staff making requests

Main Activities

* System must allow for the for the recoupment of an overpayment from another state
* System must allow Staff to request recoupment of an overpayment from another state
* System must send the recovering state an electronic or written request for overpayment recovery assistance based on business rules and include the following:
  + Certification that the overpayment is legally collectable under the requesting state’s law
  + Certification that the determination is final and that any rights to postponement of recoupment have been exhausted or expired
  + A statement as to whether the State is a member of IRORA
  + Copy of the initial overpayment determination and a statement of the outstanding balance
* System must send the recovering state a new outstanding overpayment balance, either electronic or written, whenever their state receives a payment from a source other than the recovering State
* System must notify Staff when an overpayment balance goes to zero in Texas
  + Stop collecting benefits based on business rules
  + Notify the other state
* System must send notification to the Claimant that Texas is requesting assistance from the other state in the recovery of the overpayment
* System must automatically or allow Staff to manually create and track work items for Staff to handle incoming and outgoing recoupment requests
* System must create an interstate overpayment Claimant case file for each individual request
* System must allow Staff to unarchive or recreate old determinations
* System must identify when an overpayment involves a CWC
  + Certify that the overpayment determination was not issued more than three years prior to the effective date of the CWC
  + Confirm the determination is final
  + Ensure repayment of the overpayment is legally required and enforceable under the law of the transferring state based on business rules
  + If there are two transferring states requesting recovery of an overpayment, the amount recovered shall be divided in proportion to the wages each State contributed to the monetary determination
* System must identify and flag when a claim associated with an overpayment request is not in current pay status based on business rules
* System must send notification to Staff when a claim associated with an overpayment request becomes payable based on business rules
* System must allow Staff to initiate the recoupment transaction
* System must retain a history of all IRORA transactions
* System must allow authorized Staff to make changes to IRORA transactions based on business rules
* System must allow Staff to process cancelled warrants (done in RTM)
  + Cancel warrant
  + Adjust balance
  + Reissue benefits to Claimant based on business rules

#### Statistical Sampling

This process includes all activities required to perform federally mandated audits on the UI program (UI Benefits, UI Tax, and Data Validation).

Actors

* Staff

Main Activities – Benefits Accuracy Measurement (BAM) Program

* System must allow Staff to audit UI claims to determine payment and denial accuracy
* System must determine cases to audit based on DOL requirements
* System must prepare data for audit
* System must ensure data conforms to DOL format as defined in Employment and Training (ET) Handbook 395
* Staff assigns cases to Auditors in DOL SUN system
* System must automatically create snapshot of a claim including screen shots (e.g., PDF) from UI Benefits and WIT
* System must allow Staff to manually edit the snap shot if required
* System must support Staff conducting an audit
  + Must follow 20 CFR Part 602
  + Must follow ET Handbook 395
  + Must follow DOL mandated questionnaire
  + Interview both Employers and Claimants

Phone, fax, mail, email, etc.

Quarterly wages, base period wages, etc.

* + Readily access claim history
  + Investigate issues such as

Job separation

Non-monetary issues

Monetary issues

Eligibility issues

* Work searches
* Availability
* Work registration

Benefit year earnings

* + Summarize findings
  + Complete Data Collection Instrument (DCI) and enter data into DOL SUN System
* System must store all audit documents including correspondence, both incoming and outgoing, in a case management system
* System must create a log of all correspondence, both incoming and outgoing, and incorporate with ALL Benefits correspondence logs for both Employers and Claimants
* System must include Case Management, Dashboards, Generate Reports, Workflow and Correspondence functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)
* System must include the ability to:
  + Schedule mailings in each audit
  + Set reminder messages for auditors to perform certain tasks in each audit
  + Create reports

Individual auditor’s timely completion of audits

General number of audits completed

Ad hoc using any item off of the DCI

* + Provide audit results to affected departments

Manage workflow for those departments to take action

Allow departments to communicate with BAM to discuss audit results

Alternate Activities and Special Cases – BAM Program

System must support the following alternate activities and special cases:

* Refer discrepancies or issues to BPC, Benefits, or Tax to investigate
* Issue open period of ineligibility if the Claimant doesn’t respond within timeframe

Main Activities – Tax Performance System Program (TPS)

* System must ensure data conforms to DOL format as defined in ET Handbook 407
* System must allow Staff to review the following within Tax
  + New Status determinations
  + Successor status determinations
  + Inactivation status determinations
  + Field audit
  + Tax collections
  + Contribution report processing
  + Debits & billings contributory
  + Debits & billings reimbursing
  + Report delinquency
  + Credits & refunds
  + Employer charging
  + Tax rates
  + Cashiering
* System selects universe, then selects samples from the universe based on random numbers provided by DOL
* System retrieves source documents and Employer account information for Staff to review and compare
  + Must be able to search, sort, and filter

Employer account information

Collection actions

Liens

Quarterly reports

Payments

Debt memorandums

Billing notices

Benefit charge statements

TPA transmission and payment data (e.g., Intuit)

Monetary allocations

Etc.

* System must track audit progress and notify auditor when all audit requirements are met
* System must include Case Management, Dashboards, Generate Reports, Workflow and Correspondence functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

Main Activities – Data Validation Program

* System must ensure data conforms to DOL format as defined in ET Handbook 361
* System must allow Staff to enter search parameters
* System must create extract files and load into DOL SUN system
* System must attempt to verify contents in sample transactions; those that can’t be System verified will be sent to Staff
* System must allow Staff to review sample transactions in file to verify contents
  + Best scenario is for System to assemble all contents used in verification with current history first
* System must include Case Management, Dashboards, Generate Reports, Workflow and Correspondence functionality, described in General Process Descriptions, see [Attachment A6.9](#_A6.9_General)

### A6.7 Revenue and Trust Management

#### Perform Reconciliations

This process includes all activities required to perform reconciliations.

Actors

* Staff

Main Activities

* System must compare all accounting transactions
  + Between Comptroller and System
  + Within System
* System must notify Staff of any errors and allow Staff to correct the errors
* System must provide a secure print solution that meets IRS Publication 1075 security requirements to print reports containing FTI. Currently it is a workstation with software that facilitates secure print from the mainframe.

#### Process Criminal Court Ordered Restitutions

This process includes all activities required to process criminal court ordered restitutions.

Actors

* Staff

Main Activities

* System must allow Staff to key restitutions based on business rules
  + Individual account
  + Joint and several liability
  + All accounting entries

#### Issue Refunds

This process includes all activities required to issue refunds.

Actors

* Staff

Main Activities

* System must create a list of authorized refunds to Staff
  + Over $1,000 (need a TIN)
  + Under $1,000
* System must allow Staff to approve vouchers
* System must verify funds balance for Tax (not needed for Benefits)
  + Move money if necessary
* System must create journal vouchers
* System must update Claimant and Employer accounts as appropriate based on business rules
  + Warrant number
  + Amount
  + Date
  + Etc.
* System must generate warrants
  + Interface with USAS/Centralized Accounting and Payroll/Personnel System (CAPPS) for Benefits and Tax refunds
  + Local printing for Benefits warrants
* System must notify Staff of any errors in processing
* System must allow Staff to cancel/pull refunds and reverse all accounting entries
* System must allow Staff to mail USAS/CAPPS refunds for Benefits and Tax
* System must allow Staff to query, sort, view, and filter all refunds
* System must generate correspondence
  + Benefits and Tax refunds
  + Benefits warrants
* System must notify TOP of any refunds of IRS money

#### Process Accounting Transactions

This process includes all activities required to process accounting transactions.

Actors

* Staff
* State Comptroller
* Texas.gov
* Claimants
* Employers
* TPAs

Main Activities – Receive and Process Tax Payments

* System must accept and validate payments from Employers
* System must be able to allocate payments based on business rules
* System must be able to flag an Employer who is permitted to submit non-electronic tax payments (electronic hardship), and must automatically provide paper voucher to those Employers
* System must allow Staff to perform robust search, filter and sort of payment history
  + Dollar amount
  + Check number
  + Date range
  + Payment type (ACH, EFT, credit card, check, etc.)
  + Etc.
* System must comply with Texas Comptroller EFT rules and regulations currently TexNet (<https://texnet.cpa.state.tx.us/>)
* System must process TexNet files (EFT transactions) and notify Staff of errors

Main Activities – Process Deposits

* System must post items received by mail to the correct account
* System must ensure posted items were posted to the correct account
* System must notify Staff of errors in posting
* System must allow Staff to perform manual overrides when necessary
  + Includes deposit corrections
* System must compare USAS/CAPPS history with TWC deposit and notify Staff of errors
  + This occurs one business day after the deposit
* System must allow Staff to process paper checks and documents (Captiva)
  + Single payment to single account
  + Single payment to multiple accounts
* System must allow Staff to upload and correct information from Comptroller after posting to Employer accounts

Main Activities – Process Refunds

* System must notify Staff of pending refunds
* System must allow Staff to process refunds
  + Cancel the refund

Put the credit back on the Employer or Claimant account

* + Interface with USAS/CAPPS to cut the warrant
  + Generate letter to Employer or Claimant explaining the refund
* System must allow payments to be issued with no connection to a Claimant’s eligibility amount for a given week. (e.g. USAS payments, Overpayment Credit balance release.)
* System must allow Staff to process unclaimed property for Benefits
  + Send to state Comptroller

Main Activities – Post Adjustments/Corrections

* State Comptroller notifies Staff of correction(s) required
  + Transfer
  + Returned items (e.g., NSFs)
  + Posting corrections
* System must allow Staff to post all corrections
  + Benefits
  + Tax
  + TOP
  + Including full audit trail with rationale/notes where applicable

Add to field tax comments

* + Change postmark date
* System must post corrections based on business rules
* System must notify Staff of errors in posting corrections
* System must allow Staff to perform transfers between various TWC programs
  + Create and automatically post summary transactions in USAS/WRAPS
* System must allow data to be imported to a database via ODBC link or other equivalent

Alternate Activities and Special Cases

System must support the following alternate activities and special cases:

* Joint and Severally court ordered restitution for individuals or schemes
* System must associate offsets, repayments, NSF transactions to overpayments so that Staff understand how overpayments were reduced/increased and how the reimbursement was applied
* System must provide a general ledger capability that is searchable and can be filtered (e.g., by date, program type, daily batch)

#### Reimbursing State Agencies

This process includes all activities required to reimburse state agencies.

Actors

* Staff
* State Agencies

Main Activities

* System must send fund source statement (breakout by revenue funding such as local, federal, etc.) and reimbursable funds statement (listing of all the Claimants that were paid UI benefits for that agency) to the appropriate state agencies
  + Quarterly
* System must allow State Agency Staff to log in and make adjustments and automatically calculate the amount due
* System must reconcile USAS/WRAPS history extract file with payments posted
* System must allow Staff to manually adjust when necessary
* System must send out delinquency notices to State Agencies
* System must allow Staff to query, sort, and filter data
* System must generate report of payments received

#### Post Remittances

This process includes all activities required to post remittances.

Actors

* Staff
* State Agencies

Main Activities

* System must receive TexNet deposit file from Comptroller and automatically post remittances based on business rules
* System must receive and automatically post remittances based on business rules
  + Warrant holds from Comptroller
  + TOP remittances from IRS
  + Credit cards
  + Cash
  + Checks (personal, cashiers, etc.)
  + Money Orders
  + Etc.
* System must receive TOP remittance file from IRS and automatically post remittances based on business rules
* System must allow Staff to post remittances from Claimants and Employers
  + System must validate that the remittance is tied to a valid account
  + System must process remittance regardless of whether it matches the outstanding balance and notify Program area that an assignment is needed

Overpayments

Underpayments

* System must allow Staff to manually adjust when necessary
* System must send list of valid TWC Employer account numbers to Comptroller

#### Process Correspondence/Reports

This process includes all activities required to process correspondence/reports.

Actors

* Staff

Main Activities

* System must automatically send correspondence to Claimants and Employers based on business rules
  + Notice of Change (for incorrect banking information)
  + NSF Notices
  + ACH Return Notice
  + Etc.
* System must allow Staff to reissue correspondence
* System must allow authorized business Staff to
  + Scan letters
  + Scan and endorse checks
* System must allow Staff to manually override/make adjustments to properly prepare reports and annual IRS filing requirements
* System must allow Staff to upload data to weekly/monthly/annual federal reports

#### Bill External Customers

This process includes all activities required to bill external customers for data sharing agreements.

Actors

* Staff
* External Entities (state agencies, law enforcement etc.)

Main Activities

* System must allow outside entities to have limited access to TWC data
* System must track usage by each entity or user ID
* System must notify TWC of any attempts to view or access data not covered by data sharing agreements
* System must allow Staff to track programming time due to changes in contracts by contract number or another unique identifier
* System must allow updates due to contract changes and amendments
* System must allow Staff to query information to accurately bill external entities
* System must allow Staff to generate bills to external entities
* System must allow Staff to reconcile payments received back to the original billing

### A6.8 Performance Evaluations

#### Perform Quality Reviews

This process includes all activities required to perform quality reviews both Federal and In-House.

Actors

* Staff
* DOL

Main Activities – BTQ Quarterly Reviews

* System must allow Staff to enter random numbers provided by DOL into System
* System must select universe, then select quarterly sample cases from the universe based on random numbers provided by DOL
* System must ensure sample data conforms to DOL methodology as defined in ET Handbook 301
* System must upload sample data into DOL SUN system
* System must retrieve ALL source documents such as:
  + Case specific information
  + Claimant and Employer claim information
  + Etc.
* System must allow Staff to select source documents and print as needed
* System must allow Staff to view the sample including all sample cases and conduct reviews
  + View sample list
  + View all cases
  + Review all documents

Review fact finding

Employer response information

Claimant information

Claim history

Address (Claimant and Employer) history

Correspondence (Claimant and Employer)

Etc.

* + Search, sort, and filter sample data and source documents
* System must allow Staff to record review results on an online/in-system DCI evaluation form
* System must be able to produce DCIs for all reviewed cases and allow Staff to print as needed
* System must perform validations and calculate final score
* System must upload DCI review results into the DOL SUN system
  + System must provide notification and take appropriate action when:

An error occurs entering evaluation results

An error occurs when uploading sample

* System must retain history of all BTQ reviews based on business rules
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must collect and track performance metrics
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

Main Activities – DOL Program Audit Reviews (i.e., DUA, TRA, etc.)

* System must allow Staff to enter random numbers based upon criteria provided by DOL for DOL program audit
* System must select universe, then select sample cases from the universe based on the provided criteria and/or numbers provided by DOL or Staff
* System must retrieve ALL source documents such as
  + Claim specific information
  + Case specific information
  + Claimant and Employer claim information
  + Etc.
* System must allow Staff to select source documents and print as needed
* System must allow Staff to view the sample including all sample cases and conduct reviews
  + View sample list
  + View all cases
  + Review all documents

Review fact finding (Claimant, Employer or other party statements)

Employer response information

Claimant information

Claim history

Address (Claimant and Employer) history

Correspondence (Claimant and Employer)

Wage Records

Etc.

* + Search, sort, and filter source documents
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must collect and track performance metrics
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

Main Activities – Tele-Center Monthly Audit Reviews (Score the Scorer)

* System must allow Staff to enter sample selection criteria provided by Staff into System
* System must select universe, then select monthly sample evaluations from the universe
* System must retrieve sample evaluation forms
* System must retrieve ALL source documents for cases associated with sample evaluations such as
  + Case specific information
  + Claimant and Employer claim information
  + Etc.
* System must allow Staff to view the sample including all sample evaluations and cases and conduct reviews
  + View sample list
  + View all evaluation forms
  + View all cases associated with sample evaluations
  + Review all documents

Review fact finding

Employer response information

Claimant information

Claim history

Address (Claimant and Employer) history

Correspondence (Claimant and Employer)

Etc.

* + Search, sort, and filter source documents
* System must allow Staff to record review results on an online/in-system evaluation form
  + System must perform validations and calculate final score
* System must be able to produce evaluation forms for all reviewed evaluations and allow staff to:
  + View
  + Modify (based on permissions)
  + Print as needed
* System must retain history of all Audit reviews based on business rules
* System must allow Staff to request a review of the evaluation results.
  + System must provide a place for the requestor to provide an explanation for the review request
  + System must send the request to designated staff
  + System must allow staff to respond to requestor
  + System must allow staff to change the original score or disregard the evaluation results (i.e. coaching)
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must collect and track performance metrics
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

Main Activities – Tele-Center/Special Program Monthly Non-Monetary Evaluation Reviews

* System must allow Staff to enter sample selection criteria provided by Staff into System
* System must select universe, then randomly select monthly sample cases from the universe based on sample selection criteria provided by Staff
* System must retrieve ALL source documents such as
  + Case specific information
  + Claimant and Employer claim information
  + Etc.
* System must allow Staff to view the sample including all sample cases and conduct reviews
  + View sample list
  + View all cases
  + Review all documents

Review fact finding

Employer response information

Claimant information

Claim history

Address (Claimant and Employer) history

Correspondence (Claimant and Employer)

Etc.

* + Search, sort, and filter source documents
* System must allow Staff to record review results on an online/in-system evaluation form.
  + System must perform validations and calculate final score
* System must be able to produce evaluation forms for all reviewed cases and allow staff to:
  + View
  + Modify (based on permissions)
  + Print as needed
* System must retain history of all evaluations based on business rules
* System must allow Staff to request a review of the evaluation results.
  + System must provide a place for the requestor to provide an explanation for the review request
  + System must send the request to designated staff
  + System must allow staff to respond to requestor
  + System must allow staff to change the original score or disregard the evaluation results (i.e. coaching)
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must collect and track performance metrics
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

Main Activities – Tele-Center/Special Program Monthly Call Evaluation Reviews

* System must allow Staff to record review results on an online/in-system evaluation form
  + System must perform validations and calculate final score
* System must be able to produce evaluation forms for all reviewed cases and allow staff to:
  + View
  + Modify (based on permissions)
  + Print as needed
* System must retain history of all evaluations based on business rules
* System must allow Staff to request a review of the evaluation results
  + System must provide a place for the requestor to provide an explanation for the review request
  + System must send the request to designated staff
  + System must allow staff to respond to requestor
  + System must allow staff to change the original score or disregard the evaluation results (i.e. coaching)
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must collect and track performance metrics
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

Main Activities – Tele-Center/Special Program Monthly Claims Actions Review

* System must allow Staff to enter sample selection criteria provided by Staff into System
* System must select universe, then randomly select monthly sample cases from the universe based on sample selection criteria provided by Staff
* System must retrieve ALL source documents such as
  + Case specific information
  + Claimant claim information
  + Etc.
* System must allow Staff to view the sample including all sample cases and conduct reviews
  + View sample list
  + View all cases
  + Review all documents

Review fact finding

Claimant information

Claim history

Address (Claimant) history

Correspondence (Claimant)

Etc.

* + Search, sort, and filter source documents
* System must allow Staff to record review results on an online/in-system evaluation form
  + System must perform validations and calculate final score
  + System must be able to produce evaluation forms for all reviewed cases and allow staff to:

View

Modify (based on permissions)

Print as needed

* System must retain history of all evaluations based on business rules
* System must allow Staff to request a review of the evaluation results
  + System must provide a place for the requestor to provide an explanation for the review request
  + System must send the request to designated staff
  + System must allow staff to respond to requestor
  + System must allow staff to change the original score or disregard the evaluation results (i.e. coaching)
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must collect and track performance metrics
  + System must integrate reports with dashboards for visual representation of data
  + System must store and index reports

#### Lower Authority Appeals Quality Reviews

This process includes all activities required to perform both internal and DOL-required quality reviews of hearings and decisions.

Actors

* Staff

Main Activities

* System must select a random sample of 40 cases per quarter to evaluate in accordance with ETA Handbook 382 (DOL reviews)
* System must select a random sample of cases to review per internal review selection criteria (internal reviews)
* System must provide for an integrated workflow and approval process for DOL and internal reviews
* System must allow staff to record review results
* System must perform data validations, calculate score, and allow the attachment of review comments
* System must allow staff to print or distribute reviews as needed
* System must retain a history of all DOL and internal reviews based on business rules
* System must be able to generate operational, performance, and management reports based on the case review data
* System must allow for Staff to upload DOL review results into the DOL SUN system

### A6.9 General

These UI Process Descriptions apply to all UI and IT Program Areas.

#### Correspondence

The System must include all functionality necessary to generate and distribute outgoing correspondence as well as receive and process correspondence.

Actors

* Staff
* Claimants
* Employers
* TPAs

Main Activities

* System must allow authorized Staff to create and modify templates and automatically generate both printed and electronic correspondence based on defined events. The Offeror must describe how their system prepopulates templates with data from the system and keeps a history of all template versions
* System must be able to (re)generate correspondence in English, Spanish, and other languages by law or business rules
* System must be able to generate correspondence based on a triggering event, for example:
  + Fact finding
  + A subpoena being issued once a hearing is scheduled
  + Etc.
* System must include Correspondence Templates/Forms/Emails:
  + Allow authorized Staff to create and maintain correspondence templates with minimal need to seek outside programming assistance
  + Allow authorized Staff to create and modify template headers and footers to include information such as logos, addresses, phone numbers, URLs, and Equal Employment Opportunity Commission language
  + Prepopulate templates based on requirements
  + Provide ability to add variable text to prepopulated templates
  + Provide ability to recreate/regenerate
  + Store templates and data (i.e., variable data, applicable template version) in centralized location
* System must include all functionality necessary to receive and process all incoming correspondence and associate it with an electronic identifier (e.g., SSN, Entity ID, alternate ID). The Offeror must describe how their system captures and stores data from incoming documents (both electronic and paper) such as date received, method received (electronic or paper), date postmarked and submitted, document type, sender information, etc.; scans for viruses; allows manual key entry of document information; reads bar codes or similar coding to support the automated processing of the item when returned by the recipient; automatically OCRs forms; handles returned mail and bad addresses; allows incoming correspondence to enter System and other workflow processes including intra- and inter-departmental transfers; and interface with CMS, such as FileNet, based on business rules
* System must include all functionality necessary to produce all outgoing correspondence and associate it with an electronic identifier. The Offeror must describe how their system produces both electronic (with verification of read and receipt) and paper correspondence; prefills data; includes bar codes or some other identification technology to support the automated processing of the item when returned by the recipient; accounts for postal holidays and Saturday printing; queues correspondence for batch processing if needed; consolidates mailings to the same address (e.g., Mailstream); and interface with CMS based on business rules
* System must include the ability to generate electronic (e.g., email, text messages, etc.) and USPS correspondence configurable by TWC
* System must allow Staff to hold or override the generation and distribution of correspondence for a specific electronic identifier, groups, or all correspondence based on business rules
* System must interface with the onsite and offsite printing facilities for all correspondence
* System must make all outgoing physical correspondence available as electronic correspondence
* System must incorporate secure messaging (email, chat, etc.) functionality
  + Send and receive messages
  + Send “You have mail” email notifications to users

Maintain a log of correspondence

Notifications and log searchable by Staff

* + New message notifications (email, text, etc.)
  + Retain and archive messages based on business rules and record retention schedules
  + Attach correspondence/communication to customer’s record and case file
  + Include “click to call”
  + Provide chat transcripts to customers, agency records, etc., based on business rules
  + Include prohibited word filtering
  + Upload documents

Document formats include Word, Excel, PDF, audio, images, video, and other formats

Scan for viruses

Notify user if errors

Provide upload confirmation

Store documents and associate them with account

* System must allow users to consent to text messaging
* System must maintain a log of correspondence sent to ALL entities, including information such as template version, variable data, date distributed, and proof of receipt when applicable
* System must allow Staff to view outgoing and incoming correspondence attached to the Claimant, Employer, Claim, etc.

#### Case Management

The System must include all functionality necessary to manage cases.

Actors

* Staff

Main Activities

* System must provide an electronic case management system that is intuitive, intelligent, and proactive. At a minimum, the following features are required:
  + Prepopulate and allow Staff to manually add case data
  + Collect and manage case notes

Associate with a case

Allow for filtering, sorting, and searching

Threaded (e.g., message board)

Permission based access (e.g., ID theft investigation) based on business rules

Once notes are captured, they can or cannot be edited/deleted based on business rules

Notes must have a full audit trail including deletes and reason for deletion

System must provide the ability to automatically generate case notes based on system events using configurable templates

* + Attach, retrieve, and remove files (Word, Excel, PDF, audio, images, video, and other formats) to/from a case
  + Allow authorized Staff to manage attached files (deleting, duplicating, re-associating data, etc.)
  + System or Staff can (re)assign or present cases/issues (electronic or paper) based on:

Skills

Issue type and issue reason identification

Language

Staff availability (vacation, holiday, sick, etc.)

Priority

Pending or no action pending

* + Manage and track case status

Timeliness

Deadlines

Due dates

Events and configurable conditions

Establish/Update date TWC knew about the issue (issue detection date)

* + Perform edits and updates to multiple records at the same time, for example:

Void multiple mass claims

* + Issue determinations on multiple Claimants
  + Make Case/Issue documentation available for other departments such as Appeals and Open Records based on business rules
  + Record case history
  + Provide a customizable case dashboard
  + Include metrics, productivity, and management reporting
  + Track outcomes
  + Allow for quality assurance (QA) sampling
  + Generate standard and ad hoc reports
  + Manage, search, and display case information
  + Notify Staff of the next best action
  + Notify Staff of pending deadlines
  + Present Staff with next case to handle based on business rules and priority
  + Integrate with TWC's email system and stores emails
  + Log phone calls, mail, and electronic correspondence (emails, chat, etc.)
  + Record active task time and duration (start to finish), logs activities, and links to Finance
  + Allow for customizable workflows (including across departments), ad hoc tasks, customizable workflow templates based on business rules
  + Manage tasks and deadlines including alerts
  + Include automated task scheduling
  + Allow authorized users to view information
* System must capture all updates made to cases, claims, and appeals (e.g., when an interested party fails to attend the appeal hearing) in the CMS
* System must interface with TWC’s CMS, currently FileNet, or include all functionality necessary to store documents, correspondence, and related materials in a CMS

#### Code or Lookup Tables and Business Rules

The System must include all functionality necessary to enter and update solution code tables and business rules.

Actors

* Staff

Main Activities

* System must allow authorized Staff to maintain code tables, examples include:
  + NAICS codes from Bureau of Labor Statistics (BLS)
  + DUA program codes
  + Etc.
* System must allow authorized Staff to maintain code table values, examples include:
  + Work search thresholds
  + Display messages
* System must allow authorized business Staff to create and edit code tables, preformatted text segments, and templates to the greatest extent possible. The Offeror must describe how code tables are configured, parameter-based, and available for selection by Staff
* System must allow authorized business Staff to create and edit business rules to the greatest extent possible. The Offeror must describe how business rules are configured and parameter-based.
* System must allow authorized business Staff to enter and designate working/non-working days, mail/no-mail days, and process/no process payment days, into the system. System must factor in working/non-working days as well as mail/no-mail days when calculating due dates such as response times for fact finding. System must be able to recalculate previously issued due dates, which have not yet expired, when changes made to working/non-working days and/or mail/no-mail days after issuance that fall after issuance and before expiration.

#### Dashboards

The System must include all functionality necessary to graphically present information for decision making.

Actors

* Staff

Main Activities

* System must present information clearly
  + Text
  + Charts
  + Graphs
  + Tables
  + Alerts
  + Workflow status
  + Metrics
* System must allow users to customize their dashboards
  + Layout and Design

Grouping

Relationships

* + Flow
  + At a glance simplicity
* System must collect and report on data for root cause analysis to answer questions such as:
  + Why are we not meeting our timeliness measures?

Filtered by claim types

Filtered by Staff who worked the claim

* + Why is a Claims Examiner (CE) closing too few cases?
  + Etc.
* System dashboards must include the following features
  + **Drill down**: System must include the ability to go from a summary metric or view to additional detail that provides more context and/or breakout of the information
  + **Filters**: System must allow Staff to deﬁne the scope of the data in the dashboard to reﬂect their needs. Filters can either be global (reﬁning scope for the entire dashboard) or local (reﬁning scope for a speciﬁc chart or metric or view)
  + **Time**: System must include the ability to select different time scales including real-time, daily, weekly, monthly, quarterly, and yearly
  + **Comparison**: System must include the ability to see two or more subsets of the data side-by-side. A line chart, for example, may let the user view two geographic regions as separate lines
  + **Actionable**: Dashboards must clearly identify the source of the problem or necessary actions for Staff to take when the metric goes up, down, flat or off-target
  + **Alerts**: Dashboards must highlight information and generate alerts based on pre-deﬁned criteria. The alert may be activated when a metric goes outside of a particular threshold
  + **Export/Print**: System must allow Staff the ability to pull information out of a dashboard in formats including but not limited to csv, xls, txt, xml, html, and pdf
  + **Advanced visualizations**: When needing to show more complex data in the dashboard, System must allow Staff to select from a variety of advanced visualizations such as geographic maps, tree maps, network diagrams, tag clouds, scatterplots, and bubble charts
* System dashboards must meet TWC Accessibility Guidelines as defined in [Section 6.9](#_6.9_Electronic_Information)

#### LMCI

The System must include all functionality necessary to support the functions of the Labor Market and Career Information department.

Actors

* Staff

Main Activities

* System must support the Quarterly Census of Employment and Wages (QCEW) process
  + NAICS Codes

System must identify Employers without an assigned NAICS code and who have provided a written description of their business and allow Staff to assign a NAICS code

* On screen
* In a report

System must allow Staff to input NAICS code when an Employer initially registers with TWC

System must allow Staff to complete annual refiling survey

* Currently, the System updates NAICS codes from the BLS Exportable ES-202 system and batch updates the UI Tax system
  + Large Quarterly Extracts (Tax data)

System must interface with the BLS Exportable ES-202 system

* + System must interface with the BLS Exportable ES-202 system and/or new QUEST system as defined by BLS (depending on the timing of BLS QUEST development)
  + System must allow Authorized Staff to view Tax data
* System must support the Local Area Unemployment Statistics (LAUS) process
  + System must extract weekly claims data as an input to the LAUS process

Current jobs are:

* LMCI Extract of Benefits Claims Data which extracts initial claims, continued claims and Exhaustee data
* Liable Agent Data Transfer (LADT) Extract which extracts initial claims, additional claims and reopen claims from other states via the LADT interface

Flat text file format

* System must allow Staff to run Extracts on demand including
  + Email addresses
  + Wage records

Push job quarterly for most recent six (6) quarters

On demand extract for current and prior quarter

* + Etc.
* System must allow Staff to run ad hoc Structured Query Language (SQL) queries described in [Attachment A6.9 Database Queries](#_Database_Queries)

#### Notes

The System must include all functionality necessary to capture and display Claimant and Employer account notes.

Actors

* Staff

Main Activities

* System must provide all the ability to capture and display notes (e.g., customer service notes) with the option for drop down lists. At a minimum, the following features are required:
  + Capture notes (where and when notes are captured?)
  + Display notes
  + Associate notes with a customer
  + Allow for filtering, sorting, and searching
  + Threaded (e.g., message board)
  + Permission based access (e.g., ID theft investigation) based on business rules
  + Once notes are captured, they can or cannot be edited/deleted based on business rules
  + Notes must have a full audit trail
* System must provide the ability to automatically generate notes based on system events using configurable templates

#### Other State UI Agencies

The System must include all functionality necessary to allow other state UI agencies to use the solution.

Actors

* Staff
* Other state UI agency Staff

Main Activities

* System must be designed for multiple user types, e.g., internal users and external users (Employers, Claimants, TPAs, other state agency users, etc.)
* System must be designed to allow other state UI agencies to use the System
  + System must ensure that State data is not comingled with the Contractor’s and/or Subcontractor’s other clients’ data, and the data of each of the state is not comingled with the data of other states, through the proper application of compartmentalization security measures
  + System must be sufficiently scalable to accommodate the future addition of other states
  + If multiple states are using the system:

Each state must be able to test and implement the release independent of the other states without affecting the other states’ System availability and operations

The System must support diverse business rules for each state, and any state is able to process their unique business rules without impacting the other states

The System must ensure that each state’s backups are segregated from other state’s backups

The System must ensure that one state’s sensitive security credentials are not exposed to other states

#### Search and Lookup

The System must include all functionality necessary to conduct system searches and view the results.

Actors

* Staff

Main Activities

* System must allow Staff to search content across all functional areas and data repositories. The Offeror must describe all ways that users can search including partial searches, Boolean searches, and multiple criteria; filter results; save searches; based on user permissions
* System must allow Staff to navigate to the selected record within the context of the search
* System must allow authorized Staff to search for TWC Staff
  + Multiple ways to search

User ID

Name

Phone Number

* + General contact information
  + Current assigned workflow items
* System must allow authorized Staff to execute and export the search results in multiple formats, including but not limited to csv, xls, txt, xml, html, and pdf
* System must provide support for tracking suspicious search activity
* System must allow authorized Staff the ability to search all data within the data retention period
* System must proactively determine if additional search elements are needed
* System must allow authorized Staff to search for reports
* System must ensure that system searches do not degrade system performance

#### System Security

The System must include all functionality necessary to securely configure access to the UI solution.

Actors

* Claimants
* Employers
* TPAs
* Attorneys/Representatives
* Other external parties
* Staff

Main Activities

* System must allow authorized Staff to create roles, define role-based access, assign permissions down to the field level, and provide a description of permissions:
  + Access includes read only, read and write, full access, at a minimum
  + Role examples include:

Role for Business administrators who can modify workflow

Role for Staff who have read only permission

* System must allow authorized Staff the ability to reset user accounts
* System must allow authorized Staff to immediately revoke user and Staff access
* System must allow authorized Staff to change the access rights for users and groups to take effect at a designated time, as well as real time
* System must allow authorized Staff to generate a report detailing permissions
* System must capture and geolocate (including but not limited to country, region, city, latitude, longitude, zip code, time zone, ISP, domain, net speed, area code, weather, mobile, elevation, port), Internet Protocol (IP) addresses in all versions (including but not limited to IPv4 and IPv6) associated with self-service to assist Staff in detecting fraudulent schemes
* System must capture user’s computer system information
* System must have a full audit trail on any access and changes to UI data
  + User phone number and computer’s system information
  + Time and date stamp
  + Claimant or Employer ID
  + Actions taken

Records reviewed

Fields updated

Etc.

* + Etc.
* System must allow authorized Staff to search and retrieve audit trail

#### Self-Service

The System must include all functionality necessary to allow Employers, Claimants, TPAs, and other external parties to use UI services independent of the involvement of Staff.

Actors

* Claimants
* Employers
* TPAs
* Attorneys/Representatives
* Other external parties

Main Activities

* System must provide the ability for secure online self-service access to all required functionality so that users can conduct unemployment business. The Offeror must describe self-service features for Claimants, Employers, TPAs, other users and partners
  + Register
  + Reset account (passwords, PINs, etc.)
  + File claims
  + Upload documents

Scan for viruses

Notify user if errors

Provide upload confirmation

Store documents and associate them with account

* + Assign and revoke POA access
  + Etc.

#### Allow External Agencies and Law Enforcement Access

The System must include all functionality necessary to allow external agencies and law enforcement agencies to access UI data, similar to the current EAGLE system.

Actors

* Authorized Staff
* External Agencies
* Law Enforcement

Main Activities

* System must allow external agencies and law enforcement to access UI data
  + Based on roles and groups
  + Granted default and optional permissions
  + Read only access to data
  + Record and retain full audit trail of all activities
* System must allow authorized Staff to invite a user, via email, to register for an account
* System must allow authorized Staff to revoke a user’s access
* System must allow external agencies and law enforcement to search for up to 50 SSNs at a time
* System must retain full audit trail for each SSNs searched
* System must allow “Big Users” (those with 100+ individual accounts; e.g., Health & Human Services Commission (HHSC), OAG, Department of Public Safety (DPS)) to have dedicated Administrators with create, read, update and delete privileges

#### Workflow

The System must include all functionality necessary to process work from initiation to completion.

Actors

* Staff

Main Activities

* System must support integrated workflow management capabilities that allow authorized Staff to select, create and/or modify workflows, templates, and processes for business processes as appropriate. The Offeror must describe how Staff can create and modify with minimal programming changes
* System must provide an administrative tool for Staff Supervisors to distribute work items and automatically assign/reassign/reopen, to groups, individuals and queues, selected work items based on skill-based routing, balancing workload, and business rules
* System must provide real-time and on demand status updates and reminders (including on-screen and email alerts) and track time at the activity level up to and including the entire workflow. The Offeror must describe how updates and reminders are sent individually and to groups
* System must allow Staff to flag specific attributes including cases and issues, and be notified when the status changes
* System must identify and prevent duplicate work items from being entered into the system according to business rules
* System must allow Staff to create workflow items and route to the appropriate work group, including but not limited to:
  + BAM audit results
  + Potential eligibility issues discovered by Appeals
  + Commission directives
  + UI expert support
  + Etc.
* System must provide all data to Staff necessary to complete a work item, eliminating the need to gather information from outside sources by centralizing data on one customizable screen
* System must determine if there is a companion case(s) and adjust workflow as needed for the particular process
* System must integrate workflow functionality with other system services (e.g., WIT, CMS, etc.) as appropriate
* System must provide visual dashboards and comprehensive standard reports on workflow as well as ad hoc reporting tools to manage Staff and measure productivity (metrics)
* System must provide the ability to associate objects and metadata with workflow tasks, for example, tagging a claim or claim workflow with additional properties such as Splunk data to provide enhanced information to Investigators
* System must allow Staff to access claim and account data in the system directly from the workflow items

#### Database Queries

The System must include all functionality necessary to perform database queries.

Actors

* Staff

Main Activities

* System must allow Staff to run pre-defined and ad hoc queries
  + All environments including production, training, test, and development
  + Without denigrating performance in the production environment
* System must provide a wizard capability for creating queries
* System must run queries on a scheduled or user designated basis, and present output in a user defined manner for authorized Staff
* System must restrict Staff access based on user role and permissions when running ad hoc SQL queries
* System must allow authorized Staff to execute and export the query results in multiple formats, including but not limited to csv, xls, txt, xml, html, and pdf
* Offeror must disclose any costs associated with queries

#### Generate Reports

The System must include all functionality necessary to generate and transmit reports.

Actors

* Staff

Main Activities

* DOL Reports
  + System must generate DOL reports
  + System must distribute appeals-related DOL reports to Appeals and Commission Appeals Management for approval
  + System must allow Staff to correct and modify DOL reports
  + System must upload reports to DOL
  + System must integrate reports with dashboards for visual representation of data and other capabilities such as aggregates, drill down, trend analysis, regression, variance, sub reports, ranking, and parameter-based reports
  + System must store and index reports
* Operations, Performance, and Management reports
  + System must allow Staff to schedule reports to be generated automatically
  + System must allow Staff to run reports on demand
  + System must be able to generate and distribute reports listed in [Attachment 8](#_Attachment_8_–)
  + System must allow Staff to develop and schedule ad hoc reports
  + System must integrate reports with dashboards for visual representation of data and other capabilities such as aggregates, drill down, trend analysis, regression, variance, sub reports, ranking, and parameter-based reports
  + System must store and index reports
* Offeror must describe the types of ad hoc reporting capabilities in the solution including features such as designing, customizing, testing, saving, maintaining, sharing, scheduling, and distributing reports
* Offeror must describe the end user experience with development and ease of use of querying tools
* Offeror must describe the skills and level of knowledge required to use the reporting features for both standard and ad hoc feature
* Offeror must describe the training methods and materials proposed for training of standard and ad hoc reporting features

#### Data Validation

The System must include all functionality necessary to validate entered or selected data to ensure solution operates on and with clean, correct, and useful data.

Actors

* System

Main Activities – General

* System must validate that data is entered or selected into a field correctly, based on the characteristics and validations for the specific field and type, including but not limited to:
  + Demographic data (addresses, phone numbers, etc.)
  + SSN
  + Dates
  + Amounts
  + Coded values based on business rules (e.g., reason for separation)
  + Etc.
* Offeror must describe all routines, validation rules, and other mechanisms that check for correctness, reasonableness, or meaningfulness of data that are input into the solution such as:
  + Data type checks
  + Range checks
  + Limit checks
  + Presence checks
  + Etc.
* System must provide logical business rule validation checks (e.g., Claimant PIN cannot equal their SSN or street address)

Main Activities - Addresses

* System must verify addresses in real-time during address entry to ensure valid addresses are captured. As an address is being typed, suggestions to auto-complete the address must be provided immediately
* System must accept addresses for domestic and international destinations
* System must require periodic verifications of mailing addresses by Claimants, Employers, and TPAs
* System must accept multiple addresses for Employers
  + Information is required if the Employer has multiple offices, stores, etc.
* System must incorporate checks and refinements (Such as NCOA, Code-1, and Delivery verification) on existing addresses prior to mailing and at time of new address entry
* System must advise Staff if the address being entered for a customer has been returned in the past
* System must “learn” what addresses are not successful than others over time and ensure that information is easily and readily available to staff
* System must capture addresses broken down by operational mailing categories, such as Tax, UI claims, billing, training, leadership communications, labor-market surveys, investigations, collections, etc.
* System must include a process for handling return mail, including an escalation process that requires customer input
  + Return mail must include reason for return such as insufficient address; no such street number, missing suite number, etc.
* System must display a warning message to Staff and customers regarding the ramifications of accepting
  + A domestic address that is not the USPS standardized address
  + An international address that is not in the correct format
  + A known invalid/bad address due to return mail

## Attachment 7 – UI Interface Summary

The tables below contain a list of current UI interfaces. Awarded Vendor must develop all interfaces including those not listed in these tables, either implemented after this RFO is posted or accidentally omitted. TWC has made every effort to be inclusive but there is always the possibility of oversight. Offeror must describe all interfaces that are included as part of the base system.

Awarded Vendor must develop interfaces to systems that are modernized after the posting of this RFO and before the Awarded Vendor’s proposed system is fully implementation including, but not limited to, WIT and TWIST.

### A7.1 Tax

| **#** | **Direction** | **Mode / Frequency** | **System** | **Name** | **Overview** |
| --- | --- | --- | --- | --- | --- |
| 1 | Receive | Offline / Quarterly | Abacus Payroll Service | C3 & C4 Filing | Receives one (1) file |
| 2 | Both | Offline / Quarterly | ADP | ADP Chargebacks | Employer request |
| 3 | Receive | Offline / Daily | ADP | C7 Wage Record Adjustments | Receives one (1) file via FTP |
| 4 | Receive | Offline /  Daily (M-F) | ADP | Form 8850 FTP | Secure transfer of data |
| 5 | Receive | Offline / Quarterly | ADP Quarterly Tax | C3 & C4 Filing | Receives one (1) file via FTP, plus stragglers |
| 6 | Receive | Offline / Daily | Alliance Payroll | WOTC FTP 8850 | Secure transfer of PII​ |
| 7 | Receive | Offline / Quarterly | Alliance Payroll Services | C3 & C4 Filing | Receives one (1) file |
| 8 | Receive | Offline / Daily (M-F) | Buc-ee’s | Form 8850 FTP | ​Secure transfer of data |
| 9 | Send | Offline / Quarterly | Ceridian Payroll | C3 & C4 Filing | To receive C3 & C4 files via Secure File Transfer Protocol (SFTP​) |
| 10 | Receive | Offline / Daily, Multiple Times | COMPAS | Tax Audit Upload | Pass audit result transactions from the COMPAS system to mainframe batch process |
| 11 | Receive | Offline / Quarterly | Compupay | C3 & C4 Filing | Receives one (1) file |
| 12 | Send | Offline / Quarterly | Conduent, Inc. | Wage Record SSN's (6 quarters) WRIS DDBI | Contract |
| 13 | Send | Offline / Annual | DOL SPARCstation | Annual Domestics Rates Job | ES204 data for DOL TXAR0300/305 |
| 14 | Send | Offline / Quarterly | DOL SPARCstation | ETA 581 data for DOL | Uploads ETA 581 data file to DOL SPARCstation  TXQT0004 |
| 15 | Receive | Offline / Daily | Efficient Forms | Form 8850 FTP | ​Secure transfer of data |
| 16 | Receive | Offline / Quarterly | Employers Edge | Chargebacks | Receives one (1) file and sends one (1) file |
| 17 | Receive | Offline / Quarterly | Encore Restaurants | C3 & C4 Filing | ​Secure transfer of data |
| 18 | Receive | Offline / Quarterly | Equifax | C3 & C4 Filing | Receives one (1) file |
| 19 | Receive | Offline / Daily (M-F) | Ernst & Young | Form 8850 FTP | ​Secure transfer of data |
| 20 | Both | Offline / Quarterly | ERS | ERS Wage Records | Receives and puts one (1) file |
| 21 | Both | Offline / Annually | Fed-Internal Revenue Service | FUTA Annual Return (control file) | One (1) of two (2) files returned December/January timeframe |
| 22 | Both | Offline / Annually | Fed-Internal Revenue Service | FUTA Annual Return (data file) | One (1) of two (2) files returned December/January timeframe |
| 23 | Send | Offline / Annually | Fed-Internal Revenue Service | FUTA Certification Program File | IRS Secure Data Transfer (SDT) in January |
| 24 | Receive | Offline / Quarterly | Fed-Internal Revenue Service | FUTA Quarterly (control file) | Comes with data file |
| 25 | Receive | Offline / Quarterly | Fed-Internal Revenue Service | FUTA Quarterly (data file) | Comes with control file |
| 26 | Receive/ Send | Offline /  On Request | Fed-Railroad Retirement Board | SSN Match/ Wages/ Benefits | Retrieve SSN wage/UI Benefits |
| 27 | Receive | Offline / Daily (M-F) | First Advantage Corporation | Form 8850 FTP | ​Secure transfer of data |
| 28 | Receive | Offline / Quarterly | Florida Hospital (aka Adventist Healthcare) | C3 & C4 Filing | Receives one (1) file |
| 29 | Receive | Offline / Daily | Free Inc. | Form 8850 FTP | ​Secure transfer of data |
| 30 | Receive | Offline / Quarterly | Grocers Supply | C3 & C4 Filing | Receives one (1) file |
| 31 | Receive | Offline / Quarterly | Harris County Auditor's Office | C3 & C4 Filing | Receives one (1) file |
| 32 | Receive | Offline / Quarterly | HCA Healthcare | C3 & C4 Filing | Receives one (1) file |
| 33 | Send | Offline / On Request | HHSC | HHSC Tiers SSN Match | HHSC contract |
| 34 | Send | Offline / On Request | HHSC | OAG Absent Parent File | Puts one (1) file |
| 35 | Send | Offline / On Request | HHSC | Wage Records | Put wage/claim data; both benefit and wage data is exchanged on weekly, monthly, and quarterly intervals |
| 36 | Both | Offline / On Request | HHSC | Wage Records Request | ​To transfer PII securely |
| 37 | Receive | Offline / Daily (M-F) | HireTech | Form 8850 FTP | Secure transfer of data ​ |
| 38 | Receive | Offline / Daily | Hiring Incentives | Form 8850 FTP | ​Secure transfer of data |
| 39 | Receive | Offline / Daily | Honkamp, Krueger and Co., P.C. | Form 8850 FTP | ​Secure transfer of data |
| 40 | Receive | Offline / Quarterly | Howard Payne University | C3 & C4 Filing | Receives one (1) file |
| 41 | Both | Offline / Quarterly | HP | Chargebacks | Send and receive one (1) file |
| 42 | Both | Offline / Daily | Integrity Data Hub | Suspicious Actor Repository and UI Claim Data | Secure transfer of data |
| 43 | Receive | Offline / Continuous (real-time) | Intuit | Intuit C3 & C4 filing and tax payments | ​Intuit can automatically submit payments and filings |
| 44 | Receive | Offline / Daily | Labor Law | Neubus Data | Gets one file, same script file for PDDBTEST, PDDB400P and PDDB406P |
| 45 | Receive | Offline / Daily (M-F) | Mars Stout | Form 8850 FTP | ​Secure transfer of data |
| 46 | Receive | Offline / Daily (M-F) | Maximus | Form 8850 FTP | ​Secure transfer of data |
| 47 | Receive | Offline / Daily | Neubus | Labor Law | Deletes dataset from Neubus |
| 48 | Receive | Offline / Quarterly | Northeast ISD | C3 & C4 Filing | Receives one (1) file |
| 49 | Receive | Offline / Daily | NTC USA | Form 8850 FTP | ​Secure transfer of data |
| 50 | Send | Offline / Quarterly | Office of the Attorney General | OAG CS Base Period Wages | Creates one (1) file of wage data from the five (5) most recently completed wage quarters for the OAG CS Division |
| 51 | Send | Offline / Weekly | Office of the Attorney General | OAG CS Current Wages & Employer info | TWC 'put' of one (1) up-to-date, weekly wage file of the most recent available wage data for the OAG to forward to OCSE; OCSE returns an error file to the OAG who then returns the error file to TWC |
| 52 | Send | Offline / Quarterly | Office of the Attorney General | OAG CS Last Qtr. Wages & Employer info | Creates multiple files of up-to-date quarterly wage data from the most recent, available wage quarter plus Employer information for the OAG CS Division |
| 53 | Send | Offline / Weekly | Office of the Attorney General | OAG New Hire Employers | TWC 'put' of one (1) file of Employer Contact Information for new and reopened Tax accounts that will receive New Hire Packets to OAG |
| 54 | Receive | Offline / Quarterly | Orchestrate HR | C3 & C4 Filing | To transfer tax filing via SFTP​ |
| 55 | Receive | Offline / Quarterly | Paychex | C3 & C4 Filing | Receives one (1) file |
| 56 | Receive | Offline / Quarterly | Paycom | C3 & C4 Filing | Receives one (1) file |
| 57 | Receive | Offline / Quarterly | Paycor | C3 & C4 Filing | Receives one (1) file |
| 58 | Receive | Offline / Quarterly | Payday Pro | C3 & C4 Filing | Receives one (1) file |
| 59 | Receive | Offline / Quarterly | Payroll Tax Management | C3 & C4 filing | ​Secure transfer of PII |
| 60 | Both | Offline / Quarterly | People Systems | C3 & C4 Filing | Receives one (1) file and sends two (2) |
| 61 | Receive | Offline / Quarterly | Primepay1 | C3 & C4 Filing | Receives one (1) file |
| 62 | Receive | Offline / Quarterly | Primepay3 (1 - 6) | C3 & C4 Filing | Receives one (1) file |
| 63 | Receive | Offline / Daily (M-F) | RetroTax | Form 8850 FTP | ​Secure transfer of data |
| 64 | Both | Offline / Quarterly | SDDS | US Department of Labor | ETA – Office of Workforce Security  <http://twc4avsuta/SUTAv3/login.aspx> |
| 65 | Receive | Offline / Quarterly | Slaton Financial | C3 & C4 Filing | Receives one (1) file |
| 66 | Receive | Offline / Daily (M-F) | TALX Corporation | Form 8850 FTP | ​Secure transfer of data |
| 67 | Receive | Offline / Quarterly | Target | C3 & C4 Filing | Receives one (1) file |
| 68 | Receive | Offline / Quarterly | Tarrant County | C3 & C4 Filing | Receives one (1) file |
| 69 | Both | Offline / On Request | TASB | TASB Wage Records | Secure transfer of PII, inbound and outbound​ |
| 70 | Both | Offline / On Request | TASB | TASB Wage Records Request | Secure transfer of inbound and outbound data​ |
| 71 | Receive | Offline / Daily (M-F) | Tax Break | Form 8850 FTP | ​Secure transfer of data |
| 72 | Both | Offline / Daily | Tax Credit | Form 8850 FTP | Secure transfer of data​ |
| 73 | Receive | Offline / Daily | Tax Credit Services | Form 8850 FTP | ​Secure transfer of data |
| 74 | Send | Offline / On Request | Texas A & M University | Texas A & M University TWIC Data | ​Request for Employer data approved by Open Records |
| 75 | Both | Offline / On Request | Texas A & M University | Wage Records Request | ​Securely transfer data to and from Texas A&M |
| 76 | Send | Offline / On Request | Texas Legislative Council | TLC EQUIFILE | ​Contract 2915NFA007 |
| 77 | Both | Offline / Quarterly | Texas State Technical College | Quarterly wage match | Send and receive one (1) file |
| 78 | Both | One-time/ad hoc / Daily | Thomas and Company | Chargebacks | ​Secure transfer of data |
| 79 | Send | Offline / Daily | TMI | C3 & C4 Filing | Sends two (2) files from two (2) jobs |
| 80 | Receive | Offline / Daily (M-F) | Trust Consulting Group | Form 8850 FTP | Secure transfer of data​ |
| 81 | Both | Offline / On Request | TWC (TX Rehabilitation Commission interface) | Wage Records | Gets one (1) file and puts one (1) file |
| 82 | Both | Offline / On Request | TWC (TX Rehabilitation Commission interface) | Wage Records | Gets one (1) seed file and puts one (1) file |
| 83 | Send | Offline / Quarterly | TWC LMCI | Wage Records | Put to LMCI; this job creates an individual wage item record for each of the six (6) quarters of the wage record file; wage items with other than one (1) of the six (6) legitimate quarters or with an incorrect account number will be recorded on an error file |
| 84 | Send | Offline / Daily | TWC Peoplesoft | Peoplesoft Vendor load file | Send vendor data file to TWC Peoplesoft; file is a combination of LL, TAX and BN files |
| 85 | Both | Offline / On Request | TX Association of School Boards | C3 Wages for six quarters | Wage records for six (6) quarters |
| 86 | Both | Offline / On Request | TX Association of School Boards | C58s for a specific quarter | Request is for C58 & C66 records for a specified quarter |
| 87 | Receive | Offline / Quarterly | CPA | Comptroller 920 Report | Get USPS quarterly summary report file for mag media |
| 88 | Receive | Offline / Monthly | CPA | Comptroller C1'S | Gets one (1) file |
| 89 | Send | Offline / Daily | CPA | CPA Refund Requests | Puts one (1) file of refund requests to CPA daily |
| 90 | Receive | Offline / Daily | CPA | CPA Surplus Credit | Gets 1 file of surplus credit warrant data from the CPA daily |
| 91 | Receive | Offline / Daily | CPA | Credit Card Transactions and Payments | TWC get of two (2) credit card transaction and payment files (raw and turnaround) at 2pm every day from the Comptroller |
| 92 | Send | Offline / Quarterly | CPA | DB2 Tax Table Entire File Transfer | Interagency agreement |
| 93 | Send | Offline / Daily | CPA | Deposit & USAS files | TWC put of two (2) ACH Deposit and USAS files to Comptroller |
| 94 | Send | Offline / On Request | CPA | EQUI Data | TWC put of one (1) file of ‘EQUI’ data (originally es202 data), or employer demographic information such as location, number of employees, industry and ownership information to Comptroller |
| 95 | Receive | Daily | CPA | PROD.USA.AGY320.HX | Refund Warrants Mailed; this file contains information about warrants generated by CPA for our refund processing; TWC posts this data to our system so that it shows that the refunds were mailed |
| 96 | Receive | Offline / Quarterly | CPA | Reimbursement; fund source data from State Comptroller | CPA fund source data for C58R’s; tape coming back from CPA; the V9 tape is sent to CPA by job BNQE100A once a quarter; CPA adds stuff to it and sends it back for us to process and create C58R2’s, Reimbursing Accounts Fund Source statements |
| 97 | Send | Quarterly | CPA | TXQS0032 | File containing Employer ID, Employer Name, and ZIP code for all active employers |
| 98 | Both | Offline / Daily | CPA | USAS | TWC UI Tax refund warrants <=$1000.00 with TWC auto generated Payee ID + Mail Code |
| 99 | Both | Offline / Daily | CPA | USAS | TWC UI Tax refund warrants >$1000.00 with manually input Payee ID + Mail Code |
| 100 | Receive | Offline / Daily | CPA | Voucher Info | TWC get of one (1) USAS Voucher file from Comptroller |
| 101 | Send | Offline / Monthly | TX Department of Information Resources | TWC Phone Calls | Provides monthly phone data for TWC |
| 102 | Receive | Offline / Weekly | TX Department of Public Safety | TxDPS Driver License download | Weekly update of Driver License table |
| 103 | Both | Offline / Quarterly | TX Guaranteed Student Loan Corp | Wage records | To provide TGSLC with wage records for their collections activities |
| 104 | Both | Offline / Quarterly | TX Higher Education Coordinating Board | Wage Records | Open Records contract |
| 105 | Receive | Offline / Weekly | TX Secretary of State | Prospect File/ SOS Corporate Weekly File | Tax |
| 106 | Receive | Offline / Quarterly | UMC Healthcare | C3 & C4 receipt | Secure transfer of PII between the customer and TWC​ |
| 107 | Send | Offline / Quarterly | University of TX Ray Marshall Center | Wage Entire File Transfer by Qtr. | Wage Record transfer of entire quarterly file for a specified wage quarter |
| 108 | Send | Online / On Request | Various Agencies | Wages by SSN | Wage records, typically for universities |
| 109 | Receive | Offline / Quarterly | Walmart | C3 & C4 Filing | Receives one (1) file |
| 110 | Receive | Offline / Daily | Walton Management | Form 8850 FTP | ​Secure transfer of data |
| 111 | Receive | Offline / Quarterly | West Gulf Maritime | C3 & C4 Filing | Receives one (1) file |
| 112 | Both | Offline / On Request | West Texas A & M | Wage Records | ​Secure transfer of data |

### A7.2 Benefits

| **#** | **Direction** | **Mode / Frequency** | **System** | **Name** | **Overview** |
| --- | --- | --- | --- | --- | --- |
| 1 | Both | Batch / Weekly | APPRISS | APPRISS Data | APPRISS data used to prevent claimants from receiving UI benefits while unavailable for work (incarcerated) |
| 2 | Receive | Online / Daily / Weekly | AT&T | BO330 response from AT&T TTEC phone calls | Claimant responses from AT&T; AT&T (TTEC) takes TOP phone calls​ and sends 60-day letter information to AT&T weekly |
| 3 | Send | Offline / Weekly | AWARE | UI data for AWARE | Data is used to support the AWARE application |
| 4 | Receive | Pseudo Batch/ Daily | Computer Science Corporation | Alien ID Verification (SAVE) | Retrieve responses from alien ID verification |
| 5 | Send | Pseudo Batch/ Daily | Computer Science Corporation | Alien ID Verification (SAVE) | Send alien IDs from claims taken for verification |
| 6 | Send | Batch / Daily | Debit Card Vendor (currently US Bank) | Debit card enrollment | Enrollment and address maintenance data shared with debit card vendor to establish accounts and keep addresses current |
| 7 | Receive | Batch | Debit Card Vendor | Debit Card Report | Various reports generated by debit card vendor |
| 8 | Receive | Pending Batch/ Daily | Debit Card Vendor | Debit card void by statute process | Process debit card payments for cards not activated at the one-year anniversary of issuance |
| 9 | Both | Batch / Daily | Debit Card Vendor | Enrollment File Response | Retrieve account numbers established and verification of address updates |
| 10 | Send | Batch/ Daily | Dept. of Army Economic Manpower | Electronic version of BD610/615 | Electronic Version of notification of application for unemployment benefits (initial claim) and request for work separation information (additional claim) |
| 11 | Send | Manual | Dept. of Army Economic Manpower | Electronic version of BE515E/F | Electronic Version of Quarterly detail of benefits paid to former federal employees |
| 12 | Send | Batch / Sunday | DOL | ETA 563 Report | Generates the ETA 563 Report |
| 13 | Send | Batch / Quarterly | DOL | QUARTERLY ETA 563 REPORT | Generates the quarterly ETA 563 Report |
| 14 | Send | Batch / Quarterly | DOL | QUARTERLY ETA 586 REPORT | ETA 586 Report: CWC quarterly counts |
| 15 | Send | Batch / Daily | EDI Trading partners (Equifax) | EDI data outbound to Equifax | Sends EDI files to trading partners |
| 16 | Receive | Batch / Daily | Equifax | EDI File Transfer HFS to Mainframe | Receiving EDI chargeback responses and acknowledgements from Equifax |
| 17 | Send | Batch / Daily | Equifax | EDI File Transfer to Equifax | Runs daily depending on number of trading partners on Benefits systems; One job for each trading partner to send ACK file to them and payload to TWC/HFS |
| 18 | Send | Batch / Daily | Equifax | EDI Resend | Builds dynamic FTP Job Control Language (JCL) jobs |
| 19 | Send | Batch / Daily | Equifax | Employer chargeback | EDI - FTP Chargeback notifications. |
| 20 | Send | Batch / Monthly | DOL | ETA 203 report | Two files: Characteristics of Insured Unemployed report |
| 21 | Send | Batch / Quarterly | DOL | ETA 207 report | Two files: Summary of non-monetary determination activities for a specific month |
| 22 | Send | Batch / Quarterly | DOL | ETA 218 report | Two files: Summary of payment activity for a specific quarter |
| 23 | Send | Batch / Quarterly | DOL | ETA 227 report | Two files: Summary of overpayments for a specific quarter or month |
| 24 | Send | Batch / Weekly | DOL | ETA 538 data to the SUN system | ETA Data 538 to SUN System: report of claims counts for a specific week |
| 25 | Send | Batch / Monthly | DOL | ETA reports | Three files: claim counts for a specific month |
| 26 | Send | Batch / Weekly | DOL | QC sample extract | Three files: QC sample HIT file and additional extract information |
| 27 | Send | Online / Annually | IRS | Annual 1099-G file to IRS | Filing 1099-G to IRS |
| 28 | Both | Batch / Weekly | General Motors | General Motors Claimant crossmatch | GM mass layoff for crossmatch |
| 29 | Both | Online | Hosted IVR | RPC/BN11/CALLNAT | Web service to exchange data with AT&T/TTEC hosted IVR; differs from data connection for TOP IVR application |
| 30 | Send | Batch / Quarterly | ICON system to Q drive then to MSDES (Military State Data Exchange System) website | UCX (military) quarterly billing file | Quarterly military bill to federal website for TWC reimbursement |
| 31 | Send | Online / Run by conditions | IRS | Overpayment Treasury transmission to IRS | For IRS to intercept overpayments of Claimants, send an email with transmission file information, and receive an error file of any transmission errors from IRS |
| 32 | Receive | Tied to Transmission | IRS | TOP transmission error file | IRS validates our transmission file and generates an error file we process |
| 33 | Receive | Online / Run by trigger file | IRS | TOP weekly eligible debt extract | Receive IRS weekly intercept file |
| 34 | Receive | Online / Weekly | IRS | TOP weekly intercept | TOP overpayment intercept |
| 35 | Send | Email | IRS | Transmission file details | IRS requires that specific information associated with our transmission file is sent before transmission |
| 36 | Send | Batch / Weekly | LMCI | Claim extract process | Extracts of claims, continued claims and exhaustee data |
| 37 | Send | Batch / Weekly | LMCI | LADT IC, AC, RO update process | Report of LADT IC, AC and RO claims established |
| 38 | Send | Batch / Monthly | Lockheed Martin | ETA 902 report | DUA claim monthly report |
| 39 | Send | Batch / Monthly | Lockheed Martin | Non-Mon lapse report | Two files: non-monetary time lapse report |
| 40 | Receive | Ad Hoc / Daily | Louisiana and Mississippi Workforce | Incoming work registration verification requests from another state | File to be verified for another state if Claimant is registered in WIT |
| 41 | Send | Online / Daily | Louisiana and Mississippi Workforce | Outgoing work registration verification requests to another state | Verified response file |
| 42 | Receive | Online / Daily | Louisiana and Mississippi Workforce | Return file-Work registration verification incoming response file | Response file of verified TX Claimants |
| 43 | Send | Batch / Daily | Louisiana and Mississippi Workforce | Work registration verification outgoing file | Verify if registered for work search: SSN, verifying status |
| 44 | Receive | Online / Daily | Nearstar | Nearstar pdf verification update | Nearstar pdf verification update |
| 45 | Both | Every 10 minutes, 24/7 | SIDES | UI SIDES | Provides Claimant (employee) information from the Employer between states for use in determining benefit entitlement |
| 46 | Send | Batch / Monthly | SUN SPARC | ETA reports | Puts one file |
| 47 | Receive | Batch / Weekly | TDI | TDI crossmatch data retrieval | To retrieve the most recent TDI crossmatch file from TDI |
| 48 | Both | Online | Tele-Serv IVR | BNV4,BNV5,BNV6,BNV7,BNV8,EMP1 | Benefits systems TN3270 screens used to screen scrape data between Benefits system and IVR |
| 49 | Send | Online / Daily | TWIST | BNDQ520A daily IC new Claimant to TWIST | TWIST new claim data |
| 50 | Receive | Batch / Daily | TWIST | Code-1 address validation for TWIST | 2/11/05-Updated per TWIST batch unit |
| 51 | Receive | Batch / Daily | TWIST | Interface to UI for HCTC | 2/11/05-Added per TWIST batch unit |
| 52 | Send | Batch / Daily | TWIST | New claims in last 11 weeks | Daily TWIST new claims reformat and transfer |
| 53 | Send | Batch / Daily | CPA | ACH payment transmission | ACH payment file sent to Comptroller;  RTM requests the release of this job |
| 54 | Receive | Batch / Daily | CPA | ACH return | ACH return file (rejected accounts) with name, amount, and account info from Comptroller |
| 55 | Send | Batch / Quarterly | CPA | Chargeback/ payment information for all state agency accounts | Quarterly chargebacks/payments all state agency accounts to CPA |
| 56 | Send | Batch / Annually | CPA | Format quarterly C58-R2 tape (3rd quarter run only) | Tax C58-R2 reimburse state agency chargeback summary |
| 57 | Receive | Batch / Daily | CPA | Void warrant process | Process voids uncashed warrants at the one-year anniversary of issuance |
| 58 | Receive | Batch/ Daily | CPA | Warrant cancellation | Receive response to warrant cancel request |
| 59 | Send | Batch/ Daily | CPA | Warrant cancellation | Send request to cancel a warrant |
| 60 | Send | Batch / Daily | CPA | Warrant Hold | TWC Debt to be recovered by intercepting CPA Warrants |
| 61 | Send | Batch / Daily | CPA | Warrant register and payments | Comptroller get of two (2) Warrant Register Report and two (2) daily payment issuance files from TWC |
| 62 | Receive | Batch / Weekly on Tuesday | TDCJ | Texas Dept. of Criminal Justice crossmatch | TDCJ data used to prevent claimants from receiving UI benefits while unavailable for work (incarcerated) |
| 63 | Send | Batch / Bi-Weekly | TX DSHS | BNDEASEN (UI IC/CC data to DSHS for death cross match) | Send UI IC/CC data to DSHS for death cross match |
| 64 | Receive | Batch / Bi-Weekly | TX DSHS | Death match file from DSHS | Death cross match response file from DSHS |
| 65 | Receive | Batch / Monthly | TX Guarantee Student Loan Corp | (Deactivated) Texas Guaranteed Student Loan | TGSL data exchange |
| 66 | Send | Batch / Monthly | TX Guaranteed Student Loan Corp | (Deactivated) Texas Guaranteed Student Loan | Puts one file return to TGSL Corp of matches |
| 67 | Receive | Offline / Monthly Annual - year-end report | HHSC | FS log file also known as Batch Interface- SNAP log file | Used for allocation of benefits on a monthly basis and for recipient characteristics for the annual SNAP plan |
| 68 | Receive | Batch / Monthly | HHSC | HHSC monthly claim information request | HHSC sends SSNs requesting claim information |
| 69 | Send | Batch / Weekly | HHSC | NDNH request file | File sent to DHS to be compared with NDNH |
| 70 | Receive | Batch / Sunday | HHSC | New hire audit | Matches against NDNH |
| 71 | Send | Online / Monthly | HHSC | Return claim information request to HHSC | Returning claim Information requested by HHSC |
| 72 | Receive | Online / Daily (M-F) | HHSC | SSN verification | Response file SVES format |
| 73 | Send | Batch / Daily | HHSC | SSN verification | Verify SSNs on new Texas claims or individual changes (DOB, etc.) sent to HHSC (Texas’ Hub to SSA) SVES format |
| 74 | Send | Batch / Quarterly | HHSC | New hire benefit extract | Benefits information extra for new hire child support enforcement and DFPS |
| 75 | Receive | Batch / Weekly | TX Office of Attorney General | OAG CS intercept load | Child support payment intercept data to be used in the UI Benefits weekly run on Friday. |
| 76 | Send | Batch / Quarterly | TX Office of Attorney General | OAG CS new hire wage extract | Extract of quarterly wages for OAG |
| 77 | Send | Batch / Daily | TX Office of Attorney General | OAG CS payment intercept | Daily child support intercept detail for OAG |
| 78 | Receive | Batch / Daily | TX Office of Attorney General | OAG daily new hire audit | New hire audit |
| 79 | Receive | Batch / Weekly | TX Office of Attorney General | OAG new hire | State new hire data |
| 80 | Send | Online / Annually | TX State Auditor Office | Annual Fiscal 1099-G to State Auditor Office | Extract of claimant 1099 data for the fiscal year: Requested by Director of Accounting Services and RTM |
| 81 | Receive | Batch / Weekly | TX Workers Compensation Commission | TWCC crossmatch data retrieval and extract | Overpayment fraud; TWCC crossmatch data retrieval and extract |
| 82 | Send | Batch / Monthly | DOL | ETA9051 Continued weeks’ time lapse data | Monthly internal reports, continued claims time lapse: ETA9051 to USDOL |
| 83 | Send | Batch / Monthly | DOL | ETA9050 first payment time lapse data | Internal Reports: first payment time lapse data: ETA9050 file to US/DOL/ETA |
| 84 | Send | Batch / Daily | Vendor of the federal ICON HUB contract | Exports responses | ICON - no FTP |
| 85 | Send | Batch / Daily | Vendor of the federal ICON HUB contract | FCCC initial claims | ICON - no FTP |
| 86 | Send | Batch / Daily | Vendor of the federal ICON HUB contract | IB13-CWC | ICON - no FTP |
| 87 | Receive | Batch / Daily | Vendor of the federal ICON HUB contract | IB6 discrepancy | ICON - no FTP |
| 88 | Send | Batch / Weekly | Vendor of the federal ICON HUB contract | ICON/LADT | ICON - no FTP |
| 89 | Receive | Batch / Weekly | Vendor of the federal ICON HUB contract | LADT data from vendor of the federal ICON HUB contract | ICON |
| 90 | Send | Batch / Daily | Vendor of the federal ICON HUB contract | Liable state IB-1 | ICON - no FTP |
| 91 | Both | Online / Daily | Vendor of the federal ICON HUB contract | UI/Combined Wage Claim IB4 | ICON - no FTP |
| 92 | Both | Batch / Daily | Vendor of the federal ICON HUB contract | UI/CWC | ICON - no FTP |
| 93 | Send | Batch / Daily | Vendor of the federal ICON HUB contract | UI-CWC | ICON - no FTP |
| 94 | Send | Batch / Daily | Vendor of the federal ICON HUB contract | Wage transfer request | ICON - no FTP |
| 95 | Both | Batch / Daily | Vendor of the federal ICON HUB contract Lockheed Martin | IB6 transactions | ICON - no FTP |
| 96 | Send | Batch / Daily | WIT | Automatic registration | Most UI Claimants are required to register for work within three (3) days of filing their UI claim; this interface provides automatically generated work registrations for all Claimants who failed to register within the first seven (7) days after filing |
| 97 | Receive | Daily | WIT | RESEA failure to attend | WIT notifies UI Benefits when claimants fail to attend RESEA mandatory meetings |
| 98 | Send | Daily | WIT | RESEA rescheduling | UI Benefit notifies WIT to reschedule RESEA orientation meetings for claimants who failed to attend |
| 99 | Send | Daily | WIT | RESEA Pool | UI Benefits sends WIT new claimants to be scheduled for RESEA |
| 100 | Receive | Batch/ Daily | WIT | RESEA - Letter Print Process - Receive Print Status | Send metadata to UI Benefits system about RESEA scheduling to support ETA 9128 and ETA 9129 reports |
| 101 | Send | Weekly | WIT | Rapid Reemployment Model (RREM) scoring | UI Benefits sends RESEA scores to WIT |
| 102 | Send | Batch/ Daily | WIT | Unregistered claimants interface | Most UI Claimants are required to register for work within three (3) days of filing their UI claim; this interface creates transactions to be processed by the Automatic Registration interfaces, which automatically generates work registrations for all Claimants who failed to register within the first seven (7) days after filing |
| 103 | Send | Daily/ Real time and Batch | WIT | UI Status at Registration | Provide claimant demographics to WIT for new work registration process and auto-registration |
| 104 | Send | Batch/ Daily | WIT | Exhausted and Expired Claims | Notify WIT when a claim exhausts or expires; used to update claimant status of job seeker in WIT |
| 105 | Send | Batch/ Daily | WIT | UI to WIT Address Updates | Notify WIT when claimant updates their address in UI Benefits system |
| 106 | Receive | Batch/ Daily | WIT | Job Match Alert - No Response | WIT notifies UI Benefits that a claimant has failed to respond to job match alerts |
| 107 | Receive | Batch/ Daily | WIT | Job Match Alert - Response | WIT notifies UI Benefits of issues related to job match alerts, including work refusals and new hires |
| 108 | Send | Batch/ Daily | WIT | UI Status at Claim Filing | Notify WIT that a job seeker has an active UI claim |
| 109 | Receive | Real time | WIT | UI Tax - Employer Verification | WIT sends Federal Tax ID to UI Tax to get employer’s TWC account number; used during Employer Registration in WIT |
| 110 | Receive | Batch/ Daily | WIT | UI Benefits - RESEA Notification – Failure to Respond | WIT notifies UI Benefits when claimants fail to attend RESEA orientation meetings |
| 111 | Receive | Batch/ Daily | WIT | UI - Job Match Alert – Send Letters | Currently maintained by UI Tax; WIT sends print data |
| 112 | Send | Batch/ Monthly | WIT | UI Tax Placement Tracking Interface | WIT compares job referrals with UI Tax quarterly wage records to determine new hire statistics |
| 113 | Send | Batch/ Daily | WIT | UI to WIT Wage Demand | Notify WIT of claimant wage demand; used for job matching purposes |
| 114 | Receive | Real Time/ Daily | WIT | WIT Extract to UI - IVR | Get number of job match alerts issued by WIT for the claimant in the past 90 days |
| 115 | Receive | Batch/ Daily | WIT | WIT Extract to UI - Out of State Registration Verification | Check if WIT has a work registration on file for Texas claimants who reside in another state |
| 116 | Send | Batch / Quarterly | ICON system to Q drive then to FSDES (Federal State Data Exchange System) website | UCFE (Federal) quarterly billing file | Quarterly bill to federal website for TWC reimbursement |
| 117 | Send | Real time | Vendor of the federal ICON HUB contract | UIQ | SSN validation |
| 118 | Send | Real time | Vendor of the federal ICON HUB contract | SID/IBIQ | Search for wages in other states when taking an initial claim |

### A7.3 Appeals

| **#** | **Direction** | **Mode / Frequency** | **System** | **Name** | **Overview** |
| --- | --- | --- | --- | --- | --- |
| 1 | Send | Batch/  Daily | Clear2There | AP\*\*\*204C | Sends hearing data to Clear2There for hearing; puts three appeals files to Clear2There FTP site |
| 2 | Receive | Batch/  Daily | Clear2There | AP\*\*\*204D | Compares hearing data with data on Clear2There to ensure accuracy; get three files to compare with TWC ones that has transmitted. |
| 3 | Receive | Batch/  Daily | Clear2There | AP\*\*\*204E | Gets hearing data from Clear2There after hearing to populate TWC database; get three files from Clear2There |

## Attachment 8 – UI Report Summary

The tables below contain a list of current reports. Some reports are system workarounds due to lack of work queues and dashboards. Awarded Vendor must develop all reports, reengineer existing reports, or build equivalent functionality into their solution. Offeror must describe all system reports that are included as part of the base system.

Awarded Vendor must develop all reports including those not listed in these tables, either implemented after this RFO is posted or accidentally omitted. TWC has made every effort to be inclusive but there is always the possibility of oversight.

### A8.1 Tax

**Reports**

| **#** | **Frequency** | **Job Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Daily | TSDM0180 | DP Wage Adjustment Error Listing |
| 2 | Daily | TXDC0010 | FTD Assignment Report |
| 3 | Daily | TXDC0110 | Rate Stops Released by AE's, MTD for Current Month |
| 4 | Daily | TXDC0560 | Statement of Account Update - Error List |
| 5 | Daily | TXDDAILY | System Output Messages |
| 6 | Daily | TXDF0001 | Invalid FTK - System Output Message |
| 7 | Daily | TXDF0001 | Invalid UTS Users - System Output Message |
| 8 | Daily | TXDF0710 | Run to Run Controls |
| 9 | Daily | TXDF0720 | Change Responsible Accounts Examiner |
| 10 | Daily | TXDF0762 | Field Request Control Letter |
| 11 | Daily | TXDF888R | Document Imaging Submissions Report |
| 12 | Daily | TXDM0191 | Accounts - Wage Adjustment Error Listing |
| 13 | Daily | TXDM0191 | Reimbursements Owed Reduced to Zero |
| 14 | Daily | TXDM0202 | C-5 Edited for Status Bankrupt/C-5 Edited for Status Code C, J, P, F, U |
| 15 | Daily | TXDM0202 | DP Batch Control Group Listing |
| 16 | Daily | TXDM0202 | DP Data Entry Transaction Listing |
| 17 | Daily | TXDM0202 | Quarterly Report Error Listing |
| 18 | Daily | TXDM0202 | Supplemental Reports Transaction List |
| 19 | Daily | TXDM0202 | Supplemental Reports Transaction List - Bankrupt Accounts |
| 20 | Daily | TXDM0202 | Supplemental Reports Transaction List - Non-Duplicate and Non-Bankrupt Reports |
| 21 | Daily | TXDM0203 | Partial/Total Journal Entry Error List |
| 22 | Daily | TXDM0203 | Total Acquisitions w/o Joint Application |
| 23 | Daily | TXDM0211 | Reverse Erroneous Credit Error Listing |
| 24 | Daily | TXDM0224 | Adjustments to Quarterly Charges |
| 25 | Daily | TXDM0231 | Allocate Remittance Error Listing |
| 26 | Daily | TXDM0231 | Credit Transfer Error Listing |
| 27 | Daily | TXDM0231 | Reinstate Credit/Tolerance Error List |
| 28 | Daily | TXDM0251 | Daily List of 940 Federal Certification |
| 29 | Daily | TXDM0251 | FUTA Certification Error Report |
| 30 | Daily | TXDM0271 | Aged Refund Report - 45-59 Days Old |
| 31 | Daily | TXDM0271 | Aged Refund Report (By Check Digit) |
| 32 | Daily | TXDM0271 | Aged Refund Report (By Date Entered) |
| 33 | Daily | TXDM0271 | Refund Approval Error Listing |
| 34 | Daily | TXDM0271 | Refund Batch Summary |
| 35 | Daily | TXDM0281 | Accounts Transaction Listing |
| 36 | Daily | TXDM0281 | System Allocation Transaction Listing |
| 37 | Daily | TXDQ0011 | Deposit List |
| 38 | Daily | TXDQ0103 | Non-Liable Remittances Posted to the Cash Journal |
| 39 | Daily | TXDQ0140 | Estimated Reports Errors |
| 40 | Daily | TXDQ0261 | Controller Refund Audit Report |
| 41 | Daily | TXDQ0261 | Refund Transaction Audit Report |
| 42 | Daily | TXDQ1040 | Error List - Increasing Adjustments for Same Quarter and Same Tax Run |
| 43 | Daily | TXDQ1351 | Service Agent Audit Report |
| 44 | Daily | TXDQ1351 | Service Agent Credit Report |
| 45 | Daily | TXDR0330 | Processing EID Report |
| 46 | Daily | TXDR0332 | System Output Message Report |
| 47 | Daily | TXDR0380 | Accounts with Zero Rated Quarters |
| 48 | Daily | TXDR0380 | Change of Contribution Rate |
| 49 | Daily | TXDR0380 | Status Error List |
| 50 | Daily | TXDR0390 | Daily Tax Rate Exception List |
| 51 | Daily | TXDR0392 | Collection Restricted Rate Changes |
| 52 | Daily | TXDR0393 | HB 3250 Daily Tax Rate Exception List |
| 53 | Daily | TXDR0394 | HB 3250 Daily Tax Rate Exception List (Master) |
| 54 | Daily | TXDR0394 | HB 3250 Rate Activity List (Master) |
| 55 | Daily | TXDS0062 | Problem Predecessor/Successor Accounts |
| 56 | Daily | TXDS0070 | Reopened Accounts |
| 57 | Daily | TXDS0070 | Run to Run Controls for Political Subdivisions |
| 58 | Daily | TXDS0071 | Accounts Changing to Liable |
| 59 | Daily | TXDS0071 | Accounts with Possible FCQ Errors |
| 60 | Daily | TXDS0071 | DB2 System Output Messages |
| 61 | Daily | TXDS0071 | New Non-Profit Organizations |
| 62 | Daily | TXDS0071 | No Rerate Transaction for EID |
| 63 | Daily | TXDS0072 | Accounts with Changes to 1st Wages Date Only |
| 64 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (all account number series) |
| 65 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 00-09) |
| 66 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 10-19) |
| 67 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 20-28) |
| 68 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 29-31) |
| 69 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 32-40) |
| 70 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 41-50) |
| 71 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 51-60) |
| 72 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 61-70) |
| 73 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 71-80) |
| 74 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 81-90) |
| 75 | Daily | TXDS0081 | Quarterly Report Errors from Status: Error (Number Series 91-99) |
| 76 | Daily | TXDS0081 | Quarterly Report Errors from Status: Liable Active |
| 77 | Daily | TXDS0081 | Quarterly Report Errors from Status: Liable Inactive/Terminated |
| 78 | Daily | TXDS0081 | Quarterly Report Errors from Status: Pending/Not Liable |
| 79 | Daily | TXDS0082 | C-3 Change Report |
| 80 | Daily | TXDS0082 | C-5 Adjust Total and/or Taxable Wages |
| 81 | Daily | TXDS0082 | Quarterly Report Errors from Status: Error (all account number series) |
| 82 | Daily | TXDS0082 | Quarterly Report Errors from Status: Liable Active |
| 83 | Daily | TXDS0082 | Quarterly Report Errors from Status: Liable Inactive/Terminated |
| 84 | Daily | TXDS0082 | Quarterly Report Errors from Status: Pending/Not Liable |
| 85 | Daily | TXDS0082 | Refunds |
| 86 | Daily | TXDS0090 | Assignment Groups |
| 87 | Daily | TXDS0090 | DLN Cross Reference |
| 88 | Daily | TXDS0090 | Itemized Discrepancy List |
| 89 | Daily | TXDS0090 | Released Documents by Control Group |
| 90 | Daily | TXDS0090 | Status Transaction Errors |
| 91 | Daily | TXDS0091 | Accounts Changing to Error |
| 92 | Daily | TXDS0091 | Month-To-Date Performance Measures Summary |
| 93 | Daily | TXDS0091 | New Determinations - 180 Days |
| 94 | Daily | TXDS0091 | New Determinations - 90 Days |
| 95 | Daily | TXDS0091 | Successor Determinations - 180 Days |
| 96 | Daily | TXDS0091 | Successor Determinations - 90 Days |
| 97 | Daily | TXDS0100 | Mag Tape C-3's Posted to Pending Account |
| 98 | Daily | TXDS0100 | No Status Master File |
| 99 | Daily | TXDS0121 | Power of Attorney Account Revoked |
| 100 | Daily | TXDS0121 | Power of Attorney Accounts Approved |
| 101 | Daily | TXDS0801 | C-198 Error Report |
| 102 | Daily | TXDS0806 | Employer Statement of Reports Due |
| 103 | Daily | TXDT0026 | Invalid TDC Screen Data |
| 104 | Daily | TXDT0026 | Invalid TDE Screen Data |
| 105 | Daily | TXDT0031 | City Deck Errors |
| 106 | Daily | TXDT0120 | Status Code 1 Address Reject List |
| 107 | Daily | TXDT0820 | Invalid Account on Image Viewer |
| 108 | Daily | TXDT1050 | Accounts with QuickFile Uploads Not Posted to EMF |
| 109 | Daily | TXDW080A | FTP C-7 Change Log |
| 110 | Daily | TXDW080A | FTP C-7 Wage Adjustments Not Processed |
| 111 | Daily | TXDW1020 | Recap for Daily Assignment Run |
| 112 | Daily | TXDW380P | Wages Not Loaded |
| 113 | Daily | TXDZ0020 | 2008 Surplus Credit No TINs Number on Table (TXZB031U) |
| 114 | Daily | TXDZ0100 | Surplus Credit Refund Records Sent to USAS |
| 115 | Daily | TXDZ0210 | Surplus Credit - 2007 Overpayments for MM-DD-YYYY |
| 116 | Daily | TXDZ0210 | Surplus Credit - 2008 Overpayments for MM-DD-YYYY |
| 117 | Daily | TXDZ0210 | Surplus Credit Refunds Returned on USAS HX File |
| 118 | Daily | TXDZ0300 | Surplus Credit Refunds Requested from Tax that have not received payment for 7 or more days |
| 119 | Daily | TXQ100F1 | QuickFile System Output Messages |
| 120 | Weekly | TXWF0030 | Report Delinquency by Review Date |
| 121 | Weekly | TXWQ0060 | Aged Unallocated Remittances (7-13 Days, 14-20 Days, 21-28 Days, Over 28 Days) |
| 122 | Weekly | TXWQ0062 | Aged Unallocated Remittances (Over 28 Days) |
| 123 | Weekly | TXWS0010 | Weekly Status Address Totals for Tax Examiners |
| 124 | Weekly | TXWS0010 | Weekly Status C10 Totals for Tax Examiners |
| 125 | Weekly | TXWS0010 | Weekly Status C10P Totals for Tax Examiners |
| 126 | Weekly | TXWS0010 | Weekly Status Suspend Totals for Tax Examiners |
| 127 | Weekly | TXWS0020 | DB2 Table Errors |
| 128 | Weekly | TXWS0022 | AE User ID Conflict Report |
| 129 | Weekly | TXWT0013 | Archive Retrieval Errors |
| 130 | Weekly | TXWT0025 | Accounts Being Reinstated |
| 131 | Weekly | TXWWTOTS | Summarization of Weekly Wage Record Totals for the Week Ending |
| 132 | Monthly | QCM0001 | Inactive Sampling Hit File Listing |
| 133 | Monthly | QCM0001 | New Sampling Hit File Listing |
| 134 | Monthly | QCM0001 | Successor Sampling Hit File Listing |
| 135 | Monthly | TXMC0110 | Rates Stops Released by AE's, Prior Month |
| 136 | Monthly | TXMC0214 | Tax Lien Activity |
| 137 | Monthly | TXMF0040 | Non-ACAP Assignments by Bill Code and Amount |
| 138 | Monthly | TXMF0040 | Report Delinquency by Quarter and Bill Code |
| 139 | Monthly | TXMF0120 | Exception Distribution Control Report |
| 140 | Monthly | TXMF0155 | Production Summary Report |
| 141 | Monthly | TXMF0190 | Address Changes by Tax Area |
| 142 | Monthly | TXMF0241 | Assignment Transfer Control Report |
| 143 | Monthly | TXMF0241 | Unreleased Assignments |
| 144 | Monthly | TXMF0250 | Report Delinquency DLA Report |
| 145 | Monthly | TXMF0250 | Statewide Delinquency DLA Report |
| 146 | Monthly | TXMF0810 | Audit Detail Listing |
| 147 | Monthly | TXMF1170 | Post Audit Response Letter Log |
| 148 | Monthly | TXMF1170 | Randomly Selected Audited Accounts |
| 149 | Monthly | TXMF888R | Document Imaging Submissions Summary Report |
| 150 | Monthly | TXMM0010 | Error Listing |
| 151 | Monthly | TXMM0010 | Monthly Management Report - Accounting Screen Actions by CTO Staff (also called Monthly Management Report Field Tax Operations by Group) |
| 152 | Monthly | TXMM0010 | Monthly Management Report - Collection Screen Actions (also called Monthly Management Report Collections Section by AE) |
| 153 | Monthly | TXMM0010 | Monthly Management Report - Collections Actions by CTO Staff (also called Monthly Management Report Collections Section by Group) |
| 154 | Monthly | TXMM0100 | Monthly Management Report Experience Rating |
| 155 | Monthly | TXMM0180 | Overpayment Detail Listing |
| 156 | Monthly | TXMM0230 | Monthly Refund Statistics by AE |
| 157 | Monthly | TXMM0610 | Unemployment Tax Percentage of Tax Collected |
| 158 | Monthly | TXMM0615 | Pending QRM REF without Released REF Assignments |
| 159 | Monthly | TXMQ0010 | Error Resolution Code Report |
| 160 | Monthly | TXMR0100 | Monthly Chargeback Adjustments |
| 161 | Monthly | TXMR0242 | Assignment Type by Zip Listing for Month Ending |
| 162 | Monthly | TXMR0242 | Assignments by Origin and Type for Month Ending |
| 163 | Monthly | TXMS0010 | Monthly My Assignments Report |
| 164 | Monthly | TXMS0010 | Monthly My Registrations Report |
| 165 | Monthly | TXMS0010 | Monthly Status Address Totals for Tax Examiners |
| 166 | Monthly | TXMS0010 | Monthly Status C10 Totals for Tax Examiners |
| 167 | Monthly | TXMS0010 | Monthly Status C10P Totals for Tax Examiners |
| 168 | Monthly | TXMS0010 | Monthly Status Suspend Totals for Tax Examiners |
| 169 | Monthly | TXMS0010 | Monthly Status Totals for Tax Examiners |
| 170 | Monthly | TXMS0010 | Total and Partial Transfer Activity Report |
| 171 | Monthly | TXMS0011 | Month to Date RQC Performance Measures |
| 172 | Monthly | TXMS0031 | Secretary of State Statistics |
| 173 | Monthly | TXMS0040 | Audit Rejects by Accounts Examiner |
| 174 | Monthly | TXMS0040 | Monthly B27 Report |
| 175 | Monthly | TXMS0040 | Monthly C1A Report |
| 176 | Monthly | TXMS0040 | Monthly C1N Report |
| 177 | Monthly | TXMS0040 | Monthly C3A Report |
| 178 | Monthly | TXMS0040 | Monthly C3C Report |
| 179 | Monthly | TXMS0040 | Monthly C3I Report |
| 180 | Monthly | TXMS0040 | Monthly CLR Report |
| 181 | Monthly | TXMS0040 | Monthly FLD Report |
| 182 | Monthly | TXMS0040 | Monthly OTR Report |
| 183 | Monthly | TXMS0040 | Monthly STA Report |
| 184 | Monthly | TXMS0040 | Monthly ZFQ Report |
| 185 | Monthly | TXMS0200 | Monthly Coverage Report |
| 186 | Monthly | TXMT0870 | Folder System Trace Report |
| 187 | Monthly | TXMT0875 | Tax Folder System Empty Request Report |
| 188 | Monthly | TXMT0972 | eCorrespondence Monthly Subscription Report |
| 189 | Monthly | TXMW219M | Monthly Wage Record Statistical Report |
| 190 | Monthly | TXSUSPCK | Possible Duplicate Suspense |
| 191 | Quarterly | BNQE200S | Prior Qtr Employer Chargeback Adjustment |
| 192 | Quarterly | BNQE200S | Prior Qtr Employer Shared - Chargeback Adjustment |
| 193 | Quarterly | BNQE200U | Charges Summary |
| 194 | Quarterly | BNQE200U | SUTA Charges Summary |
| 195 | Quarterly | BNQE200V | Non-Charge Summary |
| 196 | Quarterly | TXAB110R | Surplus Credit - Refunds over $50 with No Taxable Wages Paid (2007) |
| 197 | Quarterly | TXAB110R | Surplus Credit - Refunds over $50 with No Taxable Wages Paid (2008) |
| 198 | Quarterly | TXB620R | Extended Due Date Corrections - Current Quarter |
| 199 | Quarterly | TXFR3001 | FTD Delinquent Letter Error Report |
| 200 | Quarterly | TXIR0010 | Rate Factors for PSD |
| 201 | Quarterly | TXIR0020 | PSD Tax Rate Computations |
| 202 | Quarterly | TXIR0030 | Interim Rate Run - Sysout Messages |
| 203 | Quarterly | TXIR0040 | Late Payment Register |
| 204 | Quarterly | TXIR0040 | Rate Register Sample Report |
| 205 | Quarterly | TXQ100R1 | Quarterly QuickFile Report by Quarter Filed |
| 206 | Quarterly | TXQB153R | FTD Estimated Reports |
| 207 | Quarterly | TXQF0090 | Accounts Targeted for Audit - All Regions |
| 208 | Quarterly | TXQF0090 | Accounts Targeted for Audit - Region 13 |
| 209 | Quarterly | TXQF0090 | Accounts Targeted for Audit - Region 2 |
| 210 | Quarterly | TXQF0090 | Accounts Targeted for Audit - Region 4 |
| 211 | Quarterly | TXQF0090 | Accounts Targeted for Audit - Region 6 |
| 212 | Quarterly | TXQF0090 | Accounts Targeted for Audit - Region 7 |
| 213 | Quarterly | TXQF0090 | Accounts Targeted for Audit - Region 8 |
| 214 | Quarterly | TXQF0090 | Accounts Targeted for Audit - Region 9 |
| 215 | Quarterly | TXQF0110 | Closed Accounts |
| 216 | Quarterly | TXQF0115 | Closed Accounts - C3 Assign |
| 217 | Quarterly | TXQF0115 | Inactivated FTD Accounts |
| 218 | Quarterly | TXQF0116 | Waiver Report |
| 219 | Quarterly | TXQF0180 | Estimated Report Count |
| 220 | Quarterly | TXQF0340 | Employee Range Stratification Table |
| 221 | Quarterly | TXQF0340 | Employee Turnover Stratification Table |
| 222 | Quarterly | TXQF0340 | NAICS Stratification Table |
| 223 | Quarterly | TXQF0340 | Number of Accounts Per Point Range Table |
| 224 | Quarterly | TXQF0340 | Tax Rate Stratification Table |
| 225 | Quarterly | TXQF0500 | LBB - Performance Measures |
| 226 | Quarterly | TXQF0645 | Employer Self-Elect 201.024 Review Report |
| 227 | Quarterly | TXQF0650 | Quarterly FTD Count Report |
| 228 | Quarterly | TXQF0655 | FTD Exception Report |
| 229 | Quarterly | TXQM9921 | Monthly Paid Taxable Wage Controls |
| 230 | Quarterly | TXQR0080 | Chargeback Report |
| 231 | Quarterly | TXQR0084 | Chargeback Controls |
| 232 | Quarterly | TXQR0084 | Chargeback Exception List |
| 233 | Quarterly | TXQR0100 | Quarter Detail for Experience Rating Ratios |
| 234 | Quarterly | TXQR0100 | Quarter Detail for Experience Rating Ratios - System Output Messages |
| 235 | Quarterly | TXQS0010 | System Inactivated Accounts |
| 236 | Quarterly | TXQS0021 | IRS Letter Statistics |
| 237 | Quarterly | TXQS0030 | Quarterly RQC Performance Measures Summary |
| 238 | Quarterly | TXQS0031 | Balance File-ETA 581 Report - Sysout Messages |
| 239 | Quarterly | TXQS003P | Inact Accts: Zero Totwgs in Final Wages Qtr |
| 240 | Quarterly | TXQT0001 | Quarterly ETA-581 Reports |
| 241 | Quarterly | TXQT0010 | Taxable Wages and Tax by Quarter and Effective Rate |
| 242 | Quarterly | TXQT0100 | TPS Sampling by Region - Audits |
| 243 | Quarterly | TXQT0100 | TPS Sampling by Region - Collections |
| 244 | Quarterly | TXQT0100 | TPS Sampling by Region - Report Due |
| 245 | Quarterly | TXQT0100 | TPS Sampling by Region - Status Inactive |
| 246 | Quarterly | TXQT0100 | TPS Sampling by Region - Status New |
| 247 | Quarterly | TXQT0100 | TPS Sampling by Region - Status Succ |
| 248 | Quarterly | TXQT031F | Quarterly IPO Purge |
| 249 | Quarterly | TXQT031S | Quarterly IPO Purge |
| 250 | Quarterly | TXQW018E | Possible Problem Accounts Reporting C-4 Wages |
| 251 | Quarterly | TXQW056U | Invalid SSNs Changed to Pseudo SSNs |
| 252 | Quarterly | TXQW219Q | Quarterly Wage Record Statistical Report |
| 253 | Quarterly | TXQW240R | Summary Report for X/XX Qtr of Duplicate Wages |
| 254 | Annual | TXAR0300 | Quarterly Interim ETA-204 Experience Rating Reports |
| 255 | Annual | TXIR0070 | Political Subdivision Accounts |
| 256 | Annually | aid\_acct2.xlsx | Historical Rates Report |
| 257 | Annually | TXAC304S | Potential Audit Candidate - Taxable Wage Balancing a.k.a. Wage Comparison Employers w/Less Than 100 Employees |
| 258 | Annually | TXAF0011 | Assignment by Origin and Type |
| 259 | Annually | TXAF0011 | Assignment Types by Zip Code |
| 260 | Annually | TXAF0211 | 940 Assignment Listing - Unreleased |
| 261 | Annually | TXAF0220 | 940 Assignment Listing - Released After 6 Months |
| 262 | Annually | TXAF0240 | Serving Authority Listing |
| 263 | Annually | TXAF0320 | Required Electronic Reporting Statistics |
| 264 | Annually | TXAF0580 | NAICS - Misclassified Worker Audit Information |
| 265 | Annually | TXAF0585 | Small Employers - Total Wages > $1M |
| 266 | Annually | TXAF0585 | Small Employers - Total Wages >$500K |
| 267 | Annually | TXAF0713 | Audit Candidates by NAICS code |
| 268 | Annually | TXAF0713 | Audit Candidates Created by Tax Area and NAICS Code |
| 269 | Annually | TXAF991R | Annual EFT Eligible List |
| 270 | Annually | TXAQ0111 | Zero Taxable Wage 1st Quarter |
| 271 | Annually | TXAR0050 | NAICS 3-Digit Subsector Group Rate |
| 272 | Annually | TXAR0070 | Quarter Detail for Experience Rating Ratios - System Output Messages |
| 273 | Annually | TXAR0071 | Charges Over Maximum Rate Detail |
| 274 | Annually | TXAR0071 | Charges Over Maximum Rate Summary |
| 275 | Annually | TXAR0071 | Quarter Detail for Experience Rating Ratios |
| 276 | Annually | TXAR0090 | Late Payment Register |
| 277 | Annually | TXAR0100 | Deficit Tax Table for Year |
| 278 | Annually | TXAR0100 | Obligation Assessment Rates |
| 279 | Annually | TXAR0100 | Tax Table |
| 280 | Annually | TXAR0110 | Annual Rate Run - System Output Messages |
| 281 | Annually | TXAR0120 | Late Payment Register |
| 282 | Annually | TXAR0120 | Rate Register Sample Report |
| 283 | Annually | TXAR0131 | Deficit Tax Rate by 3 Digit Industry |
| 284 | Annually | TXAR0131 | Effective Tax Rate by 3 Digit Industry |
| 285 | Annually | TXAR0131 | General Tax Rate by 3 Digit |
| 286 | Annually | TXAR0131 | Interest Tax Rate by 3 Digit Industry |
| 287 | Annually | TXAR0131 | Recap by Rates for Deficit Tax Rate |
| 288 | Annually | TXAR0131 | Recap by Rates for Effective Tax Rate |
| 289 | Annually | TXAR0131 | Recap by Rates for General Tax Rate |
| 290 | Annually | TXAR0131 | Recap by Rates for Interest Tax Rate |
| 291 | Annually | TXAR0131 | Recap by Rates for OA Tax Rate |
| 292 | Annually | TXAR0131 | Recap by Rates for Replenishment Tax Rate |
| 293 | Annually | TXAR0131 | Replenishment Rate by 3 Digit Industry |
| 294 | Annually | TXAR0131 | Tax Rate Weighted Average |
| 295 | Annually | TXAR0131 | Three Year Benefit and Wages Statistics |
| 296 | Annually | TXAR0131 | Three Year Benefits Recap |
| 297 | Annually | TXAR0131 | Three Year Taxable Wage Recap |
| 298 | Annually | TXAR0150 | Annual Suppression List Sorted by AE & EID |
| 299 | Annually | TXAR0150 | Annual Suppression List Sorted by EID |
| 300 | Annually | TXAR0170 | Annual Correction Run - System Output messages |
| 301 | Annually | TXAR0190 | Rate Update Error List |
| 302 | Annually | TXAR0200 | Tax Rate Weighted Average Effective Rate - Final |
| 303 | Annually | TXAR0400 | Annual Domestic Rate Run - System Output Messages |
| 304 | Annually | TXAR0410 | Annual - Late Payment Register |
| 305 | Annually | TXAR0410 | Annual - Rate Register Sample Report |
| 306 | Annually | TXAR0430 | Annual - Rate Update Error List |
| 307 | Annually | TXAR0455 | Annual Suppression List Sorted by AE |
| 308 | Annually | TXAR0455 | Annual Suppression List Sorted by AE & EID |
| 309 | Annually | TXAS0010 | Active - Accounts Eligible for Termination under 8(C) 2 |
| 310 | Annually | TXAS0010 | Delinquent - Accounts Eligible for Termination Under 8(C)2 |
| 311 | Annually | TXAS0010 | Total - Accounts Eligible for Termination Under 8(C)2 |
| 312 | Annually | TXAS0040 | Internet Registration Deletions - Completes Older than Ten Years |
| 313 | Annually | TXAS0040 | Internet Registration Deletions - Incompletes Older than One Year |
| 314 | Annually | TXAT0740 | Eligible Accounts to Archive |
| 315 | Annually | TXAT0740 | Eligible Accounts to Archive Sorted by FEID |
| 316 | Annually | TXAT9401 | FEIDs with 2 TWC Accounts - 1st Run |
| 317 | Annually | TXAT9410 | FEIDs with 2 TWC Accounts - 2nd Run |
| 318 | Annually | TXAT9420 | Annual FUTA Certification System Output Messages (January) |
| 319 | Annually | TXAT9421 | 940 Certification Control Report |
| 320 | Annually | TXAT9430 | IRS BFM FUTA Certification Data Exchange File |
| 321 | Upon Request | TXRR0095 | Rebuild Rates Subfile |

### A8.2 Benefits

**DOL Reports – ETA Reports**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Weekly | 538 | Advanced IC & CC Report |
| 2 | Weekly | 539 | Weekly Claims and Extended Benefits Trigger Data |
| 3 | Monthly | 203 (ar) | Distribution of Characteristics of the Insured Unemployed |
| 4 | Monthly | 2112 (ar) | UI Financial Transaction Summary Unemployment Fund |
| 5 | Monthly | 5159 (ar,ae,aw) | Claims and Payment Activities |
| 6 | Monthly | 8401 (ar) | Monthly Analysis of Benefit Payment Account |
| 7 | Monthly | 8403 (mailed) | Summary of Financial Transactions - Title IX Funds (Reed Act Money) |
| 8 | Monthly | 8405 (ar) | Monthly Analysis of Clearing Account |
| 9 | Monthly | 8413 (ar) | Income - Expense Analysis, Unemployment Compensation (UC) Fund Benefit Payment |
| 10 | Monthly | 8414 (ar) | Income - Expense Analysis, UC Fund Clearing Account |
| 11 | Monthly | 902 (ar) | Disaster Payment Activities |
| 12 | Monthly | 9050 (ar, aw) | Time Lapse of All First Payments |
| 13 | Monthly | 9051 (ar, aw) | Time Lapse Counts for All Continued |
| 14 | Monthly | 9052 (ar) | Nonmonetary Determination Time Lapse Detection Date to |
| 15 | Quarterly | 191 (ar) | Statement of Expenditures and Adjustments for UCFE-UCX |
| 16 | Quarterly | 207 (ar, ae) | Nonmonetary Determination Activities |
| 17 | Quarterly | 218 (ar, ae) | Benefits Rights and Experience |
| 18 | Quarterly | 227 (ar) | Overpayment Detection / Recovery |
| 19 | Quarterly | 581 (ar) | Contribution Operations |
| 20 | Quarterly | 586 (ar) | Interstate Arrangement for Combining Employment and Wages |
| 21 | Quarterly | 9016 (ar) | Alien Claims Activities |
| 22 | Quarterly | 9048 (ar) | Worker Profiling and Reemployment Services |
| 23 | Quarterly | 9049 (ar) | Profiling and Reemployment Services Outcome |
| 24 | Quarterly | 9056 (ar) | Nonmonetary Determination Quality Data Collection |
| 25 | Quarterly | 9128 | Reemployment Services and Eligibility Assessment Workload |
| 26 | Quarterly | 9128X | Reemployment Services and Eligibility Assessment Workload |
| 27 | Quarterly | 9129 | Reemployment Services and Eligibility Assessment Outcomes |
| 28 | Quarterly | 9129X | Reemployment Services and Eligibility Assessment Outcomes |
| 29 | Quarterly | UI-3 (ar,as,at) | Quarterly Financial Report |
| 30 | Annually | 204 (ar) | Experience Rating Report (Note: 204 & 205 report were combined) |
| 31 | Annually | UI-1 (ar) | UI Travel Staff Years and Leave Hours |

**UIO&CS Reports**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Daily | IB Transaction processed yesterday | Provides daily account of IB transactions exported to ICON HUB from the benefits system, and received by the ICON HUB |
| 2 | Daily | IB Transaction received yesterday | Provides daily account summary of received IB transaction into the benefits and total amount of items exported from ICON HUB |
| 3 | Daily | UCFE transactions Received | Provides count of UCFE records sent to and from HUB from benefits system |
| 4 | Daily-Weekly | BNDC741F | Paper and electronic versions of IB6 bills |
| 5 | Daily-Weekly | BNDC745F | IB-6 Discrepancy Letters |
| 6 | Daily-Weekly | BNDD473F | TRA/TRX Overpayment report (this could be changed to a work item) |
| 7 | Daily-Weekly | BNDI485P | Mass Claims Error Report (this could be changed to a work item) |
| 8 | Daily-Weekly | BNDI995P | Unverified SSN Report |
| 9 | Daily-Weekly | BNDM885P | Wage Investigation Outcome Report |
| 10 | Daily-Weekly | BNDM925P | Monetary Parameters Changes-displays changes made to monetary parameters |
| 11 | Daily-Weekly | BNDO554P | TOP Payment Register Report |
| 12 | Daily-Weekly | BNDO555P | TOP TUC Payment Register Report |
| 13 | Daily-Weekly | BNDO558P | TOP EXB Payment Register Report |
| 14 | Daily-Weekly | BNDP181P | Non-mon Payment Trigger Removal |
| 15 | Daily-Weekly | BNDQ980P | TRA-NFT Claim Exhaust (list of exhausted claims, does not have data most of the time, seems to relate to EUC) |
| 16 | Daily-Weekly | BNDX014B | 5102-Open Records |
| 17 | Daily-Weekly | BNDX949P | New Account Report-distributed to Tele-Centers (we need to find a way around TCs creating employer account numbers which would eliminate this report and make everyone’s life easier) |
| 18 | Daily-Weekly | BNDX955Q | Daily Errors |
| 19 | Daily-Weekly | BNDY241A | Print Archive Report required by UIO&CS |
| 20 | Daily-Weekly | BNDZ010A | Incoming IB6 Discrepancy Report |
| 21 | Daily-Weekly | BNDZ035A | IB5 Resend Report |
| 22 | Daily-Weekly | BNDZ315A | Pending Acknowledgments |
| 23 | Daily-Weekly | BNDZ715A | Federal Entity Setup |
| 24 | Daily-Weekly | BNWEO50P | Tax Address Return Mail Summary |
| 25 | Daily-Weekly | BNWP020P | Shared Work Employee Compliance Report |
| 26 | Daily-Weekly | BNWQ190P | Prints ETA 538 and ETA 539 reports |
| 27 | Daily-Weekly | BNWQ210P | Prints ETA 5159 report |
| 28 | Daily-Weekly | BNWQ460A | Extracts ETA 218 analysis report |
| 29 | Daily-Weekly | BNWQ896B | Internet filings |
| 30 | Daily-Weekly | BNWT120P | Chargebacks Comparison |
| 31 | Daily-Weekly | BNWT130P | Batch Error Reports |
| 32 | Daily-Weekly | UILADTED | UI LADT Report |
| 33 | Weekly | UCFE Responses Weekly Monday report | Provides UCFE response that come in over the weekend |
| 34 | Monthly | BNME130P | Random Sample Parms Print |
| 35 | Monthly | BNME140P | Chargeback Decision Summary Report |
| 36 | Monthly | BNMQ360P | ETA Reports |
| 37 | Monthly | BNMQ370P | ETA Reports |
| 38 | Monthly | BNMQ371P | ETA Reports |
| 39 | Monthly | BNMQ380P | ETA Reports |
| 40 | Monthly | BNMQ385P | ETA Reports |
| 41 | Monthly | BNMQ395P | ETA Reports |
| 42 | Monthly | BNMQ400P | ETA Reports |
| 43 | Monthly | BNMQ405P | ETA Reports |
| 44 | Monthly | BNMQ420P | ETA Reports |
| 45 | Monthly | BNMQ430P | ETA Reports |
| 46 | Monthly | BNMQ480P | ETA Reports |
| 47 | Monthly | BNRQ365P | Prints monthly ETA 5159 |
| 48 | Quarterly | BNQC115F | Outgoing IB6 Statements |
| 49 | Quarterly | BNQE100F | Federal Billing Details |
| 50 | Quarterly | BNQE100P | ETA Reports |
| 51 | Quarterly | BNQQ380P | ETA Reports |
| 52 | Quarterly | BNQQ390P | ETA Reports |
| 53 | Quarterly | BNQQ420P | ETA Reports |
| 54 | Quarterly | BNQQ430P | ETA Reports |
| 55 | Quarterly | BNQQ460P | ETA Reports |
| 56 | Quarterly | BNQQ495A | BTQ Samples |
| 57 | Quarterly | BNQQ500M | Prints Separation Sample |
| 58 | Quarterly | BNQQ510M | Prints Non-Separation Sample |
| 59 | Quarterly | BNQQ615P | Prints Exhaustion Rate Summary Report |
| 60 | Quarterly | BNRQ500M | BTQ-Sep case sample |
| 61 | Quarterly | BNRQ510M | BTQ-Non-Sep case sample |
| 62 | Quarterly | BNRZ010A | Outgoing IB6 Base Records, claimant detail records and outgoing discrepancy report |
| 63 | Annual | BNAP010A | Claimant 1099 Extract |
| 64 | Annual | BNAP020A | Claimant 1099 Form Print |
| 65 | Annual | BNAQ135A | ETA Reports |
| 66 | Upon Request | BPIB6TOT | IB 6 Report |
| 67 | Upon Request | New Virgin Islands Claim | Provides notification of received IB response from VI |

**UI Business Support – Reports by Frequency**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Daily | Disaster Impacted Payments - REG | Daily accounting of UI payments made on REG claims to individuals who were disaster impacted |
| 2 | Daily | Disaster Impacted Payments - DUA | Daily accounting of DUA payments |
| 3 | Daily | DUA Open Assignments - 6 queries | Count, list, ED08 Complete, ED08 Pending, NM15, NM17  (report used to manage workflow-DUA related) |
| 4 | Daily | Two pay states query | Query alerts CWC when two claims with same IC date and two different pay states, CWC reviews validity of claim in order to request and receive wages |
| 5 | Daily | Puerto Rico responses | Query alert CWC staff of PR wage receipt, so Staff can provide correct IB5 charge liability notification to all participating other states. (workaround) |
| 6 | Daily | Dets suppressing wages on CWC | Alerts CWC of suppression determination that affect the IB5 charge liability amounts and notification to all participating states |
| 7 | Daily | VINET | Claims or Payment request that did not transfer from the INET holding tables to the benefits system for processing (Identifies breaks in workflow) |
| 8 | Daily | Transitional - Gap Claim | Create WW/SW for results (Identifies breaks in workflow) |
| 9 | Daily | 2 Waiting Weeks | Report listing those individuals who have 2 or more waiting weeks awaiting payment (Identifies breaks in workflow) |
| 10 | Daily | 2 Waiting Weeks DUA | Report listing those individuals who have 2 or more DUA waiting weeks awaiting payment (Identifies breaks in workflow) |
| 11 | Daily | Save Alien KSK | Alien ID information collected from Claimants that does not match the necessary format for transmission to SAVE (identifies formatting/data issues) |
| 12 | Daily | Daily Download | Used by various special programs   1. Mass Claims 2. Mass Layoff errors: summary list of mass layoff batch errors resulting in claims not being set up 3. Combined Wages 4. Return CWC-listed of voided claims with other states wages still attached 5. Federal Wage Request-List of CWC other state request to Fed wages assignable to TX 6. TRA 7. BNS 205 pulls 8. ATAA files |
| 13 | Daily | LP002 | Listing of SIDES LP responses with comments. List sent to AD&M Staff to delete (Identifies breaks in workflow) |
| 14 | Daily | Daily Error report | Produced by Benefits System. A Daily listing of errors that occurred in the nightly batch run |
| 15 | Daily | UI SIDES Daily | Daily query run from developer scripts to locate SIDES errors (amended responses and transmission errors) |
| 16 | Daily | Daily Download | Run in TSO moves daily error report and other items to R and Q drives for distribution to UI and Tele-Center staff |
| 17 | Daily | Cognos Health Check | Cognos automated. Monday through Friday every hour 8:00 a.m. to 6:00 p.m., used to help identify if Cognos system stops sending automated reports. |
| 18 | Daily | Payment Request Not Processed | Daily listing of payments requests that were accepted but not included in the payments run (Identifies breaks in workflow) |
| 19 | Daily | SIDES Additional Comments | Daily listing of SIDES responses with additional comments that Staff must review (Identifies breaks in workflow) |
| 20 | Daily | Incomplete Certifications | Daily listing of “incomplete” payment requests submitted by individuals. Staff contacts these individuals to resolve the issue (Identifies breaks in workflow) |
| 21 | Daily | UCX Time Lost | Report list individuals who have lost dates of service while in the military |
| 22 | Daily | Department of the Army | Claims filed against the Department of the Army. Claims need to be pulled due to bad addresses (Identifies breaks in workflow) |
| 23 | Daily | US Postal | Claims filed against the US Postal Service. Claims need to be pulled due to bad addresses (Identifies breaks in workflow) |
| 24 | Daily | Employer Pulls | List of documents being issued to Employers but sent to the incorrect employer. These Employers have a history of receiving wrong leu separation information (Identifies breaks in workflow) |
| 25 | Daily | Houston CC | Daily listing of SIDES Employer responses received the prior business day from Houston Community College (Identifies breaks in workflow) |
| 26 | Daily | No Work Record Pulls | List of documents being issued to the “No Work Record” address (Identifies breaks in workflow) |
| 27 | Daily | DD 214 Scheduled | Reviewing the data entry of the DD 214 by Customer Service Representative (CSR) Staff |
| 28 | Daily | UCX Pension | Picks up pension cases assigned to Tele-Centers and reassigns them to the state office (5411) |
| 29 | Daily | UCFE/UCX IB04 Incoming Responses | Alert Staff when another state sends TWC federal or military wages |
| 30 | Daily | AF2\_RESERVE\_GUARD\_DAILY | Trying to find guard/reserve members who have not served 180 of active duty |
| 31 | Daily | Navy-USMC | Report that searches for Navy and US Marine Corp claims where the individual served less than 6 years of active duty service |
| 32 | Daily | SIDES Batch Error | Report of errors when importing SIDES responses |
| 33 | Daily | RTW Waiting Week Daily Report | Daily listing of individuals who have returned to work and no waiting week has been released |
| 34 | Daily | AF2\_RESERVE\_GUARD\_DAILY\_3\_PM\_REPORT | Report run twice a day. IT-1 pending. Trying to find guard/reserve members who have not served 180 of active duty |
| 35 | Weekly | HB 2120 Query | Weekly listing of individuals who were awarded wages by Pay Day Law determination that can be added to the UI Base Period |
| 36 | Weekly | Disaster Impacted Claim Filing by County - REG | Weekly listing of REG Disaster impacted claims filed sorted by county where the claim filer resides |
| 37 | Weekly | Disaster Impacted Claim Filing by County - DUA | Weekly listing of DUA claims filed sorted by county where the claim filer resides |
| 38 | Weekly | Disaster Impacted Payments by BWE - REG | Weekly listing of REG payments made to disaster impacted individuals by BWE date |
| 39 | Weekly | Disaster Impacted Payments by BWE - DUA | Weekly listing of DUA payments made to disaster impacted individuals by BWE date |
| 40 | Weekly | ETA 7642 Report | Requires DOL report that lists DUA Claimants Approved, Denied and total amount of payments |
| 41 | Weekly | ETA 5159 Report | Weekly count of DUA claims filed against UCFE Employers |
| 42 | Weekly | Disaster Impacted executive counts | DUA Claims Counts report run ad hoc for TWC executive Staff |
| 43 | Weekly | Lear report | Weekly listing of UI activity (claims filed and payment requests processed) by former and current employees of Lear (employer) |
| 44 | Weekly | VC/SS | Report that shows list of VC/SS determinations made the day before |
| 45 | Weekly | Requalifications | Weekly listing of claimants who may have earned sufficient wages to close an open disqualification, claimants are requested to provide information to close the disqualification |
| 46 | Weekly | CWC BD/BC | Looking for backdated CWC claims |
| 47 | Weekly | Collections out of State | Query searches for monies collected by Texas for another state in the past week |
| 48 | Weekly | ID Theft Script | Three (3) queries run against a list provided by RID to set up ID Theft cases for investigation |
| 49 | Weekly | Payment Method by Percent | Amount of monies paid the previous method by payment method |
| 50 | Weekly | Shared Direct Deposit | Benefit payments made to two or more individuals but payment is sent to the same bank account |
| 51 | Weekly | Count Payment Request Statistic | Payment Request filing method |
| 52 | Weekly | TOP file | Query finds the dollar amount of overpayments collected or intercepted from TOP eligible Claimants |
| 53 | Weekly | New Hire Weekly numbers | Report listing all new hire cases |
| 54 | Weekly | TX to TX address changes | Individuals suspected of fraud or identity theft who had a TX address that have now moved to another to a new TX address |
| 55 | Weekly | QT188 Determinations | Weekly listing of QT188 determinations issued by TWC |
| 56 | Weekly | HR Mailing Issue Report | Weekly listing (Fridays) UI claims filed against TWC by former employees |
| 57 | Weekly | Chargeback Decision Count | Provides summary count of total chargeback decision and individual user daily/weekly totals |
| 58 | Monthly | UI Exhaustee Report for Workforce Board | Monthly listing (1st working day of the month) of individuals residing in specific workforce board areas who exhausted UI benefits in the previous month (Texoma – 25, Rural Capitol – 15, Alamo – 20, Deep East Texas – 17) |
| 59 | Monthly | Active Filers in the Alamo Workforce Board Area | Monthly listing (1st working day of the month) of individuals residing in Alamo WFB area (20) who are actively filing for UI Benefits |
| 60 | Monthly | Monthly New Hire Numbers | Number of new hires created for the month |
| 61 | Monthly | UCX Military retirement | Detects Claimants with military pensions |
| 62 | Monthly | Out of State | Monies collected by other states for Texas Overpayments |
| 63 | Monthly | Collections Reports | Collection activities |
| 64 | Monthly | Void by statute overpayments | Monthly listing of all UI payments that are more than a year old and are now voided per state law |
| 65 | Quarterly | Occupation Counts of UI Claims | Count of UI Claimants by occupational code. Worked in conjunction with WIT. UI Provides a file with SSNs and WIT provides Occupational information |
| 66 | On Request | Disaster Impacted Active Filers - REG | Query to determine count of individuals who have filed REG claims and were disaster impacted |
| 67 | On Request | Disaster Impacted Active Filers - DUA | Query to determine count of individuals who have filed DUA claims |
| 68 | On Request | Mass Claim pre-error check | Query to identify discrepancies between Employer provided data and what already exists in the TAC data tables |
| 69 | On Request | Completed Mass claims with RM/AP cases | Query to identify completed mass claims with RM/AP cases |
| 70 | On Request | Claims for Single Employers | Cognos on-demand. Query to determine individuals who have filed REG claims against a specific Employer |

### A8.3 Appeals

**DOL Reports**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Monthly | eta5130 | Required by DOL primarily to track caseload |
| 2 | Monthly | eta9054 | Required by DOL primarily to track time lapse of decisions |
| 3 | Monthly | eta9055 | Required by DOL primarily to track case aging |
| 4 | Monthly | DUA Cases | Provides a list of DUA decisions mailed in the month |
| 5 | Monthly | TRA Cases | Provides a list of TRA decisions mailed in the month |
| 6 | Monthly | Profiling Cases | Provides a list of Profiling decisions mailed in the month |
| 7 | Monthly | Y-43 | Provides supplemental information for DOL reports |
| 8 | Monthly | Y-43 Plus | Provides supplemental information for DOL reports |
| 9 | Monthly | Y-30 | Provides supplemental information for DOL reports |
| 10 | Monthly | TUC 5130-001; TUC 5130-002; EXB 5130-001 | Provides supplemental information for DOL reports |
| 11 | Monthly | QRSample Report | Provides a population to pull for federal quality review purposes |
| 12 | Monthly | Population 6 | Used by statistical sampling to validate DOL-submitted reports |
| 13 | Monthly | Population 7 | Used by statistical sampling to validate DOL-submitted reports |
| 14 | Monthly | Population 8 | Used by statistical sampling to validate DOL-submitted reports |
| 15 | Monthly | Population 9 | Used by statistical sampling to validate DOL-submitted reports |
| 16 | Monthly | Population 10 | Used by statistical sampling to validate DOL-submitted reports |
| 17 | Monthly | Population 11 | Used by statistical sampling to validate DOL-submitted reports |
| 18 | Monthly | Interagency memo | Interagency memo to DOL to breakdown of cases addressed by Higher Level Appeals |

**Management Reports**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | On Demand | Alpha List | Provides docket information for higher authority appeals based on claimant's last name |
| 2 | On Demand | Numeric List | Provides docket information for higher authority appeals based on case number |
| 3 | On Demand | Employer List | Provides docket information for higher authority appeals based on Employer name |
| 4 | On Demand | Legal List | Provides docket information for higher authority appeals to transmit to the Secretary of State |
| 5 | On Demand | Vote | Provides docket information for higher authority appeals to record docket votes |
| 6 | On Demand | Cases w/out Decisions | Provides backlog for higher authority appeals |
| 7 | On Demand | Assignment/ Docket | List assigned higher authority appeals that did not meet target docket |
| 8 | On Demand | Details | Provides a list of cases for a hearing officer in which the decision was not issued within three days of the hearing |
| 9 | On Demand | Corrected Decision Details | Provides a list of corrected decisions by hearing officer |
| 10 | On Demand | Cases Pended Report | Provides a list of pended cases |
| 11 | On Demand | Creation Date <= | Provides a list of appeals created by Employer account number |
| 12 | On Demand | Hearing Date => | Provides a list of hearings by Employer account number |
| 13 | On Demand | Folder Labels | Provides labels for folder creation - on tab; will be replaced with electronic case file |
| 14 | On Demand | Hearing Labels | Provides labels for folder creation - on front; will be replaced with electronic case file |
| 15 | On Demand | Exhibit Labels | Provides exhibit stickers to mark exhibits during the hearing |
| 16 | On Demand | DUA and DI Statistics | Provides a summary of DUA and Disaster-Impacted (DI) appeals; includes rulings, decision type, and other details |
| 17 | Daily | Online Appeals Last Confirmation Number Per Day | Lists range of online appeals per day to assist with appeal timeframes |
| 18 | Daily | AT Active Appeals Without Hearings | Identifies potential errors with case processing (no hearing created for an appeal) |
| 19 | Daily | Decisions Printed Count | Number of decisions printed each day to validate with state printing agency |
| 20 | Daily | Web Appeals Statistics AT | Identifies the number of online appeals received, re-routed, completed, and completed without creating an appeal (Lower Authority) |
| 21 | Daily | Web Appeals Statistics CA | Identifies the number of online appeals received, re-routed, completed, and completed without creating an appeal (Higher Authority) |
| 22 | Daily | Dets\_updtd\_2 | Identifies decisions that have been processed (i.e., updates to the Benefits system); used as a performance metric |
| 23 | Daily | Hearing Officer Schedule | Identifies cases assigned (lower authority) to hearing officers each week |
| 24 | Daily | Case Processor Production | Provides a count of appeals processed by lower authority case processors as a performance metric. (Future) for higher authority appeals too |
| 25 | Weekly | Attorney Assignment | Identifies cases assigned (higher authority) to reviewing attorneys each week |
| 26 | Weekly | Notice to Parties | Provides the number of days of notice given to parties for an appeal hearing |
| 27 | Weekly | Decisions Pending Report | Provides a list of cases in which hearing officers have conducted a hearing without issuing a decision |
| 28 | Weekly | Appeal Age at Assignment | Provides a summary of the age of higher authority appeals at the time of assignment |
| 29 | Weekly | Appeal File Method | Provides a summary of appeals by appeal filing method and file date |
| 30 | Weekly | OP/EA Appeal with No Employer | Provides a list of cases with possible case processing errors (no Employer associated with OP case) |
| 31 | Weekly | AT Cases Pended | Provides a list of pending lower authority appeals and the pend reason |
| 32 | Weekly | CA Pends Waiting Folder | Provides a list of higher authority appeals awaiting arrival of the physical file folder; will be obsolete when moving to an electronic case folder |
| 33 | Weekly | TWC as Employer Appeals | Provides a list of appeals including TWC as the employer |
| 34 | Weekly | CA Production Statistics | Provides performance metrics for higher authority case processors and clerks (case processing, docketing, and decision updating) |
| 35 | Weekly | AT RPI Dashboard Additional Data | Provides performance metrics for lower authority appeals |
| 36 | Weekly | CA Docket Lists | Provides the same information as the Alpha and Employer list (in ADA, the SSN is provided and is not searchable) |
| 37 | Weekly | DUA and DI AT and CA Appeals Summary | Provides a summary of DUA and Disaster-Impacted (DI) appeals |
| 38 | Weekly | CA/MR Active Appeals with No Assignment | Provides a backlog list of unassigned higher authority appeals |
| 39 | Weekly | Supplemental Summary Report | A report to track the supplemental summaries requested by the Commission Offices and when such a request was completed |
| 40 | Monthly | Summary | Provides a summary of corrected decisions and decisions issued within three days of the hearing |
| 41 | Monthly | Misconduct/Vol. Leave | Provides a list of cases (population) to pull from for performance evaluations; related to internal performance metrics for hearing officers |
| 42 | Monthly | Affirmation/Reversal | Provides a percentage of appeals by appellant and the results by appellant |
| 43 | Monthly | Decision Report-FR | Provides a list of cases mailed and the result with fraud as an issue for lower authority appeals |
| 44 | Monthly | Hearing Officer Report | Provides a list of cases mailed, reset, pending, nonappearance, 30-day, 45-day by Hearing Officer and Totals for the department |
| 45 | Monthly | Non-Appearance | Provides a list of non-appearance and withdrawals by Hearing and Total for the Department, including CA Hearing Attorneys |
| 46 | Monthly | Language Report | Provides a list of Spanish decisions mailed in the month, including CA Spanish decisions |
| 47 | Monthly | Hearings Reset | Provides a list of hearings reset by Hearing Officer or Rehearing Attorneys, as well as summary totaling resets by reset reason |
| 48 | Monthly | Decision Typist Report | Provides a table of decisions typed by typists |
| 49 | Monthly | DUA Scheduled Hearings | Provides a list of DUA hearings scheduled in the month |
| 50 | Monthly | Voids – CA only | Provides a list of voided cases in the month, needed for case age analysis and departmental metrics |
| 51 | Monthly | Multi-Claimants Mailed | Provides a list of multi-Claimant cases mailed in the month |
| 52 | Monthly | CA Cases Older Than User Defined Number of Days Without Decisions - First of Month | Provides a list of active, assigned higher authority appeals over the number of days chosen by the user |
| 53 | Monthly | Appeals Reimbursing Protection Summary | Provides a list of Employers who have had reimbursing protection implemented in the month to reconcile tax records |
| 54 | Monthly | Continuing Jurisdiction Active Appeals | Provides a list of lower authority appeals with active continuing jurisdiction (Include Commission Appeals) |
| 55 | Monthly | Volunteered Cases Report | Provides a list and summary of cases with requests for substitute hearing officers for performance metrics related to volunteer cases |
| 56 | Monthly | ETA 9055 Analysis for Old Cases | Provides details of lower authority appeals older than 90 days as of the report period |
| 57 | Monthly | Hearing Officer Report - Peer Reviewers | Provides performance metrics for lower authority hearing officers who have a primary job duty to perform peer reviews of hearing quality |
| 58 | Monthly | Flagged Decision Detail | Provides additional audit details for cases flagged in performance review reports |
| 59 | Monthly | AT/CA New RPI Dashboard Reports | Provides performance metrics for higher and lower authority appeals related case processing and attorney assignment |
| 60 | Monthly | CA Age from File to Receipt | Provides a rolling yearly summary of the age from appeal filed to appeal received by filing method for higher authority appeals |
| 61 | Monthly | New Measures PPR Report | Provides performance metrics for lower authority hearing officers (decisions issued within three business days of the hearing, corrected decision rate, decisions issued within 30 days of the appeal date, etc.) |
| 62 | Monthly | New Measures Report - All Measures | Provides performance metrics for lower authority hearing officers (decisions issued within 45 days of the appeal date, resets, etc.) |
| 63 | Monthly | New Measures PPR Typist Report | Provides performance metrics for lower authority hearing officers who use a typist to assist with writing a decision (captures dictation information) |
| 64 | Monthly | Hearings for Review - One Party AV, AB, RR, FL | Provides the population of cases by issue for internal performance evaluation (Include Commission Appeals) |
| 65 | Monthly | Hearing Reset Report | Provides a list of hearings reset by Hearing Officer, as well as summary totaling resets by reset reason (reformatted and sent through Cognos) |
| 66 | Monthly | Fraud Report Commission Appeals | Provides a list of cases mailed and the result with fraud as an issue for higher authority appeals |
| 67 | Quarterly | ATAA cases | Provides a count of ATAA to verify statistics reported to management |
| 68 | On Demand | Docket Slips | Provides a list of pulled cases on docket to record the votes by the commissioners |
| 69 | On Demand | (Future) Commissioner "Uncontested" List | Provides a list of unpulled contested cases (short form dissent cases) docket cases |
| 70 | Weekly | Tiger Report | Provides a list of files not found from RMC for higher authority appeals |
| 71 | Daily | NF Report | Provides a list of files not found from RMC for higher authority appeals |
| 72 | Annual | (Future) Yearly Report | Provides a summary of program metrics (number of appeals filed, number of decisions mailed, number of hearing held, number of resets, etc.) for lower and higher authority appeals |
| 73 | On Demand | (Future) WIP Report | Provides a real-time list and summary including case age of all appeals at each step in the workflow. Could be a dashboard. Provide notifications when red flag criteria are met |
| 74 | On Demand | (Future) Docket Time Study Report | Provides a list of administrative Staff, their work on the docket, and total time |
| 75 | On Demand | (Future) Touch Time Report | Captures the time it takes to complete each process in the workflow. Could be a dashboard |
| 76 | On Demand | Time Lapse (BNQ215I0) | Provides time lapse reports by type, group, and interval |
| 77 | On Demand | Internet Claims (BNI425I0, BNQ215I0) | Provides reports of Internet claims attempts and outcomes, errors, by interval |
| 78 | On Demand | Internet Claim Certification (BNI440I0, BNI440I1) | Provides reports of Internet claims certification attempts and outcomes, errors, by interval |
| 79 | On Demand | Statewide Claims Count Summary | Provides counts of claims by month, program, and type |
| 80 | On Demand | County Claims Count Summary | Provides counts of claims by county, month, program, and type |
| 81 | On Demand | Exhaustee Information by County | Provides counts of exhaustees, average duration, average WBA, and average total benefits by county |
| 82 | On Demand | Individuals Claiming UI by County | Provides counts of claims by county, month, and claimant type |
| 83 | On Demand | Internet Employer Response Statistics | Provides detail information on employer response attempts |
| 84 | On Demand | Internet Claim Detail | Provides detail information on claim attempts |
| 85 | On Demand | Internet Claim Summary Statistics | Provides summary information on claim attempts by transaction code, language, total attempts and unique attempts |
| 86 | On Demand | Internet Claim Entry Summary | Provides counts of claims applications by entry attempts |
| 87 | On Demand | Internet Claim Certification Detail | Provides detail information on claim certification attempts |
| 88 | On Demand | Internet Claim Certification Summary Stats | Provides summary information on claim certification attempts by transaction code, language, total attempts and unique attempts |
| 89 | On Demand | Internet Claim Certification Entry Summary | Provides counts of claim certification applications by entry attempts |
| 90 | Daily | CA Rehearing Schedule | Identifies cases assigned (higher authority) to rehearing reviewing attorneys each week |

**Work-around Reports**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | On Demand | Applnt | Identifies cases without appellants |
| 2 | Daily | Fraudulent IC Appeals Query | Identifies appeals related to ID theft |
| 3 | Daily | Daily Alerts | Various alerts |
| 4 | Daily | Online Batch Processing Check | Ensures online appeals move from temporary internet table to the correct database |
| 5 | Daily | CA Folder Request List | Assists with requesting folders from RMC |
| 6 | Daily | R16 Notice Seg Check | Identifies potential errors due to application bug with R16 cases (missing issue segment) |
| 7 | Daily | Decisions to be Updated | Identifies AT decisions needing update to the UI benefits system - Include Commission Appeals |
| 8 | Daily | R16 Folder Tracking Report | Identifies folders to be requested from RMC; used as a type of workflow |
| 9 | Daily | DUA Folder Tracking Report | Identifies folders to be requested from RMC to be sent to DOL; used as a type of workflow |
| 10 | Daily | Fact\_find2 | Identifies scheduled appeals with missing documentation (a.k.a. error list) |
| 11 | Daily | No\_llorm | Identifies scheduled appeals with missing documentation (a.k.a. error list) |
| 12 | Daily | A-9 Summary Sheets | Provides case information to be filled out by hearing officers to record decision rulings and other information |
| 13 | Weekly | CA Mail Date Issue | Identifies higher authority appeals erroneously designated as mailed |

### A8.4 RID

**BPC Reports**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Monthly | Decision Report FR Issues | Fraud cases reviewed for Appeal Tribunal |
| 2 | Monthly | BNO230R1 | Overpayment Detection/Recovery Activities |
| 3 | Monthly | BNO396R0 | Monthly EVF Error Report |
| 4 | Monthly | BNO396R1 | Monthly Perf. And Assign. Analysis Report |
| 5 | Monthly | BNO396R2 | Monthly Cross-match Analysis Report |
| 6 | Monthly | BNO396R3 | Monthly Employer/Claimant Response Report |
| 7 | Monthly | BNO396R4 | Monthly Error Log Analysis |
| 8 | Daily | BNO195R0 | New Hire Audit Summary |
| 9 | Daily | BNDO196 | NH Contact Request sent |
| 10 | Daily | BNDO090P | EVF Request Report by Entity |
| 11 | Daily | BND0970A | Blank EVF Deletion |
| 12 | Daily | BNO108R0 | Wage Benefit Interstate Cross-match |
| 13 | Daily | BNO369R0 | Employer Web Responses Totals Report |
| 14 | Daily | BNO375R0 | Wage Benefit Intrastate Cross Match |
| 15 | Daily | BNO380R0 | Employer Verification Responses Totals Report |
| 16 | Daily | BNO380R1 | EVF Responses Error Report |
| 17 | Daily | BNO381R1 | Employer Verification Responses Assignment Distribution |
| 18 | Daily | BND0382A | Fact Finding NM74 Extract |
| 19 | Daily | BNO757R0 | Fraud Call-In Activity Totals Report |
| 20 | Monthly  Ad hoc | UIO&CS Fraud Determination | Prosecutions Report |
| 21 | Monthly  Ad hoc | ID Theft | ID Theft Determinations |
| 22 | Monthly  Ad hoc | Determinations for 5420 | Monthly Determinations for cost center 5420 |
| 23 | Monthly  Ad hoc | Determinations by 5420 Appeal | BPC determinations appealed |
| 24 | Monthly  Ad hoc | NH/RW Determinations | BPC New Hire and RWWG Determinations. |
| 25 | Monthly  Ad hoc | NM80 Determinations | NM80 determinations with 1st and 2nd vote |
| 26 | Monthly  Ad hoc | PC34 Determinations | PC34 determinations with 1st and 2nd vote |
| 27 | Weekly | TxIDTheft Enhanced Report | UI Claims from prior week potential suspicious claims |
| 28 | Weekly | FEFraudX | Cases with Potentially Fictitious Employers |
| 29 | Twice Weekly | BNX400RD | High Risk Activity |
| 30 | Weekly | Close to Claimants Address | Cluster of Claimants near the same address |
| 31 | Weekly | Multiple claims Address | Multiple claims using the same address |
| 32 | Weekly | Repeated IP Address | Identifies claims filed via the internet with the same IP address |
| 33 | Weekly | Repeated IVR | Identifies claims filed via the same telephone number to file a claim |
| 34 | Weekly | Same Contact Phone | Identifies claims using the same contact telephone number |
| 35 | Weekly | Valid SSN | Identifies claims which were filed using SSNs that are not valid. |
| 36 | Weekly | Minor Claims | Identifies Claimants who are under the age eighteen. |
| 37 | Weekly | Multiple DD | Identifies multiple claims using the same bank accounts for direct deposits. |

**Collection Reports – Tax**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Monthly | Agricultural Services - Labor Agents | Delinquent labor agent accounts (report currently disabled) |
| 2 | Daily | Fiduciary C-100 Error List | Provides a summary of the accounts where a payment error was identified in the CFI screen record (via CFF screen having to do with funds claimed) |
| 3 | Daily | Vendor Hold List | Indicates accounts where vendor hold was placed with Comptroller |
| 4 | Daily | Non-ACAP Freeze Candidates | List of active and inactive accounts that are above freeze criteria but no longer under ACAP |
| 5 | Daily | Notice of State Tax Lien - Unrecorded | Provides information on liens where the recording data is not in the system yet, advising us where we may need to follow up with the county to which is was sent for recording |
| 6 | Daily | Input Records for Default Notices | Daily list of accounts that are at day 21 in ACAP, and whether or not a DN produced. Used to determine if additional DN's are required, if a DN has been issued to the AoR, and if a DN should not be mailed due to bad address. Also shows if the DN was produced through ACAP or was keyed and the AE number of the person who keyed the DN |
| 7 | Daily | Default Notice Edit Listing | Edit listing lists the accounts in which a default notice attempted to produce, but failed for a variety of reasons. This listing provides the reason for the failure |
| 8 | Daily | Pull List for Default Notice Candidate | List provides entity Types 02 and 06. These types of accounts usually have more than one liable party and it is a requirement that each liable party be issued their own default notice |
| 9 | Daily | Pull List for Tax Lien Candidates | Provides a list of Employer accounts that are eligible for lien recording based on ACAP date; AEs are to review the account before requesting the lien |
| 10 | Daily | Projected Workload (ACAP) Report | Provides an estimate of how many accounts will hit various stages in the collections process and which days; allows for proper planning to handle workload |
| 11 | Daily | Input Records for Notice of State Tax Liens | Shows accounts where a lien was indicated for creation, with data on county and AE approver |
| 12 | Daily | Notice of State Tax Lien Edit Listing | Shows Employer accounts and reason why a lien was halted and who took the action |
| 13 | Daily | Notice of Freeze & Levy Status Listing | Shows the account and other data (response date, issuance date, levy date, etc.) on an Employer where a bank freeze was issued |
| 14 | Daily | Debits and Credits to Accounts Certified to the Attorney General | Lists amounts sent and received from the Texas Attorney General (normally in relation to a lawsuit) |
| 15 | Daily | Debits and Credits to Bankrupt Accounts to the Attorney General | Payments posted to bankrupt accounts |
| 16 | Daily | Bankruptcy Collections Report | Payments posted to bankrupt accounts that has additional bankruptcy information; it is redundant to TXCR1060(a) |
| 17 | Quarterly | Unallocated Remittance Stop List | List of accounts with unallocated remittances and a balance due; a stop 86 -payment with document (with no IID) is posted on each account |
| 18 | Daily | Input Records for Bankruptcy by Tax Area | Bankruptcy Default Notices issued by Tax Area |
| 19 | Daily | Bankruptcy Default Notice by Tax Area | Bankruptcy Default Notices edit listing |
| 20 | Monthly | Monthly Bankruptcy Claims Filed | Listing of claims filed group by AE. These are claims that have a bankruptcy record (CFI) on the EMF |
| 21 | Monthly | Monthly Debits and Credits to Bankrupt Accounts | Summary of all payments posted to Bankrupt Accounts |
| 22 | Monthly | Monthly Bankruptcy Collections Report | This is a report that was established when we had all our reports posted online. Nothing post to it currently |
| 23 | Monthly | Monthly Accounts that Have Money with Other Correspondence | Shows accounts that have credits available with an active system 86 stop (payment with documents) |
| 24 | Monthly | Monthly Bankrupt Accounts with Unallocated Money | Report shows $$ Credits that are available |
| 25 | Monthly | Monthly Unclaimed Delinquency Report | Shows accounts for the previous quarter due that shows Unclaimed Delinquency. Alerts respective AE to investigate to take appropriate action dependent on bankruptcy case status |
| 26 | Monthly | Delinquency Monthly Reports - Details | Shows information on delinquent account grouped by types (e.g. collectable/uncollectable, owing money only, owing money & reports) and then broken down by Tax region |
| 27 | Monthly | Delinquency Monthly Reports - Summary | Shows information on delinquent account grouped by types (e.g. collectable/uncollectable, owing money only, owing money & reports) |
| 28 | Monthly | Delinquency Tax Receivable Monthly Report - By Account Type | Shows delinquencies broken down by owner type (contributing, reimbursing, etc.) and by debt group (collectable, uncollectable, certified, under assessment, etc.) |
| 29 | Monthly | Delinquency Tax Receivable Monthly Report - By Owner Type | Shows delinquencies broken down by owner type (sole prop.; corp.; general partnership, etc.) and by debt group (collectable, uncollectable, certified, under assessment, etc.) |
| 30 | Monthly | Collections Production Monthly Report | Shows Tax collection actions (liens filed, bank action, assessments, etc.) for past years (totals) and running totals for current year |
| 31 | Daily | Non-ACAP Suspended Accounts | Provides a list of accounts that have been suspended (status action) and still have a balance due that meets collection criteria |
| 32 | Daily | 3 Weeks-60 Days Skip Report | Lists accounts where collection was no required at 3-week and 60 days points after account was suspended and indicates reason why |
| 33 | Daily | Overpayment Balance on EMF | Shows the monthly amount of credit (overpayment) for all accounts (aggregated) in the Tax system |
| 34 | Monthly | Bank Claim Activity | Shows bank action taken broken down by Tax regions |
| 35 | Monthly | Uncollectable Activity | Shows accounts with amounts that have been changed to uncollectable status, identified by quarter |
| 36 | Monthly | Collection Monthly Management Report | Shows action taken based on screen activity by Accounts Examiner |
| 37 | Daily | ACAP Proj. & Day 42 | Online report of possible number of default notices, liens-Day 42 report lists the accounts that meet ACAP criteria |
| 38 | Daily | CAN RECAP | Provides a summary of bank collection candidates (not currently in use) |
| 39 | Quarterly | FID C-100 | Report that generates C-100's, which are the exhibits we attached to our bankruptcy POCs prior to electronic filing of claims (no longer in use) |
| 40 | Daily | Certification C-25 & FL-174 | Certification (Sworn Statement) documents, input and edit listing |
| 41 | Daily | Execution Letter TX059A | Internal memo which is sent to the field tax office instructing an examiner to forward the attached execution to the appropriate sheriff or constable for delivery to the specified delinquent employer. It contains information regarding the processing of any payments and/or seizures or nulla bona returns |
| 42 | Daily | Abstract of Judgment C-15B | Form C-15 Abstract of Judgment documents |
| 43 | Daily | Sched Exec Payoff | Execution schedule worksheet - currently disabled |
| 44 | Daily | FL-39B & Report | Form letter 39B documents, input and edit listing |
| 45 | Daily | Labels (day 91) | Labels for Assessment folders, from account that produced a 39B letter |
| 46 | Daily | Notice of Assessment C-18 | Form C-18 documents |
| 47 | Daily | C-18 Input & Edit Report | Input and edit listing for C-18 documents |
| 48 | Daily | C-33 Abstract & Reports | Form C-33 Abstract of Assessment documents, input/edit report |
| 49 | Daily | Abstract of Assessment (C-33 & C-33a) | Itemized listing of due dates, contributions due, tax and penalty rates, and penalties levied against the entity, along with information regarding the service of the notice of assessment to the employer. The abstract is sent to the appropriate county clerk for recording |
| 50 | Daily | Daily Bill Statement | List of Employers that are receiving statements that day (issued by Tax) |
| 51 | Daily | Default Notice List | System and AE produced Default Notices reviewed and mailed to Employers that meet ACAP criteria |
| 52 | Daily | Officer Liability Default Notices Edits | Officer liability default notices & Successor Liability default notices |
| 53 | Daily | Reports & Postal Registers | Input/edit reports and postal registers |
| 54 | Daily | ER default notices | Cover sheet mailings and file copy of Default Notices |
| 55 | Daily | Successor Liability Default Notices | Officer liability Default Notices and file copies |
| 56 | Daily | Successor Liability Reports | Successor Liability Default Notices and file copies |
| 57 | Daily | Pull List for Officer Liability (Day 49) | Provides list of corporate accounts that meet criteria for assessment action. This is prior to day 84 list so that we may identify accounts early that may have officer liability |
| 58 | Daily | Edit List | List of items where lien could not be produced and issue that system noted that prevented the printing |
| 59 | Daily | Tax Lien Docs | System and AE produced Tax Lien documents produced |
| 60 | Daily | Freeze Edit/ Freeze Documents | System produced report reflecting reason why a freeze document did not produce |
| 61 | Daily | Freeze/ Levy Report | System produced report reflecting status of keyed freezes and levies |
| 62 | Daily | Levy Edit/Levy Docs | System edit list reflecting reason levy did not produced & levy documents |
| 63 | Daily | Freeze Documents | Freeze documents keyed by Accounts Examiner |
| 64 | Daily | F-9S Abstracts & TL | Cover sheet for F-9 (payment vouchers) for abstracts and liens |
| 65 | Daily | Control Documents | Subset of the job that generates the F-9 payment vouchers |
| 66 | Daily | Release Edit List | Shows list of assessments that have been released |
| 67 | Daily | Assessment Letters (21-A) | Provides cover letters to transmit Employers copy of the Abstract of Assessment (after recorded) |
| 68 | Daily | Debit/Credit Certified to AG | Identifies payments received on Quarters and Costs for accounts certified to AG or with Judgments obtained through AG |
| 69 | Daily | Releases TWC | Form C-45 Liens, C-115 Abstracts, Cover sheet and edit list for Releases for TWC |
| 70 | Daily | Releases TEC | Form C-45 Liens, C-115 Abstracts, Cover sheet and edit list for Releases for TEC (prior name of TWC) |
| 71 | Daily | BK default notice edit | Report that shows error on bankrupt Employer accounts that need to be reviewed (incomplete case information or date missing or no stop) and who keyed the data AE name and number |
| 72 | Daily | BK default notices | Lists the Employers that are eligible for a default notice due to default on their payment plan, when the funds were, who is in charge of the account (AE name and number) |
| 73 | Daily | Assessment Schedule | List to renew Assessments |
| 74 | Daily | Execution Letters & F-9 | Packet that includes the recording documents to be sent to the county for judgments and the payment (F-9) that is processed by Finance |
| 75 | Daily | Vendor hold edits | Provides information on accounts where the vendor hold with the Comptroller could not be added or updated |
| 76 | Daily | Day 84 List | Provides ACAP candidates to be reviewed for assessment action |
| 77 | Daily | FTP requests | Tax Lien, Freeze & Uncollectible requests system keyed by Field Examiners |
| 78 | Quarterly | Adjust Quarterly Change | List of accounts with AQC transactions. AQC is used to adjust or zero out tax due, interest, and late report penalty |
| 79 | Quarterly | ALLO REM Error Report | List of accounts with unallocated credit and balance due |
| 80 | Daily | System Alloc List | List of accounts with refund pending and a balance due |
| 81 | Quarterly | UNALLO/REM/STOPS | List of accounts with pending payments and balances due |
| 82 | Daily | Service Credit Report | List of service agent accounts with credit balances |
| 83 | Daily | Fid with Rate Change | List of Employers with active bankruptcies where a tax rate change has been made |
| 84 | Daily | Address Change Report | Provides list of accounts with address changes that may need liens or abstracts filed in new county |
| 85 | Monthly | Judgment Renewal List | Provides list of accounts where judgment will soon expire |
| 86 | Monthly | Assessment Renewal List | Provides list of accounts where assessment will soon expire |
| 87 | Monthly | Input Abstract of Assessment | Provides list of accounts where abstracts may produce for renewal of assessment |
| 88 | Monthly | Assessment Status Report | Indicates status of accounts where an assessment has been initiated |
| 89 | Monthly | Successor Liability Accts | Provides list of accounts to review for successor liability collection action |
| 90 | Monthly | Stop Code 85/86 Report | Report that shows accounts where a bankruptcy stop (85) exists or when payment was received that may not have allocated properly due to an open collection action such as an open bank freeze (86) |
| 91 | Monthly | Judicial Fee Fund Transfer Report | Provides list of accounts that have had judicial fees paid (court costs on paid Judgments) |
| 92 | Monthly | Allocate Remittance Error Listing | Provides information on accounts in bankruptcy where payments have issues/errors that need to be reviewed |
| 93 | Monthly | Accounts Transaction Listing | List of transactions keyed on a particular day by AE's 4-digit identification number |
| 94 | Quarterly | Folder Inventory Report | Provides list of Tax files charged out to users in AAU and CAU |
| 95 | Quarterly | Assessment Status Report/ Zero Balance Report | Assessment Status report provides a listing of pending and final Assessments and indicates whether or not they have been abstracted or cancelled. The Zero Balance Report lists account that have been paid but do not have the lien released |
| 96 | Quarterly | Service Agent Credit Report | Shows amounts of overages (credits) tied to individual accounts that have been marked as "service agent" where the amount may need to be transferred to another account |
| 97 | Quarterly | Quarterly IPO Purge | Creates a list of paid inactive accounts that are inactive as of a user provided date |
| 98 | Quarterly | Rate Change Report | Provides a list of accounts on which rates may not be changed, usually due to bankruptcy |
| 99 | Monthly | Freeze Report | List of the number of freezes keyed and the amount collected by AE number |
| 100 | Annual | Tax Rate Information FL-304 Qualifiers | A list of Employer accounts that would be eligible to receive FL-304 letter ("Tax Tip" letter) |

**Collection Reports – Benefits**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Daily | BPC Functional Error Report | Provides information on billing statements not sent because of bad address; updates to old assessment cases; SSN, program code; claim ID |
| 2 | Daily | Insufficient Funds Report | Claims where NSF checks were posted, dollar amount, SSN, name |
| 3 | Daily | Refund Reversal Report | Provides information regarding refund payments owed to the claimant; claimant name, SSN, claim id, program code, refund amount and liable state |
| 4 | Daily | Cashier Refund Report | Provides information of all refund payments received; SSN, name, file date, time, #count-fmt, user id, check amount, term |
| 5 | Daily | Cash Refund Detail Report | Provides information of all refund payments rec'd; SSN, amount keyed, amount applied, claim date, type 1 amount 1, type 2, amount 2, type 3, amount 3, x-dif |
| 6 | Daily | FAC Good Money Report | Provides information regarding FAC refunds owed to the claimant; SSN, claimant name, refund date, available |
| 7 | Daily | FAC Cashier Refund Listing Report | Provides information regarding FAC payments received; SSN, claimant name, count, uid, keyed, allocated, unallocated, available, transferred |
| 8 | Daily | No job name- IB8606 Forms | Provides Forms IB8606 to be mailed out to request assistance from other states in recovery of TX overpayment |
| 9 | Weekly | Comptroller Warrant Hold Review Report | Provides information regarding warrant hold cases showing a discrepancy in overpayment balance and adjusted amount; SSN, OP balance, hold amount, adjusted amount, note |
| 10 | Monthly | TWC Employees Overpayment List | Provides information on TWC employees with benefit overpayments; SSN, name, location code, Repayment Schedule date; payment per month; EOD, claim id, Original Amount owed, balance, last payment amount, last payment date, Cost Center Manager Name, notes |
| 11 | Monthly | Overpayment Detection/Recovery Activities, ETA 227 | Shows dollar and claim amount summary of overpayments established, payments received by cash or offset/absorption, grouped by program (funding) type |
| 12 | Quarterly | Overpayment Diagnostic Report | Shows overview of all OPs, broken down by year and status (bankruptcy, appeal, skip trace, etc.) |
| 13 | Quarterly | Assessment Diagnostic Report | Shows amount of cases that have had an assessment, dollar amount and status |
| 14 | Quarterly | Bankruptcy Diagnostic Report | Shows the amount of cases with bankruptcies and status (discharged, dismissed, active, errors, etc.) |
| 15 | Daily | BPC Functional Error Report (BNDO100P) | Provides information on billing statements not sent because of bad address; updates to old assessment cases; SSN, program code; claim ID |
| 16 | Daily | Insufficient Funds Report (BNDO145P) | Claims where NSF checks were posted, dollar amount, SSN, name |
| 17 | Daily | Refund Reversal Report (BNDO205P) | Provides information regarding refund payments owed to the claimant; claimant name, SSN, claim id, program code, refund amount and liable state |
| 18 | Daily | Cashier Refund Report (BNDO432P) | Provides information of all refund payments received; SSN, name, file date, time, #count-fmt, user id, check amount, term |
| 19 | Daily | Cash Refund Detail Report (BNDO455P) | Provides information of all refund payments rec'd; SSN, amount keyed, amount applied, claim date, type 1 amount 1, type 2, amount 2, type 3, amount 3, x-dif |
| 20 | Daily | FAC Good Money Report (BNDO835A) | Provides information regarding FAC refunds owed to the claimant; SSN, claimant name, refund date, available |
| 21 | Daily | FAC Cashier Refund Listing Report (BNDO836A) | Provides information regarding FAC payments received; SSN, claimant name, count, uid, keyed, allocated, unallocated, available, transferred |
| 22 | Daily | No job name- IB8606 Forms (BNDO735F) | Provides Forms IB8606 to be mailed out to request assistance from other states in recovery of TX overpayment |
| 23 | Weekly | Comptroller Warrant Hold Review Report (BNWO220P) | Provides information regarding warrant hold cases showing a discrepancy in overpayment balance and adjusted amount; SSN, OP balance, hold amount, adjusted amount, note |
| 24 | Monthly | TWC Employees Overpayment List (BNO740R1) | Provides information on TWC employees with benefit overpayments; SSN, name, location code, Repayment Schedule date; payment per month; EOD, claim id, Original Amount owed, balance, last payment amount, last payment date, Cost Center Manager Name, notes |
| 25 | Monthly | Overpayment Detection/Recovery Activities, ETA 227 (BNQ230R1) | Shows dollar and claim amount summary of overpayments established, payments received by cash or offset/absorption, grouped by program (funding) type |
| 26 | Quarterly | Overpayment Diagnostic Report (BNQO990A) | Shows overview of all OPs, broken down by year and status (bankruptcy, appeal, skip trace, etc.) |
| 27 | Quarterly | Assessment Diagnostic Report (BNQO991A) | Shows amount of cases that have had an assessment, dollar amount and status |
| 28 | Quarterly | Bankruptcy Diagnostic Report (BNQO992A) | Shows the amount of cases with bankruptcies and status (discharged, dismissed, active, errors, etc.) |
| 29 | Quarterly | Overdue Bankruptcy Decision Report (BNQO601A) | Shows listing of Bankruptcy cases; Chapter 7 older than 6 months and Chapter 13 older than 7 years |

### A8.5 RTM

**RTM Print Jobs**

| **#** | **Frequency** | **Name** | **Overview** |
| --- | --- | --- | --- |
| 1 | Daily | BNDO145P | NSF Fund Report; used to reconcile daily benefit overpayment recovery deposit |
| 2 | Daily | BNDO155P | NSF Reject Report; to notify AD&M of corrections needed |
| 3 | Daily | BNDO205P | Refund Reversal Report; used to reconcile daily benefit overpayment recovery deposit |
| 4 | Daily | BNDO355F | Letters for IRORA & AG Payments; to match to warrants. |
| 5 | Daily | BNDO432P | Check/Payment Register; used to reconcile daily benefit overpayment recovery deposit |
| 6 | Daily | BNDO455P | Cash Refund Detail; daily Ledger of OP Recoveries used to make adjustments in mainframe |
| 7 | Daily | BNDO457P | Cash Refund Detail; daily Ledger of OP Recoveries used to make adjustments in mainframe |
| 8 | Daily | BNDO458P | Cash Refund Detail; daily Ledger of OP Recoveries used to make adjustments in mainframe. |
| 9 | Daily | BNDO470P | Cash Refund Detail; daily Ledger of OP Recoveries used to make adjustments in mainframe |
| 10 | Daily | BNDO554P | Cash Refund Detail; daily Ledger of OP Recoveries used to make adjustments in mainframe |
| 11 | Daily | BNDO555P | Cash Refund Detail; daily Ledger of OP Recoveries used to make adjustments in mainframe |
| 12 | Daily | BNDO558P | Cash Refund Detail; daily Ledger of OP Recoveries used to make adjustments in mainframe |
| 13 | Daily | BNDO650P | Cash Refund Detail; daily Ledger of OP Recoveries used to make adjustments in mainframe |
| 14 | Daily | BNDO736P | Claimant Refund Letter – Spanish; to mail with Claimant Refunds |
| 15 | Daily | BNDO736Q | Claimant Refund Letter; to mail with Claimant Refunds |
| 16 | Daily | BNDO835A | FAC Available Money; to show amounts due to claimants for excess FAC recoveries |
| 17 | Daily | BNDO836A | FAC Cashier Refund Listing; used to reconcile daily benefit overpayment recovery deposit |
| 18 | Daily | BNDP017P | USAS Cancellation List; treasury Warrant Cancellation/Approvals & Denials |
| 19 | Daily | BNDP021P | Void Warrant Register Report; identifies Warrant Statute Cancellations to input into database & occasional need money to be recorded |
| 20 | Daily | BNDP150P | Payment Cancellation Voucher Report; lists Payment ID, Amount, Issue Date, Claimant SSN, & Recipient Name with Cancel Reason /Identifies # of daily cancellations |
| 21 | Daily | BNDP422P | Payment Register Report; main Benefit Report includes daily ledger chargeback adjustment, fund transfers, payment cancellations, IRORA distribution, payment issuances & CWC distribution, if any |
| 22 | Daily | BNDP423P | Withholding Payment Register Report; daily Ledger of Withholding amounts |
| 23 | Daily | BNDP424P | TUC Payment Register Report; breaks out TUC/EUC008 from payment issuance report |
| 24 | Daily | BNDP428P | Exb Payment Register Report; breaks out exb001 from payment issuance report into fed & state money to be recorded in need money |
| 25 | Daily | BNDP595P | Payment Cancellation Error Report; identifies payment cancellation errors |
| 26 | Daily | BNDX678P | Warrant Register Report; to reconcile UI Benefit Payments. |
| 27 | Daily | BNDXML2P | AG & IRORA Warrants; payments to AG and other states for IRORA |
| 28 | Daily | BNRPVDPR | Statute Void Debit List; identifies voided statutes (debit card) keyed by AD&M to input into DB for Journal load & occasional need money to be recorded |
| 29 | Daily | CHG001J0 | ACH Payment Listing; reconcile ACH payments to posting documents |
| 30 | Daily | CHG001J1 | ACH NOC; to notify employers of ACH banking errors |
| 31 | Daily | CHG001J2 | CC Payment Listing; reconcile CC Payments to posting documents |
| 32 | Daily | PDDC813B | Claimant Notification of Wages Paid; to include with warrant to Labor Law Claimant |
| 33 | Daily | PDDC814B | Employer Notification of Payment Refund; to include with warrant to Labor Law Employer |
| 34 | Daily | PDDC815B | Claimant Notification of Partial Payment; to include with warrant to Labor Law Claimant. |
| 35 | Daily | PDDC828B | Employer Notification of Overpayment; to include with warrant to Labor Law Employer |
| 36 | Daily | PDDL401P | Fund 0894 Disbursement Deposit; to reconcile daily Labor Law/Payday Law Deposits |
| 37 | Daily | PDDL999P | Labor Law Summary of Activity; to verify posting of Labor Law activity in the LL System and Mainframe |
| 38 | Daily | TXDF0710 | WAC Assignment Report; pending Assignment Report for follow up to Tax |
| 39 | Daily | TXDM0274 | Warrant refund records sent to USAS; refund amount |
| 40 | Daily | TXDQ0010 | Deposit summary; to prepare tax deposit |
| 41 | Daily | TXDQ0021 | CC Turnaround File from CPA; to reconcile F doc for credit card payments and fees |
| 42 | Daily | TXDQ0101 | Deposit List Reconciliation; listing of all items posted to tax accounts |
| 43 | Daily | TXDQ0104 | Allocation of Remittances Summary; to post items based on the nightly tax run - allocated fund from fund 0936 to funds 0001 |
| 44 | Daily | TXDQ0105 | Allocation of Remittances Detail; to post items based on the nightly tax run - allocated fund from fund 0936 to funds 0001 |
| 45 | Daily | TXDQ0121 | Returned Check List; to reconcile items returned unpaid to items posted to the employer master file |
| 46 | Daily | TXDQ0122 | Returned Check Letters; to inform employers of payments returned unpaid and current amount due |
| 47 | Daily | TXDQ0262 | Controller Refund Audit Report; listing of prior day refunds processed |
| 48 | Daily | TXDQ0811 | Accounts Transaction Listing; back up for changes made to the employer master file |
| 49 | Daily | TXDQ0892 | Allocation of Remittances Summary; to post items based on the nightly tax run - allocated fund from fund 0936 to funds 0001 |
| 50 | Daily | TXDS0082 | Warrant Address Correction; warrants added/completed for WAC Assignment |
| 51 | Weekly | PDWC878C | Fund 0165 Activity for Fund 0894; summary of weekly activity |
| 52 | Monthly | BNMP090A | Monthly Withholding; Federal Reports |
| 53 | Monthly | TXEIDMON | Tax Accounts Established; to track the number of accounts set up by RTM |
| 54 | Monthly | TXMM0181 | Summary/Detail Validation; 0165 Monthly Tax Allocation |
| 55 | Quarterly | BNQE100Q | IB - 6 Billings for the Quarter. To reconcile CWC payments for the quarter |
| 56 | Quarterly | BNQE100R | Reimb. Employer Chargebacks; back up for reimbursing employers |
| 57 | Quarterly | BNQE100S | Monthly Employer Chargebacks; back up for payment voucher sent to Payables |
| 58 | Quarterly | BNQE100U | Produces a comma-delimited file sent to RTM containing the Quarterly Non-Charges for Reimbursing Employers |
| 59 | Quarterly | TXQC0017 | Reimbursing Accounts with Credits; listing of system generated credits to post to various accounts |
| 60 | Quarterly | TXQC0018 | Distribution of Reimb. UI Benefits; listing of items billed to reimbursing agencies |
| 61 | Quarterly | TXQJ0011 | CRC Amounts |
| 62 | Upon Request | TXRQ0010 | New EFT Filers; to notify employers they are required to pay via TEXNET |
| 63 | Annual | BNAE110F | State Agency FY Summary; end of State FY |
| 64 | Annual | BNAE110P | State Agency FY Summary; end of Fed FY |
| 65 | Annual | BNAP020A | Annual 1099G IRS Tape; to prepare Annual Form 945 - Withholding |
| 66 | Annual | TXAJ0011 | Smart Jobs Funding Year End Summary; smart Jobs fund total - this has been replaced with ETIA and is no longer needed |

## Attachment 9 – Anonymized Sample

### Cover Sheet (Anonymized)

**Note:** Double Click to view entire file



### Case Summary (Anonymized)

**Note:** Double Click to view entire file



### Decision Examples (Anonymized)

**Note:** Double Click to view entire file



## Attachment 10 – Service Level Agreements

This Attachment contains service levels Awarded Vendor must meet or exceed for their solution.

The Offeror must describe their proposed business and technical SLAs for their solution and detail how they are measured.

The Awarded Vendor must follow rigorous standards leading to swift and thorough resolution of all TWC concerns throughout the life of the contract.

### A10.1 Availability

The Awarded Vendor must ensure their solution is available to the public and TWC Staff 99.95% of the time, excluding approved planned downtime for maintenance.

### A10.2 System Monitoring

The Awarded Vendor must monitor the system 24 hours per day, 7 days per week, 365 days per year (24/7/365) for any network, hardware, software, and operating system problems and to address problems immediately upon detection without waiting for a report from TWC.

The Awarded Vendor must monitor the application for system errors 7:00 am – 6:00 pm Central Standard Time, Sunday through Friday, excluding Texas state holidays as published on the Texas Comptroller’s website (<https://comptroller.texas.gov/>).

### A10.3 Systems Support

The Awarded Vendor must provide:

* A toll-free number monitored 24 hours per day, 7 days per week, 365 days per year (24/7/365) for TWC staff to report Level 1 and Level 2 incidents by phone;
* a secure internet portal available 24/7/365 for TWC staff to report system issues or incidents;
* Automated assignment of unique identifiers for traceability of each issue/incident reported by portal or phone;
* Regular status update entries on issue/incident tickets by vendor support staff; and
* Ability for authorized TWC staff to query reported incidents for status 24/7/365.

### A10.4 Service Level Requirements

#### System Availability

The Awarded Vendor must maintain minimum service levels with respect to system availability. The following system availability Service Level Agreements will be enforced:

| **Incident Levels** | **Level 1** | **Level 2** | **Level 3** | **Level 4** |
| --- | --- | --- | --- | --- |
| **Conditions** | **Severity 1** | **Severity 2** | **Severity 3** | **Severity 4** |
| System Outage determined by TWC to be caused by Awarded Vendor | Prevents external or internal users from accessing the system functionality | Prevents external or internal users from accessing a portion of the system | Prevents internal users from accessing system  11 hours per day (7:00 am – 6:00 pm CST)  5 days per week (Monday through Friday)  Excluding Holidays | Prevents TWC users from accessing system Saturdays/Sundays/Holidays (S/S/H) when Agency is closed |
| Work Around | None | None | Possible Work Around | Work Around Available |
| Percent of Users Affected | 51 – 100% of Users | 26-50% of Users | 11 – 25% of Users | 1 – 10% of Users |
| Business, Financial, Legal Exposure | Severe | Serious | Moderate | Low |
| Support Hours | 24/7/365 | 24/7/365 | 11/5/Excluding Holidays (EH) | 11/5/Excluding Holidays (EH) |
| First Response | Less than 30 minutes after incident is discovered by/reported to vendor | Less than 2 hours after incident is discovered by/reported to vendor | Less than 4 hours after incident is discovered by/reported to vendor, excluding S/S/H | Less than 4 hours after incident is discovered by/reported to vendor, excluding S/S/H |
| Resolution Time | Within 4 clock hours after first response | Within 8 clock hours after first response | Within 16 business hours after first response | Within 24 business hours after first response |
| Service Level Metrics | 98% of tracked incidents meet resolution time | 97% of tracked incidents meet resolution time | 96% of tracked incidents meet resolution time | 95% of tracked incidents meet resolution time |
| Measurement | Calendar Month | Calendar Month | Calendar Month | Calendar Month |

If a service level requirement is not achieved, the Awarded Vendor will issue the listed service credit to TWC no later than the fifth (5th) calendar day after the end of the month.

| **Incident Level** | **Monthly Performance Standard** | **Service Credit** |
| --- | --- | --- |
| Level 1 | 4-8 hours 9-16 hours 17+ hours | 1 day 7 days 30 days |
| Level 2 | 8-12 hours 13-18 hours 19+ hours | 1 day 7 days 30 days |

In the event of repeated violations of a single SLA measure, or multiple failures across SLA measures, TWC reserves the right to renegotiate SLA measures. Repeated violations may be grounds for termination of the Contract.

#### System Defect Resolution

The Awarded Vendor must also resolve reported defects based on minimum service levels. The following Service Level Agreement will be enforced with respect to system defect resolution:

| **Defect Level** | **Critical** | **High** | **Medium** | **Low** |
| --- | --- | --- | --- | --- |
| Impact of an incident resulting from a defective system feature, function, or module | Incident/Defect renders a business-critical System, Service, Software, Equipment or network component unavailable, substantially un-available or seriously impacts normal business operations, in each case prohibiting the execution of productive work. | Incident/Defect does not render a business-critical System, Service, Software, Equipment or network component un-available or substantially un-Available, but a function or functions are not Available, substantially available or functioning as they should, in each case prohibiting the execution of productive work. | Incident/Defect limits ability of multiple users to effectively use a System, Service, Software, Equipment or network component or a key feature thereof, but does not prohibit the execution of productive work. | Incident/Defect does not limit access to any part of the system and does not impact users in a meaningful way. Users are still able to productive work. |
| Work Around | None | None or is burdensome | Reasonable for short term | None required |
| Percent of Users or UI Cases Affected | 26 – 100% of Users or Cases | 10 – 25% of Users or Cases, or a disruption of benefits for a single individual | 0 – 9% of Users | Not applicable |
| Business, Financial, Legal Exposure | Severe | Serious | Moderate | Low |
| Resolution Time | Within 24 Hours | Within 5 business days | Based on prioritization process | Based on prioritization process |
| Service Level Metrics | 98% of tracked incidents meet resolution time | 97% of tracked incidents meet resolution time | 96% of tracked incidents meet resolution time | 95% of tracked incidents meet resolution time |
| Measurement | Calendar Month | Calendar Month | Calendar Month | Calendar Month |

### A10.5 Monthly Application Performance Standards

The Awarded Vendor must meet the following monthly performance standards. If a performance standard is not achieved, the Awarded Vendor will issue the listed service credit to TWC no later than the fifth (5th) calendar day after the end of the month.

| **Service** | **Monthly Performance Standard** | **Service Credit** |
| --- | --- | --- |
| Web application and database services | <99.95% <99% | 10% 30% |
| Storage services | <99.9% <99% | 10% 30% |
| Cloud data networks services | <99.9% <99% | 10% 25% |
| Database services | <99.95% <99% | 10% 25% |
| DNS services | 5-30 minutes 31-240 minutes More than 4 hours | 1 day 7 days 30 days |

### A10.6 Key Metrics for Cloud Security Models

The Awarded Vendor must describe the key security SLA metrics for their Solution for their proposed cloud model(s). The authoritative sources that are identified and align with the proposed metrics are NIST SP800-53r4, Cloud Security Alliance Cloud Control Matrix v3.01 (CSA), and ISO 27001-2013 (ISO). References to the specific section of each authoritative source are provided with each SLA recommendation for additional guidance.

Infrastructure as a Service:

| **#** | **Key Security SLAs** | **NIST** | **CSA** | **ISO** |
| --- | --- | --- | --- | --- |
| 1 | Change Control and Configuration Management | CM | CCC | A.12.1.2 |
| 2 | Data Center Asset Management | CM | DCS | A.8.1.1 |
| 3 | Disaster Recovery and Business Continuity Planning | CP | BCR | A.17.1.3 |
| 4 | Secure Configuration and Server Hardening | CM | IVS | A.12.5.1 |
| 5 | Malware and Intrusion Prevention | SI | TVM | A.12.2.1 |
| 6 | Network Vulnerability and Penetration Testing | RA | IVS | A.14.2.3 |
| 7 | Software Lifecycle and Patch Management | SA | TVM | A.12.6.1 |
| 8 | Security Incident Handling | IR | SEF | A.16 |
| 9 | Secure Network Protocols and Data Transport | SC | IPY | A.13 |
| 10 | Security Event Logging | AU | IVS | A.12.4 |

Platform as a Service:

| **#** | **Key Security SLAs** | **NIST** | **CSA** | **ISO** |
| --- | --- | --- | --- | --- |
| 1 | Change Control and Configuration Management | CM | CCC | A.12.1.2 |
| 2 | Secure Application and Program Interfaces | SC | AIS | A.14.1.3 |
| 3 | Disaster Recovery and Business Continuity Planning | CP | BCR | A.17.1.3 |
| 4 | Secure Configuration | CM | IVS | A.12.5.1 |
| 5 | Intrusion Prevention | SI | TVM | A.14.1.2 |
| 6 | Vulnerability and Penetration Testing | RA | IVS | A.14.2.3 |
| 7 | Software Lifecycle and Patch Management | SA | TVM | A.12.6.1 |
| 8 | Data Protection/ Portability/ Retention/ Destruction | MP | DSI | A.8 |
| 9 | Encryption and Key Management | SC | EKM | A.10.1.2 |
| 10 | Application and Database Logging | AU | IVS | A.12.4 |

Software as a Service:

| **#** | **Key Security SLAs** | **NIST** | **CSA** | **ISO** |
| --- | --- | --- | --- | --- |
| 1 | Change and Release Management | CM | CCC | A.12.1.2 |
| 2 | Secure Application and Program Interfaces | SC | AIS | A.14.1.2 |
| 3 | Disaster Recovery and Business Continuity Planning | CP | BCR | A.17.1.3 |
| 4 | Secure Configuration | CM | IVS | A.12.5.1 |
| 5 | Intrusion Prevention | SI | TVM | A.14.1.2 |
| 6 | Vulnerability and Penetration Testing | RA | IVS | A.14.2.3 |
| 7 | Software Lifecycle and Patch Management | SI | TVM | A.12.6.1 |
| 8 | Security Coding Practices | AT | HRS | A.14.2 |
| 9 | Identity Access Management | AC | IAM | A.9.2 |

### A10.7 Reports

The Awarded Vendor must maintain a full inventory of every incident reported by TWC by telephone or portal.

The Awarded Vendor must provide a monthly report showing the Service Level Metrics by Incident Level for the Calendar Month and a rolling Report since AoC through the last day of the calendar month.

### A10.8 Dashboard

The Awarded Vendor must maintain a dashboard containing all functionality necessary to graphically present SLA information for decision making.

## Attachment 11 – HUB Subcontracting Plan

Offerors must comply with the TWC HUB Subcontracting Plan Procedure. If the total bid is greater than $100,000, Offeror must complete the HUB Subcontracting Plan documents and submit them as part of their response to this RFO. If awarded, and HUB subcontractors are used, the Awarded Vendor will be required to submit a monthly HUB Progress Assessment Report.

The HUB Subcontracting Plan may be accessed via the Internet at <https://comptroller.texas.gov/purchasing/docs/hub-forms/hsp-allfms.pdf>

***IF YOUR RESPONSE TO THIS SOLICITATION DOES NOT CONTAIN A HUB SUBCONTRACTING PLAN, YOUR RESPONSE SHALL BE REJECTED AS A MATERIAL FAILURE TO COMPLY WITH THE ADVERTISED SPECIFICATIONS.***

## Attachment 12 – Pricing

Offeror must provide pricing for the required fixed-price deliverables included in Section 2.2. Offeror must ensure that each implementation phase identified in Section 2.4 has a corresponding “Pricing for Deliverables – Phase” pricing table in this Attachment and use the use the same labels used for the corresponding Major Milestone Tables in Section 2.4.

Offeror’s costs and fixed Hourly Rates must include applicable purchase, delivery, tax, services, safety, license, travel, per diem, Offeror’s staff training, Project facility, and any other expenses associated with the delivery and implementation of the proposed deliverables. Offeror must not include assumptions in this section but must list assumptions in Section 2.6.

Offeror may propose a reasonable number of sub-deliverables for more frequent payment opportunities; however, if payments are divided, the deliverable is still not final until all associated sub-deliverables are accepted. If one (1) sub-deliverable causes a change to be needed on an approved sub-deliverable, the change is still required to be made without a Change Request or additional cost to TWC.

Offeror must attach their estimating worksheet(s) to allow TWC to confirm the Offeror’s understanding of the Project scope. Any corrections will be made with Offeror finalist(s) during the BAFO process.

**Deliverables Mapped to Project Phase Milestones**

Each Project Phase defined in Section 2.4 contains the Project Phase Milestones in the table below. Project Phase Milestones have associated maximum allowable costs expressed as a percentage of total costs for that phase, excluding non-phase costs, see A12.2. Offeror must adhere to these limits when generating their Pricing.

| **Project Phase Milestone** | **Percent of Total Cost per Phase** |
| --- | --- |
| Analysis | Up to 15% of the total phase cost |
| Design | Up to 20% of the total phase cost |
| Development | Up to 20% of the total phase cost |
| Integration | Up to 15% of the total phase cost |
| Implementation | Up to 25% of the total phase cost |
| Post-Implementation | Up to 5% of the total phase cost |

In the following table, Deliverables are mapped to Project Phase Milestones.

| **Deliverable Number** | **Deliverable**  **Name** | **Project Phase Milestone** |
| --- | --- | --- |
| 2 | Manage Requirements | Analysis |
| 3 | Design Holistic UI Replacement System | Design |
| 5 | Configure/Develop System and Conduct Technical Acceptance Testing | Development |
| 6 | Migrate Data | Development |
| 7 | Implement Interfaces | Integration |
| 8 | Replace Reports | Integration |
| 9 | Plan and Implement OCM | Implementation |
| 10 | Implement Automated Testing Solution | Implementation |
| 11 | Conduct System Testing | Implementation |
| 12 | Create and Conduct Training | Implementation |
| 13 | Deployment Planning and Execution | Implementation |
| - | **Total Phase Costs** |  |

For example, the total cost of all Development phase deliverables; Deliverables 5A, 5B, 5C, 5D, 5E, 5F, 5G, 5H, 5I, 6A, and 6B; can sum to no more than 20% of the total cost for that phase. Deliverables not included in the table above are considered Non-Phase Deliverables and are addressed in A12.2.

### A12.1 Pricing for Deliverables – Phase

Pricing must address all deliverables necessary to implement the TWC UI solution for this Phase.

| **Deliverable Number** | **Deliverable**  **Name** | **Fixed Deliverable Price** |
| --- | --- | --- |
| 2 | Manage Requirements |  |
| 2A | Requirements Management Plan |  |
| 2B | Requirements Workshops |  |
| 2C | Requirements Baseline |  |
| 2D | Requirements Traceability Matrix |  |
| 3 | Design Holistic UI Replacement System |  |
| 3A | System Design Document |  |
| 3B | Software Purchase and Licensing Plan |  |
| 5 | Configure/Develop System and Conduct Technical Acceptance Testing |  |
| 5A | Software Development Plan |  |
| 5B | Configuration Management Plan |  |
| 5C | Configured Tax System |  |
| 5D | Configured Benefits System |  |
| 5E | Configured Appeals System |  |
| 5F | Configured RID System |  |
| 5G | Configured RTM System |  |
| 5H | Updated Test Plan |  |
| 5I | Completed Technical Acceptance Testing Checklist |  |
| 6 | Migrate Data |  |
| 6A | Data Migration Strategy and Plan |  |
| 6B | Migrate Data |  |
| 7 | Implement Interfaces |  |
| 7A | Interface Implementation Strategy and Plan |  |
| 7B | Implemented Interfaces |  |
| 8 | Replace Reports |  |
| 8A | Inventory of all Required Reports and Ad Hoc Queries |  |
| 8B | Confirm and Document Requirements for Reports and Ad Hoc Queries |  |
| 8C | Implement Replacement Reports and Queries |  |
| 9 | Plan and Implement OCM |  |
| 9A | OCM Plan |  |
| 9B | Technical Documentation Stored |  |
| 9C | Implemented OCM Plan |  |
| 10 | Implement Automated Testing Solution |  |
| 10A | Automated Testing Solution Test Plan |  |
| 10B | Automated Testing Solution Documentation |  |
| 10C | Implemented Automated Testing Solution |  |
| 11 | Conduct System Testing |  |
| 11A | Updated Test Plan |  |
| 11B | Product Quality Metrics for Testing |  |
| 11C | Test Cases and Scripts |  |
| 11D | UI System is Tested to Meet Agreed-Upon Quality Metrics |  |
| 11E | UI System is Tested to proceed through review gates |  |
| 12 | Create and Conduct Training |  |
| 12A | Training Environment |  |
| 12B | Training Plans for each IT and Program Area |  |
| 12C | Training Materials |  |
| 12D | Training Courses |  |
| 12E | Completed Training |  |
| 12F | Guides and Desk Aids |  |
| 12G | End User Webinars and Video Training |  |
| 12H | Knowledge Transfer Plan |  |
| 12I | Completed Knowledge Transfer |  |
| 13 | Deployment Planning and Execution |  |
| 13A | Completed ETA 9177 Report |  |
| 13B | Deployment Readiness Plan and Execution |  |
| 13C | Day of Deployment Plan and Execution |  |
| 13D | Post Deployment and Execution |  |
| - | **Total Phase Costs** |  |

### A12.2 Pricing for Deliverables – Non-Phase Costs

Pricing must address all non-phase deliverables necessary to implement the TWC UI solution.

| **Deliverable Number** | **Deliverable**  **Name** | **Fixed Deliverable Price** |
| --- | --- | --- |
| 1 | Plan and Setup Project |  |
| 1A | Kick-off Meeting Agenda, Presentation, and Minutes |  |
| 1B | Implementation Strategy |  |
| 1C | Project Management Plan |  |
| 1D | Detailed WBS and IMS |  |
| 1E | Staffing Plan |  |
| 1F | Test Plan |  |
| 1G | Lessons Learned Collection Process |  |
| 4 | Assess Infrastructure |  |
| 4A | Infrastructure Report |  |
| 14 | Maintenance and Operations Plan |  |
| 14A | M&O Plan |  |
| 14B | Monthly Operations Status Reports |  |
| 15 | Additional Implementation Support |  |
| 15A | Additional Implementation Support |  |
| 16 | Annual Software Maintenance and Support Subscription |  |
| 16A | Annual Software Maintenance Support and Subscription |  |
| 17 | Maintain Effective Cyber Security |  |
| 17A | FedRAMP ATO |  |
| 17B | Security Assessment Plan |  |
| 17C | Incident Response Plan |  |
| 17D | System Security Plan |  |
| 17E | Implemented Security Plans |  |
| 18 | End of Contract Services |  |
| 18A | Transition Plan |  |
| 18B | Completed Transition Plan |  |
| - | **Total Non-Phase Costs** |  |

### A12.3 Pricing for Project

Pricing must include all Project Phase and Non-Phase costs necessary to implement the TWC UI solution and to fully replace the UI legacy system.

|  |  |  |
| --- | --- | --- |
| - | **Project Grand Total  (Total of All Phase and Non-Phase Costs)** |  |

### A12.4 Pricing for Option Years

Pricing must include all software maintenance, support, and hosting costs for additional option years described in [Section 6.4](#_6.4_Term_of).

| **Option Year** | **Annual Software Maintenance  and Support Costs** | **Annual Hosting Costs** | **Annual DCS Hosting Costs** |
| --- | --- | --- | --- |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |
| 5 |  |  |  |
| 6 |  |  |  |

If proposing a DCS solution, leave Annual DCS Hosting Costs column blank. TWC Purchasing Division will coordinate with DIR to ascertain DCS costs based on infrastructure requirements submitted in Section 2.2.16.

### A12.5 Pricing for Optional Deliverables

Pricing may address all deliverables necessary to implement the Optional Deliverables in the table below, including cost to implement and any ongoing yearly maintenance costs.

| **Deliverable Number** | **Deliverable**  **Name** | **Fixed Deliverable Price** |
| --- | --- | --- |
| OD1 | CMS (Optional) |  |
| OD1A | Provide an integrated, tested CMS solution (Optional) |  |
| OD2 | Workforce Connect (Optional) |  |
| OD2A | Implement all available Workforce Connect modules (Optional) |  |

### A12.6 Pricing for Blended Hourly Rate

Offeror must provide one (1) blended hourly rate as a point of reference for TWC when Change Requests are issued on this contract, if applicable. A blended hourly rate is the average of hourly rates used to determine proposal pricing.

Blended hourly rate: $ /hour.

### A12.7 Pricing for Reports

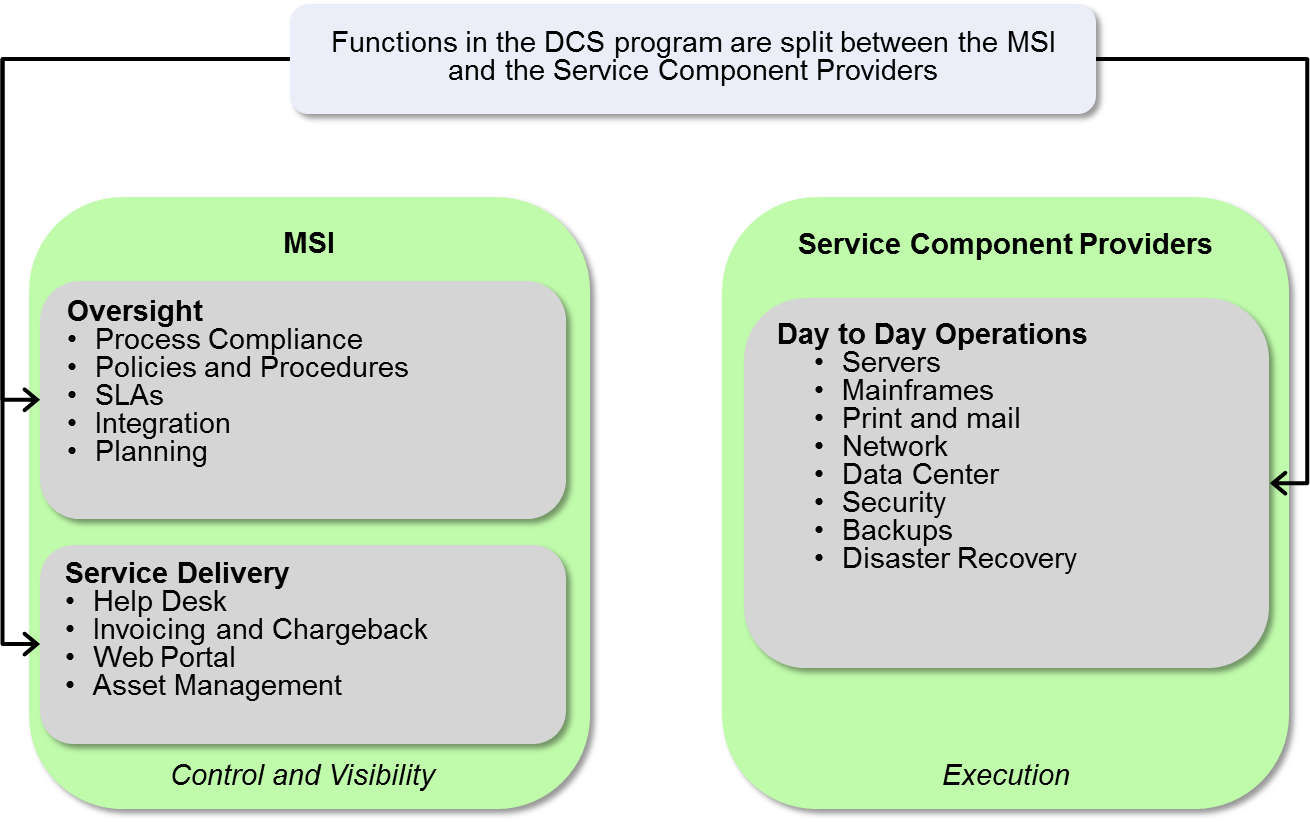
Offeror must provide a cost per report as a point of reference for TWC:   
$ /report.

## Attachment 13 – DCS Background Information

Collectively, the DCS contracts provide participating Customers mainframe and server operations, including hybrid public cloud services, disaster recovery, and bulk print and mail services in Customer data centers and two commercial-grade data center facilities: one located in San Angelo, Texas, and one located in Austin, Texas, with a goal to migrate all possible services to the two consolidated facilities.

### DCS Service Provider Roles

There are two different service provider roles: multi-sourcing service integrator (MSI) and service component provider (SCP). Below is a high-level picture of how roles and responsibilities are divided within DCS.



### Infrastructure

The Awarded Vendor is required to work closely with the DCS Service Providers to establish the infrastructure for their hosted solution. Generally, all activities that require privileged access (i.e., root access) are performed by the SCP, unless otherwise delegated to the Awarded Vendor by the SCP through the DCS Change Management process.

The following is a high-level service description of fully managed services provided by DCS Service Providers through the DCS program. All server environments (private community cloud as well as public government cloud) including, but not limited to, production, test, and development are included and receive these services:

* Server hardware on standardized Intel, AIX, Solaris shared and dedicated platforms.
* Server hardware and operating system installation, support, and maintenance,
* Server software installation, upgrades, support, and maintenance for infrastructure, middleware, application utility, and data­base software,
* System administration for all in-scope server software,
* Server administration administered remotely from central location,
* Computer operations and monitoring,
* Production control (batch scheduling, job scheduling),
* Storage management (disk, tape),
* Disaster recovery backups and offsite tape storage,
* Physical database administration,
* Data center print services (printer operations; report staging for distribution; ordering paper, special forms, etc.; inserts; and bulk print mailings),
* Facility and environmental support within the State data centers,
* Capacity planning,
* Disaster recovery planning and testing for all data center services,
* Business continuity planning (service provider processes),
* Support Center (for in-scope data center services) using the MSI Service Now incident, problem tracking and resolution application,
* Hardware/software procurement for in-scope services,
* Support and maintenance for the LAN environment within the data center facility,
* Standard security controls managed at the enterprise,
* Vulnerability/threat/virus support,
* Security software installation and maintenance,
* Physical security within the State data centers,
* Process management,
* Incident management, problem management, change management, configuration management, release management,
* Standard infrastructure DCS Service Level Agreements,
* Enterprise ADFS and Domain Controller Privileged ID services,
* Hardware and Software Currency Standards and Refresh, and
* Enterprise technology standards and roadmap.

### DCS Service Level Agreements

The TWC infrastructure will be subject to the standard infrastructure DCS SLAs, which are described in the [DCS Master Services Agreement](https://pubext.dir.texas.gov/portal/internal/contracts-and-services/Contracts/DIR-DCS-SCP-MSA-002-Master%20Services%20Agreement.pdf), Exhibit 3, found at <https://pubext.dir.texas.gov/portal/internal/contracts-and-services/Contracts/DIR-DCS-SCP-MSA-002-Exhibit%203-Service%20Levels%20updated%20in%20Amend%2014.pdf>. The goal of the DCS SLAs is quality performance from the DCS Service Providers through incentives for consistent quality behaviors that meet the State’s expectations. The DCS SLAs are constructed to incent the DCS Service Providers to perform and allow the parties to modify the DCS SLAs without a contract change.

There are critical service levels (tied to financial credits for the State for performance failures) and additional key measurements. Key measurements can be promoted to critical service levels, allowing flexibility to focus attention on a particular area.

In addition, the DCS Master Services Agreements embrace the concept of continuous improvement. Each year, the Expected Value of the DCS SLA automatically increases in accordance with the methodology described in Exhibit 3 of the DCS Master Services Agreements.

### DCS Disaster Recovery Overview

The DCS approach to restoration uses a dual-site solution, where each data center uses the other as a backup in case of a disaster. Each data center maintains the ability to restore critical data and applications from its sister site. Both data centers have bandwidth capacity to support restoration while maintaining current operations. The dual-site solution can also be expanded to the Public Government Clouds offered in a hybrid model for additional backup sites to support recovery.

Applications covered by the DCS infrastructure are prioritized into one of several recovery time objective (RTO) classifications—Class P, Class 1, Class 2A. Class 2B, Class 3, Class 4, Class 5, Class 6, or Class 7 —based on criticality to business operations and other considerations. The RTO is the time in which systems, applications, or functions must be recovered after a disaster is declared and helps determine the recovery strategy.

The DCS Service Providers are required to conduct periodic simulation or tabletop exercises, according to the Disaster Recovery (DR) Class, to test the effectiveness of the disaster recovery response. Lessons learned from these exercises are incorporated into the disaster recovery planning. The DCS Master Services Agreements, Exhibit 16 and Exhibit 2.1, describe IT service continuity management and disaster recovery requirements, including the RTO classifications and eligibility for DR exercises. The DCS Master Services Agreements, Attachment 4-E describes the available tiers of Servers, tiers of storage, and the Recovery Point Objectives (RPO).

The Awarded Vendor will be required to work closely with DCS Service Providers to develop and update disaster recovery plans, periodically complete DR exercises, and restore services in the event of a declared disaster.

### DCS Hardware and Software Acquisition

As a participating entity in the DCS program, TWC is required to acquire all in-scope infrastructure hardware and software through the DCS program. The Vendor is required to participate in the procurement process, including submitting the request for service into the DCS Service Now Tool, participating in the requirements gathering sessions, and validating the acquisition proposals received. As much as technically possible, the DCS program uses virtualized server instances on standard hardware configurations. Proper long-range planning is required in order to ensure that hardware and software is received to meet project schedules.

### DCS Intel Based Configurations

Virtualized Intel based server instances in the ADC and SDC are VCE vBlock construction for both Windows and Linux O/S platforms.

* Vblock consists of EMC storage coupled with VMware virtualization and Cisco Network and Compute equipment.  Additionally, Vblock incorporates EMC’s Unified Infrastructure Manager (UIM) which enables automation and single point of management for most of the infrastructure components
* VMware vSphere, virtualization platform private cloud infrastructure

Virtualized AIX based server instances in the ADC and SDC are IBM Flex Systems with an associated IBM System Storage SAN.

Virtualized Solaris based server instances in the ADC and SDC are Oracle T5-4 chassis with storage on the EMC SAN.

### Process Management

Awarded Vendor will be required to participate in the defined DCS processes for incident management, problem management, change management, release management, configuration management, and request management. In the management plans described in this RFO Section 3.2, the Awarded Vendor must describe its interactions with the DCS program. The DCS Services Management Manual is available upon request.

### Database Administration

The Awarded Vendor will be responsible for logical database administration.

The Awarded Vendor is required to work closely with SCPs, as SCPs perform physical database administration activities, including:

* Install database management software (DBMS),
* Configure DBMS parameters,
* Apply DBMS operating system patches,
* Capacity planning of database instances,
* Performance tuning of database instances,
* Reorganize the database as necessary,
* Create instances in all environments, and
* Add/change/delete database objects in production and pre-production.

### Hardware and Software Currency

The DCS hardware infrastructure is refreshed on a 60-month refresh cycle. Operating software, database software, and application utility tools are required to be within n or n-1 of the currently supported versions of the software manufacturer. The Awarded Vendor is required to ensure the application software developed to support the UI System will support the DCS standard hardware and software platforms as described in the DCS Standard Configurations.

### Functions Retained by Agencies – Out of Scope for Data Center Services

To provide context, the following services are considered Customer retained services because they are out of scope of the DCS Master Services Agreement (not provided by DCS Service Providers). In developing your response, the Offeror should clearly understand that the TWC is responsible for these functions as needed, either through staff or agency outsourcing:

* End-user computing, including desktop, mobile, and LAN-attached multi-function devices;
* Network support, including WAN/LAN support outside of the State data centers, voice/phone support;
* Help desk (Level I – all services);
* Expert troubleshooting and support for all non-DCS services;
* Technology planning, strategies, and visioning;
* Project management;
* Disaster recovery planning and testing for all retained services;
* Business continuity planning for agency processes;
* Packaged imaging systems (scanners, servers, optical disks, etc.);
* Coordination of data center print services, including coordinating form changes with business units, volume trending;
* Data security, security design and policy development, systems access requests (directory/file, ID creation and removal, determination of access rights);
* Logical database administration;
* Application development, support, maintenance, and monitoring;
* Electronic payment processing services;
* Data import and export to the environment (FTP services); and
* Reporting services.

### Level I Help Desk

If needed for the solution, the Awarded Vendor is required to maintain a Level I help desk to triage all calls prior to submitting an incident to the DCS Support Center. Once the Awarded Vendor has determined or suspects the cause of an incident is related to a DCS infrastructure component, the Awarded Vendor will log into the DCS Support Center’s system to report the incident in accordance with the DCS Services Management Manual.

1. Exportable Code – software which is provided in both source code and object code forms under a license which allows Texas and its designees to use, modify, reproduce, and distribute the software in both source code and object code forms without restriction and without being required to make any additional payments to the licensor of the software. See U.S. DOL Unemployment Insurance Program Letter (UIPL) 26-11 (<https://wdr.doleta.gov/directives/attach/UIPL26_11.pdf>). [↑](#footnote-ref-1)