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Florida Agency for Workforce Innovation  
Office of Procurement and Contract Administration  
UC Modernization Planning for Phase 3  
Response to Solicitation No. 10-RFI-001-SS

Submitted By:

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## TABLE OF CONTENTS

1. Information Acknowledgement Form .....	2
2. Unemployment Compensation Modernization – TCS Capabilities .....	3
2.1 Modernized Unemployment Insurance Claims/Benefits System .....	4
2.1.1 Characteristics of TCS' Base System .....	7
2.2 TCS' UC Modernization Methodology.....	8
2.2.1 Phased Implementation Approach.....	9
2.2.2 Utilization of Base System.....	10
2.2.3 Cutover and Conversion Strategy.....	11
2.2.4 Long Term Supportability.....	12
2.2.5 Equipment Needs .....	13
3. References.....	14
4. Enabling Technology.....	16
4.1 Self Service .....	16
4.2 Interactive Voice Response.....	17
4.3 User Interface – Adaptable User Interface technologies .....	17
4.4 Internal and External Interfaces.....	18
4.5 Correspondence Management System.....	19
4.6 Automatic Payment Channels.....	22
4.7 Automated Reports.....	22
4.8 Management Dashboards.....	23
4.9 Legislative Changes Made Easy.....	23
4.10 Business Rules.....	23
5. TCS' Base System – Typical Benefits.....	24

## 1. Information Acknowledgement Form

TATA America International Corporation (TAIC), d.b.a. TCS America, a wholly owned subsidiary of TATA Consultancy Services Limited (TCS) is pleased to submit this document in response to RFI Solicitation No. 10-RFI-001-SS issued by the Florida Agency for Workforce Innovation (AWI) for Phase 3 of its Unemployment Compensation (UC) Modernization Planning.

## 2. Unemployment Compensation Modernization – TCS Capabilities

TCS has been closely involved with the Unemployment Insurance/Unemployment Compensation Modernization programs of several States in the US since 2001, when the US Department of Labor provided for Reed Act funding to State Workforce Agencies to assist them with the administration of one of the most crucial public assistance services.

In the process, TCS has assisted three State Agencies – New Mexico Department of Workforce Services (NMDWS), Nebraska Workforce Development – Department of Labor (NWD-DOL) and Mississippi Department of Employment Security (MDES) – in their modernization efforts, successfully completing the implementation of state-of-art Unemployment Insurance Claims and Benefits Management Systems within time, budget and with the highest quality.

More importantly, during these years, TCS gained a tremendous insight into the programs, policies, operations and management processes of State Workforce Agencies. This experience has also provided us with an opportunity to understand and deal with the critical challenges of a large-scale modernization effort.

The two critical components of our successful modernization programs thus far are (a) a functionally rich, robust, state-of-art “Base System” that can be easily and efficiently implemented for any new State Workforce Agency (b) a modernization methodology aligned to the “Base System” capabilities – tailored specifically to address the risks, challenges, issues of a UC Modernization program. Therefore, TCS has consistently aimed at developing and continuously refining these two enablers with a view to enable agencies like Florida Agency for Workforce Innovation (FL AWI) readily leverage these assets for their modernization programs.

## 2.1 Modernized Unemployment Insurance Claims/Benefits System

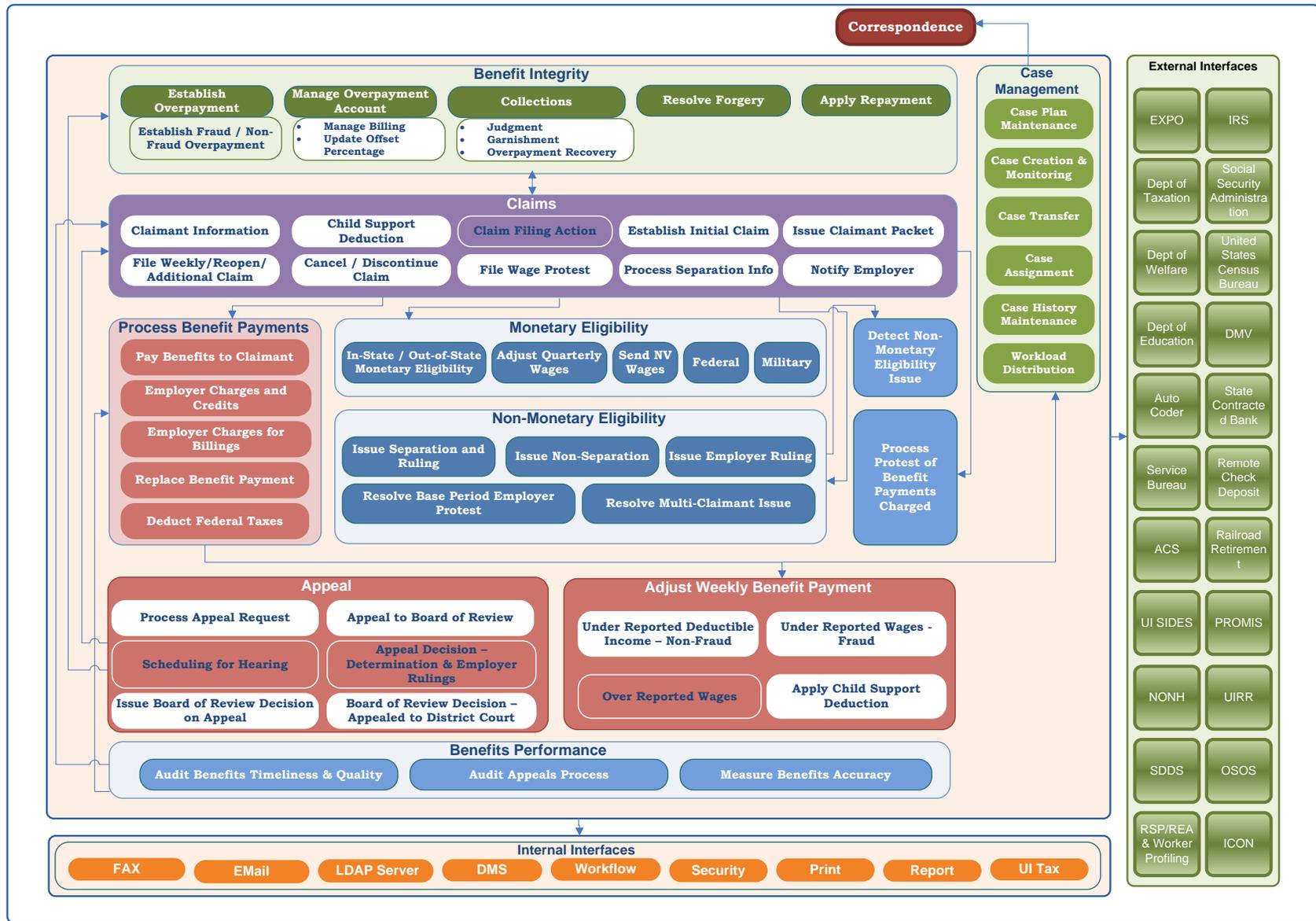
We are proud to offer a solution that is very specifically built for State Workforce Agencies, tested and proven in three states, without having to rely on expensive and overvalued COTS products that have not fulfilled their promise of “configurable” business functionality. The proposed Base System has evolved over the past few years, with every passing implementation, to mature into a Solution Framework that productizes rich UC-specific functionality for easy customization.

TCS' Unemployment Insurance "Base System" delivers the following key benefits to Florida AWI

- Reduce scope of error due to manual processes by business process automation
- Increase speed of process and administration, transparency in operation
- 24\*7\*365 information and service availability
- Paper-based processing replaced with electronic records keeping
- Reduction in operational and maintenance costs
- Improved efficiency with End-to-End automatic workflow processes
- Better customer service levels through automatic work allocation
- Efficient call center and IVR integration
- Extensive data management with history tables
- Extendibility to deliver UC services to Claimants, Employers and Agency Staff via multiple service delivery channels
- Management Dashboards to allow Agency Executives micro-visibility into the status of UC Program Administration

TCS' Base System has been designed and developed using a multi-layered, component based architecture that facilitates easy addition, modification or deletion of components that together make up the functionality of the system. The key benefit to Florida AWI and most State Workforce Agencies using the TCS' Base System framework is the ease with which business processes spanning multiple departments (Claims Intake & Determinations, Employer Registration, Wage Reporting, Adjudication, Appeals, BPC, BTQ, BAU, Tax, Payments, etc.) are integrated into a uniform application.

The following illustration depicts the business components of the TCS' Base System that are relevant to Florida AWI's UC Modernization program.



Agency Staff, to their relief, will not need to log onto multiple applications to perform their day to day work. Further, the Base System comes with work automation concepts such as Case and Workflow Management, Document Management, and Business Rules that greatly enhance the productivity of staff. *Consider this: When a Customer Service Representative (CSR) sends a request for wage information to another State for a Combined Wage Claim (CWC), the CSR updated upon receipt of the requested information. The Base System carries out a monetary re-determination and the CSR sees a comparison of the Claimant Benefits using either State's wages – all without a click of the button. The Base System goes one step ahead and generates all necessary correspondence that needs to be sent to Claimants and the liable Employers. The framework will revolutionize the manner in which Agency Staff provide services to Claimants and Employers.*

The Base System will take Government Services right to user's mouse pad or telephone. By providing multiple service delivery channels, the system increases the number of touch points between the Agency Staff and the constituents thereby greatly enhancing their experience at each of those touch points, without increasing the burden of workload for the Agency Staff.

For instance, a Claimant will be able to file a Claim – via any one of following: the Internet, Telephone, a visit to the Local Office, or mailing the Claim Form to AWI. Though the multiple touch points, the Base System drastically reduces the time taken to file a claim. Then, the Agency is informed of the issues detected in the claim and possible actions to adjudicate the issues. In most cases, the action itself is automated in the form of correspondence generated almost instantaneously. Even better, if the Claimant is filing the claim over the Internet, he or she is informed of the issues in real time. The Claimant can then call the AWI Customer Service Representatives and resolve the issues on the phone – immediately. Any data entry errors are validated on point of entry, addresses corrected and returned in standard USPS format. Features like Real Time Adjudication drastically improve the Timeliness Measures for first payment, determinations – monetary and non-monetary. Similarly, Appeals is automated and integrated with all the other Departments, i.e., a decision made by the Appeals Department, instantly triggers corresponding events in the Payments Module or the Overpayments Module.

The Case Management subsystem will take care of all the case flows including delinquencies in the claimant account, employer accounts, audit, appeal, legal, etc. Various steps, processes in the Case Management subsystem will check the accounts at regular intervals for delinquencies like non-filing, underpayment, etc. It will be possible to configure multiple case types, each having a number of steps and these steps occurring after specific delay. These steps will include generating notifications/alerts for the staff, generating correspondences, creating work items for reviews, etc. Complete history of each case and each step, action at each step within a case will be maintained in the system and will be easily accessible by the staff. The Base System takes care of case assignment to staff, case transfer among departments depending on the steps defined in the case and workload balancing configurations. At any point in time any level of managers can find the case load status for different departments by looking at one screen.

### 2.1.1 Characteristics of TCS' Base System

TCS' Base System has evolved both in terms of the functional scope as well as its ability to facilitate bigger, better and faster implementations of Modernized UC Systems for State Workforce Agencies.

The following illustration depicts how the Base System has evolved in terms of the functional capability with each State that selected the Base System for their modernization programs:

State/Agency	New Mexico Department of Labor	Nebraska Workforce Development – Department of Labor	Mississippi Department of Employment Security
<b>Scope - Claimants (UI Benefits)</b>	Claims Intake (multiple types and channels) Adjudication Monetary and Non-monetary Determination Payments Benefit Payment Control Charges (Employer Charges, Trust Fund Charging) Appeals Audit (Profiling, BTQ, QC, Data Validation, Multiple Address, Address Changes) Reports - State & Federal Claimant Inquiry	Claims Intake (multiple types and channels) Adjudication Monetary and Non-monetary Determination Payments Benefit Payment Control Employer Charges Appeals Audit (Profiling, BTQ, QC) Reports - State & Federal	Claims Intake (multiple types and channels) Adjudication Monetary and Non-monetary Determination Payments Benefit Payment Control Employer Charges Appeals Audit (Profiling, BTQ, QC) Reports - State & Federal
<b>Scope - Employers (UI Tax)</b>	Employer Charges Employer Appeals Employer Account Inquiry Mass Layoff Notice of Claim Determination Employee Separation Details	Employer Charges Appeal Notice of Claim Determination Employee Separation Details	Employer Registration Employer Account Maintenance Wage Reporting (Summary and Detailed) Employer Tax Payments Employer Charges Appeal Employer Account Inquiry Notice of Claim Determination Employee Separation Details
<b>URL</b>	<a href="https://uiclaims.state.nm.us/uicclaim/html/UIChome.html">https://uiclaims.state.nm.us/uicclaim/html/UIChome.html</a>	<a href="https://uibenefits.nwd.ne.gov/BPSWeb/jsp/BPSClaimantWelcome.jsp">https://uibenefits.nwd.ne.gov/BPSWeb/jsp/BPSClaimantWelcome.jsp</a>	<a href="http://mdes.ms.gov">http://mdes.ms.gov</a>

Additionally, as TCS enhanced the functional scope of the Base System for each State, the productivity associated with the implementation of the Base System also improved significantly leading to faster and better implementations in every State. This improvement in productivity and time for implementation is depicted in the following chart:

## 2.2 TCS' UC Modernization Methodology

The TCS Methodology for UC Modernization Programs is characterized by a phased or incremental approach to implementing the modernized UC System – particularly for the following reasons:

- For large, complex application implementations, covering many interfaces, there could be potential risks emanating from various facets of the project such as Technical risks, Management risks, Functional risks. The Implementation Methodology should facilitate identification and resolution of such risks at the earliest possible stage.
- The methodology should ensure maximum possible focus on the core activities of system implementation such as design, customization/configuration and testing including Acceptance Testing, for each of the functional areas
- The methodology should facilitate the creation and sign-off on work artifacts and deliverables at frequent intervals and early feedback from the Agency and optimum participation from the Consultant Teams
- The methodology should be based on industry-standards with robust/proven application development tools available in the market that can support such a model
- The methodology should have been utilized to implement at least one other large UC Modernization Program previously

Further, the TCS Methodology

- Breaks down the implementation process into clear distinct steps
- Makes implementation far less daunting
- Helps in building and maintaining momentum in the implementation path
- Helps in better utilization of the scarce resources
- Reduces the risk in the first implementation
- Mitigates business risks as the old system is available during the transition period
- Helps to get feedback from the consumers and the staff members

### *2.2.1 Phased Implementation Approach*

Based on these imperatives and the industry standard models available (SSAD-Structured System Analysis and Design, OOAD-Object Oriented Analysis and Design, CBD-Component Based Development, USDP-Unified Software Development Process, RUP-Rational Unified Process, Agile Development Methodology, etc.), TCS has designed a customized Iterative Development Methodology specifically for large and complex UC Modernization Projects and has successfully implemented it on all our prior engagements. This methodology draws primarily upon the Rational Unified Process and is specifically suited to being able to be tailored to a specific implementation taking into consideration multiple factors including: roll-out approach, scope, size, internal and external resources, among others.

The Iterative Development Methodology comprises of the Software Engineering Processes being executed in a particular manner and sequence so as to ensure the accomplishment of business value, optimal utilization of resources, maximizing the chances of first time success and eliminating the risks of failure.

The following pictures illustrate graphically some of the Iterative Development Methodology Models TCS has adopted on other UC Modernization Programs.



### 2.2.2 Utilization of Base System

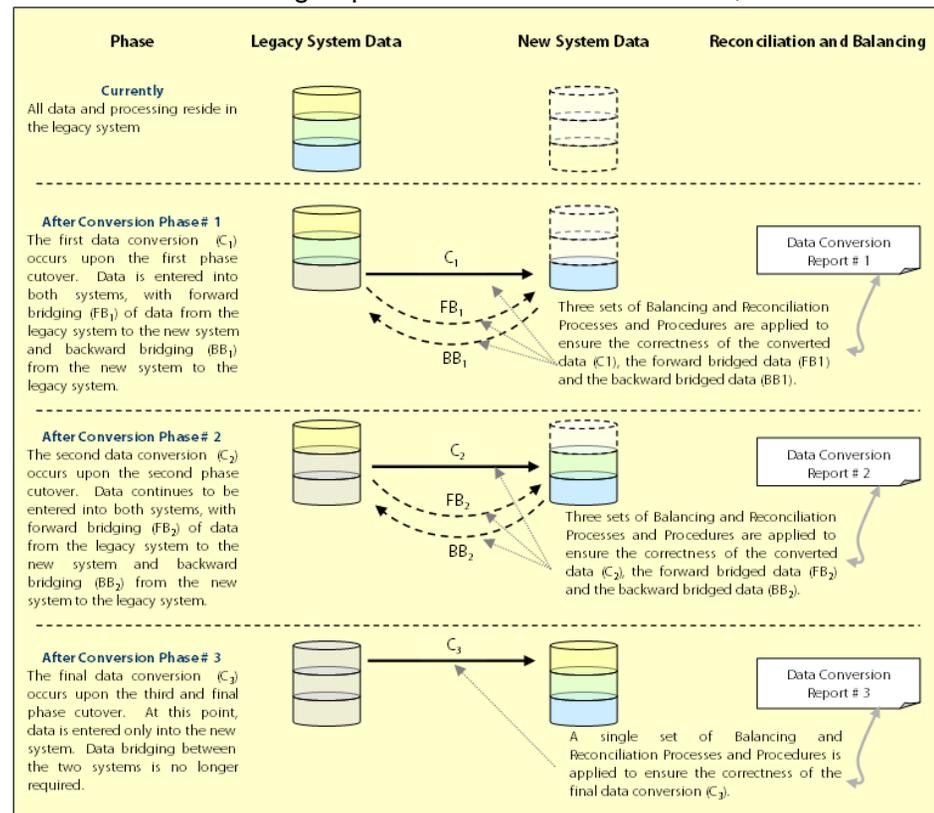
TCS' Base System is unlike any COTS product that claims to fulfill the specific needs of Unemployment Compensation business processes – through customization/configuration of “generic” case management or workflow functionality. As can be seen from the illustration below, TCS' Base System encapsulates very specific business and technology components that are tailored for the needs of UC business processes and are available to Florida AWI for immediate use. Based on the implementation methodology finalized for Florida's UC Modernization Program, TCS is able to customize the modernization methodology in accordance with readiness of the Base System components to ensure quick, successful and cost-effective implementation.

Typically, the methodology will involve conducting a Gap Analysis between AWI's desired future state of business processes and the Base System's capability (demonstrated through the business and technology components). Based on the Gap Analysis, TCS will make it visible to AWI as to the exact process in which the customization of the Base System components will lead to a Modernized UC System for Florida.

### 2.2.3 Cutover and Conversion Strategy

The Cutover and Conversion Strategy most critical to the success of the UC Modernization Program and is closely related to the sequence of implementation of the UI Business Processes. Our engagements with our clients and observations of other State Workforce Agencies within the US include several implementation approaches, the most significant ones listed below:

- Consolidating and implementing UC Business Processes in functional groups such as Claims Intake, Certifications, Adjudications, Payments, Determination, Overpayment, Appeals, and Reporting – this approach, we understand is based on the priority of internal efficiencies to be gained within the Department [Example: Nebraska and New Mexico]
- Implementing Claimant and Employer-facing UC processes (such as Claims Intake, Appeals, Wage Reporting, Payments and Remittances, etc.) followed by back-end UC processes (such as Adjudication and Determinations, Benefits Payment Control, ICON Interfaces, Employer Charging) – this approach is based on the intent of State Agencies to make improvements in service delivery to constituents before accomplishing internal efficiencies [Example: Mississippi, Minnesota, California]
- Approaching the modernization initiatives with a technology perspective – resulting in the establishment of the core technology infrastructure first followed by the implementation of business processes over the infrastructure. This approach entails the initial creation of a platform for delivering UC Services such as Workflow Engines, Electronic Work Items, Document Management capabilities, Interface Engines, Business Rules Engine, etc. which by themselves are not



capable of delivering functional services to the users – but become fully functional as business processes are implemented upon this infrastructure.

In each of these approaches, a due diligence study reveals that there are certain advantages, disadvantages and trade-offs involved. Ultimately, from a UI systems implementation perspective, each of these approaches will imply the existence of two parallel software applications (and associated databases) – one being the legacy applications currently supporting the UI Processes and a second modernized application that will provide the same or better services in future – performing mutually exclusive and collectively exhaustive business functions as the State goes through the multi-year multi-phase implementation. The illustration above is a generic strategy that addresses the issues of cutover and data migration. In order to ensure that service delivery to constituents in the interim is responsive, transparent and accurate, TCS believes that a smooth handshake between the two applications is essential, particularly at the database level.

However, considering that the “bridges” between two applications are temporary and do not ultimately contribute to the end state of a modernized application, TCS’ efforts in the past have been to carefully plan and minimize the time, effort and cost involved in the development of such bridges.

#### *2.2.4 Long Term Supportability*

The issue of long term System Supportability is directly related to AWI’s strategy and direction with respect to Information Technology Services. There are generally two possible strategies that States adopt when it comes to long term support on large IT projects.

- Some states prefer to build support capacity and expertise in-house within the Agency to sustain long term operations and maintenance of the modernized UC System – and therefore minimize dependence on Consultant Partners to provide such support. In this situation, the Modernized UC System should be extremely user-friendly, easily administrable, and maintainable, so that the Agency SMEs and the Technical Staff are capable of providing production support services, making minor modifications, accommodating frequent legislative changes and adding new functionality to the application.
- Other States prefer to consider Information Technology outside the scope of their core business and are inclined to procure ongoing and continuous support services from Consultant Partners. In such a situation, all necessary support for the Modernized UC Application is procured through contracted services.

In the first model, the Agency’s upfront investment in the modernization project is relatively higher than in the second – to account for the costs incurred in mentoring, training, knowledge transfer and operational readiness activities during the course of the project that will allow the Agency to build the required capacity. While TCS is extremely capable of engaging with AWI using both models, from a cost of ownership perspective, TCS recognizes the fact the modernized UC System should eventually reduce the costs for long term supportability. Therefore, the TCS Base System has been designed to allow easy maintainability and operations. TCS’ prior

engagements involved both models with good success. In Nebraska (completed) and Mississippi (ongoing), TCS’ role included to a large extent assisting the State Agencies build in-house capacity to potentially operate and maintain the UC System.

### 2.2.5 Equipment Needs

The following tabular column provides a tentative list of software products required to implement TCS’ Base System. However, TCS would like to highlight to Florida AWI that the software products are only indicative of previous implementations – the listing is not meant to be a rigid and prescriptive list of technology products. During the course of the prior UC Modernization Programs, TCS has effectively been able to utilize multiple products incl. Open Source and cheaper alternatives equally effectively for various States. The Base System has been designed to be capable of implementation using ANY software product that is Java Enterprise Edition (JEE) compliant or interoperable with the following products.

Architecture Component	Software Product	Operating System
Application Server	IBM WebSphere Application Server	IBM AIX or any flavor of Unix or Windows
Process Server	IBM Process Server – Network Deployment	IBM AIX or any flavor of Unix or Windows
HTTP Server	IBM HTTP Server	IBM AIX or any flavor of Unix or Windows
Directory Service	Any Standard Directory Services product	Windows or any flavor of Unix
Database	IBM DB2	IBM AIX or any flavor of Unix or Windows
Database Connectivity	DB2 Connect	IBM AIX or any flavor of Unix
Document Management	Any standard Document Management product (incl. Documentum, FileNet, any Open Source products)	Windows Server
Reports	Any standard Reporting Product (incl. Crystal Reports, Cognos, Open Source products)	Windows Server
<b>Scanning and Image</b>	Any standard product	Windows Server

Architecture Component	Software Product	Operating System
<b>Capture</b>		
Batch Scheduler	BQ PLUS 5.0 SP2	IBM AIX or any flavor of Unix
Address Validation	Melissa Address Object & Melissa Geo Code Object (or comparable)	Windows Server

### 3. References

Agency Name	Mississippi Department of Employment Security	New Mexico Department of Workforce Services
<b>Title</b>	UI Director	Bureau Chief (Operations)
<b>Name</b>	Mr. Jimmy Giles	Mr. John Hudson
<b>Address</b>	152, Watford Parkway Drive, Canton, MS 39046	401, Broadway Blvd NE, Albuquerque, NM, 87102
<b>Phone Number</b>	601-855-3231	505-841-8959
<b>Email</b>	<a href="mailto:jgiles@mdes.ms.gov">jgiles@mdes.ms.gov</a>	<a href="mailto:john.hudson@state.nm.us">john.hudson@state.nm.us</a>

TCS will be pleased to provide additional references from State and Local Government Agencies upon request.



## 4. Enabling Technology

TCS' Base System incorporates or will allow integration of the following categories of technology enablers into the Base System very easily.

### 4.1 Self Service

Self-service functionality is available for claimants, employers and employer representatives. This feature makes the claimant and employer users self-sufficient, increases the response time and reduces the workload on agency staff. During the requirements phase, a need analysis is done for the business processes that need to be exposed as self-service. During this analysis a rationale is defined for the self-service functionality based on ease of usage by claimant and/or employer, involvement of agency staff and response time. The self-service features available in the system are:

- For the Claimant
  - File UI Claim – Online/Internet and IVR
  - File Weekly Certification – Online/Internet and IVR
  - File Appeal (Non-monetary) – Online/Internet
  - Update Claimant Profile – Online/Internet
  - Update Payment Option – Online/Internet
  - Claimant Inquiry – Online/Internet and IVR
- Employer (and 3<sup>rd</sup> Party Administrators, as applicable)
  - Response to Department Correspondence (Notice of Monetary Determination, Separation Details, etc.) – Online/Internet
  - Tax Payments using credit card, debit card or e-check – Online/Internet
  - Employer Appeals – Online/Internet
  - Employer Inquiry – Online/Internet

There is other functionality available in the TCS Solution that is capable of being exposed as Self-Service to constituents. Due to specific reasons considered by each of the States – NM, NE and MS, access to this functionality is currently provided to Department Staff only. By assigning the appropriate security privileges, this functionality can be made available as Self Service to Claimants or Employers. For example,

- Employer Registration
- Employer Account Maintenance
- Quarterly Wage Reporting – Summary and Detail

The system currently does not provide online chat capability for self-service users. However, TCS has performed a preliminary analysis to determine that this facility can be incorporated within the existing solution, using Web 2.0 technologies.

## 4.2 Interactive Voice Response

IVR is an integral component of the TCS Base System. This option makes the service delivery response time quicker and reduces the workload on the agency staff. Using IVR, Claimants can File Initial Claim partially (in New Mexico), File Weekly Certifications (all States), File Appeal (all States) and Perform Inquiry (all States). Employers use IVR to Register partially (Mississippi), Make Payments (Mississippi) and Perform Inquiry (New Mexico and Mississippi).

IVR Application to provide callers with the ability to certify their unemployment status and earnings with department. Callers will enter their SSN and PIN to authenticate with the system. Once authenticated, callers can file their weekly claim, change or establish their PIN, or get payment history information etc. The systems will interact with the backend systems via web services. The user interface will be DTMF and callers may use English, Spanish.

The IVR application can utilize a set of pre-recorded speech files to play announcements and prompts to the caller.

## 4.3 User Interface – Adaptable User Interface technologies

An adaptable User Interface technology is the concept of a dynamic User Interface based on the different user inputs or other pre defined conditions. Some of the adaptable User Interface technologies in use within the Base System include:

- **Questionnaire Engines:** Questionnaire screens are dynamically generated at runtime and are displayed to the user based on the input he entered in the previous screens. The mappings are maintained in the questionnaire XML file and the questionnaire engine is used to render the JSP pages.
- **Dependant Drop-down Options:** The list of values in a drop down box changes based on the value selected in its parent drop down box. For example, if there are Issue Category and Issue Sub Category drop-downs, the Issue Sub Category dropdown is defined as the dependent on the Issue Category drop down. Based on the Issue Category value selected by the user, the respective Issue Sub Category values are dynamically populated in the Issue Sub Category drop down box.
- **Dynamic Validation:** Dynamic validations of user inputs are carried out based on the user inputs on the same screen. For example in the screen used to capture the Employer's address, an option to key in 4 different types of addresses is provided. There is also a question which states, if he wants to use the same address for all categories. When answered 'Yes' for this option, the address is copied to all the other address types and they are made read-only fields. Other types of dynamic validations include validating user's answers based on the answers provided previously.
- **Correspondence:** Correspondence Templates created upfront allow users to generate, print and mail correspondences to claimants and employers – specific to a business scenario, based on a decision made by the users or a calculation performed by the UC System – to include even specific Sections of Law that are relevant to a business scenario.

## 4.4 Internal and External Interfaces

The following table depicts the mode of communication for some of the internal interfaces designed within the Base System – to indicate the ability to execute interfaces without any manual intervention as well as in real time. Depending on the technology available within each State's UC Environment, the mode of these interfaces can be further modified.

Interface Name	Mode Of Communication	Integration Software
Wage and TAX	Synchronous (Real time)	DB2 Connect / Application services
IVR	Synchronous	COM-J2EE Communication Bridge
Employment services	Asynchronous	DB2 Connect/JMS Queue
Document Management	Asynchronous	DB2 Connect/JMS Queue
Reports Subsystem	Both	APIs of Reports Engine
Imaging Subsystem	Asynchronous	APIs of Imaging Engine
LDAP	Synchronous	JNDI
Work Flow	Synchronous and Asynchronous	Message Queues/Java API
Email / Print / Fax	Asynchronous	Message Queues/Java API
Address Validation	Synchronous	Java APIs

Similarly, some of the external interfaces to the TCS Base System are listed below – again, with the objective of accomplishing these interfaces in real time with minimal or manual intervention.

Interface Name	Mode Of Communication	Integration Software
O'Net Auto Coder	Synchronous	Web Services
Direct Deposit / Debit Card	Both	Through Web Services/ C:D node / flat file exchange through FTP
SSA	Both	Using Web Services / Flat File for communication / JCA

Interface Name	Mode Of Communication	Integration Software
INS	Both	Using Web Services / Flat File for communication / JCA
ICON	Both	Using Web Services / Staging Database / JCA

The TCS Solution TCS Base System interfaces with the Interstate Connection Network (ICON) most importantly for sharing critical Unemployment Insurance information with other States (for wage transfer in and out, CWC claims), and the Federal Government (for military and federal wages, SSN verification with SSA, etc.). The primary interface to ICON is via the State's mainframe using CICS transactions (IB4, IB5, IB6, IB11, IB14, etc.). Depending on the technical requirements in each State, TCS has designed the interfaces accordingly, via the State's mainframe using CICS Transactions or real-time interfaces to the ICON System.

For example, in processing a CWC Claim, based on the answers provided by the claimant for the questions in the Claims Process, the TCS Base System establishes an

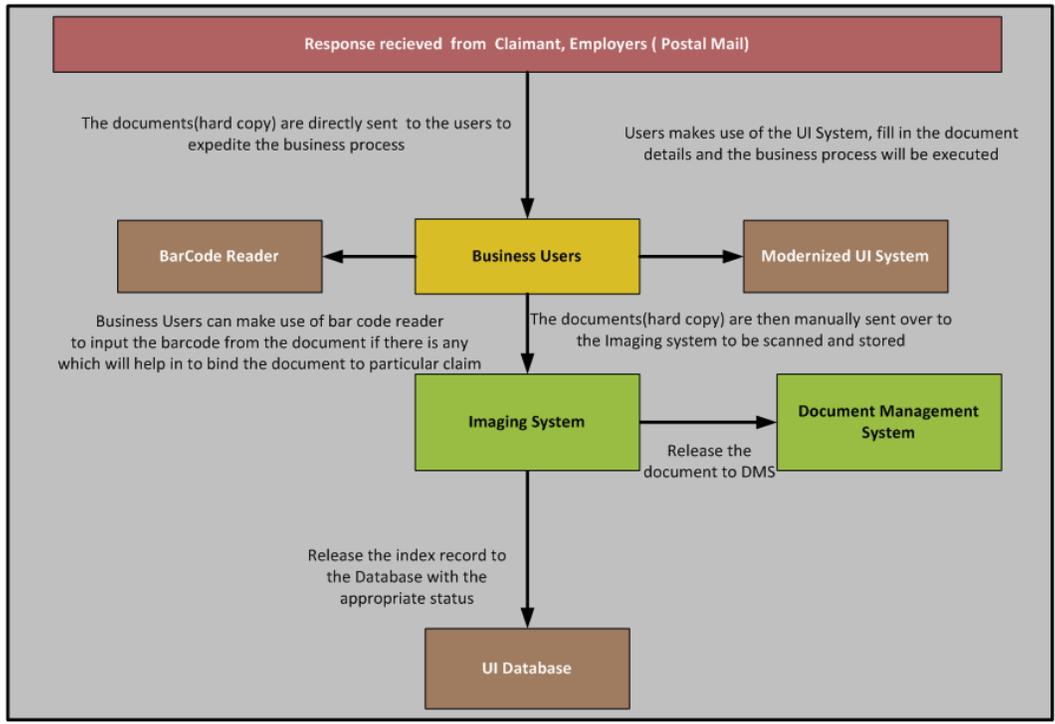
- Interstate agent claim: If the claimant lives in Florida and files a claim in Florida while his/her employment was in another State. The solution sends an IB1 request via ICON, to the other State to get the wage details and establish a claim based on the rules of that State (FL is the Transferring State)
- Interstate liable claim: If the claimant was employed in Florida while the claim was filed in another State. (FL is the Paying State). This is processed in a similar way as a regular Florida claim.

In both cases, the solution creates an electronic work item for Department staff. When the CSR starts work on the item and discovers that the interstate agent claim indicator has been set by mistake, the system allows the CSR to convert the claim from Interstate agent to either Interstate liable or CWC liable. The solution supports the functionality to process claims for which wages are spread over Florida and another State(s). A CWC agent or CWC liable claim is established by the system depending on the employment and location details of the claimant. The stimulus to the CWC claim is a question in the Claim form that asks the claimant to select the states in which he/she has worked in the past eighteen (18) months. Once the Initial Claim entry is done, the initial monetary determination is done taking into account the wages in Florida. An IB4 request is sent through ICON to the other states requesting for the wages details. Once the wage details are received, the system executes a monetary re-determination based on the additional wage details received from other states.

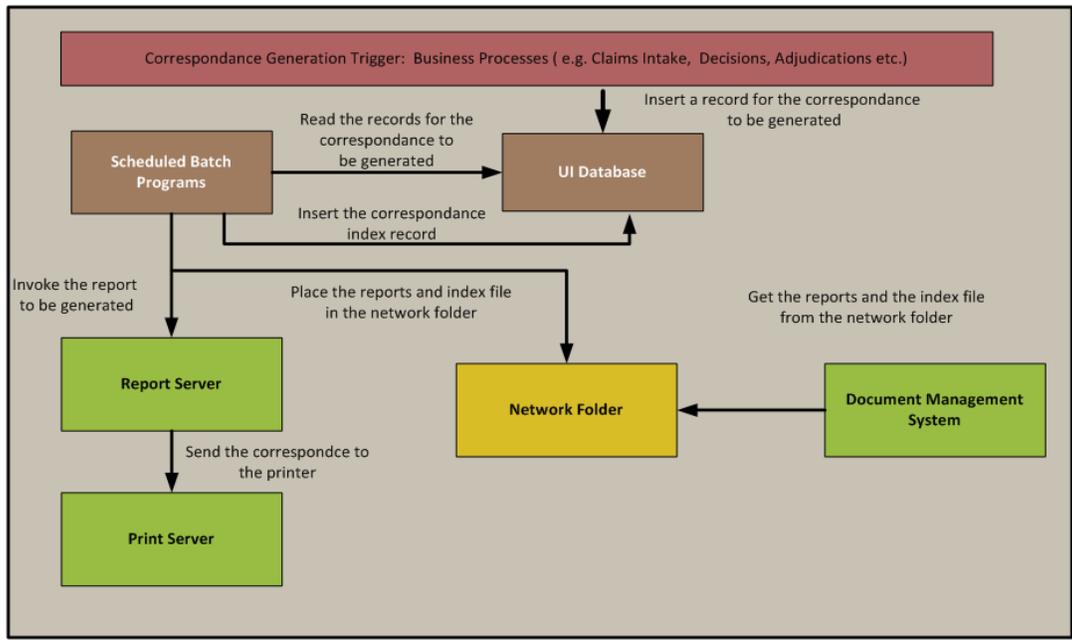
## 4.5 Correspondence Management System

Correspondence, in the TCS Base System is managed through well defined strategies and mechanisms. The following charts depict the approach adopted in Mississippi for Incoming and Outgoing Correspondence:

**ACCESS MS SYSTEM - INBOUND CORRESPONDANCE STRATEGY**



**ACCESS MS SYSTEM - OUTBOUND CORRESPONDANCE GENERATION STRATEGY**



Once the strategy for Correspondence Management is defined, TCS then prepared a list of all correspondence items (incoming and outgoing) with a list of configurable parameters associated with each correspondence item, such as the following (shown as an example for some of the outgoing correspondence items):

Outgoing Correspondence	When is it generated?	Receiver	Processing			
			E-Mail	Postal Mail	Storage in DMS required?	Is a reply expected?
Call-in notice to the claimant to report back.	When a new initial claim is filed	Claimant	Yes	Yes	Yes	Yes
Notice to send Proof of the name change	When a new initial claim is filed	Claimant	Yes	Yes	Yes	Yes
UI-505 Monetary Determination.	When a new initial claim is filed	Claimant	Yes	Yes	Yes	Yes
UI-538 doctor's certificate.	When a new initial claim is filed	Claimant	Yes	Yes	Yes	Yes
Combined EXR-21 and 501.A	When a new initial claim is filed	Employer	Yes	Yes	Yes	Yes
ES-931	When a new initial claim is filed	Federal Employer	No	Yes	Yes	Yes
UI-512.a	When a new initial claim is filed	Lag Period Employer	Yes	Yes	Yes	Yes
UI-563 School Employer Questionnaire	When a new initial claim is filed	School Employer	Yes	Yes	Yes	Yes
Letter to the debit card issuing company.	When a new initial claim is filed	Debit Card Issuing Company	No	Yes	Yes	No

Finally, for each correspondence item, the content and layout ownership is defined to help determine the approach to template preparation and modification. An example matrix is shown below:

Name of Correspondence	Dynamic Content	Template Format	Ownership
Notice of Monetary Determination to Claimant	Claim specific information	Technical	Developer with the help of Business Analyst
Notice of Claim filed to Employer	Claim and employer specific information	Technical	Developer with the help of Business Analyst
Non-monetary Decision Letter	Dynamic decision, section of law, overpayment and employer charge information	Excel	Business Analyst

Technically, depending on the nature or correspondence and the parameters defined, templates are created using a template author, associated with business processes and triggers for generating the correspondence and the delivery mechanism for correspondence. Depending on the delivery mechanism, Self Service Users are able to view the correspondence items online.

## 4.6 Automatic Payment Channels

The system makes the payment based on the preferred mode of payment option for the claimant. The claimant can choose the preferred mode of payment during the claim filing process or at any point of time after that. Paper check option is not available to the claimants or business users. It can be used only after getting an authorization. The various options for payments are:

- For Claimant (from Agency to Claimant)
  - Debit Card
  - Direct Deposit
  - Checks (Not to be used unless required and authorized by the Department)
- For Claimant (from Claimant to Agency)
  - Cash
  - Check
  - Money Order

A Claimant can change the option from direct deposit to debit card. The benefit amount is paid to the claimant as per the preferred mode of payment option selected by the claimant.

Payment information is considered very secure in the system and it is designed as per the rules/policies and guidelines of the Internal Security and Audit department. The system uses Secure Socket Layer for Internet communications making a secure connection between the end user and the system. Secure FTP is used for transferring files between agency and other agencies/departments.

- Secure Shell Network Protocol (SSH) is used for file transfer for Direct Deposit
- Claimant's Bank Account information is secured and is accessible to only authorized persons

## 4.7 Automated Reports

All the federal reports are generated from the TCS base system based on the US DOL rules and regulations. Examples of some of the Federal Reports include:

- Quarterly Federal Reports: ETA-227, ETA-191, ETA-207, ETA-218, ETA-9016, ETA-9049, ETA-563, ETA-586, ETA-9047
- Monthly Federal Reports: ETA-203, ETA-902, ETA-5130, ETA-5159, ETA-9050, ETA-9051, ETA-9052, ETA-9054,ETA-9055
- Weekly Federal Reports: ETA-538, ETA-539

In addition to the management dashboards, the TCS base system also incorporates a simple-to-use ad hoc reporting tool based on Microsoft Access (used as a staging database). Business Analysts and Technical Staff are provided access to de-normalized data that is periodically sourced from the operational database – with the ability to define ad hoc queries in English-like language.

## 4.8 Management Dashboards

## 4.9 Legislative Changes Made Easy

Changes are part of the life cycle of any project. A change can be due to a regulatory change in the law or policy, requested by Users or a new requirement. At the same time due diligence is made to implement any change. Any change item is discussed in the Change Control Board (CCB) meeting which consists of project management team from State Agency and TCS. An impact analysis is done and effort is estimated for each change. An informed decision is made in the CCB meeting and a change is approved or denied.

Several changes were made in the system recently due to change in regulations, laws and policies.

- Changes made dynamically, at runtime:
  - Maximum WBA increased from \$210.00 to \$230.00 as per state law changes (Maximum WBA is managed by business rules and only a database change was required to implement this law change)
- Changes implemented through the data base changes – 25\$

Changes are implemented as an interface to the existing system so that existing system has minimal impact. Code changes in the FAC payment and overpayment were designed in such a way that the impact on the core payment and overpayment process was minimal.

The TCS Solution provides functionality using which the claimants can file DUA claims. The system stores the information regarding the disaster and related rules as declared by the federal agency. The system validates the information provided by the claimant against the rules set up in the system for the DUA claim before creating a DUA claim. In August 2005, TCS' DUA Claims Filing System for Mississippi greatly helped the Katrina hurricane victims when filing was extremely simplified and easy (in the face of Hurricane Katrina, the entire effort for creating the DUA functionality within the TCS Solution took not more than 10 days including testing and implementation).

## 4.10 Business Rules

The TCS Base System is configurable in terms of master data, messages or questions. During the requirements and analysis phase, a matrix was defined to categorize the type of master data/message/questions/help text. The matrix consists of the frequency, complexity and criticality of the information. Based on this matrix, a decision is made with regards to the level of customization and ease-of-change

A sample matrix is provided below:

Configurable Information	Type of Information	Complexity	Impact on BusinessProcess	Frequency of Change	Ownership
Date the overpayment interest should be calculated	Business Rule	Low	Low	Low	Business Users
Maximum WBA	Business Rule	Low	High	Low	DBA (After State Agency Decision)
Number of days for a claimant to respond to a contact notice	Business Rule	Low	Low	Low	Business Users
Change in a message appearing on a screen	Message	Low	Low	Low	Business Analysts

Depending on the above matrix and the recommended ownership for affecting change, the configurable information is exposed to Department Staff (Business or Technical Staff) through Data-driven Business Rules, Master Data Maintenance, Customizable Code Tables, Questionnaire Engines, XML, etc.

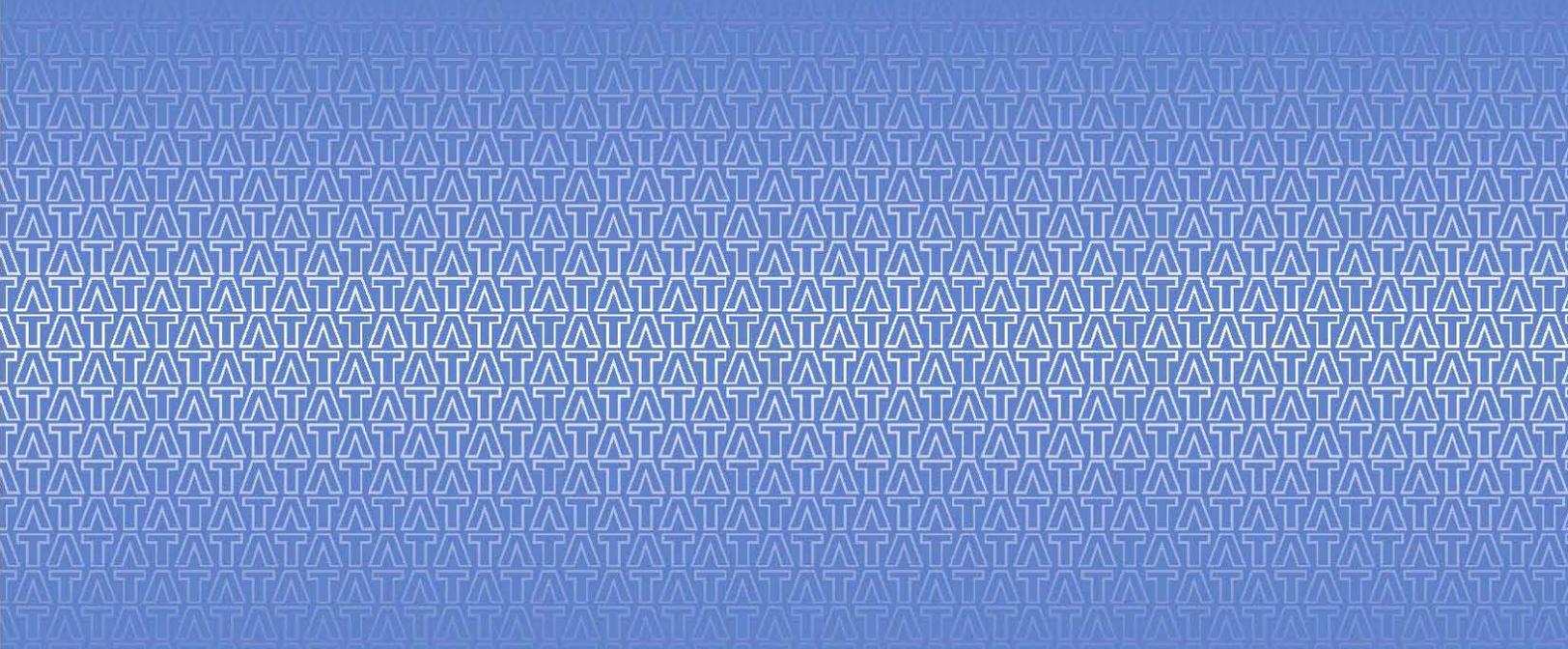
## 5. TCS' Base System – Typical Benefits

The following chart is a pictorial depiction of the comprehensive benefits typically delivered to State Workforce Agencies that chose to utilize the TCS Base System for their UC Modernization Programs. Most of the benefits are realized through quantitative and measurable results that allow State Agencies to determine whether the investment in UC Modernization is indeed worth the returns, it promises.

**AGENCY BUSINESS BENEFITS**  
 Increased Customer Satisfaction (Claimants and Employers)  
 Improved Quality of Service to constituents (customers and partner agencies)  
 Better fiscal management – complete and easy insight in real-time  
 Improved ability to detect overpayments, easy and timely recovery of overpayments  
 Increased compliance to legislative and regulatory requirements

<b>CLAIMANTS</b>	<b>EMPLOYERS</b>	<b>AGENCY STAFF</b>
<ul style="list-style-type: none"> <li>• Self Service</li> <li>• Online Registration</li> <li>• Claims Filing</li> <li>• Inquiries</li> <li>• Appeals</li> <li>• Certifications</li> <li>• Claims Cancellation</li> <li>• Account Maintenance</li> <li>• Fact Finding Questionnaires</li> <li>• Multiple Service Channels</li> <li>• Better User Experience – Transparency &amp; Responsiveness</li> <li>• Payment Timeliness</li> </ul>	<ul style="list-style-type: none"> <li>• Self Service</li> <li>• Registration</li> <li>• Appeals</li> <li>• Notice of Claim Determination</li> <li>• Inquiries</li> <li>• Separation Questionnaires</li> <li>• Forms for Labor Disputes</li> <li>• Account Maintenance</li> <li>• Multiple Service Channels</li> <li>• Better User Experience – Transparency &amp; Responsiveness</li> <li>• Reduced cost of working with government</li> </ul>	<ul style="list-style-type: none"> <li>• Electronic Workplace: Improved automation and productivity</li> <li>• Efficient Caseload Management</li> <li>• Productivity tools such as inbox, ticklers, reminders, spell check , templates, questionnaire engines</li> <li>• Cross-departmental integration</li> <li>• One-stop Client Account Mgmt</li> <li>• Real-time Inquiries vs. reports</li> <li>• Easier Communication – Correspondence &amp; Letters</li> <li>• Flexible Role-Based Access , i.e., optimal utilization of resources</li> </ul>

**AGENCY OPERATIONAL BENEFITS**  
 “Do more with less” – improved productivity with same team  
 Improve automation of processes spanning multiple departments  
 Real-time access to information within and outside agency  
 Efficient Call Center Integration  
 Paperwork Reduction – contributing to Green IT  
 Reduced Overall Operational Costs & Costs of Ownership  
 Accomplish Self-sufficiency – through easier maintainability and enhanced staff competencies



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