



The following documentation is an electronically-submitted vendor response to an advertised solicitation from the *West Virginia Purchasing Bulletin* within the Vendor Self-Service portal at wvOASIS.gov. As part of the State of West Virginia's procurement process, and to maintain the transparency of the bid-opening process, this documentation submitted online is publicly posted by the West Virginia Purchasing Division at WVPurchasing.gov with any other vendor responses to this solicitation submitted to the Purchasing Division in hard copy format.

Header 3

List View

- General Information**
- Contact
- Default Values
- Discount
- Document Information
- Clarification Request

Procurement Folder: 1228506

Procurement Type: Central Master Agreement

Vendor ID: 000000233172

Legal Name: CUSTOMER EXPRESSIONS CORP

Alias/DBA:

Total Bid: \$175,950.00

Response Date: 06/29/2023

Response Time: 10:37

Responded By User ID: isight

First Name: Jakub

Last Name: Ficner

Email: jficner@i-Sight.com

Phone: 6137943986

SO Doc Code: CRFQ

SO Dept: 0506

SO Doc ID: MIS2300000003

Published Date: 6/9/23

Close Date: 6/29/23

Close Time: 13:30

Status: Closed

Solicitation Description: CLOUD BASED STATEWIDE CASE MANAGEMENT SYSTEM

Total of Header Attachments: 3

Total of All Attachments: 3

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
1	One Time Implementation	0.00000	EA	5000.000000	0.00

Comm Code	Manufacturer	Specification	Model #
43232200			

Commodity Line Comments: Setup, Configuration, Training and Deployment of Case IQ for the Foster Care Ombudsman (FCO) case management platform.

Extended Description:
One Time Implementation

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
2	Initial Year Term	5.00000	YR	35000.000000	175000.00

Comm Code	Manufacturer	Specification	Model #
43232200			

Commodity Line Comments: Case IQ - Ombuds - Annual Base Hosting, Technical Support & Maintenance and User Fee. Up to 50 GB of Storage

Extended Description:
Initial Year Term

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
3	Year One Optional Renewal	0.00000	YR	35000.000000	0.00

Comm Code	Manufacturer	Specification	Model #
43232200			

Commodity Line Comments: Case IQ - Ombuds - Annual Base Hosting, Technical Support & Maintenance and User Fee. Up to 15 Users
Up to 50 GB of Storage

Extended Description:
Year One Optional Renewal

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
4	Year Two Optional Renewal	0.00000	YR	35000.000000	0.00

Comm Code	Manufacturer	Specification	Model #
43232200			

Commodity Line Comments: Annual Base Hosting, Technical Support & Maintenance and User Fee. Up to 15 Users
Up to 50 GB of Storage

Extended Description:
Year Two Optional Renewal

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
5	Year Three Optional Renewal	0.00000	YR	35000.000000	0.00

Comm Code	Manufacturer	Specification	Model #
43232200			

Commodity Line Comments: Case IQ - Ombuds - Annual Base Hosting, Technical Support & Maintenance and User Fee.
Up to 15 Users
Up to 50 GB of Storage

Extended Description:
Year Three Optional Renewal

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
6	Additional user licenses	1.00000	EA	950.000000	950.00

Comm Code	Manufacturer	Specification	Model #
43232200			

Commodity Line Comments: Per User Per Year over the included 15.

Extended Description:
Additional user licenses

CASE IQ PROPOSAL FOR INVESTIGATIONS MANAGEMENT RFQ

FOR

**State of West Virginia
CLOUD BASED STATEWIDE CASE MANAGEMENT SYSTEM**

Submission Date: March 27th, 2023

Prepared By:

Jakub Ficner
Director of Government Sales
jficner@caseiq.com

Case IQ

300 March Road, Suite 501
Ottawa, Ontario K2K 2E2
Canada
www.caseiq.com

Statement of Confidentiality

This document is privileged and confidential. You shall reproduce this document only as necessary to perform an evaluation and will take all necessary and reasonable measure to prevent the unauthorized use, disclosure or distribution of the proposal or parts thereof.

TABLE OF CONTENTS

Case IQ Case Management System	4
Configurable Software	4
Business Intelligence Reporting	4
Microsoft Azure Enterprise Cloud Hosting	5
Dedicated Delivery Teams	5
Summary	5
COMPANY OVERVIEW	6
Case IQ Quick Facts	6
Organization	6
Client Base	6
Expertise	7
Solution	7
Flexible and Dynamic Case Management	7
Project Management	7
Resource Center	7
Corporate Social Responsibility	7
Case IQ Overview	9
Intake	9
Management	10
Report	10
Case Intake	11
Case Management	12
Case File	12
Case	12
Similar Parties	13
Flexible Workflows	13
Action and Task Management	13
Intuitive Data Filtering	14
Calendar	14
Email	14
Exhibit and Evidence Management	15
Secure File Sharing	15
Template Generation and One-Click Investigation Reports	15
Advanced Search Engine	16
Case File Printing	16
Audit Trail	16
Cross Browser/Mobile & Tablet Compatibility	17
Reporting	17
Configurable Reports	17
Personalized and Organization-Wide Dashboards	18
Automate your Analysis	18
Share and Export Data Securely	18
Create Presentations with Real Time Data	18
Administrator Configuration Management	21
Configurable Intake Forms	21
Configure and Add New Dropdown Menus	21
Fiscal Year Tracking	21
Investigative Teams	21
Case File Flags	22
Set Rules for Case IQ Emails	22
Create your Application's Color Scheme	22
System Notification Messages	22
Archiving and Retention Rules	22
Security and Access Controls	22
Confidential Case Files	23
Change Management and Flexibility	23
User Management	23
Archiving and Retention	23



COVER LETTER

Attn: Crystal G Husted

State of West Virginia

RE: Request for Proposal - Case Management Software Package RFP

Dear Crystal Husted,

Case IQ/Customer Expressions is pleased to submit our technical and cost proposal to State of West Virginia in response to the Request for Quote (RFQ)

Case IQ's web-based application can be tailored to meet State of West Virginia's unique needs, with the capability to grow and change with you. Our solution includes ongoing maintenance and support to ensure the sustainability and longevity of the application, while also providing your System Administrators with the ability to manage the application from day-to-day.

Case IQ is a leader in case management software, delivering integrated and scalable applications to customers worldwide. With Case IQ, State of West Virginia can:

- Keep data secure on Case IQ's cloud hosting infrastructure (Microsoft Azure).
- Jump right in to working with the application thanks to training from our dedicated delivery teams.
- Reach out to our support staff 24/7 with questions and concerns.

We are confident in our ability to exceed your requirements to improve State of West Virginia's case management process and will apply best practices in providing you with a Case Management Software.

If you have any questions regarding this proposal or need further information, please do not hesitate to contact me.

Thank you for your time and consideration,

Jakub Ficner

Director of Government Sales

jficner@caseiq.com

300 March Road, Suite 501

Ottawa, Ontario, Canada K2K 2E2

EXECUTIVE SUMMARY

State of West Virginia is seeking a qualified provider of HR software, capable of providing a streamlined process to track, manage and resolve State of West Virginia's workplace incidents and misconduct quickly, improve operations, spot trends and prevent reoccurrence.

The Case IQ case management system will enable the reporting of incidents online electronically at any time and centralize all information related to incidents in one unified and searchable repository. The system will provide the data necessary for State of West Virginia to build insightful reports that help the company to make better business decisions based on risks and opportunities.

Case IQ understands the needs of State of West Virginia as outlined in this RFP and will drive the features, functions and efficiencies to accomplish the goals outlined below as well as defined in the RFP.

- Case creation: varied sources for case entry into the system, for example manual creation, web forms, email to case, etc.
- Workflows: automating workflow processes as defined in this RFP.
- Role-based access permissions: clearly define, implement and update various roles.
- Configurability: modify existing and create new fields, forms, workflows, access controls, and more.
- Files and attachments: store attachments and digital evidence.
- Notifications: configurable notifications to ensure that users are kept informed of relevant information and changes.
- Escalation: flag cases for additional review and oversight and define an escalation scheme.
- Dashboards: configurable displays of case information in dynamic grids.
- Search: find case content using keywords.
- Integration: connect Case IQ with other required software in use at State of West Virginia.
- File retention: set file retention periods, dates and rules.
- Reporting: robust business intelligence and reporting analytics with various distribution options to parties.

Case IQ Case Management System

Given State of West Virginia's requirements, we are recommending the Case IQ case management system. Case IQ is a configurable case management platform used by organizations to help them track, manage and report on a wide range of business processes including case reporting and investigative cases. The Case IQ platform records, manages and reports the live status of cases via configurable workflows in one centralized solution.

Case IQ is used by many of the world's premier organizations to assign responsibility, increase accountability, augment analysis and reporting while decreasing time, cost and risk to their investigation management departments.

Configurable Software

We understand that each organization we partner with has unique needs and requirements. They track different data and have different processes. One of the best differentiators between Case IQ and other case management systems or companies is that our solution is a fully configurable application. Our competitors typically have a rigid off-the-shelf product, which means what you see is what you get. State of West Virginia can configure Case IQ to work around your requirements, including building fields, forms, workflows and access controls around your needs, rather than bending your processes around the limitations of the application.

Business Intelligence Reporting

It is important to have a centralized location for case information. However, what you can accomplish with the data makes reporting the most powerful tool.

Reviewing case file data is a challenging and time-consuming task but is critical to reduce risk and preventing the reoccurrence of incidents and misconduct. Case IQ helps organizations analyze their data, spot trends and make better

Case IQ

business decisions.

Case IQ has the best reporting tool in the industry today. Reporting and analytics are weak spots for our competitors, who typically try to build their own home-grown reporting tools, resulting in reports that are ineffective, rigid and difficult to produce.

Case IQ embeds the [Yellowfin Business Intelligence tool](#) in the application at no extra cost. Yellowfin has been recognized by Gartner and Forrester as one of the top business intelligence tools in the world. The BARC group has named Yellowfin for three consecutive years as the easiest-to-use reporting tool in the market.

Yellowfin BI allows you to:

- Produce real time reports on anything that exists in the system.
- Set up dashboards for different regions, user groups or individuals.
- Automate reports for distribution.
- Save time and make better, data-driven business decisions.

Microsoft Azure Enterprise Cloud Hosting

We understand that IT teams have stringent requirements for the storage of their organizations' data. The protection of our clients' data is paramount and we are committed to ensuring your confidence in the storage of your data and the reliability of our recommended infrastructure.

To meet State of West Virginia's requirement for a highly resilient, secure and data sovereign web hosting solution, we recommend the Microsoft Azure Enterprise Cloud. Microsoft Azure is a global leader in cloud infrastructure.

State of West Virginia's Microsoft Azure instance will include an uptime SLA of 99.7%, to ensure your application is always online and available. All State of West Virginia's data will also be held in US data centers.

Dedicated Delivery Teams

Many of our customers engage us after failed or unsuccessful implementations. We are experts at understanding our customers' needs, adding value and providing guidance on how to set up a case management application. Many of our competitors provide a rigid off-the-shelf product with little to no support during or after the implementation process.

Over the past 20 years, we've had the opportunity to work with some of the largest organizations in the world. A large part of our success in these complex implementations has been attributed to our highly competent delivery teams. We are more than just software people.

During the implementation, we will provide you with an implementation manager, reporting specialists, Account Manager, and more. Our delivery team members are all responsible for the success of your implementation.

We will work with you to build out process maps, define data requirements, educate your staff on industry best practices and work with you to ensure the application is configured perfectly to your requirements.

Summary

To meet State of West Virginia's requirement for an enterprise-grade HR case management system, ongoing support and maintenance, knowledge transfer and training, cloud hosting and implementation services, we have recommended the following:

- Implementation of the Case IQ case management system, including:
 - Project Management.
 - Legacy data migration into the Case IQ application.
 - Integration with PeopleSoft
- Cloud-based hosting provided on the Microsoft Azure Enterprise Cloud.
- Ongoing product support and maintenance for the application and embedded reporting tool.
- Training and knowledge transfer for State of West Virginia's staff.

We believe that we are the right partners for State of West Virginia and want every opportunity to earn your business. If we have left any question unanswered or if there is any more information we can provide, please let us know. We are happy to offer additional insight and expertise throughout this key decision-making process to help you make an informed decision.



COMPANY OVERVIEW

Case IQ is the leader in case management software for investigations. It has gained an international reputation for best-in-class, secure, intuitive, and reliable software and is used by companies worldwide to manage complaints and investigations and prevent issues and incidents.

Case IQ's integrated, hosted solutions ensure investigations are consistent, comprehensive, and productive. Powerful reporting helps companies reduce risk by identifying trends and opportunities for improvement.

Companies large and small appreciate Case IQ's integrated and configurable solution that is easy to use and mobile-optimized. Case IQ's flexible investigative case management solutions keep investigators in the field and managers in the know.

Case IQ Quick Facts

History	Established as Customer Expressions in Ottawa (1999)
Years in Business	24
Location	2255 Carling Ave, Suite 500, Ottawa, Ontario K2B 7Z5
Employees	+180
Certification	SOC II Compliant, HIPAA Compliant, GDPR Compliant
Types of Service	Software for Human Resources, Employee Relations, Health and Safety, Ethics, Compliance, Privacy, Customer Complaints, Complaint Tracking and Handling, Investigations.
Relevant Work	+500 partner organizations as of May 2022
Infrastructure	Microsoft Azure Cloud
Data Centers	Located in Canada, US, European Union and Asia
Website	www.caseiq.com

Organization

Case IQ provides a full suite of services. As a product company, all management, analysis, development, support and training are provided by full time employees of Case IQ who can leverage more than 20 years of experience designing and delivering case management solutions.

Case IQ's in-house delivery team provides a focused set of services, including process optimization, ROI analysis and design. The development team completes customization and integration requests quickly and our training team provides on-site or web-based training for trainers, System Administrators and end-users.

Client Base

More than 500 organizations, government departments and regulators, ranging in size from 20 to 2.2 million employees use Case IQ in 29 languages to manage incidents, investigations and other business processes. Case IQ works with

Case IQ

some of the largest public and private sector organizations in the US, Canada, Europe and beyond. With over 100 State level investigative case management clients some of our clients include West Virginia Insurance Commission, West Virginia Department of Health, Michigan Office of Childrens Ombudsman, Kansas Division of the Childrens Advocate, KanCare Ombudsman Office, Yukon Child and Youth Advocate Office, Alaska Ombuds, Wisconsin Department of Health Services, Michigan Department of Health, Nevada Labor Commissioner and more.

Expertise

Since the company's inception in 1999, Case IQ has developed deep expertise in the development of web-based tracking and case management software solutions for governments, regulators and organizations focused on risk management, quality assurance and customer service. Case IQ has gained an international reputation for best-in-class software that provides actionable information enabling organizations to improve their business and build a reputation for service.

Solution

Case IQ is a family of integrated, hosted software solutions for business processes that require case management. The Case IQ platform uses a flexible workflow model to record, manage and report the live status of investigations, issues and complaints.

Case IQ is a readily adaptable, commercial off-the-shelf (COTS) case management application that, because of its modular nature, can be easily configured in-application to suit each customer's processes. This approach eliminates the lengthy and error-prone implementation associated with new system development yet grants customers granular control over all aspects of the application.

Flexible and Dynamic Case Management

No two organizations are exactly alike. Case IQ provides a software solution you can configure to capture, identify, track, manage, resolve and report your cases. All fields, field types, intake forms, workflow rules, access levels, reports and other functions can be set, added, updated and managed via Case IQ's intuitive user interface, so you can optimize your case management solution for your business needs.

Project Management

Case IQ is known for executing projects on time and on budget. Clear procedures govern the execution of each project with typical project milestones that are closely managed.

Case IQ uses an agile methodology for project planning and execution. This allows customers to adjust requirements, if necessary, while minimizing the amount of rework for the Case IQ configuration team. Meetings are organized by the Implementation Manager and, in many cases, can be conducted via web and telephone conference to minimize time and cost, particularly where diverse teams in multiple locations are required. The project manager records meeting notes and documentation changes and updates are distributed via email.

Committed to quality, service and innovation, Case IQ has demonstrated a keen awareness of business processes that require case management and an understanding of the bottom-line value of improved customer service and quality assurance. Since 1999, Case IQ has provided tangible business value to clients with best-in-class technology.

Resource Center

Case IQ's dedication to investigative best practices is demonstrated through our resource center. With more than 100,000 monthly visitors, Case IQ's resource center helps to educate and improve the investigative processes of any sized department or organization. Thousands of professionals rely on Case IQ each year to obtain their continuing education credits that are required to maintain their professional designations, such as CFE, PHR, SPHR, GPHR, SHRM-CP and SHRM-SCP.

Corporate Social Responsibility

All of Case IQ's approximately 180 employees actively participate in giving back to the community. Case IQ provides paid volunteer days for all staff to participate in the volunteer activities that are important to them.

Case IQ maintains an active volunteer committee with a focus on corporate social responsibility. A sample of some of the organizations and programs Case IQ supports include:

- The Ottawa Food Bank.
- Connected Canadians.
- The Salvation Army.

Case IQ

- Habitat for Humanity.
- The Canadian Cancer Society



CASE IQ PRODUCT

Case IQ Overview

Case IQ is a powerful case management platform that helps companies manage the investigative process from initial intake to final report, prevent incidents and reduce risk. It is used by hundreds of organizations around the world to increase accountability, analyze data and decrease time, cost and risk for their complaint, incident and investigation management departments.

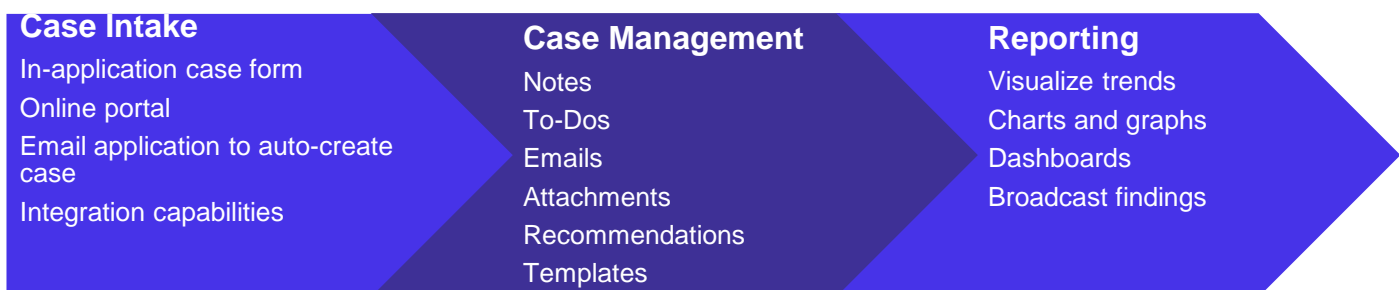
Case IQ's user-friendly, web-based software enforces a logical workflow with notifications and alerts to keep your cases on track. Collaborate securely with others on your team, confident that every action is being recorded in the case file, providing the documentation you need to support your investigations.

Case IQ accomplishes this by:

- Streamlining and integrating multiple business processes into one solution.
- Increasing transparency and visibility of cases through the entire lifecycle.
- Automating processes, reducing the administrative burden placed on users.
- Providing a detailed audit trail of case activity to ensure the data is maintained.
- Facilitating secure collaboration among stakeholders with configurable access roles, case flagging and flexible teams.
- Increasing awareness of similar incidents through suggested links and manual case linking.
- Simplifying reporting with a fully integrated, award-winning analytical tool.
- Meeting global privacy requirements and compliance standards.

With more than 20 years of case management expertise, Case IQ ensures that organizations can track, report and manage their process in an easy-to-use and flexible solution. Each department can configure a solution that meets their requirements versus being forced to change their process to fit the solution.

Case IQ's main elements include:



Intake

Case IQ makes the intake process easier by ensuring case entry is simple, automated and consistent. Case information is captured through Case IQ's intake form, hotline, portal, integrated solutions or any other reporting mechanism. After it is

Case IQ

recorded, the case is funneled into a queue for assessment, assignment and processing. With all initial referral information collected on intake, the case file contains all the preliminary information to start an investigation.

Management

Once a case is created, Case IQ assists throughout the investigation lifecycle. All information is stored in one centralized location with a multitude of tools to help conduct more effective investigations and workflow rules to guide you through a structured process. With all the case information in one place, those with authorized access can collaborate and view investigation progress and come to a conclusion on the case.

Report

Best-in-breed reporting software recognized by Gartner, Forrester, and the BARC Group, enables organizations to make data-driven decisions. Case IQ provides comprehensive analytics, easy-to-use dashboards and automated reports to help organizations save time, identify trends and prevent incidents from reoccurring.

Case Intake

Multiple source intake is used to capture and pool incoming requests and cases into one centralized solution. Clients can design the capture form that will be used to submit new cases. The form can be completed by Case IQ users in the application or anonymously via an external online portal. Collection, storage and transfer of information complies with global privacy laws.

The external portal is highly configurable, as Administrators can set:

- The available reporting options (online, phone or email).
- The hotline numbers and email address for phone and email reporting.
- A custom privacy statement.
- The Terms and Conditions to use the portal's services.

Clients can enable the “two-way” functionality of the portal as well, which allows a case's reporter and investigator to safely and anonymously communicate after case submission. The reporter can return to the portal to see updates on their case and the investigator can follow up with the reporter for more details.

The capture form records relevant information, such as a description of the issue, desired action or outcome, involved department and any other important data. All category selections are made using dropdown menus, multi-select boxes, radial buttons, check boxes and rich text boxes to ensure quick submission of new cases and consistent input data. Users can attach electronic files to cases on the capture form to provide more information for investigators.

Additional intake channels include:

- Email.
- Batch upload.
- Integration with external applications.

The screenshot shows the 'New Case' form in the Case IQ application. The form is titled 'New Case' and includes a search bar at the top. The left sidebar contains navigation options: Home, Cases, Profiles, To-Dos, Calendar, Notes, Forms, Files, Emails, Parties, Reports, Settings, and Library. The main form area contains the following fields:

- Case type: Investigation
- *Issue Type: Harassment
- *When did the incident occur?: 21 Apr 2023
- *Where did the incident occur?: 43.0650° N, 79.399° W
- Location: Warehouse
- Department: Logistics
- *What happened?: An incident occurred at the head office between two employees.
- Parent case: Search cases...
- Case Assignment: Assign to: Search users... (Assign to me)

The screenshot shows the 'Details' page for case INV-2023-06-0009 in the Case IQ application. The page is titled 'Case / INV-2023-06-0009' and includes a search bar at the top. The left sidebar contains navigation options: Home, Cases, Profiles, To-Dos, Calendar, Notes, Forms, Files, Emails, Parties, Reports, Settings, and Library. The main content area shows the case details:

- Case ID: INV-2023-06-0009
- Case Owner: Kate Smith
- Created Date: 2022-08-08 6:46PM
- Case Type: Employee Misconduct
- Case Type: Employee Misconduct
- Case Sub Type: Investigation
- Date Reported: 26 Apr 2023
- Reporting Channel: In Person
- Details: An incident occurred with two employees at the main warehouse. Tom was injured due to the misconduct.

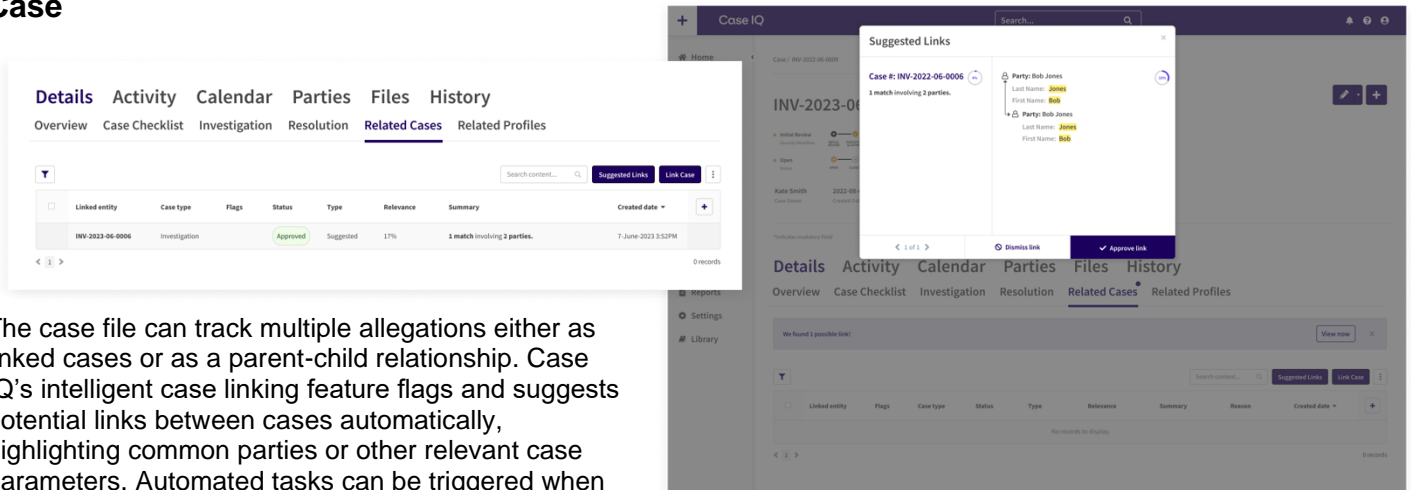
Case File

The case file is the core of Case IQ, which contains all information related to the incident, including attachments. For many organizations, case information is stored in files on shared drives, notes on paper and e-mails. Case IQ's case file ensures everything associated with the case is found in one centralized location, reducing the risk of missing information and mismanaging the investigation. Access to all case files is limited by the "role" assigned to each user (departmental access, location-based access, etc.), which restricts what each user can see and do in the system.

Each case file can have multiple statuses and sub-statuses with Case IQ's workflows feature. A typical workflow logs a case for review and then allows it to be closed or escalated to a full investigation. As a comprehensive documentation and task management system, the Case IQ case file can be configured by System Administrators to track and manage a variety of cases from start to finish, including:

- Automatic responses based on nature of the case.
- Evidence and interviews.
- Organization risks.
- Attorney-client privilege.
- Notifications of similar or related investigations.
- Corrective actions taken to resolve a case.
- Policies violated and root cause analysis.
- Process improvements resulting from the management of cases.
- Resolution costs and recoveries for trending and analysis.

Case



The case file can track multiple allegations either as linked cases or as a parent-child relationship. Case IQ's intelligent case linking feature flags and suggests potential links between cases automatically, highlighting common parties or other relevant case parameters. Automated tasks can be triggered when cases are linked, so Administrators can set up a standard process for connected incidents. Manual case linking allows investigators to search for similarities, then link cases that have common elements. Automated tasks can be triggered when cases are linked, so Administrators can set up a standard process for connected incidents.

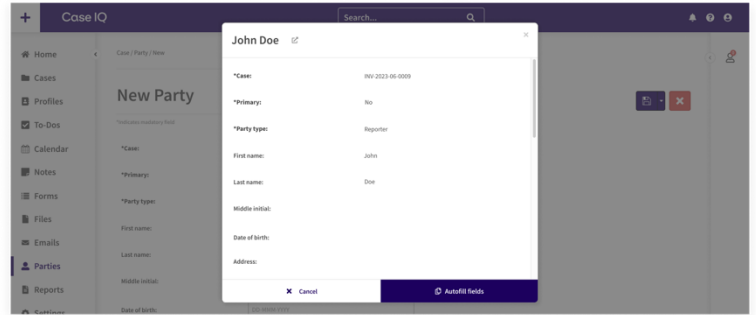
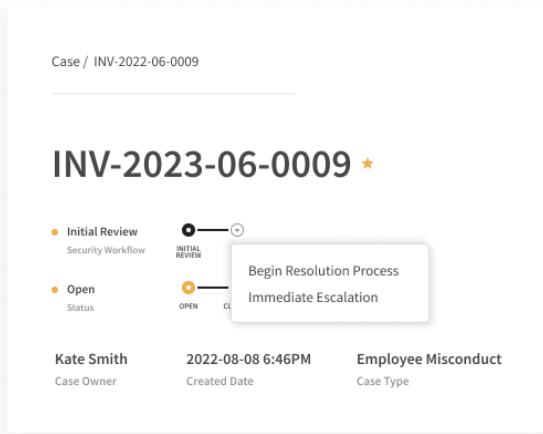
While linked cases are separate files with their own metadata, including statuses, workflows and outcomes, investigators will have easy access and high visibility to linked case details and both case files. Multiple allegations, violations or issues can also be tracked within a single case and dispositioned independently.

Case IQ

Similar Parties

Case IQ's similar parties feature notifies and assists users when creating a party. By finding matching values when adding parties, the system can automatically suggest relevant parties to the user. By using more than just first and last name, clients can use existing party data and quickly identify scenarios where the name has been misspelled or changed.

Flexible Workflows



Case IQ's workflows ensure effective and efficient management of cases. The workflows feature allows System Administrators to build an automated case management process to guide users through the steps to close a case. For example, Administrators can create an investigation workflow or a process for a specific team in your business. Workflows control the status of the case and Administrators can set any step in the workflow to represent an "open" or "closed" status for the case file. They can be further tailored for your case management process by setting what types of cases should follow a specific workflow. Workflows will be applied to cases based on criteria you set, such as the case's type, country or department.

Automated tasks that can be executed as part of workflows include emails, in-app and browser notifications, task assignments, escalations and status or sub-status changes. Notifications appear in the application or through browser

notifications when Case IQ is minimized. System Administrators can maintain the rules and automation of workflows without the need for Case IQ or IT assistance.

Administrators have complete control over workflow automation and can configure rules to automatically assign case responsibility, update case information and generate and assign to-dos or tasks based on workflow steps. For example, you can:

- Set up parameters so the system can immediately identify high risk cases, set the case priority and assign an investigator.
- Assign a responsible user based on the country, department or business unit entered for the case.
- Create rules so the system can recognize and flag cases as confidential.
- Design an alert for individuals assigned responsibility to a case to provide them all relevant information and a direct link to the case file.
- Establish a notification system to continuously remind those assigned to a case of upcoming deadlines and to follow up on specific tasks.
- Ensure mandatory case information fields are completed before a case can be progressed to a specific step.
- Generate a list of tasks that must be completed as part of a step in the investigation process and assign responsibility for each task.

Action and Task Management

When conducting investigations, it is important to set milestones and reminders for users. Many organizations have seen an increase in investigations over the past few years. It is now more critical than ever to stay on top of cases and ensure they are resolved quickly. Industry studies have shown that the longer an investigation is open, the more risk it represents to your organization.

STATUS	RESPONSIBLE	DUE DATE	CREATED DATE
All	All	All	All

#	Details	To-do type	Status	Create date
5	Review case notes with Sarah Holmes.	Review	Pending	14-April 2023 2:20 PM
4	Create Interview List.	Case update	Pending	14-April 2023 10:57 AM
3	Begin interviews, starting with the first available interviewees.	Task	Pending	13-April 2023 10:37 AM
2	Update Case file with interviewee answers.	Case update	Closed	12-April 2023 12:25 PM
1	Create a meeting with Sarah Holmes.	Task	Closed	09-April 2023 10:17 AM

In each case file, you can create action items to track and monitor tasks related to the case. These actions can simply be

Case IQ

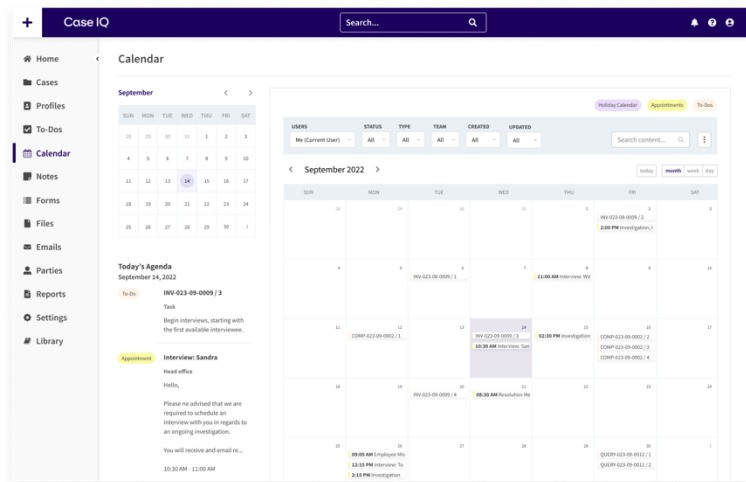
notes-to-self with reminder dates or can be assigned to other individuals for action. Tasks can be assigned both internally (to those with system access) and externally (via email) to other people, who may be involved in case resolution. You can designate responsibility to complete each action and set up automatic email reminders of upcoming due dates.

Task automation can also be generated when a case is created. Many of Case IQ's global customers use this feature to streamline investigative processes through the creation of investigation steps. Administrators can configure task automation by geographic location or business unit to accommodate variations in business factors and global compliance.

Intuitive Data Filtering

Case IQ lists the details of all cases and attachments in dynamic data tables, where you can choose what data you want to see and how to filter it. Quickly find cases or report on all case information by:

- Selecting your own data filters. Intuitive filter options are available by data type, so you can narrow down results by date and time ranges, dropdown menu options, specific text, and more.
- Reordering, sorting, adding and removing data columns to control the information shown in tables.
- Setting the default filters and columns available for the application, so everyone can easily access the same data.
- Exporting the table, including your filter and column settings, for a clean report on your organization's cases.



Calendar

Case IQ's secure calendar feature allows users to view and schedule to-dos and appointments across all cases and view case-related events. Investigators and supervisors can schedule case-related appointments with teams, other users and non-users of Case IQ and see team activities.

Email

Correspondence Management

Many investigators work with a combination of email, Word documents, network storage folders and spreadsheets. This makes it difficult to summarize case proceedings, track emails and maintain a complete record of activities.

Case IQ eliminates the need to keep case information in separate places. In each case file, you can send emails that will be linked to the case, attach files, manage deadlines and generate letters with case file information using templates.

Email Tracking

Case IQ makes email tracking a breeze. Investigators can create and send emails from the case file. Each email is automatically sorted in chronological order for easy email management.

Case IQ

In-Application Email Inbox

Case IQ can also receive emails from external sources. For example, if an investigator sends an email to a witness requesting information and the witness simply replies to the email, Case IQ:

- Copies the reply email into the correct case file.
- Sends a copy of the email to the investigator's normal "Inbox" outside Case IQ.

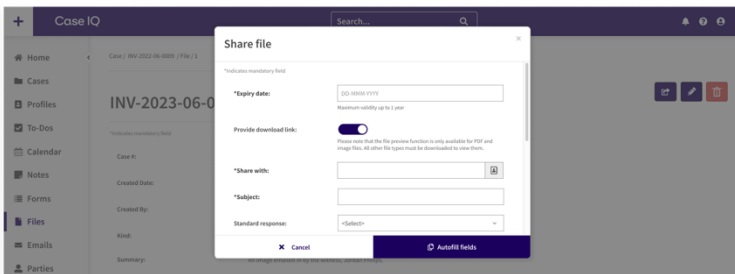
With the in-application email inbox, investigators maintain a clear audit trail of all emails related to a case without sifting through their email.

Exhibit and Evidence Management

Evidence is a critical piece of every investigation. The storage, handling and preservation of physical evidence must be well documented to prove that it has not been tampered with or accessed by anyone who is not authorized.

Case IQ makes file management easy. Investigators can record new exhibits and evidence and attach any kind of electronic file, including audio and video files, PDFs, MS Word documents, etc., to a case file. Storing evidence and exhibits in the case file ensures all case documents are organized and accessible. Investigators can also describe the contents of the exhibit or electronic evidence for easy reference in the case file.

Secure File Sharing

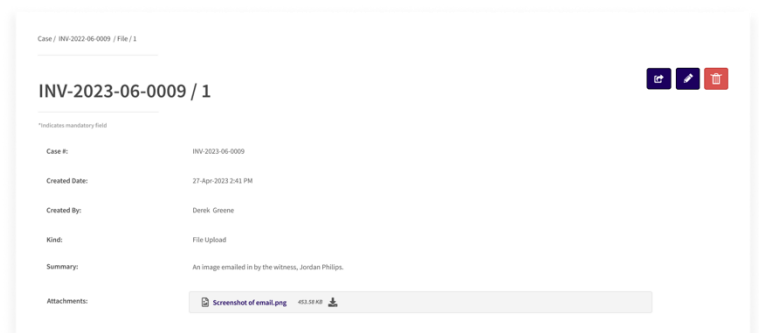
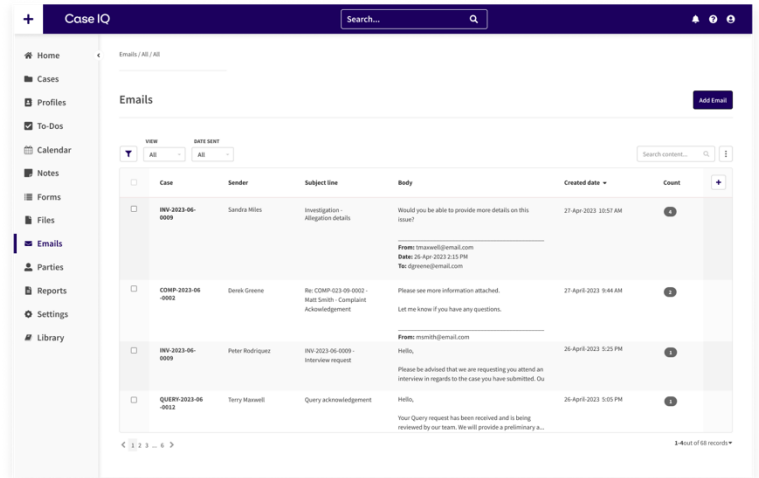


receipts and will send notifications to those assigned to the case when a recipient downloads or previews the shared file. The read receipt will be saved in the file's External Access Log, containing the file ID, recipient email address and the timestamp.

Template Generation and One-Click Investigation Reports

Many investigators spend hours creating letters and reports for each investigation. Case IQ provides an easy way to create templates and automate letter generation.

With Case IQ's one-click investigation report tool, you can create an organized, detailed and accurate investigation report in seconds, without having to collect information or cut-and-paste text from one document to another. The information is pulled from the case file into a professional, formatted investigation report template. Templates are completely configurable by Administrators, so you can add, revise or delete templates in Case IQ at any time. Create templates for any document used in your business processes that includes data stored in Case IQ.



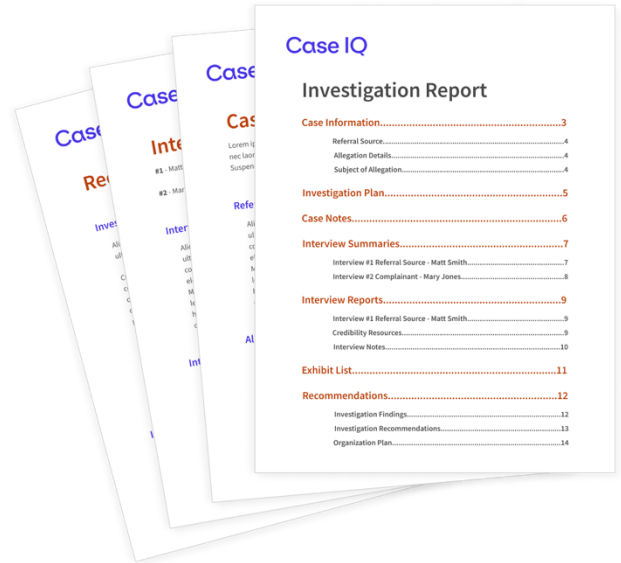
Case IQ's Share File feature allows users to securely send case-relevant files via email. The case investigator can use this feature to allow individuals who are not Case IQ users to access sensitive case documents, while retaining complete control over who can access the file and how they can access it.

When sharing a file, you can choose with whom to share it, the file link's expiry date, whether the recipient can download the file and a description or message for the recipient. Case IQ will record read

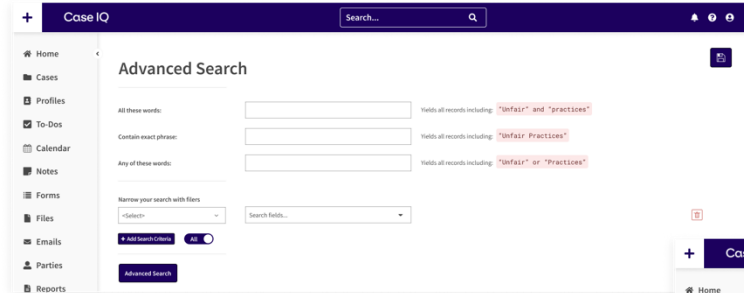
Case IQ

Example of template letters and reports include:

- Advisory Letters.
- Administrative Letters.
- Investigation Disposition Reports.
- Hearing Summaries.
- Investigation Reports.
- Investigation Request Forms.
- Evidence Lists.
- Interview Forms.
- Claim Reports.
- OSHA Reports.
- Performance Improvement Plans (PIPs).
- Written Warning Letters.
- Letters of Termination.



Advanced Search Engine



A search bar is always visible in Case IQ, where you can access the quick, recent and advanced search options. Case IQ's sophisticated search engine can find data anywhere in the case files and text file attachments, not just predefined fields.

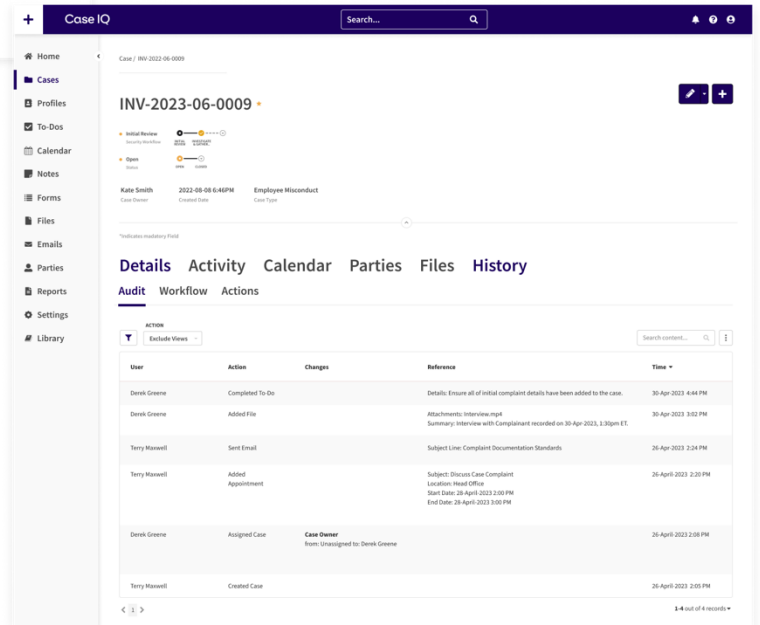
The search bar previews search results as the user types, so they can quickly find case data based on criteria, such as case number, subject name and case type. The advanced search option allows you to create complex search queries and filters on-the-fly, which can be saved to run a search based on the same criteria later.

Case File Printing

Easy printing options allow users to select what information they would like to include in a generated print view.

Audit Trail

To maintain the integrity of the system and data, Case IQ offers detailed audit trail tracking at the case-, user-, team- and system-level. The audit trail shows field changes, including the before-and-after status, date, time and user for the action, in addition to case and record views.



Case IQ

Cross Browser/Mobile & Tablet Compatibility

Organizations need their case information to be available on-the-go and in ever-changing environments. Case IQ is accessible using your favorite modern browsers, including Chrome and Edge.

Case IQ has optimized the smart phone experience through a mobile version of the platform. Users can access the system from their internet-enabled smartphones and tablets. The Case IQ application on a mobile device supports speech-to-text capabilities.

Reporting

With all investigation data stored in a central repository, powerful data reporting and analysis are fast and easy. You can report on every field in the solution to provide actionable insight to all stakeholder groups. Case IQ's powerful summary reports improve oversight and reduce risk through in-depth analysis of investigation data. By comparing issues, incidents or results by location or type, you can spot troubled areas and target your training to address risks.

Supervisors can also oversee team productivity to ensure investigations stay on track and take steps to avert problems before they escalate. Trend and exception reports give you the information you need to determine where and when corrective action is required and provide real time information on overdue cases, missed deadlines and tasks not completed.

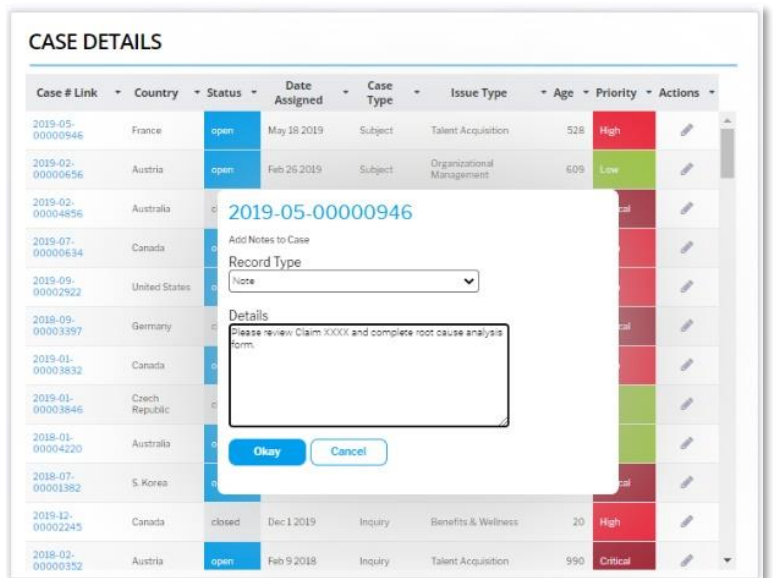
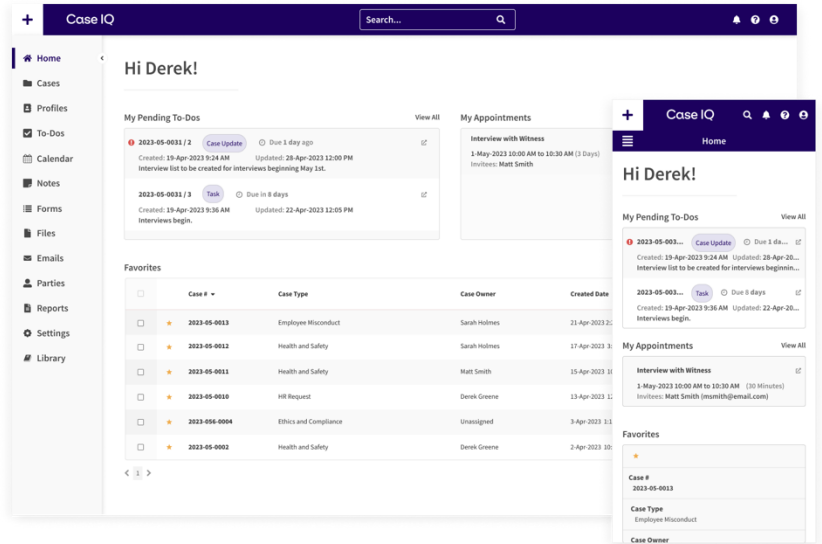
Configurable Reports

The Case IQ application is integrated with Yellowfin to provide reporting functionality on your Case IQ data. Yellowfin is a business intelligence tool, where you can create simple or sophisticated analytical reports to analyze key metrics in real time and broadcast reports on a scheduled or an event-driven basis.

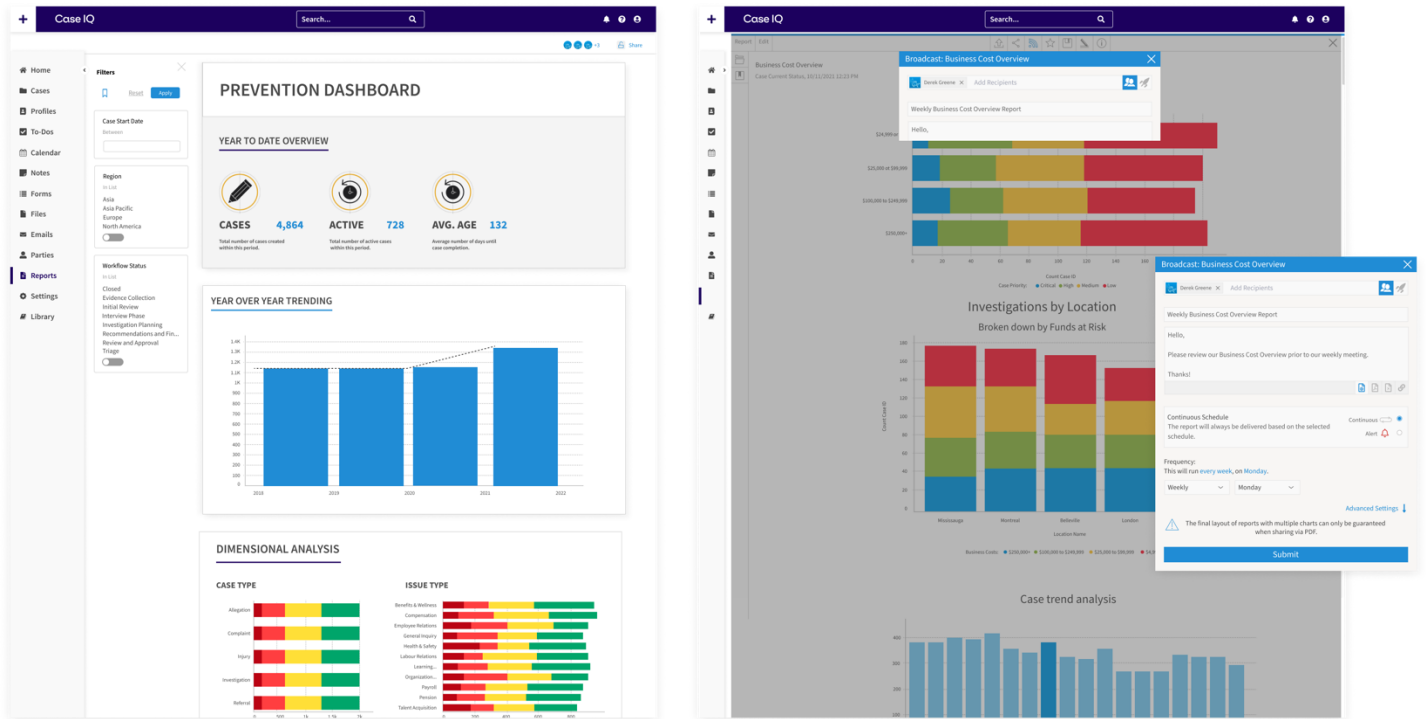
Use reports to share and visualize the case information tracked and managed in Case IQ with your organization. The Case IQ database syncs with the Yellowfin application, so you can use up-to-date data to create reports in Yellowfin. You can run Yellowfin reports on demand, share them with your team, add them to dashboards for quick access, broadcast them to external stakeholders and more. Reports are interactive, so users can click through to get deeper into the data sources and pull out more detail behind the results.

For example, you can create actionable and insightful reports to:

- Identify the most common allegations or investigation types.
- Analyze cases by geographic location or other relevant variables.
- Spot patterns and emerging trends.
- Report on the outcomes of your investigations.
- See each team member's caseload.
- Get information on overdue cases and actions through exception reports.
- Check and compare performance statistics for investigators or locations.
- Watch for slow-moving and overdue cases.



Personalized and Organization-Wide Dashboards



Your personalized dashboard will be displayed when you navigate to Case IQ Reports. A Yellowfin dashboard is a report or collection of reports on one page, providing a quick way to see and digest complex information. Each user can add reports to their dashboard and view real time information easily with drag-and-drop functionality. You can choose to display your data visually with maps, charts and other graphics to show multiple results together. Adding reports to dashboards enhances visibility to case status and provides the metrics to track KPIs, assign goals, collaborate and share knowledge.

Automate your Analysis

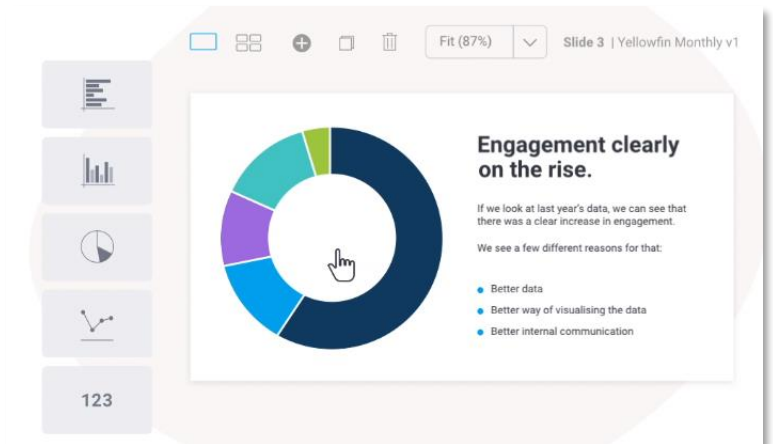
Yellowfin's advanced machine learning capabilities assist users in discovering and interpreting data. The Insights feature automatically performs data analysis to generate findings with your data, such as smart data visualizations with natural language explanations. A deeper explanation of the data will be presented and you can compare multiple data points to understand differences. This allows you to analyze more data, find more insights and understand root causes.

Share and Export Data Securely

Reports, dashboards and data can be exported to CSV, DOC, PDF, RTF, text or XLS files with a click of a button. Reports can be printed or emailed automatically at defined intervals to the appropriate stakeholders.

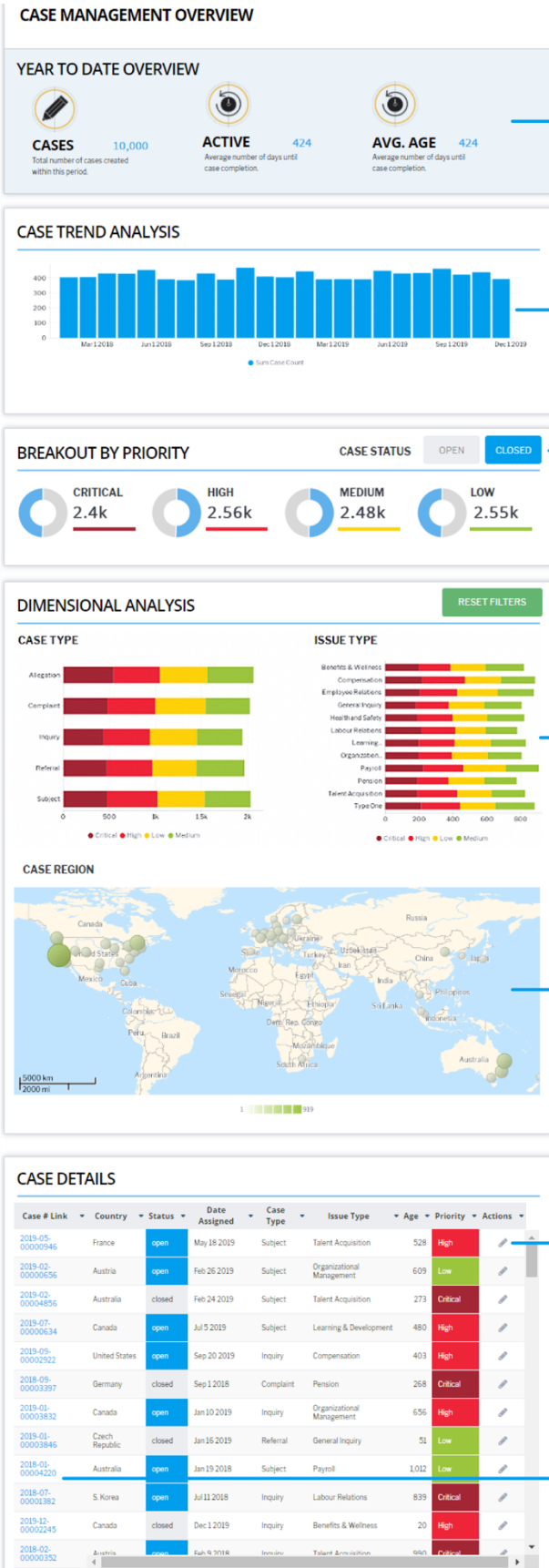
Create Presentations with Real Time Data

Using the Yellowfin Stories feature, any business user (not just data analysts) can easily create accurate, data-led presentations using a familiar set of graphics and editing tools without external presentation applications. Yellowfin Stories allows you to incorporate visual analysis, shapes, text,



Case IQ

images and video to bring your data to life.



Easily create insightful infographics

Interactive dashboards enable drill-anywhere analysis

Set filters to easily toggle report views

Apply multi-dimensional analysis on risks

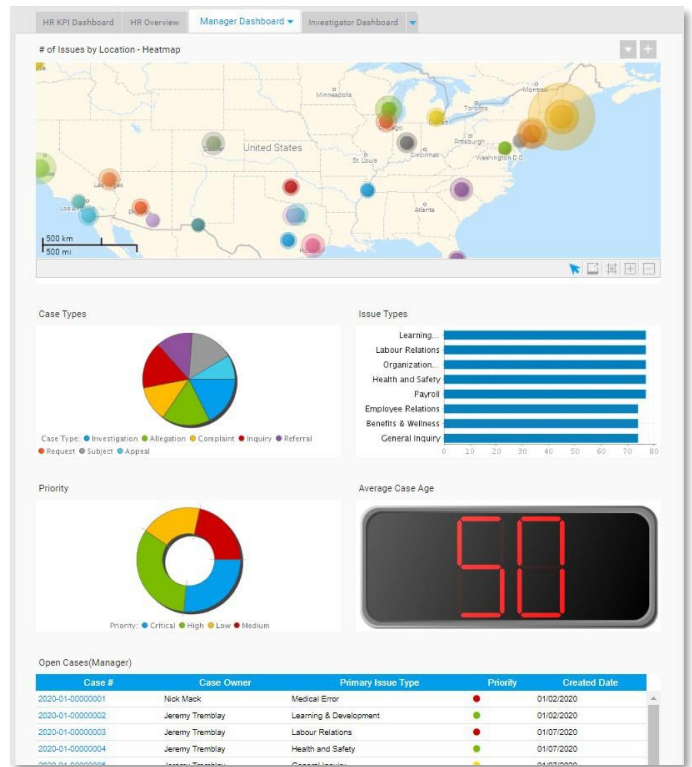
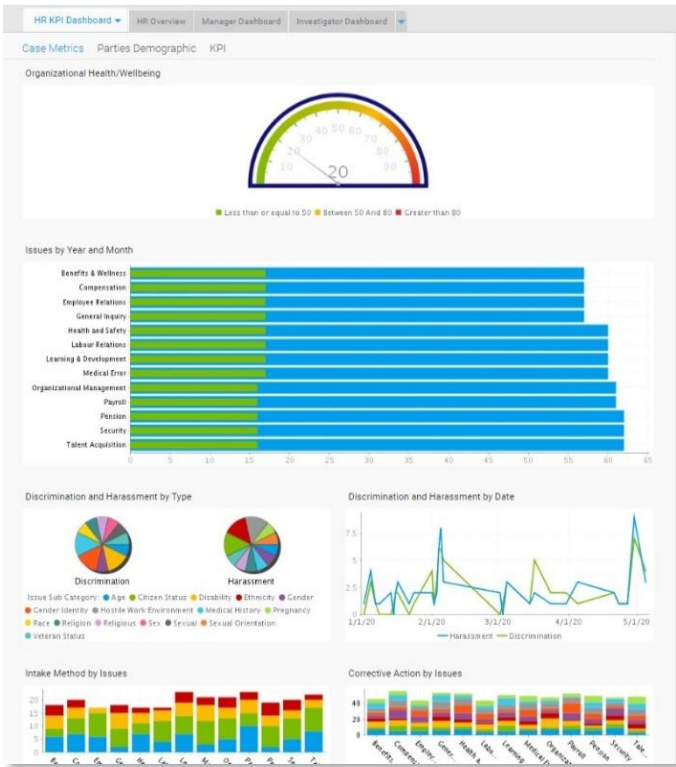
Geo-spatial analysis with interactive maps

Action your data from your dashboard

Directly open cases in new browser tabs for review

Case IQ

Sample HR Dashboards [REMOVE IF NOT AN HR SYSTEM]

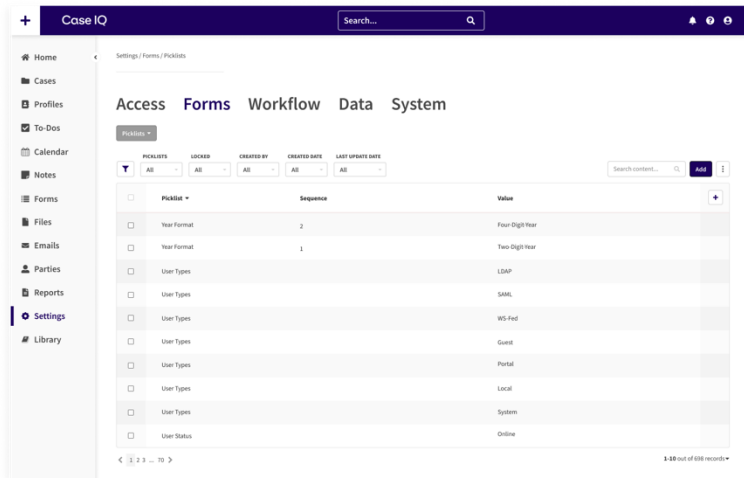
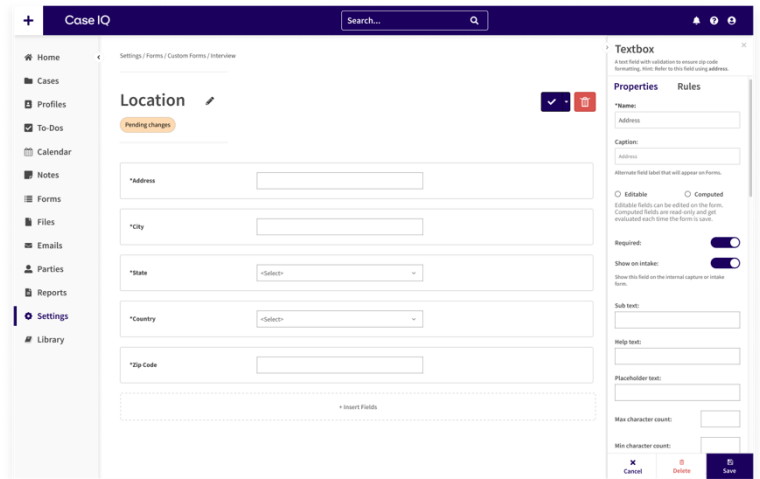


Administrator Configuration Management

Case IQ is a flexible solution, designed for business users. System Administrators have complete control over their application using the intuitive settings interface to manage their own configuration, rather than waiting for Case IQ to update the application code. Case IQ offers extensive configuration options, which empowers Administrators to tailor their application's functionality to reflect their organization's investigation processes, such as the data collected in intake forms and conditions to organize cases. The application's comprehensive access control options mean that you have complete control over who can view, edit and create cases, which can be managed broadly or on an individual user- or case-basis.

Configurable Intake Forms

Administrators can configure case intake forms and create new file forms in their application – no coding required! This ensures Case IQ collects all data needed for your organization's investigation process, without waiting for custom forms to be programmed on your behalf. Using Case IQ's intuitive Form Builder interface, you can customize the data fields, sections and tabs of case files. The Form Builder can develop complex, responsive forms, for example, displaying specific questions or sections based on the user's answer to a previous question. After publishing your custom case file form, users can immediately access the new form to create case files.



Configure and Add New Dropdown Menus

You can add and delete options to many application dropdown menus any time in Case IQ, so your users can select meaningful responses per your case capture process. When configuring case intake forms or creating new forms, Administrators can also create new dropdown menus for their form.

Fiscal Year Tracking

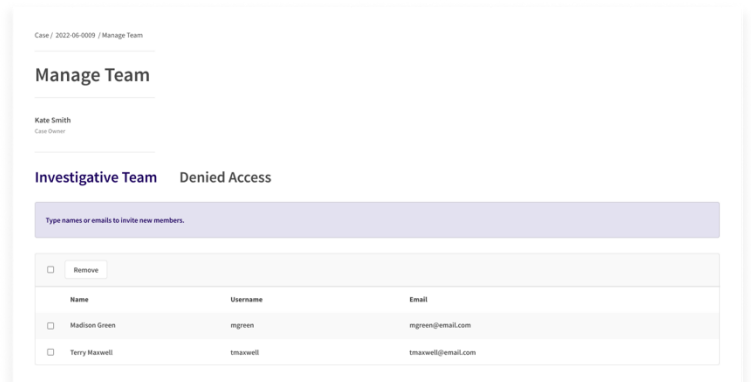
Case IQ automatically tracks date information both on the calendar and fiscal year, so you can monitor the fiscal year, month, quarter and week cases are created and closed. System Administrators can define when the fiscal year begins for their organization in their application so case milestone

information will always be relevant for your business metrics.

Investigative Teams

Case IQ's Investigative Teams feature allows Administrators to organize users into groups for assignments or filtering. Instead of assigning responsibility to a specific user, a group of users can be set as the case's investigative team.

Creating teams is a powerful tool for team management as well. Managers can view their team's activities in calendars or sort cases assigned to a specific team. You can also tailor access permissions based on case assignment, such as restricting access to those on the case's investigative team.



Case IQ

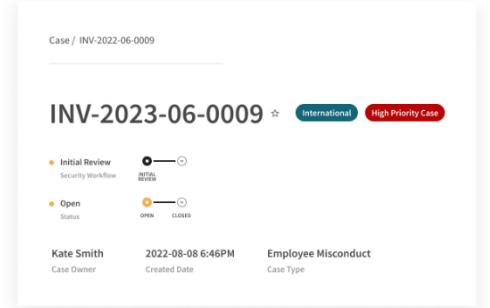
Case File Flags

You can create and manage custom flags in your application to identify and classify cases. Setting flags to a case file can be used to organize case files, without updating any of the case information in the file itself. Per your organization's structure, you can allow any user to set flags to a case or restrict this option to specific users, such as the System Administrator.

Set Rules for Case IQ Emails

Administrators have complete control over who can receive emails from Case IQ and what Case IQ will do with emails sent to the system. You can set up the following types of automation using Case IQ's powerful email rules functionality:

- Submit cases into the Case IQ system by email, rather than using the in-application case intake form.
- Send emails directly to a case file.
- Limit who will receive emails from Case IQ, for example, the organization's department manager or administrator.



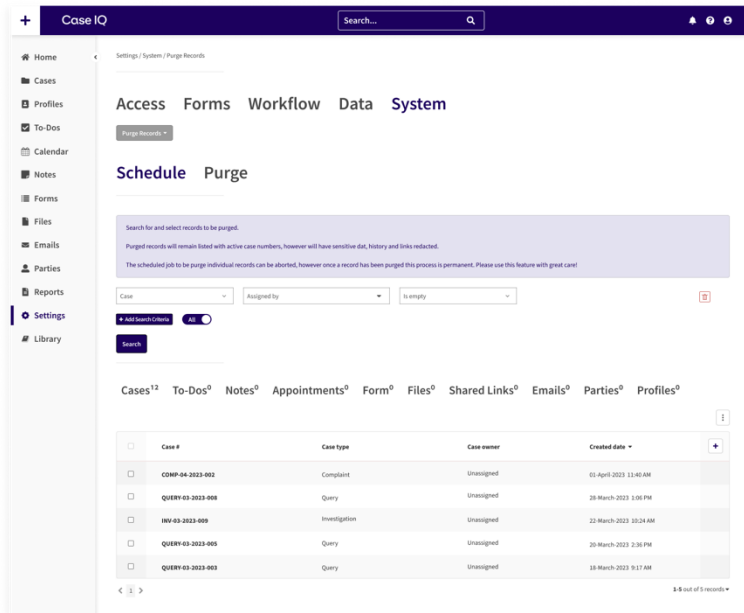
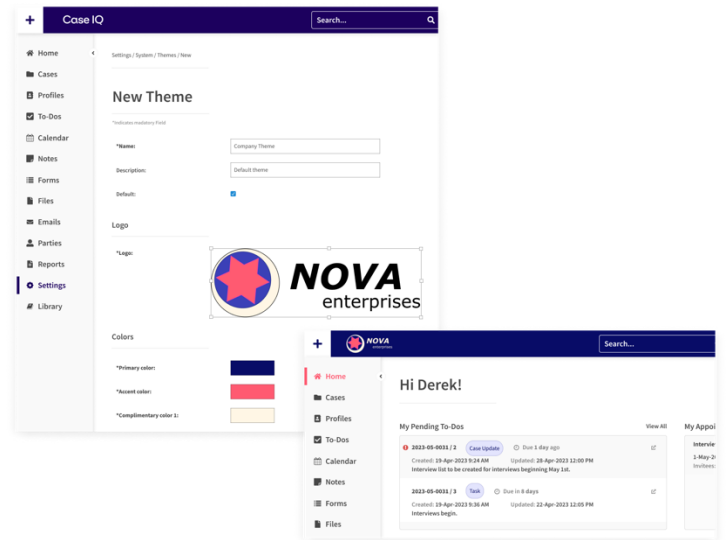
Create your Application's Color Scheme

Rebrand your Case IQ application by uploading your organization's logo and setting different colors for navigation options, tables, highlights and more. The Themes functionality allows you to create multiple themes and users can choose their preferred theme on their user profile.

System Notification Messages

Case IQ has a range of options to keep your team informed, which you can configure any time. For example, you can manage:

- The types of notifications sent to users.
- The message users receive for the notification.
- Whether users can choose to opt out of the notification.



Archiving and Retention Rules

Set how data will be archived and stored in your application per your business needs. To comply with GDPR and other data privacy regulations, Case IQ includes the capability to purge records from the database and schedule purges. The Purge feature allows organizations to anonymize information and lock records to prevent purging in the event the organization wishes to preserve certain records.

Security and Access Controls

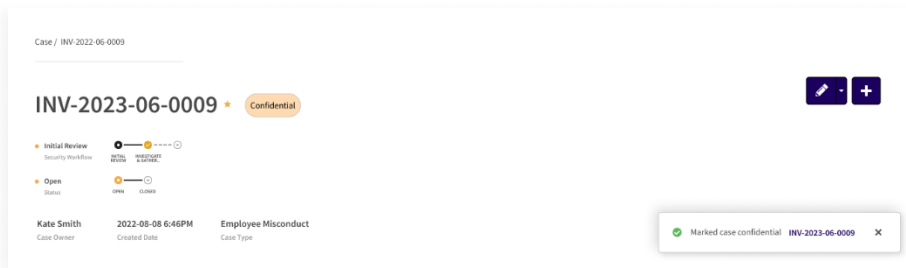
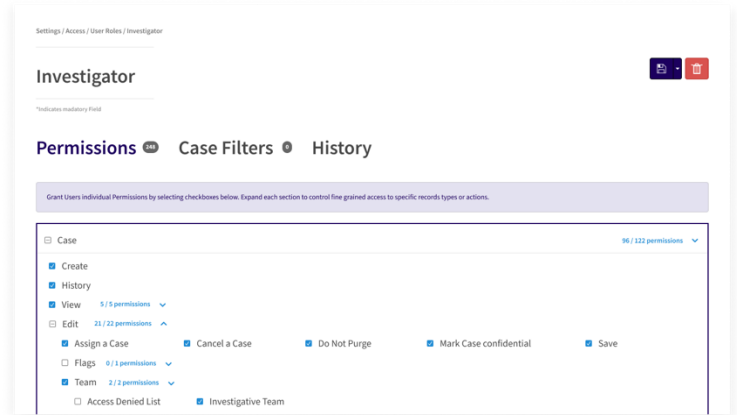
Case IQ is built to support sensitive and complex investigations. Flexible access roles and conditions are required by many departments or in multi-departmental deployments to ensure that the right people can see the right information. Access to cases is governed by flexible and configurable permission roles. Particularly sensitive cases can be flagged with conditions and authorized users can add or deny access to cases on an ad-hoc basis.

Case IQ

Many Case IQ clients restrict access to case information based on the:

- Role and responsibility.
- Department conducting an investigation.
- Geographical location of an allegation.
- Exposure.
- Involved parties.

Case IQ allows you to create access roles that complement your organizational structure and internal governance model. More than 230 individual access settings can be easily configured into unlimited roles to be applied to user accounts. Administrators can set filters for a user role to further restrict or allow access to specific types of cases.



Confidential Case Files

Mark a case as “confidential” to restrict access to sensitive information. When a case file is flagged as “confidential”, the case can only be accessed by authorized users who have permissions to confidential cases as part of their user role.

Change Management and

Flexibility

Case IQ is designed with business users in mind. No coding knowledge is required. System Administrators can add new fields and forms, create specialized workflows, create new granular access roles and much more, to enable flexibility within a business process.

User Management

Single Sign On (SSO) and user authentication is available through active directory integration leveraging SAML 2.0.

Archiving and Retention

Archiving and retention rules are configured for a minimum of 1 year retention. In the event regulatory requirements state, records can be retained for up to seven years. For client-installed options, Case IQ works with you to determine what options are available.

To comply with GDPR and other data privacy regulations, Case IQ includes the capability to locate and purge records from the database. The purge feature allows organizations to anonymize information and to lock records to prevent purging in the event the organization wishes to preserve certain records.



GENERAL REQUIREMENTS

2.1 Contract Items and Mandatory Requirements: Vendor shall provide Agency with the Contract Items listed below on an open-end and continuing basis. Contract Items must meet or exceed the mandatory requirements as shown below.

2.1.1 Enterprise level, Cloud-Based, statewide case management system which must be compatible with the West Virginia Office of Technology's current operating system, Windows 11.

Case IQ is a 100% web-based solution that can be access through a web-browser.

2.1.1.1 System must be modular to allow system upgrades and enhancements, must be scalable for increasing the number of licensed users and to support unlimited persons, cases, contacts, activity transactions, and reports.

Case IQ is a scalable platform that is modular and offers ongoing upgrades as part of standard support and maintenance.

2.1.1.2 System must have administrative ability to create enterprise-wide announcements to be displayed on the user home page, which can be targeted to all users, or specific group users, or specific users. System must enable real time collaboration or access sharing with system users.

Case IQ offers real time collaboration and access sharing based on flexible and configurable access roles, case flags and case teams.

The ability to create enterprise-wide announcements is available to Case IQ administrators with the ability to configure announcements coming in a future platform release. Platform releases and upgrades are made available to clients at no additional cost.

2.1.1.3 System must allow for speech to text functionality where applicable, and be accessible from laptops, desktops, and

Case IQ

tablets.

Case IQ is fully web-enabled and accessible through laptops, desktops, tablets and smartphones. Speech to text capability is available on desktops and tablets and where supported on laptops and desktops.

- 2.1.1.4 System must provide the capability for authorized users to drill down to individual data elements in dashboard reports. System must enable user, manager, and administrative dashboard and reporting tools for performance, workload, task and case status monitoring by case, user, team, and/or enterprise.

Case IQ offers advanced reporting dashboards with drill through and drill anywhere capabilities. Dashboards are role specific enabling performance, workflow, task and case status analysis and reporting by any desired metrics such as user, team and enterprise.

- 2.1.1.5 System must provide a quick search capability based on a single and or an advanced multiple field/filters.

Case IQ offers quick and advanced search capabilities that can be filtered by multiple parameters/fields and saved for future use.

- 2.1.1.6 System must allow name fields must include capacity to enter and store nicknames, appellations, and suffixes.

Case IQ enables the ability to store nicknames, appellations and suffixes for each Party/Entity.

- 2.1.1.7 System must maintain a chronological and reportable audit trail of activity by user and/or case, including a history of modifications to all data and event logs by record and/or user.

Case IQ offers detailed audit and history tracking that includes case views and field level changes storing the before and after status by record or by user.

- 2.1.1.8 System must allow administrators to add, delete, change, or control user role-based security permissions by users or user group types.

Case IQ offers flexible and granular access role configuration. Administrators can create any number of new access roles and can modify existing access roles.

Case IQ

- 2.1.1.9 System must provide access to all applications and user documentation, vendor use, and help tool within a single site. System must integrate seamlessly with back-office systems including versions of Microsoft Suite and/or Google Docs. System must allow document attachments to be scanned and associated with one or more person/case records, as well as complaints, notes, and other identifiers. System must allow documents to be thumbnail/first page previewed prior to full access.

Case IQ is a comprehensive case management tool that offers an case record that stores all information including notes and files associated to the complaint or record. Office files can be stored within a case record and the system can generate Word or Excel templates with a click of a button and securely transfer the file to the intended stakeholders.

All documentation, vendor use and help tools are integrated into the solution. This includes a full knowledge base powered by HelpJuice as well as document Library.

Documents provide previews for supported files such as images and PDF files with an expanded list of supported document types.

- 2.1.1.10 System must support users and administrators to schedule and prompt future date tasks, activities, calls, and follow- ups, and do so with role-based permissions, to other users.

Case IQ enables comprehensive task management that includes the ability to auto-generate tasks based on rules or ad hoc create reminder or delegations with due dates and notification reminders.

- 2.1.1.11 System must allow users to return to using a quick search feature to the three (3) most recently accessed records or activities. System must provide capabilities to determine whether a caller, a person, or case record already exists to avoid duplication. System must provide a means to merge identified duplicate records.

Case IQ offers the ability to favorite cases that will display on the home screen and list recent searches performed by the user. When a new party is being added to a case the system will automatically suggest and alert the user of similar parties. When a case is create the system will automatically suggest potential links to the matter and enable formal linking of the two matters. Duplicate matters can be closed and stay linked to the primary matter. Major cases and merging will be made available within the standard platform within an upcoming release.

- 2.1.1.12 System must manage essential information in a global record including demographics, telephone numbers, email addresses, county, region, map, links, contacts, notes, documents, file attachments, and associated persons including but not limited to relatives, children, attorneys, and collaterals. System must allow addresses to be United States Postal Service (USPS) validated. System must also allow entry of foreign addresses and characters. System must

Case IQ

allow for APO (Military) addresses if individuals are deployed or stationed overseas.

Case IQ has the ability to configure all fields to the requirements of the department and enable WV system administrators to add new fields with business rules without needing vendor assistance or costs. Each case record will have a central view and each party added to a case will have a central parent record (Profile) created that summarizes details, case links and related parties. APO addresses are available.

Case IQ offers a coordinate field with location lookup and map pinpointing.

- 2.1.1.13 System must allow retention/display of photographic images, audio and video files in their native format within contact records as needed. System must support documentation storage within a case or record, in all common formats including Portable Document Format (PDF), Microsoft Suite, Google Docs, etc. and must be document level searchable.

Case IQ enables the attachment of any form of electronic documentation stored in their native format. Searchable files are searched and indexed for search results. Document previews are available for images and pdf files.

- 2.1.1.14 System must provide capability for person and case specific alerts to be set by users, such as status indicators and validation messages, to provide feedback to users when accessing a case or record. System must support full case management workflow enabling labels (i.e., receive complaint, preliminary data collection, investigation, in process, awaiting approval to close, etc.) and time tracking by status, workflow from initial contact to case closure.

Case IQ offers flexible workflow rules that includes automated notifications, assignments and task creations. Workflows are fully configured to ensure that all the proper steps are followed and can trigger automated rules to ensure nothing falls between the cracks and everything is resolved within a timely manner.

- 2.1.1.15 System must support automated or manual assignment of a unique case identifier upon creation of a new case. System must provide a way to navigate a case summary view. System must support correspondence production including letter and email templates, then can be connect to workflows, can be auto populated with case record or person specific data, and can be transmitted and timestamped.

Case IQ enables automated case numbering that is configurable. Additional case number or identifiers can be added to the record and can be retrieved using any of the numbers associated to a case.

Case IQ

Each case contrails a Details section that offers an overview of the core case details.

System supports correspondence production including letter and email templates that can be automatically populated based on case information and securely transmitted from within the case record creating an audit trail of views and downloads.

- 2.1.1.16 System must support the ability to generate correspondence to an individual, a group of individuals with similar characteristics, or to a predefined distribution list. System must support templates as form letters, fill-in form letters, customized form letters, or custom letters using integrated Hyper Text Markup Language (HTML) editor without Microsoft Word. System must support capability to create output in hard copy, paper letters, emails, or Google Docs.

Templates and packets can be automatically created by the Case IQ into Word or PDF. These would be auto populated and can leverage HTML for emails. Outputs can be printed, emailed securely and saved within the case record.

- 2.1.1.17 System must support user addition of notes, complaints, inquiries, tasks, calls, and other vital data to person and case records in accordance with role-based security permissions that include view, add, edit, and delete levels of access. System must support role-based case assignment/ownership, task delegation, and case transfer both individually and as a group, to, among, and between users. System must provide for customizable workflows incorporating the steps and statuses already available in the standard workflows and incorporating automatic generation of related tasks.

Yes. Case IQ offers robust case management, granular and configurable access roles and advanced workflow configuration to suite the clients exact processes with automated assignments, notifications and task creations at each step of the process.

- 2.1.1.18 System must allow agency to attach an actual or estimated cost per activity unit to all activities within the workflow to enable estimates of the activity cost of providing complete handling and investigatory services.

Investigative cost tracking can be tracked within specifically configured time and expense or cost forms as well as within the reporting tool for analysis.

- 2.1.1.19 System must include monitoring functionality allowing progress to be monitored and alerts/reminders generated when workflow nears completion or needs approval.

Case IQ

Case IQ enables full workflow monitoring with notifications, reminders and dashboard tracking for users and managers.

- 2.1.1.20 System must provide means for administrators to update the look and content of the public facing portal and the administrator created content on associated weblinks.

Case IQ offers a public facing web portal that can be configured by system administrators.

- 2.1.1.21 System must provide a public facing portal that enables modification of text size and other page appearance qualities to comply with the Americans with Disabilities Act (ADA) standards as well as industry standard login/password requirements. System must provide a customizable web form incorporating a CAPTCHA response test.

The web portal and the entire system is audited and certified against WCAG 2.1 AA standards to meet ADA compliance.

For internal users out of the box Single Sign On is available through SAML 2.0. Passwords can be used and configured to meet and exceed industry standards. CAPTCHA will be configured for external forms.

- 1.1.1.1 System must enable administrative development of data field labels, characteristics, and picklists. System must also enable users to search picklists using drop down menus.

Yes. Case IQ offers advanced system administrator configurability to enable expansion and continued enhancement of the platform. This includes a drag-and-drop UI to add new fields, forms as well as the ability to configure new and maintain existing workflows and access controls. Drop down values can be easily modified and drop-down values can be searched and selected for ease of use by users.

- 1.1.1.2 System must allow automation of business practices of the agency and allow administrators to create workflow within the application. System also allows for users to set a specific list of favorites, such as searches, templates, and contacts. System must also provide comprehensive standard reports and graphics, including management reports for operational, performance and outcomes, incorporating conditions highlighting for important variances to targets.

Case IQ enables system administrators configuration of new and existing workflows through a UI function.

Users can favorite cases and save search results.

Case IQ offers advanced business intelligence and reporting through real-time and interactive dashboards, tables and reports.

Case IQ

- 1.1.1.3** System must provide capacity to create and generate comprehensive case reports, pre-formatted, relevant to the review/investigation type, the reader, and level of detail required. System must provide for historical reports to show trends and comparisons between time periods. System must provide for generation and distribution of standard and ad-hoc reports at regular intervals as set by users with role-defined permissions. System must provide a library of standard reports supporting common aspects of case management and investigatory practice. System must provide ad hoc report generator for enterprise management, with capacity for ad hoc report criteria to be saved for future reports. System reporting engine must allow report writers to create, publish, schedule, and distribute standard and ad hoc reports in varying formats including graphs and charts.

Yes. With all investigation data stored in a central repository, powerful data reporting and analysis are fast and easy. You can report on every field in the solution to provide actionable insight to all stakeholder groups. Case IQ's powerful summary reports improve oversight and reduce risk through in-depth analysis of investigation data. By comparing issues, incidents or results by location or type, you can spot troubled areas and target your training to address risks.

Supervisors can also oversee team productivity to ensure investigations stay on track and take steps to avert problems before they escalate. Trend and exception reports give you the information you need to determine where and when corrective action is required and provide real time information on overdue cases, missed deadlines and tasks not completed.

The Case IQ application is integrated with Yellowfin to provide reporting functionality on your Case IQ data. Yellowfin is a business intelligence tool, where you can create simple or sophisticated analytical reports to analyze key metrics in real time and broadcast reports on a scheduled or an event-driven basis.

Use reports to share and visualize the case information tracked and managed in Case IQ with your organization. The Case IQ database syncs with the Yellowfin application, so you can use up-to-date data to create reports in Yellowfin. You can run Yellowfin reports on demand, share them with your team, add them to dashboards for quick access, broadcast them to external stakeholders and more. Reports are interactive, so users can click through to get deeper into the data sources and pull out more detail behind the results.

For example, you can create actionable and insightful reports to:

- **Identify the most common allegations or investigation types.**
- **Analyze cases by geographic location or other relevant variables.**
- **Spot patterns and emerging trends.**
- **Report on the outcomes of your investigations.**
- **See each team member's caseload.**
- **Get information on overdue cases and actions through exception reports.**
- **Check and compare performance statistics for investigators or locations.**
- **Watch for slow-moving and overdue cases.**

Reports can be created using a drag-and-drop interface or Natural Language Query to make report creation a breeze.

- 1.1.1.4** System upgrades, enhancements, and error corrections must be at no additional cost/charge when such upgrades,

Case IQ

enhancements, and error corrections are generally made available to its other clients of similar systems at no additional cost/charge.

Yes. Case IQ offer ongoing upgrades and enhancements, system support and maintenance during the duration of the contract at no additional cost.

- 1.1.1.5** System must enable a public facing web form and a public use email to integrate and populate, as specified by the administrator, to contact, person, or case records to avoid duplication of data entry.

Yes. Case IQ offers a public facing web portal and email-to-case inbox. Automated suggested case links will alert users of potential duplication.

- 2.1.2** Vendor must actively provide a statewide case management, customer relationship management, or investigations management system to a minimum of three state agencies. Evidence of compliance with requirement shall be provided with bid. Vendor must provide contact information including contact name, phone number and email address of a director (or equivalent) of a program where they have successfully installed and supported an Enterprise level, Cloud-based statewide case management system. Evidence of compliance with requirement shall be provided with bid response.

Yes. Case IQ has extensive experience working with similar agencies and has deployed with multiple Children/Foster State ombudsman departments.

Evidence has been provided through 3 State case management solutions case studies.

Alaska Ombudsman

Michigan Office of the Childrens Ombudsman

West Virginia Insurance Commission

Out of respect and privacy for our clients Case IQ does not disclose personally identifiable information of our clients within public bid responses but attests that we will provide 3 references promptly upon request directly to the agency.

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: MIS2300000003

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:

(Check the box next to each addendum received)

- | | |
|--|--|
| <input checked="" type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6 |
| <input type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7 |
| <input type="checkbox"/> Addendum No. 3 | <input type="checkbox"/> Addendum No. 8 |
| <input type="checkbox"/> Addendum No. 4 | <input type="checkbox"/> Addendum No. 9 |
| <input type="checkbox"/> Addendum No. 5 | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

_____ Case IQ _____
Company

_____ Jakub Ficner _____
Authorized Signature

_____ 6-29-2023 _____
Date

NOTE: This addendum acknowledgment should be submitted with the bid to expedite document processing.
Revised 6/8/2012



Michigan Office of Children's Ombudsman streamlines case management and improves compliance using i-Sight on Microsoft Azure

The State of Michigan Office of Children's Ombudsman helps protect and improve the lives of children by investigating complaints regarding Michigan's child welfare system and by recommending changes to law, policy, and practice. It needed a better case management system to fulfil its mission to bring greater accountability to Michigan's child welfare system. Adopting i-Sight case management on Microsoft Azure for US Government has improved efficiency, productivity, and security, empowering the agency to better manage cases from beginning to end.

[Read the Microsoft Customer Story](#)



Products and Services
Microsoft Azure for US Government, Azure Cloud Services

Organization Size
Small (1-49 employees)

Industry
Government

Country
United States

Business Need
Efficient case management, Data privacy and security



Case Study

Alaska State Ombudsman

Time to Close Cases is Reduced From
More Than a Year to Two Months

“I really like that we’ve got that management review function where I can just go in and look everything over. If the complaint file is complete, I can check a box, put a little comment in there that says ‘looks good’ and we are off to the races. I don’t have to bother anyone. I can do quality review on my couch in the middle of the night if I want to.”

Kate Burkhart
Alaska State Ombudsman



Project Overview

Time to Close Cases is Reduced From More Than a Year to Two Months

Alaska State Ombudsman streamlines investigations and reduced bottlenecks using Case IQ software.

The Challenge

Until 2019, the Alaska State Ombudsman was using a custom-built system that had been implemented in the 90s. The system was unreliable and crashed often and there were no tools to monitor workflow, caseloads or bottlenecks. The system lacked an effective search function, and there weren't enough fields to collect the required information. The IT department was spending far too much time on support and maintenance on this legacy system.

The Solution

The Ombudsman needed an efficient, secure case management solution to manage complaints but also as a way to supervise and manage the workflow of her team in real time. The agency needed a secure system, to be compliant with their high confidentiality standard, and able to meet the requirement for a robust reporting system.

The solution also had to be intuitive, so that new staff could be onboarded quickly, with little training and efficient, to ensure investigators could continue with their daily tasks without waiting for the Ombudsman's input.

Where their in-house system fell short:

Unreliable and crashed often.

No tools to monitor workflow or bottlenecks.

Reporting was limited.

IT Department was spending far too much time on support and maintenance.

An Aging System Creating Months-Long Delays

The Alaska Legislature established the Alaska State Ombudsman in 1975. Its mission is to investigate citizen complaints about administrative acts of state agencies and determine appropriate remedies. It is a non-partisan and independent organization.

As part of its Strategic Plan 2017-2022, the Ombudsman set a goal to conduct efficient and effective investigations that are completed and reported promptly. This included a strategy that the Ombudsman source and implement a case management system to support investigations and workflow.

Until 2019, the Alaska State Ombudsman was using a custom-built system that had been implemented in the 90s. Over time, the system had become unreliable. Frequent crashes meant the team couldn't be confident that their work would be saved.

The existing system offered no tools to monitor workflow, case loads, or bottlenecks in the investigation process. There wasn't an effective search function, and a limited number of fields was available for collecting information.

Reporting capacity was limited. There was no mechanism to build custom reports. Standard report results had become inconsistent. "I would run the same report with the same parameters on the same morning and get different results," said Kate Burkhart, the Alaska State Ombudsman.

The old system was static and could not keep pace with Windows. "Every time we would install a Windows update, we would break something," said Burkhart. "Then our IT department would have to use chicken wire and duct tape to put it back together. There was always the fear that this would be the one that would break it permanently.

"Our IT staff were spending mountains of time on support and maintenance, way beyond what could be expected of them."

-Kate Burkhart,
the Alaska State
Ombudsman

An Efficient, Secure Case Management Solution to Facilitate a Quicker Response

“When I took office, we were reasonably and justifiably criticized for being slow. In our strategic plan we set ourselves a benchmark of closing all complaints and investigations within 12 months of receipt,” explained Burkhart.

The Ombudsman needed an efficient, secure case management solution to manage complaints but also as a way to supervise and manage the workflow of her team in real time. Additional functions to perform quality assurance were also important.

“I try to maintain a team of highly competent people,” said Burkhart. “My preference is to give staff the tools they need to do the work as well as possible and then monitor from 10,000 feet.”

A robust case management platform would allow investigators to get on with their daily tasks, while providing a mechanism for the Ombudsman to monitor workflow and performance.

The Alaska State Ombudsman needed a system that was:

- Secure, to be compliant with the agency’s high confidentiality standard;
- Intuitive, so that new staff could be onboarded quickly, with little training;
- Configurable, to match the agency’s work processes;
- Able to meet the requirement for a robust reporting system; and
- Flexible, to allow more than one investigator to be assigned to a case.

Through a competitive procurement process, the Ombudsman chose Case IQ.

“A tight RFP and working with a consultant and IT experts to make sure the bids were responsive helped us ensure that we got a good vendor in the end,” said Burkhart, noting that Case IQ’s pricing was transparent from the beginning, and didn’t have to be revised, which she considered to be a good sign.

“We needed something that would help streamline the processes that investigators use, but also address where the bottleneck in our process really is: with final review by the Ombudsman herself.”

-Kate Burkhart,
the Alaska State
Ombudsman

Case Closing Times Reduce From Years to Just Two Months

Six months after implementing Case IQ, the Alaska State Ombudsman reports that 94 percent of complaints received since the day Case IQ went live have been reviewed and closed within 60 days. This is due in large part to a streamlined workflow and a reliable platform that's accessible from anywhere at any time.

The intake team enters new case information into Case IQ as complaints are received. Cases can be stored for the regular weekly review or flagged with a to-do for the Ombudsman to review immediately. The Ombudsman can then escalate the case or return it to the queue for regular review.

Once a case is assigned, the investigator follows the workflow in Case IQ, uploading case notes and evidence files as they go. For work processes that require review of correspondence, the investigator creates a to-do to alert a peer or the Ombudsman. The Ombudsman can view cases and monitor case activity and progress.

"I can see what's going on. If things need to be fixed or updated I can either do that or use the to-do function to make sure it gets done," said Burkhart.

Accessing Case IQ remotely helps investigations stay on track and prevents delays when someone is out of the office. "When we send a team to do outreach in rural communities in Alaska, they can take a laptop, log in, and enter new complaints — maybe even resolve complaints — all from a remote location," says Burkhart.

With secure access roles, there's no danger of exposing information to unauthorized people. "Alaska is a small state and it's not unusual for us to have conflicts, either professionally or personally, with a complaint," explained Burkhart. "It's been really easy for me to be able to deny access when there is a conflict of interest, so that we ensure that all complaints are reviewed objectively."

"I really like that we've got that management review function where I can just go in and look everything over. If the complaint file is complete, I can check a box, put a little comment in there that says 'looks good' and we are off to the races. I don't have to bother anyone. I can do quality review on my couch in the middle of the night if I want to."

-Kate Burkhart,
the Alaska State
Ombudsman

The Result

Case IQ's user-friendly interface has resulted in high adoption rates and fast onboarding. "We hired a new intake person in June, so she had no involvement with Case IQ before go-live, and she was a master user just four months in," said Burkhart.

The case-linking feature saves the team hours of time and effort. When a complainant is linked to more than one complaint, all the cases can be linked. And when a grievance is filed about a previous decision, the case can be reviewed with a few clicks.

The business analytics (Yellowfin) was a big draw, because it provides a comprehensive reporting function. "It provides so much reporting capacity, it is a little daunting once you start using it. We're slowly but surely learning the basics, and we get additional training as we go. We should be confident in all the report functions within 12 months of implementation," said Burkhart.

Great case management tool

"Our contractor, who is part of a software consulting and development company, said that he had never worked with a better company. We had no barriers... and there was no over-promising. From soup to nuts the entire experience was great."

-Kate Burkhart,
the Alaska State Ombudsman

Investigate and Prevent Workplace Misconduct with Case IQ

Case IQ helps you investigate, prevent and protect your company from fraud, harassment and compliance lapses to lower risk for your organization.

Find out more about how Case IQ can help your team conduct more effective investigations and prevent ethics and compliance lapses.

Book a demo:

 www.caseiq.com

 sales@caseiq.com

 1-800-465-6089



Case Study

LA Metro

La Metro Manages Discrimination,
Harassment and Affirmative Action
Cases With Case IQ

“We don’t have to rely on bodies to provide information. We can just look up the information regardless of who has ownership of the case. And we can do it whether we are at our desks or we are at home.”

Jonaura Wisdom
Director, EEO & Civil Rights Compliance



Metro[™]

Project Overview

LA Metro Manages Discrimination, Harassment and Affirmative Action Cases With Case IQ

LA Metro was able to say goodbye to Excel and start using a comprehensive case management system that enabled cross-team collaboration.

The Challenge

The Office of Civil Rights was using a mix of spreadsheets and paper files to manage and respond to cases. Case documentation was inefficient and often inaccessible. Investigator notes, interviews, photos, evidence and all other information was saved on individual computers. Filing cabinets filled with paper files took up valuable office space and had to be outsourced to a storage facility, bringing a whole new set of problems. Retrieving information took days and was reliant on access to individual computers.

The Solution

LA Metro's Office of Civil Rights needed a case management system that housed all case documents in one place, provided a workflow to guide investigators, and was intuitive and easy to learn. They were looking for a solution that allowed different people to access cases simultaneously, enabled quick turnaround for court requests for information, and could be customized to match their needs.

Case Management in Excel Was Inefficient and Frustrating

"When there's a disciplinary action that needs to take place we have to refer back to certain notes or the investigative report and if it was on an individual's computer we might not have access if they were not there. Also, it would take a long time to get the information and search for it and find it, depending on each individual's organizational skills."

-Jonaura Wisdom,
Director, EEO & Civil
Rights Compliance

A Large Volume of Cases, and a Need to Respond Quickly

The Los Angeles County Metropolitan Transportation Authority, or LA Metro, operates public transportation for one of the largest, most populous and ethnically diverse counties in the US. LA Metro operates bus, freeway, highway, light rail and heavy rail services, moving more than a million daily riders.

The Office of Civil Rights at LA Metro handles discrimination and harassment cases filed by employees and members of the public who use the transportation system. In a county as large and diverse as Los Angeles, this is an important function that comes with a great deal of responsibility and risk. The Office also handles affirmative action cases, reviewing and concurring on hiring to ensure the process is fair to people from historically disenfranchised groups, and investigating any red flags.

With a large volume of cases and the need to respond quickly to requests for information related to lawsuits, the Office of Civil Rights struggled to operate efficiently. Case documentation was inefficient and often inaccessible.

“It was being handled through an Excel spreadsheet, and with Excel, it’s very limited to what you can add,” says Jonaurea Wisdom, Director, EEO & Civil Rights Compliance. “So each investigator had their own set of notes and reports.”

The spreadsheet contained only the basic case information: the title, the case number, the protected category, state, and whether the case was substantiated. Investigators saved their notes, interviews, photos, evidence and all other information on their cases on their computers.

A One-Stop Shop for Case Management

With so much information siloed, the civil rights team couldn't operate efficiently. Physical space was becoming an issue as well. Filing cabinets filled with paper files were taking up valuable office space. Eventually, case storage was outsourced to a storage facility, bringing a whole new set of problems.

"Whenever we needed those cases we had to request them from storage by box number," says Wisdom. "Once we requested the box, we had to wait a day or so for the box to be delivered. And it wasn't just the case, it was the whole box that that case was included in. So we'd have to sort through a box of maybe 100 cases just to look for that one. Once we were done with the case we'd have to call the storage facility and arrange a pickup for them to bring it back to the storage facility. So it was a pretty inefficient process. And it affected our time management."

LA Metro's Office of Civil Rights needed a case management system that housed all aspects of cases in one place, including the ability to upload documents to case files. They needed a tool to provide a workflow to guide investigators and was intuitive and easy to learn.

LA Metro chose Case IQ for its efficient workflow, easy-to-use interface, customization and exceptional customer service. The centralized case files allow the team to collaborate and respond quickly. Case IQ also enabled quick turnaround for court requests and a more timely response to complaints.

"We don't have to rely on bodies to provide information. We can just look up the information regardless of who has ownership of the case. And we can do it whether we are at our desks or we are at home."

-Jonaura Wisdom,
Director, EEO & Civil
Rights Compliance

The Result: Building a Reputation of Efficiency

Wisdom also appreciates the responsiveness and caring of the Case IQ build team. “Case IQ was with us along the way,” she says. “As glitches arose during the testing of the system, Case IQ was very responsive. They would explain why it occurred and the turnaround time to fix the glitch was very quick. If there was an issue that was an inherent part of the system, they would explain and provide alternative solutions... There’s never been an issue that they couldn’t remedy.”

The team’s efficiency and reliability helps other functions, such as attorneys working as county counsel. “They’re always requesting information for lawsuits they have to handle,” says Wisdom. “And so they’re very happy with how organized we are and how quickly we are able to respond.”

Since implementing Case IQ, the Office of Civil Rights at LA Metro has streamlined processes, saved time and gained a reputation for efficiency. Investigators can organize information in half the time it took to create paper files. Responding to report requests was reduced from one hour to 15 minutes, while response time for court requests was reduced from days to a matter of hours.

Responding to report requests was reduced from one hour to 15 minutes, while response time for court requests was reduced from days to a matter of hours.

The Result: Building a Reputation of Efficiency

Requests that were previously too difficult and time consuming to carry out can now be fulfilled. Detailed reporting provides information on the numbers and types of cases to help with training and prevention. The ability to analyze cases by cost center has provided insight into trends and put the data into context.

LA Metro has been able to identify certain divisions with more civil rights cases than others and target training to those divisions. LA Metro has reduced its risk of lawsuits through timely and thorough complaint response and resolution.

The Office of Civil Rights has earned a reputation for speed, efficiency, and great customer service.

Great case management tool

"[Colleagues are] very happy with how organized we are and how quickly we are able to respond."

-Jonaura Wisdom, Director, EEO & Civil Rights Compliance

Investigate and Prevent Workplace Misconduct with Case IQ


Case IQ helps you investigate, prevent and protect your company from fraud, harassment and compliance lapses to lower risk for your organization.

Find out more about how Case IQ can help your team conduct more effective investigations and prevent ethics and compliance lapses.

Book a demo:

 www.caseiq.com

 sales@caseiq.com

 1-800-465-6089



Case Study

West Virginia Insurance Commissioner

The West Virginia Insurance
Commission Consolidates Case
Management and Improves Reporting
Accuracy with Case IQ

“I wanted something a lot more intelligent,
something that would give me the ability to look at
a case in real-time and make sure nothing gets left
behind.”

Gary Griffith
Director, Fraud Unit



Project Overview

The West Virginia Insurance Commission Consolidates Case Management and Improves Reporting Accuracy with Case IQ

Case IQ enables the West Virginia Insurance Commission to manage multiple cases across locations.

The Challenge

The West Virginia Insurance Commissioner's traditional paper-filing system made it difficult to log and manage a growing volume of fraud investigations. Investigators were spending too much time typing up reports and senior officials needed a way to effectively monitor ongoing investigations. They wanted a system that would enable staff to communicate and collaborate easily, whether they were at home, in the office or on the road.

The Solution

The West Virginia Insurance Commissioner selected Case IQ fraud investigation software for anytime, anywhere access to critical information. The customized workflow rules and automatic alerts keep supervisors fully informed and ensure that cases receive prompt attention. The ease of use ensures minimal training time for new employees.

Seeking a Real-Time Solution

When Gary Griffith stepped into his new job as Director of the West Virginia Insurance Commission Fraud Unit, he knew he needed a robust, scalable investigation management software tool that would allow him to monitor the growing volume of investigations carried out under his supervision.

And not just any investigation management software. Mr. Griffith, a 23-year veteran of the West Virginia State Police, had a number of specific requirements. He wanted investigation management software that would enable multiple investigators in various locations to collaborate and share information.

He wanted a system that would allow him to stay on top of ongoing investigations and provide written direction and feedback to staff in the field. He wanted to receive automatic alerts when there had been no recorded activity in an investigation for a specified period. And he wanted a system that would make it easier and far less time-consuming for his staff to produce detailed, chronological reports of their investigations and findings.

The Fraud Division currently employs 17 experienced investigators, but Mr. Griffiths expects that number to grow to about 24 over time. In addition to investigating all types of consumer and commercial insurance fraud – including cases involving automotive, property and casualty, life, fire and disability coverage – the division recently took over responsibility for investigating suspected cases of fraud in West Virginia's workers' compensation system.

In the past, suspected cases of insurance fraud in West Virginia were typically handed over to state or local police for investigation. Provided there was enough evidence to warrant charges, the case would then be referred to a prosecutor. The task of logging and managing all of those cases “was basically just done with a paper filing system and human memory,” Mr. Griffith says.

“I wanted something a lot more intelligent, something that would give me the ability to look at a case in real-time and make sure nothing gets left behind.”

-Gary Griffith,
Director, Fraud Unit

Large Case Volume? No Problem!

After taking charge of the newly created Fraud Unit, Mr. Griffith began to look for investigation management software that would enable his team to electronically record every case and every step of their investigations. One of the people he consulted was a former West Virginia senior state trooper who now works at the National White Collar Crime Center in Richmond, VA. "He told me there were a lot of case management systems out there, but the ones he'd seen all had drawbacks of one kind or another," Mr. Griffith says. "Some are really just case tracking systems."

Eventually, another former colleague recommended that Mr. Griffith take a look at the case management system that was already in use at the West Virginia Workers' Compensation Commission, whose investigative responsibilities were about to be transferred over to the Fraud Unit. That system used Case IQ fraud investigation software. "I arranged for a demo of Case IQ and I could see right away that it did a lot of the things I needed," he says. Better yet, Mr. Griffith learned that the Case IQ system was fully customizable, so it could easily be modified to meet the Fraud Unit's exact requirements.

It didn't take long for him to decide that Case IQ fraud investigation software was the solution he had been looking for. Within weeks, the development team at Case IQ produced a customized version of Case IQ, and field trials got underway.

"I'd been looking for investigation management software that offered all of these features, and Case IQ does exactly what we need. I am sure that anyone who manages a large volume of cases would be interested in a system like this."

-Gary Griffith,
Director, Fraud Unit

Everything They Needed — And So Much More

From Mr. Griffith's standpoint, the Case IQ software offers a number of key benefits. For one thing, the software is remotely hosted by Case IQ, so maintenance is not a concern. The fact that it is web-based means that users can access the system securely from the office, at home or on the road; the only requirement is a computer and an Internet connection (dialup or better). And Case IQ fraud investigation software is simple to use, so training time for staff members is minimal.

"Some of our cases might involve three or four investigators in different parts of the state," Mr. Griffith says. "With Case IQ, they can each enter their own information separately in the case file and it will all be logged in chronological order. I or any other manager can go in and see the status of a particular case, offer suggestions and direction, see how much time our people have spent working on a particular case, and have everything documented in real-time."

At Mr. Griffith's request, the Case IQ software was configured to send him automatic alerts based on specified triggers, such as when there has been no activity on a case for 30 days. "That's important because it means I can take a look at the case and make sure there are no problems that are getting in the way of our investigative work. It gives me much greater supervisory capability. I can see the whole case at once instead of just bits and pieces."

"In the past, the lead investigator or somebody else would have had to sit down and manually go through all of the information in a file in order to write up a summary. It was very, very time-consuming, which meant that people often got frustrated and took shortcuts. With Case IQ, you just press a button and the system spits out a complete written report. It saves a lot of man-hours and eliminates duplication of effort. And the final result is more accurate."

-Gary Griffith,
Director, Fraud Unit

The Result

Using Case IQ's built-in reporting capabilities, Mr. Griffith and his team can also analyze the Fraud Unit's caseload to detect patterns of insurance abuse and plan their strategies accordingly. Over time, he says, that should allow them to become much more proactive in dealing with fraudulent behavior.

Mr. Griffith got all everything his organization needed, and more, when he chose Case IQ fraud investigation software, the leader in customizable, web-based investigation software, case management and complaint-handling solutions. "The Case IQ fraud investigation software gives me exactly what I need," says Mr. Griffith. "It certainly makes my life a lot easier."

Great case management tool

It gives me much greater supervisory capability. I can see the whole case at once instead of just bits and pieces."

-Gary Griffith,
Director, Fraud Unit

Investigate and Prevent Workplace Misconduct with Case IQ

Case IQ helps you investigate, prevent and protect your company from fraud, harassment and compliance lapses to lower risk for your organization.

Find out more about how Case IQ can help your team conduct more effective investigations and prevent ethics and compliance lapses.

Book a demo:

 www.caseiq.com

 sales@caseiq.com

 1-800-465-6089



Case IQ Subscription Services Agreement

This Subscription Services Agreement (this "Agreement"), effective on date on which the last party signs (the "Effective Date"), is by and between **Customer Expressions Corporation d/b/a Case IQ**, a Canadian corporation ("Case IQ"), and [REDACTED], a [REDACTED] ("Customer") for use of the SaaS Application and Professional Services (each as defined below). Case IQ and Customer agree as follows:

1. Definitions

- 1.1. "Authorized Users" means individuals who are authorized by Licensee to use the Subscription Services and who have been supplied user identifications and passwords by Licensee (or by ENC at Licensee's request). Authorized Users may include Licensee's employees, consultants, contractors, and agents.
- 1.2. "Case IQ" has the meaning set forth in the preamble.
- 1.3. "Customer Data" means any and all data uploaded, created or otherwise provided by Customer for use with the SaaS Application.
- 1.4. "Documentation" means any explanatory materials, such as user manuals, training manuals, specifications regarding the implementation and use of the SaaS Application (electronic or written) that is provided by Case IQ regarding the SaaS Application, as may be updated from time to time.
- 1.5. "Initial Term" has the meaning assigned in Section 6.1.
- 1.6. "Order" means any mutually agreed document referencing this Agreement that defines the specific SaaS Application licensed by Customer pursuant to this Agreement.
- 1.7. "Professional Services" means the consulting, development, implementation, training, and other services described in a mutually agreed statement of work (each, a "SOW") executed by the parties and made a part of this Agreement.
- 1.8. "Renewal Term" has the meaning assigned in Section 6.2.
- 1.9. "SaaS Application" means the online, web-based applications and platform provided by Case IQ as specifically described on the applicable Order.
- 1.10. "Support Policy" means the policy set out in Exhibit B to this Agreement.
- 1.11. "Term" means the Initial Term and each Renewal Term, collectively.

2. Retained Rights

- 2.1. All rights, title to, and ownership interest in the SaaS Application and the Documentation, and any all improvements, modifications and enhancements thereto ("Enhancements"), including all intellectual property rights in and to the SaaS Application and the Documentation shall remain vested in Case IQ. Except for the rights granted pursuant to this Agreement, Case IQ retains all copyrights, patents, trade secrets, trademarks, and all other intellectual property interests in and to the SaaS Application, the Documentation and any Enhancements.
- 2.2. Customer retains ownership of all Customer Data while properly accessing and using the SaaS Application under the Customer's login ID.
- 2.3. The parties acknowledge that the SaaS Application may collect and aggregate certain de-identified information and data regarding the use and operation of the SaaS Application by Customer. Customer agrees that Case IQ may utilize such information and data as well as any Customer suggestions, enhancement requests or other recommendations (collectively, "Feedback") for any lawful business purpose, without a duty of accounting to Customer so long as such information, data and Feedback does not identify Customer or Customer Data. No compensation shall be paid with respect to Case IQ's use of Feedback.
- 2.4. Customer grants Case IQ a non-exclusive, royalty-free license to Use De-identified Customer data in business intelligence initiatives. "De-identified" means data that is not attributable to Customer or any individual. "Use" means analysis for purposes of creating and displaying useful data-based cross-licensee products and tools, industry, and regional key performance indicators (KPIs), benchmarks, and statistical results such as averages and means, for distribution to and the benefit of Case IQ's customers and prospects generally.

3. Grant of Access & Use

- 3.1. Case IQ hereby grants Customer a limited right to access and to use the SaaS Application solely for Customer's internal business purposes and subject to the limitations set forth in the applicable Order. Customer is responsible for the telecommunications, broadband and computer equipment and services needed to access and use SaaS Application. Case IQ will provide the support in accordance with the Support Policy during the Term.
- 3.2. Customer will not (i) alter, modify, or adapt the SaaS Application or Documentation, in whole or in part, in any way; (ii) disassemble, decompile, reverse engineer, translate or create derivative works of the SaaS Application or Documentation; or (iii) transfer, distribute, rent, sub-license, or lease the

SaaS Application or the Documentation; (iv) remove, alter or obscure any product identification, copyright or proprietary notices from the SaaS Application or Documentation; (v) except to the extent contemplated by use of the SaaS Application, upload or provide any information or materials that are defamatory, offensive, abusive, obscene, of menacing character, or that violate any third party's privacy or intellectual property rights; (vi) use the SaaS Application to threaten, defame, bully, harass, or harm persons or their property; (vii) send, store or distribute viruses, worms, time bombs, Trojan horses and other harmful or malicious code, files, scripts, agents, or programs with the intent or effect of damaging, destroying, disrupting, monitoring or otherwise impairing Case IQ's or any third party's network, computer system, or other equipment, or any third party data contained therein; or (viii) access the SaaS Application or use the Documentation in order to build a similar or competitive product.

- 3.3. Customer is responsible for all activity within the Customer's account including content created by the Customer, published and/or communicated when using the Case IQ's services as well as the consequences of any such content or communication, whether or not actually or expressly authorized by the Customer. Except to the extent caused by Case IQ's breach of this Agreement, Case IQ is not responsible for unauthorized access to the Customer Account. Customer shall contact Case IQ promptly if Customer reasonably believes that the Customer Account has been compromised, including any loss, theft, or unauthorized access, use, or disclosure of Account information.

4. Warranties.

- 4.1. Case IQ warrants that during the Term the SaaS Application will (i) perform materially in accordance with the Documentation and the functionality of the SaaS Application will not be materially decreased; and (ii) be provided in accordance with applicable law. In the event of any breach of the foregoing warranty, Case IQ will use commercially reasonable efforts to correct the reported non-conformity and/or breach, at no charge to Customer, or if Case IQ is unable to do so within a reasonable period, not to exceed thirty (30) days, Customer may terminate the applicable Order, and Customer will receive a pro-rata refund of any unearned Fees, based on the date Customer reported the non-conformance, that Customer has pre-paid for the Subscription Services.
- 4.2. **Disclaimer.** EXCEPT AS EXPRESSLY SET FORTH IN THIS AGREEMENT, THE SAAS APPLICATION IS PROVIDED AS IS, WITHOUT WARRANTY OF ANY KIND. ALL WARRANTIES, WHETHER EXPRESS OR IMPLIED, INCLUDING ALL IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE ARE EXPRESSLY DISCLAIMED.

5. Billing, Payment Terms & Taxes

- 5.1. The fees payable for the SaaS Application and Professional Services are set out in the applicable Order. The initial Order is attached to this Agreement as Exhibit A.
- 5.2. Case IQ will invoice Customer upon execution of the applicable Order and on each anniversary of the applicable Order during the Term. Payment is due within thirty (30) days from the date of the applicable invoice unless otherwise set forth in the applicable Order. Customer may withhold payment of amounts disputed in good faith so long as Customer notifies Case IQ of the dispute prior to the applicable payment due date and provides supporting documentation.
- 5.3. All fees are exclusive of taxes. Customer is responsible for paying all present and future applicable taxes of any nature including but not limited to sales, goods and services taxes and/or value added taxes payable by reason of this Agreement except for taxes on Case IQ's income, assets or capital, irrespective of which party is responsible for reporting and/or collecting such taxes.
- 5.4. If any undisputed amount owed hereunder is more than thirty (30) days past due, Case IQ may impose a late payment fee not exceeding the lesser of 1% per month and the maximum amount permitted by law on the undisputed amount past due.
- 5.5. The SaaS Application shall be deemed to have been accepted by Customer upon the first to occur of the following: (a) the move of the SaaS Application from a test environment to a production environment; or (b) the completion

of a formal acceptance test which formal acceptance test shall be conducted on the following terms: (i) Case IQ shall notify Customer in writing that the SaaS Application is ready for acceptance; (ii) upon receipt of such notice, Customer shall test the SaaS Application in a manner it deems appropriate for a period of up to three (3) weeks; (iii) upon the expiration of such three (3) week period, Customer shall either certify to Case IQ that the SaaS Application is accepted or deliver to Case IQ a written description of any failure of the SaaS Application to conform to the Documentation; (iv) upon receipt of such written description, Case IQ shall determine whether any of such claimed defects are bona fide defects, and, if so, shall proceed to remedy the same, whereupon the formal acceptance test procedure will be run. Certification by the Customer that the SaaS Application, is accepted, or in the absence of such certification, the failure of the Customer to provide Case IQ with a written description of bona fide defects in a timely manner, shall constitute successful completion of the formal acceptance test.

6. Term & Renewal

- 6.1. The SaaS Application will be provided beginning on the effective date of the applicable Order (the "Order Effective Date") and continuing for the initial term identified on the applicable Order (the "Initial Term") unless earlier terminated in accordance with this Agreement.
- 6.2. Upon completion of the Initial Term, the term will automatically renew for successive one (1) year renewal terms (each, a "Renewal Term") unless a different renewal period is specified on the applicable Order. Each party must provide at least forty-five (45) days written notice if they intend for the SaaS Application to expire at the end of the Initial Term or the then-current Renewal Term. The Fees payable during any Renewal Term may be increased by Case IQ upon notice to Customer at least ninety (90) days prior to the expiration of the then current Term.

7. Data Protection

- 7.1. Case IQ will implement and maintain administrative, physical, and technical safeguards designed to ensure that the SaaS Application meets then-current and relevant industry standards relating to the privacy, security, confidentiality, integrity, and availability of Customer Data, including by maintaining a written information security program that includes applicable policies, procedures, training, and technology controls designed to protect Customer Data from unauthorized access, use, disclosure, alteration, or destruction. Case IQ will only use and/or process Customer Data in accordance with this Agreement and for purposes of providing the Services.
- 7.2. Case IQ will promptly (and in any event within forty-eight (48) hours) notify Customer in the event of the occurrence of any unauthorized access to Customer Data (a "Data Privacy Breach"). Case IQ will provide as many details as known at that time (and regularly update Customer thereafter in writing or by email followed by a written notification) setting out in reasonable detail, without limitation, the nature of the information compromised, threatened, or potentially compromised, the specific information compromised or potentially compromised and of all events which may adversely affect Case IQ's ability to provide the SaaS Application. Case IQ further agrees to provide reasonable assistance and cooperation requested by Customer in the furtherance of any correction, remediation, or investigation of any Data Privacy Breach.

8. Indemnification

- 8.1. By Case IQ. Case IQ will defend, indemnify and hold harmless Customer from and against from and against all third party claims, causes of action, costs, damages, losses, liabilities and expenses (including attorneys' fees and costs) (collectively, "Losses") made or brought against Customer by a third party alleging that the use of the SaaS Application as permitted hereunder is in violation of applicable law or infringes or misappropriates the intellectual property rights of such third party.
- 8.2. By Customer. Customer shall defend indemnify and hold harmless Case IQ against any Losses made or brought against Case IQ alleging that Customer Data, or Customer's use of the SaaS Application in violation of this Agreement, infringes or misappropriates the intellectual property rights of a third party or violates applicable law.
- 8.3. Exclusive Remedy. Case IQ shall have no obligation under Section 8.1 for any Claim to the extent arising out of or is based upon: (i) Customer's use of the SaaS Application not in compliance with this Agreement or the Documentation; (ii) Customer's combination of the SaaS Application with software, hardware, system, data, or other materials not supplied or

authorized by Case IQ (unless expressly permitted by the Documentation) without Case IQ's prior written authorization; (iii) Case IQ's adherence to Customer's written specifications or written instructions pursuant to a separate SOW or (iv) the Customer Data. In the event an infringement or misappropriation claim involving the SaaS Application is brought or threatened, or is likely to be brought or threatened in Case IQ's reasonable opinion, Case IQ will, at its sole option and expense: (x) procure for Customer the right to continue to use the Subscription Services, (y) modify the SaaS Application in a manner that does not materially degrade the functionality of the SaaS Application functionality, or (z) terminate the affected SaaS Application and, with respect to such termination, refund the unearned portion of the applicable pre-paid Fees. Notwithstanding anything else herein, the foregoing indemnification obligations are Case IQ's only obligations and liability, and Customer's exclusive remedy, in respect of any infringement or misappropriation claim.

- 8.4. Process. The party seeking indemnification hereunder shall provide the other party with: (i) prompt written notice of any claim for which indemnification is sought; (ii) complete control of the defense and settlement of such claim; and (iii) reasonable assistance and cooperation in such defense at the indemnifying party's expense. Notwithstanding the foregoing, the indemnifying party may not enter into a settlement of a claim that involves a remedy other than the payment of money by the indemnified party (which amounts must be subject to indemnification by the indemnifying party) without the indemnified party's written consent.

9. Confidentiality

- 9.1. Both the Customer and Case IQ acknowledge that by reason of their relationship, they may have access to certain information and materials related to each other's business, plans, customers, software technology, and marketing strategies that is confidential and of substantial value ("Confidential Information"), which value would be impaired if such information were disclosed to third parties. Both the Customer and Case IQ agree that they will not use in any way (other than in furtherance of or as permitted by this Agreement) neither for their own account nor for the account of any third party, nor disclose to any third party, any such Confidential Information revealed to them by the other as such, without express written permission from the other.
- 9.2. "Confidential Information" does not include information that: (i) is known to the receiving party prior to receipt from the disclosing party directly or indirectly from a source other than one having an obligation of confidentiality to the disclosing party; (ii) becomes known (independently of disclosure by the disclosing party) to the receiving party directly or indirectly from a source other than one having an obligation of confidentiality to the disclosing party; (iii) becomes publicly known or otherwise ceases to be secret or confidential, except through a breach of this Agreement by the receiving party; or (iv) is independently developed by the receiving party.
- 9.3. The receiving party may disclose Confidential Information pursuant to the requirements of a governmental agency or as required by law, provided that it gives the disclosing party reasonable prior written notice sufficient to permit the disclosing party to contest such disclosure. If the disclosing party is not successful in precluding the requesting legal body from requiring disclosure of the Confidential Information, the receiving party shall furnish only that portion of the Confidential Information which is legally required and will exercise all reasonable efforts to obtain reliable assurances that confidential treatment will be accorded with the Confidential Information.

10. Termination & Suspension

- 10.1. A party may terminate this Agreement and/or any then current Order for cause: (i) upon thirty (30) days written notice to the other party of a material breach if such breach remains uncured at the expiration of such period; or (ii) upon notice to the other party of a material breach that is not subject to cure or such longer period as may be mutually agreed in writing. If this Agreement or any Order is terminated by Case IQ under this Section 10.1, Customer will also pay all amounts to become due and owing under the applicable Order; and if this Agreement or any Order is terminated by Customer under this Section 10.1, Case IQ will refund the unearned portion of any prepaid fees.
- 10.2. Case IQ reserves the right to suspend access to the SaaS Application if (a) Customer has undisputed amounts more than 5 business days past due; (b) Case IQ reasonably determines that Customer or any its Authorized Users are in breach of this Agreement; or (c) Case IQ reasonably determines that

Customer or any its Authorized Users are using the SaaS Application in a way that creates a security vulnerability, may disrupt others' use of the SaaS Application, or have misappropriated or infringed Case IQ's or another third-party's intellectual property or proprietary rights. Case IQ will only suspend access to the extent, and for the duration, necessary to address the violation and will promptly restore access once the issue has been resolved.

10.3. Upon termination or expiration of this Agreement for any reason: (a) all licenses granted hereunder will immediately terminate; (b) promptly after the effective date of termination or expiration, each party will comply with the obligations to return all Confidential Information of the other party, as set forth above; and (c) upon request within thirty (30) days after termination of the applicable Order (the "Data Retention Period"), Case IQ will provide the Customer Data to Customer in a commonly used format. Case IQ has no obligation to retain Customer Data after expiration of the Data Retention Period. In addition, Case IQ will provide other data export services subject to mutual agreement of the parties.

10.4. The following sections survive termination of this Agreement for any reason: Section 2 (Retained Rights), Section 5 (Billing, Payment Terms & Taxes), Section 7 (Data Protection), Section 8 (Indemnification), Section 9 (Confidentiality), this Section 10, Section 11 (Limitation of Liability), and Section 13 (General Provisions).

11. LIMITATION OF LIABILITY.

TO THE MAXIMUM EXTENT PERMITTED BY APPLICABLE LAW, IN NO EVENT SHALL EITHER PARTY BE LIABLE TO THE OTHER OR TO ANY OTHER PERSON OR ENTITY FOR (I) ANY INCIDENTAL, INDIRECT, CONSEQUENTIAL, SPECIAL, PUNITIVE, OR EXEMPLARY DAMAGES OF ANY KIND OR NATURE, HOWEVER ARISING, UNDER ANY THEORY OF LIABILITY, ARISING OUT OF, OR IN ANY WAY CONNECTED WITH, THE SAAS APPLICATION OR THIS AGREEMENT, EVEN IF SUCH PARTY HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES; AND (II) DIRECT DAMAGES IN EXCESS OF THE FEES ACTUALLY PAID OR PAYABLE BY CUSTOMER UNDER THE APPLICABLE ORDER DURING THE TWELVE (12) MONTHS PRIOR TO THE DATE ON WHICH THE CLAIM RESULTING IN SUCH DAMAGES AROSE. THE FOREGOING LIMITATIONS AND EXCLUSIONS DO NOT APPLY TO EITHER PARTY'S INDEMNIFICATION OBLIGATIONS, OR CUSTOMER'S FAILURE TO REMIT ALL FEES PROPERLY DUE AND OWING TO CASE IQ.

12. Force Majeure

12.1. Neither party shall be liable for any failure or delay in performance to the extent caused by causes beyond its reasonable control, including, without limitation, labour disputes, fires or other casualties, weather or natural disasters, damage to facilities, or the conduct of third parties beyond the reasonable control of a party ("Force Majeure"). In the event such failure or delay exceeds a consecutive period of two (2) months, either party may terminate this Agreement by written notice to the other.

13. General Provisions

13.1. This Agreement and the parties' obligations hereunder will be governed, construed, and enforced in accordance with the laws of the province of Ontario and the federal laws of Canada applicable herein, if the defendant is Case IQ, and with the laws of the United States and the State of New York, if the defendant is the Customer without giving effect to its choice of law rules.

13.2. If for any reason a court of competent jurisdiction finds any provision of this Agreement to be invalid, illegal, or unenforceable, the provision shall be modified by the court and interpreted so as best to accomplish the objectives of the original provision to the fullest extent permitted by law, and the remaining provisions of this Agreement shall remain in full force and effect.

13.3. This Agreement, the Order(s) and the schedules attached hereto, constitute the entire Agreement between the parties with respect to the subject matter hereof and supersede all prior or contemporaneous understandings or agreements, written or oral, regarding such subject matter. This Agreement takes precedence over any conflicting terms in any Order or any Customer-provided purchase or procurement documentation, such as a purchase order, acknowledgement form, or other similar documentation and any pre-printed terms and conditions on or attached to Customer's purchase orders or invoices will be of no force or effect.

13.4. Neither party may assign this Agreement or any Order without the prior written consent of the other party, except to an Affiliate or an entity that acquires all or substantially all of its stock, business or assets, whether

through merger, consolidation, reorganization or otherwise. Any assignment in violation of the foregoing shall be void and of no effect.

13.5. No failure or delay by either Party in exercising any right under this Agreement shall constitute a waiver of that right. Any waiver of any provision of this Agreement will be effective only if in writing and signed by the party granting the waiver.

13.6. Notices shall be in writing and delivered by personal delivery, by email (with transmission confirmation), by a recognized overnight courier service or by first class mail (postage prepaid) and be addressed to the parties at the address set forth in the applicable Order.

13.7. All additions or modifications to this Agreement must be made in writing and must be signed by both parties.

13.8. The relationship of the parties is that of independent contractors and not that of employee, agent, joint venture, or partner.

13.9. If either party engages attorneys to enforce any rights out of or relating to this Agreement, the prevailing party in any action to enforce or interpret this Agreement shall be entitled to recover any and all costs and expenses of any nature including, attorneys' and experts' fees and costs. Customer shall be responsible for any collection fees incurred by Case IQ in collecting Fees.

14. Authorization

14.1. Signing this Agreement confirms that (i) each person signing is authorized on behalf of their respective parties, to enter into and bind their respective parties to this Agreement and (ii) each person on behalf of their respective parties accepts the terms of this Agreement.

On behalf of _____:

Name (please print)

Position

Signature

Date

On behalf of Custom Expressions Corporation d/b/a Case IQ:

Name (please print)

Position

Signature

Date

EXHIBIT A – INITIAL ORDER

Part I – Term of Agreement

This Agreement is for an initial Term of three (3) years.

Part II – Statement of Work

Background

This Statement of Work (“SOW”) is entered into by and between Customer and Case IQ pursuant to the Agreement. The Hosted Application will be configured with Customer, as guided and instructed by Case IQ, to meet the specific data capture, workflow, access, and reporting needs of the Customer through standard Case IQ application features and functionality.

The specifications that are detailed in the [Configuration Tasks](#) section of this SOW will be configured in accordance with the Implementation Schedule attached in this SOW. Any changes to the demonstrated application outside of the scope of this SOW, such as additional integrations or data migrations, will be provided subject to a mutually agreed change order. For a full list of the Case IQ application functionality, see the [Application Feature Knowledge Base](#).

Scope

The Hosted Application contains Administration functionality, allowing the Customer to further uniquely configure the settings. The primary goal of the Application Configuration is to

1. configure the Hosted Application in accordance with the Customer’s data capture, workflow, access, and reporting needs through standard Case IQ application features and functionality.

Case IQ will:

- Configure the application as set forth above.
- Host the Application and provide access to Customer authorized users.
- Provide initial training for system administrators, trainers, and reporting.

The Customer will use the Hosted Application to:

- Record cases and all associated case data.
- Allow its users to view and submit cases and associated data.
- Report on and communicate case data.
- Update the Application Configuration as required, as it relates to data capture, workflow, access, and reporting.

Configuration Tasks

The following tasks will be completed by Customer and Case IQ to configure the application in accordance with the Customer’s data capture, workflow, access, and reporting needs through standard Case IQ application features and functionality. The Customer can also manage the configuration items through their System Administrator settings after the application launch.

Fields and Forms Requirements

Customer and Case IQ shall configure the application’s data input options, including:

- Adding fields and tabs for standard record types to collect different types of data or adjust the data collected.
- Configuring child record types for Customer’s instance (“Forms”).
- Setting the values available in the applicable dropdown menus.

Milestones for this configuration task include:

1. Review of Customer artifacts (e.g., current application fields, reports, templates, etc.) to determine the data points to be tracked in the Hosted Application.

2. Revisions to the base application template as required by adding, removing, or changing fields.
3. Creation of Forms (child records to a case) as needed.

Two-Way Portal Requirements

The Case IQ two-way portal allows non-users to submit new cases into the application. To submit a case, the non-user will navigate to the dedicated portal URL provided by Case IQ. The case submitter will also receive credentials that shall permit them to login, view their case, and maintain ongoing communication with Customer.

Milestones for this configuration task shall include:

1. Two-way portal is enabled by Case IQ to permit non-users to submit cases into the application.
2. Customer will decide if they want to enable anonymous two-way case submission, in which the submitter can choose to remain anonymous from Customer but still receive login credentials for ongoing communication with Customer.
3. Configuring the landing page messaging and the Terms and Conditions.
4. Selecting which fields should display on the portal and their respective rules (mandatory/optional field, business logic display rules, etc.).

Workflows Requirements

Case IQ shall configure workflows in the Hosted Application with Customer to build automated case management processes. Workflows generally guide users through the steps to close a case. Workflows in Case IQ consist of:

- Case statuses for each step (e.g., “Initial Review”, “In Progress”, and “Closed”).
- Steps in the process timeline (e.g., Investigation Required (from “Initial Review” to “In Progress”) and Investigation Complete (from “In Progress” to “Closed”).
- Automatic actions to trigger as cases progress through workflows (e.g., notifications, tasks, templates, purge rules, case assignment).

Milestones for this configuration task include:

1. Discuss Customer’s current process for a case, including the main statuses of a case, the progression of a case from status to status, and the automation of certain application tasks throughout the lifecycle of a case.
2. Add workflow for 1 business unit (Complaints).
3. Configure workflow rules and criteria.

User Roles Requirements

Case IQ shall add user roles in the Hosted Application and configure the same with Customer input. A user role defines 1) the actions that an individual can complete and 2) the information they can access in the Hosted Application with their user account.

Case IQ contains a “Dynamic Access Control List”, a hierarchy structure of permissions to grant and revoke access by user role. The permissions structure will be documented for each user role, including:

- The entities that each role can: view, create, and edit.
- The system settings that roles can: view and edit.
- The additional functionality that roles can access: links, calendar, and reporting.

Milestones for this configuration task include:

1. Discuss Customer’s user base and needs to determine the necessary user roles.
2. Create new user roles.
3. Configure permissions of created user roles.

Template Files Requirements

Case IQ shall provide training on the Generate Template functionality and support Customer in the creation of template files to generate standardized documents populated with case record information during the training sessions. Following the training sessions, Customer will be able to create, configure, and maintain templates within the Hosted Application.

Milestones for this configuration task shall include:

1. Train Customer on template creation process.
2. Provide Customer with field mapping information.

Yellowfin Reports Requirements

Case IQ integrates with Yellowfin, a business analytics platform, for reporting, where users can dive deeper into their case data. Case IQ shall enable the creation of dashboards and reports for the Customer in the Yellowfin application. Case IQ shall provide initial training sessions to the Customer's reporting users and the Customer will have the ability to create Yellowfin reports and dashboards on information that is captured within the application.

Training

Case IQ's training program is designed to ensure the success and full utilization of the Hosted Application by each customer. Case IQ provides System Administrator Training, Train the Trainer, Yellowfin Report Training, and Flex Training. These training sessions are tailored to empower users with the knowledge and skills necessary to Administer the Hosted Application, train end-users, create meaningful reports, and address specific areas of need. Our training program is essential to our customers' success, as it provides a learning experience that maximizes the value of our software and supports their business needs. Case IQ's training is broken out into the following session types:

- **System Administrator Training:** During the training phase, workshops and a dedicated 90-minute session will be held to equip Customer's Super Users (system administrators) with the necessary skills to manage the Hosted Application settings and configurations. The focus of the training is to empower Customer's Super Users to effectively manage Fields/Forms, Workflow, Access, and Templates, which are the most frequently adjusted elements in Case IQ.
- **Train the Trainer:** During this training phase, a 90-minute session will be held to empower Customer's core business user(s)/trainer(s) to effectively train the end-user population on Case IQ's standard functionality (case opening, tracking, management, and closing). Case IQ will provide the trainers with a thorough understanding of the core functionality, much of which will have been covered during the configuration workshops. As a result, the trainers will be equipped to train their end-users on Case IQ's standard functionality, and can provide additional business context to support successful adoption of the application.
- **Yellowfin Report Training:** This 90-minute session will provide Customer with the foundational knowledge required to effectively configure reports and dashboards in Yellowfin. This session will cover the basics of report creation, including data selection and report creation. In addition, the session will also provide an overview of the dashboard creation process and how to effectively organize and display data using Yellowfin's built-in visualization tools. The goal of this training is to empower Customer with the skills necessary to create meaningful reports and dashboards that can be used to drive decision-making and support their business needs.
- **Flex Training:** During both the training and adoption phases, Case IQ offers up to four hours of flexible training that can be tailored to Customer's specific needs. This training can be scheduled as individual or group sessions, as requested by Customer, and can focus on any specific areas that require additional attention. The purpose of flexible training is to provide Customer with a customized training experience that ensures successful adoption and utilization of the Hosted Application.

Case IQ also provides Customer with access to its Knowledge Base, which contains detailed articles and supporting materials on standard functionality.

Data Hosting

Case IQ uses the Microsoft Azure Enterprise Cloud for the Hosted Application. The location of data centres to store the Customer's application data, chosen by the Customer, is detailed in the chart below.

Data Infrastructure for Hosted Application Services	Location
Microsoft Azure - Server region	Azure United States of America

Implementation Schedule

The following schedule is an estimated timeline of the Hosted Application implementation for the Customer that will be confirmed with the Project Implementation Team at the beginning of the implementation process. The estimated project timeline is typically between 8-12 weeks and subject to availability of resources. The Workshop sessions outlined below require active participation by Customer personnel knowledgeable in both the process and organizational goals. Customer is expected to be engaged with the project and assigned tasks following each configuration workshop to ensure the review sessions can be most effective. Customer technical resources will be required for additional discussions related to integrations, migrations, and/or deployments.

To the extent that Customer is unable to provide necessary engagement to progress the project due to resourcing or other factors, Customer and Case IQ will work in good faith to adjust the project implementation schedule as mutually agreed.

Case IQ		
Project Deliverables (8-12 weeks)	Responsibility	Description
Artifact Collection	Customer	Prior to kickoff, the Customer will be responsible for forwarding any artifacts related to their current business process and data collection. This may include but is not limited to screenshots of their existing system, investigative templates, and/or current reports.
Kick off	Service Provider	The purpose of the kickoff meeting is to introduce team members, identify roles, set expectations for both parties, and to outline the project implementation process and timeline. Service Provider will demonstrate the initial wireframe of the application based on the information provided by the Customer and existing product templates to provide stakeholders an overview of the application ahead of the configuration workshops.
Configuration Workshops	Service Provider	Service Provider and the Customer will engage in workshops to discuss business processes and use case. In most cases, the application will be configured live based on feedback from the Customer in real-time. These workshops will include field and form review, workflow configuration, ACL, Reporting and more.
	Customer	Service Provider and the Customer will work together to break down sessions by business unit, as deemed necessary, with additional sessions involving multiple/all business units to ensure harmony within the application (e.g. common fields, access controls, etc.).
Integrations and Data Migrations	Customer	The Customer will actively engage with Case IQ during the workshops and will learn how to use and configure the application as administrators. Following the live session, the Customer will continue to review and work on test cases and configurations and will meet with Case IQ for review sessions and to answer any questions.
	Service Provider	During this phase, Case IQ's development team will be responsible for preparing and configuring the application for in-scope integrations and data migrations.
		The planning work, which shall happen in parallel with the Configuration Workshops shall include discussion regarding scoping, planning, and mapping among other items. Following the conclusion of the Configuration Workshops, the integration development work, mapping, and testing will occur.

Case IQ		
Project Deliverables (8-12 weeks)	Responsibility	Description
	Customer	The Customer shall provide appropriate resources for integration and migration development and testing, as required.
Validation	Service Provider / Customer	During this phase, Case IQ shall present the Hosted Application to the Customer with the configured integrations (if applicable) and test migrations (if applicable). The Customer will then be responsible for reviewing the application's configuration and Case IQ will support final adjustments with the Customer. Following this phase the application will be deemed ready for production and go-live.
Training	Service Provider / Customer	Case IQ will engage with the Customer in training sessions designed for end users, system administrators, and reporting specialists.
Go-Live & Adoption	Service Provider / Customer	Case IQ will configure the production environment and the application is now live. During the 60-day adoption period, the Customer will remain under the care of the Project Implementation Team. Case IQ will continue to provide support and enablement to ensure strong adoption of the application. The Customer will be responsible to provide timely feedback on any issues or questions as they arise.

Part III – Description of Fees

Application Service Fees

The Customer's fees are detailed below.

Item	Cost (US Dollars)

Annual Subscription Fees

If the number of users exceeds **# users**, the user overage fee will be an additional \$950/user/year.

Item	Annual Cost (US Dollars)

Variable Storage Fees

The Variable Storage Fee is based on an allocation of data storage and backup capacity associated with thresholds set in advance. The threshold for this Agreement is outlined in the following table:

Database Size	Cost (US Dollars)
Less than 50 Gigabytes (GB)	No fee
Subsequent 25 GB blocks	\$250/Quarter

Part IV – Terms of Payment

- The following additional services may be purchased for an additional fee of **\$1,500/day**:
 - Data migration.
 - System integration.
 - Additional Case IQ training.
- Any system overages (users or storage) are calculated on a monthly basis and billed quarterly in arrears, starting the quarter after any threshold is exceeded.
- Travel expenses are billed as they occur and will be charged in addition to the Application Configuration, Hosting and User, and Storage Fee amounts.
- All other fees are billed on the Effective Date. For billing purposes, the start date of the Base Annual Fee and User Annual Fee is the Effective Date.
- All payments are due net 30 days of their respective billing date.

Any invoices will be sent to the attention of:

Name: [REDACTED]
Title: [REDACTED]
Phone Number: [REDACTED]
Email: [REDACTED]
PO # for Reference: [REDACTED]

EXHIBIT B – SUPPORT POLICY

1. Definitions

Capitalized terms have the meaning assigned in the Agreement unless otherwise defined below.

Term	Definition
Downtime	The Services are not accessible to Authorized Users for any reason other than Excused Downtime.
Downtime Minutes	The sum of the minutes of Downtime.
Error	A failure of the SaaS Application to conform to the Documentation.
Error Correction	A modification or addition that, when made or added to the SaaS Application, corrects the Error, or a procedure or routine that, when observed in the regular operation of the SaaS Application, eliminates the practical adverse effect of the Error.
Excused Downtime	Time that the SaaS Application is not available to Customer because of (a) System Maintenance, (b) outages caused by misuse of the SaaS Application by Customer, (c) failure of the Internet or any other communication network, and (d) events that are beyond Case IQ's reasonable control
Initial Response	Contact by either email acknowledging the case and providing information about the support process.
Measurement Interval	Each month during the Term.
Service Level Requirements	The agreed online availability being measured in the Service Level Agreement .
System Maintenance	Maintenance of the SaaS Application, including maintaining and upgrading software and hardware.
Uptime Minutes	Minutes that are included in Uptime.
Uptime Percentage	The product of: $\frac{(Uptime\ Minutes) - (Downtime\ Minutes)}{Uptime\ Minutes} \times 100$
Workaround	Provides relief from the non-conforming product behavior. Relief may take the form of an alternate usage, a System configuration change, a patch and/or design approach, or information in the case of an information request.

2. Service Level Requirements

Online Availability

- i. The SaaS Application be available at least 99.7% of the time during each Measurement Interval.

Errors and Error Correction

- ii. Case IQ will use commercially reasonable efforts to provide an Error Correction in a timely manner. Case IQ shall reasonably determine the priority level of Errors.
- iii. Severity of Errors are classed as follows:

Severity Level	Impact	Description
Severity 1	Critical Business Impact – All Productive Activity Stopped	General SaaS Application access failure or reporting system access or update failure. Customer is unable to use the SaaS Application or to continue work using the SaaS Application in a production environment.
Severity 2	Major Business Impact – Specific User Access Failure or System Upload Failure	Customer is unable to log into the SaaS Application or reporting or requires access granted into the application or reporting. Upload failure regarding attachments, emails, and SFTP Files
Severity 3	Major Business Impact - Major Feature Failure or Performance Degradation	Critical components of the SaaS Application are not working in accordance with the Documentation but not all components are impacted. Behavior has created a significant negative impact on the Customer’s productivity.
Severity 4	Minor Business Impact - Minor Feature Failure	Minor components of the SaaS Application are not working in accordance with the Documentation. <ul style="list-style-type: none"> • SaaS Application behavior yields minimal loss of operational functionality or implementation resources. • Issue is isolated to a single user or instance.
Severity 5	Minimal Business Impact – General Questions	<ul style="list-style-type: none"> • Services Information Request. • Services Enhancement. • Services Documentation Clarification.

- iv. Case IQ is not required to provide any support services relating to problems arising out of:
- Changes to the Customer’s operating system or environment which adversely affect the SaaS Application;
 - Any alterations of or additions to the SaaS Application performed by parties other than the Case IQ or at the direction of Case IQ;
 - Use of the SaaS Application in breach of the Agreement;
 - Accident, negligence, or misuse of the SaaS Application by Customer;
 - Introduction by the Customer of data into any database used by the SaaS Application by any means other than the use of the SaaS Application; or
 - Use of the SaaS Application on equipment or in connection with third party software other than for which it was designed and access provided.
- v. If it is determined that the problem resulted from one of the causes above, and Customer requests Case IQ to provide services, then Customer will be responsible for all reasonable travel and lodging expenses in addition to the Case IQ’s standard consulting rates, if applicable. Travel time will be charged at consulting rates.

Support Procedure

- Support requests must be directed to the Support at support@Case IQ.com.
- Support will be provided during regular business hours are Monday – Friday, 8am – 5pm eastern time excluding nationally recognized holidays.

Service Level Objectives

- The Service Level Objectives (“SLOs”) stated below are targets and do not include or account for time waiting for further information from the Customer or other delays beyond Case IQ’s reasonable control.
- Time periods refer to operating hours from when the case is received or to business days.

SLOs:

Severity Level	Initial Response Target	Workaround Target	Target
1*	60 minutes	8 hours	1 business day
2*	4 business hours	1 business day	4 business days
3	4 business hours	2 business days	6 business days
4	4 business hours	3 business days	8 business days
5	As mutually agreed	N/A	N/A

*Severity Levels 1 and 2 will be addressed on a 24X7 basis.

System Maintenance

- x. Routine maintenance s performed on Fridays, Saturdays, or Sundays between 12:00 AM Eastern Time and 6:00 AM Eastern Time (the “Standard Maintenance Window”).
- xi. If emergency maintenance is required during any time other than the Standard Maintenance Window, Case IQ will notify all affected Customers directly either by telephone or via email.