

IT Professional Technical Services

SITE Program

T#:14ATM

Request for Offers (RFO)

For Technology Services

Issued By

Office of MN.IT Services @ Minnesota Department of Labor and Industry (DLI)

Project Title: Workers' Compensation System Modernization Planning

Categories: Analyst

Architect

Program/Project Management

Systems Analyst

Business Need

The mission of the Department of Labor and Industry (DLI) is to ensure equitable, healthy and safe work and living environments in Minnesota. DLI works to carry out its mission through enforcement, outreach and education. The agency works to ensure that workers injured on the job are provided treatment and benefits required by law and has an objective to ensure appropriate benefits are delivered to injured workers quickly, efficiently and at a reasonable cost to employers. DLI currently utilizes custom-developed automated systems for the processing of workers' compensation claims and information.

The Workers' Compensation Division includes the following functions:

- **Compliance, Records and Training (CRT)** - Creates and maintains workers' compensation claim files and associated data. Compliance, Records and Training ensures compliance with benefit provisions of workers' compensation law by auditing workers' compensation claims, penalizing insurers for late payment and providing educational outreach. It also certifies qualified rehabilitation consultants (QRCs) and provides analysis of medical and rehabilitation issues.
- **Alternative Dispute Resolution (ADR)** - Seeks early intervention in workers' compensation disputes through administrative conferences and mediation sessions. It also handles telephone calls, correspondence and walk-in visits from injured workers, employers, health care providers, insurers, rehabilitation providers, attorneys and others.
- **Special Compensation Fund (SCF)** - Administers the workers' compensation claims of injured employees who worked for employers that did not carry workers' compensation insurance, sometimes in conjunction with DLI Legal Staff, and administers the reimbursement by the uninsured employer of money spent on the claim. Special Compensation Fund administers the asbestosis program, supplementary benefit program and second-injury reimbursement program. It enforces the requirement that all Minnesota employers carry workers' compensation insurance through the collection of penalties. Conducts outreach programs and education efforts. Issues Exclusion Certificates to small businesses.

- **Vocational Rehabilitation (VRU)** - Provides vocational rehabilitation services to help injured workers return to work. Staff consists of qualified rehabilitation consultants (QRCs), placement specialists and placement assistants. Injured workers eligible for services include: those whose workers' compensation claims were denied; those whose rehabilitation services were suspended; those who qualify for services paid by insurance carriers or self-insured employers; and those who are awaiting a decision on eligibility for workers' compensation benefits.
- **Office of Workers' Compensation Ombudsman (OWCO)** - Provides advice and assistance to employees and small businesses who need help understanding and navigating the workers' compensation system. Assists injured workers and small businesses to help resolve problems they encounter during the course of a workers' compensation claim. Recommends statute or rule changes to improve the effectiveness of the workers' compensation system.
- **Patient Advocate Program (PAP)** - Provides information and assistance to injured workers with serious low-back injuries so they understand their treatment options within the workers' compensation system.

Included in the 5 year strategic plan for the Department of Labor and Industry is an initiative to explore the feasibility of a state-of-the-art Workers' Compensation technology system and recommend options.

MNIT@DLI is issuing this RFO to select a technology services vendor to assist with this planning effort.

The business objectives of this planning effort include:

1. Complete an analysis of the current Workers' Compensation system, including:
 - o Business Processes
 - o Current system technical design and functionality
 - o Workflow and scanning processes
 - o Reports;
2. Determine business and high-level system design requirements for a new system;
3. Provide an analysis of technology options for a new system; and
4. Determine estimated costs and timeframe for the development of and migration to a new system.

Please Note: The selected vendor will not be considered for any RFO's or RFP's that may be issued for the implementation of a system as a result of this planning effort.

Project Deliverables

The selected technology services proposer shall be expected to provide the following project deliverables.

1. **Analysis of current Workers' Compensation system:** Use an interview process to review the current business processes, and review the current automated systems including the technical design and functionality, workflow, security and privacy, scanning processes, integration, and report generation. Document the processes using flowcharts, process maps or other methodologies. Conduct user group sessions to validate and refine the information. Make recommendations for business process changes that could be implemented immediately or with the new system. Summarize the information and distribute to the participants for feedback and updating. The automated systems currently used include:
 - a. **Workers' Compensation Imaging system** - see *Attachment 1 – Description of Imaging Application Environment*. (Note that Attachment 1 was originally written to assess the entire environment for DLI, which includes units and functions outside of Workers' Compensation. Information pertinent to Workers' Compensation has been bolded in the appropriate sections and tables).
 - b. **Electronic Data Exchange (EDI)** – This is functionality that was implemented in January 2014 to mandate the electronic reporting of the First Reports of Injury (FROI) through EDI or an eFROI web portal.
 - c. **VRU Access system** – This system is used to track files and billing.
 - d. **CRT Copy File Review Access system** – This system is used to track payments for copies.
 - e. **SCF ASAP** – This system is used to record and track settlements and authorizations
 - f. **SCF** – two small databases: 1) NEW WCIRAM (used for insurance verification) and 2) second injury registrations
 - g. Other smaller technology systems and tools are listed in Attachment 2 – Description of Units and Functions

2. **Document business and high-level system design requirements for a new system:** Conduct business analysis sessions with all the work units to determine the business requirements and needs for a new system. Establish a method of prioritizing the requirements (e.g. High, Medium, Low) to be used in reviewing technology options. Review the technology considerations to determine a high-level analysis of system requirements. Identify integration and conversion considerations, including an analysis of how images and data will be migrated to a new system with little or no interruption in service. Identify considerations for determining the scope of functions that should be included in a new system and the possibilities for a phased implementation. Identify information security, privacy, and compliance considerations. Conduct user group sessions to validate and refine the information. Summarize the information and distribute to the participants for feedback and updating. Conduct a review session with the Project Steering Committee for feedback and discussion of options.
3. **Document Technology Options:** Conduct a review of technology options including (but not necessarily limited to) –
 - a. Review of tools that may be used for code transformation to convert the existing technology base and architecture (i.e. programming language and database) to MN.IT approved technology standards, and expand on current functionality to meet the needs and requirements of MN Workers' Compensation stakeholders
 - b. Review of systems used in other states for Workers' Compensation that could be adapted and configured to meet the needs and requirements of MN Workers' Compensation stakeholders
 - c. Review of other case management systems and document management systems used by other agencies in the State of Minnesota that could be adapted and configured to meet the needs and requirements of MN Workers' Compensation stakeholders
 - d. Review of package software in the marketplace that could be adapted and configured to meet the needs and requirements of MN Workers' Compensation stakeholders
 - e. Review of option to develop a fully customized system to meet the needs and requirements of MN Workers' Compensation stakeholders

Summarize and document the options for consideration, including:

- advantages and disadvantages of each option;
- an estimated percentage of requirements that will be met with each option, using the prioritization methodology established in Step 2 (e.g. % High, % Medium, % Low);
- recommendations for a phased implementation of each option;
- a high-level cost estimate of each option; and
- time frames for the implementation of each option.

Review options with the Project Steering Committee for input and feedback.

4. **Prepare Final Report:** Present initial findings for consideration and feedback. Using stakeholder and steering committee feedback, prepare final report providing the following:
 - a. An analysis of current business processes, including recommendations for immediate and future changes;
 - b. An analysis of the current system technical design and functionality;
 - c. An analysis of the business requirements for a new system;
 - d. A high-level analysis of system requirements, including integration and conversion requirements;
 - e. An analysis of technology options;
 - f. An overall cost estimate and timeframe for implementation;
 - g. Recommendations for the next steps of the modernization project.

Project Milestones and Schedule

- Estimated Project Start Date: 10/15/2014
- Key deliverable dates. Estimated Project Schedule (final timeframe and schedule to be mutually agreed upon with the selected vendor):

Deliverable	Completion Week
Project start and kickoff	Week 1
Analysis of current system	Week 5
Business and high-level system design requirements	Week 10
Document technology options	Week 14
Prepare Final Report	Week 16

- Project End Date: 6/15/15

Project Environment

The Stakeholders for this project include:

- Project Steering Committee: DLI Deputy Commissioner, Workers' Compensation Division Directors, and MNIT Leadership
- MNIT@DLI Information Technology staff
- DLI Workers' Compensation Leadership and Unit Staff
- Other outside users of the system including the Office of Administrative Hearings (OAH), Workers' Compensation Court of Appeals (WCCA), DLI General Counsel, DLI OSHA and DLI Research and Statistics.
- See *Attachment 2 – Description of Units and Functions* which provides more detail on the Divisions, Units, Functions, Estimated # Staff that will be included in interviews and the technology systems and tools utilized.
- See *Attachment 1 – Description of Imaging Application Environment*.

Project Requirements

- The selected vendor will conduct all interview sessions and meetings on site at DLI offices located at 443 Lafayette Rd N, St Paul, MN.
- The selected vendor will not be considered for any RFO's or RFP's that may be issued for the implementation of a system as a result of this planning effort.

Responsibilities Expected of the Selected Vendor

- Scheduling of interview sessions and meetings
- Facilitation of user sessions
- Completing the analysis of current and proposed processes and systems
- Documenting requirements
- Creation of documentation and notes from sessions for feedback from users
- Researching technology options, including cost options
- Documenting and presenting findings and options with recommendations for consideration
- Creation of final documentation and deliverables
- Project management responsibilities

Required Skills (to be scored as pass/fail)

Required minimum qualifications:

- Vendor must be eligible for all four service categories
- The proposed project manager must have a minimum of six years of project management experience
- A minimum of one of the resources proposed to complete the business analysis must have a minimum of six years of business analysis experience
- The selected vendor organization must provide references showing vendor has successfully completed a minimum of 3 similar planning engagements

Desired Skills

- A minimum of one of the technical resources proposed should be skilled with working through technical system requirements and analysis of complex technology solutions with a minimum of 6 years of technical experience
- Skill with facilitating interview and user sessions and ability to resolve differences
- Skill with business analysis methodologies
- Skill in conducting and documenting interview and user sessions
- Skill in presenting options and making recommendations
- Skill in reviewing complex technical information to document system requirements
- Skill in researching technology options for modernization of technology systems
- Knowledge of content management systems, electronic data exchange systems, and development frameworks
- Knowledge of PowerBuilder, C, SQL, ASP.Net, Informix and Access technologies

Process Schedule

Deadline for Questions	9/11/2014, 4:30 P.M. CDT
Anticipated Posted Response to Questions	9/18/2014, 4:30 P.M. CDT
Proposals due	10/2/2014, 4:30 P.M. CDT
Anticipated proposal evaluation & decision	10/17/2014, 4:30 P.M. CDT

Questions

Any questions regarding this Request for Offers should be submitted via e-mail according to the date and time listed in the process schedule to:

Name: Betty Baron
Organization: MN.IT @ DLI
Email Address: betty.baron@state.mn.us

Questions and answers will be posted via an addendum to the RFO on the Office of MN.IT Services website (<http://mn.gov/buyit/14atm/rfo/active.html>) according to the process schedule above.

Other persons ARE NOT authorized to discuss this RFO or its requirements with anyone throughout the selection process and responders should not rely on information obtained from non-authorized individuals. If it is discovered a Responder contacted other State staff other than the individual above, the responder's proposal may be removed from further consideration.

The STATE reserves the right to determine if further information is needed to better understand the information presented. This may include a request for a presentation.

RFO Evaluation Process

- 1) **Company experience and qualifications (20%)**
- 2) **Experience and skills of proposed assigned resources (25%)**
- 3) **Project work plan and methodologies to complete planning effort (25%)**
- 4) **Cost (30%)**

Extent to which services will be performed within the U.S. or by a WTO country company within its own borders (___%)

This Request for Offers does not obligate the state to award a work order or complete the assignment, and the state reserves the right to cancel the solicitation if it is considered to be in its best interest. The Organization reserves the right to reject any and all proposals.

Submission Format

The proposal should be assembled as follows:

Cover Page:

Vendor Name

Vendor Address

Vendor City, State, Zip

Contact Name for Vendor

Contact's direct phone/cell phone (if applicable)

Contact's email

Resource Name(s) being proposed for assignment to this project

Overall Experience:

1. Provide an overview of your company and the experience and qualifications that relate directly to this project and the required deliverables.
2. Provide narrative, including companies and contacts where your company and resource(s) has demonstrated the required skills as previously noted. If pass/fail requirements are not met, the State reserves the right to discontinue further scoring of the proposal.
3. Points will also be awarded based on the desired skills noted above. Provide narrative which highlights the company and the proposed assigned resource's desired skills noted above.
4. Attach a resume(s) for proposed assigned resource(s) in addition to the narrative description. Be certain that each resume has dates of work and notes whether the resource was an employee or consultant.
5. Provide a proposed detailed project work plan and schedule for completing the tasks and deliverables. Specific project tasks and milestones should be included as part of the project plan. Indicate which tasks will be performed on-site at DLI in St Paul and which are proposed to be conducted off-site.
6. Provide an overview of the methodology that will be used to complete the tasks and deliverables and the documentation that will be developed. Include a description of the tasks that you will be completing and a description of the services that you will be providing for the completion of the deliverables.

7. Provide examples of methodologies and documentation that you have used on similar engagements to present findings and recommendations.
8. Provide a fixed cost proposal for all deliverables that pertain to the scope of this project. Proposers should include the cost of all services and out of pocket costs assigned to each of the four milestone deliverables.
9. Provide a minimum of 3 references who can speak to your company and the work of the proposed assigned resources that you have proposed. The references should be for a similar project that includes similar deliverables. Include the company name and address, reference name, reference email, reference phone number and a brief description of the project your company and the resources completed.
10. Conflict of interest statement as it relates to this project.

Required forms to be returned or additional provisions that must be included in proposal

- a) Affirmative Action Certificate of Compliance (if over \$100,000)
<http://www.mmd.admin.state.mn.us/doc/affaction.doc>
- b) Affidavit of non-collusion
<http://www.mmd.admin.state.mn.us/doc/noncollusion.doc>
- c) Certification Regarding Lobbying (if over \$100,000)
<http://www.mmd.admin.state.mn.us/doc/lobbying.doc>
- d) Veteran-Owned/Service Disabled Veteran-Owned Preference Form (if applicable)
<http://www.mmd.admin.state.mn.us/doc/vetpref.doc>
- e) Resident Vendor Form (if applicable)
<http://www.mmd.admin.state.mn.us/doc/residentvendorform.doc>

Proposal Submission Instructions

- Response Information:
 - Responses should be addressed to Betty Baron
 - **Eight (8)** copies of the response should be submitted to:
Ms. Betty Baron
MN.IT@Department of Labor and Industry
443 Lafayette Road N
St Paul, MN 55155-4341
 - Label the response - Workers' Compensation Modernization Planning Project

Responses may be submitted through US or registered mail or in-person. E-mail responses will not be accepted.

Submissions are due according to the process schedule previously listed.

A copy of the response must also be sent to MNIT.SITE@state.mn.us for vendor performance tracking.

- **You must submit an email with your response or email notification that you will not respond to MNIT.SITE@state.mn.us. Failure to do either of these tasks will count against your program activity and may result in removal from the program.**

General Requirements

Proposal Contents

By submission of a proposal, Responder warrants that the information provided is true, correct and reliable for purposes of evaluation for potential award of this work order. The submission of inaccurate or misleading information may be grounds for disqualification from the award as well as subject the responder to suspension or debarment proceedings as well as other remedies available by law.

Liability

Indemnification

In the performance of this contract by Contractor, or Contractor's agents or employees, the contractor must indemnify, save, and hold harmless the State, its agents, and employees, from any claims or causes of action, including attorney's fees incurred by the state, to the extent caused by Contractor's:

- 1) Intentional, willful, or negligent acts or omissions; or
- 2) Actions that give rise to strict liability; or
- 3) Breach of contract or warranty.

The indemnification obligations of this section do not apply in the event the claim or cause of action is the result of the State's sole negligence. This clause will not be construed to bar any legal remedies the Contractor may have for the State's failure to fulfill its obligation under this contract.

Disposition of Responses

All materials submitted in response to this RFO will become property of the State and will become public record in accordance with Minnesota Statutes, section 13.591, after the evaluation process is completed. Pursuant to the statute, completion of the evaluation process occurs when the government entity has completed negotiating the contract with the selected vendor. If the Responder submits information in response to this RFO that it believes to be trade secret materials, as defined by the Minnesota Government Data Practices Act, Minn. Stat. § 13.37, the Responder must: clearly mark all trade secret materials in its response at the time the response is submitted, include a statement with its response justifying the trade secret designation for each item, and defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless the State, its agents and employees, from any judgments or damages awarded against the State in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives the State's award of a contract. In submitting a response to this RFO, the Responder agrees that this indemnification survives as long as the trade secret materials are in possession of the State.

The State will not consider the prices submitted by the Responder to be proprietary or trade secret materials.

Conflicts of Interest

Responder must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this request for proposals. The list should indicate the name of the entity, the relationship, and a discussion of the conflict.

The responder warrants that, to the best of its knowledge and belief, and except as otherwise disclosed, there are no relevant facts or circumstances which could give rise to organizational conflicts of interest. An organizational conflict of interest exists when, because of existing or planned activities or because of relationships with other persons, a vendor is unable or potentially unable to render impartial assistance or advice to the State, or the vendor's objectivity in performing the contract work is or might be otherwise impaired, or the vendor has an unfair competitive advantage. The responder agrees that, if after award, an organizational conflict of interest is discovered, an immediate and full disclosure in writing must be made to the Assistant Director of the Department of Administration's Materials Management Division ("MMD") which must include a description of the action which the contractor has taken or proposes to take to avoid or mitigate such conflicts. If an organization conflict of interest is determined to exist, the State may, at its discretion, cancel the contract. In the event the responder was aware of an organizational conflict of interest prior to the award of the contract and did not disclose the conflict to MMD, the State may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed similar to the service provided by the prime contractor, and the terms "contract," "contractor," and "contracting officer" modified appropriately to preserve the State's rights.

IT Accessibility Standards

All documents and other work products delivered by the vendor must be accessible in order to conform with the State Accessibility Standard. Information about the Standard can be found at: <http://mn.gov/oet/programs/policies/accessibility/>.

Preference to Targeted Group and Economically Disadvantaged Business and Individuals

In accordance with Minnesota Rules, part 1230.1810, subpart B and Minnesota Rules, part 1230.1830, certified Targeted Group Businesses and individuals submitting proposals as prime contractors will receive a six percent preference in the evaluation of their proposal, and certified Economically Disadvantaged Businesses and individuals submitting proposals as prime contractors will receive a six percent preference in the evaluation of their proposal. Eligible TG businesses must be currently certified by the Materials Management Division prior to the solicitation opening date and time. For information regarding certification, contact the Materials Management Helpline at 651.296.2600, or you may reach the Helpline by email at mmdhelp.line@state.mn.us. For TTY/TDD communications, contact the Helpline through the Minnesota Relay Services at 1.800.627.3529.

Veteran-Owned Preference

In accordance with Minn. Stat. § 16C.16, subd. 6a, (a) Except when mandated by the federal government as a condition of receiving federal funds, the commissioner shall award up to a six percent preference on state procurement to certified small businesses that are majority-owned and operated by:

1. recently separated veterans who have served in active military service, at any time on or after September 11, 2001, and who have been discharged under honorable conditions from active service, as indicated by the person's United States Department of Defense form DD-214 or by the commissioner of veterans affairs;
2. veterans with service-connected disabilities, as determined at any time by the United States Department of Veterans Affairs; or
3. any other veteran-owned small businesses certified under section 16C.19, paragraph (d).

In accordance with Minn. Stat. § 16C.19 (d), a veteran-owned small business, the principal place of business of which is in Minnesota, is certified if it has been verified by the United States Department of Veterans Affairs as being either a veteran-owned small business or a service disabled veteran-owned small business, in accordance with Public Law 109-461 and Code of Federal Regulations, title 38, part 74.

To receive a preference the veteran-owned small business must meet the statutory requirements above by the solicitation opening date and time.

If you are claiming the veteran-owned preference, **attach documentation, sign and return the Veteran-Owned Preference Form with your response to the solicitation.** Only eligible veteran-owned small businesses that meet the statutory requirements and provide adequate documentation will be given the preference.

Foreign Outsourcing of Work Prohibited

All services under this contract shall be performed within the borders of the United States. All storage and processing of information shall be performed within the borders of the United States. This provision also applies to work performed by subcontractors at all tiers.

Attachment 1
MNIT RFO – Workers’ Compensation Modernization Planning Project
Application Environment

The following assessment was completed in March of 2013 outlining the Department of Labor and Industry technology environment. On-going development has occurred since the assessment was completed which may be considered in scope for this project.

For purposes of the Workers’ Compensation RFO, the information pertaining to Workers Compensation and this RFO have been bolded in the appropriate tables. The information below is proprietary and confidential to the Department of Labor and Industry and MN.IT Services. The full assessment document will be available to the selected vendor.

1 Executive Summary

There is a need to have an assessment of the application environment at the Minnesota Department of Labor and Industry (DLI). Since the application environment is generally in a continuous state of change, evolving with new development, enhancements, and fixes, the assessment will provide a “snapshot in time” of the inventory of applications that are used by the department. The inventory of applications may only be known to management at a very high level. Therefore information on the actual application inventory is included in the appendices to provide a view of what a programmer, business analyst, or database administrator would see and use.

One of the primary reasons for the assessment is to document “how much” technology is used by the department. If there is a requirement for architectural changes to be compliant with state mandated technology, the assessment provides a high-level view of what a potential technology effort may entail. An example of this would be if MNIT requires all agencies to centralize on a common database or application platform in the future.

The application environment assessment is divided into four primary areas for the application environment:

- Databases
- Web Applications
- Client Applications (PowerBuilder)
- Server Applications (Unix)

1.1 Databases

The enterprise database environment that is used at the Department of Labor and Industry is Informix Dynamic Server (IDS 11.5). The Informix database was originally developed at DLI when the Daedalus Imaging System was deployed in 1995. Since that time, the Informix database has expanded in complexity and size as additional projects were completed. Most notably, the Mapper Migration Project (MMP) deployed in 2004, involved the conversion and migration of all of the agency’s legacy Mapper applications and databases to the Informix database environment. Other significant projects for various

Attachment 1
MNIT RFO – Workers’ Compensation Modernization Planning Project
Application Environment

units within the department, including Labor Standards, OSHA, and CCLD, have contributed to the expansion of the Informix database environment.

The enterprise Informix database environment at DLI resides in a Unix server environment. The Informix environment is currently divided into two instances. An Informix database instance is defined for the physical allocation of the data across the storage mechanism. There can be one or more specific databases defined within an Informix instance. The two instances in the Informix database environment at DLI are:

- Informix Production Instance
- Informix Development/Test Instance

As indicated, the Informix instances have been defined with one or more databases. The production instance has only the production database within the instance. The development/test instance currently has three (3) databases within the instance.

The primary concern with the DLI databases is with the size and complexity of the production database. Many of the DLI applications are designed as part of an integrated document management system, which is used to closely align the data within the systems, to imaged documents that have been scanned or otherwise rendered as TIFF images in the database. The TIFF images are stored as Binary Large Objects (BLOB) data within the database.

Other DLI applications, including the OSHA systems MOOSE (Minnesota OSHA Operations and System Exchange) and IRIS (IMIS Replacement Information System), as well as the CCLD Licensing System provide functionality to include photographs and/or attachments with a case file. The photos and attachments are also stored as BLOB data within the database.

The production database presents challenges because of the large size of the database. The production database is approximately 1.8 TB (Terabytes) of data. This is the equivalent of 1.8 million MB (Megabytes). Of the total available space allocated for the production database, over 95% is used/allocated for BLOB data (i.e. images, photos, attachments, etc.). The actual data (non-BLOB information) stored in the database tables comprises less than 5% of the database. These statistics were gathered in March 2013.

The continual consumption of disk storage, as well as the archival and backup of the database, plays an important role in the upkeep and maintenance of the database.

A retention schedule has been implemented for many of the new application systems that have been implemented in the past few years. However, the storage of workers compensation image data is currently stored with no effective retention schedule in place.

1.2 Web Applications

The agency has embraced web technology as an effective means to better serve the diverse customer base of the department. There have been many advances in the past ten years to allow the user

Attachment 1
MNIT RFO – Workers’ Compensation Modernization Planning Project
Application Environment

community to interact with the department over the web. The web applications have led to many efficiencies in the business processes within the business units at DLI.

There are approximately 30 different web applications that are actively maintained by the department. In many cases, the web applications are designed to interact with the client/server applications that are primarily used by the users within the department.

There are close communications between the MN.IT staff and the Communications unit at the department. The Communications unit is responsible for the DLI website; therefore the logistics and placement of links to the web applications must be coordinated. Some of the web applications are seasonal (e.g. Labor Standards Surveys), which requires the placement of the links to the web applications to change periodically.

There are several web applications that are designed to be used by multiple business units within the department. The following provides an overview of the business units that have web applications that are available. **For the purpose of this RFO only those Web applications for Work Comp (12) are considered in scope:**

Business Unit	# of Web Apps
Apprenticeship	3
CCLD	14
Labor Standards	8
OSHA	6
Research & Statistics	1
Work Comp	12

Most of the newer web applications have been developed with ASP.Net and C# programming. Some of the older web applications were developed with the PHP language. The goal is to eventually have all web applications designed and developed as .Net applications.

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

1.3 Client Applications

The majority of the users within the Department of Labor and Industry use client/server applications that have been designed and developed for their specific units. Many of the business units within DLI are responsible for working with workers compensation data. Therefore many of the client/server applications are designed specifically for a specific business unit to perform their work during the processing of the workers compensation database information. In a similar way, other client/server applications are designed to work with the data that is specific to a particular business unit.

There are currently twelve (12) unique client/server applications that are administered and maintained on a regular basis. **Those considered in scope for this RFO are in bold below:**

Client Application	Business Unit
APPRENTICE	Apprenticeship
CCLD	Construction Codes and Licensing Division (CCLD)
CODE	CCLD – Legacy application to be de-committed soon
DESKCSMS	ADR (formally CS, CA), CRT, Research & Statistics, etc.
INSTIFF	All (Imaging System)
IPC	CRT (formally IPC)
LS	Labor Standards
MAPS	Financial Services
OAHCSMS	Office of Administrative Hearings (OAH & WCCA)
OSHA	OSHA (Enforcement and Consultation)
SCF	Special Compensation Fund
SECURITY	ITS (Administration/Maintenance)

The client applications are designed and developed using the Sybase PowerBuilder application development suite of products. MN.IT does all of the development using PowerBuilder version 12.5.

The PowerBuilder application development environment allows for the design and development of applications using an object-oriented programming (OOP or OO) methodology. Object-oriented design and development subscribe to the principles of inheritance, encapsulation, and polymorphism.

Object-oriented design uses “objects” which can be designed for reuse in many applications, which aids in the goal of the Rapid Application Development (RAD) development methodology. Objects created for one application are often reused directly, or inherited from and modified, in other applications. Some of the different types of objects that are used in the DLI client applications are windows, datawindows, user objects (often referred to as non-visual objects or NVO’s), menus, structures, applications, and projects. One of the most powerful features of PowerBuilder is the patented datawindow technology, which allows developers to create robust data-centric applications very efficiently.

The client application development environment at DLI makes heavy use of the PowerBuilder object-oriented design approach. All of the client applications are initially inherited from a “framework.” The framework used for all of the DLI client applications was originally provided along with PowerBuilder

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

and is known as the PowerBuilder Foundation Class (PFC). The PFC layer is now maintained as open-source code.

The objects that comprise a PowerBuilder application are grouped together in a PowerBuilder Library, also known as a pbl (pronounced pibble). Each PowerBuilder library will have a .pbl file extension (e.g. ipcapp.pbl), can have between one and hundreds of objects within the library. A PowerBuilder library can be included in the library list of multiple applications, thereby leveraging the existing functionality of the libraries, along with the associated objects, between many applications.

The client application environment at DLI promotes the sharing of functionality between the applications. No less than five of the DLI client applications are specifically designed for the business units who perform work on workers compensation case files and claims. Likewise many of the imaging capabilities of the systems are shared by multiple applications.

The following table provides a list of the client applications, along with the counts for the number of libraries and objects included with each application. **Those in bold are in scope for this RFO:**

Application	# Libraries	# Objects	# Windows	# DW's	# NVO's	# Other
APPRENTICE	31	1198	249	420	494	35
CCLD	27	1303	283	497	482	41
CODE	39	1737	362	832	494	49
DESKCSMS	62	2689	629	1375	626	59
INSTIFF	20	794	137	155	472	30
IPC	59	2325	566	1075	613	71
LS	22	1179	246	420	475	38
MAPS	15	673	104	98	441	30
OAHCMS	50	2073	487	945	590	51
OSHA	31	1659	365	781	470	43
SCF	62	2583	604	1305	619	55
SECURITY	53	2162	528	969	607	58

The client applications at the departments also include functionality to support a high-capacity scanning environment. The scanning environment is a major component of the IPC application, and provides the infrastructure for the document management system included with the “imaging system” applications.

The scanning environment is centered around a single department scanner, which has the capacity to scan up to 120 pages per minute. There is a large amount of systems integration with the Kodak Capture Software, which allows the capture software to be integrated with customized dynamic link libraries (DLL's) and additional client applications to store the images in the Informix database.

1.4 Server Applications

The client/server environment that is widely used within the Department of Labor and Industry also has server applications that are used to facilitate the functionality. The server applications are primarily used to perform background activities within the database.

Attachment 1
MNIT RFO – Workers’ Compensation Modernization Planning Project
Application Environment

The server environment at the department is used to host the databases (i.e. Informix Dynamic Server databases). The imaging server is a Unix based environment that uses the SunOS 5.10 operating system from Sun Microsystems. All of the client/server applications connect to the imaging server to access the information stored in the database.

The server applications are written in the C programming language. There are also Korn shell scripts that are used to execute activities on the server. In many cases, the Korn shell scripts are used to initiate and control the processing of the C programs. The shell scripts are also used to control and interact with other utilities, shell scripts, and SQL scripts within the Unix environment.

A background job is typically a combination of a shell script and a corresponding C program. The background jobs are scheduled to run at certain times. This could be for certain days of the month, days of the week, multiple times during a day, or a specific time each day. The scheduling on the imaging Unix server is managed and maintained using the “crontab” utility which interacts with “cron” to actually schedule the background jobs.

There are similar shell scripts and C programs for both the test and production environments that are available within the DLI server environment. The following statistics are for the production environment on the imaging server:

Shell Script/Program Location	Count
scripts (*.sh & *.sql scripts)	~220
scripts/assess (*.sh & *.sql scripts)	~100
src (*.ec & *.c)	~100

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

2 Database

2.1 History

The enterprise database environment that is used at the Department of Labor and Industry is Informix Dynamic Server (IDS 11.5). The Informix database was originally developed at DLI when the Daedalus Imaging System was deployed in 1995. Since that time, the Informix database has expanded in complexity and size as additional projects were completed. Most notably, the Mapper Migration Project (MMP) deployed in 2004, involved the conversion and migration of all of the agency’s legacy Mapper applications and databases to the Informix database environment. Other significant projects for various units within the department, including Labor Standards, OSHA, and CCLD, have contributed to the expansion of the Informix database environment.

2.2 Database Instances

The enterprise Informix database environment at DLI resides in a Unix server environment. The Informix environment is currently divided into two instances. An Informix database instance is defined for the physical allocation of the data across the storage mechanism. There can be one or more specific databases defined within an Informix instance. The two instances in the Informix database environment at DLI are:

- Informix Production Instance
- Informix Development/Test Instance

As indicated, the Informix instances have been defined with one or more databases. The production instance has only the production database within the instance. The development/test instance currently has three (3) databases within the instance.

Informix Production Instance	
The database is the primary database used by all applications used at the Department of Labor and Industry. There are currently 900 tables defined within the prod database.	
Informix Development/Test Instance	
The database is the primary database used for all development and maintenance work for the applications used at DLI. The database is also used for all training activities for the applications used within the department. There are currently 931 tables defined within the test database.	
The “migrate” database is used to facilitate the transfer of data to remote systems that the various DLI applications communicate with. This includes the synchronization of data for OSHA Enforcement and OSHA Consultation. The migrate database has also been used as a	

Attachment 1
MNIT RFO – Workers’ Compensation Modernization Planning Project
Application Environment

transitional database on many projects to aid in the migration of data from other legacy data sources. There are currently 99 tables defined within the migrate database.

2.3 Database Storage

The primary concern with the DLI databases is with the size and complexity of the production database. Many of the DLI applications are designed as part of an integrated document management system, which is used to closely align the data within the systems, to imaged documents that have been scanned or otherwise rendered as TIFF images in the database. The TIFF images are stored as Binary Large Objects (BLOB) data within the database.

Other DLI applications, including the OSHA systems MOOSE (Minnesota OSHA Operations and System Exchange) and IRIS (IMIS Replacement Information System), as well as the CCLD Licensing System provide functionality to include photographs and/or attachments with a case file. The photos and attachments are also stored as BLOB data within the database.

The physical storage of the data in the Informix database instances is managed through the use of “dbspaces” and “blobspaces” to allocate the necessary space on disk. The dbspaces are primarily used for the storage of data in the database tables, while the blobspaces are used for the storage of BLOB data within the database. Both dbspaces and blobspaces are further broken down into physical “chunks” that define the available space and determine how the data is distributed on the disk arrays.

2.3.1 Database BLOB Statistics

The BLOB data (images, photos, attachments) is responsible for the large size of the database. Most of the BLOB data are images for workers compensation case files. This data has been collected since the advent of the Daedalus Imaging System when it was implemented in 1995. There has also been some “back file conversion”, which is the scanning of paper case files that were started prior to the implementation of the system.

A “generic” imaging system was designed and developed to co-exist with the workers compensation BLOB data. This allows other units within the department to also use the imaging capabilities of the system, while keeping it separate from the workers compensation image data. Only the OSHA (both Enforcement and Consultation) and CCLD applications currently use the generic imaging capabilities within the database.

Database Tables with BLOB Data (Work Comp Environment) - as of 3/7/2013	
Case documents	10,470,510 documents
Doc images	41,707,216 images

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

Statistics: <ul style="list-style-type: none"> • Approximately 12,000 images are scanner/tiffed every business day (average) <ul style="list-style-type: none"> ○ 11,000 images/day are scanned ○ ~1,000 images/day are tiffed • The average image size is 31k (31 kilobytes – 31,000 bytes) – scanned • The average image size is 44k (44 kilobytes – 44,000 bytes) – tiffed • No retention schedule defined/enforced

Database Tables with BLOB Data (Generic Environment) - as of 3/7/2013	
Gen_case_docs	1,253,276 documents (38,785 purged per retention schedule)
Gen_doc_images	2,301,641 images
Gen_pictures	50,277 pictures (44,001 purged per retention schedule)
Gen_attach	4,918 attachments (1,320 purged per retention schedule)
Statistics: <ul style="list-style-type: none"> • Approximately 1,800 images are scanner/tiffed every business day (average) <ul style="list-style-type: none"> ○ 1,300 images/day are scanned ○ ~500 images/day are tiffed • The average image size is 41k (41 kilobytes – 41,000 bytes) – scanned • The average image size is 109k (109 kilobytes – 109,000 bytes) – tiffed • The average picture size is 87k (87 kilobytes – 87,000 bytes) • The average attachment size is 1.32MB (1.32 megabytes – 1,320 kilobytes) • Rules are enforced for different retention schedules (purging BLOB data) 	

The production database presents challenges because of the large size of the database. The production database is approximately 1.8 TB (Terabytes) of data. This is the equivalent of 1.8 million MB (Megabytes). Of the total available space allocated for the production database, over 95% is used/allocated for BLOB data (i.e. images, photos, attachments, etc.). The actual data (non-BLOB information) stored in the database tables comprises less than 5% of the database. These statistics were gathered in March 2013.

This continual consumption of disk storage, as well as the archival and back up of the database, plays an important role in the upkeep and maintenance of the database.

A retention schedule has been implemented for many of the new application systems that have been implemented in the last years. However, the storage of workers compensation image data is currently stored with no effective retention schedule in place.

2.3.2 Informix DBSpace/BlobSpace Utilization

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

The following table depicts the dbspaces and blobspace in the production Informix instance (prod). The statistics were gathered as of 3/3/2013.

DBSpace Name	# Chunks	Page Size	Percent Utilization
rootdbs	1	2048	(3% Full)
llog	2	2048	(95% Full)
plog	1	2048	(99% Full)
dbaudit	6	2048	(100% Full)
dbcasfile	3	2048	(44% Full)
dbemploy	2	2048	(74% Full)
dbcasedocs	3	2048	(43% Full)
dbimages	8	2048	(74% Full)
dblogfile	3	2048	(35% Full)
dbhistory	2	2048	(32% Full)
dbdochist	3	2048	(67% Full)
dbmanage	4	2048	(77% Full)
dbmaintain	4	2048	(52% Full)
dbqueue	2	2048	(15% Full)
dbstatic	1	2048	(46% Full)
dbdisp	2	2048	(67% Full)
dbimageblob	909	12288	(94% Full) - BLOBSpace

Attachment 1
MNIT RFO – Workers’ Compensation Modernization Planning Project
Application Environment

3 Web Applications

3.1 Overview

The agency has embraced web technology as an effective means to better serve the diverse customer base of the department. There have been many advances in the past ten years to allow the user community to interact with the department over the web. The deployment of the web applications has led to greater efficiency in the business processes within the business units at DLI.

There are approximately 30 different web applications that are actively maintained by the department. In many cases, the web applications are designed to interact with the client/server applications that are primarily used by the users within the department.

There are close communications between the MN.IT staff and the Communications unit at the department. The Communications unit is responsible for the DLI website; therefore the logistics and placement of links to the web applications must be coordinated. Some of the web applications are seasonal (e.g. Labor Standards Surveys), which requires the placement of the links to the web applications to change periodically.

There are several web applications that are designed to be used by multiple business units within the department. The following provides an overview of the business units that have web applications that are available. **Only the ones denoted in bold are considered in scope for this RFO.**

Business Unit	# of Web Apps
Apprenticeship	3
CCLD	14
Labor Standards	8
OSHA	6
Research & Statistics	1
Work Comp	12

3.2 Web Development

Most of the newer web applications have been developed with ASP.Net and C# programming. Some of the older web applications were developed with the PHP and Python languages. The goal is to eventually migrate and/or re-write the older web applications so that all of the DLI web applications are in a common .Net environment.

Many of the web applications are designed to communicate with a database environment. Many of the recently designed and developed web applications communicate directly

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

with the Informix database, which allows for seamless integration with the back-office client/server applications. Some of the web applications also use MySQL and MS SQL Server databases for staging data on the web server.

3.2.1 Web Application Inventory

The following table is maintained by the web developers to manage and maintain the web applications designed and developed for the department. **Only those in bold below are considered in scope for this RFO.**

Web Application	Description	Business unit
Intranet news submission	Allows DLI employees to submit news information to Communications so it can be posted on the Intranet	ALL
Apprenticeship Agreement	Allows qualified businesses with registered apprenticeship programs to submit new apprenticeship agreements	APPR
License Lookup	Allows external customers to search and view DLI CCLD license holder information (personal and business)	CCLD
License Renewal/Initial Application/Application payment	Allows license holders to renew, or apply for an initial application as well as make a payment after the initial application is approved and the applicant is qualified for an exam.	CCLD
License exam registration	Allows license applicants to schedule an exam	CCLD
Continuing education reporting	Allows exam administrators to record attendance	CCLD
Plumbing license export	Allows PCA to view and download all plumbing licensing information	CCLD
Building Permit Surcharge	Allows MN municipalities to submit quarterly and monthly building permit data, so surcharges can be collected	CCLD
eTRAKIT	Online permitting and inspection web application - supported by CRW	CCLD
Municipal revenue reporting system	Allows municipalities to complete, submit and print the annual expense and revenue report.	CCLD
Certificate of Registration	Displays boiler/pressure vessel certificates of registration	CCLD
Approved continuing education courses	Displays a list of approved continuing education courses.	CCLD
Continuing education administration	Create additional continuing education classes/sessions	CCLD

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

Web Application	Description	Business unit
Accounts receivable (AR) payments	Allows customers to pay for invoices online	CCLD/WC/OSHA
Address/Name change	Allows customers who have had past business with DLI to notify us of a name change or address change. This information is used to update various databases (manually)	CCLD/WC/OSHA/ APPR/LS
Event registration application	Allows DLI employees to create and maintain event registrations	CCLD/WC/OSHA/ APPR/LS
Prevailing Wage Rate survey	Allows contractors to supply the department with wage rate information used to determine the prevailing wages each year	LS
Prevailing Wage City/County engineer survey	Allows city and county engineers to supply the department with contractors who have worked on state projects for the current survey year	LS
Prevailing Wage Rates report	Allows customers to view the prevailing wage rates for the current year	LS
Payroll card issuer registration	Allows companies to register with DLI if they issue payroll cards	LS
Prevailing Wage rate survey batch submission	Application to batch submit prevailing wage surveys.	LS
Hazard Correction Form	Allows employers to report on corrections made after being notified of a serious hazard.	OSHA
OSHA Safety Grants Application	Allows companies to apply for a safety grant.	OSHA
Workplace safety consultation visit	Allows a company to request a safety consultation visit.	OSHA
QRC Rehabilitation Form submission	Allows MN QRC's to submit the RCR, R2, R3, PPR and the R8 to the department	WC
WC EDI Trading Partner agreement	Allows insurance companies to complete an online application for our EDI WC program so they can be approved and submit data electronically	WC
Workers' Compensation Insurance Lookup	Allows customers to view WC insurance information for a given company and time period - this is hosted and maintained by MWCIA.	WC
Report of Employer conducting business without WC coverage	Allows customers to report on a company that is doing business in the State of Minnesota and does not have WC coverage	WC
Special Compensation Fund Assessment	Allows WC insurance companies to report their WC data so the agency can determine the SCF assessment.	WC

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

Web Application	Description	Business unit
Workplace poster request	Allows customers to request free workplace posters	WC/LS
Online Certification	Allows attorneys to a WC claim to request a dispute to be certified	ADR
Request for Assistance (RFA) Medical or Rehabilitation	Allows parties to a work comp claim to request and respond to Medical or Rehabilitation assistance from the Department	ADR
Annual Claim Reimbursement	Reimbursement from the Second Injury Fund or Supplementary Benefits	SCF

Attachment 1

MNIT RFO – Workers’ Compensation Modernization Planning Project Application Environment

4.2 Scanner Environment

The client applications at the departments also include functionality to support a high-capacity scanning environment. The scanning environment is a major component of the IPC application, and provides the infrastructure for the document management system included with the “imaging system” applications.

The scanning environment is centered around the department scanner, which has the capacity to scan up to 120 pages per minute. There is a large amount of systems integration with the Kodak Capture Software, which allows the capture software to be integrated with customized dynamic link libraries (DLL’s) and additional client applications to store the images in the Informix database.

The IPC application, designed and developed as a PowerBuilder application, is integrated closely with the scanning environment. The documents and the corresponding images are “packaged” in a way to facilitate their storage into the DLI database environment. There are two custom DLL’s that provide an application programming interface (API) which allows the Kodak Capture Software to be integrated with the PowerBuilder application. The custom DLL’s used in the DLI scanning environment were developed using the C++ programming language.

DLL	Description
MCENODLI.DLL	Batch Output DLL - XVCS 3.0 Batch Output API The Batch Output DLL allows for the formatting of image file names to facilitate their storage into the DLI database. Initiates the PowerBuilder application that stores the images to the database and creates the workflow necessary for further processing.
MCENTDLI.DLL	Field Rule DLL - Not formally documented by Kodak The Field Rule DLL was designed to “stop” the scanning operation if the batch of documents is scanned in the wrong Kodak scanner “application” (i.e. a Kodak application is defined for singles, multiples, or other specific types of batch output modes.

There are additional PowerBuilder interfaces designed into the IPC application that are used by the CRT business unit. These interfaces include functionality for “Document Indexing”, “Coding”, as well as the actual data entry of from the scanned images.

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

4.3 PowerBuilder Applications

The PowerBuilder applications are designed using object oriented programming techniques, including inheritance, encapsulation, and polymorphism. Many of the objects that comprise the applications are shared across multiple applications. The objects are stored in PowerBuilder libraries (pbl's) that are in a collection to create an application project. Each application project requires a separate “build” in order to produce an executable and the PBD files, which are similar to dynamic link libraries (DLL's).

The following table(s) provides a list of the client applications, along with the counts for the number of libraries and objects included with each application. Note that the PowerBuilder Foundation Class (PFC) and PowerBuilder Foundation Extension (PFE) libraries and objects account for a large number of objects within each application. The first table includes the PFC/PFE libraries and objects, while the second table excludes them. **Only those in bold are considered in scope for this RFO.**

Application	# Libraries	# Objects	# Windows	# DW's	# NVO's	# Other
APPRENTICE	31	1198	249	420	494	35
CCLD	27	1303	283	497	482	41
CODE	39	1737	362	832	494	49
DESKCSMS	62	2689	629	1375	626	59
INSTIFF	20	794	137	155	472	30
IPC	59	2325	566	1075	613	71
LS	22	1179	246	420	475	38
MAPS	15	673	104	98	441	30
OAHCMSMS	50	2073	487	945	590	51
OSHA	31	1659	365	781	470	43
SCF	62	2583	604	1305	619	55
SECURITY	53	2162	528	969	607	58

*Reflects Library Lists (Includes PFC/PFE Objects)

Application	# Libraries	# Objects	# Windows	# DW's	# NVO's	# Other
APPRENTICE	31	677	187	383	97	10
CCLD	27	795	225	463	86	21
CODE	39	1216	300	795	97	24
DESKCSMS	62	2168	567	1338	229	34
INSTIFF	20	273	75	118	75	5
IPC	59	1804	504	1038	216	46
LS	22	658	184	383	78	13
MAPS	15	152	42	61	44	5
OAHCMSMS	50	1552	425	908	193	26
OSHA	31	1151	307	747	74	23
SCF	62	2062	542	1268	222	30
SECURITY	53	1641	466	932	210	33

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

*Reflects Library Lists (Excludes PFC/PFE Objects)

Each application project, along with its collections of libraries (pbl’s) will be listed in the following section.

4.3.4 DeskCSMS Application

The DeskCSMS application is used by the CRT and ADR business units (formally CA and CS groups). It is also the default application used by other business units within the department which need access to the work comp database.

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
dskapp.pbl	2	0	0	0	2
dskmain.pbl	9	1	0	1	7
dskqueue.pbl	25	11	8	6	0
dskworksht.pbl	8	1	5	2	0
dskmaintain.pbl	6	2	4	0	0
dskreports.pbl	85	21	52	11	1
dskpenalty.pbl	92	21	67	1	3
oah_attny.pbl	17	8	7	2	0
oah_worksh.pbl	44	11	20	13	0
oah_report.pbl	24	8	15	1	0
csms_dispute.pbl	96	17	66	13	0
csms_schedule.pbl	33	8	22	1	2
csms_letters.pbl	16	7	5	3	1
csms_reports.pbl	90	24	65	1	0
csms_conflict.pbl	22	2	18	1	1
csms_maintain.pbl	20	3	16	1	0
inwork.pbl	23	3	17	3	0
secstat.PBL	53	19	33	1	0
secadmin.pbl	51	16	25	7	3
ipcstats.pbl	71	14	49	8	0
ipceval.pbl	21	6	9	4	2
ipcfroi.pbl	20	6	13	1	0
ipccode.pbl	19	4	14	1	0
ipcdata.pbl	160	53	102	5	0
ipcadmin.pbl	22	9	10	2	1
scfclaim.pbl	50	14	34	2	0
scfdsc.pbl	7	1	3	3	0
scfunins.pbl	228	37	181	9	1
scfreports.pbl	100	25	73	1	1
mapsmain.pbl	3	1	0	1	1
mapsinfo.pbl	46	12	33	1	0
attorney.pbl	1	1	0	0	0
case_rpt.pbl	54	15	37	2	0

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
CFTS.pbl	43	12	30	1	0
diary.pbl	8	3	4	1	0
queue.pbl	57	13	28	16	0
image.pbl	21	9	6	5	1
jroll.pbl	7	1	3	3	0
insadj.pbl	125	34	82	8	1
newqueue.pbl	23	5	13	5	0
posters.pbl	27	9	16	2	0
print.pbl	15	3	7	5	0
toc.pbl	52	19	26	7	0
holdq.pbl	33	10	17	5	1
log.pbl	37	8	20	9	0
LETTERS.pbl	9	4	3	1	1
report.pbl	22	7	12	2	1
rehab.pbl	39	12	26	1	0
GENQUEUE.PBL	24	5	13	6	0
DATANOTES.pbl	7	3	1	2	1
wcdframe.pbl	101	29	28	42	2
pfeapsrv.pbl	78	8	0	70	0
pfedwsrv.pbl	36	7	0	29	0
pfemain.pbl	73	7	0	60	6
pfewnsrv.pbl	14	2	0	10	2
pfeutil.pbl	34	5	0	29	0
pfcapsrv.pbl	94	8	12	70	4
pfcdwsrv.pbl	46	7	9	29	1
pfcmain.pbl	77	7	4	60	6
pfcmsg.pbl	13	4	3	1	5
pfcwsrv.pbl	14	2	1	10	1
pfcutil.pbl	42	5	8	29	0
Totals (Exclude PFC/PFE)	2168	567	1338	229	34
Totals (Include PFC/PFE)	2689	629	1375	626	59

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

4.3.5 INSTIFF Application

The INSTIFF application is used by all business units that make use of the document management system (imaging capabilities). The application is used to work with the Informatik Image Driver to store and associated imaged documents for use from the other applications.

Library (.pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
insapp.pbl	2	0	0	0	2
insmain.pbl	1	0	0	1	0
inswork.pbl	23	3	17	3	0
queue.pbl	57	13	28	16	0
diary.pbl	8	3	4	1	0
toc.pbl	52	19	26	7	0
jroll.pbl	7	1	3	3	0
report.pbl	22	7	12	2	1
wcdframe.pbl	101	29	28	42	2
pfeapsrv.pbl	78	8	0	70	0
pfedwsrv.pbl	36	7	0	29	0
pfemain.pbl	73	7	0	60	6
pfewnsrv.pbl	14	2	0	10	2
pfeutil.pbl	34	5	0	29	0
pfcapsrv.pbl	94	8	12	70	4
pfcdwsrv.pbl	46	7	9	29	1
pfcmain.pbl	77	7	4	60	6
pfcmsg.pbl	13	4	3	1	5
pfcwnsrv.pbl	14	2	1	10	1
pfcutil.pbl	42	5	8	29	0
Totals (Exclude PFC/PFE)	273	75	118	75	5
Totals (Include PFC/PFE)	794	137	155	472	30

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

4.3.6 IPC Application

The IPC application is used by the CRT business unit (the section previously known as the Information Processing Center – IPC). The application is primarily used to work with the scanning and imaging environment, as well as for data entry of work comp case file data.

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
ipcapp.pbl	3	0	0	0	3
ipcmmain.pbl	13	1	0	1	11
ipceval.pbl	21	6	9	4	2
ipcfroi.pbl	20	6	13	1	0
ipccode.pbl	19	4	14	1	0
ipcstats.pbl	71	14	49	8	0
ipcscan.pbl	6	3	2	0	1
ipcadmin.pbl	22	9	10	2	1
ipcdata.pbl	160	53	102	5	0
scanner.pbl	16	10	4	1	1
pimg32uo.pbl	7	0	0	1	6
dskqueue.pbl	25	11	8	6	0
dskpenalty.pbl	92	21	67	1	3
dskreports.pbl	85	21	52	11	1
oah_attny.pbl	17	8	7	2	0
oah_worksh.pbl	44	11	20	13	0
oah_report.pbl	24	8	15	1	0
csms_dispute.pbl	96	17	66	13	0
csms_schedule.pbl	33	8	22	1	2
csms_letters.pbl	16	7	5	3	1
csms_conflict.pbl	22	2	18	1	1
csms_reports.pbl	90	24	65	1	0
inswork.pbl	23	3	17	3	0
scfclaim.pbl	50	14	34	2	0
secmain.pbl	4	1	0	1	2
secuser.pbl	16	5	9	2	0
secadmin.pbl	51	16	25	7	3
secstat.pbl	53	19	33	1	0
attorney.pbl	1	1	0	0	0
case_rpt.pbl	54	15	37	2	0
CFTS.pbl	43	12	30	1	0
diary.pbl	8	3	4	1	0
queue.pbl	57	13	28	16	0
image.pbl	21	9	6	5	1
jroll.pbl	7	1	3	3	0
insadj.pbl	125	34	82	8	1
newqueue.pbl	23	5	13	5	0

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
posters.pbl	27	9	16	2	0
print.pbl	15	3	7	5	0
toc.pbl	52	19	26	7	0
holdq.pbl	33	10	17	5	1
log.pbl	37	8	20	9	0
LETTERS.pbl	9	4	3	1	1
report.pbl	22	7	12	2	1
rehab.pbl	39	12	26	1	0
GENQUEUE.PBL	24	5	13	6	0
DATANOTES.PBL	7	3	1	2	1
wcdframe.pbl	101	29	28	42	2
pfeapsrv.pbl	78	8	0	70	0
pfedwsrv.pbl	36	7	0	29	0
pfemain.pbl	73	7	0	60	6
pfewnsrv.pbl	14	2	0	10	2
pfeutil.pbl	34	5	0	29	0
pfcapsrv.pbl	94	8	12	70	4
pfcdwsrv.pbl	46	7	9	29	1
pfcmain.pbl	77	7	4	60	6
pfcmsg.pbl	13	4	3	1	5
pfcwsrv.pbl	14	2	1	10	1
pfcutil.pbl	42	5	8	29	0
Totals (Exclude PFC/PFE)	1804	504	1038	216	46
Totals (Include PFC/PFE)	2325	566	1075	613	71

4.3.8 MAPS Application

The MAPS application is used for tracking penalty and reimbursement accounts receivable information.

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
mapsapp.pbl	2	0	0	0	2
mapsmain.PBL	3	1	0	1	1
mapsinfo.PBL	46	12	33	1	0
wcdframe.pbl	101	29	28	42	2
pfeapsrv.pbl	78	8	0	70	0
pfedwsrv.pbl	36	7	0	29	0
pfemain.pbl	73	7	0	60	6
pfewnsrv.pbl	14	2	0	10	2
pfeutil.pbl	34	5	0	29	0
pfcapsrv.pbl	94	8	12	70	4

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

pfcdwsrv.pbl	46	7	9	29	1
pfcmain.pbl	77	7	4	60	6
pfcmsg.pbl	13	4	3	1	5
pfcwnsrv.pbl	14	2	1	10	1
pfcutil.pbl	42	5	8	29	0
Totals (Exclude PFC/PFE)	152	42	61	44	5
Totals (Include PFC/PFE)	673	104	98	441	30

4.3.9 OahCSMS Application

The OahCSMS application is used primarily by the Office of Administrative Hearing (OAH) agency for access to dispute tracking on work comp case files

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
oah_app.pbl	2	0	0	0	2
oah_main.pbl	6	2	1	1	2
oah_attny.pbl	17	8	7	2	0
oah_worksh.pbl	44	11	20	13	0
oah_queue.pbl	12	4	8	0	0
oah_report.pbl	24	8	15	1	0
csms_dispute.pbl	96	17	66	13	0
csms_schedule.pbl	33	8	22	1	2
csms_conflict.pbl	22	2	18	1	1
csms_letters.pbl	16	7	5	3	1
csms_maintain.pbl	20	3	16	1	0
csms_reports.pbl	90	24	65	1	0
dskpenalty.pbl	92	21	67	1	3
dskreports.pbl	85	21	52	11	1
ipcdata.pbl	160	53	102	5	0
ipceval.pbl	21	6	9	4	2
ipcfroi.pbl	20	6	13	1	0
ipccode.pbl	19	4	14	1	0
ipcadmin.pbl	22	9	10	2	1
inwork.pbl	23	3	17	3	0
secadmin.pbl	51	16	25	7	3
case_rpt.pbl	54	15	37	2	0
CFTS.pbl	43	12	30	1	0
queue.pbl	57	13	28	16	0
diary.pbl	8	3	4	1	0
image.pbl	21	9	6	5	1
jroll.pbl	7	1	3	3	0
insadj.pbl	125	34	82	8	1
newqueue.pbl	23	5	13	5	0

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
toc.pbl	52	19	26	7	0
print.pbl	15	3	7	5	0
holdq.pbl	33	10	17	5	1
log.pbl	37	8	20	9	0
LETTERS.pbl	9	4	3	1	1
report.pbl	22	7	12	2	1
rehab.pbl	39	12	26	1	0
GENQUEUE.PBL	24	5	13	6	0
DATANOTES.PBL	7	3	1	2	1
wcdframe.pbl	101	29	28	42	2
pfeapsrv.pbl	78	8	0	70	0
pfedwsrv.pbl	36	7	0	29	0
pfemain.pbl	73	7	0	60	6
pfewnsrv.pbl	14	2	0	10	2
pfeutil.pbl	34	5	0	29	0
pfcapsrv.pbl	94	8	12	70	4
pfcdwsrv.pbl	46	7	9	29	1
pfcmmain.pbl	77	7	4	60	6
pfcmmsg.pbl	13	4	3	1	5
pfcwnsrv.pbl	14	2	1	10	1
pfcutil.pbl	42	5	8	29	0
Totals (Exclude PFC/PFE)	1552	425	908	193	26
Totals (Include PFC/PFE)	2073	487	945	590	51

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

4.3.11 SCF Application

The SCF application is used by the Special Compensation Fund – SCF business unit.

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
scfapp.pbl	2	0	0	0	2
scftoc.pbl	4	2	2	0	0
scfdsc.pbl	7	1	3	3	0
scfletters.pbl	12	2	8	1	1
scfqueue.pbl	4	2	2	0	0
scfmain.pbl	3	1	0	1	1
scfrep.pbl	14	5	7	2	0
scfreports.pbl	100	25	73	1	1
scfwork.pbl	29	5	22	2	0
scfclaim.pbl	50	14	34	2	0
scfunins.pbl	228	37	181	9	1
dskqueue.pbl	25	11	8	6	0
dskpenalty.pbl	92	21	67	1	3
dskreports.pbl	85	21	52	11	1
oah_attny.pbl	17	8	7	2	0
oah_worksh.pbl	44	11	20	13	0
oah_report.pbl	24	8	15	1	0
csms_dispute.pbl	96	17	66	13	0
csms_schedule.pbl	33	8	22	1	2
csms_letters.pbl	16	7	5	3	1
csms_conflict.pbl	22	2	18	1	1
csms_reports.pbl	90	24	65	1	0
ipcdata.pbl	160	53	102	5	0
ipcadmin.pbl	22	9	10	2	1
ipceval.pbl	21	6	9	4	2
ipcfroi.pbl	20	6	13	1	0
ipccode.pbl	19	4	14	1	0
inswork.pbl	23	3	17	3	0
secadmin.pbl	51	16	25	7	3
mapsmain.pbl	3	1	0	1	1
mapsinfo.pbl	46	12	33	1	0
attorney.pbl	1	1	0	0	0
case_rpt.pbl	54	15	37	2	0
CFTS.pbl	43	12	30	1	0
LETTERS.pbl	9	4	3	1	1
report.pbl	22	7	12	2	1
diary.pbl	8	3	4	1	0
queue.pbl	57	13	28	16	0
image.pbl	21	9	6	5	1
jroll.pbl	7	1	3	3	0

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
insadj.pbl	125	34	82	8	1
newqueue.pbl	23	5	13	5	0
print.pbl	15	3	7	5	0
toc.pbl	52	19	26	7	0
holdq.pbl	33	10	17	5	1
log.pbl	37	8	20	9	0
rehab.pbl	39	12	26	1	0
GENQUEUE.PBL	24	5	13	6	0
DATANOTES.PBL	7	3	1	2	1
wcdframe.pbl	101	29	28	42	2
pfeapsrv.pbl	78	8	0	70	0
pfedwsrv.pbl	36	7	0	29	0
pfemain.pbl	73	7	0	60	6
pfewnsrv.pbl	14	2	0	10	2
pfeutil.pbl	34	5	0	29	0
pfcapsrv.pbl	94	8	12	70	4
pfcdwsrv.pbl	46	7	9	29	1
pfcmmain.pbl	77	7	4	60	6
pfcmmsg.pbl	13	4	3	1	5
pfcwnsrv.pbl	14	2	1	10	1
pfcutil.pbl	42	5	8	29	0
Totals (Exclude PFC/PFE)	2040	535	1256	220	29
Totals (Include PFC/PFE)	2561	597	1293	617	54

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

4.3.12 Security Application

The Security application is used by MN.IT staff to support the maintenance of the other applications.

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
secapp.pbl	2	0	0	0	2
secmain.pbl	4	1	0	1	2
security.pbl	18	6	6	6	0
secdept.pbl	14	5	6	3	0
secuser.pbl	16	5	9	2	0
secadmin.pbl	51	16	25	7	3
secstat.pbl	53	19	33	1	0
ipcadmin.pbl	22	9	10	2	1
ipcdata.pbl	160	53	102	5	0
ipceval.pbl	21	6	9	4	2
ipcfroi.pbl	20	6	13	1	0
ipccode.pbl	19	4	14	1	0
PIMG32UO.pbl	7	0	0	1	6
dskqueue.pbl	25	11	8	6	0
dskreports.pbl	85	21	52	11	1
oah_attny.pbl	17	8	7	2	0
oah_worksh.pbl	44	11	20	13	0
csms_dispute.pbl	96	17	66	13	0
csms_schedule.pbl	33	8	22	1	2
csms_letters.pbl	16	7	5	3	1
csms_conflict.pbl	22	2	18	1	1
csms_maintain.pbl	20	3	16	1	0
csms_reports.pbl	90	24	65	1	0
dskpenalty.pbl	92	21	67	1	3
inwork.pbl	23	3	17	3	0
diary.pbl	8	3	4	1	0
queue.pbl	57	13	28	16	0
image.pbl	21	9	6	5	1
jroll.pbl	7	1	3	3	0
insadj.pbl	125	34	82	8	1
print.pbl	15	3	7	5	0
toc.pbl	52	19	26	7	0
case_rpt.pbl	54	15	37	2	0
holdq.pbl	33	10	17	5	1
log.pbl	37	8	20	9	0
report.pbl	22	7	12	2	1
rehab.pbl	39	12	26	1	0
GENQUEUE.PBL	24	5	13	6	0
GENIMAGE.PBL	47	20	22	4	1

Attachment 1
 MNIT RFO – Workers’ Compensation Modernization Planning Project
 Application Environment

Library (pbl)	# Objects	# Windows	# DW's	# NVO's	# Other
DATANOTES.PBL	7	3	1	2	1
wcdframe.pbl	101	29	28	42	2
pfeapsrv.pbl	78	8	0	70	0
pfedwsrv.pbl	36	7	0	29	0
pfemain.pbl	73	7	0	60	6
pfewnsrv.pbl	14	2	0	10	2
pfeutil.pbl	34	5	0	29	0
pfcapsrv.pbl	94	8	12	70	4
pfcdwsrv.pbl	46	7	9	29	1
pfcmain.pbl	77	7	4	60	6
pfcmsg.pbl	13	4	3	1	5
pfcwnsrv.pbl	14	2	1	10	1
pfcutil.pbl	42	5	8	29	0
Totals (Exclude PFC/PFE)	1619	457	922	208	32
Totals (Include PFC/PFE)	2140	519	959	605	57

**Workers' Compensation Modernization Planning Project
Attachment 2
Description of Units and Functions**

Division	Unit/Function	High-level Description of Job Functions	Est # staff for interviews	Technology Systems and Tools Utilized
<p>Compliance, Records and Training (CRT)</p> <p>The DLI is the repository of workers' compensation claim information. This unit processes all filings with the Workers' Compensation Division; maintains the integrity of the claim file; and ensures accurate claim file information is entered into the system in a timely manner.</p>	<p>Document Processing: Document Preparation, Scanning, Document Indexing, and Posters.</p>	<p>Documents are manually prepped for the scanner. The scanner is programmed to read patch codes between documents and the codes on certain litigation documents and create tiffed images of all documents filed with DLI. The images are then available in a queue for the document indexer to assign a form ID and associate the document to the correct case file. The indexers can modify the form ID/date received, delete documents or document pages, reorder pages, split documents or split work items before it is assigned to the case file. CRT disseminates required workplace posters to employers. Employers can enter a request online and the request is processed through an Informix application.</p>	<p>2</p>	<p>Informix, Outlook, Lync, Word, Excel, Internet Explorer</p>
	<p>Data Processing: Data Entry, Research, Quality Assurance, Coding, and EDI.</p>	<p>Basically, this part of the unit enters, maintains and corrects information in the database. Certain forms are data entry documents; those documents are forwarded to a queue for the data entry operator to enter certain data from the form into the data entry application. Researchers ensure the validity of the data, combine files, delete records inaccurately filed, change high level information (SSN, date of injury, employee name), etc. The coder reads injury descriptions and enters codes identifying the type of injury, body part injured, etc., into the database. The Quality Assurance specialist has an application that randomly selects certain documents to check data quality. Effective 1/1/14, DLJ mandated the electronic submission of First Reports of Injury (FROI) using the Claims Release 3.0 standard of the IAIABC. FROI data can enter the database via electronic data interchange (EDI) or through a web portal. Multiple department forms are available for entry online and the department continues to explore efforts to increase forms available for online submission and data received via EDI.</p>	<p>3 2 others may also be needed for EDI.</p>	<p>Informix, Outlook, Lync, Word, Excel, Internet Explorer, EDI, Infomaker, DEED database</p>

DLI Workers' Compensation Planning Project
Description of Units and Functions

	Copy File Review	Copy File Review allows stakeholders to review claim files in the Informix application and makes copies of files for authorized parties. Copy File Review uses Access to process payments for said copies.	1	Informix, Outlook, Lync, Word, Excel, Internet Explorer, SWIFT, Access
	Compliance: Audit/Penalties, Database Maintenance and Training.	The Compliance Officers' job consists of detailed review of existing claims. The claims for review are determined by a number of data elements and the receipt (or non-receipt) of various forms at selected time periods. After review, they may write to insurers to request forms and reports, seek clarification of submissions, and provide information to ensure correction when noncompliance is discovered. Penalties are assessed against insurers, self-insured employers, employers, QRCs and health care providers for noncompliance with workers' compensation laws. Certain information regarding employers and insurers is housed in the database and maintained by this unit. Many ad hoc and regular reports on data are generated by this unit. The Training Team conducts training events in Minnesota and out of state for workers' compensation stakeholders.	5	Informix, Outlook, Lync, Word, Excel, Internet Explorer, SWIFT, Infomaker
	Compliance: Rehabilitation Registration/Policy and Medical Policy	The medical policy specialist investigates complaints involving health care providers, assists in development of medical rules and provides consultation about medical rule application. The rehabilitation policy specialist and rehabilitation registration specialist oversee registration and investigate complaints of rehabilitation providers and their firms. They also assist in the development of rehabilitation rules and provide consultation about rehabilitation rule application.	2	Informix, Outlook, Lync, Word, Excel, Internet Explorer, SWIFT (There is no direct contact between these CRT staff and SWIFT, but monies sent in for registration or to pay penalties is sent to and processed through Financial Services (FS) and FS lets the staff know payment has been made.)
Alternative Dispute Resolution (ADR)	Resolve disputed issues between	The fifteen DPRS SR. (mediators/arbitrators) staff provides information to interested parties through the hotline, log	3	Informix, Outlook, Windows, Lync, Word,

DLI Workers' Compensation Planning Project
Description of Units and Functions

	<p>employers, insurers, injured workers, medical providers, and other parties to a workers' compensation claim focusing on early dispute resolution, as an alternative to litigation.</p>	<p>letters and walk-ins about the workers' compensation system, facilitates communication between the parties, and intervenes to resolve situations that might otherwise grow into larger disputes. Administrative conferences are conducted by the DPRS SR. on rehabilitation disputes and on medical disputes where the amount in dispute is less than \$7,500, or more than \$7,500 when the dispute is over excessiveness of the charge. At the conference, if an agreement is not possible, a decision and order is issued by the DPRS SR. ADR also provides mediation services. DPRS SR acts as a neutral third-party assisting the parties in evaluating and framing their settlement position results in a very high success rate. These efforts / results are documented in the Informix system. Five OAS staff answer incoming telephone calls; process Medical and Rehabilitation Requests; route Medical Requests, Rehabilitation Requests and Requests for Certification of Dispute to DPRS staff; schedule the dates and times of administrative conferences and mediation sessions; route Medical Requests and Rehabilitation Requests to OAH; prepare notices for and send notices to parties scheduled for administrative conferences and mediation sessions; copy and distribute Decision & Orders and Mediation Awards; and document efforts / results in the Informix log. The three member management team uses the Informix management information system to oversee the work of the DPRS SR and OAH staff.</p>		<p>Internet Explorer, SWIFT.</p>
<p>Office of Workers' Compensation Ombudsman</p>	<p>Assists employees and small businesses. Recommends legislative or rule changes to improve workers' compensation system</p>	<p>Ombudsman assists injured workers and small employers to understand the workers' compensation system and helps to resolve problems that they encounter. Is contacted by phone, mail or in person. Researches issues in Informix and enters the results.</p>	<p>1</p>	<p>Informix, Outlook, Windows, Lync, Word, Internet Explorer</p>
<p>Patient Advocate Program</p>	<p>Statutorily created 2-year pilot program to provide information</p>	<p>Uses Informix to identify workers with serious low back injuries and sends letters to them offering assistance. Is contacted by</p>	<p>1</p>	<p>Informix, Outlook, Windows, Lync, Word, Internet Explorer</p>

DLI Workers' Compensation Planning Project
Description of Units and Functions

	<p>and assistance to injured workers with serious low back injuries.</p>	<p>phone, mail or in person. Researches issues in Informix and enters the results.</p>		
<p>Special Compensation Fund (SCF)</p>	<p>Special Claims Team: Investigate, litigate, and administer uninsured and bankrupt self-insured claims. Also includes collections activities (reimbursement of benefits paid).</p>	<p>The SCF acts as an insurance company for claims of injured workers whose employers did not carry workers' compensation insurance coverage. Five CSO Srs. ("Claims Managers") two investigators and three OAS staff receive the First Reports of Injury and Claim Petitions. Investigators take recorded statements from the parties; conduct research on business ownership, licensing, and permitting; and, follow up on evidence as provided to the SCF. Claims managers obtain and review medical and business records to make liability determinations on claims; file legal pleadings with OAH to establish the SCF's legal position; represent the SCF at litigation events to present evidence regarding each case; and, work with employers to try to obtain reimbursement of benefits paid. OAS staff identifies documents to ensure accurate routing of images, drafts and mails correspondence, serves and files pleadings, and updates systems. The Management Analyst 4 pursues reimbursement of benefits paid to or on behalf of injured workers. Collections activities are similar to a private collection agency – reimbursement agreements, confessions of judgments, civil judgments, and assignment to DOR/Collections Div. (MCE). Bankrupt self-insured claims are administered similar to uninsured claims, with reimbursement pursued against bondholders, the WCRA, and other entities. The Informix system is heavily utilized for recording data, setting diaries, alerting staff to timelines, paying benefits, uploading payment information from medical bill review vendors and SWIFT, reporting data to Medicare per Federal requirements, tracking collections activities and account balances, providing statistical data, document management, setting reserves, and maintaining a case notes system. Close interaction with DLI attorneys reflects a need for a shared system between the SCF and Legal Services.</p>	<p>2 (WC Program Supervisor and Management Analyst 4) 1 for General Counsel</p>	<p>Informix, Outlook, Lync, Word, Excel, Internet Explorer, PACER, Secretary of State (SOS), DOR/Collections (MCE), MNCIS (Ramsey County), EDI, Access, Infomaker, SWIFT, DVS, MWICIA, WCRA, DEED database</p>

DLI Workers' Compensation Planning Project
Description of Units and Functions

	<p>Mandatory Coverage/Failure Penalty Team: enforce statutory requirement to carry wc insurance coverage. Activities include investigation, education, outreach, and penalties.</p>	<p>A team consisting of one Penalty Administrator (PA), SPA (assistant), and three Investigators oversees the SCF's obligation to enforce statutorily required workers' compensation insurance coverage. Investigators act upon report results of employers obtained from matching external databases (MWCIA and DEED). Through a series of contacts and information gathered, the investigators determine which employers are in violation and refer to PA for penalty assessment. Penalties are based on a combination of factors such as assigned risk rate for occupation type (based on risk level), weeks without insurance coverage, payroll for non-excluded employees, and employer cooperation. Penalties can be as low as two hundred dollars or as large as six-figures. PA is the primary contact for the employer during the penalty review. PA may reduce or dismiss penalties. Employers may request an administrative hearing if they object. PA pursues collection of final penalty amounts through assignment to MCE. Informix is used to store data, calculate penalties, track status and actions taken, draft legal documents, and record monies collected. Numerous reports are used to track penalties at varying stages to ensure collection laws are accurately and consistently followed, and that maximum effort is directed toward collections. A new Outreach component that includes education and penalty assessments necessitates the need for an expanded system. Ideally, interaction with other state agency systems would be very beneficial to this program.</p>	<p>2 (Management Analyst 4 and WC Program Supervisor)</p>	<p>Informix, Outlook, Lync, Word, Excel, Access, Internet Explorer, PACER, Secretary of State (SOS), Infomaker, DOR/Collections, MNCIS, SWIFT, DVS, MWCIA, DEED.</p>
	<p>Reimbursement Team: administer and litigate second injury and supplementary benefit reimbursement claims.</p>	<p>This is the Department's single largest budget expense involving statutory reimbursement to insurance companies for specific workers' compensation claims. Three CSO Srs. and two WC Claims Management Specialists, Sr. manage over 3,500 claims in runoff mode and/or active litigation. Statutes controlling the programs were repealed twenty years ago but existing claims continue to be audited, administered, paid, and litigated. Primarily the CSO Srs. with minimal direction from DLI attorneys manages claims in litigation. Claims managers file pleadings, conduct discovery, analyze decades of medical</p>	<p>2 (CSO Sr. and WC Program Supervisor)</p>	<p>Informix, Outlook, Lync, Word, Excel, Internet Explorer, ASAP (Access), WCRA, Infomaker, PACER, SWIFT.</p>

DLI Workers' Compensation Planning Project
Description of Units and Functions

		and legal reports, obtain independent medical examinations of injured workers, present legal arguments in court, and negotiate settlements when possible. The Informix system created to administer these programs was created in 1997 with few significant changes other than system upgrades. It is used primarily to store and retrieve data and images. A new application was added in February 2014, allowing insurance companies to file forms electronically, and allows claims managers to submit electronic payment authorizations to DLI Financial Services. The claims involve complex and catastrophic injuries, the majority of which result in six- and seven-figure payouts over the life of each claim.		
Vocational Rehabilitation (VRU)	Help Injured workers return to work	QRC's provide Rehab Consultation, Medical Management, Return-to-work services, Job Analysis and/or Job Modification, Vocational Counseling, Transferable Skills Analysis, On-the-job Training, Retraining Evaluation, and placement follow up services to injured workers. Job Placement Coordinators and Placement Techs provide Vocational Testing & Evaluation, Labor Market Survey, Job-Seeking Skills Training, and Job Development & Placement to injured workers. OAS staff type casenotes and file forms and process mailings. State Program Administrator files interventions with the Court, settles intervention interests, and handles purchasing and payments, general accounting.	4-5	Informix, Outlook, Lync, Word, VRU Case File System, Internet Explorer, SWIFT, SkillTran, WOWI, CareerScope
MN.IT Services	Provide technical support to the Department of Labor and Industry	MN.IT Services staff provide Infrastructure, Service Management, Application development and Data Base Administration for the department's technology systems.	3 – IT leadership 3 – Application Developers (PowerBuilder, Web and C 2 – Database Administrators 1 – Infrastructure Support	Informix, PowerBuilder, C, .NET, Infrastructure, Service Management tools

DLI Workers' Compensation Planning Project
 Description of Units and Functions

			1 – Service management	
Other Users (such as OAH, WCCA, Research and Statistics)	Utilize Workers' Compensation data for various business processes	Other users utilize the workers' compensation system. Their use includes viewing information, running reports and some also update information.	6 to 8	Informix Imaging Application