STATE OF NEBRASKA SERVICE CONTRACT AWARD

State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, Nebraska 68508

Telephone: (402) 471-6500
Fax: (402) 471-2089

PAGE	ORDER DATE
1 of 6	12/19/16
BUSINESS UNIT	BUYER
9328900	NANCY STORANT (AS)

VENDOR NUMBER: 2358984

VENDOR ADDRESS:

PCC TECHNOLOGY INC
100 NORTHFIELD DR
WINDSOR CT 06095-4730

CONTRACT NUMBER
74944 O4

AN AWARD HAS BEEN MADE TO THE VENDOR/CONTRACTOR NAMED ABOVE FOR THE SERVICES AS LISTED BELOW FOR THE PERIOD:

JANUARY 01, 2017 THROUGH JUNE 30, 2021

THIS CONTRACT IS NOT AN EXCLUSIVE CONTRACT TO FURNISH THE SERVICES SHOWN BELOW, AND DOES NOT PRECLUDE THE PURCHASE OF SIMILAR SERVICES FROM OTHER SOURCES.

THE STATE RESERVES THE RIGHT TO EXTEND THE PERIOD OF THIS CONTRACT BEYOND THE TERMINATION DATE WHEN MUTUALLY AGREEABLE TO THE VENDOR/CONTRACTOR AND THE STATE OF NEBRASKA.

Original/Bid Document 5301 Z1

Contract to supply and deliver a Business Services Filing System to the State of Nebraska as per the attached specifications from date of award to June 30, 2021. The contract may be renewed for five (5) additional three (3) year periods when mutually agreeable to the vendor and the State of Nebraska.

Vendor Contact: Greg Amato
Phone: (860) 466-7235
Fax: (860) 219-0615
E-Mail: greg.amato@pcctg.com

(12/16/16 wc)

Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
1	SOFTWARE INSTALLATION INITIAL CONTRACT PERIOD	1.0000	EA	341,523.0000	341,523.00
2	CORP, UCC, EFS - CONVERSION OF DATA INTO TEST ENVIRONMENT Initial Contract Period	1.0000	EA	341,523.0000	341,523.00
3	TRAINING AND TRAINING DOCUMENTATION Initial Contract Period	1.0000	EA	170,761.5000	170,761.50
4	USER ACCEPTANCE TESTING OF APPLICATION Initial Contract Period	1.0000	EA	341,523.0000	341,523.00
5	PRODUCTION IMPLEMENTATION/GO LIVE Initial Contract Period	1.0000	EA	512,284.5000	512,284.50
6	RETAINAGE DUE -	1.0000	EA	142,301.2500	142,301.25

1/3/17
BUYER
1/3/17
MATERIEL ADMINISTRATOR

R43500|NISK0002|NISK0002 20150901

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Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
	120 DAYS POST GO-LIVE SIGN OFF Initial Contract Period				
7	RETAINAGE DUE - AFTER QUARTERLY, ANNUAL, & BIENNIAL processes are completed and verified. Initial Contract Period	1.0000	EA	47,433.7500	47,433.75
8	OPTIONAL NOTARY/ENOTARY MODULE INITIAL CONTRACT PERIOD	1.0000	EA	231,300.0000	231,300.00
9	OPTIONAL REGISTERED AGENT SELF-SERVICE PROCESS Initial Contract Period	1.0000	EA	65,700.0000	65,700.00
10	TRAVEL EXPENSES INITIAL CONTRACT PERIOD	2,000.0000	EA	1.0000	2,000.00
11	PROJECT MANAGER INITIAL CONTRACT PERIOD	20.0000	HR	160.0000	3,200.00
12	TECHNICAL LEAD INITIAL CONTRACT PERIOD	10.0000	HR	130.0000	1,300.00
13	SENIOR BUSINESS ANALYST INITIAL CONTRACT PERIOD	20.0000	HR	130.0000	2,600.00
14	JUNIOR BUSINESS ANALYST INITIAL CONTRACT PERIOD	20.0000	HR	92.0000	1,840.00
15	DEVELOPER INITIAL CONTRACT PERIOD	242.0000	HR	110.0000	26,620.00
16	DATABASE ADMINISTRATOR INITIAL CONTRACT PERIOD	20.0000	HR	130.0000	2,600.00
17	IMAGE CONVERSION SPECIALIST INITIAL CONTRACT PERIOD	20.0000	HR	92.0000	1,840.00
18	SUPPORT AND MAINTENANCE Initial Contract Period, Year One Pro Rated through June 30, 2017	1.0000	YR	141,440.0000	141,440.00
19	SUPPORT AND MAINTENANCE Initial Contract Period, Year Two: July 1, 2017 through June 30, 2018	1.0000	YR	141,440.0000	141,440.00
20	SUPPORT AND MAINTENANCE Initial Contract Period, Year Three: July 1, 2018 through June 30, 2019	1.0000	YR	141,440.0000	141,440.00

BUYER INITIALS

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VENDOR NUMBER: 2358984

CONTRACT NUMBER
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Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
21	SUPPORT AND MAINTENANCE Initial Contract Period, Year Four: July 1, 2019 through June 30, 2020	1.0000	YR	141,440.0000	141,440.00
22	SUPPORT AND MAINTENANCE Initial Contract Period, Year Five: July 1, 2020 through June 30, 2021	1.0000	YR	141,440.0000	141,440.00
23	SUPPORT AND MAINTENANCE FIRST OPTIONAL RENEWAL - Year One	1.0000	YR	145,640.0000	145,640.00
24	SUPPORT AND MAINTENANCE FIRST OPTIONAL RENEWAL - Year Two	1.0000	YR	145,640.0000	145,640.00
25	SUPPORT AND MAINTENANCE FIRST OPTIONAL RENEWAL - Year Three	1.0000	YR	145,640.0000	145,640.00
26	PROJECT MANAGER FIRST OPTIONAL RENEWAL PERIOD	1.0000	HR	160.0000	160.00
27	TECHNICAL LEAD FIRST OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
28	SENIOR BUSINESS ANALYST FIRST OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
29	JUNIOR BUSINESS ANALYST FIRST OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
30	DEVELOPER FIRST OPTIONAL RENEWAL PERIOD	1.0000	HR	110.0000	110.00
31	DATABASE ADMINISTRATOR FIRST OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
32	IMAGE CONVERSION SPECIALIST FIRST OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
33	TRAVEL EXPENSES FIRST OPTIONAL RENEWAL PERIOD	1.0000	EA	1.0000	1.00
34	SUPPORT AND MAINTENANCE SECOND OPTIONAL RENEWAL - Year One	1.0000	YR	145,640.0000	145,640.00
35	SUPPORT AND MAINTENANCE	1.0000	YR	145,640.0000	145,640.00

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Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
	SECOND OPTIONAL RENEWAL - Year Two				
36	SUPPORT AND MAINTENANCE SECOND OPTIONAL RENEWAL - Year Three	1.0000	YR	145,640.0000	145,640.00
37	PROJECT MANAGER SECOND OPTIONAL RENEWAL	1.0000	HR	160.0000	160.00
38	TECHNICAL LEAD SECOND OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
39	SENIOR BUSINESS ANALYST SECOND OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
40	JUNIOR BUSINESS ANALYST SECOND OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
41	DEVELOPER SECOND OPTIONAL RENEWAL PERIOD	1.0000	HR	110.0000	110.00
42	DATABASE ADMINISTRATOR SECOND OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
43	IMAGE CONVERSION SPECIALIST SECOND OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
44	TRAVEL EXPENSES SECOND OPTIONAL RENEWAL PERIOD	1.0000	EA	1.0000	1.00
45	SUPPORT AND MAINTENANCE THIRD OPTIONAL RENEWAL PERIOD - Year One	1.0000	YR	150,000.0000	150,000.00
46	SUPPORT AND MAINTENANCE THIRD OPTIONAL RENEWAL PERIOD - Year Two	1.0000	YR	150,000.0000	150,000.00
47	SUPPORT AND MAINTENANCE THIRD OPTIONAL RENEWAL PERIOD - Year Three	1.0000	YR	150,000.0000	150,000.00
48	PROJECT MANAGER THIRD OPTIONAL RENEWAL PERIOD	1.0000	HR	160.0000	160.00
49	TECHNICAL LEAD THIRD OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00

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Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
50	SENIOR BUSINESS ANALYST THIRD OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
51	JUNIOR BUSINESS ANALYST THIRD OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
52	DEVELOPER THIRD OPTIONAL RENEWAL PERIOD	1.0000	HR	110.0000	110.00
53	DATABASE ADMINISTRATOR THIRD OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
54	IMAGE CONVERSION SPECIALIST THIRD OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
55	TRAVEL EXPENSES THIRD OPTIONAL RENEWAL PERIOD	1.0000	EA	1.0000	1.00
56	SUPPORT AND MAINTENANCE FOURTH OPTIONAL RENEWAL PERIOD - Year One	1.0000	YR	150,000.0000	150,000.00
57	SUPPORT AND MAINTENANCE FOURTH OPTIONAL RENEWAL PERIOD - Year Two	1.0000	YR	150,000.0000	150,000.00
58	SUPPORT AND MAINTENANCE FOURTH OPTIONAL RENEWAL PERIOD - Year Three	1.0000	YR	150,000.0000	150,000.00
59	PROJECT MANAGER FOURTH OPTIONAL RENEWAL PERIOD	1.0000	HR	160.0000	160.00
60	TECHNICAL LEAD FOURTH OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
61	SENIOR BUSINESS ANALYST FOURTH OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
62	JUNIOR BUSINESS ANALYST FOURTH OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
63	DEVELOPER FOURTH OPTIONAL RENEWAL PERIOD	1.0000	HR	110.0000	110.00
64	DATABASE ADMINISTRATOR FOURTH OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00

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Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
65	IMAGE CONVERSION SPECIALIST FOURTH OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
66	TRAVEL EXPENSES FOURTH OPTIONAL RENEWAL PERIOD	1.0000	EA	1.0000	1.00
67	SUPPORT AND MAINTENANCE FIFTH OPTIONAL RENEWAL PERIOD - Year One	1.0000	YR	154,500.0000	154,500.00
68	SUPPORT AND MAINTENANCE FIFTH OPTIONAL RENEWAL PERIOD - Year Two	1.0000	YR	154,500.0000	154,500.00
69	SUPPORT AND MAINTENANCE FIFTH OPTIONAL RENEWAL PERIOD - Year Three	1.0000	YR	154,500.0000	154,500.00
70	PROJECT MANAGER FIFTH OPTIONAL RENEWAL PERIOD	1.0000	HR	160.0000	160.00
71	TECHNICAL LEAD FIFTH OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
72	SENIOR BUSINESS ANALYST FIFTH OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
73	JUNIOR BUSINESS ANALYST FIFTH OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
74	DEVELOPER FIFTH OPTIONAL RENEWAL PERIOD	1.0000	HR	110.0000	110.00
75	DATABASE ADMINISTRATOR FIFTH OPTIONAL RENEWAL PERIOD	1.0000	HR	130.0000	130.00
76	IMAGE CONVERSION SPECIALIST FIFTH OPTIONAL RENEWAL PERIOD	1.0000	HR	92.0000	92.00
77	TRAVEL EXPENSES FIFTH OPTIONAL RENEWAL PERIOD	1.0000	EA	1.0000	1.00
	Total Order				**5,185,115.00**

BUYER INITIALS

ADDENDUM ONE to Contract Award
Terms and Conditions
Contract 74944 O4 To Provide a Business Services Filing System
Between
The State of Nebraska and PCC Technology, Inc.

The following Terms and Conditions, Addendum One of Contract 74944 O4 have been reviewed and agreed upon between PCC Technology, Inc. "Contractor" and the State of Nebraska "State". This addendum will become part of the contract to provide a Business Services Filing System. The terms and conditions of this Addendum shall supersede, prevail and govern in the case of any inconsistencies with the Terms and Conditions indicated in Section III of the Request for Proposal, except that any section herein marked "Reserved" shall have no effect on the Terms and Conditions indicated in Section III of the Request for Proposal.

By signing this Addendum the Contractor guarantees compliance with the provisions stated herein, agrees to the terms and conditions and certifies Contractor maintains a drug free work place environment.

A. **THE CONTRACT RESULTING FROM THIS REQUEST FOR PROPOSAL SHALL INCORPORATE THE FOLLOWING DOCUMENTS:**

1. Amendment to Contract Award with the most recent dated amendment having the highest priority;
2. Contract Award and any attached Addenda;
3. The Request for Proposal form and the Contractor's Proposal, signed in ink
4. Amendments to RFP and any Questions and Answers; and
5. The original RFP document and any Addenda.

These documents constitute the entirety of the contract.

Unless otherwise specifically stated in a contract amendment, in case of any conflict between the incorporated documents, the documents shall govern in the following order of preference with number one (1) receiving preference over all other documents and with each lower numbered document having preference over any higher numbered document: 1) Amendment to Contract Award with the most recent dated amendment having the highest priority, 2) Contract Award and any attached Addenda, 3) the signed Request for Proposal form and the Contractor's Proposal, 4) Amendments to RFP and any Questions and Answers, 5) the original RFP document and any Addenda.

Any ambiguity in any provision of this contract which shall be discovered after its execution shall be resolved in accordance with the rules of contract interpretation as established in the State of Nebraska.

Once proposals are opened they become the property of the State of Nebraska and will not be returned.

B. AWARD - RESERVED

C. COMPLIANCE WITH CIVIL RIGHTS LAWS AND EQUAL OPPORTUNITY EMPLOYMENT / NONDISCRIMINATION

The Contractor shall comply with all applicable local, state, and federal statutes and regulations regarding civil rights laws and equal opportunity employment. The Nebraska Fair Employment Practice Act prohibits Contractors of the State of Nebraska, and their Subcontractors, from discriminating against any employee or applicant for employment, with respect to hire, tenure, terms, conditions, compensation, or privileges of employment because of race, color, religion, sex, disability, marital status, or national origin (Neb. Rev. Stat. §§ 48-1101 to 48-1125). The Contractor guarantees compliance with the Nebraska Fair Employment Practice Act, and breach of this provision shall be regarded as a material breach of contract. The Contractor shall insert a similar provision in all Subcontracts for services to be covered by any contract resulting from this Request for Proposal.

D. PERMITS, REGULATIONS, LAWS

The Contractor shall procure and pay for all permits, licenses, and approvals necessary for the execution of the contract. The Contractor shall comply with all applicable local, state, and federal laws, ordinances, rules, orders, and regulations.

E. OWNERSHIP OF INFORMATION AND DATA

The State of Nebraska shall have the unlimited right to publish, duplicate, use, and disclose all information and data developed or derived by the Contractor pursuant to this contract.

The Contractor must guarantee that it has the full legal right to the materials, supplies, equipment, and other rights or titles (e.g. rights to licenses transfer or assign deliverables) necessary to execute this contract. The contract price shall, without exception, include compensation for all royalties and costs arising from patents, trademarks, and copyrights that are in any way involved in the contract. It shall be the responsibility of the Contractor to pay for all royalties and costs, and the State must be held harmless from any such claims.

F. INSURANCE REQUIREMENTS

The Contractor shall not commence work under this contract until all the insurance required hereunder has been obtained and such insurance has been approved by the State. The Contractor shall maintain all required insurance for the life of this contract and shall ensure that the State Purchasing Bureau has the most current certificate of insurance throughout the life of this contract. If Contractor will be utilizing any Subcontractors, the Contractor is responsible for obtaining the certificate(s) of insurance required herein under from any and all Subcontractor(s). The Contractor is also responsible for ensuring Subcontractor(s) maintain the insurance required until completion of the contract requirements. The Contractor shall not allow any Subcontractor to commence work on any Subcontract until all similar insurance required of the Subcontractor has been obtained and approved by the Contractor. Approval of the insurance by the State shall not limit, relieve, or decrease the liability of the Contractor hereunder.

If by the terms of any insurance a mandatory deductible is required, or if the Contractor elects to increase the mandatory deductible amount, the Contractor shall be responsible for payment of the amount of the deductible in the event of a paid claim.

Insurance coverages shall function independent of all other clauses in the contract, and in no instance shall the limits of recovery from the insurance be reduced below the limits required by this section.

1. **WORKERS' COMPENSATION INSURANCE**
The Contractor shall take out and maintain during the life of this contract the statutory Workers' Compensation and Employer's Liability Insurance for all of the contactors' employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the Subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the Subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. This policy shall include a waiver of subrogation in favor of the State. The amounts of such insurance shall not be less than the limits stated hereinafter.

2. **COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE**
The Contractor shall take out and maintain during the life of this contract such Commercial General Liability Insurance and Commercial Automobile Liability Insurance as shall protect Contractor and any Subcontractor performing work covered by this contract from claims for damages for bodily injury, including death, as well as from claims for property damage, which may arise from operations under this contract, whether such operation be by the Contractor or by any Subcontractor or by anyone directly or indirectly employed by either of them, and the amounts of such insurance shall not be less than limits stated hereinafter.

The Commercial General Liability Insurance shall be written on an occurrence basis, and provide Premises/Operations, Products/Completed Operations, Independent Contractors, Personal Injury, and Contractual Liability coverage. The policy shall include the State, and others as required by the contract documents, as Additional Insured(s). This policy shall be primary, and any insurance or self-insurance carried by the State shall be considered excess and non-contributory. The Commercial Automobile Liability Insurance shall be written to cover all Owned, Non-owned, and Hired vehicles.

If professional liability coverage is written on a "claims made" basis, Contractor shall also provide proof of renewal each year for two (2) years after substantial completion of the Project, or in the alternative: evidence of extended discovery from the date all services were completed under this Agreement or a project liability policy for the Project covered by the Agreement with a duration of two (2) years after all services were completed under this Agreement.

3. **INSURANCE COVERAGE AMOUNTS REQUIRED**

COMMERCIAL GENERAL LIABILITY	
General Aggregate	$2,000,000

Products/Completed Operations Aggregate	$2,000,000
Personal/Advertising Injury	$1,000,000 per occurrence
Bodily Injury/Property Damage	$1,000,000 per occurrence
Fire Damage	$50,000 any one fire
Medical Payments	$10,000 any one person
Damage to Rented Premises	$300,000 each occurrence
Contractual	Included
XCU Liability (Explosion, Collapse, and Underground Damage)	Included
Independent Contractors	Included
Abuse & Molestation	Included
If higher limits are required, the Umbrella/Excess Liability limits are allowed to satisfy the higher limit.	
WORKER'S COMPENSATION	
Employers Liability Limits	$500K/$500K/$500K
Statutory Limits- All States	Statutory - State of Nebraska
USL&H Endorsement	Statutory
Voluntary Compensation	Statutory
COMMERCIAL AUTOMOBILE LIABILITY	
Bodily Injury/Property Damage	$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
Motor Carrier Act Endorsement	Where Applicable
UMBRELLA/EXCESS LIABILITY	
Over Primary Insurance	$5,000,000
PROFESSIONAL LIABILITY	
All Other Professional Liability (Errors & Omissions)	$5,000,000 Per Claim / Aggregate
COMMERCIAL CRIME	
Crime/Employee Dishonesty Including 3rd Party Fidelity	$1,000,000
CYBER LIABILITY	
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties	$10,000,000
SUBROGATION WAIVER	
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."	
LIABILITY WAIVER	
"Commercial General Liability & Commercial Automobile Liability policies shall be primary and any insurance or self-insurance carried by the State shall be considered excess and non-contributory."	

4. **EVIDENCE OF COVERAGE**

The Contractor should furnish the State, with their proposal response, a certificate of insurance coverage complying with the above requirements to the attention of the Buyer at 402-471-2089 (fax)

These certificates or the cover sheet shall reference the RFP number, and the certificates shall include the name of the company, policy numbers, effective dates, dates of expiration, and amounts and types of coverage afforded. If the State is damaged by the failure of the Contractor to maintain such insurance, then the Contractor shall be responsible for all reasonable costs properly attributable thereto.

Notice of cancellation of any required insurance policy must be submitted to Administrative Services State Purchasing Bureau when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

G. COOPERATION WITH OTHER CONTRACTORS

The State may already have in place or choose to award supplemental contracts for work related to this Request for Proposal, or any portion thereof.

1. The State reserves the right to award the contract jointly between two or more potential Contractors, if such an arrangement is in the best interest of the State.
2. The Contractor shall agree to cooperate with such other Contractors, and shall not commit or permit any act which may interfere with the performance of work by any other Contractor.

H. INDEPENDENT CONTRACTOR

It is agreed that nothing contained herein is intended or should be construed in any manner as creating or establishing the relationship of partners between the parties hereto. The Contractor represents that it has, or will secure at its own expense, all personnel required to perform the services under the contract. The Contractor's employees and other persons engaged in work or services required by the contractor under the contract shall have no contractual relationship with the State; they shall not be considered employees of the State.

All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination against the Contractor, its officers, or its agents) shall in no way be the responsibility of the State. The Contractor will hold the State harmless from any and all such claims. Such personnel or other persons shall not require nor be entitled to any compensation, rights, or benefits from the State including without limit, tenure rights, medical and hospital care, sick and vacation leave, severance pay, or retirement benefits.

I. CONTRACTOR RESPONSIBILITY

The Contractor is solely responsible for fulfilling the contract, with responsibility for all services offered and products to be delivered as stated in the Request for Proposal, the Contractor's proposal, and the resulting contract. The Contractor shall be the sole point of contact regarding all contractual matters.

If the Contractor intends to utilize any Subcontractor's services, the Subcontractor's level of effort, tasks, and time allocation must be clearly defined in the Contractor's proposal. The Contractor shall agree that it will not utilize any Subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State.

Following execution of the contract, the Contractor shall proceed diligently with all services and shall perform such services with qualified personnel in accordance with the contract.

J. CONTRACTOR PERSONNEL

The Contractor warrants that all persons assigned to the project shall be employees of the Contractor or specified Subcontractors, and shall be fully qualified to perform the work required herein. Personnel employed by the Contractor to fulfill the terms of the contract shall remain under the sole direction and control of the Contractor. The Contractor shall include a similar provision in any contract with any Subcontractor selected to perform work on the project.

Personnel commitments made in the Contractor's proposal shall not be changed without the prior written approval of the State. Replacement of key personnel, if approved by the State, shall be with personnel of equal or greater ability and qualifications.

The State reserves the right to require the Contractor to reassign or remove from the project any Contractor or Subcontractor employee.

In respect to its employees, the Contractor agrees to be responsible for the following:

1. any and all employment taxes and/or other payroll withholding;
2. any and all vehicles used by the Contractor's employees, including all insurance required by state law;
3. damages incurred by Contractor's employees within the scope of their duties under the contract;
4. maintaining workers' compensation and health insurance and submitting any reports on such insurance to the extent required by governing State law; and
5. determining the hours to be worked and the duties to be performed by the Contractor's employees.

K. CONTRACT CONFLICTS

Contractor shall insure that contracts or agreements with sub-contractors and agents, and the performance of services in relation to this contract by sub-contractors and agents, does not conflict with this contract.

L. STATE OF NEBRASKA PERSONNEL RECRUITMENT PROHIBITION

The Contractor shall not, at any time, recruit or employ any State employee or agent who has worked on the Request for Proposal or project, or who had any influence on decisions affecting the Request for Proposal or project.

M. CONFLICT OF INTEREST

By submitting a proposal, bidder certifies that there does not now exist any relationship between the bidder and any person or entity which is or gives the appearance of a conflict of interest related to this Request for Proposal or project.

The bidder certifies that it shall not take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its services hereunder or which creates an actual or appearance of conflict of interest.

The bidder certifies that it will not employ any individual known by bidder to have a conflict of interest.

N. PROPOSAL PREPARATION COSTS - RESERVED

O. ERRORS AND OMISSIONS

The bidder shall not take advantage of any errors and/or omissions in this Request for Proposal or resulting contract. The bidder must promptly notify the State of any errors and/or omissions that are discovered.

P. BEGINNING OF WORK

The bidder shall not commence any billable work until a valid contract has been fully executed by the State and the successful Contractor. The Contractor will be notified in writing when work may begin.

Q. ASSIGNMENT BY THE STATE

The State shall have the right to assign or transfer the contract or any of its interests herein to any agency, board, commission, or political subdivision of the State of Nebraska. There shall be no charge to the State for any assignment hereunder.

R. ASSIGNMENT BY THE CONTRACTOR

The Contractor may not assign, voluntarily or involuntarily, the contract or any of its rights or obligations hereunder (including without limitation rights and duties of performance) to any third party, without the prior written consent of the State, which will not be unreasonably withheld.

S. DEVIATIONS FROM THE REQUEST FOR PROPOSAL - RESERVED

T. GOVERNING LAW

The contract shall be governed in all respects by the laws and statutes of the State of Nebraska. Any legal proceedings against the State of Nebraska regarding this Request for Proposal or any resultant contract shall be brought in the State of Nebraska administrative or judicial forums as defined by State law. The Contractor must be in compliance with all Nebraska statutory and regulatory law.

U. ATTORNEY'S FEES

In the event of any litigation, appeal, or other legal action to enforce any provision of the contract, the Contractor agrees to pay all expenses of such action, as permitted by law, including attorney's fees and costs, if the State is the prevailing party.

V. ADVERTISING

The Contractor agrees not to refer to the contract award in advertising in such a manner as to state or imply that the company or its services are endorsed or preferred by the State. News releases pertaining to the project shall not be issued without prior written approval from the State.

W. STATE PROPERTY

The Contractor shall be responsible for the proper care and custody of any State-owned property which is furnished for the Contractor's use during the performance of the contract. The Contractor shall reimburse the State for any loss or damage of such property; normal wear and tear is expected.

X. SITE RULES AND REGULATIONS

The Contractor shall use its best efforts to ensure that its employees, agents, and Subcontractors comply with site rules and regulations while on State premises. If the Contractor must perform on-site work outside of the daily operational hours set forth by the State, it must make arrangements with the State to ensure access to the facility and the equipment has been arranged. No additional payment will be made by the State on the basis of lack of access, unless the State fails to provide access as agreed to between the State and the Contractor.

Y. NOTIFICATION

During the bid process, all communication between the State and a bidder shall be between the bidder's representative clearly noted in its proposal and the buyer noted in Section II.A. Procuring Office and Contact Person, of this RFP. After the award of the contract, all notices under the contract shall be deemed duly given upon delivery to the staff designated as the point of contact for this Request for Proposal, in person, or upon delivery by U.S. Mail, facsimile, or e-mail. Each bidder should provide in its proposal the name, title, and complete address of its designee to receive notices.

1. Except as otherwise expressly specified herein, all notices, requests, or other communications shall be in writing and shall be deemed to have been given if delivered personally or mailed, by U.S. Mail, postage prepaid, return receipt requested, to the parties at their respective addresses set forth above, or at such other addresses as may be specified in writing by either of the parties. All notices, requests, or communications shall be deemed effective upon personal delivery or three (3) calendar days following deposit in the mail.

2. Whenever the Contractor encounters any difficulty which is delaying or threatens to delay its timely performance under the contract, the Contractor shall immediately give notice thereof in writing to the State reciting all relevant information with respect thereto. Such notice shall not in any way constitute a basis for an extension of the delivery schedule or be construed as a waiver by the State of any of its rights or remedies to which it is entitled by law or equity or pursuant to the provisions of the contract. Failure to give such notice, however, may be grounds for denial of any request for an extension of the delivery schedule because of such delay.

Either party may change its address for notification purposes by giving notice of the change, and setting forth the new address and an effective date.

For the duration of the contract, all communication between Contractor and the State regarding the contract shall take place between the Contractor and individuals specified by the State in writing. Communication about the contract between Contractor and individuals not designated as points of contact by the State is strictly forbidden.

Z. EARLY TERMINATION

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.

2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.

3. The State may terminate the contract immediately for the following reasons:

   a. if directed to do so by statute;
   b. Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;
   c. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
   d. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
   e. an involuntary proceeding has been commenced by any party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
   f. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
   g. Contractor intentionally discloses confidential information;
   h. Contractor has or announces it will discontinue support of the deliverable;
   i. second or subsequent documented "vendor performance report" form deemed acceptable by the State Purchasing Bureau; or
   j. Contractor engaged in collusion or actions which could have provided Contractor an unfair advantage in obtaining this contract.

AA. FUNDING OUT CLAUSE OR LOSS OF APPROPRIATIONS

The State may terminate the contract, in whole or in part, in the event funding is no longer available. The State's obligation to pay amounts due for fiscal years following the current

fiscal year is contingent upon legislative appropriation of funds for the contract. Should said funds not be appropriated, the State may terminate the contract with respect to those payments for the fiscal years for which such funds are not appropriated. The State will give the Contractor written notice thirty (30) calendar days prior to the effective date of any termination, and advise the Contractor of the location (address and room number) of any related equipment. All obligations of the State to make payments after the termination date will cease and all interest of the State in any related equipment will terminate. The Contractor shall be entitled to receive just and equitable compensation for any authorized work which has been satisfactorily completed as of the termination date. In no event shall the Contractor be paid for a loss of anticipated profit.

BB. BREACH BY CONTRACTOR

The State may terminate the contract, in whole or in part, if the Contractor fails to perform its obligations under the contract in a timely and proper manner. The State may, by providing a written notice of default to the Contractor, allow the Contractor to cure a failure or breach of contract within a period of thirty (30) calendar days (or longer at State's discretion considering the gravity and nature of the default). Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing the Contractor time to cure a failure or breach of contract does not waive the State's right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby.

CC. ASSURANCES BEFORE BREACH

If any document or deliverable required pursuant to the contract does not fulfill the requirements of the Request for Proposal/resulting contract, upon written notice from the State, the Contractor shall deliver assurances in the form of additional Contractor resources at no additional cost to the project in order to complete the deliverable, and to ensure that other project schedules will not be adversely affected.

DD. ADMINISTRATION – CONTRACT TERMINATION

1. Contractor must provide confirmation that upon contract termination all deliverables prepared in accordance with this agreement shall become the property of the State of Nebraska; subject to the ownership provision (section E) contained herein, and is provided to the State of Nebraska at no additional cost to the State.

2. Contractor must provide confirmation that in the event of contract termination, all records that are the property of the State will be returned to the State within thirty (30) calendar days. Notwithstanding the above, Contractor may retain one copy of any information as required to comply with applicable work product documentation standards or as are automatically retained in the course of Contractor's routine back up procedures.

EE. PENALTY

In the event that the Contractor fails to perform any substantial obligation under the contract, the State may withhold all monies due and payable to the Contractor, without penalty, until such failure is cured or otherwise adjudicated.

FF. RETAINAGE

The State will withhold 10 percent (10%) of each payment due as retainage. 75% of the retainage amount will be payable after 120 days post Go-Live sign off and 25% will be payable after quarterly, annual, and biennial processes are completed and verified. The Contractor will invoice the State for the retainage. The State may reject any invoice for retainage by identifying the specific reasons for such rejection in writing to the Contractor within forty-five (45) calendar days of receipt of each retainage invoice. .

GG. PERFORMANCE BOND

The Contractor will be required to supply a bond executed by a corporation authorized to contract surety in the State of Nebraska, payable to the State of Nebraska, which shall be valid for the life of the contract to include any renewal and/or extension periods. The amount of the bond must be an established dollar amount of $250,000. The bond will guarantee that the Contractor will faithfully perform all requirements, terms and conditions of the contract. Failure to comply shall be grounds for forfeiture of the bond as liquidated damages. Amount of forfeiture will be determined by the agency based on loss to the State. The bond will be returned when the service has been satisfactorily completed as solely determined by the State, after termination or expiration of the contract.

HH. FORCE MAJEURE

Neither party shall be liable for any costs or damages resulting from its inability to perform any of its obligations under the contract due to a natural disaster, or other similar event outside the control and not the fault of the affected party ("Force Majeure Event"). A Force Majeure Event shall not constitute a breach of the contract. The party so affected shall immediately give notice to the other party of the Force Majeure Event. The State may grant relief from performance of the contract if the Contractor is prevented from performance by a Force Majeure Event. The burden of proof for the need for such relief shall rest upon the Contractor. To obtain release based on a Force Majeure Event, the Contractor shall file a written request for such relief with the State Purchasing Bureau. Labor disputes with the impacted party's own employees will not be considered a Force Majeure Event and will not suspend performance requirements under the contract.

II. PROHIBITION AGAINST ADVANCE PAYMENT

Payments shall not be made until contractual deliverable(s) are received and accepted by the State.

JJ. PAYMENT

State will render payment to Contractor when the terms and conditions of the contract and specifications have been satisfactorily completed on the part of the Contractor as solely determined by the State. Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §§ 81-2401 through 81-2408). The State may require the Contractor to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any services provided by the Contractor prior to the Effective Date, and the Contractor hereby waives any claim or cause of action for any such services.

KK. INVOICES

Invoices for payments must be submitted by the Contractor to the agency requesting the services with sufficient detail to support payment. The terms and conditions included in the Contractor's invoice shall be deemed to be solely for the convenience of the parties. No terms or conditions of any such invoice shall be binding upon the State, and no action by the State, including without limitation the payment of any such invoice in whole or in part, shall be construed as binding or estopping the State with respect to any such term or condition, unless the invoice term or condition has been previously agreed to by the State as an amendment to the contract.

LL. RIGHT TO AUDIT

Contractor shall establish and maintain a reasonable accounting system that enables the State to readily audit contract. The State and its authorized representatives shall have the right to audit, to examine, and to make copies of or extracts from all financial and related records (in whatever form they may be kept, whether written, electronic, or other) relating to or pertaining to this contract kept by or under the control of the Contractor, including, but not limited to those kept by the Contractor, its employees, agents, assigns, successors, and Subcontractors. Such records shall include, but not be limited to, accounting records, written policies and procedures; all paid vouchers including those for out-of-pocket expenses; other reimbursement supported by invoices; ledgers; cancelled checks; deposit slips; bank statements; journals; original estimates; estimating work sheets; contract amendments and change order files; back charge logs and supporting documentation; insurance documents; payroll documents; timesheets; memoranda; and correspondence.

Contractor shall, at all times during the term of this contract and for a period of five (5) years after the completion of this contract, maintain such records, together with such supporting or underlying documents and materials. The Contractor shall at any time requested by the State, whether during or after completion of this contract and at Contractor's own expense make such records available for inspection and audit (including copies and extracts of records as required) by the State. Such records shall be made available to the State during normal business hours at the Contractor's office or place of business. In the event that no such location is available, then the financial records, together with the supporting or underlying documents and records, shall be made available for audit at a time and location that is convenient for the State. Contractor shall ensure the State has these rights with Contractor's assigns, successors, and Subcontractors, and the obligations of these rights shall be explicitly included in any subcontracts or agreements formed between the Contractor and any Subcontractors to the extent that those Subcontracts or agreements relate to fulfillment of the Contractor's obligations to the State.

Costs of any audits conducted under the authority of this right to audit and not addressed elsewhere will be borne by the State unless certain exemption criteria are met. If the audit identifies overpricing or overcharges (of any nature) by the Contractor to the State in excess of one-half of one percent (.5%) of the total contract billings, the Contractor shall reimburse the State for the total costs of the audit. If the audit discovers substantive findings related to fraud, misrepresentation, or non-performance, the Contractor shall reimburse the State for total costs of audit. Any adjustments and/or payments that must be made as a result of any such audit or inspection of the Contractor's invoices and/or records shall be made within a reasonable amount of time (not to exceed 90 days) from presentation of the State's findings to Contractor.

MM. TAXES

The State is not required to pay taxes of any kind and assumes no such liability as a result of this solicitation. Any property tax payable on the Contractor's equipment which may be installed in a state-owned facility is the responsibility of the Contractor.

NN. INSPECTION AND APPROVAL

Final inspection and approval of all work required under the contract shall be performed by the designated State officials. The State and/or its authorized representatives shall have the right to enter any premises where the Contractor or Subcontractor duties under the contract are being performed, and to inspect, monitor or otherwise evaluate the work being performed. All inspections and evaluations shall be at reasonable times and in a manner that will not unreasonably delay work.

OO. CHANGES IN SCOPE/CHANGE ORDERS

The State may, upon the written agreement of Contractor, make changes to the contract within the general scope of the RFP. The State may, at any time work is in progress, by written agreement, make alterations in the terms of work as shown in the specifications, require the Contractor to make corrections, decrease the quantity of work, or make such other changes as the State may find necessary or desirable. The Contractor shall not claim forfeiture of contract by reasons of such changes by the State. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices if any, or a pro-rated value.

Corrections of any deliverable, service or performance of work required pursuant to the contract shall not be deemed a modification. Changes or additions to the contract beyond the scope of the RFP are not permitted.

PP. SEVERABILITY

If any term or condition of the contract is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and conditions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the contract did not contain the particular provision held to be invalid.

QQ. CONFIDENTIALITY

All materials and information provided by the State or acquired by the Contractor on behalf of the State shall be regarded as confidential information. All materials and information provided by the State or acquired by the Contractor on behalf of the State shall be handled in accordance with federal and state law, and ethical standards. The Contractor must ensure the confidentiality of such materials or information. Should said confidentiality be breached by a Contractor; Contractor shall notify the State immediately of said breach and take immediate corrective action.

It is incumbent upon the Contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1), which is made applicable to Contractors by 5 U.S.C. 552a (m)(1), provides that

any officer or employee of a Contractor, who by virtue of his/her employment or official position has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

RR. PROPRIETARY INFORMATION - RESERVED

SS. CERTIFICATION OF INDEPENDENT PRICE DETERMINATION/COLLUSIVE BIDDING - RESERVED

TT. STATEMENT OF NON-COLLUSION

The proposal shall be arrived at by the bidder independently and be submitted without collusion with, and without any direct or indirect agreement, understanding or planned common course of action with, any person; firm; corporation; bidder; Contractor of materials, supplies, equipment or services described in this RFP. Bidder shall not collude with, or attempt to collude with, any state officials, employees or agents; or evaluators or any person involved in this RFP. The bidder shall not take any action in the restraint of free competition or designed to limit independent bidding or to create an unfair advantage.

Should it be determined that collusion occurred, the State reserves the right to reject a bid or terminate the contract and impose further administrative sanctions.

UU. PRICES

All prices, costs, and terms and conditions outlined in the proposal shall remain fixed and valid commencing on the opening date of the proposal until an award is made (and for bidder receiving award, prices shall remain as bid for the duration of the contract unless otherwise so stated in the contract) or the Request for Proposal is cancelled.

Prices quoted on the Cost Proposal form shall remain fixed for the initial contract period. At renewal time rates may increase no more than 5% upon mutual written agreement by Contractor and SoS, and be accompanied by documentation justifying the price increase. Further documentation may be required by the State to justify the increase. The State reserves the right to deny any requested price increase. No price increases are to be billed to any State Agencies prior to written amendment of the contract by the parties.

The State will be given full proportionate benefit of any price decrease during the term of the contract.
Contractor represents and warrants that all prices for services, now or subsequently specified, are as low as and no higher than prices which the Contractor has charged or intends to charge customers other than the State for the same or similar products and services of the same or equivalent quantity and quality for delivery or performance during the same periods of time. If, during the term of the contract, the Contractor shall reduce any and/or all prices charged to any customers other than the State for the same or similar products or services specified herein, the Contractor shall make an equal or equivalent reduction in corresponding prices for said specified products or services.

Contractor also represents and warrants that all prices set forth in the contract and all prices in addition, which the Contractor may charge under the terms of the contract, do not and will not violate any existing federal, state, or municipal law or regulations concerning price discrimination and/or price fixing. Contractor agrees to hold the State harmless from any such violation. Prices quoted shall not be subject to increase throughout the contract period unless specifically allowed by these specifications.

VV. BEST AND FINAL OFFER - RESERVED

WW. ETHICS IN PUBLIC CONTRACTING - RESERVED

XX. INDEMNIFICATION

1. GENERAL

The Contractor agrees to defend, indemnify, hold, and save harmless the State and its employees, volunteers, agents, and its elected and appointed officials ("the indemnified parties") from and against any and all claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses ("the claims"), sustained or asserted against the State, arising out of, resulting from, or attributable to the willful misconduct, negligence, error, or omission of the Contractor, its employees, Subcontractors, consultants, representatives, and agents, except to the extent such Contractor liability is attenuated by any action of the State which directly and proximately contributed to the claims.

2. INTELLECTUAL PROPERTY

The Contractor agrees it will, at its sole cost and expense, defend, indemnify, and hold harmless the indemnified parties from and against any and all claims, to the extent such claims arise out of, result from, or are attributable to, the actual or alleged infringement or misappropriation of any patent, copyright, trade secret, trademark, or confidential information of any third party by the Contractor or its employees, Subcontractors, consultants, representatives, and agents; provided, however, the State gives the Contractor prompt notice in writing of the claim. The Contractor may not settle any infringement claim that will affect the State's use of the Licensed Software without the State's prior written consent, which consent may be withheld for any reason.

If a judgment or settlement is obtained or reasonably anticipated against the State's use of any intellectual property for which the Contractor has indemnified the State, the Contractor shall, at the Contractor's sole cost and expense, promptly modify the item or items which were determined to be infringing, acquire a license or licenses on the State's behalf to provide the necessary rights to the State to eliminate the infringement, or provide the State with a non-infringing substitute that provides the State the same functionality. At the State's election, the actual or anticipated judgment may be treated as a breach of warranty by the Contractor, and the State may receive the remedies provided under this RFP.

3. PERSONNEL

The Contractor shall, at its expense, indemnify and hold harmless the indemnified parties from and against any claim with respect to withholding taxes, worker's compensation, employee benefits, or any other claim, demand, liability, damage, or loss of any nature relating to any of the personnel provided by the Contractor.

4. **SELF-INSURANCE**

The State of Nebraska is self-insured for any loss and purchases excess insurance coverage pursuant to Neb. Rev. Stat. § 81-8,239.01 (Reissue 2008). If there is a presumed loss under the provisions of this agreement, Contractor may file a claim with the Office of Risk Management pursuant to Neb. Rev. Stat. §§ 81-8,829 – 81-8,306 for review by the State Claims Board. The State retains all rights and immunities under the State Miscellaneous (Section 81-8,294), Tort (Section 81-8,209), and Contract Claim Acts (Section 81-8,302), as outlined in Neb. Rev. Stat. § 81-8,209 *et seq.* and under any other provisions of law and accepts liability under this agreement to the extent provided by law.

YY. **NEBRASKA TECHNOLOGY ACCESS STANDARDS**

Contractor shall review the Nebraska Technology Access Standards, found at http://nitc.nebraska.gov/standards/2-201.html and ensure that products and/or services provided under the contract are in compliance or will comply with the applicable standards to the greatest degree possible. In the event such standards change during the Contractor's performance, the State may create an amendment to the contract to request the contract comply with the changed standard at a cost mutually acceptable to the parties.

ZZ. **ANTITRUST**

The Contractor hereby assigns to the State any and all claims for overcharges as to goods and/or services provided in connection with this contract resulting from antitrust violations which arise under antitrust laws of the United States and the antitrust laws of the State.

AAA. **DISASTER RECOVERY/BACK UP PLAN**

The Contractor shall have a disaster recovery and back-up plan, of which a copy should be provided to the State, which includes, but is not limited to equipment, personnel, facilities, and transportation, in order to continue services as specified under the specifications in the contract in the event of a disaster.

BBB. **TIME IS OF THE ESSENCE**

Time is of the essence in this contract. The acceptance of late performance with or without objection or reservation by the State shall not waive any rights of the State nor constitute a waiver of the requirement of timely performance of any obligations on the part of the Contractor remaining to be performed.

CCC. **RECYCLING**

Preference will be given to items which are manufactured or produced from recycled material or which can be readily reused or recycled after their normal use as per Neb. Rev. Stat. § 81-15,159.

DDD. **DRUG POLICY**

Contractor certifies it maintains a drug free work place environment to ensure worker safety and workplace integrity. Contractor agrees to provide a copy of its drug free workplace policy at any time upon request by the State.

EEE. EMPLOYEE WORK ELIGIBILITY STATUS

The Contractor is required and hereby agrees to use a federal immigration verification system to determine the work eligibility status of employees physically performing services within the State of Nebraska. A federal immigration verification system means the electronic verification of the work authorization program authorized by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, 8 U.S.C. 1324a, known as the E-Verify Program, or an equivalent federal program designated by the United States Department of Homeland Security or other federal agency authorized to verify the work eligibility status of an employee.

If the Contractor is an individual or sole proprietorship, the following applies:

1. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at http://das.nebraska.gov/materiel/purchasing.html

   The completed United States Attestation Form should be submitted with the Request for Proposal response.

2. If the Contractor indicates on such attestation form that he or she is a qualified alien, the Contractor agrees to provide the US Citizenship and Immigration Services documentation required to verify the Contractor's lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program.

3. The Contractor understands and agrees that lawful presence in the United States is required and the Contractor may be disqualified or the contract terminated if such lawful presence cannot be verified as required by Neb. Rev. Stat. § 4-108.

FFF. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND INELIGIBILITY - RESERVED

GGG. POLITICAL SUB-DIVISIONS

The Contractor may extend the contract to political sub-divisions conditioned upon the honoring of the prices charged to the State. Terms and conditions of the Contract must be met by political sub-divisions. Under no circumstances shall the State be contractually obligated or liable for any purchases by political sub-divisions or other public entities not authorized by Neb. Rev. Stat. § 81-145, listed as "all officers of the state, departments, bureaus, boards, commissions, councils, and institutions receiving legislative appropriations." A listing of Nebraska political subdivisions may be found at the website of the Nebraska Auditor of Public Accounts.

State of Nebraska
State Purchasing Bureau
Business Services filing System
clarification questions
Response to RFP No. 5301Z1
Date: October 25th, 2016

Submitted by:
PCC Technology, Inc.
100 Northfield Drive, Suite 300A
Windsor, CT 06095

Contact:
Greg Amato
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CLARIFICATION QUESTIONS

SYSTEM ARCHITECTURE, LICENSING, AND OWNERSHIP (SAL)

a. Are separate servers necessary for the various environments? In the oral presentation you had indicated that multiple environments could be hosted on the same server, please clarify.

i. For the servers, what is your minimum recommendation for servers, size and necessary requirements?

As clarified during the Oral Presentation and in our telephone conversation on 10/20/2016, we would recommend separate machines or instances for production application servers, but training/test can reside on a shared instance. The following are our server/instance size recommendations based on environment:

DEV, TEST, UAT SERVER CONFIGURATION

#	Server Type	Configuration Details	Quantity
1	API Application Server	• 8 Core (at least 2.7 GHz), 48 GiB RAM • Windows 2012 R2 / IIS	1
2	Application / Web Server	• 8 Core (at least 2.7 GHz), 48 GiB RAM • Windows 2012 R2 / IIS	1
3	Database Server Cluster	• 16 Core (at least 2.7 GHz), 96 GiB RAM • Windows 2012 R2 • SQL 2014 Standard Edition	1

PRODUCTION SERVER CONFIGURATION

#	Server Type	Configuration Details	Quantity
1	API – Application Server	• 8 Core (at least 2.7 GHz), 32 GiB RAM • Windows 2012 R2 / IIS	1
2	Application / Web Server	• 8 Core (at least 2.7 GHz), 32 GiB RAM • Windows 2012 R2 / IIS	1
3	Database Server Cluster	• 16 Core (at least 2.7 GHz), 64 GiB RAM • Windows 2012 R2 • SQL 2014 Standard Edition	1
4	Storage	• OnBase	N/A

b. Access to the production SQL cluster is not granted to bidders. The state OCIO moves all changes from CAT to production. Is this an issue?

This is not an issue; we understand that the OCIO will move changes into production. We will discuss and agree upon necessary protocols, documentation and communication as part of the Initiation Phase.

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GENERAL FEATURES, MAINTENANCE, AND SUPPORT (GF)

a. What services, specifically, are included in the annual support and maintenance fees/costs?

- Level 2 Help Desk (Calls from designated SOS Staff and IT personnel; SOS will field calls from external users) during the hours of 8AM-5PM CST. There are no limits to the number of calls fielded during these times.
- Standard maintenance releases for all bugs on a schedule to be confirmed with the SOS (typically monthly with ad-hoc for critical issues)
- Functional enhancements, as well as recommendations for base-product enhancements offered on a client-specific basis, approved through the change control process and priced through the rate card will also be prioritized within the standard scheduled releases.
- Periodic updates to ensure browser compatibility and security compliance as monitored by PCC on behalf of all clients.

b. What is the process for notifying us when system upgrades will occur? Will there be a maintenance change request for us to sign for approval for all changes done by the vendor after going live with the system?

All items within an approved release are verified in a test environment and approved/closed by the SOS before being deployed to production.

PCC uses an online tracking system called TAS, which stands for Testing Administration System. All issues, including bugs and requested enhancements are logged within this system for analysis, communication of resolution options, and approval. Non-bug related requests, such as enhancements and new functionality, are entered with attributes identifying it as a possible enhancement or change request. Following each scheduled release, the PCC and SOS project managers will review the current queue of issues/approved enhancements for development of the next period's release plan.

Specifically, for enhancement requests that may result in change control, the PCC project manager will regularly review the list of these items with the SOS project manager, and according to the priority and complexity of approved items, we will determine the appropriate deliverable schedules and identify a release date. These items classified as changes or enhancements require approval, sign-off, and a change number saved with the TAS item.

c. Do you have a recommendation for particular check scanners, should we choose to use them?

PCC has no specific recommendation for check scanners other than that they should be TWAIN-compliant. The scanners selected will depend on the functionality required by the State and on budgetary considerations. At a minimum, the check scanner will scan an image of the check and pass it to PCC's solution as well as be capable of magnetic ink character recognition (MICR) if auto-capture of the account and routing numbers is required. Optical or Intelligent Character Recognition (ICR/OCR-A/OCR-B) features will allow the scanner to read dollar amounts on printed checks if those checks were printed with standard machine readable fonts, as well as improve the accuracy of the MICR capture as the scanner will validate with the optical sensor as well as the magnetic sensor.

d. Is there any technical/help desk support available outside of the normal business hours of 8 AM – 5 PM CST?

As discussed on our telephone call on 10/20/2016, PCC will always make ourselves available to the SOS in the rare situation where the system is down or rendered un-usable. Appropriate emergency phone numbers will be provided to designated staff to support this coverage. For more structured staffing during known peak periods or agency identified events, dedicated support hours outside of the normal business hours can be scheduled in advanced and subject to an additional cost based on our rate card.

e. You noted downtime could take 2 hours to respond and 96 hours to resolve the issue. However, in response to a question asked during the demo you indicated that you could commit to less than an hour for the initial response to any downtime, can you commit to this? Is it possible to shorten the response time and potential downtime?

We will commit to less than an hour (generally 30 minutes or less) for the initial response to any unscheduled system downtime. While the actual length of downtime can vary based on the complexity of the error and any lack of PCC control over the situation (such as a problem with the internal OCIO data center), we commit to beginning immediate return to operations activity upon the initial report. As a case in point, we have never had an unscheduled downtime of more than 10 minutes in any of our production implementations.

CORP PROCESS/FEATURES (CORP) SECTION

a. Please provide an updated response to the name availability screening process now that we have clarified that this is a separate task and may be performed with or without a filing. Under Corp-1 - Name availability process as described in Appendix N, (including tabs labeled Name Availability Summary, Template Requirements_1, and Minimum Requirements_2).

PCC is committed to delivering the requirements described in Appendix N within the current cost proposal. We will work with the SOS during the Analysis Phase to identify the best approach that makes use of the new system's efficiencies to meet the requirement, to include the following scenarios:

WITHOUT A FILING

We would treat this as a pre-clearance filing with the sole purpose of name availability. Staff would process the Name Availability Queue in two steps:

1. Reviewer 1 will pick up off his or her queue a name availability search.
2. Reviewer 1 will enter list of names and variations to check. The proposed solution will provide a search with soundex options for each name. Staff will indicate if the name is available or not available with a drop-down selection of reason.
3. Reviewer 1 will push his or her findings back to the queue in the template format.
4. Reviewer 2 will review the template and possibly override the findings of Reviewer 1, indicating why the override was initiated, such as consent was provided by the authorized owner of the name.
5. Reviewer 2 will update the template.
6. The template will be stored and searchable

The result would be one of two outcomes:

- Acceptance - the name is available. A suitable output acceptance document is generated back to the customer and would stipulate that the name is only available at the time of the filing and no reservation is made. The acceptance letter should also stipulate that acceptance now is no guarantee of future availability.
- Rejection – the name is not available. The conflicts and reasons will be generated with a print and/or email reply to the customer.

WITH A FILING

The name availability request is sent to the same Name Availability queue. If the filing is rejected because the name is not available, it is up to the State to decide if the rest of the filing should be routed to regular processing queue with other potential rejection reasons placed into a single rejection letter or reject for name and not process the remaining filing. If name is available with the filing, then the name is put on temporary hold, and the filing is then transferred to regular processing with the name prepopulated in order to complete the rest of the filing. The Name Availability Template (by number) will be available for look-up and included with the filing. If the entire filing is ultimately accepted, then

the name hold is solidified permanent. If the filing is rejected, then it is up to the State to decide whether they should continue to hold the name temporarily until the rest of the filing is corrected. PCC can hold a name and release it after a predetermined number of days as an implied reservation.

b. Please provide an updated response to the optional Preferred Name Availability Process as described in Appendix N, tabs labeled (Name Availability Summary, Template Requirements_1, 1st Review_3, 2nd Review_4, and Ready to Work_5).

This has the same process as above, but the users would create multiple templates with first, second, and third name choices. The difference between a filing and a non-filing would be:

- With a filing, if the first name is available, the user could continue without the second or third availability checks.
- Without a filing, each name would need to be determined because the customer may ultimately select the second or third choice.

c. Please confirm that the system will be capable of providing a reinstatement fee worksheet to notify filers of the fees due for reinstatement. Current worksheets are located in Appendix D - Certificates, Forms and Templates, (Corp Templates, Reinstatement folder contains the excel worksheets including fee calculations, e.g. xldmstc.xlsx. Explanation of file is on the open me first file corp templates tab.)

Yes, the proposed solution will provide a comprehensive reinstatement worksheet. The solution can calculate the reinstatement fees, tax, and interest and provide a custom output for the entity. The worksheet would be retrieved and printed or emailed from a Business Search Reinstatement Worksheet. The same can be retrieved and compared during a reinstatement filing to match amounts.

UCC PROCESSES/FEATURES (UCC) SECTION

a. UCC Search Logic – Please confirm that you can configure the system to include any alternate IACA search logic criteria.

PCC will offer the documented IACA standard and alternative search logic as part of the proposed solution, including the following:

- Regarding the bracketed sections found in Model Administrative Rules 503.1.3 (c):
  - The filing office will determine the initial list of "Ending Noise Words". The list of Noise Words will be maintained in a lookup table which can be modified by a system administrator.
  - The filing office will choose one (1) of the logic descriptions labeled "Alternative 1" and "Alternative 2" to be applied to the Standard RA9 Search Logic. This will be determined during requirements gathering and cannot be altered at a later date.
- Regarding the bracketed sections found in Administrative Rules 503.2.1 and 503.2.2:

- PCC will develop up to two additional search logic functions according to the State's requirements, re-using some or part of the Standard RA9 Search Logic.
    - This satisfies replacement of "Non-Standard Wildcard" logic and "EFS Non-Standard Wildcard/Soundex" logic as described in the RFP and in *Appendix K – Reports and Additional Information – Search Logic Spreadsheet.*
- For fulfillment of customer search requests:
    - These additional search logic variations will be applied or offered as alternative/sole search logic options during the processing and fulfillment of specific search request filing types as determined by a document similar to *Appendix K – Reports and Additional Information – Search Logic Spreadsheet*, such document to be defined during the requirements gathering phase.
        - Not meant to limit any functionality, merely pointing out that an early delivered, clear expectation of when/where these additional logics will be applied/offered is necessary to meeting expectations, and the State must have clear direction and legal backing on this matter prior to project kickoff.
    - This does not exclude the selection and application of additional criteria commonly found on search request forms, such as Filing Date and so on, except where it would conflict with the logic itself.
        - For example, if the "EFS Non-Standard Wild Card/Soundex" logic is exactly replicated in the new solution, when this logic is selected, it would not make sense to provide a "Lien Status" selector, as specific "Lien Status" criteria are included in the logic itself.
- For Internal Search Screens:
    - These additional search logic variations will be available in additional criteria selectors in addition to the Standard RA9.
    - This does not exclude the selection and application of additional criteria that is offered on PCC's standard internal lien search, such as Filing Date and so on, except where it would conflict with the logic itself.
        - For example, if the existing "EFS Non-Standard Wild Card/Soundex" logic is exactly replicated in the new solution, when this logic is selected, it would not make sense to provide a "Soundex" option, as this is specifically selected as part of the logic itself.

EFS PROCESSES/FEATURES (EFS) SECTION

a. Confirm that you can provide an EFS work queue like the UCC work queue.

Yes, the work queue process used in the UCC workflow of the sandbox would be configured to allow for EFS filings or alternatively a separate but identical EFS filing process would be created that is dependent on architectural decisions made during the requirements gathering phase.

b. Please provide an updated response to EFS -7 and confirm you can provide all items and perform all tasks listed. It is our intent that all components listed here be performed by the bidder, including the website components.

The solution as proposed and currently costed will include the following:

1. PCC will develop an online portal for the EFS-7 functionality.
2. The online portal will provide the following functionality:
    a. The ability for a customer to submit the information and payment for a buyer registration online and without the need for any involvement of in-house staff. This assumes the ability to connect to Nebraska Interactive's payment gateway for payment processing or another payment gateway vendor is available to provide payment processing. If payment processing through Nebraska Interactive is not available for this portal, then the SOS can utilize the current in-house processing methodology for collecting registrations and payments.
    b. The customer may select any combination of product, county, and crop year as criteria for any number of reports, given sufficient payment.
    c. For the Master List or each custom report, the customer may select the preferred data type (Excel, Word, .csv, .text, PDF) as well as the sort order methodology for each report.
    d. The customer may elect to purchase these reports for the specified registration year, or at the State's allowance, purchase for a given month or for a pro-rated year (purchase only for months remaining in a Registration period). This assumes the revised Statues accommodate the additional purchase options.
    e. When Farm Product reports are generated by automated system jobs the customer will receive an alert and will immediately be able to update the files for their purchased reports from the online portal's dashboard via http. Files available for download will be overwritten with current data at each generation point and can be set to disappear from the dashboard after a set period to prevent outdated reports from being used.
    f. The solution will provide Buyer Registration Renewal Notification email reminders. These emails will be sent out at a set time before a Buyer's Registration period ends and can contain the Buyer Registration form as an attachment.

Note: PCC strongly recommends that this portal be accessed via secure sign-on through Nebraska Interactive. It is assumed that Nebraska Interactive will create links to this portal page and will be able to pass the authenticated session to the PCC portal page. If the use of Nebraska Interactive as the authentication server is not a viable option, PCC will develop a simple sign-on mechanism to allow users to sign in to purchase and download their EFS-7 data.

COMMON DATABASE PROCESSES/FEATURES (CB) SECTION

a. We currently use the UCC database to create the Notary file stamp, under CB-2 miscellaneous document, please confirm that you will be able to provide this functionality in the business filing system (BFS).

Given the following clarified requirements the proposed solution will allow a user to create a miscellaneous filing type that:

- Accepts filing information specified by the user by text field entry
- Accepts a filing document image scanned by the user
- Embosses the entered information as a "filing stamp" onto the image of the scanned document
- Produces the "stamped version" of the document as an output

PCC commits to replicating the existing bar code functionality where the document number is entered by the user during processing and based on the document number the system generates a 3 of 9 bar-code image and applies it to the document as part of the filing stamp. Other options for transmission to Onbase directly from the application will be analyzed during requirements gathering.

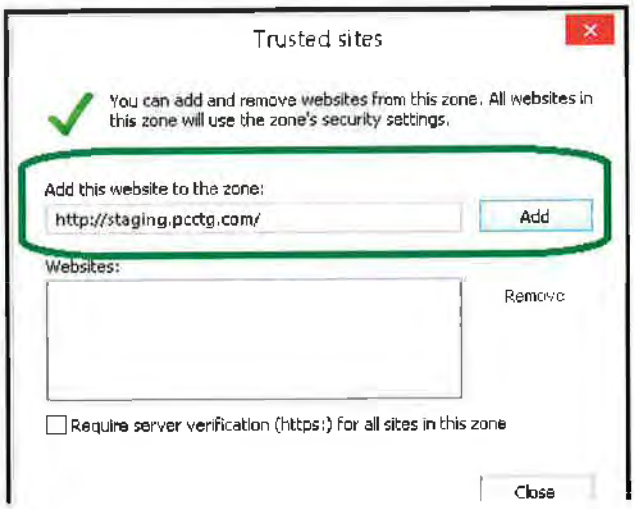
It is understood that the system:

- Will provide the ability to search the filing and associated outputs by Document Number, Filing Date and Name values that were all entered by the user during processing.
- Will not be required to index, track, synchronize with, validate against or manage any Notary Commission records, nor relate back to such a record in an external database in any way other than through reference of the data entered into the filing stamp.
- Will not be required to track or validate any concept of commission expiration date.
- Will not be required to validate that the data the user enters into the filing stamp is correct or accurate other than to validate that data is entered into required fields, that character limits are enforced and that data types (alphanumeric, numeric, date/time) are enforced.
- Will not be required to link or pre-populate the data entered for Notary names in this functionality with any other processing functionality in the application, other than search screens, audit trails and reports.
    - Specifically meant to exclude any use of the names entered in this filing type from being used for any sort of pre-population into the Apostille/Certification filing flows.

b. Under CB-6 you noted the in-browser scanning tool. Please describe what this is and how it works? How will our scanners be connected to the in-browser scanning?

PCC's proposed solution uses a custom developed (PCC) executable file (PcctgObject.msi) that is downloaded and installed in the browser the first time the user accesses the in-house system. The executable can also be installed manually. This helps in interfacing with the scanner attached to a user's desktop. This is applicable only to In-House staff that use the application for scanning and is not required for public users that access online application functionality via the internet.

All in-house staff that need to scan documents are recommended to only use Internet Explorer 11 or greater. The scanning tool works only with the particular browser settings mentioned below.

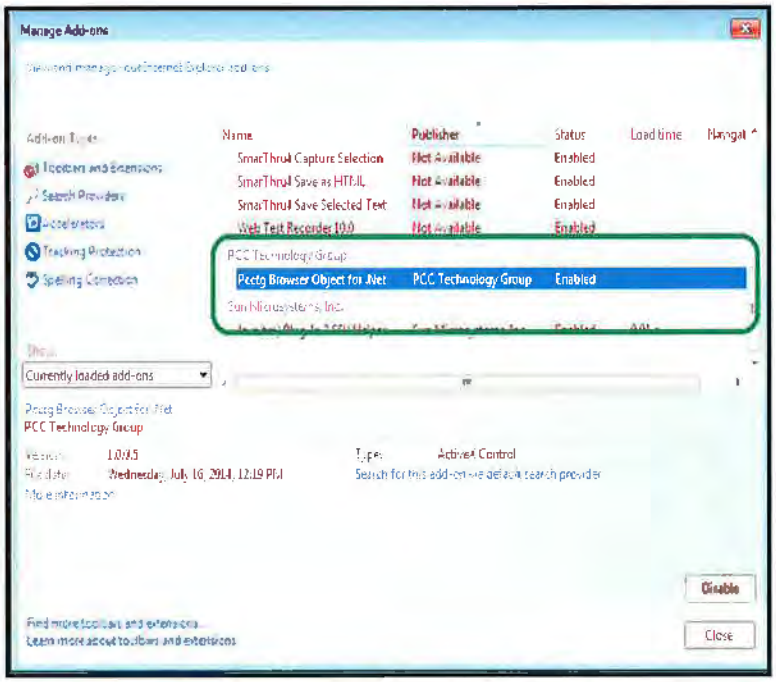


ADD THE APPLICATION IN-HOUSE URL TO TRUSTED SITES:

- Internet Explorer Menu, select Tools → Internet Options →Security Trusted Sites.
- Enter the site name and click "Add" button (refer the image below) and then close, and click "Apply" button. (Note: Site name will be shown automatically when the web page is accessed.)

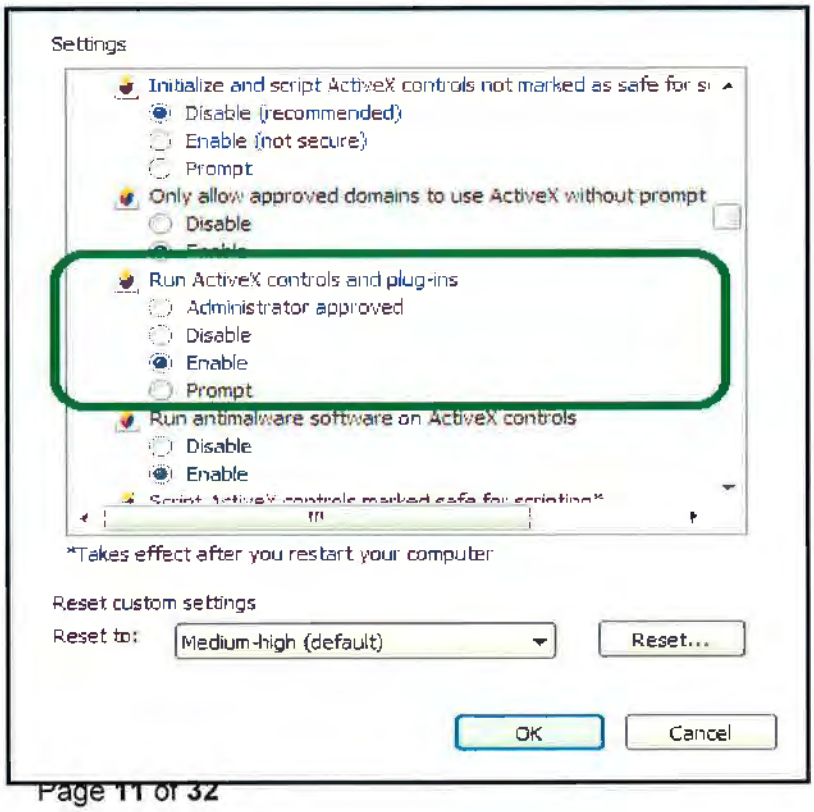
ENABLE THE PLUGIN IN INTERNET EXPLORER

From the Internet Explorer Menu, users will navigate to Tools → Manage Add-on. They will ensure that the plugin (Pcctg Browser Object for .NET) status is "Enabled" as shown in this image here.



ENABLE THE RUN ACTIVEX CONTROLS AND PLUG-INS OPTION IN INTERNET EXPLORER

1. Ensure that "Run ActiveX Controls and plug-ins" option is enabled.
2. Go to Internet Options → Security → Custom Level and select "Enable" as shown below.



DISABLE ACTIVEX FILTERING IN INTERNET EXPLORER

1. Ensure that "Allow Active Filtering" option is disabled.
2. Go to Internet Options → Security → Custom Level and

select "Disable", which is similar to the screen to the left.

c. As an alternative to passing images to OnBase via an API, can the system put the images and related information in a shared file location?

It was discussed on 10/20/2016, that while technologically we can support the integration of documents to OnBase by dropping them in a shared file location, the challenge is that this method would not directly return the OnBase ID necessary for later retrieval of that document. The scenario in sub-question (i.) below is the preferred methodology to completely satisfy the requirement.

i. The current API and stored procedure only receives image information from OnBase, can that same API be used to send images and related information to OnBase.

Based on the call on 10/20/2016, the State and PCC agreed that technologically the solution can integrate with the existing stored procedure paradigms to receive from and send images to the OnBase repository. This would be the preferred method over a shared file scenario above, and is included in our original pricing.

d. Under CB-3 – Letters and Templates: we note the system must be able to generate an appropriate letter for acknowledgements, templates and notifications. Apostilles for Notary are currently provided through the UCC module via a template. Please confirm that Apostilles can be generated, stored, and made searchable as a miscellaneous filing document within the BFS.

Given the following clarified requirements, the proposed solution will include the ability to generate either an apostille or a certification based on user entered data.

- There will be only two document output templates required—an apostille template and a certification template
    - There will be no conditional variation within a template type that changes how template is generated other than content of the text entered.
        - For example, the text insertion position will not change from one apostille to another, other than expanding space considerations.
        - For example, the template text of the document (which does not rely on user entered data), will remain static and not change from one apostille to another based on any conditions or processing user selections.
            - Excluding text that is system inserted and system-admin configurable, such as an elected official's name in the signature line.
- Each Apostille or Certification filing process flow will generate one distinct type of document output relating to one distinct official or notary.
    - For example, if a customer requires both an apostille and a certification for the same notary (sending to different countries), then two filing transactions will be added to the work order. One filing for the apostille, one filing for the certification.

    - For example, likewise, a request for two apostilles for two different notaries will require that two filing transactions will be added to the work order one for each notary.
- All text or dates inserted into the templates will be determined by user-entered data that is entered into text fields during the filing process.
    - The system is not expected to pull data from any database, internal or external to the system in order to populate information into the template, with the except of globally administered text inserts, such as an elected official's name in the signature line or an image of the State Seal.
    - The system is not expected to perfom any calculations, manipulations or validations upon the text entered by the user during processing, except validations that data is present within required fields, data types are enforced (numeric, alphanumeric, date/time) and the maximum character limits for that field.

SOFTWARE DESIGN REQUIREMENTS (SD) SECTION

a. In your response to UCC-5, you discussed deletion of files from the file repository. However, we have proposed OnBase for image storage. How does the image retention information get transferred to the OnBase image library?

Based on the discussion from 10/20/2016, PCC can provide a purge report, which is a manual process, that will identify for the SOS/OnBase Staff the documents and indexes that have been/will be purged from the solution as required to ensure the OnBase repository is kept in sync.

CUSTOMER PAYMENT AND ACCOUNTING PROCESSING REQUIREMENTS (CPP) SECTION

a. Under CPP-4 – Please confirm that in lieu of an interface with PFC, that you could produce an Excel spreadsheet that could be uploaded manually to the PFC that contains the required information?

Yes, we can produce an Excel spreadsheet that can be uploaded to the accounting system based on a file structure to be provided by the State, in lieu of any direct interface.

b. Please confirm that if we utilize the credit balance account structure that the system does have the reporting capability to provide the report of all customers with a credit balance as of a date in the past. For example, could we run a report on 9-26-16 that would show customers with a credit balance as of 6-30-16?

Yes, the report scenario given above is within the system's capabilities. PCC's application tracks credits to and debits from the Credit Account Balance as distinct, date/time-stamped records within the database. This allows the system to produce a historically accurate report for any date range entered, or up through any prior date, regardless of the date upon which the report itself is generated.

This Addendum and any attachments hereto will become part of the Contract. Except as set forth in this Addendum, the Contract is unaffected and shall continue in full force and effect in accordance with its terms. If there is conflict between this Addendum and the Contract or any earlier Addendum, the terms of this Addendum will prevail.

IN WITNESS WHEREOF, the parties have executed this Amendment as of the date of execution by both parties below.

State of Nebraska	Contractor: PCC Technology, Inc.
By:	By:
Name: Bo Botelho	Name: Daniel Cox
Title: Materiel Administrator	Title: CEO
Date: 1/6/17	Date: 12.9.16

For public information purposes only; not part of contract.

Request for Proposal Number 5301 Z1
Contract Number 74944 O4
Proposal Opening: July 21, 2016

In accordance with Nebraska Revised Statutes §84.712.05(3), the following material(s) has not been included due to it being marked proprietary.

Foster Moore
1. RTM # GF-3
2. RTM # GF-4
3. Appendix 4 – Financial Statements

PCC Technology Inc.
1. Audits of Consolidated Financial Statements

Tecuity, Inc.
1. RTM # GF-3
2. RTM # GF-4
3. Corporate Overview, item b, Financial Statements
4. Scope of Work, page 86, Architectural Diagram
5. RTM # PR-1, page 11, SOS Enterprise Architecture

In accordance with Federal U.S. Copyright Law Title 17 U.S.C. Section 101 et seq., Title 18 U.S.C. 2319, the following material(s) has not been included due to them being copyrighted.

Foster Moore
1. None

PCC Technology Inc.
1. None

Tecuity, Inc.
1. None

a subsidiary of gcr

STATE OF NEBRASKA
STATE PURCHASING BUREAU
BUSINESS SERVICES FILING SYSTEM
TECHNICAL PROPOSAL

ORIGINAL

Response to RFP No. 5301Z1

Date: July 21, 2016 @ 2 pm CST

Submitted by:

PCC Technology, Inc.
100 Northfield Drive, Suite 300A
Windsor, CT 06095

Proposal Contact:

Greg Amato
greg.amato@pcctg.com
860.559.6354

PCC TECHNOLOGY INC.
100 Northfield Drive, Suite 300A • Windsor, CT 06095
860.242.3299
www.pcctg.com

July 18, 2016

Nancy Storant/Connie Heinrichs
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, NE 68508

RE: Request for Proposal 5301Z1

Dear Ms. Storant and Ms. Heinrichs:

PCC Technology Inc. (PCC) and our parent company GCR Inc. have deep experience in providing complete business registration and filing solutions matching Nebraska's needs for many U.S. Secretary of State (SoS) Offices, including Connecticut, Georgia, New Hampshire, New Mexico, Vermont, Louisiana and Indiana. In addition, we are implementing a UCC solution in Michigan and a Notary solution in Arkansas. PCC is the premier provider of business services solutions with nine U.S. implementations.

Our Web-based solution allows for a seamless, integrated electronic registration and filing process that is user-friendly and collects and maintains records in accordance with State-specific laws and regulations. Public users can file their documents at any time by simply using an Internet browser, and the SoS staff can process the filings through configurable workflows and view tasks on the customizable dashboards. PCC's solution uses modern technology and is easily configurable by internal agency IT resources. Our solution will integrate seamlessly so filing processes, accounts receivable, and deposit preparation are completed within one system, improve all levels of functionality of the existing system, and expand services that are currently provided.

In addition to a solution that meets the needs of the SoS, our project team completes the package; they have the expertise and experience to keep the project on schedule and within budget. Our proven methodologies have been used time and time again, allowing us to continue our 100 percent success rate on implementations, and we understand the challenges and risks of legacy replacements. We have the unique experience and skillsets required to lead this project through to success and unmatched industry experience in providing complex data conversion requirements across multiple disparate datasets and image repositories through each of our corporations and UCC implementations.

Sincerely,

Dan Cox
Chief Executive Officer

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1. RFP Form

1. REQUEST FOR PROPOSAL FORM

1. REQUEST FOR PROPOSAL FORM

By signing the "Request for Proposal for Contractual Services" form, the bidder guarantees compliance with the provisions stated in this Request for Proposal, agrees to the Terms and Conditions stated in this Request for Proposal unless otherwise agreed to, and certifies bidder maintains a drug free work place environment.

The Request for Proposal for Contractual Services form must be signed in ink and returned by the stated date and time in order to be considered for an award.

Further, Section III. Terms and Conditions must be returned with the proposal response.

We provide the signed **Request for Proposal for Contractual Services Form** following this page. We provide Section III. Terms and Conditions in the tab labeled **TERMS AND CONDITIONS**, starting on page 83.

The rest of this page is intentionally left blank.

State of Nebraska (State Purchasing Bureau)

REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM

RETURN TO:
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, Nebraska 68508
Phone: 402-471-6500
Fax: 402-471-2089

SOLICITATION NUMBER	RELEASE DATE
RFP 5301Z1	**April 21, 2016**
OPENING DATE AND TIME	PROCUREMENT CONTACT
July 21, 2016 2:00 p.m. Central Time	**Nancy Storant/Connie Heinrichs**

This form is part of the specification package and must be signed in ink and returned, along with proposal documents, by the opening date and time specified.

PLEASE READ CAREFULLY!

SCOPE OF SERVICE

The State of Nebraska, Administrative Services (AS), Materiel Division, State Purchasing Bureau, is issuing this Request for Proposal, RFP Number 5301Z1 for the purpose of selecting a qualified contractor to provide a Business Services Filing System.

Written questions for the first round of questions are due no later than May 5, 2016. Written questions for the second round of questions are due no later than May 26, 2016. Questions should be submitted via e-mail to as.materielpurchasing@nebraska.gov or may be sent by facsimile to (402) 471-2089.

The First Pre-Proposal Conference will be held on April 28, 2016 at 1:00pm CT at 1526 K Street, Development Center or via WebEx. A Second Pre-Proposal Teleconference will be held on May 20, 2016 at 1:00pm CT.

Bidder should submit one (1) original of the entire proposal. Proposals must be submitted by the proposal due date and time.

PROPOSALS MUST MEET THE REQUIREMENTS OUTLINED IN THIS REQUEST FOR PROPOSAL TO BE CONSIDERED VALID. PROPOSALS WILL BE REJECTED IF NOT IN COMPLIANCE WITH THESE REQUIREMENTS.

1. Sealed proposals must be received in State Purchasing Bureau by the date and time of proposal opening per the schedule of events. No late proposals will be accepted. No electronic, e-mail, fax, voice, or telephone proposals will be accepted.
2. This form "REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES" MUST be manually signed, in ink, and returned by the proposal opening date and time along with bidder's proposal and any other requirements as specified in the Request for Proposal in order for a bidder's proposal to be evaluated.
3. It is the responsibility of the bidder to check the website for all information relevant to this solicitation to include addenda and/or amendments issued prior to the opening date. Website address is as follows: http://das.nebraska.gov/materiel/purchasing.html

IMPORTANT NOTICE: Pursuant to Neb. Rev. Stat. § 84-602.02, all State contracts in effect as of January 1, 2014, and all contracts entered into thereafter, will be posted to a public website. Beginning July 1, 2014, all contracts will be posted to a public website managed by the Department of Administrative Services.

In addition, all responses to Requests for Proposals will be posted to the Department of Administrative Services public website. The public posting will include figures, illustrations, photographs, charts, or other supplementary material. Proprietary information identified and marked according to state law is exempt from posting. To exempt proprietary information you must submit a written statement showing that the release of the information would give an advantage to named business competitor(s) and show that the named business competitor(s) will gain a demonstrated advantage by disclosure of information. The mere assertion that information is proprietary is not sufficient. (Attorney General Opinion No. 92068, April 27, 1992) The agency will then determine if the interests served by nondisclosure outweigh any public purpose served by disclosure. Cost proposals will not be considered propriety.

To facilitate such public postings, the State of Nebraska reserves a royalty-free, nonexclusive, and irrevocable right to copy, reproduce, publish, post to a website, or otherwise use any contract or response to this RFP for any purpose, and to authorize others to use the documents. Any individual or entity awarded a contract, or who submits a response to this RFP, specifically waives any copyright or other protection the contract or response to the RFP may have; and, acknowledge that they have the ability and authority to enter into such waiver. This reservation and waiver is a prerequisite for submitting a response to this RFP and award of the contract. Failure to agree to the reservation and waiver of protection will result in the response to the RFP being non-conforming and rejected.

Any entity awarded a contract or submitting a RFP agrees not to sue, file a claim, or make a demand of any kind, and will indemnify, hold, and save harmless the State and its employees, volunteers, agents, and its elected and appointed officials from and against any and all claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses ("the claims"), sustained or asserted against the State, arising out of, resulting from, or attributable to the posting of contracts, RFPs and related documents.

BIDDER MUST COMPLETE THE FOLLOWING

By signing this Request for Proposal for Contractual Services form, the bidder guarantees compliance with the provisions stated in this Request for Proposal, agrees to the terms and conditions unless otherwise agreed to (see Section III) and certifies that bidder maintains a drug free work place environment.

Per Nebraska's Transparency in Government Procurement Act, Neb. Rev Stat § 73-603 DAS is required to collect statistical information regarding the number of contracts awarded to Nebraska Contractors. This information is for statistical purposes only and will not be considered for contract award purposes.

_____ **NEBRASKA CONTRACTOR AFFIDAVIT**: Bidder hereby attests that bidder is a Nebraska Contractor. "Nebraska Contractor" shall mean any bidder who has maintained a bona fide place of business and at least one employee within this state for at least the six (6) months immediately preceding the posting date of this RFP.

_____ I hereby certify that I am a **Resident disabled veteran or business located in a designated enterprise zone** in accordance with Neb. Rev. Stat. § 73-107 and wish to have preference, if applicable, considered in the award of this contract.

FIRM: PCC Technology, Inc.

COMPLETE ADDRESS: 100 Northfield Drive, Suite 300A, Windsor, CT 06095

TELEPHONE NUMBER: (860) 242-3299 FAX NUMBER: (860) 219-0615

SIGNATURE: _____ DATE: 6·15·2016

TYPED NAME & TITLE OF SIGNER: Dan Cox, Chief Executive Officer

Acknowledgement
of Addenda

ACKNOWLEDGEMENT OF ADDENDA

We received the following addenda and any changes resulting from these addenda are included in our proposal response.

- Addendum Number One
- Addendum Number Two
- Addendum Number Three
- Addendum Number Four
- Addendum Number Five, Questions and Answers
- Addendum Number Six, Questions and Answers

Bidder Contact
Sheet

BIDDER CONTACT SHEET

Proposal responses should include the completed **Form A, Bidder Contact Sheet**.

We provide the completed **Form A, Bidder Contact Sheet** following this page.

The rest of this page is intentionally left blank.

Form A
Bidder Contact Sheet
Request for Proposal Number 5301Z1

Form A should be completed and submitted with each response to this Request for Proposal. This is intended to provide the State with information on the bidder's name and address, and the specific person(s) who are responsible for preparation of the bidder's response.

Preparation of Response Contact Information	
Bidder Name:	PCC Technology, Inc.
Bidder Address:	100 Northfield Drive, Suite 300A Windsor, CT 06095
Contact Person & Title:	Greg Amato, Vice President of Capture
E-mail Address:	greg.amato@pcctg.com
Telephone Number (Office):	(860) 466-7235
Telephone Number (Cellular):	(860) 559-6354
Fax Number:	(860) 219-0615

Each bidder shall also designate a specific contact person who will be responsible for responding to the State if any clarifications of the bidder's response should become necessary. This will also be the person who the State contacts to set up a presentation/demonstration, if required.

Communication with the State Contact Information	
Bidder Name:	Same as above
Bidder Address:	Same as above
Contact Person & Title:	Same as above
E-mail Address:	Same as above
Telephone Number (Office):	Same as above
Telephone Number (Cellular):	Same as above
Fax Number:	Same as above

Executive
Summary

EXECUTIVE SUMMARY

The Nebraska Secretary of State (SoS) has stated its goals in the RFP that indicate the desire to improve, streamline, modernize, automate, and generally transform the current environment into a system that:

- Uses modern technology that is supportable using local resources and can be configured using SoS internal IT resources.
- Improves all levels of functionality of the existing system and expands services currently provided.
- Eliminates existing silos in the current system so that filing processes, accounts receivable, and deposit preparation are completed in one system.

In order for the SoS to meet these objectives, it needs a solution that is easy to use, configure, and maintain as well as be scalable, robust, and managed through one solution. A new single solution could:

- Increase user productivity by eliminating the need to maintain information in various systems.
- Save money in the annual budget by managing one system and not several silo systems.
- Expand public user acceptance by offering online options for convenience as well as additional services as they are identified.
- Provide an easier ability to upgrade the technology as it becomes available, thus reducing antiquated systems that can never be modernized.

PCC Technology, Inc. (PCC), along with our parent company GCR Inc. (GCR), is in a unique position to offer a solution that meets the needs of the SoS because we do this for a living, and we have been successful in 10 Secretary of State Offices across the country implementing similar requirements found in this RFP.

PCC Ensures Lower Risk: *Proven Partner, Proven Team*

—Proven Team

Having an experienced vendor partner that knows the business and the concerns of Secretaries of State across our country is extremely important to avoid common pitfalls that have plagued many unsuccessful projects in this domain. No other company has had the success that PCC has had in implementing Business Services systems in the United States. In fact, based on the information available to PCC, we have the most statewide implementations of any vendor that provides this type of solution.

> "PCC...has **vast experience with Secretary of State's offices around the country...**"
>
> -Secretary Jim Condos, Vermont Secretary of State

The State is partnering with a company that has been developing and implementing business registration and filing solutions since 2003 when we first developed a custom solution for the Connecticut Secretary of State. Since then, we have implemented similar solutions in Vermont, New Hampshire, Georgia, Louisiana, New Mexico, and recently Indiana. At the end of the summer, our UCC solution will go live in Michigan, and we will complete the Corporations and Charities solution for the State of Washington later in the year.

It is true that PCC is a diverse corporation—we focus on a little more than just providing business services like our competitors. We are a nationally-recognized name and have two divisions—business services and elections management—that are dedicated specifically to serve the Secretaries of State across the bulk of their processes so that these offices only need to work with one vendor, instead of several, for most of their IT needs. Our mission is to be the subject matter experts for Secretaries of State in the United States because we are a company that was started in the U.S.—so better understands the laws and U.S. processes regarding business services and voting. That is why we do what we do.

The SoS needs a vendor that is **proven**, has **stability**, provides **value**, and is **evolving**.

- **PROVEN**—From East Coast to West, PCC has seen agencies attempt to implement corporations and business filing solutions from specialty providers or system integrators using generic and proprietary platforms, such as ECM, CRM, or ERP, with one of two outcomes: complete failure or prolonged and extracted timelines that cost exponentially more to deliver and even more in long-term maintenance costs if it gets to production. Foreign and boutique vendors lack the experience with American filing laws and with solutions that can handle volume scaling. Other companies specialize in portal design but lack experience with robust back-end filing systems that require in-house configuration, flexibility and reporting features. Our solution was built for and with the assistance of corporations and UCC subject matter experts, and provides business-specific efficiencies, tools and wish-list items that could never be realized by a generic ECM solution.
- **STABILITY**—With the volumes of filings and other transactions experienced in Nebraska, the idea of trusting a solution that does not come with documented results that the technology is mature and scalable beyond expected peaks will introduce a risk that is unacceptable, and frankly, unnecessary.
- **VALUE**—PCC's experienced professionals speak the language of ***corporations, UCC, notary public, and registered agent***, thus reducing the learning curve during project planning and implementation. The proven product, which is based at its core on standard MS.Net architecture, does not require proprietary, specialized or expensive support. In addition, PCC has made conscious efforts to extend configuration for ongoing business needs to our clients' Administrative Users. All of this positions Cenuity to represent the lowest true total cost of ownership (TCO) of any solution available.
- **EVOLVING**—As technology and user experience evolves, PCC has kept step with the latest technology and efficiency-driving trends and has implemented systematic improvements to ensure that the Cenuity Platform integrates with, extends and adds value to whatever the SoS envisions next, whether it is reflexive questionnaires to guide users, invoicing functionality, subscription services, new filing types, and increased configurability by Administrative users. We listen to our

> "21,395 (filings) yesterday and the system did not slow down."
>
> -Shawnzia Thomas, Director of Corporations, Georgia Secretary of State, on the State's new solution that was live and stable in only five months, and on March 31 had the highest number of online filings ever processed in the State.

clients to hear what they want to see in their solutions. Over the course of 10 statewide implementations in 13 years, technology has changed but PCC has strived to always stay one step ahead. We have a complete thin-client solution that only needs a Web browser and can be used on any computer, laptop, or mobile device, not a thick-client solution that needs difficult to maintain software installed on the users' computers in order to use the solution.

In the references provided in Section 2.h., ***Summary of Bidder's Corporate Experience***, the SoS will learn how PCC initially custom-developed this solution for the State of Connecticut and continues to support and maintain this solution. This was a success story for the State of Connecticut because the State initially lost most of the funding for the project. PCC was able to develop the solution in pieces and then integrate it into the whole solution that it is today. We then implemented our business filing and registration solution successfully in Georgia. That State had struggled for years with issues related to a low-price legacy replacement system that was awarded through a sole-source contract. As a result, the Georgia SoS needed a robust solution and a quick win. PCC won the new contract and was able to deftly implement its Cenuity system in a condensed time frame within the first three months of system use, the Georgia SoS received more than 90,000 online filings that were previously only submitted on paper. The Georgia SoS had the win it needed and has been thrilled with the system ever since. For the Louisiana SoS, our parent company, GCR Inc., designed and developed an innovative imaging and workflow system to modernize the Corporations office, make daily operations more efficient, and advance the office to next-level customer service. PCC will leverage the experience of our parent company as well as our own resources to ensure project success for Nebraska.

Table 1. The Experience of PCC and GCR. ***We have the necessary experience to meet the needs of the SoS.***

Client	Business Registrations	UCC	Notary Public	Registered Agent
Connecticut SoS	☑	☑	☑	
Vermont SoS	☑		☑	☑
New Hampshire SoS	☑	☑	☑	
Georgia SoS	☑			
New Mexico SoS	☑	☑		
Indiana SoS	☑			☑
Arkansas SoS			☑	
North Dakota SoS		☑		
Michigan DOS		☑		
Washington SoS	☑			☑
Louisiana SoS	☑	☑	☑	

—Proven Team

In addition to our evolved product and rich implementation experience, the State will benefit from a team that is experienced in successful solution implementations similar to the solution the SoS is seeking, and our proposed team members are seasoned in the realm of similar solution implementations. Our proposed team will remain with the project until completion to ensure its success, and we chose this team based on their expertise, qualifications, and relevant past performance on other projects. Our experienced resources have worked together on projects similar to this for years, will be productive immediately, and begin to add value to the State from Day 1.

Raghu Chandra will serve as the project executive for this implementation. In this role, he will be the liaison between the project team and PCC's executive staff. Raghu has been with PCC for 10 years and worked on most of our Commercial Recording implementations, including as **project manager for the State of Connecticut's CONCORD Solution**. He was also deeply involved in the implementations for Vermont, New Hampshire, and New Mexico, and filled the role of project executive for the North Dakota SoS Central Indexing System project (UCC), and the recent successful implementations of the Indiana SoS Business Services Division and INBIZ Business One-Stop projects.

For project manager, we are proposing **Andrew Kobititsch**, a strong project manager who has the right experience for this implementation. He was the project manager for our **business filing and registration projects for the Indiana SoS.**

For our lead system architect, we propose **Adi Vasireddy**, who is one of our leading technical resources in our commercial recording implementations. With Adi's expertise as the technical lead, PCC delivered the **business filing and registration solution for the Georgia SoS**, and he more recently completed our business filing and registration project, implemented in April 2016, for the **Indiana SoS**. He also filled the role of lead system architect for the **Vermont SoS business filing and registration solution**.

For business analyst, PCC proposes Mauro Lanzisera. He has over 10 years of experience in gathering, analyzing, and documenting requirements for a variety of IT projects, most recently **our UCC projects for the North Dakota SoS and the Michigan Department of State**. His most recent experience includes business analyst and training responsibilities for the Georgia SoS Business Filing and Registration Project.

Liju Alex will be our business and data analyst. He will work to ensure that the data mapping is accurate and complete for our data conversion effort and that the requirements are accurately documented. His experience with **business filing and registration projects includes the Indiana SoS and the Vermont SoS**.

Solution Benefits for the Secretary of State

In 2014, the State of Vermont was a Merit Award Winner for its "Transition to Paperless" submission to IACA.

The PCC Cenuity® solution is the superior platform in business filing for many reasons First, we incorporate expansive and ultra-friendly online processing, identity verification, document management, and self-service portals that will allow the SoS to become virtually paperless. As testimony to this claim, the Vermont Secretary of State was recently presented IACA's award for "Transition to a Paperless Environment."

Additionally, the solution includes an administrative portal that will allow the SoS to easily make configuration changes to the templates and certain rules with minimal support. As there are always legislative or policy changes, the SoS will be ready to change with them.

Finally, with in-house processing options that include personalized dashboards, robust work queue management, and automated intake, Cenuity® takes the "back-office" from the back and puts it on the front line of customer service. This powerful system drives efficiency by liberating staff from unnecessarily tedious processes, reducing phone calls, and keeping focus on higher priority items. The result? PCC has created a thoughtful and management-friendly product. Only a strong industry partner could provide such an industry-centric solution, with tools such as:

- **Office Correct Tool for correcting in-house staff errors** and to re-generate the outputs, such as certificates, letters and payment receipts
- **Redaction** of legacy documents to obscure or remove sensitive information for public viewing

- **Non-sufficient funds functionality** to collect payment and fees for all returned checks charged to the SoS office for all filings
- **Refund requests function to process refunds** for customers for the overpayment or erroneous payment of a statutorily designated fee
- **Ad-hoc query tool** for generating ad-hoc reports
- **Automated scanning and indexing** of incoming mail and online filed documents
- **Receipting module for generating receipts** for miscellaneous functions

While key to our success, these are not the only benefits of selecting the Cenuity® solution; others include the 100 percent browser-based processing, its ability to work with all internet browser versions (even many older ones) without additional plug-ins, and a "turbo-tax" style graphical interface that lets filers know exactly where they are in the process. Following are some detailed features of the solution to be discussed later in this proposal:

- With Cenuity®, the SoS staff experiences improved business processes that reduce manual activities and increase productivity. Documents received are scanned into the system, validated against the filing checklist generated by the system, automatically assigned a barcode, and sent to a work queue for processing by staff.
- Cenuity® provides **robust, configurable workflows** to streamline any business process.
- Users can use the Cenuity Solution 24 hours a day, seven days a week, 365 days a year. It has an **availability rate that exceeds 99.5 percent**.
- **Organized, centralized information** for all aspects of business filing transactions, including document management and correspondence through a modern user interface.
- Provides a **comprehensive audit trail** on all transactions that can be used for data mining, benchmarking, and process/efficiency improvement.
- Provides a **dashboard view** to alert users to the current workload and statistics as well as the status of pending work instantaneously.
- Can be **easily integrated with external interfaces**, such as payment gateways, financial systems, and external repositories.
- Supports multiple **PCI-compliant payment processing** options, such as cash, check, credit card, and EFT/ACH.
- **Easily scalable** to support high-volume transaction peaks.
- Fully **administrator-configurable electronic notification and correspondence**, such as payment reminders, online receipts, and official letters and forms.
- **Configurable reporting capabilities** as well as a dynamic ad-hoc query tool.

- **Administrator-configured, role-based security**, which allows for multiple views of the features and data based upon user role.
- **Comprehensive business filing and registration, UCC, Notary Public, and Registered Agent components** that have been used in various other states.
- **Creative solutions** to perplexing problems, such as third-party signature requirements and foreign certificate requirements, that allow the filing office to benefit from efficiency-enhancing automated solutions that never before existed.

"PCC's experience in building corporation registries is the main reason I have been a fan for years...corporate laws are complex to do such a simple recording job, and PCC demonstrated a great deal of understanding of both the simplicity and the complexity."

-- Pam Floyd, Corporations Director
Washington Charities and Corporations Development

Conclusion

PCC benefits from the financial strength and invigoration of its recent acquisition by parent company GCR Inc. Now stronger than ever, and with the combined experience of two successful companies that have time-honored service records and excellent reputations in the public sector technology field, PCC offers:

- A low risk total solution delivered by a proven partner
- An experienced and dedicated team unlike any other in the field, with 7 full business filing system installations and numerous partial system installations and a 100% success rate as measured by completed projects
- An unmatched set of tools that are thoughtfully crafted to best serve business filing administrators, commercial filing administrators and their customers
- Award-winning solutions employing the newest and most secure technologies
- Hardworking, friendly and accessible project leaders who are there to serve and who are imbued with a company culture of full partnership through the project and beyond

Combining all of the above with a track record of delivering on our promises, we believe there are few compelling reasons to consider anything but a successful partnership with PCC.

2. Corporate Overview

2. CORPORATE OVERVIEW

2. CORPORATE OVERVIEW

a. BIDDER IDENTIFICATION AND INFORMATION

The bidder must provide the full company or corporate name, address of the company's headquarters, entity organization (corporation, partnership, proprietorship), state in which the bidder is incorporated or otherwise organized to do business, year in which the bidder first organized to do business and whether the name and form of organization has changed since first organized.

A. BIDDER IDENTIFICATION AND INFORMATION

Prior to becoming a subsidiary of GCR Inc. (GCR), PCC's company name was PCC Technology Group, LLC, a limited liability company incorporated in the state of Connecticut in 1995. After more than 20 years in business, in January 2016, PCC Technology Group, LLC was sold to GCR and became a wholly-owned subsidiary under the name, PCC Technology, Inc.

GCR was incorporated in the state of Louisiana in 1979 as Gregory C. Rigamer & Associates, Inc. (dba GCR & Associates, Inc.) and operated under the same name and ownership for 32 years. On December 30, 2011, the majority interest of Gregory C. Rigamer & Associates, Inc. was acquired by GCR Acquisition Company LLC, which serves as the parent company of GCR Inc. The firm and its parent company are both privately held business corporations.

b. FINANCIAL STATEMENTS

The bidder must provide financial statements applicable to the firm. If publicly held, the bidder must provide a copy of the corporation's most recent audited financial reports and statements, and the name, address, and telephone number of the fiscally responsible representative of the bidder's financial or banking organization.

If the bidder is not a publicly held corporation, either the reports and statements required of a publicly held corporation, or a description of the organization, including size, longevity, client base, areas of specialization and expertise, and any other pertinent information, must be submitted in such a manner that proposal evaluators may reasonably formulate a determination about the stability and financial strength of the organization. Additionally, a non-publicly held firm must provide a banking reference.

The bidder must disclose any and all judgments, pending or expected litigation, or other real or potential financial reversals, which might materially affect the viability or stability of the organization, or state that no such condition is known to exist.

The State may elect to use a third-party to conduct credit checks as part of the corporate overview evaluation.

B. FINANCIAL STATEMENTS

PCC is not a publicly held corporation. PCC is a subsidiary of GCR Inc., a corporation incorporated in the state of Louisiana in January 1979. GCR has over 250 employees and our client base and areas of expertise include Secretaries of State and other government agencies for Business Services solutions and Voter Registration and Election Management solutions, airports, nuclear facilities, and Land Management solutions and GIS. We have clients in 33 states. We provide audited financial statements for our parent

company, GCR, in an envelope separate from this response and marked "Proprietary and Confidential." More information is available upon request.

B.1 BANK REFERENCE

Vicky Hitz
Assistant Vice President-FSA
111 W. Monroe, 5W
Chicago, IL 60603
P: 312.461.3339 (T,W)
P: 815.806.2507 (M, Th, F)
E: vicky.hitz@bmo.com

B.2 JUDGMENTS, LITIGATION, FINANCIAL REVERSALS

Neither PCC nor GCR has had any judgments, pending or expected litigation, or other real or potential financial reversals.

c. CHANGE OF OWNERSHIP

If any change in ownership or control of the company is anticipated during the twelve (12) months following the proposal due date, the bidder must describe the circumstances of such change and indicate when the change will likely occur. Any change of ownership to an awarded vendor(s) will require notification to the State.

C. CHANGE OF OWNERSHIP

There is no change of ownership anticipated during the 12 months following the proposal due date.

d. OFFICE LOCATION

The bidder's office location responsible for performance pursuant to an award of a contract with the State of Nebraska must be identified.

D.OFFICE LOCATION

PCC shall conduct this project from our development center at 100 Northfield Drive, Suite 300 in Windsor, Connecticut.

e. RELATIONSHIPS WITH THE STATE

The bidder shall describe any dealings with the State over the previous three (3) years. If the organization, its predecessor, or any party named in the bidder's proposal response has contracted with the State, the bidder shall identify the contract number(s) and/or any other information available to identify such contract(s). If no such contracts exist, so declare.

E. RELATIONSHIPS WITH THE STATE

PCC Technology, Inc. is a subsidiary of GCR Inc. GCR also owns Quest Information Systems (Quest), which currently has a contract with the State to provide an electronic filing solution for the Nebraska Accountability and Disclosure Commission (NADC). The contract is 67495(O4).

f. BIDDER'S EMPLOYEE RELATIONS TO STATE

If any party named in the bidder's proposal response is or was an employee of the State within the past thirty-six (36) months, identify the individual(s) by name, State agency with whom employed, job title or position held with the State, and separation date. If no such relationship exists or has existed, so declare.

If any employee of any agency of the State of Nebraska is employed by the bidder or is a Subcontractor to the bidder, as of the due date for proposal submission, identify all such persons by name, position held with the bidder, and position held with the State (including job title and agency). Describe the responsibilities of such persons within the proposing organization. If, after review of this information by the State, it is determined that a conflict of interest exists or may exist, the bidder may be disqualified from further consideration in this proposal. If no such relationship exists, so declare.

F. BIDDER'S EMPLOYEE RELATIONS TO STATE

No relationship exists.

g. CONTRACT PERFORMANCE

If the bidder or any proposed Subcontractor has had a contract terminated for default during the past three (3) years, all such instances must be described as required below. Termination for default is defined as a notice to stop performance delivery due to the bidder's non-performance or poor performance, and the issue was either not litigated due to inaction on the part of the bidder or litigated and such litigation determined the bidder to be in default.

It is mandatory that the bidder submit full details of all termination for default experienced during the past three (3) years, including the other party's name, address, and telephone number. The response to this section must present the bidder's position on the matter. The State will evaluate the facts and will score the bidder's proposal accordingly. If no such termination for default has been experienced by the bidder in the past three (3) years, so declare.

If at any time during the past three (3) years, the bidder has had a contract terminated for convenience, non-performance, non-allocation of funds, or any other reason, describe fully all circumstances surrounding such termination, including the name and address of the other contracting party.

G. CONTRACT PERFORMANCE

PCC has finished all contracts successfully. We have never defaulted on any contracts.

h. SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

The bidder shall provide a summary matrix listing the bidder's previous projects similar to this Request for Proposal in size, scope, and complexity. The State will use **no more than three (3)** narrative project descriptions submitted by the bidder during its evaluation of the proposal.

The bidder must address the following:

i. Provide narrative descriptions to highlight the similarities between the bidder's experience and this Request for Proposal. These descriptions must include:

a) The time period of the project;

b) The scheduled and actual completion dates;

c) The Contractor's responsibilities;

d) For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number, and e-mail address); and

e) Each project description shall identify whether the work was performed as the prime Contractor or as a Subcontractor. If a bidder performed as the prime Contractor, the description must provide the originally scheduled completion date and budget, as well as the actual (or currently planned) completion date and actual (or currently planned) budget.

ii. Contractor and Subcontractor(s) experience must be listed separately. Narrative descriptions submitted for Subcontractors must be specifically identified as Subcontractor projects.

iii. If the work was performed as a Subcontractor, the narrative description shall identify the same information as requested for the Contractors above. In addition, Subcontractors shall identify what share of contract costs, project responsibilities, and time period were performed as a Subcontractor.

H. SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

PCC has successfully implemented seven full statewide implementations and numerous component implementations with a 100 percent success rate as measured by completed projects. We became a leader in this field with our installation of the Connecticut CONCORD filing system beginning in 2003. Serving as the foundation of our Cenuity® platform, installations were also completed in Vermont, Georgia, New Mexico, New Hampshire, Louisiana (a GCR project) and Indiana, with beneficial modifications and improvements enhancing our product with each new implementation. Over the past 14 years, PCC has worked side-by-side with filing offices to become subject matter experts in the areas of business registration, filing, and licensing, as well as additional services like UCC, notary public, apostille, Service of Process (SOP), and trademarks.

As the SoS can see from Table 2 on the following page, PCC has the most experience of any vendor out there and can provide the best solution for the SoS.

Table 2. The Experience of PCC and GCR. ***We have the necessary experience to meet the needs of the SoS.***

Client	Business Registrations	UCC	Notary Public	Registered Agent
Connecticut SoS	☑	☑	☑	
Vermont SoS	☑		☑	☑
New Hampshire SoS	☑	☑	☑	
Georgia SoS	☑			
New Mexico SoS	☑	☑		
Indiana SoS	☑			☑
Arkansas SoS			☑	
North Dakota SoS		☑		
Michigan DOS		☑		
Washington SoS	☑			☑
Louisiana SoS	☑	☑	☑	

H.1 REFERENCES

H.1.1 CONNECTICUT SECRETARY OF STATE

Client:	Connecticut Secretary of State
Project Dates:	May 2003 to present (in maintenance)
Scheduled Completion Date:	October 2004; project is under maintenance and support agreement since completion.
Scheduled Budget:	$6M
Actual/Currently Planned Completion Date	Completely implemented on-time in October 2004 and now under maintenance
Actual/Currently Planned Budget:	$6M, plus maintenance contracts since then.
Reference information:	Thomas Miano 30 Trinity Street, Hartford, CT 06106 Phone: 860.509.6199 Email: thomas.miano@ct.gov
Contract Issues:	None
Scope of Work:	PCC replaced a legacy IBM mainframe based business registration and filing system with a Web-based, n-tier system. The solution allows customers to register online and file and receive official licenses and certificates, and also to process other transactions for their account, such as UCC filings and almost all business filing types, including Annual Reports, over the Internet. The solution includes the sharing and validation of data across multiple agencies, and provides internal and external users with the workflows and business rules required to manage this high volume agency's workload with zero backlog. PCC's solution provides a completely configurable environment for the setup of registration and licensing processes and outputs (forms, reports, or correspondence). It allows system administrators to configure all aspects of the application as needs of the agency change (new registration type, changes to printed outputs, additional data fields, changes to business rules, and so on) without assistance from our development staff. This greatly reduces total cost of ownership.

	PCC also provided a customer-centric business start-up tool for the Secretary of State. This Web site was developed using HTML5, CSS, and JavaScript and gives a graphical toolbar so that the users know where they are in the business registration process. Users follow a series of reflexive questions and guided processes that help new business organizers understand and complete the registrations, filings, permitting, and other steps across the inter-agency landscape required to start a business in Connecticut. As the prime contractor, PCC was responsible for the delivery of the new system, from requirements gathering to code customization, system integration, and project management throughout the entire project lifecycle. PCC continues to provide maintenance and support services for the application and the Web site.
Other Information:	PCC continues to provide support to the entire Secretary of State office. In addition to the Business Filing solution, we also maintain the Elections Management solution.

H.1.2 GEORGIA SECRETARY OF STATE

Client:	Georgia Secretary of State
Project Dates:	February 2015 to present (in maintenance; Phase 2 enhancements underway)
Scheduled Completion Date:	June 2015
Scheduled Budget:	$1.9M
Actual/Currently Planned Completion Date	June 2015
Actual/Currently Planned Budget:	$1.9M
Reference information:	Shawnzia Thomas 214 State Capitol, Atlanta, GA 30334 Phone: 404.657.1876 Email: sthomas@sos.ga.gov
Contract Issues:	None
Scope of Work:	After years of struggling to work out the issues with a legacy replacement system through a sole-source contract based on low price, the Georgia Secretary of State

	needed a robust solution and a quick win. PCC's solution provided the type of stability and configurability that allowed this agency, processing more than a million transactions per year, to go live with a complete business filing and registration, including data conversion, in only five months from contract signing. The system provides a completely configurable environment for the setup of registration processes, annual filings, certificates, mergers, dissolutions, and all outputs such as forms, reports, correspondence, and information orders. After 90 days of implementation, the agency received more than 90,000 online filings previously submitted by paper. The Secretary of State is now moving forward with next-level processing efficiencies and other enhancements that will continue to improve the productivity of the staff and ensure ongoing configurability without expensive maintenance costs, including service of process, trademarks, eNotifications subscription service, and one-hour expeditions. PCC's solution provides a completely configurable environment for the setup of registration and licensing processes and outputs (forms, reports, or correspondence). It allows system administrators to configure all aspects of the application as needs of the agency change (new registration type, changes to printed outputs, additional data fields, changes to business rules, and so on) without assistance from our development staff. This greatly reduces total cost of ownership. PCC is the prime contractor responsible for the delivery of the new system, from requirements gathering to configuration, system integration, training, and project management throughout the entire project lifecycle.
Other Information:	The Georgia Secretary of State is a repeat customer of PCC; we designed, developed, configured, implemented, and continue to provide maintenance on the Statewide Voter Registration System.

H.1.3 LOUISIANA SECRETARY OF STATE

Client:	Louisiana Secretary of State
Project Dates:	June 2008 to July 2009 (in maintenance)
Scheduled Completion Date:	July 2009
Scheduled Budget:	$1.8M

Actual/Currently Planned Completion Date	July 2009
Actual/Currently Planned Budget:	$1.8M
Reference information:	Scott Mayers 8585 Archives Avenue, Baton Rouge, LA 70809 Phone: 225.922.0626 Email: scott.mayers@sos.la.gov
Contract Issues:	None
Scope of Work:	The Commercial Division of the Louisiana Secretary of State (SoS) is the first point of contact for new businesses in Louisiana and provides for the filing of official documents for business and non-profit corporations. The Commercial Division performs a vital role in State government, however the system used for the registry of business and uniform commercial code filings had been in existence since the early 1990s and had not kept pace with the needs of the business community. In June 2008, GCR was chosen by the Secretary of State to design and develop an innovative imaging and workflow system to modernize the Corporations office, to make daily operations more efficient, and to advance the office to next level in customer service. GCR examined the existing workflow of the Division and proposed changes to increase efficiency and reduce the potential for errors. The new workflow was the basis for the design of the new CORA .Net application. The improved processes greatly increased the efficiency of the routine office tasks as well as ensured that the correct employees were implementing each required step in the workflow. GCR developed detailed functional and technical requirements and provided specifications for all required hardware and software components before the coding and data conversion began. GCR created a single, centralized Microsoft .Net WinForms application running against a Microsoft SQL Server back-end. Each component of the application integrates seamlessly with Microsoft Office SharePoint Server, KnowledgeLake scanning/imaging system, the RightFax fax management software, the SoS financial system, and the SoS archival system. GCR converted all corporation data and service of process data from an existing AS/400 system to Microsoft SQL Server. Data conversion also included the migration of over 8.5 million images from a slow optical drive to Microsoft

	SharePoint utilizing Knowledge Point software. The improved architecture and database design allows for smaller data storage and faster searching and data entry. The solution includes functionality for business filing and registration, UCC (which is used by all Clerks of Court in Louisiana and allows paid subscribers to search the UCC data), Notary Public, and Legal Services (which shows all of the legal services data that is available and allows for quick and easy searching and display). A daily process creates and mails postcards to alert appropriate corporations that they need to submit their annual reports. The post card directs the user to a website where they can complete the entire process online. This task, which was manual before CORA .Net, was the bulk of the SoS daily labor, and the amount of SoS labor required on a daily basis has been greatly reduced. The new system also allows for bulk scanning of checks. This bulk scanning process attaches an image of the check with the correct transaction automatically. A nightly process performs an automated check deposit and greatly reduces the workload on SoS staff. It also reduces the chance for lost checks and errors with check processing. GCR created a public web portal that provides online functionality including filing annual reports, trademarks, reinstatements, certificates of good standing, corporate summary information, among other functions. The web site accepts credit card payments and therefore allows the user to submit payment without interacting with SoS staff members. This has *greatly* reduced the workload placed on the SoS employees, and the end user adoption rate far exceeded expectations in the first year alone.
Other Information:	GCR's team continues to actively support the applications and is about to deploy a new web site named "GeauxBiz." This will be a one-stop-shop for anyone wanting to create a business in Louisiana. It will provide the information and links to any relevant agencies needed to complete the process, and is expected to be a big hit with the public.

i. SUMMARY OF BIDDER'S PROPOSED PERSONNEL/MANAGEMENT APPROACH

The bidder must present a detailed description of its proposed approach to the management of the project.

The bidder must identify the specific professionals who will work on the State's project if their company is awarded the contract resulting from this Request for Proposal. The names and titles of the team proposed for assignment to the State project shall be identified in full, with a description of the team leadership, interface and support functions, and reporting relationships. The primary work assigned to each person should also be identified.

The bidder shall provide resumes for all personnel proposed by the bidder to work on the project. The State will consider the resumes as a key indicator of the bidder's understanding of the skill mixes required to carry out the requirements of the Request for Proposal in addition to assessing the experience of specific individuals.

Resumes must not be longer than three (3) pages. Resumes shall include, at a minimum, academic background and degrees, professional certifications, understanding of the process, and **at least three (3) references** (name, address, and telephone number) who can attest to the competence and skill level of the individual. Any changes in proposed personnel shall only be implemented after written approval from the State.

I. SUMMARY OF BIDDER'S PROPOSED PERSONNEL/MANAGEMENT APPROACH

I.1 PROJECT MANAGEMENT

PCC proposes a proven project management approach to ensure that the project and the deliverables meet and exceed State of Nebraska Secretary of State's (SoS') objectives and performance goals, and maximize the value of the agency's information technology investments. The project management and planning activities are critical to the success of the project. A key element of the PCC management approach is the development, review, and approval of the Project Management Plan, which documents the majority of the project management strategies, processes, and governance framework.

The Initial Project Management Plan Outline is documented in the following sections and includes the required content listed in the RFP, Attachment A, Form A.1, Requirements Traceability Matrix, RTM item PPM-1 as follows:

A. Project Approach Statement (Section I.1.1)
B. Scope of Work Document (Section I.1.2)
C. Work Breakdown Structure (Section I.1.3)
D. Project Schedule (Section I.1.4)
E. Milestones and Deliverables Statement (Section I.1.5)
F. Risk Assessment and Risk Mitigation Strategies (Section I.1.6)
G. Resource Plan (Section I.1.7)
H. Implementation Plan (Section I.1.8)
I. Conversion Plan (Section I.1.9)

J. Change Control Plan (Section I.1.10)
K. Communication/Coordination Plan (Section I.1.11)
L. Project Acceptance and Signoff Form (Section I.1.12)
M. Project Closeout and Lessons Learned Processes (Section I.1.13)

PCC also includes the following additional components in the Project Management Plan that were not specified in the RTM, but that we feel are essential in implementing our approach to project management in these areas:

- Issue Management Strategy (Section I.1.14)
- Quality Assurance Plan (Section I.1.15)
- Contingency Planning (Section I.1.16)
- Post-implementation Operation (Section I.1.17)

The Project Management Plan Outline also incorporates specific details of the PCC Project Management Plan components in accordance with requirements in the RFP Section IV, Subsection G.1, Project Management Plan, including the following:

- Project Definition, Description of Tasks and Key Milestones
- Knowledge Transfer Approach
- Data Mapping and Conversion Approach (Conversion Plan)
- Resources and Time Commitments for Training and Knowledge Transfer
- Measurements for Verifying Knowledge Transfer Effectiveness
- Project Roles and Responsibilities
- Points of Contact and Procedures for Issue Management
- Test Plan and Procedures
- Risk Mitigation Plan and Strategy
- Contingency Plan for Aborted or Deferred Implementation

I.1.1 PROJECT APPROACH STATEMENT

PCC believes that the best product and team alone are not a guarantee for a successful project implementation. A proven process that focuses on collaboration among the SoS, external stakeholders, the end-users, and PCC project team ensures success in this implementation. Strong project management combined with proven implementation strategies and a work plan that focuses on all of the key elements of the software development lifecycle (SDLC) is a necessity for the success of a project similar to this. PCC will leverage our experience in delivering similar systems for Connecticut, Maine, Georgia, New Hampshire, New Mexico, and Indiana, as well as the experience from other relevant implementations.

Because the project management environment is crucial to establishing a successful partnership, our top priorities at the onset of the project are to apply project management processes to:

- Establish lines of communication with the State to initiate the project.
- Establish the Project Steering Committee and governance structure and induct the project managers.
- Integrate and align PMBOK®-based project management practices with the State's project management methodologies throughout phases of the project from project initiation through project closing.
- Finalize the project plans, including work breakdown structures and schedules, through coordinated planning sessions between the State and PCC.

With the SoS' needs in mind, PCC gathers a talented team to deliver premium project management and implementation services and has assigned a senior PCC project manager to the project experienced in the implementation of business services filing systems and other enterprise-class systems for state governments. We focus on the use of proven industry-standard processes and best practices for project-level activities. By aligning our project plan for this project with the Project Management Institute's (PMI's) Project Management Body of Knowledge (PMBOK®) guidelines for management of project scope, schedule, cost, quality, staffing, communications, risk, integration and deployment, we ensure the on-time delivery of a system that meets all requirements in the RFP. Our close collaboration with the SoS project manager, subject matter experts (SMEs), and other project stakeholders in every aspect of the project is absolutely essential to project success.

With PMBOK as a basis for our framework, we use these factors in our implementations:

- Best practices in software development
- Clearly defined critical success factors and a phased project lifecycle that addresses each success factor
- Understanding of the unique elements of the particular engagement that must be managed to ensure success
- Risk mitigation by implementing industry best practices to guide each phase of the project
- Delivery model that meets the client's implementation schedule as well as conforms to the client's organizational structure
- Communication plan designed to focus on free and open horizontal and vertical communication across the client's organization and the project team
- Utilization of tools to help track, control, and report on project tasks and schedule
- Management processes that are easy to use and implement and that focus on quality
- Availability of best resources to bring success to the project

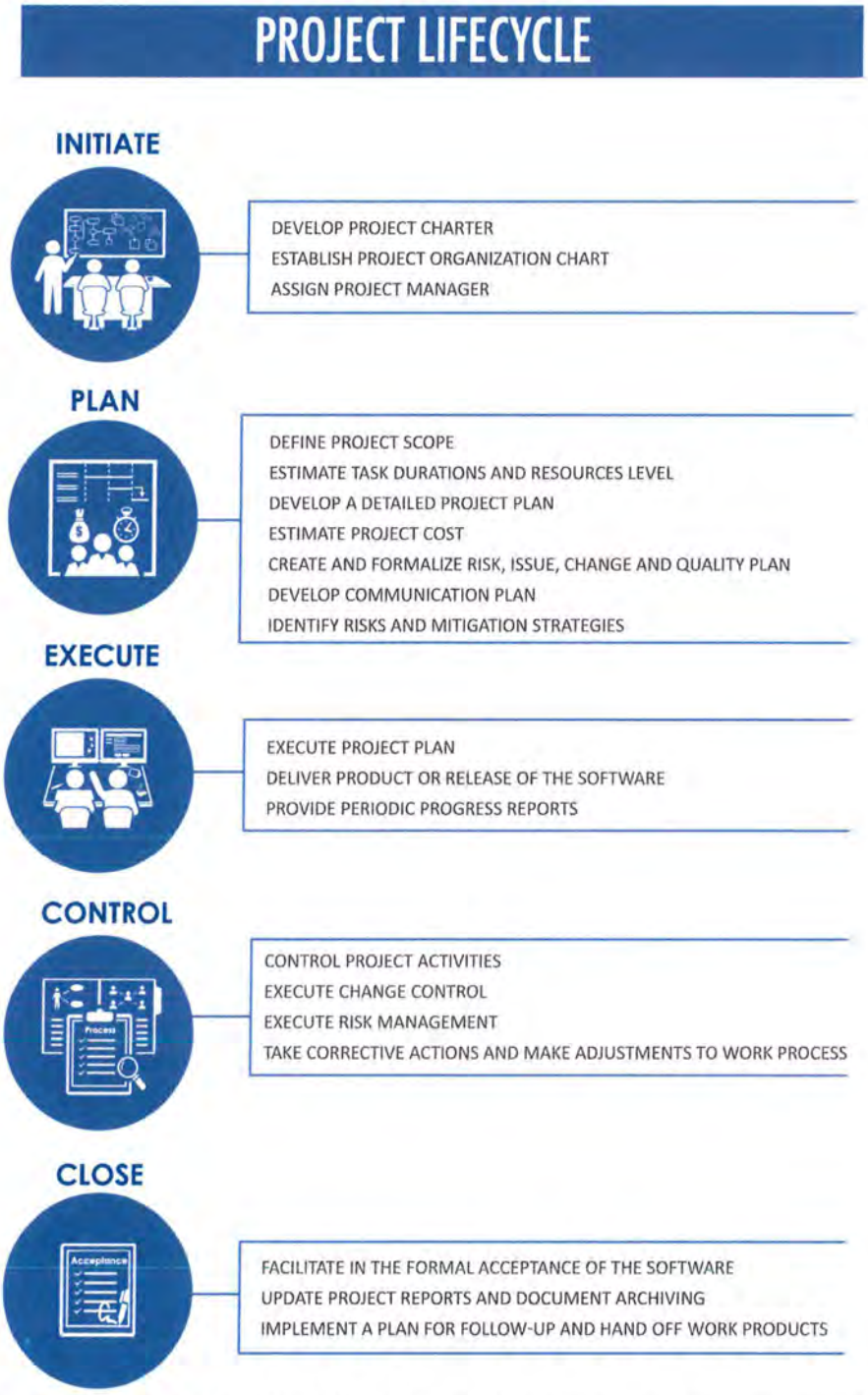


Figure 1. Project Lifecycle. ***PCC follows these process groups throughout our project implementation.***

As shown in Figure 1, Project Lifecycle and Key Activities, our Project Management Lifecycle consists of five standard activities: Initiation, Planning, Execution, Controlling, and Closing. Each stage of the project management lifecycle governs the more detailed implementation phases, each with key work products and

tasks that define it. These are the five standard process groups for Project Management, but for the purposes of clarifying our Project Schedule, we use Implementation Phases that run concurrently with the Project Management Process Groups. We list the Implementation Phases that correspond to each Project Management Process Group below.

I.1.1.1 INITIATING PROCESS GROUP

Project Initiation is the conceptual process group for project management. The project team confirms project objectives and expectations as well as gains executive level support. Also, control processes are established; the scope and work breakdown structure are validated; the resource, schedule, and cost baselines are confirmed; appropriate methodologies are agreed upon; and the initial Project Management Plan is developed.

Related Implementation Phase: Project Initiation

I.1.1.2 PLANNING PROCESS GROUP

Related Implementation Phase: Project Initiation

During this stage, the team finalizes the Project Management Plan and subordinate plans, such as quality assurance, risk management, resource management, change control, communication, implementation and conversion plans. The Project Management Plan outlines the overall project methodology and the scope of work and effort that are required to complete the project. This includes a detailed Statement of Work (SOW) and the definition of the roles and responsibilities of those involved in delivering the solution.

I.1.1.3 EXECUTING PROCESS GROUP

The project team executes the specific tasks of the Project Management Plan. The majority of the project effort is expended during this phase. The key deliverables produced in the execution phase represent the final version, or release, of the software. There is significant overlap in the work performed during the execution phase with that of the control phase described in the following section.

Related Implementation Phases: Gap Analysis and Specification Documentation; Software Modification and Unit Testing; Data Migration; System Integration and Testing; Training; Production Deployment and Closeout

Related Implementation Phases: Project Initiation, Gap Analysis and Specification Documentation; Software Modification and Unit Testing; Data Migration; System Integration and Testing; Training; Production Deployment and Closeout

I.1.1.4 CONTROL PROCESS GROUP

Project control mechanisms are put in place to measure and report on the progress of the proposed system. Key metrics are collected and analyzed proactively to mitigate project risks and to avoid delivery, quality, and schedule issues. The key to the control process is to compare actual project delivery metrics with planned delivery metrics and take corrective actions to ensure that the two components converge. The project management team is actively involved in issue management and resolution, scope and risk management, budget monitoring, schedule tracking, and status reporting. These control activities are practiced throughout all of the phases of the project, but are most critical in ensuring the acceptance of the system.

I.1.1.5 CLOSING PROCESS GROUP

Related Implementation Phases: Training; Production Deployment and Closeout; Warranty Period and Transition to Maintenance and Support

This final phase of project management involves the administrative and financial activities needed to close out the project at completion. A closeout checklist is completed to ensure that all work has been performed to the expectations of the project sponsor(s). Project reviews are performed with the project team and the project sponsor(s) to document "lessons learned." Actual effort will be compared to projected effort and delivery date projections to ensure that our planning process is still accurate. PCC routinely conducts a post-implementation analysis to identify best practices and potential pitfalls for future projects. As a result of this evaluation, our methodology undergoes continuous improvement, thus ensuring success on future projects.

I.1.1.6 COORDINATION AND GOVERNANCE

PCC will coordinate directly with the SoS' Deputy for Business Services and Technology (or a designee) serving as the SoS project manager as mandated in RFP Section IV, Subsection G.3, Coordination. We will work with the SoS Program Manager to confirm the project strategy and approach, and define project governance and tasks with scope, expectations and estimates agreed to up-front. Throughout the project, the SoS project manager will facilitate, review and approve the requirements, schedule, budget, changes, deliverables and other aspects of system implementation and configuration for this project. The reviews may result in refinement of the project approach and strategy to allow for changes in project priorities, budget and schedule constraints, data migration and interface parameters, system dependencies, resources limitations and proposed milestones, potential issues and risks, and other constraints and assumptions.

PCC recommends establishing a Project Steering Committee comprised of the SoS Deputy for Business Services and Technology (or a designee), other key stakeholders and PCC project leadership. The Steering Committee will serve in an advisory capacity to confirm project stakeholder requirements and priorities; discuss project issues and risks impacting stakeholder organizations; and to champion change management

efforts including facilitating adoption of the IT solution and any associated procedural changes by internal and external partners.

In accordance with the requirements in the RFP Section IV, Subsection G.1, Project Management Plan, PCC will develop the initial Project Management Plan and submit it to the SoS project manager and any additional required State of Nebraska authorities for review and approval within ten business days after the contract is awarded. A finalized Project Management Plan will be submitted for SoS project manager approval within 20 business days after contract award. The components of the Project Management Plan will be updated throughout the project and will be subject to quality assurance checkpoints. The PCC project manager will record and measure project completion by documenting the execution of the Project Management Plan and associated metrics, and publishing this documentation to a central project repository created by PCC.

I.1.1.7 PROJECT STATUS REPORTING

PCC will implement project status reporting compliant with the requirements in the RFP Section IV, Subsection G.2, Project Status Reports. The PCC project manager will be responsible for documenting project status and submitting a weekly project status report to the SoS project manager from project initiation through 60 days past the Go-Live system implementation. Upon SoS project manager review and approval, the report will also be stored in the central project data repository for project-wide access. The reports include the following components, at minimum, but can be revised periodically to meet project and SoS needs:

- Project status and measurement of completion, including significant work plan activities performed, overall percentage complete, deliverable and milestone status;
- Risk overview, risk register log, mitigation plans and remediation summary;
- Completed deliverables, milestones reached, analysis of variance from the Project Management Plan, including scope, schedule, budget, and/or quality;
- Significant planned and in-process activities, deliverables, milestones and resources needed for the next reporting period;
- Issues overview, issues log with status updates, resolution plans, and remediation plan summary
- Quality assurance program status
- Any other needed information for project decision support

For this enterprise-level project, the weekly status report contents and format will be compliant with Nebraska Information Technology Commission (NITC) Standard NITC 1-203: Project Status Reporting.

PCC recognizes that daily and weekly meetings and other communication for planning, coordination, status reporting, and issue resolution are needed to further effective collaboration in a structured environment where conclusions and decisions are documented and disseminated, sometimes under short time constraints. We document meeting minutes and other communication and store the files in a central project document repository for access by and/or distribution to meeting attendees and other project stakeholders.

Our standard meeting agendas include the following:

- Meeting title, date, time, attendees
- Review and approve previous minutes, summary from the previous period and the upcoming period, and status summary
- Issue log and risk register reviews
- Quality assurance program report
- New action items and outstanding action items review/plan
- Plan next meeting date and time for non-recurring meetings

Meeting agendas will frequently be customized for applicability and effectiveness based on the meeting objectives and audience.

I.1.2 SCOPE OF WORK DOCUMENT

The Project Management Plan will include the detailed Scope of Work for the project describing the project activities, deliverables, timelines, constraints, roles and responsibilities, and other information defining the project objectives, scope boundaries and expectations. Additional supporting information includes project business requirements that consist of formal, verifiable functional requirements for the solution to be implemented during the project. The Scope of Work, with complete, concise requirements, guides the technical work, and provides a compliance framework for implementation of the other components of the Project Management Plan.

I.1.3 WORK BREAKDOWN STRUCTURE

A Work Breakdown Structure (WBS) for the project is documented in the Project Management Plan. The WBS lists and describes the detailed activities, resources, deliverables and milestones planned in support of the project Scope of Work. The deliverables are defined where specific products or service levels resulting from planned activities in the WBS and can be assessed by SoS leadership upon completion. Milestones are scheduled checkpoints where a level of project progress has been accomplished and project performance is evaluated to ensure that activities are meeting Project Management Plan goals at a certain point in the project. The WBS documents the acceptance criteria for accomplishment of project activities, deliverables and milestones including the performance metrics required for SoS approvals and/or authorization to proceed following milestone reviews. The WBS provides information on assumptions, constraints other details needed to effectively execute other components of the Project Management Plan and serves as the basis for line items and resource allocation documented in the project Schedule. The alignment of deliverables and milestones and their acceptance criteria with SoS objectives for the project is of the utmost importance to ensure project efforts are successful. PCC is experienced in accurate WBS development for enterprise-class projects. PCC WBS activities for the project are defined to support and culminate in deliverable development and milestone accomplishment.

I.1.4 PROJECT SCHEDULE

A project schedule will be drafted and used to manage the project. The Work Breakdown Structure (WBS) documented in the Project Management Plan will serve and the basis for the schedule scope and defines the project's work activities and deliverables as well as the milestones to be used to evaluate the project. These will be incorporated into the Microsoft Project-based schedule, which serves as a key tool in ensuring that the project team knows what they need to do and how much time is allocated to accomplish each task. The work items will be identified with sufficient granularity that tracking against these milestones will indicate whether significant deviations are taking place from the planned objectives and project schedule.

PCC project management staff will monitor and track the project progress against the baseline Project Management Plan on a daily and weekly basis and at project milestones. The PCC project manager will report project progress to the SoS project manager on a weekly basis including any variance from the baseline Project Management Plan.

PCC will have milestones in the schedule so that there are SoS project manager reviews as well as quality assurance reviews at the end of each project phase and/or at monthly checkpoints. These reviews are important in keeping accurate project status reports and information flowing through the organization in support of needed management decisions.

We provide our preliminary project plan following this page.

The rest of this page is intentionally left blank.

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names	N
1	**Nebraska Corporations and UCC**	**310 days**	**Wed 12/21/16**	**Fri 3/16/18**			
2		1 day	Wed 12/21	Wed 12/21			
3	**Phase 1 - Project Initiation and Planning Phase**	**10 days**	**Wed 12/21/16**	**Fri 1/6/17**			
4	**Detailed Project Plan**	**10 days**	**Wed 12/21/16**	**Fri 1/6/17**			
5	Final Implementation Plan and Milestone Deliverable Matrix	3 days	Wed 12/21/16	Tue 12/27/16	2SS	PCC PM,SoS PM	
6	Detailed Project Schedule/Work Plan	3 days	Wed 12/21/16	Tue 12/27/16	5SS	PCC PM,SoS PM	
7	Change Management Plan	3 days	Wed 12/21/16	Tue 12/27/16	6SS	PCC PM,SoS PM	
8	Risk Management Plan	3 days	Wed 12/21/16	Tue 12/27/16	7SS	PCC PM,SoS PM	
9	Quality Assurance/Issue Management Plan	3 days	Wed 12/21/16	Tue 12/27/16	8SS	PCC PM,SoS PM	
10	Staffing Plan	3 days	Wed 12/21/16	Tue 12/27/16	9SS	PCC PM,SoS PM	
11	Communications Management Plan	3 days	Wed 12/21/16	Tue 12/27/16	10SS	PCC PM,SoS PM	
12	Review/Revise Plans with SoS Project Manager	2 days	Wed 12/28/16	Thu 12/29/16	11	SoS PM,PCC PM	
13	SoS Review and Sign-off	5 days	Fri 12/30/16	Fri 1/6/17	12	SoS PM	
14	**Project Kickoff Meeting**	**3 days**	**Wed 12/28/16**	**Fri 12/30/16**			
15	Prepare Project Kickoff Agenda	1 day	Wed 12/28/16	Wed 12/28/16	11	PCC PM,SoS PM	
16	Conduct Project Kickoff Meeting (on-site)	1 day	Fri 12/30/16	Fri 12/30/16	12	SoS Project Team,PCC PM,SoS PM,PCC Project T	
17	Gap Analysis Session Preparation and Review Schedule	2 days	Tue 1/3/17	Wed 1/4/17	16	PCC PM,SoS PM	
18	**Milestone 1: Detailed Project Plan Completed and Accepted**	**0 days**	**Fri 1/6/17**	**Fri 1/6/17**	**13**		
19	**Milestone 2: Project Kickoff Completed**	**0 days**	**Fri 12/30/16**	**Fri 12/30/16**	**16**		
20	**Milestone 3: Project Gap Analysis Preparation Completed**	**0 days**	**Wed 1/4/17**	**Wed 1/4/17**	**17**		
21	**Phase 2 - Business Needs Assessment and Application Design**	**105 days**	**Thu 1/5/17**	**Mon 6/5/17**			
22	**Application Demonstration and Orientation**	**1 day**	**Thu 1/5/17**	**Thu 1/5/17**			
23	Provide Application Demonstration/Orientation Seminar	1 day	Thu 1/5/17	Thu 1/5/17	17	PCC FUNCTIONAL LEAD	
24	**Gap Analysis**	**22 days**	**Fri 1/6/17**	**Tue 2/7/17**			

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Task		Inactive Task		Start-only	
Split		Inactive Milestone		Finish-only	
Milestone		Inactive Summary		Deadline	
Summary		Manual Task		Progress	
Project Summary		Duration-only		Manual Progress	
External Tasks		Manual Summary Rollup			
External Milestone		Manual Summary			

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names	N
25	Session 1 Conduct Gap Analysis Sessions to Gather Business Requirements	6 days	Fri 1/6/17	Fri 1/13/17	23		
26	Session 1 Document Gap Analysis Sessions	3 days	Tue 1/17/17	Thu 1/19/17	25	PCC FUNCTIONAL LEAD	
27	Distribute/Review/Revise Gap Analysis Notes with State Stakeholders	2 days	Fri 1/20/17	Mon 1/23/17	26	PCC PM,SoS SME,SoS PM	
28	Session 2 Conduct Gap Analysis Sessions to Gather Business Requirements	6 days	Tue 1/24/17	Tue 1/31/17	27		
29	Session 2 Document Gap Analysis Sessions	3 days	Wed 2/1/17	Fri 2/3/17	28	PCC FUNCTIONAL LEAD	
30	Distribute/Review/Revise Gap Analysis Notes with State Stakeholders	2 days	Mon 2/6/17	Tue 2/7/17	29	PCC PM,SoS SME,SoS PM	
31	**Data Model Design**	**50 days**	**Wed 2/8/17**	**Wed 4/19/17**			
32	Internal Data Modeling Sessions To Confirm Modifications	6 days	Wed 2/8/17	Thu 2/16/17	30	PCC TECH	
33	Identify and Document Data Model Gaps and Required Changes	15 days	Fri 2/17/17	Thu 3/9/17	32	PCC TECH	
34	Prepare Data Model and Database Design Document	15 days	Fri 3/10/17	Thu 3/30/17	33	PCC TECH	
35	Distribute/Review/Revise with Key Stakeholders	9 days	Fri 3/31/17	Wed 4/12/17	34	PCC TECH,SoS TECH	
36	Review and Sign-off for Data Model	5 days	Thu 4/13/17	Wed 4/19/17	35	SoS TECH,SoS PM	
37	**Specifications Requirements Documents**	**21 days**	**Wed 2/8/17**	**Thu 3/9/17**			
38	Detail Updated Process Flows and Scenarios	6 days	Wed 2/8/17	Thu 2/16/17	30	PCC FUNCTIONAL LEAD	
39	Detail Updated Module Functionality, Screen Processing, Business R	6 days	Fri 2/17/17	Fri 2/24/17	38	PCC FUNCTIONAL LEAD	
40	Distribute/Review/Revise FRD with Key Division Stakeholders (on-sit	4 days	Mon 2/27/17	Thu 3/2/17	39	SoS Project Team	
41	Review and Sign-off	5 days	Fri 3/3/17	Thu 3/9/17	40	SoS TECH,SoS SME,SoS PM	
42	**Requirements Traceability Matrix(RTM)**	**21 days**	**Fri 3/10/17**	**Fri 4/7/17**			
43	Review Business Requirements	6 days	Fri 3/10/17	Fri 3/17/17	37	PCC PM,PCC FUNCTIONAL LEAD	
44	Map Gathered Requirements to RFP	6 days	Mon 3/20/17	Mon 3/27/17	43	PCC PM,PCC FUNCTIONAL LEAD	
45	Distribute/Review/Revise RTM with Key State Stakeholders	4 days	Tue 3/28/17	Fri 3/31/17	44		
46	Review/Submit/Obtain Signoff of RTM	5 days	Mon 4/3/17	Fri 4/7/17	45		
47	**Technical Design Document (TDD)**	**21 days**	**Wed 2/8/17**	**Thu 3/9/17**			
48	Document Division-specific Configuration	6 days	Wed 2/8/17	Thu 2/16/17	38SS	PCC TECH	

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Task	Inactive Task	Start-only	
Split	Inactive Milestone	Finish-only	
Milestone	Inactive Summary	Deadline	
Summary	Manual Task	Progress	
Project Summary	Duration-only	Manual Progress	
External Tasks	Manual Summary Rollup		
External Milestone	Manual Summary		

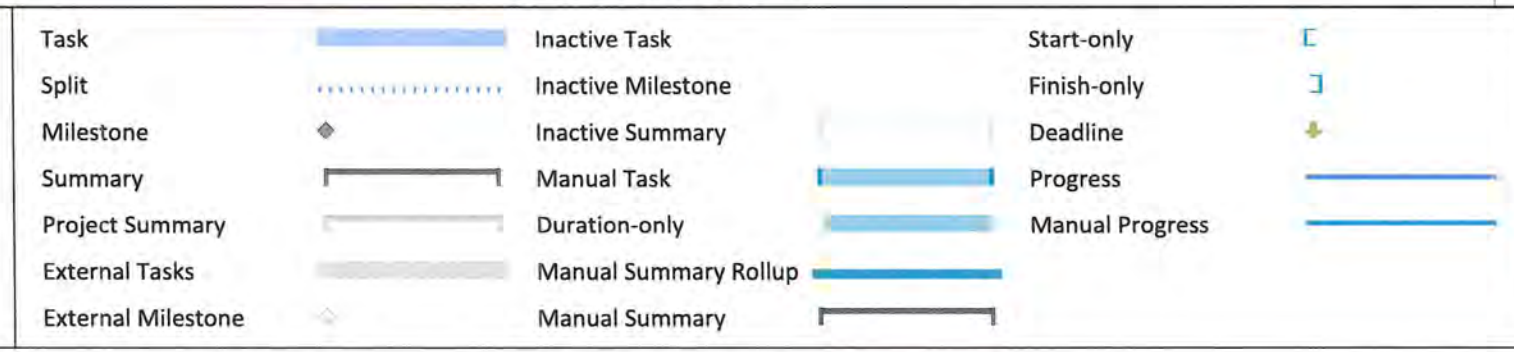
ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names	N
49	Document HW/SW Needs	6 days	Fri 2/17/17	Fri 2/24/17	48		
50	Distribute/Review/Revise TDD with Key IT Division Stakeholders	4 days	Mon 2/27/17	Thu 3/2/17	49	PCC TECH,PCC PM,SoS TECH,SoS PM	
51	Review and Sign-off for TDD	5 days	Fri 3/3/17	Thu 3/9/17	50	SoS TECH,SoS PM	
52	**QA Planning**	**21 days**	**Fri 3/10/17**	**Fri 4/7/17**			
53	Update Test Cases for Customized Modules	6 days	Fri 3/10/17	Fri 3/17/17	41	PCC FUNCTIONAL LEAD	
54	Update Requirements Traceability Matrix (RTM)	6 days	Mon 3/20/17	Mon 3/27/17	53	PCC FUNCTIONAL LEAD	
55	Distribute/Review/Revise Test Cases with Key Division Stakeholders	4 days	Tue 3/28/17	Fri 3/31/17	54	PCC PM,PCC FUNCTIONAL LEAD,SoS SME,SoS	
56	Review and Sign-off for Test Cases	5 days	Mon 4/3/17	Fri 4/7/17	55	SoS TECH,SoS SME,SoS PM	
57	**Training Planning**	**40 days**	**Mon 4/10/17**	**Mon 6/5/17**			
58	**Prepare Training Plan and Approach**	**32 days**	**Mon 4/10/17**	**Tue 5/23/17**			
59	Clarify and Define Training Needs, Requirements and Audience	8 days	Mon 4/10/17	Wed 4/19/17	56	PCC PM,PCC SME,SoS SME,SoS PM	
60	Identify Training Modules and Chapters	8 days	Thu 4/20/17	Mon 5/1/17	59	PCC PM,PCC SME	
61	Identify Training Locations and Resources	8 days	Tue 5/2/17	Thu 5/11/17	60	PCC PM,SoS PM	
62	Identify Training Materials to be Updated	8 days	Fri 5/12/17	Tue 5/23/17	61	PCC PM,PCC SME	
63	Distribute/Review/Revise with Key Stakeholders (on-site)	3 days	Wed 5/24/17	Fri 5/26/17	62	PCC PM,PCC SME,SoS SME,SoS PM	
64	Review and Sign-off for Training Plan	5 days	Tue 5/30/17	Mon 6/5/17	63	SoS SME,SoS PM	
65	**Milestone 4: Gap Analysis Sessions Completed and Accepted**	**0 days**	**Tue 2/7/17**	**Tue 2/7/17**	**24**		
66	**Milestone 5: Data Model and Database Design Completed and Accepte**	**0 days**	**Wed 4/19/17**	**Wed 4/19/17**	**36**		
67	**Milestone 6: Requirements Documents Completed and Accepted**	**0 days**	**Fri 4/7/17**	**Fri 4/7/17**	**42,37**		
68	**Milestone 7: Technical Design Completed and Accepted**	**0 days**	**Thu 3/9/17**	**Thu 3/9/17**	**51**		
69	**Milestone 8: QA Plan Completed and Accepted**	**0 days**	**Fri 4/7/17**	**Fri 4/7/17**	**56**		
70	**Milestone 9: Training Plan Completed and Accepted**	**0 days**	**Mon 6/5/17**	**Mon 6/5/17**	**64**		
71	**Phase 3 - Software Configuration and Unit Testing**	**142 days**	**Thu 3/2/17**	**Thu 9/21/17**			
72	**Application Configuration/ Development**	**142 days**	**Thu 3/2/17**	**Thu 9/21/17**			
73	**Setup Development Environments**	**15 days**	**Thu 3/2/17**	**Wed 3/22/17**			

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Task	Inactive Task		Start-only
Split	Inactive Milestone		Finish-only
Milestone	Inactive Summary		Deadline
Summary	Manual Task		Progress
Project Summary	Duration-only		Manual Progress
External Tasks	Manual Summary Rollup		
External Milestone	Manual Summary		

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names	N
74	Configure HW/SW for Required Development Environments	10 days	Thu 3/2/17	Wed 3/15/17	14	PCC TECH	
75	Create Project and Install/Configure Base Cenuity Platform	3 days	Thu 3/16/17	Mon 3/20/17	74	PCC TECH	
76	Create Development Database Environment	2 days	Tue 3/21/17	Wed 3/22/17	75	PCC TECH	
77	**Complete Code Configuration**	**115 days**	**Mon 4/10/17**	**Thu 9/21/17**			
78	**Corp Filings - Formations Flow**	**29 days**	**Mon 4/10/17**	**Thu 5/18/17**			
79	Segment 1 Coding and Database Updates	21 days	Mon 4/10/17	Mon 5/8/17	67	PCC DEVS	
80	Segment 1 Application Testing	7 days	Tue 5/9/17	Wed 5/17/17	79	PCC PM,PCC TECH,SoS TECH,SoS PM	
81	Segment 1 Application Demo	1 day	Thu 5/18/17	Thu 5/18/17	80		
82	**Corp Filings - InHouse Filings**	**45 days**	**Fri 5/19/17**	**Tue 7/25/17**			
83	Segment 2 Coding and Database Updates	32 days	Fri 5/19/17	Thu 7/6/17	78	PCC DEVELOPERS	
84	Segment 2 Application Testing	12 days	Fri 7/7/17	Mon 7/24/17	83	PCC PM,PCC TECH,SoS TECH,SoS PM	
85	Segment 2 Application Demo	1 day	Tue 7/25/17	Tue 7/25/17	84	SoS Project Team	
86	**UCC and Online**	**73 days**	**Tue 5/9/17**	**Tue 8/22/17**			
87	Segment 3 Coding and Database Updates	42 days	Tue 5/9/17	Mon 7/10/17	79	PCC DEVELOPERS	
88	Segment 3 Application Testing	30 days	Tue 7/11/17	Mon 8/21/17	87	PCC PM,PCC TECH,SoS TECH,SoS PM	
89	Segment 3 Application Demo	1 day	Tue 8/22/17	Tue 8/22/17	88	SoS Project Team	
90	**Report and Admin**	**21 days**	**Wed 8/23/17**	**Thu 9/21/17**			
91	Segment 4 Coding and Database Updates	15 days	Wed 8/23/17	Wed 9/13/17	86	PCC DEVELOPERS	
92	Segment 4 Application Testing	5 days	Thu 9/14/17	Wed 9/20/17	91	PCC PM,PCC TECH,SoS TECH,SoS PM	
93	Segment 4 Application Demo	1 day	Thu 9/21/17	Thu 9/21/17	92	SoS Project Team	
94	**Milestone 10: Environment Setup Completed**	**0 days**	**Wed 3/22/17**	**Wed 3/22/17**	**73**		
95	**Milestone 11: Configuration Completed for Segment 1**	**0 days**	**Thu 5/18/17**	**Thu 5/18/17**	**78**		
96	**Milestone 12: Configuration Completed for Segment 2**	**0 days**	**Tue 7/25/17**	**Tue 7/25/17**	**82**		
97	**Milestone 13: Configuration Completed for Segments 3/4**	**0 days**	**Thu 9/21/17**	**Thu 9/21/17**	**86,90**		
98	**Phase 4 - Data Conversion**	**147 days**	**Thu 4/20/17**	**Thu 11/16/17**			

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ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names	N
99	**Data Conversion**	**142 days**	**Thu 4/20/17**	**Thu 11/9/17**			
100	Review Division's Data Conversion Requirements	4 days	Thu 4/20/17	Tue 4/25/17	17,36	PCC DBA,PCC FUNCTIONAL LEAD,PCC TECH,S	
101	Develop Data Dictionary and Standards for Identified Data Sources	4 days	Wed 4/26/17	Mon 5/1/17	100	PCC DBA,PCC FUNCTIONAL LEAD,PCC TECH	
102	Develop Detailed Data Mapping Document	6 days	Wed 4/26/17	Wed 5/3/17	100	PCC DBA,PCC FUNCTIONAL LEAD,PCC TECH	
103	Develop Detailed Data Migration Plan	4 days	Thu 5/4/17	Tue 5/9/17	102	PCC DBA,PCC FUNCTIONAL LEAD,PCC TECH	
104	Develop Data Migration Scripts	90 days	Wed 5/10/17	Mon 9/18/17	103	PCC DBA,PCC FUNCTIONAL LEAD,PCC TECH	
105	Collect Data from the production application	4 days	Tue 9/19/17	Fri 9/22/17	104	PCC DBA	
106	Conduct Internal Testing (Interface, Integration, Load and Migration)	25 days	Mon 9/25/17	Fri 10/27/17	105	PCC TECH,PCC DEVS,Division Project Team	
107	Distribute/Review Exception Analysis Reports with Division	3 days	Mon 10/30/17	Wed 11/1/17	106	SoS PM	
108	Distribute/Review/Revise with Key Stakeholders	3 days	Thu 11/2/17	Mon 11/6/17	107	SoS Project Team	
109	Division Review of Data Conversion Process for Sign-off	3 days	Tue 11/7/17	Thu 11/9/17	108	SoS PM	
110	**Data Conversion UAT Pull**	**4 days**	**Thu 9/14/17**	**Tue 9/19/17**			
111	Collect Data for UAT Pull	1 day	Thu 9/14/17	Thu 9/14/17	87,91	PCC DBA	
112	Run Conversion for UAT	3 days	Fri 9/15/17	Tue 9/19/17	111	PCC DBA	
113	**Data Conversion Production Pull**	**4 days**	**Mon 11/13/17**	**Thu 11/16/17**			
114	Collect Data for Production Pull	1 day	Mon 11/13/17	Mon 11/13/17	138	PCC DBA	
115	Run Conversion for Production	3 days	Tue 11/14/17	Thu 11/16/17	114	PCC DBA	
116	**Milestone 14: Data Conversion Scripts Completed**	**0 days**	**Thu 11/9/17**	**Thu 11/9/17**	**99**		
117	**Milestone 15: Data Pull Completed for UAT**	**0 days**	**Tue 9/19/17**	**Tue 9/19/17**	**110**		
118	**Milestone 16: Data Pull Completed for Production**	**0 days**	**Thu 11/16/17**	**Thu 11/16/17**	**113**		
119	**Phase 5 - Acceptance Testing**	**49 days**	**Wed 8/23/17**	**Tue 10/31/17**	**79**		
120	**UAT Preparation**	**10 days**	**Wed 8/23/17**	**Wed 9/6/17**			
121	Install/Configure/Test UAT Environment	4 days	Wed 8/23/17	Mon 8/28/17	89	PCC TECH,SoS TECH	
122	Finalize Test Plans	4 days	Tue 8/29/17	Fri 9/1/17	121	PCC FUNCTIONAL LEAD,SoS SME	
123	Division Review and Sign-off for Final Test Plans	2 days	Tue 9/5/17	Wed 9/6/17	122	SoS PM	

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Task	Inactive Task	Start-only	
Split	Inactive Milestone	Finish-only	
Milestone	Inactive Summary	Deadline	
Summary	Manual Task	Progress	
Project Summary	Duration-only	Manual Progress	
External Tasks	Manual Summary Rollup		
External Milestone	Manual Summary		

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names	N
124	**Execute UAT**	**41 days**	**Tue 9/5/17**	**Tue 10/31/17**			
125	Train UAT Testers and Other End Users Identified by SOS	1 day	Tue 9/5/17	Tue 9/5/17	122	SoS Project Team	
126	Execute Test Plans	18 days	Wed 9/6/17	Fri 9/29/17	125	SoS Project Team	
127	Support Issue Management	18 days	Mon 10/2/17	Wed 10/25/17	126	PCC QA Lead	
128	Resolve Issues and Release Patches	18 days	Mon 10/2/17	Wed 10/25/17	126	PCC TECH,PCC DEVS	
129	Track UAT and Performance Testing Results	18 days	Mon 10/2/17	Wed 10/25/17	126	PCC QA Lead,PCC PM,PCC TECH,SoS TECH,So	
130	Review/Submit/Obtain Signoff of UAT	4 days	Thu 10/26/17	Tue 10/31/17	129	SoS TECH,SoS PM	
131	**Milestone 17: User Acceptance Testing Completed and Accepted**	**0 days**	**Tue 10/31/17**	**Tue 10/31/17**	130		
132	**Phase 6 - Training, Production Deployment & Closeout**	**63 days**	**Thu 9/21/17**	**Wed 12/20/17**			
133	**Training**	**37 days**	**Thu 9/21/17**	**Fri 11/10/17**			
134	**Training Materials / Documentation**	**10 days**	**Thu 9/21/17**	**Wed 10/4/17**			
135	Finalize Training Guides and Excercises	5 days	Thu 9/21/17	Wed 9/27/17	88,92	PCC FUNCTIONAL LEAD	
136	Develop Training Data	5 days	Thu 9/21/17	Wed 9/27/17	88,92	PCC TECH,PCC FUNCTIONAL LEAD,PCC DBA,S	
137	Division Review and Signoff for Training Documentation	5 days	Thu 9/28/17	Wed 10/4/17	136	SoS SME,SoS PM	
138	**User Training**	**8 days**	**Wed 11/1/17**	**Fri 11/10/17**			
139	Cycle 1	3 days	Wed 11/1/17	Fri 11/3/17	130	PCC Trainer,ACC Trainers	
140	Cycle 2	5 days	Mon 11/6/17	Fri 11/10/17	139	SoS TECH,PCC TECH	
141	**Deployment and Production Implementation**	**6 days**	**Mon 11/13/17**	**Mon 11/20/17**			
142	Review the Configuration of HW/SW for Full Production	1 day	Mon 11/13/17	Mon 11/13/17	138	PCC TECH,SoS TECH	
143	Run and Load Data Conversion/Migration for Production	3 days	Tue 11/14/17	Thu 11/16/17	142	PCC DBA,PCC FUNCTIONAL LEAD,PCC TECH	
144	Install Production Application Release	1 day	Fri 11/17/17	Fri 11/17/17	143	PCC TECH	
145	Test Production Install and Data	1 day	Mon 11/20/17	Mon 11/20/17	144	PCC FUNCTIONAL LEAD,SoS SME,ACC Users	
146	**Project Wrap-up**	**1 day**	**Wed 12/20/17**	**Wed 12/20/17**			
147	Project Close-out Meeting	1 day	Wed 12/20/17	Wed 12/20/17	145FF+20 days	SoS Project Team	
148	Review Final System Acceptance Criteria and Results	1 day	Wed 12/20/17	Wed 12/20/17	147SS	SoS Project Team	

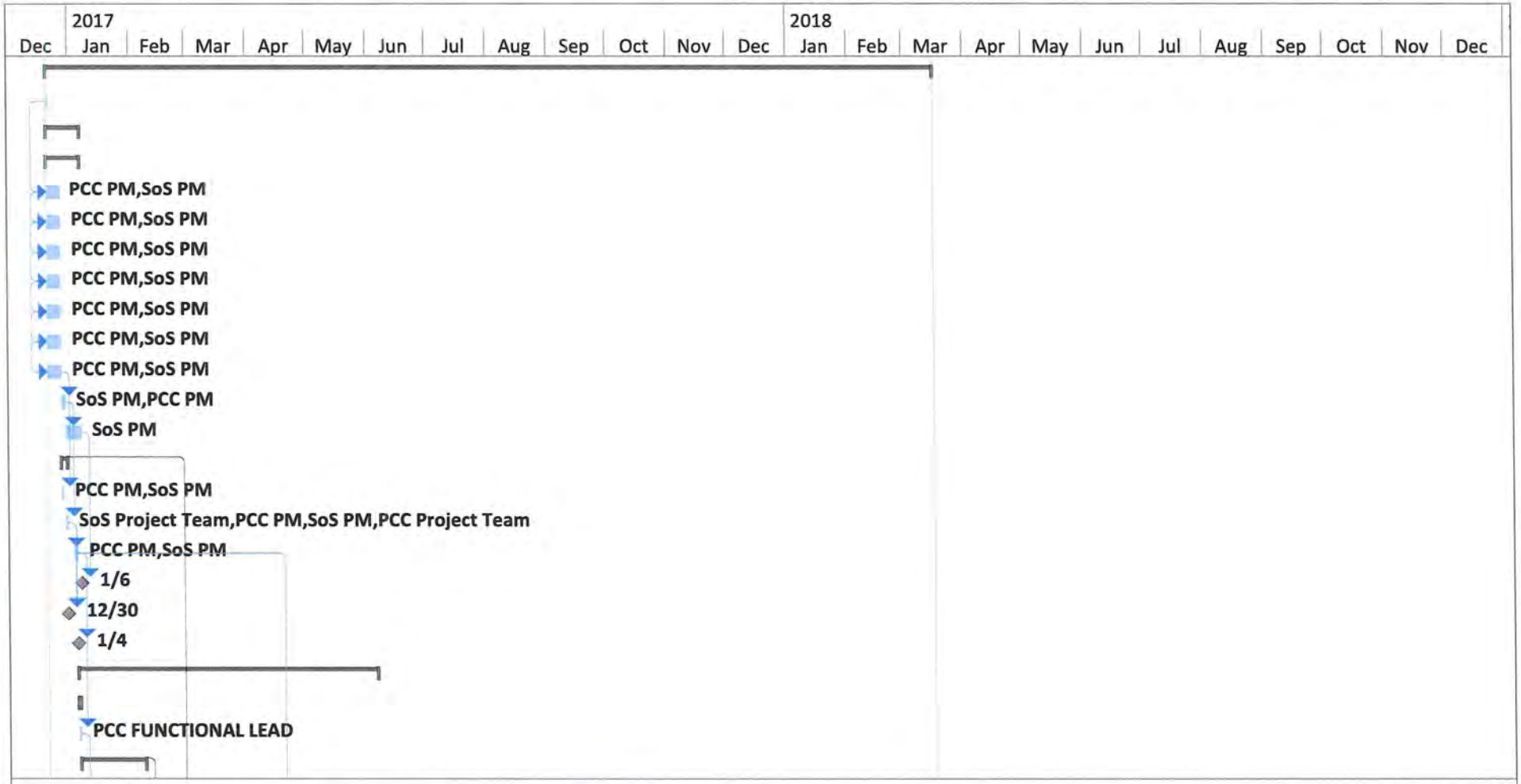
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Milestone	Inactive Summary	Deadline	
Summary	Manual Task	Progress	
Project Summary	Duration-only	Manual Progress	
External Tasks	Manual Summary Rollup		
External Milestone	Manual Summary		

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names	N
149	Deliver/Review Maintenance Support Plan	1 day	Wed 12/20/17	Wed 12/20/17	147SS	SoS Project Team	
150	Obtain System Signoff	1 day	Wed 12/20/17	Wed 12/20/17	147SS	SoS PM	
151	**Milestone 18: Training Completed and Accepted**	**0 days**	**Fri 11/10/17**	**Fri 11/10/17**	**133**		
152	**Milestone 19: Application operational in Production**	**0 days**	**Mon 11/20/17**	**Mon 11/20/17**	**141**		
153	**Milestone 20: Project Close-Out**	**0 days**	**Wed 12/20/17**	**Wed 12/20/17**	**146**		
154	**Phase 7 - Warranty Period and Transition to Maintenance and Support**	**80 days**	**Tue 11/21/17**	**Fri 3/16/18**			
155	Warranty Support	80 days	Tue 11/21/17	Fri 3/16/18	145		
156	**Milestone 21: Warranty Close-out**	**0 days**	**Fri 3/16/18**	**Fri 3/16/18**	**155**		

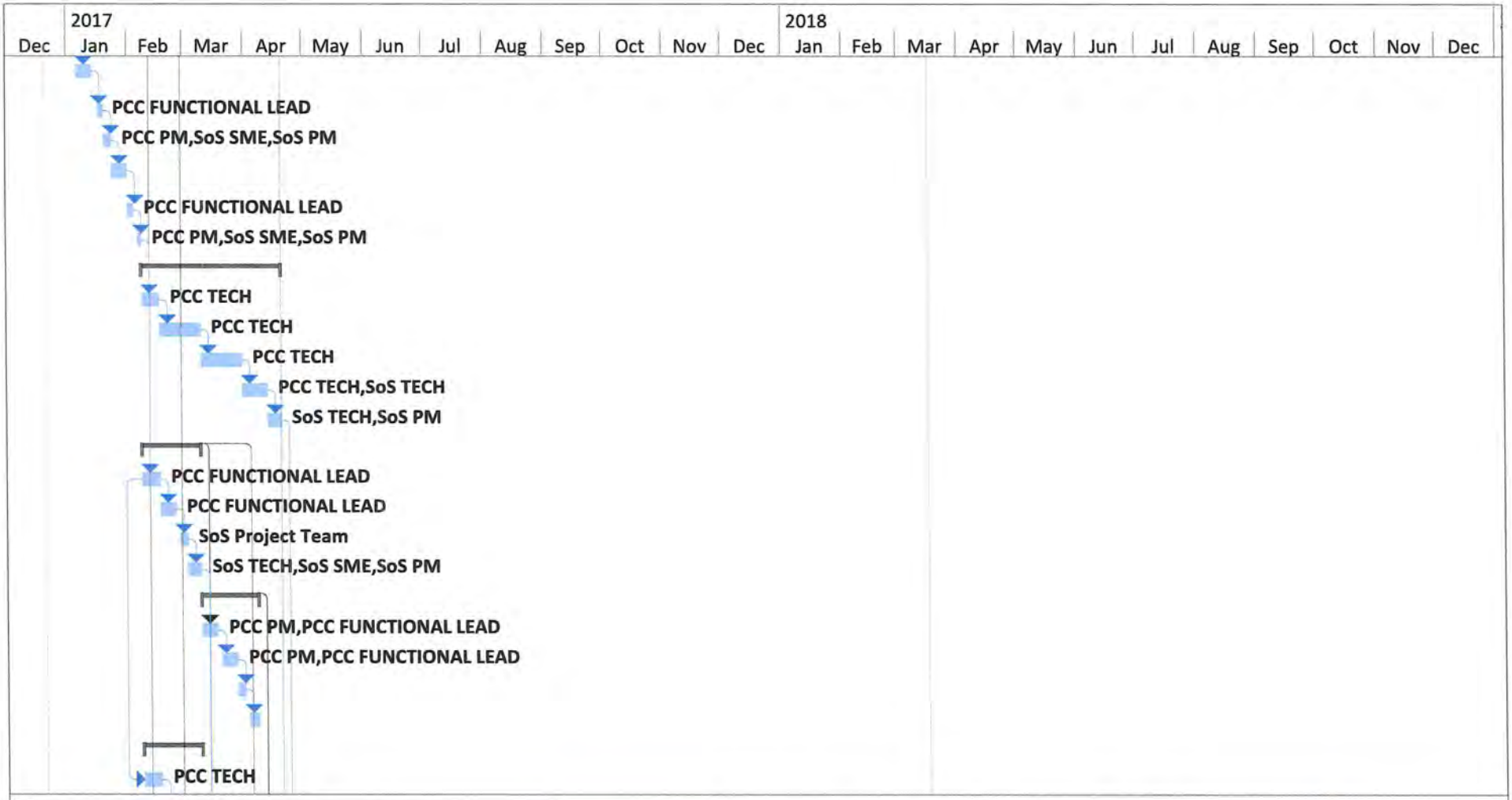
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Split		Inactive Milestone		Finish-only	
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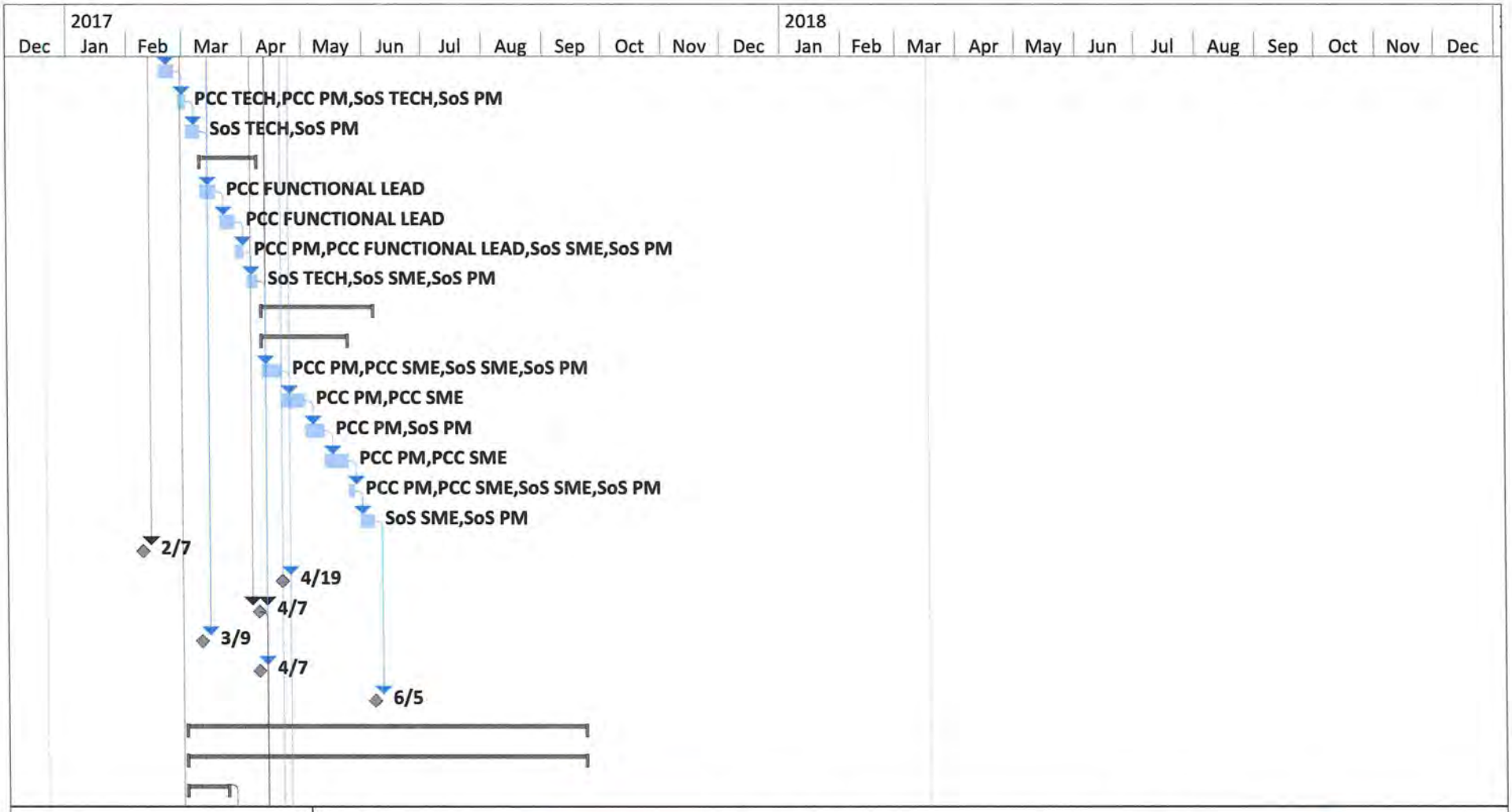
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Split		Inactive Milestone		Finish-only	
Milestone		Inactive Summary		Deadline	
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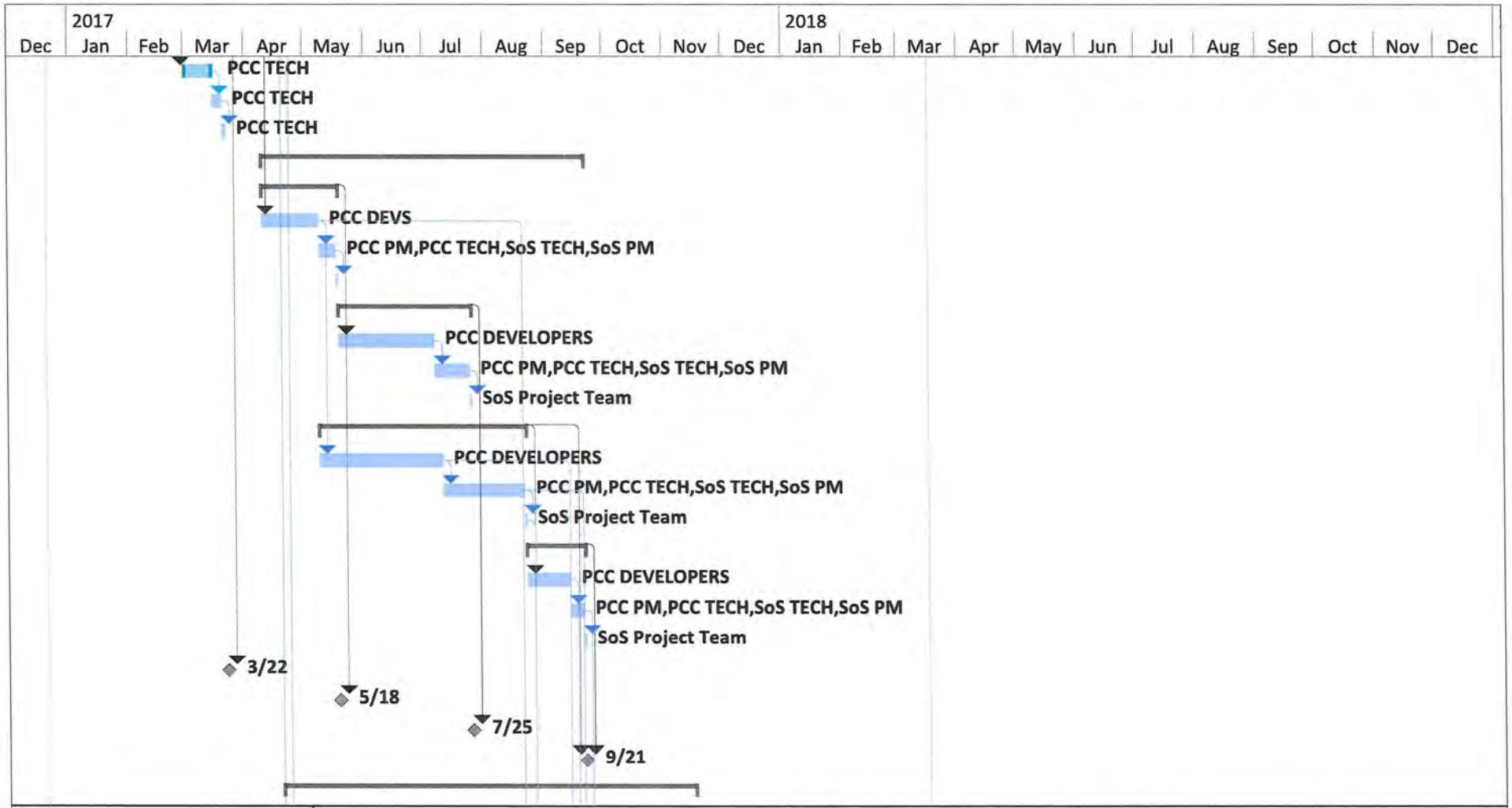
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Split		Inactive Milestone		Finish-only	
Milestone		Inactive Summary		Deadline	
Summary		Manual Task		Progress	
Project Summary		Duration-only		Manual Progress	
External Tasks		Manual Summary Rollup			
External Milestone		Manual Summary			



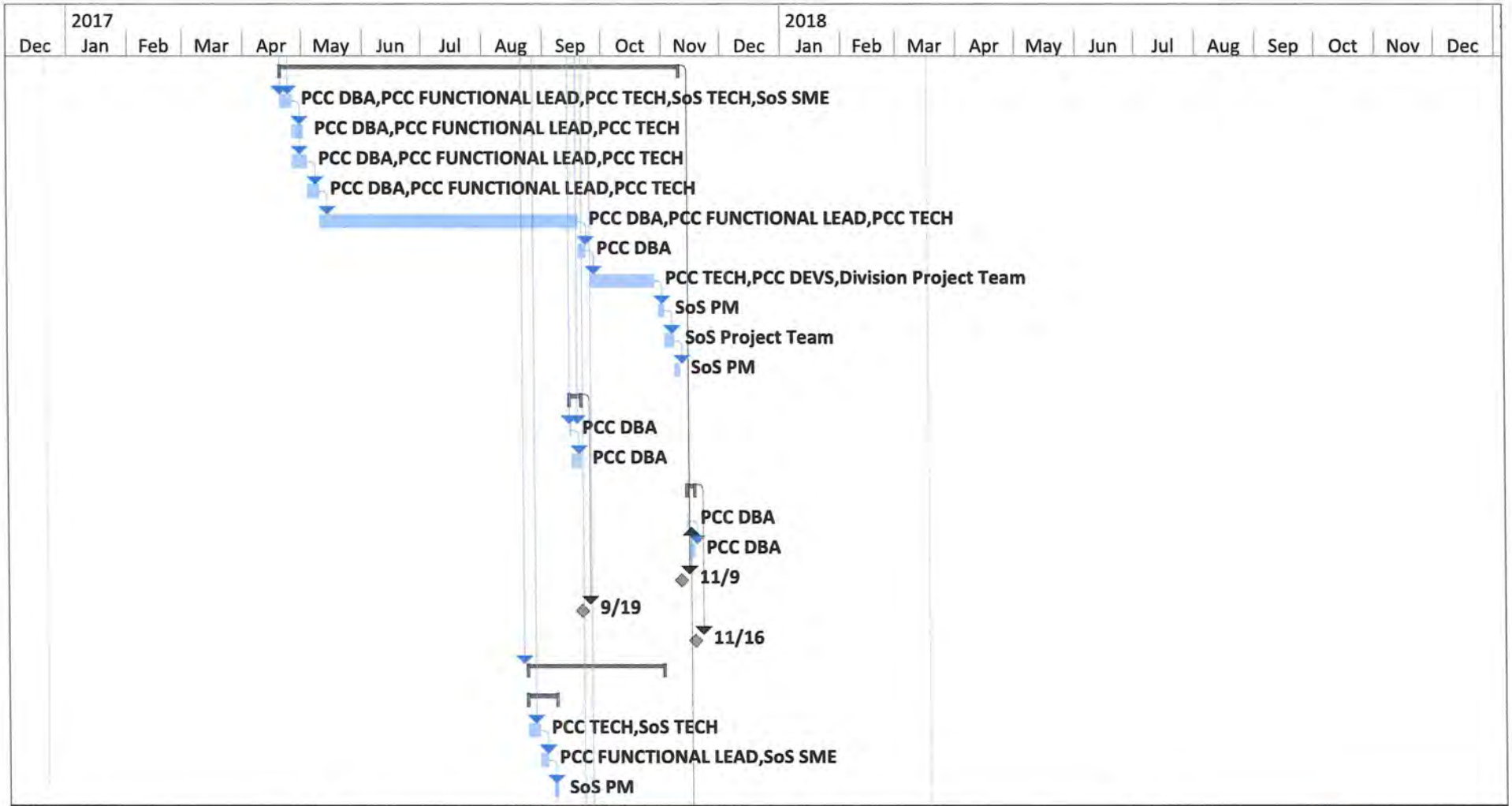
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Task		Inactive Task		Start-only	
Split		Inactive Milestone		Finish-only	
Milestone		Inactive Summary		Deadline	
Summary		Manual Task		Progress	
Project Summary		Duration-only		Manual Progress	
External Tasks		Manual Summary Rollup			
External Milestone		Manual Summary			



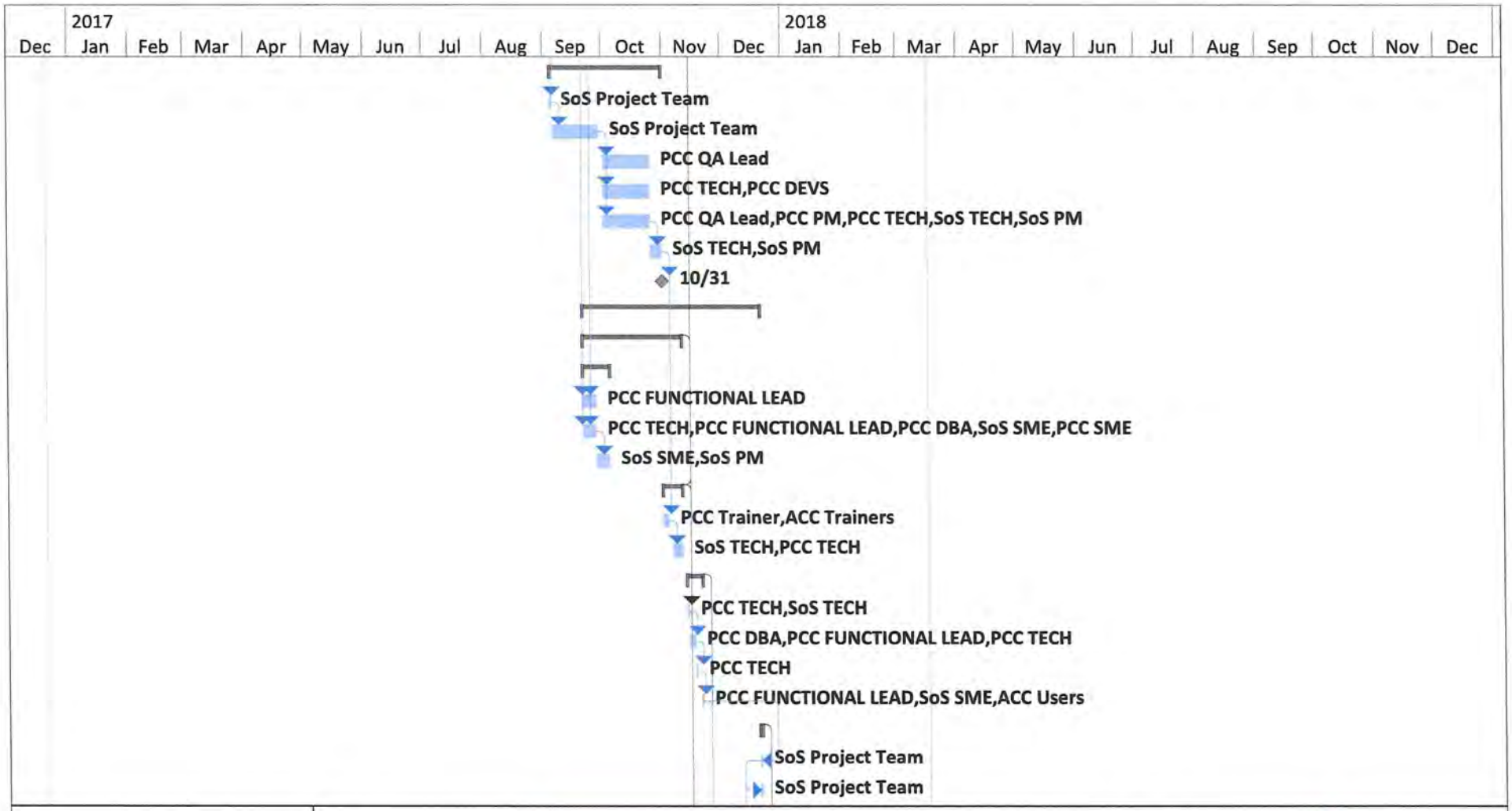
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Split		Inactive Milestone		Finish-only	
Milestone		Inactive Summary		Deadline	
Summary		Manual Task		Progress	
Project Summary		Duration-only		Manual Progress	
External Tasks		Manual Summary Rollup			
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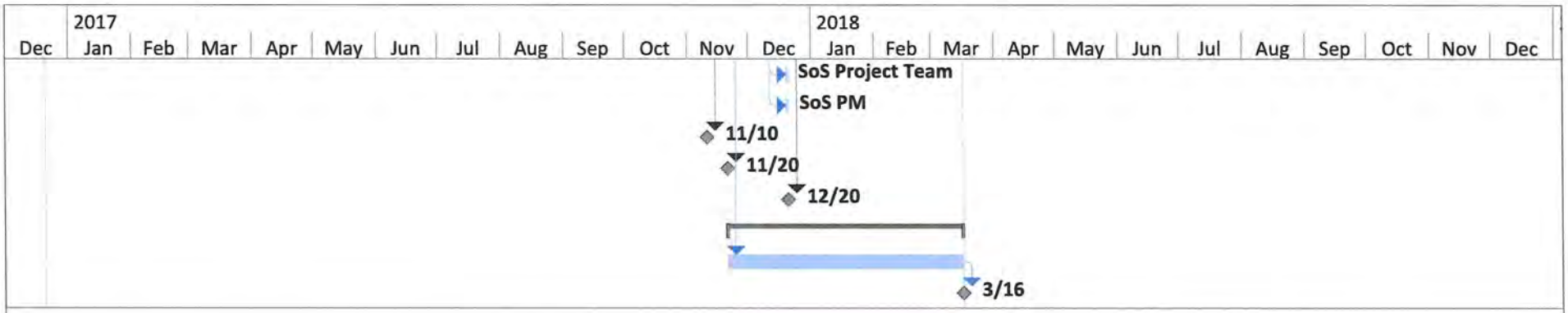
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Task		Inactive Task		Start-only	
Split		Inactive Milestone		Finish-only	
Milestone		Inactive Summary		Deadline	
Summary		Manual Task		Progress	
Project Summary		Duration-only		Manual Progress	
External Tasks		Manual Summary Rollup			
External Milestone		Manual Summary			



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Task		Inactive Task		Start-only	
Split		Inactive Milestone		Finish-only	
Milestone		Inactive Summary		Deadline	
Summary		Manual Task		Progress	
Project Summary		Duration-only		Manual Progress	
External Tasks		Manual Summary Rollup			
External Milestone		Manual Summary			

I.1.5 MILESTONES AND DELIVERABLES STATEMENT

The project milestones and deliverables are defined in the Project Management Plan WBS with their associated requirements and exit criteria. The Project Schedule lists all milestones and deliverables with due dates, durations, resource allocation and dependencies. The Milestones and Deliverables Statement will include a log of all milestones and deliverables, specific performance and accomplishment information, and tailored governance processes for deliverable acceptance and milestone-based authorizations to proceed, if applicable.

The following are proposed as key deliverables and included in the Implementation Plan details in Subsection I.1.8, Implementation Plan. Additional deliverables and milestones will be defined at and following project initiation.

- Project Kickoff Meeting
- Detailed Project Plan
- Data Migration Plan
- Change Management Plan
- Risk Management Plan
- Quality Assurance Plan/Test Cases
- Issue Management Plan
- Staffing/Resource Plan
- Communications Management Plan
- Training Plan
- Requirements Analysis/Gap Sessions
- Data Model Design
- Requirements Traceability Matrix (RTM)
- Functional Requirements Document (FRD)
- Technical Design Document (TDD)
    - UCC Processing - Software Specifications Document
    - Corp Filings Processing - Software Specifications Document
    - Administrative Functions and Reporting - Software Specifications Document
- Development Environment Setup
- UCC: In-House Demonstration and Unit Testing
- UCC: Administrative Functions and Reporting Demonstration and Unit Testing
- Corp Filings: Demonstration with Formations Work Flow Process
- Corp Filings: In-House Demonstration of Remaining Corp Filings and Unit Testing
- Reports and Administration - Systems Integration Testing and Demonstration
- Data Conversion Requirements
- Data Model
- Data Dictionary

- Data Mapping Document
- Data Migration Plan Update
- Data Conversion Scripts
- Data Migration Testing
- Data Migration Results
- Data Conversion Run for UAT
- UAT Environment Preparation
- System Integration Test Planning
- User Acceptance Test Planning
- Tester Training
- Test Cases and Documentation
- Acceptance Testing Cycle 1
- Acceptance Testing Cycle 2
- Acceptance Testing Cycle 3
- User Acceptance Test Results
- Training Plan Update
- Training Documentation
- Technical and Operations Training
- Execute Training Cycle 1
- Execute Training Cycle 2
- Production Site Preparation
- Production System Implementation
- Application Go-Live
- Post Implementation Review
- Maintenance Support Plan
- System Documentation
- Knowledge/Technology Transfer
- Production System Operations and Support

I.1.6 RISK ASSESSMENT AND MITIGATION STRATEGIES

Risk planning and management is a significant factor to the success of any project; PCC's risk management process leverages industry best practices coupled with our unique understanding of SoS business services and related technologies to limit the occurrence and potential impact of risks throughout the project.

PCC will detail our tested methodology in the Risk Management Plan submitted in the Project Management Plan to be submitted for acceptance by the state. Our risk management methodology involves four basic processes involved in risk management: Identification of Risks, Evaluation of Risks, Risk Mitigation, and Risk Monitoring and Reporting. The risk management process PCC employs is shown in Figure 2.

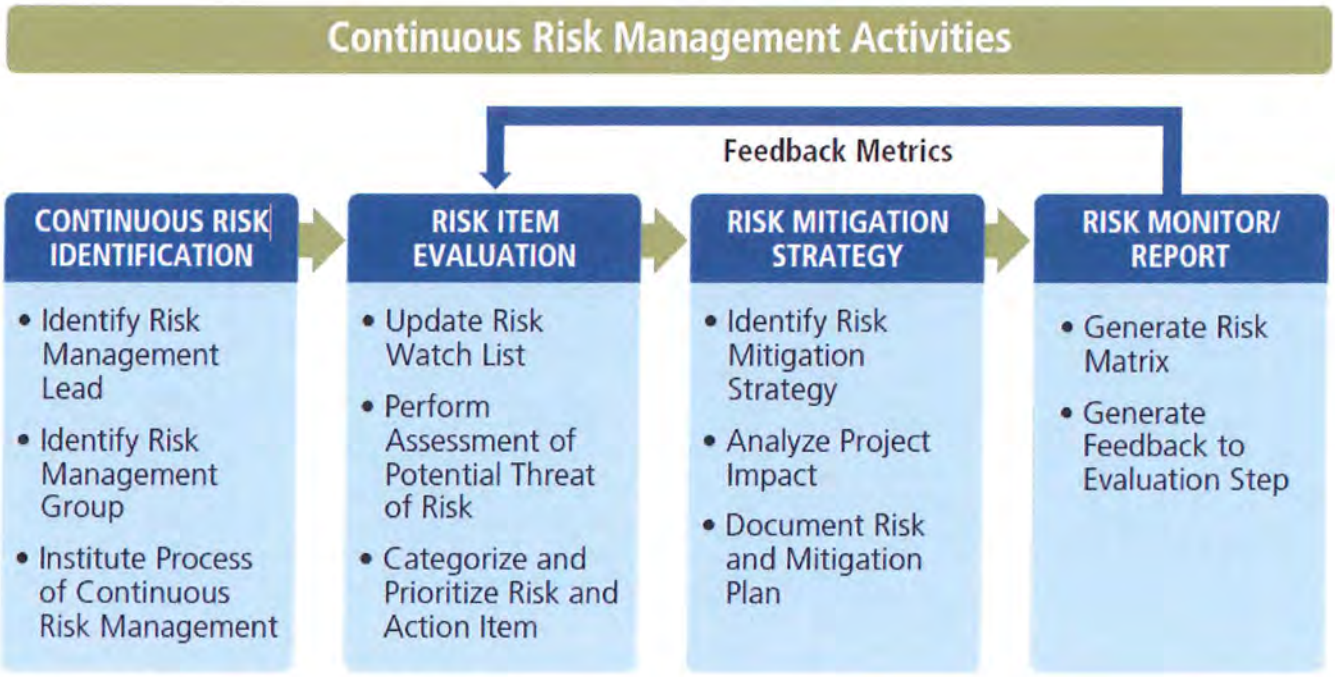


Figure 2. Risk Management Activities.

I.1.6.1 RECURRENT RISK IDENTIFICATION AND ASSESSMENT

Risk reviews will be performed on a regular schedule to facilitate the identification, review, and assessment of project risks. After initial identification, risks will be evaluated for likelihood of occurrence and the resultant impact should a risk event occur. Once a risk has been evaluated for likelihood and impact, the team will review candidate strategies for managing the risk that can include acceptance of a risk, avoidance, as well as mitigation strategies. PCC will provide recommended strategies for the management and control of the identified risks and collaborate with the state in determination of the final approaches for specific risks. Emergent risks may require additional, out-of-cycle reviews for decision and action.

PCC will enter risks into a risk management scorecard, or risk register, to catalog all risks and provide the ability to quickly assess the nature and severity of existing and potential project risks. Figure 3 is an example risk management scorecard. A risk scorecard will be updated and published to the project team on an agreed upon periodic basis.

Risk Identification and Impact Assessment										Risk Response			Post-Mitigation
ID	Success Factor	Risk Statement	Impact Statement	Risk Owner	WBS Element	Risk Probability	Risk Impact	Risk Urgency	Risk Closure Date	Risk Response	Mitigation Summary*	Post-Award Cost	Post-Mitigation Risk Response
1.01	Communication	Risk Statement	Impact Statement	PM	1.10	Almost Certain	Critical	Immediate	4/1/2009	3-Plan Risk Response and Implement	Mitigate	10 hours	3-Plan Risk Response and Implement
1.02	Contract	Risk Statement	Impact Statement	PM	3.12	Likely	Moderate	Near term	4/1/2009	2-Plan Risk Response	Mitigate	10 hours	2-Plan Risk Response
1.03	Schedule	Risk Statement	Impact Statement	PM	5.04	Unlikely	Minor	Long term	4/1/2009	1-Watch	Mitigate	10 hours	1-Watch
2.00	Subcontract	Risk Statement	Impact Statement	CSE	5.04	Likely	Moderate	Long term	4/2/2009	2-Plan Risk Response	Mitigate	10 hours	1-Watch
3.00	Contract	Risk Statement	Impact Statement	PM	5.04	Unlikely	Minor	Long term	4/3/2009	1-Watch	Mitigate	10 hours	1-Watch
4.00	Schedule	Risk Statement	Impact Statement	Test Manager	5.04	Unlikely	Minor	Long term	4/4/2009		Mitigate	10 hours	1-Watch
5.00	Schedule	Risk Statement	Impact Statement	Test Manager	5.04	Unlikely	Moderate	Long term	4/5/2009	1-Watch	Mitigate	10 hours	1-Watch
6.00	Technical SE & Reqts	Risk Statement	Impact Statement	CSE	5.04	Unlikely	Moderate	Long term	4/6/2009	1-Watch	Mitigate	10 hours	1-Watch
7.00	Technical: Dev., Integ., V&V	Risk Statement	Impact Statement	CSE	5.04	Unlikely	Moderate	Long term	4/7/2009	1-Watch	Mitigate	10 hours	1-Watch

Figure 3. Risk Management Scorecard.

I.1.6.2 RISK OWNERSHIP

The ultimate ownership of project risk remains with the SoS and PCC project managers; however, each specific risk will be assigned an owner on the project team to monitor the risk and ensure the agreed mitigation or risk control activities are executed. Ultimately, successful risk management requires timely identification of risks, effective communication from project management, and deliberate action by multiple project team members.

PCC will work with the SoS to successfully identify, assess and manage risks throughout the project. In Table 3, we provide common risks, mitigation strategies, and contingencies.

Table 3. Risks of the Implementation.

#	Risk	Mitigation Strategy	Contingency Plan
1	Signoff: Delay in review and signoff, of deliverables can impact project dependencies and negatively impact project schedule.	• Frequent review of the project deliverables and acceptance calendar with the SoS project manager and the stakeholders • Communicate ending signoff items in the weekly status reports	• Monitor and control • Enforce schedule control that may have a monetary impact • Conditional sign-off for less critical deliverables

		• Continuous communication of upcoming deliverables that require the SoS attention • Release of draft deliverables to provide additional review time • Deliverable walkthroughs and joint reviews allowing for real time updates.	
2	Customer Participation: Inadequate participation of the SoS SMEs during the requirements gathering can lead to changes to original requirements, which in turn trigger change control activities (cost or no cost).	• PCC project manager will make an increased effort in communicating the benefits to the SoS about the early and adequate participation of the SMEs in the project. • Requirements analysis sessions will be scheduled in advance to ensure availability for maximum participation. • Project sponsors united in emphasizing project importance. • While SMEs will know the workings of the legacy system, information specialists should be included in all aspects of development to maintain the look-and-feel standards of the State.	• Monitor and control • Augment subject matter expertise when SoS SMEs are not available.
3	Documentation: Improper recording of expectations (items not in the requirements document) and verbal acceptance (due to the increased relationship during the requirement gathering phase) will lead to disagreement between the project teams during acceptance testing.	• Detailed meeting notes and session recordings ensure nothing is missed • Establish ground rules for requirements gathering (if not recorded on paper during the session, it did not happen) • Enforce document quality management principles • Leverage existing templates proven to be useful in corporations, business filing, liens, and notary public implementations • Assign experienced resources familiar with the project domain that have	• Monitor and control • Any discrepancies identified will be discussed and recorded as amendments to the appropriate documents

		successfully elicited similar requirements on prior projects.	
4	Production Hardware: Not available due to delays in the state procurement process	• The SoS will be provided the hardware requirements early on in the project so that the SoS has sufficient time to procure and configure hardware.	• Monitor and control • Temporarily use hardware available in PCC data center
5	Schedule Slippage: Project does not adhere to the schedule due to increased or changing scope	• Ensure complete understanding of scope before project schedule is finalized and apply lessons learned from the previous implementations. • Provide sufficient documentation and review of detailed requirements and related interpretations. Discuss potential misconceptions where identified and further document to provide clarity for subsequent project activities.	• Assign additional resources to the project at no cost to the SoS in order to avoid schedule slippage.
6	Communication: Ensuring that communication remains open and that information is shared and received in a timely manner	• Both SoS and PCC project managers should set a proper communication channel early on during the project and make sure the project team follows the protocol. • Ensure status meeting include the correct participants • Continuously sharing information in accordance with the Communication Plan	• Monitor and Control • Independent verification vendor • Establish a quick process by project stakeholders
7	Output Templates	• PCC will provide the documentation templates early in the project for SoS review and approval. • Ensure buy-in and approval during status meetings	• Monitor and Control • Follow standardized common templates
8	Application text and correspondence language requires multiple reviews	• Establish process for review of written correspondence language that results in few iterations and timely review and approval by appropriate SoS personnel.	• Monitor and Control • Appropriate SoS personnel are present to draft and review

		• Ensure that a staff attorney or equivalent is available for efficient review and approval of language and correspondence	correspondence language during requirements sessions • Submit correspondence language and formats for approval early in the project. • Implement correspondence and language only after approval.

I.1.7 RESOURCE PLAN

PCC understands the need for appropriate resource management to facilitate project success. The Resource Management Plan captures how the project manager will provide and manage skilled, experienced professionals to meet project deliverables and task objectives throughout the life of the project. The Plan makes certain the project has sufficient staff possessing the correct skill sets and experience to ensure a successful project completion. PCC defines the staffing needs as well as project roles and responsibilities, thus ensuring responsibility and accountability for project activities.

Different phases of the project will require different techniques and tools to manage and perform the requested services. PCC identifies the best staff for the project by thoroughly understanding the project needs and the skills required to reach organizational objectives. We assess each position's expected role in terms of both project responsibilities and the State's overall project objectives. PCC documents the specific type of experience and skills required, as well as other non-technical attributes that are needed for candidates to be successful and valuable to the project, and assigns the appropriate staff to the project. The PCC team has sufficient depth of skilled personnel such that work load, absence, or illness will not interfere with provision of services. In the event of illness or an unforeseen instance, PCC will notify State project leadership to coordinate any needed staff changes. Project team members are assigned to a supervisor for the purposes of administration and organization. The supervisor is responsible for assessing individual project performance based on interactions with and observations of the employee, the employee's performance of assigned tasks, the quality of work performed, contractual requirements, and input from other team members as appropriate.

PCC will provide documentation and training on the working environment for the project and State standards, workplace policies and business procedures so project staff have a clear understanding of their roles and are highly productive from day one.

In the Resource Management Plan, PCC includes:

- Staffing requirements, timeline and processes

- Roles and responsibilities of PCC, SoS and stakeholder team members throughout the project
- The PCC project organization chart
- Staffing issue escalation processes
- Team performance analysis processes
- How additional PCC resources are acquired, if needed

I.1.8 IMPLEMENTATION PLAN

PCC delivers projects in an iterative, logically segmented fashion in order to achieve "quick wins" as well as reduce overall risk to the project. We update the configuration and test groups of functional business process areas in the system in accordance with SoS requirements, prioritizing the high-volume and high-value functions for the organization. In accordance with the RFP Section IV, Subsection H, Project Start Through Implementation, PCC will initially be deploying two modules, the UCC Module (including UCC/EFS/AR/ Master Lien List functional areas) and the Corp Module, with an optional Notary/eNotary Module to follow. Our incremental approach increases the success of the rollout through:

- Tangible results that are achieved earlier in the process.
- Implementation issues that are smaller scale and cause less detriment to the business.
- High-priority functions that can be refined early on.
- Development and testing activities that focus on specific functional areas with fewer parts of the application where code must be touched.
- User knowledge retention that is increased and learning curve that is decreased (users employ their skills sooner after training and require less time to develop proficiency).
- General knowledge of the software and hardware during the first release that makes subsequent releases more palatable.
- Business process tuning that is simplified and that limits the possibilities of excessive communication or retraining after each release.
- Early detection of system or performance issues.
- Timely process feedback that allows incorporation into future releases (for example, need for different communications, additional support, etc.)

Our proposed implementation plan follows these seven phases:

- Phase 1—Project Initiation
- Phase 2—Business Needs Assessment
- Phase 3—Software Configuration and Unit Testing
- Phase 4—Data Conversion
- Phase 5—User Acceptance Testing

- Phase 6—Training, Production Deployment, and Closeout
- Phase 7—Warranty Period, Transition and Maintenance

PHASE 1: PROJECT INITIATION

Project Initiation begins with jointly validating the project scope, deliverables, project work plan, resources, schedule, and project management structure. During this phase of the project, the PCC team will work with the SoS project manager to develop and refine the following documents and obtain SoS approval and sign-off.

Work Products/Activities:

- Project Kickoff Meeting
- Detailed Project Schedule/Work Plan
- Final Implementation Plan and Milestone Deliverable Matrix
- Data Migration Plan
- Change Management Plan
- Risk Management Plan
- Quality Assurance/Issue Management Plan
- Staffing/Resource Plan
- Communications Management Plan
- SOS Review and Signoff on Project Initiation Documents and Schedule
- Gap Analysis Preparation and Review Schedule

Milestones:

- Detailed Project Plan Completed and Accepted
- Project Kickoff Completed
- Gap Analysis Preparation Completed

PHASE 2: BUSINESS NEEDS ASSESSMENT AND APPLICATION DESIGN

PCC validates and documents the business and functional requirements from the SoS for the proposed solution. The analysis will be conducted in such a manner to include SoS users and administrators of the current process, key stakeholders, and subject matter experts. The PCC Team will confirm where the base Cenuity® solution addresses organizational requirements and will transform the business requirements into complete and detailed process recommendations and functional specifications to guide any needed configuration work in Phase 3 and upcoming training and change management needs. If the Cenuity® solution does not meet emergent jurisdictional needs as established by statutory or regulatory requirements (as opposed to administrative practice), such functional requirements will be validated and the system will be modified to address each such requirement. This does not extend, however, to law changes after the system is delivered. Other arrangements between the parties cover that contingency.

The documentation produced in this phase is based on "Use Cases" and describes how the system meets the defined functional, physical, interface, and data requirements of the State. These activities will be conducted in an iterative fashion, focusing first on the general system functions and configuration that emphasizes the capabilities and features of the system and then expanding to include the lower level business rules and technical detail.

Work Products/Activities:

- Application Demonstration and Orientation
- Gap Analysis Sessions (Meetings)
- Analysis Session Notes
- Data Model Design
- Requirements Traceability Matrix (RTM)
- Functional Requirements Document (FRD)
- Technical Design Document (TDD)
    - UCC Processing – Software Specifications Document
    - Corps Filings Processing – Software Specifications Document
    - Administrative Functions and Reporting – Software Specifications Document
- QA Planning/Draft Test Cases
- Training Plan
- Phase 2 Revised Project Schedule/Planning Documents

Milestones:

- Gap Analysis Sessions Completed and Accepted
- Data Model and Database Design Completed and Accepted
- Requirements Documents Completed and Accepted
- Technical Design Completed and Accepted
- QA Plan Completed and Accepted
- Training Plan Completed and Accepted

PHASE 3: SOFTWARE CONFIGURATION AND UNIT TESTING

In this phase, PCC reviews Phase 2 requirements information and Cenuity® configuration specifications and applies any needed configuration updates to the system to meet 100 percent of SoS requirements (Cenuity® platform with statutory and regulatory rule accommodation) for a fully-scalable enterprise-level solution.

PCC uses system process area walkthroughs to ensure that the system configuration satisfies the agreed upon requirements and expectations. PCC stages the system in the test environment and the PCC project manager conducts "Show and Tell" sessions with the SoS project manager and project team to demonstrate the software and configuration. This allows for early buy-in from the stakeholders and provides informal training value to the resources that will most likely be testing the system in the following phases. Data needed to test the individual segments will be provided by the conversion team as data conversion is a process executed in parallel with software configuration.

Work Products/Activities:

- Set up development environment
- Implement design: create project, install and configure base Cenuity® platform
- Set up work flow processes
- Configure System
    - Corp Filings – Formation Flow: Segment 1
    - Corp Filings- In-House Filings: Segment 2
    - UCC and Online: Segment 3
    - Reports and Administration: Segment 4
- Configuration and functional review demonstration sessions
- Unit testing and documentation
- Phase 3 Revised Project Schedule/Planning Documents

Milestones:

- Environment Setup Completed
- Configuration Completed for Segment 1
- Configuration Completed for Segment 2
  Configuration Completed for Segments 3/4

PHASE 4: DATA CONVERSION

Data conversion runs concurrently with Phase 3, Software Configuration and Unit Testing. The PCC data conversion lead works with the resources that the SoS provides in order to extract data from the legacy system, transforms the data into the correct format, and then loads it into PCC's solution. PCC assumes that the SoS will assist with data extraction activities and support us in understanding and accessing the environment and data.

The conversion effort goes through a three-pull strategy that involves extracting data from the current databases in three pulls with each subsequent pull resulting in cleaner converted data.

Work Products/Activities:

- Data Conversion Requirements Update
- Data Dictionary
- Data Mapping Document
- Data Migration Plan Update
- Data Conversion Scripts
- Three conversion cycles (initial pull, interim pull, and production pull)
- Exception Report from each conversion cycle
- Testing (interface, integration, load, migration)
- Data Migration Results
- Data Conversion Run for UAT
- Phase 4 Revised Project Schedule/Planning Documents

Milestones:

- Data Conversion Scripts Completed
- Data Pull Completed for UAT
- Data Pull Completed for Production

PHASE 5: USER ACCEPTANCE TESTING

In this phase, the Cenuity® system and other integrated SOS system components are fully tested by the SoS' team against the requirements identified and detailed during the system requirements analysis and design activities. User acceptance testing (UAT) is designed to provide assurance that all system and performance issues have been identified and resolved during previous test phases (unit, functional, and operational), and that the design meets documented specifications. The PCC trainers train the SoS' testers. Then, we use the "Use Case" methodology to guide the users through the successful acceptance testing of the system, and the PCC trainers are there to provide assistance. PCC provides on-line issue tracking and management software to ensure an efficient process of error reporting.

Work Products/Activities for UAT Phases:

- Test environment configured and system modules installed for UAT testing
- System Integration Test Planning
- Final UAT Plan
- Test Cases and Documentation
- Tester Training (classroom training conducted by PCC)
- Acceptance Testing Cycle (planned for three cycles) documents with recorded results (TAS)
- Issue Management (e.g., resolve issues, release patches)

- Phase 5 Revised Project Schedule/Planning Documents

Milestones:

- User Acceptance Testing Completed and Accepted

PHASE 6: TRAINING, PRODUCTION DEPLOYMENT, AND CLOSEOUT

In this phase, PCC installs the customized application in the Production Environment for operation and initiates Phase 6 after the system is tested, accepted by the users, and signed off by the SoS project manager.

Work Products/Activities:

- Final Training Documentation
- Training Plan Update
- Training sessions – Technical and Operations
- Training Cycle 1
- Training Cycle 2
- Production environment implemented and system installed and configured
- Production data migration and load
- Compile, organize and publish Master Lien List
- Production System Implementation
- Test Production Installation and Data
- Application Go-Live/Launch
- Close-out Meeting
- Post-implementation Review
- Maintenance Support Plan Review
- Finalized System Documentation
- Knowledge/Technology Transfer

Milestones:

- Training Completed and Accepted
- Application Operational in Production
- Project Closeout

PHASE 7: WARRANTY PERIOD, TRANSITION AND MAINTENANCE

The warranty period begins the day the application is accepted and deployed on the production server. PCC will provide system validation support after implementation of each module for a 120-day period. The system warranty covers application bug fixes (on the deployed code) and other corrections or modifications to support the proper functionality of the product as designed. Note that process areas and special reports that normally execute in the production environment biennially, annually or quarterly, but occur outside of the 120-day validation period will be considered within the validation period scope until the scheduled process is complete, and any defects found will be resolved at no cost to the State. After the system validation period all corrections will be handled under the maintenance period. PCC will provide operational maintenance, support and help desk services for the system in order to meet the SoS needs.

I.1.9 CONVERSION PLAN

The goal of the data migration and conversion process is to migrate the existing data from the legacy UCC-Corp Database System, Accounts Receivables (AR) Database, AR Ancillary Database and OnBase image repository provided by the SoS to the new system implemented by PCC.

The PCC Team understands that data conversion is one the most important and risky activities in any large-scale implementation. The effectiveness of data conversion and migration planning and the accuracy of data import execution can make or break a project. PCC's approach to data conversion starts Day 1 with a dedicated conversion team to ensure adequate resources and priorities are applied to these efforts. We will deliver an effective Conversion Plan compliant with the requirements in the RFP, Section IV, Subsection G.4, Data Conversion and in Attachment A, Form A.1, Requirements Traceability Matrix, RTM item PPM-2. The Plan documents PCC's methodology for data conversion and migration in support of SoS transition and solution deployment.

The Plan will provide details on the activities and processes PCC will implement for the project to ensure the integrity, security, accuracy and completeness of the migrated data in the new system. The Plan will contain all functional, technical and integration scope details associated with data migration and will be maintained and updated through each phase of the project. Many data conversion design and development tasks will occur in parallel with system configuration or customization to accommodate required data and record types such as entity and job records, images and scanned documents, forms and reports, templates and even other previously "unassociated" documents.

PCC initiates this process early in the project and will ensure that issues that arise from the data that require structural changes to the system are identified early in the execution of the project and are managed in accordance with prescribed issue resolution processes. This allows changes to be addressed at a point when they will be less disruptive to the cost and schedule of the project. Following data migration, the PCC Team will submit documentation to the State certifying that the system meets all requirements for data conversion and migration.

The data migration process is iterative and occurs in various phases of system life cycle implementation, including data/image acquisition, analysis, exception reporting, transformation and loading. As part of

project design activities, this draft version of the Plan will be revised and expanded to integrate the database elements. The goal is to provide a detailed approach, PPC and SoS roles and responsibilities, designs, tools, and processes required to accurately migrate the data from the legacy system to the proposed solution. The Conversion Plan, data conversion approach and designs will be submitted to the SoS project manager for review and approval prior to implementation.

We will implement our strategy to identify and remove any inconsistencies, inaccuracies, and gaps; create programs to enforce the edit rules of the legacy data; transform and test the results to ensure accuracy; create links for the relationships between the legacy database and the new database; create consistent formats; accommodate the various sizes, formats, and content; and load the cleansed data. In particular, in accordance with RFP requirements, PCC will associate image records with filings or cardex information in the system, and enable their assignment and retrieval by document id number and document handle number. Over the years, we have extensive experience in moving legacy Commercial Recordings and UCC data to new solutions including addressing of variety of these same data integration and association challenges. PCC assumes that the following data elements are excluded from migration to the new system: paper filings, paper/microfilm cardex, microfiche, microfilm, cds and foreign corp books.

This plan describes the overall approach and processes PCC uses for data migration. It includes an inventory and cross reference of source and target data elements, images, self-describing files that have an embedded header and meta-tag information, and an overall process for data extraction, transformation and loading. Data migration and conversion will occur prior to Go-Live. The converted data will be extensively tested prior to and in coordination with User Acceptance Testing activities, under Testing Plan mandates, to ensure seamless integration for system implementation at Go-Live.

Additional Conversion Plan details are provided in the PCC response documented in Attachment A, Form A.1, Requirements Traceability Matrix, RTM item PPM-2, Bidder's Response subsection.

I.1.10 CHANGE CONTROL PLAN

The Project Management Plan will include the PCC Change Control Plan and processes governing how potential project changes will be proposed, reviewed and approved. In compliance with the RFP Section IV, Subsection G.6, Change Control, PCC's change control process governs changes to the numerous Project Management Plan components, such as Scope of Work and WBS, as well as potential changes to SoS technology infrastructure, services or security architecture resulting from system implementation. At the onset of the project, PCC will present a change control process to the SoS project manager and other State of Nebraska leadership that includes appropriate procedures for tracking scope, requirements and technical change requests for the project and incorporating analyses of the risks associated with requested changes. For technical change requests including potential changes to security configurations, hardware, software, or technical processes, SoS IT staff and other State IT staff will be included in the change request review and approval activities, as required. PCC's change control processes will ensure that only necessary changes approved by both the SoS and PCC are migrated to the Scope of Work or management plans, that changes are communicated to all parties, and that changes are implemented in a timely manner. The change logs and

change request decision records will be maintained in the central project document repository for access and reference by project staff and stakeholders.

Key objectives are to:

- Identify changes in scope, or other unplanned activity, in advance and control them.
- Resolve any questions or issues that may surface between the project team, the State or other project stakeholders regarding scope and/or project deliverables outlined in the scope of work.
- Ensure that requested changes are justified, and that affected deliverables are identified and modified accordingly.
- Obtain authorization to proceed with the changes and assign to appropriate individuals for completion.
- Monitor the progress and cost of the changes.

All changes that impact the terms and conditions of the contract or the project scope and budget have to be agreed to by the State and PCC. All work associated with a documented change will only occur after first receiving official written authorization to proceed.

I.1.11 COMMUNICATION/COORDINATION PLAN



Project communications management is about appropriate generation, collection, storage and distribution of project information. Frequent and complete communication between PCC and the SoS is key to a successful engagement. It is our intention that the SoS never be surprised by any developments during this effort. Similarly, it is our desire that the SoS not delay in communicating any potential confusion or problems so that PCC may respond and remedy any such issues as quickly and completely as possible.

The purpose of a communication plan is to determine the communication needs of the project and how PCC will best communicate with the State and vice versa in a consistent, effective manner. Project management is successful only if a strong commitment is made to establishing and maintaining an open communication channel between the stakeholders and project teams. Our plan will ensure that the communication is multi-directional and open, where users are encouraged to provide feedback, make suggestions, report issues and participate in driving the overall success of the implementation.

The communication will be proactive and the PCC project manager will ensure team members, stakeholders, and end users have the information needed to prepare for, accept, and support the project once it is implemented. Communication activities and procedures will be documented in the Project Management Plan. Standard project communication activities include but are not limited to weekly status meetings and meaningful reports on project metrics that clearly indicate the success of the project, Steering Committee meetings and related communication, and less formal communication amongst the project team. In addition, strategic communication with the SoS staff and the user community for the IT solution being

implemented will be an important success factor in effectively transitioning to and institutionalizing the new system and business processes. With project stakeholders potentially spanning multiple State organizations and even externally, communications occur through a variety of channels, including the Internet, email, and paper-based to keep stakeholders informed. We store project communication documents in a central project repository including meeting minutes, agendas, the Project Management Plan and its numerous components, decision documents, training materials and announcements.

PCC will work with the SoS to verify the information and formats needed to provide real-time visibility into the status of project deliverables. Status reports will be provided for review in advance of weekly status meeting, thereby allowing for timely and accurate feedback. PCC will prepare a weekly status report for the SoS project manager with additional periodic reports generated for Steering Committee communication. PCC recognizes that declaration of individual work activity and percent complete greatly aids in maintaining project momentum and provides a means for evaluating overall project status. Appropriate PCC project team members will participate in weekly (and other) status meetings.

Key components of the communications plan include the audience, the message, the timing, the delivery channel, and the sender. By establishing clear communication objectives, a communication roadmap is created that includes senders, key messages, message timing, and delivery channels. Below are some of key elements for communication:

- Identify targeted audience, key message, timing, the communications structure of the project, and each audience's communications needs.
- Plan for communications content and channels that will result in desired behaviors.
- Message content and packaging, delivery method, frequency, and sender.
- Determine necessary timing and frequency of communications to effectively communicate project information.
- Define roles and responsibilities for various project communications.
- Provide a means for feedback and improvement of project communications.

As part of the communications plan, PCC will develop a project communications matrix to clearly outline details regarding the communications activities that are used during the course of the project.

The matrix includes project communications guidelines including:

- Owners responsible for specific communications products and activities for each project milestone.
- Resources required for these efforts in terms of personnel and budget, and where the personnel and budget would be obtained.
- Frequency of recurring communications products.
- A list of key communications products and delivery method.
- Processes for vetting communications messages and products.

Table 4 is a sample of the communications matrix.

Table 4. Sample Communications Matrix.

Stakeholder (Who Receives)	Communication Item	Level of Detail	Frequency	Method	Owner (Sender)
Project Sponsor; Program Manager; Stakeholders, as necessary	Oral Status Reports	Meetings called with State Program Manager to address key project issues and change requests and provide overall milestone status or to provide any other project communication that requires timely notification.	As Needed	Verbally	PCC project manager

The communication strategies are particularly important in assisting the organization in implementing business process changes, promoting effective use of the new system solution and providing an environment that enables the maximum and an enduring value for the State's investment in the solution. PCC's view is that organizational change communication requires an on-going and iterative effort that starts Day 1 and ultimately impacts an organization's core culture and operational environment. PCC will apply our expertise and experience in change management and communication leading practices to assist the State in institutionalizing the solution and processes. These activities include (but are not limited to):

- Clarifying the vision and articulating benefits of the transition.
- Identifying and coaching key sponsors to support and sanction the transition.
- Identifying stakeholder groups who are impacted by the transition and how they are impacted.
- Planning and executing communications to support key stakeholder needs.
- Identifying and proposing opportunities for stakeholders to become involved.
- Planning for and executing an education and training program for stakeholders based on new tools, processes, policies, procedures, and responsibilities.
- Anticipating resistance to change and managing it effectively.

PCC will leverage our experience in more than 20 years of implementing enterprise solutions for more than 15 Secretary of State offices across the country to ensure that the transition from the legacy environment to the new solution incorporates a communication approach that includes an understanding of and active collaboration with the SoS organization and other project stakeholders.

I.1.12 PROJECT ACCEPTANCE AND SIGNOFF FORM

Project Acceptance and Signoff will occur only after completion of comprehensive testing and evaluation activities. The sub-sections below describe the testing approach and prerequisite testing tasks and process framework supporting the Project Acceptance and Signoff Form signature approval. Following the unit testing and user acceptance testing, the PCC team will present test results, a system overview and documentation to the SoS project manager for review and approval. The acceptance review will assess

system compliance with the SoS acceptance criteria defined at the start of the project. The assessment will include PCC staging the latest data in an additional round of testing for SoS stakeholders, and review of the effectiveness of training activities. Checklists and other documentation certifying readiness for system functionality deployment to the Production environment and Go-Live status will be used to support the Go-Live decision. These efforts will enable the SoS project manager to make an informed recommendation for acceptance and signoff of the Project and system solution to the SoS and other State of Nebraska leadership. Upon SoS signoff, the PCC solution will be deployed to the Production environment in accordance with the Implementation Plan.

1.1.12.1 TESTING PLAN

PCC will produce a Testing Plan as a component of the Project Management Plan to document the project test approach, a list of testing tools, and detailed descriptions of unit testing, system testing, and user acceptance testing. In accordance with the requirements in the RFP Section IV, Subsection G.5, Testing, PCC will include a unit testing plan component of the Testing Plan which will be delivered to the SoS or designee for approval. The PCC approach mandates that unit testing be completed in the development environment before installing the new system in the user acceptance testing (UAT) environment where features, functions and processes associated with the new system will be demonstrated to SoS staff for verification of completeness and accuracy.

PCC uses a number of software tools to support testing efforts. Visual Studio Team System (VSTS) 2010, which is a product that supports the Software Development Life Cycle (SDLC), including data collection, source control, project and work item tracking, and reporting. The testing component of VSTS supports creating, editing, managing and running test cases, as well as storing, tracking and reporting results. We execute automated and manual test cases using the software and convert manual test cases to automated test cases. With each detailed test plan we identify where automated test cases will be used. This tool will also be used to measure the number of test cases executed, number of configurations and support necessary reporting, including bug status, test case readiness, test plan progress, and status on all iterations. We also use the Requirements Traceability Matrix (RTM) Visual Studio tool to map requirements, tests, specifications and code files. We link test cases to their requirement specifications and sources and ensure that all requirements are tested appropriately in each relevant phase of testing. Test Administration System (TAS), which was developed by PCC, is a Web-based tool for tracking, managing and reporting defects. We use TAS to report a defect, input details, and upload attachments. PCC uses Microsoft Excel spreadsheets and templates to document use cases and test cases.

UNIT TESTING

Unit testing is performed by each developer as a "unit" of code is configured or modified. A unit of code is a logical unit of work, such as a component, screen or data access object (DAO). This testing ensures that obvious errors and defects within a single module or function are resolved prior to the next level of testing. Unit testing will consist of individual tests as development work is completed.

The components of the PCC solution include a comprehensive set of automated unit tests in VSTS that allow our developers to verify the standard operability of each component following initial configuration

within a new development environment. We use additional tools within VSTS verify conformance of the code with Microsoft coding standards and naming conventions. The basis for the unit test cases will be the requirements stated in the RFP, and system specifications identified during project requirements analysis activities and documented in the central project repository under formal change controls.

During the requirements specification phase, the Technical Lead will identify the specific areas of the application where configuration or code changes for the Cenuity® system will dictate modifications to existing tests or the additions of new tests. For modules with configuration changes or modifications based on unique SoS requirements, the Technical Lead will perform continual audits of the new system to ensure developers are including the appropriate coverage levels of automated tests with their releases to the build manager. Acceptance of the module's release by the PCC project manager for promotion from development to testing environments for SoS demonstrations, review or UAT will only be achieved after verification that 100 percent of the unit tests pass without error:

- All test cases completed
- Code analysis indicates all code has been covered
- No defects identified

USER ACCEPTANCE TESTING (UAT)

Upon successful completion of unit testing for specified system modules, UAT activities are initiated. The Testing Plan will define UAT plans, schedules and processes. UAT will be a coordinated effort with PCC supporting SoS staff evaluation of functional components of the new system. UAT is planned for August through October 2017, in compliance with the RFP mandate that UAT occur within the months of July through October 2017. All system functions will be tested for deployment, including front and back office financial features, processes and reports. SoS staff will evaluate the system in a staged test environment replicating the actual production environment for the system following Go-Live implementation. These tests will cover, but not be limited to: proper functioning of edits, audits, and business rules; accuracy of financial processing and file maintenance; data migration and conversion; external system interface testing and the format and content of all system outputs, including outputs from reporting functions. UAT use case testing will include execution of actual business processes with live or simulated live data to evaluate system behavior associated with key business processes. A full data migration will occur staging the converted data in the testing environment prior to UAT so actual system data can be used for testing system functionality and/or the data conversion processes themselves during UAT. Parallel testing of interfaces and data exchange transactions with Nebraska.gov, OnBase and other systems will also be performed for up to five business days, as specified by the SoS project manager. In addition, automated help support, user manuals and the delivered training will also be assessed for accuracy and effectiveness. If problems are identified during UAT activities, they are recorded and assessed for potential action, such as correction and retesting, or other disposition, such as non-critical or future release change request. If SoS staff successfully verify system components as correct and complete, they can be reported to the SoS project manager with a recommendation for promotion to the production environment.

I.1.13 PROJECT CLOSEOUT AND LESSONS LEARNED PROCESSES

During closeout activities, PCC will produce a closeout checklist to ensure all work has been performed to the expectations of the SoS. This includes submission of document deliverables certifying completion of key administrative and financial activities to the SoS and review of the documents with the SoS project manager. Special knowledge transfer activities will also occur as part of project closeout including detailed project retrospective, lesson learned discussions and reporting of projected and actual project performance measures at task completion. These efforts help identify or reaffirm best practices, the effectiveness of our planning processes and potential pitfalls for future projects. As a result of these evaluation processes, our methodology undergoes continuous improvement, thus ensuring success on future projects. All project documentation and source code will be provided to the State including:

1. Project plans, status reports, meeting minutes and decision support documentation
2. System configuration settings, source code for data migration, database structure, entity-relationship diagrams, hardware and software environment specifications, operational transition plans
3. Knowledge management repository,
4. User Manuals and other project documents
5. Closeout report

Project closeout will be a formal process for concluding project activity and documenting observations and recommendations. It will provide certification that all outstanding items have been addressed.

I.1.13.1 KNOWLEDGE TRANSFER/LESSONS LEARNED

PCC understands that the State of Nebraska needs to safeguard its investment in technology solutions including the associated intellectual capital and technical knowledge needed for administration, operation and maintenance of the system. PCC will promote knowledge transfer strategy throughout the project lifecycle by actively involving SoS and other State staff as part of the project team and through capture of project data, plans, test results, reports, lessons learned, decisions and other documents recording the information and knowledge generated during the project.

The knowledge transfer strategy includes the following:

1. Design the strategy to facilitate the capture and transfer of knowledge to SoS and other State staff with needed communication improvements
2. Focus on identifying and documenting relevant knowledge
3. Conduct sessions to determine the knowledge gap between all parties.
4. Train SoS and State staff on project documentation
5. Implement formal lessons learned information capture and discussion processes
6. Manage the information by establishing data and information requirements, defining the information architecture, establishing data and information management procedures, and evaluation and improvement.

7. Document the knowledge and activities needed to transition administration and/or operational functions to State support staff, if requested, at contract expiration.
8. Monitor the knowledge transfer strategy with monthly meetings

PCC will document knowledge transfer efforts and communicate accomplishments in monthly project reporting to the SoS project manager. The PCC knowledge transfer activities will be led by the PCC project manager. PCC will develop user documentation, technical documentation, and training practice sets for the user community. Our interest in and passion for training will be of significant benefit to the SoS and will help insure effective institutionalization of the IT solution and related processes. PCC will implement the following processes and practices for knowledge transfer and for better communication of the technical details of the system we develop.

The PCC project team will use Microsoft SharePoint as the document repository of all artifacts produced in the course of the project. This repository will be a library to transfer project knowledge and experience to SoS staff regarding the project background and internal technology of systems. Additionally, PCC will assist SoS staff in sharing key documents, processes, and troubleshooting methods with the users.

1.1.13.2 TRAINING PLAN

The Training Plan provides a roadmap of the detailed schedule, objectives, and key deliverables associated with training on the new proposed Business Registration and Filing Solution. PCC defines the approach that we will take in order to develop and deliver system and business process training for the SoS, as well as describe how our systematic training approach and methodology supports the transition to the new system. We will also provide training on new processes based on the requirements analysis and communication strategies for implementing associated organizational and/or process changes and addressing potential knowledge gaps. We monitor and assess the training throughout the training process, and conduct post-training evaluations to ensure that the users are performing at the expected levels. The Training Plan also documents PCC's strategy for potential training of end users in response to future organizational, process or functional changes impacting user operation of the system. The Plan incorporates requirements in the RFP Section IV, Subsection I, Training, and in Attachment A, Form A.1, Requirements Traceability Matrix, RTM item PPM-3.

The scope of the training effort is to provide the skills, knowledge, and abilities necessary for the SoS to effectively operate the proposed solution. We assume that users already have basic computer skills so we can immediately begin teaching them how to use the system in addition to any modified policies and business procedures associated with solution functions. Combined with cultural change management efforts, PCC's goal is to provide users the knowledge, skills, abilities and attitudes necessary to perform their job tasks in the new proposed solution before the system in placed into production. Training will include two or more focused instruction sessions for each user role, such as managers, administrators, and process area users, covering all functional operations, workflow, accounting and reporting processes for the deployed Modules (UCC/EFS/AR/ Master Lien List, Corp and, if requested, Notary/eNotary). PCC also provides user manuals, formative evaluations (for end of lesson evaluations and tests), job aids, handouts, references, and account sheets to support exercises in the user manuals, all of which will be available for electronic access by

SoS staff. User Manuals will be submitted to the SoS project manager for approval prior to use in training sessions. PCC will plan for approximately twenty (20) training participants for each Module as mandated in the RFP Section IV, Subsection I, Training, with approximately eight (8) SoS administrators requiring additional specialized instruction. Our Training Plan will also address post-implementation instruction that will be provided when the system functions or processes have been modified, including refresher training on baseline and/or enhanced functionality.

We base our training plan on our understanding of the current- and future-state environments, as well as on our Systematic Approach to Training (SAT); we have successfully employed this plan in several other large-scale implementations. We customize our training programs and modules to meet the needs of individual user groups as determined through stakeholder and user need assessments and work closely with the stakeholder groups to review the approach in order to complete the activities.

The Training Plan is finalized during Phase 2 of our Implementation Plan (see section I.1.8, Implementation Plan). The SoS project manager, with stakeholder support, reviews, provides feedback for, and approves the Plan. Additional Training Plan details are provided in the PCC response documented in Attachment A, Form A.1, Requirements Traceability Matrix, RTM item PPM-3, Bidder's Response subsection.

I.1.13.3 SUCCESSION PLANNING AND COOPERATION

PCC has extensive experience in successfully transitioning operation and maintenance of systems we implement to government organization staff and other contractors, if requested by the State. In accordance with the requirements in the RFP Section IV, Subsection K, Succession Planning and Cooperation, and Attachment A, Form A.1, Requirements Traceability Matrix, RTM item PPM-4, PCC will provide a detailed Transition Plan that, when implemented, will ensure a smooth, non-disruptive transition of system operation to the State and/or contractor staff at the end of the PCC contract. PCC incorporates transition planning into knowledge transfer and training activities including planning, data transfer and all supporting documentation. Our comprehensive and effective approach will allow the State to continue to capitalize on the successful system whether or not PCC staff continue to be responsible for system operation and maintenance tasks. The Transition Plan may be modified throughout the project based on SoS reviews and/or changes in priorities impacting the Plan. All documents, reports, source code and data associated with potential end-of contract transition will be stored in the central project data repository and knowledge base used for all knowledge transfer activities. So, the State will have continuous access to these materials even prior to potential transition events. PCC will also provide additional analytical, technical or other professional support to the State to assist in transition efforts, as needed. As mandated in the RFP, the transition period will not exceed 180 days from expiration or termination of the contract. Additional details on the Transition Plan can be found in the PCC response documented in Attachment A, Form A.1, Requirements Traceability Matrix, RTM item PPM-4, Bidder's Response subsection.

I.1.14 ISSUE MANAGEMENT PLAN

An issue is defined as a situation, action, concern, question, or problem that could impact or impede the progress/success of a project. The PCC Issue Management Plan included in the Project Management Plan

will outline the approach for identifying issues, tracking resolutions, and documenting solutions. Issues will be identified in an issue log and maintained on the project site. The PCC project manager will be the primary point of contact for SoS leadership to coordinate project-related issues or problems. If issues need to be escalated beyond the PCC project manager, the PCC Executive Sponsor can also be contacted (see Section i.2, Resource Management, for detailed staff and point of contact descriptions). All members of the project team will have responsibility for raising and investigating issues. The PCC project manager will be responsible for screening issues and determining solutions and/or plan of action.

PCC's approach to issue management, also known as incident and problem management, provides a mechanism for issues to be identified, assessed, documented, resolved, and communicated back to the team by using an issue management process and system. The issue management process and system must provide the ability to create one or more action items. An action item requires that someone do something by a due date. Usually that "someone" is a person other than the person who identified the issue. In most cases, the person who identifies an issue does so because he or she cannot solve the problem and needs someone with expertise or authority to address and solve the issue. The identifying individual, along with guidance from the project management team, logs the action items into the tracking system in a common format and the action items are assigned accordingly. Using a consistent source and format allows the project manager to focus on what is due or outstanding.

I.1.14.1 GOALS AND BENEFITS OF THE ISSUE MANAGEMENT PROCESS

The goals of the issue management process are as follows:

- Understand the issue and potential impacts.
- Reach consensus on likelihood, severity and priority of issues between PCC and the SoS.
- Limit the effects of unforeseen events on the project.
- Provide standard documentation of project issues.
- Ensure that every issue has a resolution path and that it is logged and tracked properly.
- Reduce risks to the project (when an issue becomes a risk, it is moved to the risk management tracking system).

The following are benefits of the issue management process:

- Allow issues to be tracked and viewed in one place.
- Provide easy to see information about issues, because information is stored in a single consistent format.
- Limit responsibility for each issue and action item to one person, thereby avoiding the "...I thought he was doing it..." situation.
- Define each issue clearly as well as the action being performed to address an issue.
- Inform project team members about what is being done to address an issue and provide the status of an issue or associated action item.

- Allow the SoS to understand how issues are being addressed.
- Identify issues that are really risks and take appropriate mitigation or contingency steps.

I.1.14.2 PCC'S APPROACH

Figure 4, PCC Issue Resolution Process, depicts PCC's approach to managing issues. This process allows the team to handle the majority of project issues as they arise and establishes guidelines for the management, resolution, and escalation of problems and issues.

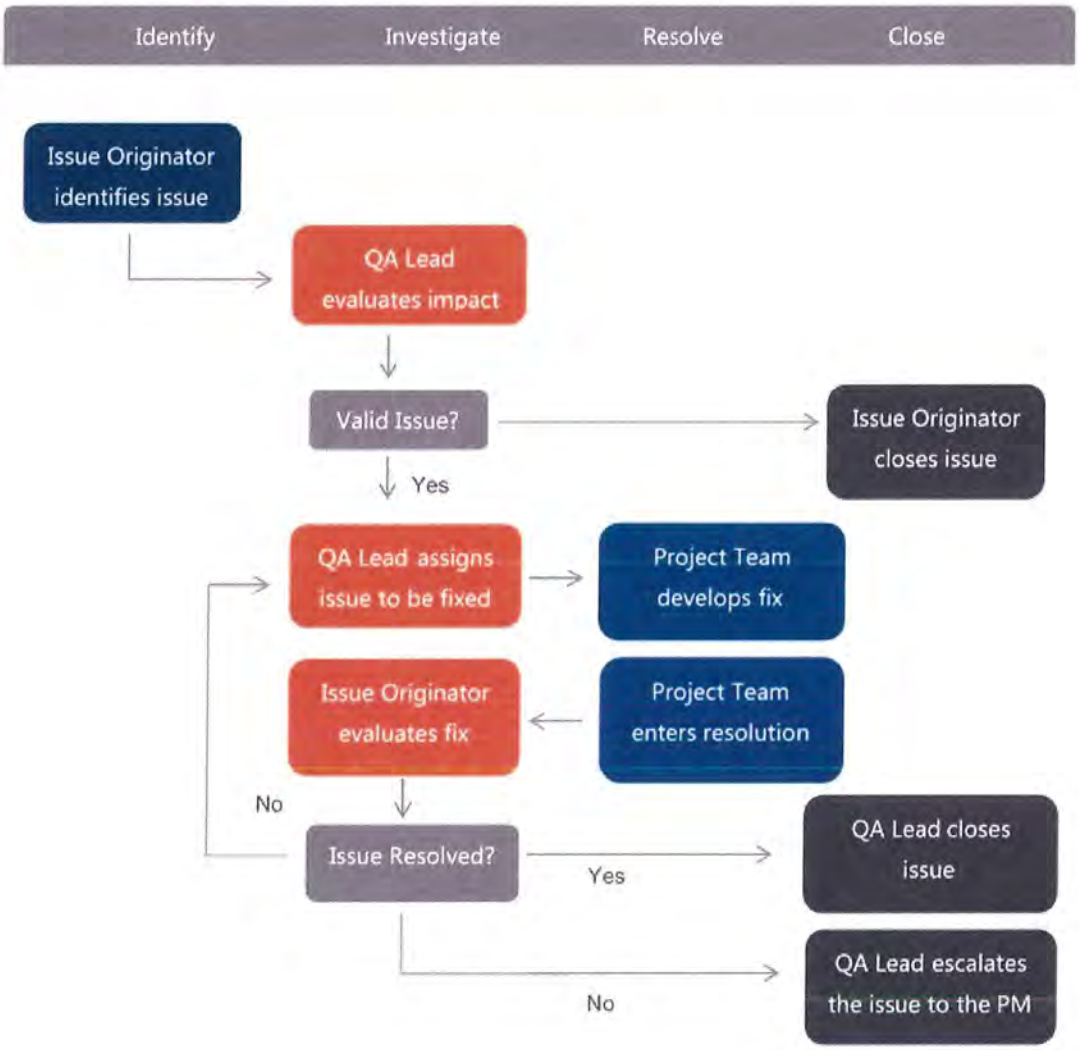


Figure 4. PCC Issue Resolution Process.

Issue identification and resolution occurs at various levels within the project structure. The issue resolution process allows problems to be resolved as close to the point of origin as possible. Through this approach, the team with the knowledge and skills required for resolving the problem is assigned ownership of the issue and exhausts resolution options prior to subsequent escalation.

The first step of the issue resolution process is to identify whether the proposed issue is, in fact, an issue, and if it is, whether or not it has been previously documented. Once the project manager determines that the issue should be logged, it is recorded into the issue tracking system. Typically, the title and description of the issue, the creation date, the originator information, type of request, the owner of the issue, the due date, and other project-related information are all recorded into the issue tracking system. The issue is managed through its life cycle and stored for historical viewing.

I.1.14.3 ISSUE IDENTIFICATION

Members of the team are encouraged to log issues as soon as they arise (often this occurs first in the course of informal discussions). The sooner an issue is logged and addressed, the more likely it is resolved without having a major impact on the project. Any member of the project team who identifies an issue may submit an issue.

The originator of an issue must record the issue into the issue tracking system. The issue originator records the title and description of the issue, the creation date, the type of issue, the due date, impact to the project, the complexity of the issue, and other project-related information. The person reporting the issue also has to assign an owner for the issue. If the owner of the issue is unknown, the issue owner should be defaulted to the project member reporting the issue.

I.1.14.4 PRIORITIZATION AND ISSUE ASSIGNMENT

The concept of an issue having an owner is crucial to effective issue management. The owner is someone within the project team who is responsible for ensuring the issue gets resolved. Generally, ownership should be at the lowest level at which the issue could possibly be resolved. To facilitate the issue management process, issues may be assigned an issue owner by any member of the project team. Open issues are also reviewed during the weekly project status meetings and are assigned to a project team member and assigned a due date.

At any point, an issue can be reassigned; action plans and due dates can also be changed. Project staff assigned an issue may determine that the issue should be reassigned. Upon approval of the reassignment, the issue owner may reassign the issue. If the issue owner is the project manager, the issue can be reassigned to another staff member. If ownership is still in question; then the issue should be openly discussed at the weekly project status meetings where ownership either remains with the issue owner or be reassigned.

I.1.14.5 ISSUE INVESTIGATION

The next step is to investigate and resolve the issue. The owner of the issue is responsible for investigating the issue. Issues originating from within the specific functional project teams will be identified and reported to the QA Lead. This communication occurs between the issue originator and the QA Lead.

The issue owner is responsible for documenting any information relevant to the resolution of the issue, and for following-up with the issue originator and other interested parties on the team.

I.1.14.6 ISSUE ESCALATION AND ESCALATION PATH

In the event that a solution cannot be found by the initial owner, the escalation procedures are followed.

If issues go unresolved at a particular level, they are elevated to the next level of the management structure. As the issue is elevated to higher levels of management, the issue priority, due date, and assigned owner are constantly re-evaluated.

- **Issue Owner** – If the issue owner is unable to resolve the issue or requires additional resources or information, the issue owner escalates the issue to the appropriate lead.
- **Lead** – If the lead, such as technical lead or business lead, is unable to resolve the issue or requires additional resources or information, the lead escalates the issue to the project manager.
- **Project Manager** – If the project manager is unable to resolve the issue, the project manager escalates the issue to be discussed at the status meetings.
- **Project Executive** – Any issues that cannot be resolved at the project manager's level are escalated up to the project executive for action. It is the project executive's responsibility to bring PCC's resources to focus on developing a strategy to solve the problem underlying the issue

I.1.14.7 ISSUE RESOLUTION

Issue resolution techniques and alternative analysis also play key roles in keeping projects on track. Team leads and project managers need to manage project issues on a proactive basis. These levels of management use their experience and resources to assist in impact analysis, evaluation of alternatives, and formulation of an appropriate course of action.

During the course of investigation, the issue may be identified as a duplicate. If identified as a duplicate, the resolution should document the duplicate issue number. Sometimes an item is not an issue. It is, instead, a risk that should be tracked and acted upon if necessary in the risk management process. Other times, the resolution calls for the contractor to accept work that was previously unanticipated through the change control system (see Scope Management).

- **Issue Owner** – The issue owner investigates and resolves the issue by the issue resolution due date. The resolution should be clearly documented in the notes section of the issue in the database. Comments may also be entered at this time.
- **QA Lead** – The QA Lead assists the issue owner with investigating the issue and monitoring the issue so that it is resolved by the issue due date. In addition, the lead determines if the issue should be escalated so that the issue is addressed and resolved prior to the issue due date. For this project, the PCC Business Analyst (see Section i2, Resource Management for a detailed resource description) will serve as the QA Lead.
- **Project Manager** – The project manager assists the lead with determining an appropriate course of action and monitoring the issue so that it is resolved by the issue due date. The project manager also determines if the issue should be escalated to the project executive to determine the necessary resources to bring to bear. This may trigger an action in the change control process. While an issue

is pending in the change control process, the project manager is responsible for highlighting any impacts that result from not having the issue resolved.

- **Project Status Meeting** – The weekly project status meeting addresses open issues that have been escalated internally. When the meeting is convened, the issue will be discussed and an attempt will be made to negotiate a solution. If the solution is not evident, the issue will be assigned to an owner to further analyze the problem and to make a recommendation to the group at a later date.

I.1.14.8 ISSUE CLOSURE

Issues that require action in the change control process are typically put into a pending status. This means that the issue will be resolved if a pending change to the scope is approved. Until that action is taken, pending issues cannot be considered closed. However, once a change order has been authorized, the issue status can be changed to "resolved." The resolved issue is then reviewed by the appropriate level (for example, the weekly review meeting, QA Lead, project manager) and from there the responsible party confirms that the appropriate resolution has been made and documented.

The following project team members have responsibility for issue closure:

- Originator and Assignee (both need to agree that the issue can be closed)
- QA Lead
- project manager

I.1.14.9 ISSUE REPORTING

The team leaders and the project manager will include in their weekly status reports a report of open issues and also any issues resolved within the past week. Open issues will be discussed at the weekly project status meeting. This weekly status meeting serves as a forum where team leads and the project manager can give status, raise and discuss issues, and determine appropriate resolution actions. A list of open and recently resolved issues will be distributed at the status meeting and documented in the weekly status report.

I.1.15 QUALITY ASSURANCE PLAN

PCC uses a Quality Assurance Plan (QAP) for performance monitoring, evaluation processes, performance standards, and acceptable quality levels as a part of our project health monitoring. The QAP implementation includes review processes with documentation and defined roles and responsibilities for stakeholders. During project planning activities, we will refine the QAP to reflect SoS expectations relative to the frequency of reviews, communications, and a plan for implementing corrective actions and improvements. PCC's quality assurance team will address the review of the documents prepared. It is recommended that a SoS staff member be assigned to work with the PCC team in the capacity of Quality Assurance Officer.

The QAP defines the methodology for continuously monitoring and periodically evaluating the team's performances against the objectives of the program. The goals of our QAP are to:

- Provide an effective plan that can be successfully implemented.

- Clearly communicate data collection and evaluation procedures to which the SoS team and PCC agree.
- Mutually define levels of performance and acceptance levels.
- Focus the PCC team on the functional areas of greatest importance for the project mission and motivate innovative use of team resources to improve performance to the mutual benefit of all parties as partners.

We developed the QAP in conjunction with our technical approach and schedule. We recognize that it is our responsibility to carry out our quality obligations while working with the SoS. The QAP further contains measurable inspection and acceptance criteria corresponding to performance standards. Surveillance and evaluation based on the PCC QAP will provide the information necessary for the SoS to evaluate PCC's performance against reasonable Acceptable Performance Levels (APLs).

The QAP identifies data collection, review and analysis points and integrates the SoS and other contractors into the workflow. As illustrated in the top left corner of Figure 5, the partnership will provide the initial oversight, guidance, and assistance in defining APLs, reviewing performance measurement data, and offering improvement plans. At the project management level, PCC's technical leads and business analyst will work with the SoS and applicable contractors to ensure service delivery and customer satisfaction are met.

A quality management process defines the workflow and provides an integrated quality control group involved in performance reporting, APL assessment, and initiatives that demonstrate continual improvement in service performance and customer satisfaction. The quality management process will govern continuous review of the quality of the products and services generated to ensure that acceptable products are received.

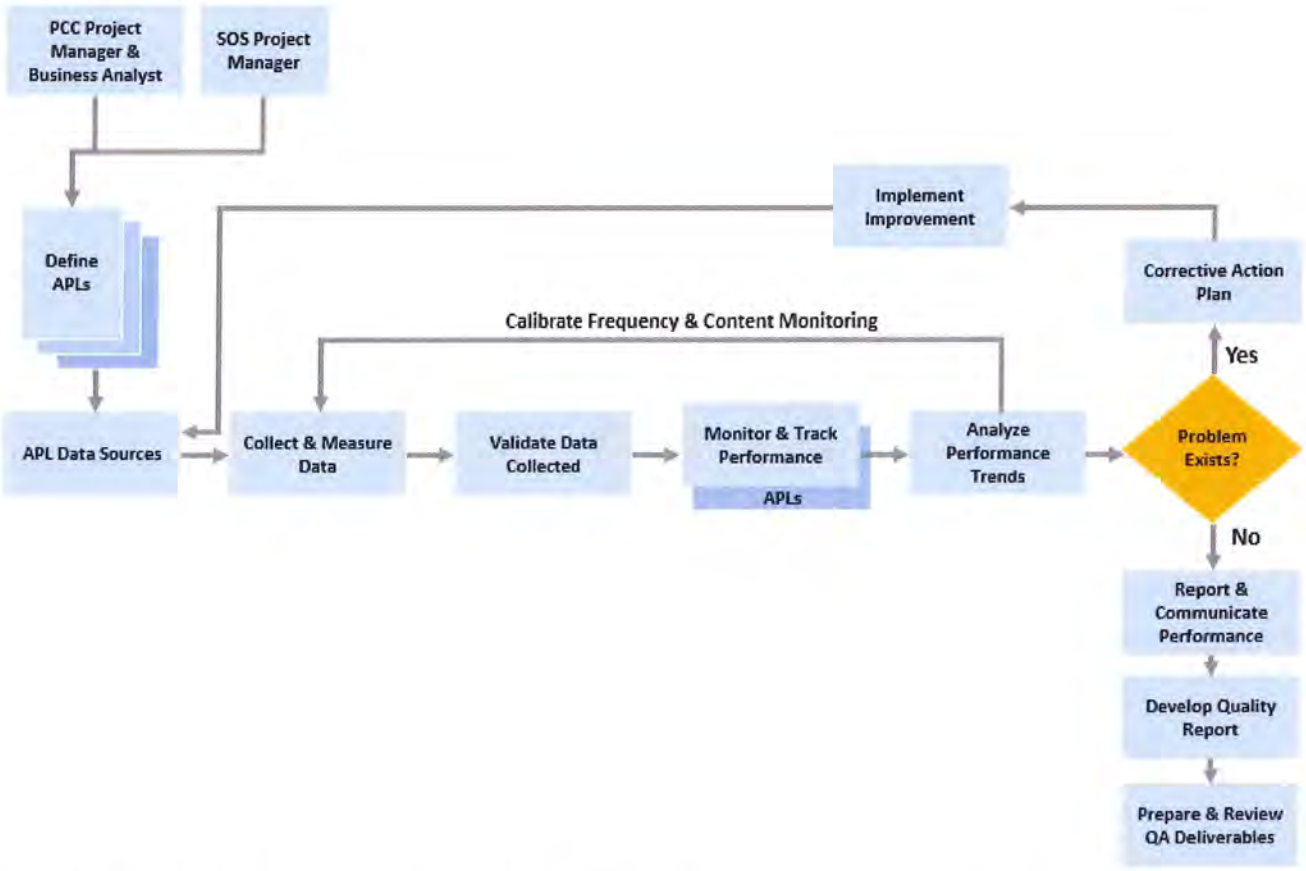


Figure 5. Quality Management Process. ***We follow this process to ensure that we demonstrate continual improvement in performance and satisfaction.***

I.1.16 CONTINGENCY PLAN

In accordance with the RFP Section IV, Subsection G.1, Project Management Plan, PCC will include the Contingency Plan that will be executed in the event of an aborted implementation due to organizational priority changes, failure of the solution to meet project requirements, emergent requirements increasing implementation risk (e.g. new regulatory compliance mandates) or other programmatic changes that require deferral or cancellation of the implementation. The Contingency Plan will include failover processes to ensure continuity of operations for operations within the scope of the Business Services Filing System components regardless of the status of the implementation of the new solutions. The Contingency Plan will be closely aligned with the Implementation Plan, most notably at decision points for authorization to proceed with the implementation of components of the new system. Some "No-Go" or deferral decisions may also trigger Contingency Plan elements and/or temporary adjustments to the solution implementation.

I.1.17 POST-IMPLEMENTATION OPERATION

Following system deployment, PCC will enact the post-implementation stabilization support framework and activities needed to maintain and institutionalize the system solution in accordance with the RFP Section IV,

Subsection J, Provide Post Implementation Support. PCC's approach includes system operation and maintenance, Help Desk support services, post-implementation training gap and lessons learned analysis and remediation, disaster recovery readiness functions, security operations and database management and optimization activities. Preventative and system optimization maintenance activities, including monitoring for and deployment of available vendor hardware and software upgrades or patches, are executed with little or no downtime requirement for the system or other interfacing systems. Operational maintenance planning will address scenarios requiring modification of the deployed system in response to changes in technology, SoS organization needs, or regulatory mandates. PCC will provide a list of system changes and/or enhancements to the SoS project manager prior to deployment of the changes to the production environment.

The PCC Help Desk is staffed with technical experts that will support SoS staff in characterizing and resolving problems associated with the system or system usage. PCC will provide an 800 number with staff available from 7a.m. to 6 p.m. CST during work days. To meet RFP mandates, the 800 number will also capture voice messages and allow for forwarding of help desk calls to PCC staff 7 days per week, 24 hours per day so users can report problems in off hours. PCC will respond to problem reports within one hour of report submission. Help desk staff will maintain a log of all calls, problems, and assistance requests and will document the issues, actions and resolution associated with the problems. The log will be accessible by authorized SoS staff and contractor personnel.

PCC will provide system validation support after implementation of each module for a 120-day period including application corrections or modifications needed to support production-related issues. Note that process areas and special reports the normally execute in the production environment biennially, annually or quarterly, but occur outside of the 120-day validation period will be considered within the validation period scope until the scheduled process is complete, and any defects found will be resolved at no cost to the State.

I.2 RESOURCE MANAGEMENT

PCC's staffing plan provides skilled, experienced professionals to meet the project deliverables and tasks envisioned for the project by the State. Our staff benefits from more than 50 experts with experience in successfully implementing several large business filing projects, who will assess the existing systems to immediately engage in facilitating technology transformation. The PCC team brings a fresh perspective and the best processes and technologies to the user community.

Different phases of the project will require different techniques and tools to manage and perform the requested services. From initial project planning, to transition-in of our project team, to overall reporting on a monthly basis, the PCC team of project professionals brings a wealth of knowledge in designing and implementing solutions and utilizing a variety of project management techniques and tools. PCC identifies the best staff for IT projects by thoroughly understanding the project needs and skills needs to reach organizational objectives. We assess each position's expected role in terms of both project responsibilities and the SoS' overall project objectives. PCC documents the specific type of experience and skills required, as well as other non-technical attributes that are needed for candidates to be successful and valuable to the project.

PCC will provide documentation and training on the working environment for the project and SoS workplace policies and business procedures. We will establish on-site introductions between our staff and SoS project leadership. All project team members will participate in training to familiarize them with the project plan. This training will address all issues so that participants have a clear understanding of their roles. PCC will ensure that staff members are trained in SoS-specific practices and protocols. This helps effectively communicate organization hierarchy, structure, and roles from the beginning so that each new team member gets up to speed as quickly as possible. PCC's broad approach to staff integration provides clear direction to the staff members and ensures that, from day one, each staff member is highly productive and integrated with the project team.

PCC understands the importance of continuity, and it is our practice to keep personnel assigned to projects for the duration. In the event of illness or an unforeseen instance, PCC will notify SoS project leadership to coordinate any needed staff changes. With over 50 personnel with the expertise to support the requirements in this RFP, the PCC team has sufficient depth of skilled personnel such that work load, absence, or illness will not interfere with provision of services.

PCC's proposed team members all have the required skills and experience to deliver the solution and accomplish the project objectives described in the RFP. Section i.2.1 details our team leadership, interface and supporting functions, and reporting relationships. We provide resumes for our proposed staff in Section i.2.2, summarizing each staff member's academic background and degrees, professional certifications, understanding of the process/work experience and capabilities, and three references who can attest to the competence and skill level of the individual. PCC has assembled an experienced team and looks forward to providing the unique skills offered by its staff for the benefit of the SoS.

I.2.1 TEAM LEADERSHIP, INTERFACE AND SUPPORT FUNCTIONS, AND REPORTING RELATIONSHIPS

Overseeing this project as **Project Executive** will be **Raghu Chandra**. Raghu has been in the IT industry for over 16 years. He has worked on many of our business solution-related projects. Raghu was the project manager for the New Mexico SoS' business filing and registration project and the Connecticut SoS' CONCORD business filing and registration project; project executive for our UCC implementation in North Dakota and our Charities and Corporations custom-developed project for Washington State; and the subject matter expert (SME) for the New Hampshire SoS' business filing and registration project. In addition, he was the technical manager and SME for our Vermont business filing and registration project. With such a deep background in business services filing and corporations, Raghu can provide mentoring and lessons learned in order to assist in a successful implementation. As Project Executive, his role is to oversee projects at the executive level and be the interface between the project team and PCC's executives, thus ensuring that the executive management gives the team what it needs to succeed while balancing the needs of the company. The PCC Project Executive is also the PCC liaison for the SoS project manager and other SoS leadership where project issues require escalation above the PCC project manager.

The PCC team will be led by **Andrew Kobetitsch**, a strong **project manager** with the right experience for this implementation; he has successfully managed teams and technologies in providing similar solutions.

Andrew was the project manager for our business registration solution for the State of Indiana, which went live in April 2016. Andrew will serve as the PCC project manager and point of contact between the SoS and PCC resources and will act as the liaison between the business and technical teams. He will manage and control the on-time progress and delivery of all aspects of the project from a PCC perspective. He will also report to the SoS project manager and PCC project executive and will coordinate with them to ensure all project support needs are addressed.

Mauro Lanzisera is our proposed **Business Analyst**. He was the business analyst for our UCC implementation for the North Dakota Secretary of State and for our UCC implementation for the Michigan Department of Technology, Management and Budget. Mauro has over 10 years of experience in gathering, analyzing, and documenting requirements for business services solutions. Reporting to Andrew Kobetitsch, he will serve as the QA lead and will share the business analyst duties with Liju Alex. Mauro and Liju will oversee the PCC trainers and the quality assurance team.

Given the size and scope of the SoS' project, we propose an additional **Business Analyst** who will also fulfill the role of **Data Analyst**, **Liju Alex**. Liju has over six years of experience as a business analyst. He is also experienced in software development, analysis and design, coding, and implementation of software applications. He worked as a business analyst on our business filing and registration project in Vermont, which is now in maintenance, and worked with Andrew Kobetitsch and Aditya Vasireddy to complete the delivery of our business registration solution in Indiana. Reporting to Andrew Kobetitsch, he will share the business analyst duties with Mauro Lanzisera and oversee the PCC trainers and quality assurance team. In addition, as data analyst, he will work with the data conversion team to analyze and map data from the legacy systems.

For our **technical lead**, we have chosen **Aditya Vasireddy**, who is our leading technical resource in our business registration implementations. With Aditya's expertise as the technical lead, PCC delivered Georgia's business registration solution in only six months, and he worked with Andrew Kobetitsch and Liju Alex on ensuring that Indiana's solution went live in April 2016. He also filled the role of technical lead in our business filing and registration projects for the Vermont Secretary of State and the Georgia Secretary of State. Reporting to Andrew Kobetitsch, he will oversee the development team and the data conversion team.

I.2.1.1 PROJECT ORGANIZATION CHART

Our project organization chart, Figure 6, displays the reporting relationships described above.

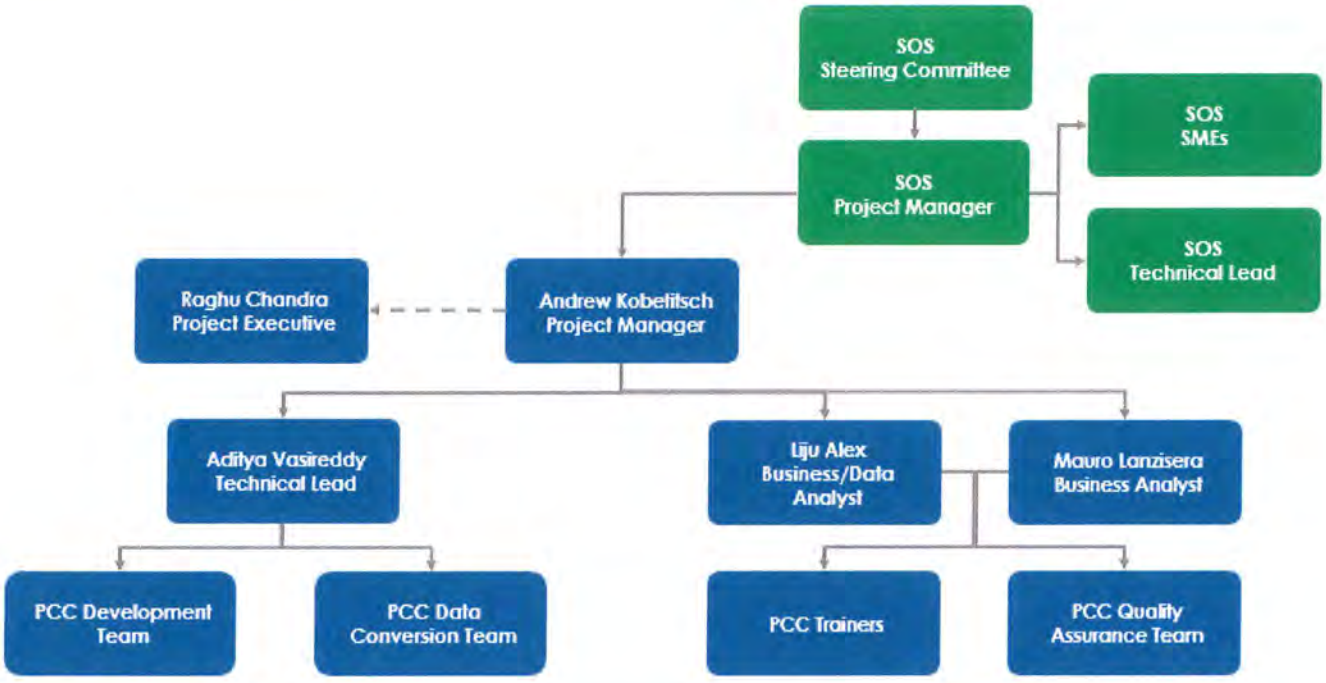


Figure 6. Project Organization Chart.

I.2.1.2 ROLES AND RESPONSIBILITIES

For this implementation, PCC proposes strong resources with deep experience in business filing and registration solutions to fulfill the roles of the project team.

In Table 5, we describe the primary work assigned to each person.

Table 5. Primary Work and Responsibilities.

Role	Primary Work and Responsibilities
Raghu Chandra Project Executive	• Oversees project at the executive level • Elevates problem resolution • Manages our relationship with the State
Andrew Kobetitsch PCC project manager	• Manages/controls the on-time progress and delivery of all aspects of the project from a PCC perspective • Single point of contact between the SoS and PCC resources • Drives the communication and reporting mechanisms to reduce risk • Monitors and initiates change management activities • Acts as liaison between business and technical teams
Mauro Lanzisera	• Extracts and documents business requirements • Acts as the liaison between the business and technical teams.

PCC Business Analyst	• Serves as QA Lead; monitors and reports on ongoing quality and adherence to specifications • Coordinates business analyst and quality assurance analyst activities • Facilitates business requirements gathering through group and individual sessions • Documents findings and develops data and process models
Liju Alex PCC Business/ Data Analyst	• Business Analyst duties, as described above • Interpret data, analyze results, and provide ongoing reports • Identify, analyze, and interpret trends or patterns in complex data sets • Work closely with management to prioritize business and information needs • Lead the data conversion team to create data conversion plan and data mapping documents • Filter and "clean" data, and review reports to locate and correct code problems
Aditya Vasireddy PCC Technical Lead	• Provides technical subject matter expertise during all project phases • Provides decision making and design for all major architecture decisions • Ensures conformance to all standards and practices for coding, data, and security concerns • Manages development team • Leads the configuration management process • Assigned the most critical development tasks
PCC Developers	• Provide all coding, database integration, and unit testing under the direction of the PCC technical lead
PCC Data Conversion Team	• Create data conversion plan and data mapping documents • Develop data conversion scripts • Provide cycle-end exception reports for risk assessment • Ensure quality and conformance with standards throughout the process
PCC Trainers	• Develop the training plan and schedule under the direction of the project manager • Prepare training materials • Organize the training facility and materials • Conduct training sessions • Monitor and report on training progress • Perform evaluations
PCC QA Team	• Prepare and implement the software test plan • Review test cases

	• Analyze the requirements during the requirements analysis phase of the project • Track and report testing activities • Log project related issues in the defect tracking tool identified for the project

I.2.1.3 TEAM EXPERIENCE

Table 6 shows the experience each proposed team member has in similar business services filing system implementations.

Table 6. PCC Team Experience.

Name	Role	Project
Raghu Chandra	Project Manager	New Mexico Business Filing and Registration
		Connecticut CONCORD Business Filing and UCC Solution and Business Portal
	SME	Vermont Business Filing and Registration
	Project Executive	Washington Corporations, Charities, Fundraisers, and Trust
		New Hampshire Business Filing and Registration
		North Dakota UCC
Andrew Kobetitsch	Project Manager	Georgia Business Filing and Registration
		Indiana Business Filing and Registration
Liju Alex	Business/Data Analyst	Indiana Business Filing and Registration
	Business Analyst	Vermont Business Filing and Registration
Mauro Lanzisera	Business Analyst	Michigan UCC
		North Dakota UCC

Aditya Vasireddy	Technical Lead	Georgia Business Filing and Registration
		Indiana Business Filing and Registration
		Vermont Business Filing and Registration

I.2.2 RESUMES

I.2.2.1 PROJECT EXECUTIVE

Raghu Chandra

Raghu has over 16 years of experience in the IT industry with a focus on Business Services solutions. Through his extensive experience working on many of our business solution-related projects, Raghu is our resident SME and a trusted source of expertise and experience for the teams that work on these projects. As project executive, his role is to oversee projects at the executive level and be the liaison between the project team and PCC's executives, thus ensuring that the executive management gives the team what it needs to succeed while balancing the needs of the company.

Education

- Masters of Business Administration and International Management, University of Maryland University College
- Bachelor of Science in Mechanical Engineering, Madras University

Training and Certifications

- Microsoft Certified Solution Developer
- Oracle BEA Systems Certified WebLogic Professional
- Oracle BEA Systems Certified Enterprise Developer
- Sun Certified Java Programmer

Technical Skills

Software: HTML, Java Script, Java, SQL, Snag IT, SQL, C# Dot Net, Visual Studio
Operating Systems: Windows, UNIX
Database: DB2 on OS/390, UDB, Oracle, SQL Server and MS Access
Methodologies: Waterfall, SDLC

Work Experience/Understanding of the Process

Project	State of Washington, Secretary of State (SoS), Business Filing and UCC Registration System	Date	November 2015 to present

This is a custom development project for the Washington SoS; we will develop the State's Corporations, Charities, Fundraisers, and Trust solution.

As **project executive**, Raghu is overseeing this project and three to four other business filing and registration and business one-stop solutions. He is our resident subject matter expert on all things business solution-related and is a trusted source of expertise and experience for the teams that work on these types of projects.

Project	State of New Hampshire, Secretary of State (SoS), Business Filing and UCC Registration System	Date	December 2014 to present

PCC replaced the State's legacy solution to modernize and streamline Department related business registration services into a single, seamless, integrated electronic business registration and records management solution that includes online and in-house processing of entity creation and maintenance; filings and renewals for Uniform Commercial Code (UCC) and tax liens; trademarks, trade names, notary publics, justice of the peace, writs, service of process, and apostilles; records management; and business data exchange with outside vendors and stakeholders. The State's legacy solution was FileOne SystemWorks SoSKB.

As **project executive**, Raghu oversees the project manager to ensure that all goals and objectives are being met.

Project	State of North Dakota, Secretary of State (SoS), UCC Solution	Date	June 2014 to June 2015

The North Dakota SoS uses PCC's UCC Solution, which is a configurable modified-off-the-shelf (MOTS) solution. Users can process filings and renewals pursuant to the rules and regulations of the Uniform Commercial Code for secure transactions, as well as federal and state tax liens.

As **project executive**, Raghu oversaw the project manager to ensure all goals and objectives are being met. The project was completed on schedule and within budget.

Project	State of New Mexico, Secretary of State (SoS), Business Filing and UCC Registration System	Date	February 2014 to present

The New Mexico SoS uses PCC's Business Filing and UCC Registration System, a configurable solution to track service of process, apostille, trademark, notary, agriculture license, and partnership requests. The partnership phase of this project is already in production. The State's legacy solution was FileOne SystemWorks SoSKB.

As **project manager**, Raghu was responsible for managing a team of developers, data modelers, business analysts, and trainers as they developed and configured this solution for the SoS.

Project	State of Vermont, Secretary of State (SoS), Business Filing and Registration	Date	September 2013 to present (in maintenance)

PCC provided a modern, Web-based system that has a wizard-style graphical interface to allow online applications for a multitude of license types; UCC filings; annual renewals; statutory report filings, generations, search and retrieval of licenses, certificates, forms, and documents; customer account management; and online payment collection for the Vermont Secretary of State Office. The solution provides a completely configurable environment for the set-up of registration processes and outputs

(forms, reports or correspondence). It allows system administrators to configure all aspects of the application as needs of the agency change (new registration type, changes to printed outputs, additional data fields, changes to business rules, etc.) without assistance from our development staff. This greatly reduces total cost of ownership.

As **SME**, Raghu worked with the business analysts to ensure the requirements were accurately documented, facilitated the gap analysis sessions, provided design guidance to the business analysts during initial documentation and application design, reviewed and approved the documentation, and provided assistance in data conversion.

Project	State of Connecticut, Secretary of State (SoS), CONCORD Business Filing and UCC Solution and Business Portal	Date	July 2006 to January 2010

The Connecticut SoS replaced a legacy IBM mainframe based business registration and filing system with a Web-based, n-tier system using PCC's solution for Business One-Stop. The solution includes the sharing and validation of data across multiple agencies, and provides internal and external users with the workflows and business rules required to manage this high volume agency's workload with zero backlog. PCC also provided a business start-up tool for the SoS. This Web site gives a graphical toolbar so that the users know where they are in the process; users follow a series of screens and at the end of the process, they have a registered business in the State of Connecticut.

Raghu was the **project manager** during this large-scale implementation.

References

1. Dan Cloutier
   Assistant Secretary of State
   State of New Hampshire, Secretary of State
   71 South Fruit Street, Concord, NH 03301
   603-271-0001
2. Ken Ortiz
   Chief of Staff
   State of New Mexico, Secretary of State
   325 Don Gaspar, Suite 300, Santa Fe, NM 87501
   505-827-3661
3. Thomas Miano
   IT Manager
   State of Connecticut, Secretary of State
   30 Trinity Street, Hartford, CT 06106
   860-509-6199

I.2.2.2 PROJECT MANAGER

Andrew Kobetitsch

Andrew has been the project manager for multiple PCC solution implementations. Most recently, he was the project manager for our Business Filing and Registration solution for the Indiana Business Services Division. As a senior project manager, Andrew is responsible for a broad array of planning and leading project teams of consultants and employees. He provides and expresses strategic vision and front facing project oversight, technical review, and recommends solution templates. Andrew is experienced in leading projects through the full project life cycle, to include application scoping, workshops, gathering business requirements, case requirements, design selection, process flows, story boarding, implementation, testing, conversion, and maintenance and production support.

Education

Bachelor of Science in Computer Science, St. John's University

Technical Skills

Software: HTML, CSS, JavaScript

Operating System: Windows Server, MAC OS, Linux: Red Hat, CentOS, Ubuntu, Mint, Debian, GNU, VMWare Workstation, vSphere, vCenter

Database: Oracle PL/SQL, Perl, Visual Basic, Python, C++, Java, SAS (Base)

Work Experience/Understanding of the Process

Project	State of Indiana, Secretary of State (SoS), Business Filing and Registration	*Date*	October 2014 to present (in maintenance)

PCC developed and implemented our proven Business Filing and Registration solution in conjunction with a separate contract for the State's online portal solution, which will interface with the Business Filing and Registration solution. This Web-based solution includes registration, renewal, document filing, document processing, document management, and financial management capabilities and replaces a paper-centric process. Authorized state users have access to the business rules and can update fees, role-based security, and workflow requirements. The go-live date for this project was in April 2016.

As the **project manager**, Andrew was instrumental in keeping the project on schedule.

References

1. Rebecca Longfellow
   Director of Business Services
   State of Indiana, Secretary of State
   302 W. Washington Street, Room E018, Indianapolis, IN 46204
   317-232-6583

2. David Maxwell
   HAVA Training & Education
   State of Indiana, Secretary of State
   302 W. Washington Street, Room E018, Indianapolis, IN 46204
   317-234-9662

3. Mandy Ogunnowo
   Program Management
   State of Indiana, Secretary of State
   302 W. Washington Street, Room E111, Indianapolis, IN 46204
   785-760-0943

I.2.2.3 BUSINESS/DATA ANALYST

Liju Alex

Liju has over six years of experience as a business analyst. He is also experienced in software development, analysis and design, coding, and implementation of software applications. Most recently, Liju was the business/data analyst for our Business Filing and Registration solution for the Indiana Business Services Division. He was responsible for gathering and documenting requirements, along with data analysis and creating the data mapping document. Liju has conducted Joint Application Design (JAD) sessions for communicating with the project directors and stakeholders and has created and maintained data model/architecture standards, including Master Data Management (MDM). He has extensive experience in business requirements gathering and writing skills with expertise in developing and documenting Business Requirement Document (BRD), Functional Requirement Document (FRD), and Software Requirement Specification (SRS) across the deliverables of a project.

Education

- Master of Business Administration, Liverpool John Moores University, Liverpool, United Kingdom
- Bachelor of Science in Computer Science, University of Kerala, Kerala, India

Technical Skills

Software: C#.Net, VB.Net, HL7, IDMS, QTP, UI, HTML, Win CVS, NUnit.net, MS Project, MS-Office

Operating System: Windows

Database: SQL, Sybase SQL, MSSQL 7, Oracle 6/7.x/8i/9i, Oracle – TOAD

Work Experience/Understanding of the Process

Project	State of Indiana, Secretary of State (SoS), Business Services Division	*Date*	October 2014 to present

PCC developed and implemented our proven Business Filing and Registration solution in conjunction with a separate contract for the State's online portal solution, which will interface with the Business Filing and Registration solution. This Web-based solution includes registration, renewal, document filing, document processing, document management, and financial management capabilities and replaces a paper-centric process. Authorized state users have access to the business rules and can update fees, role-based security, and workflow requirements. The go-live date for this project was in April 2016.

As the **business/data analyst** for this project, Liju worked tirelessly with the State to meet the requirements of the solution. He was also responsible for data analysis and worked on creating the data mapping document. In addition, Liju worked on the user acceptance testing and training phases of this project.

Project	State of Vermont, Secretary of State (SoS), Business Filing and Registration	Date	September 2013 to present (in maintenance)

PCC provided a modern, Web-based system that has a wizard-style graphical interface to allow online applications for a multitude of license types; UCC filings; annual renewals; statutory report filings, generations, search and retrieval of licenses, certificates, forms, and documents; customer account management; and online payment collection for the Vermont Secretary of State Office. The solution provides a completely configurable environment for the set-up of registration processes and outputs (forms, reports or correspondence). It allows system administrators to configure all aspects of the application as needs of the agency change (new registration type, changes to printed outputs, additional data fields, changes to business rules, etc.) without assistance from our development staff. This greatly reduces total cost of ownership.

Liju was the **business analyst** during this implementation.

References

1. Sooraj Jose
   Project Manager
   CIGNA
   Two Liberty Place, 1601 Chestnut Street, Philadelphia, PA 19192
   201-575-9933

2. Robin Thomas
   Project Manager
   State of North Dakota, Department of Public Health
   600 E. Boulevard Ave, Bismarck, ND 58505
   914-924-4809

3. Navan Kav
   Project Manager
   HCA Inc.
   1 Park Plaza, Nashville, TN 37203
   732-512-7679

I.2.2.4 BUSINESS ANALYST

Mauro Lanzisera

Mauro is a detail-oriented Business Analyst with over ten years of experience in gathering, analyzing and documenting requirements for the development of various solutions in the Business Services sector. Most recently, he has worked on the implementation of PCC's UCC solution for the North Dakota Secretary of State and the Michigan Department of Technology, Management and Budget. Mauro has deep experience collaborating with clients, users and stakeholders to assess their needs and translate them into requirements while working with technical teams to assure efficient system development along project milestones. He is a proven problem solver who has developed test cases and procedures used to identify and resolve issues on different levels of development, as well as leading teams responsible for testing and implementation.

Education

Bachelor of Arts in Visual Arts, University of Maryland

Technical Skills

Software: HTML, Photoshop, Adobe Premiere, After Effects CSS, Microsoft Office (Word, Excel, PowerPoint, Project, Visio)

Operating System: Windows

Database: SQL, MS Access

Work Experience/Understanding of the Process

Project	State of Michigan, Department of Technology, Management and Budget (DTMB) UCC Solution	*Date*	September 2015 to present

PCC is implementing our UCC Solution, a configurable modified-off-the-shelf (MOTS) solution, for the Michigan DTMB. Users can process filings and renewals pursuant to the rules and regulations of the Uniform Commercial Code for secure transactions, as well as federal and state tax liens. The go-live date for this project is August 2016.

Mauro is the **business analyst** for this project.

Project	State of North Dakota, Secretary of State (SoS), UCC Solution	*Date*	June 2014 to June 2015

The North Dakota SoS uses PCC's UCC Solution, which is a configurable modified-off-the-shelf (MOTS) solution. Users can process filings and renewals pursuant to the rules and regulations of the Uniform Commercial Code for secure transactions, as well as federal and state tax liens.

Mauro was the **business analyst** for this project.

References

1. Dawn Wilson
   Direct Services Section Manager
   Michigan Department of State
   7064 Crowner Drive, Lansing, MI 48918
   517-322-6280
2. Christa Starr
   Project Director
   Department of Defense
   708 Edgewood Road, Linthicum, MD 21090
   443-904-2676
3. Kim Reed
   Project Manager
   COLA
   4800 Garret Ave, Beltsville, MD 20705
   240-338-8434

I.2.2.5 TECHNICAL LEAD

Aditya Vasireddy

Aditya has fulfilled the role of Technical Lead for multiple of PCC's business filing and registration projects. He has over seven years of extensive experience in systems analysis, design, development, and implementation of various client/server and internet/web applications. Aditya has extensive knowledge of applying Object Oriented Analysis and Design (OOAD) for modeling a system and is proficient in using design patterns, such as Singleton, Abstract Factory, and MVC, for solving some common problems in software design. He has developed Windows programs, including user interfaces, 2D and 3D, vector graphics, and data binding, with Windows Presentation Foundation (WPF) using XAML in both .Net Framework 3.5/3.0 and Microsoft Expression Blend.

Education

Bachelor of Technology, Jawaharlal Nehru Technological University

Training and Certifications

- Microsoft Certified Technology Specialist (MCTS), 7755617
- Microsoft .NET Framework 2.0, Application Development Foundation
- Microsoft .NET Framework 3.5, ASP.NET Application Development
- Windows Communication Foundation Development with Microsoft .Net Framework 4

Technical Skills

Software: WPF, WCF, LINQ, Silverlight (3.0, 2.0), ASP.NET, AJAX, ADO.NET (2.0), VS.NET (2010/08/05/03), .NET Framework (4.0, 3.5, 3.0, 2.0),ASP, Iron Ruby, JQuery, JavaScript, C#.Net

Operating System: Windows XP/2000/2003, Windows 7 and 8, Vista and UNIX

Database: SQL Server, Oracle 10g, DB2 and MS Access

Work Experience/Understanding of the Process

Project	State of Georgia, Secretary of State (SoS), Business Filing and Registration	*Date*	February 2015 to present (in maintenance)

PCC's solution provided the type of stability and configurability that allowed this agency processing of more than a million transactions per year to go live with a complete business filing and registration solution, including data conversion, in only five months from contract signing. The system provides a completely configurable environment for the setup of registration processes, annual filings, certificates, mergers, dissolutions, and all outputs such as forms, reports, correspondence, and information orders. After 90 days of implementation, the agency received more than 90,000 online filings previously submitted by paper.

Adi fulfilled the role of **technical lead** for this project.

Project	State of Indiana, Secretary of State (SoS), Business Services Division Solution	Date	October 2014 to present

PCC developed and implemented our proven Business Filing and Registration solution in conjunction with a separate contract for the State's online portal solution, which will interface with the Business Filing and Registration solution. This Web-based solution includes registration, renewal, document filing, document processing, document management, and financial management capabilities and replaces a paper-centric process. Authorized state users have access to the business rules and can update fees, role-based security, and workflow requirements. The go-live date for this project was in April 2016.

Adi is the **technical lead** for this implementation.

Project	State of Vermont, Secretary of State (SoS), Business Filing and Registration	Date	September 2013 to present (in maintenance)

PCC provided a modern, Web-based system that has a wizard-style graphical interface to allow online applications for a multitude of license types; UCC filings; annual renewals; statutory report filings, generations, search and retrieval of licenses, certificates, forms, and documents; customer account management; and online payment collection for the Vermont Secretary of State Office. The solution provides a completely configurable environment for the set-up of registration processes and outputs (forms, reports or correspondence). It allows system administrators to configure all aspects of the application as needs of the agency change (new registration type, changes to printed outputs, additional data fields, changes to business rules, etc.) without assistance from our development staff. This greatly reduces total cost of ownership.

As the **technical lead**, Adi was instrumental to the success of this project.

References

1. Shawnzia Thomas
   Corporations Division Director
   State of Georgia, Secretary of State
   2 MLK, Jr. Dr., Suite 313, Floyd West Tower, Atlanta, GA 30334
   404-657-1876
2. Kevin Robertson
   Program Management
   State of Georgia, Secretary of State
   2 MLK, Jr. Dr., Suite 313, Floyd West Tower, Atlanta, GA 30334
   678-480-3657
3. Michelle Bean
   Corporations Director
   State of Vermont, Secretary of State
   128 State Street, Montpelier, VT 05633
   802-828-5495

j. SUBCONTRACTORS

If the bidder intends to Subcontract any part of its performance hereunder, the bidder must provide:

i. Name, address, and telephone number of the Subcontractor(s)
ii. Specific tasks for each Subcontractor(s)
iii. Percentage of performance hours intended for each Subcontract; and
iv. Total percentage of Subcontractor(s) performance hours.

J. SUBCONTRACTORS

PCC is not using subcontractors for this project. We have dedicated resources available in-house.

3. TECHNICAL APPROACH

3. TECHNICAL APPROACH

The technical approach section of the Technical Proposal must consist of the following subsections:

a. Bidder must respond to each item in Attachment A, Requirements Matrix, using Attachment A for responses.

A.ATTACHMENT A, REQUIREMENTS MATRIX

We provide the completed **Attachment A, Requirements Matrix**, following this page.

The rest of this page is intentionally left blank.

Attachment A
Forms

Request for Proposal Number 5301Z1

Bidders are required to complete all forms provided in this attachment
Form A.1 is to be included as part of the Technical proposal.
Form A.2 is to be submitted as part of the Technical proposal, indicating which Optional features, if any, are included.

Form A.1 Requirements Traceability Matrix

Form A.2 Optional Service Matrix

Form A.1

Requirements Traceability Matrix (RTM)

Request for Proposal Number 5301Z1

Each of the items in the Detailed Technical Requirement Matrix in the table below requires a response of one of the following options: "Bidder", "Subcontractor/Affiliate", "3rd Party", and "No". Bidders must respond to the Detailed Requirements Matrix using the matrix format provided and must not change the order of the requirements.

The RTM must indicate how the bidder intends to comply with the requirement and the effort required to achieve that compliance. It is not sufficient for the bidder to simply state that it intends to meet the requirements of the RFP. The Department will consider any such response to the requirements in this RFP to be non-responsive. The narrative should provide sufficient information to differentiate the bidder's technical solution from other bidders' solutions. Explain each response and describe how the proposed solution meets each requirement.

Only one box may be checked per requirement. If Oral Interviews/Presentations and/or Demonstrations are requested, you may be asked to demonstrate each item marked as "Yes", "Customization Required ", or "Alternate".

The Bidder Response box should be completed if the response to the requirement is "Yes", "Customization Required", or "Alternate". Bidders may also use it with "No" responses if desired. **Bidders must provide a response directly in the matrix, using as much space as needed.** Below is a brief definition of each response option. Bidders should carefully read the response definitions as these responses, as well as the entire response to this RFP, will become part of any resulting contract with the awarded contractor.

Yes	Yes, requirement is met and demonstrable in the current release of the product(s) proposed in the bidder's response to this RFP, without manipulation of fields, forms, or the need to add fields or tables to the system.
Customization Required	The requirement is not completely met by the product(s) included in the proposed solution but can be met with some customization. Bidder should indicate whether the requirement can be met by the go-live date and describe any other specifics that will aid in evaluation.
No	No, the requirement is not or cannot be met by the product(s) included in the proposed solution. A response of "No" to a requirement does not eliminate the bidder's proposal from consideration. All proposals meeting the mandatory requirements set forth in Section II.N will be evaluated and scored by the evaluation committee.
Alternate	The "Alternate" option is appropriate when a requirement can be met through a

	separate module or if the module is not included in the fixed price cost proposal. In such a case, it is recommended that the bidder note this in the cost on the Optional Cost Proposal.

General Statement of Requirements

The Secretary of State intends to replace the existing Business Services Filing System (BSFS) with a comprehensive, configurable system that is easy to understand and provides cutting edge technology to improve functionality and expand services

RTM #	System Architecture, Licensing, and Ownership	Yes	Customization Required	No	Alternate
SAL-1	Bidder should provide a high-level description (and optional diagram) of their proposed system to provide a BSFS that handles filing processes, accounts receivable, and deposit preparation.	X			

Bidder Response:

Figure 1 illustrates the proposed system architecture.

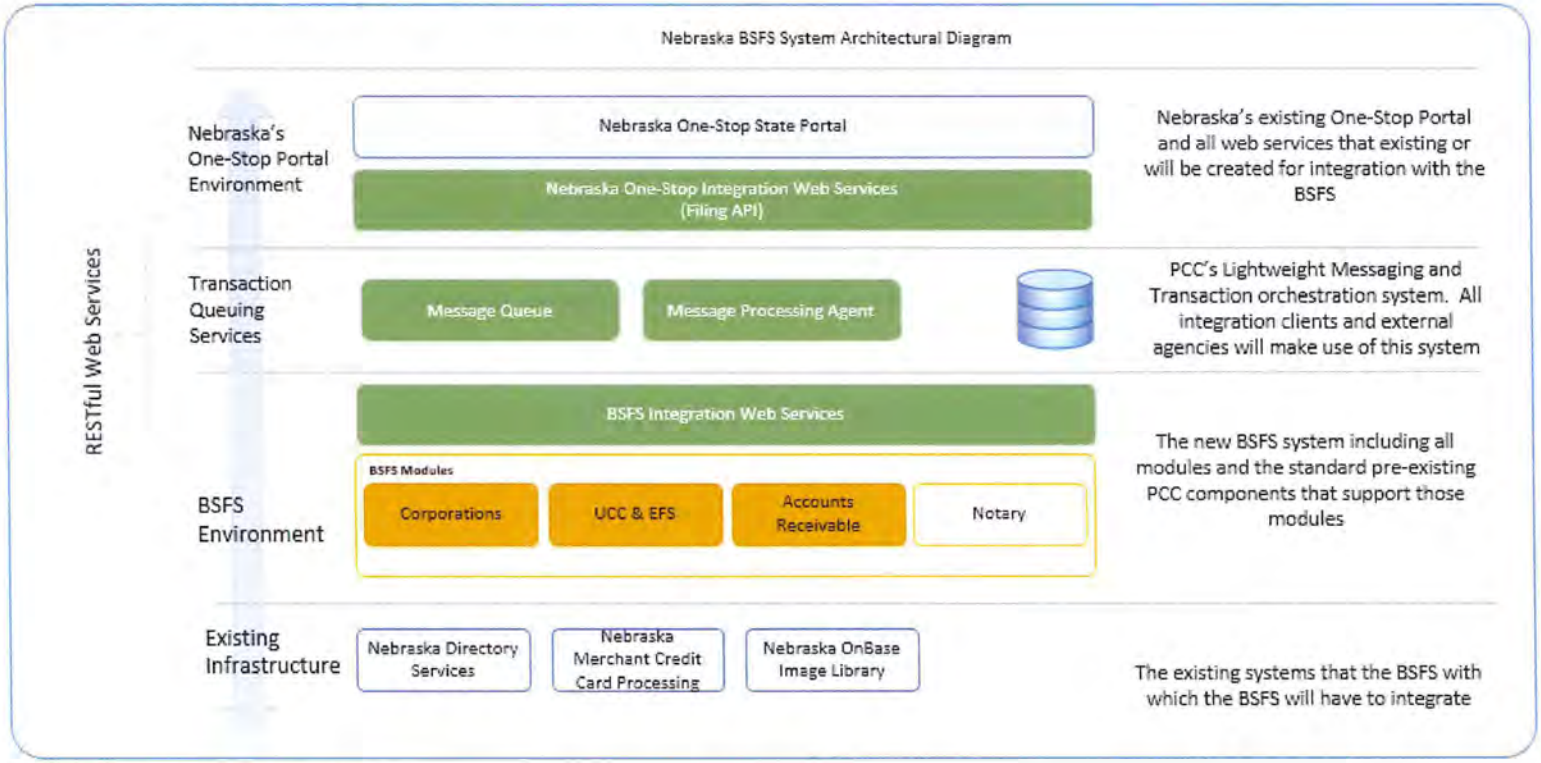


Figure 1. Proposed system architecture.

The system can be delinated into four major layers:

1. **The existing Nebraska One-Stop Portal Layer**
   - This layer represents the existing Nebraska One-Stop Portal. The portal is an information and communication system created to provide equal electronic access for the citizens and businesses across Nebraska, to state, county, local government, and other public information.
   - The layer also includes all services that are required for the BSFS to query the portal for data.

2. **The Transaction Queuing Services Layer**
   - PCC's lightweight messaging and transaction orchestration system.
   - All integration clients and external agencies will make use of these services.
   - The services are used to ensure message delivery between all systems that integrate with the BSFS. It audits every message/transaction that is received and will attempt to send that message to a specified destination system. The number of retry attempts is configurable.
   - The system runs independently of any source and destination system.

3. **The BSFS Environment Layer**
   - This layer contains all the modules that are required for users to support corporate filings, UCC EFS functionality, accounts receivable and financial functions, as well as Notary functions.
   - The modules in this layer are all built on PCC's standard, reusable and highly configurable components.
   - Finally, this layer exposes functionality such as searches, filings and payment functions through a set of RESTful web services. These services are used by external agencies and integration partners to interact with the BSFS.

4. **Existing Infrastructure Layer**
   - Specific to the State of Nebraska, this layer represents all the systems that are external to the BSFS but with which the BSFS is required to integrate with.
   - ***Nebraska Directory Services***: The BSFS integrates with this system to authenticate its users.
   - ***Nebraska Merchant Credit Card Processing***: The BSFS integrates with this system to process credit card transactions. All credit card transactions will be securely processed through the system and all will undergo on-line verification. Processing will be compliant with Payment Card Industry's Data Security Standards ("PCI DSS").
   - ***Nebraska On-Base Image Library***: Hyland OnBase Image Library.

SAL-2	Bidder should describe in detail the technical architecture and licensing of the software you are proposing in order to support the following requirements: A. independent development, test, QA, and training environments that mimic the production environment B. virtual, clustered web servers, application servers, database servers and FTP servers (if needed - will be	X			

	provided and housed by the State) C. the coding languages and software database environment used for the proposed solution D. The bidder's application will use Nebraska Directory Services (NDS) to access web-based applications. E. In order to take advantage of as much existing infrastructure as possible, the BSFS system will run on VMWare virtual machines hosted by the Office of the Chief Information Officer. The system will comprise three (3) virtual servers: a database server, an internet web server, and an intranet/development web server. The database server will use Microsoft Windows Server OS and SQL Server 2012 R2 or above. The web servers will use Microsoft Windows Server OS and run IIS. Desktop PC's will use Office Suite 2010 or above.				
Bidder Response: Figure 2 illustrates the production network topology, hardware infrastructure and server configuration that will be used to host the BSFS. Furthermore, it illustrates the known external systems that will be required by the BSFS. Finally, it is assumed that the BSFS servers will run on VMWare virtual machines is adherence with the policies of the Nebraska Office of the Chief Information Officer.					

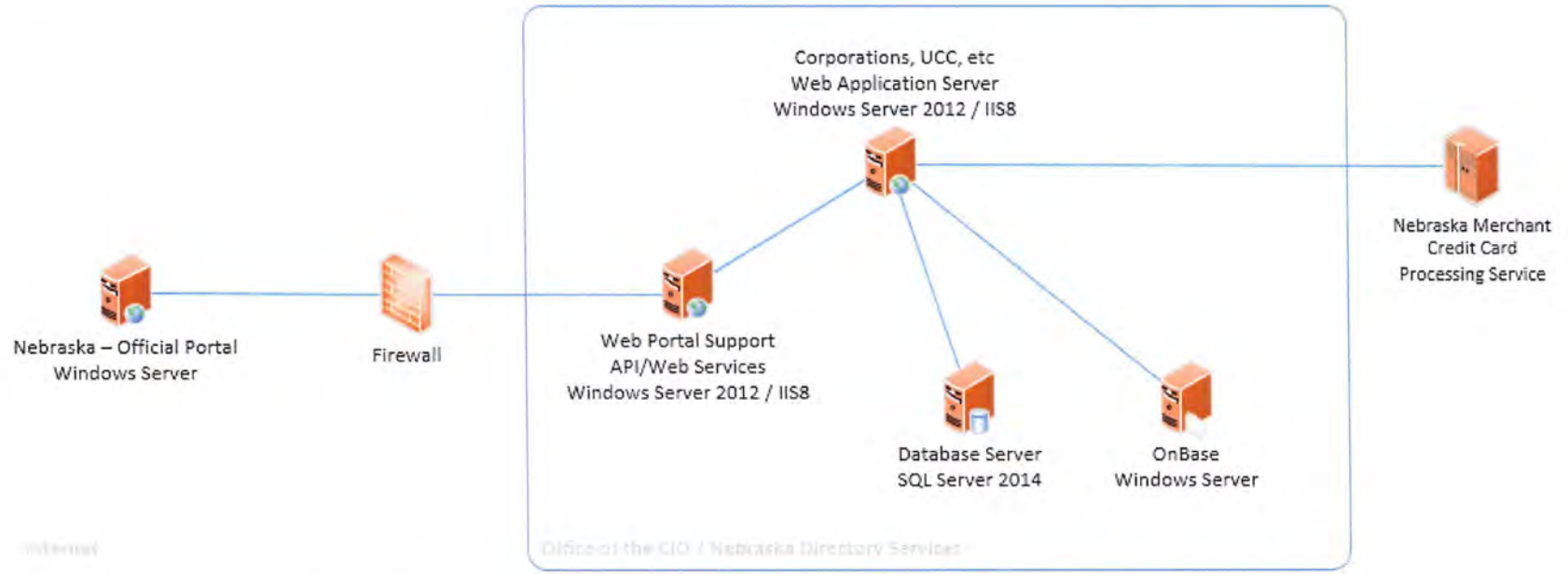


Figure 2. System/technical architecture.

Environments

PCC recomends the following environments for the development, testing and hosting of the BSFS.

Environment	Description
Development and Data Migration	This is the environment where PCC will code the BSFS.
Test	This is the environment where PCC will deploy code and database objects to be tested by PCC.
UAT	This is the environment where PCC will deploy code and database objects to be tested by the State.
Training	This environment is a replica of production for the purpose of training users on existing functionality, or functionality that will be released to production (hosted by PCC during development and by the State at go-Live).
Production	This is the environment where the system is made available to the end users (hosted by the State).

Disaster Recovery	This is the environment to which production will be replicated and used to guarantee availability in the event of a disaster.

Hardware

This section lists the recommended hardware infrastrature that will be required to host the system.

Development

#	Server Type	Configuration Details	Quantity
1	Application Server	• 4 Core , 8 GB RAM Virtual Machine • Windows 2012 / IIS	1
2	Database Server	• 4 Core, 16GB RAM Virtual Machine • Windows 2012 Data Center • SQL 2014 Standard Edition	1

Test

#	Server Type	Configuration Details	Quantity
1	Application Server	• 4 Core , 32 GB RAM Virtual Machine • Windows 2012 / IIS	1
2	Database Server	• 4 Core, 32 GB RAM Virtual Machine • Windows 2012 Data Center • SQL 2014 Standard Edition	1

UAT

#	Server Type	Configuration Details	Quantity
1	API - Application Server	• 8 Core , 32GB RAM Virtual Machine • Windows 2012 / IIS	1
2	BSFA - Web Server	• 8 Core , 32GB RAM Virtual Machine • Windows 2012 / IIS	1
3	Database Server	• 16 Core, 64GB RAM Virtual Machine • Windows 2012 Data Center • SQL 2014 Standard Edition	1

Production

#	Server Type	Configuration Details	Quantity
1	API - Application Server	• 8 Core , 32GB RAM Virtual Machine	1

		• Windows 2012 / IIS	
2	BSFS - Web Server	• 8 Core , 32GB RAM Virtual Machine • Windows 2012 / IIS	1
3	Database Server	• 16 Core, 64GB RAM Virtual Machine • Windows 2012 Data Center • SQL 2014 Standard Edition	1
4	Storage	• OnBase	0

Disaster Recovery

While this proposal makes recommendations for DR procedures and DR infrastructure, PCC will adhere to any existing DR procedures that are required by the State.

#	Server Type	Configuration Details	Quantity
1	API - Application Server	• 8 Core , 32GB RAM Virtual Machine • Windows 2012 / IIS	1
2	BSFS - Web Server	• 8 Core , 32GB RAM Virtual Machine • Windows 2012 / IIS	1
3	Database Server	• 16 Core, 64GB RAM Virtual Machine • Windows 2012 Data Center • SQL 2014 Standard Edition	1
4	Storage	• OnBase	0

The proposed backup model will allow for full system recovery in the event of a hardware failure and is the foundation for the Disaster Recovery Plan (DRP). PCC has successfully implemented disaster recovery plans for several clients.

We define the backup and restoration plan for the following:

- Backup and restoration of virtual machine images
- Backup and restoration of database
- Backup and restoration of images

Backup and restoration of virtual machine images:

The proposed model is to backup virtual machine images from production and training environments using State-provided backup software. The backup images will be stored in the State's backup site for restoration. A detailed step-by-step document will be provided to restore the virtual machine image from the backup site. PCC will work with the SoS to test the restoration process from the virtual machine image using the provided document before go-live.

Backup and restoration of the database:
The proposed model is to backup production and training databases using SQL Server Management Studio. The backup can be scheduled within SQL Server for full back up every hour and the last three versions of the backup will be stored in the State's backup site for restoration. A detailed step-by-step document will be provided to restore the database from the backup site. PCC will work with the SoS to test the restoration process for the database using the provided document before go-live.

Backup and restoration of images:
There are different types of backups – incremental backup (taken daily) and full backup (taken weekly, monthly, quarterly, and yearly). The retention period is defined according to the type of backup.

Backup and restoration of database for events other than disaster:
A full database backup consisting of both relational structure and data will be taken from the production environment every hour. Each backup is stored in the State-specified backup location. At any given point in time, the last three backups that have been taken will be available in the backup location. Detailed step-by-step documentation will be provided to the SoS with instructions on how to restore a database backup. In the event that a restoration is required for a reason other than disaster, the procedure will consist of the following:

1. Upon notification by the SoS, PCC will immediately place the database restoration request as a Priority 1 issue.
2. PCC will work with the SoS to identify the reason for the database restoration request.
3. Dependent upon the specific circumstances, PCC will make a solution recommendation to the SoS: either a full restoration or a partial restoration.
    a. If the SoS decides a full restoration is required, PCC will instruct the SoS to restore the most recent database backup. The data would be, at the most, one hour old.
    b. If the SoS decides a partial restoration is required, ad-hoc SQL scripts will be needed to restore only the requested data into the production environment. A partial restoration may be required in circumstances where an authorized database user has inadvertently made an update, insert, or delete error. Delta reports will be generated prior to and following the partial restore to confirm that the data was restored successfully.

Software, tools and operatiing systems

#	Software/Tool	Description
1.	Visual Studio 2015 Enterprise	Primary development tool used to build the solution.
2.	Microsoft .NET Framework 4.6.1	Microsoft's software development framework.
3.	ASP.NET MVC	.NET Framework libraries used to build web applications.
4.	C#.NET	Coding Language
5.	SQL Server 2014	Database Management System
6.	IIS8	Web Server
7.	Windows Server 2012	Operating System

8.	JavaScript	UI Scripting Framework
9.	Bootstrap	UI Styling Framework
10.	Angular JS	UI Scripting Framework
11.	Active Reports	Reporting Tool
12.	Entity Framework	ORM Tool
13.	Microsoft Office	Document Generation/Integration
14.	Microsoft Team Foundation Server 2013	Work Item Tracking and Source Control
15.	ABC PDF	PDF Generation Tool
16.	PCC Browser based scanning utility	This scanning utility is integrated with the system and is used to scan hardcopies of documents into the system.

Supported browsers

#	Software/Tool
1.	IE 9+
2.	Chrome
3.	Firefox
4.	Safari

Nebraska Directory Services:

The solution currently supports integrating with Active Directory for the following functions:

- To authenticate users, including multifactor authentication
- To determine users roles and permissions

The system will integrate with Nebraska Directory Services to authenticate users in much the same way as it does with Active Directory. Futhermore, it will use the underlying Active Directory Services of NDS to allow for multi-factor authentication.

RTM #	System Architecture, Licensing, and Ownership	Yes	Customization Required	No	Alternate
SAL-3	Bidder should acknowledge ability and willingness to provide the State with perpetual license for development, test, QA, training, and production environments.	X			
Bidder Response: PCC will provide the State with perpetual license of the solution for development, test, QA, training, and production environments.					
SAL-4	Bidder should indicate understanding and acceptance of the requirement that the State will retain ownership of all entered, calculated, and derived data.	X			
Bidder Response:					

PCC understands and accepts the requirement that the State will retain ownership of all entered, calculated, and derived data.

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
PR-1	Bidder should describe how their system meets the following requirements: A. Uses modern technology software that is easily supported and configured, uses responsive design, and meets business requirements of Corp, UCC and EFS functions B. Integrates filing processes, accounting functions, and deposit preparation features C. Provides APIs to Nebraska.gov, document imaging, State accounting, and credit card processing contractor D. Is accessible to users running browsers such as Microsoft Internet Explorer, Safari, Firefox, and Chrome. Please explain which version of browsers your system is compatible with. E. Offers enhancements/configurability to accommodate changes in statutory requirements, rules and regulations, and policy (e.g., add new business entity types, create or modify forms, and update filing fees)	X			

Bidder Response:

Detailed System Description:

The software will be implemented using the following logical layers:

- **Presentation Layer**

  This layer will contain all the UI elements that will be used to request data from the user. While the diagram groups the different functional elements of the presentation layer, some of these functionality elements, such as the Corporations implementation will be designed to run on a different server than the Corporations functional API web services elements. These systems will be developed using modern day technologies such as: JavaScript, ASP.NET MVC, HTML5, CSS and other industry standard technologies.

  The PCC solution is compatible with all modern browsers. The following is a list of those browsers.

  - IE 9+
  - Chrome 32-39
  - Firefox 27-34
  - Safari 7+

- **Web Services Integration Layer**

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

PCC builds all of its solutions with integration in mind; the proposed system is no exception. Ease of integration is a core tenant of our SOA framework. The system will be designed using the API first architectural pattern which calls for all business rules and logic to be exposed through a service layer. In this case, the service layer will be built using flexible and industry standard REST API web services. REST web services will be used in favor of SOAP services so that we can support integration by different types of clients including mobile devices.

- The primary goal of the API first approach is to provide a single place where all client applications including Corporations, UCC and Trademarks go to retrieve and update data. We have found that this architectural pattern has increased reusability and reduced the cost of solutions development for our customers.
- The API approach allow allows for external systems to integrate with the BSFS. This is how the Nebraska One-Stop Portal will integrate with the BSFS perform filing functions, accounting functions, and deposit preparation features. Furthermore, the API will expose document imaging, state accounting, and credit card processing contractor functionality to systems that integrate with the BSFS.
- It is at this layer that the system will integrate with Nebraska Directory Services, the Nebraska Merchant Credit Card Processing Service and OnBase.

- **Data Layer**

  This is the layer where all data is persisted. This includes data that is collected by the suite of applications, images that are uploaded as a part of the filing process and documents that are collected, generated and archived.

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

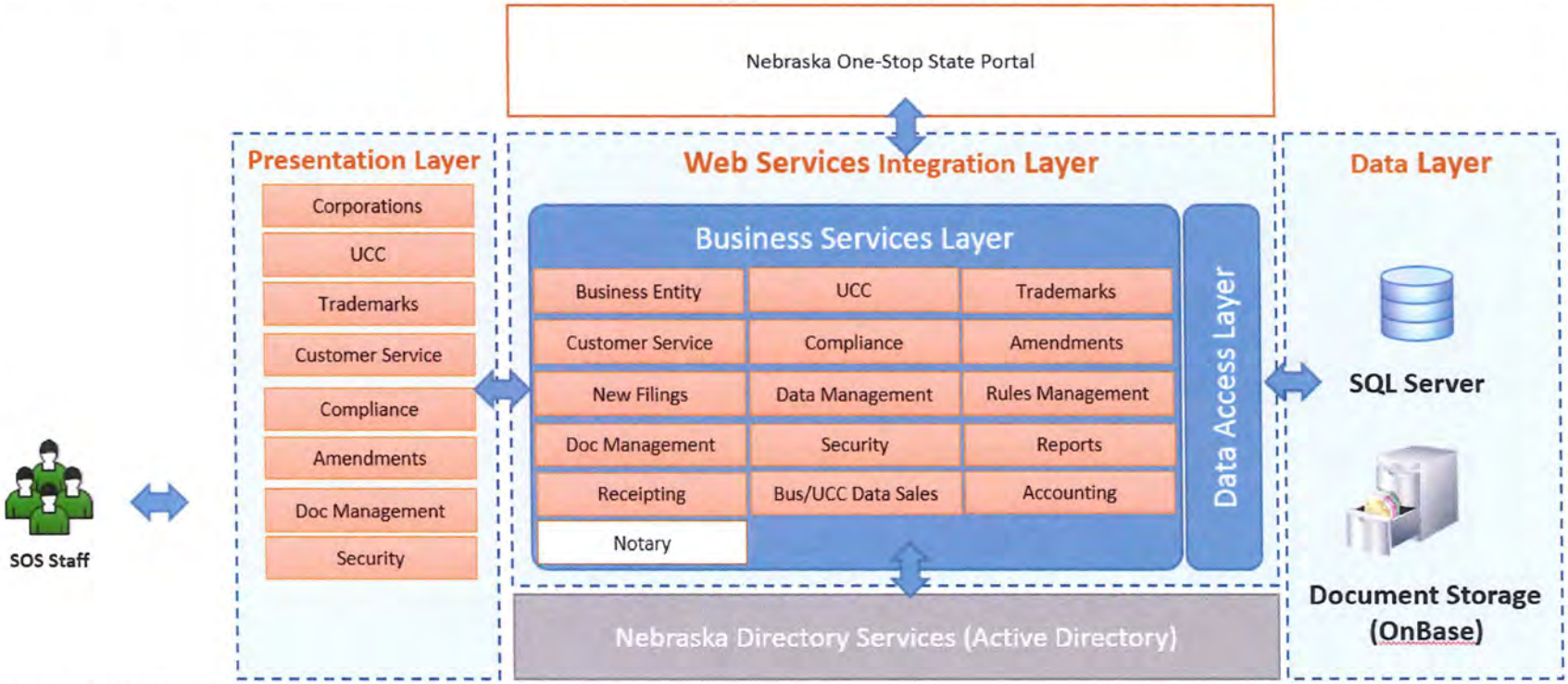


Figure 3. System Architecture.

Security

The solution will use a combination of role based application security, application and database level constraints, data encryption, infrastructure security and SSL to ensure data accuracy and integrity.

PCC has extensive data security experience across federal, state and local government agencies. Our team is trained and continually confirmed in security procedures for systems we support for several major clients, including customers in the federal aviation and nuclear power space where security standards are more stringent. Our systems and hosting environments are subject to annual intrusion tests ensure that the data and applications we host are secure.

The security architecture for the proposed solution will validate each user as an authorized user of an application or infrastructure

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

component. For instance, in order to authenticate users, the PCC security design will utilize a single point that determines if a user has a specific permission. This approach organizes permissions in a single place within the architecture and makes maintenance of permission logic easier and more robust. Application roles can be used to restrict access to entire application screens or to a specific area of functionality depending on the user type.

Users will be authenticated against the SoS Authentication Authority (Active Directory) and the system will not require a separate login and password. Users will be added to the system using the Active Directory user name. The system also supports internal forms-based authentication or integration with Azure AD for external users and customers and provides role-based security that allows for multiple views and operations of the application based upon user authorization. PCC will configure the proposed solution to the SoS requirements, and the system administrators will maintain it.

PCC uses state-of-the-art encryption methodologies to protect sensitive data where applicable, and our certified Microsoft engineers will use IT security best practices to design SQL procedures that shield against hackers using SQL injection. The proposed solution employs a combination of database level encryption to protect data while at rest as well as transport level encryption to protect data while it in transit.

Dashboards
The Corporations solution will come with configurable dashboard and reporting capabilities. PCC will work with the SoS so that we can build dashboards with the right data displayed for the SoS' needs. We will work with the SoS to configure these dashboards during implementation of the solution. As displayed in our dashboard example in Figure 4, we provide historical and statistical information and system errors, customer issues, and filing errors.

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

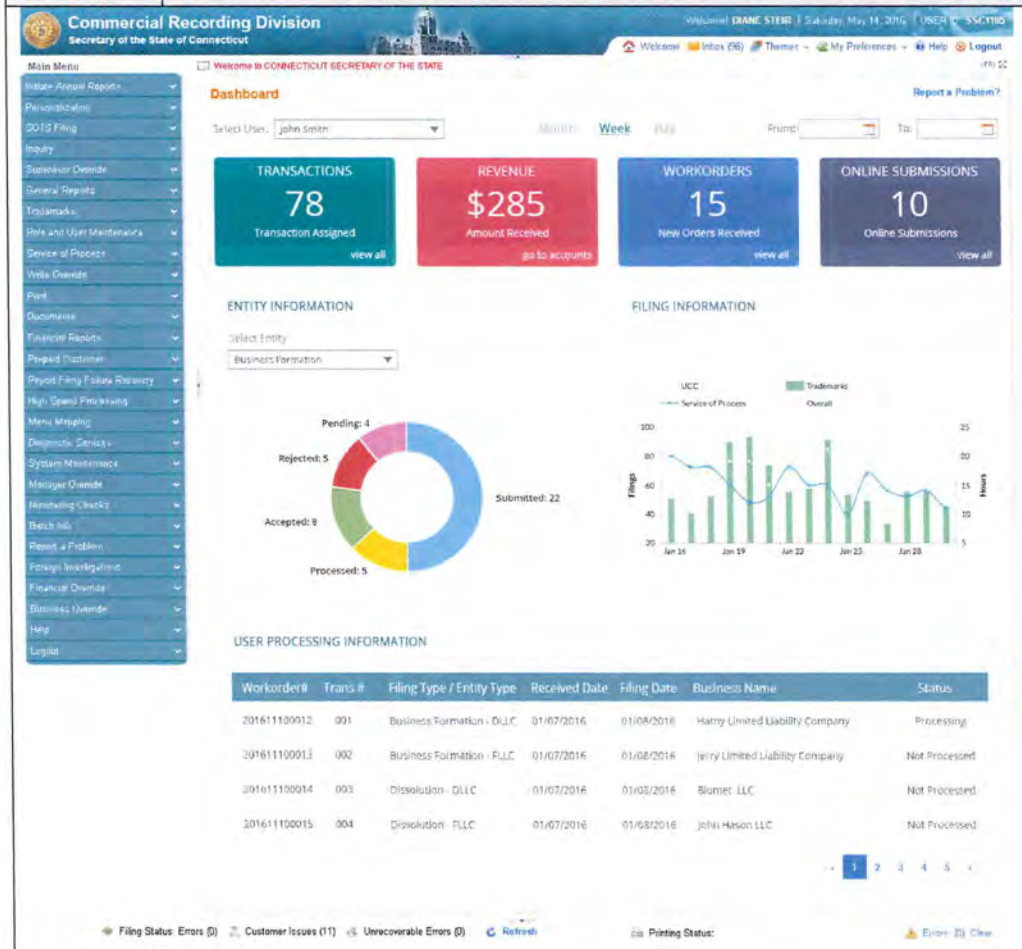


Figure 4. Dashboard Example. ***Our dashboards provide historical and statistical information as well as system errors, customer issues, and filing errors at the bottom of the page. From that information, we can ascertain bottlenecks and issues within the solution.***

System Configurability

The solution can be easily configured and customized to accommodate changes in statutory requirements, rules and regulations,

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
and policy.					
PR-2	Bidder should describe the extent of the system's configurability.	X			

Bidder Response:
The solution utilizes an electronic, configurable work queue component where the workload can be divided, automatically assigned, and routed based on the document type, security role, business rule, or volume of work. Furthermore, the system comes equipped with a configurable and dynamic ad-hoc query engine.

PCC's proposed solution includes a fully configurable fee schedule based on date range, filing type, entity type, document type, processing priority, payment type, and other business rules. System administrators have access to maintain all fee structures as future needs arise, with a full history maintained to ensure integrity and auditability of all historical transactions. As work orders are created, the solution automatically calculates and itemizes the transaction fees based on the document types included in the submission. The system validates that the total transaction fees calculated matches the amount of the payment(s) included with the submission. Depending upon State-specific business rules, any payment amount variation versus the calculated transaction fees can result in a rejected filing, a "pending" status, or an invoice generated for the customer.

The system allows system administrators to create templates that are configurable for style, format, and bookmarked database fields using rich text editor and drag and drop functions. The templates will include those necessary documents to accompany certified documents and correspondence that are required by the State. Document and correspondence generation is available as event-driven (at the time of filing) or scheduled jobs, or manually created by administrators selecting a template and recipient criteria. Once generated, documents are automatically indexed against the appropriate record(s) and stored in OnBase. Upon a copy request, users can select from existing documents to distribute by email or mail. Automatic printing jobs can also be set up to produce the copies from the day's processed orders in batch on a specified printer.

The system provides a completely configurable environment for the setup of registration processes, annual filings, certificates, mergers, dissolutions, and all outputs such as forms, reports, correspondence, and information orders.

TECHNICAL REQUIREMENTS

State of Nebraska standards require that all state government web applications that require authentication and authorization of users will use Nebraska Directory Services (NDS) to access web-based applications. NDS is based upon Microsoft Active Directory and can be accessed via native Active Directory methods or Secure LDAP (LDAPS). Multi-factor authentication is available.

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
GF-1	Describe how your system will integrate NDS authentication into the requirement to provide unique user identification for access and tracking user activity in your application. Include a description of options for	X			

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
	supporting single authentication and multi-factor authentication processes supported by your system.				

Bidder Response:

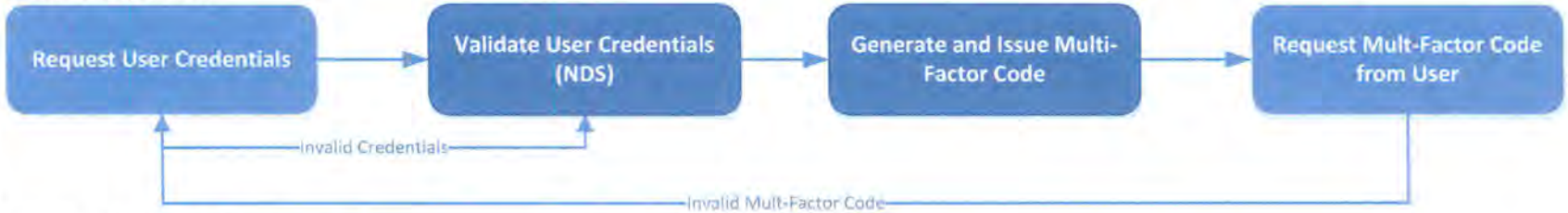


Figure 5. NDS Authentication.

Users will be authenticated against the NDS (Active Directory) allowing users to login using their Active Directory credentials thereby supporting single authentication. Furthermore, the system will use an additional field in Active Directory to support multifactor authentication while authenticating users.

GF-2	System Uptime A. The proposed system must be fully functional with all components operating 99 percent of the time annually. Faults in availability attributed outside contractor's control will not be included in this calculation. B. During critical time periods, downtime should be avoided. Application Response Time A. Application response times during submission of user entered data, retrieval of images, and during data exchange to and from the portal should be sub second. During unprecedented high traffic volumes or system failures causing slow response time, the user must be informed through system notifications. Describe how you will monitor performance and problem resolution to meet the system uptime and application response time.	X			

Bidder Response:

Performance Requirements

The following performance requirements will be achieved with the proposed solution in the production environment. The response times listed in Table 1 are based on operation type. All known operations within the application should fall into one of the predefined

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

types. If there are any unknown types, we will add them to this matrix during the requirements and design phase.

Table 1. **Performance Requirements.**

Operation Type	Response Time
Application Login	< 2 sec
Basic Business Search	< 5 sec
Advanced Business Search	< 15 sec
Submit filing	< 5 sec
View image/document	Based on size
Third party integration request	< 5 sec
Financial Reports	< 20 sec
Statistical Reports	< 1 min
Bulk Filing Submission Request	< 10 sec

Availability Requirements

The application will be "operational" 99.999 percent of the day, 24 hours per day/7 days per week. Operational is defined as "the client is able to use the application it its normal course of business." Acts of nature, server failures, hardware failures, and any other unforeseen failure that is out of PCC's control will not be accounted for as application downtime. Application outages will be schedule and agreed upon by the client, these will also not be counted as application downtime.

Application failures will be classified using the following chart and dictate the required response by PCC support staff.

Failure Type	Failure Description	Response Time	Resolution Time
Minor	Affects only a single user or single (non-critical) business function	< 2 hours	< 96 hours
Major	Affects multiple users or brings down a critical business function	< 2 hours	< 48 hours
Catastrophic	Application is down, users cannot log in or view site	< 2 hours	< 4 hours

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
GF-3	The bidder should mark this section **proprietary and confidential** when responding to the RFP to preserve the integrity and security of the State's portal. Describe how your system will comply with NITC state standards, as applicable, for data security through the use of passwords, specialized software, or other appropriate means.	X			

Bidder Response:
PCC has reviewed the NITC security standards and guidelines. The solution currently meets all the provisions that are required by those standards. These include:

- Protection of user credentials using encryption
- Encryption of data in transit and at rest using HTTPS/TLS 1.2 and database encryption
- Obfuscation of data
- User authentication against Active Directory
- System roles to restricting access to data to only authorized users
- Auditing of users actions
- Protection of PII and PCI data

GF-4	The bidder should mark this section **proprietary and confidential** when responding to the RFP to preserve the integrity and security of the State's portal. Describe your system's access controls, application security, and cryptography for PII/PPI information security.	X			

Bidder Response:
Users will be authenticated against the NDS (Active Directory) allowing users to login using their Active Directory credentials thereby supporting single authentication. Users will be added to the system using the Active Directory user name. The system shall provide role-based security that allows for multiple views and operations of the application based upon user authorization. PCC will configure the proposed solution to the SoS requirements, and the system administrators will maintain it.

The proposed solution supports role-based authorization maintained by the system administrator. All screens, menus, tabs, sections, fields, buttons, links, reports, document types, etc. that are subject to role permissions are pre-configured to the State's needs. The system administrator assigns view, read and write permissions for each task as required for each user role type. Tasks that can be performed by a user are determined by that user's assigned role. PCC will work with the State to configure the existing role based system to include requirements that are specific to the BSFS replacement implementation.

The proposed solution has complete audit trail functionality that tracks each transaction (insert, update, delete, and view) made to a record with a time/date stamp and a user ID stamp. All transactions are recorded as a journal entry in the form of XML before they

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

are populated into the actual tables. Each audit trail entry includes information, such as type of change, change reason, date, time, and user information. The proposed solution also tracks the access attempt information, such as IP address, user information, and time stamp of login attempts, successful logins and logouts. We provide four levels of transaction logging: HTTP server, application server, database, and application. Our auditing strategies have been tested against our systems during peak times and the impact on performance is negligible.

The system requires authentication for externally facing web services. These services will require that consuming systems be authenticated before being allowed to use the web services. These systems must provide a valid user name and password combination. Once the systems identity is verified, a token will be returned. This token must be passed to each subsequent web service call.

Access to the proposed solution is shielded via multiple layers of security, with every layer applying a distinct technology, resulting in a system that is safeguarded at all times. The layers listed below are handled in the infrastructure level and application level security:

1. Firewall
2. Intrusion detection
3. Content scanning and virus protection
4. Internal network
5. Web browser and message encryption using HTTPS
6. Encryption of sensitive data stored in the database

Infrastructure security is provided by the network components, such as firewalls, intrusion detection software, Virtual Private Network (optional, not required) connections and secure authentication for client connections. A suitable network topology will be provided to handle high volume transactions. Appropriate policies, procedures for security management and virus protection will be supported by the platform. The goal of security management is to control access to network resources based on local guidelines to avoid network sabotage (intentionally or unintentionally) and those without appropriate authorization should be denied access to sensitive information. A security management subsystem, for example, would monitor users logging to a network, refusal of access to those who enter inappropriate access codes.

The communication to the proposed solution will be achieved by SSL digital certificates with 256-bit encryption between the browser client and the web server. An application login screen shall be provided for the user to enter their user ID and password along with additional multi factor authentication data to gain access to the system. That data shall be checked before a user is allowed access to application data. PCC recommends that all traffic between these servers be encrypted using Secured Socket Layer (SSL) https access in order to prevent hacking or any other type of malicious activities. The system employs various types of encryption either

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
at the transport level or at the database level (data at rest) to safeguard unauthorized access to PII data. PCC encrypts data in transit and at rest. A combination of infrastructure (SSL) and field level encryption is used to protect data. PCC will work with the SoS to determine which fields to encrypt. Generally, all PII and PCI data are encrypted. We have found that our approach to data encryption has never failed. PCC normally obfuscates data that is migrated from any production database environment to a test environment. This removes the likelihood that testers will have access to personally identifiable information (PII). We will work with the SoS to identify the existing database fields that are used to store PII data. PCC will then run the obfuscation routines against these fields in the database. The application uses a discrete user ID and password to login to the SQL Server database. This user ID and password is configured and stored in the application server. All accesses to the SQL Server database from the application uses the same authentication and share a pool of connections, which remain logged in at all times the application is running. A user session management component in the web server shall be used to manage the State information between user browser requests. This component is configured to use session variables to identify the user's session. Upon login, a session variable (non-persistent) shall be sent to the client browser and stored to pass with each subsequent request. On the application server, the session shall be associated with the user and their authorization level in the application. All application code shall verify the existence of a session and the security level prior to providing access to the application data. Sessions shall be configured to timeout after periods of inactivity as agreed upon, requiring the user to login again. Since cookies are not persistent on the browser, the user shall need to login after each time the browser is closed and reopened. For product security testing, we will develop a matrix of stakeholder user groups and the requirements for accessible data elements for those groups in the pending deployment. The role-based security requirements will be tested to ensure that only authenticated users have access to authorized information. The PCC team will also perform penetration testing using injection scripts to ensure that there are no security loopholes. In addition, we will identify and address common security issues, such as SQL injection, session hijacking, and so on, during earlier stages of the project. As part of a white box security assessment, the technical lead will conduct security auditing and code reviews to ensure that security standards are incorporated in the application. Additionally, PCC will perform the black box security assessment in the testing environment to help detect security issues that arise as a result of change in the underlying environment. All security assessment results will be submitted for SoS review. Furthermore, the system does not have any back doors or other code that would cause or allow unauthorized access or manipulation of code or data. PCC guarantees that no code, scripts or other software components will be present in the solution which could circumvent security.					
GF-5	**Maintenance** The contractor will have responsibility for maintaining functionality of the BSFS.	X			

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
	The contractor must have a plan for updating, enhancing, and modifying the system in response to technological advances and the need for additional features to improve efficiency and ability to meet the public's and SoS's requirements. The contractor must resolve any performance issue. Normal and preventative maintenance shall be performed at a time that shall not adversely impact daily operations, with prior notification to SoS of the downtime. During critical time periods application problems and individual user downtime must be minimized, and critical problems that have no workaround must be resolved within an agreed time period with the SoS office. The contractor shall provide a list of all enhancements and changes to be made to the BSFS in a maintenance release prior to the release. The SoS office must approve of any work-around or fix. The contractor shall monitor availability of upgrades offered by their hardware and software vendors and make timely installation of such changes when technically appropriate, at no additional cost to SoS. When changes or additions are made to the database, contractor will provide updated field mapping and relationship documentation. Changes due to inevitable Federal legislation or State legislation beyond what is described in the RFP will be treated as enhancements. Explain in detail how you will comply with maintenance requirements to include: A. normal and preventative maintenance that will be performed at times that avoid adversely impacting daily operations B. upgrades and enhancements for your software C. upgrades for peripheral hardware (e.g., scanners, label printers)				
Bidder Response:					

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
PCC work with the State to maintain the new BSFS in accordance with the requirements.					
RTM #	**General Features, Maintenance, and Support**	**Yes**	**Customization Required**	**No**	**Alternate**
GF-6	Describe your provisions for HelpDesk support and for logging, tracking, and documenting problems and resolutions.	X			
Bidder Response: PCC offers support Monday through Friday during the normal business hours of 8 am to 5 pm CST. The SoS may contact the help desk by using the web form in our Test Administration System (TAS) or by email, phone, or fax. The help desk uses TAS to track all technical support requests, problems, issues, and fixes. The SoS users log on the solution and input the request, issue, or problem. Users can also upload attachments, such as files or screenshots. Each inputted item is assigned a resolution and a status and is then routed to the correct person for resolution. The assigned person corrects the problem and updates TAS. In addition, TAS has a Web-based interface that allows authorized users, such as SoS project team members or PCC team members, to add, edit, or view information based on their roles.					

RTM #	Common System Processes/Features	Yes	Customization Required	No	Alternate
CS-1	General Features A. When Secretary of State staff receives a filing request, they determine the type of action needed, chose that option from a dropdown list, and proceed to enter the appropriate information based on that action. (See Appendix A - Entity Types - Actions Matrix for Corp Filings & Appendix G - Actions Matrix for UCC & EFS Filings). B. All fields are editable with a very few exceptions (e.g., system-generated account number) as noted in the Data Field appendices (Appendix B – Corp Data Fields & Appendix H - UCC & EFS Data Fields). C. Current filing date, time, and unique job number are generated when the filing is entered by staff. For Corp filings, EFS, Tax filings, and Judgments, the effective date and time are initially set to equal the filing date and time, and can be changed by staff; UCC filing date is generated when filing is entered by staff and effective default time is 5:00 p.m. but can be changed by staff to actual filing committal time as needed. D. Creates a unique job number which is made up of C, U, or E to indicate Corp or UCC/EFS application, last two digits of the year, two digit month, two digit day, and then a dash followed by four digits designating which job it was that day (e.g., job number C151013-0061 refers to the 61st job done in the Corp module on October 13, 2015). The bidder should describe and provide screen shots showing how their system is able to provide the features/functions listed above, emphasizing how the system will improve the current process.	X			
Bidder Response: The proposed solution has a work flow where a work order is created and it is available in the work queue. The processing staff retrieves the filing from the work queue and processes it. **Work order creation:**					

As part of a work order creation, there are four sections of information.

1. Source of the filing: The source of the filing can be mail or counter (walk-in) and the received date and time of the time.
2. Payment information: The different payment types that are allowed for the sources will be made available. The different payment types allowed in the application are
   a. Check
   b. Money order
   c. Credit card
3. Filer information: The filer could have been already created in the application. The filer can be searched or a new filer can be created.
4. Filing information: As part of the filing information the filing type, business type and business name are required. In the case of an initial filing, the business name is a data entry field. In the case of a filing after the initial filing, the business can be searched.
5. Filing document needs to be scanned to associate under the selected filing.

The filing fee is stored in the application based at a filing and entity type. Once the above selection is done, the filing fee is derived. The filing can also be expedited.

A unique job number is created. We can configure the job number to the pattern that is needed.



Figure 6. Work order creation. Source and received date.

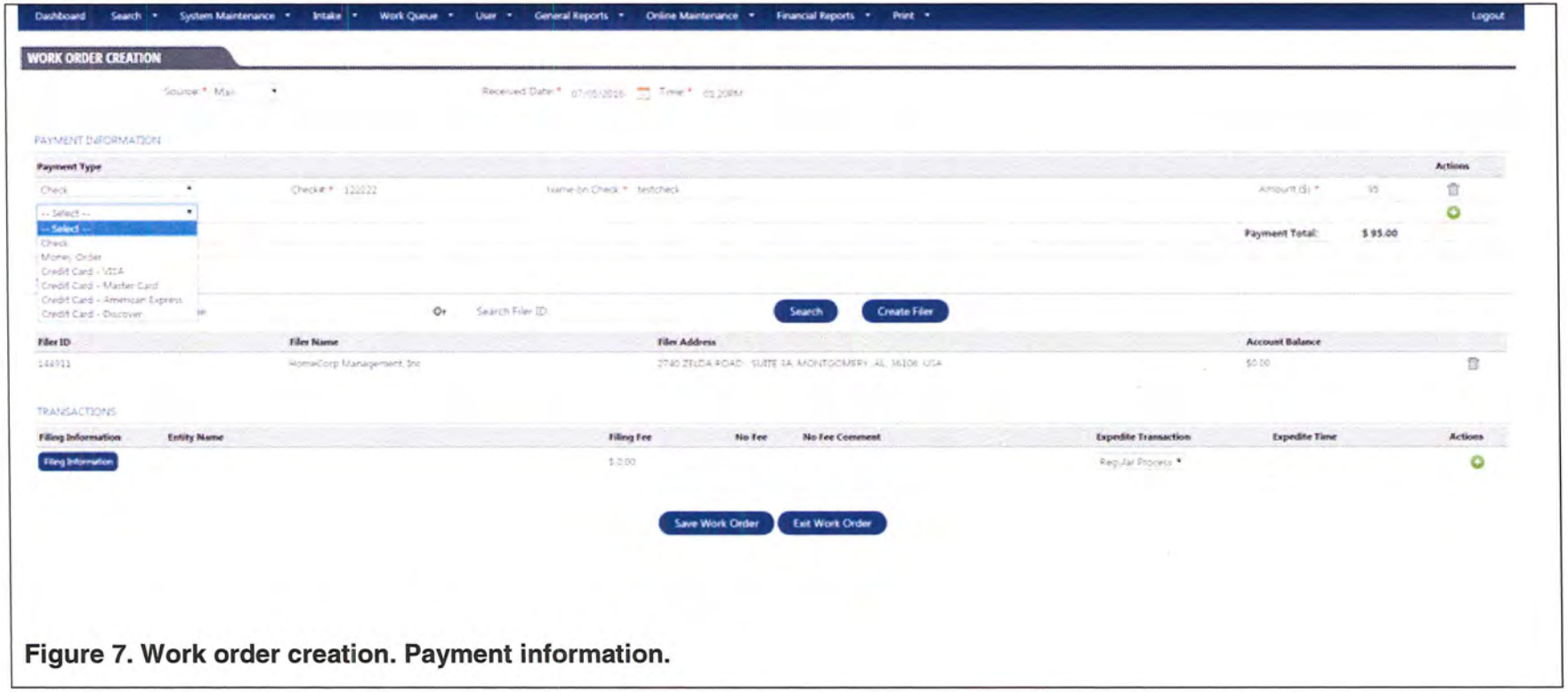


Figure 7. Work order creation. Payment information.

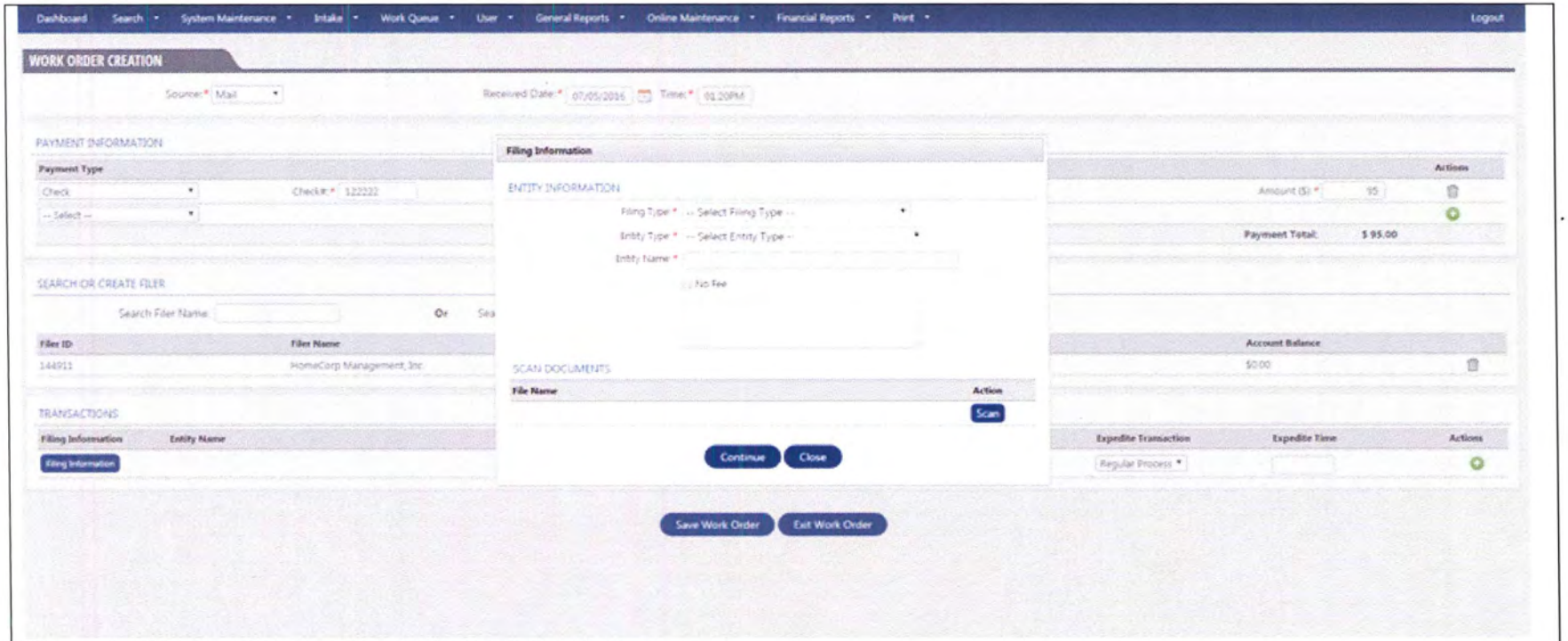


Figure 8. Work order creation. Filing information.

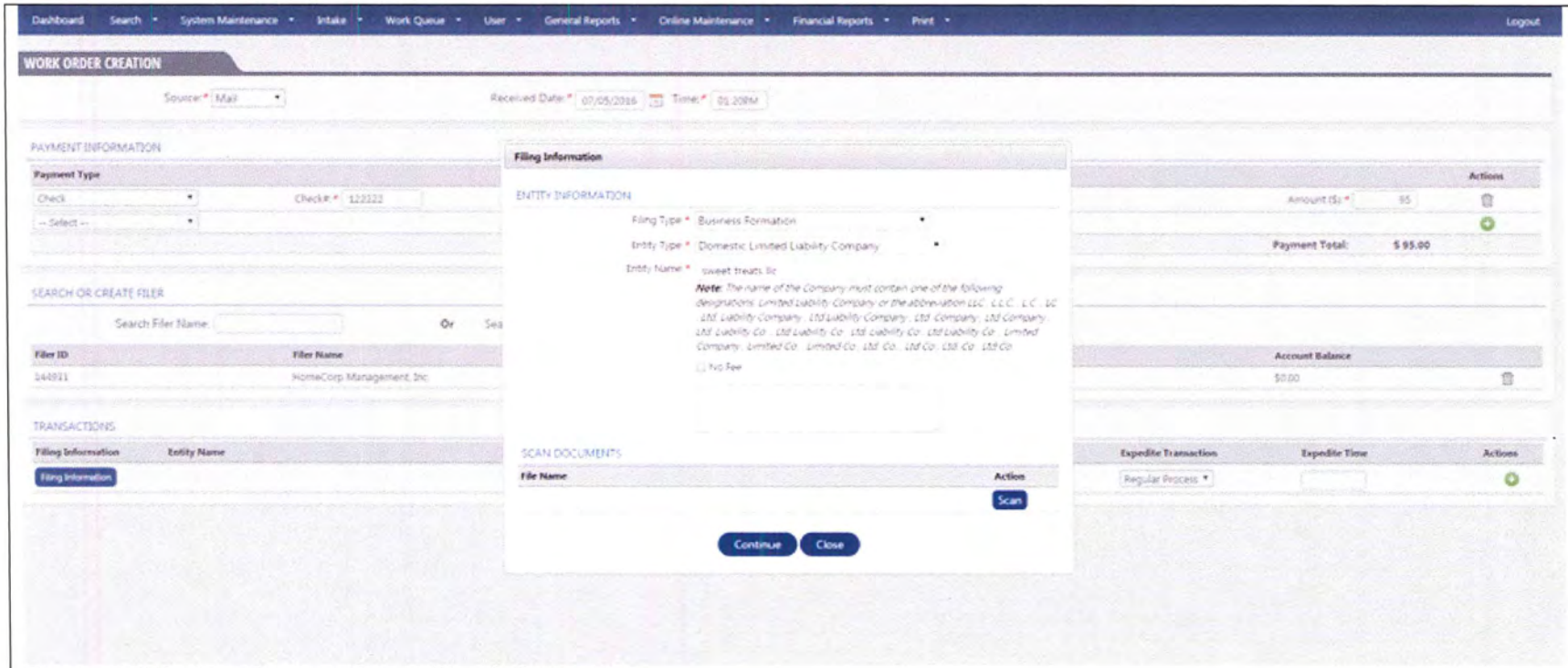


Figure 9. Work order creation. Filing information.

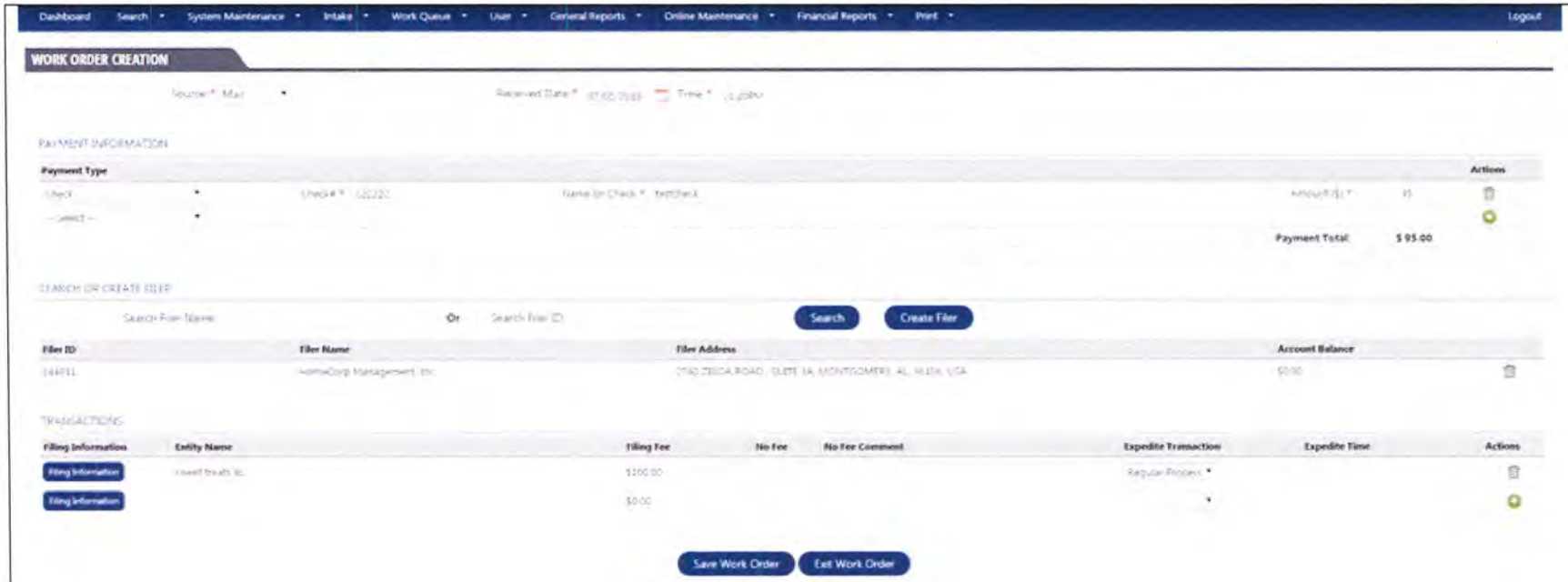


Figure 10. Work order creation.

Work queue:
Work queues can be configured based on role. Queues can be defined either at a filing type or entity type. Filings are moved to the queue once the job is created either in-house or online.

Based on the received date and time, the filings are queued based on first in, first out. Once a filing is picked, it is locked by the staff processing the filing. The filing can be unlocked by the same user or an admin user. When the staff picks the filing for processing, the effective date of the filing is set to the date that was selected when the job is created. The effective date can be changed at the time of processing.

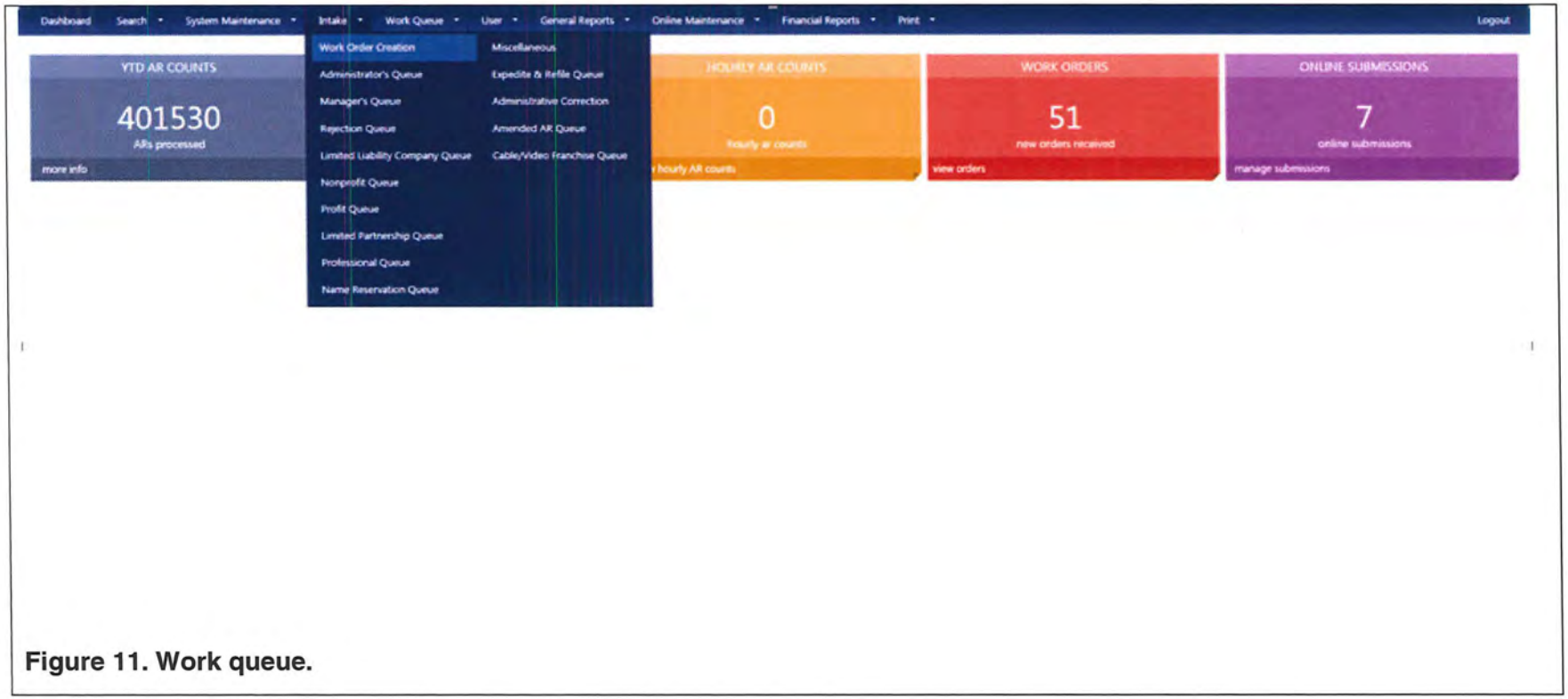


Figure 11. Work queue.

Technical Corp Processes/Features

The Corporations system must record, store, and retrieve information and documents related to business entity registrations and other filings. The system must also create notifications, calculate and split fees, track and report information.

Entity Types				Other Filing Options
Domestic 1. Corp a. Bank b. Insurance Company c. Nebraska Benefit Corp 2. Corp PC 3. GP 4. LCA 5. LLC 6. Professional LLC 7. LP 8. LLP 9. Domesticated Foreign Corp 10. Domesticated Foreign Corp PC	Foreign 1. Corp 2. Corp PC 3. GP 4. LCA 5. LLC 6. Professional LLC 7. LP 8. LLP	Non Profit 1. Dom Corp 2. Dom LCA 3. Foreign Corp 4. Domesticated Foreign Corp 5. Foreign LCA 6. Non Stock Corp 7. Non Taxable Corp	Other Entity Types 1. Agricultural Association 2. Fraternal Society 3. Hospital Authority 4. Joint Public Agency 5. Sanitary & Improvement District	1. Registered Agent Designation 2. Trade Name 3. Service Mark 4. Trade Mark 5. Reserved Name 6. Registered Name *Entity types and other filing options (if any) as added by legislation prior to contract date will also be included.

The filing categories of Formation Documents (filed in order to form a corporate entity or establish an agent, a name, or a mark); Amendments & Corrections (filed for entities and other filing options to amend documents that have previously been filed with the Secretary of State); Renewals (filed for Other Filing Options to continue their existence and update information); Mergers & Conversions (filings that change the status and/or type of entities); Dissolutions & Revocations (filings that dissolve corporate entities); Reinstatements (filings that reestablish corporate entities that were administratively dissolved); and Annual & Biennial filings handled individually (see Appendix A - Entity Types - Actions Matrix for Corp Filings) will follow this general workflow.

Current Workflow – This Workflow provides an overview of the daily processing of Corp filings and applies to RTM Corp-1 through RTM Corp-12 below.

The system assigns a unique batch number to each staff member at the beginning of the day. Jobs containing filer/client

information and filing fees collected are recorded in the batch by system assigned job numbers.

A. For filings received by mail or in the office:
   1. Endorse check and receive monies for the filings.
   2. If name availability check required (i.e., for Formation, New Name, and Reinstatements after 1 year filings),
      a. Complete initial Name Availability Check (by staff member)
      b. Name check approval by supervisor (aka Red Pen)
   3. Identify Entity Type or Other Filing Option
   4. Manually review (by staff) the document for statutory requirements, then continue with a, b, or c:
      a. If necessary, route for supervisory review and determine next step
      b. Accept and file
         i. Staff enters required information for entity and filing type. (Refer to Appendix A - Entity Types - Actions Matrix for Corp Filings and Appendix B – Corp Data Fields). Standard relationship editing is expected on all data fields. These relationship edits will be validated with the State after bid award. i.e. address, city, state, zip
         ii. For Formation and Name Change filings, a Modified Name is system generated, and Duplicate Name check is system generated, using Soundex and Wildcard minus the last word in the name
         iii. Perform If-Then rules (Appendix B – Corp Data Fields)
         iv. Option provided to create and issue certificates for documents being filed using designated templates. (Refer to Appendix D – Certificates, Forms, and Templates. Start with OPEN ME FIRST document for explanation of folder contents and usage.)
         v. System assigns fees in the job window (staff must be able to edit fees). Fund and object codes are system assigned at the time the fees are receipted and entered into the database, splitting fees into 2 or more funds if required. (Refer to Appendix F – Accounting Codes and Filing Fees)
         vi. Staff receipts the fees by entering the filer client information in the job window. Staff must have the option of selecting a 'use as filer' button or searching filer client table and selecting a match to populate the filer client information. Staff must have the ability to add additional service fees such as certificates, copies, pages, interest or make corrections and edit or delete any fees.
         vii. Staff commits the job which will write the data to the database, store the fee information, automatically generate, save, and print an acknowledgment letter, with an option to not print the acknowledgement letter. (See RTM CB-3)
         viii. File Stamp filing (see RTM CB-2)
         ix. Send for scanning
         x. Return file stamped copy of the document, with the acknowledgement letter to filer.

c. Decline and reject
    i. Create, and save, letter using Word templates within the system to provide reason(s) for Rejection
    ii. Return document with letter and fees

B. For filings received via Document eDelivery – List of filings currently available through Document eDelivery.
1. The Document eDelivery system will initiate a search of the Registered Agent table for the Registered Agent listed in the filing. The system returns all matches to the eDelivery system for the filer to select one or create a new record.
2. If Name Availability Check is required when filing is received from Document eDelivery (i.e., for Formation, New Name, and Reinstatements after 1 year filings), staff will initiate a Name Availability Check, as in A. 2. a. & b. above.
3. Manually review (by staff), then either:
    a. Accept and file (If Approved; staff must initiate duplicate name check)
        i. If the Registered Agent was not selected from the matches in the database, a new record will be created.
        ii. Perform If-Then rules (Appendix B – Corp Data Fields)
        iii. Upload data
        iv. Upload approved document(s) which include file stamp(s) to image library
        or
    b. Decline and reject (If Not Approved)
        i. Staff enters rejection reasons into Document eDelivery system
        ii. Document eDelivery system sends email to filer with rejection information

C. For each change, discard, or deletion of a committed job, entity, action, or correspondence (e.g., filings, letters, staff or system-generated updates, automated interface updates), create an audit trail record containing a date and time stamp, staff member or system involved, and a link to the image (when appropriate).
D. Staff Balances Receipts and Reconciles each Batch at End of Day
E. The following day, batches are totaled and prepared for deposit, then sent to the accountant for PFC deposit. See RTM CB-5.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-1	Name Search. Check for name availability is searched and performed within the system to ensure that the requested name for filing is not the same or deceptively similar to other SoS filings on record per statutes and policy guidelines. (Additional specifics will be provided upon contract award.) The search for Name Availability applies to the filing category of Formation Documents and to filings for New Name and Reinstatements after 1 year. The search for existing records is used to find the original filing entity for Amendments & Corrections; Mergers & Conversions, Dissolutions & Revocations, Reinstatements and Annual & Biennial filings handled individually (see Appendix A - Entity Types - Actions Matrix for Corp Filings). For each search, create an audit trail record containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate). The following search criteria must be available in the system in order to look for existing records on file for the following categories. A. All Entity Types – 1. Name: Finds entities of all types whose ModifiedName or ForeignModifiedName match the name entered. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Insert OR 2. Acct #: Finds entities of all types that match the account number entered. 3. Document #: Finds entities of all types that match the account number entered. B. Company –	X	X		

	1. Name: Finds entities of type(s) *other than* T, S, M, RN, VN, PN whose ModifiedName or ForeignModifiedName match the name entered. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Search Previous Names Also: Search may be expanded to also include previous entity names such as those due to name changes or mergers. iv. Insert OR v. Search Cardex: Search may be conducted against cardex data instead of Domestic/Foreign entity names. Note that this is the only search type that allows searching the cardex data. 2. Acct #: Finds entities of type(s) *other than* T, S, M, RN, VN, PN whose account number match the number entered. 3. Document #: Finds all entities of type T, S, M, RN, VN, PN that match the document number entered. 4. Officer Name: Finds entities of type(s) *other than* T, S, M, RN, VN, PN by match on the Officer's last name. The name being searched may be an exact match, a wildcard match, a soundex exact match or soundex wildcard match. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Limit to Term: Search may be limited to only those officers whose term spanned a given start and end date. iv. Insert OR C. Registered Name – 1. Name: Finds all entities of type RN whose ModifiedName matches the name entered. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Insert OR				

	2. Acct #: Finds all entities of type RN that match the account number entered. 3. Document #: Finds all entities of type RN that match the document number entered. D. Reserved Name – 1. Name: Finds all entities of type VN whose ModifiedName matches the name entered. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Insert OR 2. Acct #: Finds all entities of type VN that match the account number entered. 3. Document #: Finds all entities of type VN that match the document number entered. E. Trademark, Service Mark – 1. Name: Finds all entities of type M or S whose ModifiedName matches the name entered. a. Additional Search Options i. Soundex ii. Wildcard Implied iii. Insert OR 2. Acct #: Finds all entities of type M or S that match the account number entered. 3. Document #: Finds all entities of type M or S that match the document number entered. 4. Keywords: Finds all entities of type M or S that match the keyword entered. a. Additional Search Options i. Wildcard Implied ii. Insert OR F. Trade Name – 1. Name: Finds all entities of type T or PN whose ModifiedName matches the name entered. a. Additional Search Options i. Soundex				

	ii. Wildcard Implied iii. Insert OR 2. Acct #: Finds all entities of type T or PN that matches the account number entered. 3. Document #: Finds all entities of type T or PN that match the document number entered. G. Duplicate Name Check – This search is system generated using the following: Count the number of words in the entity name being created. If there is more than one word then drop the last word. This should get rid of most ending noise words like "Inc.", 'Co", "LLC", etc. Generate a Soundex value of the entity name. The Soundex value is padded to 15 characters. Note that this is a *very* non-standard implementation of the Soundex algorithm. Display any matching entity names to user. User will determine if entity name is a duplicate or not via visual inspection of all names returned. H. Check Name Availability – 1. Name: Finds active entities of type(s) other than M and S or entities deemed inactive within the past 365 days of type(s) other than VN and RN whose modified name matches the name entered. a. Additional Search Options – i. Soundex ii. Wildcard Implied iii. Any Combination of Words: Finds all entities that contain at least one of the words entered. Entities are displayed sorted based upon the number of words found from the search criteria. Note that this option is not allowed in conjunction with the Soundex nor Wildcard Implied options. I. Global Change of Registered Agent – 1. Registered Agent Name: Finds active entities using agent name entered a. Additional Search Options				

	i. Soundex ii. Wildcard 2. Find Registered Agent a. Individual - Finds all individual Registered Agents with the specified name. b. Entity – Searches the Corp database and finds all active Corp Entities associated with the specified name. The list of entities is displayed and indicates which entities can NOT be chosen (See Appendix K – Reports and Additional Information, document "Authorized Registered Agents by Entity Type"). The user then "Chooses" an entity, a new search is performed against the RA table that finds all registered agents listings for that entity. The user then selects the agent to display. c. Other - Finds all Registered Agents with the specified name. (Note: This option searches for RAs what are flagged as neither an entity nor an individual.) J. Charge Account – 1. Soundex 2. Wildcard K. Job History Search – 1. Job # - Finds jobs that match the specified job number. a. Wildcard Implied b. Insert OR 2. Filer/Client Name – Finds jobs that match the specified Filer/Client name. a. Wildcard Implied b. Insert OR 3. Billing Acct ID – Finds jobs that match the specified Billing Acct ID. 4. Entity Acct # - Finds jobs that match the specified Entity Account Number. 5. Document # - Finds jobs that match the specified Document Number. L. Filer/Client Maintenance – This form lists every filer entered into the FilerClient table. This table holds these filers who conduct frequent				

	business with their name & address information and is maintained for quick selection and entry into the job window. 1. Name – This will locate the first occurrence of the entered name within the list. 2. AcctID – This will locate the first occurrence of the entered Acct ID within the list. Note that the current Corp application does not utilize Billing Acct Numbers, but is included and applies to the new BSFS. **Additional Search Options Descriptions** A. "Insert OR" option: Allows a Boolean "or" search. Entities containing any word or phrase separated by the "or" indicator will be returned. Note that both the Soundex and Wildcard options may be applied to this type of search. B. Soundex: Searches entities based on the Soundex value of the entity's name. This type of search will typically result in vastly more results than a non-Soundex search. C. Wildcard: Appends a wildcard character to the end of any entered search criteria. This is a "begins with" search vs. an exact match search and typically feels more natural to the user. Note that the manual use of wildcard characters (* and %) is also allowed. In most cases, the user may manually enter a wildcard character and the search will respond accordingly. **Additional Algorithm Descriptions** A. Soundex algorithm: 1. Remove all spaces from search criteria. 2. If no wildcard character was manually entered then create a standard Soundex value padded to 15 characters by adding trailing "0" as needed. 3. If user manually entered wildcard characters then: a. Split the name at each wildcard character. b. Convert the first part of the name using the standard Soundex algorithm. c. Append the wildcard character. d. Prepend a "throw-away" character (i.e. "L" or "R") to the				

	beginning of the next name part and convert using the standard Soundex algorithm. Append this value starting at the second character to the values above. e. Repeat steps 3 & 4 for each remaining wildcard character and name part. f. Pad the final value to 15 characters by adding trailing "0" as needed. B. Modified Name algorithm: Note that this algorithm is not the same as the modified name algorithm used within the UCC application, for neither UCC nor EFS. 1. Replace all colons, semicolons, commas, periods, hyphens, slashes, and ampersands with a space. 2. Remove all other punctuation i.e. characters that are neither A thru Z nor 0 thru 9. 3. Remove "THE" as a word from the beginning, middle or end of the name. 4. Remove "AND" as a word from the middle or end of the name. Leave this word if located at the beginning of the name. 5. Remove multiple spaces. The system must provide an API for the external calling of the search modules from Nebraska.gov. The bidder should describe provide screen shots showing and provide examples of how their system's name search process(es) facilitate(s) determinations regarding business and trade name availability and for retrieval of existing records, emphasizing how the proposed system will improve the current workflow process.				

Bidder Response:
The proposed application provides a search of businesses by the following options:

a. Business name
b. Unique identifier on the business
c. RA name
d. Officer name

The business name being searched need not include special, noise words like company, the, and so on. When the application does

a business search, it strips off all the special characters, noise words and corporate endings, and only looks to match the list of businesses that are completely or partially similar to the searched name. The search results will display all of the businesses with the complete business names, including special characters, noise words or corporate endings.

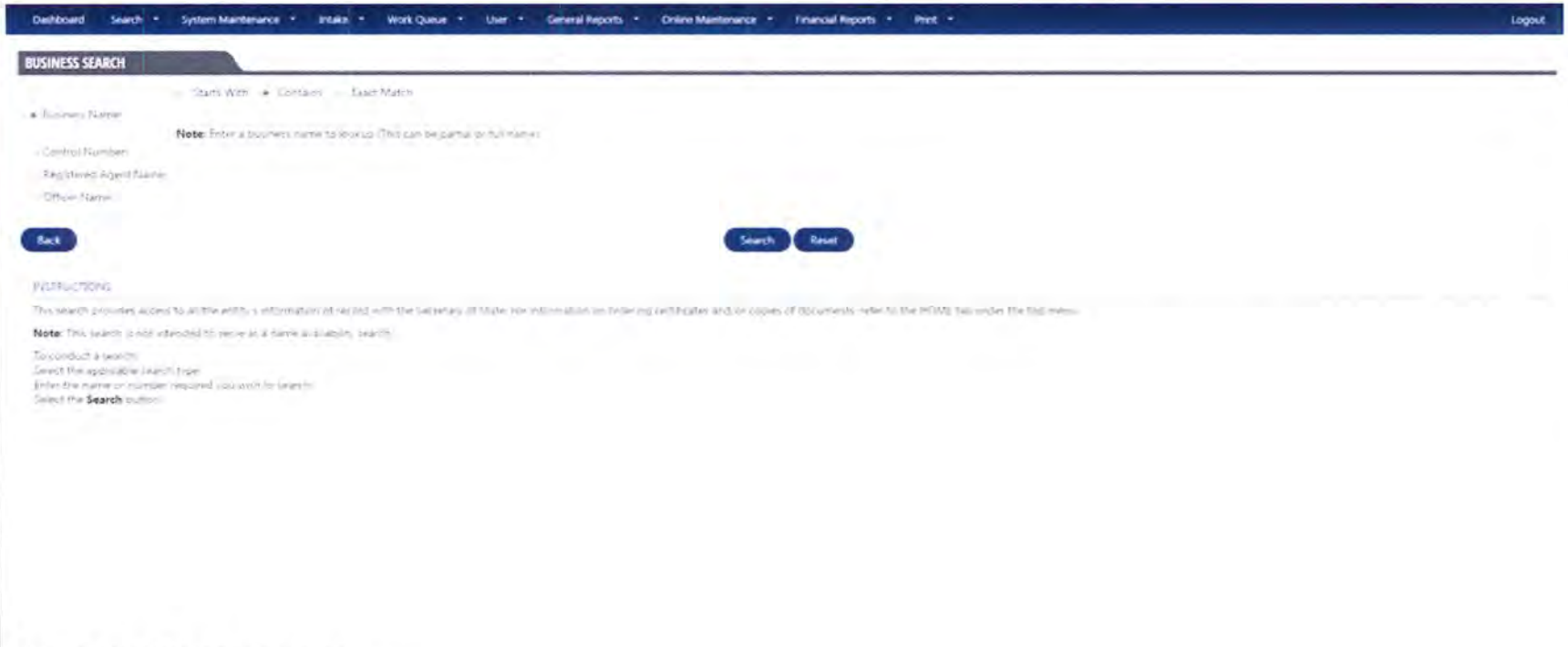


Figure 12. Business search.

The search results will display the business details that will help identify the business.

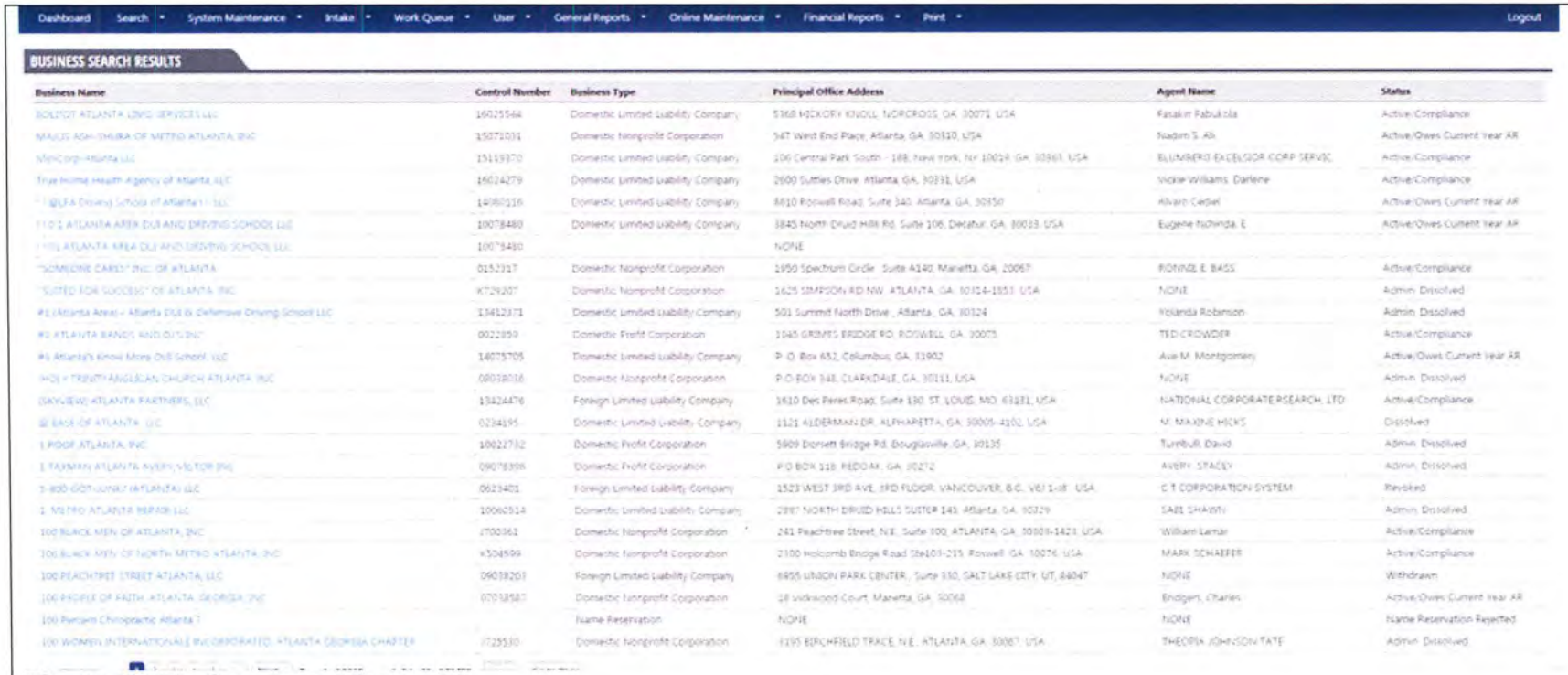


Figure 13. Business search results.

The hyperlinks on the business name will help navigate to the complete details on the business.

Businesses can also be searched by the old or the new name on the business. The search results will display the business names that match the old or the new name.

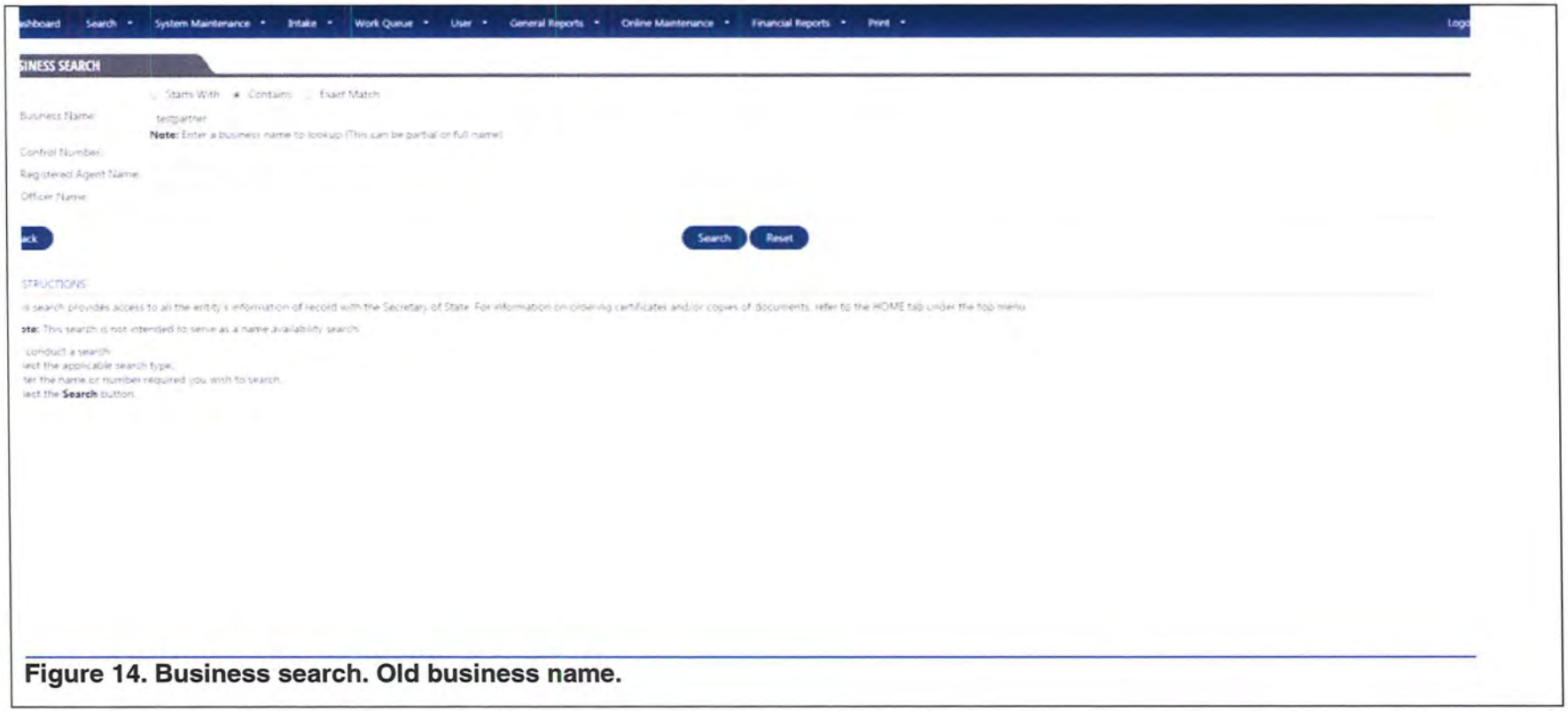


Figure 14. Business search. Old business name.

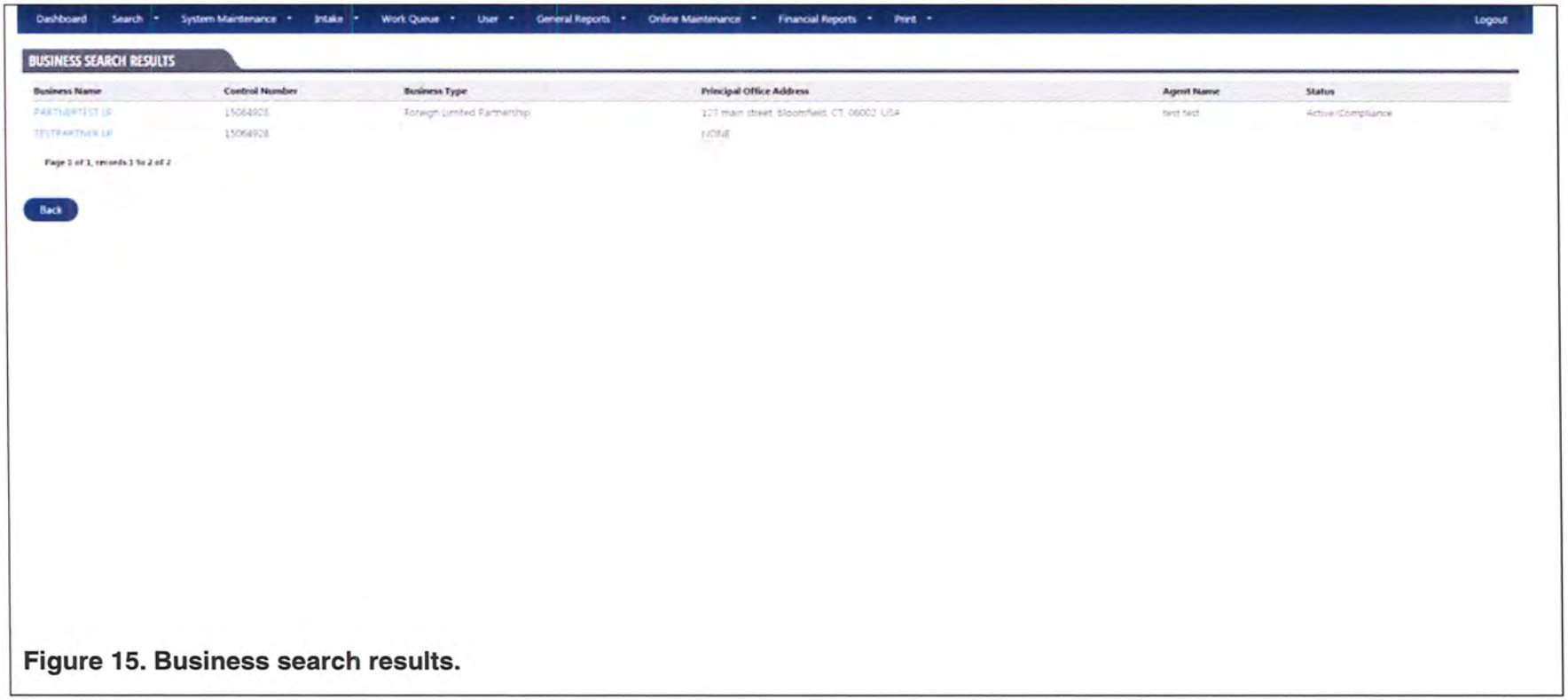


Figure 15. Business search results.

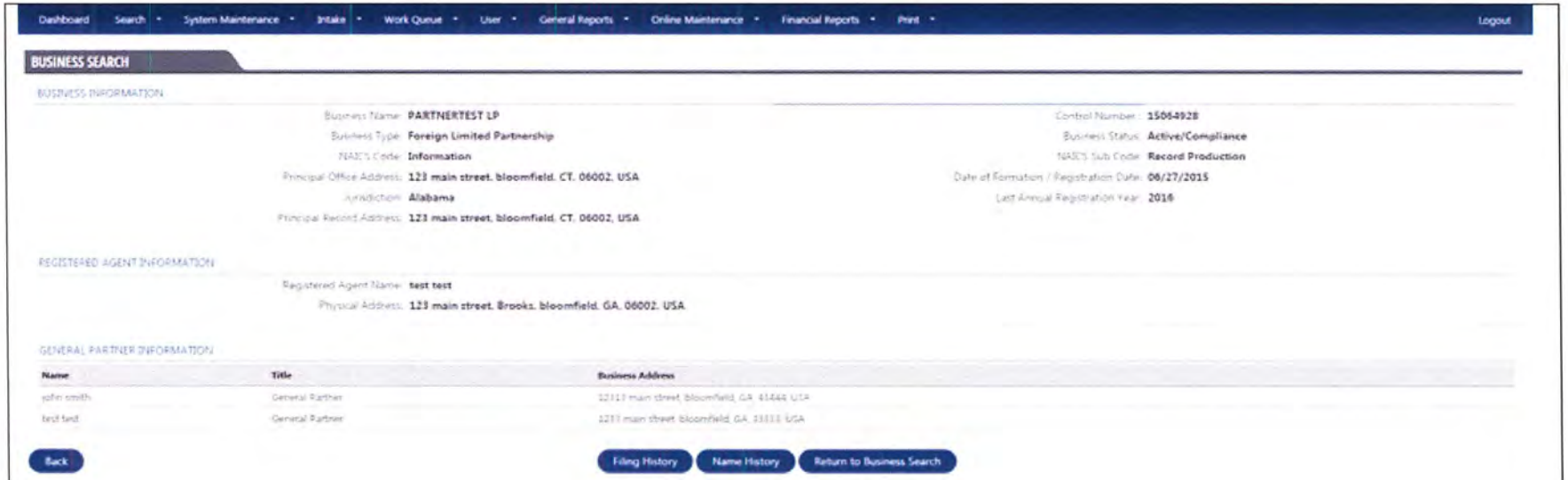


Figure 16. Business search result.

The business inquiry displays the complete business information, filing history and name history.

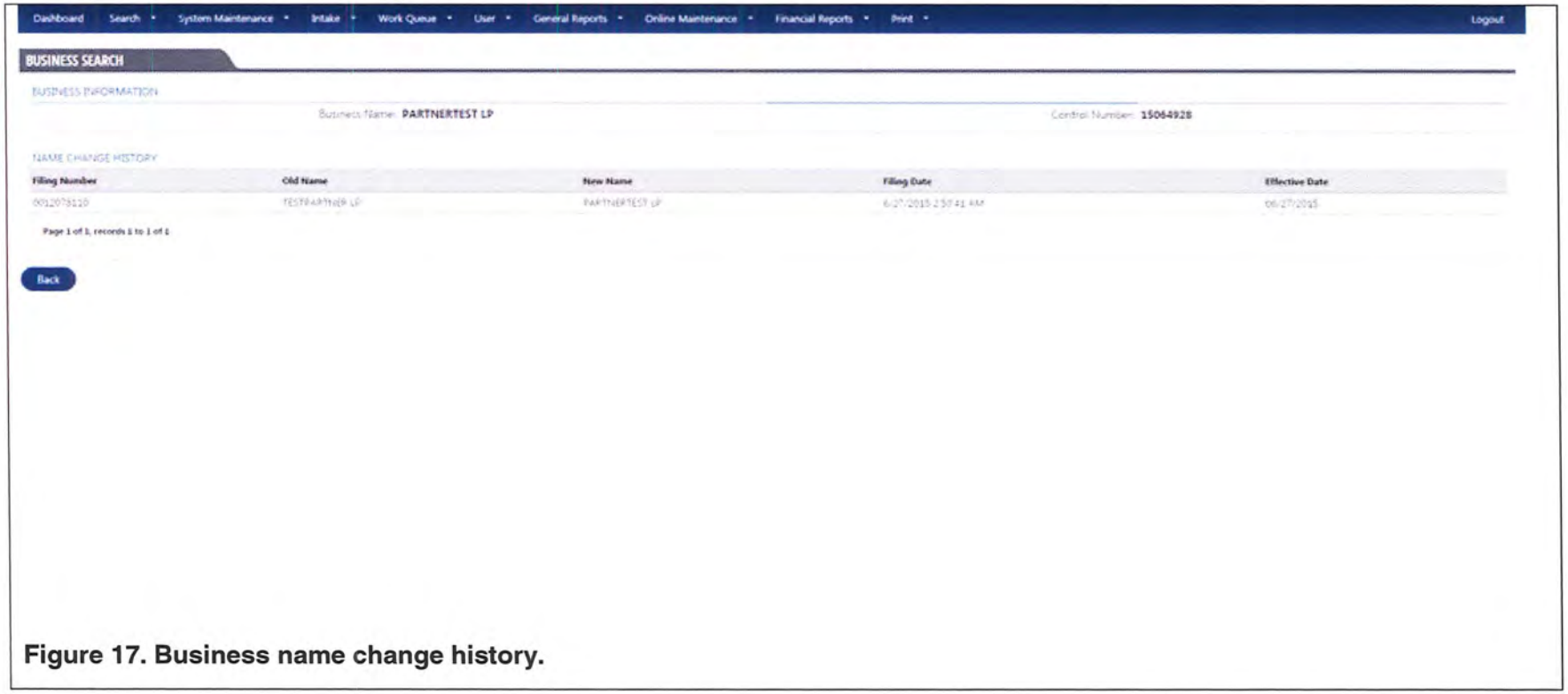


Figure 17. Business name change history.

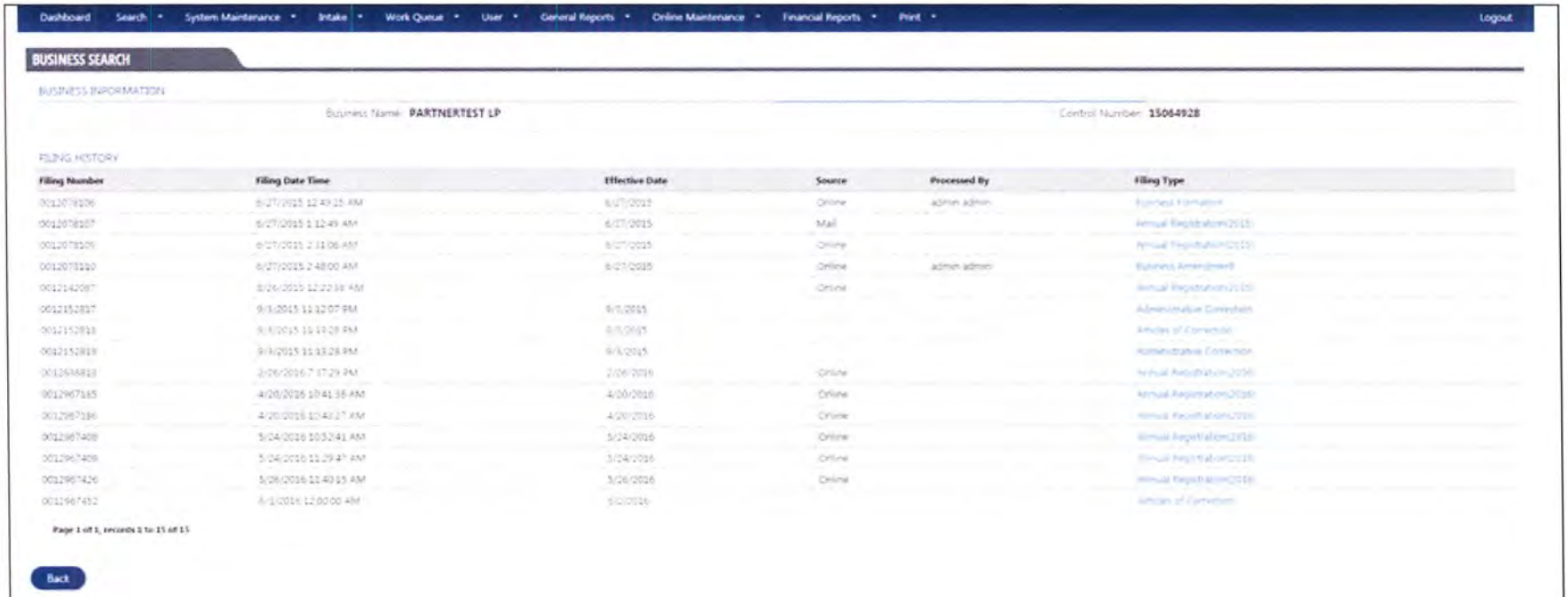


Figure 18. Filing history.

There is also an advanced search option, where a search can be done on the following:

a. Business type
b. Business status
c. Principal office address – street address, city, state, country and zip code: all or some of the options can be used.
d. Agent/Principal search – street address, city, state, country and zip code: all or some of the options can be used.

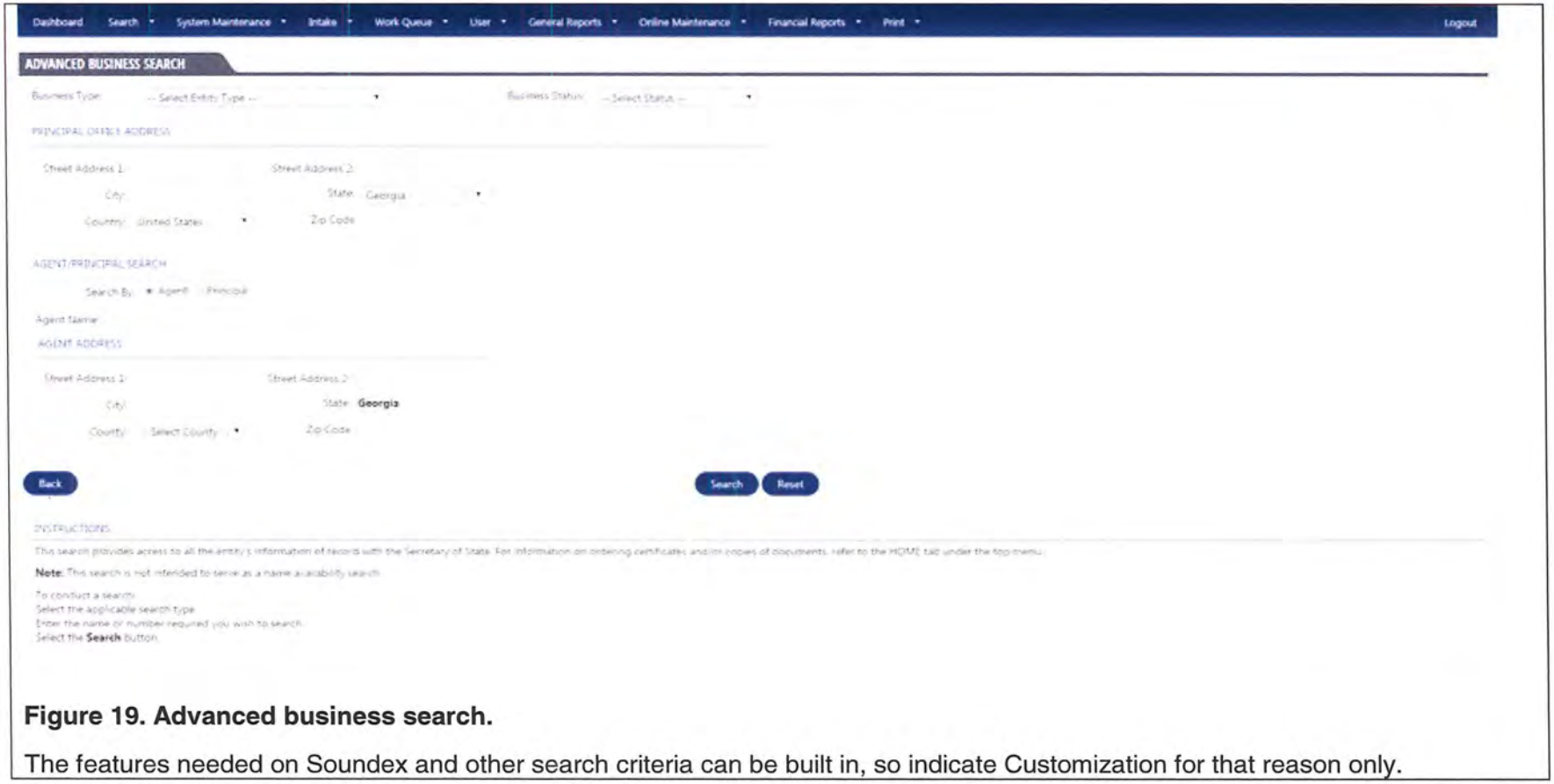


Figure 19. Advanced business search.

The features needed on Soundex and other search criteria can be built in, so indicate Customization for that reason only.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-2	Name Availability Screening Name availability is a screening process that is completed on a daily basis for any written requests received from consumers to check if a name may be available for filing prior to filing the document. Also name availability is used in current workflow. The name availability process must be upgraded to a basic electronic process to enter information into a template worksheet, which is then stored and retrievable by name(s) checked, date checked, and system generated document number, and can be purged per retention schedule. See Appendix N - Name Availability Screening The bidder should describe and provide screen shots showing how their system handles and checks for name availability screening, emphasizing how it improves the current workflow process.	X			

Bidder Response:
The name availability search is provided in all processing screens where a decision is needed on the requested name. The search can be done by exact, contains, or starts with, on the business name.

The search results display all of the businesses that match, including business names that are still pending and waiting for processing.

The business name being searched need not include special, noise words, like company, the, and so on. When the application does a business search, it strips off all the special characters, noise words and corporate endings, and only looks to match the list of businesses that are completely or partially similar to the searched name. The search results will display all the business with the complete business names that includes special characters, noise words or corporate endings.

The staff can then move the filing with name availability check to a reviewer's queue. The reviewer will also have the option to perform name availability check again and process the filing.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-3	Registered Agent (RA) The software must provide the ability to capture RA information in one place for each unique Registered Agent. RAs might have more than one valid office address. The software must provide RA address, email and phone contact. If the RA is known and already exists, prevent creation of a new RA record. If the RA doesn't exist in the system, a record will need to be created. If the RA doesn't provide a number, search for the RA in the database before creating a new RA record. See search instructions described in RTM Corp-1 I.2. Staff needs the ability to update, merge, and purge RA data and the ability to search, including by wildcard, RA data by name, address, email, and id number. (See Appendix J – Ancillary Databases and Derived Reports Item #8) The bidder should describe and provide screen shots showing how their system handles and processes RA information, emphasizing how it improves the current workflow process.	X			

Bidder Response:
The proposed application allows staff to look up RA information first, if this RA information is not available, only then can a new RA be created. The ability to create an RA is restricted until a search is done; the search is done on the RA's name. The search engine checks if the RA exists in the application and provide all of the names that match the searched name. The search results display the RA name, RA type (for example, individual or business), and complete address. If the search results do not match the customer's needs, the search can be cancelled, and a new RA can be created. When a RA is created, the application will capture the agent type and complete name of the RA, and the business address.

Following is the screen flow of RA search.
Step 1: Search for an existing RA.



Figure 20. RA search.

The option to search for an RA is disabled until a search is performed.

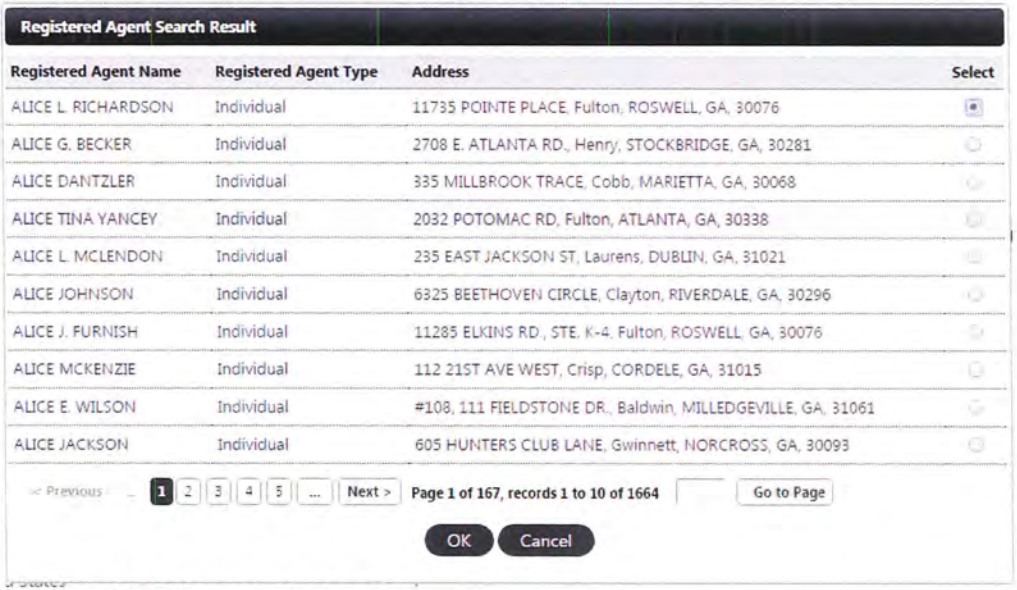


Figure 21. RA search results.

Step 2: Select a RA from the search results. Otherwise, click the “Cancel” button to create a new RA.



Figure 22. Create RA.

Step 3: Click "Create Registered Agent" to create a new RA.
Step 4: Select the agent type.

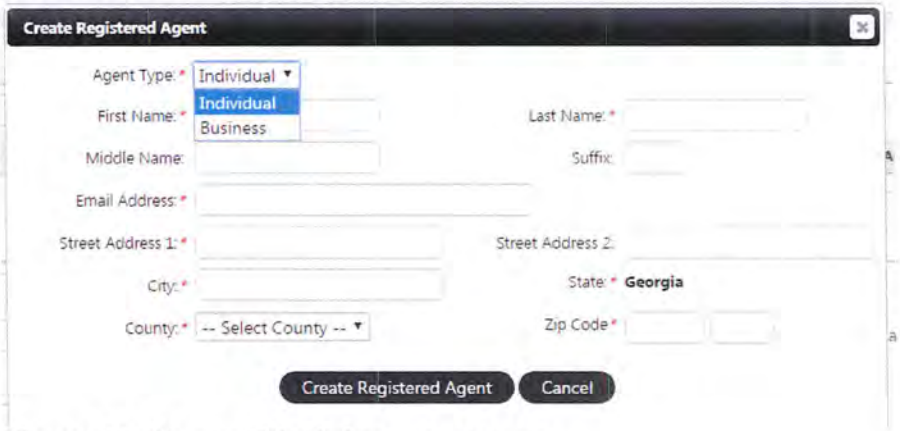


Figure 23. Create RA. Select agent type.

Step 5: Enter all the details of the agent. All mandatory fields are marked with asterisks (*). If the selection is done for a business agent, the business name will be required as shown below.

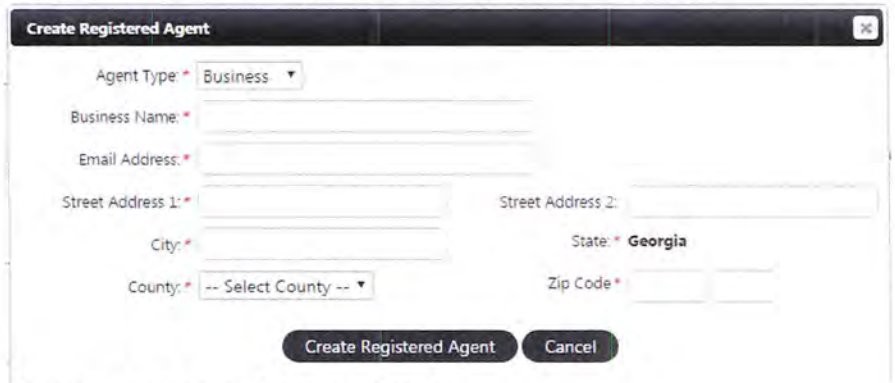


Figure 24. Create RA. RA details.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-4	Formation Documents Filings received in-house: refer to the Current Workflow A; in addition, the following are specific details for Formation Documents. A. If accepted, then staff checks existing Registered Agent table, if no RA record exists, a new record is created. B. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). C. If declined see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Formation Documents, emphasizing how it improves the current workflow process.	X			

Bidder Response:
A job is created with the business name and moved to the appropriate queue. The staff will select the business formation from the work queue. Once selected, the filing is locked under that staff member and other staff members will be restricted from processing the same filing until it is unlocked.

The application will display the information that is needed for the specific formation. Data that is mandatory for the entity type will be displayed with asterisks (*) and alerts will be displayed on the screen if the data is not captured. If the filing document is missing mandatory data, the application will notify the staff to select a rejection reason. The staff can perform the RA search as shown in response to Corp-3. The application will allow any business formation to have a future effective date. Once the documents are approved, the name will be blocked under the business and will not be made available to any other business that have a new name or a change of name. The name availability search will capture the business name.

If the document is approved, the application will create a certificate and attach the filing documents received along with the certificate. The certificate will be emailed to the customer and the RA on the business.

If the document is rejected, the application will provide rejection reason to the staff. The staff can select multiple predefined rejection reasons. The staff can also provide a custom rejection reason. A rejection letter will be created with all selected rejection reasons and will be emailed to the customer.

A filing history is created for the formation and displayed in the business inquiry. The certificate and filing documents display under the filing history.

Following is the screen flow for formation documents.

Step 1: Select a business formation from the queue.

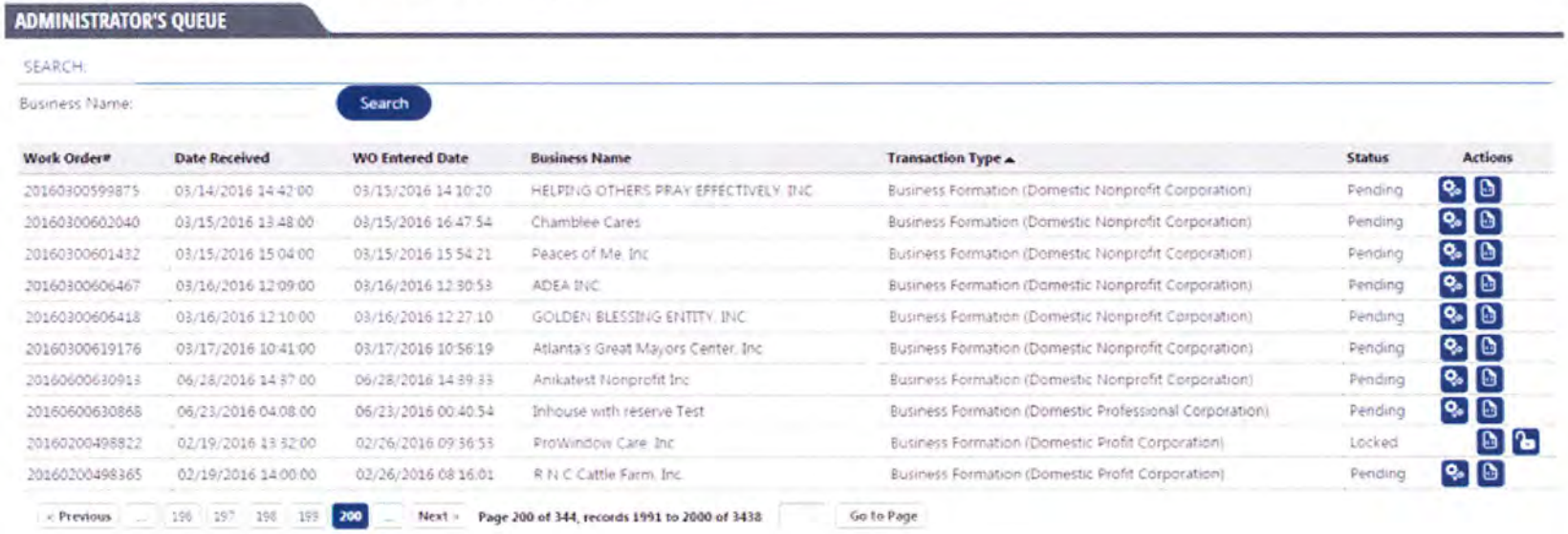


Figure 25. Administrator queue. Select business formation.

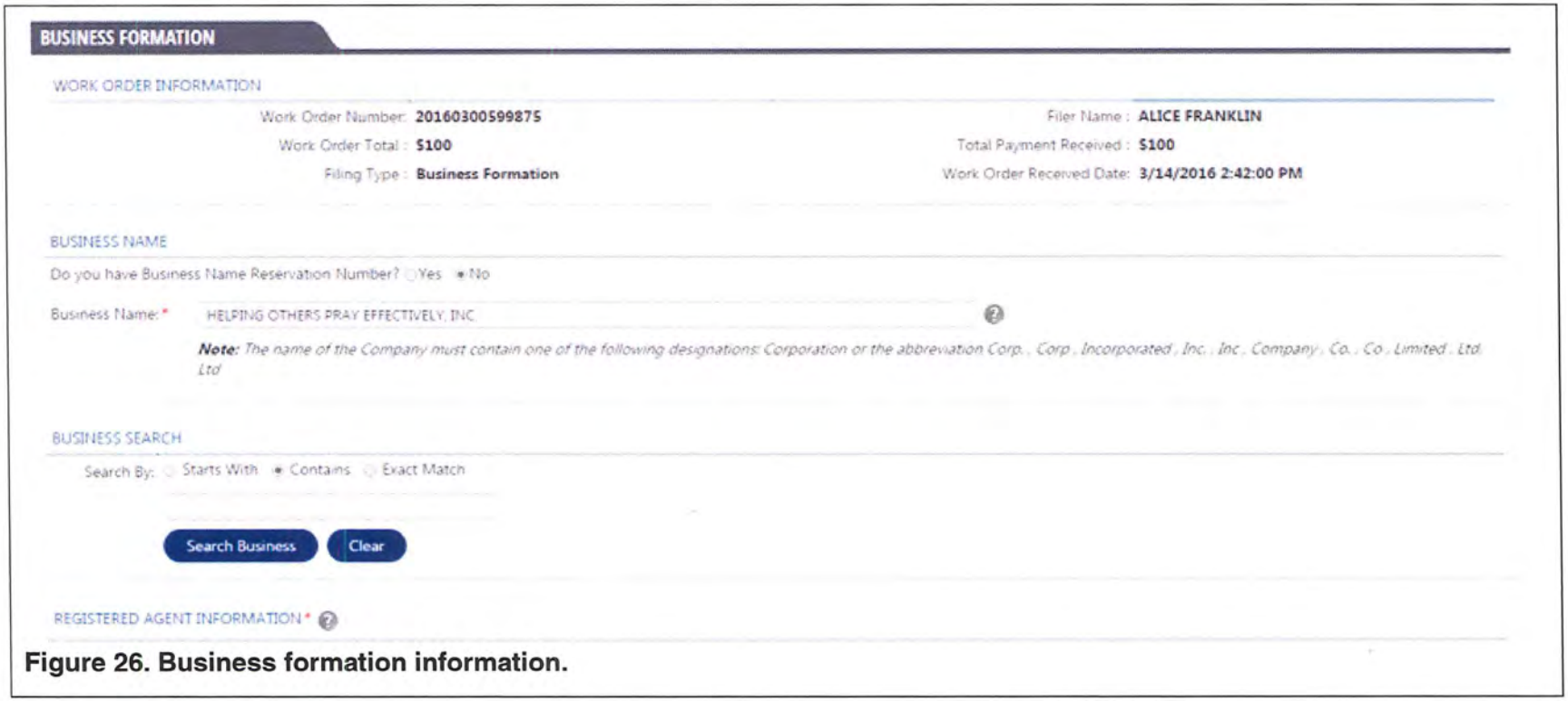


Figure 26. Business formation information.

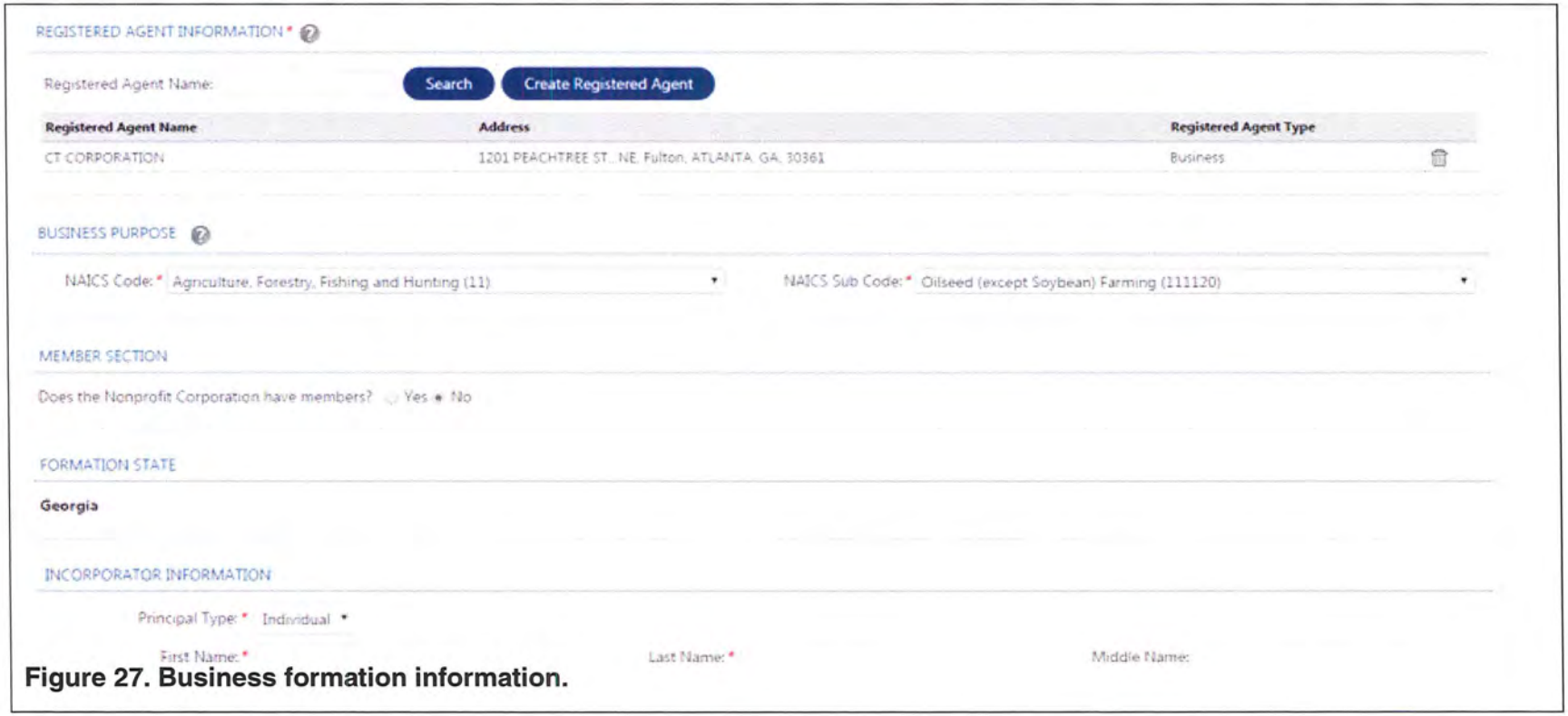


Figure 27. Business formation information.

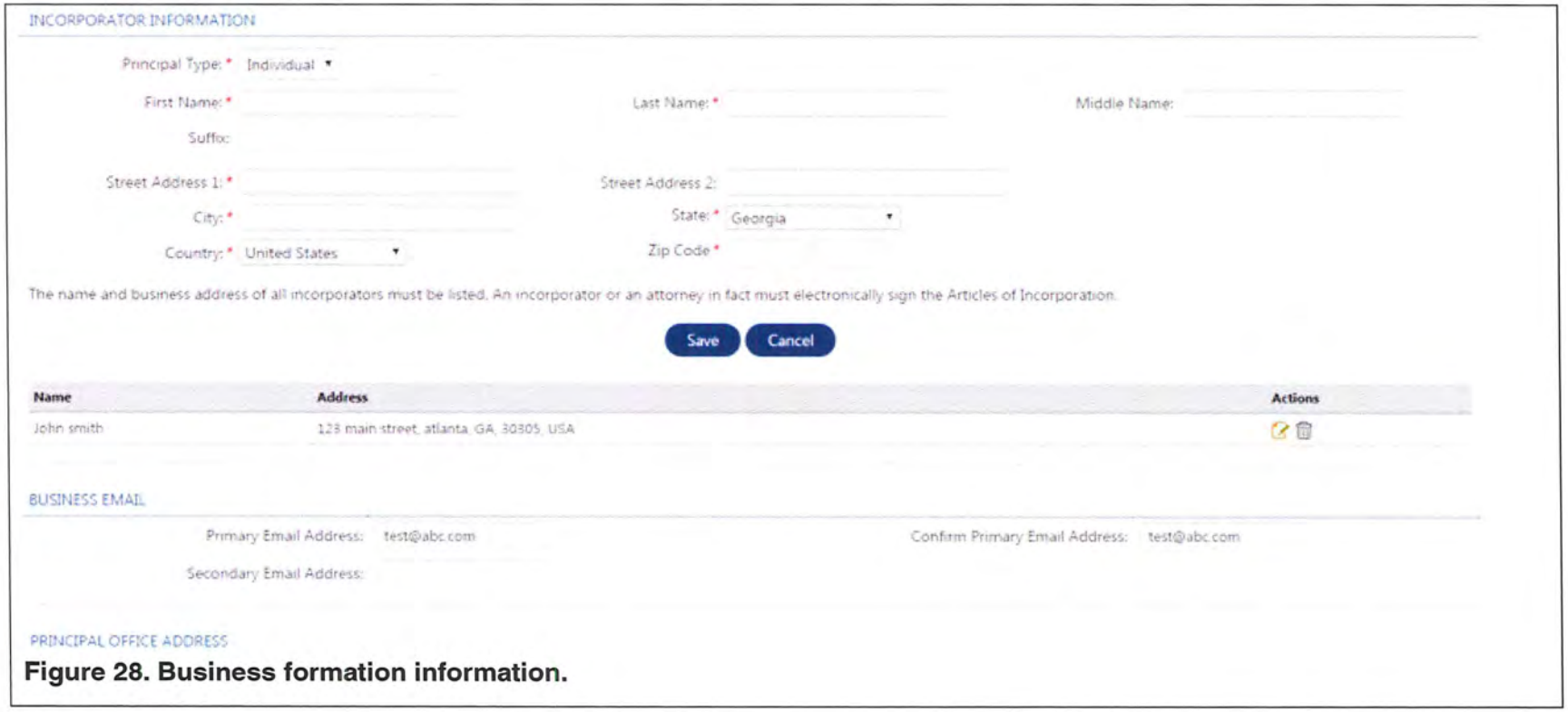


Figure 28. Business formation information.

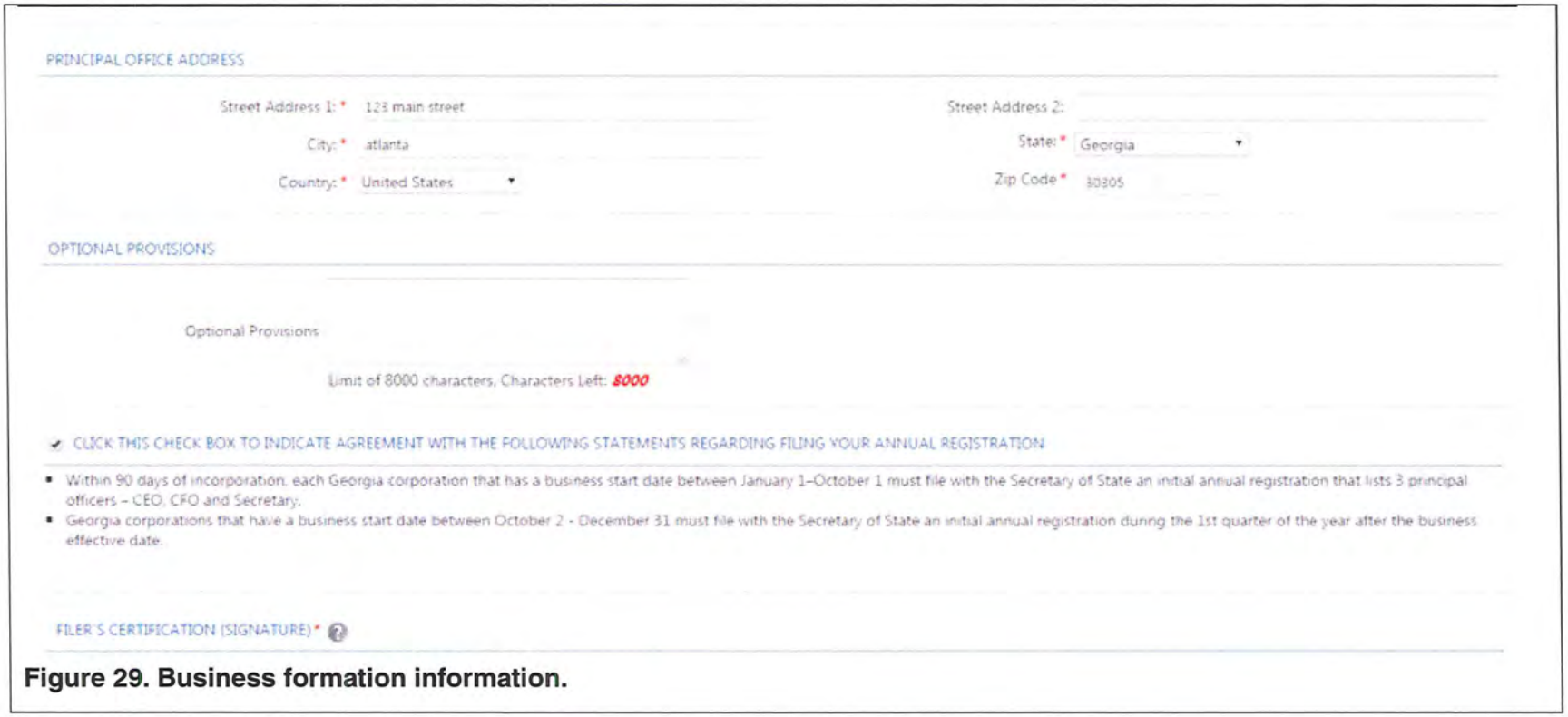


Figure 29. Business formation information.



Figure 30. Business formation information. Move to manager queue or reject.



Figure 31. Business formation rejected. Rejection reasons.

Approval flow (separate business has been used in the example):
All the data entered by the staff can be viewed on the review screen before approving the filing.



Figure 32. Business formation information. Review.

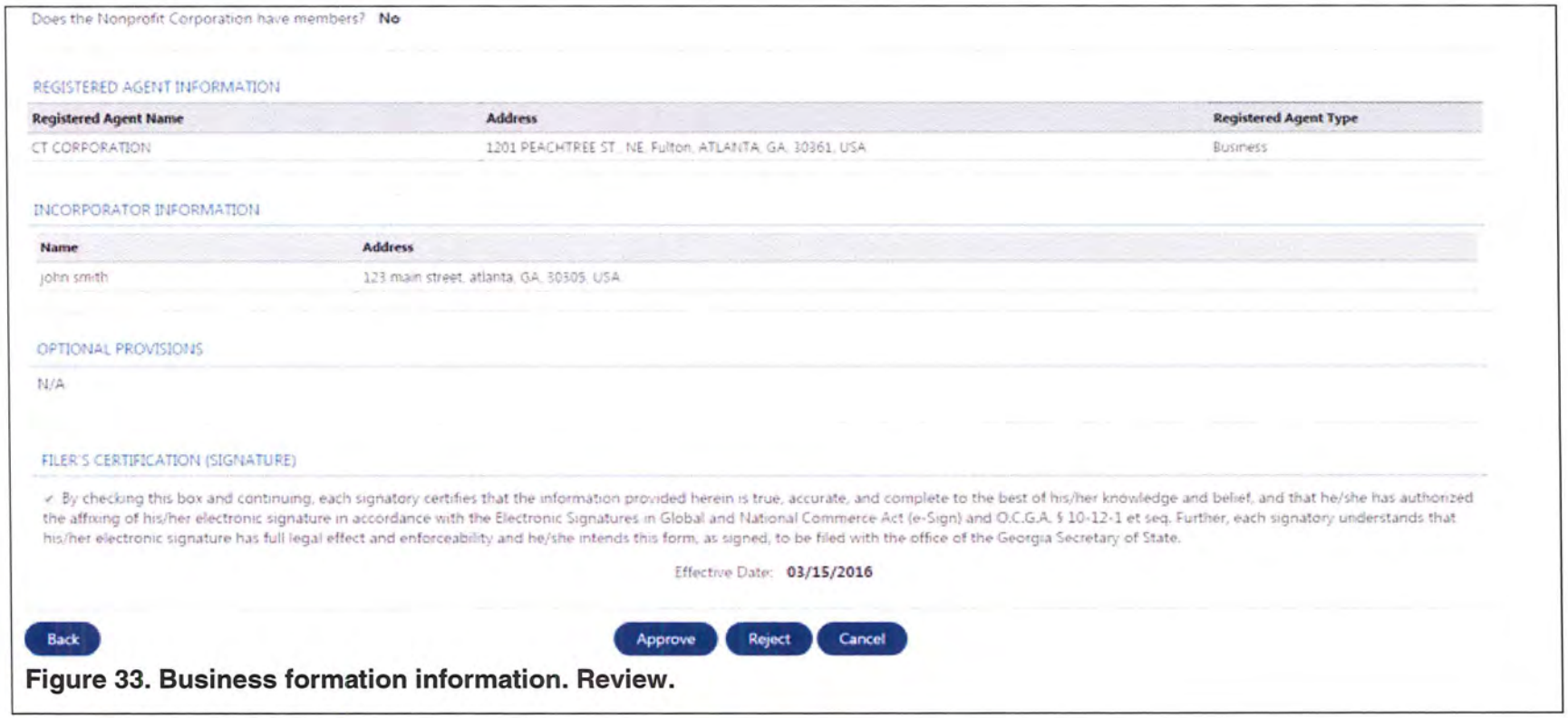


Figure 33. Business formation information. Review.

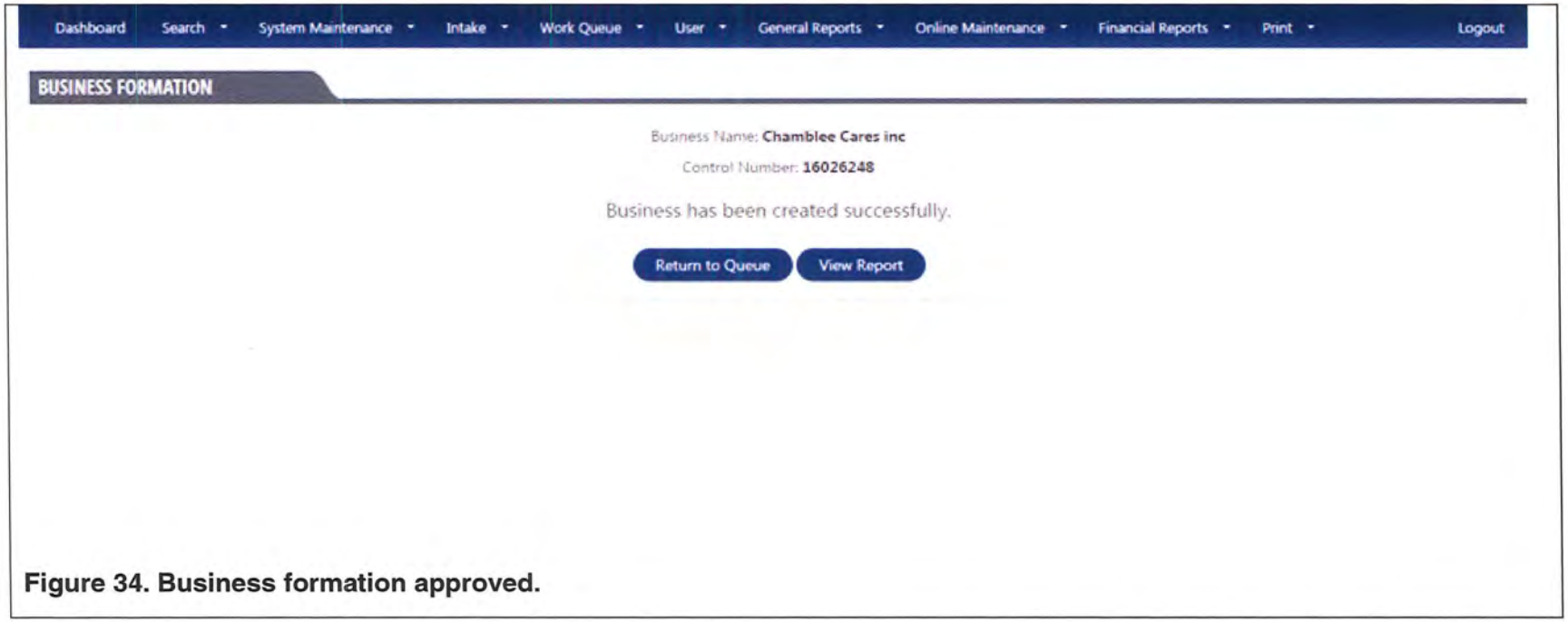


Figure 34. Business formation approved.

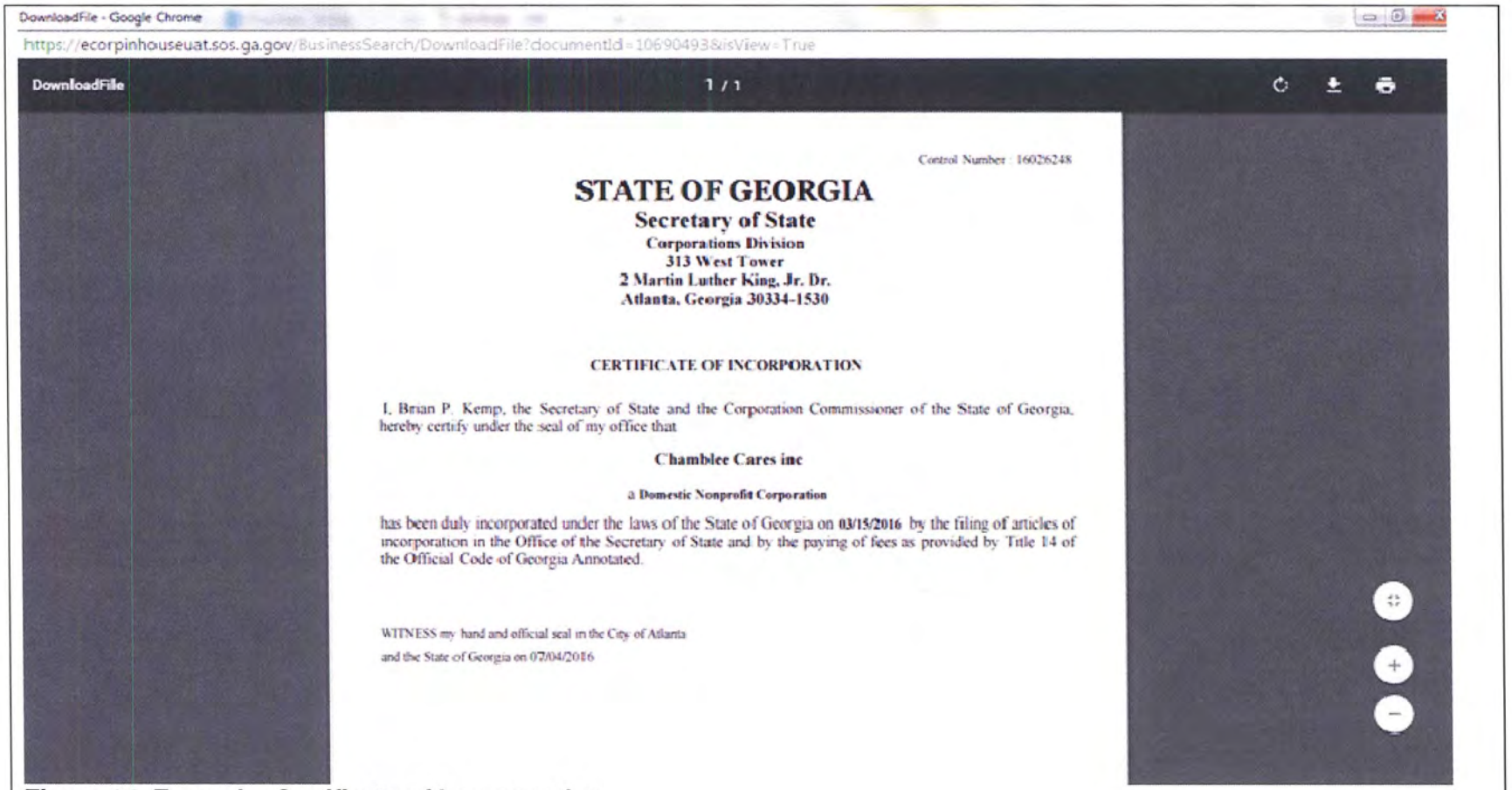


Figure 35. Example: Certificate of Incorporation.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-5	Amendment & Correction Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Amendment & Correction Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Check for existing Registered Agent data and update as needed. D. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). E. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Amendment & Correction Filings, emphasizing how it improves the current workflow process.	X			

Bidder Response:
When an amendment or a correction filing is done in-house, a work order is created and the filing documents are scanned as part of the work order. The document can be viewed by the staff while working on the filing from the queue. The business status is validated and rejection reason will be displayed to the processing staff if the business status is not allowed for an amendment/ correction filing. All data needed for the specific entity and filing type will only be displayed for data entry. As the data is entered, the proposed application will validate if the data matches the business rules and otherwise alerts the staff of possible rejection reasons. A name availability search will be available in the processing screens to validate any name change that is done along with the filing.

Once approved, the amendment certificate is generated and emailed to the customer and the RA on the business. Filing history is created for the amendment and the documents are attached to the filing history. The filing history can be viewed in the business inquiry.

If rejected, a rejection letter stating the rejection reasons will be emailed to the customer and the RA on the business.

In-house work flow:

Create a work order and select it from the work queue.

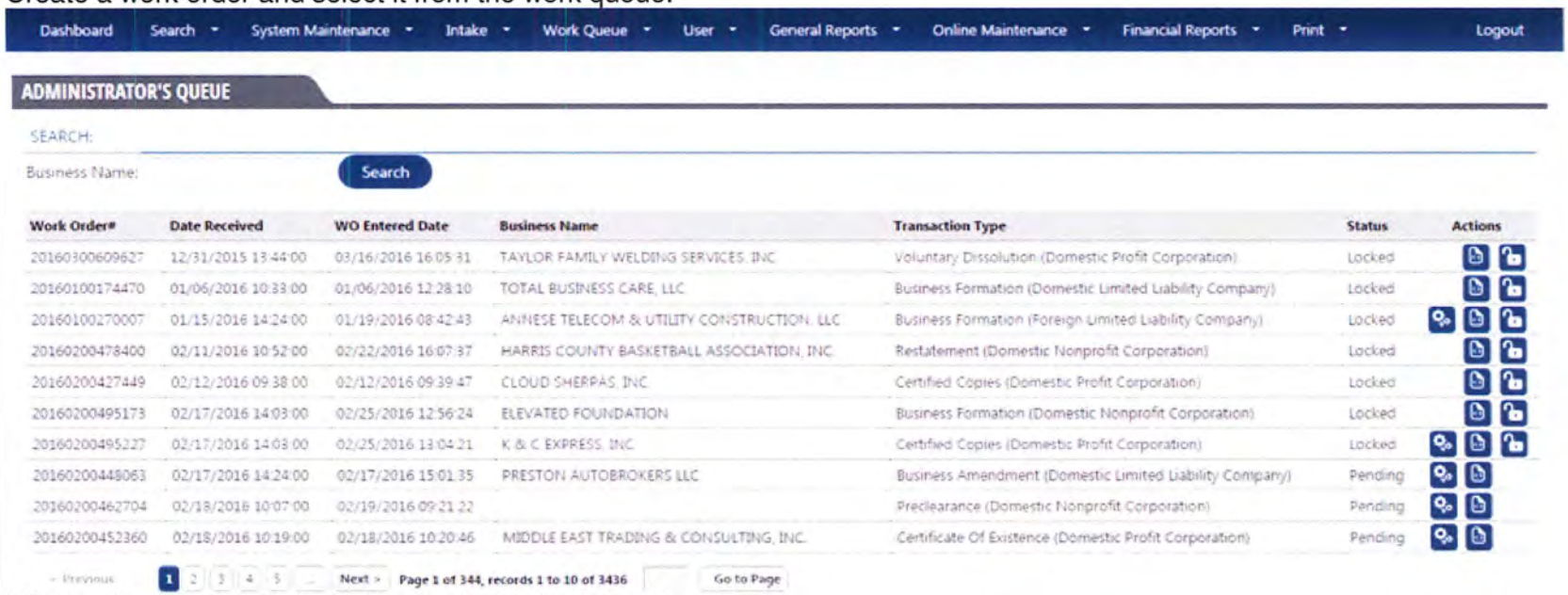


Figure 36. Administrator's Queue. Select work order.

Select if a business name change is part of the amendment.

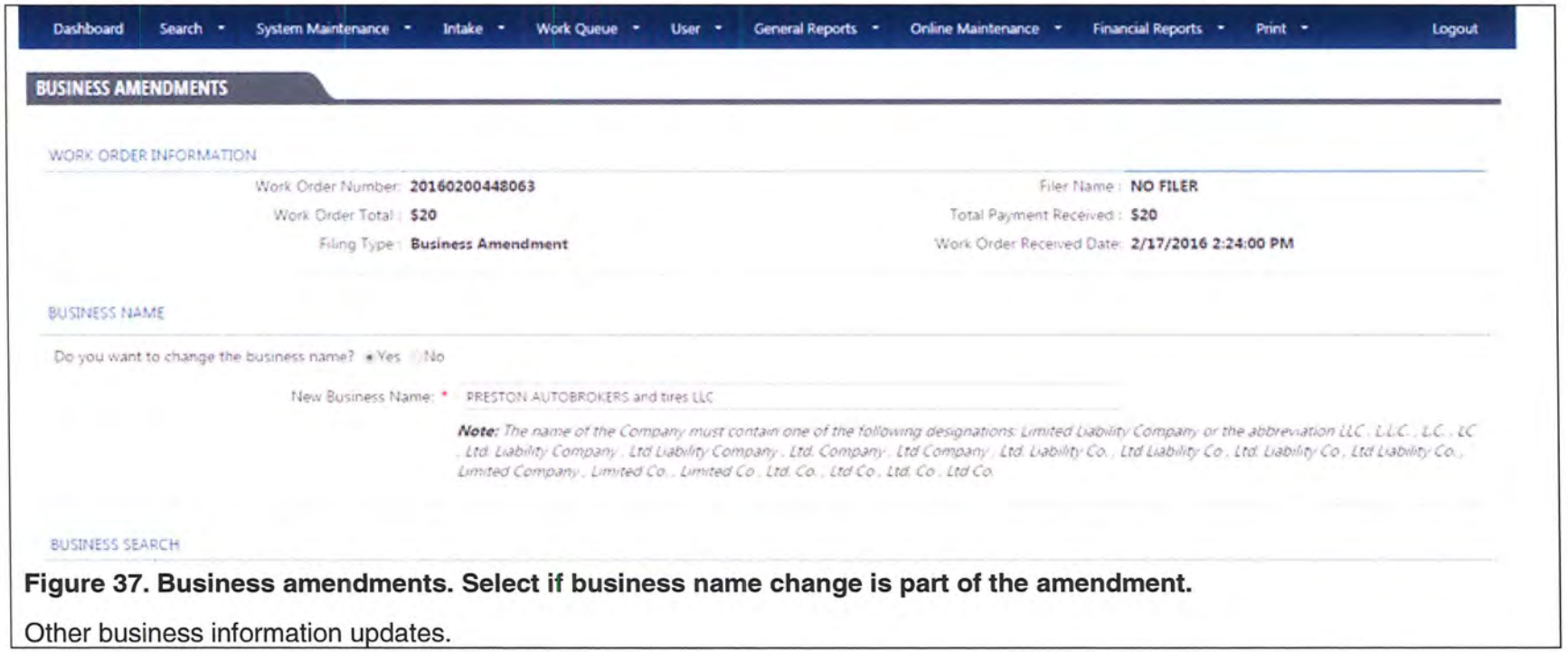


Figure 37. Business amendments. Select if business name change is part of the amendment.

Other business information updates.

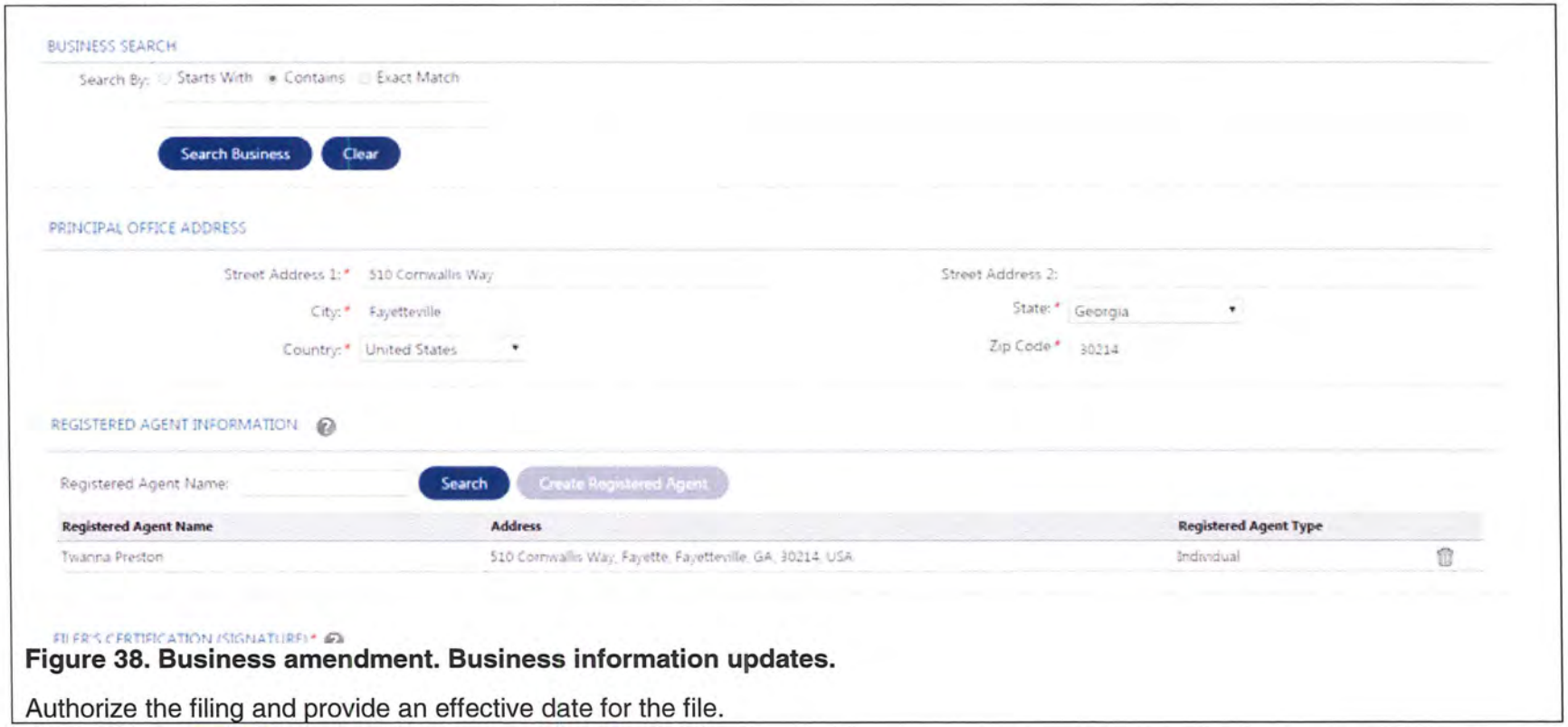


Figure 38. Business amendment. Business information updates.

Authorize the filing and provide an effective date for the file.

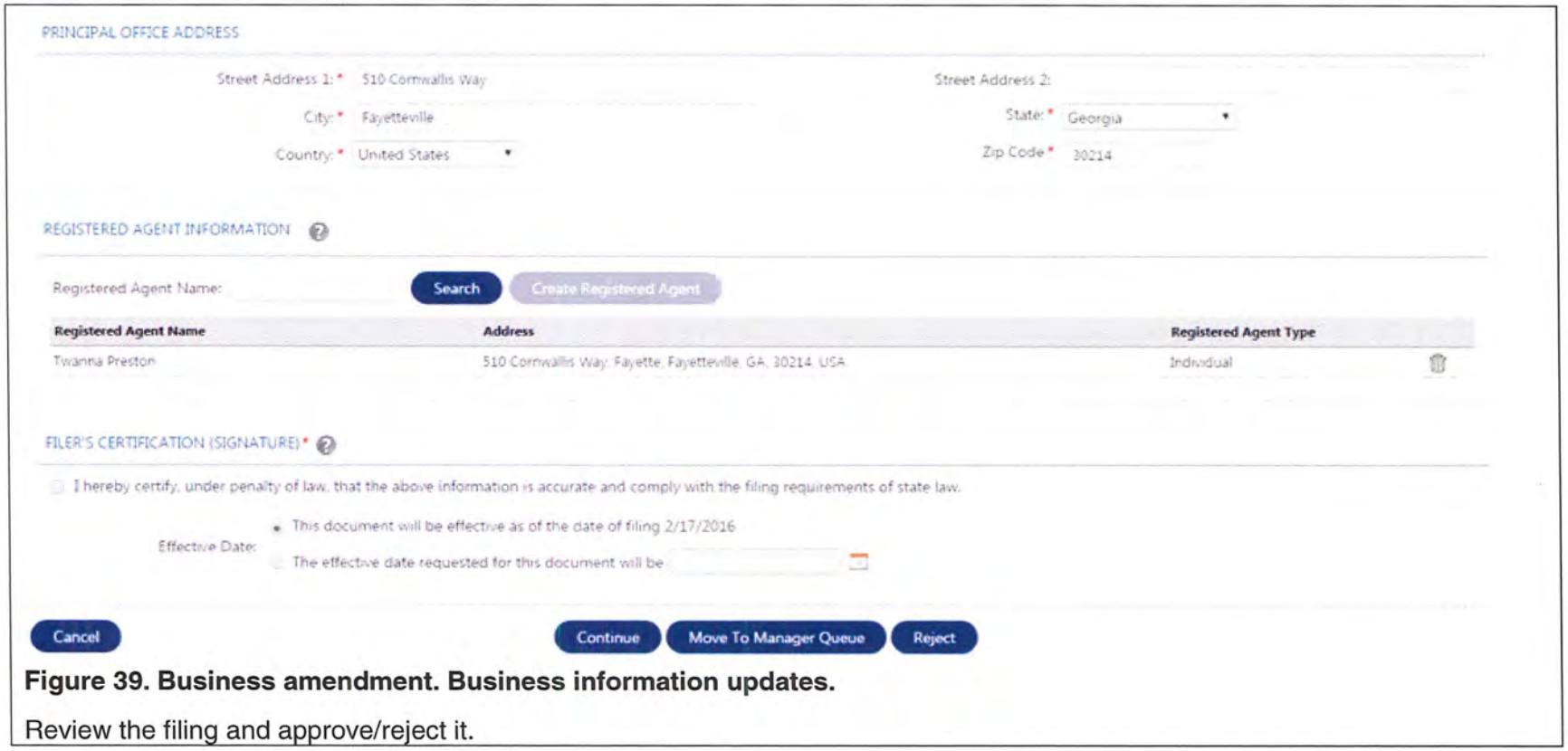


Figure 39. Business amendment. Business information updates.

Review the filing and approve/reject it.

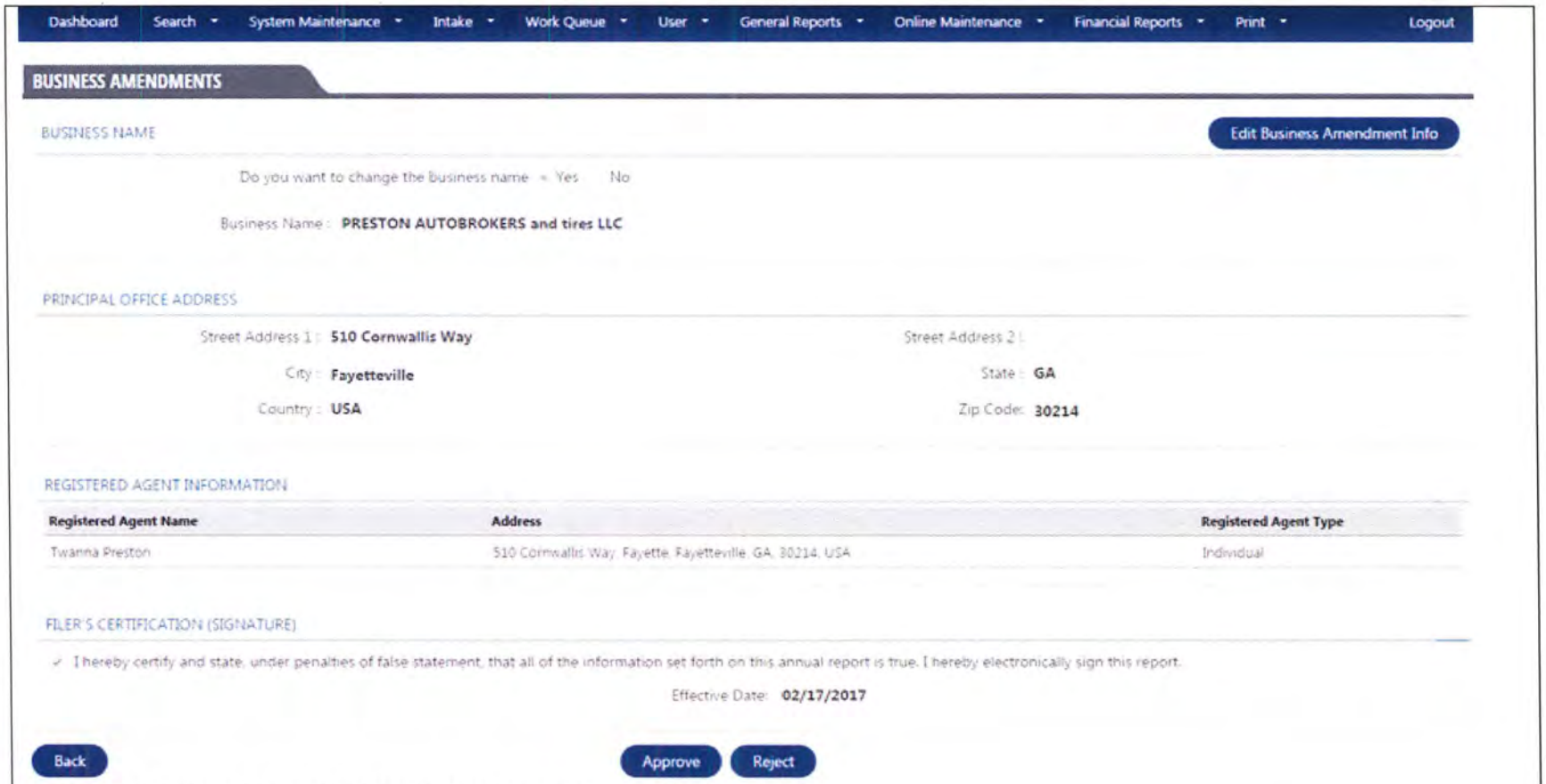


Figure 40. Business amendment. Review and approve or reject.

If approved, an amendment certificate is generated. Unique certificate templates are created for each entity.

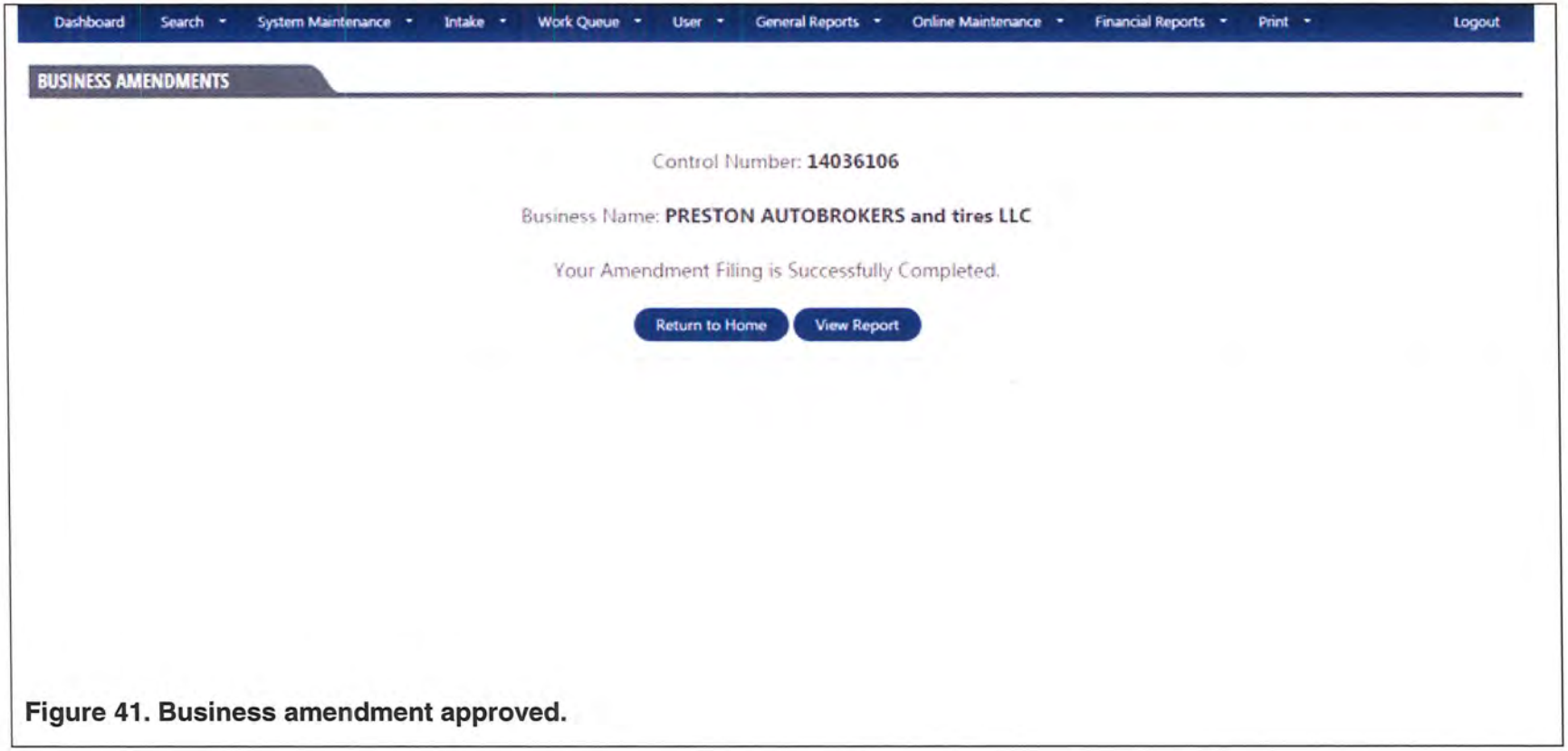
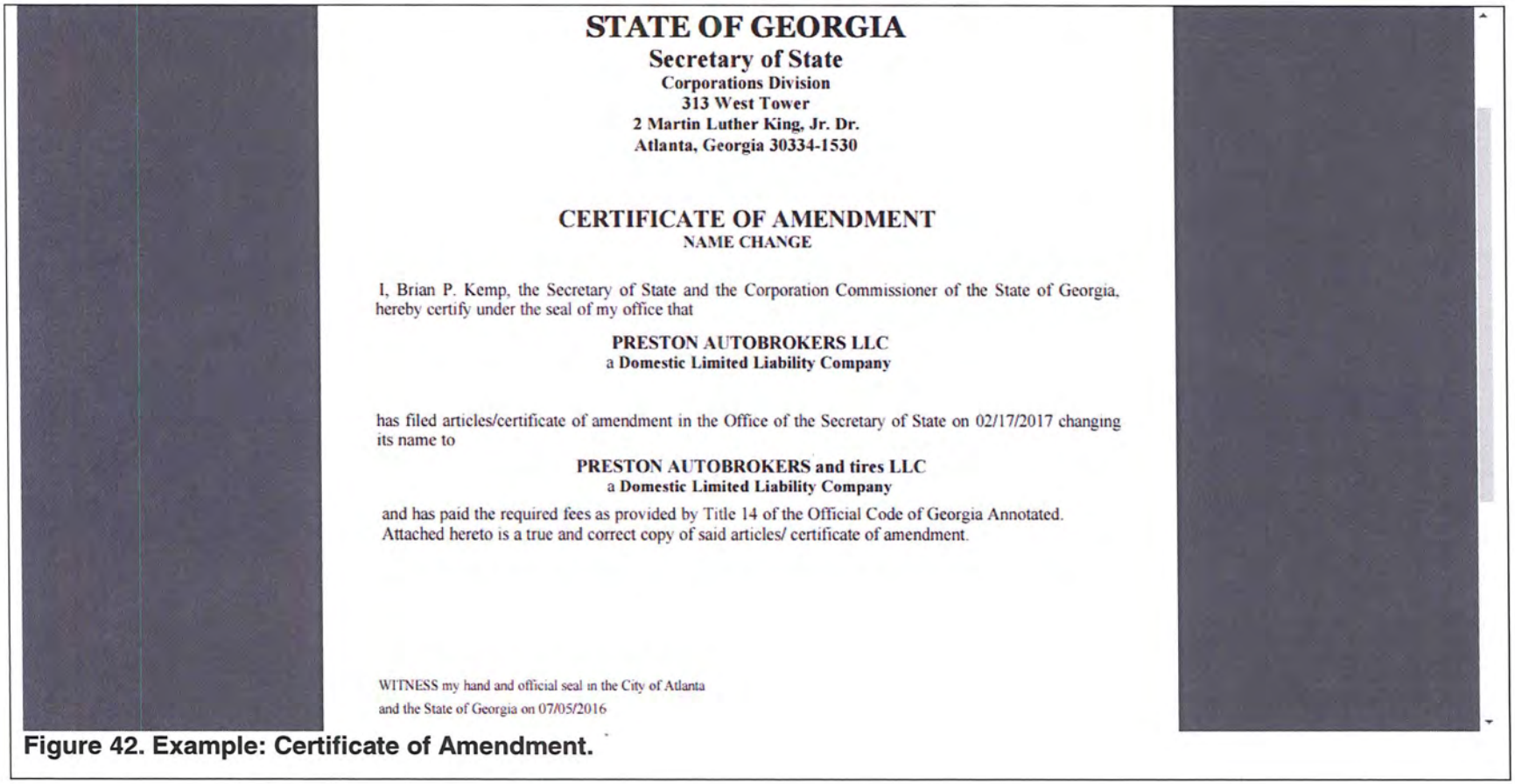


Figure 41. Business amendment approved.



STATE OF GEORGIA

Secretary of State

Corporations Division
313 West Tower
2 Martin Luther King, Jr. Dr.
Atlanta, Georgia 30334-1530

CERTIFICATE OF AMENDMENT

NAME CHANGE

I, Brian P. Kemp, the Secretary of State and the Corporation Commissioner of the State of Georgia, hereby certify under the seal of my office that

PRESTON AUTOBROKERS LLC
a **Domestic Limited Liability Company**

has filed articles/certificate of amendment in the Office of the Secretary of State on 02/17/2017 changing its name to

PRESTON AUTOBROKERS and tires LLC
a **Domestic Limited Liability Company**

and has paid the required fees as provided by Title 14 of the Official Code of Georgia Annotated. Attached hereto is a true and correct copy of said articles/ certificate of amendment.

WITNESS my hand and official seal in the City of Atlanta
and the State of Georgia on 07/05/2016

Figure 42. Example: Certificate of Amendment.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-6	Renewal Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Renewal Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). D. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Renewal Filings, emphasizing how it improves the current workflow process.	X			
Bidder Response: When the filing is done in-house, a work order is created and the filing documents are scanned along with the work order. The work order is displayed in the queue for an available staff member to process the filing. The filing documents can be viewed as part of processing. Once the renewal is picked for processing, entity status is validated and a rejection reason is displayed to the staff. Other rejection reasons can also be captured. After approval, the renewal certificate is generated and an email is sent to the customer with the receipt and the certificates as attachments. The filing is renewed for the period and the renewal is set to the future date. A filing history is created for the renewal and the documents are attached to the filing history. The filing history can be viewed in the business inquiry.				

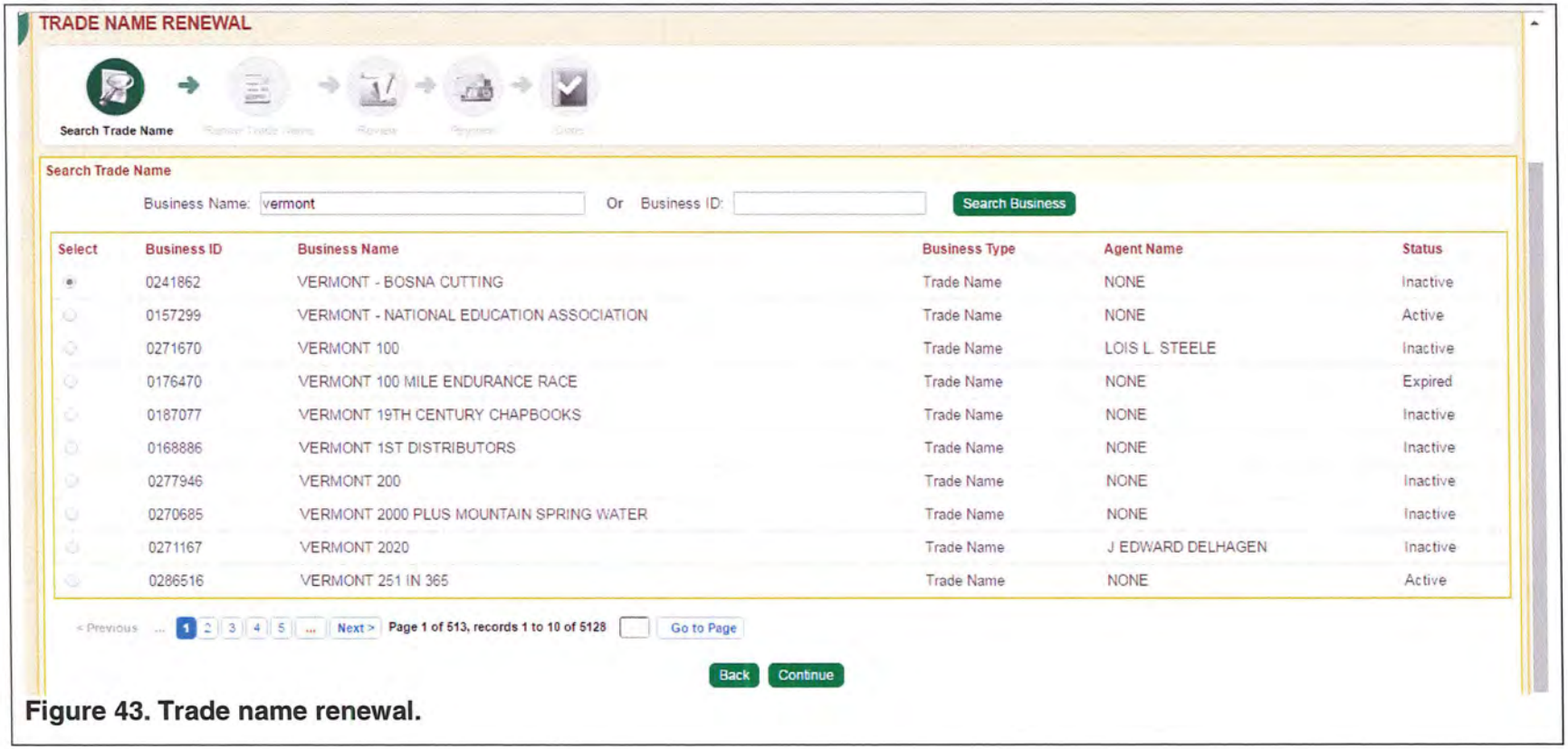


Figure 43. Trade name renewal.

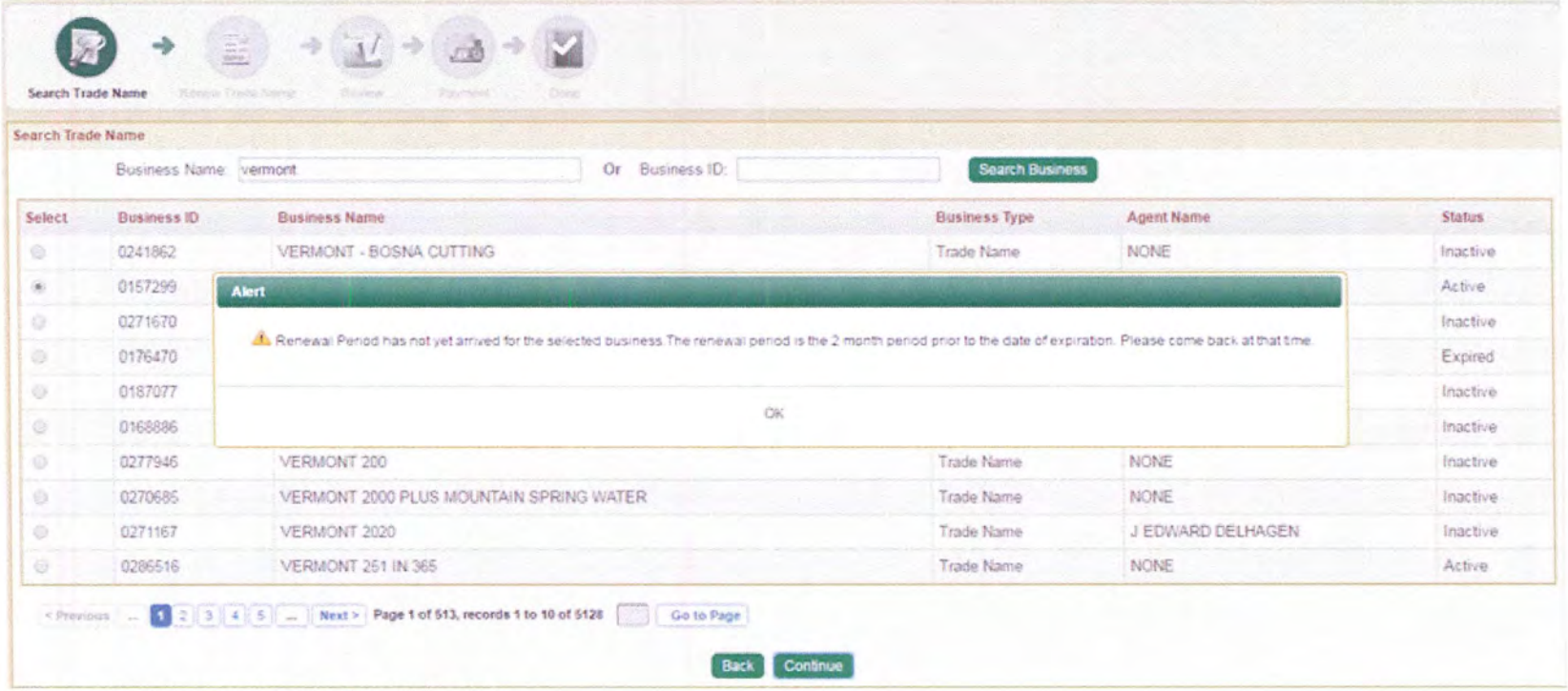


Figure 44. Renewal period notification.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-7	Merger & Conversion Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Merger & Conversion Filings A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Check for existing Registered Agent data and update as needed. D. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). E. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Merger & Conversion Filings, emphasizing how it improves the current workflow process.	X			

Bidder Response:

Merger work flow:

Work order is created and the survivor entity's business name is entered. If the survivor business is a non-qualified foreign business, the business name is provided as is. Payment information of the filing is entered and documents are scanned for the work order to be created. Once the work order is created, it can be viewed from the work queue. If required, a separate work queue can be configured for complex filings and access can be restricted to a specific role.

As part of the processing, the survivor business status is validated and rejection reason is displayed to the processing staff. Non-survivor information is entered and similar business validations are done. If the entities involved in the merger are not allowed (for example, non-profit merging to a profit corporation), then the application will display the rejection reason. The survivor information is allowed for business updates. Throughout the process, the application validates for any possible rejection reasons. The staff can review the information and approve the filing.

A merger can be filed with a future effective date. The filing can be completed when received for processing. The survivor and non-survivor business status will be changed to "Pending merger." On the effective date, the non-survivor will be updated to "Merged" and the survivor business status will be updated to "Active."

Filing history is created and a merger certificate is associated to the filing history. All the filing documents are associated to the filing history.

Work order creation:
Source, payment information, and filer information is entered.

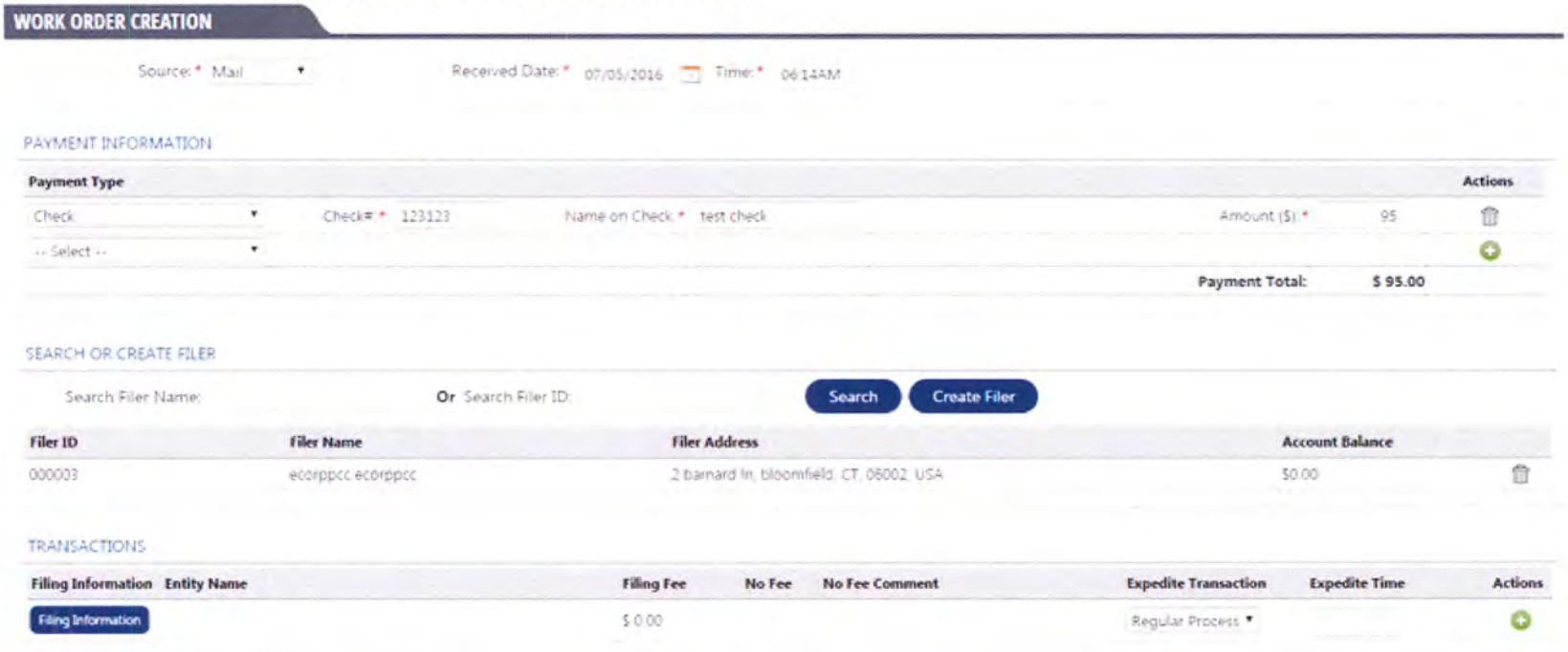


Figure 45. Work order creation.

Filing type, entity type, and business name is entered as part of filing information.

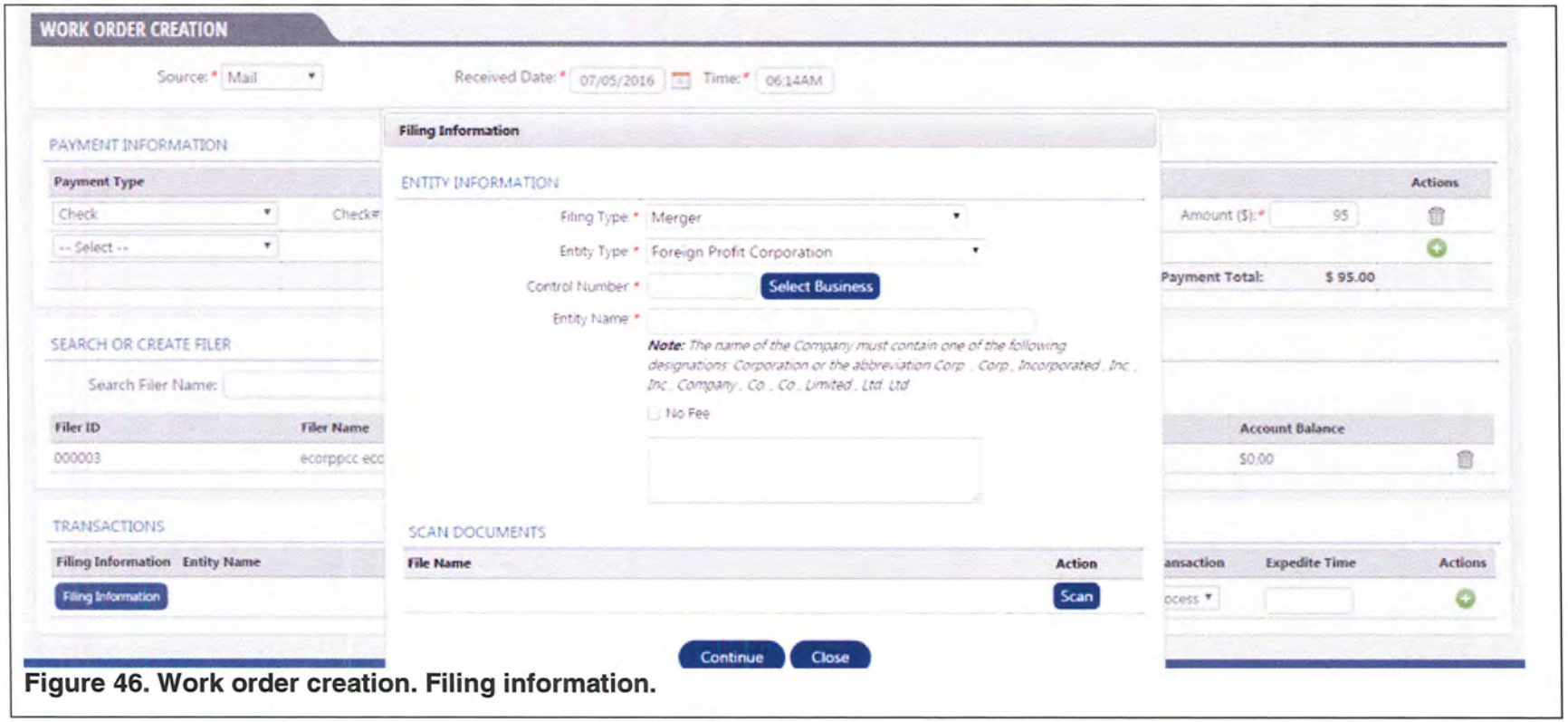


Figure 46. Work order creation. Filing information.

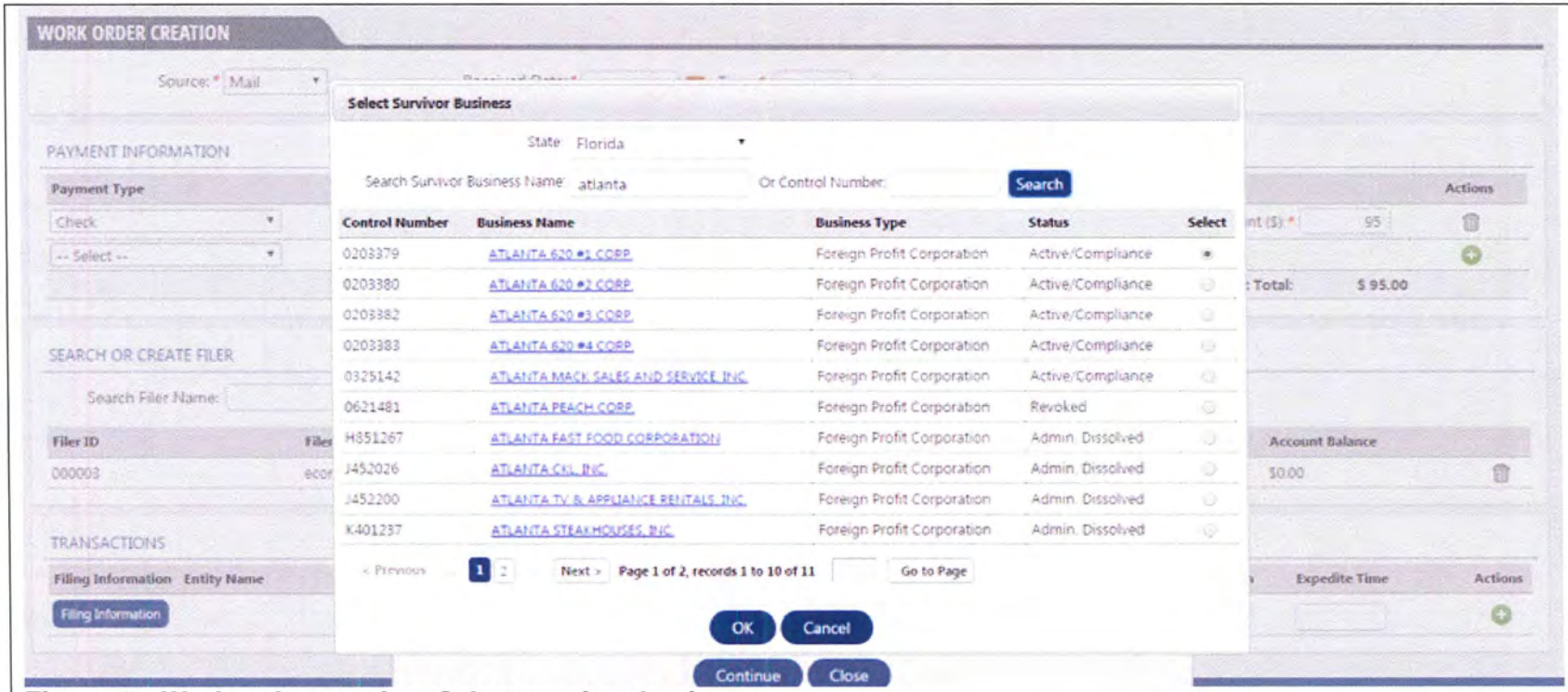


Figure 47. Work order creation. Select survivor business.

If the searched business does not exist, the application indicates selection of a foreign non-qualified business.

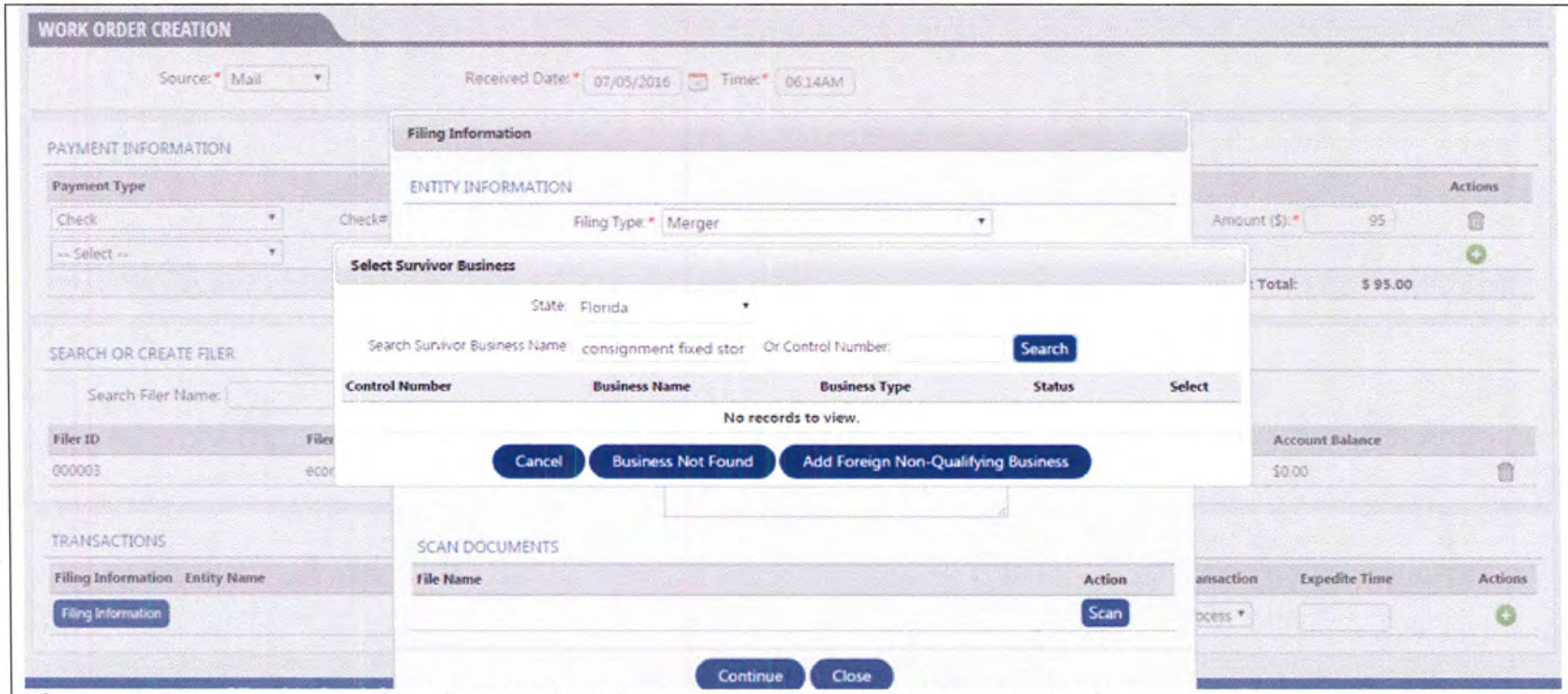


Figure 48. Work order creation. Searched business does not exist. No records to view.

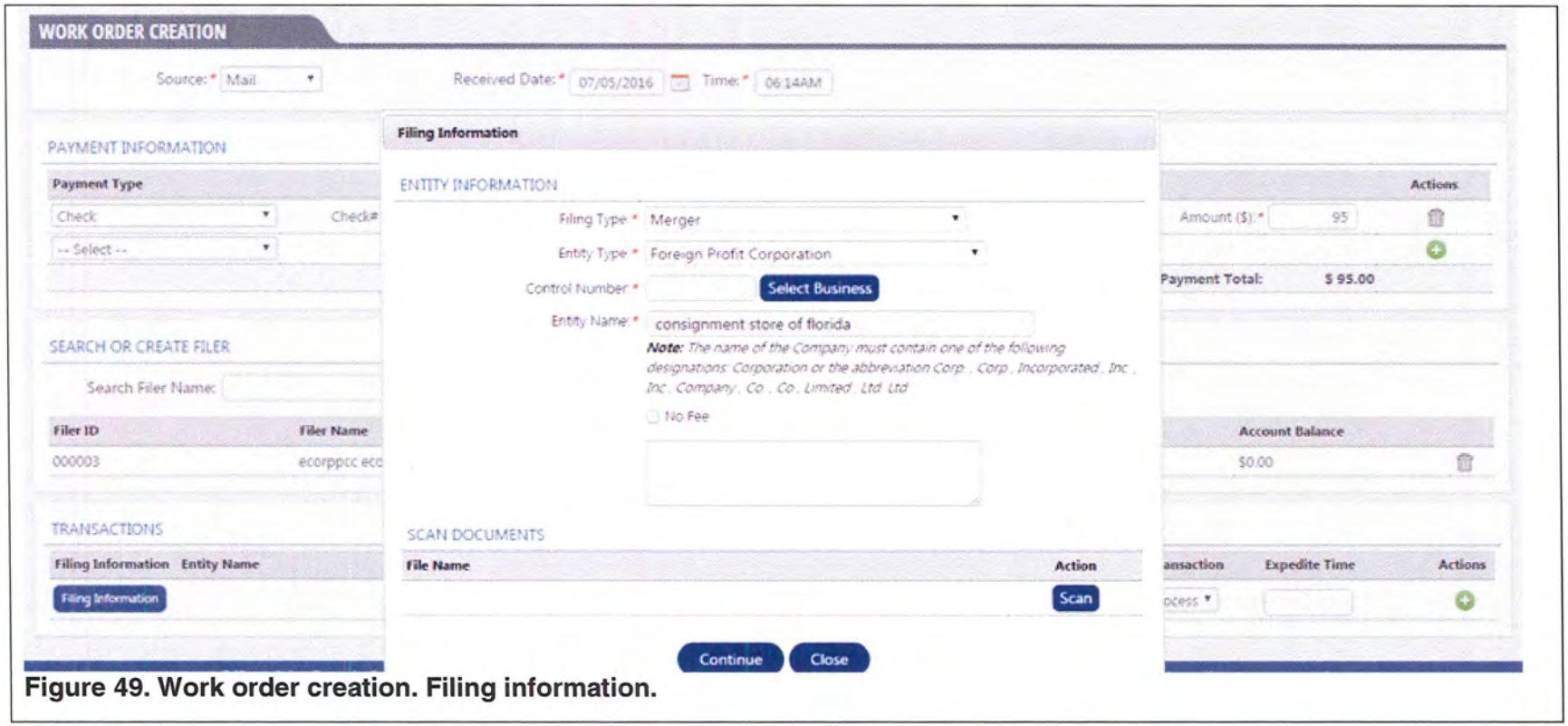


Figure 49. Work order creation. Filing information.

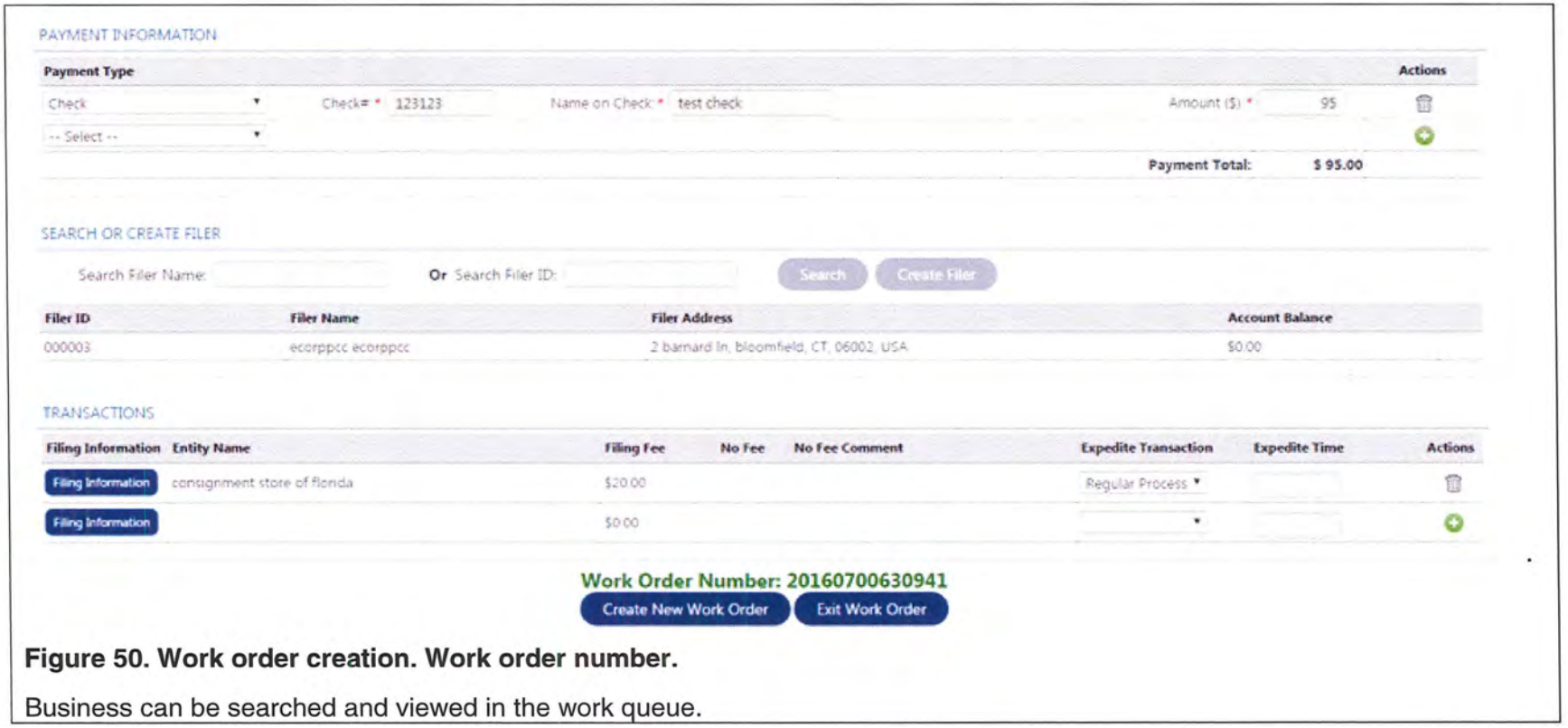


Figure 50. Work order creation. Work order number.

Business can be searched and viewed in the work queue.

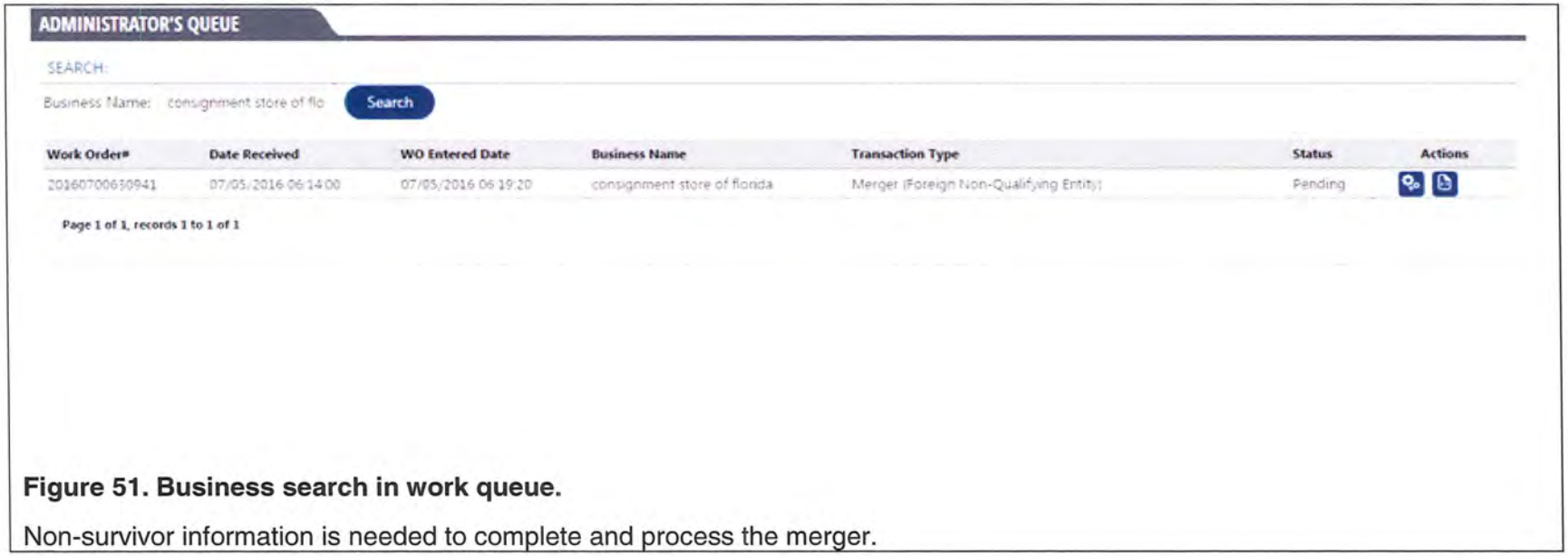


Figure 51. Business search in work queue.

Non-survivor information is needed to complete and process the merger.

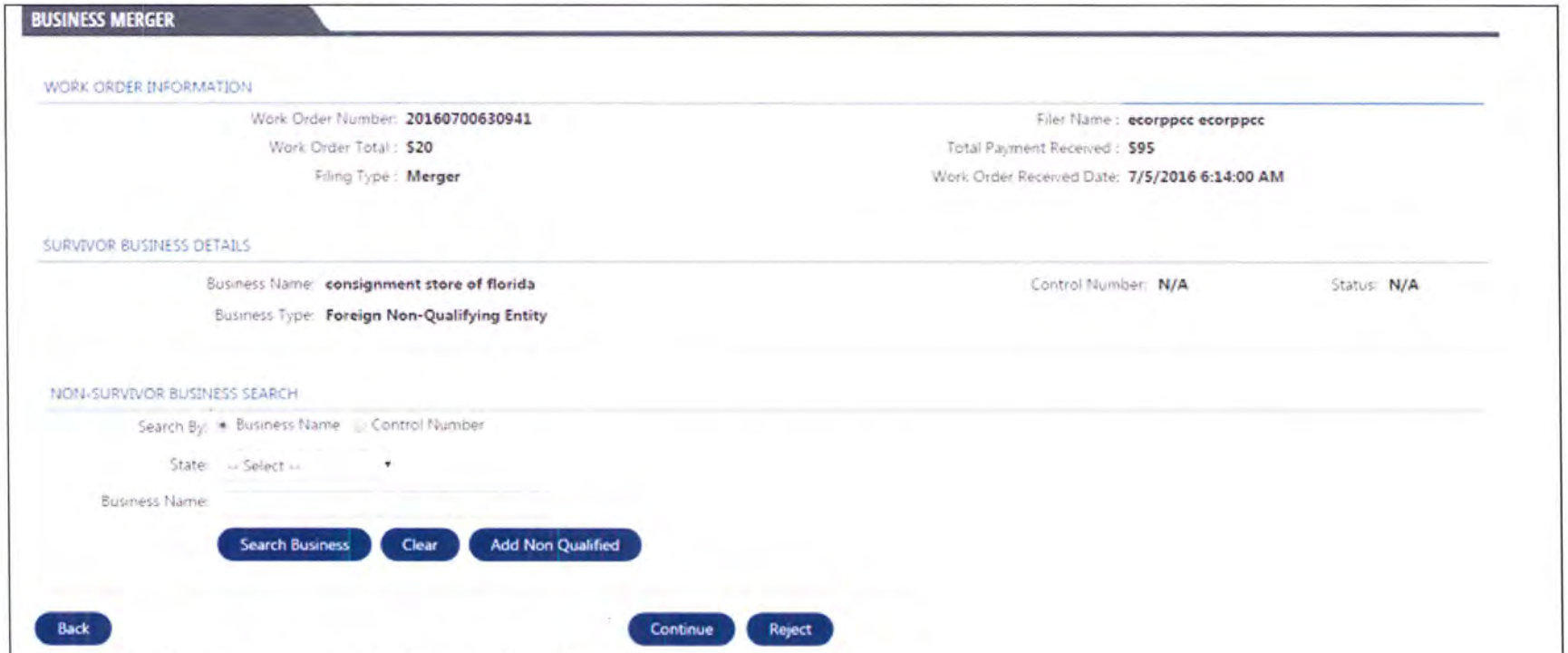


Figure 52. Business merger. Non-survivor business search.

Non-survivor can be searched by the business name or a unique identifier on the business.

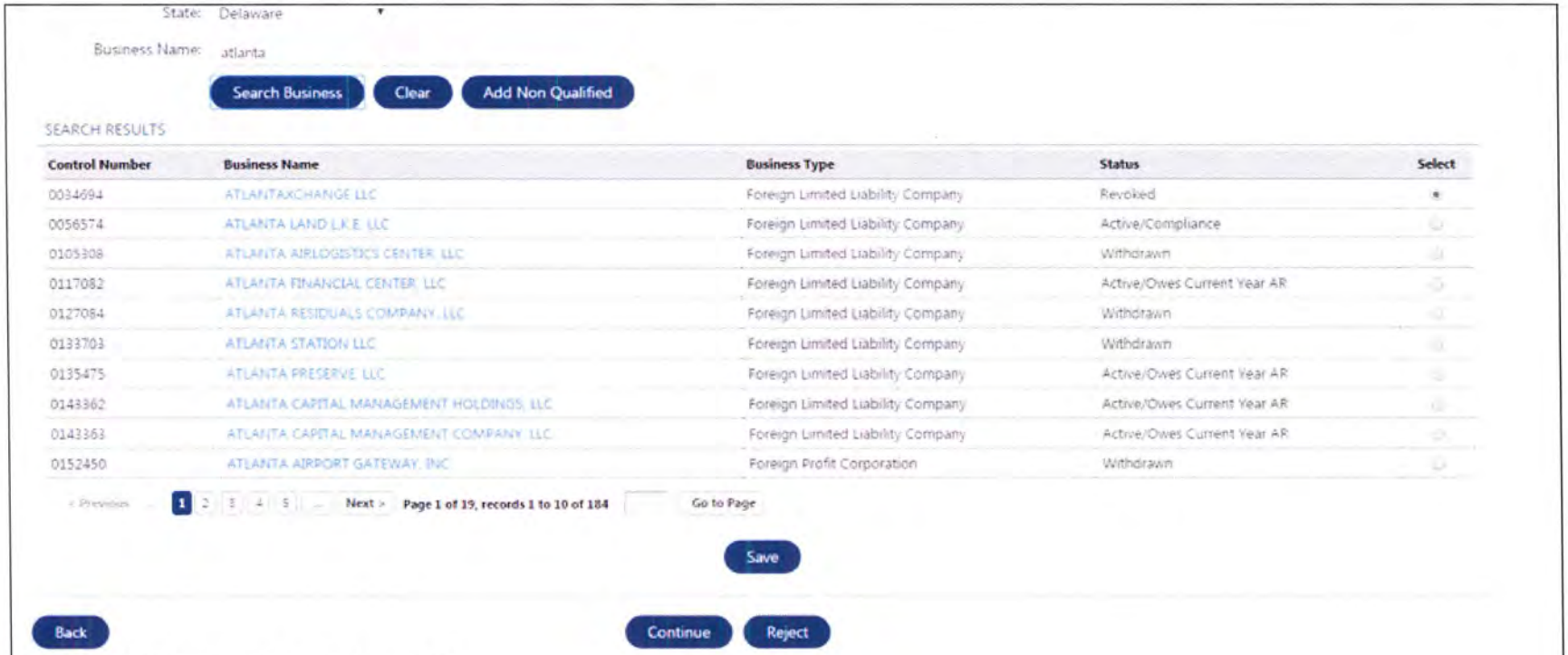


Figure 53. Business search results.

The search results display the current status of the business. The hyperlinks on the business name will navigate to complete business inquiry on a separate tab. Multiple non-survivor businesses can be added.

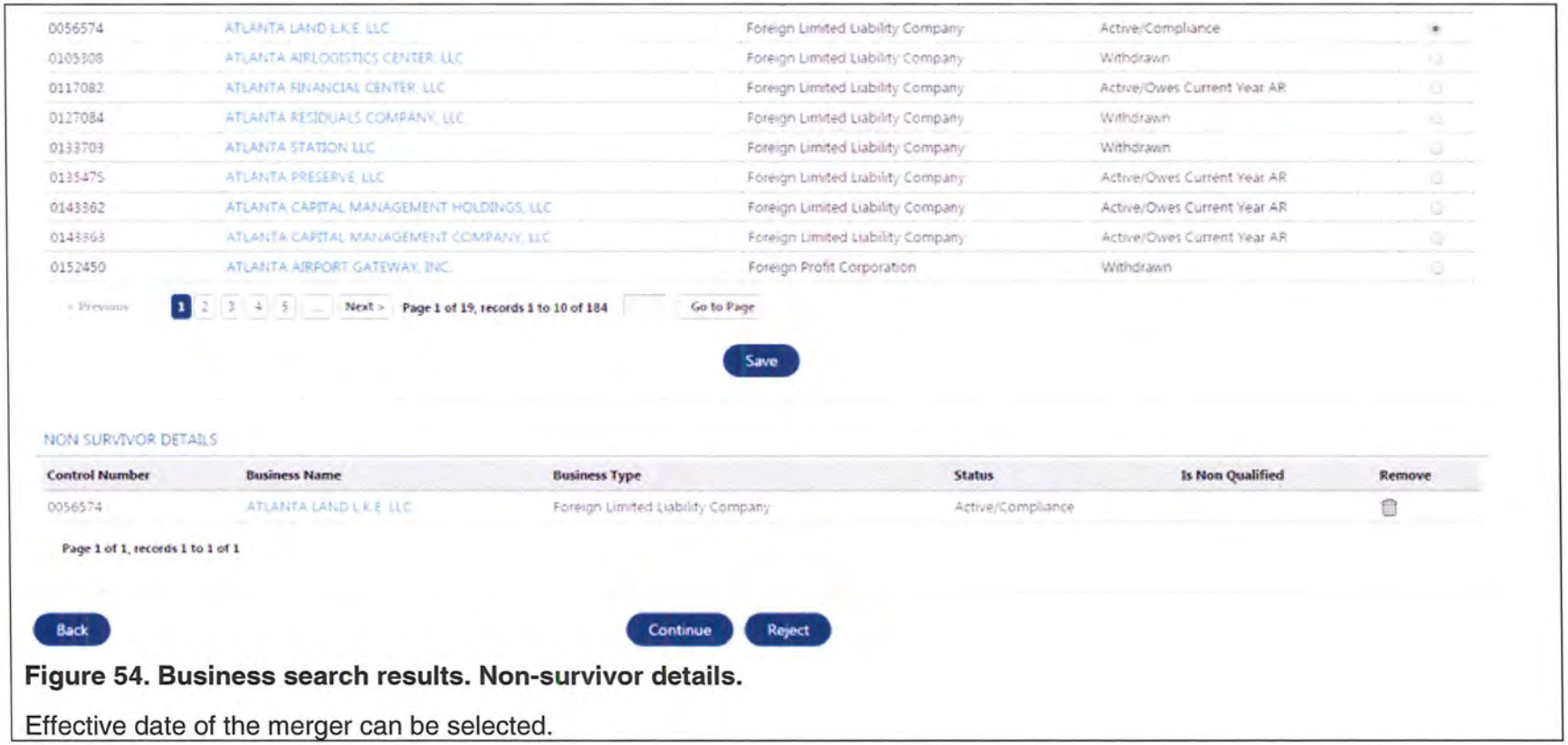


Figure 54. Business search results. Non-survivor details.

Effective date of the merger can be selected.

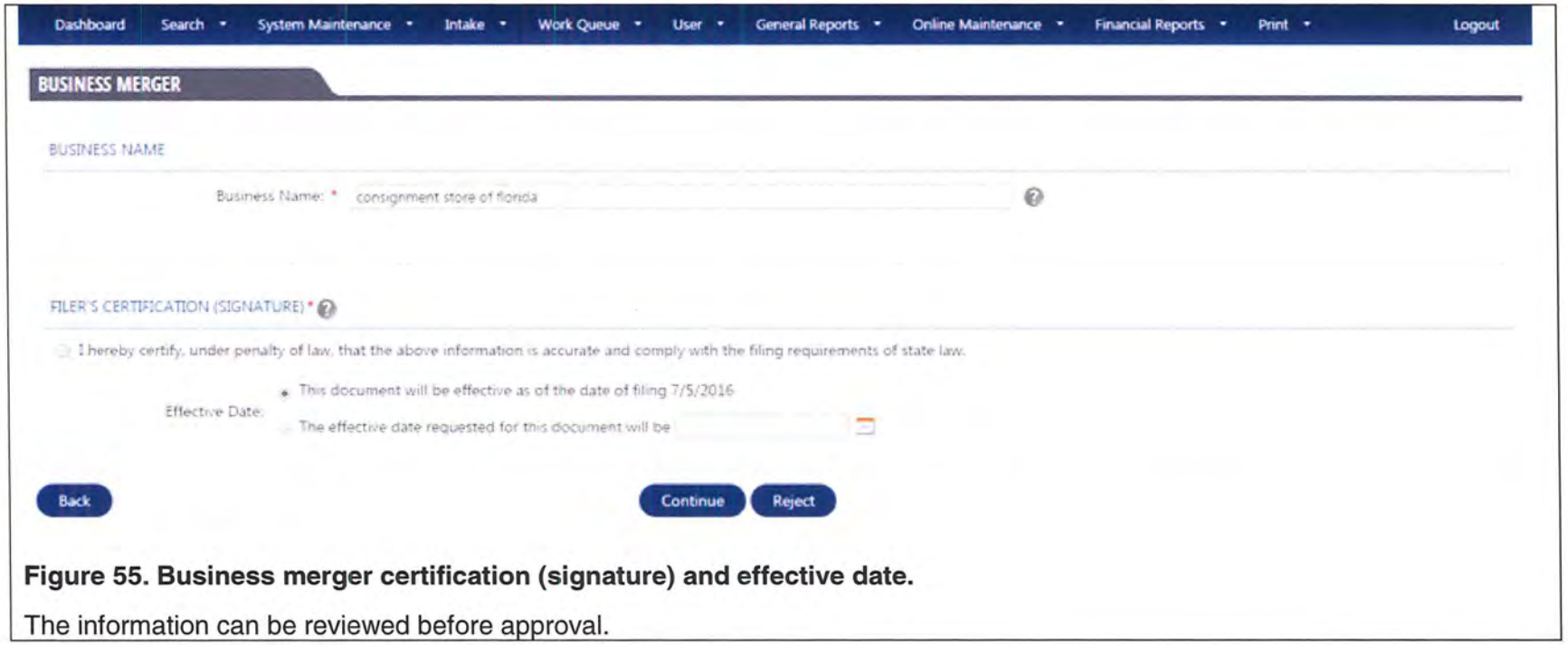


Figure 55. Business merger certification (signature) and effective date.

The information can be reviewed before approval.

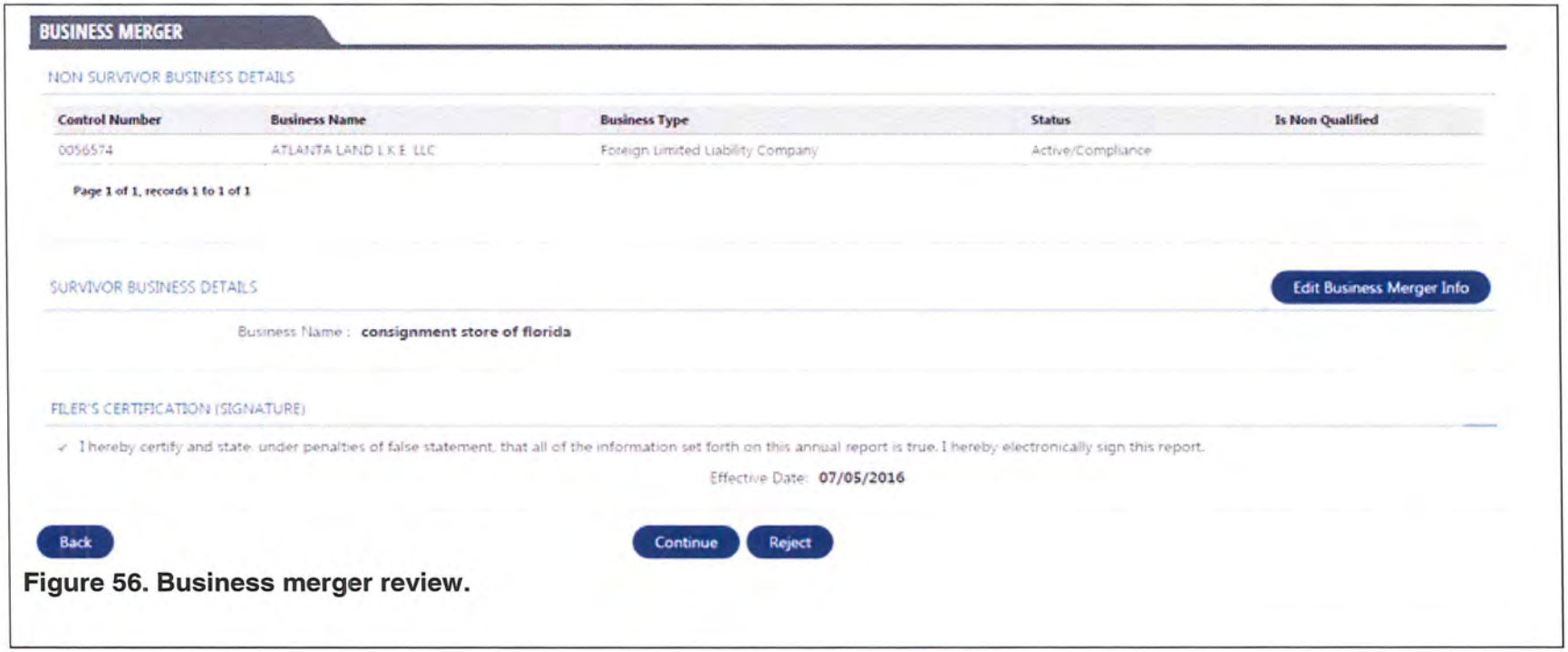


Figure 56. Business merger review.

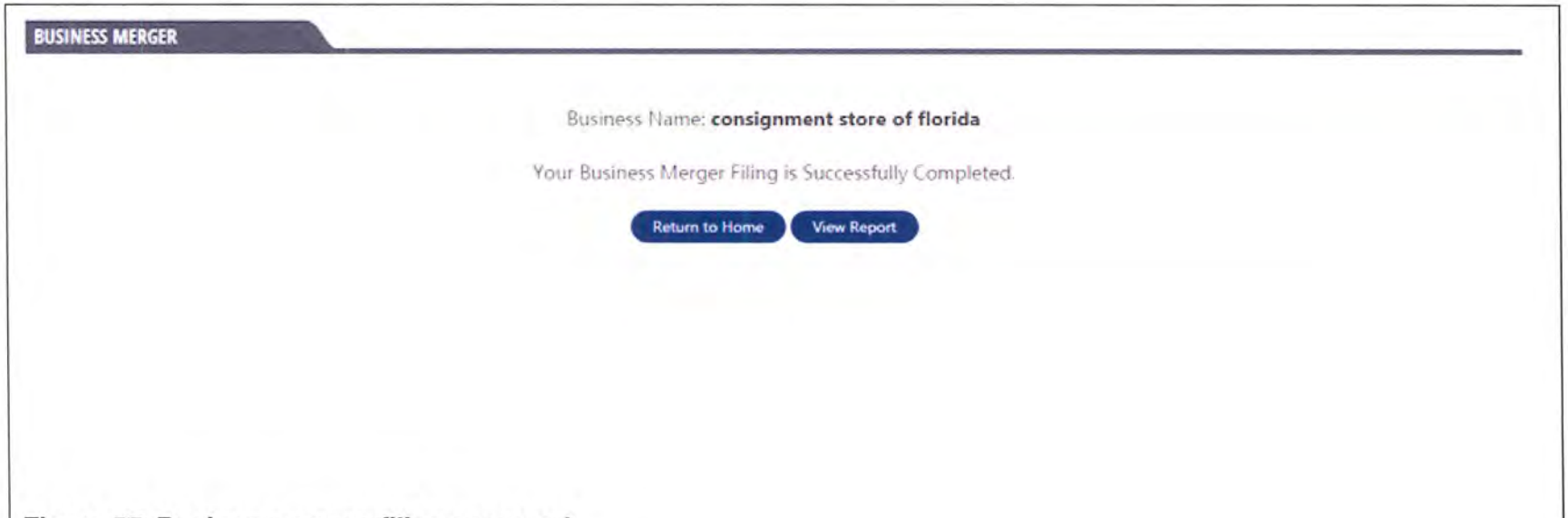
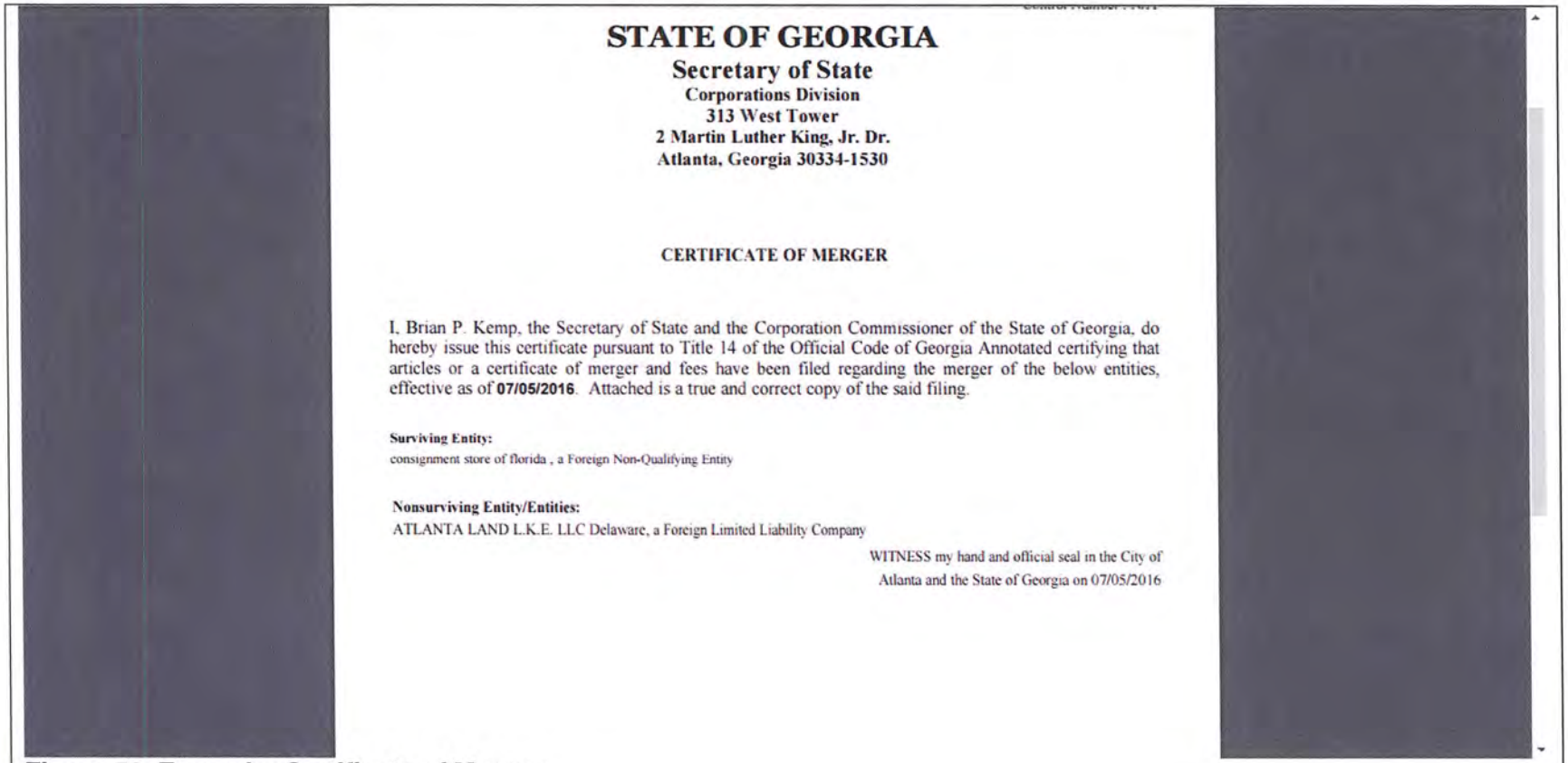


Figure 57. Business merger filing approved.



STATE OF GEORGIA

Secretary of State
Corporations Division
313 West Tower
2 Martin Luther King, Jr. Dr.
Atlanta, Georgia 30334-1530

CERTIFICATE OF MERGER

I, Brian P. Kemp, the Secretary of State and the Corporation Commissioner of the State of Georgia, do hereby issue this certificate pursuant to Title 14 of the Official Code of Georgia Annotated certifying that articles or a certificate of merger and fees have been filed regarding the merger of the below entities, effective as of **07/05/2016**. Attached is a true and correct copy of the said filing.

Surviving Entity:
consignment store of florida , a Foreign Non-Qualifying Entity

Nonsurviving Entity/Entities:
ATLANTA LAND L.K.E. LLC Delaware, a Foreign Limited Liability Company

WITNESS my hand and official seal in the City of
Atlanta and the State of Georgia on 07/05/2016

Figure 58. Example: Certificate of Merger.

Conversion work flow:
Work order is created with the converting entity. Payment information is entered for the work order to the created. The work order can be viewed in the work queue. The converted entity information is entered as part of the processing screen. The application validates the conversion business rules and displays any possible rejection reasons.

Once the filing is approved, the converting entity's business status will be updated to "Converted" and the converted entity's business status will be "Active."

The filing can have a future effective date. If it is future dated, until the future effective date, the converting and the converted entity business status will be updated to "Pending conversion." On the effective date, the converting entity's business status will

be updated to "Converted" and the converted entity's business status will be updated to "Active." The status flip is done through a batch job.

Filing history is created and the conversion certificate is associated to the filing history. All the filing documents are attached to the filing history.

Work order creation:
Enter the source, payment, and filer information.

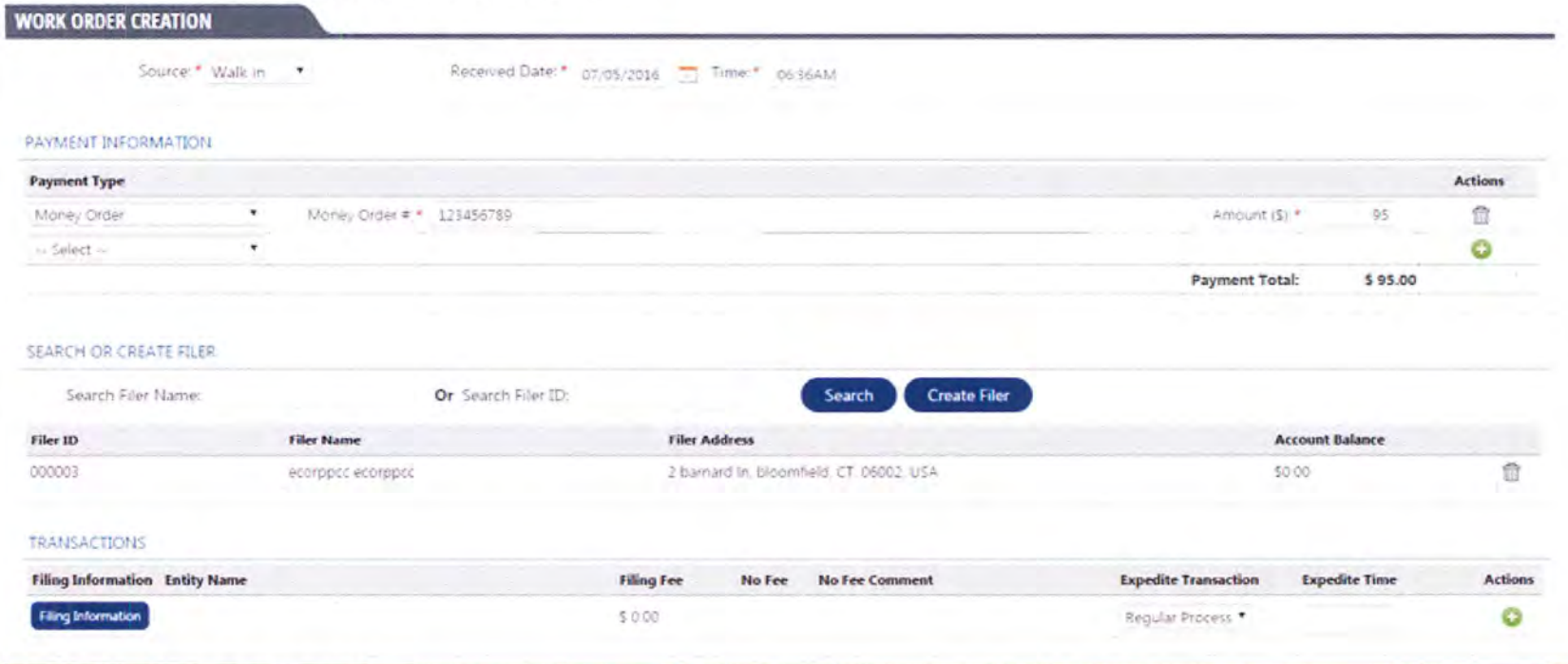


Figure 59. Work order creation.

Enter the converting entity's business name under the filing information.

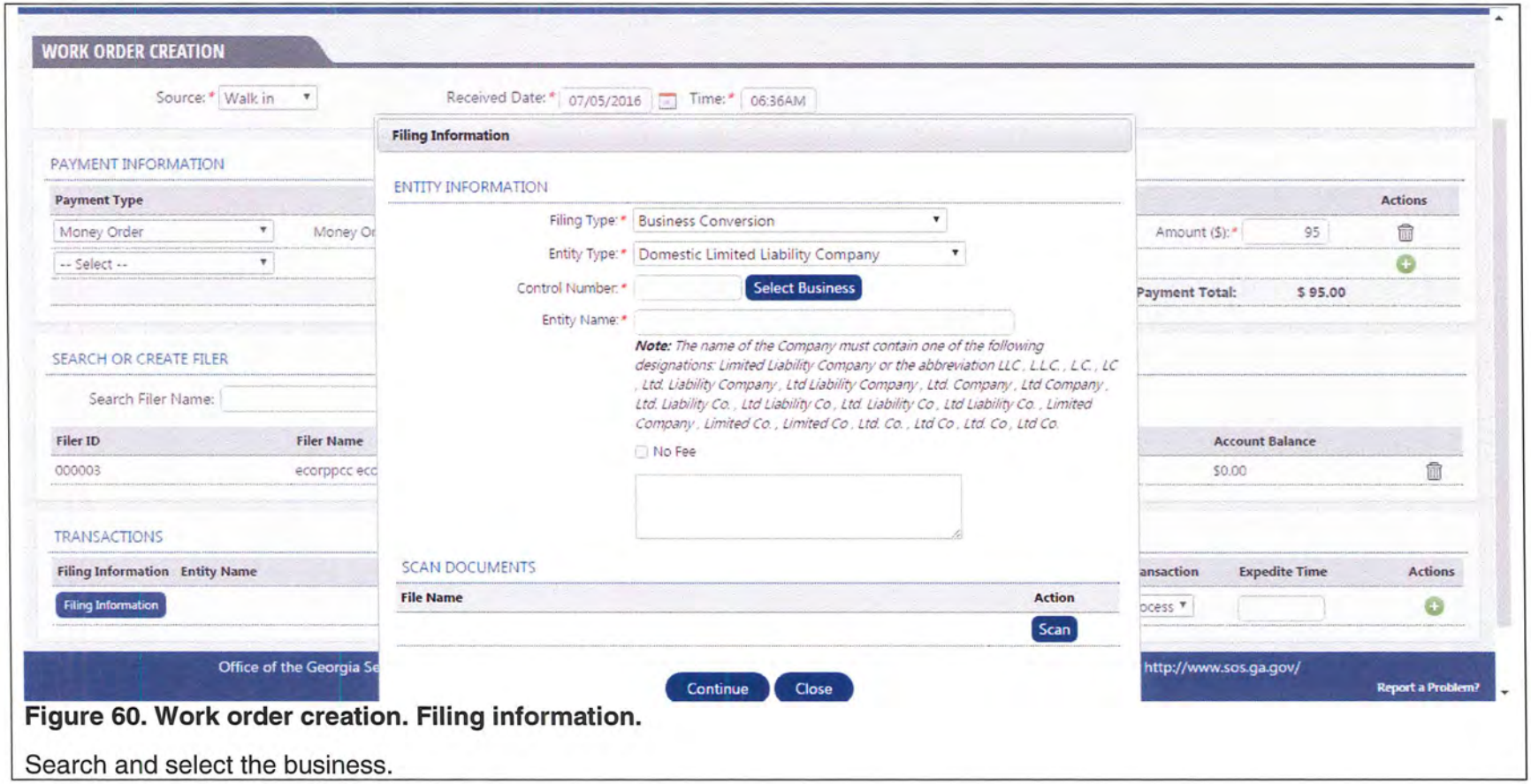


Figure 60. Work order creation. Filing information.

Search and select the business.

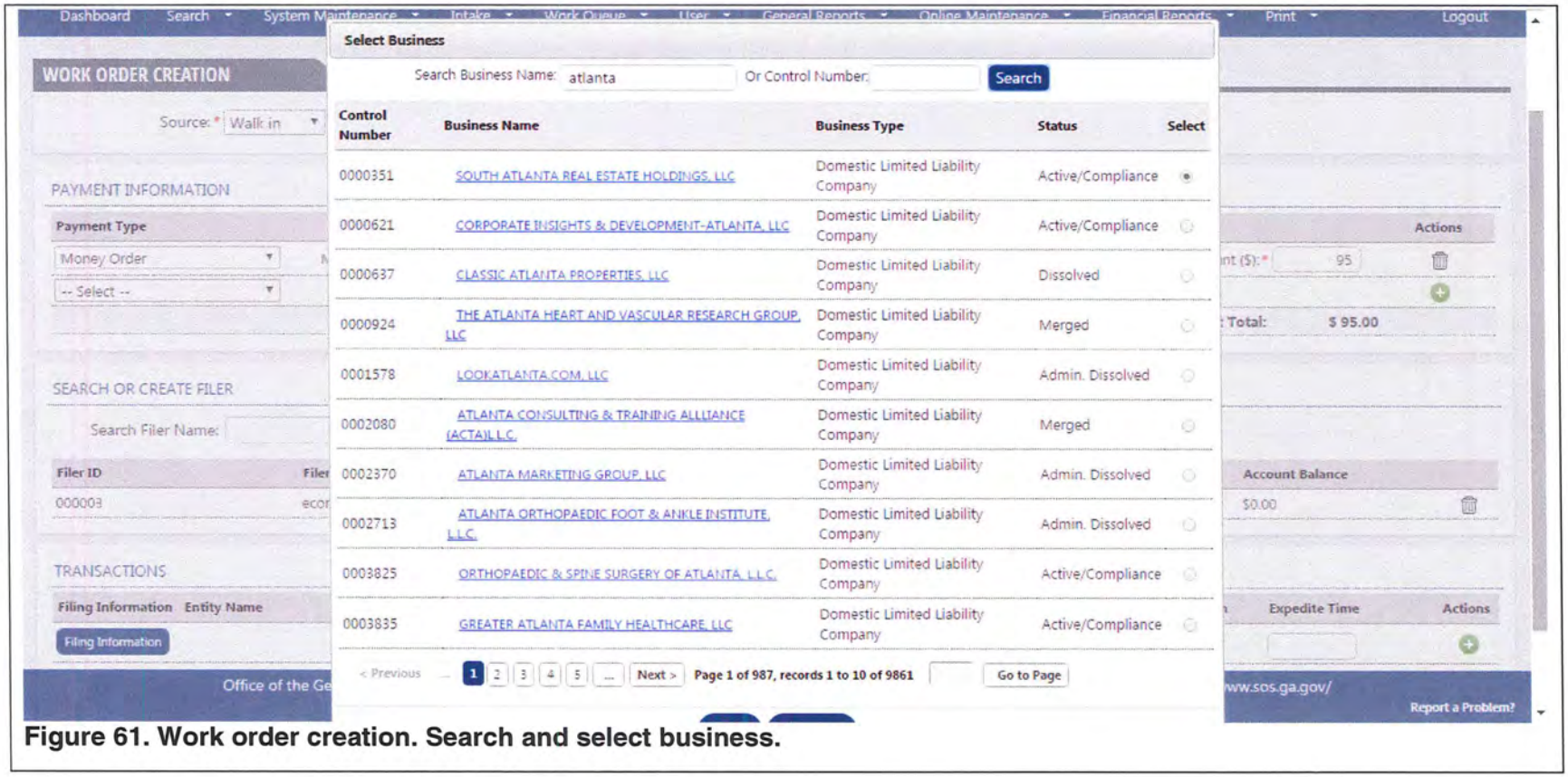


Figure 61. Work order creation. Search and select business.

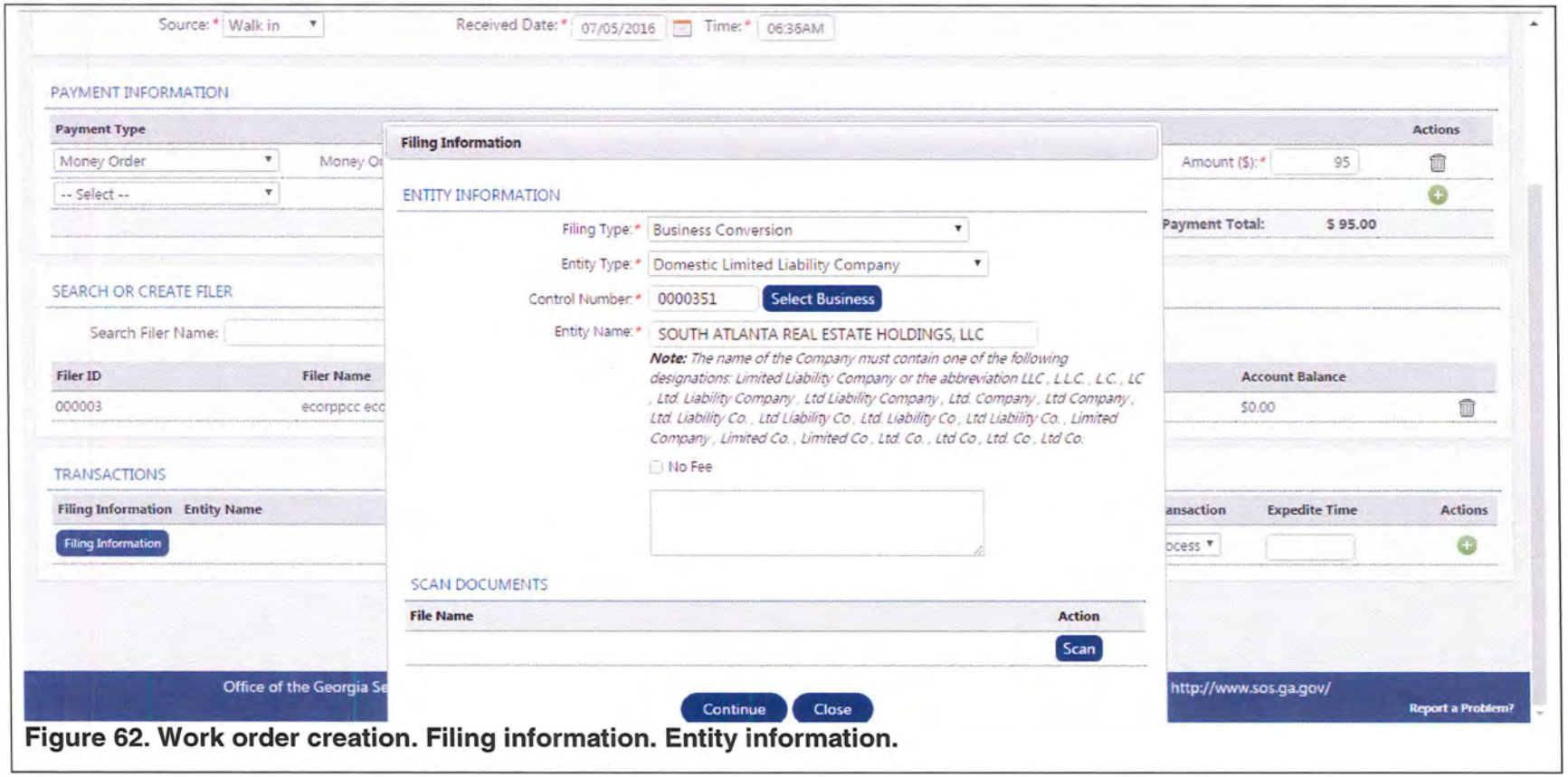


Figure 62. Work order creation. Filing information. Entity information.

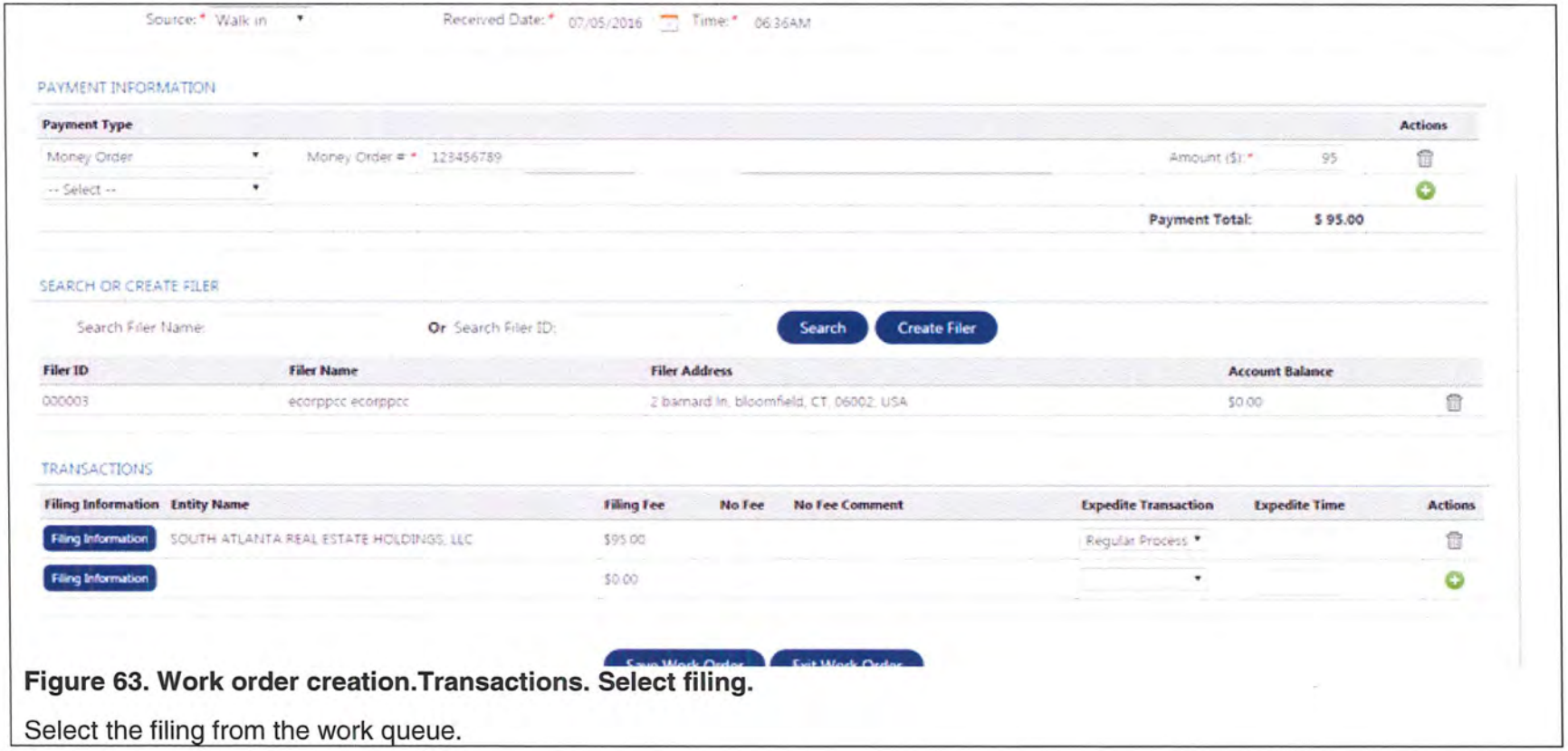


Figure 63. Work order creation.Transactions. Select filing.

Select the filing from the work queue.

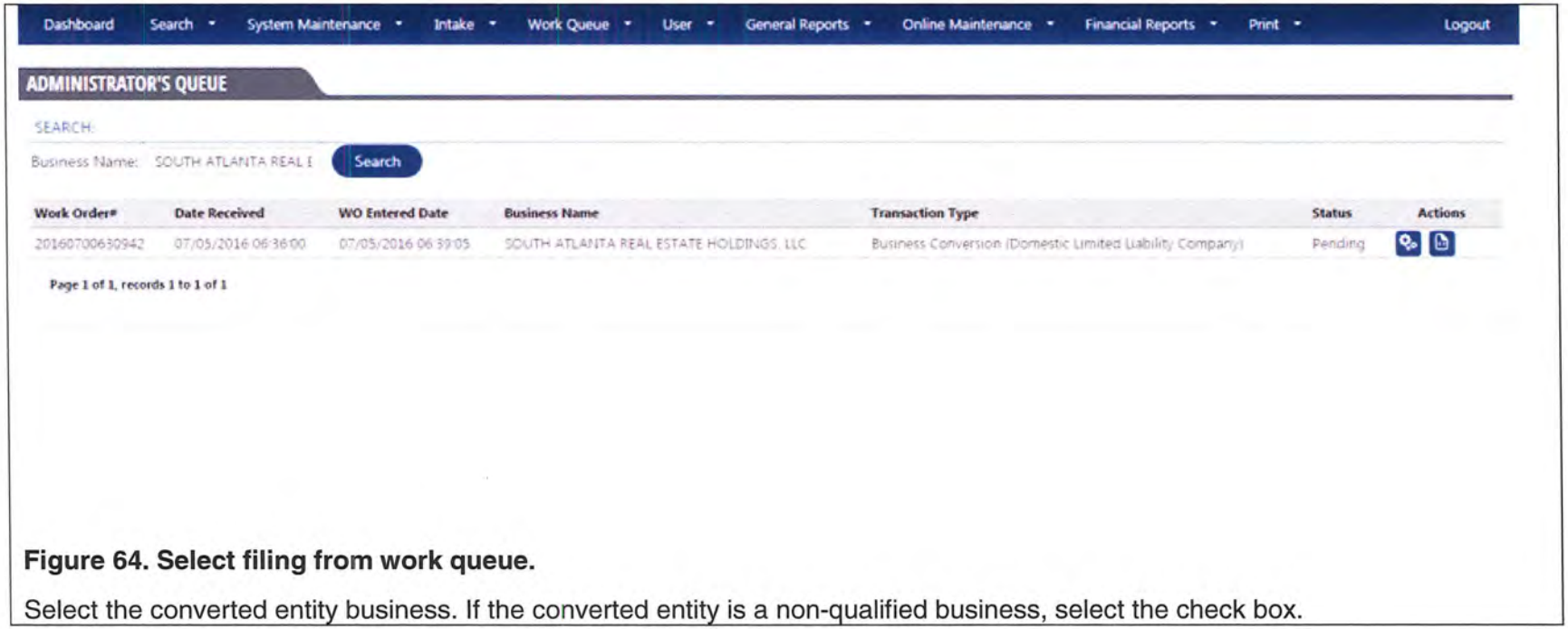


Figure 64. Select filing from work queue.

Select the converted entity business. If the converted entity is a non-qualified business, select the check box.

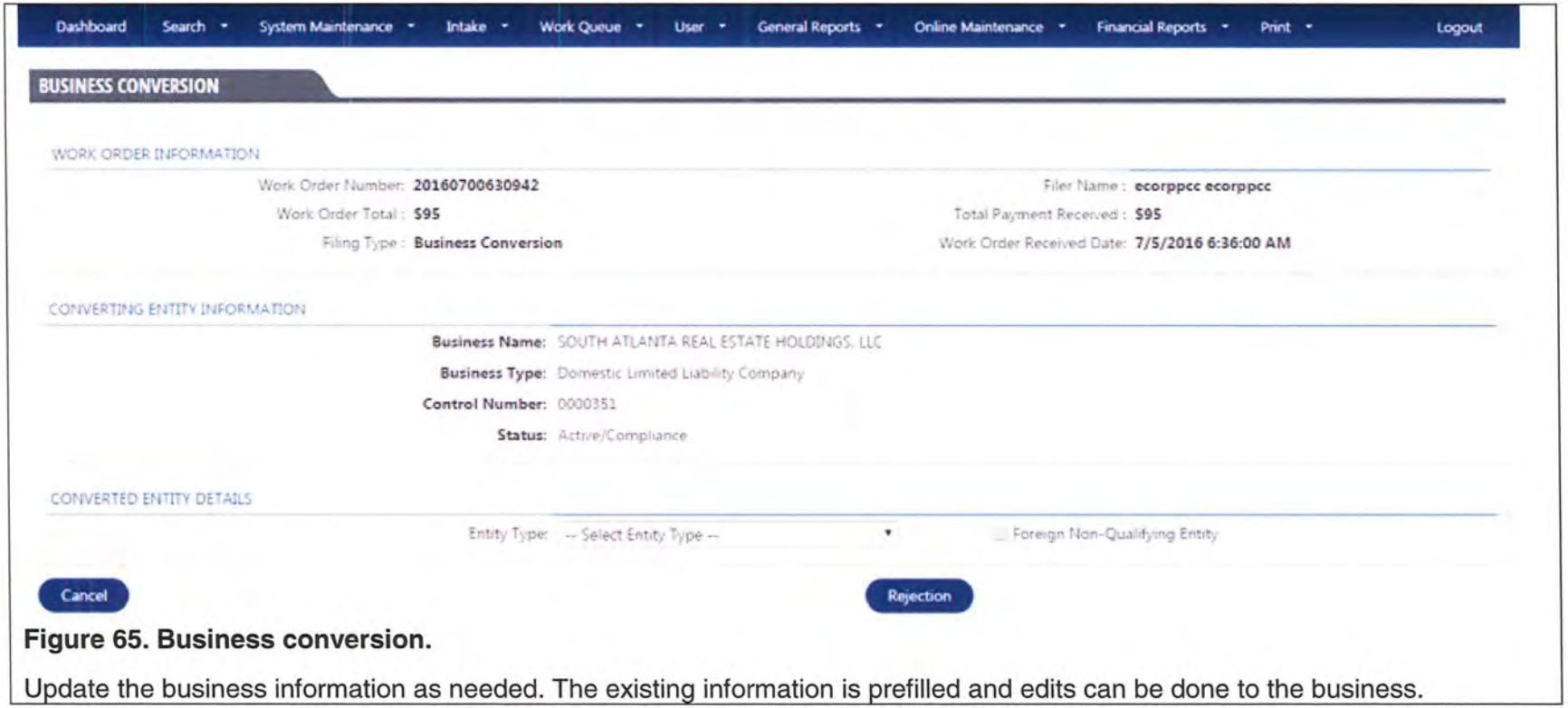


Figure 65. Business conversion.

Update the business information as needed. The existing information is prefilled and edits can be done to the business.

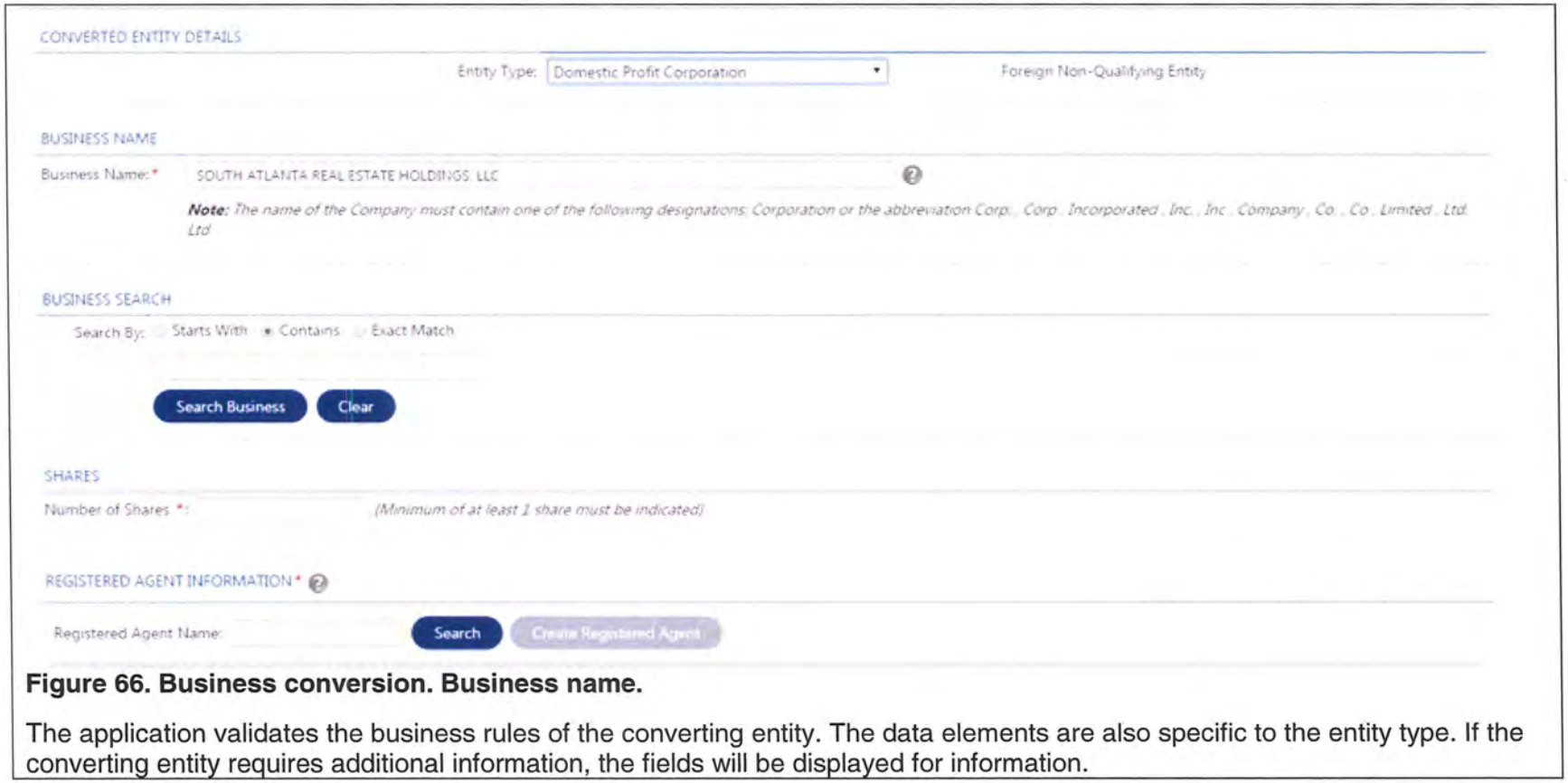


Figure 66. Business conversion. Business name.

The application validates the business rules of the converting entity. The data elements are also specific to the entity type. If the converting entity requires additional information, the fields will be displayed for information.



Figure 67. Business conversion. Business name pop-up notification.

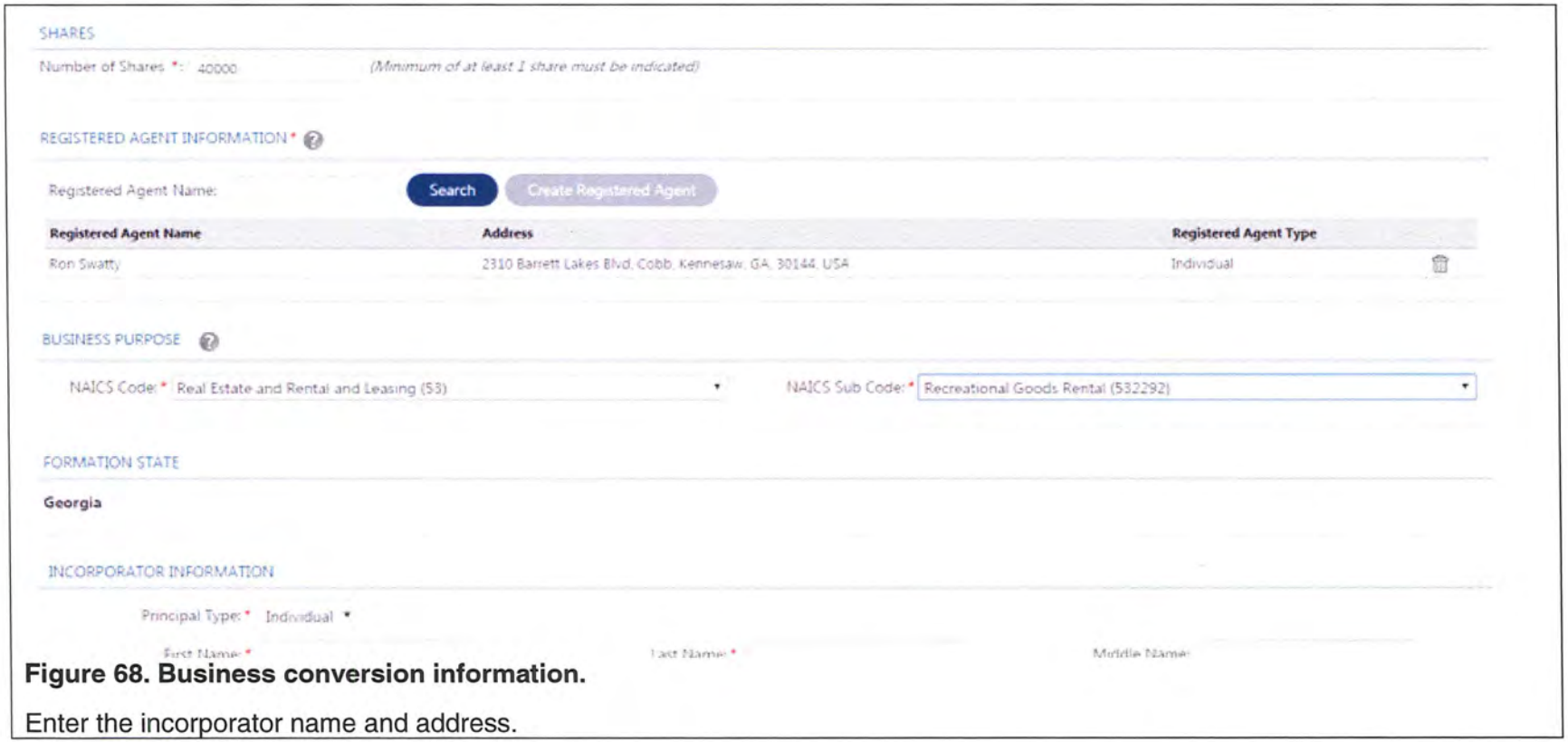


Figure 68. Business conversion information.

Enter the incorporator name and address.

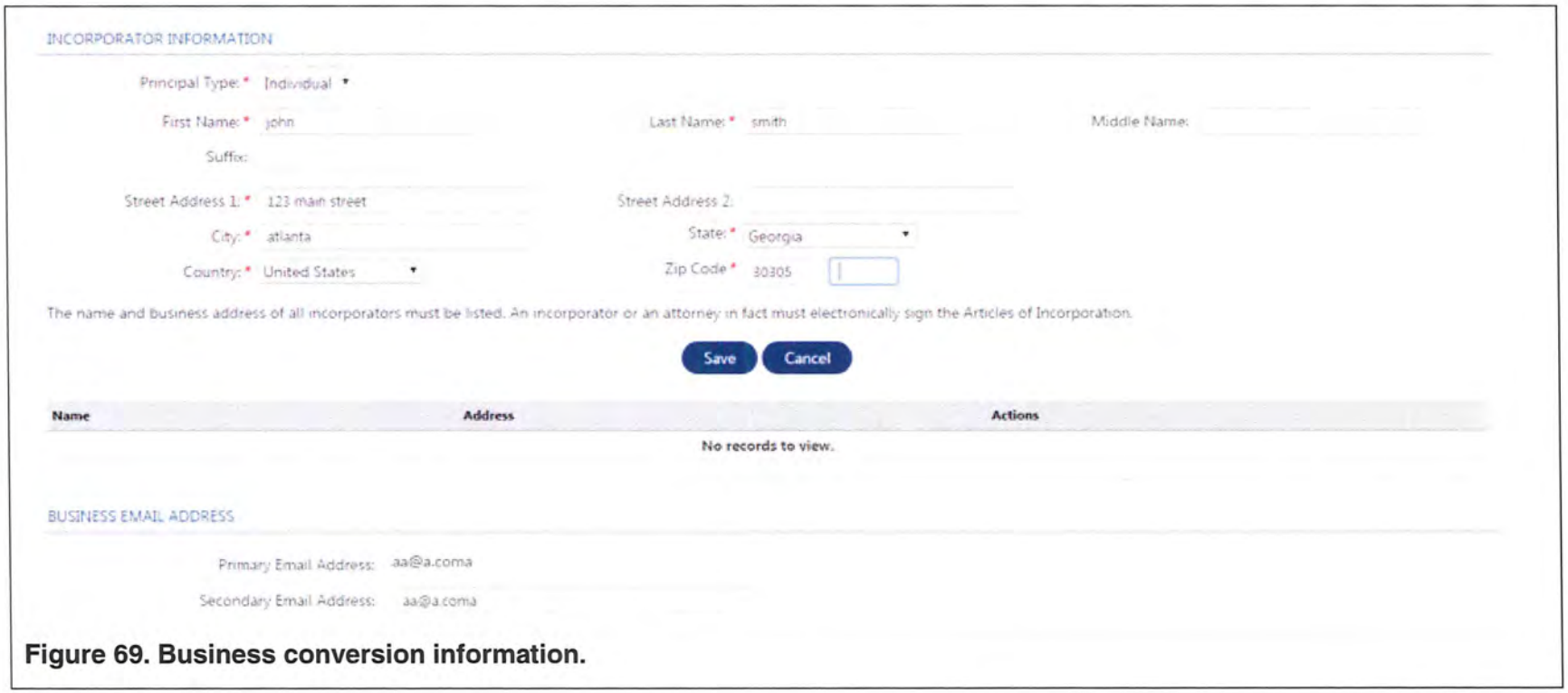


Figure 69. Business conversion information.

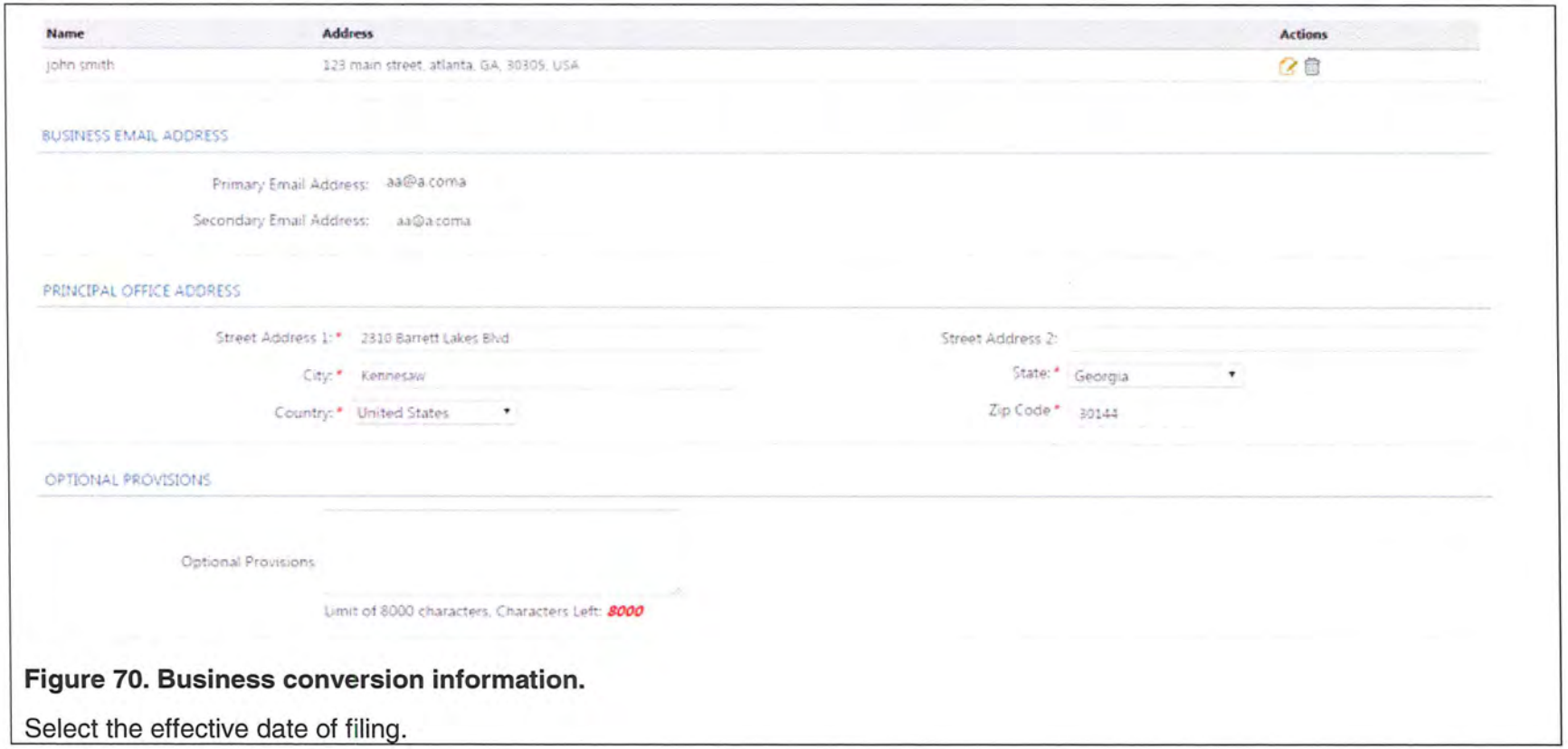


Figure 70. Business conversion information.

Select the effective date of filing.

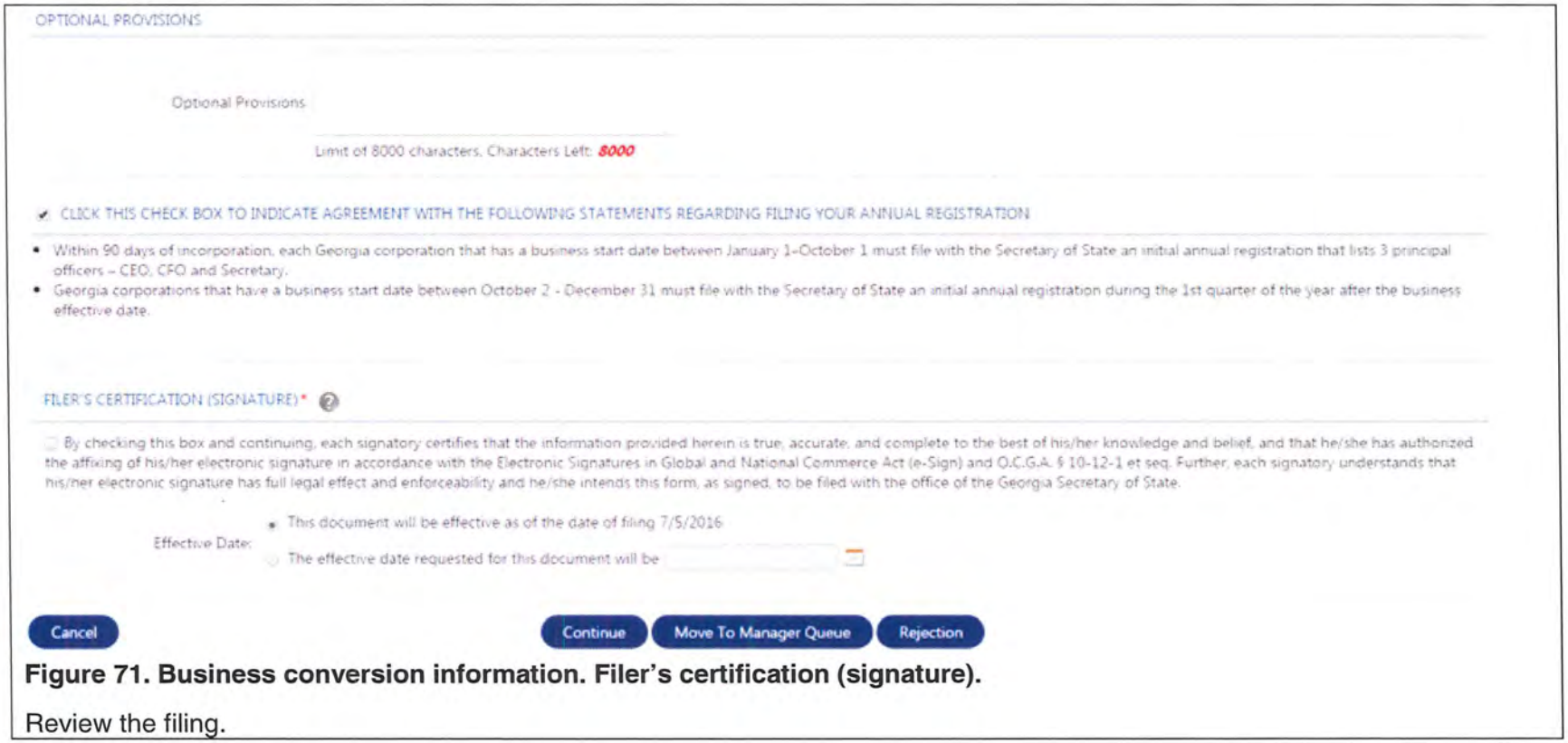


Figure 71. Business conversion information. Filer's certification (signature).

Review the filing.

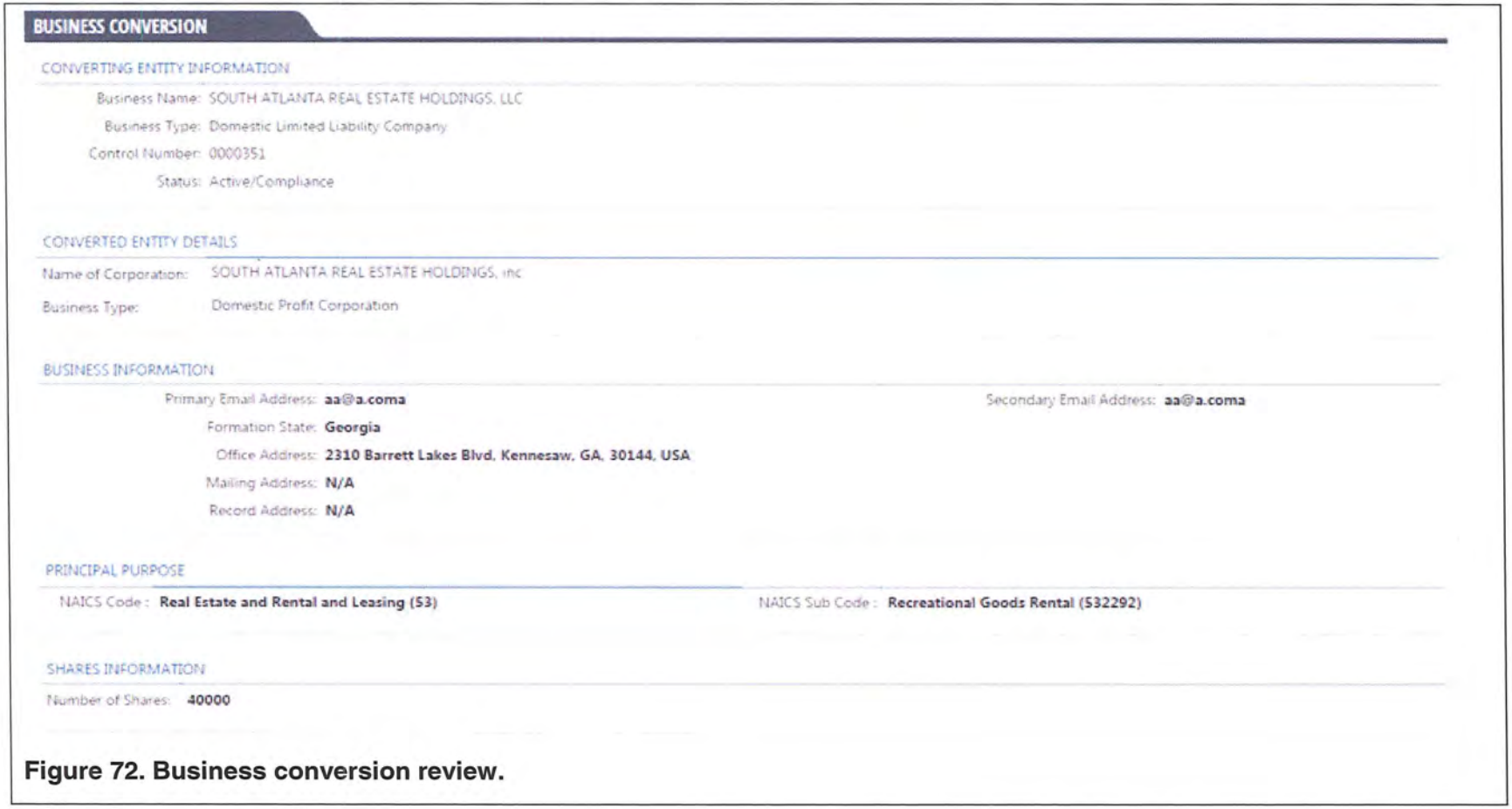


Figure 72. Business conversion review.

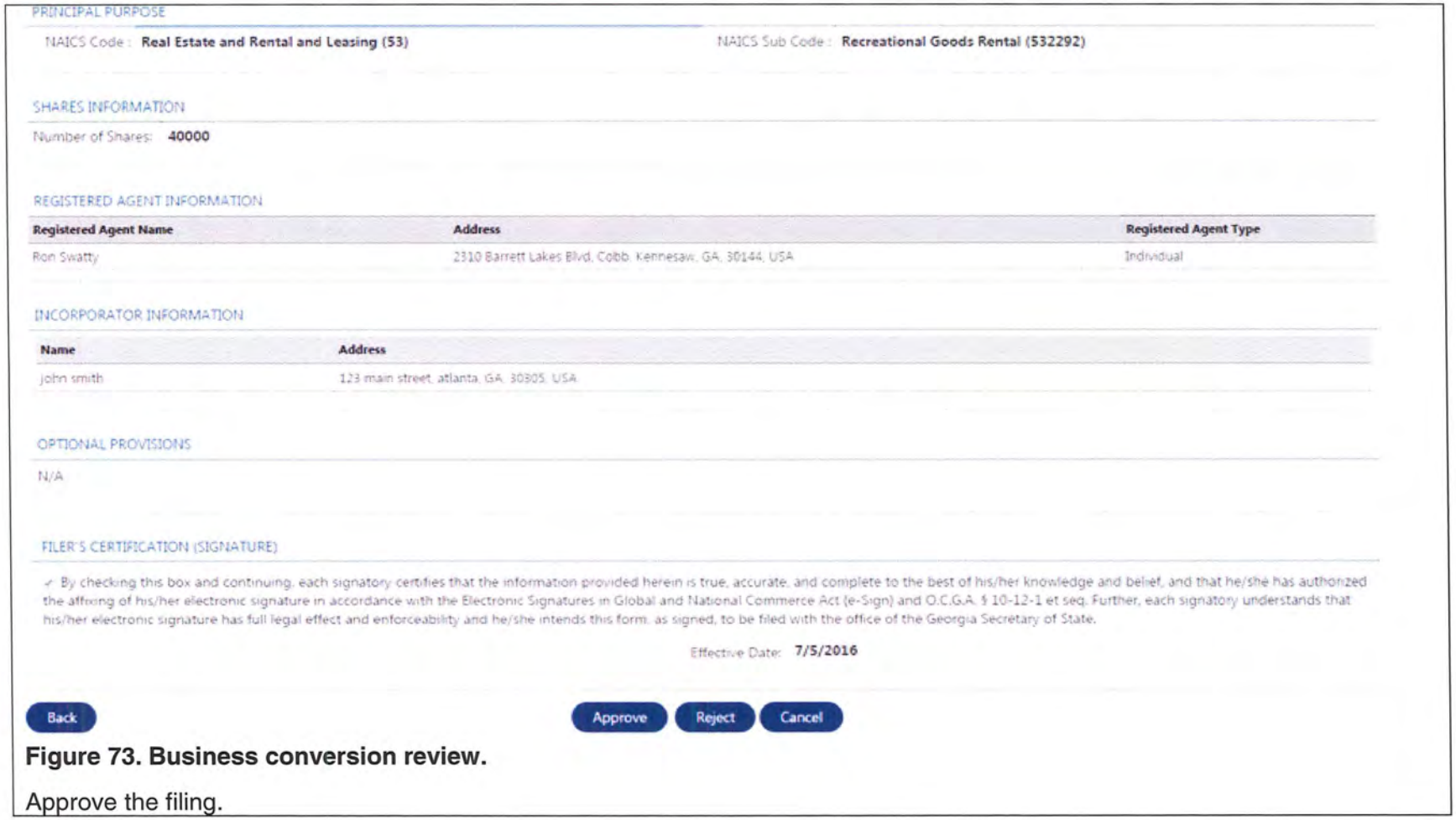


Figure 73. Business conversion review.

Approve the filing.

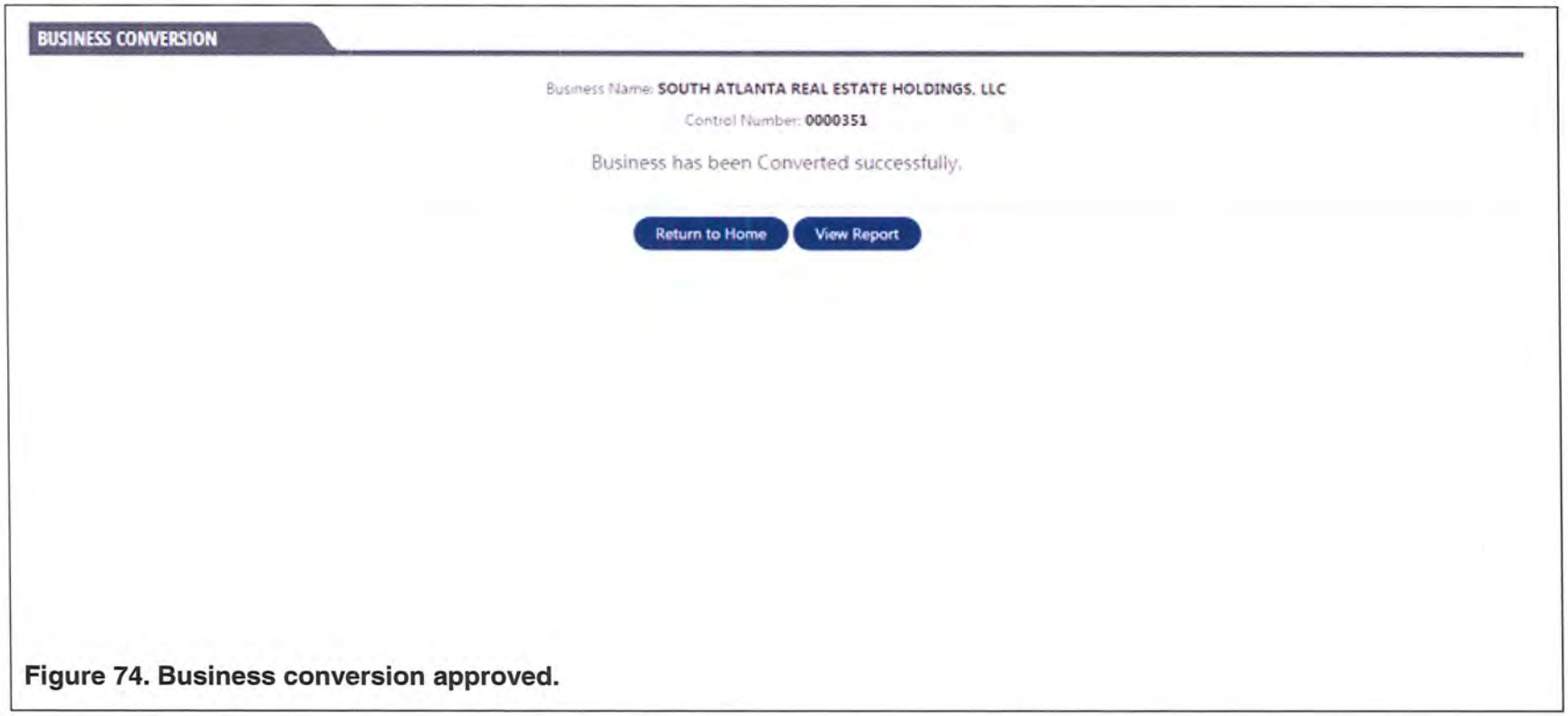
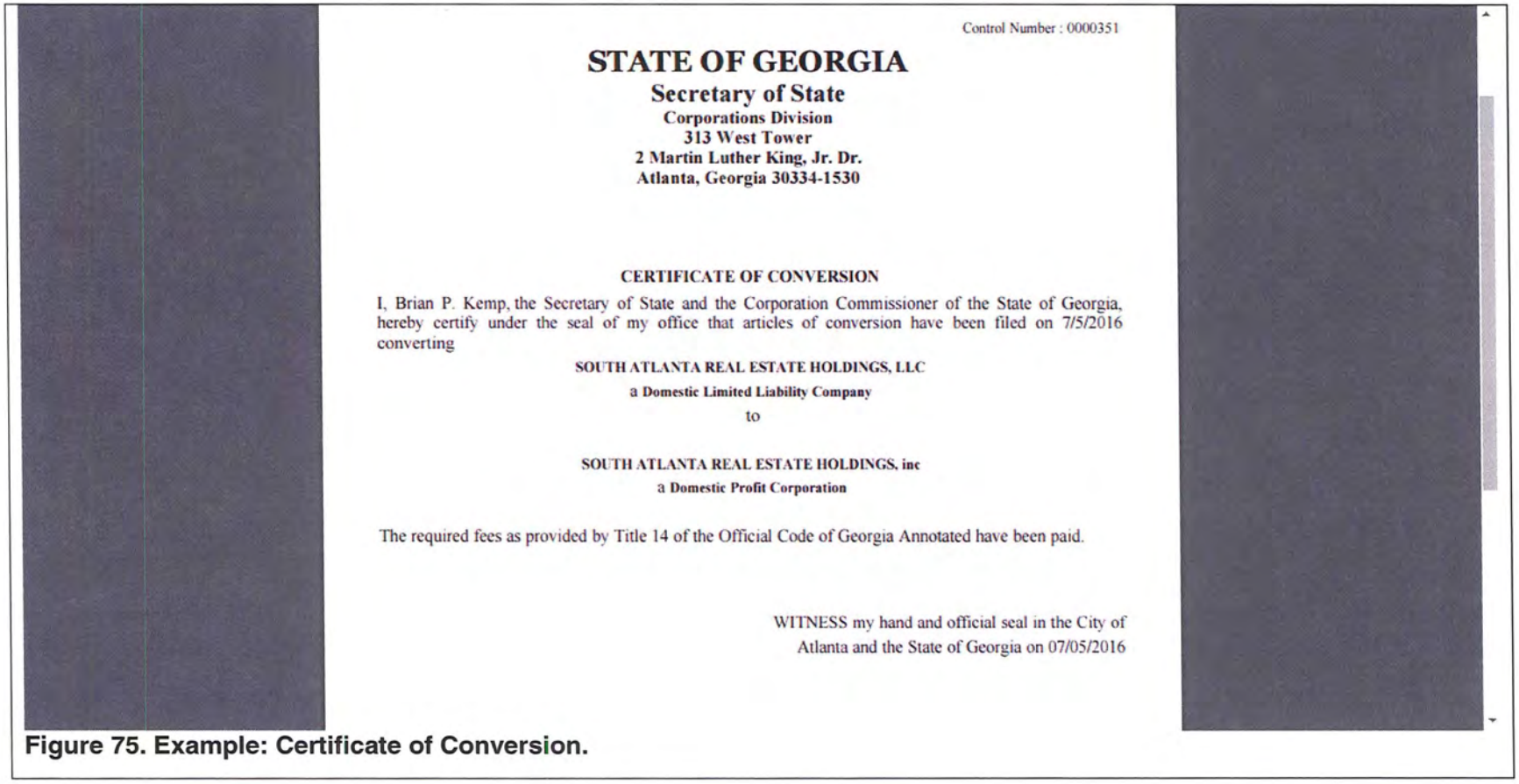


Figure 74. Business conversion approved.



Control Number : 0000351

STATE OF GEORGIA

Secretary of State

Corporations Division
313 West Tower
2 Martin Luther King, Jr. Dr.
Atlanta, Georgia 30334-1530

CERTIFICATE OF CONVERSION

I, Brian P. Kemp, the Secretary of State and the Corporation Commissioner of the State of Georgia, hereby certify under the seal of my office that articles of conversion have been filed on 7/5/2016 converting

SOUTH ATLANTA REAL ESTATE HOLDINGS, LLC

a Domestic Limited Liability Company

to

SOUTH ATLANTA REAL ESTATE HOLDINGS, inc

a Domestic Profit Corporation

The required fees as provided by Title 14 of the Official Code of Georgia Annotated have been paid.

WITNESS my hand and official seal in the City of Atlanta and the State of Georgia on 07/05/2016

Figure 75. Example: Certificate of Conversion.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-8	Dissolution & Revocation Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Dissolution & Revocation Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). D. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Dissolution & Revocation Filings, emphasizing how it improves the current workflow process.	X			
Bidder Response: In the proposed application, a work order is created and the filing is available for processing in the work queue. Once the filing is picked for processing, the filing documents can be viewed and the process screen can be used for data entry. The business status is validated along with the other business rules on the filing. The filing can have a future effective date. The business status will be updated to "Dissolved" once the filing is approved. Once approved, a filing history is created under the business and the filing documents are attached to the filing history. The filing history can be viewed under business inquiry. If rejected, rejection reasons are emailed to the customer.					



Figure 76. Voluntary dissolution.



Figure 77. Voluntary dissolution information.

Complete all the information needed.

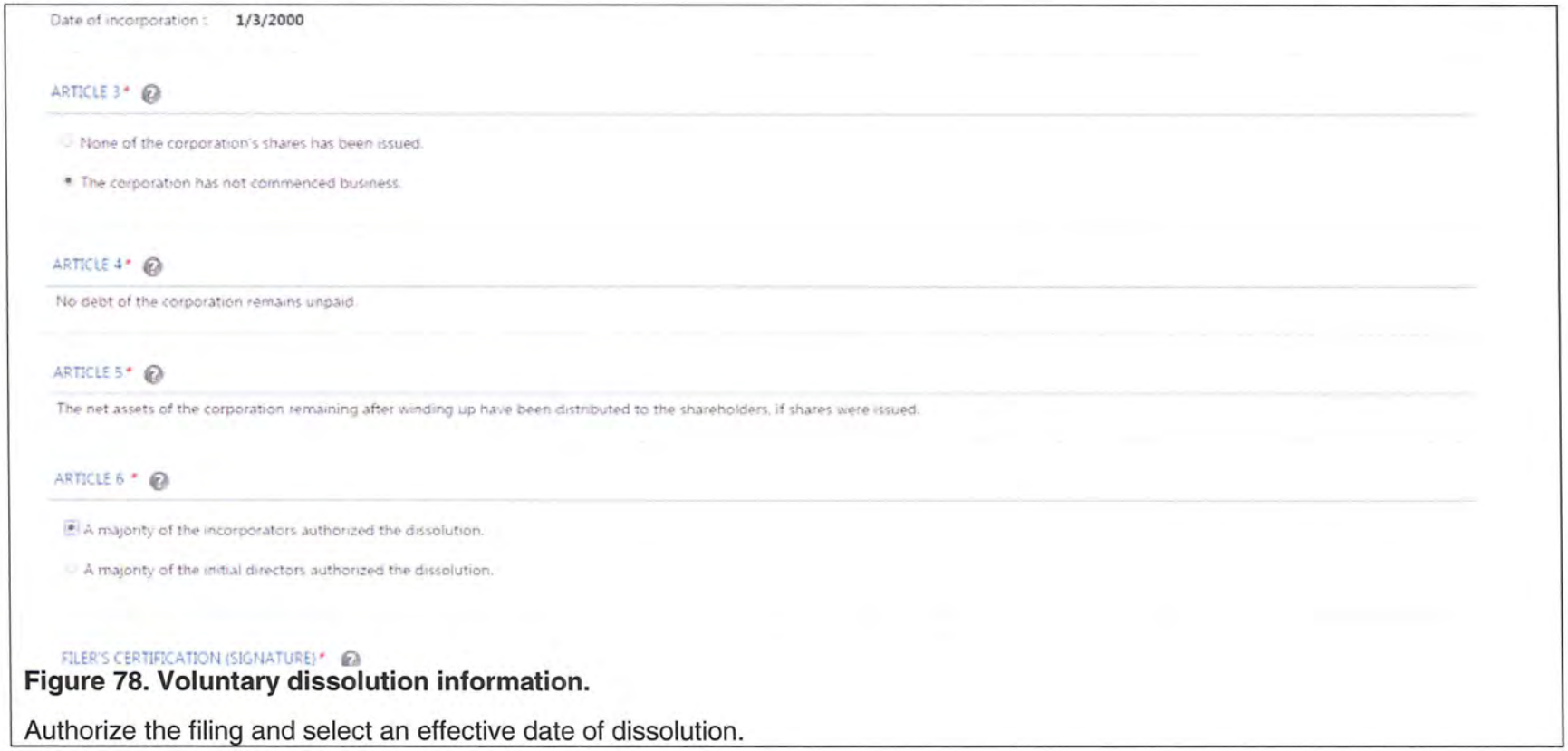


Figure 78. Voluntary dissolution information.

Authorize the filing and select an effective date of dissolution.

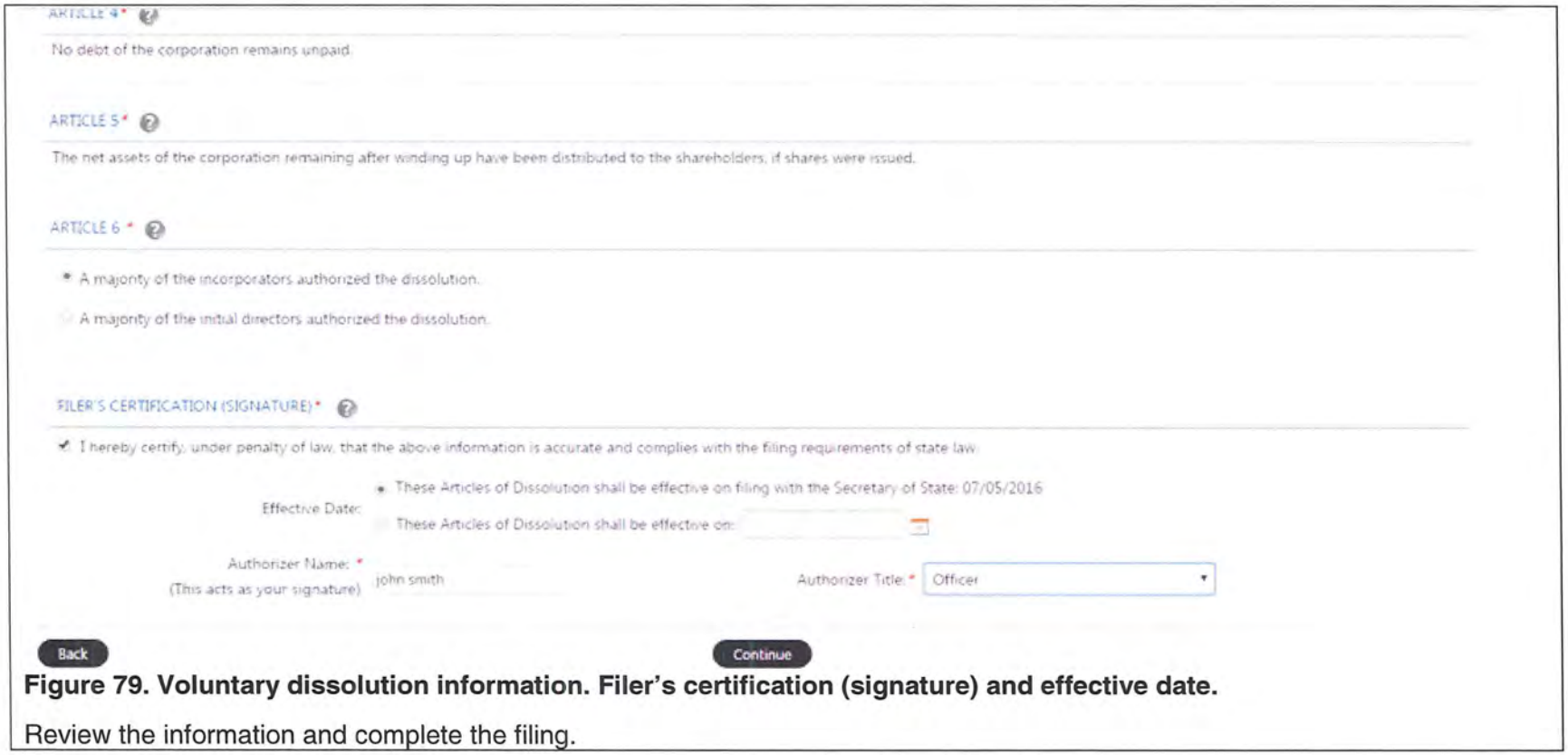


Figure 79. Voluntary dissolution information. Filer's certification (signature) and effective date.

Review the information and complete the filing.

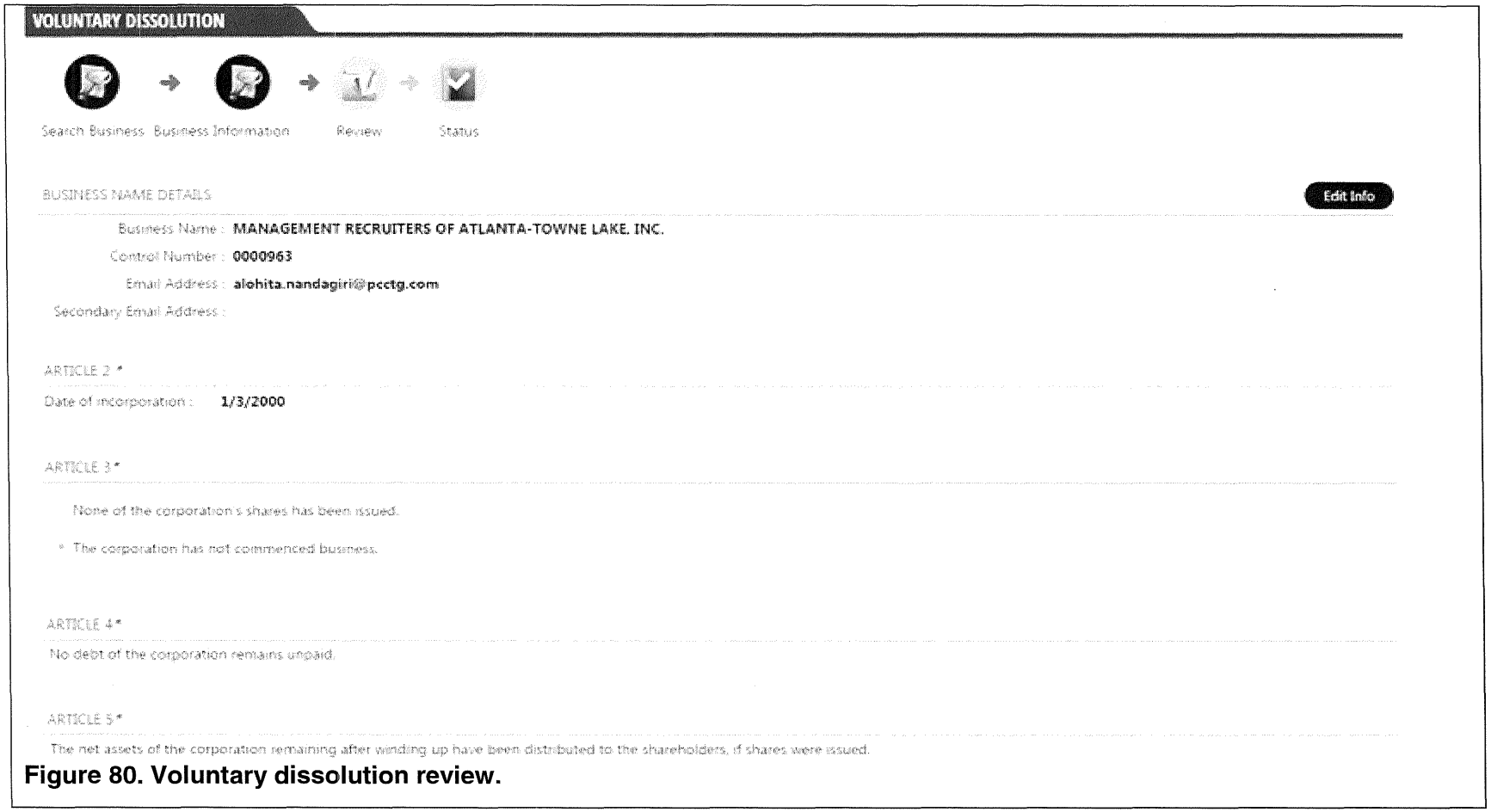


Figure 80. Voluntary dissolution review.

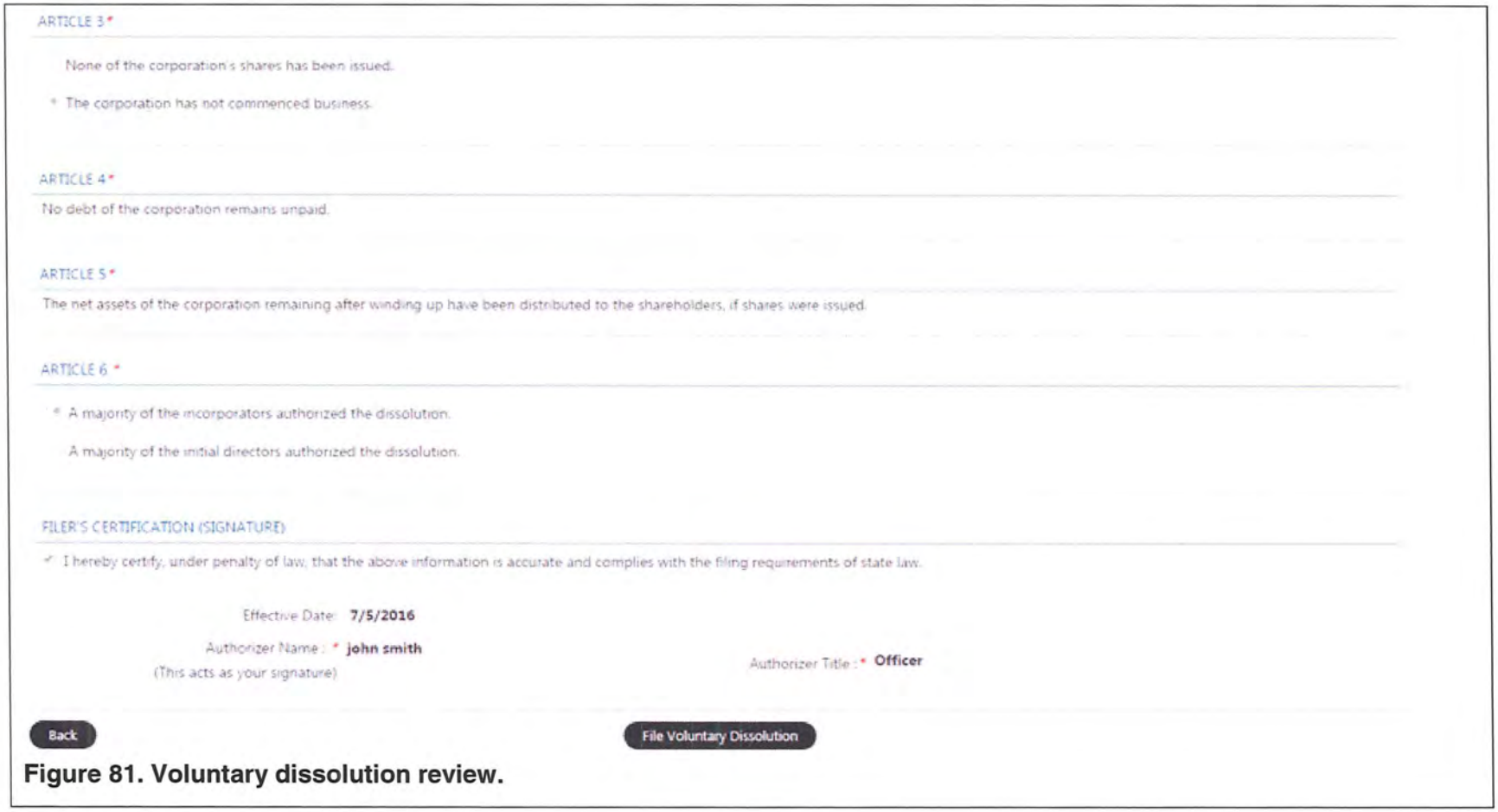
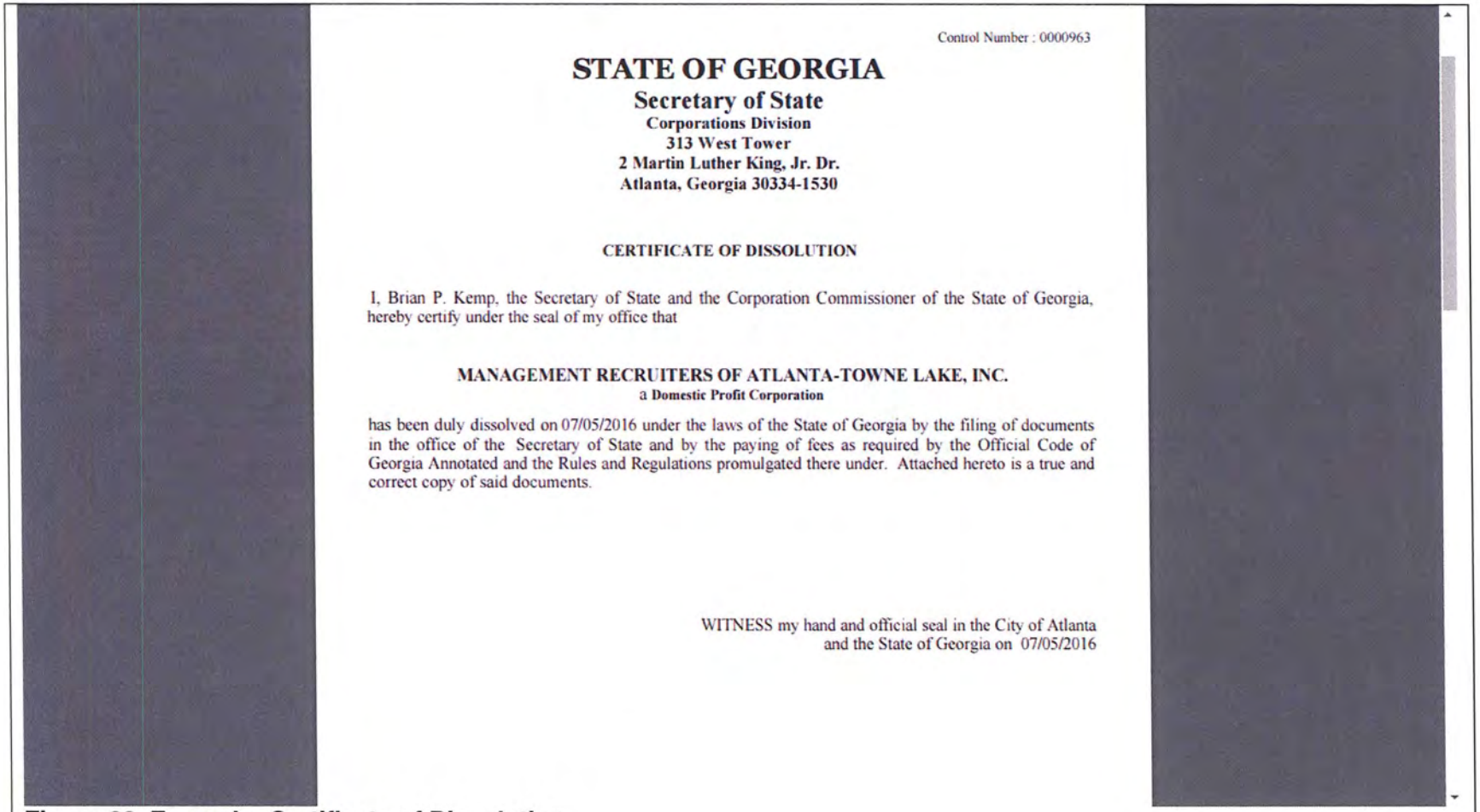


Figure 81. Voluntary dissolution review.



Control Number : 0000963

STATE OF GEORGIA

Secretary of State
Corporations Division
313 West Tower
2 Martin Luther King, Jr. Dr.
Atlanta, Georgia 30334-1530

CERTIFICATE OF DISSOLUTION

I, Brian P. Kemp, the Secretary of State and the Corporation Commissioner of the State of Georgia, hereby certify under the seal of my office that

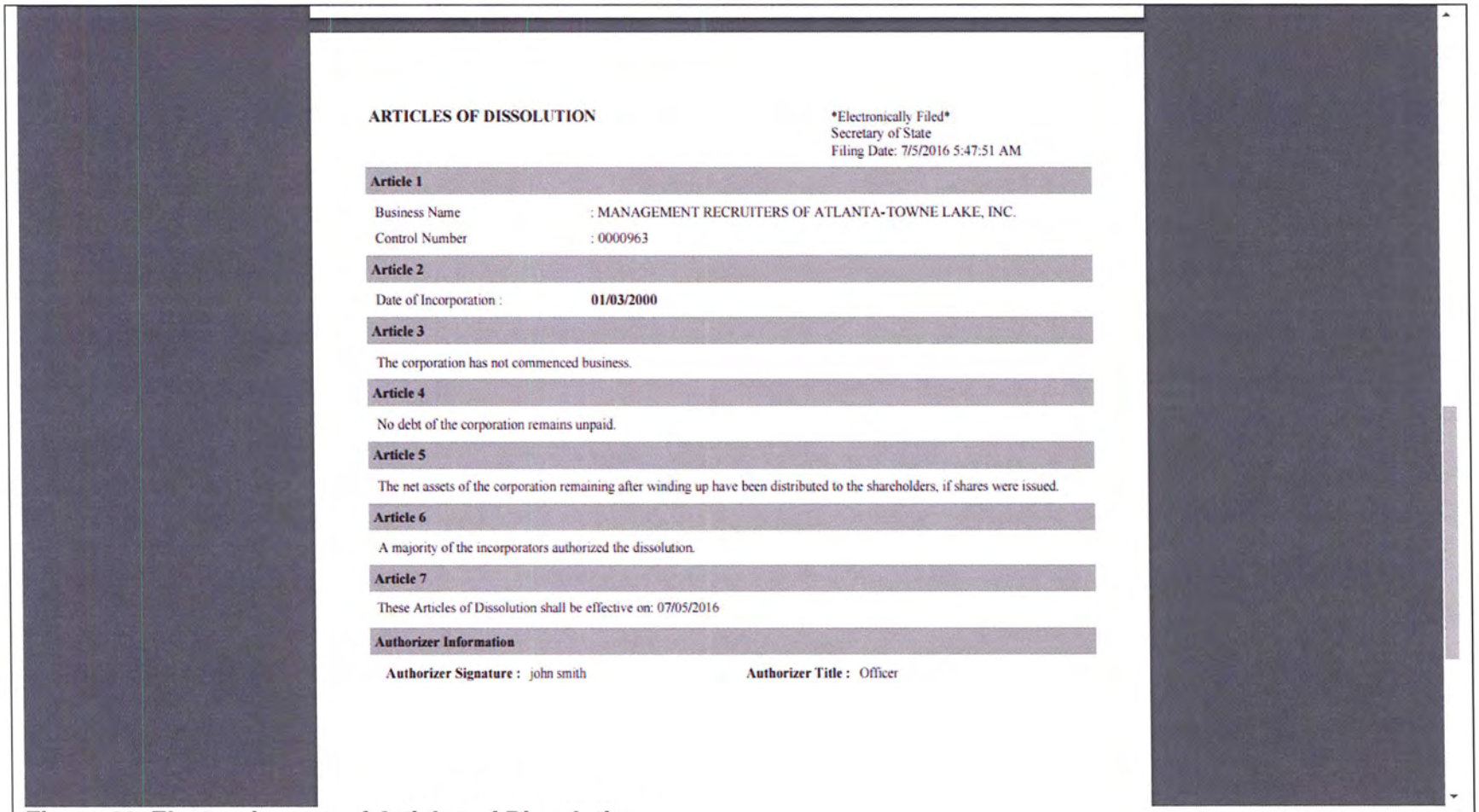
MANAGEMENT RECRUITERS OF ATLANTA-TOWNE LAKE, INC.
a **Domestic Profit Corporation**

has been duly dissolved on 07/05/2016 under the laws of the State of Georgia by the filing of documents in the office of the Secretary of State and by the paying of fees as required by the Official Code of Georgia Annotated and the Rules and Regulations promulgated there under. Attached hereto is a true and correct copy of said documents.

WITNESS my hand and official seal in the City of Atlanta
and the State of Georgia on 07/05/2016

Figure 82. Example: Certificate of Dissolution.

Electronic copy of dissolution filing information.



ARTICLES OF DISSOLUTION

Electronically Filed
Secretary of State
Filing Date: 7/5/2016 5:47:51 AM

Article 1

Business Name : MANAGEMENT RECRUITERS OF ATLANTA-TOWNE LAKE, INC.

Control Number : 0000963

Article 2

Date of Incorporation : **01/03/2000**

Article 3

The corporation has not commenced business.

Article 4

No debt of the corporation remains unpaid.

Article 5

The net assets of the corporation remaining after winding up have been distributed to the shareholders, if shares were issued.

Article 6

A majority of the incorporators authorized the dissolution.

Article 7

These Articles of Dissolution shall be effective on: 07/05/2016

Authorizer Information

Authorizer Signature : john smith **Authorizer Title :** Officer

Figure 83. Electronic copy of Articles of Dissolution.

Continued

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-9	Reinstatement Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Reinstatement Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is inactive. If status is active or suspended, allow staff to determine whether to continue. C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). D. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Reinstatement Filings, emphasizing how it improves the current workflow process.	X			

Bidder Response:
A work order is created for the reinstatement filing and the filing is available in the work queue for processing. The application validates the business status and the business rules as the data is entered and possible rejection reasons are displayed to the staff. As part of reinstatement, a name availability search can also be done. Reinstatement can be filed for a certain number of years after the business has been administratively dissolved after which reinstatement will not be allowed. The duration will be configured in the application accordingly to the statutes in Nebraska.

Other business details can also be updated based on the filing documents.

Once the business is reinstated, a filing history is created for the reinstatement. The effective date of the business will remain from the original formation filing and the reinstatement will not impact it. A filing history is created and the reinstatement certificate and the documents are attached to the filing.

If rejected, all rejection reasons are emailed to the customer.

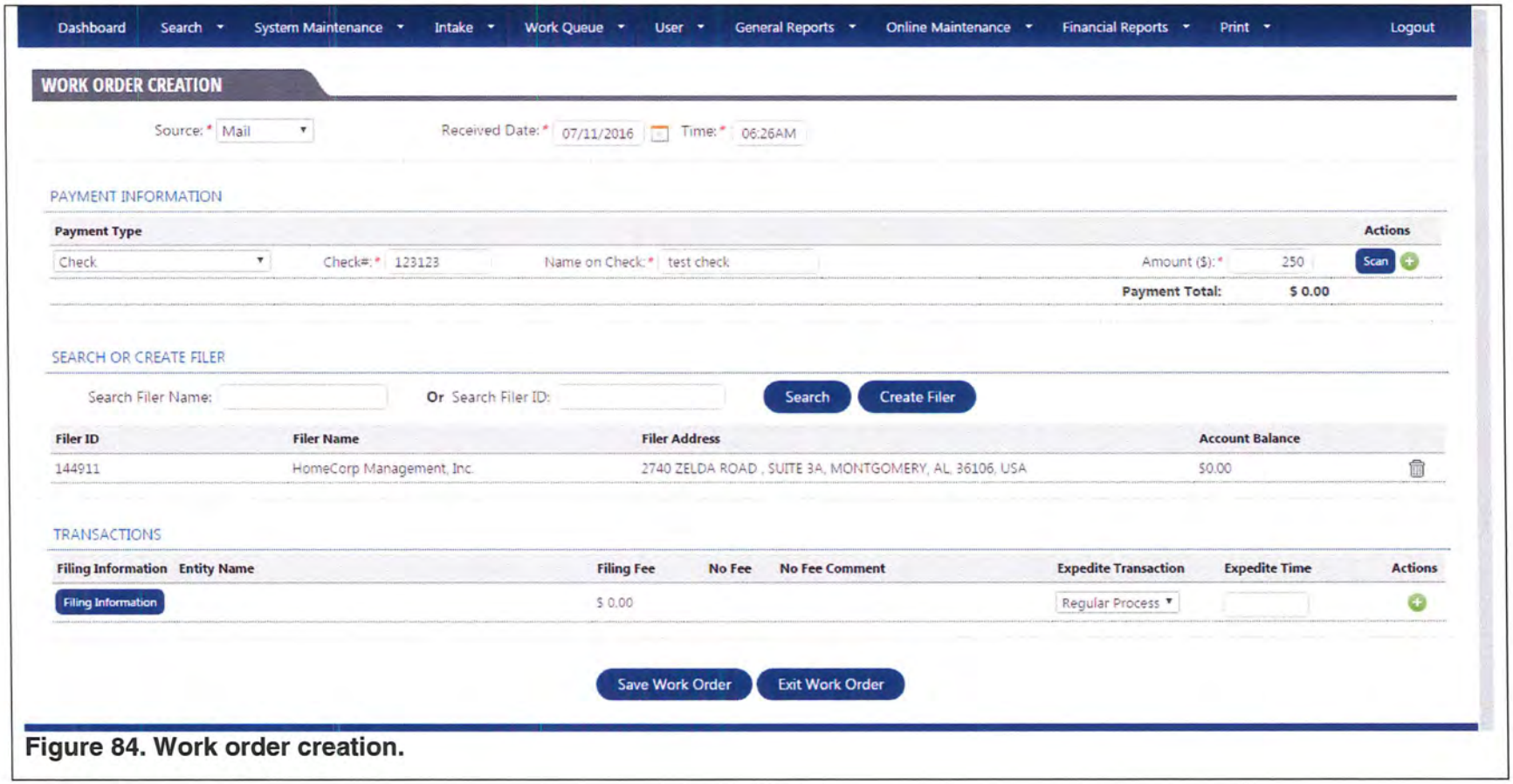


Figure 84. Work order creation.

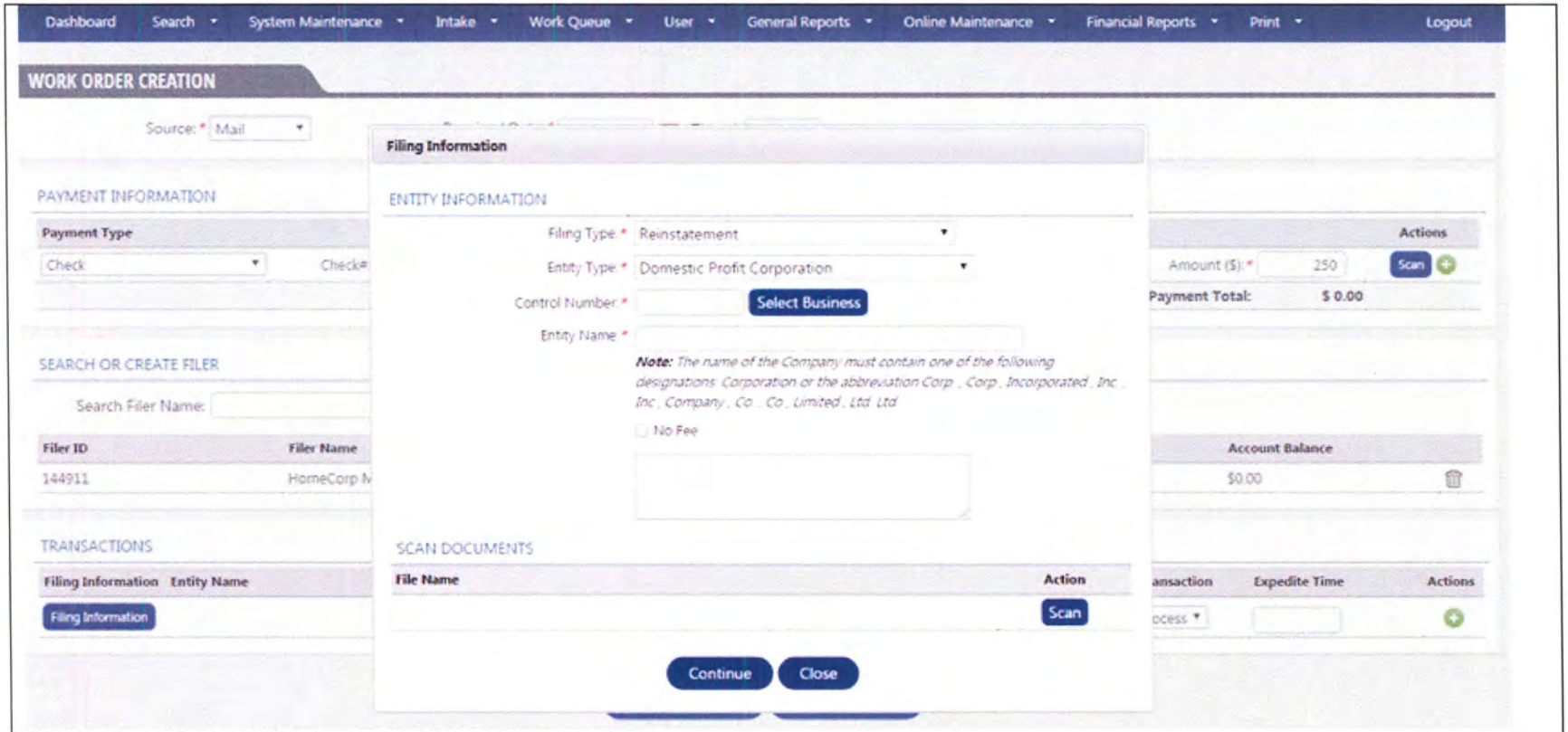


Figure 85. Work order creation. Filing information.

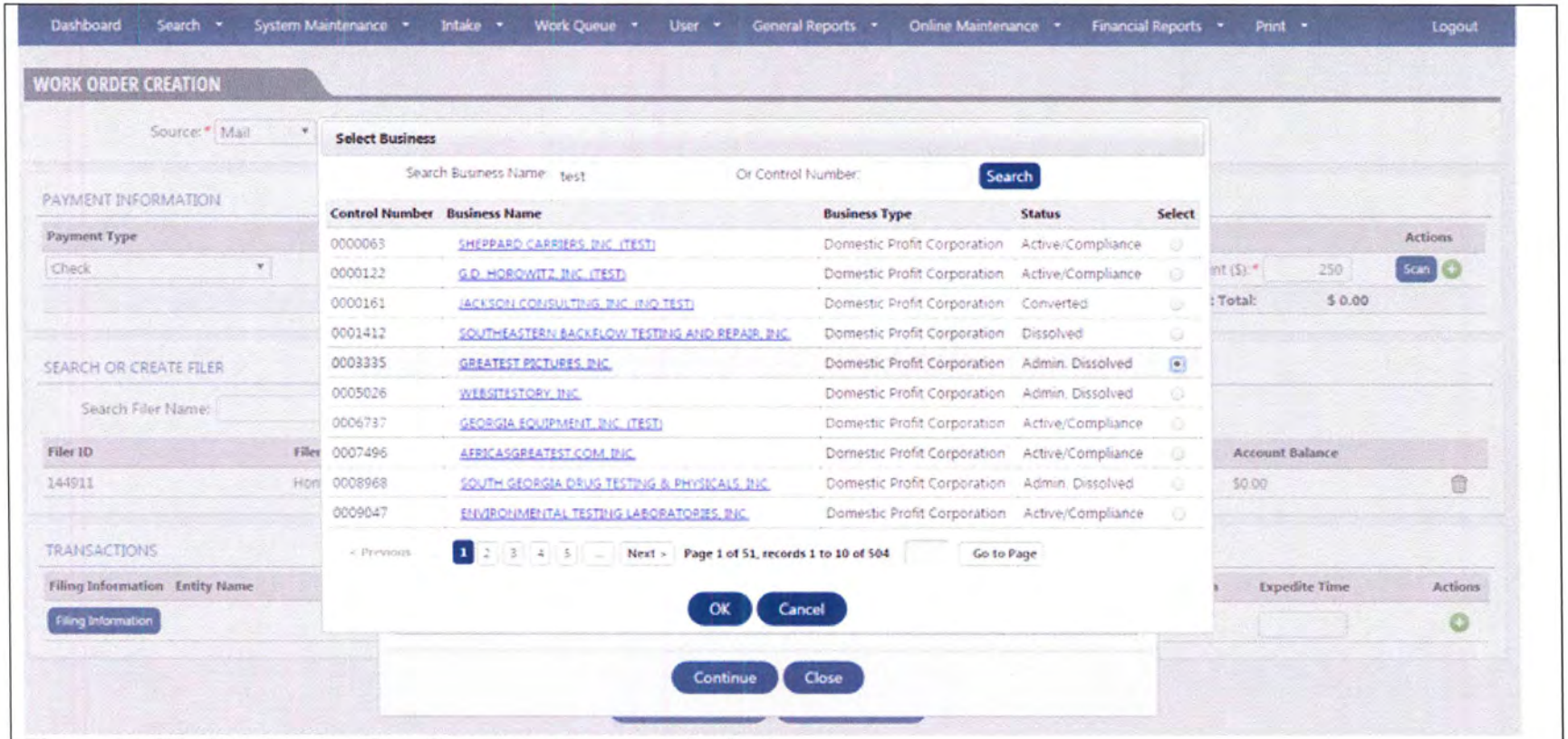


Figure 86. Work order creation. Search business and select.

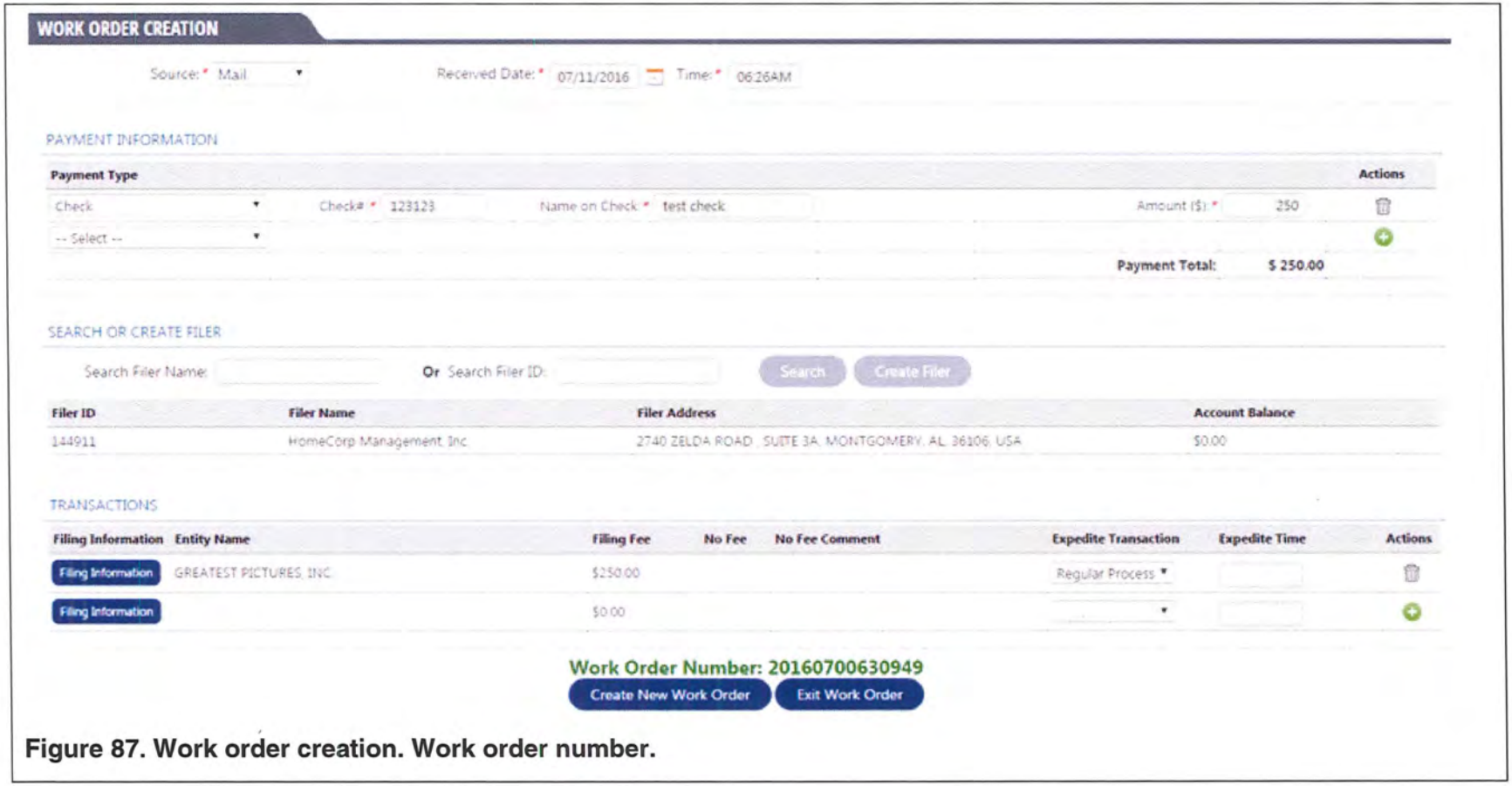


Figure 87. Work order creation. Work order number.

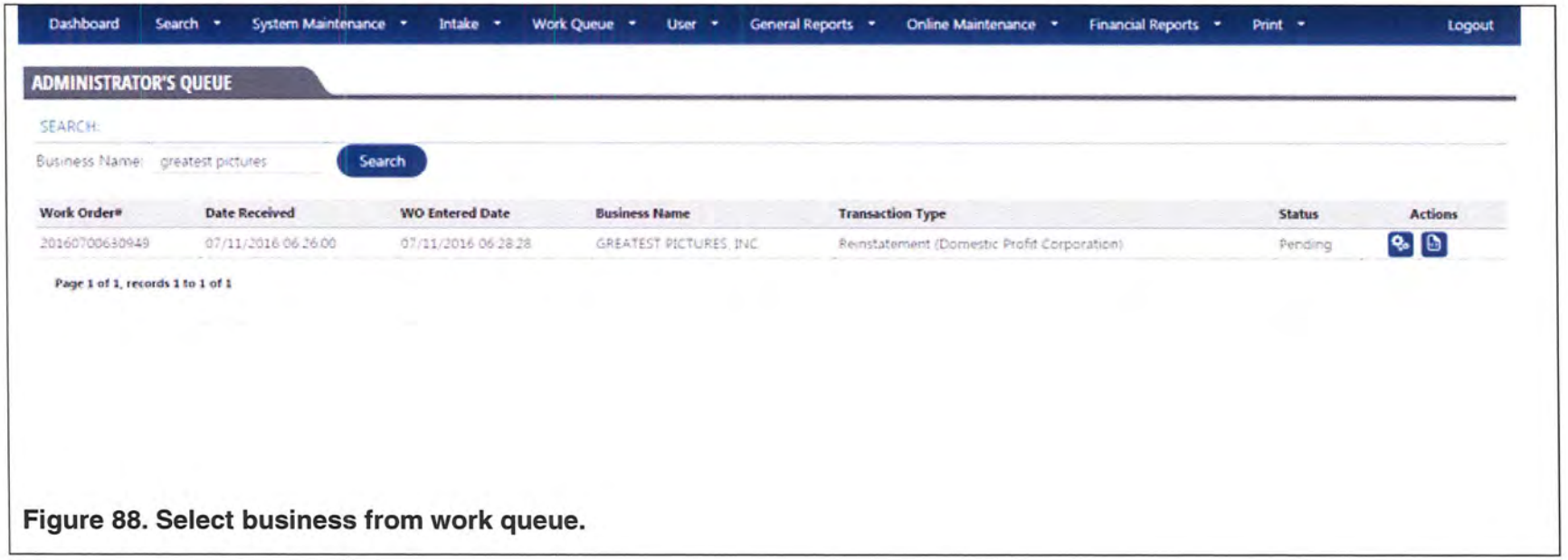


Figure 88. Select business from work queue.

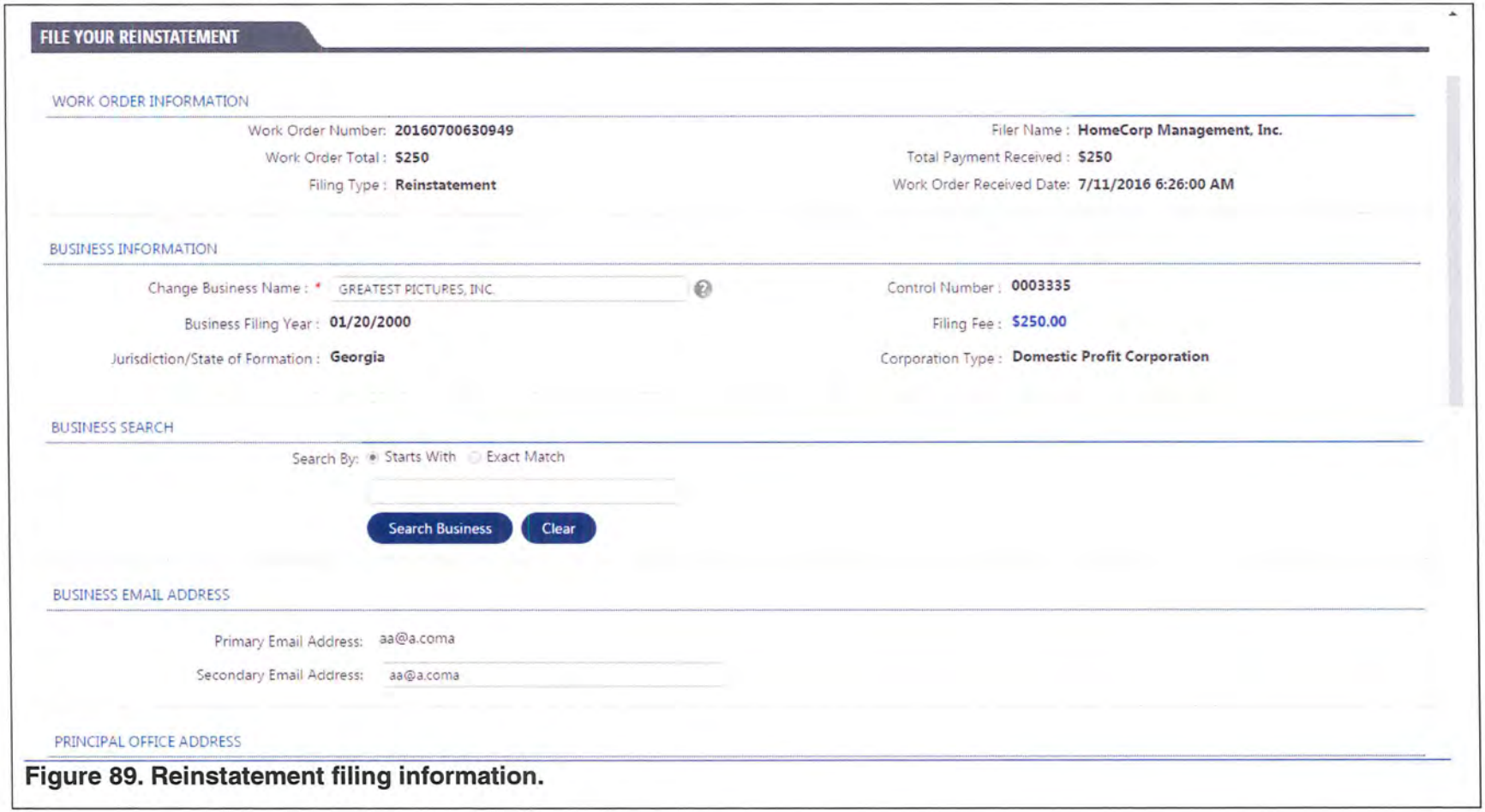


Figure 89. Reinstatement filing information.

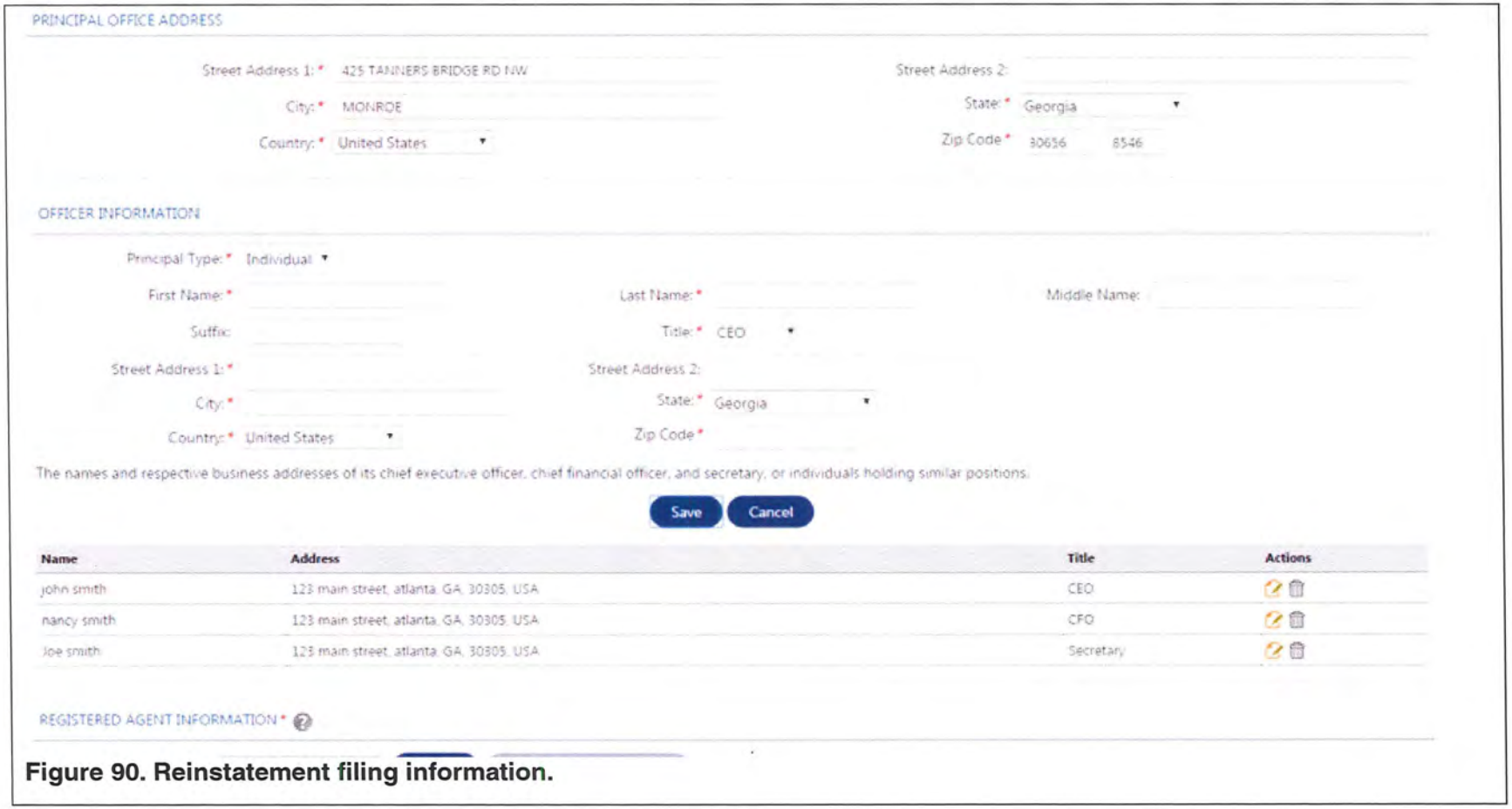


Figure 90. Reinstatement filing information.

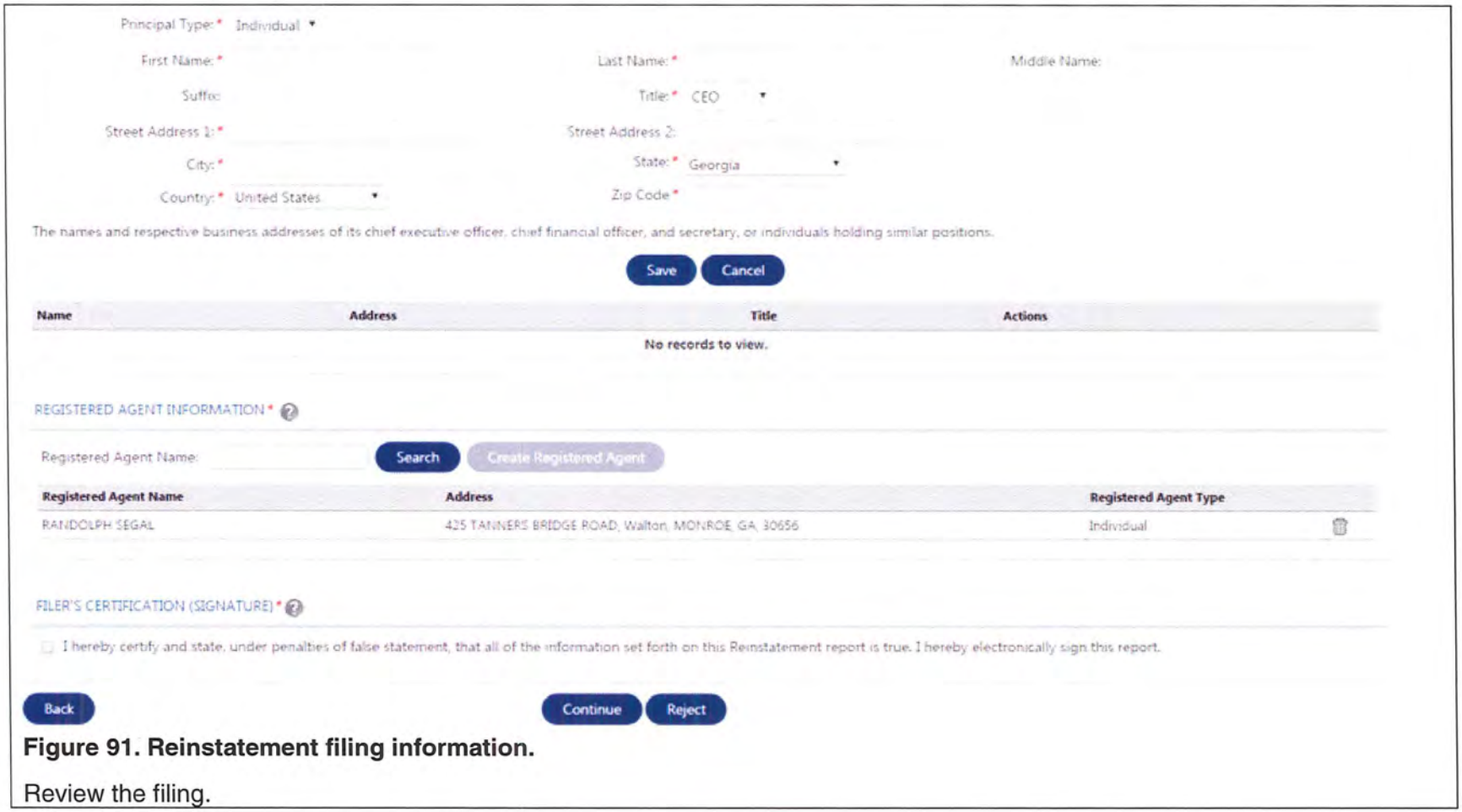


Figure 91. Reinstatement filing information.

Review the filing.

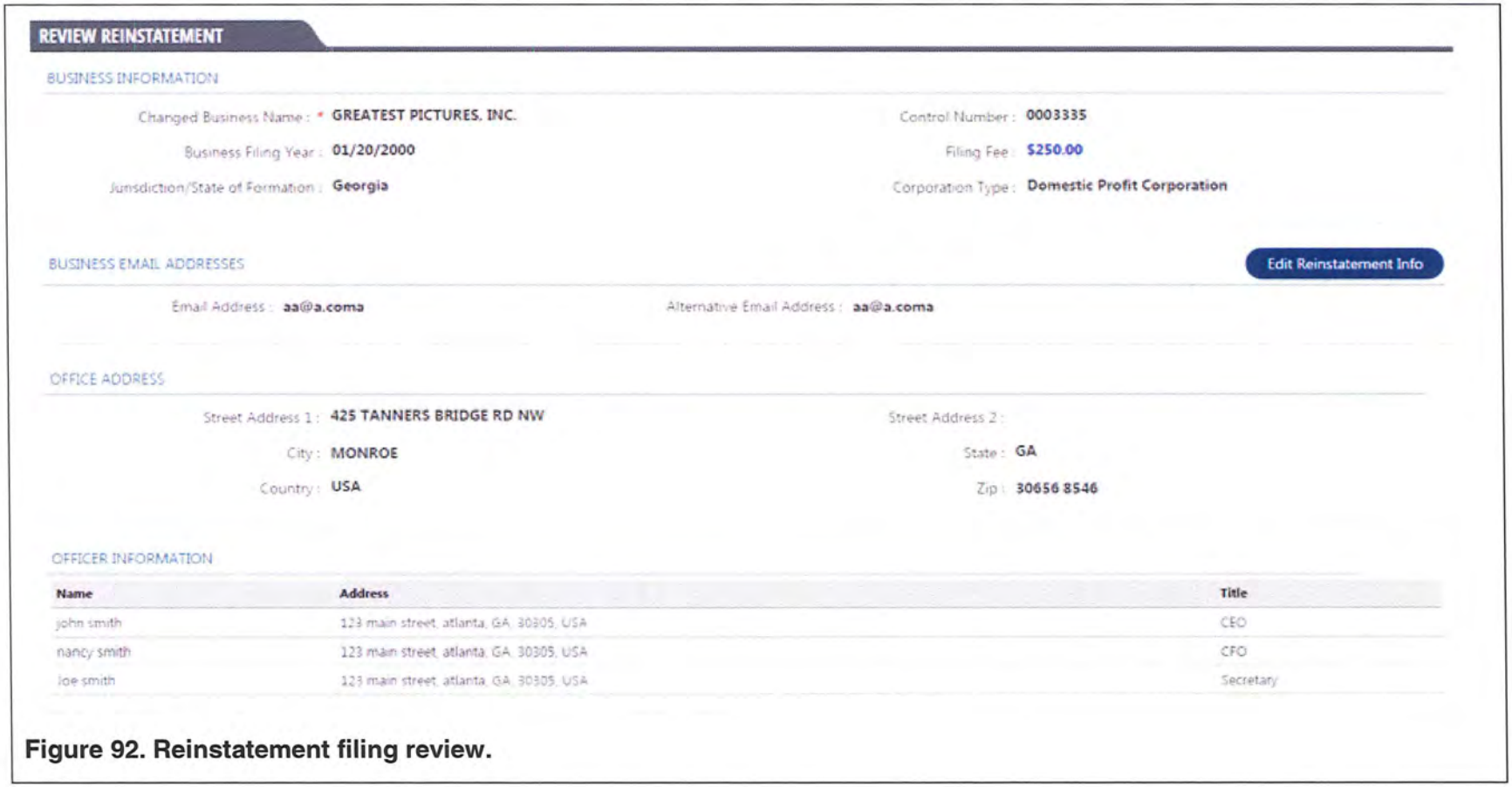


Figure 92. Reinstatement filing review.

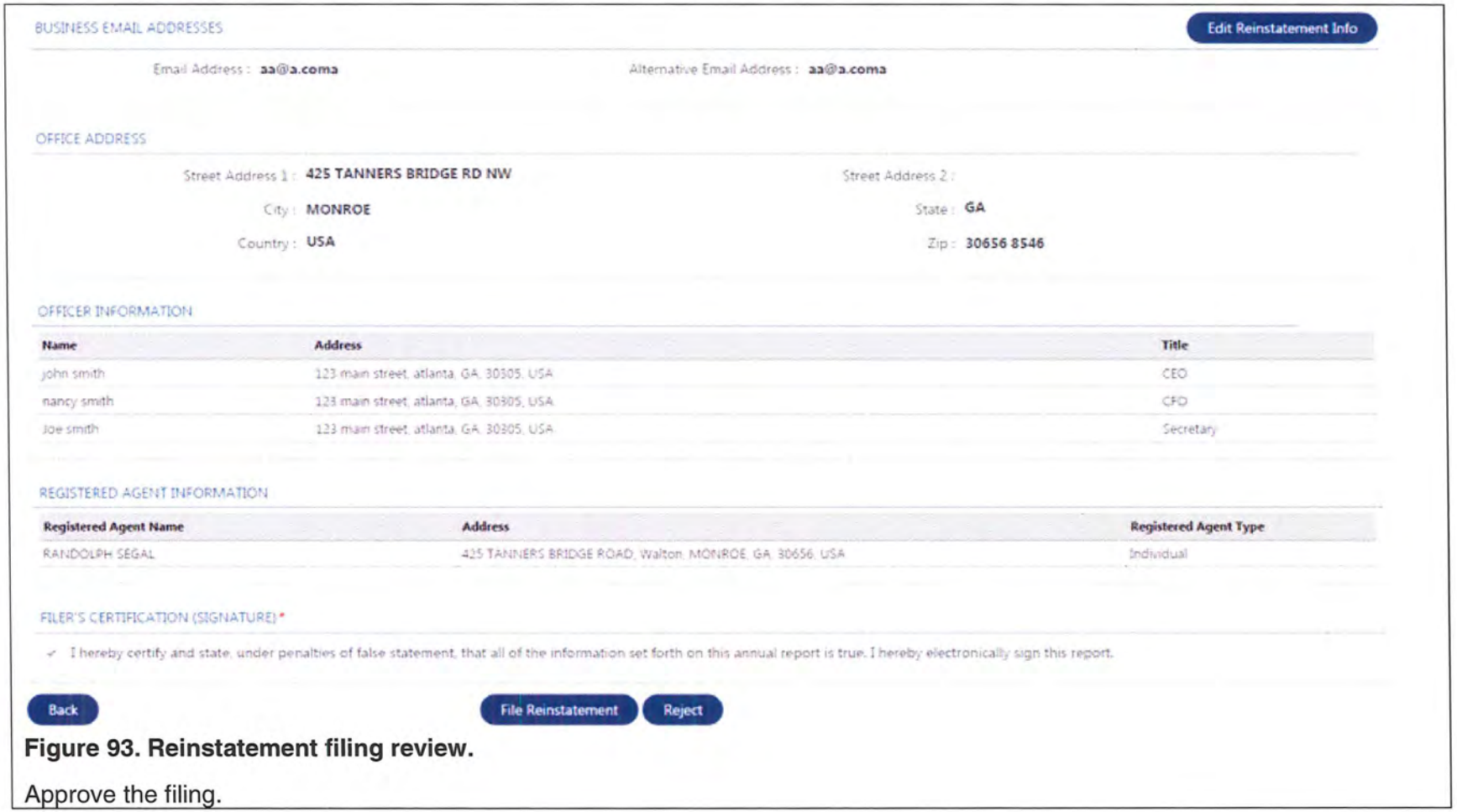


Figure 93. Reinstatement filing review.

Approve the filing.

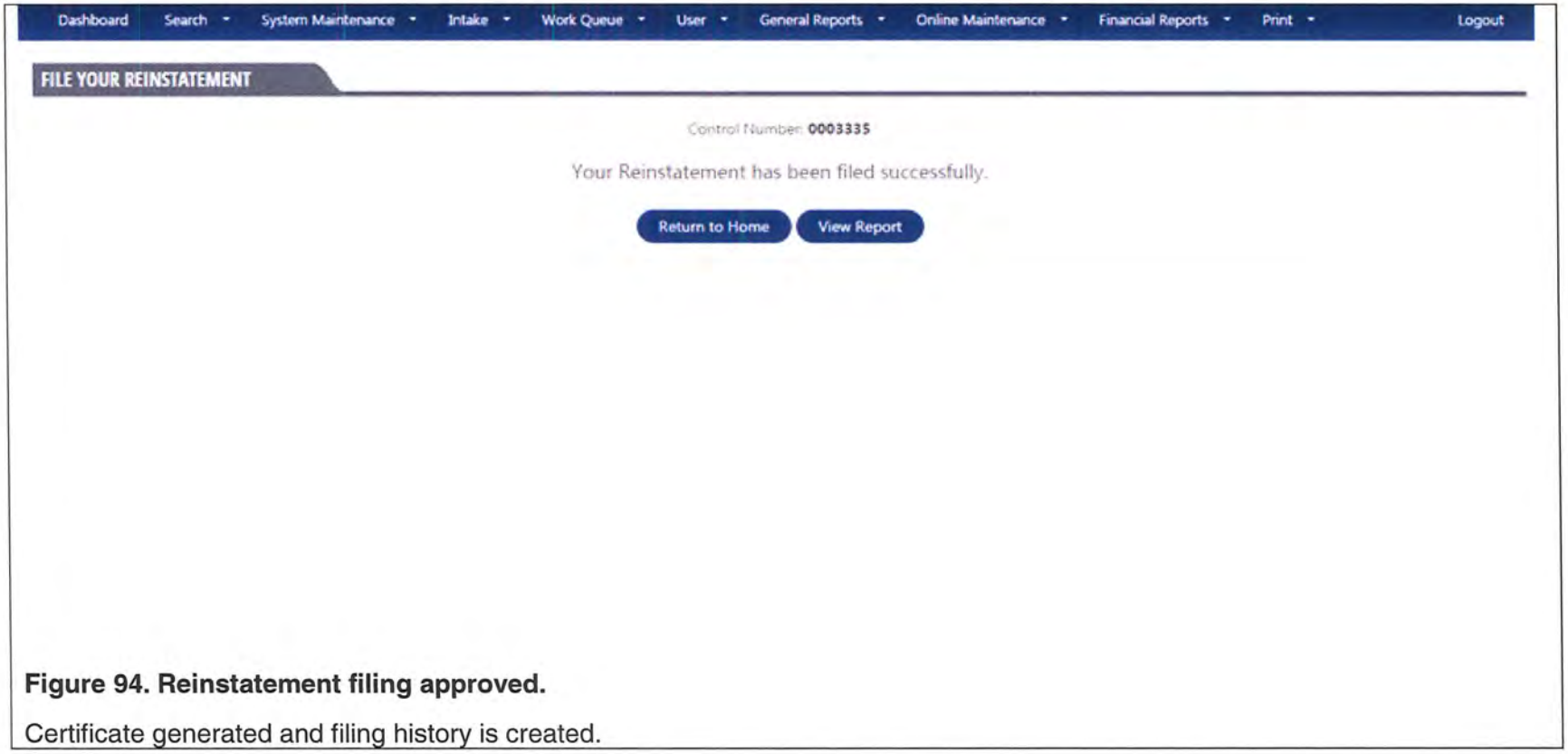


Figure 94. Reinstatement filing approved.

Certificate generated and filing history is created.

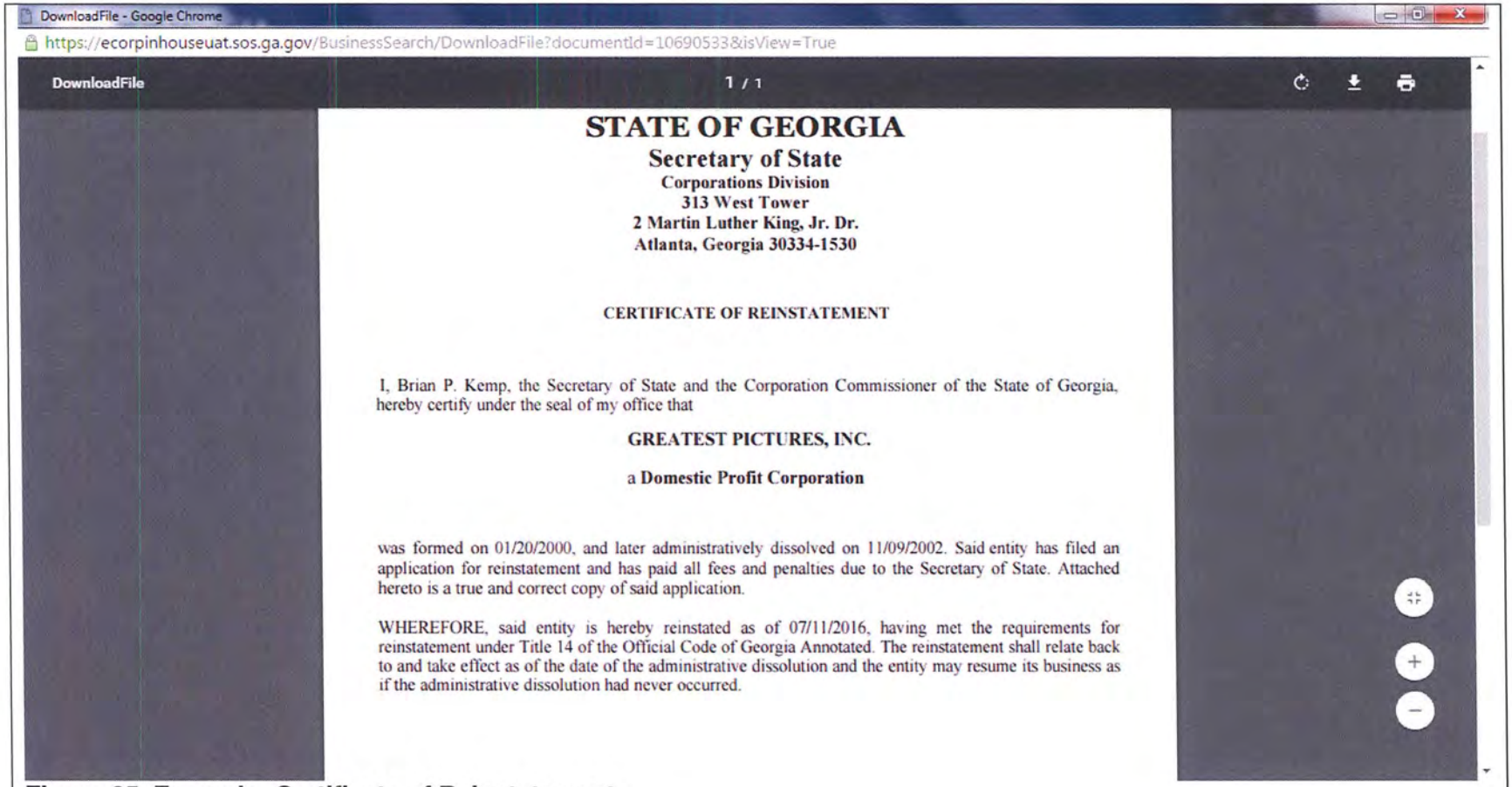


Figure 95. Example: Certificate of Reinstatement.

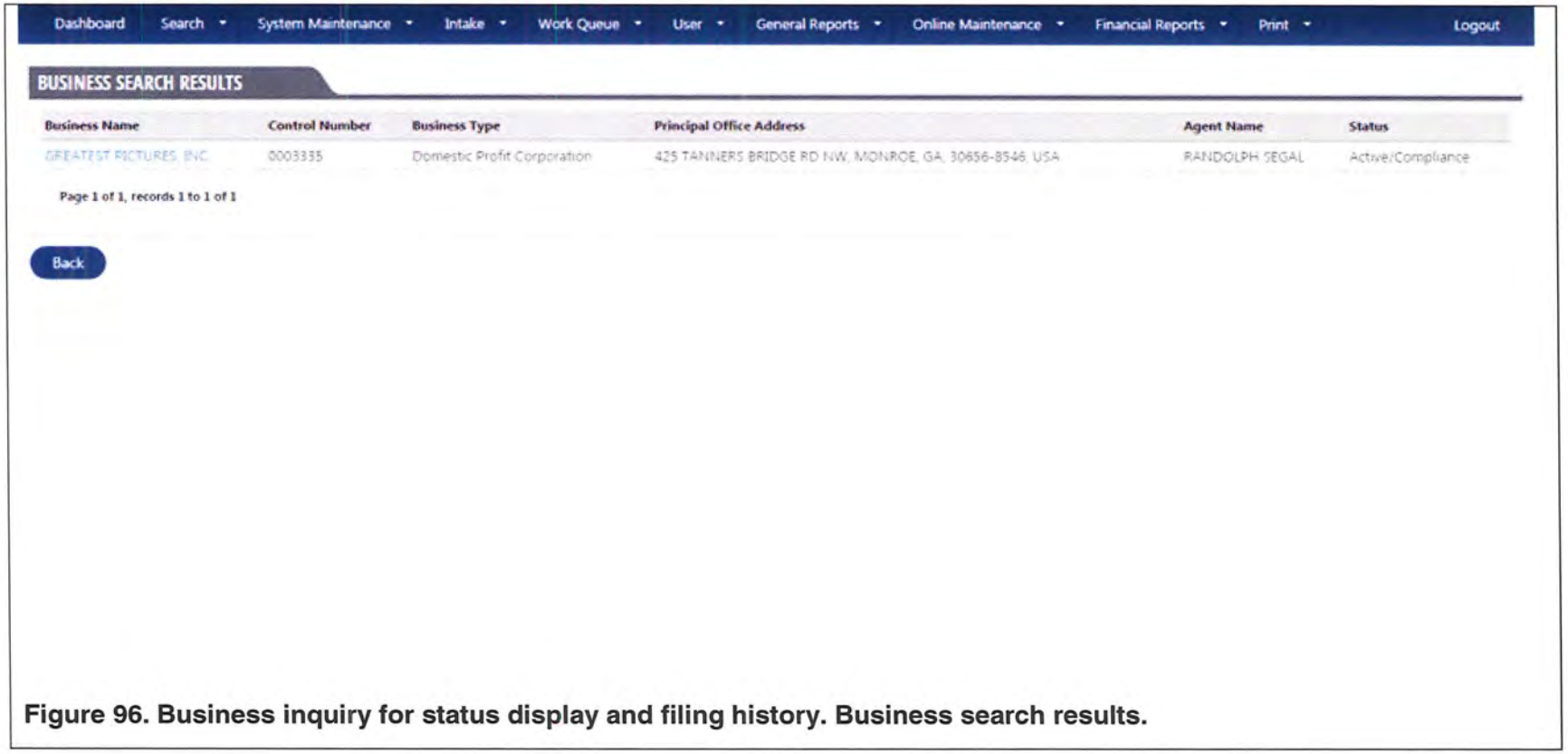


Figure 96. Business inquiry for status display and filing history. Business search results.

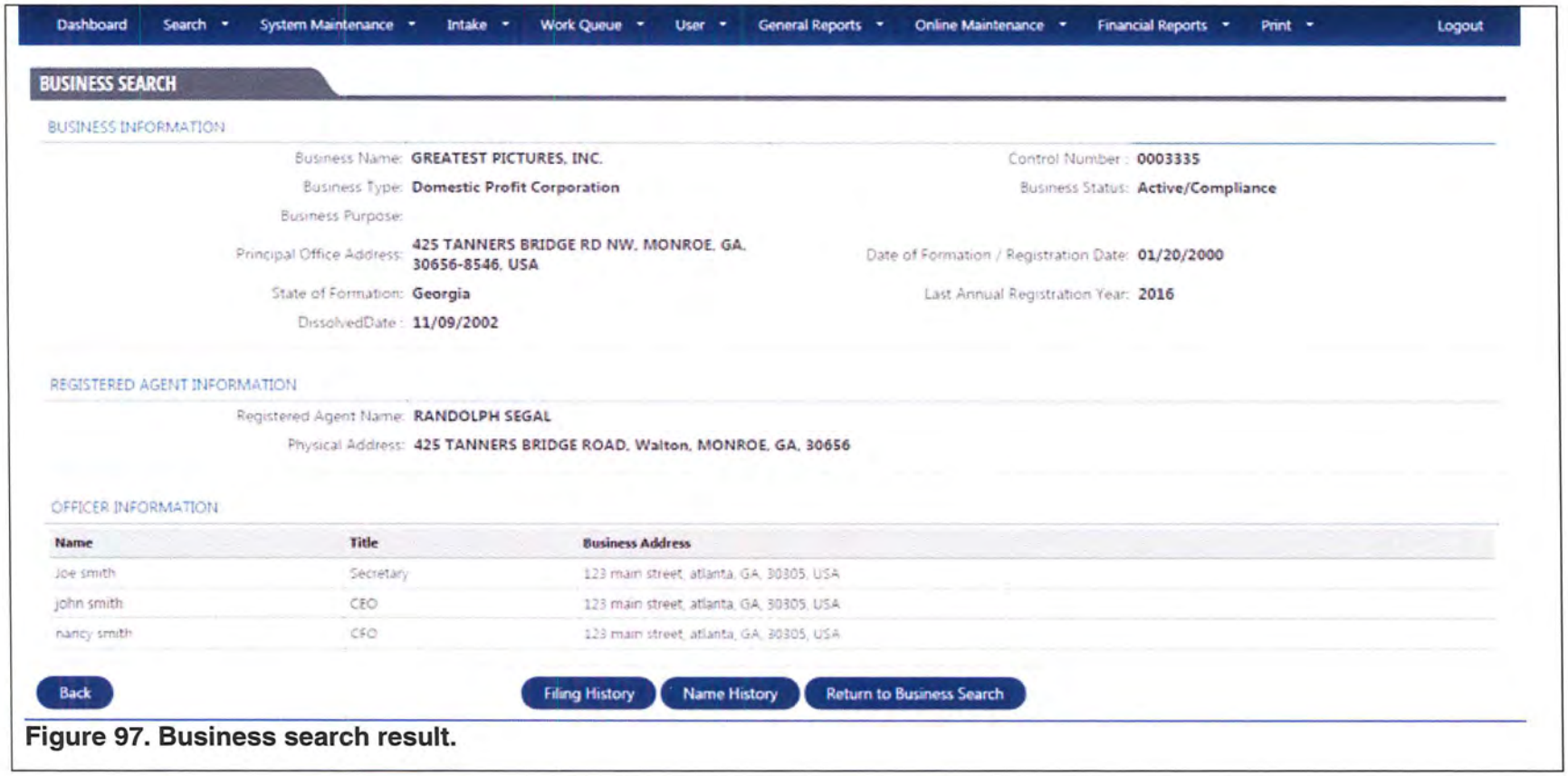


Figure 97. Business search result.

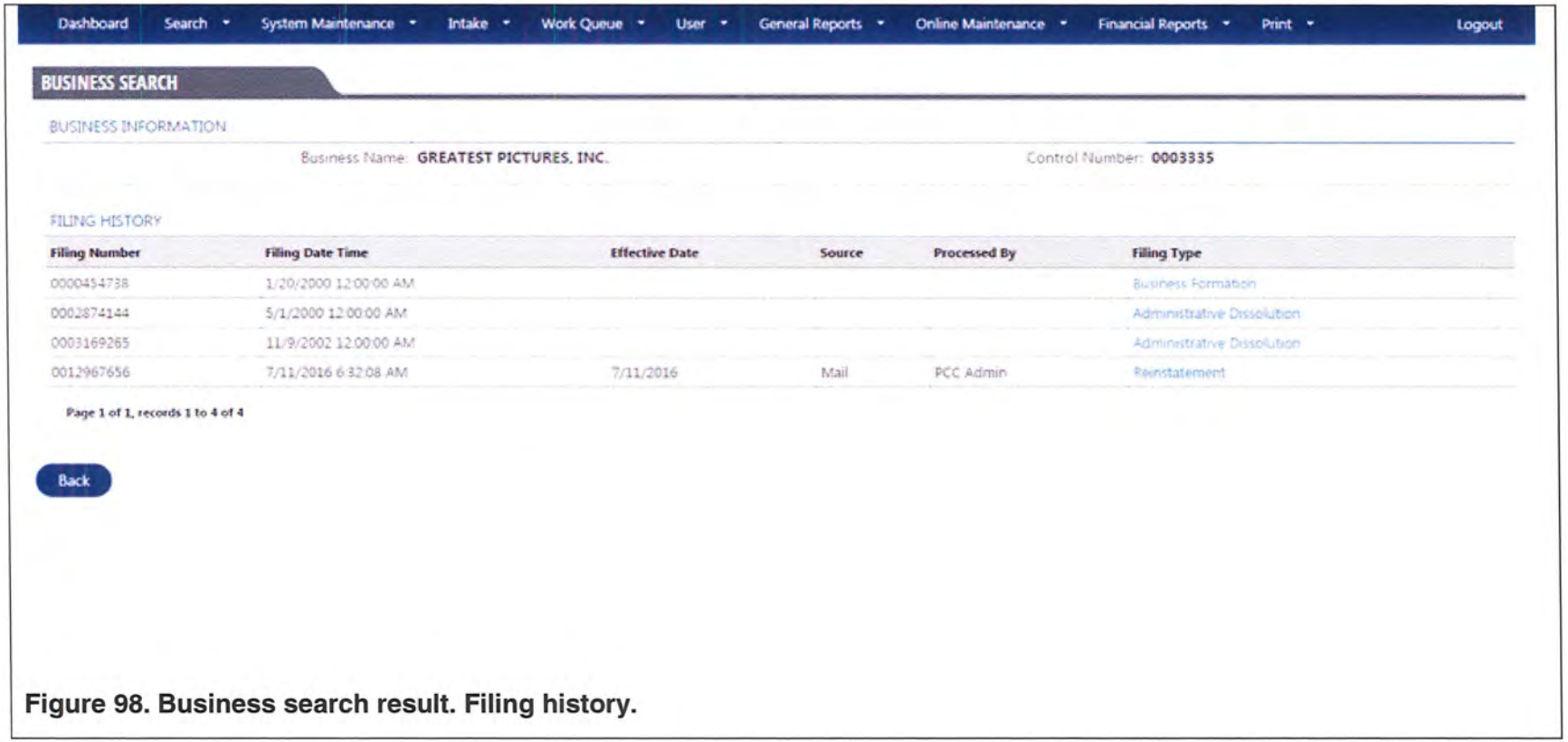


Figure 98. Business search result. Filing history.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-10	Annual & Biennial Report Filings - handled individually For filings received in-house refer to the Current Workflow; in addition, the following are specific details for Annual & Biennial Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). D. If declined, see workflow. The bidder should describe and provide screen shots showing how their system handles and processes individual Annual & Biennial Report filings, emphasizing how it improves the current workflow process.	X			

Bidder Response:
In-house when AR filing documents are received, a work order is created and the filing document is scanned and associated to the work order. The work order can be viewed in the work queue. The processing staff can pick the work order and process the filing. If the business status is not valid to file an annual or biennial report then the application will alert the staff of rejection reason. Other business updates can be made based on the business rules of the entity. As business updates are made, all of the business rules are validated and possible rejection reasons are displayed to the staff. The filing can either be approved or rejected. If approved, filing history is created and the scanned documents are attached to the filing history.

In-house:
Step 1: Create a work order.
Step 2: Select the business from the work queue.

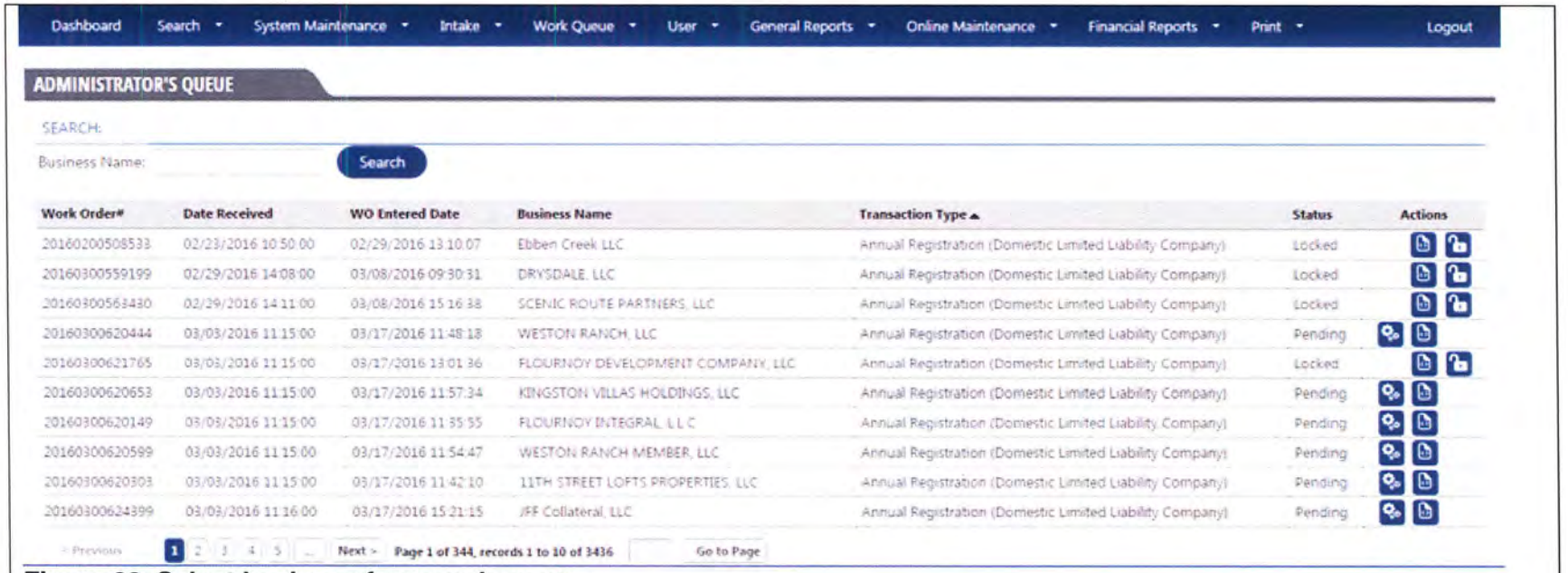


Figure 99. Select business from work queue.

Step 3: Update any needed business information. The screen displayed is based on the selected entity type and the updates that are allowed for the entity.

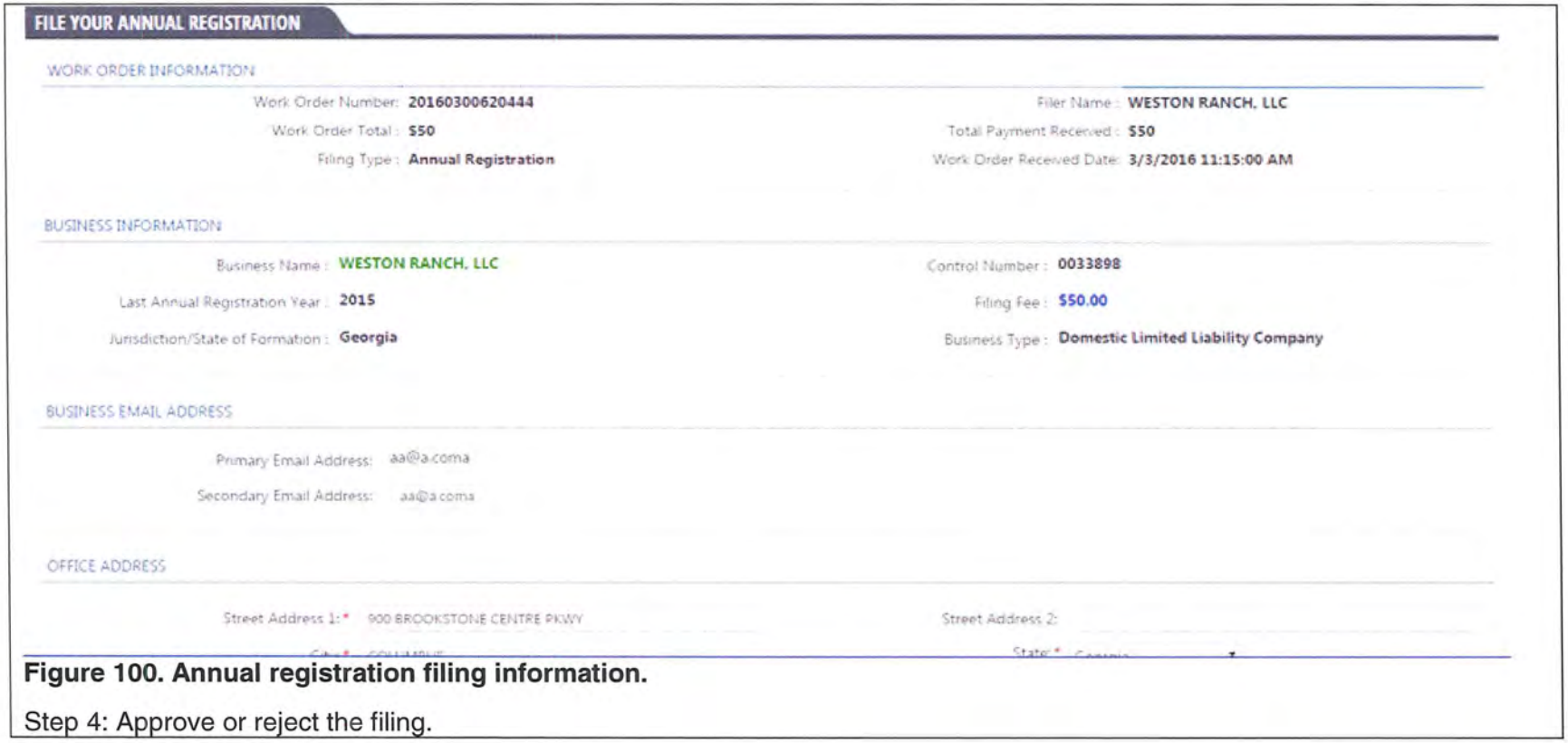


Figure 100. Annual registration filing information.

Step 4: Approve or reject the filing.

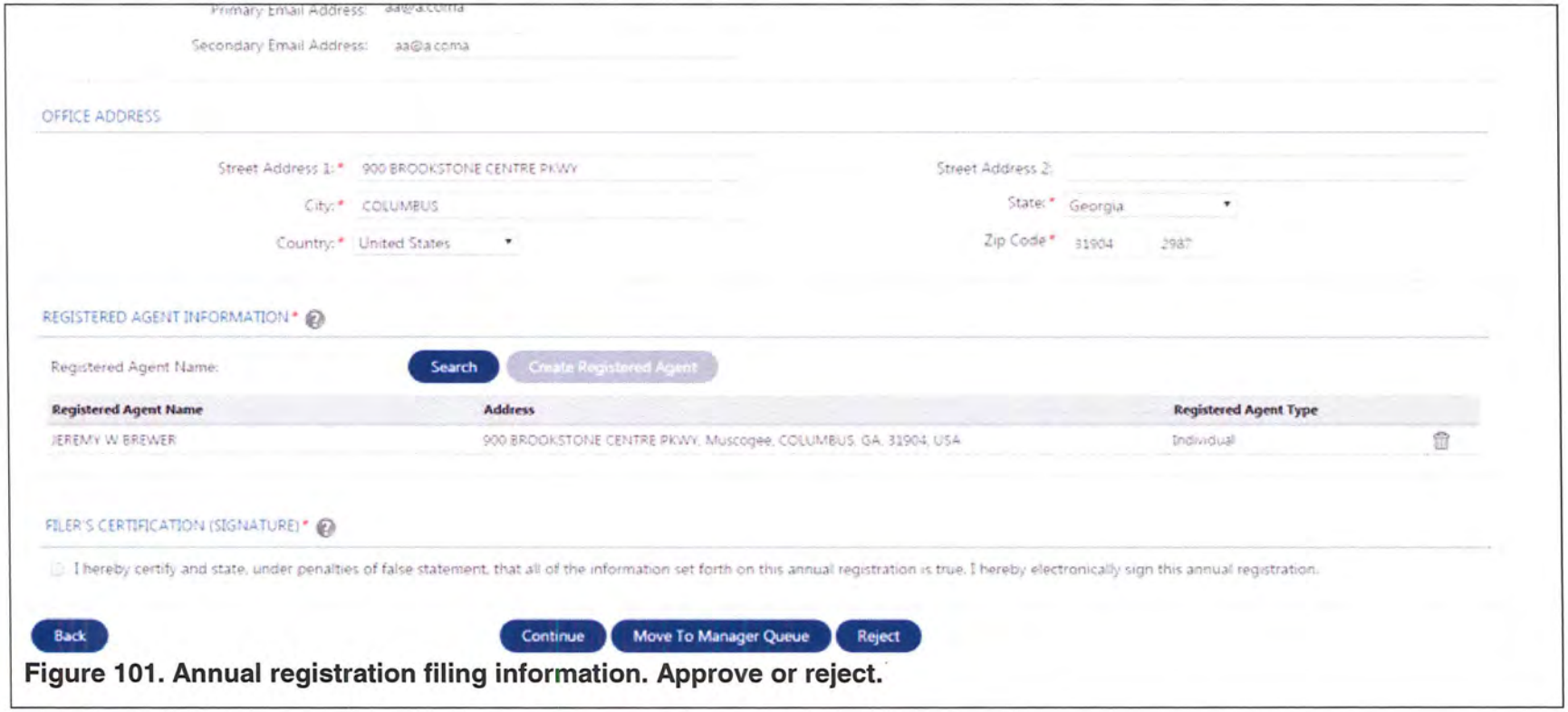


Figure 101. Annual registration filing information. Approve or reject.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-11	Annual & Biennial Report Filings – mass processing These filings are required reports that must be filed periodically by entities. All can be found in Appendix A - Entity Types - Actions Matrix for Corp Filings labeled as Annual & Biennial Filings. Statutory Requirements for Annual and Biennial filings can be found in Appendix C – Statutes and Rules & Regulations. Current process A. Review filings. Review of the filing will include system reading of a barcode or entry of account number to check that the company is Active and that there has been no Annual or Biennial filing previously within the year. B. If the filing is Rejected, go to process described in H. C. For Accepted filings that are Annual and Biennial filings only, continue with the process described in E. This is a streamlined function. D. For Accepted filings that are Annual and Biennial filings that also include additional filings not categorized as Annual and Biennial filings, continue with the process described in F. E. Accept and file This streamlined process provides some shortcut to allow volume processing of Annual and Biennial filings. For this process, 100 filings will comprise a batch. The system will automatically close a batch when 100 filings have been processed and open a new batch, unless this is a closing at the end of the day which would include closing the batch. 1. Enter required information for filing. (Refer to Appendix A - Entity Types - Actions Matrix for Corp Filings and Appendix B – Corp Data Fields). Standard relationship editing is expected on all data fields. These relationship edits will be validated with the State after bid award. i.e. address, city, state, zip				X

	a. This is a re-check by another staff member of the review process completed above. Verify status is active and that there isn't an Annual or Biennial filing already within the year. If status is inactive or suspended or there is an Annual or Biennial filing already on file, system should not allow filing. If not continuing, refer to Decline and reject section H. b. The system has to accommodate multiple Annual or Biennial filings for one Job. If payment doesn't match fee for multiple filings in the Job, the entire Job will be rejected. If not continuing, refer to Decline and reject section H. c. Capture required data needed (i.e., entity type, stock amount, # of pages) to calculate fee and verify that check amount matches fee and indicate if post filing updates are required. d. Endorse check with the account number of the first filing in the Job. e. When the Job is committed then print label. f. Post filing updates are completed at a later date using the scanned images. See G. below. 2. Receipt fees (Refer to Appendix F - Accounting Codes and Filing Fees) 3. Add filing stamp (assign document number and barcode label). 4. Address scanning options 5. If filing comes from Nebraska.gov a. Perform If-Then rules (Appendix B – Corp Data Fields) as filer enters information b. If filing is successful, i. Data is automatically uploaded into system ii. Upload approved documents in image library with				

	online file stamp per daily schedule iii. Payment amount and type are recorded. 6. Create audit trail records containing a date and time stamp, staff member or system involved. F. Multiple action filings Process other filing action(s) submitted for Other filing type(s) and process the Annual or Biennial filing as a Job. Other filings will be processed as described in the sections above and the Annual or Biennial filing will be processed as described in E.1.a., E.1.c., E.1.e., E.1.f., E.2., and E.3., indicating whether post filing updates are required. Print the label and receipt fees Create audit trail records containing a date and time stamp, staff member or system involved. G. Post filing updates using images Every biennial report that indicates that a post filing update is required will run through a process where based on the document filing stamp date and time an image will be brought up for a staff member to process and update the field information in the system. See Appendix B - Corp Data Fields. The staff member will uncheck the update box removing it from the update list. Create audit trail records containing a date and time stamp, staff member or system involved. The process repeats for the next update in the queue. H. Rejection Process				

	Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or explanation. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3 The bidder should describe and provide screen shots showing how their system handles mass processing of Annual and Biennial Report filings. The processes above describe the current flow; the bidder may suggest other more efficient workflow processes for consideration.				

Bidder Response:
Based on the above described process, following is the suggested work flow to achieve processing.

A work order is created for a group of Annual Report (AR) filings. Payment information is collected and the work order is created. As the work orders are created, they are automatically moved to the filing queue. A separate work queue can be created for AR processing.

If other filings are received along with AR filing, during work order creation the other filings can also be entered. This way the money is accounted to all the filings under the work order. Once the work order is created, the other filings can be moved to a separate queue from the AR queue.

If other filings are received along with AR filing and if the other filings are tied and cannot be processed until the AR is processed, the work order can be created establishing the dependency on filings and the order in which the filings need to be processed. Such filings can be moved to a special dependency queue where the staff who processes the first dependent filing also processes the second dependent filing.

All the work queues are set up in a way that the filing can be moved to the reviewer's queue.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-12	Automated System-Generated Functions The bidder should describe and provide screen shots showing how their system handles and processes automated system-generated functions, emphasizing improvement over the current process. These scheduled functions are based upon data in filed records. For system generated actions, refer to the If-Then tab in Appendix B – Corp Data Fields for these action codes – CA, EL, NA, NP, NRV, RD. For system generated notices, refer to Appendix C – Statutes and Rules & Regulations for LLPA, BR, TR, RE, & PC. If a letter needs to be printed, templates are found in Appendix D - Certificates, Letters, and Templates printed per RTM CB-3.		X		

Bidder Response:
The application provides system administrative functions where the staff can configure queues, roles and manage certificate templates.

The application also executes nightly batches to flip the status of the businesses as needed. For example, for a merger with a future effective date, the business status is flipped from "Pending merger" to "Merged" on all non-survivors and "Active" on the surviving business.

The application also provides an option to reprint all existing certificates, receipts and rejection letters.

Administrative functions:

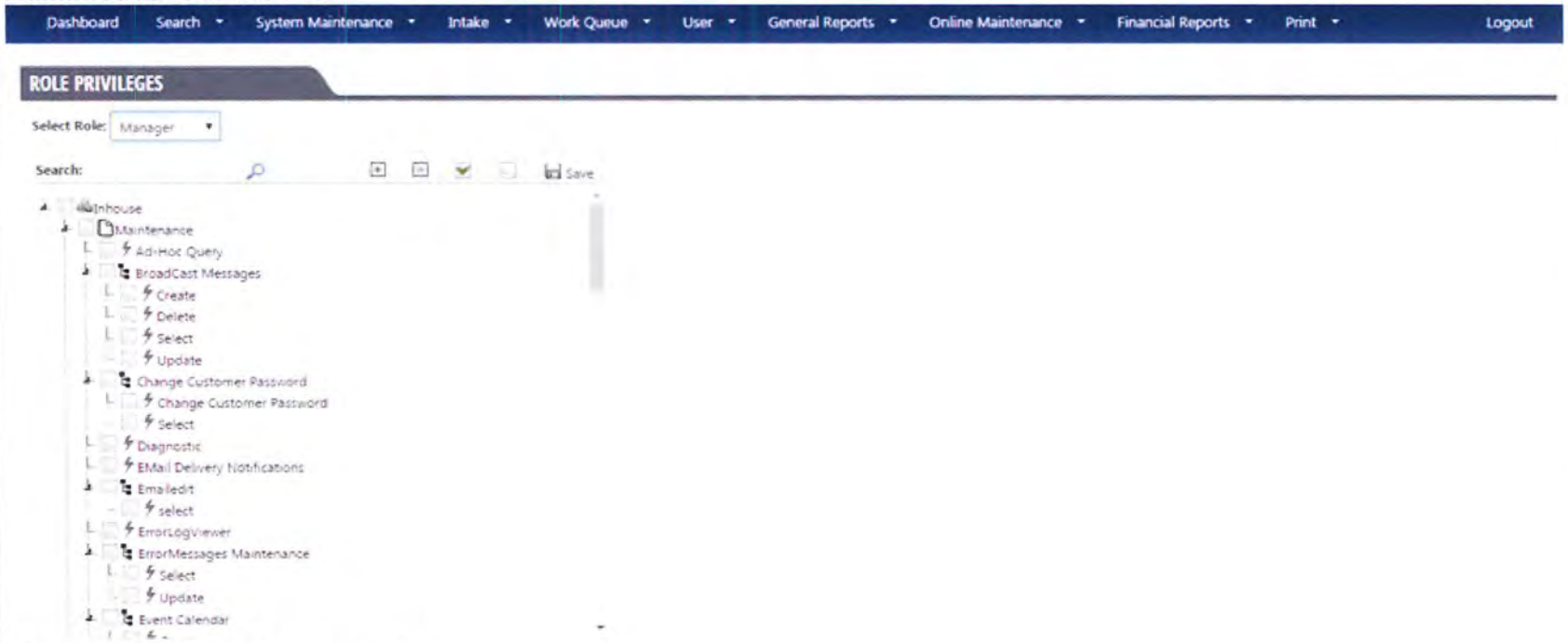


Figure 102. Role privileges set up.

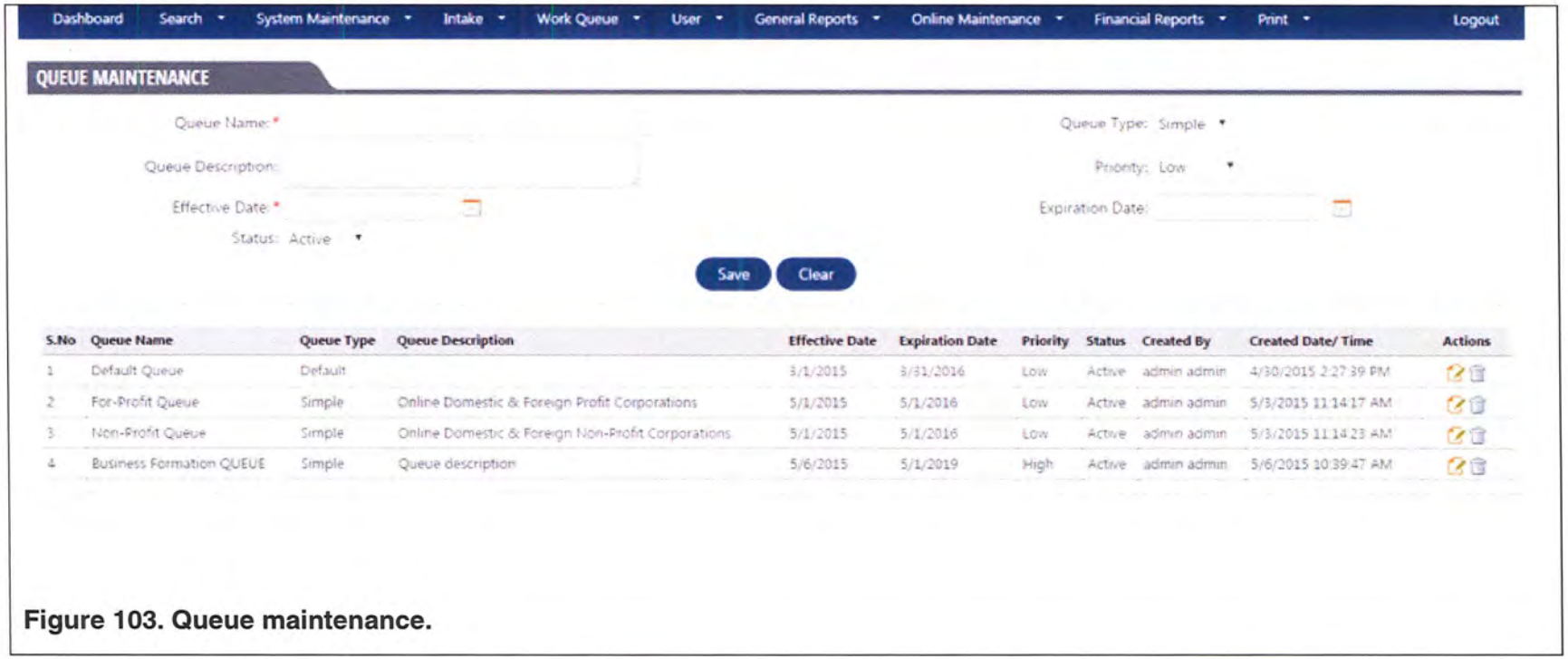


Figure 103. Queue maintenance.

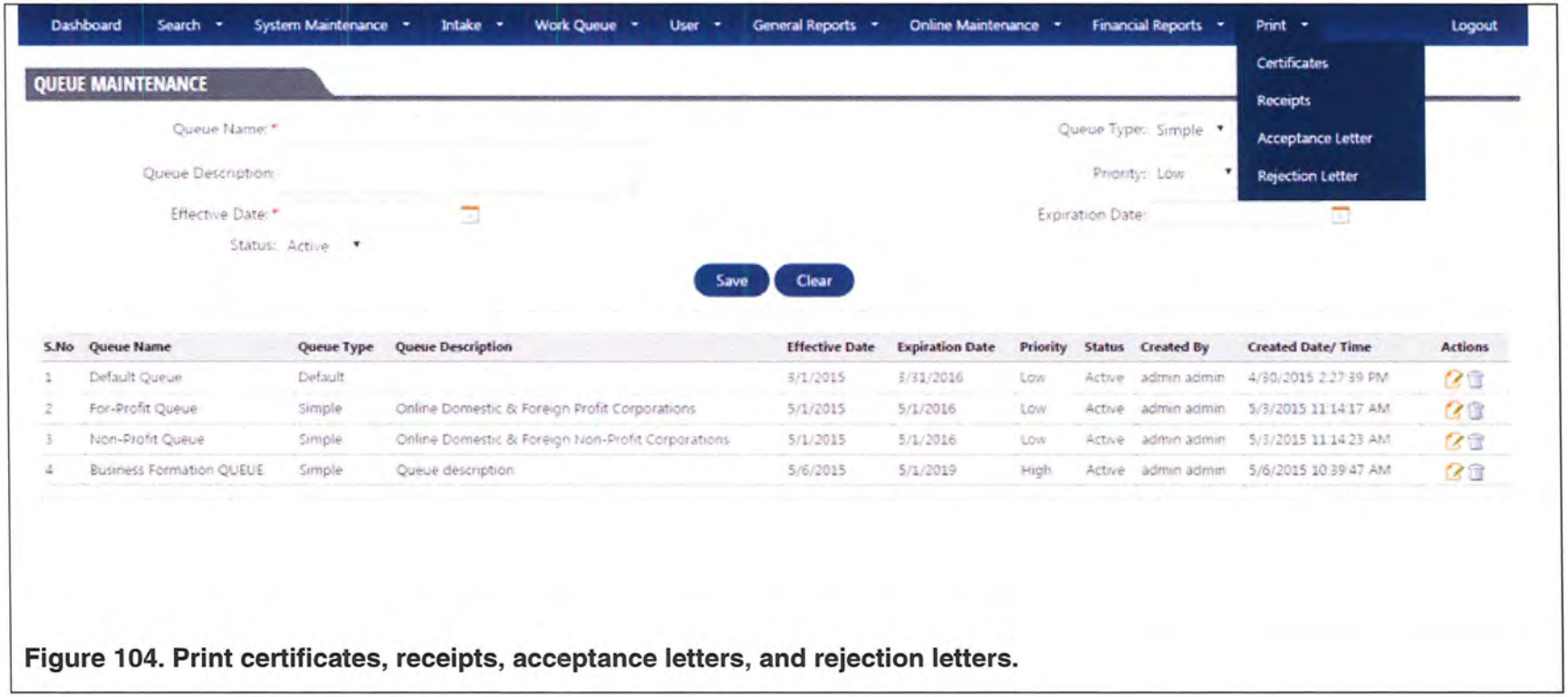


Figure 104. Print certificates, receipts, acceptance letters, and rejection letters.

TECHNICAL REQUIREMENTS – UCC Processes/Features

The UCC System must record, store, and retrieve information and documents related to Uniform Commercial Code (UCC) filings. (See Appendix G - Lien Types - Action Matrix for UCC & EFS Filings and Appendix H – UCC & EFS Lien Data Fields.)

Lien Types			
Uniform Commercial Code (U) 1. Financing Statement 2. Manufactured Home 3. Public Finance Transaction 4. Transmitting Utility 5. Mortgage* 6. Subordination Agreement* *Original filings are no longer accepted, but we are required to search for and to be able to file subsequent actions on those already on record.	Statutory Ag Liens (A) 1. Agister 2. Agricultural Production Input Lien (API) 3. Artisan Lien 4. Electrical Lien 5. Feed Lien 6. Fertilizer Lien 7. Petroleum Products 8. Seed Lien 9. Thresher Lien 10. Veterinarian Lien	Judgments (J) 1. Abstract Of Judgment 2. Notice Of Lien For Fine Or Penalty For Sentencing 3. Criminal Fine Enforcement	Taxes (T) 1. Federal Tax 2. Refiled Federal Tax 3. State Tax

The filing categories of Original Documents; Amendments, Corrections; and Terminations (see Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings) will follow this general workflow.

Current Workflow – This Workflow provides an overview of the daily processing of UCC filings and applies to UCC-1 through UCC-11 below.

A. For filings received by mail (filings received via Document eDelivery are handled without staff involvement)
   1. Open mail
      a. Endorse check, verify money received and/or charge account number as indicated on filing.
   2. Review document for statutory and rules & regulation requirements then determine if a, b, or c:
      a. If necessary, route for supervisor review and determine next steps
      b. Accept and file

i. Enter required information for lien type. (Refer to Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings and Appendix H - UCC & EFS Lien Data Fields). Fund and object codes need to be applied to the fees at the time they are entered into filing system with the capability to split into 2 or more funds for the deposit. (Refer to Appendix F – Accounting Codes and Filing Fees)

ii. Enter the filer client information provided or search name in the filer client table to populate the filer information with the option of entering the account number in the job window. System has ability to add additional certifications, copies, attachments, searches, miscellaneous fees, buyer registration fees, or make corrections, edit, or delete any fees as needed. (Refer to Appendix D – Certificates, Forms, and Templates. Start with OPEN ME FIRST document for explanation of folder contents and usage.)

iii. Receipt fees by check, cash, coin, or charge account number.

iv. Commit job which will generate, save, and print acknowledgment(s) by default, with the option to not print.

v. File Stamp filing (see RTM CB-2).

vi. Send for scanning.

vii. Return acknowledgement to filer along with copy, if provided.

viii. The system will assign a unique batch number to each staff member. Jobs are recorded in batches from a job window. Batches are totaled and reconciled for deposit.

or

c. Decline and reject

i. Create rejection letter via Word template within the system.

ii. Return document with letter and fees.

B. For filings received via Document eDelivery – there is no staff review

C. For all changes or correspondence (e.g., filings, letters, staff or system-generated updates, automated interface updates), create an audit trail record containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate).

D. Balance Receipts and Reconcile each Batch at End of Day

E. Review of Filed Records (normally performed day of deposit; however, may be done at any time.)

1. Delete a record or job after a filing has been committed prior to posting the batch.
2. Delete a record after the batch has been posted.
3. Discard a filing number at the time of filing, or after committal, but prior to posting the batch.

F. The following day, batches are totaled and prepared for deposit, then sent to the accountant for PFC deposit. See RTM CB-5.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-1	**Name Search** The criteria below apply to the filing types Originals, Amendments, Corrections, Terminations and any other subsequent actions (See Appendix C – Statutes and Rules and Regulations; NAC Title 436 – Administrative Rules for Article 9, Chapter 5; Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings; and see also Appendix H – UCC & EFS Lien Data Fields). For each search, create an audit trail record containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate). The following search criteria must be available in the system in order to look for existing records on file for the following categories. **A. ModName Calculation** 1. Individuals a. Individual debtors must be explicitly identified as individuals. b. The ability to indicate alternative designation, (lessee, consignee, bailee, buyer, licensee, registered owner). c. The individual name may contain first, middle and last elements. d. Convert each element of the name (first, middle, last) to uppercase. e. Remove punctuation, accent marks and spaces. Only characters A-Z and digits 0-9 are valid. f. Concatenate the last, first and middle names with the "|" character as a separator. For example, "John A. Smith" would be stored as "Smith|John|A"	X			

2. Organizations
   a. Organization debtors must be explicitly identified as an organization.
   b. Ability to indicate alternative designation (lessor, consignor, bailor, seller, licensor, owner)
   c. Convert the name to uppercase.
   d. Replace "&" with "AND".
   e. Remove punctuation and accent marks. Only characters A-Z and digits 0-9 are valid. Note: Any character not in the list of valid characters is replaced with a space (" ") character.
   f. Remove multiple consecutive spaces which may have been left as a result of the previous step.
   g. Remove ending noise words as defined in 503.1.5.
   h. Remove any occurrence of "THE" at the beginning of the name.
   i. Remove all remaining spaces.

B. Standard Search (UCC/Agriculture)

1. Must designate debtor as Organization or Individual
2. Create a search value using the "modname" algorithm.
3. Search the Debtor table for matches of the ModName column.
4. No SSN or FEIN numbers should appear on the search results.
5. Must be able to indicate whether the search is to be certified.
6. When searching for liens the system must return all debtors associated to each lien and indicate multiple debtors on liens by a common indicator.
7. The search report will show all debtors/secured parties associated with each lien in either All or Unlapsed status.

C. Non-Standard Wildcard Search (Tax / Judgment)

1. Must designate debtor as Organization or Individual
2. Create a search value using the "modname" algorithm.
3. Insert a wildcard character at the end of Last, First and Middle names in the calculated search value. From example above, the search value would be "Smith%|John%|A%".
4. Search Debtor table using a LIKE search of the ModName column. The % character acts as a wildcard and will find all "modname(s)" matching the pattern.
5. No SSN or FEIN numbers should appear on the search results.

D. Find Records – Internal Search only

For a "UCC" search, the following rules apply.

1. For a search for individuals, a value must be specified in both "Last Name" textboxes else the "Find" button is disabled.
2. There are five lien classes; "UCC", "Agriculture", "Judgment", "Tax" and "EFS". The "UCC" liens searched include the "Agriculture class". The "Tax" liens searched include all lien classes other than "UCC" (i.e. "Judgments", "Tax"). This search will not return any liens from the "EFS" class.
3. All individual data elements (Last, First, Middle and Organization names) are converted to their ModName equivalent before searching.
4. When the Soundex option is selected, the Soundex value is calculated from the corresponding ModName value.
5. UCC Liens: Default options specified; Wildcard = no, Soundex = no
   a. Debtor name
      i. Individual: This search appends a wildcard if

	certain conditions are met even if the "Wildcard" checkbox is not checked. ii. LastName ***never*** has a wildcard appended. iii. FirstName has a wildcard character appended ***only if*** the FirstName is 0 or 1 character long. iv. MiddleName has a wildcard character appended ***only if*** the MiddleName is 0 or 1 character long. b. Organization i. OrganizationName is never searched by wildcard. 6. Tax Liens: Default options specified; Wildcard = yes, Soundex = yes a. Debtor name v. Individual: vi. LastName always has a wildcard appended. vii. FirstName always has a wildcard appended. viii. MiddleName always has a wildcard appended. a) Organization 1) OrganizationName always has a wildcard appended. 7. Debtor Name Search for debtors matching the specified name. The searcher may choose to return All, Unlapsed, or Inactive liens (record where the lapsed day exceeds 365 days but still in the UCC Module) associated with the debtor(s) returned. 8. Additional Search Options a. Limit to liens filed within a specified Date Range. This filter applies to both UCC and Tax liens. b. Limit to liens filed by a debtor who resides in a specified City. This filter applies to both UCC and Tax liens. c. Limit to liens filed by a particular Secured Party. This filter applies to **both** UCC and Tax liens. d. Wildcard: For individuals, a wildcard is added to the				

	end of Last, First and Middle names. For organizations, a wildcard is added to the end of the Organization name. e. Soundex: Performs the search using the Soundex encoding of the ModName of the individual or organization. f. Soundex + Wildcard: If both options are selected then a wildcard character is appended to the Soundex value of an Organization ModName. For individuals, the Last, First & Middle "ModName (s)" are individually converted to a Soundex value and a wildcard character is the appended to the end of each. The First and Middle name Soundex values then have their initial alpha character removed to keep in line with the standard Soundex encoding algorithm. The individual Soundex values are then concatenated together and any consecutive digits on either side of the wildcard characters are removed to keep in line with the standard Soundex algorithm. g. Any combination of All, Unlapsed, or Inactive lien status may be selected. 9. Secured Party Name a. The Secured Party search functions similarly to the Debtor Name search of UCC Liens described above with the following differences: b. Searches are conducted against the SecuredParty table vs. Debtor table. c. All lien classes (except "EFS") are searched. d. The lien classes are all searched in the same manner. There is no special handling for "Tax" or other lien classes.				

10. Original Document #
    Searches the "LienMaster" table for a matching original document number. The search is an exact match on the specified document number.
11. Document #
    Searches the "UCCActions" table for liens having an exact match to the specified document number. A second search is then conducted to retrieve detail data from the "LienMaster", Debtor and Secured Party tables for each lien returned in the first search.
12. Additional Search Options
    Any combination of All, Unlapsed, or Inactive lien status may be selected.
13. Find Old Terminations – Internal Search only
    Find Old Termination – This internal search looks for original document numbers and actions relating to it from the "UCCActionsArchived" table. The filing data stored in this table is from UCC filings that were from a previous system and isn't incorporated or easily searchable in the current system.

E. Job History Search

Job # – Finds jobs that match the specified job number.

1. Wildcard Implied
2. Insert OR

F. Filer/Client Name (Individual/Organization)

Finds jobs that match the specified Individual / Organization.

1. Wildcard Implied
2. Insert OR

G. Billing Acct ID –

Finds jobs that match the specified Billing Acct ID

	H. Original Document # – Finds jobs that match the specified Document Number. **I. Filer/Client Maintenance –** This form lists every filer entered into the FilerClient table. This table holds these filers who conduct frequent business and their name & address information is maintained for quick selection and entry into the job window. 1. Name – This will locate the first occurrence of the entered name within the list. 2. AcctID – This will locate the first occurrence of the entered Acct ID within the list. Note that the Corporation application does not utilize Billing Acct Numbers so this type of search doesn't apply. The system must provide an API for the external calling of the search modules from Nebraska.gov. Create a search value using the "modname" algorithm per Appendix C - Statutes and Rules and Regulations, Administrative Rules for Article 9, Title 436, Chapter 5. Language contained within these Rules for 505.2.5 and 505.2.8 no longer applies to search reports and is in the process of being removed so programming for these will not be needed. Must designate debtor as Individual or Organization. The system must have an override function to change the 'through date and time'. NAC Title 436 will add the ability to search a particular debtor address which we currently do not have in programming; add criteria to programming for UCC filings, including Statutory Ag Liens as NAC Title 436 will be updated to accommodate this rule. **NAC Title 436 Search Logic** For additional search criteria see Appendix C- Statutes and Rules & Regulations and Appendix K – Reports and Additional Information – Search Logic Spreadsheet.				

	Soundex This is the standard Soundex encoding algorithm as described here: https://en.wikipedia.org/wiki/Soundex. The UCC encoded value is carried out to 8 characters vs. the standard 4 characters. The system calculates and stores the Soundex encoding of the ModName value. **Additional Search Options Descriptions** A. "Insert OR" option: Allows a Boolean "or" search. Names containing any word or phrase separated by the "or" indicator will be returned. Note that both the Soundex and Wildcard options may be applied to this type of search. B. Soundex: Searches names based on the Soundex value of the debtor's or secured party's name. This type of search will typically result in vastly more results than a non-Soundex search. C. Wildcard: Appends a wildcard character to the end of any entered search criteria. This is a "begins with" search vs. an exact match search and typically feels more natural to the user. Note that the manual use of wildcard characters (* and %) is also allowed. In most cases, the user may manually enter a wildcard character and the search will respond accordingly. The bidder should describe and provide screen shots showing their system's name search processes, and its use for retrieval of existing records, emphasizing how the proposed system will improve the current process.				

Bidder Response:

Revised Article 9 search logic:

The solution provides a search methodology in accordance with the latest recommendations in the Revised Article 9 Model Administrative Rules, as listed below.

- *"503 Search methodology. Search results are produced by the application of search logic to the name presented to the filing office. Human judgment does not play a role in determining the results of the search.*
  - *503.1 Standard search logic. The following rules describe the filing office's standard search logic and apply to all*

searches except for those where the search request specifies that a non-standard search logic be used:

- *503.1.1 There is no limit to the number of matches that may be returned in response to the search criteria.*
- *503.1.2 No distinction is made between upper and lower case letters.*
- *503.1.3 The following rules apply only to organization names:*
  - *a) The character "&" (the ampersand) is deleted and replaced with the characters "and" each place it appears in the name.*
  - *(b) Punctuation marks and accents are disregarded. For the purposes of this rule, punctuation and accents include all characters other than the numerals 0 through 9 and the letters A through Z (in upper and lower case) of the English alphabet.*
  - *(c) The following words and abbreviations at the end of an organization name that indicate the existence or nature of the organization are "disregarded" to the extent practicable as determined by the filing office's programming of its UCC information management system:*
    [Insert the filing office's own "Ending Noise Words" list here.]
    ***Alternative 1**: [The search logic will disregard all words, phrases or abbreviations from the preceding list beginning at the end of the name and working back until an unlisted word, phrase or abbreviation appears.]*
    ***Alternative 2**: [The search logic will disregard only the last word, phrase or abbreviation from the preceding list.]*
  - *(d) The word "the" at the beginning of an organization debtor name is disregarded.*
  - *(e) All spaces are disregarded.*
- *503.1.4 The following search rules apply to individual debtor names:*
  - *(a) Surname: The individual debtor surname on a filed record must exactly match the surname of the search request. The search logic does not provide equivalencies for the surname field, nor does the search logic disregard [spacing,] [punctuation,] titles, suffixes or ending noise words of any type if entered in the surname field.*
  - *(b) First Personal Name. The following equivalencies apply:*
    - *(1) A first personal name is the logical equivalent of the first initial of the name.*
    - *(2) An initial (a single letter) is the logical equivalent of all first personal names that begin with that letter.*
    - *(3) No first personal name or initial is the logical equivalent of all first personal names and initials.*
  - *(c) Additional Names/Initials. The following equivalencies apply:*
    - *(1) A name is the logical equivalent of the first initial of the 18 name.*
    - *(2) An initial (a single letter) is the logical equivalent of all names that begin with that letter and no entry in the additional names/initials field.*
    - *(3) No entry in the additional names/initials field is the logical equivalent of all names and initials.*

- *(d) Search Results. Only records that exactly match the surname field under subsection (a); exactly match the first personal name after application of the equivalency rules in subsection (b); and that exactly match the additional names/initials field after application of the equivalency rules in subsection (c) will be reported.*
- *(f) Search Result Examples.*
    - *(1) A search request for "John A. Smith" (first personal name and surname with an initial in the additional name(s)/initial(s) field) would cause the search to retrieve all filings against all individual debtors with (i) "John" or the initial "J" as to the first name, (ii) "Smith" as the surname, and (iii) no name or initial, the initial "A" or any name beginning with "A" in the additional name(s)/initials field.*
    - *(2) A search request for "J.A. Smith" (initial for first personal name, surname and an initial for the additional name(s)/initial(s) field), would retrieve all filings against individual debtors with (i) the initial "J" or any name beginning with "J" as the first name, (ii) "Smith" as the last name, and (iii) no name or initial, the initial "A" or any name beginning with "A" in the additional name(s)/initial(s) field.*
    - *(3) A search request for "John Smith" (first personal name and surname with no designation in the additional name(s)/initial(s) field), would retrieve all filing against individual debtors with (i) "John" or the initial "J" as the first name, (ii) "Smith" as the last name and (iii) any entry or no entry in the additional name(s)/initial(s) field.*

- *503.1.5 After applying the preceding rules to the name being searched, the search will retrieve from the UCC information management system's searchable index all Unlapsed Records, or, if requested by the searcher, all Records, that pertain to financing statements with debtor names that, after application of this Rule 503, exactly match the modified name being searched."*

Revised Article 9 search logic examples:
The following examples demonstrate how the above Revised Article 9 Search Logic is applied to search criteria, and reflects the actual behavior of the solution.

Rule 1
For first and middle names of individual debtor names, initials are treated as the logical equivalent of all names that begin with such initials, and first name and no middle name or initial is equated with all middle names and initials.

Example 1. Searching with first name of Carl, no middle name and last name of Ernst (**Carl Ernst**) would return all debtors with a last name of Ernst a first name of Carl or a first name initial of C, and with any middle name as well all of the debtors that have no middle name.

Searching for **Carl Ernst** would return all of the following:

C. Ernst, C. R. Ernst, C. X. Ernst, Carl R. Ernst, Carl X. Ernst, Carl Ray Ernst, C. Ray Ernst, C. John Ernst, Carl John Ernst,

and **Carl Ernst***

Example 2. Searching with the first name of C., no middle name and last name of Ernst (**C. Ernst**) would return all debtors with a last name of Ernst a first name with a first name initial of C or starting with C, and with any middle name as well all of the debtors that have no middle name.
Searching for **C. Ernst** would return all of the following:
C. Ernst, C. R. Ernst, C. X. Ernst, Carl R. Ernst, Carl X. Ernst, Carl Ray Ernst, C. Ray Ernst, C. John Ernst, Carl John Ernst, and **Carl Ernst***

Example 3. Searching with the first name of C., a middle name of R. and last name of Ernst (**C. R. Ernst**) would return all debtors with a last name of Ernst a first name starting with a C. or a first name initial of C, and with the initial "R" or any name beginning with "R" in the middle name field as well **as return all of the debtors that have no middle name**.
Searching for **C. R. Ernst** would return the following:
C. Ernst, C. R. Ernst, Carl R. Ernst, Carl Ray Ernst, C. Ray Ernst, **Carl Ernst***
Note that because the middle name is an R, only those debtors without a middle name or with a middle name that starts with R will be returned. Therefore, the following Debtors would not be returned:
C. X. Ernst, Carl X. Ernst, C. John Ernst, and Carl John Ernst

Example 4. Searching with the first name of Carl, a middle name of R. and last name of Ernst (**Carl R. Ernst**) would return all debtors with a last name of Ernst a first name of Carl or a first name initial of C, and with the initial "R" or any name beginning with "R" in the middle name field **as well as return all of the debtors that have no middle name**.
Searching for **Carl R. Ernst** would return the following:
C. Ernst, C. R. Ernst, Carl R. Ernst, Carl Ray Ernst, C. Ray Ernst, **Carl Ernst***
Note that because the middle name is an R, only those debtors without a middle name or with a middle name that starts with R will be returned. Therefore, the following Debtors would not be returned:
C. X. Ernst, Carl X. Ernst, C. John Ernst, and Carl John Ernst

Rule 2
***Return all debtors without a middle name even when the search criteria shows one or more characters present in the middle name field.**
This is represented above where the name Carl Ernst is returned when a search is performed for Carl R. Ernst and C. R. Ernst, additional examples are below when there is more than one character in the middle name field entered as search criteria.

Example 1. Searching with the first name of C. or C, a middle name of Ray and last name of Ernst (**C. Ray Ernst or C Ray Ernst**) would return all debtors with a last name of Ernst a first name of Carl or a first name initial of C, and with the initial "R" or any name beginning with "R" in the middle name field as well **as return all of the debtors that have no middle name**.

Searching for **C. Ray Ernst** would return the following:

C. Ernst, C. R. Ernst, Carl R. Ernst, Carl Ray Ernst, C. Ray Ernst, Carl Ernst

Note that because the middle name starts with R, only those debtors without a middle name or with a middle name that starts with R will be returned. Therefore, the following Debtors would not be returned:

C. X. Ernst, Carl X. Ernst, C. John Ernst, and Carl John Ernst

Example 2. Searching with the first name of Carl, a middle name of Ray and last name of Ernst (**Carl Ray Ernst**) would return all debtors with a last name of Ernst a first name of Carl or a first name initial of C, and with the initial "R" or any name beginning with "R" in the middle name field **as well as return all of the debtors that have no middle name**.

Searching for **Carl Ray Ernst** would return the following:

C. Ernst, C. R. Ernst, Carl R. Ernst, Carl Ray Ernst, C. Ray Ernst, Carl Ernst

Note that because the middle name starts with R, only those debtors without a middle name or with a middle name that starts with R will be returned. Therefore, the following Debtors would not be returned:

C. X. Ernst, Carl X. Ernst, C. John Ernst, and Carl John Ernst

	Search Name					**Debtor Name on Index**					
	C. Ernst	C.R. Ernst	C.X. Ernst	Carl Ernst	Carl R. Ernst	Carl X. Ernst	C. Ray Ernst	C. John Ernst	Carl Ray Ernst	Carl John Ernst	Expected Results
Carl Ernst	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	10
C. Ernst	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	10
C. R. Ernst	Yes	Yes	*	Yes	Yes	*	Yes	*	Yes	*	6
Carl R. Ernst	Yes	Yes	*	Yes	Yes	*	Yes	*	Yes	*	6
C. Ray Ernst	Yes	Yes	*	Yes	Yes	*	Yes	*	Yes	*	6
Carl Ray Ernst	Yes	Yes	*	Yes	Yes	*	Yes	*	Yes	*	6

Use of Revised Article 9 search logic in the solution:
Revised Article 9 Search Logic is utilized in the following solution areas.

- UCC-11 In-house filings
  - A receiptable processing flow used by in-house staff to process written search request forms.
- UCC-11 manual search
  - A manual search flow for internal users only. For research purposes.

UCC-11 search report filing:
Staff will receipt the payment and create the transaction ("job") in the work order.

Currently, all lien types (UCC, federal tax, agricultural lien, and so on) are searched and returned by the same Revised Article 9 search logic and returned in the same UCC-11 report. However, the system can be modified to provide different sub-types of search request transaction jobs, each with their own search logic and criteria (for example, non-standard wildcard search for tax and judgement liens). Each sub-type would have the same basic process as described below.

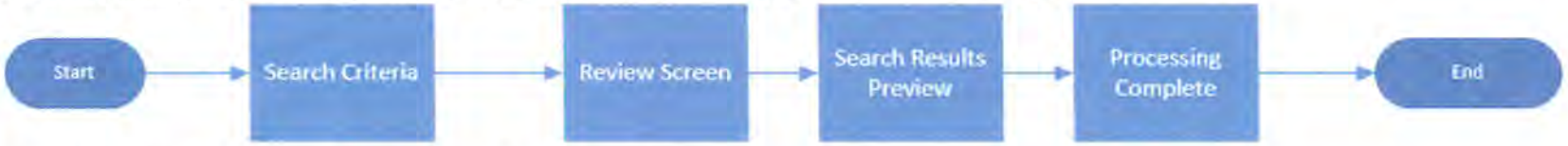


Figure 105. UCC-11 search report filing process flow.

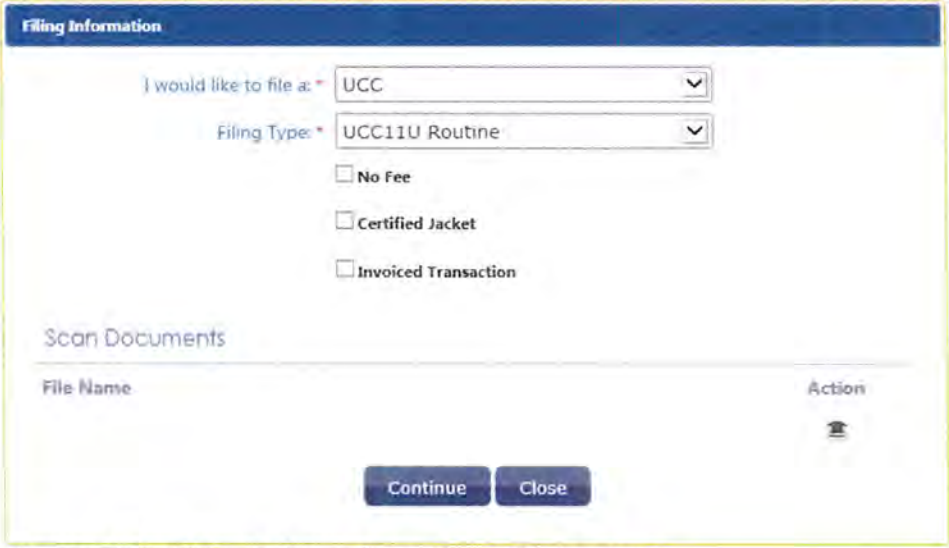


Figure 106. Filing information. Select filing type.

After receipting payment and entering filer information, the user clicks on "Filing Information" and then selects the UCC-11 (or variant thereof).

*The "Certified Jacket" checkbox will automatically add the fee for a certified copy, and trigger business rules for the generation of a certificate as part of the filing output.

*The scan control in Figure 106 is an optional feature that assumes desktop scanning. The recommended business process for this solution is an up-front batch scanning model, where barcode labels are printed for each transaction. All filing documents are scanned as a batch and then associated via the barcode to each transaction by the system.



Figure 107. Transaction information.

The work order now records a certified UCC-11 filing transaction.

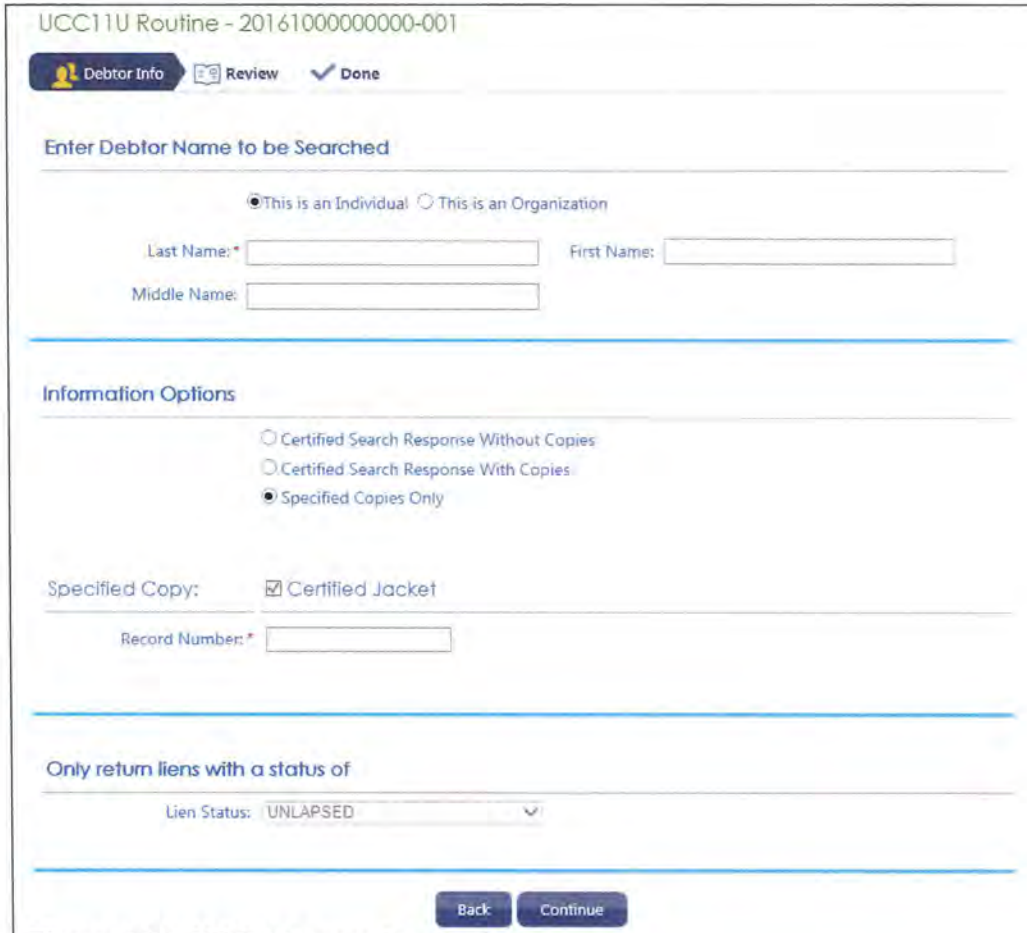


Figure 108. UCC-11 search criteria.

Figure 108 shows the first processing screen of the UCC-11 filing flow. It is reached via the processing icon in the Search Report Queue, similar to how original and amendment filings are processed via the Indexing Queue. The UCC-11 flow is receipted. From this screen forward, the UCC-11 filing flow and the manual UCC-11 flow are identical. The only difference between them is that the filing flow is receipted in a work order, while the manual UCC-11 is an at will generation of the report.

Note: In the above implementation example, business rules required that the status dropdown be locked to "Unlapsed" for all search reports with a certified jacket selection (certified copy).

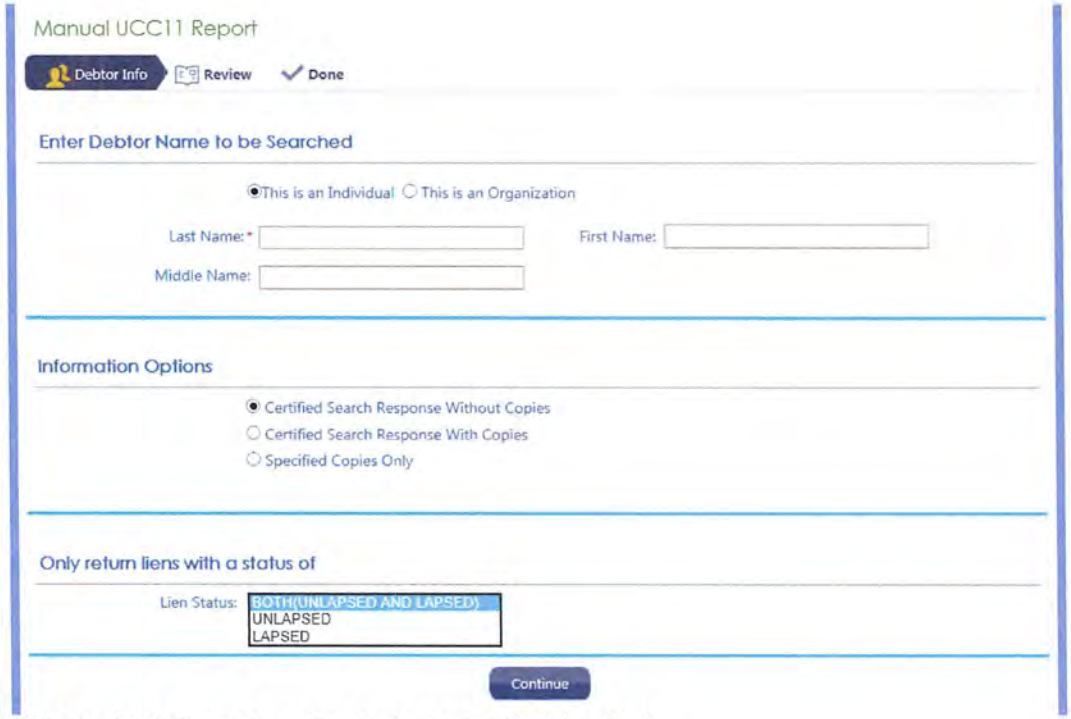


Figure 109. Search criteria (no certified jacket).

Status dropdown is unlocked, allowing for entry of request criteria found on the submitted form.

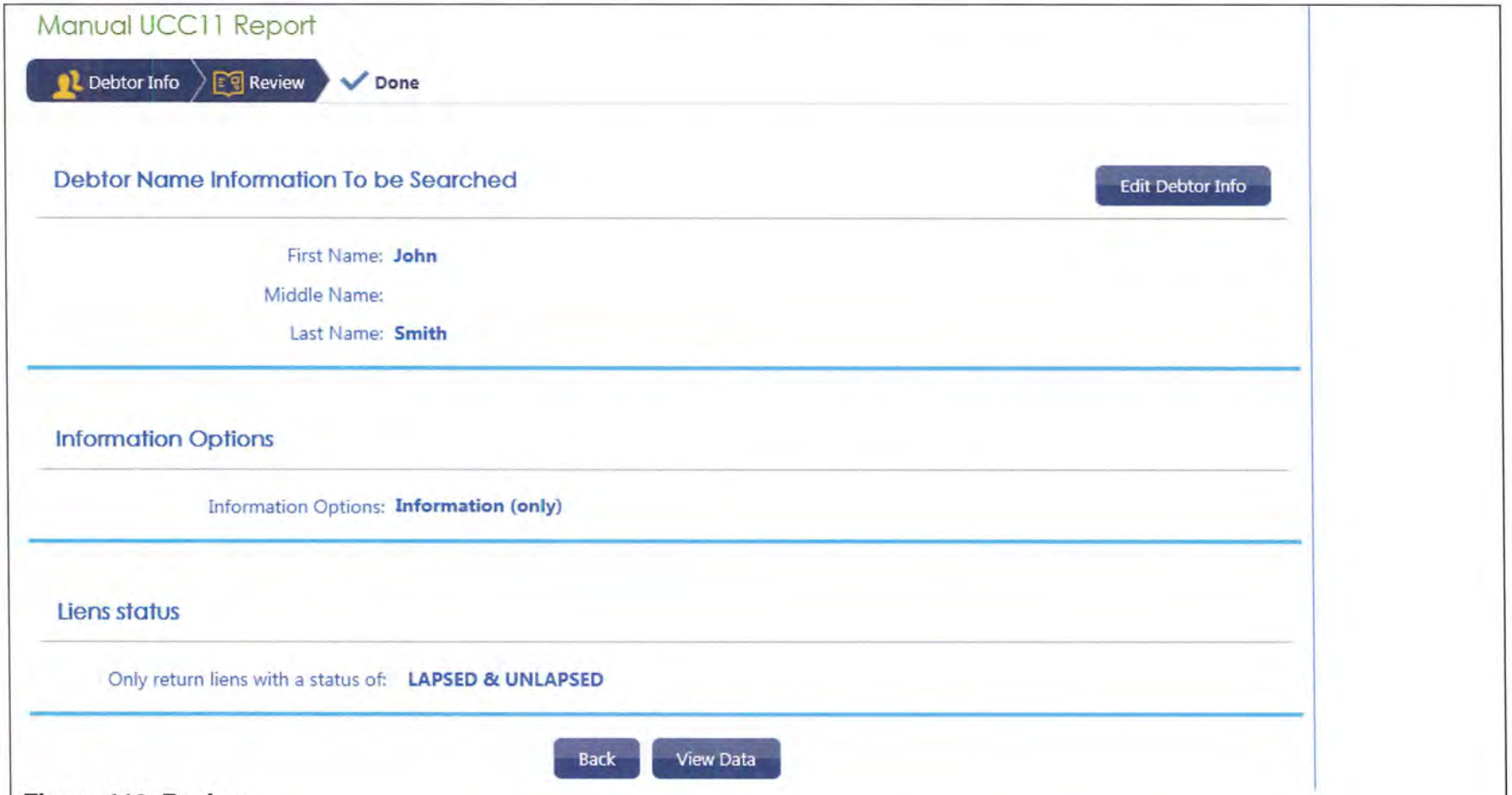


Figure 110. Review.

The review screen allows the user to review all data entered and selections made before proceeding to preview the report.

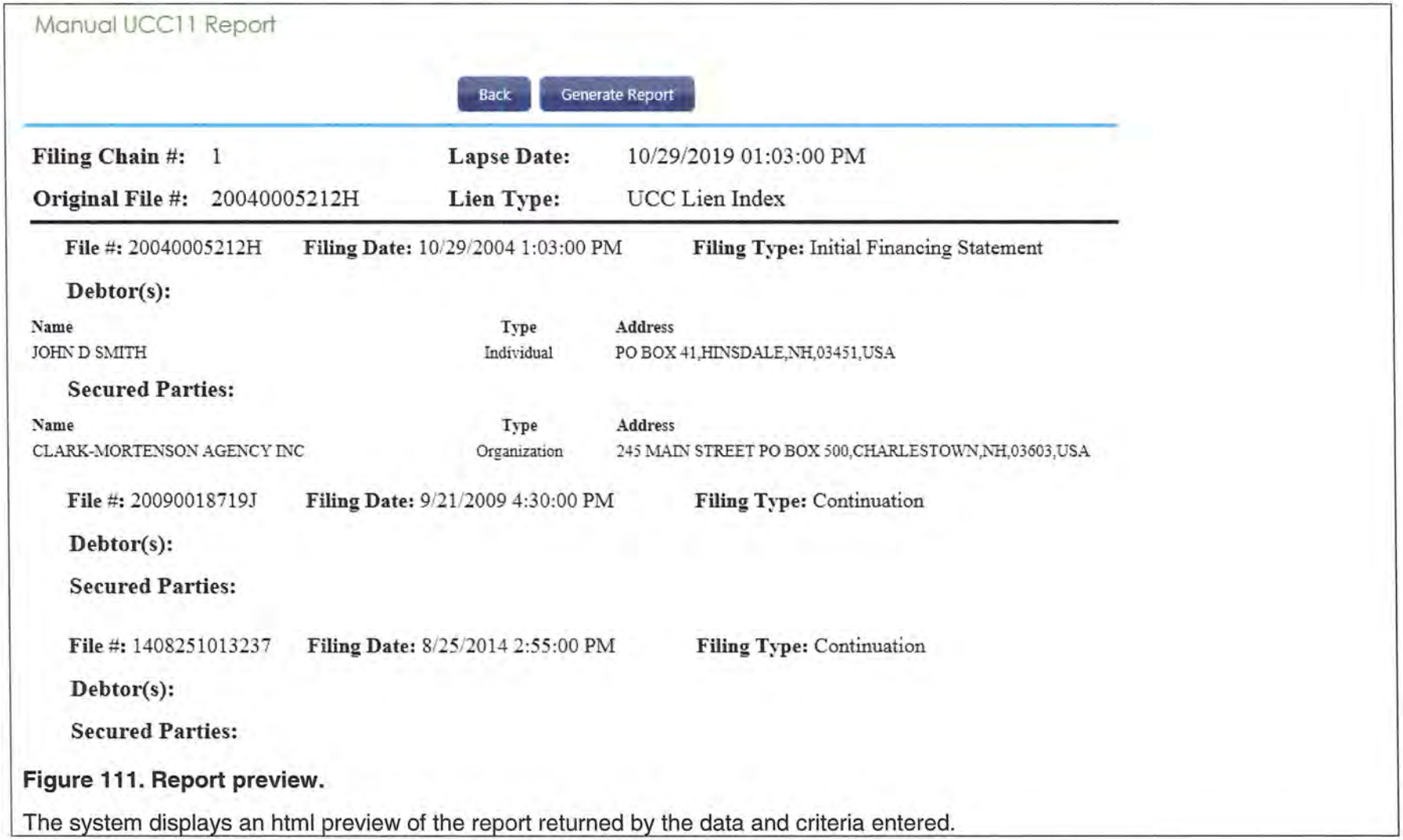


Figure 111. Report preview.

The system displays an html preview of the report returned by the data and criteria entered.

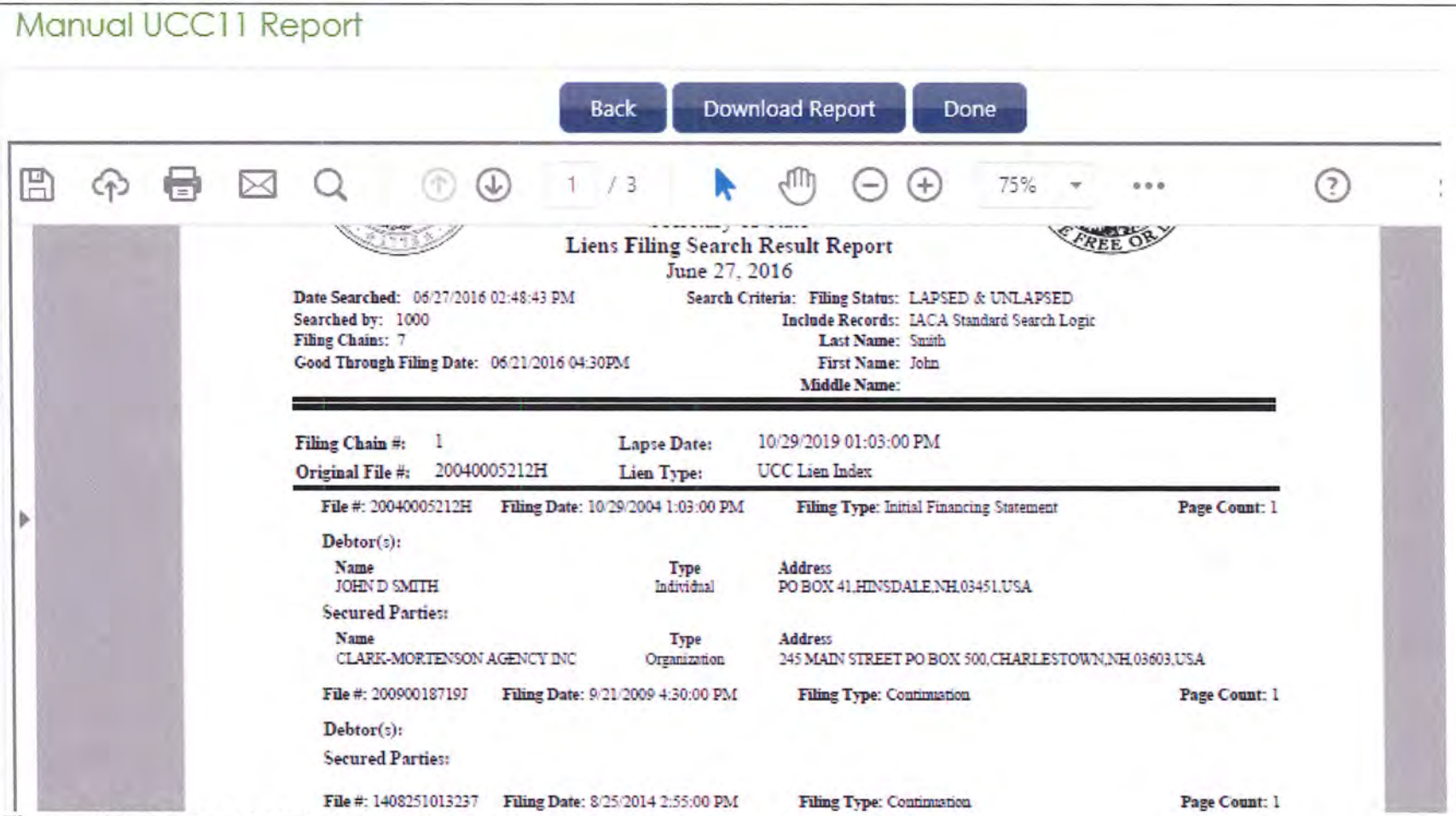


Figure 112. Print or download report.

The final output of the report in PDF format is made available for printing.

UCC in-house search:

The UCC in-house search provides staff an at-will functionality to search and recall filing data and filing images from the database using a variety of criteria. The following samples (Figures 113 and 114) should be taken as a starting point for this functionality in terms of the data entry and search refinement criteria present on the report. Additional entry fields and criteria controls will be added according to requirements recorded during gap analysis.

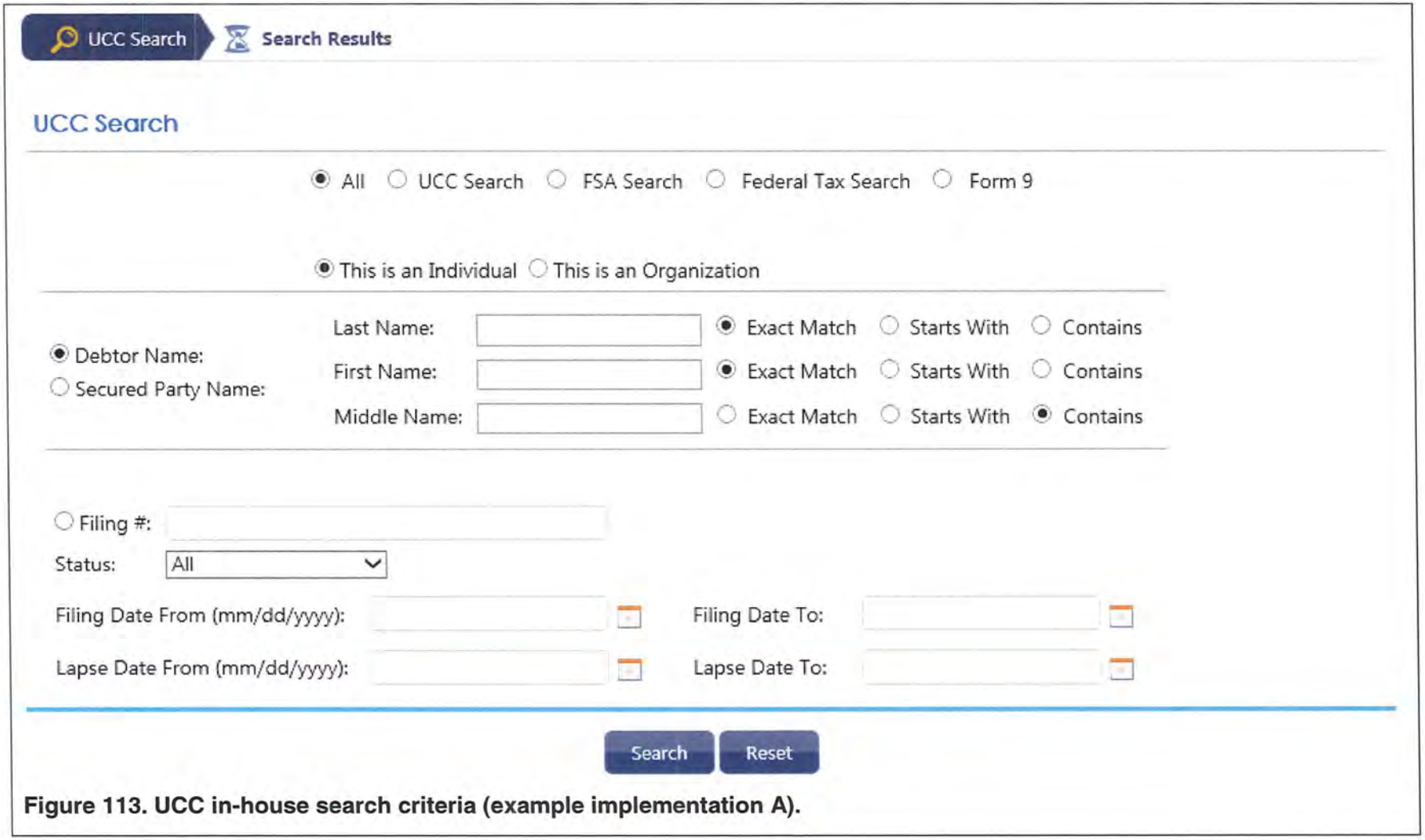


Figure 113. UCC in-house search criteria (example implementation A).

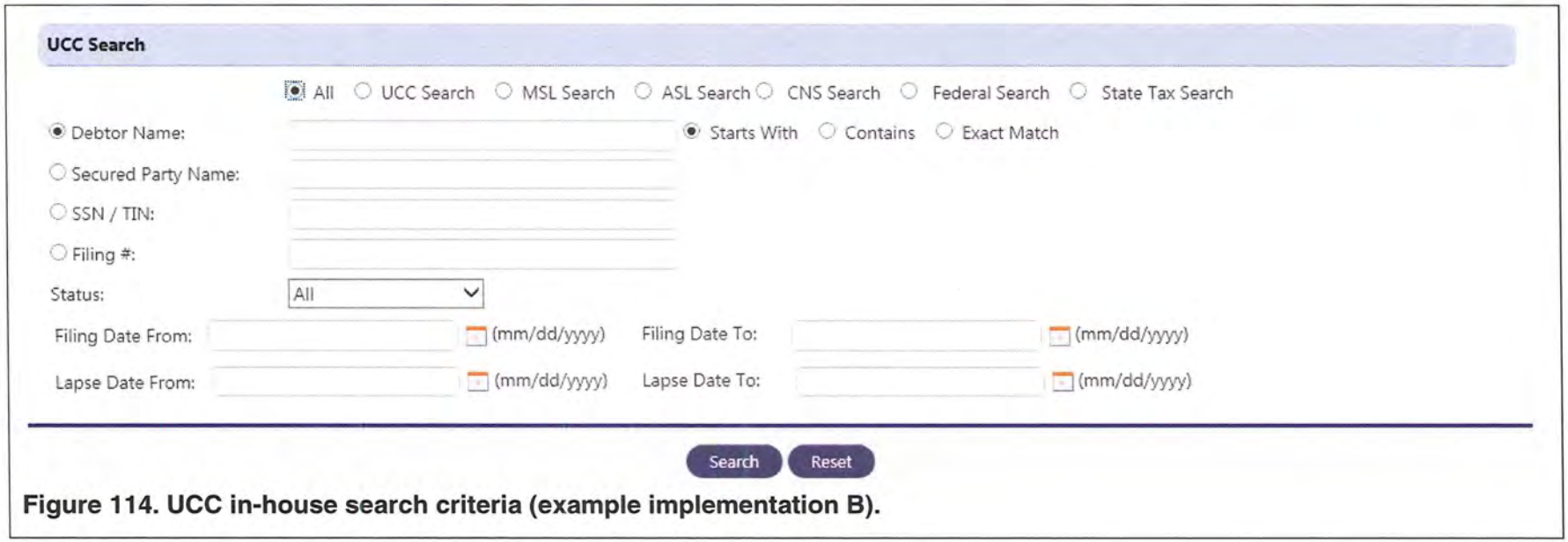


Figure 114. UCC in-house search criteria (example implementation B).

Search Results

Initial Financing Statement #	Lien Type	Index Type	Debtor Name	Debtor Address	Debtor Type	Lapse Date
101-131-028	Form 9	Town Department of Revenue	JOHN BUTLER SMITH	500 COMMERCIAL ST, MANCHESTER, NH, 03101, USA	INDIVIDUAL	10/22/2008 10:33:00 AM
20040005212H	UCC Lien	UCC Lien Index	JOHN D SMITH	PO BOX 41, HINSDALE, NH, 03451, USA	INDIVIDUAL	10/29/2019 01:03:00 PM
140617962054	UCC Lien	UCC Lien Index	JOHN H SMITH	56 SOUTH SHORE ROAD, Salem, NH, 03079, USA	INDIVIDUAL	06/13/2019 04:30:00 PM
131106797800	UCC Lien	UCC Lien Index	JOHN L SMITH JR.	32 A CHURCH ST, Pembroke, NH, 03275, USA	INDIVIDUAL	11/05/2018 04:30:00 PM
1506121233769	UCC Lien	UCC Lien Index	JOHN M SMITH	335 ACADEMY RD, Pembroke, NH, 03275, USA	INDIVIDUAL	06/11/2020 04:30:00 PM
20050020776M	UCC Lien	UCC Lien Index	JOHN M SMITH	30 WARING ROAD, Bristol, NH, 03222, USA	INDIVIDUAL	08/29/2010 04:30:00 PM
634654	UCC Lien	UCC Lien Index	JOHN M. SMITH	335 ACADEMY ROAD, PEMBROKE, NH, 03275, USA	INDIVIDUAL	02/13/2014 04:30:00 PM
110913219987	UCC Lien	UCC Lien Index	JOHN SMITH	335 ACADEMY RD, Pembroke, NH, 03275, USA	INDIVIDUAL	09/12/2016 04:30:00 PM

Figure 115. UCC in-house search results.

The search results are returned in a paginated html list. The user may drill down these results into each filing by clicking on the hyperlinked initial financing statement (IFS) number. This will display the high level lien information of each lien.

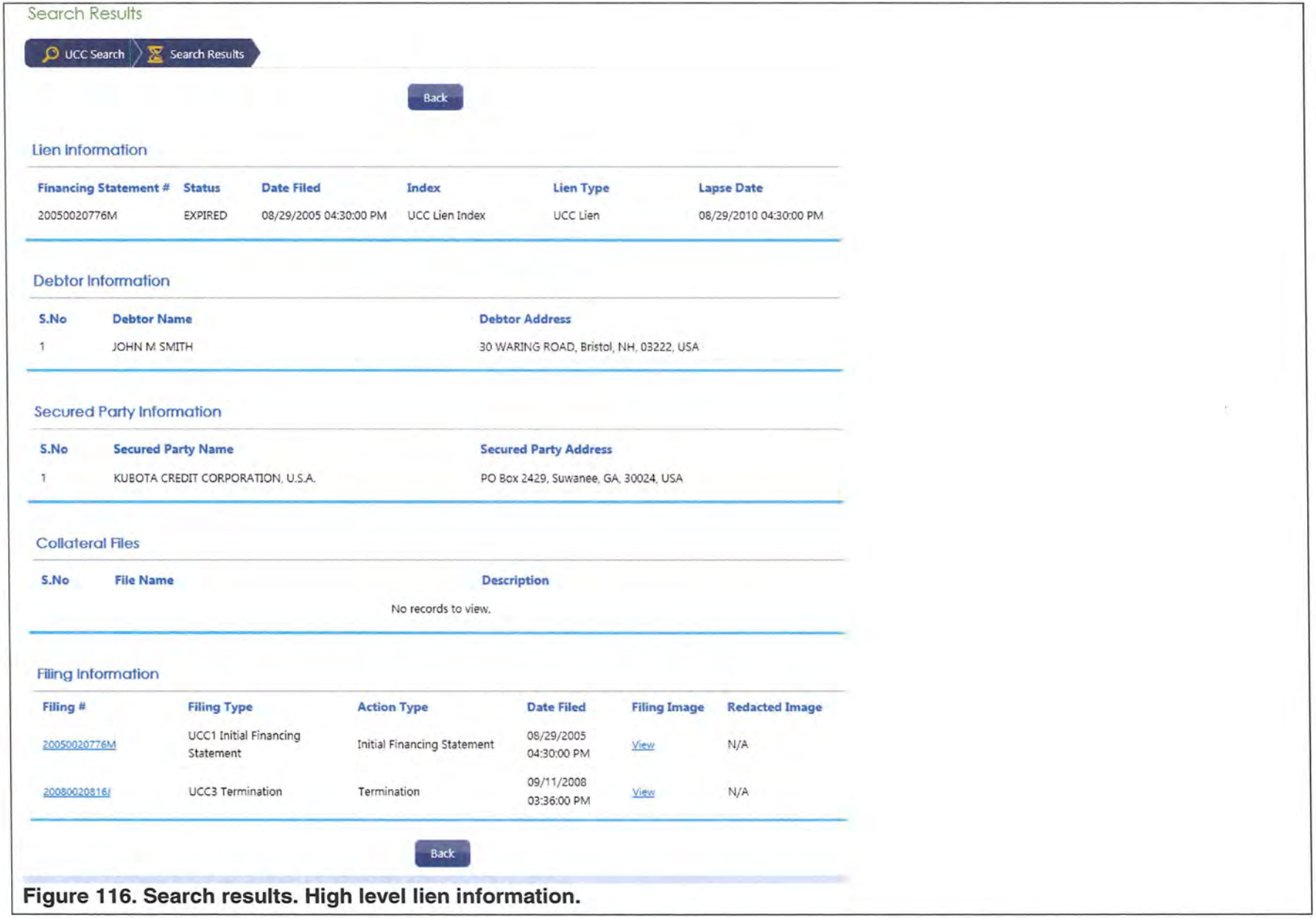


Figure 116. Search results. High level lien information.

Figure 116 shows the high level information of the lien, including the filing date, lapse date, lien type, status, and history of all initial financing statements and all additional amendments and information statements filed on the lien.

All debtors and secured parties that have been indexed on the lien are displayed.

If the implementation includes an online component, and a lien is viewed that was filed online (or contains additional filings that were filed online), then uploaded collateral images are available via hyperlink and any text entered by the online filer into the collateral text field is displayed.

Lien types with mandatory indexed collateral data (for example, agricultural liens) will display their indexed collateral information.

In the filing information section, all rows allow the user to view and print the filing documents, as well as click on the filing number hyperlink to drill down into a detailed record of each individual filing.

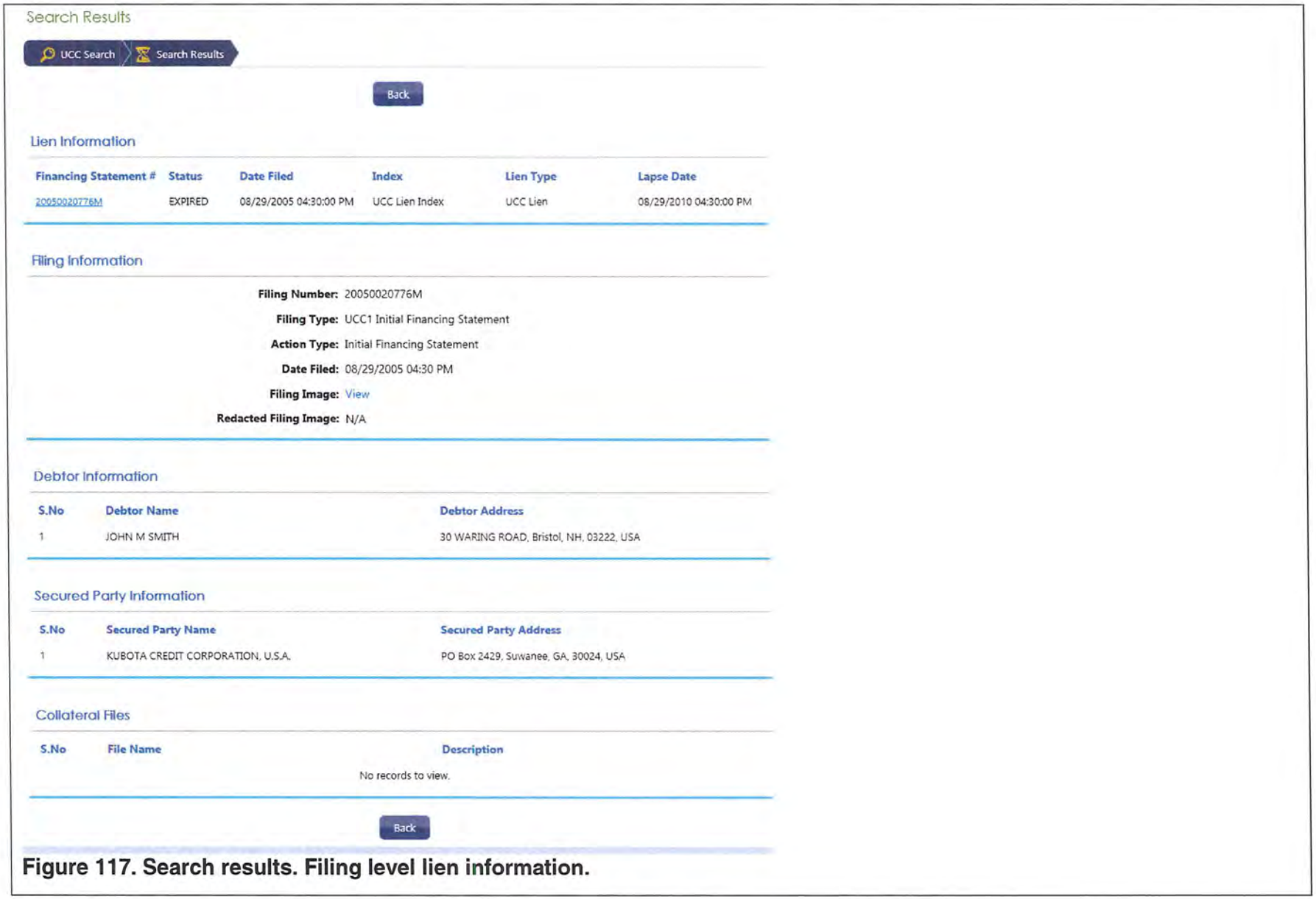


Figure 117. Search results. Filing level lien information.

The filing level lien information also displays the high level information of the lien, including the filing date, lapse date, lien type, status, and so on.

All debtors and secured parties that have been indexed on the specific filing are displayed (if the filing was a type that added/deleted/changed a party).

If the implementation includes an online component, and a filing is viewed that was filed online, then uploaded collateral images are available via hyperlink and any text entered by the online filer into the collateral text field is displayed.

Lien types with mandatory indexed collateral data (for example, agricultural liens) will display their indexed collateral information.

Filing document images are available for view and print via the "View" hyperlink.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-2	**Original Filings** Original Filings are filed with the Secretary of State. All lien types and action codes can be found in Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings labeled as Originals and Appendix H – UCC & EFS Lien Data Fields. Statutory Requirements for Originals can be found in Appendix C – Statutes and Rules & Regulations. Click to see Filing Compliance Chart for jurisdictional requirements. Review and Enter Filing Data A. Accept and file 1. Enter required information for filing. a. Check for a Debtor and Secured Party data b. Status becomes active 2. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees) 3. Commit job 4. Calculate maturity date for original filings (including leap year updates) and assign status and action type for filings 5. File Stamp filing (see RTM CB-2) 6. Generate letter (Acknowledgement of Filing) and return copy if included with acknowledgement receipt to filer.	X			

	See RTM CB-3 7. Send for scanning B. Decline and reject Return document with system-generated rejection letter and fees, if collected. Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or explanation. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3 C. Allow ability to correct Original filing and create audit trail. The bidder should describe and provide screen shots showing how their system handles Original filing processes.				

Bidder Response:
This section details the in-house process of filing an initial financing statement (IFS). The example shown is for a UCC-1, however initial financing statements of other lien types follow the same basic process, with changes and additions of data entry fields as appropriate to the filing type.

Receipting and work order creation:
The payment and filing transaction information (jobs) are recorded in a separate business process from the indexing of the filing. Depending on business process requirements identified during gap analysis, scanning of document images may either occur in batches (scanning multiple filing transactions from multiple work orders in one batch) or in a user-level desktop scanning process for each filing transaction. The batch scanning model is generally recommended unless specific business process requirements dictate otherwise.

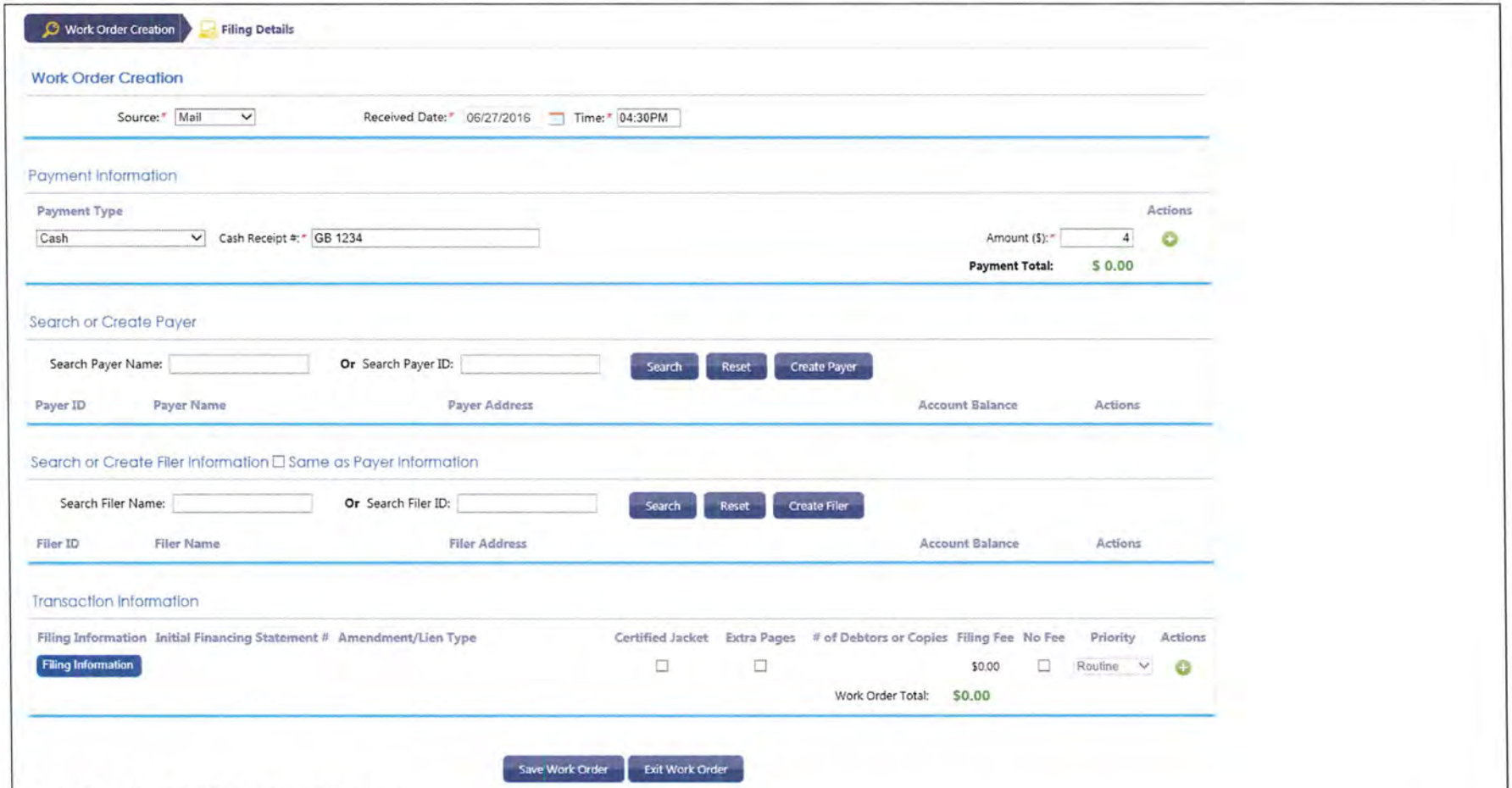


Figure 118. Work order creation.

The work order screen records the filing source (for example, mail or counter), effective filing date (received date/time), the payment information, the filer and payer information, and the individual transactions (jobs) contained in the packet of work.



Figure 119. Work order creation. Filing information.

The user selects the "UCC1 Initial Financing Statement" from the drop down selections.

The user is allowed to enter any filing information that affects the filing fee (varies by state, example: number of pages, number of debtors).

A user with sufficient privileges (typically, supervisors or administrators) may elect to receipt the filing to be processed at no fee.

A user is allowed to mark the transaction as invoiced. The system will not require payment for the transaction at the time of processing and will flag the transaction and work order as balance due. Repayment will be made at a later date on the same work order.

Optional scanning control is available if the user-level desktop scanning model is implemented.

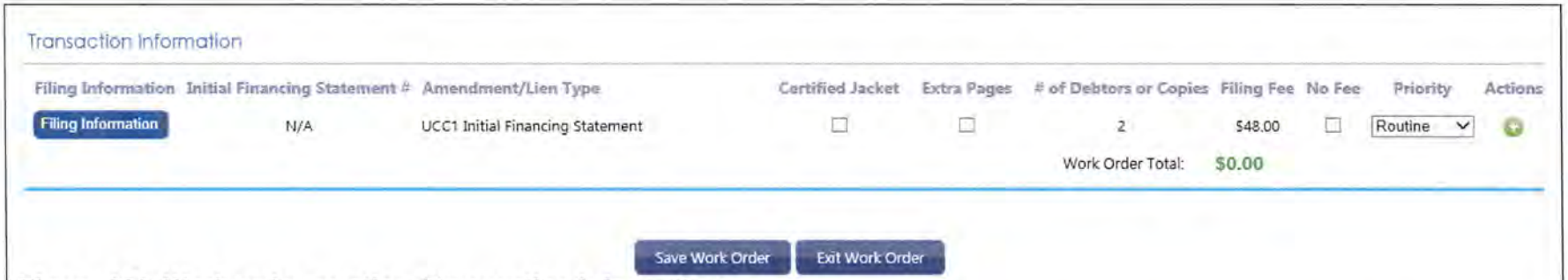


Figure 120. Work order creation. Transaction information.

The transaction information records the filing type, fee modifiers, total fees, and allows the user to adjust the processing priority of the filing.

The priority selector will adjust the order the filing is presented in the processing queues according to business rules.

Depending on gap analysis, some elements such as priority or other modifying information can have forced association to specific filing types or sub-types, eliminating the manual selection by the user.

After entering all information, the user will click "Save Work Order."

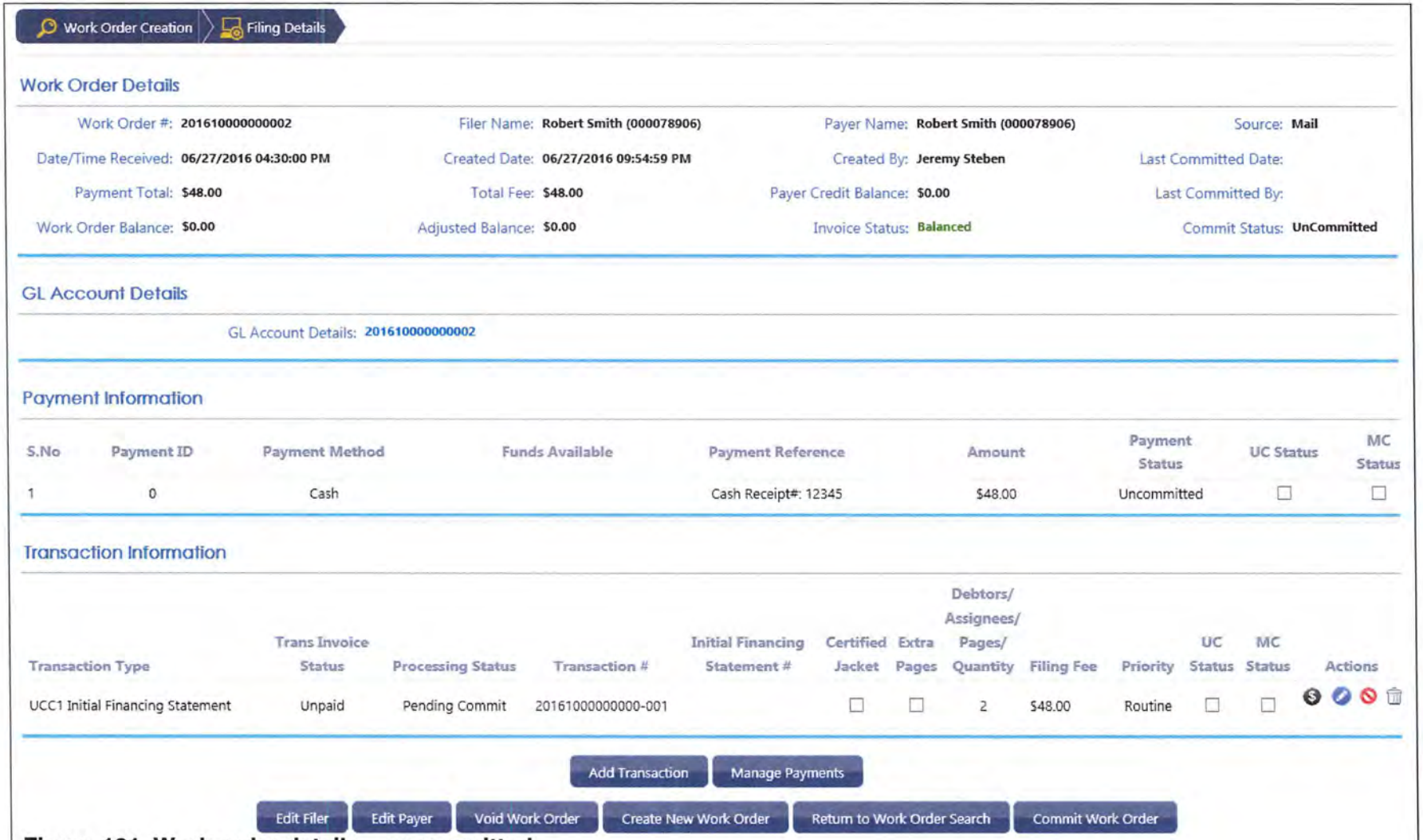


Figure 121. Work order details – uncommitted.

The work order details screen shows the information associated to a work order once it is created.

Figure 121 shows a work order in an uncommitted state, indicating the following.

- The payment information has not yet been committed to the financial tables (nor have funds been applied to general ledger

accounts)
- The filing transactions have not yet been routed to the processing screens.

The user may make additional edits (such as, additions and deletions) at this point.

If the filing can be identified as eligible for rejection by the receipting user then the filing may be marked as such at this time. Should a rejection reason not be identified until a user attempts to process it from the indexer queue (as they review the filing image presented in the processing screens) they may return to this screen and flag it as rejected at that point in time as well.

After making all edits and flags, the user will click "Commit Work Order."

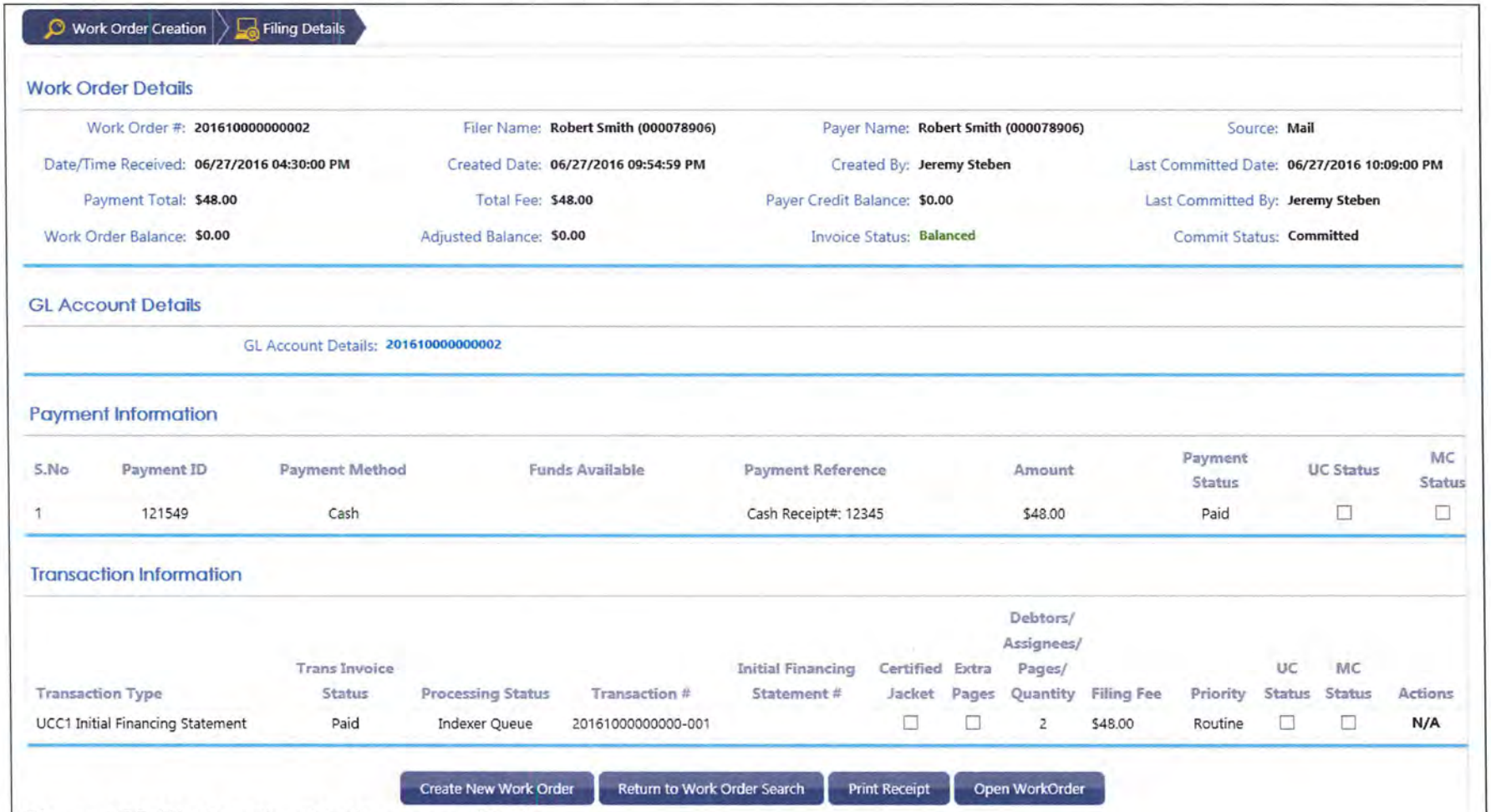


Figure 122. Work order details – committed.

The work order has now been committed.

The filing transactions have now been routed to the processing queues and are available for processing.

Indexing flow:

The indexing flow for a filing is initiated from the indexing queue and allows the user to enter debtor and secured party information for

the filing.

Depending on the desired business process flow, this may either be:

- The first sub-flow in the processing of a filing, with verification of the data entered during indexing by a second user being the second and final.
- The only and final process flow in the processing of a filing in and of itself. In this case, the filing will be committed to the filing tables and available for public view on reports at the conclusion of this flow.



Figure 123. Indexing process flow.



Figure 124. Indexer queue.

By default, the indexing queue will display filings in an order which takes account of both the effective filing date and the priority status value. Exact ranking of filings will be established during gap analysis.

Users will generally pull from the top most filing displayed, by clicking on the processing (gear) icon.

- Once a user pulls a filing, its record in the queue becomes updated to "Locked for Processing" and other users will be disallowed from processing the same filing.

Once the filing is pulled by a user, the system will navigate that user to the first screen of the indexing queue.

All work order numbers are presented as hyperlinks that navigate the parent work order of the filing indicated.

- This is used in situations where the processing user discovers a rejection reason or discrepancy with data entered on the work order when reviewing the scanned filing image. The processing user may then navigate directly to the work order to make edits at both the financial and transaction information levels.

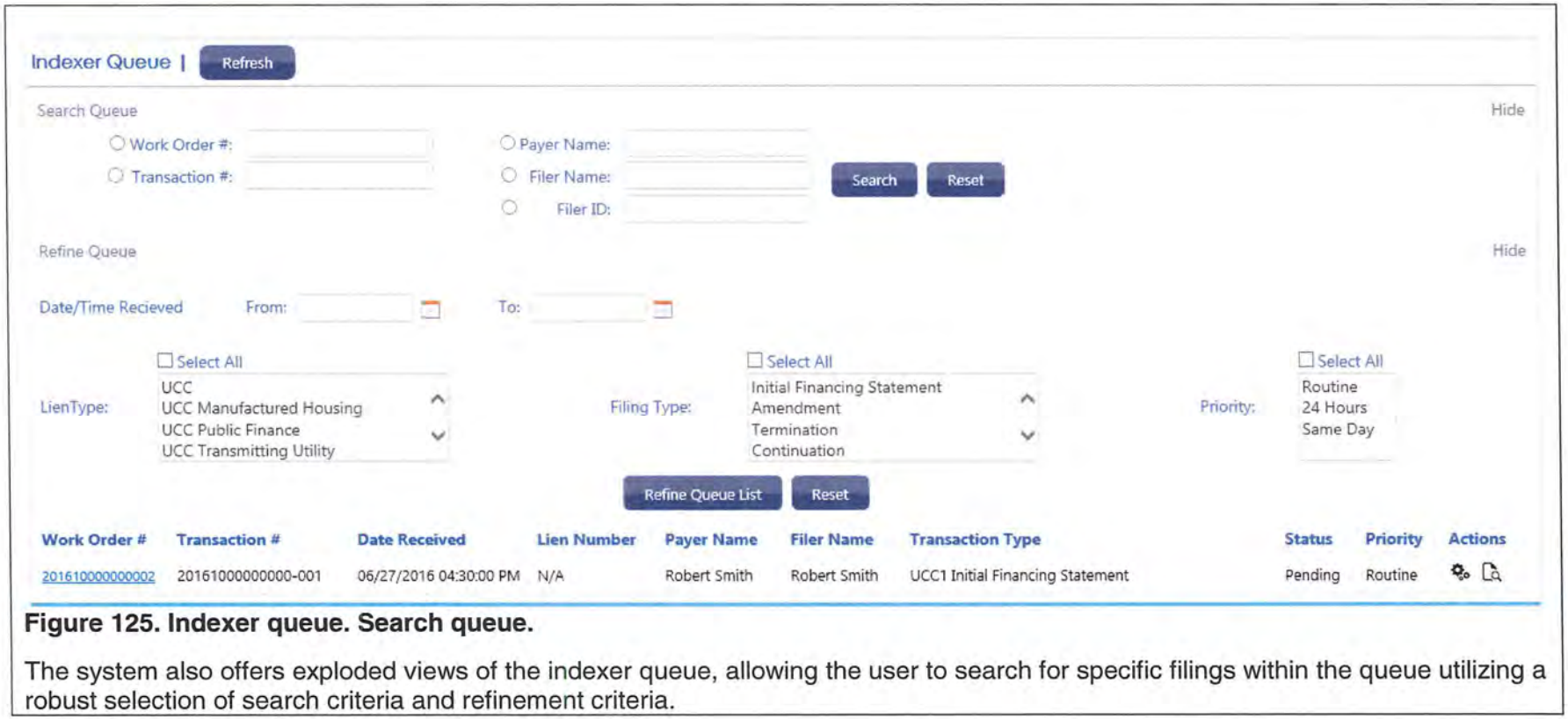


Figure 125. Indexer queue. Search queue.

The system also offers exploded views of the indexer queue, allowing the user to search for specific filings within the queue utilizing a robust selection of search criteria and refinement criteria.

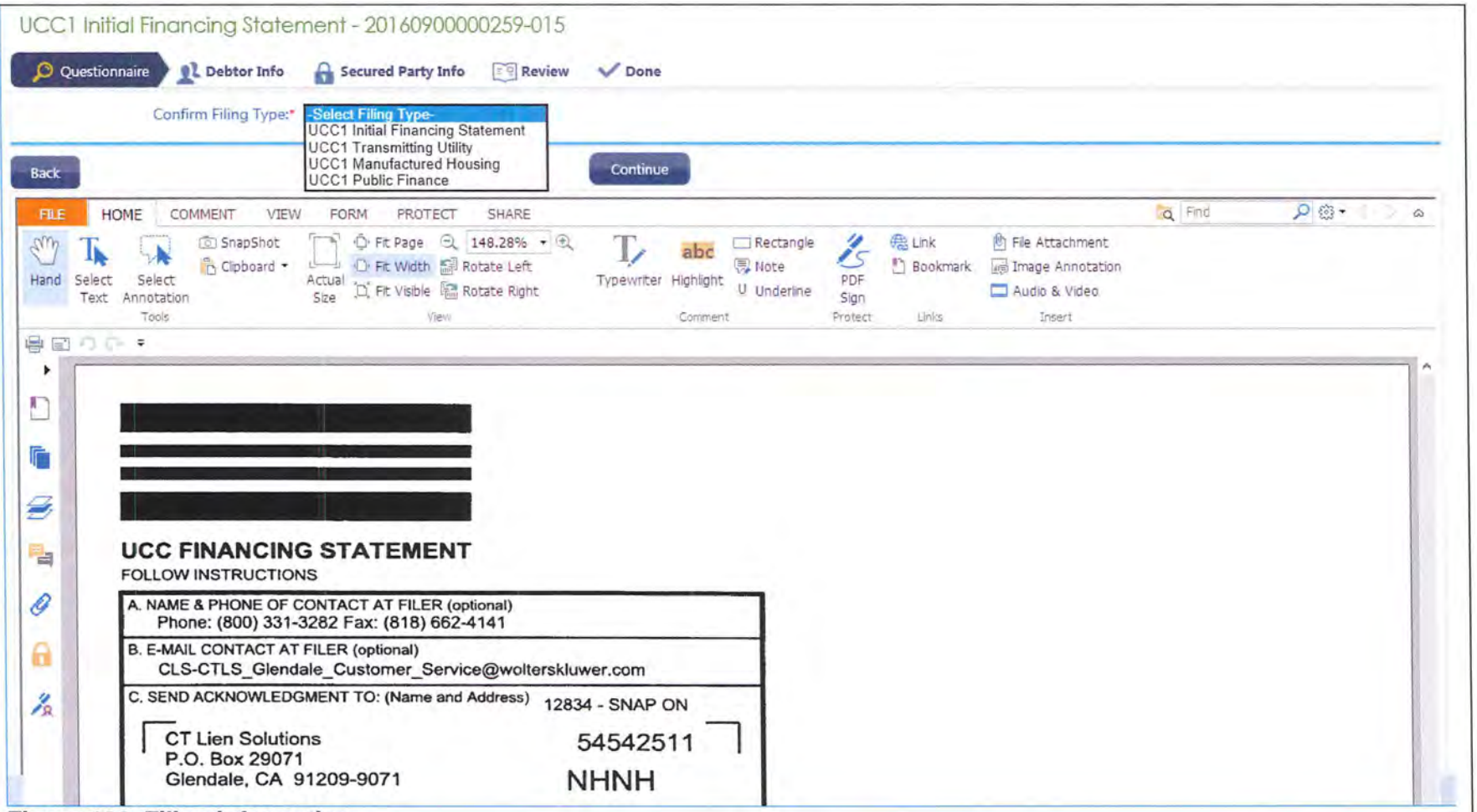


Figure 126. Filing information.

The filing information screen allows for initial review of the scanned filing documents of the processing user, and the filing type must be confirmed by the processing user at the time.

The scanned filing document is available for viewing by the user on this screen, and all subsequent screens of this flow. However there are two methods by which this document may be displayed by the system, the choice of which is determined during gap analysis.

- Filing image is displayed in the same screen tab as the data entry fields.
  - As depicted in Figure 126.
  - Image is displayed within a scrollable I-Frame with variable zoom.
- Filing image is displayed in a separate browser tab.
  - The tab may be dragged to a second monitor, or another portion of the first monitor, so that filing image and data entry fields may be viewed side-by-side.
  - *Note: Further images in the UCC and EFS sections of this document will be from an implementation with filing image opening in a separate tab and thus will not be visible on the processing screens.

The system validates the processing user's entries with the filing type information entered by the receipting user in the work order. If the values do not match, hard stop alerts are given to the user.

In the event a rejection reason or discrepancy is found, the filing flow may be exited by using the back button. The work order may then be navigated to via the work order number hyperlink, and edits made to the work order to bring it in line with the reviewed filing document image.

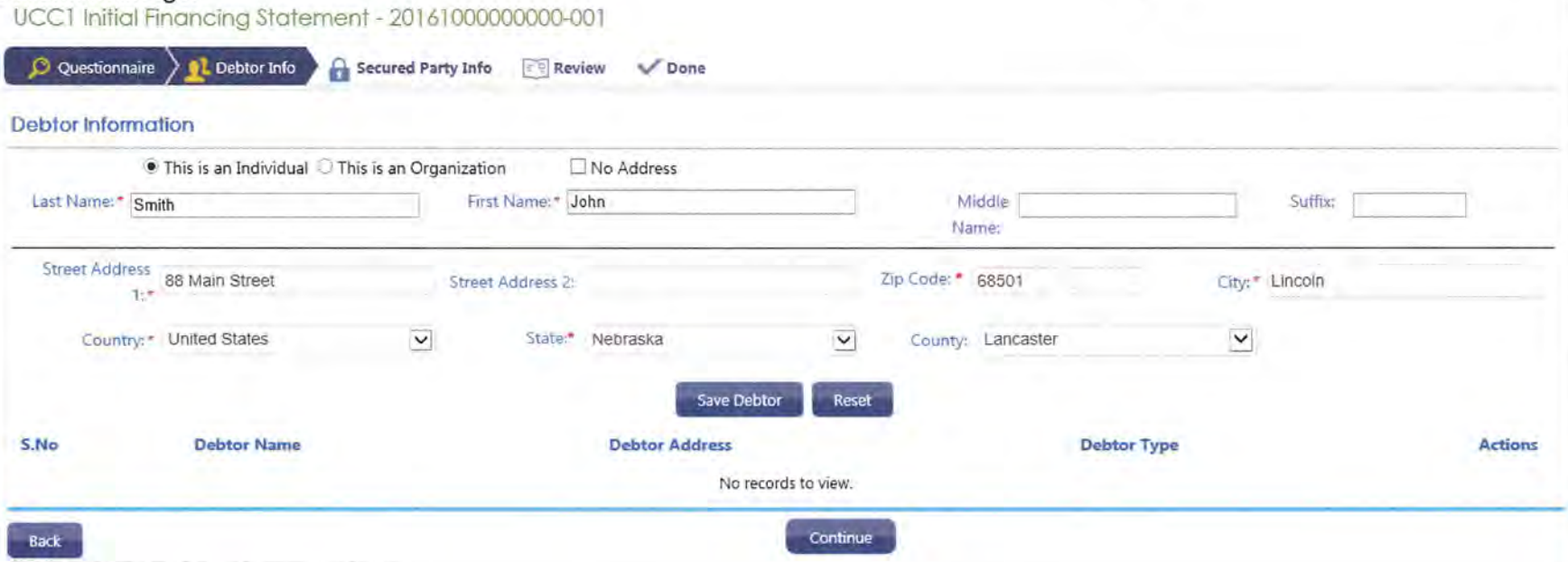


Figure 127. Debtor information.

The user enters the debtor information to be indexed.

The system enforces business rules on data entry. Rules are specific to State statues and interpretation of Revised Article 9 and will be revised during gap analysis. However, common default rules include:

- All fields marked with a red asterisk (*) are required to contain data.
- Entering a valid zip code and tabbing out of the field will trigger the city, country, state and county fields to auto populate according to USPS mapping data (or State provided mapping).
- After the first debtor is entered, the system will allow the user to select the "No Address" checkbox for subsequent debtors, disabling the mandatory data entry requirements for the address fields.

User clicks "Save Debtor" after data entry is complete.

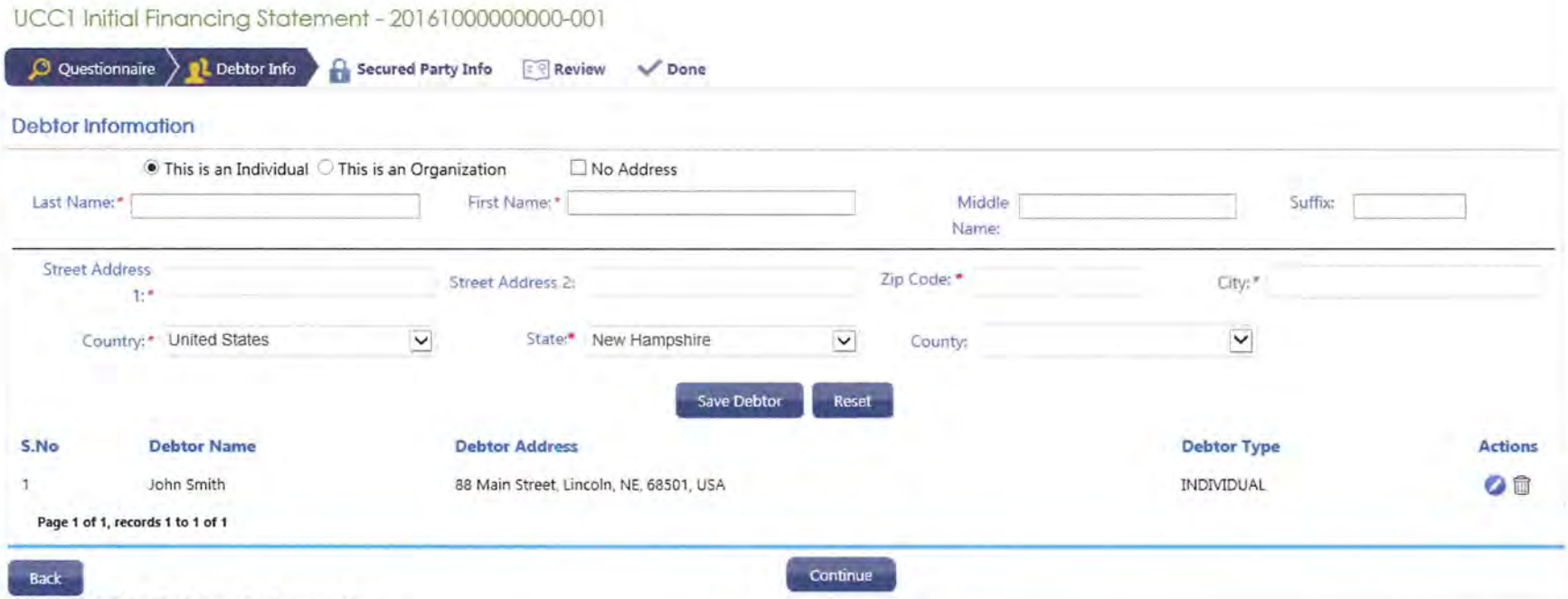


Figure 128. Debtor information.

The system saves the entered debtor information to the grid below the entry fields.

The data entry fields are cleared of data and are ready for additional data entry.

The debtor that has been saved to the grid may be edited or deleted.

The system will not allow the user to progress unless at least one debtor is entered in the field.

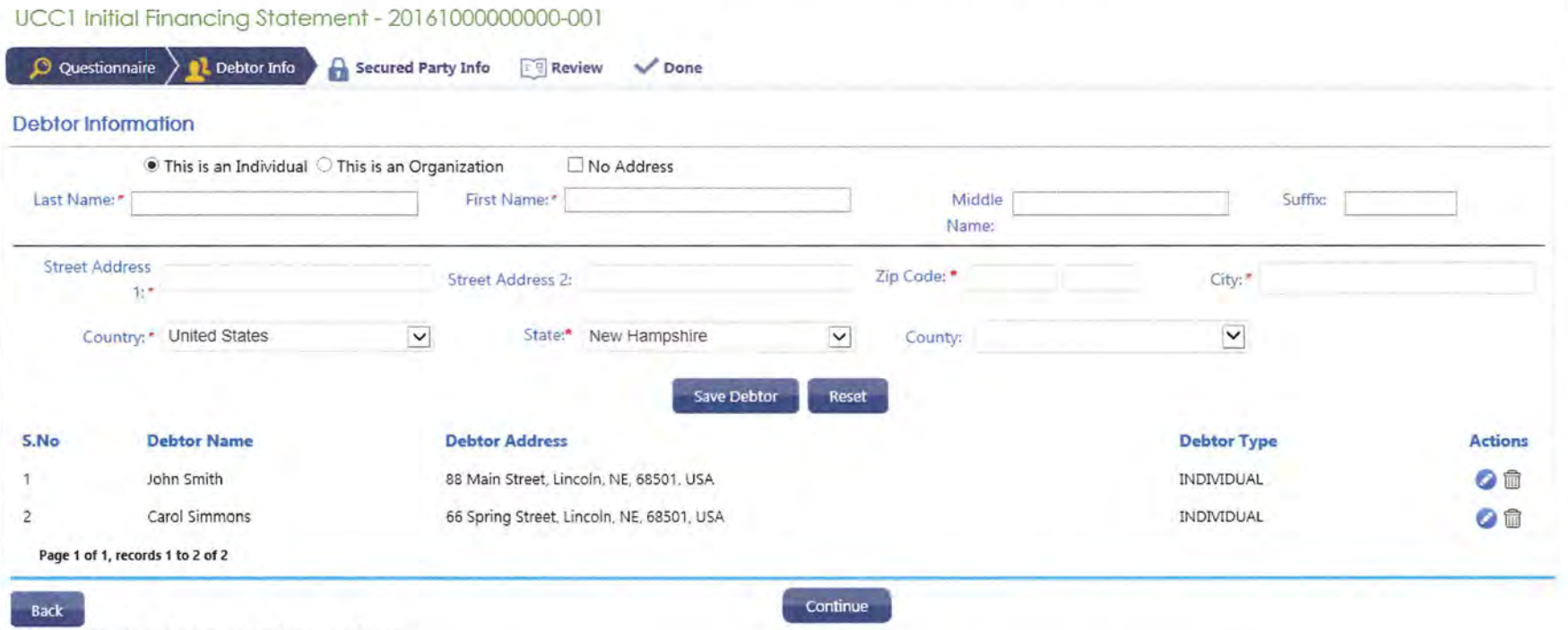


Figure 129. Debtor information.

Multiple debtors may be added to the grid. There is no limit to the number of debtors able to be added.

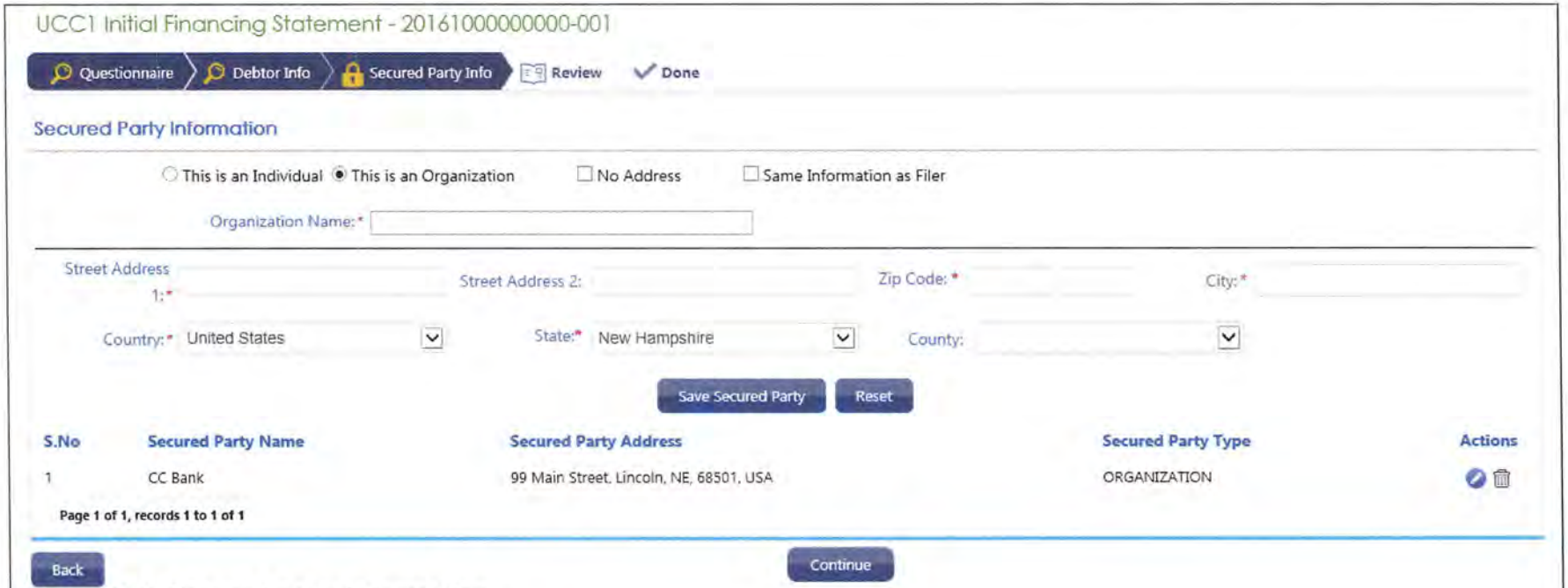


Figure 130. Secured party information.

The user enters the secured party information to be indexed.

The system enforces business rules on data entry. Rules are specific to State statues and interpretation of Revised Article 9 and will be revised during gap analysis. However, common default rules include:

- All fields marked with a red asterisk (*) are required to contain data.
- Entering a valid zip code and tabbing out of the field will trigger the city, country, state and county fields to auto populate according to USPS mapping data (or State provided mapping).
- After the first secured party is entered, the system will allow the user to select the "No Address" checkbox for subsequent secured parties, disabling the mandatory data entry requirements for the address fields.

User clicks "Save Secured Party" after data entry is complete.

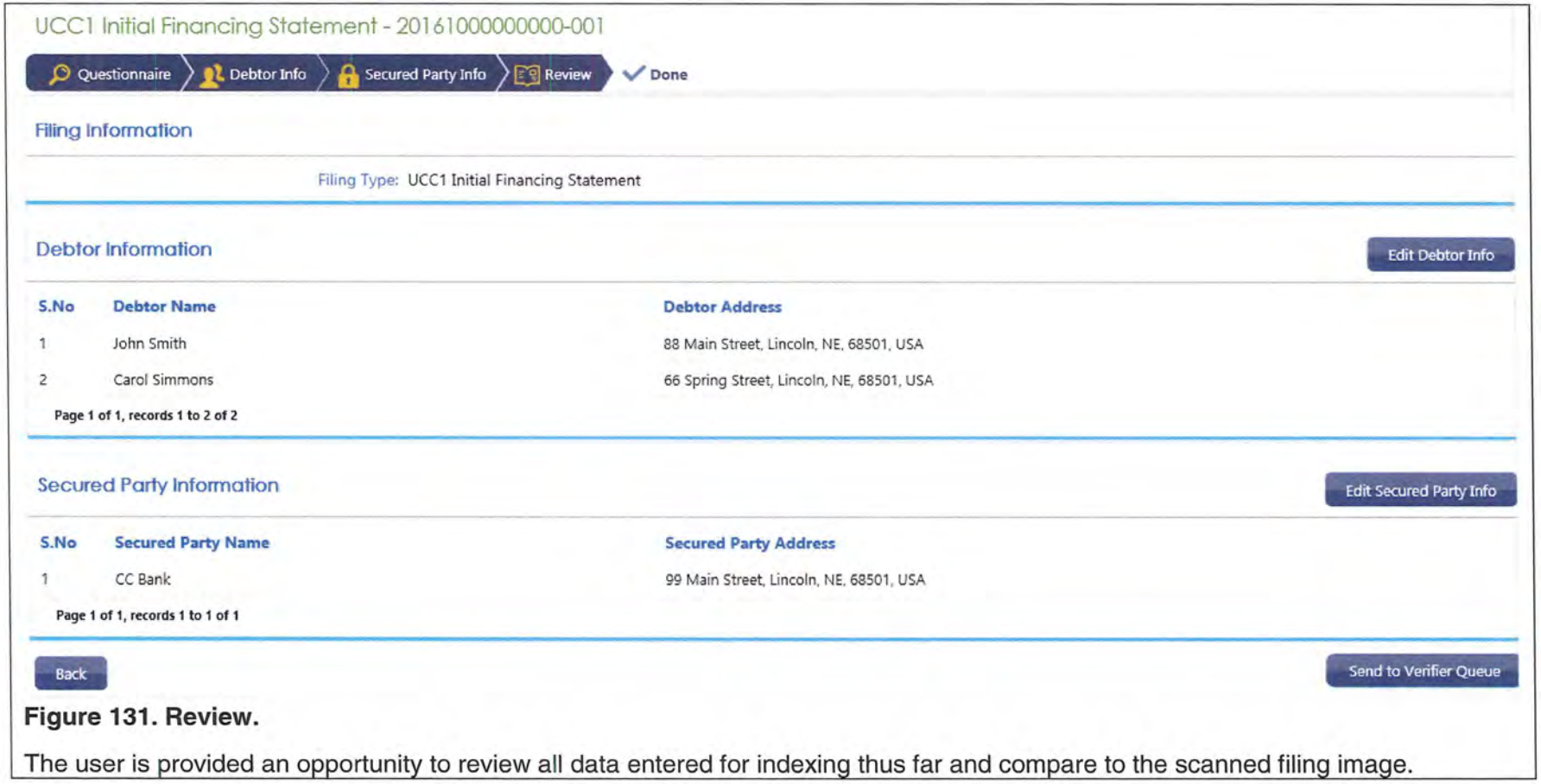


Figure 131. Review.

The user is provided an opportunity to review all data entered for indexing thus far and compare to the scanned filing image.

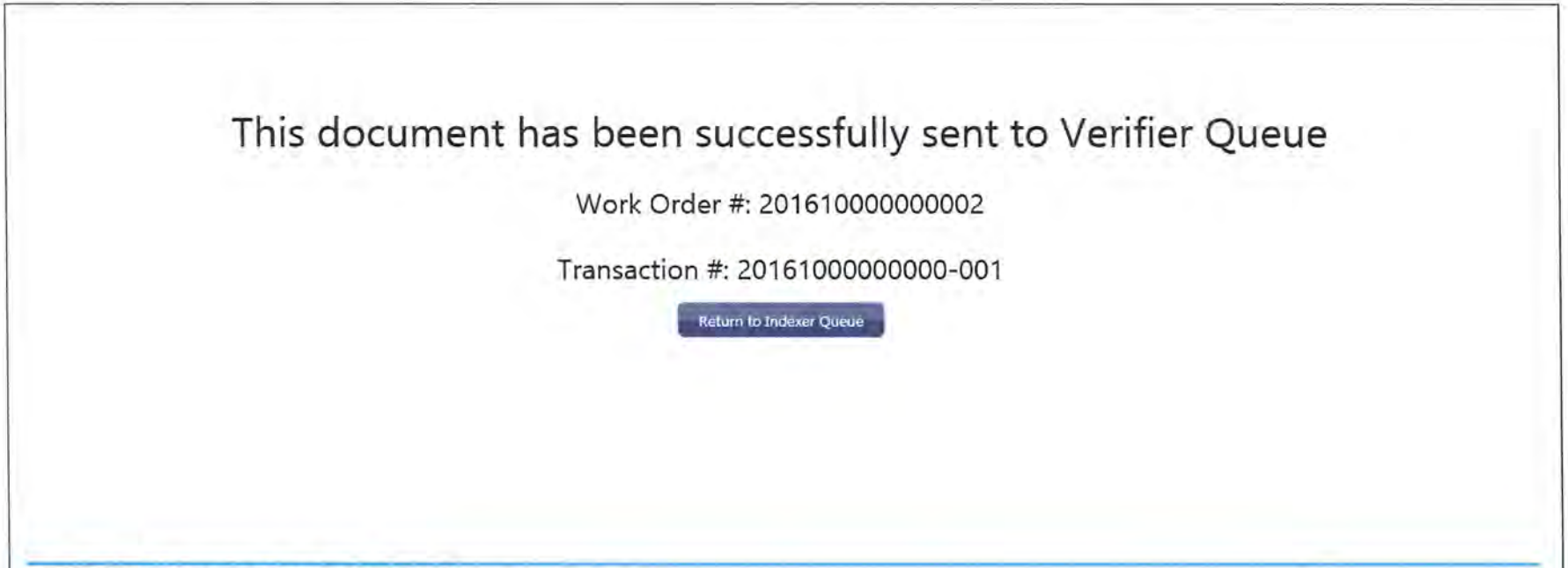


Figure 132. Transaction completed.

Completion of the indexing process flow.

If double-entry model has been implemented, the filing is routed to the verifier queue for blind double entry by a second user.

If single-entry model has been implemented, the filing is now processed and available for public search. The system will display options to print the acknowledgment and filing stamped image.

Verifying flow (optional):
The verify flow allows a second processing user to enter the indexable data for the filing. This ensures accurate indexing of all UCC party names and increases the reliability of the solutions Revised Article 9 search reports.

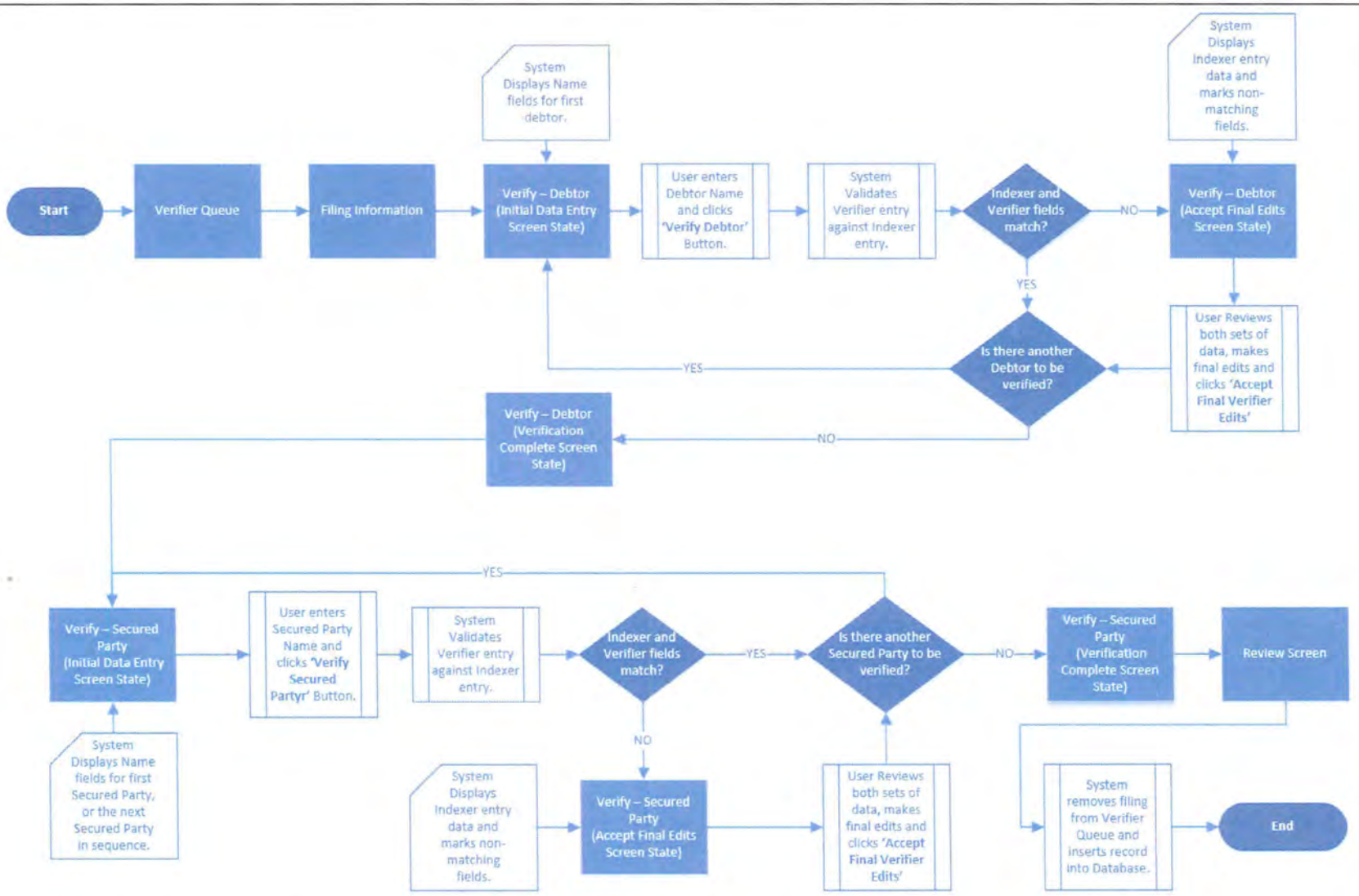


Figure 133. Verify process flow.

The verify process flow displays the scanned filing image to the user in the same manner as the indexer flow. The verifying user is given the opportunity to enter the debtor and secured party names one at a time while viewing the scanned filing image. The system

will validate the verifing user's data entry against the indexing user's data entry. If the values are identical, the system will prompt the verifying user to enter the next party in sequence. If there are descrepancies between the two sets of data entries, both users' data entry values will be displayed on the screen. The verifying user will be given the option to either edit their most recent data entry to correct a mistake, or to overide the indexer's entry and accept the latest entry as the final valid value. This continues until all debtors and all secured parties have been verified.



Figure 134. Verifier queue. Default view.

By default, the verifying queue will display filings in an order which takes account of both the effective filing date and the priority status value. Exact ranking of filings will be established during gap analysis.

Users will generally pull from the top most filing displayed, by clicking on the processing (gear) icon.

- Once a user pulls a filing, its record in the queue becomes updated to "Locked for Processing" and other users will be disallowed from processing the same filing.

Once the filing is pulled by a user, the system will navigate that user to the first screen of the verify process flow.

All work order numbers are presented as hyperlinks that navigate the parent work order of the filing indicated.

- This is used in situations where the processing user discovers a rejection reason or discrepancy with data entered on the work order when reviewing the scanned filing image. The processing user may then navigate directly to the work order to make edits at both the financial and transaction information levels.

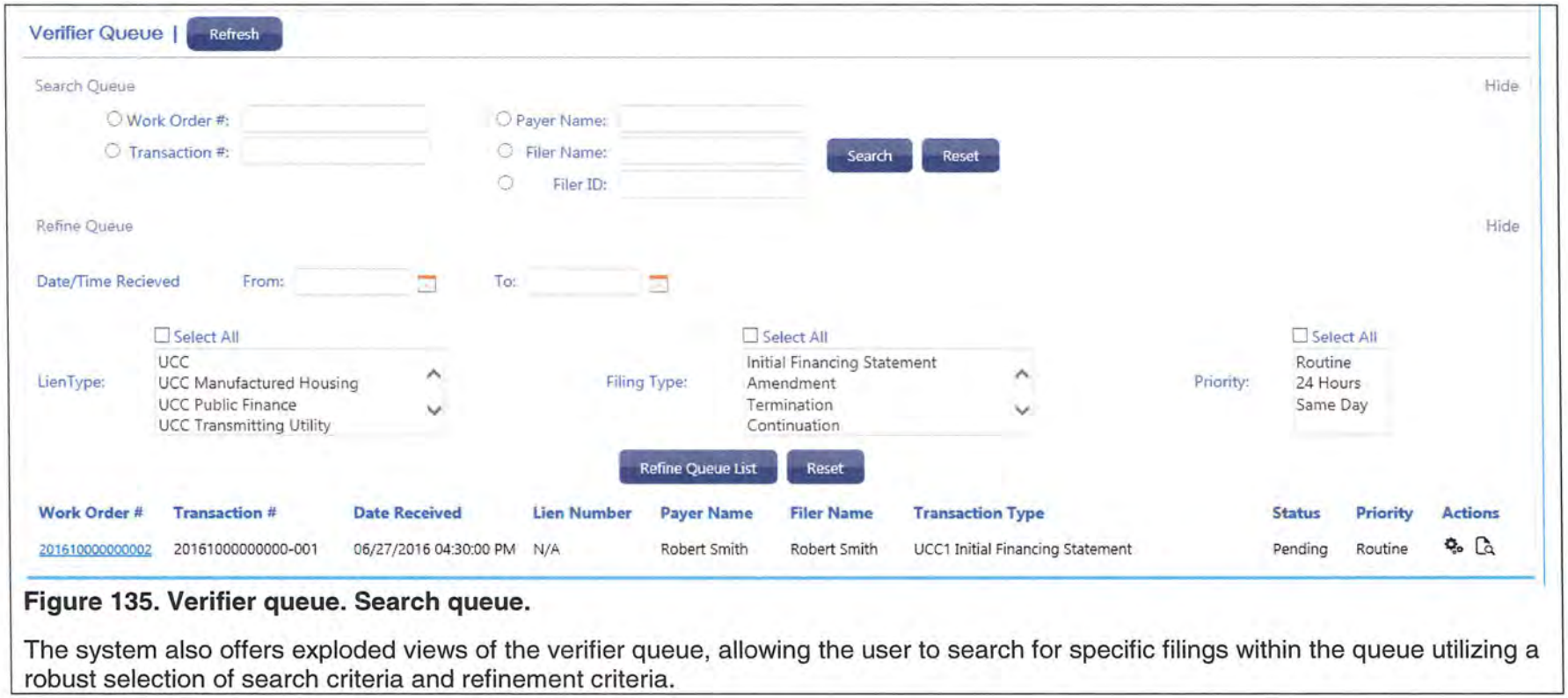


Figure 135. Verifier queue. Search queue.

The system also offers exploded views of the verifier queue, allowing the user to search for specific filings within the queue utilizing a robust selection of search criteria and refinement criteria.



Figure 136. Filing information.

The filing information screen allows for initial review of the scanned filing documents of the verifying user, and the filing type must be confirmed by the verifying user at this time.

The scanned filing document is available for viewing by the user on this screen, and all subsequent screens of this flow. However, there are two methods by which this document may be displayed by the system, the choice of which is determined during gap analysis.

- Filing image is displayed in the same screen tab as the data entry fields
  - As depicted in the same implementation above.
  - Image is displayed within a scrollable I-Frame with variable zoom.
- Filing image is displayed in a separate browser tab.
  - The tab may be dragged to a second monitor, or another portion of the first monitor, so that filing image and data entry fields may be viewed side-by-side.
  - *Note: Further images in the UCC and EFS sections of this document will be from an implementation with filing image opening in a separate tab and thus will not be visible on the processing screens.

The system validates the verifying user's entries with the filing type information entered by the receipting user in the work order. If the values do not match, hard stop alerts are given to the user.

In the event a rejection reason or discrepancy is found, the filing flow may be exited by using the back button.
The work order may then be navigated to via the work order number hyperlink, and edits made to the work order to bring it in line with

the reviewed filing document image.



Figure 137. Debtor information.

The total number of debtors, as well as the sequence number of the current debtor being verified are displayed.

The verifying user enters the name of the first debtor in the sequence.

The verifying user clicks the “Verify Debtor” button.

Note: In Figure 137, the user entered an incorrect value in the first name field.

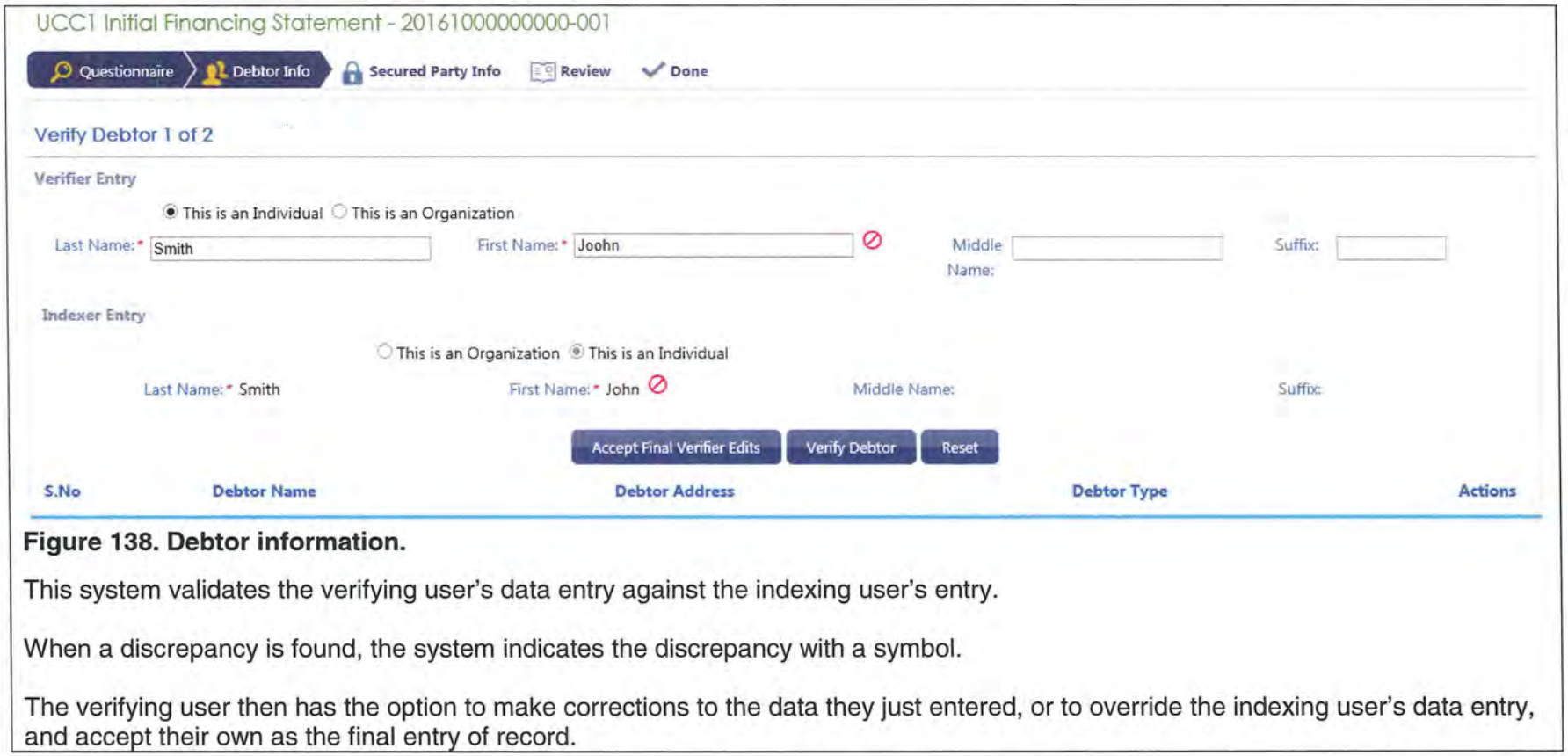


Figure 138. Debtor information.

This system validates the verifying user's data entry against the indexing user's entry.

When a discrepancy is found, the system indicates the discrepancy with a symbol.

The verifying user then has the option to make corrections to the data they just entered, or to override the indexing user's data entry, and accept their own as the final entry of record.

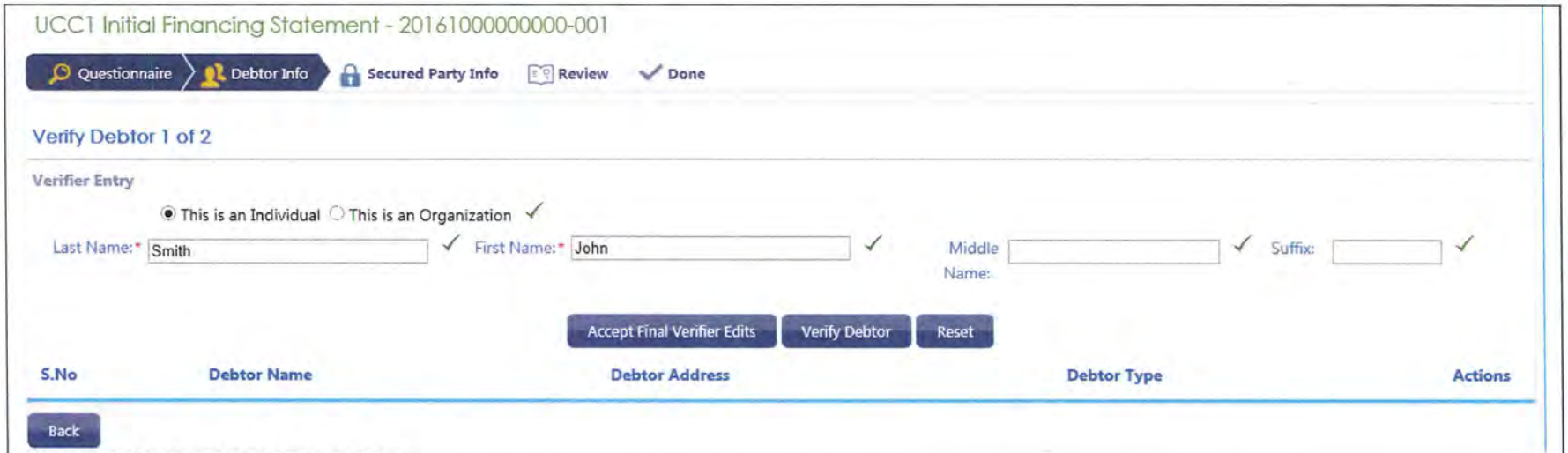


Figure 139. Debtor information.

When the system detects no discrepancies between indexer and verifier, the system displays a check mark icon.

When the final edits are accepted, the verified debtor information is added to the grid.

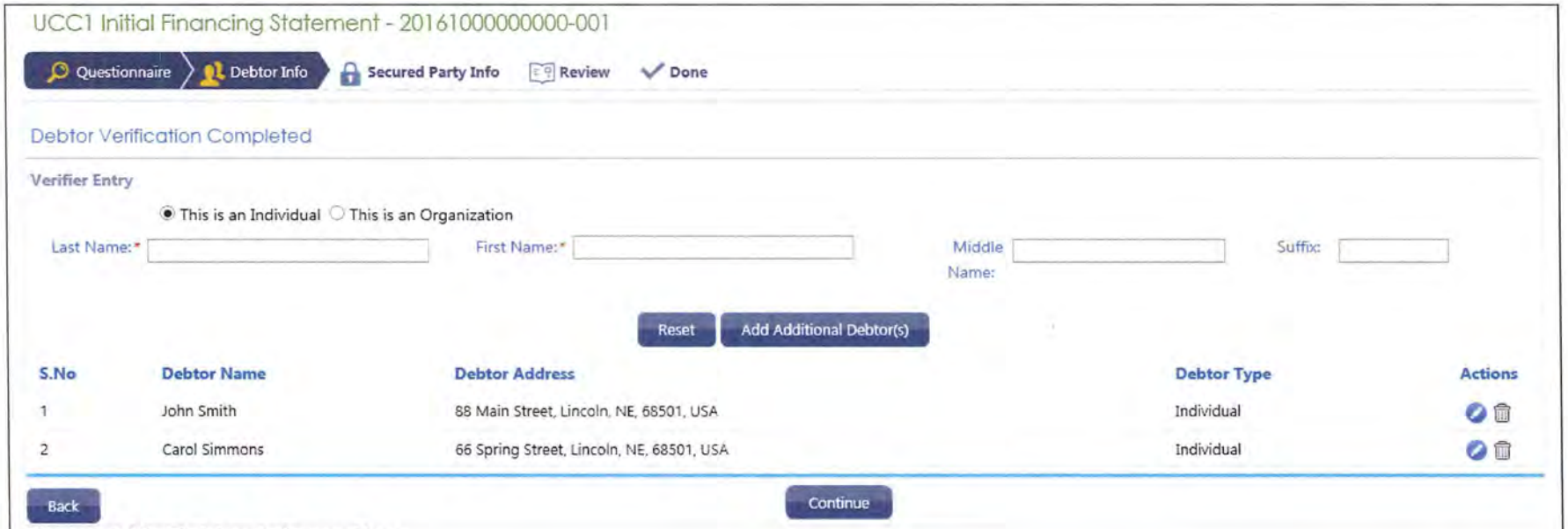


Figure 140. Debtor information.

When all debtors on the filing have been verified, the verification is complete, and the user is allowed to continue.

The verifying user has the option to edit or delete the debtors' information that has been saved to the grid before continuing.

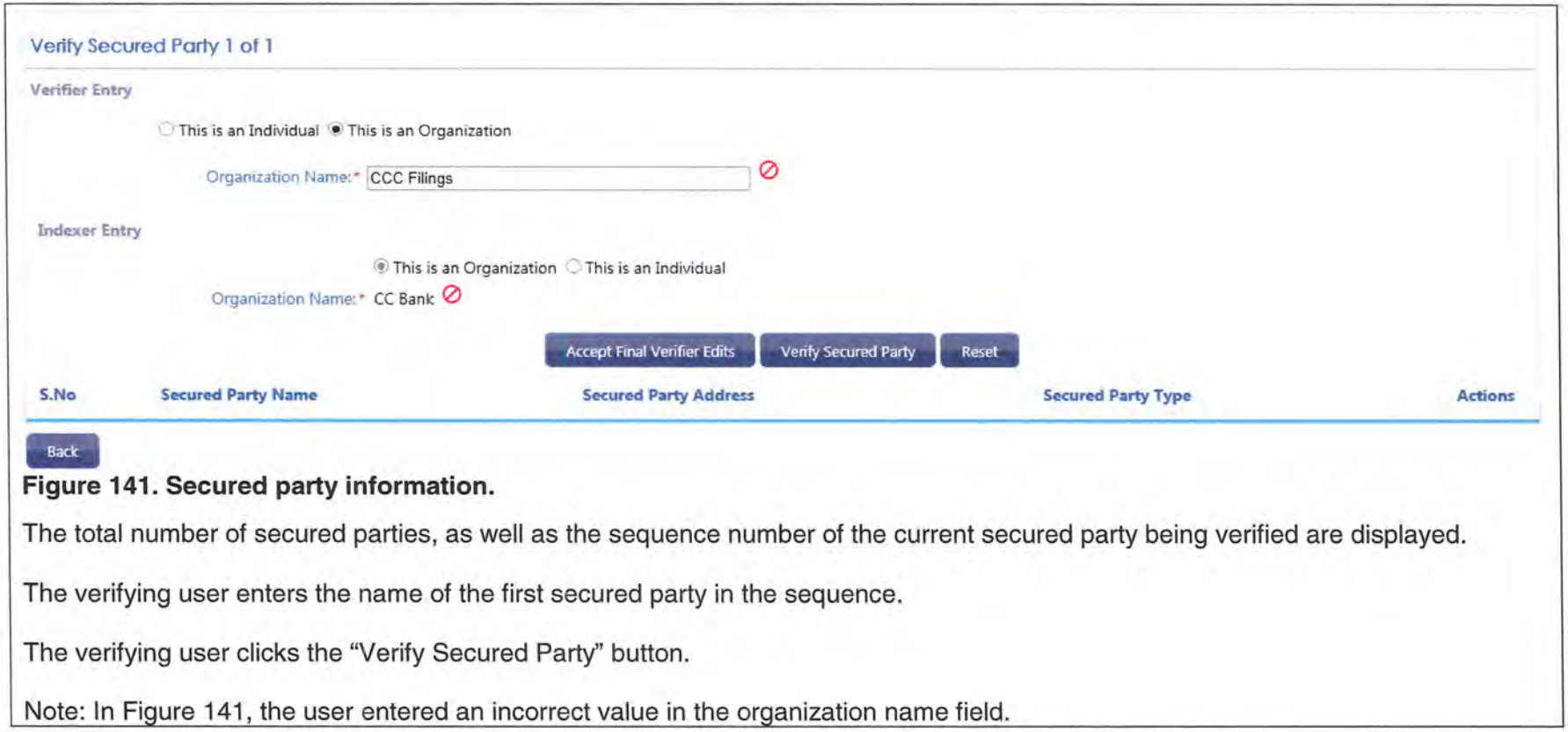


Figure 141. Secured party information.

The total number of secured parties, as well as the sequence number of the current secured party being verified are displayed.

The verifying user enters the name of the first secured party in the sequence.

The verifying user clicks the "Verify Secured Party" button.

Note: In Figure 141, the user entered an incorrect value in the organization name field.

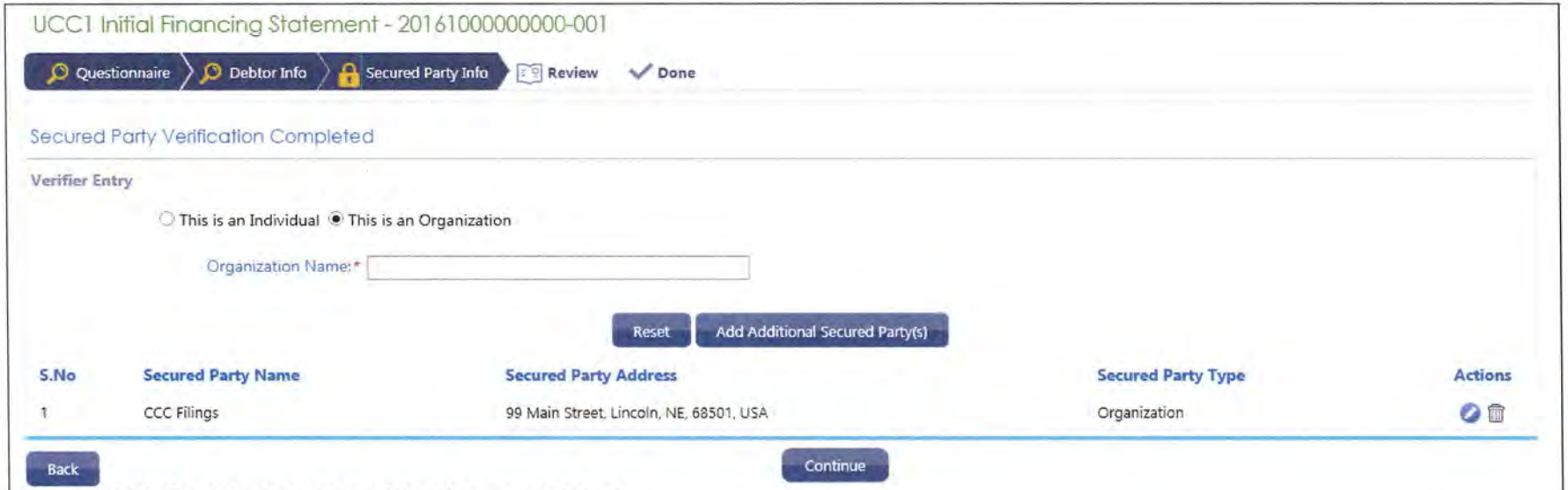


Figure 142. Secured party verification completed.

When all secured parties on the filing have been verified, the verification is complete, and the user is allowed to continue.

The verifying user has the option to edit or delete the secured parties' information that has been saved to the grid before continuing.

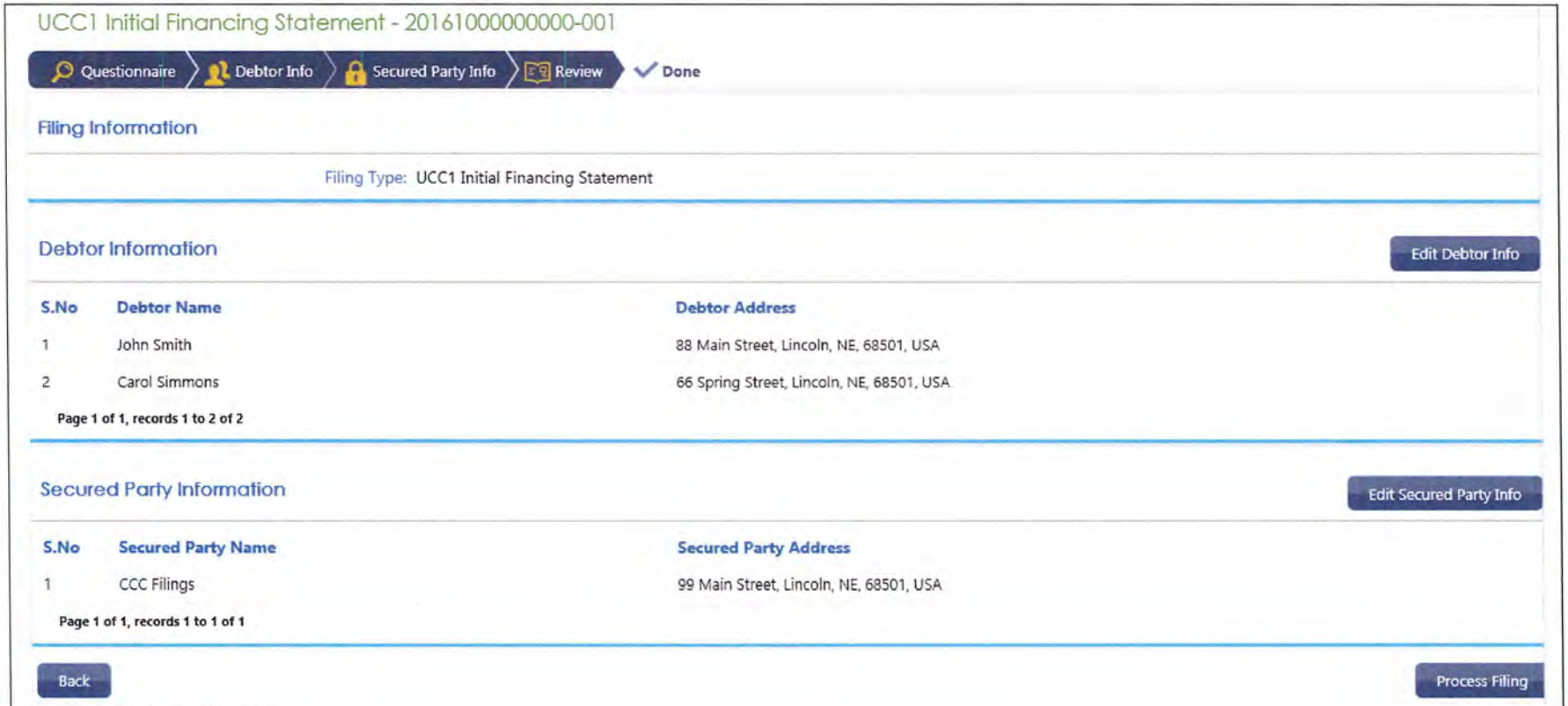


Figure 143. Review.

The user is provided an opportunity to review all data entered as final verification thus far and compare to the scanned filing image.

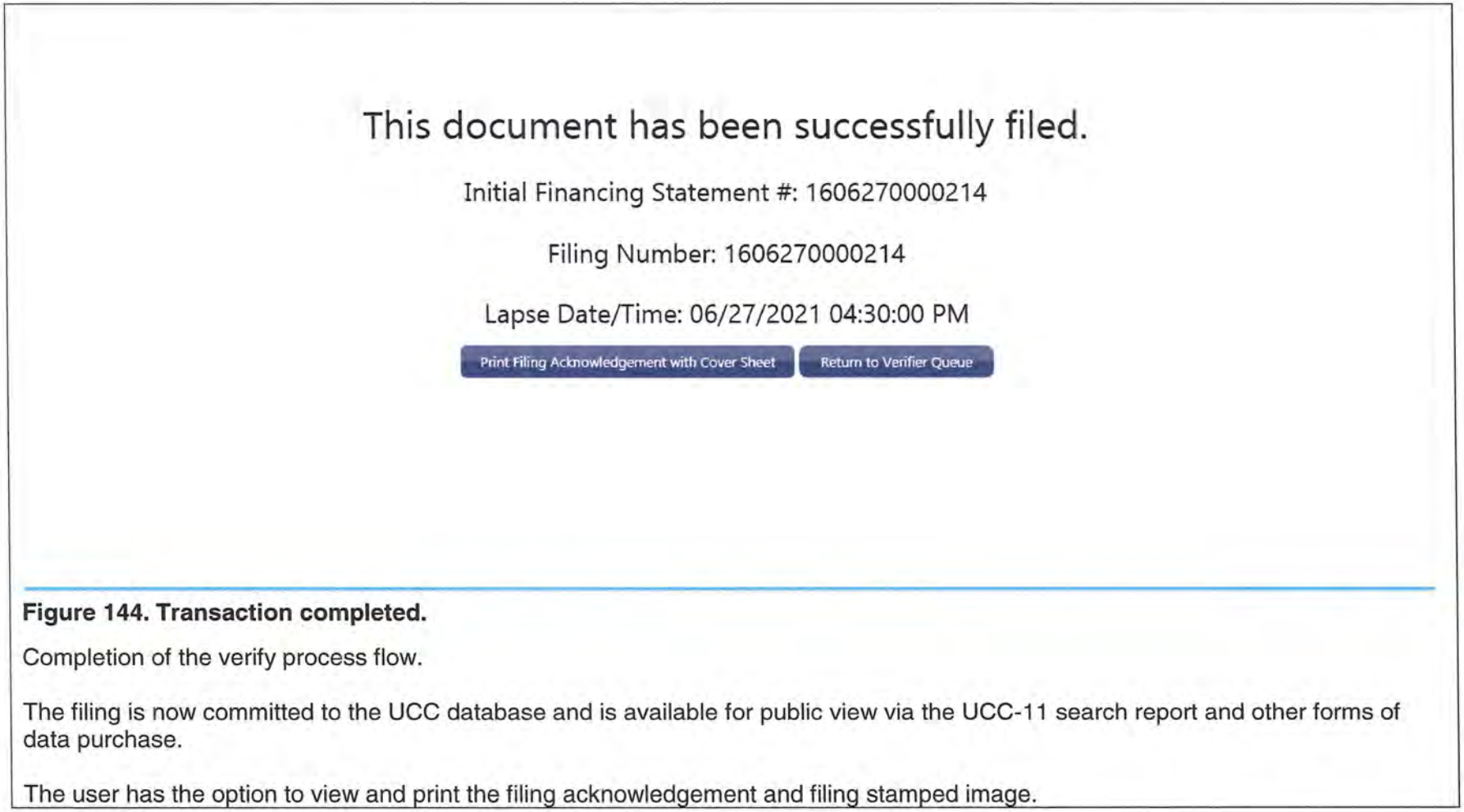


Figure 144. Transaction completed.

Completion of the verify process flow.

The filing is now committed to the UCC database and is available for public view via the UCC-11 search report and other forms of data purchase.

The user has the option to view and print the filing acknowledgement and filing stamped image.

Filing Type:	**UCC Initial Financing Staten ent**
Filing Number:	**1606270000214**
Filing Date/Time :	**06/27/2016 04:30:00 PM**
Lapse Date/Time :	**06/27/2021 04:30:00 PM**
Filing Page(s) :	**2**

Indexed Debtor Information

John Smith , 88 Main Street, Lincoln, NE, 68501, USA
Carol Simmons , 66 Spring Street, Lincoln, NE, 68501, USA

Indexed Secured Party Information

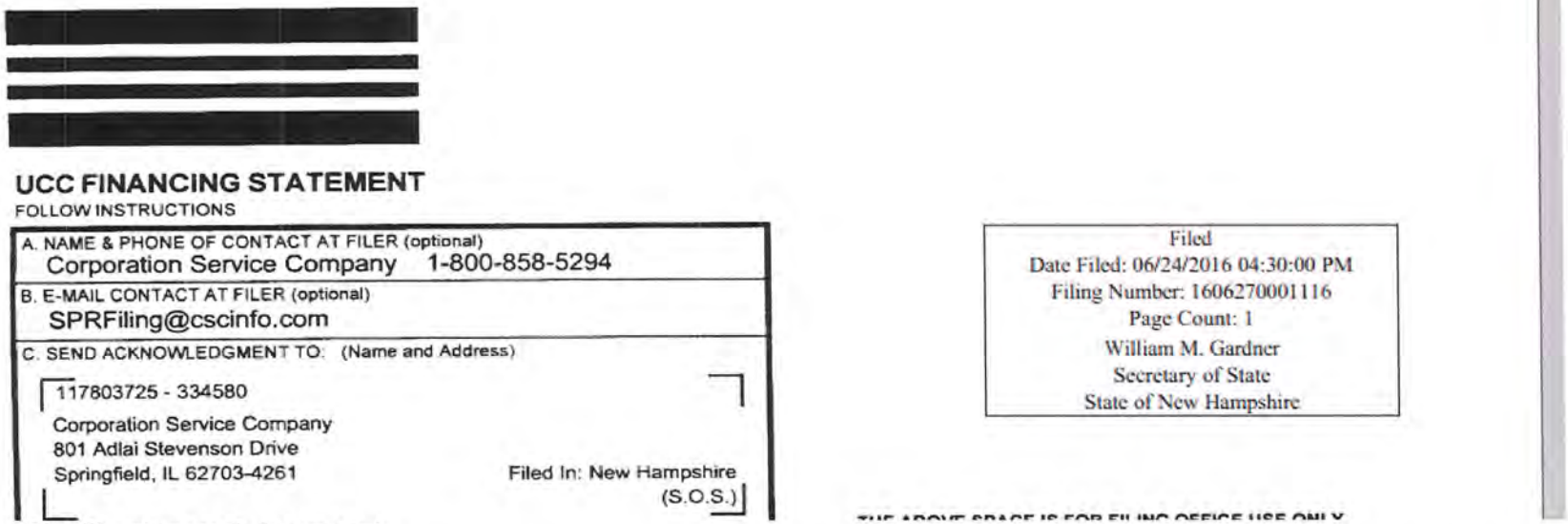
CCC Filings, 99 Main Street, Lincoln, NE, 68501, USA

Figure 145. Filing acknowledgement.

Filing acknowledgement standard features:

- Payer information printed and positioned such that when the paper is folded in thirds, the payer name and address are visible in a standard envelope window.
- Unique identifying information associated to the filing, for example, the filing number. Other numbers, such as transaction number or work order number, may be added to the output to aid finding associated records within the system.
- Pertinent filing information, such as filing type, filing date/time, lapse date/time and total number of pages accepted as part of the filing record.
- Complete listing of the names and addresses of all debtors and secured parties indexed as part of the filing.
- State header and footer.

Further changes to the format, visual presentation and data contained with the document will be identified during gap analysis.



UCC FINANCING STATEMENT

FOLLOW INSTRUCTIONS

A. NAME & PHONE OF CONTACT AT FILER (optional)
Corporation Service Company 1-800-858-5294

B. E-MAIL CONTACT AT FILER (optional)
SPRFiling@cscinfo.com

C. SEND ACKNOWLEDGMENT TO: (Name and Address)

117803725 - 334580
Corporation Service Company
801 Adlai Stevenson Drive
Springfield, IL 62703-4261

Filed In: New Hampshire
(S.O.S.)

Filed
Date Filed: 06/24/2016 04:30:00 PM
Filing Number: 1606270001116
Page Count: 1
William M. Gardner
Secretary of State
State of New Hampshire

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

Figure 146. File stamped document.

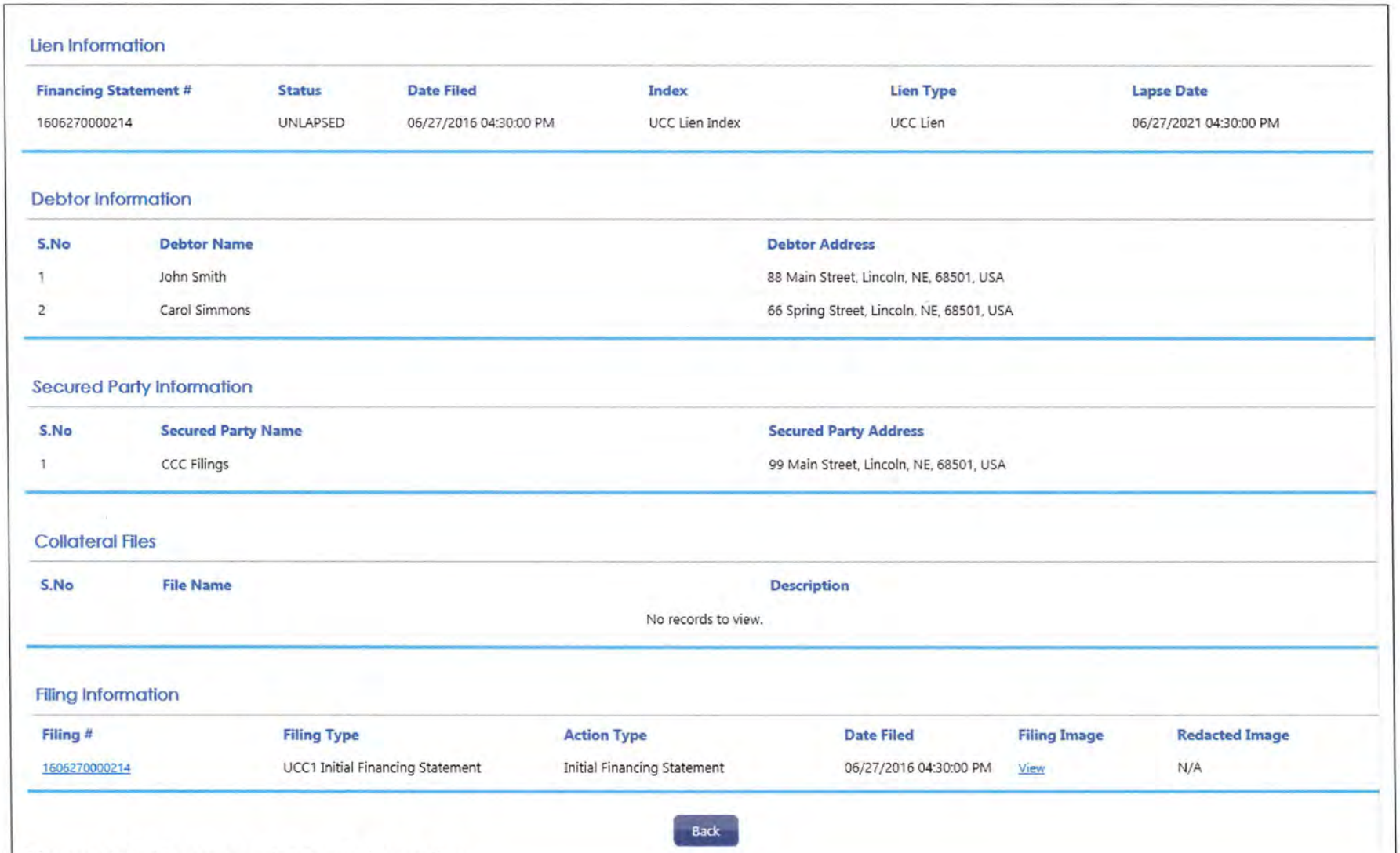
The file stamped image consists of the scanned image file of the document received by the State. The top right of the image will be electronically "burned" with a filing stamp that indicates the relevant filing information.

The standard default data elements contained in the stamp are:

- Filing date/time
- File number
- Page count
- Name of the current Secretary of State

The name of the current Secretary of State is an administrator configurable insert value that retains versioned history for re-generation of historical records.

The exact format and content of the filing stamp will be captured during gap analysis.



Lien Information

Financing Statement #	Status	Date Filed	Index	Lien Type	Lapse Date
1606270000214	UNLAPSED	06/27/2016 04:30:00 PM	UCC Lien Index	UCC Lien	06/27/2021 04:30:00 PM

Debtor Information

S.No	Debtor Name	Debtor Address
1	John Smith	88 Main Street, Lincoln, NE, 68501, USA
2	Carol Simmons	66 Spring Street, Lincoln, NE, 68501, USA

Secured Party Information

S.No	Secured Party Name	Secured Party Address
1	CCC Filings	99 Main Street, Lincoln, NE, 68501, USA

Collateral Files

S.No	File Name	Description
No records to view.		

Filing Information

Filing #	Filing Type	Action Type	Date Filed	Filing Image	Redacted Image
1606270000214	UCC1 Initial Financing Statement	Initial Financing Statement	06/27/2016 04:30:00 PM	View	N/A

Back

Figure 147. New record. Lien information.

After processing, a new record is created in the database. The lien information level displays information that pertains to the lien as a whole, as well as the start of a filing history beginning with the IFS. Additional filings upon this IFS number will be added to this history.

The system sets the date filed to match the date/time received value on the work order.

The system sets the lapse date of the lien to five years from the date filed.

- The system will automatically set the lapse date of the lien based on the filing type and lien type of the filing.
    - For example, UCC-1 transmitting utility will have no lapse date, while a UCC-1 manufactured housing lien will have the lapse date set to thirty years from the date filed.
    - The lapse date periods for each lien type will be set according to State statutes.

Lien Information

Financing Statement #	Status	Date Filed	Index	Lien Type	Lapse Date
1606270000214	UNLAPSED	06/27/2016 04:30:00 PM	UCC Lien Index	UCC Lien	06/27/2021 04:30:00 PM

Filing Information

Filing Number: 1606270000214
Filing Type: UCC1 Initial Financing Statement
Action Type: Initial Financing Statement
Date Filed: 06/27/2016 04:30 PM
Filing Image: View
Redacted Filing Image: N/A

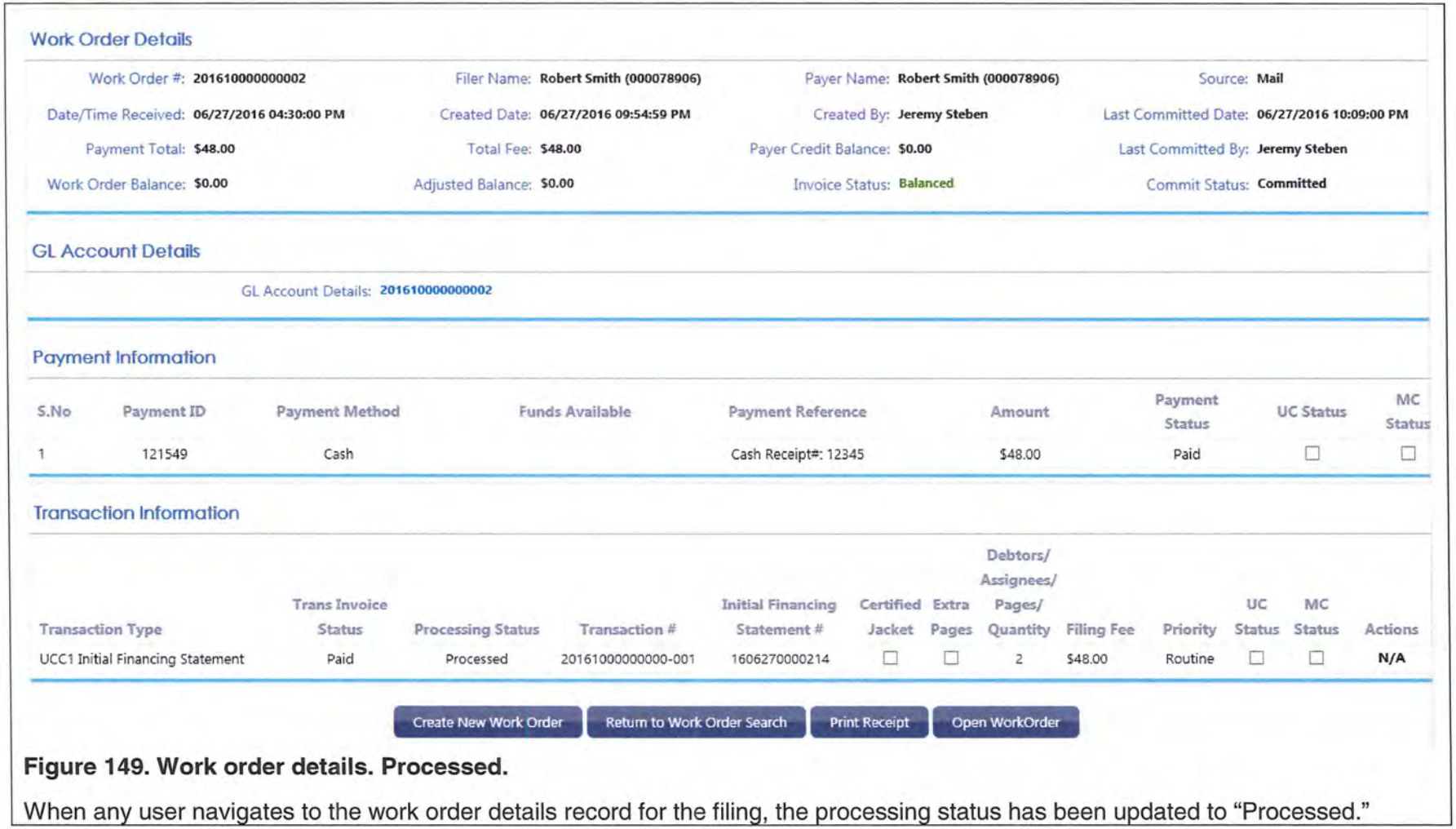
Debtor Information

S.No	Debtor Name	Debtor Address
1	John Smith	88 Main Street, Lincoln, NE, 68501, USA
2	Carol Simmons	66 Spring Street, Lincoln, NE, 68501, USA

Secured Party Information

S.No	Secured Party Name	Secured Party Address
1	CCC Filings	99 Main Street, Lincoln, NE, 68501, USA

Figure 148. New record. Filing information.



Work Order Details

Work Order #: **201610000000002**	Filer Name: **Robert Smith (000078906)**	Payer Name: **Robert Smith (000078906)**	Source: **Mail**
Date/Time Received: **06/27/2016 04:30:00 PM**	Created Date: **06/27/2016 09:54:59 PM**	Created By: **Jeremy Steben**	Last Committed Date: **06/27/2016 10:09:00 PM**
Payment Total: **$48.00**	Total Fee: **$48.00**	Payer Credit Balance: **$0.00**	Last Committed By: **Jeremy Steben**
Work Order Balance: **$0.00**	Adjusted Balance: **$0.00**	Invoice Status: **Balanced**	Commit Status: **Committed**

GL Account Details

GL Account Details: **201610000000002**

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	121549	Cash		Cash Receipt#: 12345	$48.00	Paid	☐	☐

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC1 Initial Financing Statement	Paid	Processed	20161000000000-001	1606270000214	☐	☐	2	$48.00	Routine	☐	☐	**N/A**

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 149. Work order details. Processed.

When any user navigates to the work order details record for the filing, the processing status has been updated to “Processed.”

Work Order #: 201610000000002

Receipt Date/Time: 06/28/2016 02:44:33 PM

Payer Information:

Robert Smith
99 Main Street
Granby, CT, 06095, USA

Filer Information:

Robert Smith
99 Main Street
Granby, CT, 06095, USA

Payer Customer ID: 78906

Filer Customer ID: 78906

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
6/27/2016 10:09:00 PM	Cash	Cash Receipt#: 12345	N/A	Paid	$48.00
				Total Payment Received:	**$48.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
6/27/2016 9:54:59 PM	UCC1 Initial Financing Statement	16062700000214	201610000000000-001	Processed	Paid	$48.00
					Total	**$48.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$0.00
Credit Account Balance:	$0.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	$0.00

Figure 150. Work order receipt.

The work order receipt is printed from the work order details screen, since a work order may have many filing transactions associated to it.

The work order receipt contains pertinent information from the work order details, including:

- Filer and payer information. The payer information is positioned for display in a standard envelope window.
- Payment information, including the payment type, amount, and any relevant reference information (check number, credit card

authorization number, and so on).

- Filing transaction information, including the status of the each of the filings at time of filing.
- State header and footer.

Rejection process:
Rejection flags are applied from the work order details screen. Filing transactions can be flagged as rejected either during work order creation and first commit, or at a later date. Once flagged as a rejection, instead of being routed to the indexing queue as a filing to be processed, it instead becomes a rejection to be processed, where the rejection reasons can be selected and additional information added.

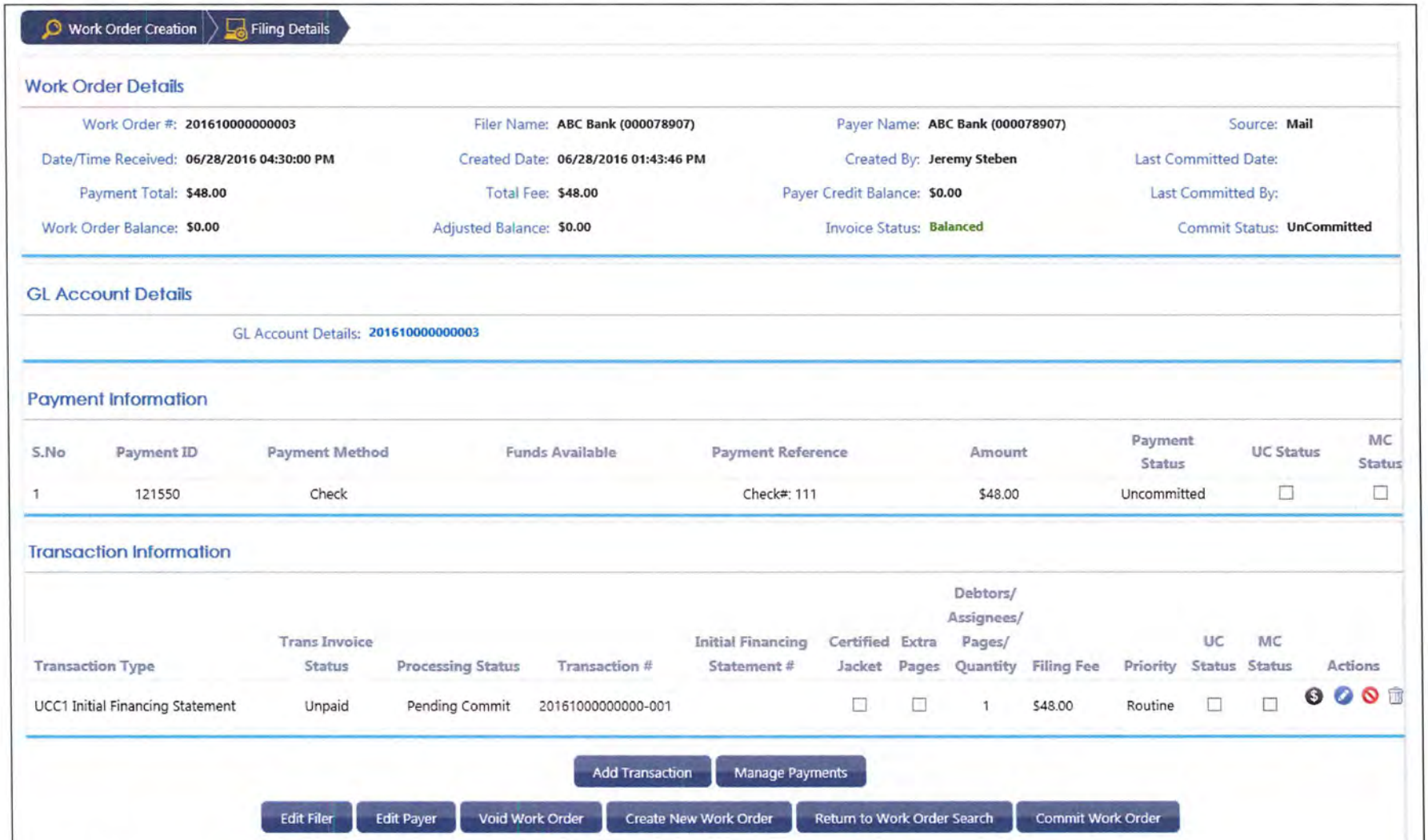


Figure 151. Work order details.

The work order has not been committed. The user rejects the filing transaction by clicking on the rejection icon, which is a red circle with a line through it.

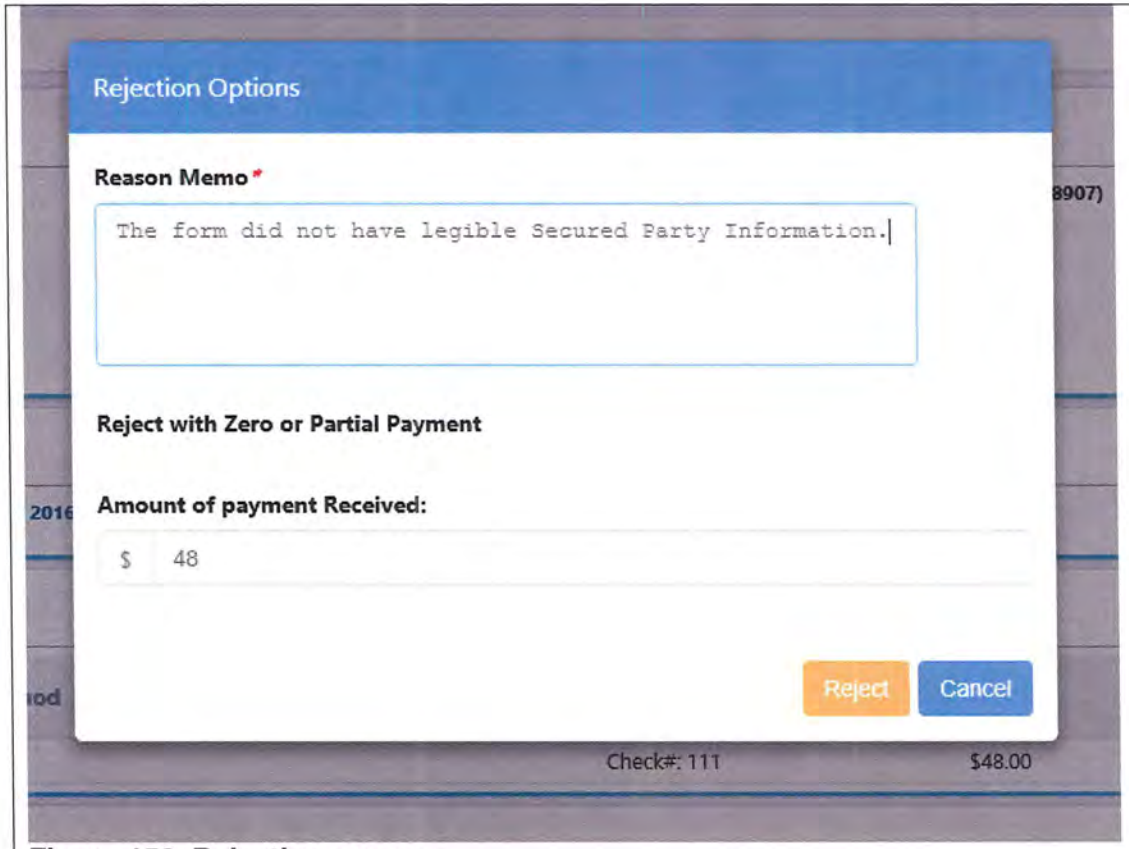


Figure 152. Rejection pop-up.

After clicking on the rejection Icon, a rejection options pop-up is displayed. The user is required to enter a memo note giving a reason for the rejection.

If the filing transaction is being rejected for insufficient or no payment, the amount actually received (including 0.00 for no payment received) can be entered in the "Amount of Payment Received" field. This will record what funds were actually on hand at time of receipting, and allow the work order to balance.

Clicking the "Reject" button will close the pop-up window and reject the filing.

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC1 Initial Financing Statement	Paid	Pending Rejection	20161000000000-001		☐	☐	1	$48.00	Routine	☐	☐	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 153. Transaction information.

After rejection, the filing transaction now has a processing status of "Pending Rejection," indicating that it is now in the indexing queue as a pending rejection job.

Indexer Queue | Refresh

Search Queue Show

Refine Queue Show

Work Order #	Transaction #	Date Received	Lien Number	Payer Name	Filer Name	Transaction Type	Status	Priority	Actions
201610000000003	20161000000000-001	06/28/2016 04:30:00 PM	N/A	ABC Bank	ABC Bank	UCC1 Initial Financing Statement	Pending Rejection	Routine	

Figure 154. Indexer queue.

The rejected filing now appears in the indexer queue with a status of "Pending Rejection."

The filing may be rejected by clicking the processing icon, which is displayed as a gears icon.

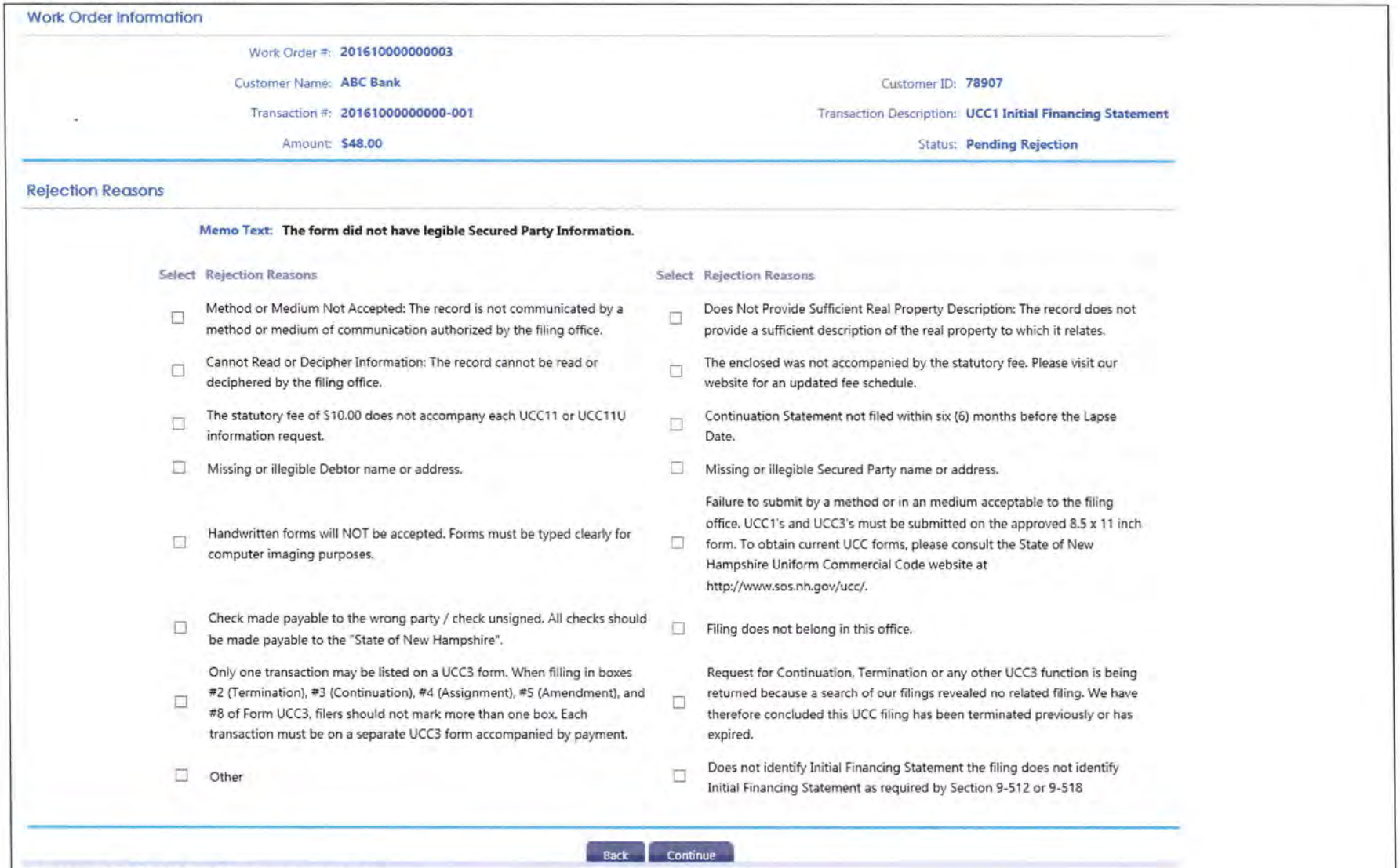


Figure 155. Rejection processing.

After clicking the processing icon, the system navigates to the rejection screen.

As in the other processing screens, the scanned filing image is displayed either below the selection fields or in a separate tab.

The text entered into the memo field on the work order is displayed above the rejection reasons.

The system allows the user to select any number of rejection reasons. All selected rejection reasons will be inserted into the rejection letter output.

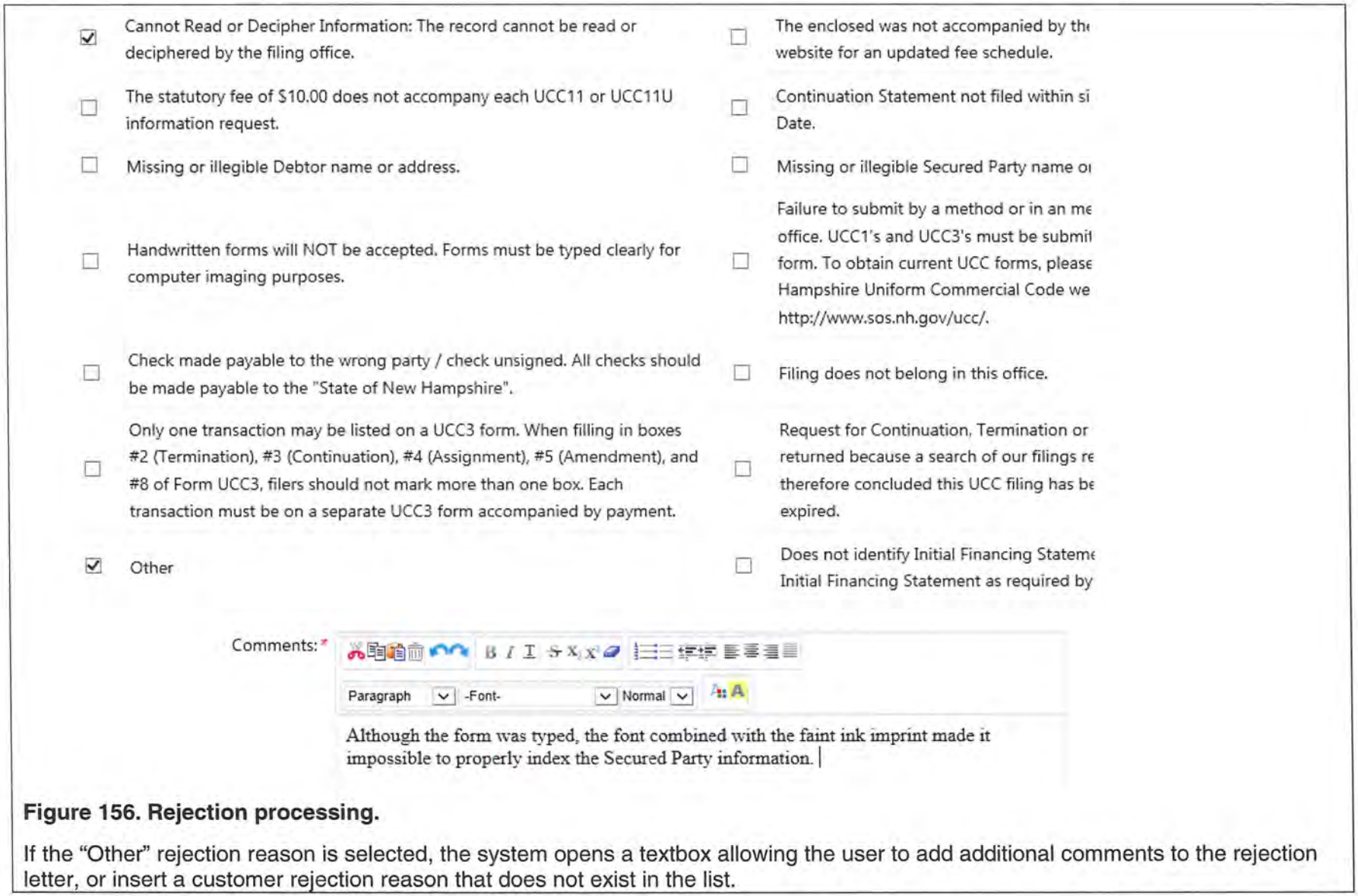


Figure 156. Rejection processing.

If the "Other" rejection reason is selected, the system opens a textbox allowing the user to add additional comments to the rejection letter, or insert a customer rejection reason that does not exist in the list.

ABC Bank
88 Brighton Road
Lincoln, NE. 68501, USA

Rejection Date: **06/28/2016 01:59:43 PM**

RE: Rejection of UCC1 Initial Financing Statement

Transaction #: **20161000000000-001**

Work Order #: **201610000000003**

Filing Type: **UCC1 Initial Financing Statement**

We regret to inform you that we are not able to process your filing due to the following reasons:

1. CANNOT READ OR DECIPHER INFORMATION: THE RECORD CANNOT BE READ OR DECIPHERED BY THE FILING OFFICE.

2. ALTHOUGH THE FORM WAS TYPED, THE FONT COMBINED WITH THE FAINT INK IMPRINT MADE IT IMPOSSIBLE TO PROPERLY INDEX THE SECURED PARTY INFORMATION.

Date and time the record would have been filed, had it been accepted is: **06/28/2016 04:30:00 PM**

If you require assistance or should you have any questions, you may contact the Uniform Commercial Code

Figure 157. Rejection letter.

The rejection letter displays the payer information positioned so that it is visible in a standard envelope window when the paper is folded into thirds.

The work order number and transaction number are printed to link the rejected filing back to a record in the system.

All rejection reasons that were selected in the rejection screen are printed on the letter.

UCC office correct:
The UCC office correct tool allows users to make corrections to indexed filing information that has been committed to the database. The office correct screen displays correction tools and fields appropriate to the filing type being corrected and the data indexed with it.

The office correct tool is a process flow consisting of a series of screens that are dependent on the filing type of the filing number that is being created.

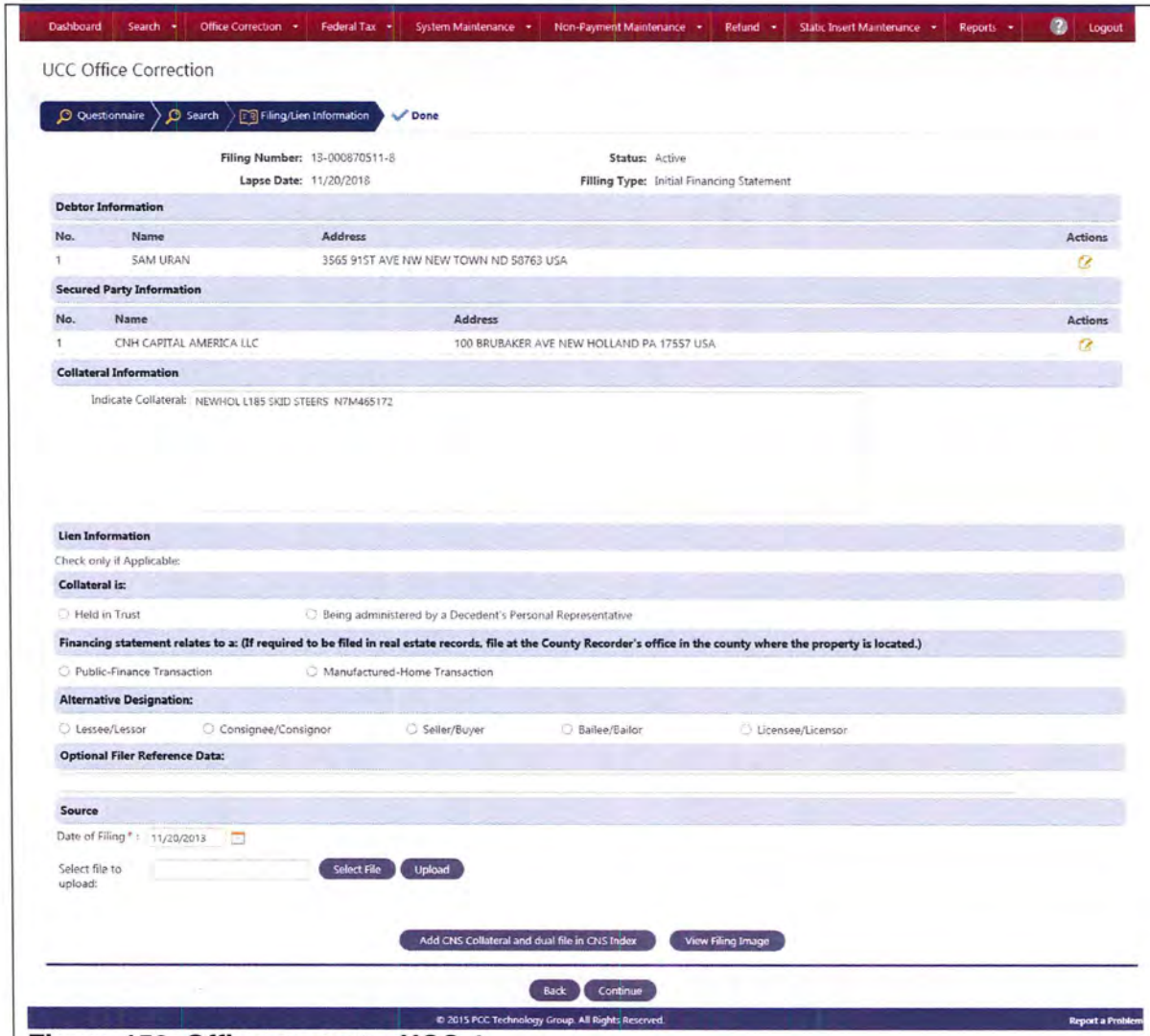


Figure 158. Office correct – UCC-1.

In the UCC-1 office correct screen, debtor and secured party information are editable by clicking the edit icons.

The radio selections and text fields are used for online filings where checkbox selection and collateral text were entered by the online

customer.

Similar screens with only the grids to edit party information are used for party amendments and assignments.

For agricultural liens, the system will display the populated crop and county information fields with edit options.

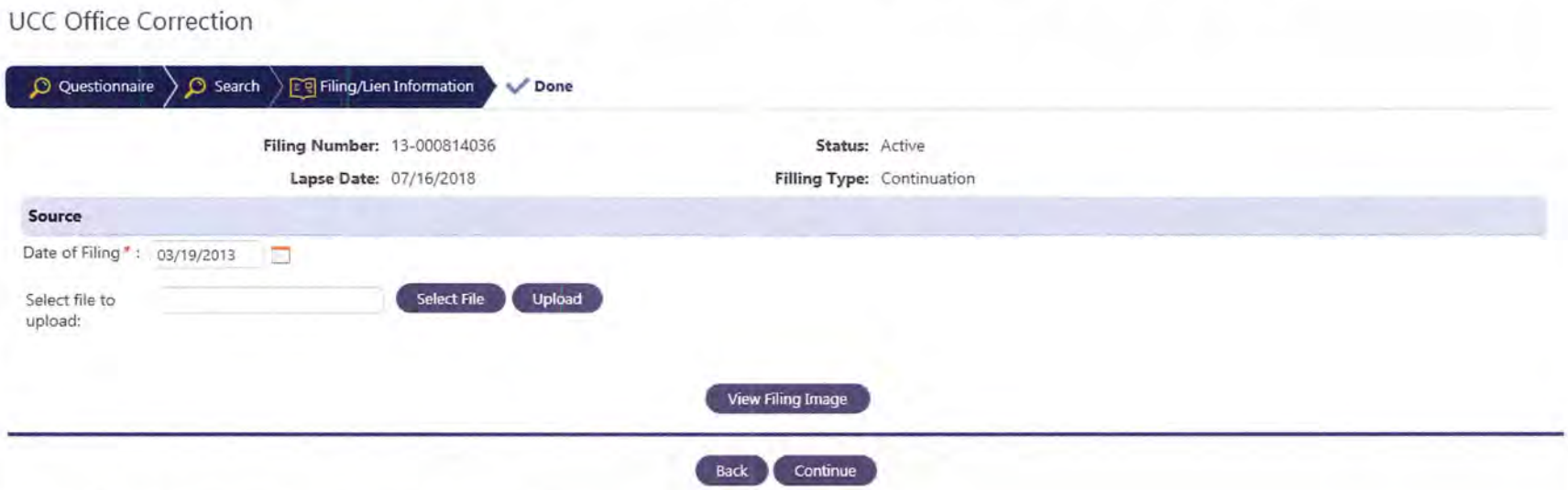


Figure 159. Office correction – continuation.

The continuation office correct screens, as well as for terminations, will only have fields to change the date of filing and the filing image, as no debtors, secured parties or assignees were indexed on these filings.

The system logs the timestamp and user ID of all users making edits with the office correct tool.

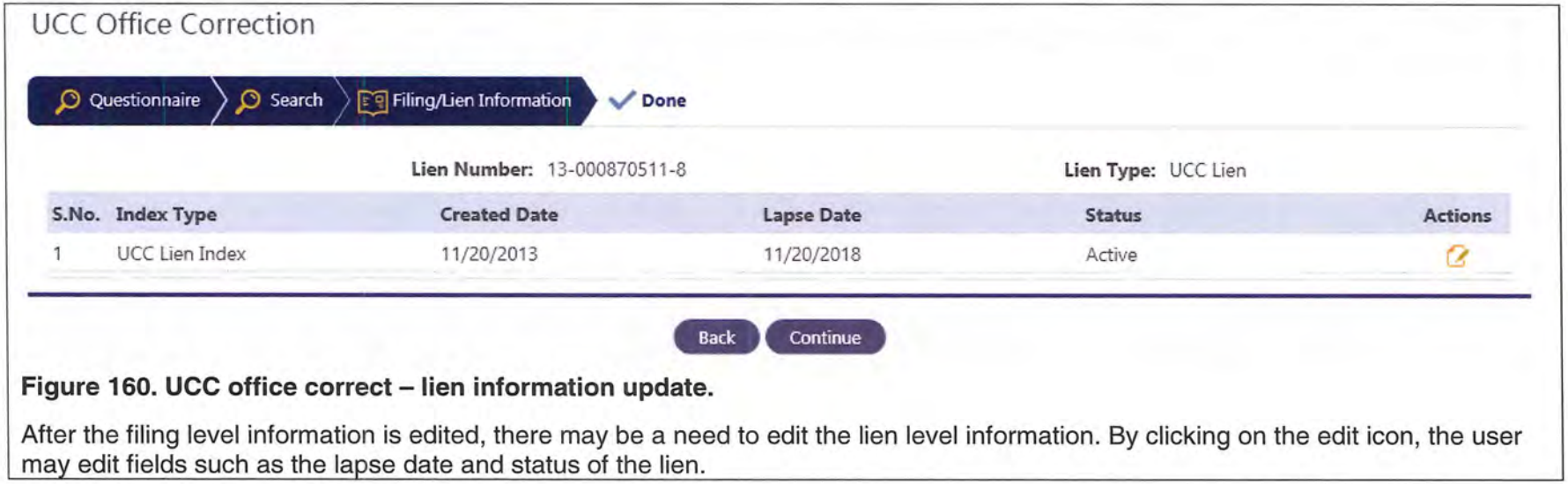


Figure 160. UCC office correct – lien information update.

After the filing level information is edited, there may be a need to edit the lien level information. By clicking on the edit icon, the user may edit fields such as the lapse date and status of the lien.

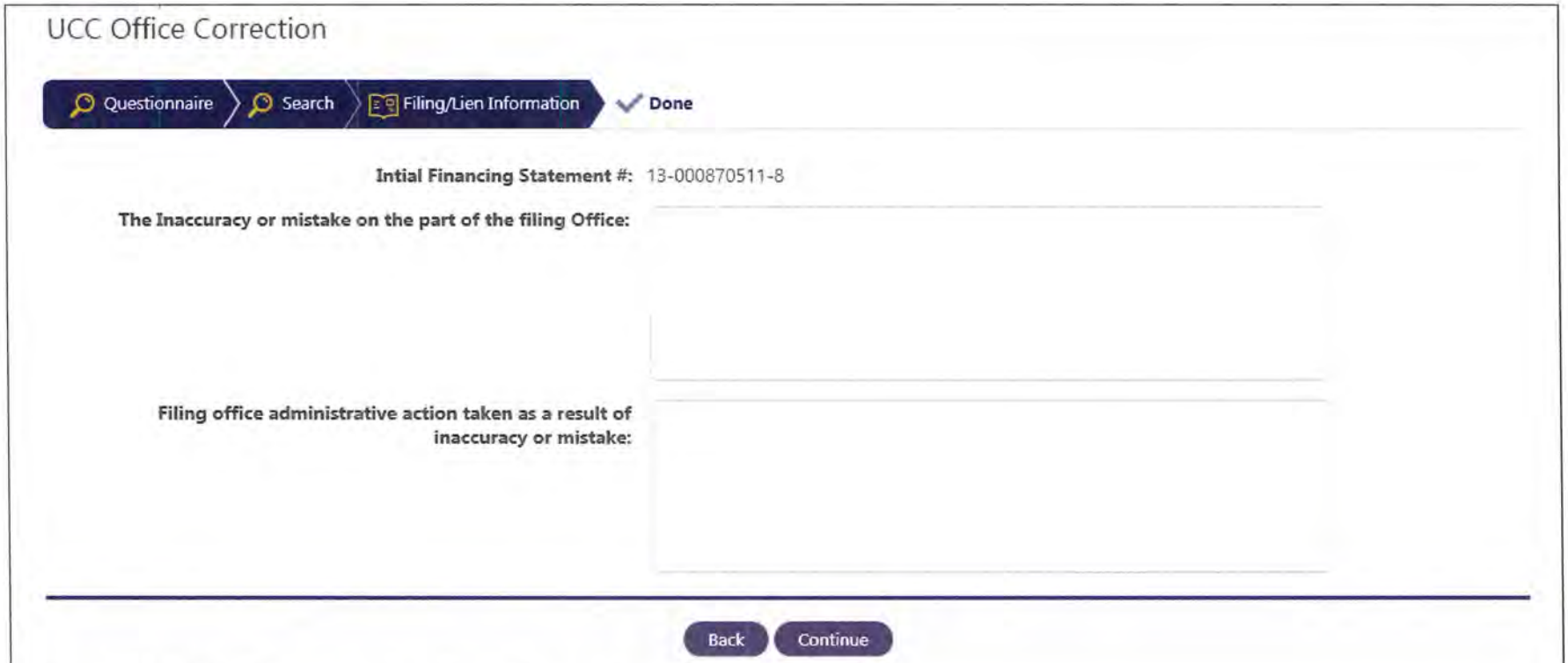


Figure 161. UCC office correct – filing officer statement.

The filing officer statement screen records the information relating to the reasons and nature of corrections made to the public record.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-3	**Amendment Filings** Amendments, Continuations, Assignments, and various actions with fees are filed to update Original Filings by document number. All can be found in Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings labeled as Amendments. See also Appendix H – UCC & EFS Lien Data Fields. Statutory Requirements for Amendments can be found in Appendix C – Statutes and Rules & Regulations. Click to see Filing Compliance Chart for jurisdictional requirements.	X			

	Review and Enter Filing Data A. Accept and file 1. Enter original document number by using the eyeball icon to search and retrieve original filing for update. 2. Enter required information for filing. a. Check for a Debtor and Secured Party data or collateral change. b. If status is inactive Reject c. If status is lapsed then accept filing for amendment, assignment, or termination. 3. Receipt fees or charge account for filing (Refer to Appendix F – UCC & EFS Accounting Codes and Filing Fees). 4. Commit job 5. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings 6. File Stamp filing (see RTM CB-2) 7. Generate letter (Acknowledgement of Filing) and return copy if included with acknowledgement receipt to filer. (see RTM CB-3) 8. Send for scanning B. Decline and reject Return document with rejected system generated letter and fees if collected. Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or explanation. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3 C. Generate letter (Acknowledgement of Filing). (see RTM CB-3) D. Allow ability to correct Amendment filing and create audit trail. The bidder should describe and provide screen shots showing how their				

	system handles Amendments, Continuations, and Assignments.				

Bidder Response:

Lien Information

Financing Statement #	Status	Date Filed	Index	Lien Type	Lapse Date
1606270000214	UNLAPSED	06/27/2016 04:30:00 PM	UCC Lien Index	UCC Lien	06/27/2021 04:30:00 PM

Debtor Information

S.No	Debtor Name	Debtor Address
1	John Smith	88 Main Street, Lincoln, NE, 68501, USA
2	Carol Simmons	66 Spring Street, Lincoln, NE, 68501, USA

Secured Party Information

S.No	Secured Party Name	Secured Party Address
1	CCC Filings	99 Main Street, Lincoln, NE, 68501, USA

Collateral Files

S.No	File Name	Description
No records to view.		

Filing Information

Filing #	Filing Type	Action Type	Date Filed	Filing Image	Redacted Image
1606270000214	UCC1 Initial Financing Statement	Initial Financing Statement	06/27/2016 04:30:00 PM	View	N/A

Figure 162. Record pre-amendment.

In the UCC record for the lien before an amendment filing is made, there is only one filing in the filing information section, which is the initial financing statement for this lien.

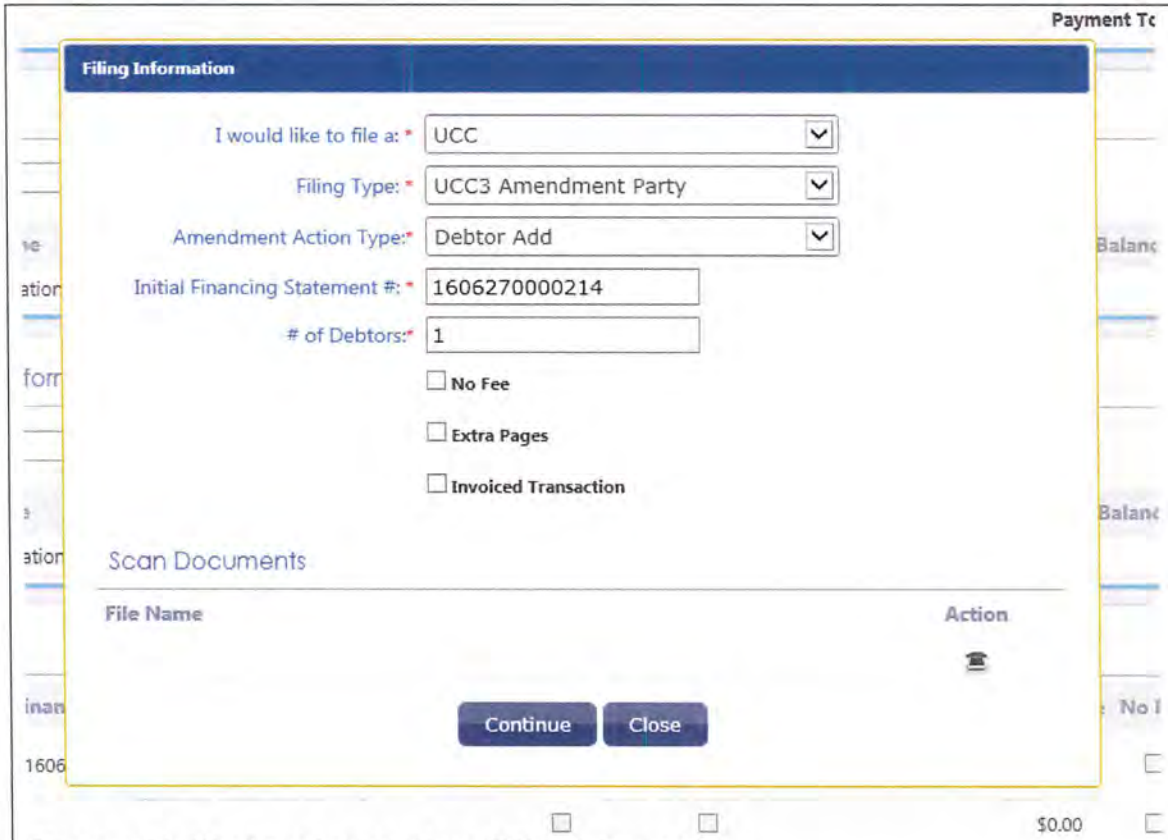


Figure 163. Work order creation. Filing information.

In the work order creation screen or work order details screen, the filing information button is clicked to bring up the filing information pop-up window.

The user selects the amendment type from the selections available in the dropdown. In Figure 163, a UCC-3 Amendment – Debtor Add filing is indicated in the dropdown selections.

The IFS number is entered.

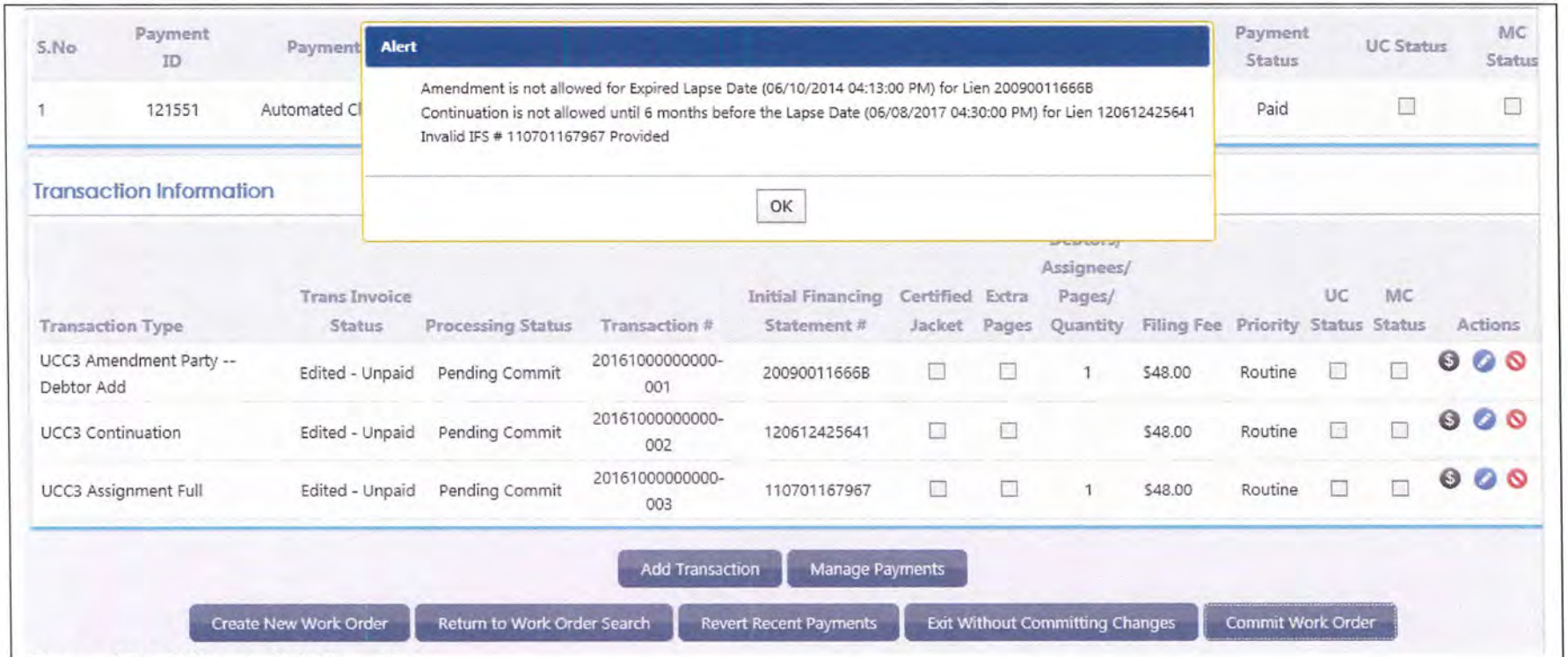


Figure 164. Filing validation alerts.

After creating the work order and all filings on it, when the user attempts to commit the work order, the system performs validation checks against the entered IFS numbers according to Revised Article 9 and State statutes. These verifications are dependent upon the filing type and lien type of the filing as well as the lapse date of the associated lien and the received date/time recorded at the top of the work order.

In Figure 164, the system gives three separate alerts for each filing transaction. The first alert indicates that the IFS number corresponds to a lien that is a year past it's lapse date, and therefore ineligible for further filings. The second alert indicates that a continuation is being filed before the six month window before the lapse date for the lien, and the continuation is thus ineligible for filing. The third alert indicates that IFS number entered does not correspond to any IFS number on record in the system.

The system will not allow this work order to commit until these filing transactions are either rejected, or valid IFS numbers are entered into the appropriate fields.

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status
UCC3 Amendment Party -- Debtor Add	Paid	Indexer Queue
UCC3 Continuation	Paid	Indexer Queue
UCC3 Assignment Full	Paid	Indexer Queue

Figure 165. Transaction information.

After successfully committing the work order, the transaction invoice status of all transactions are updated to "Paid."

Amendment processing flows:
The amendment processing flows are all similar to the IFS filing flows, however screens and data fields are displayed to the user according the filing type of the amendment.

Just like the IFS flows, the amendment flows all have optional verify flows that can be enabled in order for double entry of all indexed data.

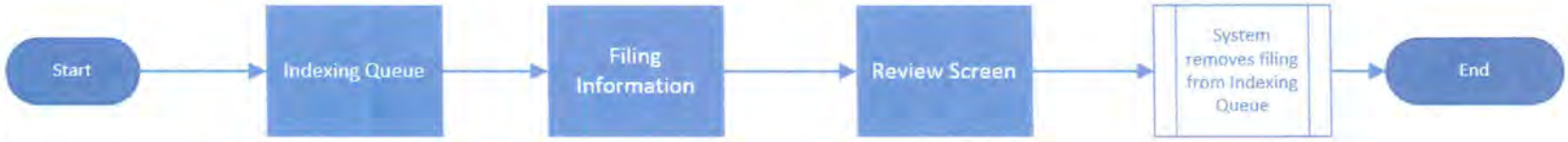


Figure 166. Continuation indexing process flow.



Figure 167. Assignment indexing process flow.

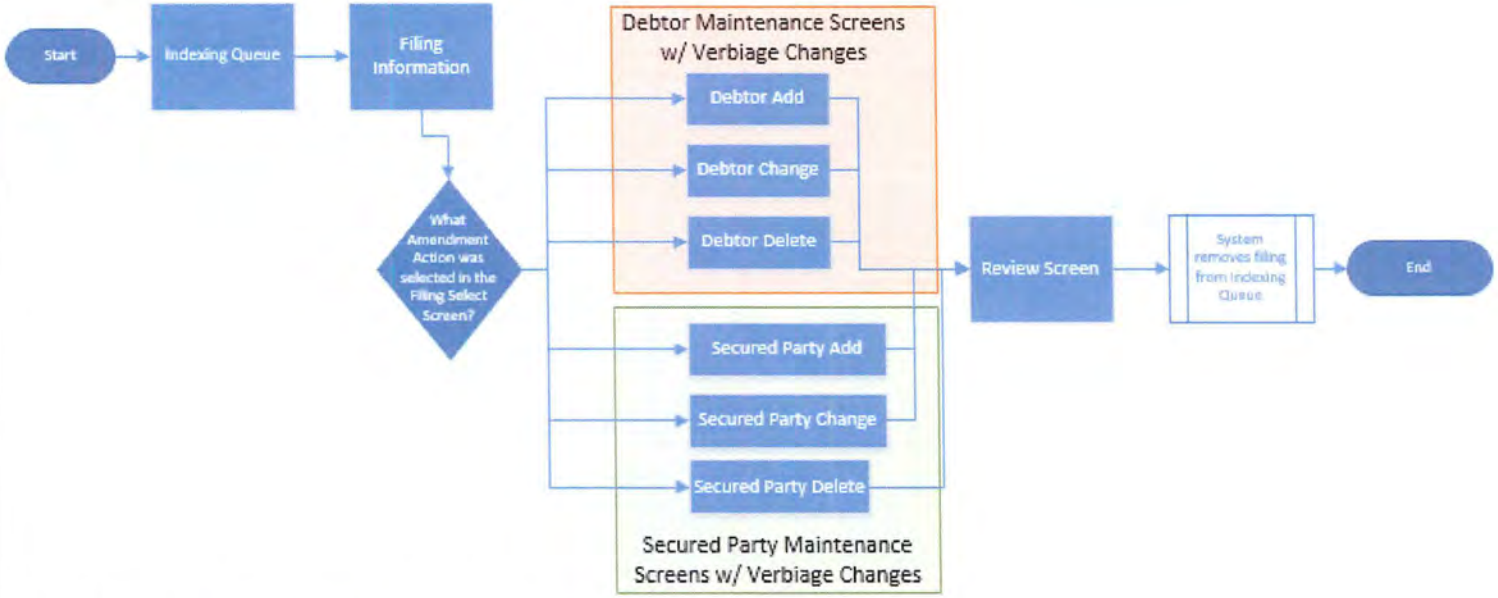


Figure 168. Amendment party change indexing process flow.

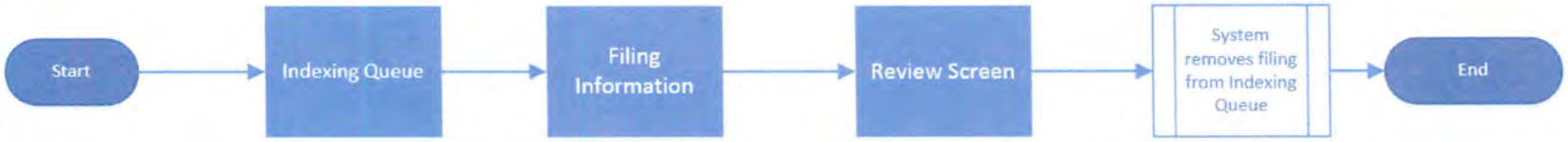


Figure 169. Collateral amendment indexing process flow.



Figure 170. Indexer queue.

Amendments are routed to the indexer queue.

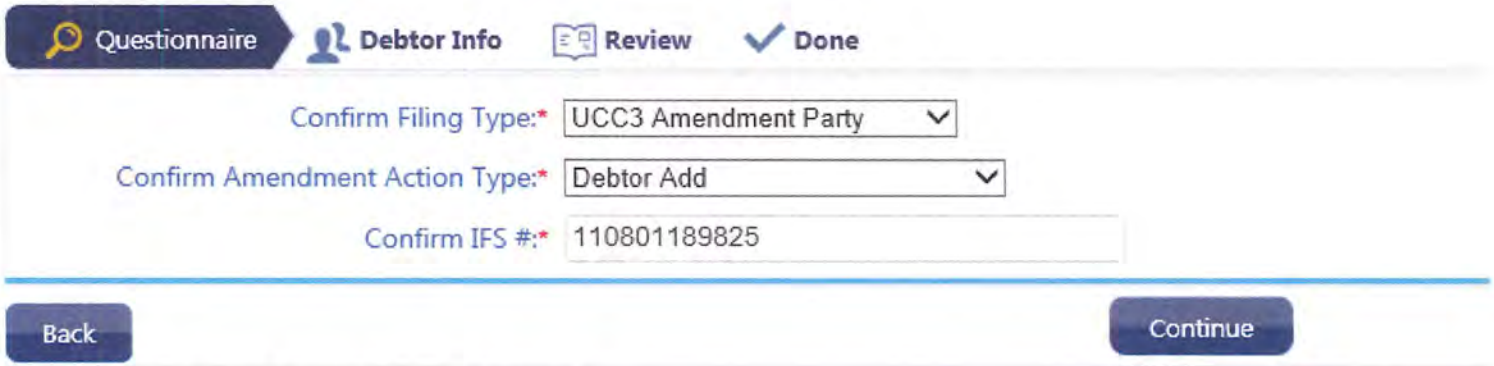


Figure 171. Filing information. Debtor add.

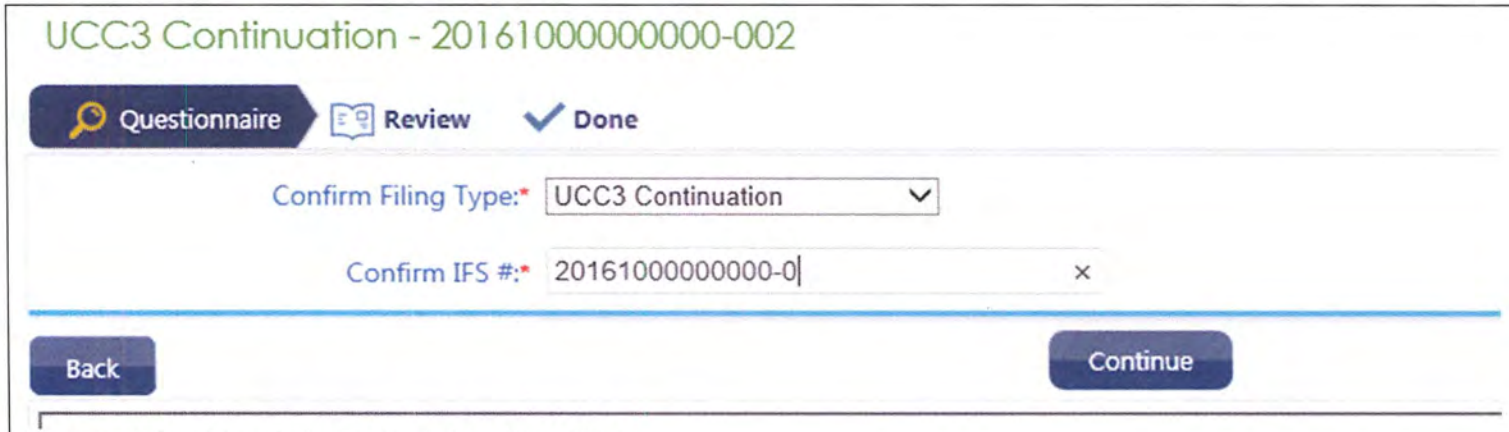


Figure 172. Filing information. Continuation.

In the filing information screen, the indexing user reviews the scanned filing image and enters the amendment type, any amendment action, and the IFS number. The system performs validations against what was entered in the work order screen.

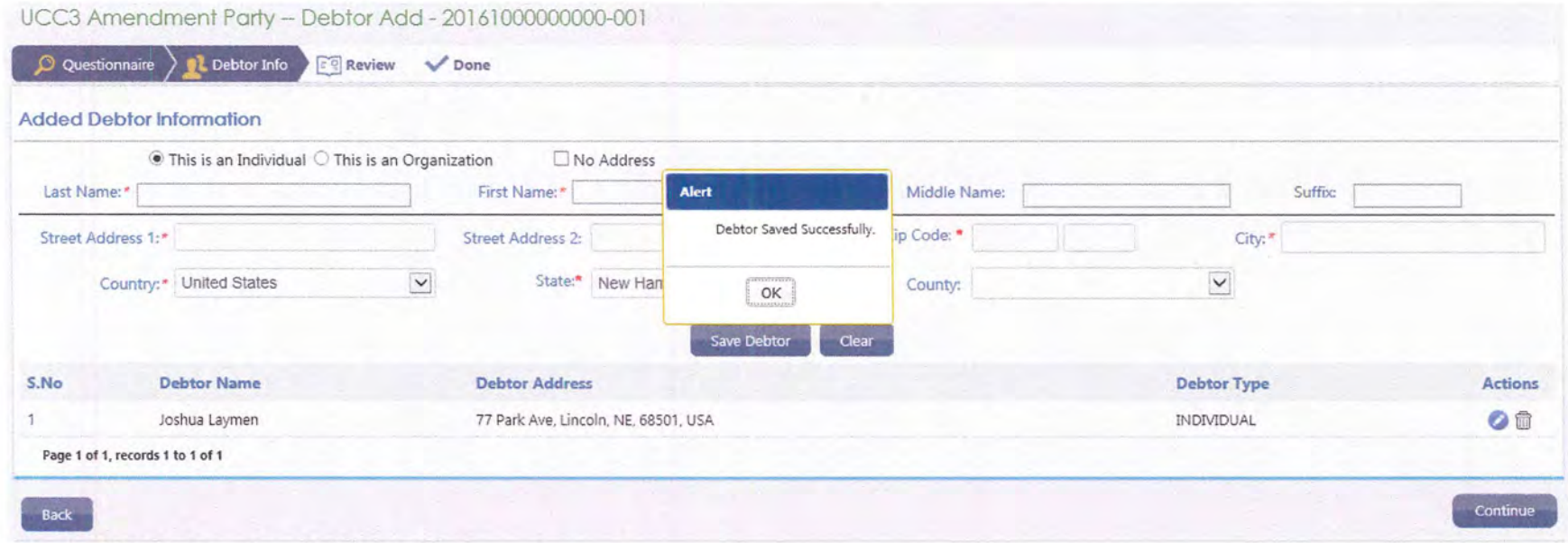


Figure 173. Data entry. Debtor add.

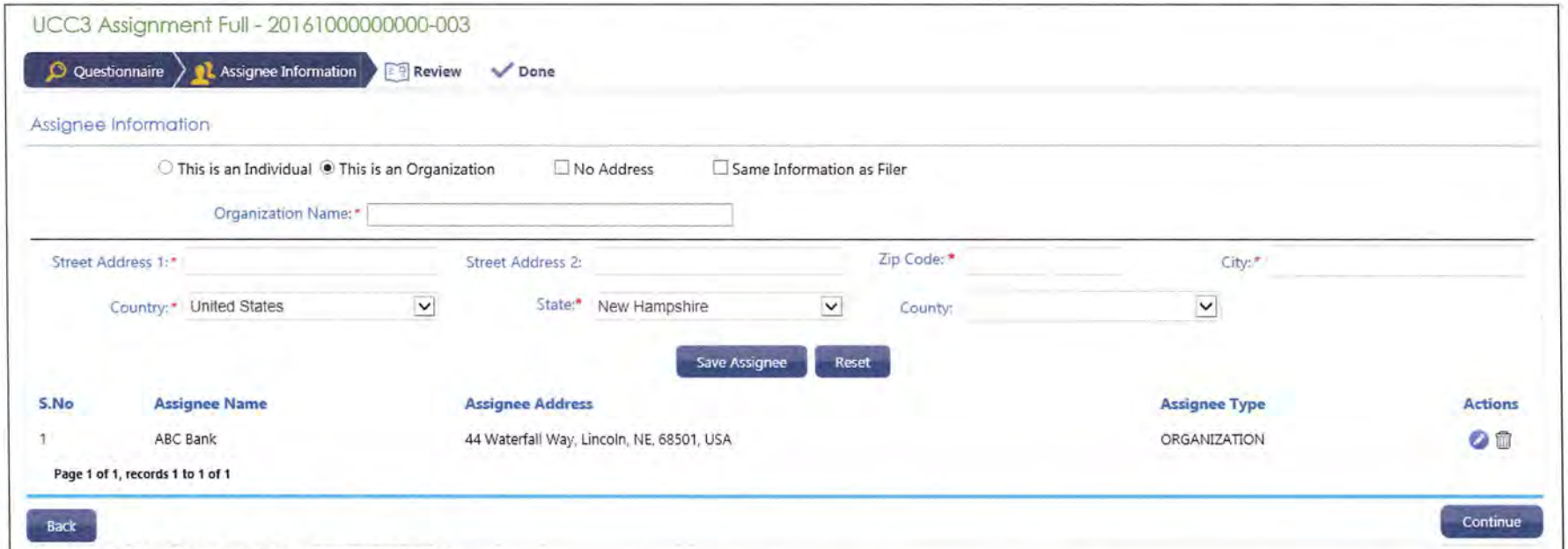


Figure 174. Data entry. Assignment.

The system presents the user with data entry screens appropriate to the filing type (for example, a debtor information screen during a debtor add party amendment).

The user enters party information via the fields according to business rules and saves it to a grid.

Filings without data entry, such as continuations, flow directly from the filing information screen to the review screen.

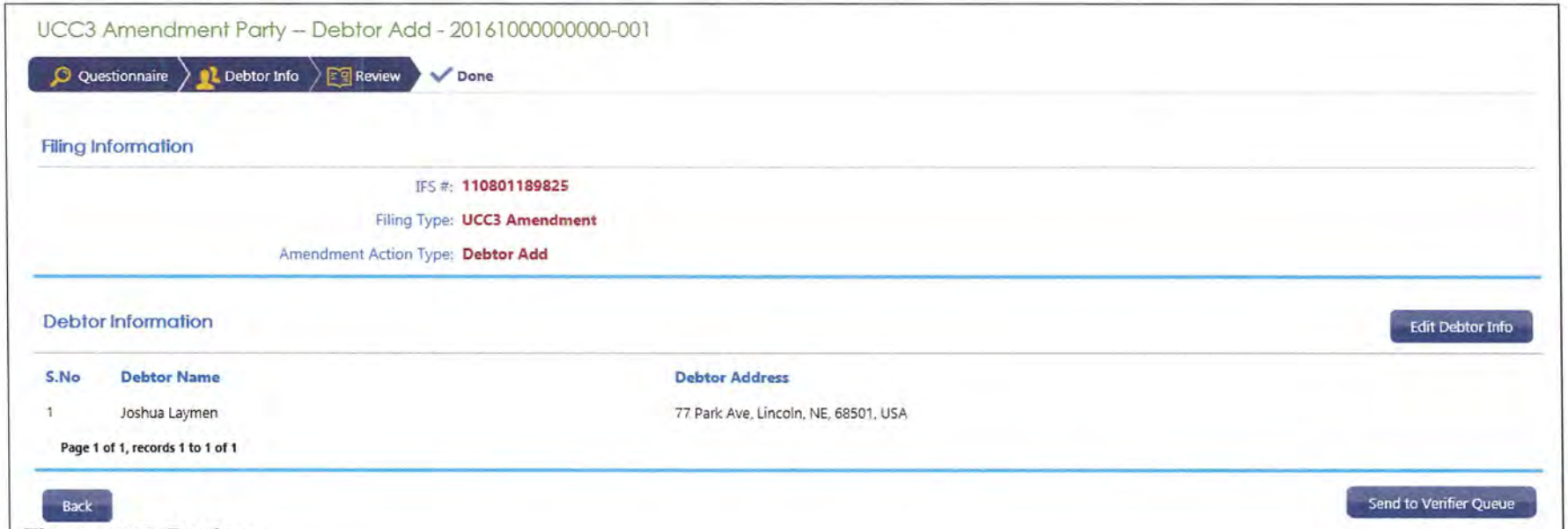


Figure 175. Review.

All amendment flows provide the user with a review screen to review the data entered against the scanned filing image.

Verifier flows:
Verifier flows are once again an optional model, allowing for double validation of indexed data.

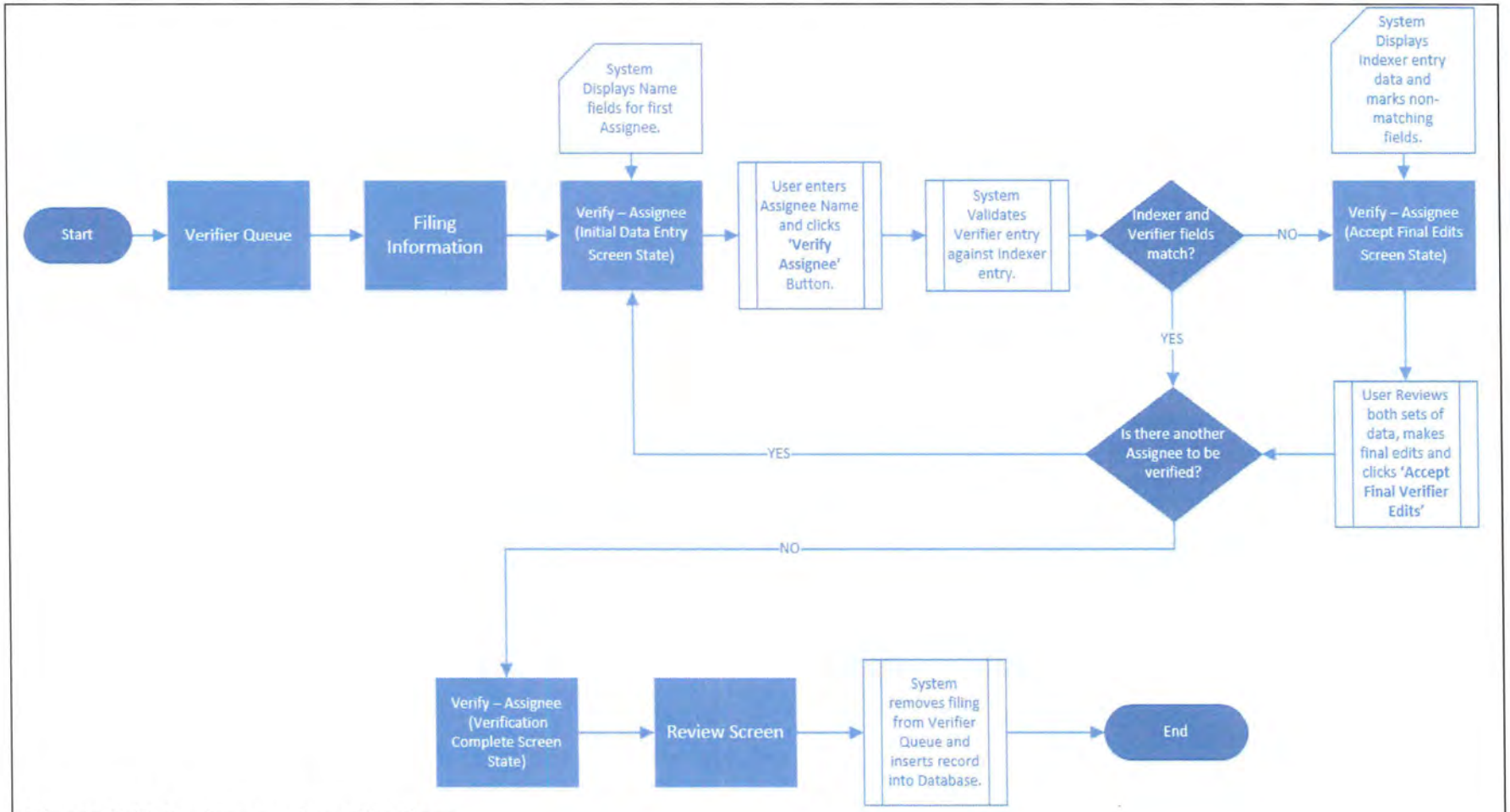


Figure 176. Assignment verifier flow.



Figure 177. Continuation, information statement, termination and collateral amendment verifier flow.

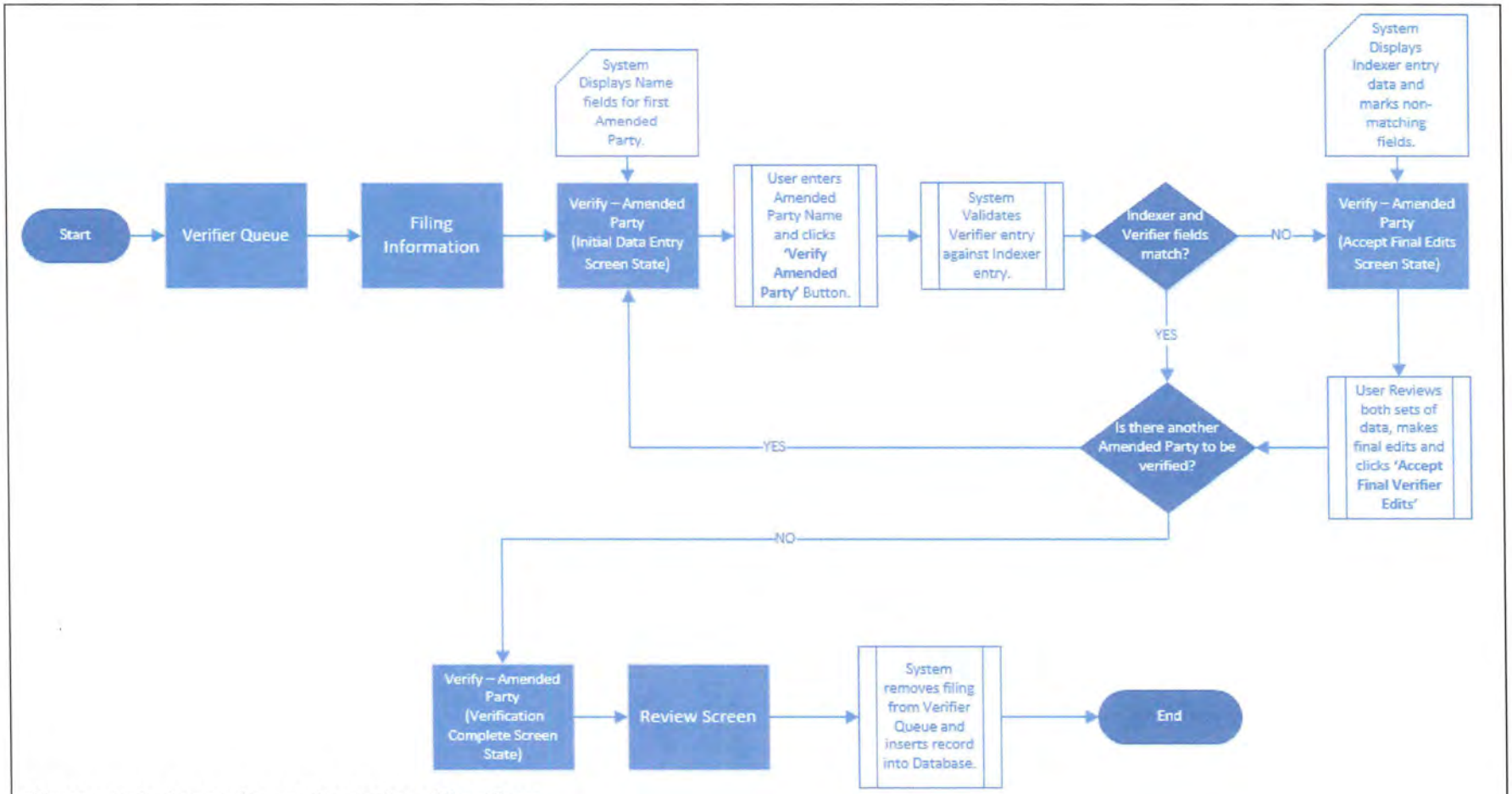


Figure 178. Amendment (party) verifier flow.

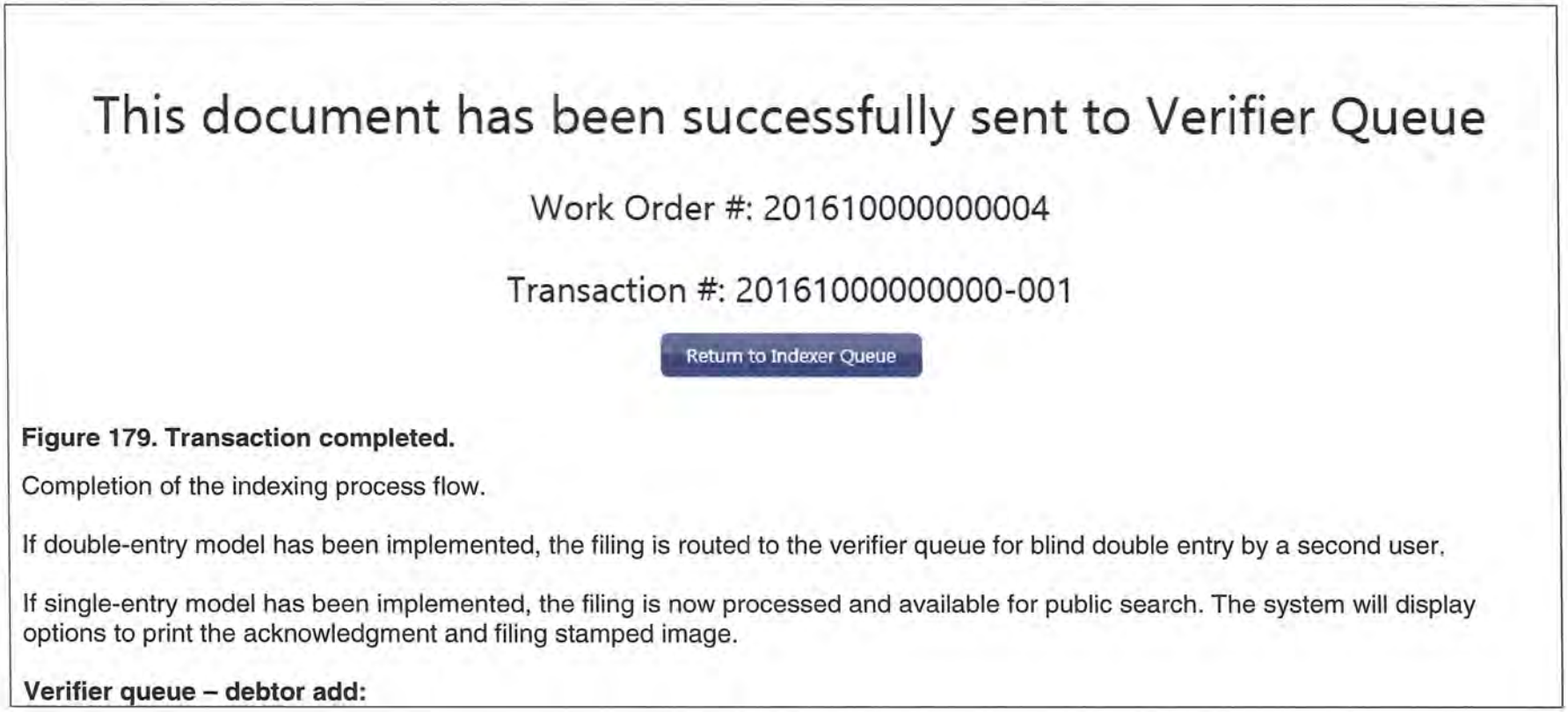


Figure 179. Transaction completed.

Completion of the indexing process flow.

If double-entry model has been implemented, the filing is routed to the verifier queue for blind double entry by a second user.

If single-entry model has been implemented, the filing is now processed and available for public search. The system will display options to print the acknowledgment and filing stamped image.

Verifier queue – debtor add:

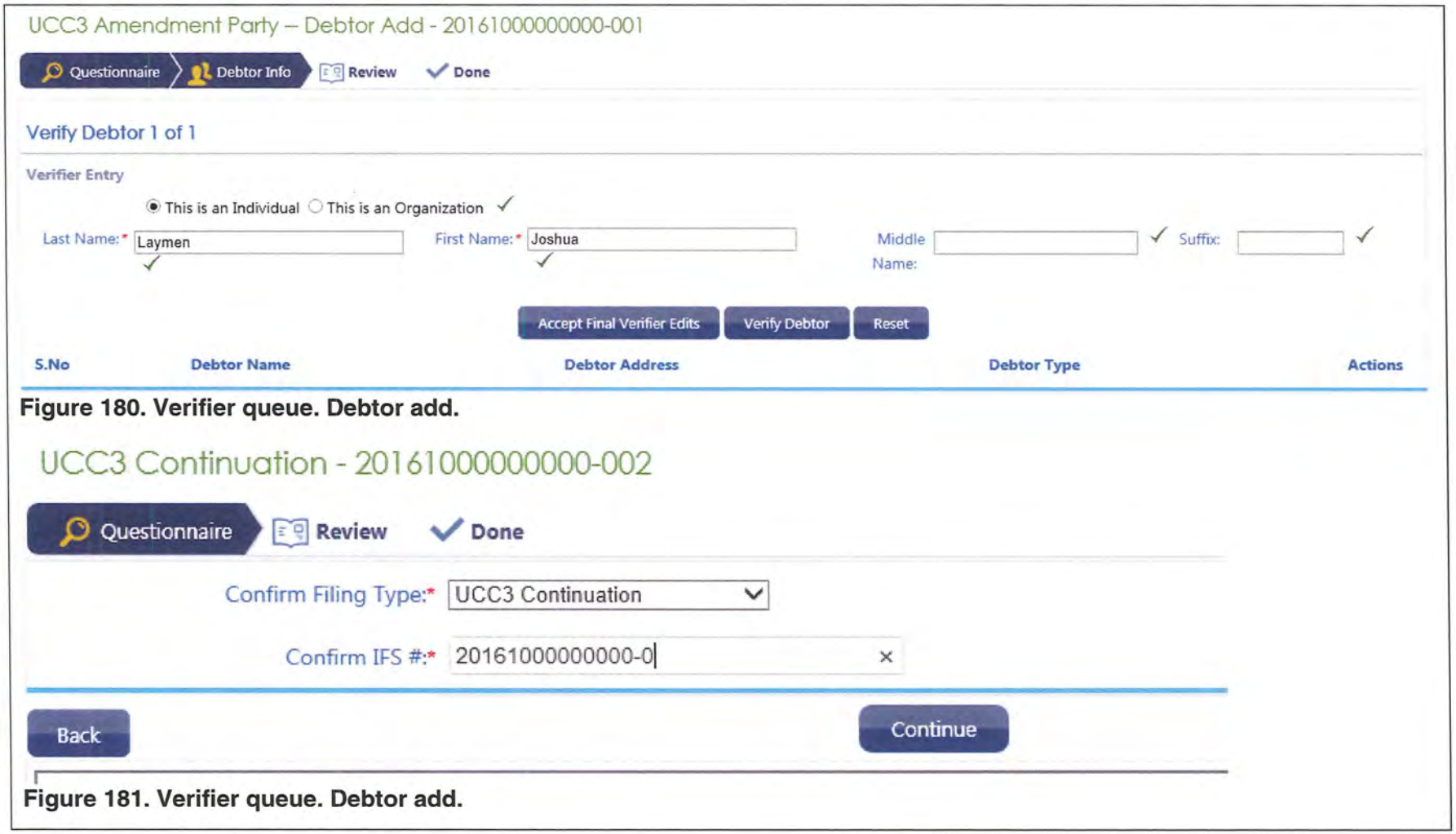


Figure 180. Verifier queue. Debtor add.

Figure 181. Verifier queue. Debtor add.

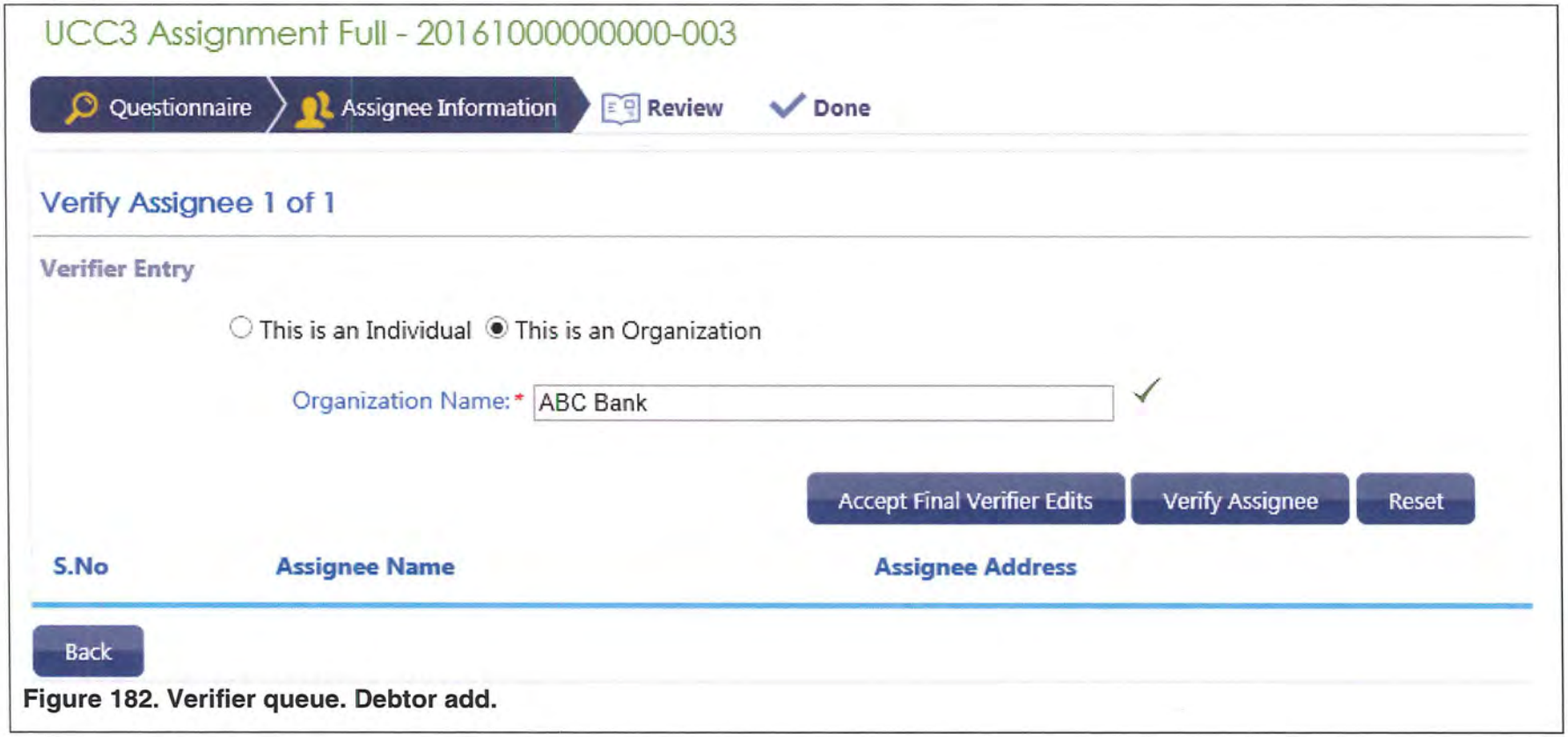


Figure 182. Verifier queue. Debtor add.

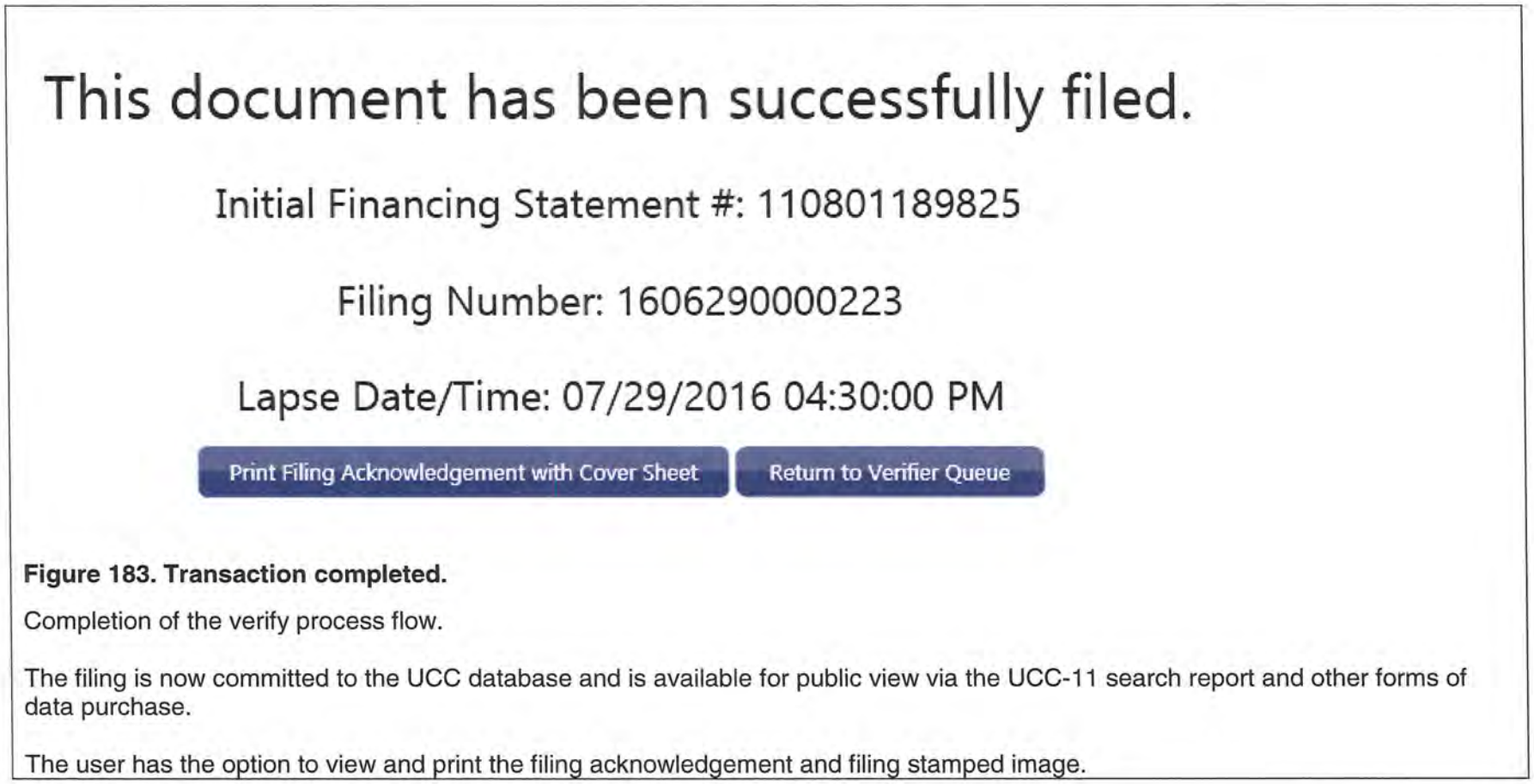


Figure 183. Transaction completed.

Completion of the verify process flow.

The filing is now committed to the UCC database and is available for public view via the UCC-11 search report and other forms of data purchase.

The user has the option to view and print the filing acknowledgement and filing stamped image.

Work Order Details

Work Order #:	201610000000004	Filer Name:	CSC Corporation Service Company (000072180)	Payer Name:	CSC Corporation Service Company (000072180)	Source:	Mail
Date/Time Received:	06/29/2016 04:30:00 PM	Created Date:	06/29/2016 12:19:52 PM	Created By:	Jeremy Steben	Last Committed Date:	06/29/2016 12:40:37 PM
Payment Total:	$144.00	Total Fee:	$144.00	Payer Credit Balance:	$0.00	Last Committed By:	Jeremy Steben
Work Order Balance:	$0.00	Adjusted Balance:	$0.00	Invoice Status:	Balanced	Commit Status:	Committed

GL Account Details

GL Account Details: 201610000000004

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	121551	Automated Clearing House		Account #: XXXXXXXXXXXX0517	$144.00	Paid	☐	☐

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC3 Amendment Party -- Debtor Add	Paid	Processed	20161000000000-001	110801189825	☐	☐	1	$48.00	Routine	☐	☐	N/A
UCC3 Continuation	Paid	Processed	20161000000000-002	110701167963	☐	☐		$48.00	Routine	☐	☐	N/A
UCC3 Assignment Full	Paid	Processed	20161000000000-003	110701167963	☐	☐	1	$48.00	Routine	☐	☐	N/A

Create New Work Order | Return to Verifier Queue | Print Receipt | Open WorkOrder

Figure 184. Work order updated.

After successful filing, amendments display a processing status of “Processed.”

Work Order #: 201610000000004

Receipt Date/Time: 06/29/2016 02:35:40 PM

Payer Information:

CSC Corporation Service Company
801 Adlai Stevenson Drive
Springfield, IL, 62703, USA

Filer Information:

CSC Corporation Service Company
801 Adlai Stevenson Drive
Springfield, IL, 62703, USA

Payer Customer ID: 72180

Filer Customer ID: 72180

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
6/29/2016 12:19:52 PM	Automated Clearing House	Account #: XXXXXXXXXXXXX0517	N/A	Paid	$144.00
				Total Payment Received:	**$144.00**

Transaction Information:

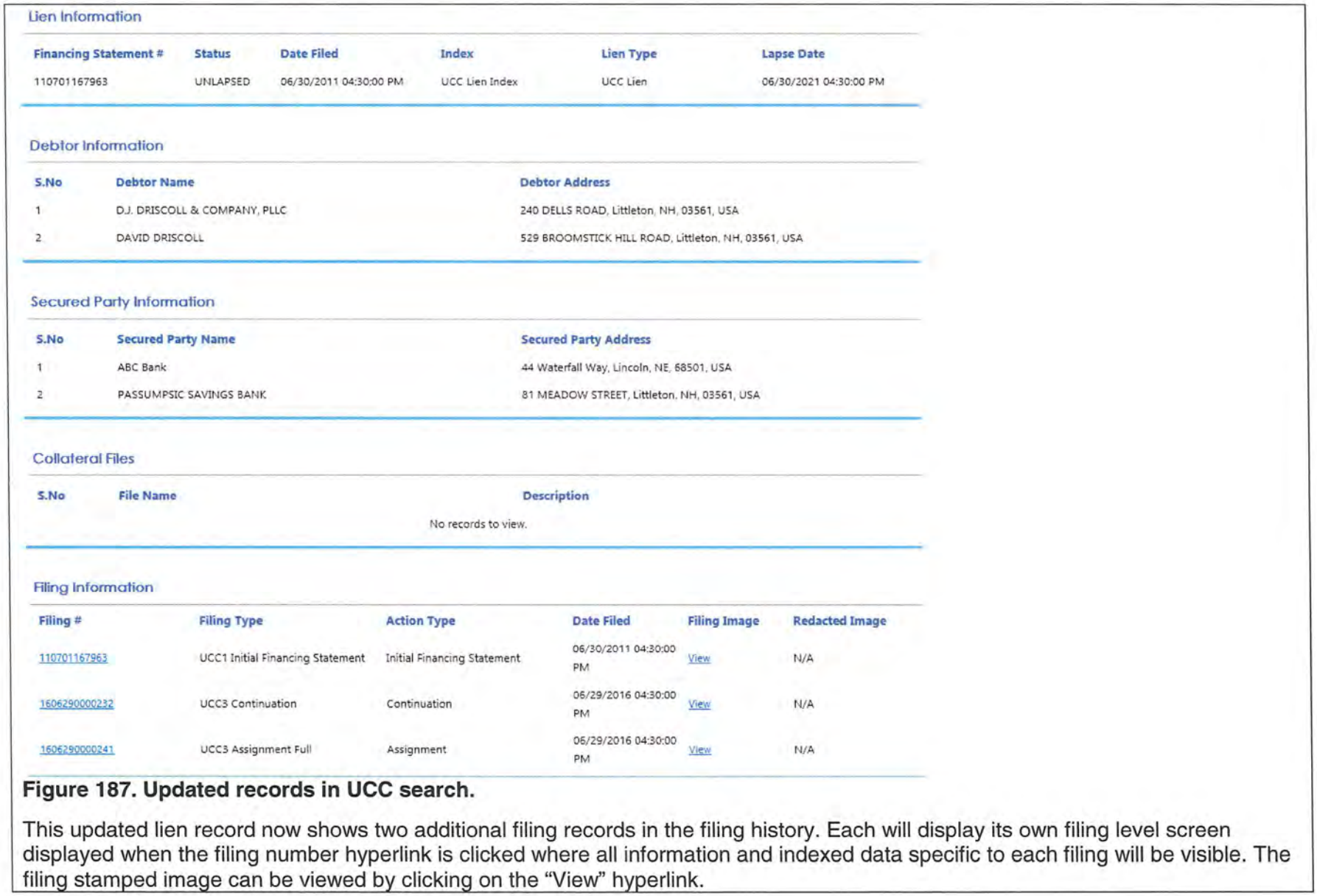
Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
6/29/2016 12:19:52 PM	UCC3 Amendment Party -- Debtor Add	110801189825	20161000000000-001	Processed	Paid	$48.00
6/29/2016 12:19:52 PM	UCC3 Continuation	110701167963	20161000000000-002	Processed	Paid	$48.00
6/29/2016 12:19:52 PM	UCC3 Assignment Full	110701167963	20161000000000-003	Processed	Paid	$48.00
					Total	**$144.00**

Figure 185. Work order receipt – page 1.

Drawdown Account Balance:	$0.00	**Total Due:**	$0.00
Credit Account Balance:	$0.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	$0.00

Figure 186. Work order receipt – page 2.

Work order receipt with three filing amendments.



Lien Information

Financing Statement #	Status	Date Filed	Index	Lien Type	Lapse Date
110701167963	UNLAPSED	06/30/2011 04:30:00 PM	UCC Lien Index	UCC Lien	06/30/2021 04:30:00 PM

Debtor Information

S.No	Debtor Name	Debtor Address
1	D.J. DRISCOLL & COMPANY, PLLC	240 DELLS ROAD, Littleton, NH, 03561, USA
2	DAVID DRISCOLL	529 BROOMSTICK HILL ROAD, Littleton, NH, 03561, USA

Secured Party Information

S.No	Secured Party Name	Secured Party Address
1	ABC Bank	44 Waterfall Way, Lincoln, NE, 68501, USA
2	PASSUMPSIC SAVINGS BANK	81 MEADOW STREET, Littleton, NH, 03561, USA

Collateral Files

S.No	File Name	Description
No records to view.		

Filing Information

Filing #	Filing Type	Action Type	Date Filed	Filing Image	Redacted Image
110701167963	UCC1 Initial Financing Statement	Initial Financing Statement	06/30/2011 04:30:00 PM	View	N/A
1606290000232	UCC3 Continuation	Continuation	06/29/2016 04:30:00 PM	View	N/A
1606290000241	UCC3 Assignment Full	Assignment	06/29/2016 04:30:00 PM	View	N/A

Figure 187. Updated records in UCC search.

This updated lien record now shows two additional filing records in the filing history. Each will display its own filing level screen displayed when the filing number hyperlink is clicked where all information and indexed data specific to each filing will be visible. The filing stamped image can be viewed by clicking on the “View” hyperlink.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-4	**Corrections** Filing Office Statements and Information Statements are filed to correct and update Original Filings or Amendments by document number. See Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings labeled as Correction. Also Appendix H – UCC & EFS Lien Data Fields. Statutory Requirements for Correction can be found in Appendix C – Statutes and Rules & Regulations. Click to see Filing Compliance Chart for jurisdictional requirements. Review and Enter Filing Data A. Accept and file 1. Enter original document number by using the eyeball icon to search and retrieve original filing for update. 2. Enter required information for filing. a. Check for a Debtor and Secured Party data b. If status is inactive Reject 3. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees) 4. Commit job 5. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings 6. File Stamp filing (see RTM CB-2) 7. Generate letter including explanation of correction and Acknowledgement of Filing. See RTM CB-3 8. Allow ability to correct Correction filing and create audit trail. 9. Send for scanning The bidder should describe and provide screen shots showing how their	X			

	system handles Corrections.				

Bidder Response:

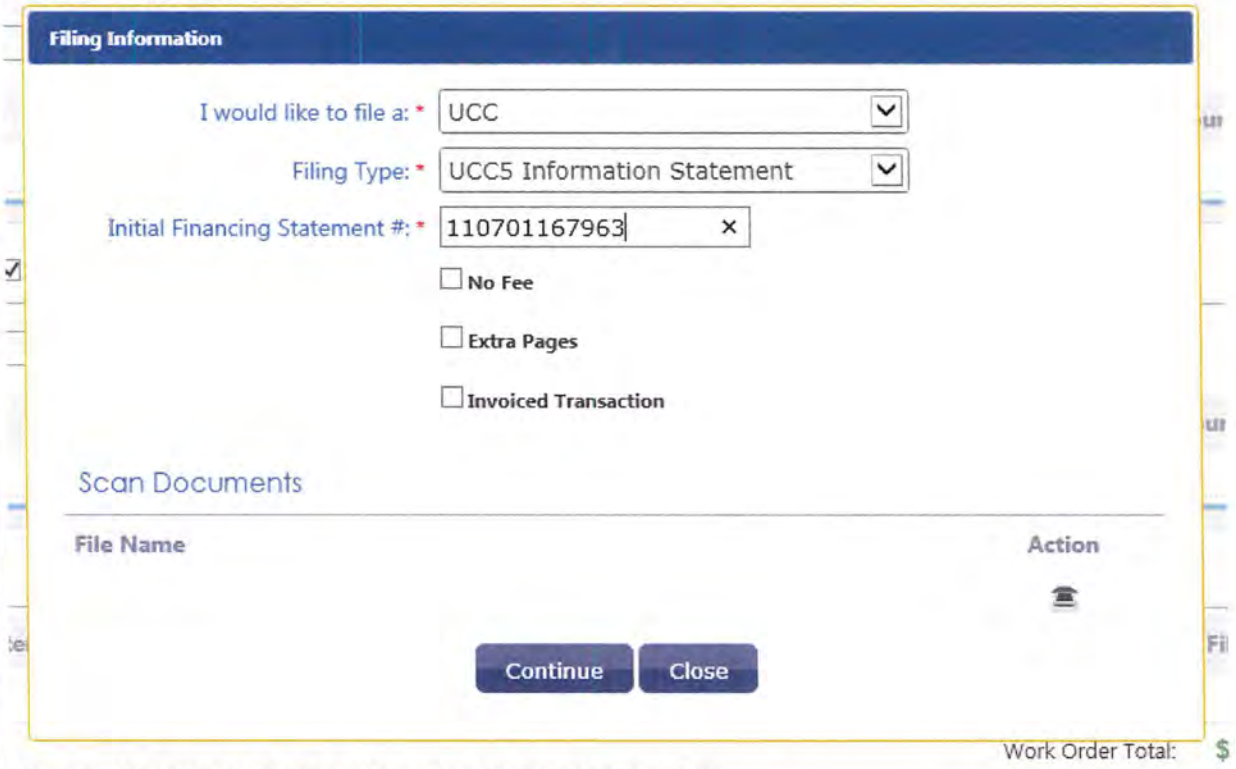


Figure 188. Work order creation. Filing information.

The UCC-5 information statement is selected from the filing information pop-up in the work order screen.

The IFS number is entered to associate the filing.

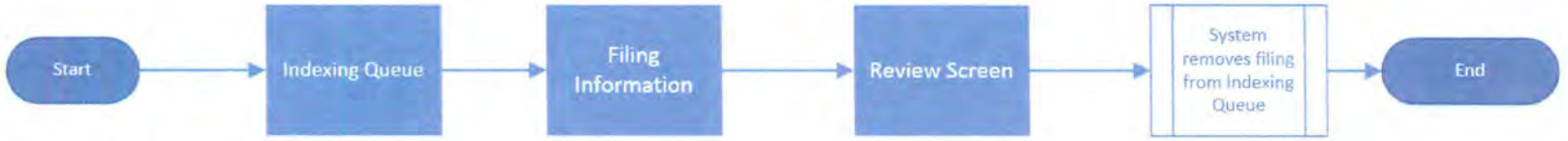


Figure 189. Indexing process flow.

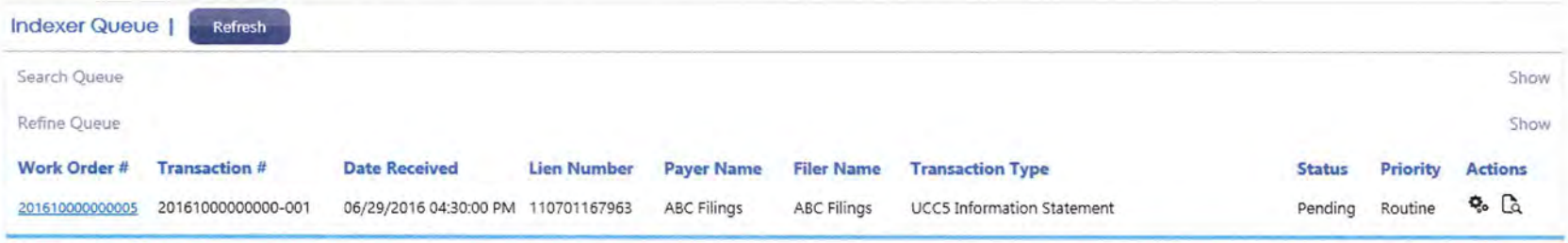


Figure 190. Indexer queue.

After work order commit, the filing is routed to the indexing queue.

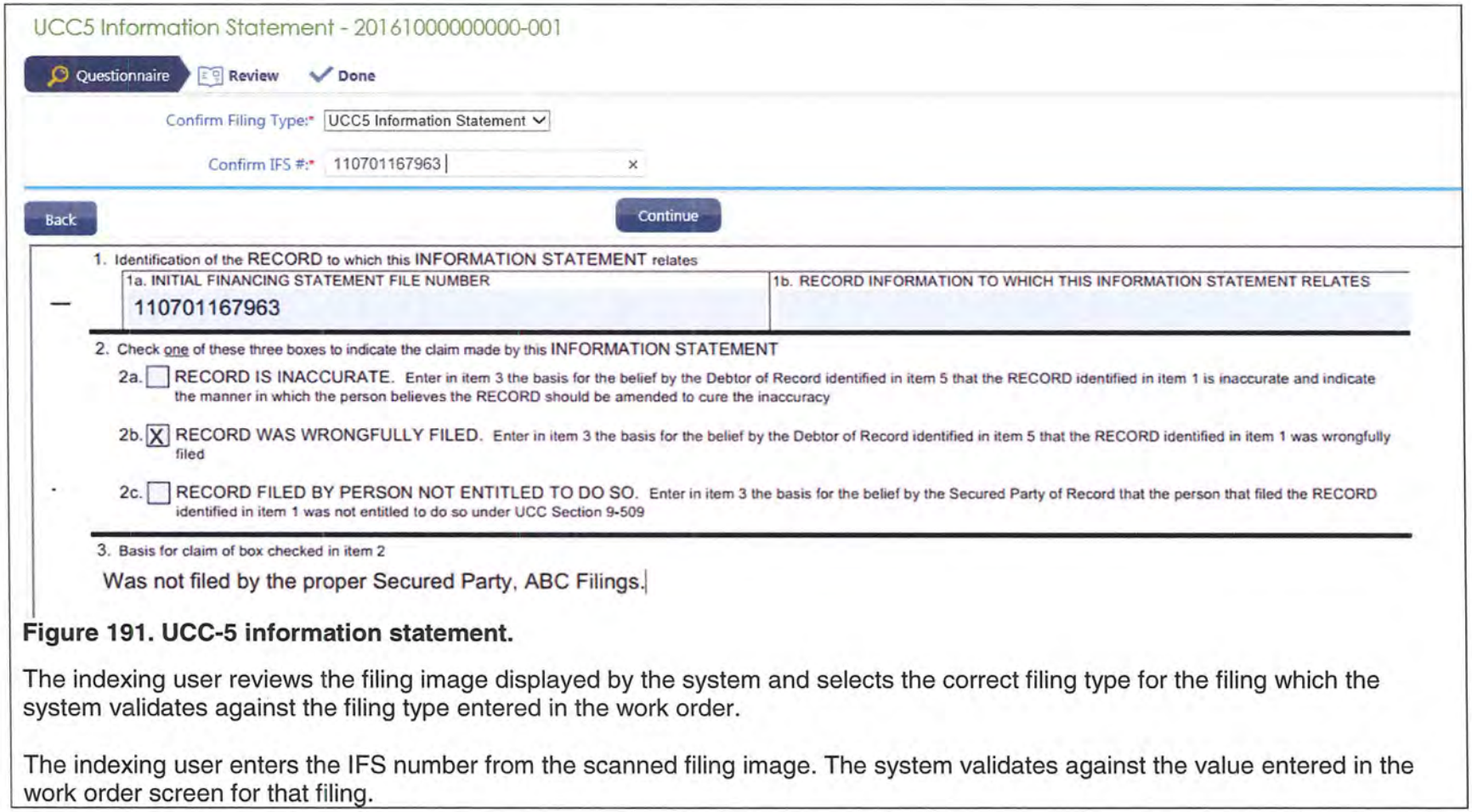


Figure 191. UCC-5 information statement.

The indexing user reviews the filing image displayed by the system and selects the correct filing type for the filing which the system validates against the filing type entered in the work order.

The indexing user enters the IFS number from the scanned filing image. The system validates against the value entered in the work order screen for that filing.

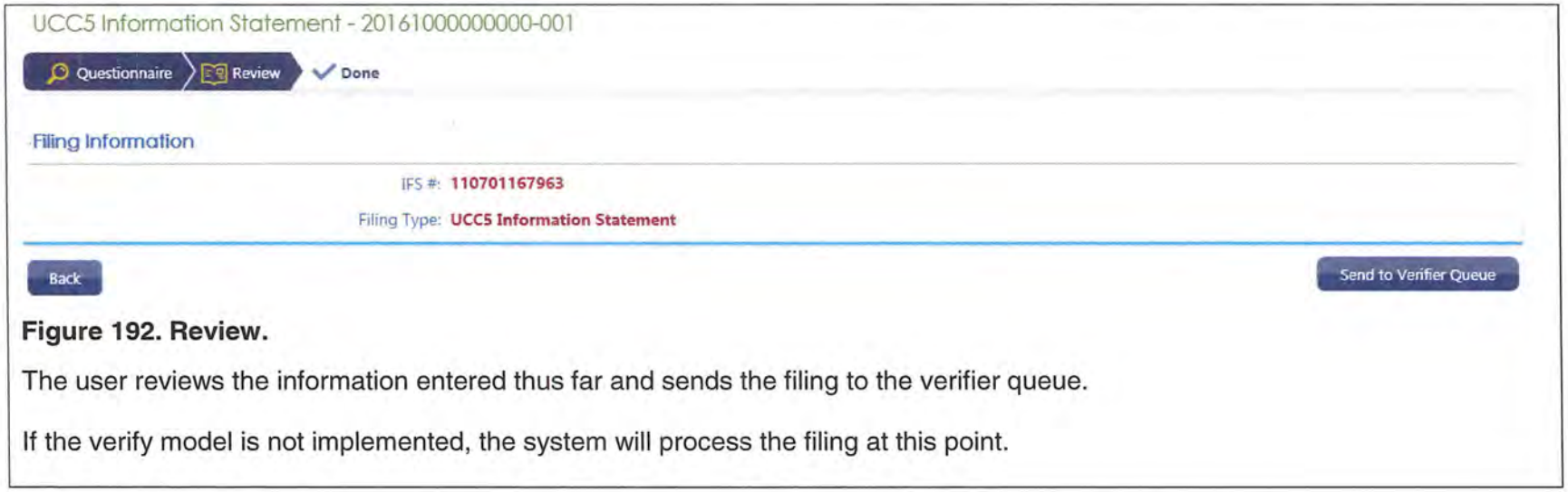


Figure 192. Review.

The user reviews the information entered thus far and sends the filing to the verifier queue.

If the verify model is not implemented, the system will process the filing at this point.

ABC Filings
123 Main Street
Lincoln, NE, 68501, USA

Original Filing Number:	**110701167963**
Filing Type:	**UCC - Information Statement**
Filing Number:	**1606290000250**
Filing Date/Time :	**06/29/2016 04:30:00 PM**
Lapse Date/Time :	**06/30/2021 04:30:00 PM**
Filing Page(s) :	**2**

Figure 193. Filing acknowledgement.

After the filing is successfully processed, the filing acknowledgement and filing stamped images are printed.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-5	**Terminations** Terminations are filed to update Original Filings by document number. All can be found in Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings labeled as Terminations, see also Appendix H UCC & EFS Lien Data Fields. Statutory Requirements for Terminations can be found in Appendix C – Statutes and Rules & Regulations. Click to see Filing Compliance Chart for jurisdictional requirements. Review and Enter Filing Data A. Accept and file 1. Enter original document number by using the eyeball icon to search and retrieve original filing for update. 2. Enter required information for filing. a. Check for a Debtor and Secured Party data b. If status is inactive then Reject. Do not Reject a tax lien if status is inactive, must be able to change status to active prior to termination. 3. Receipt fees or charge account for filing for only Release of Federal Tax Lien and Certificate of Release of Judgment Lien. 4. Commit job 5. File Stamp filing (see RTM CB-2) 6. Allow ability to correct Termination filing and create audit trail. 7. Generate letter (Acknowledgement of Filing). See RTM CB-3 The bidder should describe and provide screen shots showing how their system handles Terminations, including description of how it improves the current process of retention and purging.	X			
Bidder Response:					

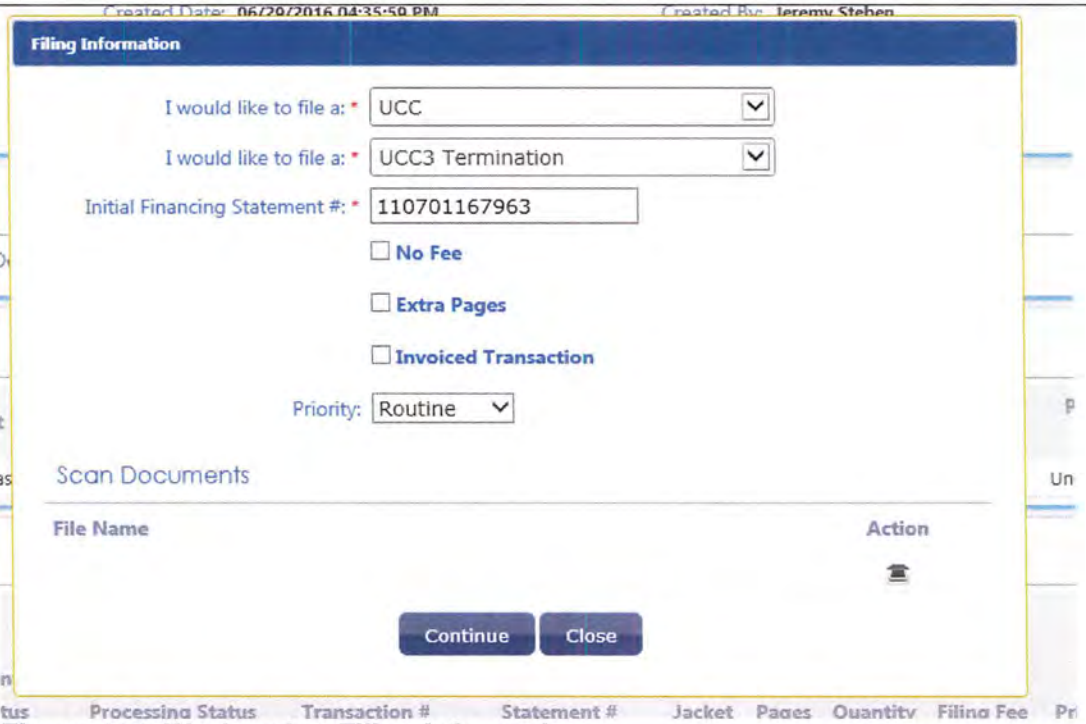


Figure 194. Work order. Filing information.

The user selects the termination filing type from the dropdowns in the filing information pop-up on the work order creation screen.



Figure 195. Indexing process flow.



Figure 196. Indexer queue.

After commit, the work order is routed to the indexer queue for processing.

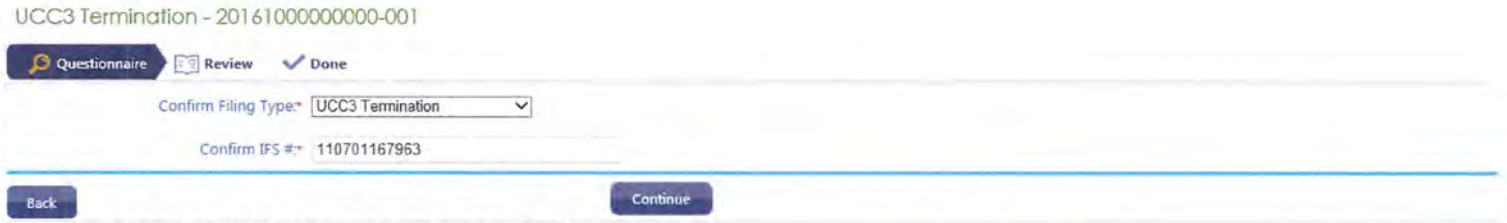


Figure 197. Confirm filing type and IFS number.

The filing type and IFS number are confirmed by the processing user after review of the scanned filing image.

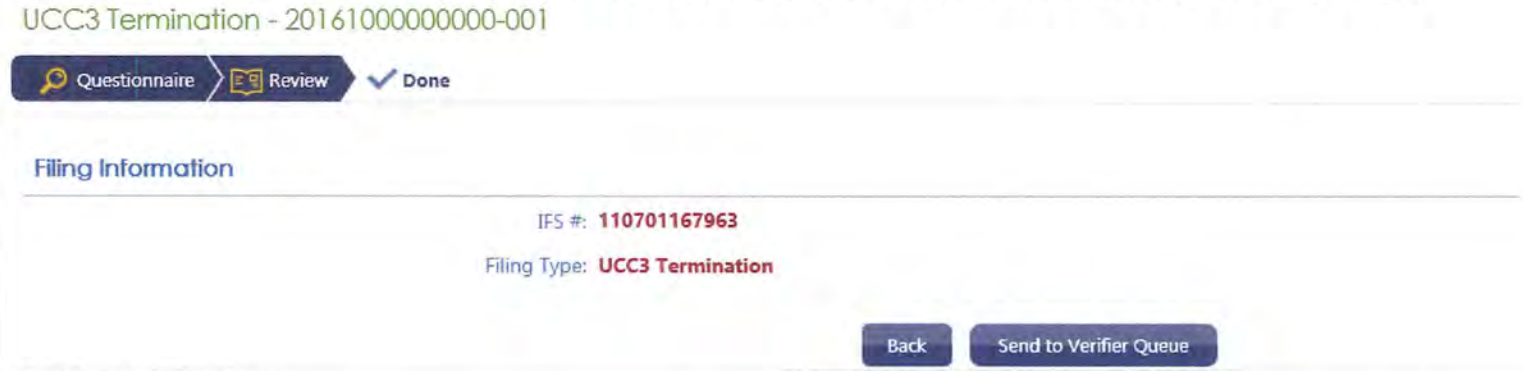


Figure 198. Review.

The information entered for the filing is displayed for the user to review.

Depending on the model implemented, the filing is either routed to the verifier queue or processing is completed.



Figure 199. Filing completed.

After processing is complete, the filing is recorded in the database and becomes part of the searchable public record.

CSC Corporation Service Company
801 Adlai Stevenson Drive
Springfield, IL, 62703, USA

Original Filing Number:	**110701167963**
Filing Type:	**UCC3 Financing Statement Amendment – Termination**
Filing Number:	**1606290000269**
Filing Date/Time :	**06/29/2016 04:30:00 PM**
Lapse Date/Time :	**06/30/2021 04:30:00 PM**
Filing Page(s) :	**2**

Figure 200. Filing acknowledgement.

The filing acknowledgment and filing stamped image are printed.

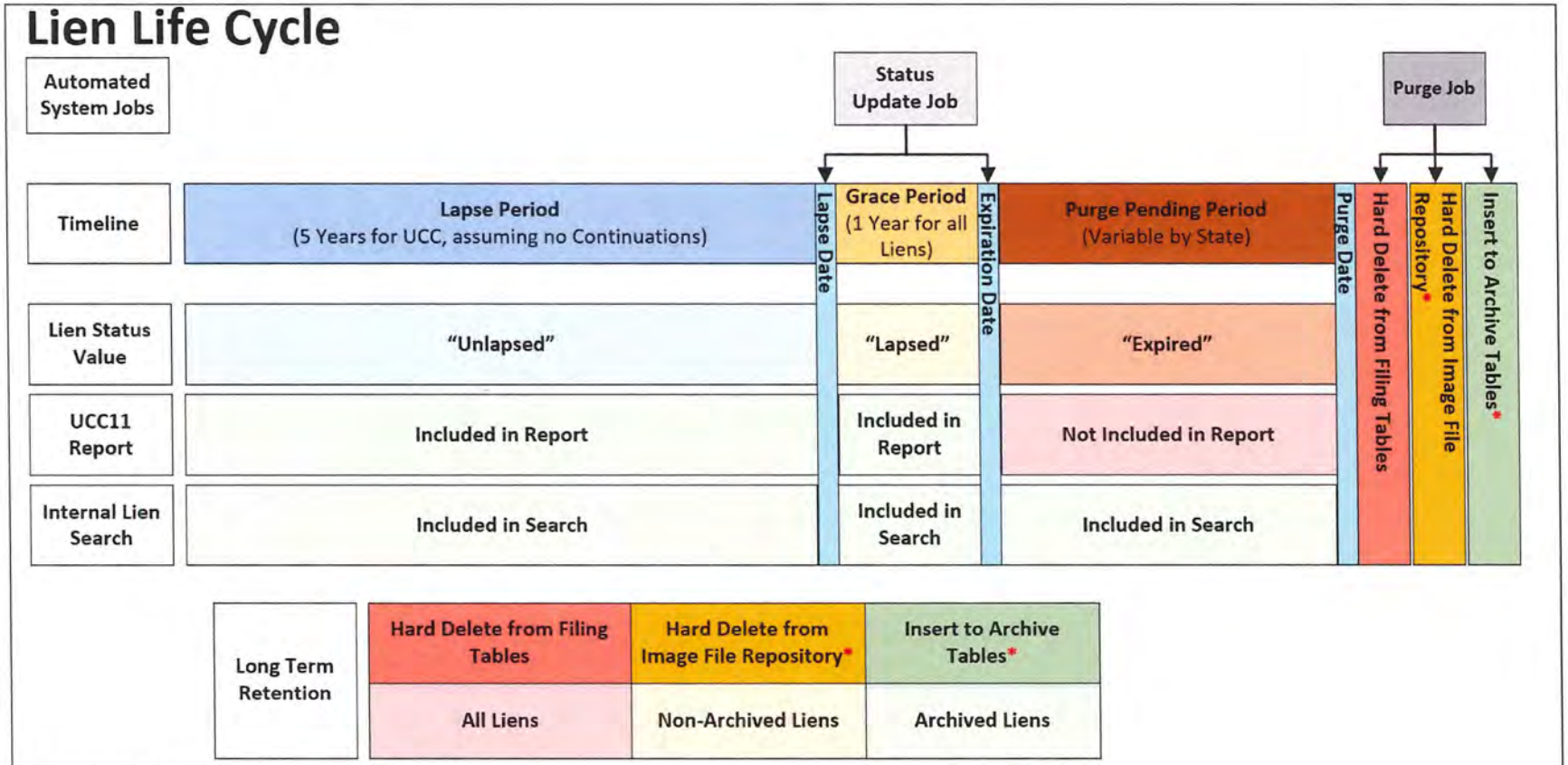


Figure 201. Lien retention life cycle.

Filing retention and purge requirements are handled by several system jobs that run without user intervention.

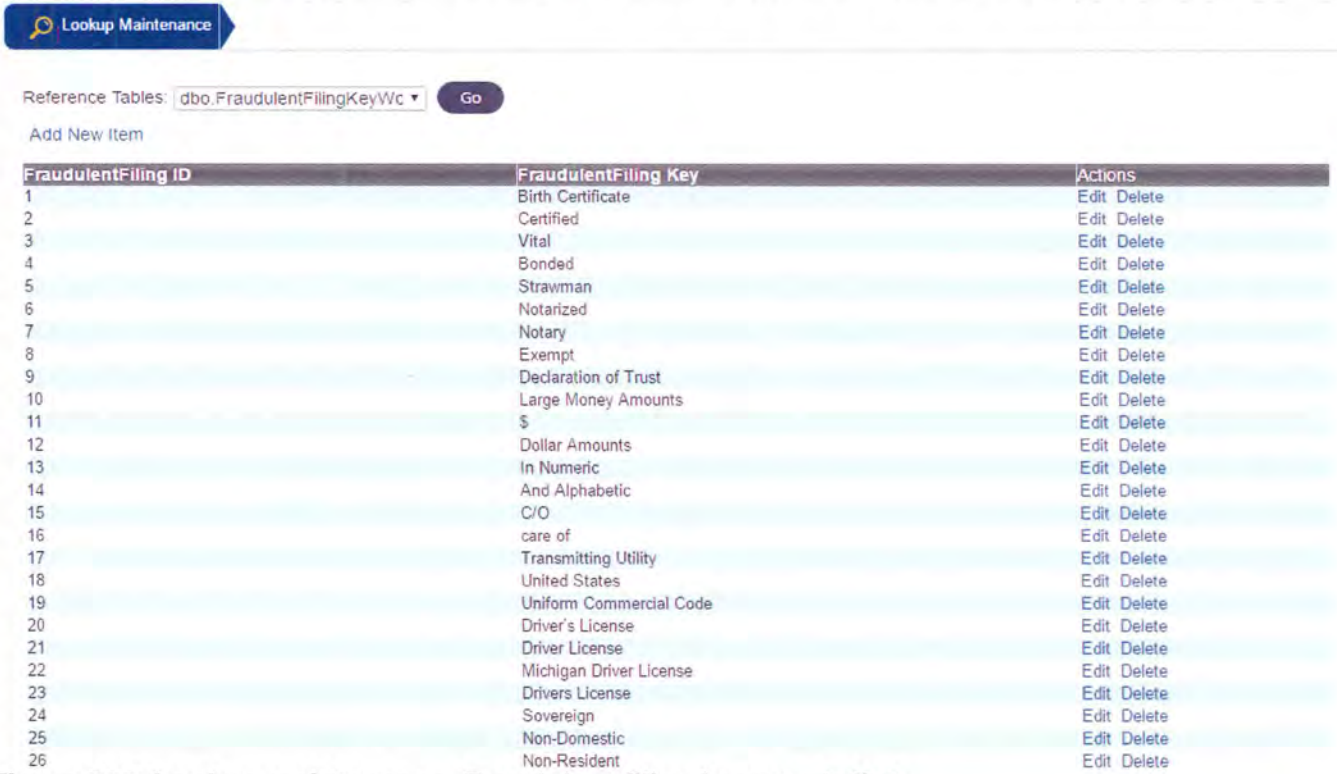
- Status update job
  - Nightly job which updates the lien status of liens in the database.
  - When a lien reaches its lapse date, the status is updated to "Lapsed."
  - When a lien exceeds a year past its lapse date, the status is updated to "Expired" and the lien no longer appears in any reports or data sales. The lien remains searchable and visible via in-house search until it reaches its purge date.
- Purge job
  - Runs in a period according to the State's requirements (usually from every quarter to once a year).

- For filings that have no archival retention requirements (for example, UCC):
  - System hard deletes the filing records in the database.
  - System hard deletes the filing images in the filing repository.
- For filings that have archival retention requirements (for example, transmitting utility and federal tax liens):
  - System transfers filings records from the active filing tables to archive tables.
  - System does not delete any filing images from the filing repository, but retains the link to these images in the archive tables.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-6	**Bogus or Fraudulent Filing Process and Procedures** (See Appendix C – Statutes and Rules & Regulations, Nebraska Uniform Commercial Code, See Appendix D – Certificates, Forms, & Templates, UCC Forms, Manual Use, "Bogus Filer Affidavit", "Letter to Debtor", "Notice of Termination to Secured Party", "Bogus Filers Tracking Sheet", & "Filing Office Statement") A. Follow steps in UCC-2, B. staff will identify if filing is bogus or fraudulent, C. add to tracking sheet, D. send appropriate correspondences and affidavits to debtor, along with form to file termination (UCC-1) E. send certified letter to secured party stating a termination was filed, if debtor signs affidavit and files termination F. If no termination filed filing remains on record G. If termination is filed secured party can pursue court action; if court favors for the secured party a filing office statement is filed and we delete termination from record, if court finds in favor of debtor a court order is filed to make filing inactive. The bidder should describe and provide screen shots showing how their system records, tracks and handles fraudulent filings, emphasizing to what extent this process can be automated.	X			

Bidder Response:
One of the concerns with allowing the general public to file UCC filings through an online portal is they are removed from the standard review of in-house staff, thus possibly allowing potentially fraudulent filings to pass undetected. The fraudulent filing report addresses this concern.

The system allows users to maintain an editable list of keywords that often signify a fraudulent filing.



FraudulentFiling ID	FraudulentFiling Key	Actions
1	Birth Certificate	Edit Delete
2	Certified	Edit Delete
3	Vital	Edit Delete
4	Bonded	Edit Delete
5	Strawman	Edit Delete
6	Notarized	Edit Delete
7	Notary	Edit Delete
8	Exempt	Edit Delete
9	Declaration of Trust	Edit Delete
10	Large Money Amounts	Edit Delete
11	$	Edit Delete
12	Dollar Amounts	Edit Delete
13	In Numeric	Edit Delete
14	And Alphabetic	Edit Delete
15	C/O	Edit Delete
16	care of	Edit Delete
17	Transmitting Utility	Edit Delete
18	United States	Edit Delete
19	Uniform Commercial Code	Edit Delete
20	Driver's License	Edit Delete
21	Driver License	Edit Delete
22	Michigan Driver License	Edit Delete
23	Drivers License	Edit Delete
24	Sovereign	Edit Delete
25	Non-Domestic	Edit Delete
26	Non-Resident	Edit Delete

Figure 202. Lookup maintenance. Fraudulent filing key words list.

When the fraudulent filing report is run, the system scans the text entered by online filing customers into the collateral text field. The system returns filings where the system finds matches to terms in the fraudulent filings word list. Internal staff are then able to review high risk filings and possibly fraudulent filing activity.

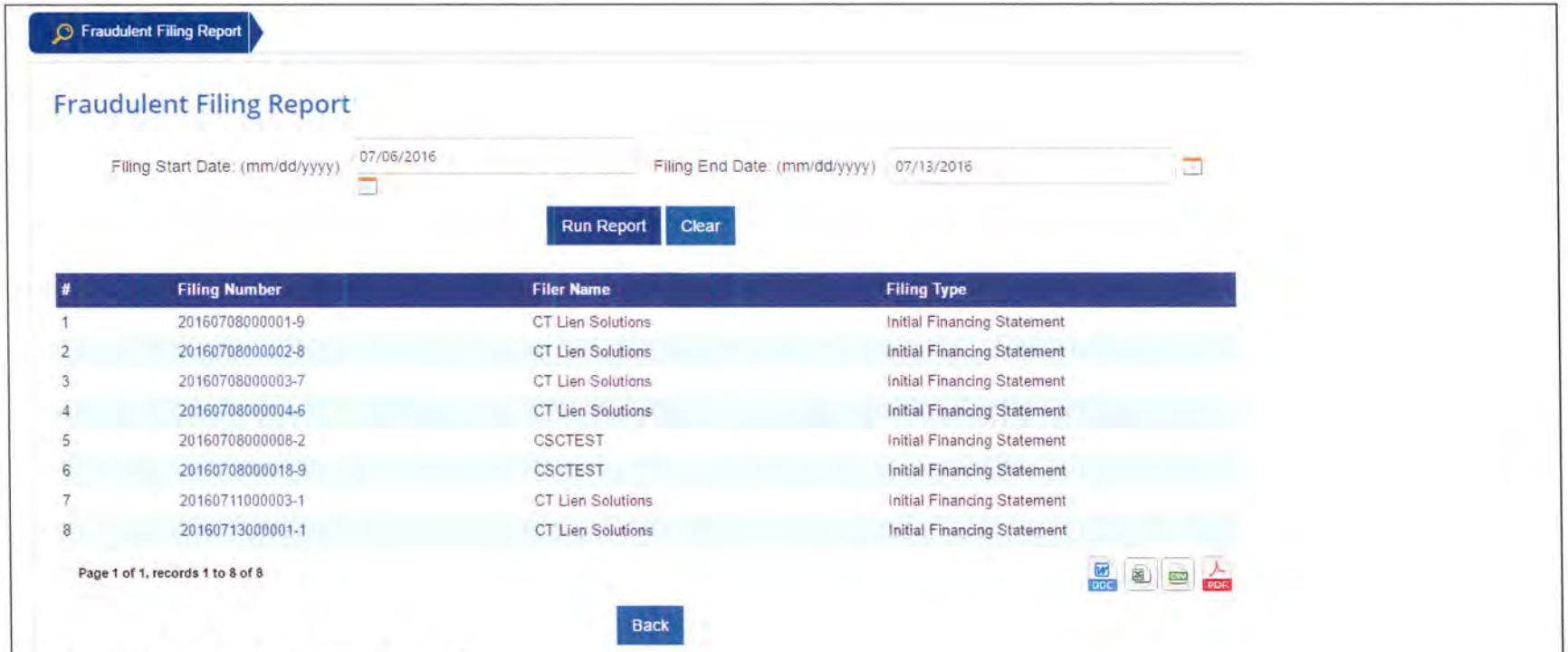


Figure 203. Fraudulent filing report.

The list of filings may be exported as an Excel or Word file.

Users may click on the filing link to see the full record of the filing.

Proposed fraudulent filing process:
The existing solution currently does not have a process as described in UCC-6. However, using existing assets and functionality the following modifications and process are proposed to meet the requirement.

Flag as potentially fraudulent:
If during processing a filing is suspected to be bogus, the receipting or processing user will select the "Potentially Fraudulent Filing" checkbox that will be added to the filing information pop-up associated to a filing transaction on the work order screen.



Figure 204. Work order. Filing information. Suspected fraudulent filing checkbox.

When selected, the system will take the following actions regarding this filing.

- When processing is complete, the system will apply a "fraudulent" flag to the filing in the database, allowing it to be returned in reports and used in other functionality.
- When processing is complete, in addition to the standard outputs, the system will also generate an extra copy of the filing correspondence along with a blank UCC-3 amendment form, affidavits and a cover sheet with explanatory text and instructions. The system would print the debtor's name and address on the cover sheet so that it is visible in a standard envelope window.
    - Note: Affidavits and UCC-3 form can be stored as static PDF assets within the system.

Affidavit return:
When the State receives a signed affidavit and complete UCC-3 termination form, instead of choosing the standard UCC termination filing type, the staff user would instead choose a new "Affidavit Return" filing type.

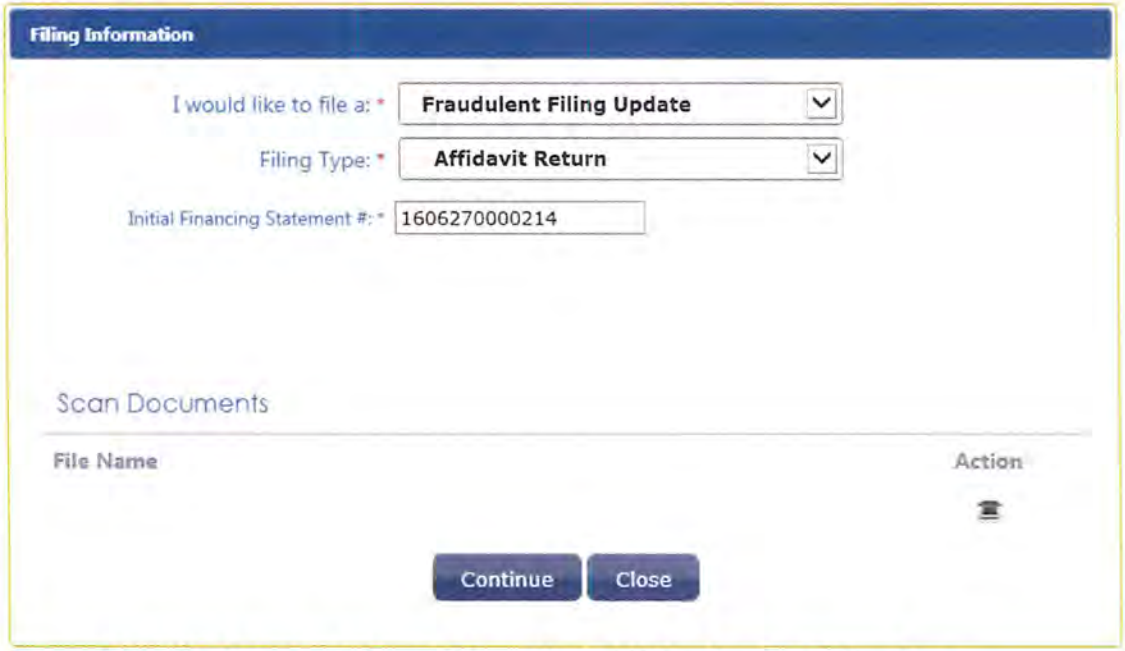


Figure 205. Work order. Filing information. Affidavit return filing type.

The affidavit return filing type would function like a UCC-3 termination, with the following modifications.

- Filing type would be a no fee filing.
- The system would validate that the IFS number entered corresponds to a lien with a "fraudulent" flag.

In addition to standard filing outputs, the system would also generate an extra set of the filing correspondence along with a form letter with the secured party's name inserted.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-7	**Termination Report for posting on the website**. (See Appendix J – Ancillary Databases and Derived Reports Item #4) A. List all UCC Termination Filings for prior month the beginning of the following month. B. Is superseded monthly. The bidder should describe and provide screen shots showing their	X			

	system's termination report process, emphasizing how it improves the current process.				

Bidder Response:
The proposed solution currently has a report of liens that are about to lapse within the next three months from the date given. This report will be modified to include liens that have lapsed already, and a second date picker will be added to allow for monthly date ranges. The report already allows for export to Word, PDF and Excel. These files could then be hosted on the State's website on a monthly basis.

If required, the report can be modified to include additional information columns, such as the name of the first debtor on the lien.

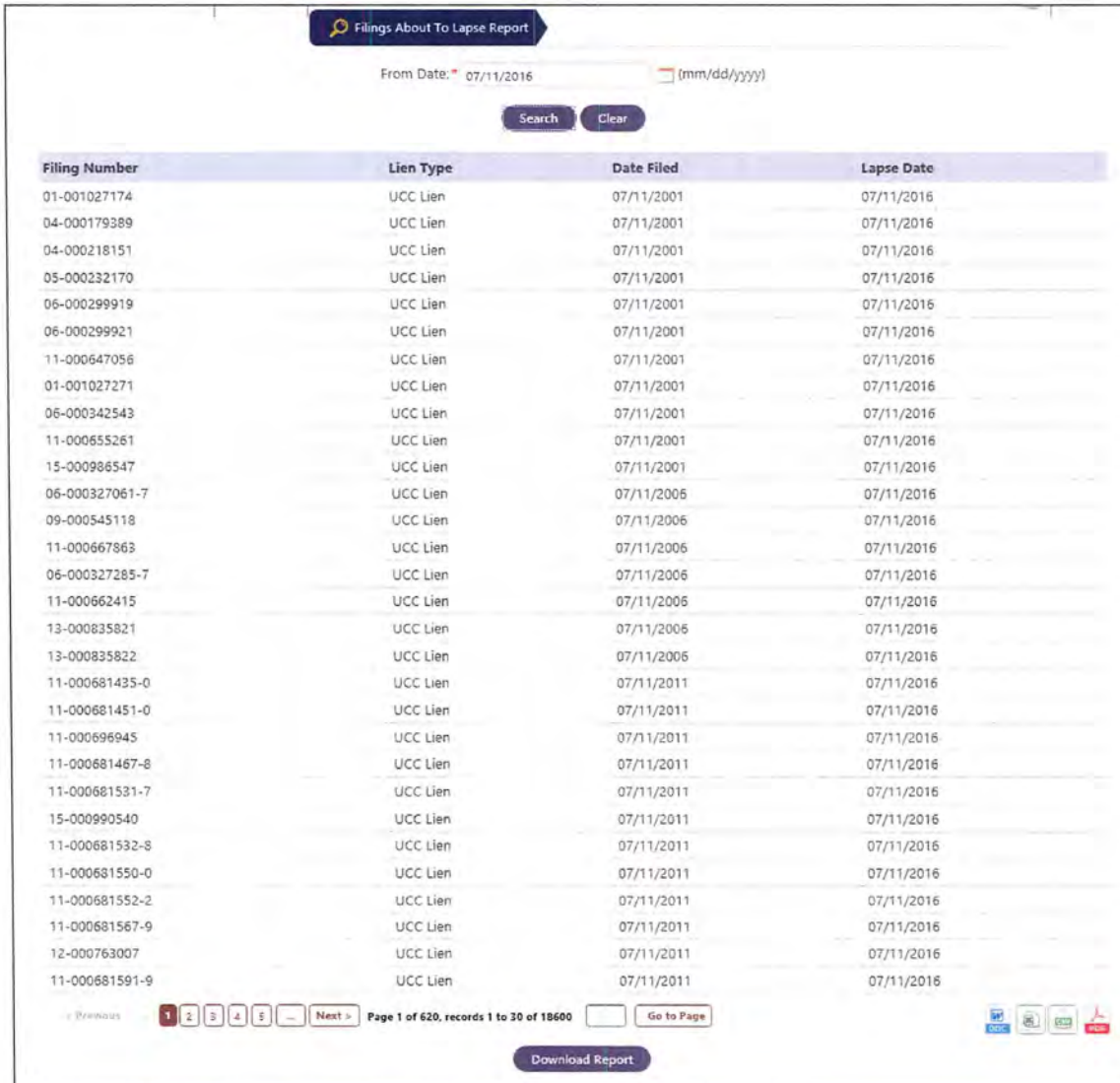


Figure 206. Filings about to lapse report.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate

UCC-8	**County Tax Filings, Payments, and Reports** Prepare daily filings for Federal and State Liens and Judgments filed for the day to send electronically to the respective counties. A. Arrange filings in numerical order under county of filing by numerical number. B. Use coversheet template to send all filings electronically to each respective county that has a filing(s) for the day. C. Enter county number, Register of Deeds, and number of pages on the coversheet template. D. By 3:00 p.m. daily send filings electronically to respective counties with receipt confirmation. Prepare County Tax Credit Statements on a monthly basis. Bidder should describe and show screen shots demonstrating how their system produces and displays Monthly County Tax Credit Statement. A. Preparation of monthly payment statements for Federal and State Liens and Judgments filed for the prior month are sent to the individual or multiple counties to verify their report. B. Provide monthly payment statements to SoS accountant needed to send payment of funds due to each county for their portion of the fees collected for the monthly filings via E1. (See Appendix J – Ancillary Databases and Derived Reports Item #3) Bidder should describe and show screen shots demonstrating how their system produces, delivers, and displays the tax filings per county and county tax credit statement.	X			

Bidder Response:
The system has the ability to automatically send filing information via email. This feature is usually used to send completed filings to online filers. However, the system can be modified to automatically send an email copy of the filing and receipt at the moment the filing is processed. The solution will be modified to hold a lookup table of email addresses for each county. The system will automatically send the required correspondence to the email address of the county of the first debtor on the filing. Once daily emails are preferred, the system can send all correspondence as a batch at the specified time.

The county fee report allows users to the payment of funds due to counties over a given time period. The report can be exported to Word, Excel or PDF.

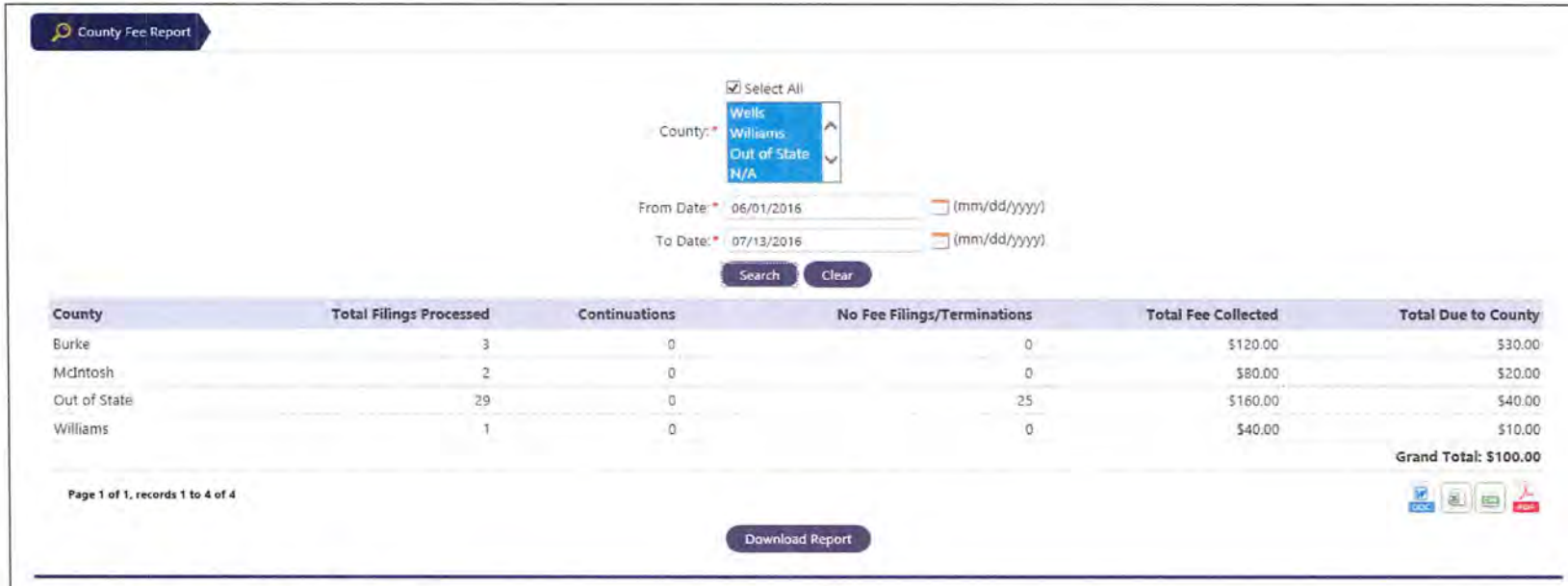


Figure 207. County fee report.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-9	**Charge Accounts and Payments** The system must accommodate: A. Automated Clearing House (ACH) for: 1. IRS 2. Department of Justice B. Inter Branch Transfer (IBT) for: 1. Revenue 2. Labor 3. Motor Vehicle 4. Various other state agencies The bidder should describe how their system is able to set up charge accounts, apply credit, send statements, receive funds, apply and track payments for ACH and IBT accounts for government or state agencies to	X			

	utilize when filing State and Federal Liens and Judgments.				

Bidder Response:
Although the solution can be modified to track running accounts, PCC recommends alternate forms of convenient payment for high volume filing customers. Running accounts puts unnecessary responsibilities on the State – aged accounts receivables, regular invoice correspondence, and delinquent payers are just a few.

Two alternate payment processes are recommended.

1) ACH payment process:

The solution can maintain the ACH information of customers who enter into an ACH contract with the State. ACH payments are used like any other, and can be used for both in-house and online customers. Online customers with an ACH account linked to their login are afforded one click payments at the end of each filing. In-house customers only need to maintain their unique customer ID, and provide that number with every filing they make.

The solution will generate a NACHA file, a format used to communicate bank transaction information. Whenever the master close out report is run (usually every evening), the system will upload the NACHA file to a participating bank which will then manage the transfer of funds directly between the customer's account and the State's.



Figure 208. Work order creation. Payment type.

Automated Clearing House can be used as payment on the in-house work order.



Figure 209. Payer search result.

The user will then search for a valid customer account. This can be done by name or by their unique customer ID number. The system will only allow accounts with active ACH credentials to be associated to a work order with an ACH payment.



Figure 210. Payment information and search or create payer.

With the payment entered and payer account with ACH enabled selected, the transfer will be included in the day's queue as soon as the work order is committed.

To enable a customer account with ACH payment privileges, the customer must first provide the State with their ACH account information and a signed contract agreement granting the State permission to charge the account directly. The customer must have already arranged to set up a basic account within the solution.

A user with the appropriate role privileges will search for the account in the customer maintenance screen.



Figure 211. Customer maintenance. Search customer.

After locating the correct account, clicking the edit icon brings up the "Edit Filing Privileges" pop-up.

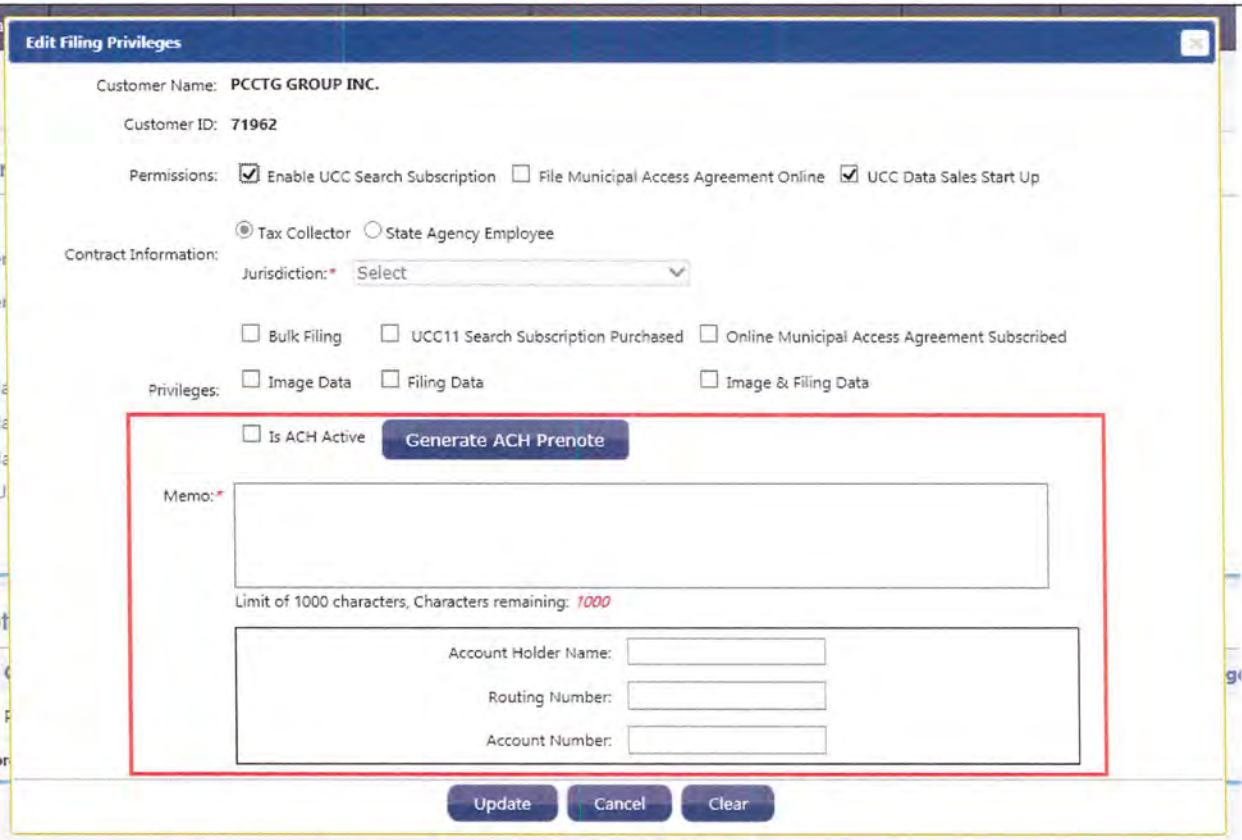


Figure 212. Edit filing privileges.

Only internal staff with sufficient privileges will be able to view or edit the information contained within the red box. These fields will be hidden to all other users.

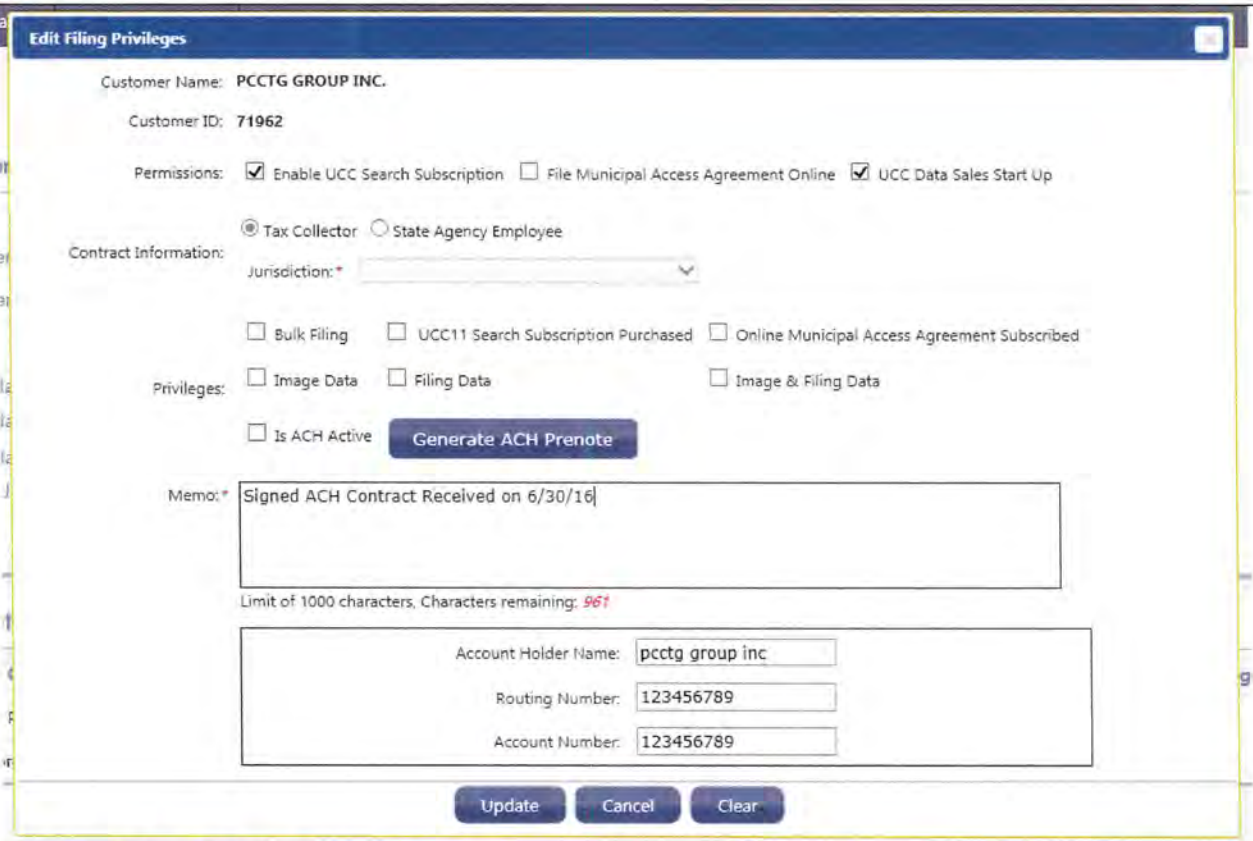


Figure 213. Edit filing privileges.

1) The user will enter in a memo indicating the edits they made to the account and their purpose.
2) The user will enter the customer's ACH information.
3) The user will click the "Generate ACH Prenote" button.
4) The user will click "Update."

Note: the "Is ACH Active" checkbox is not selected at this time.

The "Generate ACH Prenote" button will trigger the generation of a $0.00 pre-note ACH charge to the bank account that was entered into the fields. This is a way to validate that an account is valid. If the pre-note is accepted by the bank, and no notice or transfer failure alert is received from the bank within seven days of the pre-note generation, then the ACH privileges may be enabled.

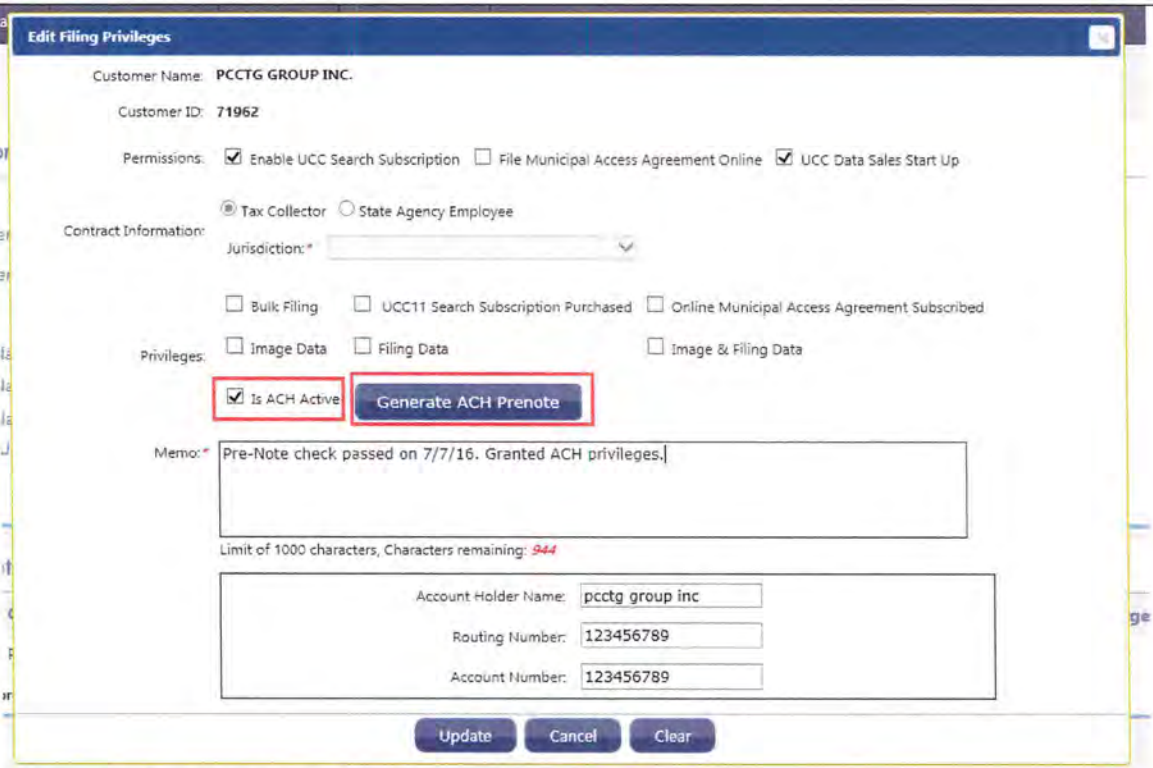


Figure 214. Edit filing privileges.

The user will then search and open the record for the customer. Now, the user will select the "Is ACH Active" checkbox and click "Update."

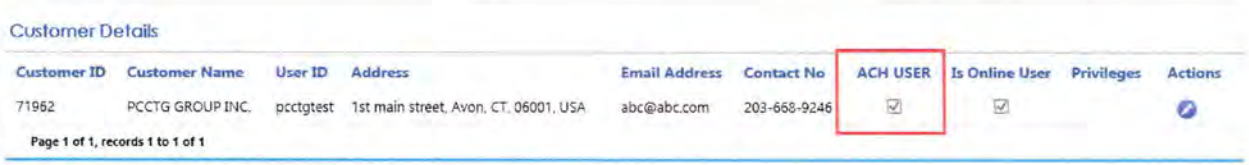


Figure 215. Customer details.

Once the pop-up closes, the customer account will now have ACH payment privileges, and ACH payments may be used on any work orders with this customer account associated as the payer.

2) External payment process:

The external payment process allows money transferred between State agencies to be receipted and used with the solution. A financial user with sufficient privileges will record an external payment with the amount of the funds transferred. The user will then receipt a credit balance transfer on that work order to associate the funds to an agency account. Processing users can later draw on those funds when they receipt the filing from the agency.

The external payment type is unique in that it add funds to the system's financial ledgers, but these funds are not communicated as being increased back to the State accounting system. This is due to the fact that the funds have already been received on the accounting, and this process brings both systems into balance.

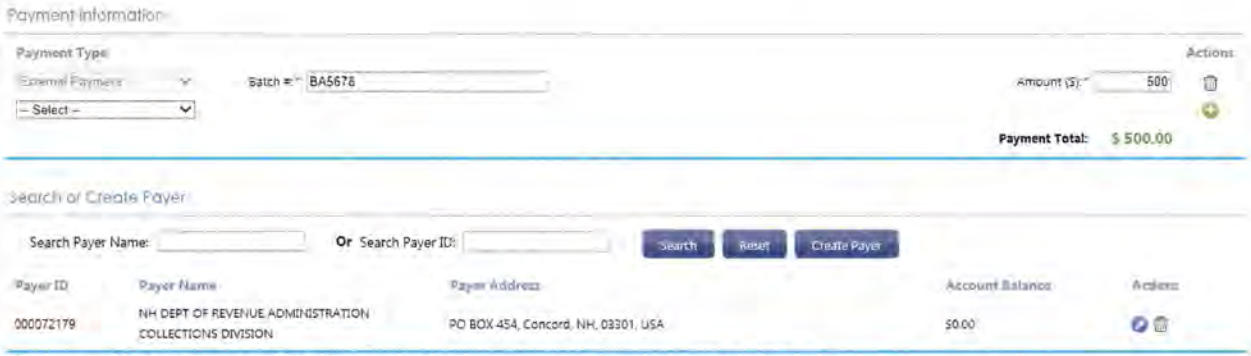


Figure 216. Payment information and search or create payer.

1) Create a work order.
2) Add a payment type of "External Payment."
3) Enter the transfer batch number and the funds amount in the fields provided.

Note: the external payment option will only be visible to users with sufficient role privileges within the system.

Then search and select the account of the State agency which transferred the funds.

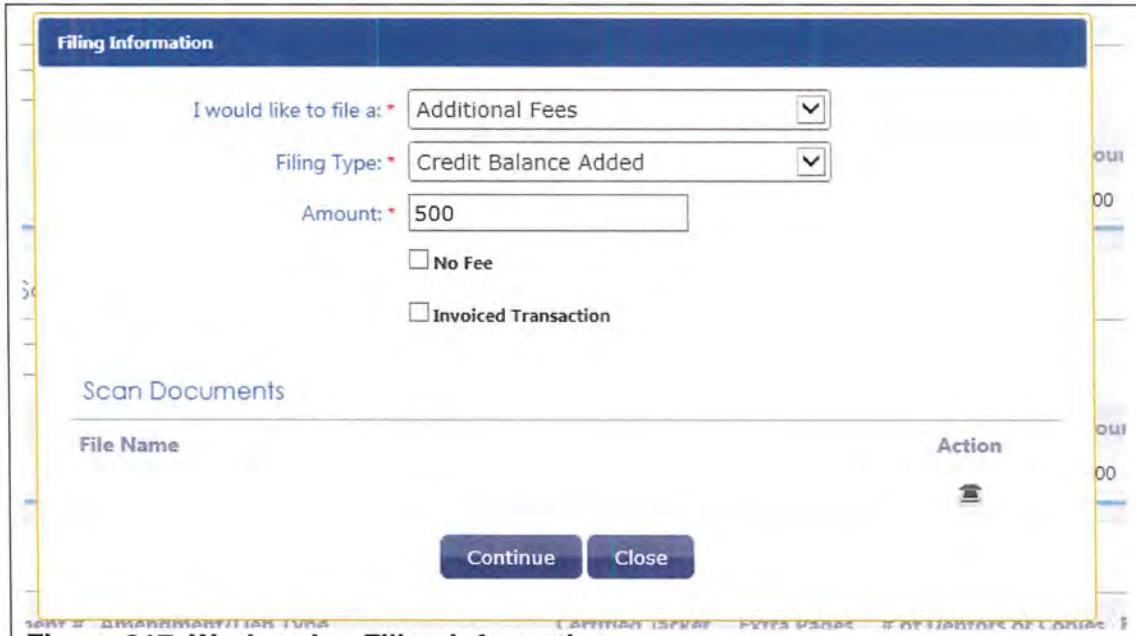


Figure 217. Work order. Filing information.

Choose a filing type of "Credit Balance Added" and enter the amount of the transfer.

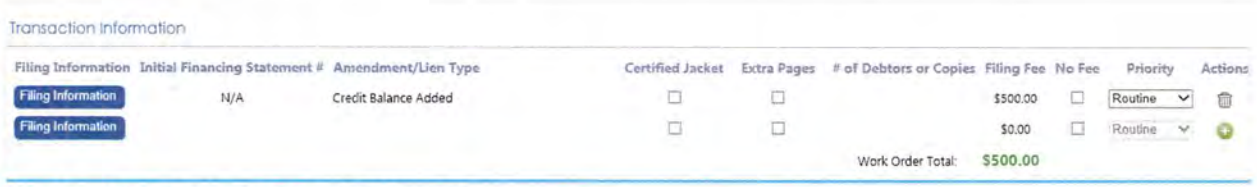


Figure 218. Transaction information.

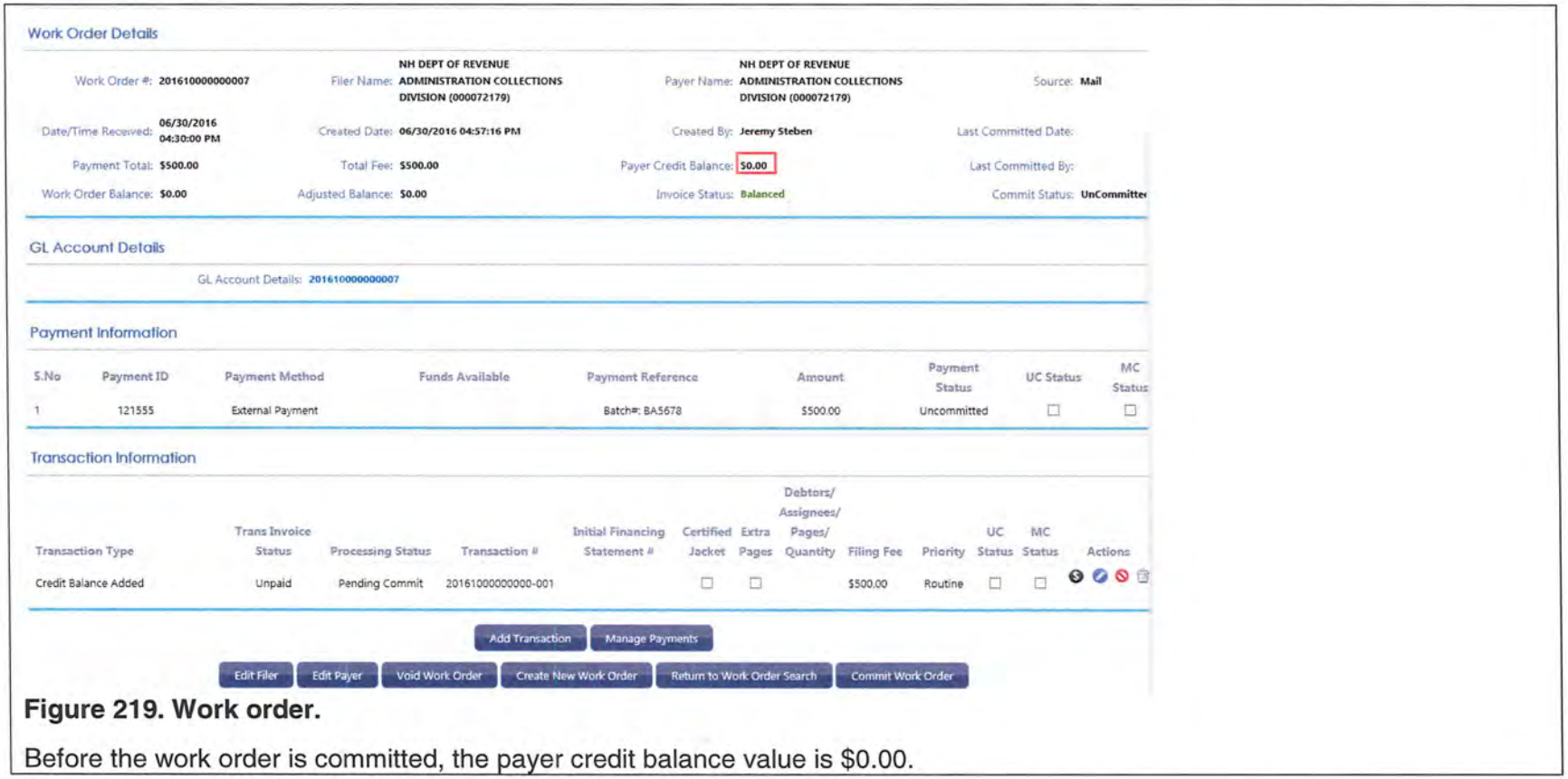


Figure 219. Work order.

Before the work order is committed, the payer credit balance value is $0.00.

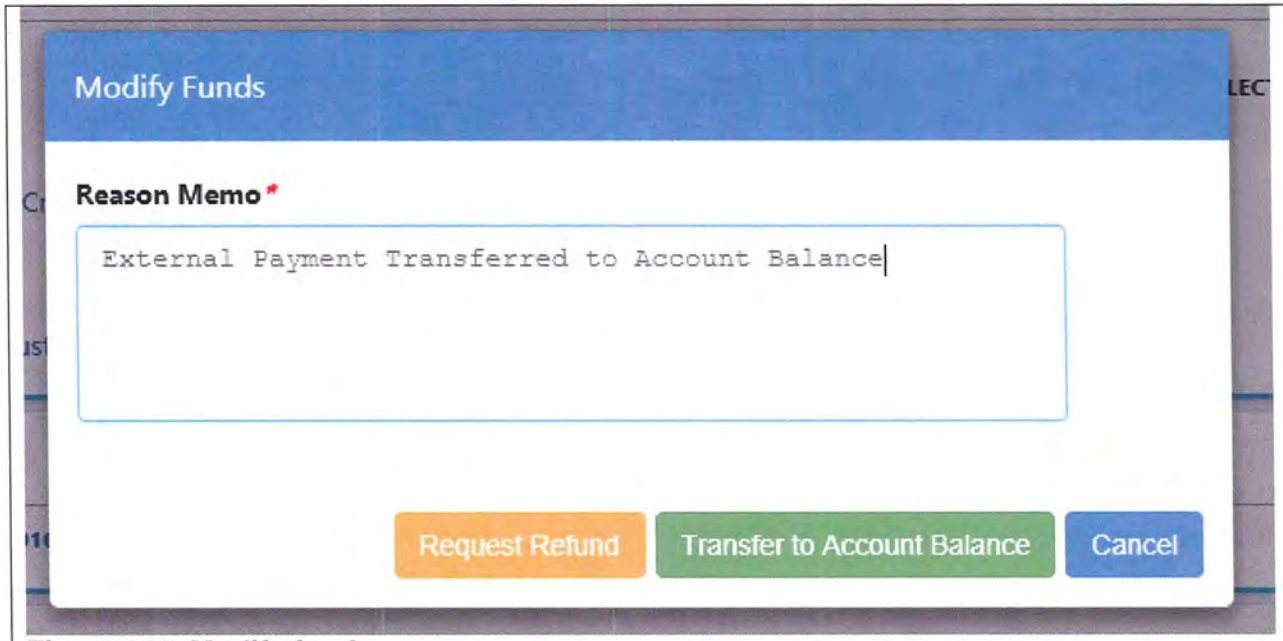


Figure 220. Modify funds.

Click on the "Modify Funds" icon, and select "Transfer to Account Balance."

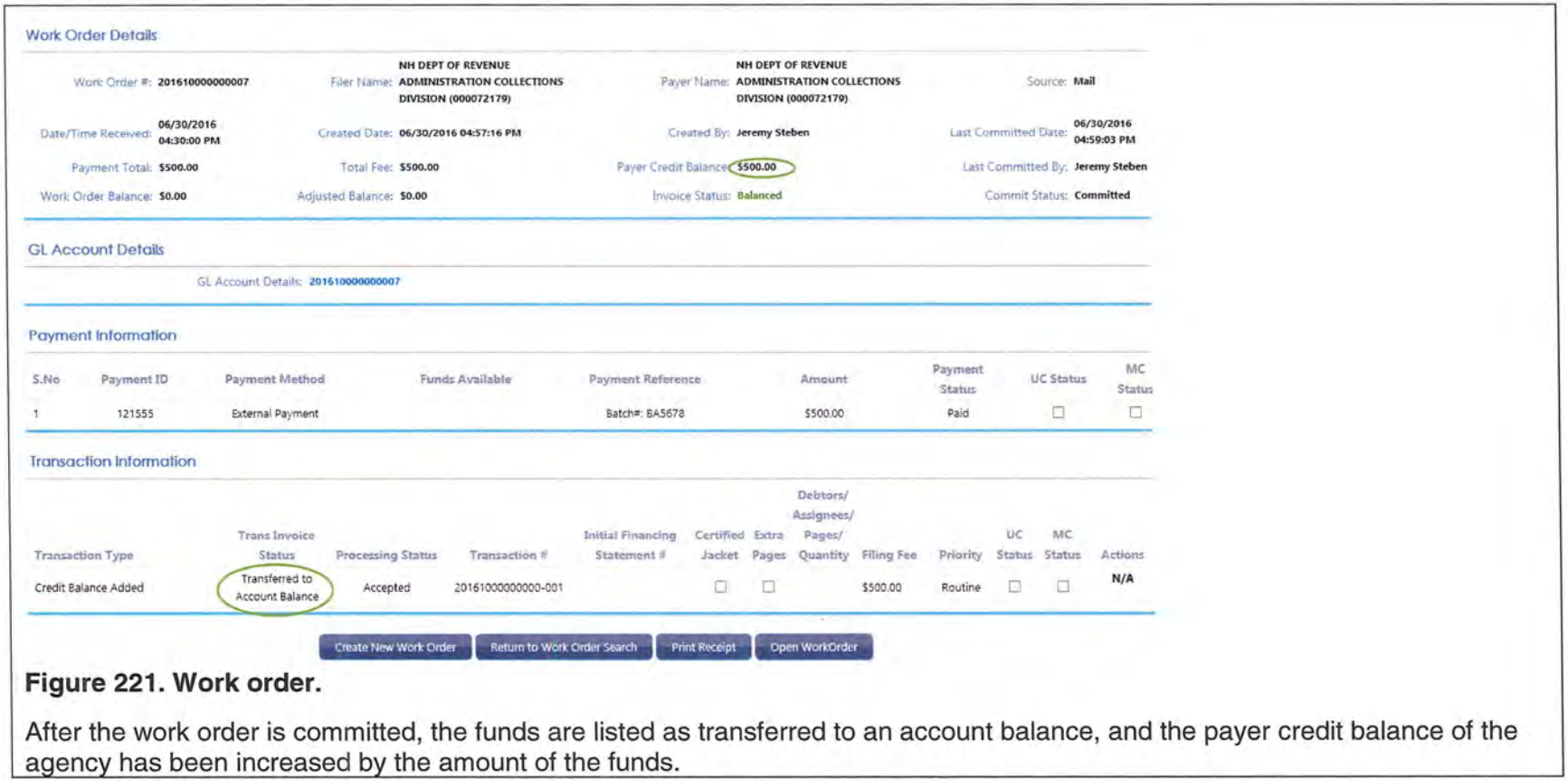


Figure 221. Work order.

After the work order is committed, the funds are listed as transferred to an account balance, and the payer credit balance of the agency has been increased by the amount of the funds.

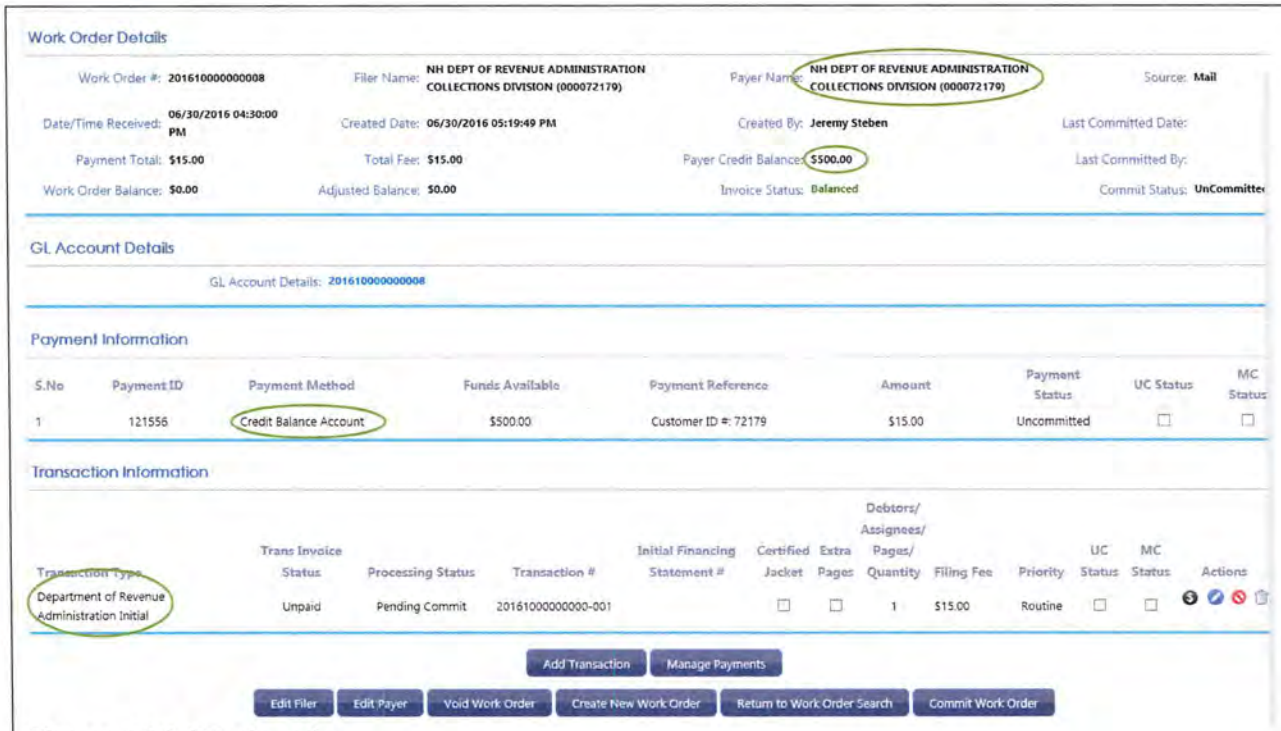


Figure 222. Work order.

When these funds need to be drawn from for a filing, the receipting user selects “Credit Balance Account” as a payment type to pay for filing fees. They system deducts the fees from the payer credit balance after work order commit.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-10	**Electronic Filer Agreement Process For Online Filing** Banks, law firms, large filing volume firms or other companies may register to become electronic filers. Currently we do not allow individuals to register for electronic filing. Filers submit agreement to our office for staff review and approval. Once approved agreement is sent to Nebraska.gov to set up charge account and then they notify customer of account approval and provide password. (See Appendix D, UCC Forms or EFS Forms folder, "Electronic Filing Services Agreement"). Bidder should describe how their system provides an Electronic Filer Agreement Process For Online Filing.	X			
Bidder Response: Currently the solution allows all users who create an account in the online portal to file UCC filings. However, a process flow exists by which State agency online users can electronically sign an agreement which will allow them to file UCC-11 search reports for free. The same basic process flow can be modified to instead allow online customers to electronically sign an agreement in order to have the privilege to pay for and file any UCC filings at all. The internal staff have control and approval over the entire process.					

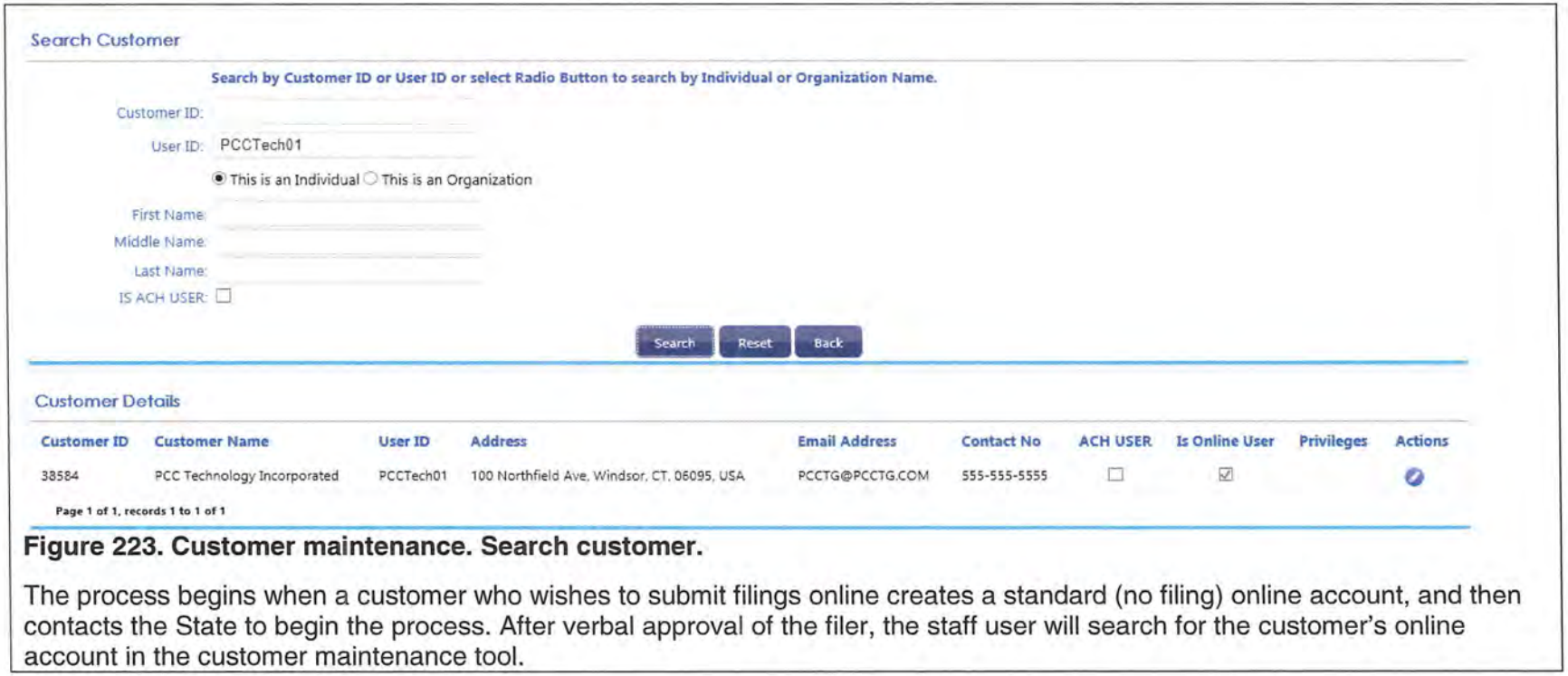


Figure 223. Customer maintenance. Search customer.

The process begins when a customer who wishes to submit filings online creates a standard (no filing) online account, and then contacts the State to begin the process. After verbal approval of the filer, the staff user will search for the customer's online account in the customer maintenance tool.

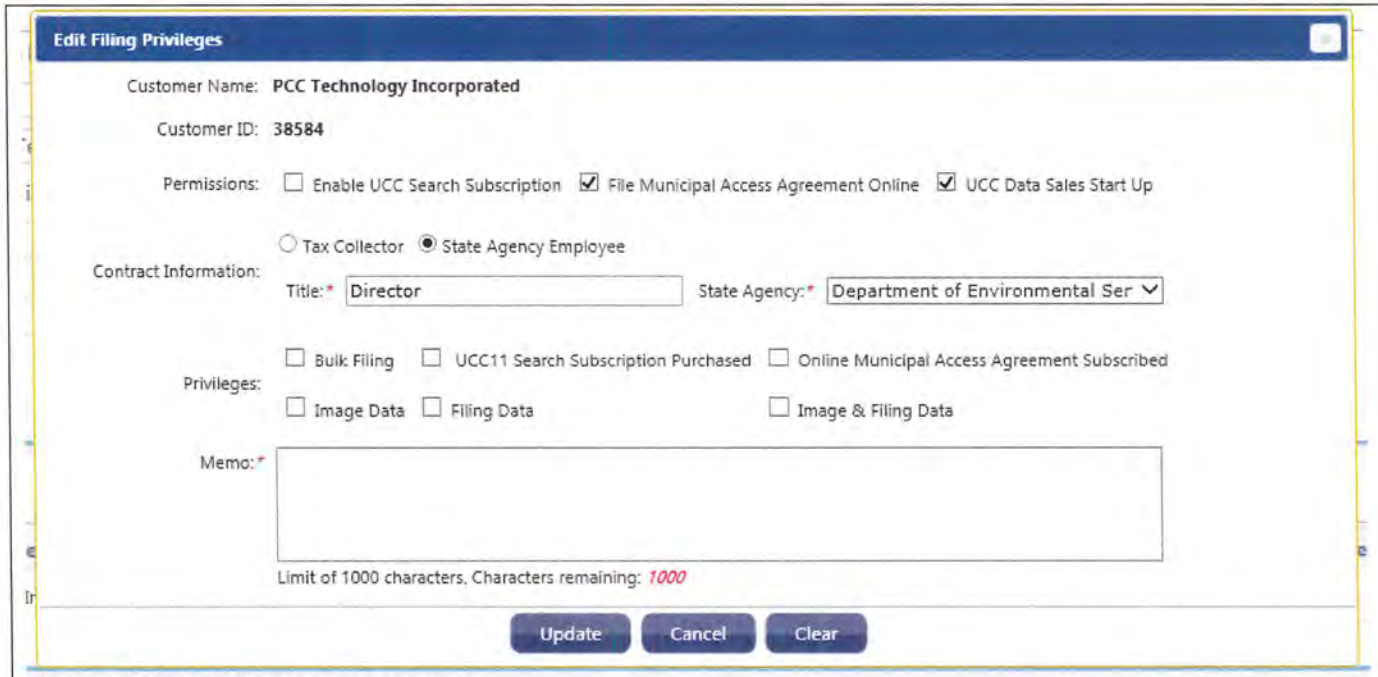


Figure 224. Edit filing privileges.

Opening up the customer account's record, the internal staff will check a flag that grants the online user access to the electronic agreement from the portal dashboard. In the existing solution, the relevant checkbox is the "File Municipal Access Agreement Online" checkbox.

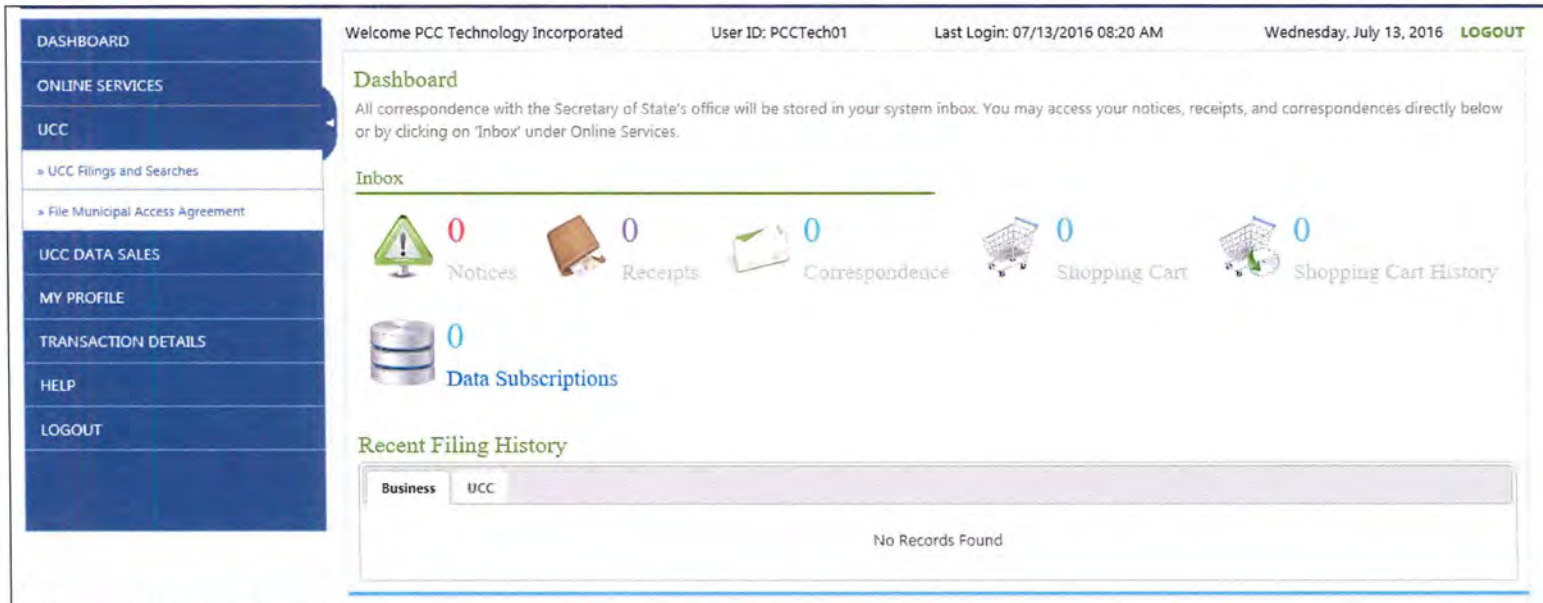


Figure 225. Dashboard.



Figure 226. Dashboard. File municipal access agreement.

Once the staff user adds that flag to the online account, the relevant functionality will now become accessible to the online customer.

This Agreement is by and between the New Hampshire Secretary of State, Uniform Commercial Code Division (hereinafter SOS) and **PCC Technology Incorporated, Director of Department of Environmental Services** (hereinafter "User" "You" or "Your"), and sets forth the terms for User access to the SOS SystemWorks UCC Database (hereinafter "UCC System" or "System"). Your use of the UCC System is conditioned upon your acceptance, without modification, of all provisions of this agreement. Any information accessed, requested or provided must be used in accordance with the provisions of this Agreement. SOS reserves any rights not expressly granted under this Agreement.

The right to access the UCC System is personal to the User and is not transferable to any other person or entity. User shall be responsible for protecting the confidentiality of User's password(s). You agree to notify SOS immediately if you become aware of the loss, theft, or unauthorized use of your password or unauthorized access to the UCC System.

User shall not offer to others any content of any kind retrieved from the use the UCC System for commercial purposes, or as part of a subscription service or similar arrangement. You agree that you will not use content of any kind retrieved from the UCC System to develop or create a database to be sold, leased, furnished or made otherwise available (either commercially or free of charge). You agree that you will not use, or allow others to use, any data mining or similar data gathering and extraction methods to monitor or copy the UCC database, or to make voluminous, excessive or repetitive requests for information. You may not modify, publish, transmit, participate in the transfer or sale, or in any way exploit, any of the UCC System data. You may access and use the data only in accordance with this agreement. Except as otherwise expressly permitted by law, no copying, redistribution, retransmission, publication or commercial exploitation of the UCC System will be permitted without express written permission of the SOS.

User expressly agrees that use of UCC System is at User's sole risk. SOS nor any of its respective employees, agents, or third party content providers warrant that the UCC System will be uninterrupted or error free; nor do they make any warranty as to the results that may be obtained from use of the System, or as to the accuracy, reliability or content of any information provided through the System.

SOS shall have the right at any time without notice or obligation to User to change or discontinue access to the UCC System. SOS shall have the right to immediately terminate User's access to the System in the event of any conduct by User which the SOS, in its sole discretion, considers to be unacceptable, or in the event of any breach by User of this Agreement.

This agreement is executed this __ day of _____, **20**_____ by its duly authorized representatives

Certify

* ☐ **By checking this box and continuing, each signatory certifies that the information provided herein is true, accurate, and complete to the best of his/her knowledge and belief, and that he/she has authorized the affixing of his/her electronic signature in accordance with the Electronic Signatures in Global and National Commerce Act (e-Sign) and N.H. RSA § 294-E. Further, each signatory understands that his/her electronic signature has full legal effect and enforceability and he/she intends this form, as signed, to be filed with the office of the New Hampshire Secretary of State.**

PCC Technology Incorporated	**Director of Department of Environmental Services**
NAME	TITLE

Figure 227. UCC system access agreement.

Accessing that functionality will present the user with an electronic, unsigned version of the filer agreement with verbiage indicating that checking the "Certify" check box will serve as a signature.

After checking the "Certify" check box, the online customer will click "Submit Contract," and the screen will close.

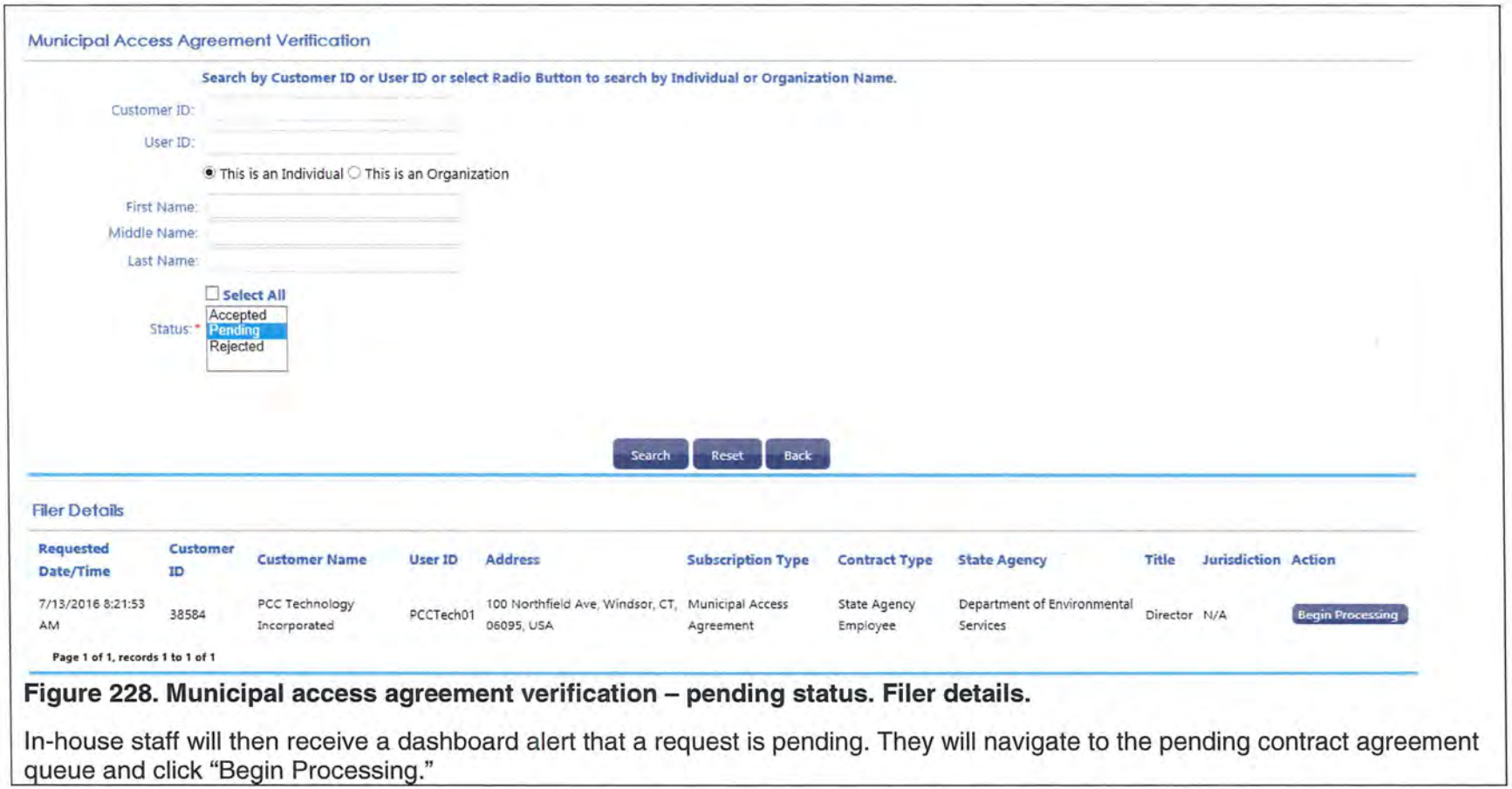


Figure 228. Municipal access agreement verification – pending status. Filer details.

In-house staff will then receive a dashboard alert that a request is pending. They will navigate to the pending contract agreement queue and click "Begin Processing."

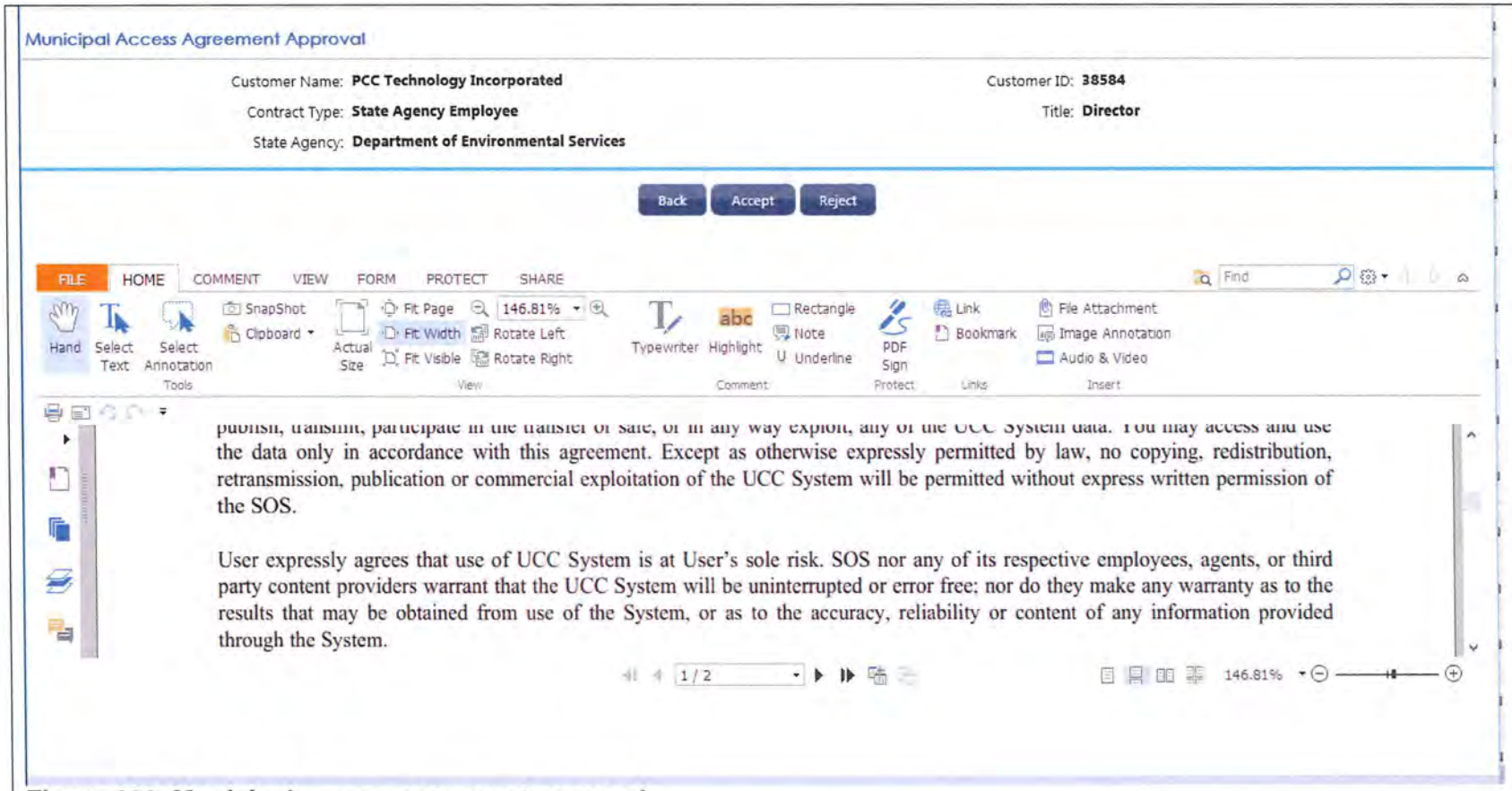


Figure 229. Municipal access agreement approval.

After again confirming that the account and the customer are eligible for access, the in-house staff user will click "Accept."

The system will then flag the online account as having filing privileges to file UCC filings from the online portal.

At that point, the system will impress an electronic signature image on the contract PDF, and email a copy to the online customer, along with a message that they now have filing privileges.

UCC-11	**Redaction** Documents stored in the image library may have PPI information. In that	**Yes**	**Customization Required**	**No**	**Alternate**

	case documents must be stored in both original format and redacted format. Only redacted images and documents without PPI information are made available to the public. Staff members need ability to review all pages of UCC Filings as this information may be contained in free form on additional pages or under collateral. Bidder should describe their system's ability to redact Personal Protected Information (PPI) such as: social security numbers, federal tax identification numbers or federal employer identification numbers (FTIN/FEIN), or financial account numbers on filings to prevent fraudulent usage of personal information.	X			

Bidder Response:

Manual search and redaction:

The system can be configured to allow for a manual process to search and redact a filing image after it has been processed. The user enters a filing number into the redaction search screen, and is then given the option to click the "Process Redaction" button.

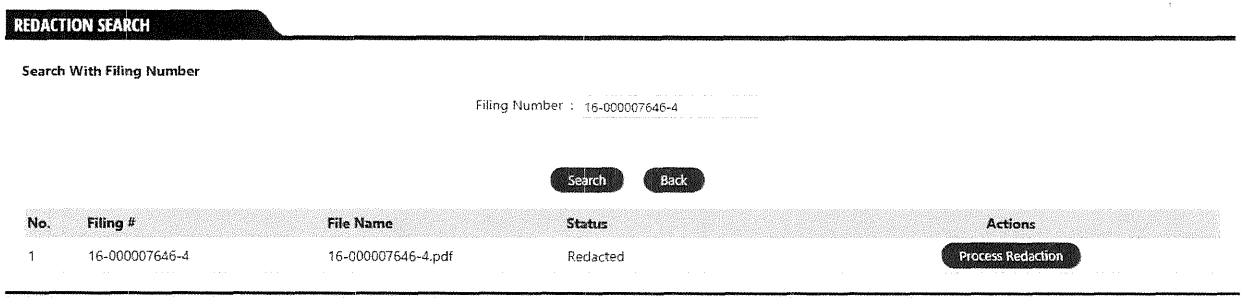


Figure 230. Redaction search.

A new screen opens where the user may apply obscuring black square shapes to the filing image. After the user applies all redactions and saves and exits the screen, the system will maintain two copies of the filing image: the original image and the redacted copy. The redacted copy will be returned to all public requests, be it a printout of a certified copy, or viewing the filing information on the online portal. The original copy will always be available for in-house recall, and will never be deleted, altered, or overwritten. New redacted versions of a document may be made at any time by applying new redaction information to a copy of the original filing image. The original filing image may also be approved for public use, and set to return in public facing reports.

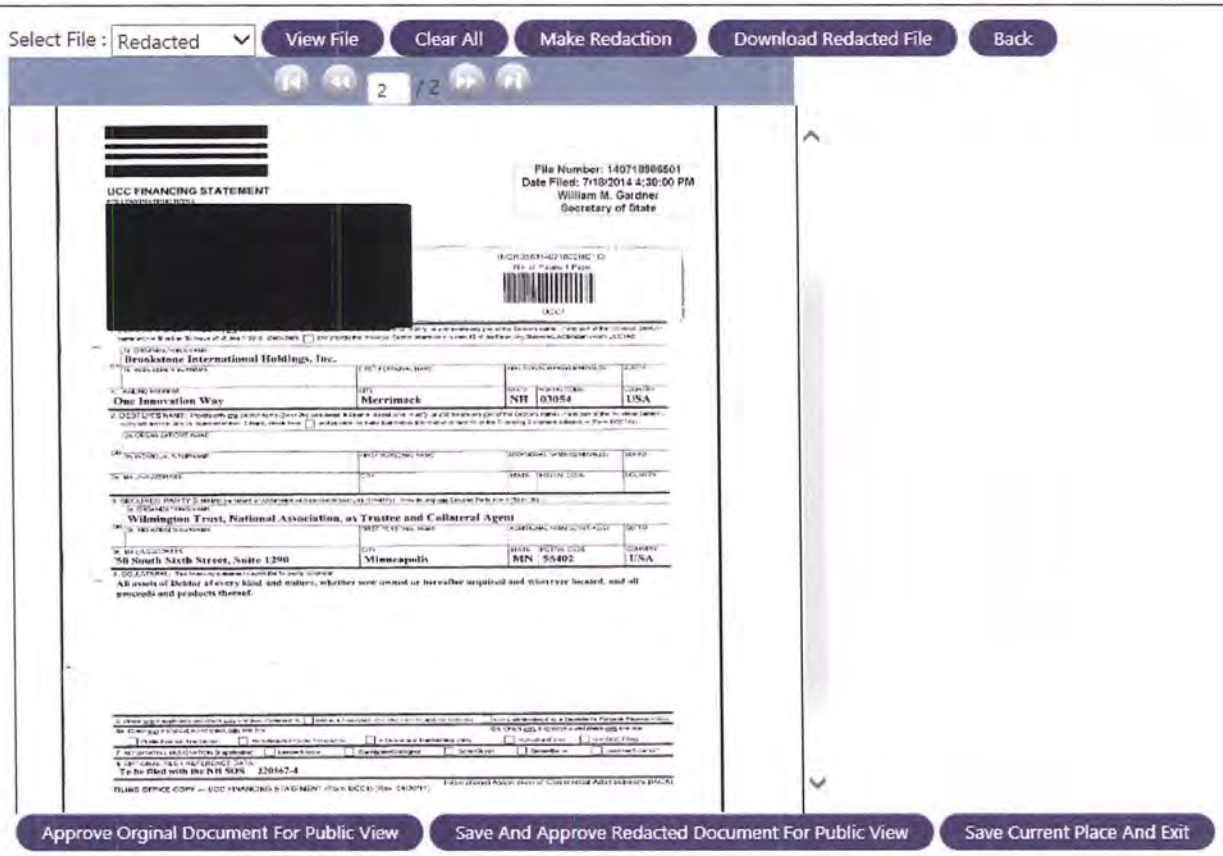


Figure 231. Filing redaction.

In-flow process redaction:
PCC will soon have the ability to configure the solution in such a way that the redaction screen can be entered before the filing process is completed. At the State's choice, one of the screens of the filing process flow will contain a "Redact Image" button that will open the redaction screen and load the scanned filing image of the filing currently being processed. The user will have the option to apply redaction information and save the redacted copy. When the filing process is completed, the system will produce and maintain two versions of the filing image: an original and a redacted.

TECHNICAL REQUIREMENTS – EFS Processes/Features

The EFS System must record, store, and retrieve information related to Effective Financing Statements (EFS) recorded by the Secretary of State. (Appendix G - Lien Types - Action Matrix for UCC & EFS Filings and Appendix H – UCC & EFS Lien Data Fields)

The filing categories of Original Documents; Amendments & Continuations; and Terminations (see Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings) will follow this general workflow.

Current Workflow – This Workflow provides an overview of the daily processing of EFS filings and applies to EFS-1 through EFS-6 below.

A. For filings received by mail (filings received via Document eDelivery are handled without staff involvement)
   1. Open mail
      a. Endorse check, verify money received and/or charge account number as indicated on filing.
   2. Review document for statutory and rules & regulations requirements then determine if a, b or c:
      a. If necessary route for supervisor review and determine next steps
      b. Accept and file
         i. Enter required information for lien type. (Refer to Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings and Appendix H – UCC & EFS Lien Data Fields) Fund and object codes need to be applied to the fees at the time they are entered into filing system with the capability to split into 2 or more funds for the deposit. (Refer to Appendix F – Accounting Codes and Filing Fees)
         ii. Enter the filer client information provided or search name in the filer client table to populate the filer information with the option of entering the account number in the job window. System has ability to add additional certifications, copies, attachments, searches, miscellaneous fees, buyer registration fees, or make corrections, edit, or delete any fees as needed. (Refer to Appendix D – Certificates, Forms, and Templates. Start with OPEN ME FIRST document for explanation of folder contents and usage.)
         iii. Receipt fees by check, cash, coin, or charge account number.
         iv. Commit job which will generate, save, and print acknowledgment(s) by default, with the option to not print.
         v. File Stamp filing (see RTM CB-2)
         vi. Send for scanning
         vii. Return acknowledgement to filer along with copy, if provided
         viii. The system will assign a unique batch number to each staff member. Jobs are recorded in batches from a job window. Batches are totaled and reconciled for deposit.
         or

c. Decline and reject
    i. Create rejection letter via Word template within the system.
    ii. Return document with letter and fees.

B. For filings received via Document eDelivery on the SoS website– there is currently no staff review; however, we are adding administrative online review capabilities via Nebraska.gov for EFS Amendments or other filings as needed that need staff review prior to filing.

C. For all changes or correspondence (e.g., filings, letters, staff or system-generated updates, automated interface updates), create audit trail records containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate).

D. Balance Receipts and Reconcile each Batch at End of Day

E. Review of Filed Records (normally performed day of deposit; however, may be done at any time.)
    1. Delete a record or job after a filing has been committed prior to posting the batch.
    2. Delete a record after the batch has been posted.
    3. Discard a filing number at the time of filing, or after committal, but prior to posting the batch.

F. The following day, batches are totaled and prepared for deposit, then sent to the accountant for PFC deposit. See RTM CB-5.

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-1	These criteria apply to the filing types Originals, Amendments & Continuations, Terminations and any other subsequent actions. (See Appendix C – Statutes and Rules & Regulations, EFS, Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings, and Appendix H – UCC & EFS Lien Data Fields). For each search, create an audit trail record containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate). The following search criteria must be available in the system in order to look for existing records on file for the following categories. A. **ModName Calculation** 1. **Individuals** a. Individual debtors must be explicitly identified as individuals. b. The individual name may contain first, middle and last elements. c. Convert each element of the name (first, middle, last) to uppercase. d. Remove punctuation, accent marks and spaces. Only characters A-Z and digits 0-9 are valid. e. Concatenate the last, first and middle names with the "|" character as a separator. For example, "John A. Smith" would be stored as "Smith|John|A" 2. **Organizations** a. Organization debtors must be explicitly identified as an organization. b. Convert the name to uppercase. c. Replace "&" with "AND". d. Remove punctuation and accent marks. Only characters A-Z	X			

	and digits 0-9 are valid. Note: Any character not in the list of valid characters is replaced with a space (" ") character. e. Remove multiple consecutive spaces which may have been left as a result of the previous step. f. Remove ending noise words as defined in NAC Title 436, Chapter 5. g. Remove any occurrence of "THE" at the beginning of the name. h. Remove all remaining spaces. B. **Non-Standard Wildcard + Soundex Search (EFS)** 1. Must designate debtor as Organization or Individual 2. Create a search value using the "modname" algorithm. 3. Insert a wildcard character at the end of the First and Middle names **(but not the Last name)** in the calculated search value. From example above, the search new value would be "Smith|John%|A%". 4. Create a "soundex" value from the search value while keeping the wildcard characters intact. From the example above, the soundex value for the search value "Smith|John%|A%" would be "S5325%45%". 5. Search *EFSDebtor* table using a LIKE search of the DebtorNameSoundex column. 6. When searching for liens the system must return all debtors associated to each lien and indicate multiple debtors on liens by a common indicator. 7. The search report will show all debtors/secured parties associated with each lien. 8. Only active records are searched. C. **EFS Search – Internal Search Only** For an "EFS" search, the following rules apply. 1. For a search for individuals, a value must be specified in the "Last Name" textbox else the "Find" button is disabled. 2. All individual data elements (Last, First, Middle and Organization names) are converted to their ModName equivalent before searching.				

	3. When the Soundex option is selected, the Soundex value is calculated from the corresponding ModName value. 4. **EFS Liens: Default options specified; Wildcard = yes, Soundex = yes** a. **Debtor name** **i. Individual** a) LastName **only** has a wildcard appended if the FirstName and MiddleName values are both blank. b) FirstName **always** has a wildcard appended. c) MiddleName **always** has a wildcard appended **ii. Organization** a) OrganizationName always has a wildcard appended. 5. **Debtor Name – Internal Search only** Search for EFS debtors matching the specified name. The searcher may choose to return Active (record where lapsed date has not yet occurred), Lapsed (record where lapsed date has occurred in the prior 365 days) or Inactive (record where lapsed date occurred over 365 days) liens associated with the debtor(s) returned. 6. **Additional Search Options – Internal Search only** a. Limit to liens filed within a specific Date Range. b. Limit to liens filed by a debtor who resides in a specific City. c. Limit to liens filed by a particular Secured Party. i. Wildcard: For individuals, a wildcard is added to the end of the First Name and Middle names and the Last name if the First and Middle names are blank. For organizations, a wildcard is added to the end of the Organization name. ii. Soundex: Performs the search using the Soundex encoding of the ModName of the individual or organization. iii. Soundex + Wildcard: If both options are selected then a wildcard character is appended to the Soundex value of an Organization ModName. For individuals, the Last, First & Middle ModNames are individually converted to a Soundex value and a wildcard				

	character is the appended to the end of each. The First and Middle name Soundex values then have their initial alpha character removed to keep in line with the standard Soundex encoding algorithm. The individual Soundex values are then concatenated together and any consecutive digits on either side of the wildcard characters are removed to keep in line with the standard Soundex algorithm. iv. Any combination of Active, Lapsed or Inactive lien status may be selected. 7. **Debtor UIN – Internal Search only – Internal Search only** Searches "EFSDebtor" table for debtors having an exact match of the Debtor UIN specified. 8. **Additional Search Options – Internal Search only** a. Limit to liens filed within a specified Date Range. b. Limit to liens filed by a debtor who resides in a specified City. c. Limit to liens filed by a particular Secured d. Party. **e.** Any combination of Active, Lapsed or Inactive lien status may be selected. 9. **Secured Party Name – Internal Search only** a. The Secured Party search functions similarly to the Debtor Name search of UCC Liens described above with the following differences: b. Searches are conducted against the SecuredParty table vs. Debtor table. c. All lien classes (except "UCC") are searched. d. The lien classes are all searched in the same manner. There is no special handling for "Tax" or other lien classes. 10. **Original Document # – Internal Search only** Searches the "EFSLienMaster" table for a matching original document number. The search is an exact match on the specified document number				

	11. **Document # – Internal Search only** Searches the "EFSActions" table for liens having an exact match to the specified document number. A second search is then conducted to retrieve detail data from the LienMaster, Debtor and Secured Party tables for each lien returned in the first search. 12. **Find Old Term – Internal Search only** Find Old Terminations – This internal search looks for original document numbers and actions relating to it from the "EFSActionsArchived" table. The filing data stored in this table is from EFS filings that were terminated from a previous system and isn't incorporated or easily searchable in the current system. 13. **Job History Search – Internal Search only** a. Job # - Finds jobs that match the specified job number. i. Wildcard Implied ii. Insert OR b. Filer/Client Name (Individual/Organization) – Finds jobs that match the specified Individual / Organization. i. Wildcard Implied ii. Insert OR c. Billing Acct ID – Finds jobs that match the specified Billing Acct ID. d. Original Document # - Finds jobs that match the specified Document Number. 14. **Filer/Client Maintenance - Internal Search only –** This form lists every filer entered into the FilerClient table. This table holds filers who conduct frequent business and their name & address information are maintained for quick selection and entry into the job window. a. Name – This will locate the first occurrence of the entered name within the list. b. AcctID – This will locate the first occurrence of the entered Acct ID within the list. Note that the Corporation application does not utilize Billing Acct Numbers so this type of search doesn't apply.				

	Search Logic For additional search criteria see Appendix K – Reports and Additional Information – Search Logic Spreadsheet. **Soundex** This is the standard Soundex encoding algorithm as described here: https://en.wikipedia.org/wiki/Soundex. The EFS encoded value is carried out to 8 characters vs. the standard 4 characters. The system calculates and stores the Soundex encoding of the ModName value. The system must be able to provide a unique search report identification number which identifies the search report done internally or online. The search request declaimer page must provide the previous day at 5:00 PM as the 'through date and time' along with disclaimer and filing officers name. The system must have an override function to change the 'through date and time'. Annual process – The system must allow elimination of anything that does not have exact match of first and last name. The remaining names will be displayed and included in the search results. Effective Financing Statements- (See Appendix H – UCC & EFS Lien Data Fields) The system must provide an API for the external calling of the search modules from Nebraska.gov. The search in EFS replaces "&" by "and", as defined per Administrative Rules for Article 9, Title 436, Chapter 5, 503.1.3. Only Active filings and imaged documents will be retrieved. The user must indicate whether the debtor is an Individual or Organization. The bidder should describe and provide screen shots showing their system's name search processes, and retrieval of existing records, emphasizing how the proposed system will improve the current process.				
Bidder Response:					

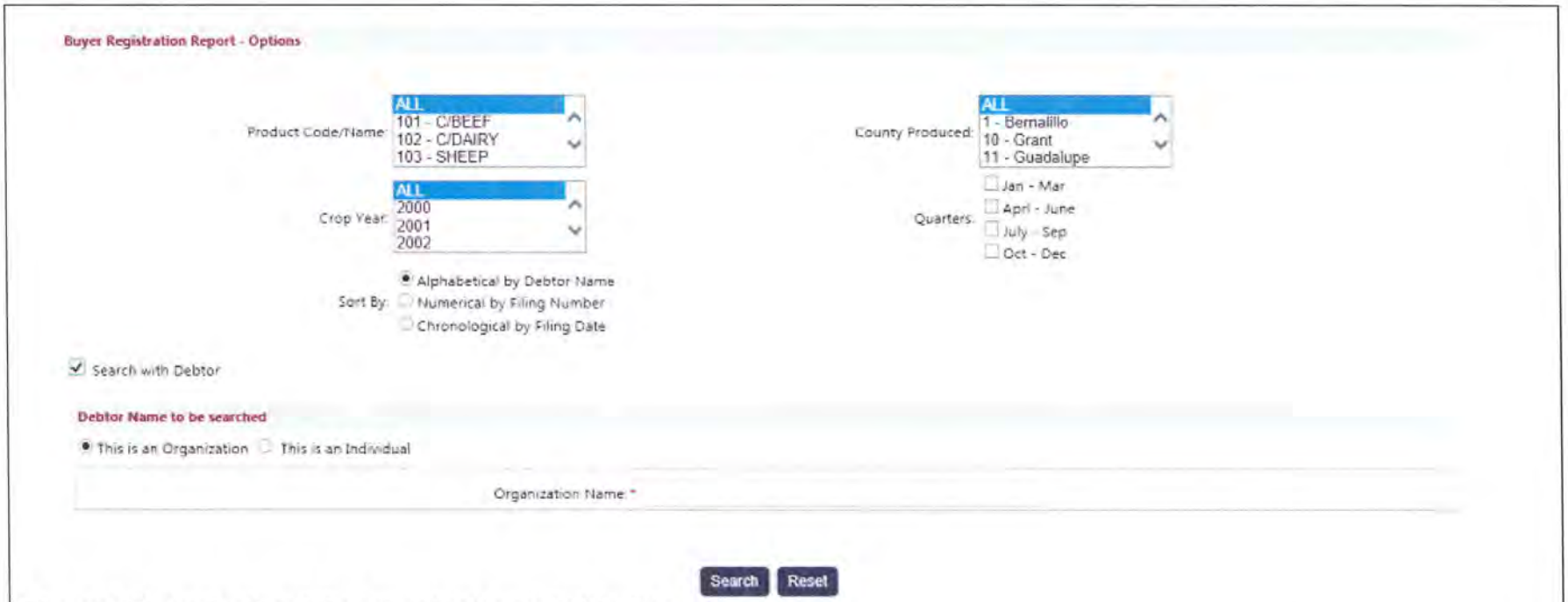


Figure 232. Agricultural lien standard search (ModName).

When the "Search with Debtor" checkbox is selected, the system displays text fields to enter either an individual or organization type debtor name. When populated, the system will perform a search using the same logic as Revised Article 9 search logic but also allowing for refinement by agricultural lien specific search criteria.

Name match results from this type of search are currently returned in the following format, which is identical to the format of the master lien list reports, except the system is only returning matches on the debtor name.



REPORT FOR AGRICULTURAL LIEN NOTIFICATION

7/13/2016

Date searched: 7/13/2016

By: raghu.chandra

Search Criteria: Quarters: ALL
Name = Not Specified
Products = 204 - COTTON
Product Years = ALL
Product Counties = ALL
Sorted By = Debtor
Include Terminated or Lapsed =False

File Number	File Date	Lapse Date	County	Year	Product
20080015955G	08/18/2008	08/18/2018	Chaves	ALL	COTTON

Filing Type: EFS
Original File Number: 20080015955G

Debtor: 4B Pecan Farms
742628390
6225 Baker Road
Roswell, NM
88203 USA

Secured Party: The First National Bank
Roswell Banking Center
PO Box 1857
Roswell, NM
88202-1857 USA

File Number	File Date	Lapse Date	County	Year	Product
20150009492A	05/26/2015	05/26/2020	Luna	ALL	COTTON
			Dona Ana	ALL	COTTON

Filing Type: EFS
Original File Number: 20150009492A

Debtor: Adams Produce, Inc.
850357980
PO Box 630
Hatch, NM
87937 USA

Secured Party: Production Credit Association of Southern New Mexico, a wholly owned subsidiary of Farm Credit of Ne
PO Box 1537
Roswell, NM
88202 USA

File Number	File Date	Lapse Date	County	Year	Product
20140003306M	02/27/2014	02/27/2019			

Figure 233. Report for agricultural lien notification.

In addition, agricultural liens may be searched in the standard UCC in-house search, and may be filtered out from the other lien types. In Figure 234, the FSA radio selector (Food Securities Act, or EFS liens) may be selected, in which case only EFS liens will be returned in the search results.

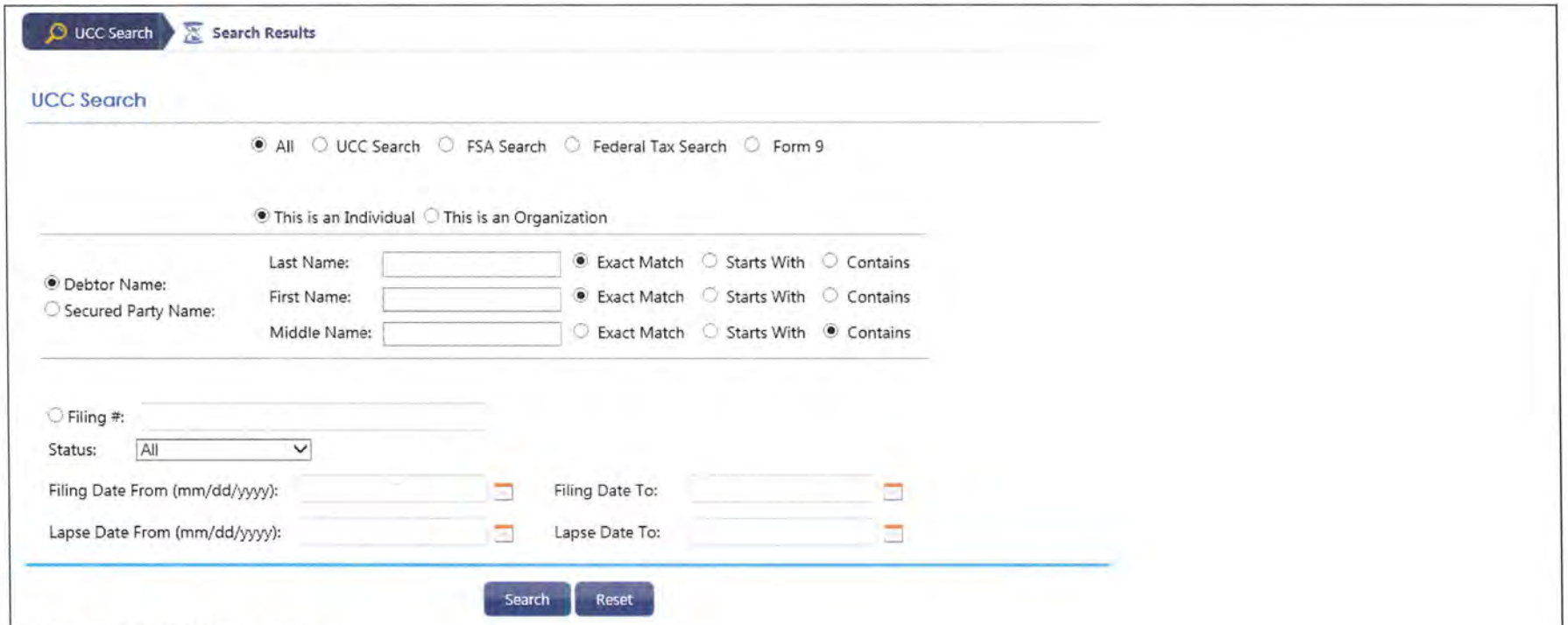
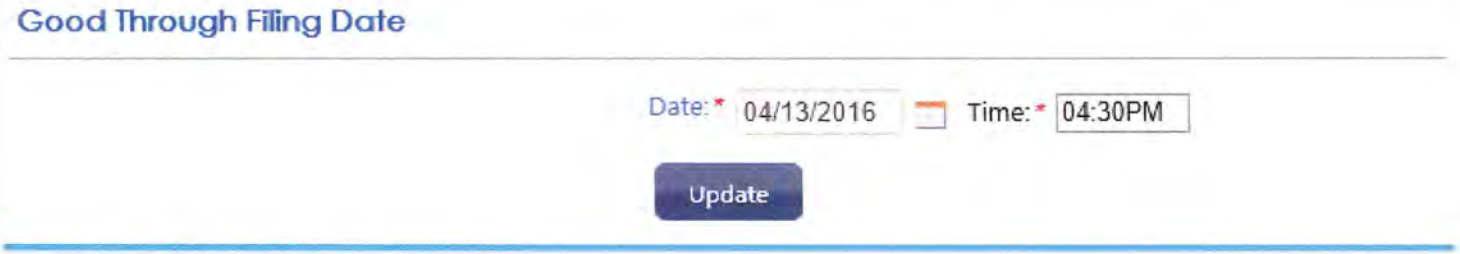


Figure 234. UCC search.

Additional search criteria requirements can be captured during gap analysis and integrated into the solution.

The solution allows in-house staff to manually update the "Good Through Filing Date" which is displayed on all search reports.



Good through filing date.

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-2	**Unique Identifier Number** Current process The unique identifier number (UIN) is a ten digit number derived from a combination of letters taken from the individual or organization name, coupled with the last four digits of the debtor's social security number or federal tax identification number. (See Appendix K – Reports and Additional Information, "Unique Identifier Number" and "Federal Register Notice for UIN") The current system generates and returns the UIN, which is created from data entered for paper filings and in online filings for all EFS and subsequent actions. Nebraska.gov passes information to the system which generates and returns a UIN back to Nebraska.gov. The UIN is accessible on our website and is also used to generate and/or look up a UIN for paper filers. The UIN is captured for use in the filing, and is also printable for customers if they so choose. A UIN has been generated for all existing debtors in the system. The system stores new UINs for debtors in the system upon filing, and the UIN appears on EFS search results and on the Master Lien list. Bidder should describe and show their process for creating the unique identifier number (UIN), showing how information is communicated via API between SoS and the portal.	X			
Bidder Response: PCC has experience in generating various forms of unique identifying numbers. The system will be modified to generate a uniquely identifying number using the algorithm that is currently being used. Furthermore, the API layer will be developed so that all clients can use this ten digit number to uniquely identify an individual or organizations.					

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-3	**Original Filings** Original Filings are filed with the Secretary of State. All lien types and action codes can be found in Appendix G - Lien Types - Actions Matrix UCC & EFS labeled as Originals. See Appendix H – UCC & EFS Lien Data Fields, and Appendix C – Statutes and Rules & Regulations. Statutory Requirements for Originals can be found in Appendix C – Statutes and Rules & Regulations. Review and Enter Filing Data A. Accept and file 1. Enter required information for filing. (Refer to Appendix G a. Check for a Debtor and Secured Party data b. Status becomes active 2. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees) 3. Commit job 4. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings 5. File Stamp filing (see RTM CB-2) 6. Generate letter including explanation of correction and Acknowledgement of Filing. See RTM CB-3 7. Send for scanning B. Decline and reject Return document with rejected system generated letter and fees if collected. Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or an explanation. Allow selection of multiple reasons. Create	X			

	rejection notice as indicated in RTM CB-3 C. Allow ability to correct Original filing and create audit trail. The bidder should describe and provide screen shots showing how their system handles Original filings and emphasizing how the proposed system will improve the current process.				

Bidder Response:
Note: In the following screenshots/figures, "FSA" stands for "Food Securities Act" and is synonymous with EFS liens.

The EFS filings flows functions exactly the same as the UCC filing flows described earlier in this document, with the addition of a collateral maintenance screen for recording EFS collateral.

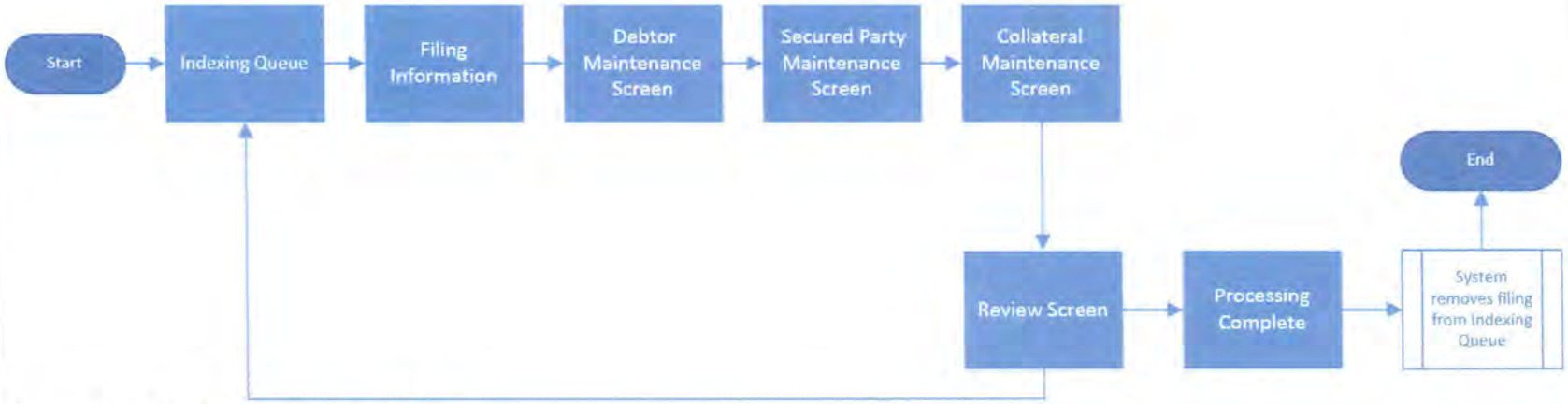


Figure 235. Indexing process flow.

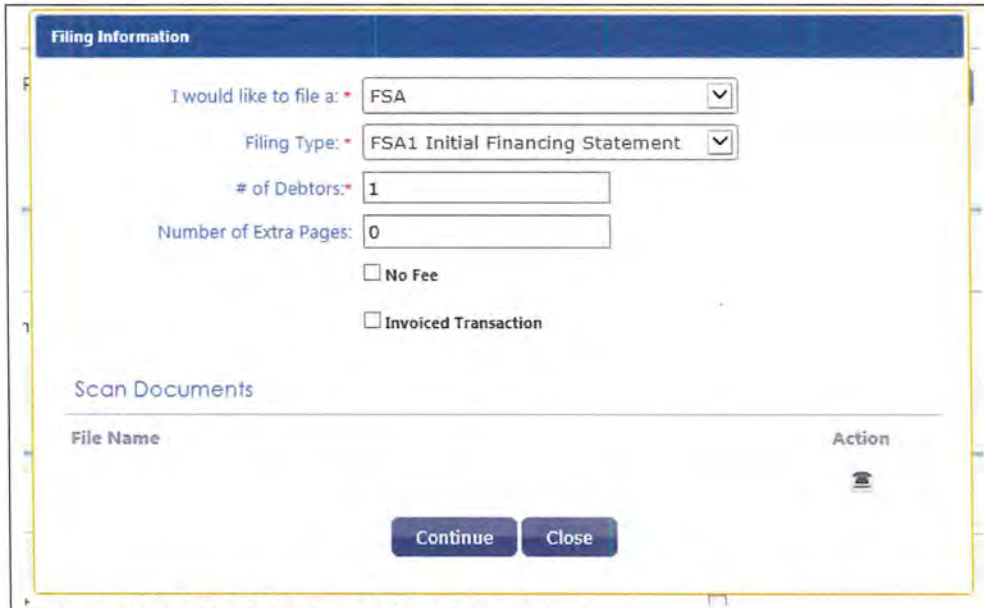
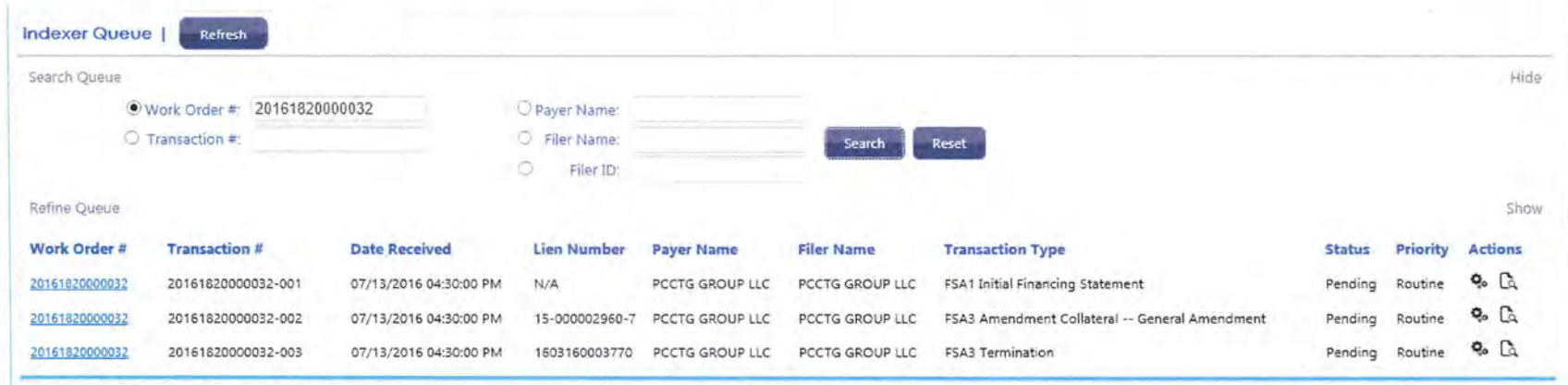


Figure 236. Work order. Filing information.

EFS filings are created in the work order creation screen via the filing information pop-up. Dropdown selections allow the user to choose the agricultural lien type (FSA) and the specific filing type.



Work Order #	Transaction #	Date Received	Lien Number	Payer Name	Filer Name	Transaction Type	Status	Priority	Actions
20161820000032	20161820000032-001	07/13/2016 04:30:00 PM	N/A	PCCTG GROUP LLC	PCCTG GROUP LLC	FSA1 Initial Financing Statement	Pending	Routine	
20161820000032	20161820000032-002	07/13/2016 04:30:00 PM	15-000002960-7	PCCTG GROUP LLC	PCCTG GROUP LLC	FSA3 Amendment Collateral -- General Amendment	Pending	Routine	
20161820000032	20161820000032-003	07/13/2016 04:30:00 PM	1603160003770	PCCTG GROUP LLC	PCCTG GROUP LLC	FSA3 Termination	Pending	Routine	

Figure 237. Indexer queue.

Similar to UCC and all other lien filings, EFS liens are routed to the indexing queue upon work order commit.



Figure 238. Filing information. Confirm filing type.

On the first screen of the processing flow, the filing information screen, the user is asked to confirm the filing type after reviewing the displayed scanned filing image.

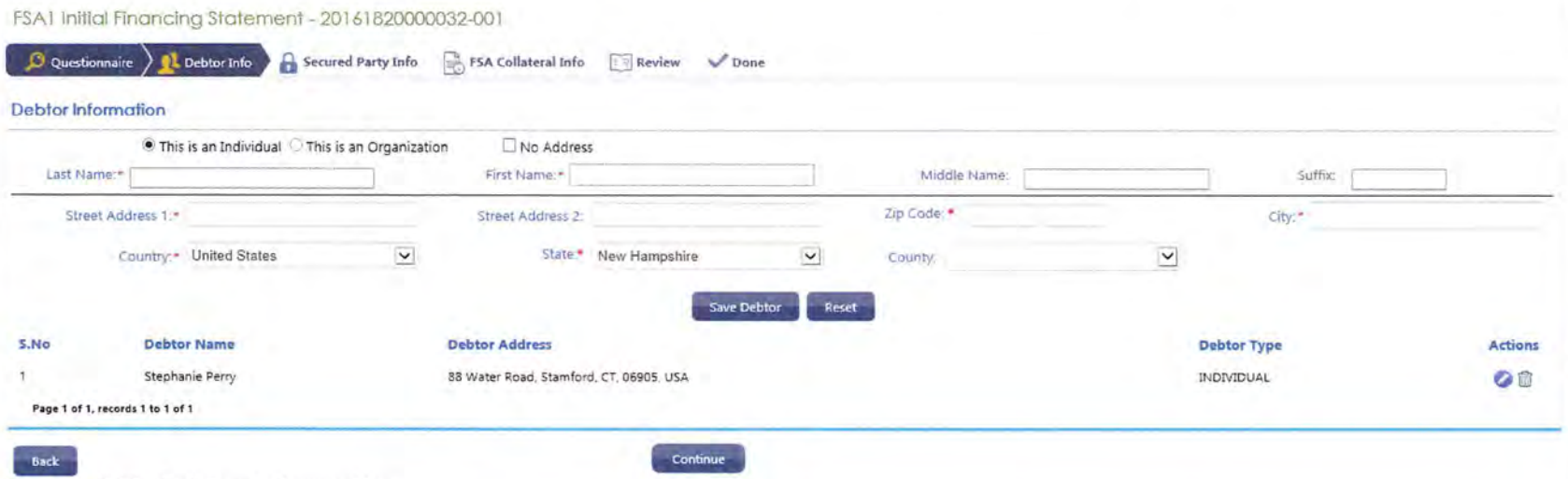


Figure 239. Debtor information.

The user will enter debtor information from the scanned filing image into the data entry fields, and then save each debtor to the grid. Business rules regarding data entry and having a minimum of one debtor in the grid are enforced.

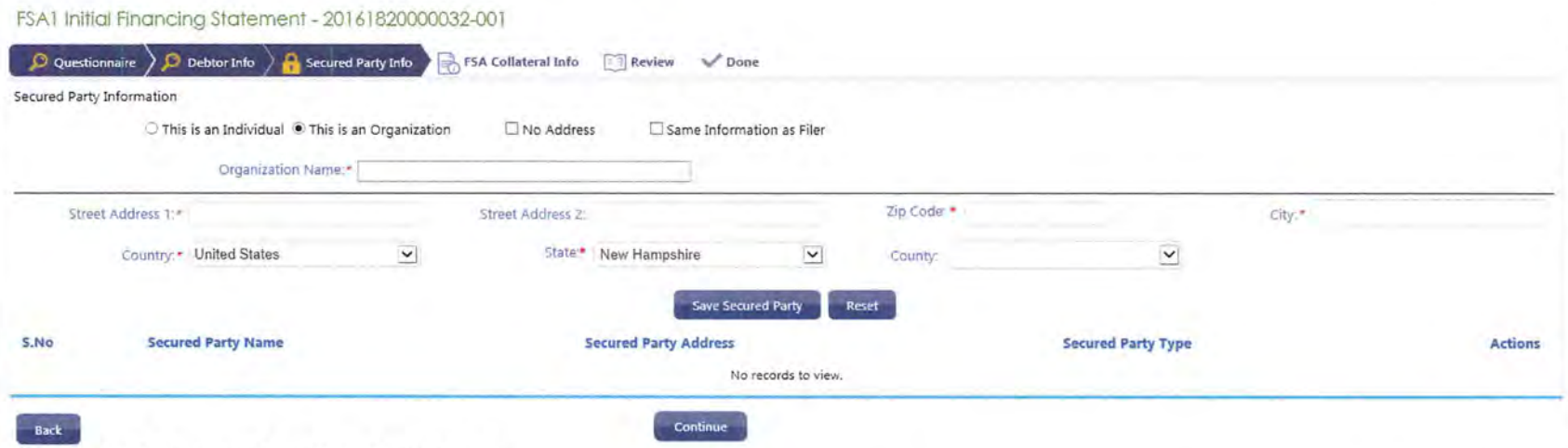


Figure 240. Secured party information.

The user will enter debtor information from the scanned filing image into the data entry fields, and then save each secured party to the grid. Business rules regarding data entry and having a minimum of one secured party in the grid are enforced.



Figure 241. Collateral information.

Collateral information will be entered into data entry fields and saved to a grid.

Items in the grid can be edited or deleted by clicking the appropriate icon.

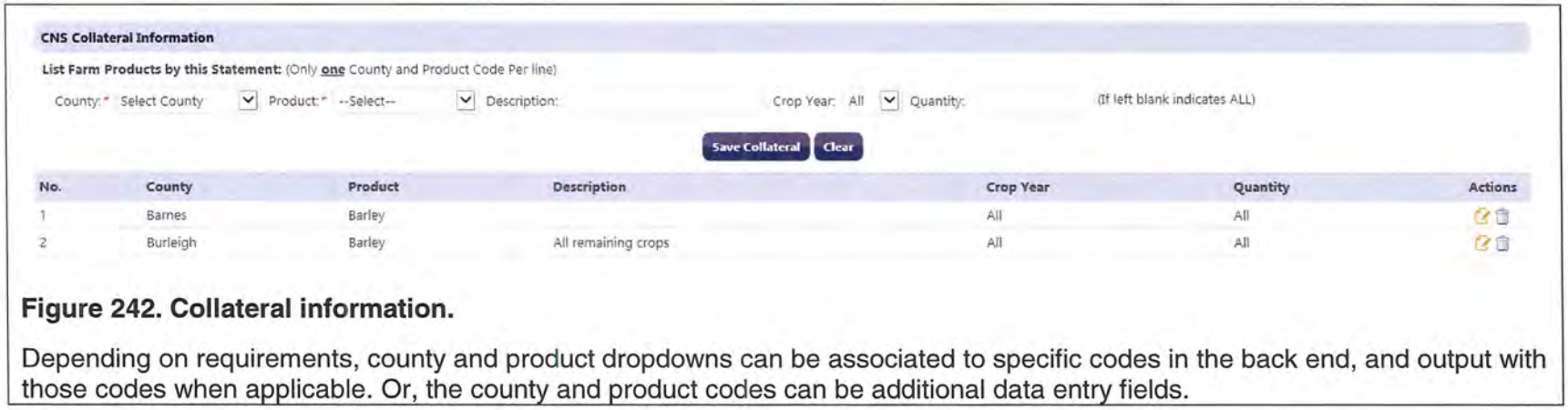


Figure 242. Collateral information.

Depending on requirements, county and product dropdowns can be associated to specific codes in the back end, and output with those codes when applicable. Or, the county and product codes can be additional data entry fields.

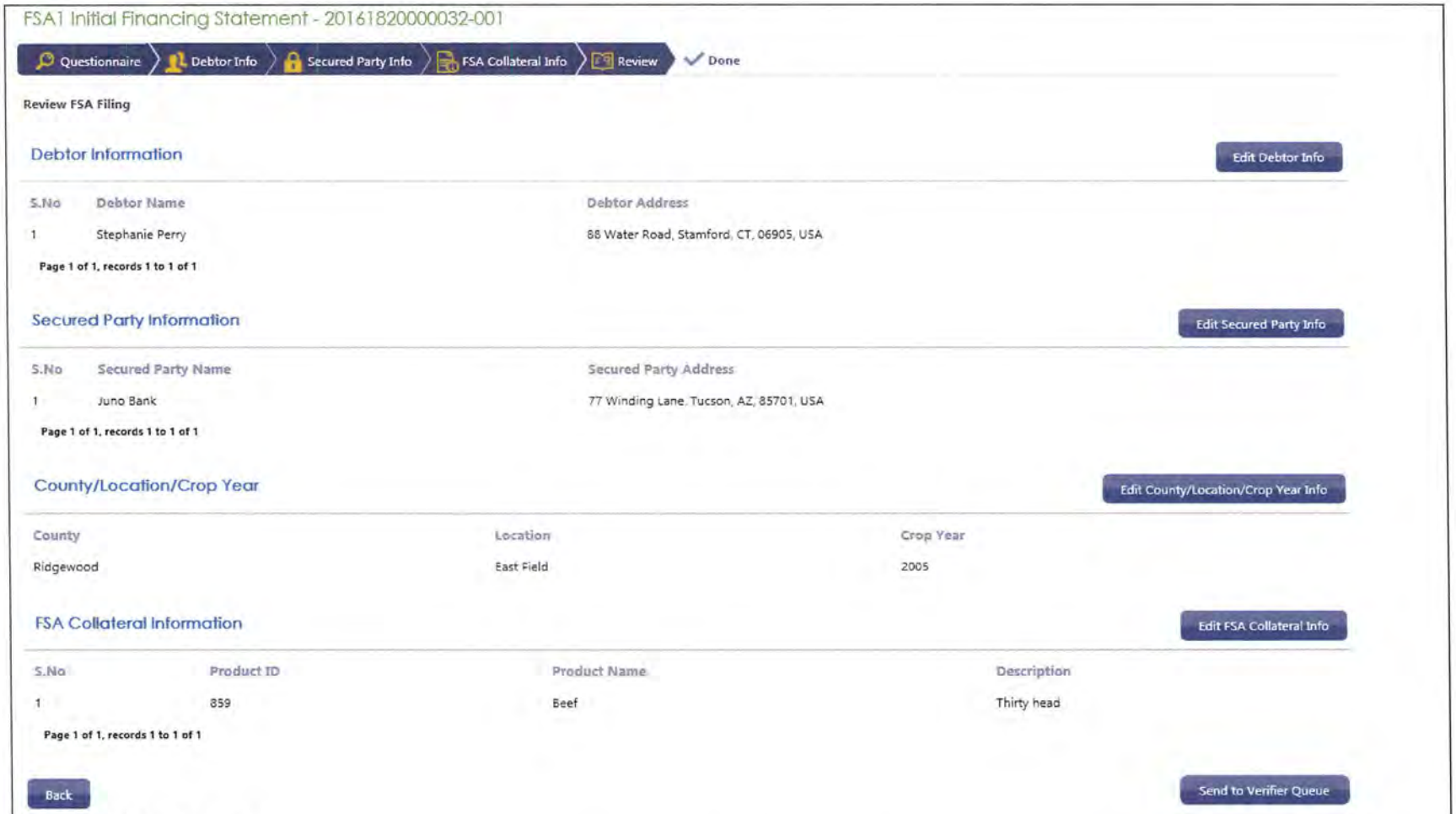


Figure 243. Review.

The review screens provides the processing user an opportunity to review all data entered thus far.

EFS filings can be incorporated into the verification model in the same way as UCC filings. If there is no verification then this screen would display a “Process Filing” button instead of a “Send to Verifier Queue,” and the system would record the indexed data as part of the public record.

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-4	**Amendment Filings** Amendments & Continuations with fees are filed to update Original Filings by document number. All can be found in Appendix G - Lien Types - Actions Matrix for UCC & EFS labeled as Amendments. See Appendix H – UCC & EFS Lien Data Fields and Statutory Requirements for Amendments can be found in Appendix C – Statutes and Rules & Regulations. Review and Enter Filing Data A. Accept and file 1. Enter original document number by using the eyeball icon to search and retrieve original filing for update. 2. If the filing is lapsed or inactive then reject, if not, continue to step c. 3. Enter required information for filing. a. Check for a Debtor and Secured Party data or collateral change b. If status is lapsed or inactive Reject 4. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees) 5. Commit job 6. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings 7. File Stamp filing (see RTM CB-2) 8. Send for scanning or A. Decline and reject Return document with rejected system generated letter and fees if collected. Provide a dropdown of all the rejection reasons and	X			

	the ability to manually add additional rejections or explanations. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3 B. Generate letter (Acknowledgement of Filing). See RTM CB-3 C. Allow ability to correct Amendment filing and create audit trail. The bidder should describe and provide screen shots showing how their system handles Amendment & Continuation filings. Bidder should also describe and provide screen shots showing how their system will handle these filings once online submission becomes available through the SoS website.				

Bidder Response:

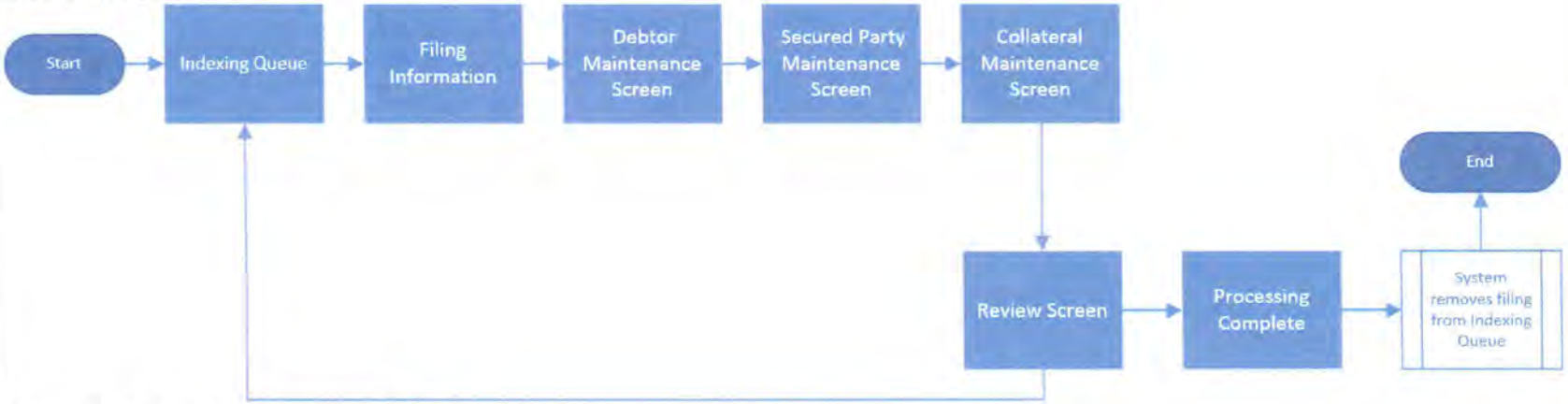


Figure 244. Indexing process flow.

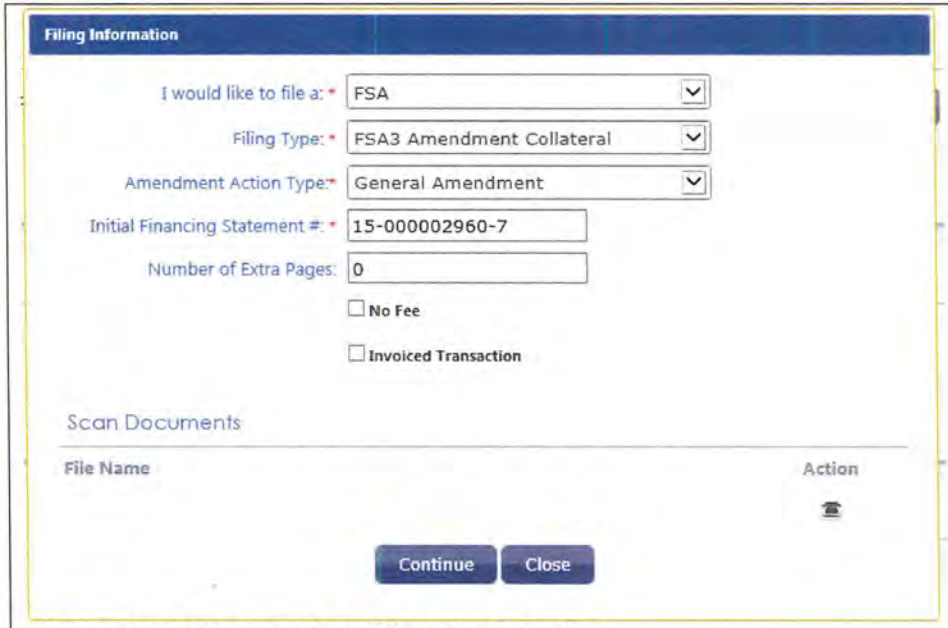


Figure 245. Work order. Filing information.

EFS filings are created in the work order creation screen via the filing information pop-up. Dropdown selections allow the user to choose the Agricultural Lien Type (FSA) and the specific filing type.

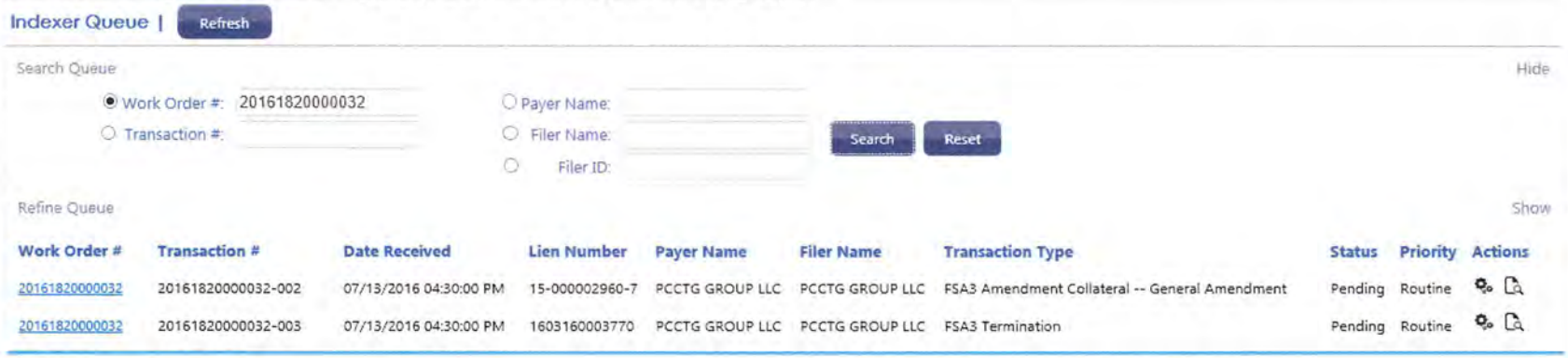


Figure 246. Indexer queue.

Similar to UCC and all other lien filings, EFS liens are routed to the indexing queue upon work order commit.



Figure 247. Filing information. Confirm filing type.

On the first screen of the processing flow, the filing information screen, the user is asked to confirm the filing type after reviewing the displayed scanned filing image.

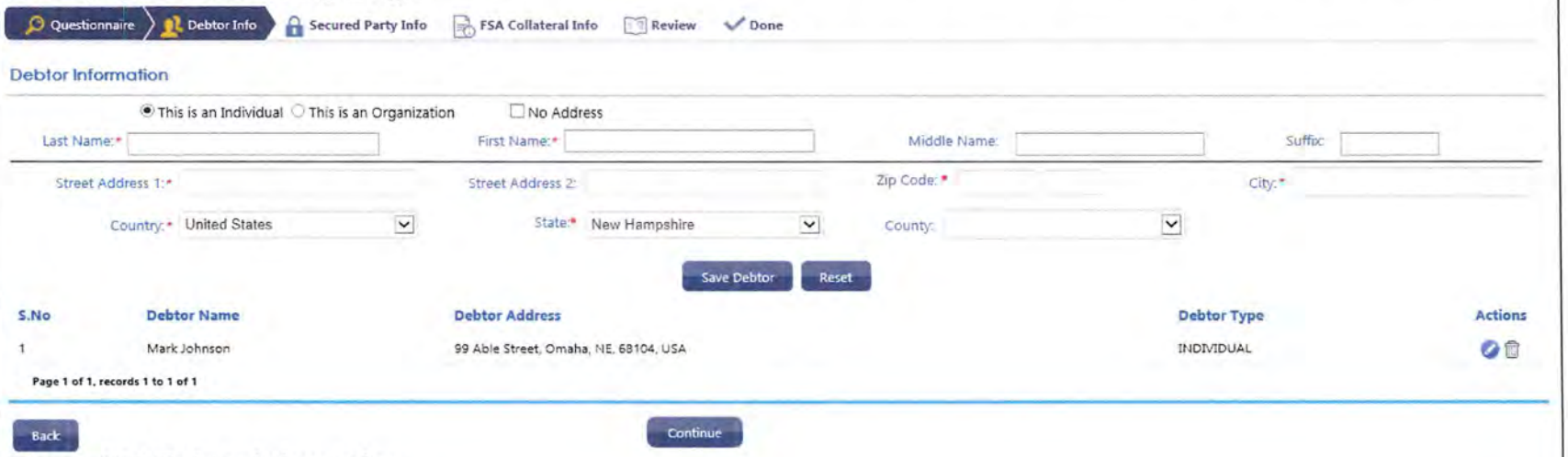


Figure 248. Debtor information.

The debtor information screen pre-populates with the existing debtor information populated into the grid.

The user can make edits to the grid by adding debtors, deleting debtors, or changing existing debtors.

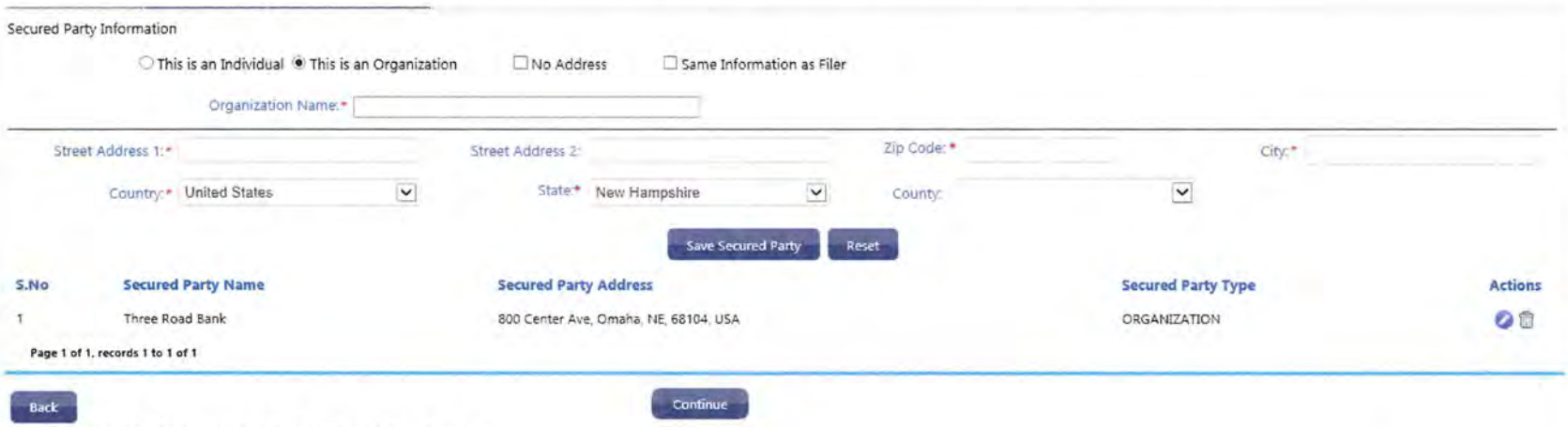


Figure 249. Secured party information.

The secured party information screen pre-populates with the existing secured party information populated into the grid. The user can make edits to the grid by adding secured parties, deleting secured parties, or changing existing secured parties.



Figure 250. Collateral information.

The collateral information screen pre-populates with the existing collateral information populated into the grid.

The user can make edits to the grid by adding collateral, deleting collateral, or changing existing collateral.

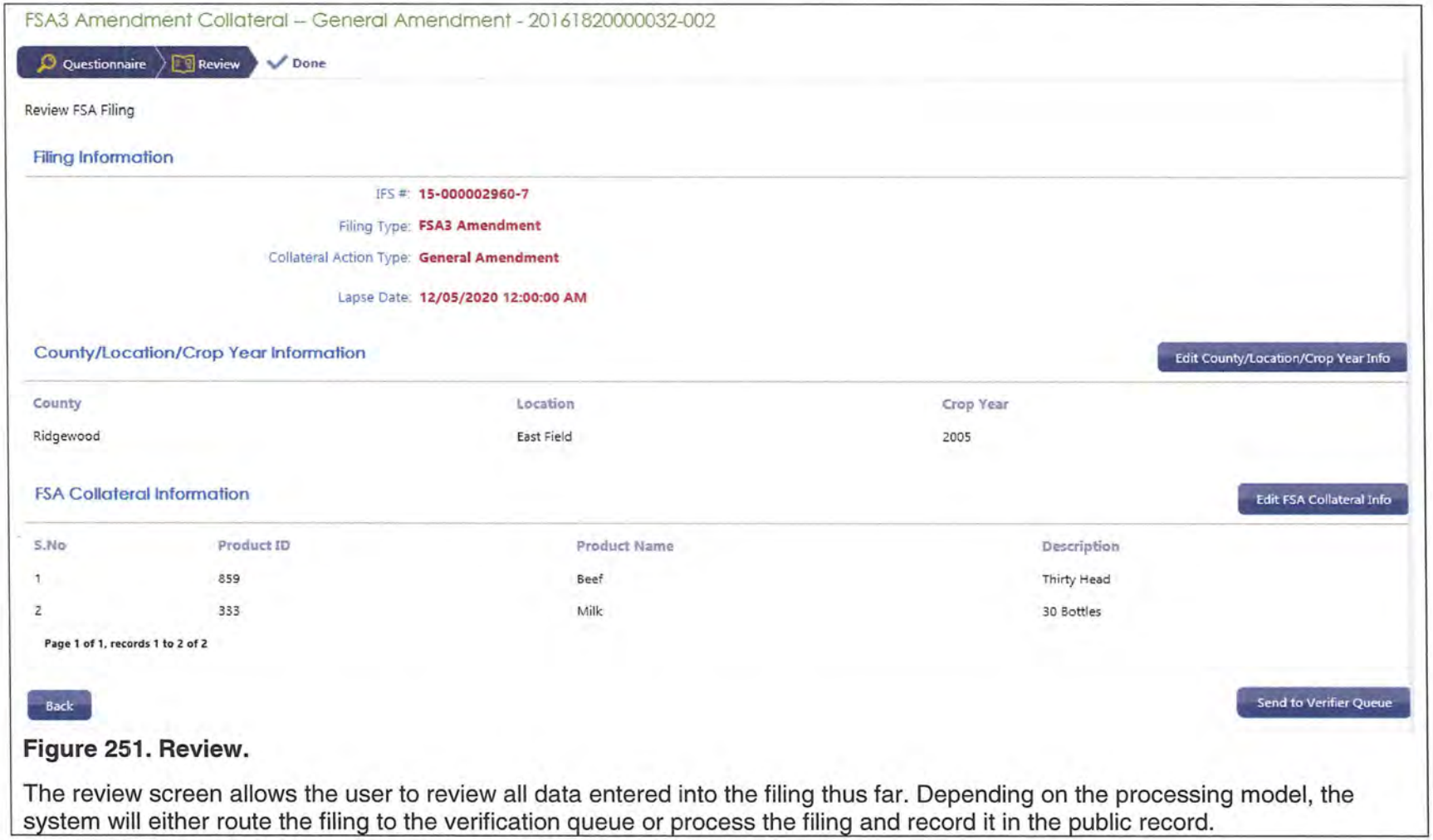


Figure 251. Review.

The review screen allows the user to review all data entered into the filing thus far. Depending on the processing model, the system will either route the filing to the verification queue or process the filing and record it in the public record.

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-5	**Terminations** Terminations are filed to update Original Filings by document number. All can be found in Appendix G – Lien Types – Actions Matrix for UCC & EFS Filings labeled as Terminations. Also see Appendix H – UCC & EFS Data Fields. Statutory Requirements for Terminations can be found in Appendix C – Statutes and Rules & Regulations. Review and Enter Filing Data A. Accept and file 1. Enter original document by using the eyeball icon to search and retrieve original filing for update. 2. If status is lapsed or inactive Reject, if status is active continue to step c. 3. Enter required information for filing. a. Check for a Debtor and Secured Party data 4. Change lien status to inactive. 5. Commit job 6. File Stamp filing (see RTM CB-2) 7. Generate letter (Acknowledgement of Filing). See RTM CB-3 8. Send for scanning The bidder should describe and provide screen shots showing how their system handles Terminations, including description of how it improves the current process of retention and purging.	X			
Bidder Response:					

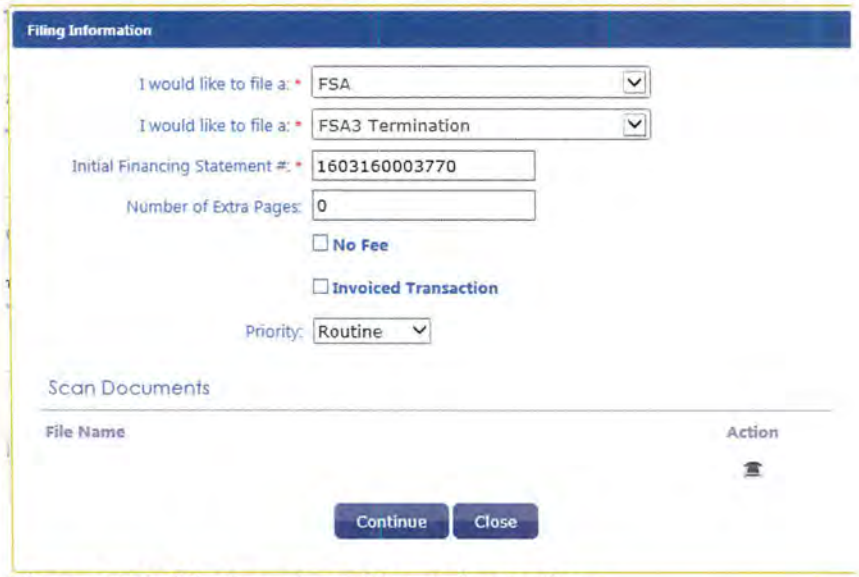


Figure 252. Work order. Filing information.

EFS filings are created in the work order creation screen via the filing information pop-up. Dropdown selections allow the user to choose the agricultural lien type (FSA) and the specific filing type.



Figure 253. Indexer queue.

Similar to UCC and all other lien filings, EFS liens are routed to the indexing queue upon work order commit.



Figure 254. Filing information. Confirm filing type.

On the first screen of the processing flow, the filing information screen, the user is asked to confirm the filing type after reviewing the displayed scanned filing image.



Figure 255. Review.

The review screens provides the processing user an opportunity to review all data entered thus far.

EFS filings can be incorporated into the verification model in the same way as UCC filings. If there is no verification then this screen would display a "Process Filing" button instead of a "Send to Verifier Queue," and the system would record the indexed data as part of the public record.

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-6	Filing Committal Times (See Appendix H - UCC & EFS Lien Data Fields) The bidder should describe and provide screen shots showing how their system will set default committal times and allow staff to manually change committal times as necessary per requirements.	X			

Bidder Response:

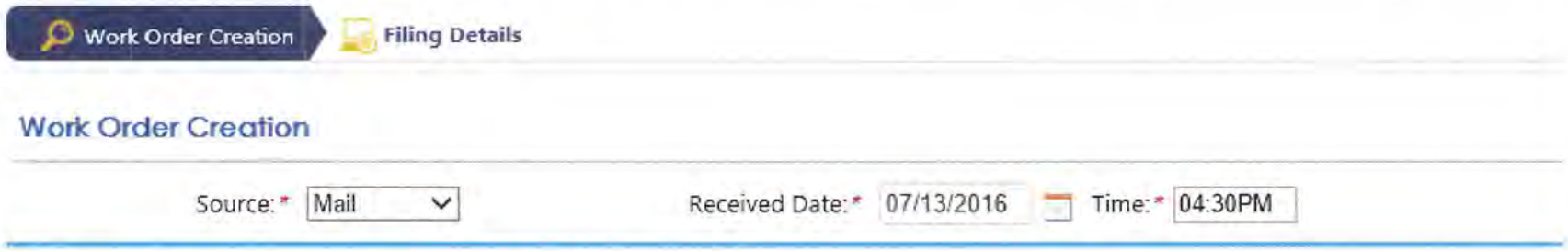


Figure 256. Work order creation. Source and received date.

In the existing solution, the default committal time is a fixed value. However, the solution can be modified to provide a tool to set a default filing committal time via simple screen with a time picker control displayed.

Users can manually change the committal time for any filing by modifying the received date and time at the top of every work order. This value is considered by the system as the committal time and date of filing for all filings included in that work order.

EFS-7	**Master Lien List** Legislation has recently been passed that modifies the Master Lien List process. The following describes the current processes involved, including the modifications due to that legislation. This process must be integrated within the BSFS. A. Buyers Registration process takes place and is to be completed from within the BSFS and placing existing buyer information into EFS-4 application template and letter and send in desired electronic or other format to potential buyers. Registration process will be communicated to prior registered buyers or those whom have	X			

	requested a new registration), but new registrations can be received anytime throughout the year, outside typical registration timeframe (Mid November through December 31). Once application and fees are received by our office, approval or denial determination must be made through staff review. If not all needed information is received, send request for additional information or fees. If approved by staff, Buyer account identification (ID) number must be assigned by system for each buyer. Once ID is assigned, manual data entry is made by staff including: name, address, contact information including email, commodity(s) name and number, statutory Ag liens, and updates requested with commodity code and name as noted on registration to be provided/published to buyer. The system provides a drop down list of reports buyers can register to receive by individual commodity number, the statutory Ag number, and an updates report by commodity number, and name auto fills. Alternatively the buyer can choose a report of all commodities. Updates can only be selected from the drop down list and provided if buyers subscribe to a commodity(s) or to statutory Ag liens. B. Receipt annual fees (registration and list(s)) into BSFS, reconcile, and deposit fees through daily jobs like other fees processed in BSFS. System must track commodities and media type(s)/file format(s). Media type(s)/file format(s) existing in the system for all buyers is wiped clean when renewal registrations are sent each year for buyers to register for the upcoming year. This is to be completed in a mass system action to clear all registrants' media/file type information. New media/file types and format designations are manually entered into BSFS by staff once annual registration and fee is receipted from buyer. Existing buyer names and account numbers would not be deleted when clearing media/file type and format. ID should be kept with original Buyer as assigned and assign additional numbers sequentially by the system for new buyers as registered. C. A static backup of monthly data in the BSFS must be made at the end of each month after 5:00 p.m. close of business day which is used to compile and organize data from current month into usable information				

	for the Master Lien List, which consists of the Master Lien List and an Updates List. D. The Master Lien List and Updates shall be compiled and organized on a monthly basis and will include EFS filings and Statutory Ag Liens recorded in our BSFS. The Lists will be organized by: farm product, arranged within each product, in alphabetical order according to individual debtor or organization name, in numerical order by UIN, by county, by crop year, for Unlapsed and not yet terminated Statutory Ag Liens, and EFS filings that are Active records existing in the BSFS by 5:00 p.m. the end of each month. E. For Updates, the backup from prior month end shall be used to compare necessary data to current month end data to produce Updates. Updates contain EFS Liens and UCC Statutory Agricultural Liens for all new, lapsed or terminated filing records, the updates list includes debtor information, secured party information, and commodity information that has been added, modified, or deleted on liens from the previous Master Lien List distributed/published. Full data is compiled, but data is also parceled per individual commodities. F. Once data is compiled, organized, and the information is created, it will then be saved and published on our website. The information shall be published in searchable format lists: according to farm product and arranged within each farm product alphabetically by debtor, and by farm product arranged numerically, by the debtor's UIN, and any current USDA plan, statutes, and rules & regulations as required. G. The Master Lien List and Updates shall be provided and published via a secure sign-on through our website where registered buyers may access the files to view and use as needed, print, and/or download to their systems in multiple file types and/or formats (XML, CSV, and Excel) as determined best to meet the buyers' needs. Lists and Updates will no longer be provided on cd, microfiche, or				

	paper, and they will not be mailed via USPS mail, but will be accessed electronically upon publication. H. See Appendix M – Master Lien List for more details and summary overview and report formats; Appendix C – Statutes and Rules & Regulations (Sections: UCC/EFS and EFS); See Appendix J – Ancillary Databases and Derived Reports Item #1 and #2; and Appendix K – Reports and Additional Information. The bidder should describe and provide screen shots showing how their system will backup, organize, compile, create updates, and publish lists that are searchable and may be downloaded by the registered buyer.				

Bidder Response:

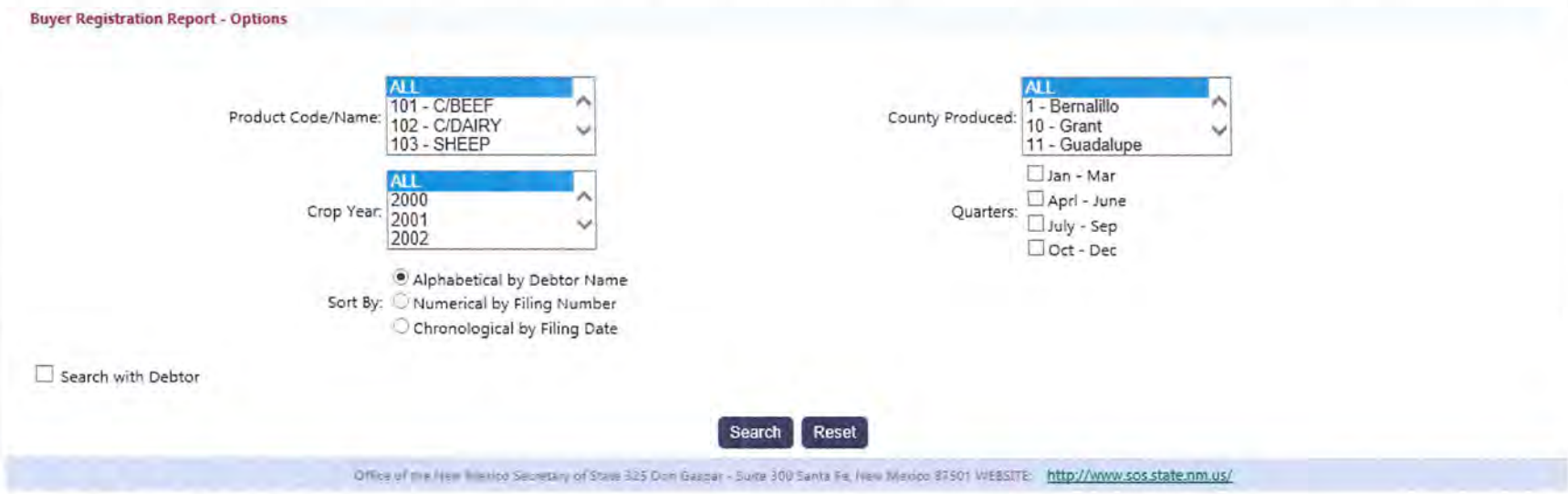


Figure 257. EFS report.

The EFS report screen allows manual, at will generation of master list reports, and subsets defined by product, crop year or county produced. The output is a PDF file that can be printed from the application.

REPORT FOR AGRICULTURAL LIEN NOTIFICATION

7/13/2016

Date searched: 7/13/2016

By: raghu.chandra

Search Criteria: Quarters: ALL
Name = Not Specified
Products = 204 - COTTON
Product Years = ALL
Product Counties = ALL
Sorted By = Debtor
Include Terminated or Lapsed =False

File Number	File Date	Lapse Date	County	Year	Product
20080015955G	08/18/2008	08/18/2018	Chaves	ALL	COTTON

Filing Type: EFS
Original File Number: 20080015955G

Debtor: 4B Pecan Farms
742628390
6225 Baker Road
Roswell, NM
88203 USA

Secured Party: The First National Bank
Roswell Banking Center
PO Box 1857
Roswell, NM
88202-1857 USA

File Number	File Date	Lapse Date	County	Year	Product
20150009492A	05/26/2015	05/26/2020	Luna	ALL	COTTON
			Dona Ana	ALL	COTTON

Filing Type: EFS
Original File Number: 20150009492A

Debtor: Adams Produce, Inc.
850357980
PO Box 630
Hatch, NM
87937 USA

Secured Party: Production Credit Association of Southern New Mexico, a wholly owned subsidiary of Farm Credit of Ne
PO Box 1537
Roswell, NM
88202 USA

File Number	File Date	Lapse Date	County	Year	Product
20140003306M	02/27/2014	02/27/2019			

Figure 258. Report for agricultural lien notification.

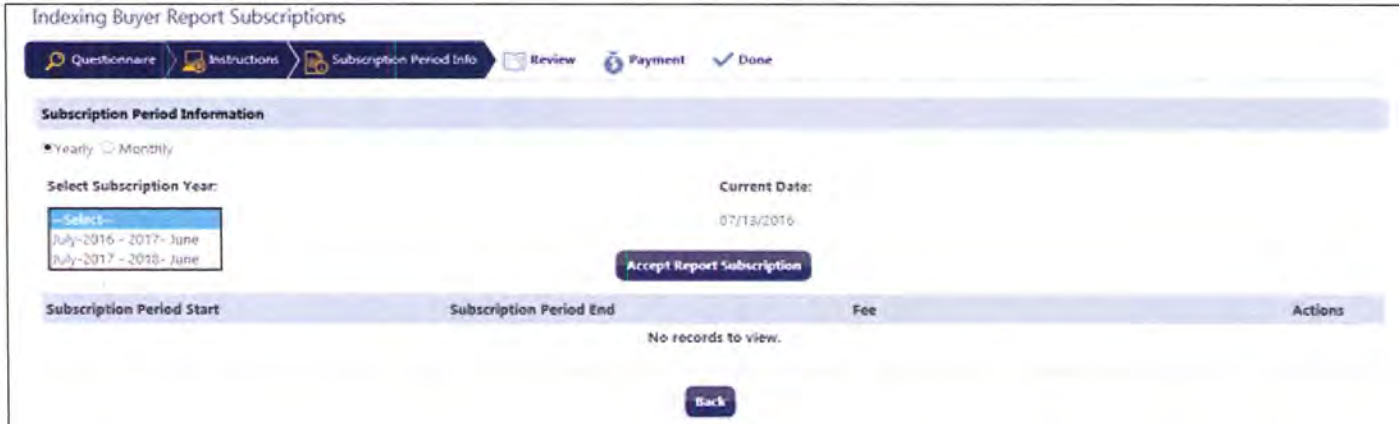


Figure 259. Indexing buyer report subscriptions.

The solution supports an online portal, self-service subscription model for delivery of buyer's report lists. Any online user can create an account and make payment via credit card, eCheck or ACH.

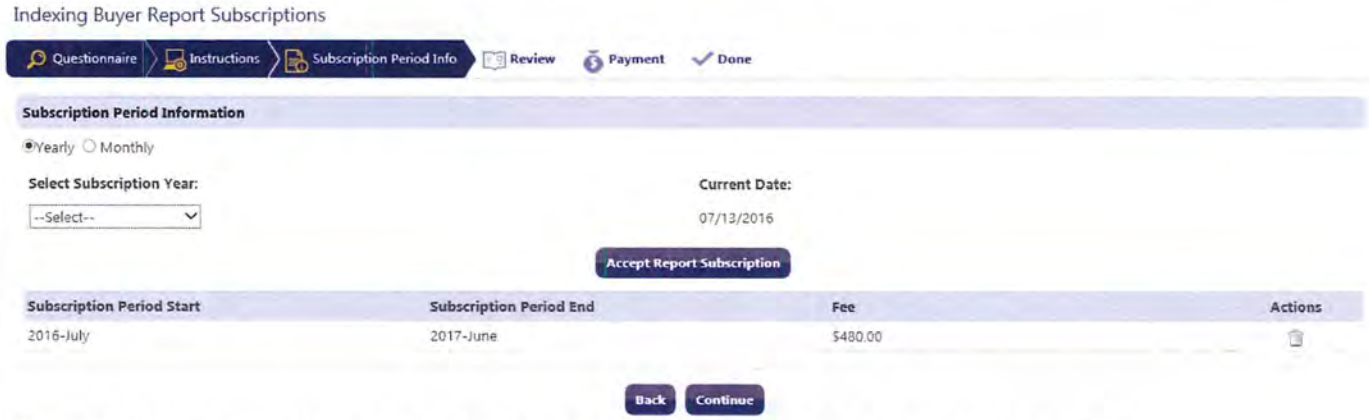


Figure 260. Indexing buyer report subscriptions. Subscription period information.

This configuration example allows for the complete master list only as a purchase options, but additional criteria can be added for customers to create report subscriptions based on crop code, county code and crop year.

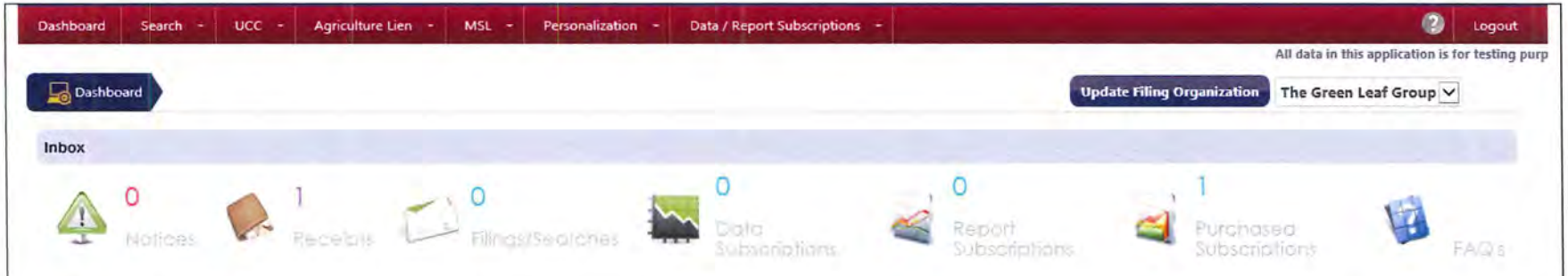


Figure 261. Dashboard. Purchased subscriptions.

Once a customer purchases a buyer's report subscription, the reports can be obtained from their "Purchased Subscriptions" on the online portal dashboard.

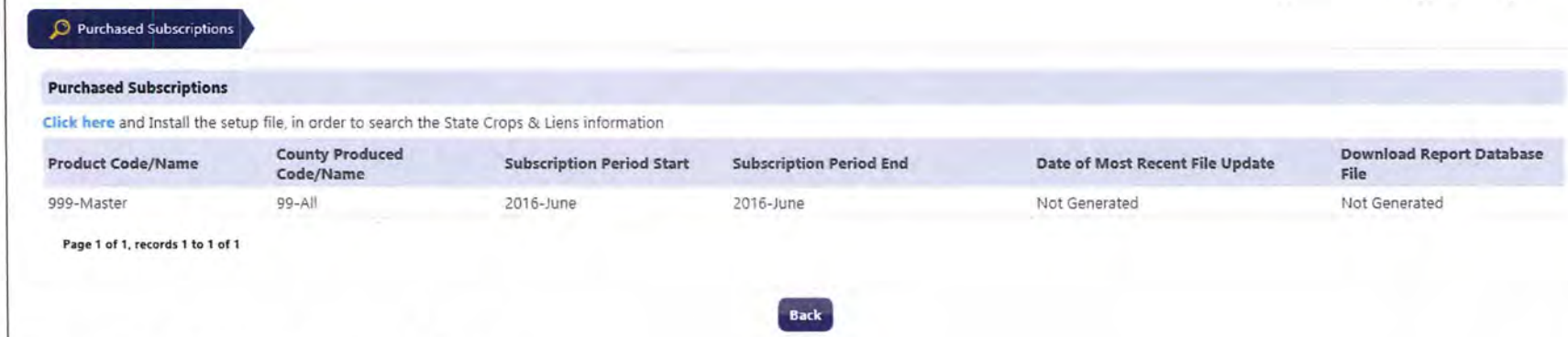


Figure 262. Purchased subscriptions.

Inside the dashboard, the purchased subscriptions grid contains the subscriptions that have been purchased. Reports will be generated by system jobs that run on a monthly basis. In Figure 262, we can see a one month subscription has been purchased, but the report files for that month have not been generated yet. When they are, the rightmost column will become a hyperlink, allowing the customer download the file directly.

If a multi-month or a yearlong subscription is purchased, then every month the download link will link to a new, updated file as soon as it is generated.

Common Database Processes/Features					
The system must support a database that stores pertinent information related to Corp, UCC, EFS, and other filings.					
RTM #	**Common Database Processes/Features**	**Yes**	**Customization Required**	**No**	**Alternate**
CB-1	Describe how your system can interface with the existing OnBase image library and the State's third-party web portal to accept and store documents that are either scanned directly into the image library or imported into the library via the online web portal for later retrieval by the filing office and the public. Describe how your system can interface with the existing OnBase image library and the State's third-party web portal and the database to retrieve filed documents and information and insert new filing information into the database and image library.	X			
Bidder Response: PCC's API First software designed pattern is used to provide seamless integration between our systems and those of our customers. PCC will develop a fast, reliable and robust web services API layer that will wrap the OnBase Image API to perform all document and image storage, retrieval and indexing functionality that is required by the BSFS and the online web portal.					

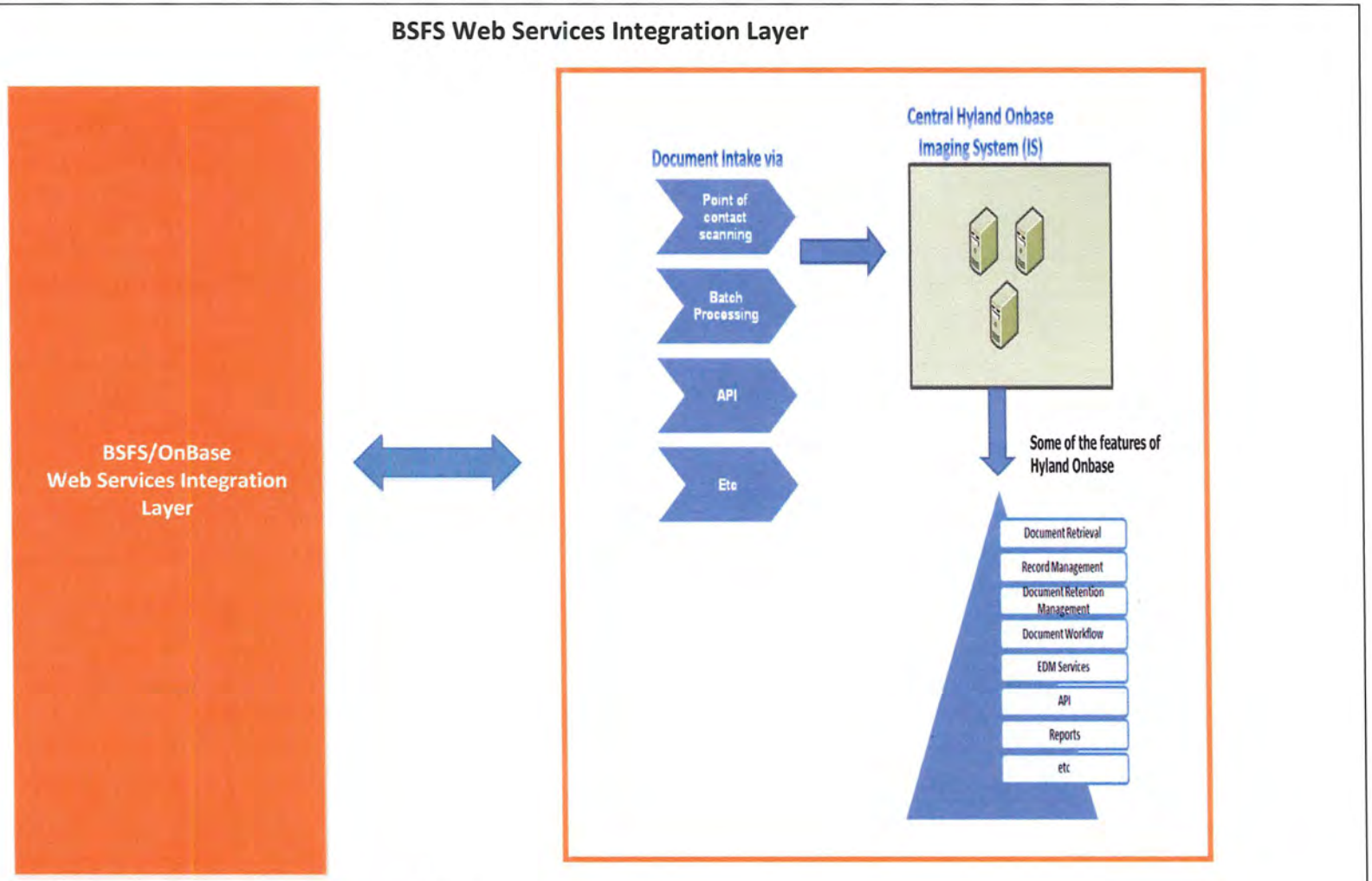
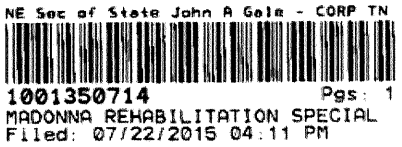


Figure 263. System web services integration layer.

This integration layer will be developed to insure that all transactions that request, store and index documents are queued and successfully processed in a timely and efficient manner.

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-2	**Filing Stamps and Indexing** The current system creates filing stamp labels in several different (but similar) formats. The system must provide an option to reprint an existing file stamp/label. The proposed system should simplify this process, providing one consistent stamp/label across the board for Corp, UCC, EFS, and other document type file stamps. Current formats are specified below: The filing stamp currently follows the format below for Corp filings added to the system internally (by staff): NE Sec of State AAAA – CORP BBBB CCCCCCCCCC DDDDDDDDDD Pages:EEEE FFFFFFFFFFF Filed: mm/dd/yyyy hh:mm:ss AM/PM) Where AAAA = Current Secretary of State's Name BBBB = Action Comp Code from Appendix A - Entity Types/Actions Matrix. CCCCCCCCCC = The barcode reflects the filing type 'Corp' and the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode. DDDDDDDDDD = Filing document number. Internal filing number is assigned with a continuous 10DDDDDDDD number and is different from the online continuous filing number 90DDDDDDDD. EEEE = Total number of pages FFFFFFFFFFF = Company Name	X			

Internal:



The filing stamp currently follows the format below for Corp filings accepted into the system from Document eDelivery:

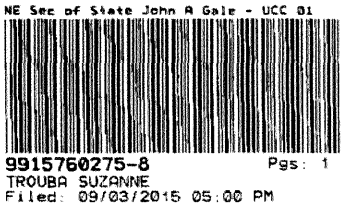
Online:

NE Sec of State John A. Gale CORP - CRTO
9000168586 - Page 1 of 1
NATURALLYCITY, LLC
Filed: 08/13/2015 01:34:41 PM

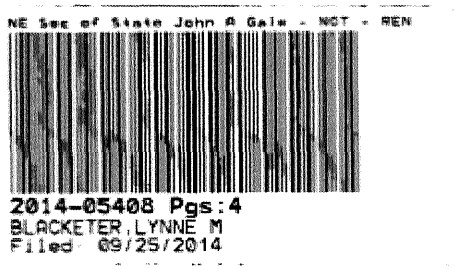
The filing stamp currently follows the format below for UCC filings added to the system internally (by staff):

NE Sec of State AAAA – UCC BBBB
CCCCCCCCCC
DDDDDDDDDD Pages:EEEE
FFFFFFFFFFFF
Filed: mm/dd/yyyy hh:mm:ss AM/PM)

Where AAAA = Current Secretary of State's Name
BBBB = Action Comp Code from Appendix G - Lien Types - Actions Matrix.
CCCCCCCCCC = The barcode reflects the filing type 'UCC' and the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode.
DDDDDDDDDD = Filing document number
EEEE = Total number of pages
FFFFFFFFFFFF = Company Name

	Internal:  NE Sec. of State-UCC 9815867273-0 Filed: 09/09/2015 12:08 p.m. CHARLES P TOMAN Online: Pg: 1 of 1 The filing stamp currently follows the format below for EFS filings added to the system internally (by staff): NE Sec of State AAAA – UCC BBBB CCCCCCCCCC DDDDDDDDDD Pages:EEEE FFFFFFFFFFFF Filed: mm/dd/yyyy hh:mm:ss AM/PM) Where AAAA = Current Secretary of State's Name BBBB = Action Comp Code from Appendix G - Lien Types/Actions Matrix. CCCCCCCCCC = The barcode reflects the filing type 'UCC' and the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode. DDDDDDDDDD = Filing document number EEEE = Total number of pages FFFFFFFFFFFF = Company Name				

	Internal:  Online: NE Sec. of State-EFS 9815063498-4 Filed: 09/09/2015 01:04 pm MEINECKE MICHAEL J Pg: 1 of 1 In order to be able to scan other miscellaneous documents a file stamp with barcode must be created and placed on the document. Additional filing stamp follows the format below and is manually entered into the system (by staff): NE Sec of State AAAA – BBB–CCC DDDD-DDDDD Pages:EEEE FFFFFFFFFFFFFFFFFFFFFFFFFFFFF Filed: (mm/dd/yyyy hh:mm:ss AM/PM) Where AAAA = Current Secretary of State's Name BBB = Action Code CCC = Doc Type DDDD-DDDDD = The barcode reflects the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode. EEEE = Total number of pages FFFFFFFFFFFFFFFFFFFFFFFFFFFFF = Applicant's Last Name, First Name, Middle Name Filed: mm/dd/yyyy hh:mm:ss AM/PM) E.g: NE Sec of State John A Gale - NOT - NEW 2007-03-0116 LAST				

	NAME, FIRST NAME, MIDDLE NAME Pgs. 4 Filed: 03/11/2010 Internal Example:  The bidder should describe and provide screen shots showing how their system will function and provide examples of how they are going to apply an index, file stamp, store, and retrieve filings in OnBase image library, emphasizing how the proposed system will improve the current process.				

Bidder Response:
PCC would like to mention how mailroom processing interacts with the rest of the back-office processing. We use an integrated approach to this process, and the proposed solution provides electronic workflows to support multiple filings, transactions and operations lifecycles. The solution's system administration tool allows easy configuration of workflows.

Staff receive and open mail in the mailroom. The documents are time stamped and the staff creates a work order in the system by entering basic indexing and payment data.

PCC offers a front-end scanning process whereby the mailroom user separates the submissions by work order and filing type. The user then prints barcode separators for each filing, which contains filing type and transaction mapping data. The user scans all documents in batch scanning mode. Checks scanned by a separate check scanner that has an optical character recognition (OCR) application program interface (API) to read the information at the bottom of the check and the amount of the check. The barcode separator is placed at the head of each filing and allows the solution to associate each set of documents to a filing transaction on a work order. The solution then reads the barcodes and sends each transaction to the appropriate work queues in the system.
PCC also offers a solution for desk-top scanning for those SoS users who provide customer service in the offices. After taking in the submissions at the counter, the users will separate the documents, create a work order with the basic indexing and payment information, and scan the documents as part of the work order creation. The scanned documents are part of the work order, which immediately moves to the work queue.

Workflow for back-office processing:

- Step 1 – Mailroom: this step is shown in Figure 264. Documents are opened by the mailroom and prepared for document intake.
- Step 2 – Document intake: this step is shown in Figure 264. The mailroom separates the documents by order and analyzes the paperwork for the next step.
- Step 3 – Barcode labeling: this step is shown in Figure 264. The mailroom then prints barcode separators for each filing, which contains filing type and transaction mapping data.
- Step 4 – Imaging: the mailroom scans in the documents
- Step 5 – Work queue: all documents in a work queue can automatically be assigned based on user roles. The division manager maps each user role to one or more business processes. Each business process can be termed as document types, such as statement of information processing, business registration, UCC-1 / UCC-3, LLC formation, incorporation, LLP, and so on. The user logs into the application. Based on the user's role, the solution generates the access privileges and the work queue for the user. The work queue includes the scanned documents that are ready to be processed. Side-by-side image and data entry fields support easy processing and indexing by the user.
- Step 6 – Data entry and document processing: the user selects a document to be processed from the assigned work queue and the corresponding image of the document is displayed on half of the screen or on a separate monitor. This assists the user in performing data entry. During the data entry process for standardized forms, highlights on the scanned document assist the staff with faster typing. An optional available OCR component can extract up to 99 percent of the typed document content that can be validated by the user rather than be typed (note: in practice, PCC has found this capability to be cost prohibitive and ultimately not worth the investment based on the massive online filing adoption rates realized shortly after implementation). The solution's rules engine validates all of the business rules, processes the document, and generates appropriate correspondence.
- Step 7 – Indexing and archival: on a daily basis, the final documents are saved as TIFFs and PDF/As and saved outside the database in the FileNet repository to support record retention requirements. If required, the solution can emboss the scanned document with a watermark. In addition, we can redact all sensitive information from the original document image for public viewing.
- Step 8 – Correspondence: the solution routes the correspondence to the specified printer configured by the application administrator. The correspondence contains the physical location of the original scanned document that was received after the mailroom process. Based on the correspondence type (electronic, paper, or no correspondence) selected by the document review staff, appropriate correspondence will be sent to the customer.



Figure 264. Workflow for back-office processing.

Filing record – document image mapping:

- When the cover letter with barcode are scanned into the system, the solution will associate those scanned images to the transaction which generated the barcode. This association will occur in the database, usually with a stored file directory path to the image, or other pointer to the scanned images in the document repository.
- When the filing is processed, the image will be electronically "burned" with the relevant filing data. The burn is known as the filing stamp and the stamped image is known as the filing stamped image. The information on the filing stamp is State defined, but usually consists of the date of filing, a unique identifying filing number, the number of pages in the document, and the current Secretary of State's name, or simply verbiage indicating the document was filed by the SoS.
- The system will associated the filing stamped image to both the original transaction on the work order, and the public record of the filing itself. This association will occur in the database, usually with a stored file directory path to the image, or other pointer to the filing stamped image files in the document repository.
- Both versions of the filing image, the original image as scanned, and the image burned with the filing stamp, will be maintained as separate images within the document repository, though they will both be mapped to the filing in the database. This will allow regeneration of the filing stamped images if updates are made to the database (for example, edits to the date of filing).
- Redactions will be made on the filing stamped copy of the filing. The redacted copy (with data obscured by black or white boxes) will be saved as a separate file in document repository, and it will also be mapped to the filing by a field in the data base. The system will maintain both redacted and unredacted copies of the filing stamped image, and will display them as appropriate to users and other functionalities
    - (For example, public searches and copy requests will only return the redacted copy, if it exists for a filing. Data sales export jobs will only export the redacted copy and not the original copy, where a redacted copy exists).

The cover letter with barcode will be generated for each filing transaction. This cover letter will be placed at the front of the filing images that were received for the transaction. When scanned in, the system will use this cover sheet to associate the pages behind

it to the transaction. Multiple packets of cover sheet/filing documents may be scanned in, with each set of filing documents separated by a cover sheet. The system will scan them all in a single batch and automatically make this associations. Each image will then be displayed to the user when they are processing the filings from a work queue.



Cover Letter

Unique ID: 16021816082326

BarCode:

Entity Type: Domestic Limited Liability Company

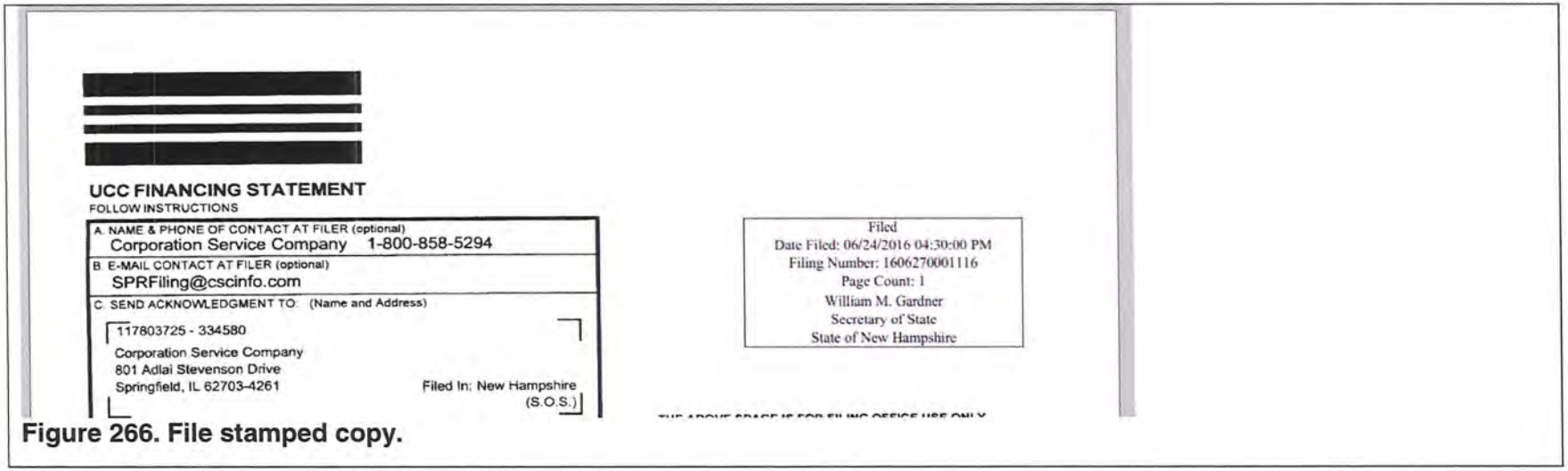
Filing Type: Formation

Business Name: AK DLLC 0218, LLC

WO. Received DateTime: 02/18/2016 04:08PM

Figure 265. Cover letter with barcode.

Figure 266 is an example of the filing stamp that is electronically burned onto the scanned filing image to create the filing stamped image. The information contained within the burn will be defined by the requirements of the State, however, since the barcode and transaction level information is on the cover sheet, there is only need for information that directly relates to its status as a public document of record.



UCC FINANCING STATEMENT

FOLLOW INSTRUCTIONS

A. NAME & PHONE OF CONTACT AT FILER (optional)
Corporation Service Company 1-800-858-5294

B. E-MAIL CONTACT AT FILER (optional)
SPRFiling@cscinfo.com

C. SEND ACKNOWLEDGMENT TO: (Name and Address)

117803725 - 334580
Corporation Service Company
801 Adlai Stevenson Drive
Springfield, IL 62703-4261

Filed In: New Hampshire (S.O.S.)

Filed
Date Filed: 06/24/2016 04:30:00 PM
Filing Number: 1606270001116
Page Count: 1
William M. Gardner
Secretary of State
State of New Hampshire

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

Figure 266. File stamped copy.

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-3	**Letters and Templates** The system must: A. Generate an appropriate letter (Acknowledgement of Filing and/or receipt or rejection), then store, retain, make searchable, and purge according to retention schedule. See Appendix D – Certificates, Forms, and Templates. (Provide option to send by email. Start with OPEN ME FIRST document for explanation of folder contents and usage.) B. Create an audit trail record by company name, account number, filer/client containing debtor name, secured party and lien number, type of letter, date, time, and staff member, with a link back to the letter as long as it exists. The proposed system must provide the options to the filer of sending the letter and required documents by email, fax, paper, or bulk mailing. When creating acknowledgements, templates, or system notifications spell check functionality and case sensitivity should be available for use. The bidder should describe and provide screen shots showing how the system will generate, send, store, and purge letters and create an audit trail, emphasizing how the proposed system will improve the current process.	X			

Bidder Response:
The solution generates four main primary outputs that are associated with filings and work orders.

- Receipts
- Filing acknowledgements
- Certificates
- Rejection letters (aka send back letters)

Samples of these documents can be found throughout this response located within their own sections, for example, the UCC filing acknowledgements are shown in the bidder responses to the UCC requirements.

All three of these output types are associated within the system to the public filing which was generated them alongside them and to the work order transaction where the work was receipted and processed from the work queue. Through the work order association, these documents are each associated to specific customer information, dates processed and filed, and payment information.

The receipts, filing acknowledgements, certificates and rejection letters can be searched, viewed and reprinted by entering a robust set of search criteria in the search screen. The user will be presented with a list of all records which fit the given criteria, and given the option to:

- View and print any individual document returned in the search.
- View and print any user selected group of documents.
- View and print all documents returned on the search.

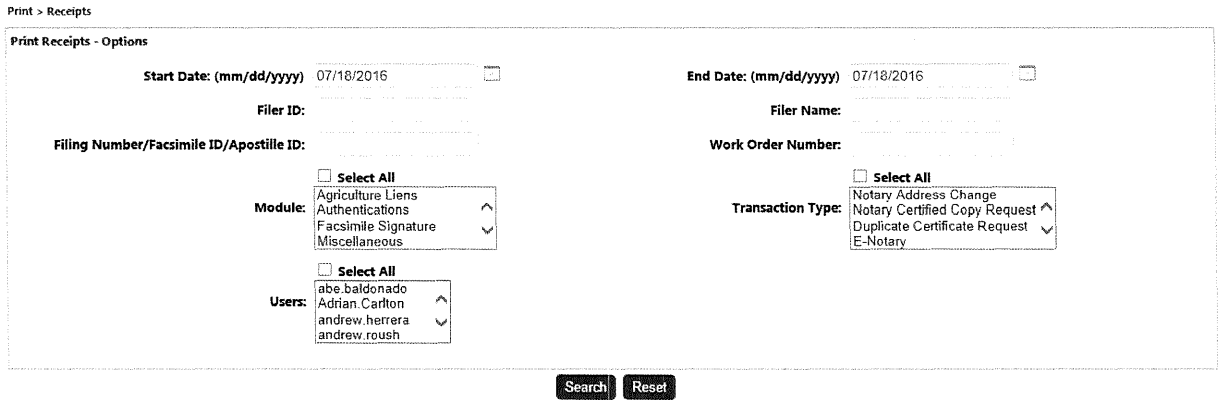


Figure 267. Print receipts options.

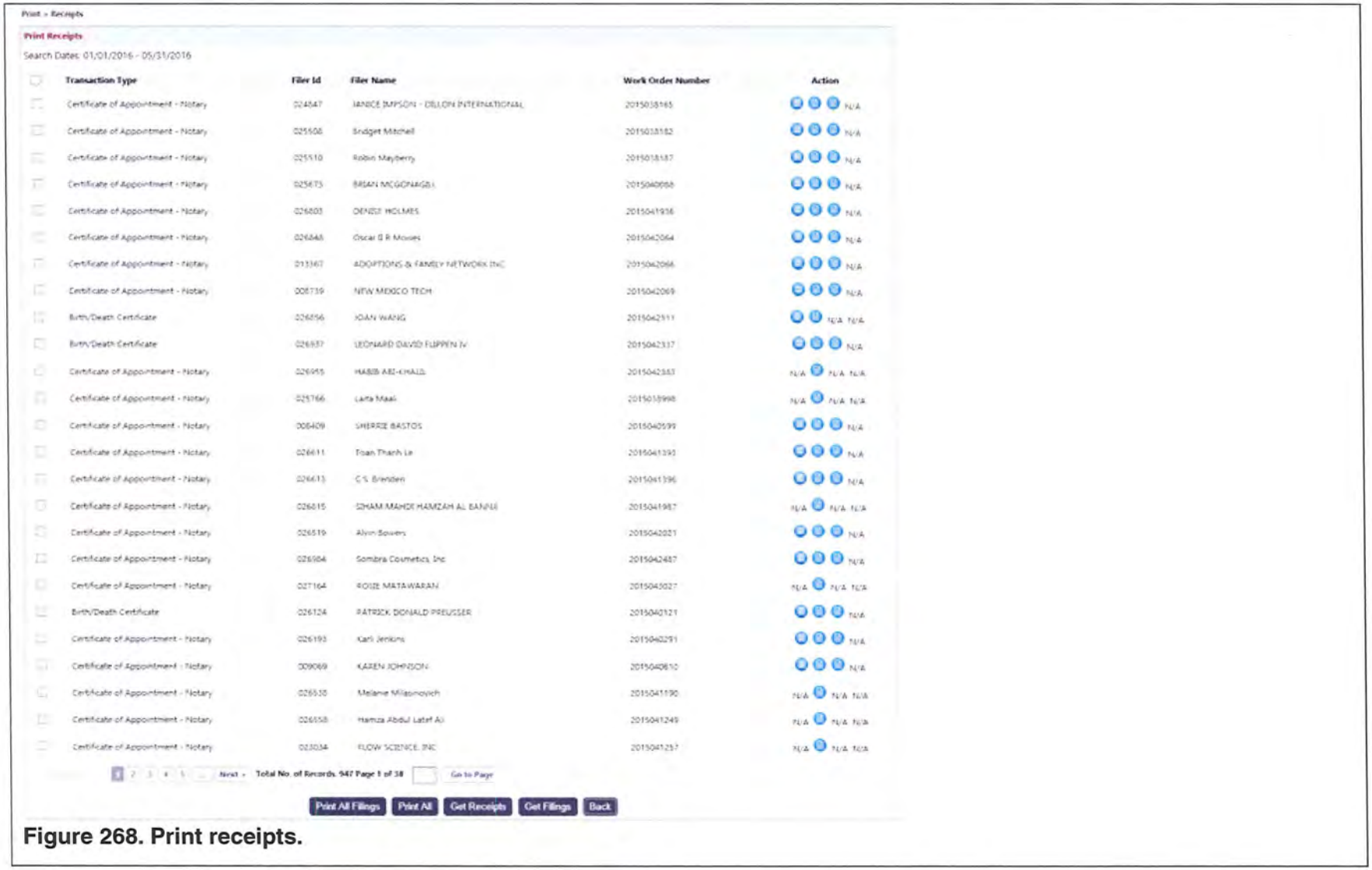


Figure 268. Print receipts.

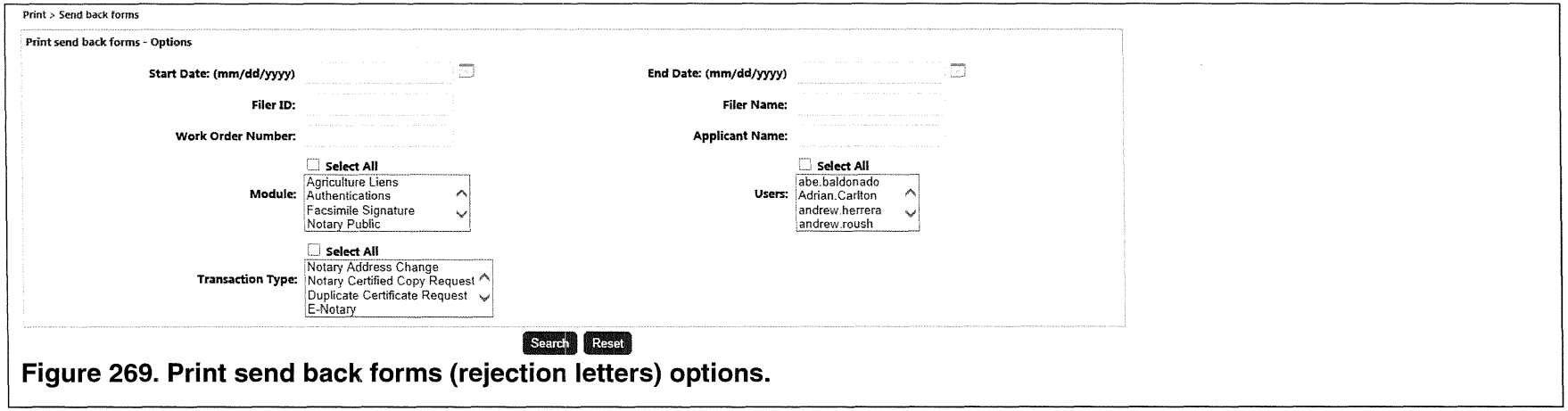


Figure 269. Print send back forms (rejection letters) options.

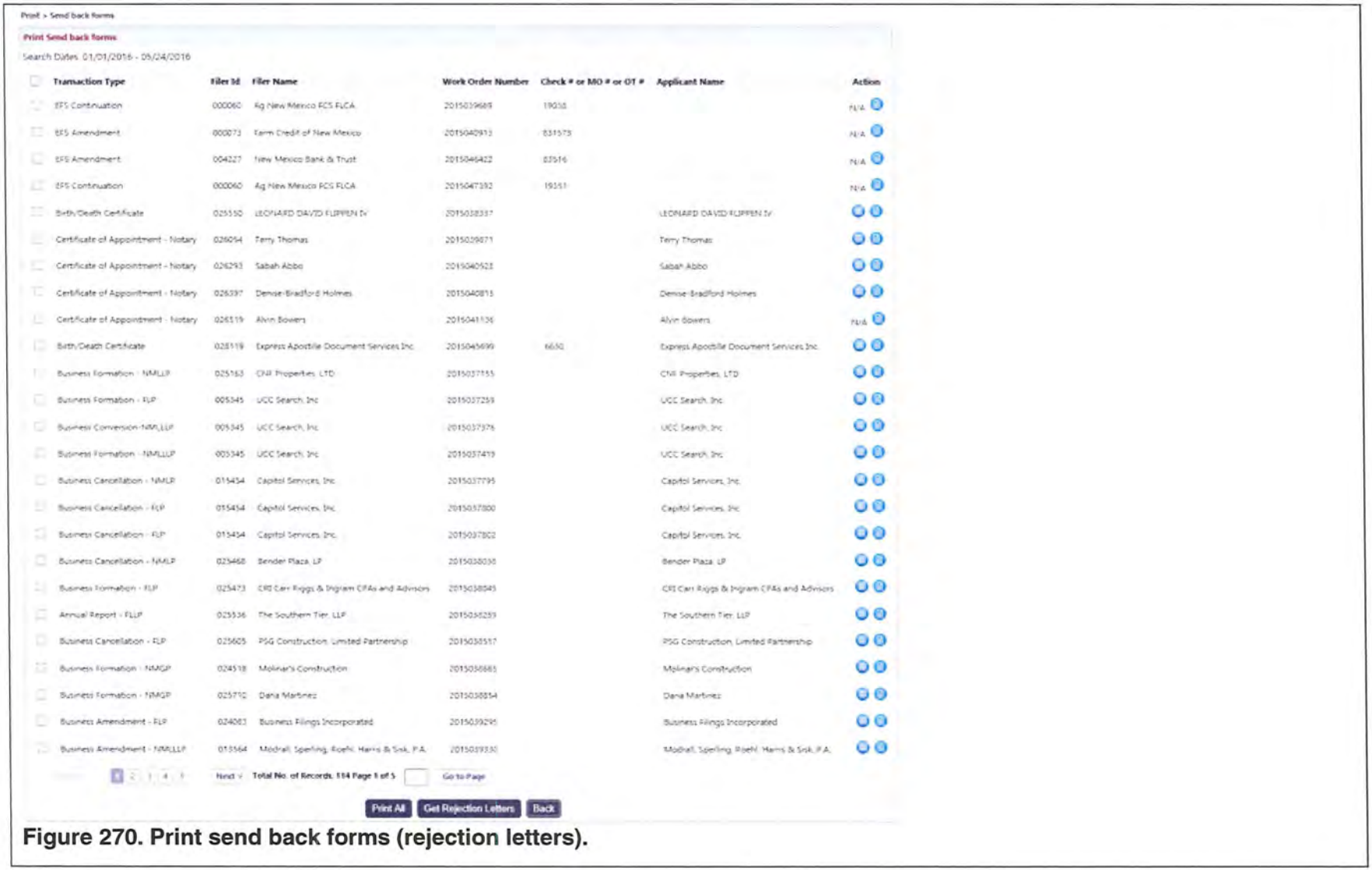


Figure 270. Print send back forms (rejection letters).

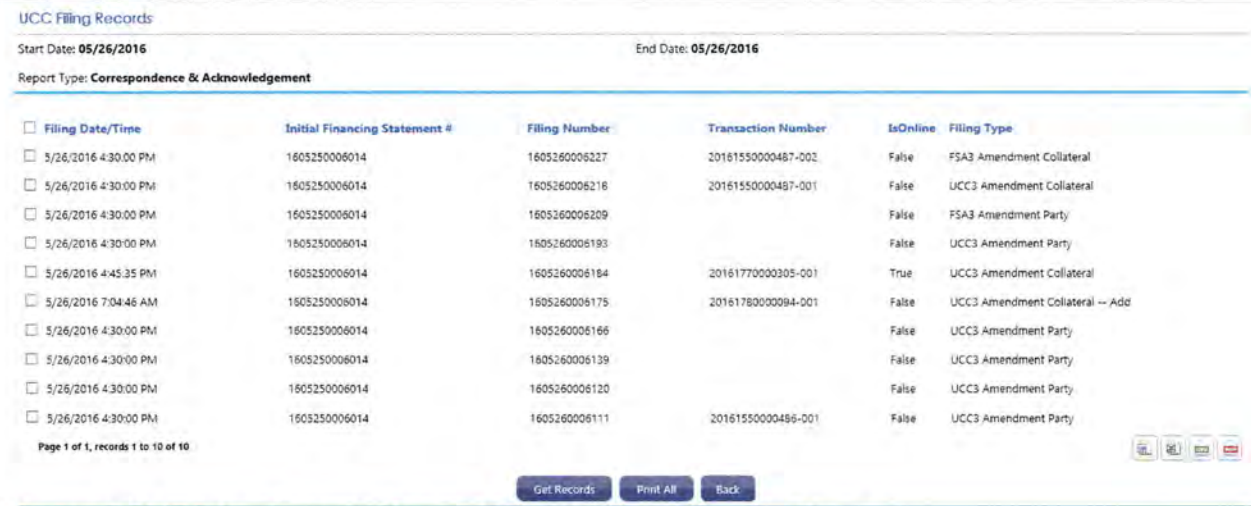


Figure 271. Print acknowledgements and filing correspondence.

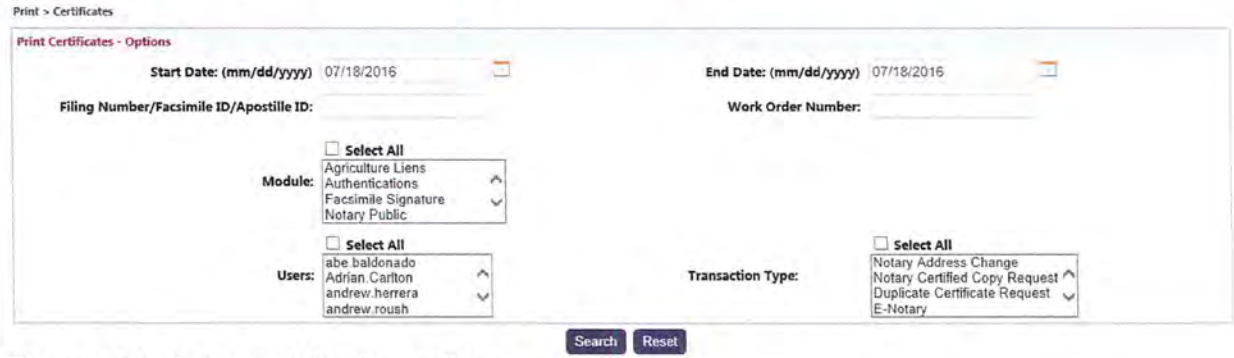


Figure 272. Print certificates options.

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-4	**Searches and Copy Requests** Searches and Copies (Regular or Certified), Certificates of Good Standing. Refer to RTM Corp-1 for Corporation search information. Refer to UCC-1 and Appendix C - Statutes and Rules & Regulations for UCC search information and EFS-1 for EFS search information. The system must allow fees to be collected and/or charges to be invoiced for all request types per page and/or per certificate and/or per name and trackable in the Accounts Receivable for Corp, UCC, and EFS. Certificates, Certified Copies, and Certified Search Report of records need to include the State seal/or use State seal preprinted paper when generating. These must pull information and/or images from the system and prefill templates. The image must be able to print on either letter or legal size paper as needed. UCC Certified Search and Copies reports are pulled from the templates and the staff manually adds the gold seal. Provide option to send by email. See Appendix D – Certificates, Forms, and Templates. (Start with OPEN ME FIRST document for explanation of folder contents and usage.) The bidder should describe and provide screen shots showing how the system will handle Searches and Copy Requests.	X			

Bidder Response:
The system will allow receipting and processing of certified copy requests and certified searches. They will function similar to other filing types, being added as a transaction type on the work order and being routed to the appropriate processing work queues. In the processing screens specific business, debtor, or filing number will entered depending on the filing type, and the system will produces outputs of either the report, or the stamped filing image of the filing, along with the standard filing acknowledgment, and the specific form of certificate that is associated to that filing type.

The system allows the user to receipt the certified copy request and the charge for filing copies as separate line items. In most cases the request itself will be paid, but the filing copies will be invoiced to the customer for future payment, and the work order will

become a balance due invoice.

Payment of invoiced transactions at a later date is detailed in the bidder response to CPP-1.

Add a certified copies filing transaction to the work order and enter the entity type and entity name.

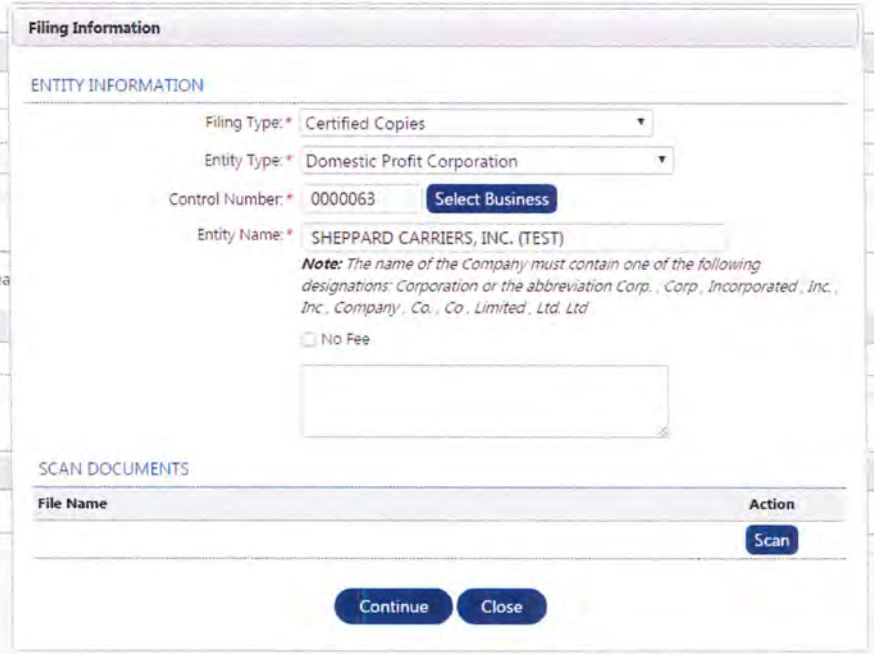


Figure 273. Filing information. Certified copies.

The filing is routed to the appropriate work queue after the work order is committed.

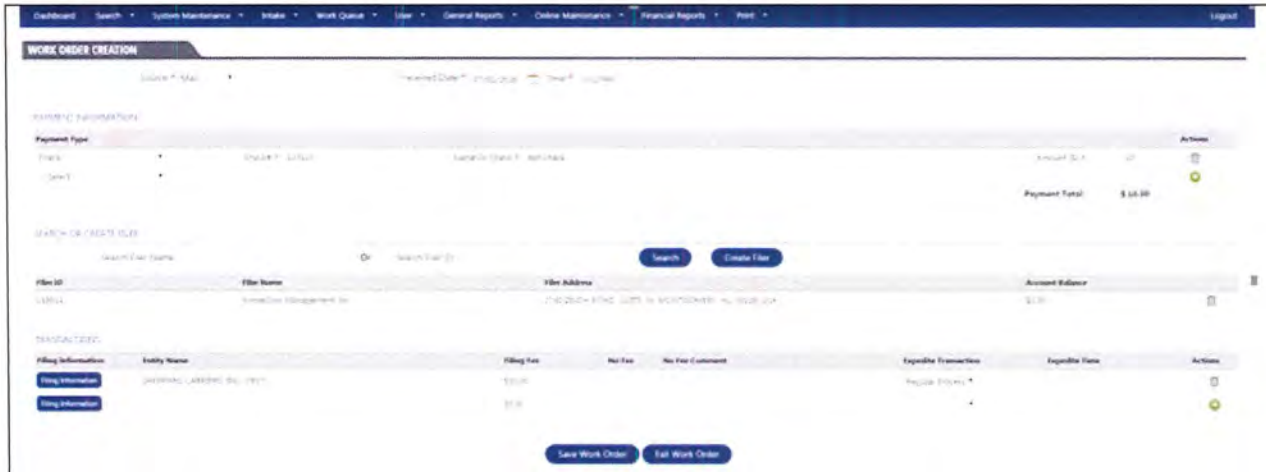


Figure 274. Work order creation.

The filing is routed to the appropriate work queue after the work order is committed.

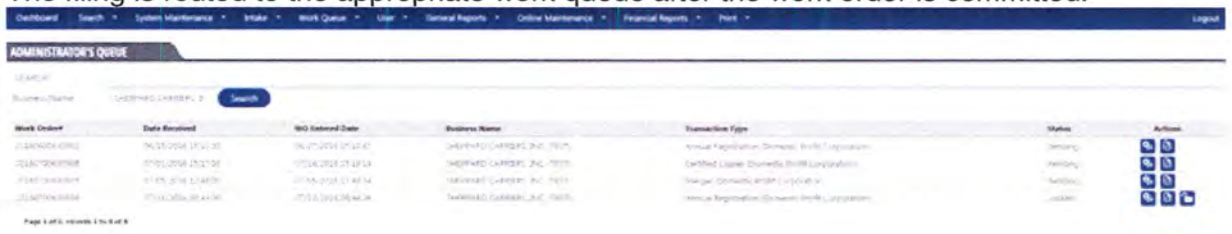


Figure 275. Work queue.

Select the filing to process from the work queue.

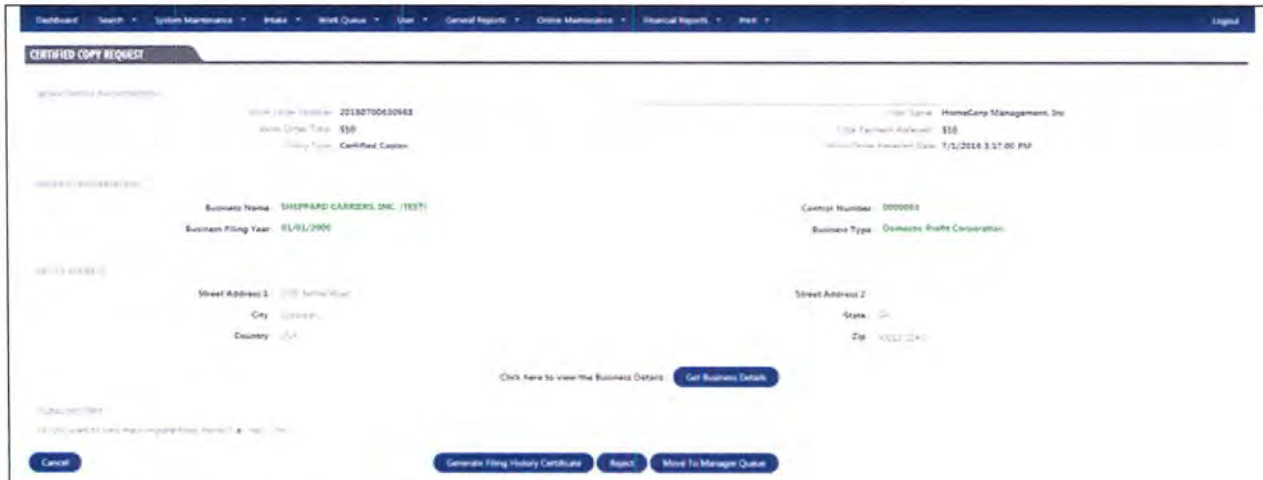


Figure 276. Certified copy request.

Process the filing.

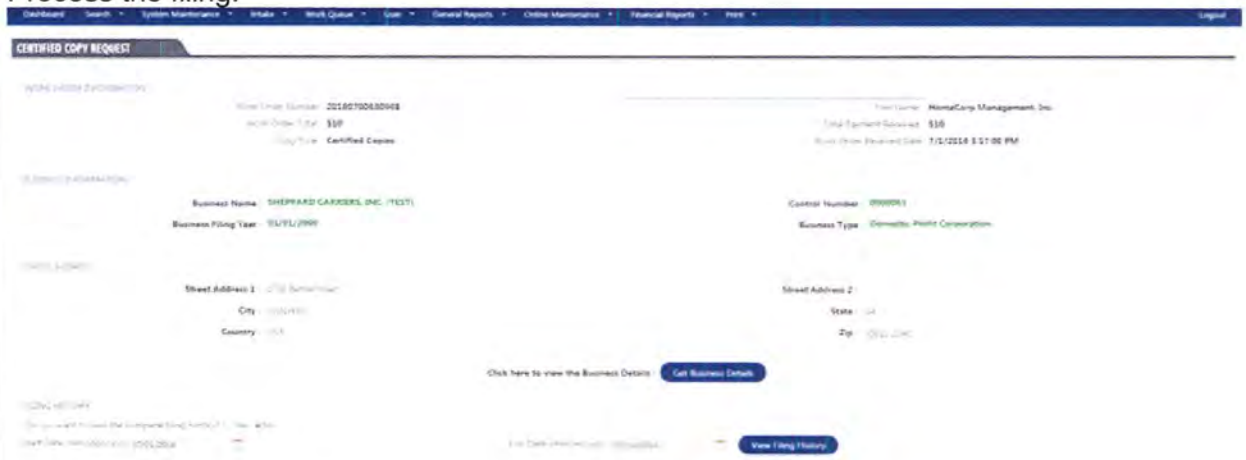


Figure 277. Certified copy request.

During review, the staff can review the business information by clicking on “Get Business Details” on another tab in the same browser.



Figure 278. Business details.

Staff can select if the complete filing history is needed or select date range if requested.

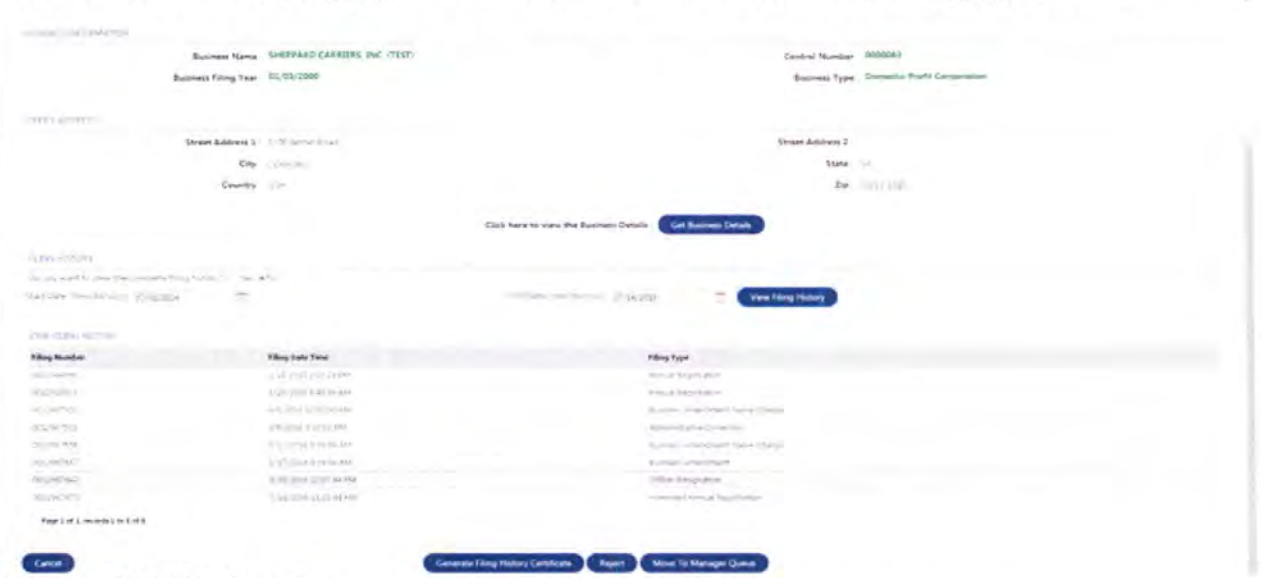


Figure 279. Work order.

The system produces a filing appropriate certificate and a copy of the filing stamped image as an output.



Figure 280. Certified copy request completed.

Figure 281. Example: Certificate of Certified Copy.

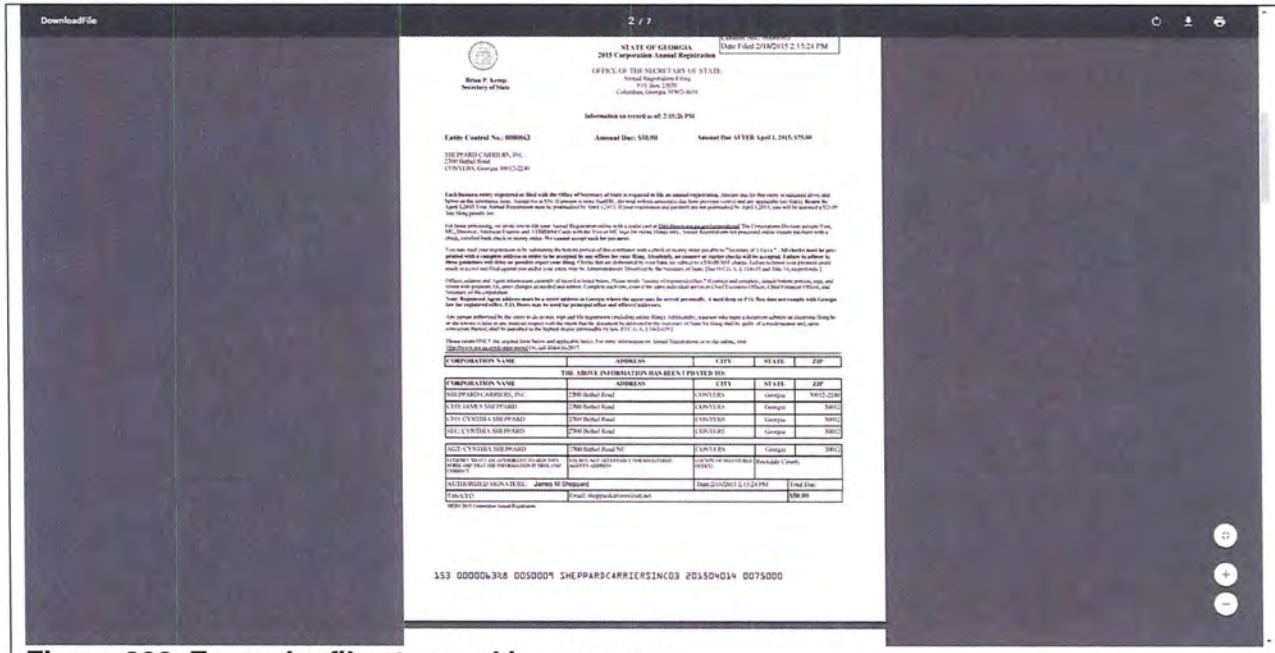


Figure 282. Example: file stamped image copy.

UCC certified jacket:

Create a UCC-11 search transaction on a work order with the certified jacket option selected.

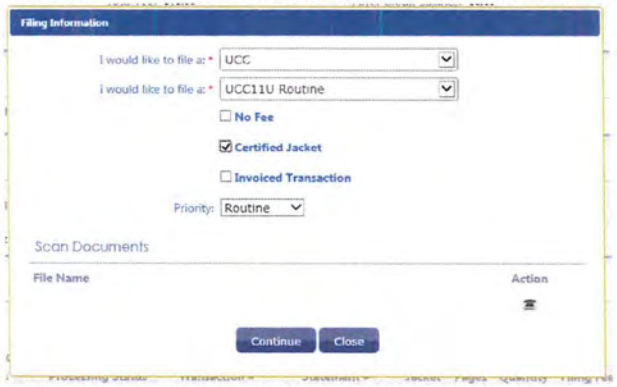


Figure 283. Filing information. UCC-11 search transaction with certified jacket checkbox checked.

Upon commit the filing will be sent to the search queue for processing.

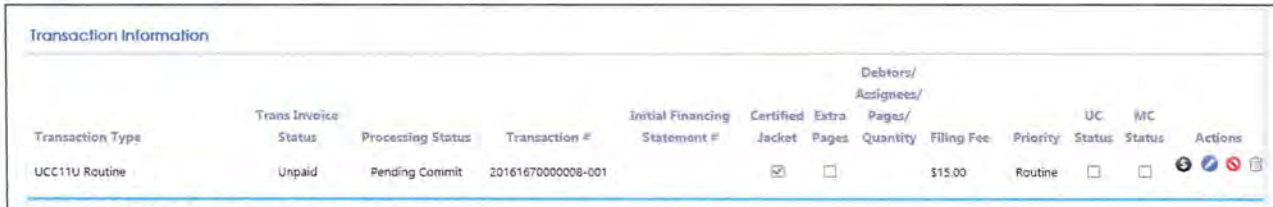


Figure 284. Transaction information.

The scanned filing image will be displayed to the user, either below the data entry fields or in a separate tab. The information on the search request form will be entered into the processing screen.

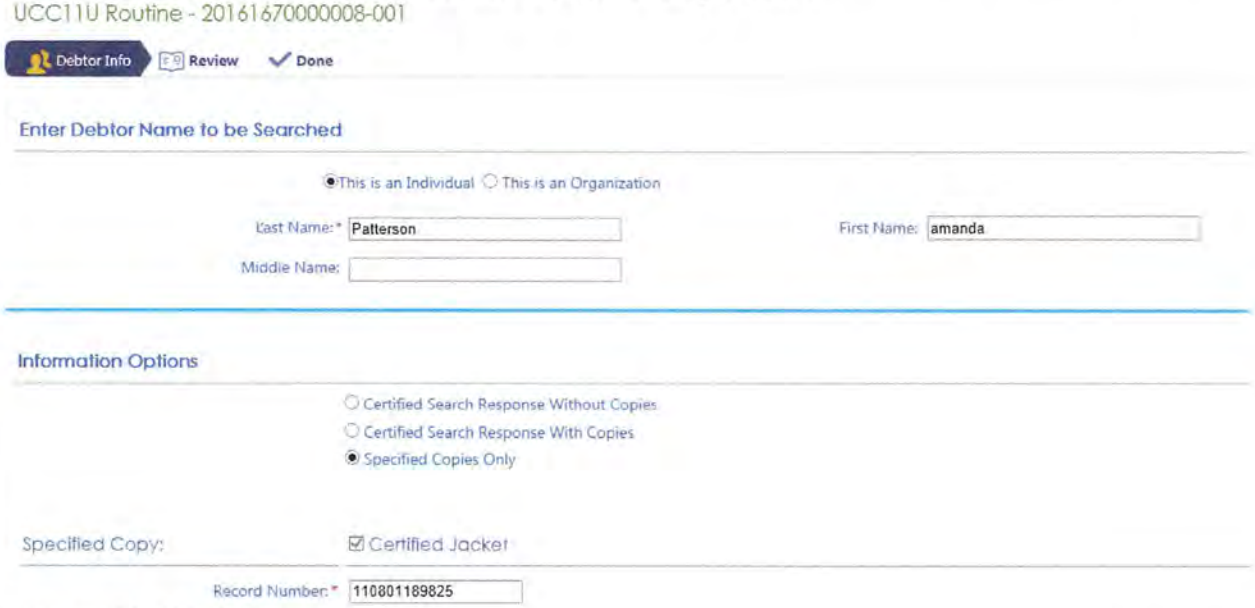


Figure 285. UCC-11 search.

The system returns the filing stamped image of the requested record, along with a certificate. The certificate is configurable to the State's specific format and needs.



Figure 286. Example: certificate and file stamped image.

Billing for filing copies:
The user will return to the work order where the certified copy request was originally receipted, re-open it, and add a filing chain copy transaction of the appropriate filing type (specific fees can be associated to specific filing type copies). The user will enter the number of pages of the copies that were generated as part of the request. The user will check the "Invoiced Transaction Checkbox" for this transaction.

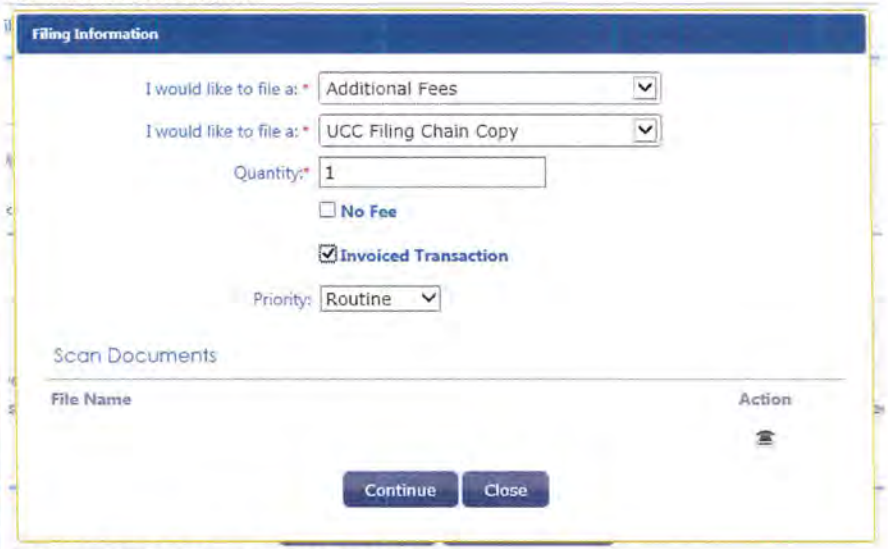


Figure 287. Filing information.

The work order now has a transaction with a transaction invoice status of "Invoiced." The filing fee will be automatically calculated by the system based on the filing type of the copy request and business rules regarding fee to page number mapping.

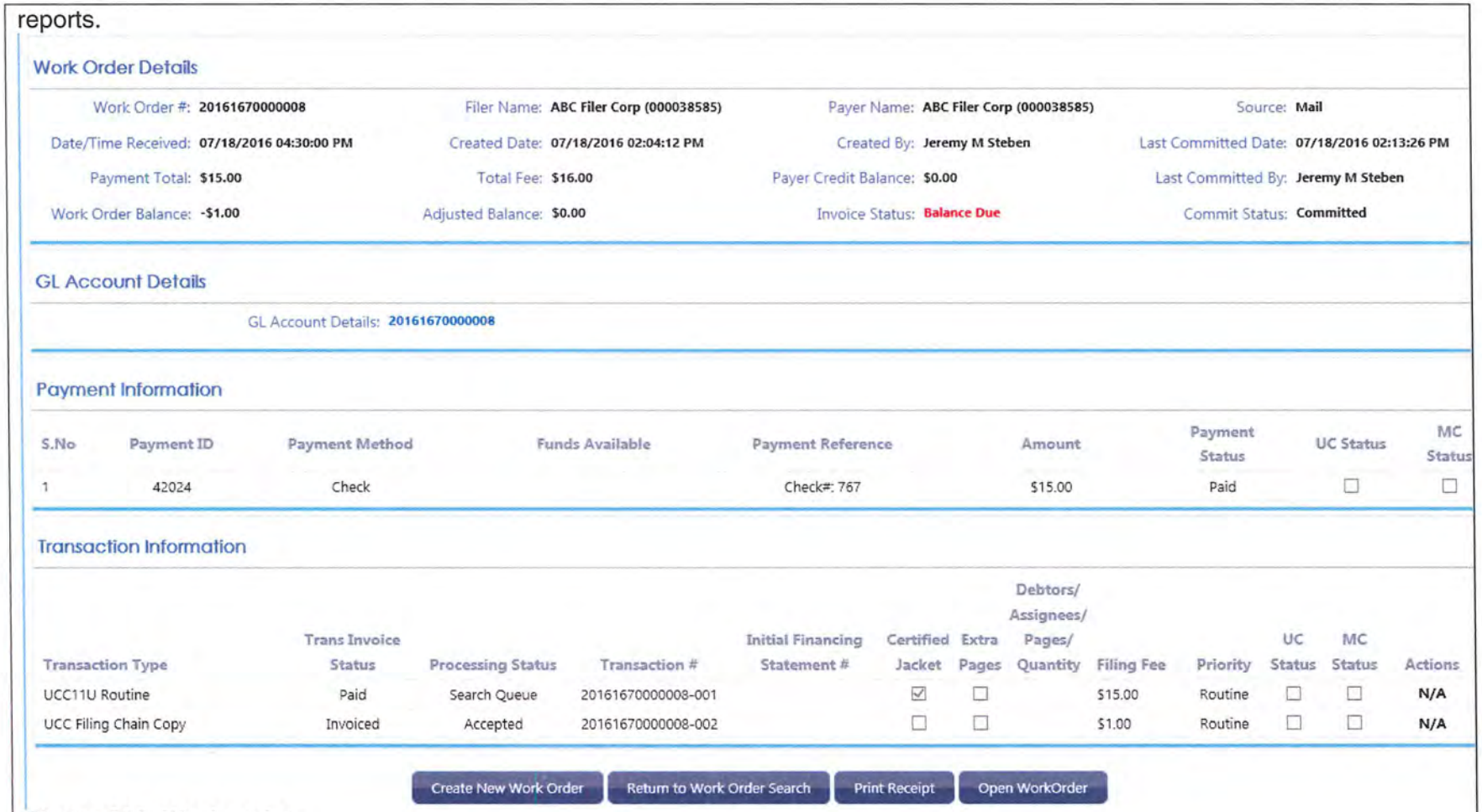
Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC11U Routine	Paid	Search Queue	20161670000008-001		☑	☐		$15.00	Routine	☐	☐	N/A
UCC Filing Chain Copy	Invoiced	Accepted	20161670000008-002		☐	☐		$1.00	Routine	☐	☐	N/A

Figure 288. Transaction information.

The work order now shows a "Balance Due" invoice status and will be returned in liability reports and aged accounts receivable

reports.



Work Order Details

Work Order #: 20161670000008	Filer Name: ABC Filer Corp (000038585)	Payer Name: ABC Filer Corp (000038585)	Source: Mail
Date/Time Received: 07/18/2016 04:30:00 PM	Created Date: 07/18/2016 02:04:12 PM	Created By: Jeremy M Steben	Last Committed Date: 07/18/2016 02:13:26 PM
Payment Total: $15.00	Total Fee: $16.00	Payer Credit Balance: $0.00	Last Committed By: Jeremy M Steben
Work Order Balance: -$1.00	Adjusted Balance: $0.00	Invoice Status: Balance Due	Commit Status: Committed

GL Account Details

GL Account Details: 20161670000008

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	42024	Check		Check#: 767	$15.00	Paid	☐	☐

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC11U Routine	Paid	Search Queue	20161670000008-001		☑	☐		$15.00	Routine	☐	☐	N/A
UCC Filing Chain Copy	Invoiced	Accepted	20161670000008-002		☐	☐		$1.00	Routine	☐	☐	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 289. Work order.

The work order receipt now functions both as a receipt of payment and work performed and as an invoice for funds due for the filing copies.

Work Order #: 20161670000008

Receipt Date/Time: 07/18/2016 03:00:01 PM

Payer Information:

ABC Filer Corp
989 Tamara Circle
Lincoln, NE, 68501, USA

Filer Information:

ABC Filer Corp
989 Tamara Circle
Lincoln, NE, 68501, USA

Payer Customer ID: 38585

Filer Customer ID: 38585

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
7/18/2016 2:05:49 PM	Check	Check#: 767	N/A	Paid	$15.00
				Total Payment Received:	**$15.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
7/18/2016 2:04:12 PM	UCC11U Routine	N/A	20161670000008-001	Pending	Paid	$10.00
7/18/2016 2:04:12 PM	Certified Jacket	N/A	20161670000008-001	Pending	Paid	$5.00
7/18/2016 2:13:26 PM	UCC Filing Chain Copy	N/A	20161670000008-002	Accepted	Invoiced	$1.00
					Total	**$16.00**

Figure 290. Receipt.

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-5	**External Access** Access by external third party vendors for searches and filings must come through an API to use the contractor software to perform searches and to return results, and to process incoming online filings rather than granting them access to tables and files. External search and copy requests as well as online filings via the SoS website are currently handled through Nebraska.gov. <u>Corporate & Business Search</u> Searches are provided to obtain information on the status of all entities, trade names, trademarks, and service marks registered in the State of Nebraska. Certificates of Good Standing and images of filed documents may also be available for purchase. Payment can be made by credit card or a customer account can be set up on ACH billing in order to complete the transfer of funds due to the Secretary of State. <u>Corporate Document eDelivery</u> This service allows users to electronically submit document(s) for filing with the Secretary of State. Payment can be made by credit card or a customer account can be set up on ACH billing in order to complete the transfer of funds due to the Secretary of State. <u>Corporate Certificates of Good Standing</u> This service allows users to request a paper certificate to be mailed from the office or an electronic certificate of good standing for business entities registered with the Secretary of State. The electronic certificate include a verification ID number for electronic validation and are instantly available and can be viewed in a web browser or printed.	X			

	Corporate Record Searches – Special Requests Specify criteria for a search of the Nebraska Secretary of State Corporate Database and receive a file of all matching records. Information includes: Entity type (nonprofit, LLC, etc.), company name, officer name and principle office address (no phone numbers) plus other entity specific information. *Note: The total number of matches and cost is provided prior to submitting order.* Corporate Records Batch Subscribers can sign up to receive official corporation record data from the Secretary of State Business office on a weekly, bi-weekly, or monthly basis. This is a full set of data in a fixed record length format containing multiple files that would be used in external databases. File delivery is accomplished via FTP. Corporate Searches and Document Images Images of filed business documents are available through the online Corporate Image searches. Examples of documents available include: tax reports, name changes, annual filings, etc. These documents are instant-access and can be viewed in the web browser, or printed. UCC Image Batch Subscribers can sign up to receive PDF images of UCC documents filed with the Nebraska Secretary of State on a monthly basis. File delivery is accomplished via FTP. UCC Records Batch Subscribers can sign up to receive official UCC record data from the Secretary of State Business office on a weekly, bi-weekly, or monthly basis. This is a full set of data in a fixed record length format containing				

	multiple files that would be used in external databases. File delivery is accomplished via FTP. UCC/EFS Filings This service allows you to electronically file UCC and EFS Originals, Assignments, Amendments, Continuations and Terminations with the Secretary of State. Subscribers must complete the UCC Electronic Filing Agreement with the Secretary of State to access this service. UCC/EFS Searches and Document Images This service provides online access to the Nebraska Secretary of State Uniform Commercial Code and Effective Financing Statement records. Subscribers can search by original document number or debtor name only. Special request searches by secured party or debtor location are also available. UCC/EFS Special Requests Specify criteria for a search by Secured Party, or location, of the Nebraska Secretary of State UCC Database and receive a file of all matching records. Information includes: Lien number, date of filing, debtor name, and address. Bidder should describe how their system's API handles and processes the above searches, requests, and online filings via Nebraska.gov and how additional filings can be added via the portal.				
Bidder Response:					

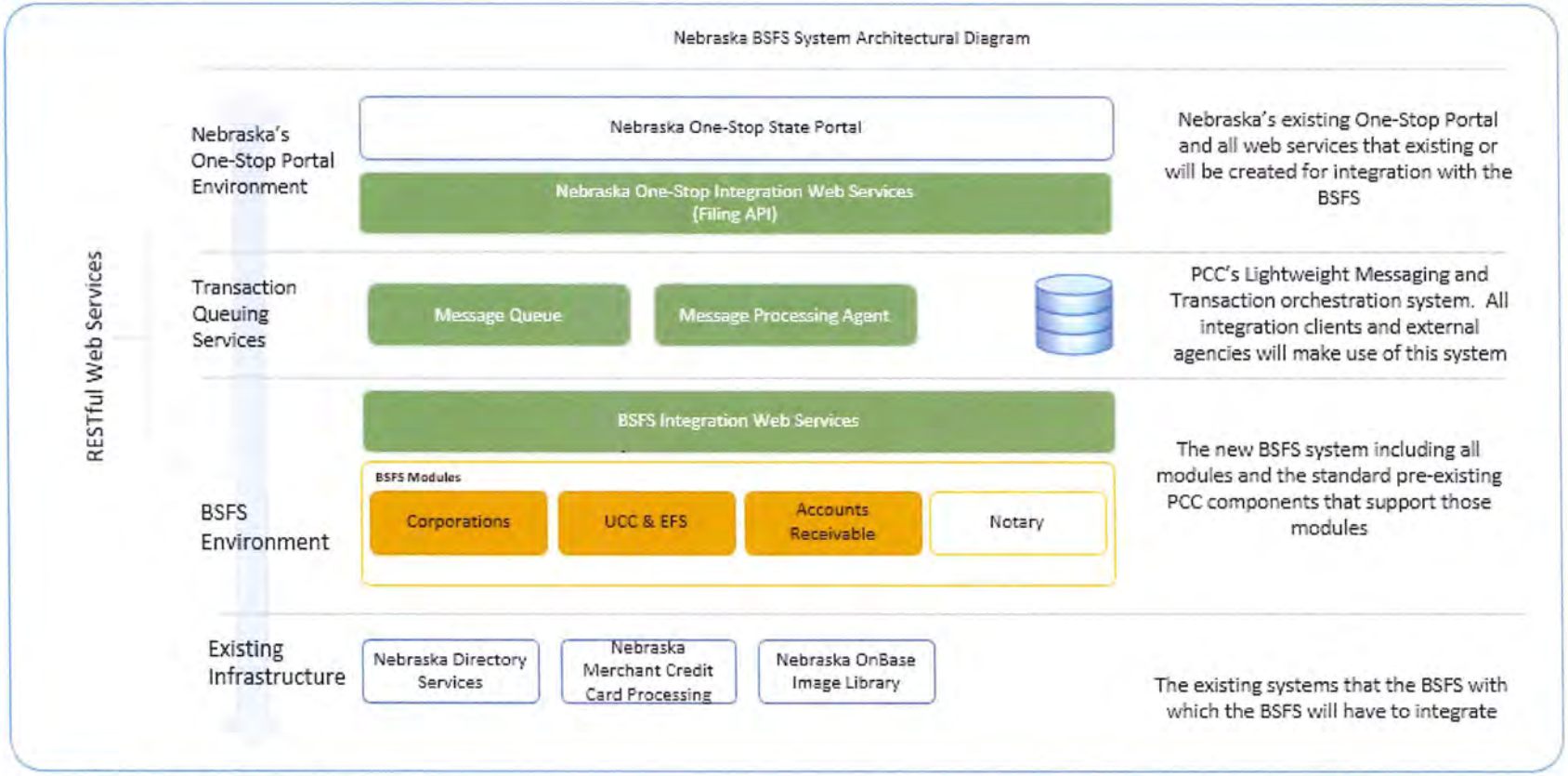


Figure 291. System architecture.

All access by external third party vendors will be required to go through the BSFS integration web services, this includes the Nebraska One-Stop State Portal. These services are the access points to functionality such as the following.

- Corporate, corporate record, batch corporate record & business searches
- Document management
- Payment services and shopping cart functionality
- Requests for the different kinds of certificates
- Document management and retrieval requests
- UCC image and records batch
- Various other UCC/BSFS searches

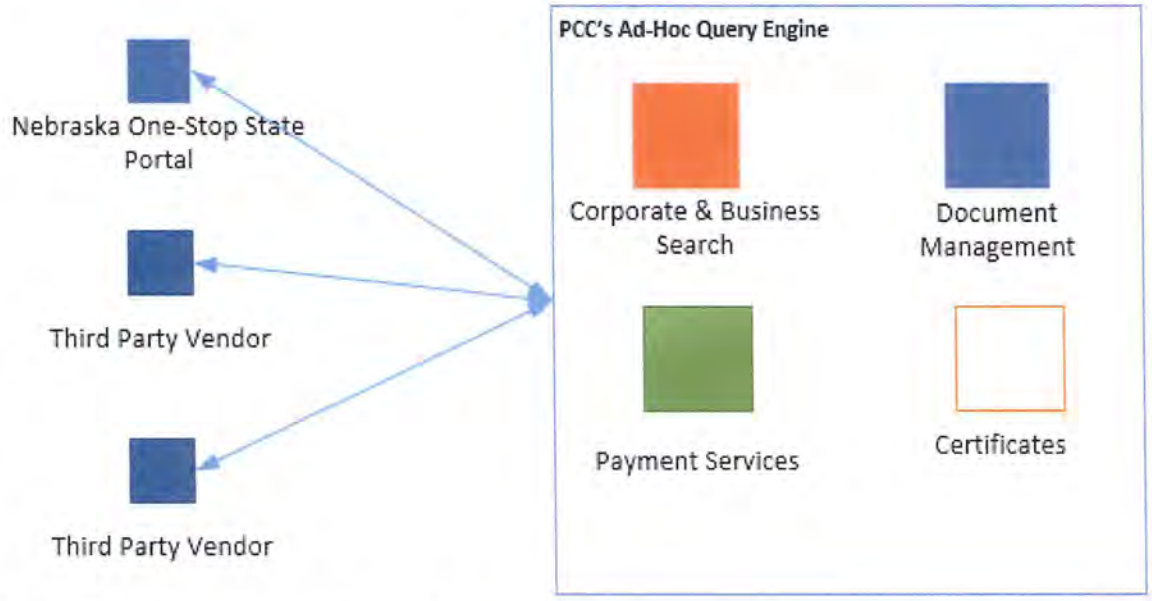


Figure 292. Integration web services.

These different types of searches and document management functionality are core features of PCC's existing solution. PCC's ad-hoc query engine facilitates the rapid querying of the base BSFS. Furthermore, the ad-hoc query engine is configurable and allows for the creation queries that can be used to serve up data that is most often requested.

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-6	Document Imaging The bidder will use the State's existing image library (Hyland OnBase). The system must associate document id numbers with the filed document handle number stored in OnBase in order to display, retrieve, print, fax, and email selected document images. Scanning Original documents must be kept for one year after being filed and scanned and must be easily retrievable. The bidder should propose when and how the documents should be scanned, redacted, and tagged for this manual filing/retrieval. Redaction must be applied, in part or whole, to personal protected information (PPI) as defined by policy. The OnBase image library will store images of both the Original document and the redacted version. The SoS internal users will have access to the image of the Original or redacted document. Retrieving Images Criteria for the system include: A. viewing or retrieving images through the bidder application or Nebraska.gov without signing into OnBase image library for an entity, debtor, or document number. B. ability to print, fax, or email all or selected page(s) from a selected image. Must be able to print on appropriate size paper. C. ability to print, fax, or email single or multiple document images for an entity without having to open or view the image(s). Must be able to print on appropriate size paper. Bidder will describe how their system's API handles and processes document imaging, scanning, and retrieval, emphasizing how it improves the current process.	X			
Bidder Response: The web services integration layer is the primary means for integrating with the BSFS. This layer wraps the functionality that is native to the BSFS. This functionality includes all the aforementioned document, imaging, retrieval, and delivery functionality. The document					

capture can be done via the browser using PCC's in-browser scanning tool or through another application that feeds the scanned images to the BSFS through its web services interface. Additionally, images of documents that are scanned in can be requested from the BSFS through the same web services. PCC recommends storing scanned documents as PDFs so that the system can more readily print, fax, or email all or selected page(s) from a selected image. The BSFS, using ABC PDF, can stitch separate images and documents into a single PDF that can then be sent to the customer.

The web services integration layer will allow the State to more readily support self service requests from the one-stop portal. Users will be able to bypass the help desk to perform certain tasks. Self-service will return the time it takes for the State to receive and process a request from an entity.

RTM #	Reporting/Query Requirements	Yes	Customization Required	No	Alternate
Rept-1	Bidder should provide samples of the following reports and other standard reports that are available in your system. A. Reports by entity type based on active, inactive, and lapsed or active, inactive, and suspended which will included the number filed B. Reports by entity type and/or action based upon a specified date range C. Accounts receivable reports, for example, daily deposit reports by staff person; and audit reports D. Reports by filing type and/or action based upon a specified date range E. UCC AR Reports F. Management reports of staff user processes on a daily, monthly, and annual basis. Statistical / Entity reports G. Online and internal filings, separate and combined status report H. Daily report of monies processed for invoice receipt types listed below. 1. Cash, Credit Memos, Checks, ACH, IBTs 2. Transaction Report for payments received by type, funds, and amount. I. Daily Scanning Error report that identifies any documents within a range that don't have images scanned and page differences of	X			

	what was entered in the system for document vs what was scanned. J. UCC Batch Proof Accounts Receivable Report – All monies received for daily jobs or AR from billing invoices for a daily total received. Currently missing on the report is total number of filings by action, and total monies received. See Appendix K – Reports and Additional Information for examples of existing reports with additional pertinent information needed to distribute reports to appropriate parties, in requested format, per specified schedule. Reports provided by the bidder's system should be substantially the same as the examples. The BSFS should file stamp and export reports into OnBase for storage and retrieval or store and retrieve them within the filing system. The bidder should describe and provide screen shots showing how your system generates, stores, and retrieves reports/queries by entity type and/or action for a specified date range. At a minimum, bidder should acknowledge that you are able to develop reports as requested and provide ad hoc report capability.				

Bidder Response:
The solution contains a number of standard reports that provide ad-hoc querying on a set of provided fields. The reports are returned in paginated html on the screen for easy viewing, and are exportable to .PDF, Excel, .CSV and Word file formats.

PCC will work with the SoS to identify any gaps in the standard reporting functionality and provide custom reports according to the State's needs.

The following list of reports are standard payment and transaction reports. Reports specific to their functionality, such as a user close out report or the filer reconciliation report are described with their functionality within this document.

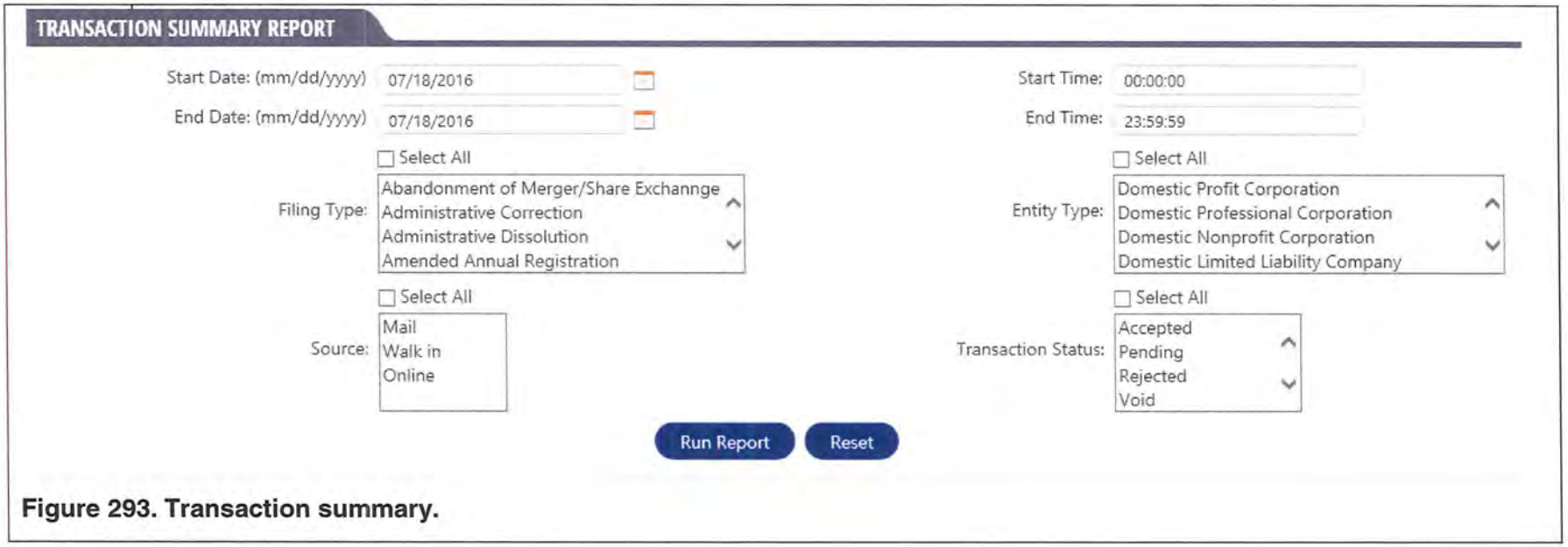


Figure 293. Transaction summary.

General Reports > Transaction Summary

Selection Criteria

Start Date & time: 7/1/2016 12:00:00 AM

End Date & Time: 7/18/2016 11:59:59 PM

Status: Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue

Source: Mail, Walk in, Online

Filing Type	Entity Type	Status	Source	Count	Amount
Amended Annual Registration	Domestic Credit Union	Accepted	Walk in	1	$20.00
Amended Annual Registration	Domestic Professional Corporation	AmendedAR Queue	Mail	2	$40.00
Amended Annual Registration	Domestic Professional Corporation	AmendedAR Queue	Walk in	2	$40.00
Amended Annual Registration	Domestic Profit Corporation	Rejected	Walk in	1	$20.00
Annual Registration	Domestic - Professional Corporation	Pending	Walk in	2	$100.00
Annual Registration	Domestic - Profit Corporation	Pending	Walk in	2	$100.00
Business Amendment	Domestic - Limited Liability Companies	Pending	Mail	1	$20.00
Business Amendment	Domestic - Limited Liability Companies	Rejected	Online	1	$20.00
Business Amendment	Domestic - Limited Liability Companies	Accepted	Walk in	2	$40.00
Business Amendment	Domestic - Limited Liability Companies	Pending	Walk in	2	$40.00
				Grand Total : 58	**Grand Total : $2,140.00**

« Previous 1 2 3 4 5 Next > Page 1 of 5, records 1 to 10 of 43 Go to Page

Figure 294. Transaction summary.

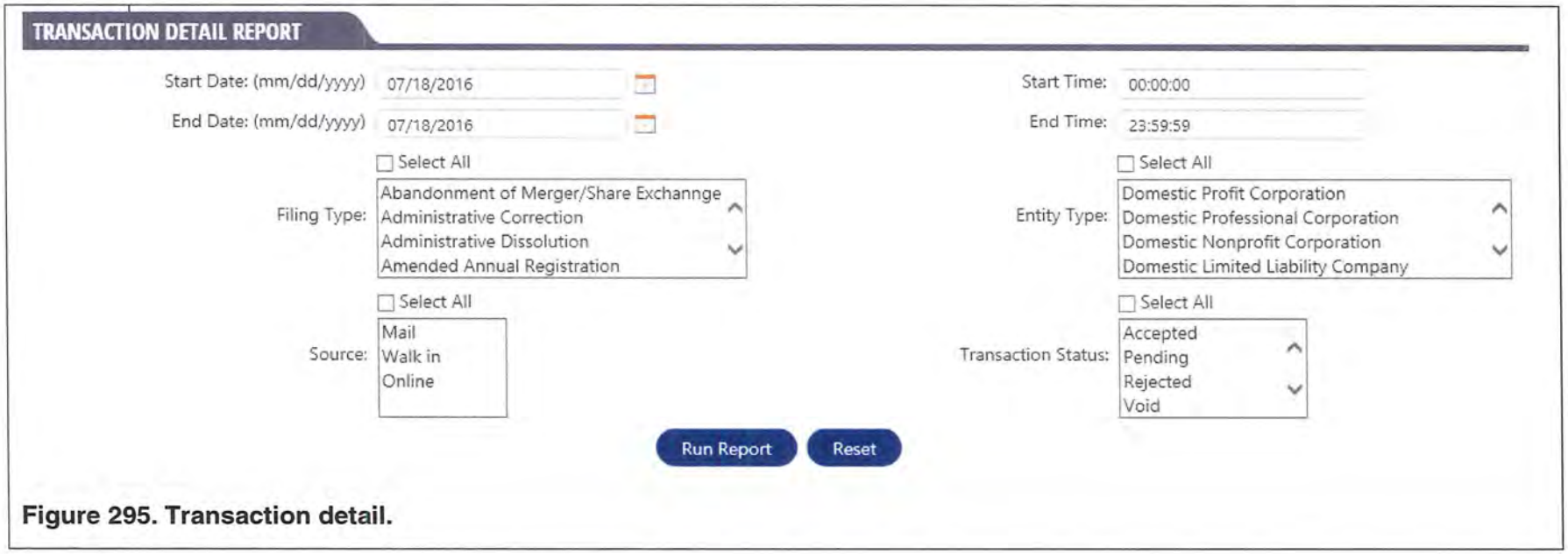
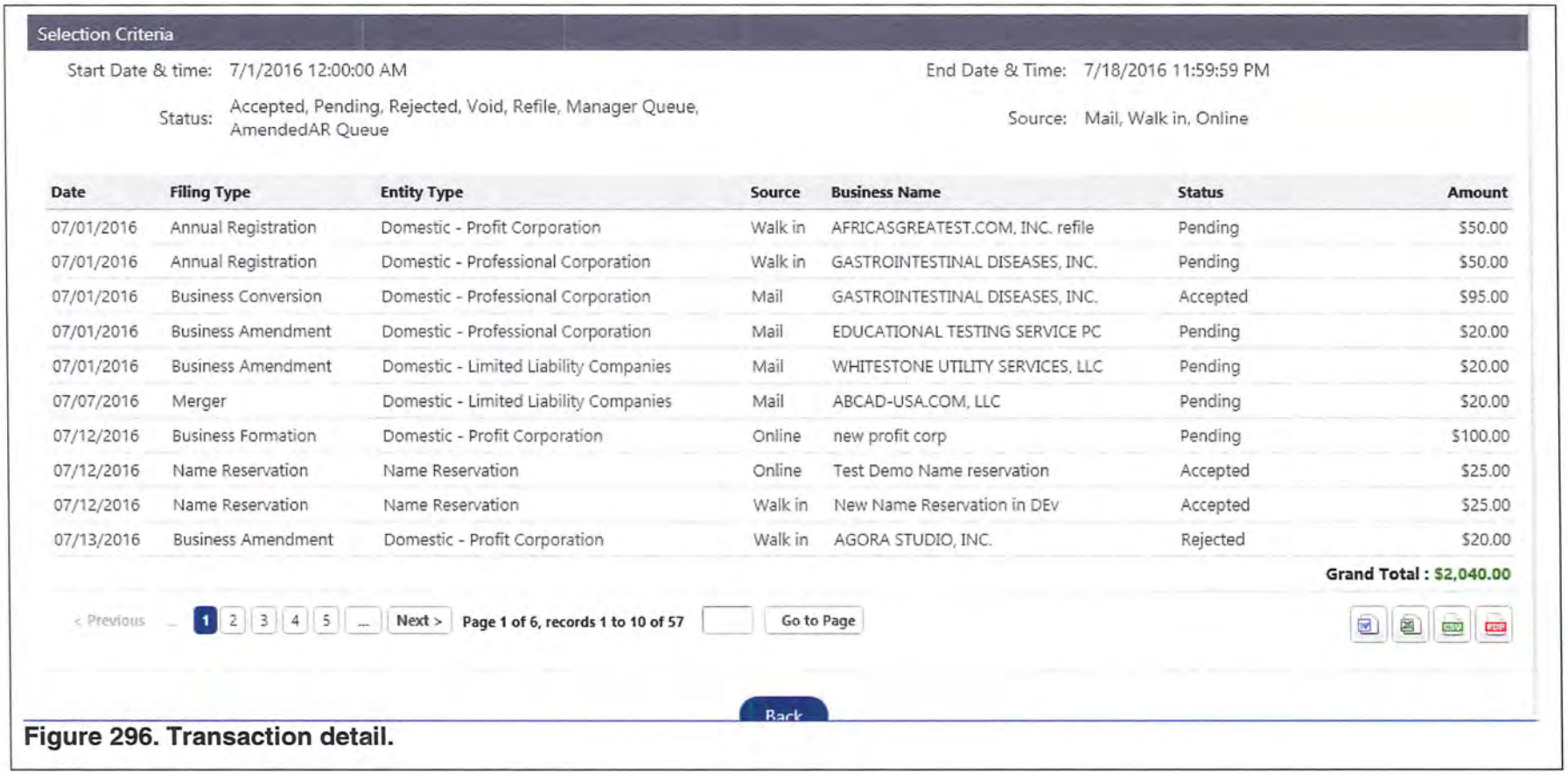


Figure 295. Transaction detail.



Selection Criteria

Start Date & time: 7/1/2016 12:00:00 AM

End Date & Time: 7/18/2016 11:59:59 PM

Status: Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue

Source: Mail, Walk in, Online

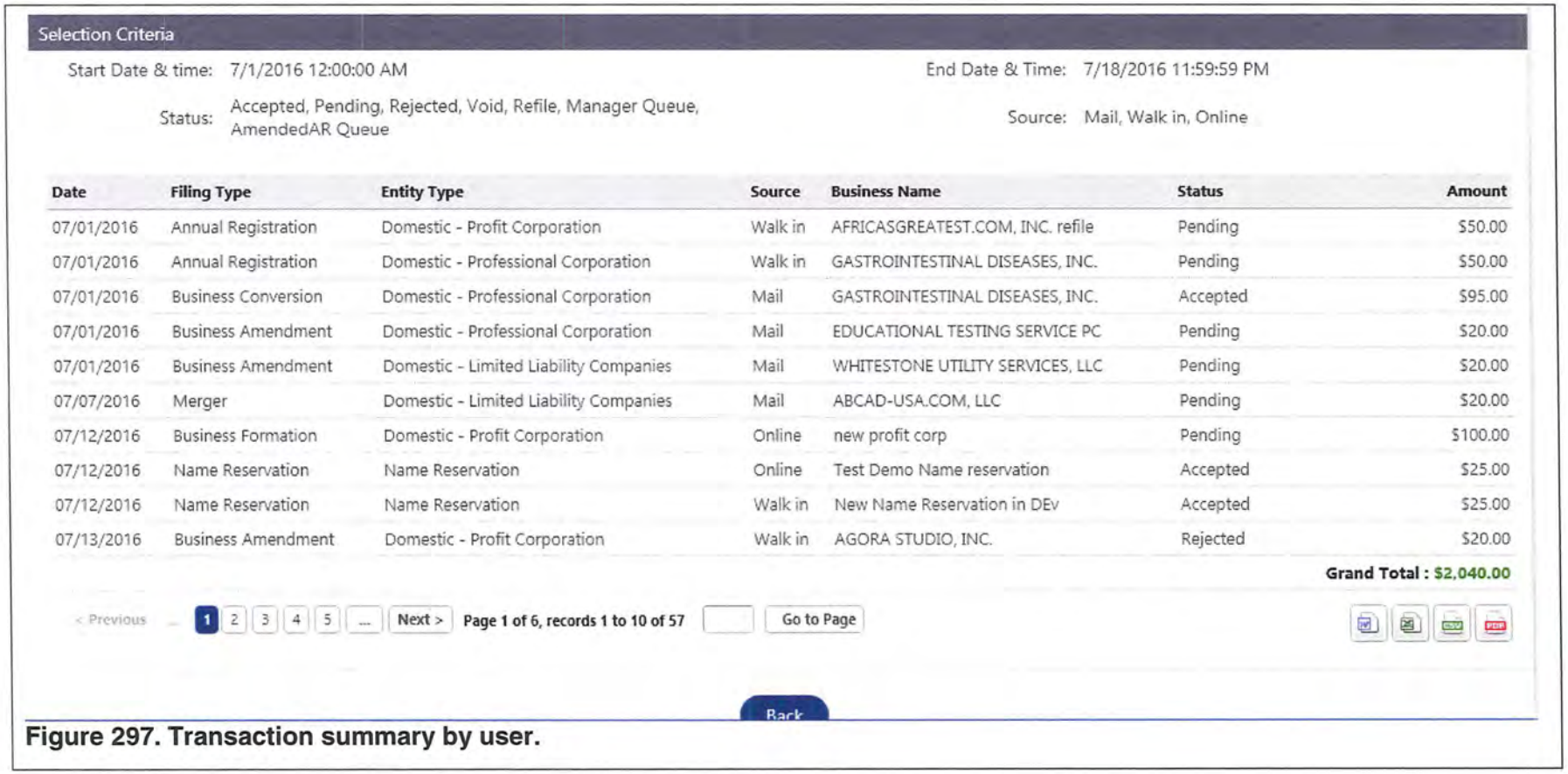
Date	Filing Type	Entity Type	Source	Business Name	Status	Amount
07/01/2016	Annual Registration	Domestic - Profit Corporation	Walk in	AFRICASGREATEST.COM, INC. refile	Pending	$50.00
07/01/2016	Annual Registration	Domestic - Professional Corporation	Walk in	GASTROINTESTINAL DISEASES, INC.	Pending	$50.00
07/01/2016	Business Conversion	Domestic - Professional Corporation	Mail	GASTROINTESTINAL DISEASES, INC.	Accepted	$95.00
07/01/2016	Business Amendment	Domestic - Professional Corporation	Mail	EDUCATIONAL TESTING SERVICE PC	Pending	$20.00
07/01/2016	Business Amendment	Domestic - Limited Liability Companies	Mail	WHITESTONE UTILITY SERVICES, LLC	Pending	$20.00
07/07/2016	Merger	Domestic - Limited Liability Companies	Mail	ABCAD-USA.COM, LLC	Pending	$20.00
07/12/2016	Business Formation	Domestic - Profit Corporation	Online	new profit corp	Pending	$100.00
07/12/2016	Name Reservation	Name Reservation	Online	Test Demo Name reservation	Accepted	$25.00
07/12/2016	Name Reservation	Name Reservation	Walk in	New Name Reservation in DEv	Accepted	$25.00
07/13/2016	Business Amendment	Domestic - Profit Corporation	Walk in	AGORA STUDIO, INC.	Rejected	$20.00

Grand Total : $2,040.00

< Previous 1 2 3 4 5 ... Next > Page 1 of 6, records 1 to 10 of 57 Go to Page

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Figure 296. Transaction detail.



Selection Criteria

Start Date & time: 7/1/2016 12:00:00 AM

End Date & Time: 7/18/2016 11:59:59 PM

Status: Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue

Source: Mail, Walk in, Online

Date	Filing Type	Entity Type	Source	Business Name	Status	Amount
07/01/2016	Annual Registration	Domestic - Profit Corporation	Walk in	AFRICASGREATEST.COM, INC. refile	Pending	$50.00
07/01/2016	Annual Registration	Domestic - Professional Corporation	Walk in	GASTROINTESTINAL DISEASES, INC.	Pending	$50.00
07/01/2016	Business Conversion	Domestic - Professional Corporation	Mail	GASTROINTESTINAL DISEASES, INC.	Accepted	$95.00
07/01/2016	Business Amendment	Domestic - Professional Corporation	Mail	EDUCATIONAL TESTING SERVICE PC	Pending	$20.00
07/01/2016	Business Amendment	Domestic - Limited Liability Companies	Mail	WHITESTONE UTILITY SERVICES, LLC	Pending	$20.00
07/07/2016	Merger	Domestic - Limited Liability Companies	Mail	ABCAD-USA.COM, LLC	Pending	$20.00
07/12/2016	Business Formation	Domestic - Profit Corporation	Online	new profit corp	Pending	$100.00
07/12/2016	Name Reservation	Name Reservation	Online	Test Demo Name reservation	Accepted	$25.00
07/12/2016	Name Reservation	Name Reservation	Walk in	New Name Reservation in DEv	Accepted	$25.00
07/13/2016	Business Amendment	Domestic - Profit Corporation	Walk in	AGORA STUDIO, INC.	Rejected	$20.00

Grand Total : $2,040.00

< Previous 1 2 3 4 5 ... Next > Page 1 of 6, records 1 to 10 of 57 Go to Page

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Figure 297. Transaction summary by user.

General Reports > Transaction Summary By User

Selection Criteria

Start Date & time: 7/1/2016 12:00:00 AM

End Date & Time: 7/18/2016 11:59:59 PM

Status: Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue

Users: admin admin

User Name	Filing Type	Entity Type	Count	Amount
admin admin	Amended Annual Registration	Domestic Credit Union	1	$20.00
admin admin	Amended Annual Registration	Domestic Professional Corporation	4	$80.00
admin admin	Amended Annual Registration	Domestic Profit Corporation	1	$20.00
admin admin	Annual Registration	Domestic - Professional Corporation	2	$100.00
admin admin	Annual Registration	Domestic - Profit Corporation	2	$100.00
admin admin	Business Amendment	Domestic - Limited Liability Companies	6	$120.00
admin admin	Business Amendment	Domestic - Professional Corporation	1	$20.00
admin admin	Business Amendment	Domestic - Profit Corporation	2	$40.00
admin admin	Business Conversion	Domestic - Limited Liability Companies	1	$95.00
admin admin	Business Conversion	Domestic - Professional Corporation	1	$95.00
			Grand Total : 42	**Grand Total : $1,235.00**

< Previous 1 2 3 Next > Page 1 of 3, records 1 to 10 of 22 Go to Page

Back

Figure 298. Transaction summary by user.

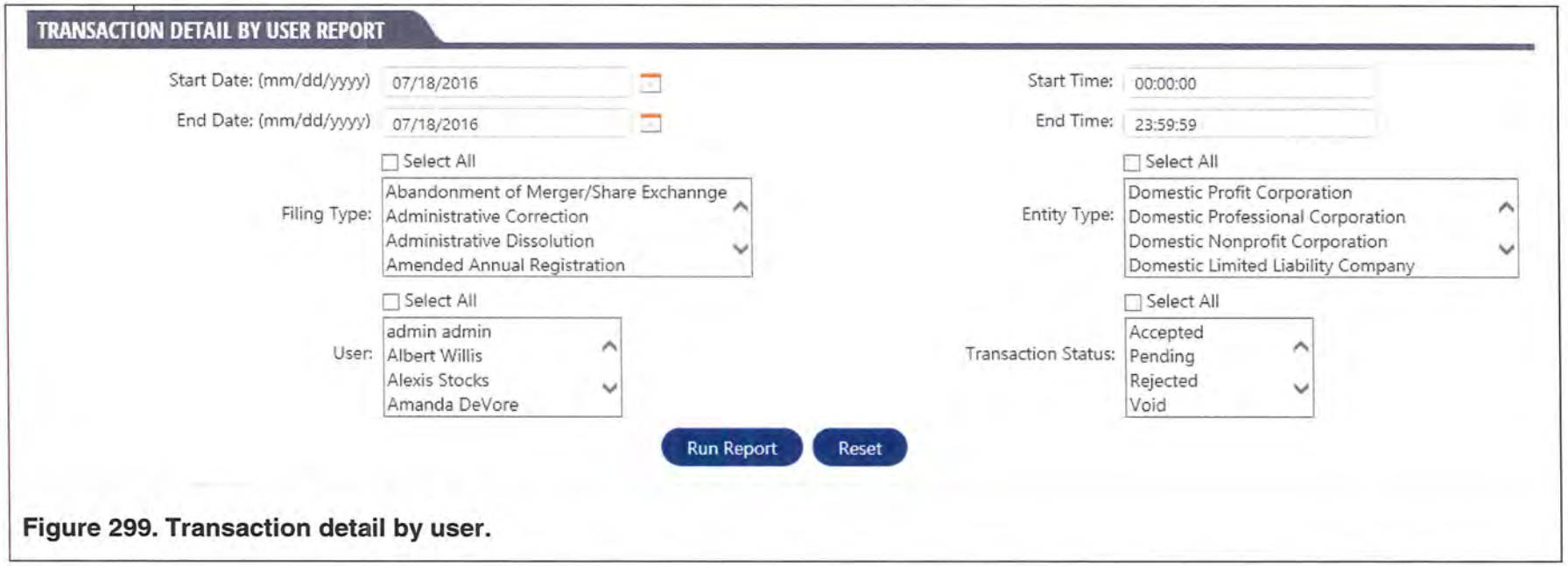


Figure 299. Transaction detail by user.

General Reports > Transaction Detail By User

Selection Criteria

Start Date & time: 7/1/2016 12:00:00 AM

End Date & Time: 7/18/2016 11:59:59 PM

Status: Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue

Users: Online

Filer Name	Date	Work Order Number	Business Name	Filing Type	Entity Type	Transaction Status	Check Number	Amount
Online	07/12/2016	201607120631022	new profit corp	Business Formation	Domestic - Profit Corporation	Pending	#####1111	$100.00
Online	07/12/2016	201607120631023	Test Demo Name reservation	Name Reservation	Name Reservation	Accepted	#####1111	$25.00
Online	07/13/2016	201607130631026	UROLOGY ASSOCIATES OF COLUMBUS, P.C.	Business Amendment	Domestic - Professional Corporation	Rejected	#####1111	$20.00
Online	07/13/2016	201607130631027	Test uncommittedtransactions pc	Business Formation	Domestic - Professional Corporation	Accepted	#####1111	$100.00
Online	07/13/2016	201607130631028	Richards & Company PC	Business Formation	Domestic - Professional Corporation	Accepted	#####1111	$100.00
Online	07/13/2016	201607130631029	test controlnumber update co	Business Formation	Domestic - Profit Corporation	Accepted	#####1111	$100.00
Online	07/13/2016	201607130631032	JULIET HALL CORP	Business Formation	Domestic - Nonprofit Corporation	Accepted	#####1111	$100.00
Online	07/13/2016	201607130631034	request business	Name Reservation	Name Reservation	Rejected	#####1111	$25.00
Online	07/13/2016	201607130631035	RAUSHER HOLDINGS, LLC	Business Amendment	Domestic - Limited Liability Companies	Rejected	#####1111	$20.00
Online	07/13/2016	201607130631037	new AUGUSTA GASTROINTESTINAL SPECIALISTS, INC.	Business Amendment	Domestic - Profit Corporation	Accepted	#####1111	$20.00

Grand Total : $835.00

< Previous ... 1 2 ... Next > Page 1 of 2, records 1 to 10 of 13 Go to Page

Figure 300. Transaction detail by user.



Figure 301. Work order summary by user.

General Reports > Work Order Summary By User

Selection Criteria

Start Date & time: 1/1/2016 12:00:00 AM End Date : 7/18/2016 11:59:59 PM

Users: admin admin, Albert Willis, Alexis Stocks, Amanda DeVore, Amber Linton, Amelia Hawkins, Andrew Turnage, Angela Jarrell, Anika Walker, Ariel Larkin, Ashley Austin, Avis White, Brandon Smith, Breanna Thomas, Brian Walker, Briana Fry-Jones, Britney Myers Spurlock, Chaunette Williams, Constantina Kokenes, Damichell Taylor Hightower, Daniele Dodson, Darren Brown, Darryl Quinn, Debbie Lawhorn, Debbie Lawton, Deborah Horton, Deborah Russell, Deborah Cassandra Russell, Dennette Battle, Dennette Battle, Diane Wilson, Dimitri Shreckengost, Divincia Richardson, Dominique Stocks, Emmanuel Ohai, Erica Ruffin, Erika Sanders, Eugene Mosley, Gina Saylor, Gloria Choice, Grant Thomas, Ioannis Conits, Ioannis Conits, John Jurkiewicz, john s smith, Julie Fisher, Julie Fisher, Julie Walters, Karen Hartwell-Lee, Karen Dennard, Karen Hartwell, Kayla Young, Keith Stone, Kenya Tuff, Kevin Fitts, Kevin Robertson, Kimber Parris, Linneth Souza, Lisa Edwards, Lonnie Mercer, Lori Smith, Lorna Boswell, Lorri Smith, Melissa Ives, Merritt Beaver, Michael Myers, Nasser Raheem, Nathan Jordan, Nathan Jordan-Test, Nicole Wilmington, Nora Click, Online , PCC Admin, PCC PCC, Phyllis Studdard, Reevney St Luc, Reginald Turner, Rick Robertson, Robin Herron, Robin Patrick, Scherie Jeffries, Shawnzia Thomas, Sophat Phy, Stayce Osborne, Sue McCroba, Tawana Durham-Starling, Tenecia Paul, Tessa Williams, Tiffany Avant, Tim Fleming, Tonia Poole, Will Black

User Name	Count	Amount
admin admin	139	$31,315.00
Angela Jarrell	288	$46,540.00
Anika Walker	11	$275.00
Ariel Larkin	3310	$180,460.00
Avis White	258	$38,725.00
Brandon Smith	8	$0.00
Briana Fry-Jones	15	$110.00
Constantina Kokenes	201	$11,055.00
Damichell Taylor Hightower	220	$34,655.00
Deborah Cassandra Russell	324	$50,900.00
	Grand Total :461508	**Grand Total : $26,710,325.00**

< Previous 1 2 3 4 Next > Page 1 of 4, records 1 to 10 of 32 Go to Page

Figure 302. Work order summary by user.

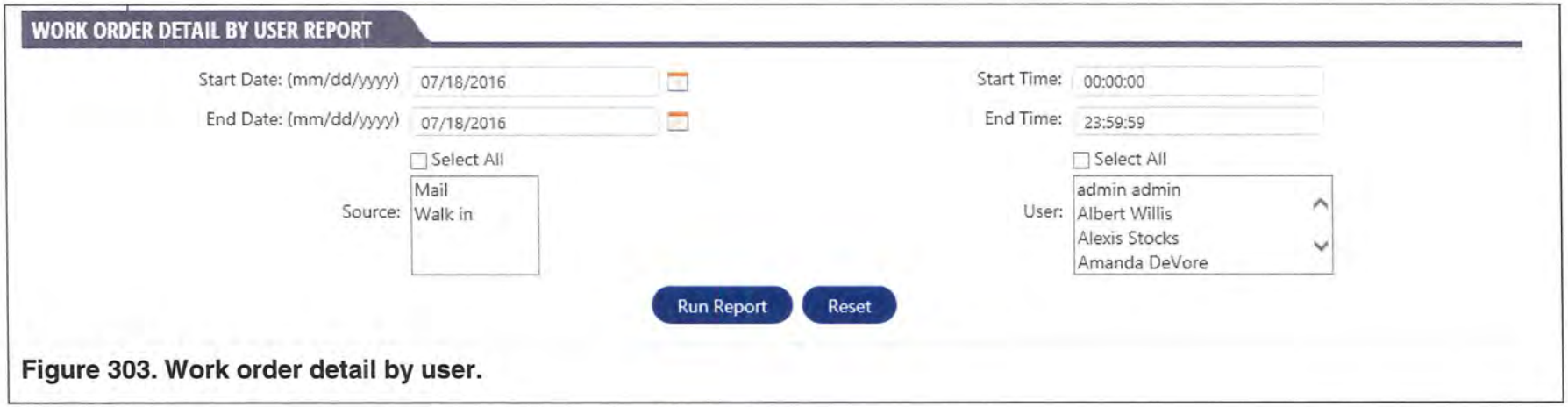


Figure 303. Work order detail by user.

General Reports > Work Order Detail By User

Selection Criteria

Start Date & time: 7/1/2016 12:00:00 AM

End Date & Time: 7/18/2016 11:59:59 PM

Source: Mail, Walk in

Users: admin admin

User Name	Date	Work Order Number	Filer ID	Source	Work Order Total	Payment Total
admin admin	07/01/2016	20160700631016	000123	Walk in	$100.00	$500.00
admin admin	07/01/2016	20160700631017	000034	Mail	$95.00	$3,433.00
admin admin	07/01/2016	20160700631018	000034	Mail	$20.00	$433.00
admin admin	07/01/2016	20160700631019	000034	Mail	$20.00	$34.00
admin admin	07/07/2016	20160700631020	000004	Mail	$20.00	$100.00
admin admin	07/12/2016	20160700631024	000034	Walk in	$25.00	$333.00
admin admin	07/13/2016	20160700631025	000012	Walk in	$20.00	$20.00
admin admin	07/13/2016	20160700631031	000012	Mail	$25.00	$25.00
admin admin	07/13/2016	20160700631033	000012	Walk in	$25.00	$25.00
admin admin	07/13/2016	20160700631036	000012	Walk in	$20.00	$20.00
					Grand Total : $26,135.00	**Grand Total : $106,224.00**

< Previous 1 2 3 4 5 Next > Page 1 of 5, records 1 to 10 of 43 Go to Page

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Figure 304. Work order detail by user.

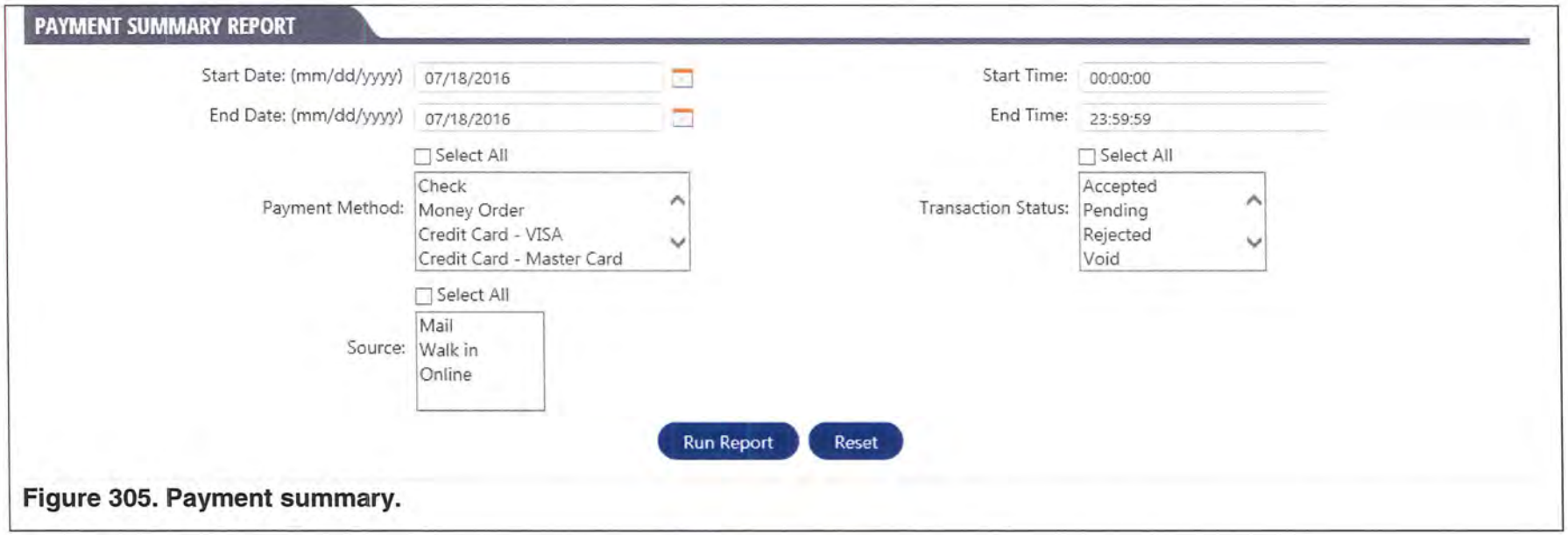
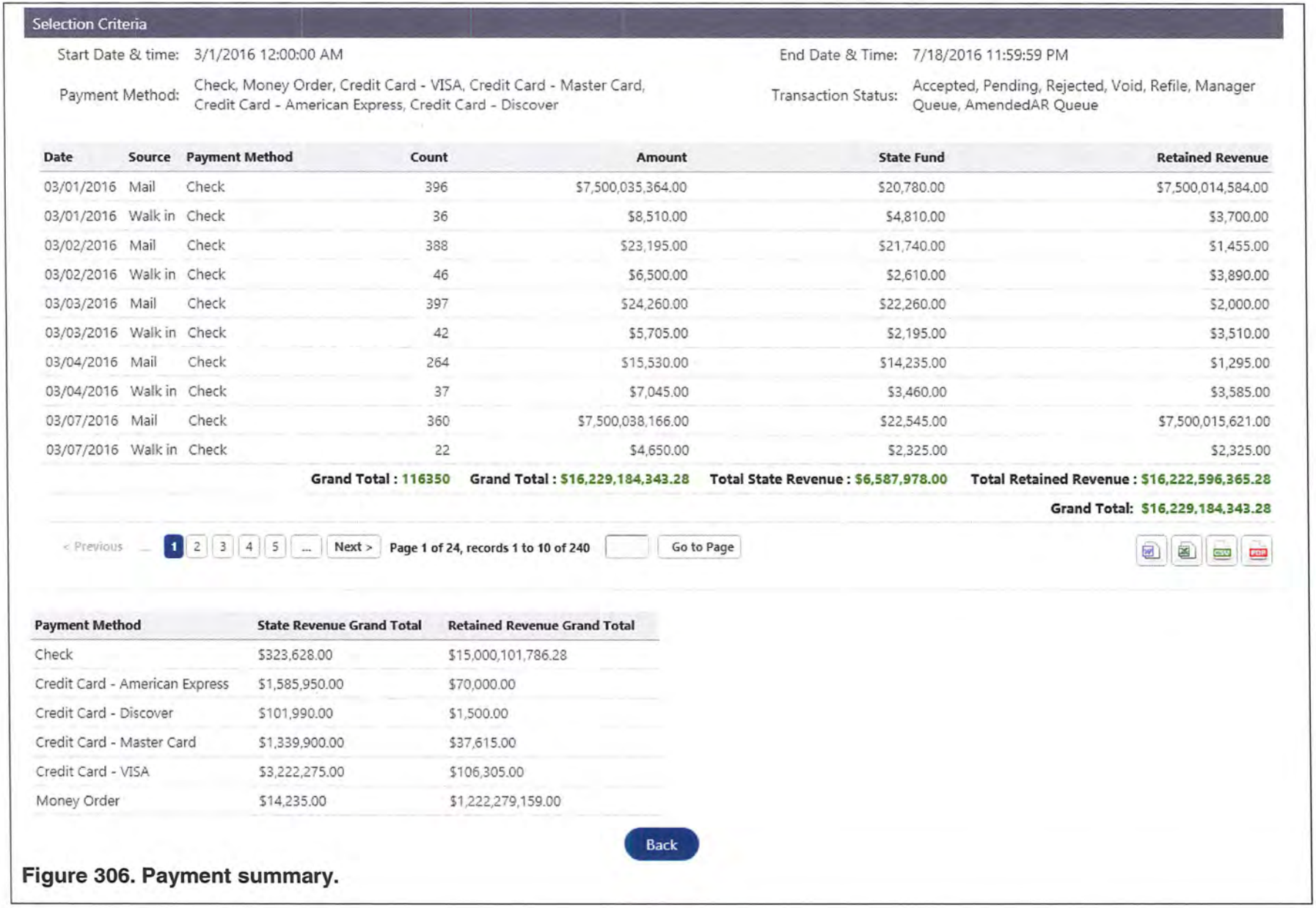


Figure 305. Payment summary.



Selection Criteria

Start Date & time: 3/1/2016 12:00:00 AM

End Date & Time: 7/18/2016 11:59:59 PM

Payment Method: Check, Money Order, Credit Card - VISA, Credit Card - Master Card, Credit Card - American Express, Credit Card - Discover

Transaction Status: Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue

Date	Source	Payment Method	Count	Amount	State Fund	Retained Revenue
03/01/2016	Mail	Check	396	$7,500,035,364.00	$20,780.00	$7,500,014,584.00
03/01/2016	Walk in	Check	36	$8,510.00	$4,810.00	$3,700.00
03/02/2016	Mail	Check	388	$23,195.00	$21,740.00	$1,455.00
03/02/2016	Walk in	Check	46	$6,500.00	$2,610.00	$3,890.00
03/03/2016	Mail	Check	397	$24,260.00	$22,260.00	$2,000.00
03/03/2016	Walk in	Check	42	$5,705.00	$2,195.00	$3,510.00
03/04/2016	Mail	Check	264	$15,530.00	$14,235.00	$1,295.00
03/04/2016	Walk in	Check	37	$7,045.00	$3,460.00	$3,585.00
03/07/2016	Mail	Check	360	$7,500,038,166.00	$22,545.00	$7,500,015,621.00
03/07/2016	Walk in	Check	22	$4,650.00	$2,325.00	$2,325.00
			Grand Total : 116350	**Grand Total : $16,229,184,343.28**	**Total State Revenue : $6,587,978.00**	**Total Retained Revenue : $16,222,596,365.28**
						Grand Total: $16,229,184,343.28

< Previous 1 2 3 4 5 ... Next > Page 1 of 24, records 1 to 10 of 240 Go to Page

Payment Method	State Revenue Grand Total	Retained Revenue Grand Total
Check	$323,628.00	$15,000,101,786.28
Credit Card - American Express	$1,585,950.00	$70,000.00
Credit Card - Discover	$101,990.00	$1,500.00
Credit Card - Master Card	$1,339,900.00	$37,615.00
Credit Card - VISA	$3,222,275.00	$106,305.00
Money Order	$14,235.00	$1,222,279,159.00

Back

Figure 306. Payment summary.

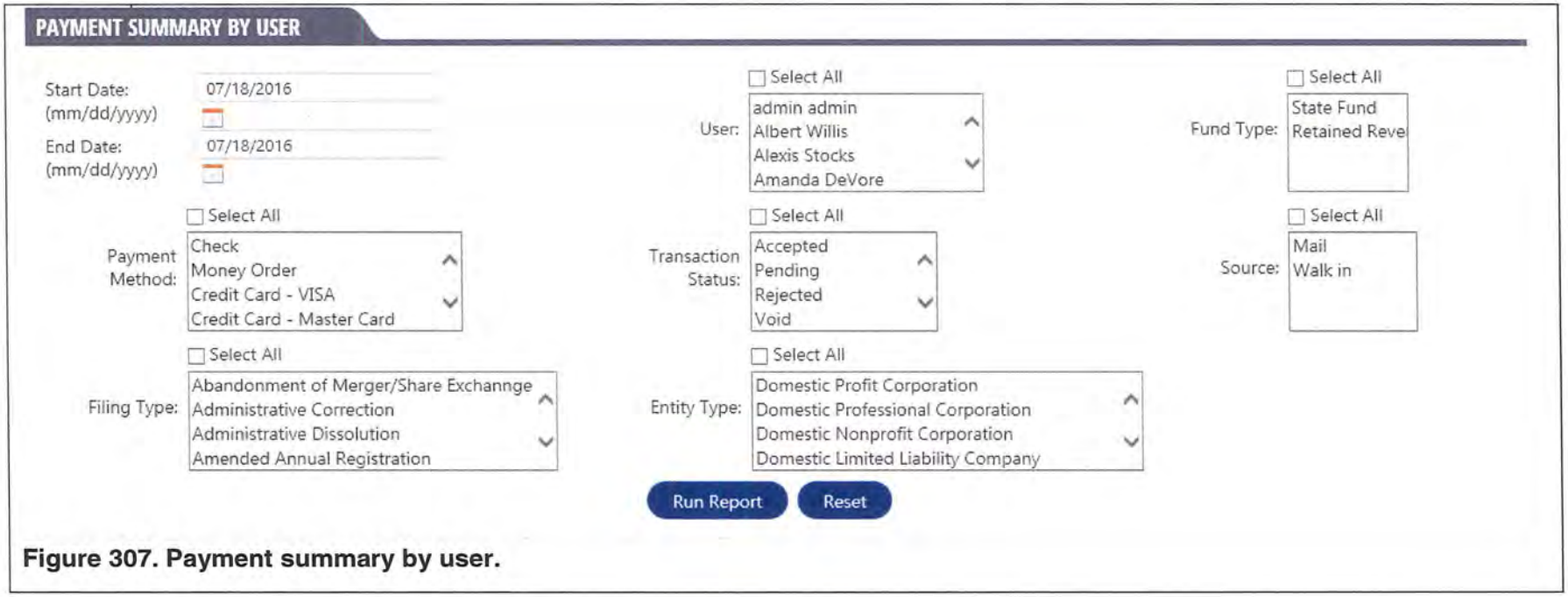


Figure 307. Payment summary by user.

Financial Reports > Payment Summary By User

Selection Criteria

Start Date :	04/01/2016	End Date :	07/18/2016
Payment Method:	Check, Money Order, Credit Card - VISA, Credit Card - Master Card, Credit Card - American Express, Credit Card - Discover	Users:	admin admin, Online
Transaction Status:	Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue	Source:	Mail, Walk in
Filing Type:	Abandonment of Merger/Share Exchannge, Administrative Correction, Administrative Dissolution, Amended Annual Registration, Annual Registration, Articles of Correction, Business Amendment, Business Cancellation, Business Conversion, Business Formation, Business Withdrawal, Certificate Of Entity History, Certificate Of Existence, Certificate Of Fact, Certificate Of Registered Agent, Certificate Of Search, Certified Copies, Intent to Dissolve, Judicial Dissolution, Merger, Miscellaneous Retained Revenue, Miscellaneous State Funds, Name Reservation, Name Reservation Transfer, Officer Resignation, Preclearance, Registered Agent Change, Registered Agent Resignation, Reinstatement, Restatement, Revocation, Revocation of Intent to Dissolve, Share Exchange, Termination, Transfer of State Franchise, Voluntary Dissolution, Winding Up	Entity Type:	Domestic Profit Corporation,Domestic Professional Corporation,Domestic Nonprofit Corporation,Domestic Limited Liability Company,Domestic Limited Partnership,Domestic Limited Liability Limited Partnership,Foreign Credit Union,Domestic Insurance Company,Cable/Video Franchise,Domestic Bank,Foreign Profit Corporation,Foreign Professional Corporation,Foreign Nonprofit Corporation,Foreign Limited Liability Company,Foreign Limited Partnership,Foreign Limited Liability Partnership,Foreign Limited Liability Limited Partnership,Foreign Bank,Foreign Insurance Company,Domestic Electric Membership Corporation,Foreign Electric Cooperative,Domestic Credit Union,Cooperative Marketing Association,Express Company,Railroad Company,Canal Company,Navigation Company,Rural Telephone Cooperative,Mutual Aid Resource Pact,Private Child Support Collector,Miscellaneous State Funds

User Name	Payment Method	Transaction Status	Source	Count	State Fund	Retained Revenue
admin admin	Check	Accepted	Mail	1	$20.00	$480.00
admin admin	Check	Pending	Mail	4	$90.00	$140.00
admin admin	Check	Rejected	Mail	1	$1,000.00	$0.00
admin admin	Check	Rejected	Walk in	1	$23.00	$0.00
admin admin	Money Order	Pending	Mail	5	$515.00	$1,222,222,602.00
				Grand Total: 12	**Total State Revenue: $1,648.00**	**Total Retained Revenue: $1,222,223,222.00**
						Grand Total: $1,222,224,870.00

Page 1 of 1, records 1 to 5 of 5

Payment Method	Grand Total
Check	$1,753.00
Money Order	$1,222,223,117.00

Figure 308. Payment summary by user.

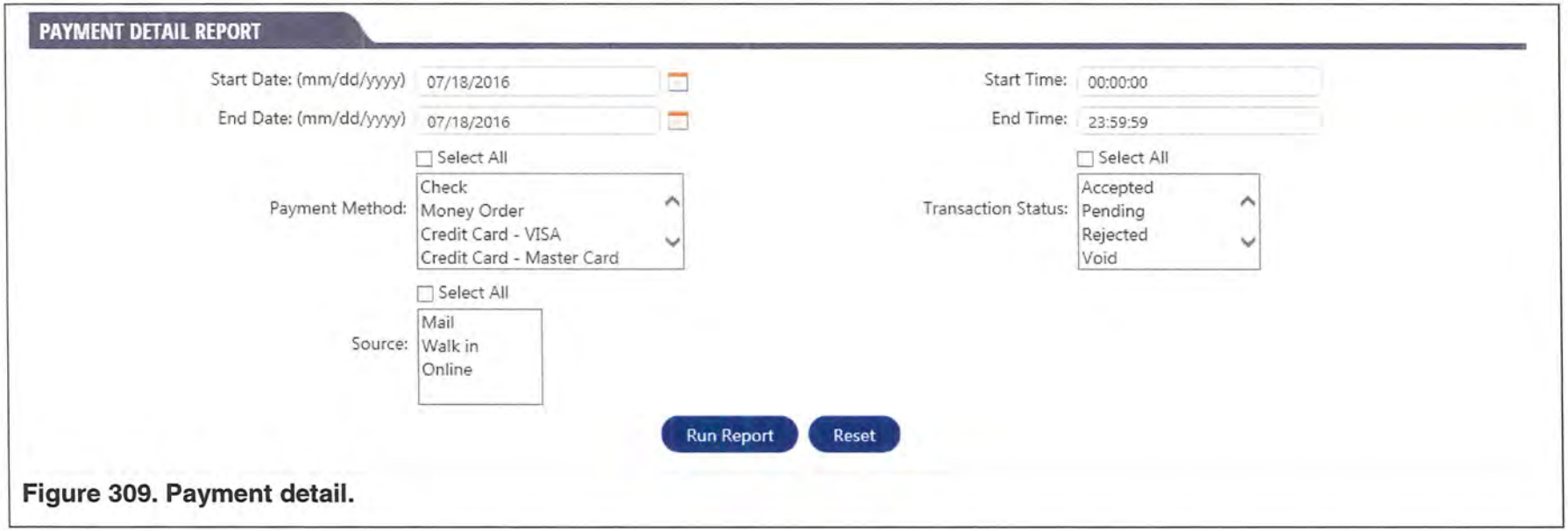


Figure 309. Payment detail.

Financial Reports > Payment Detail

Selection Criteria

Start Date & time: 5/1/2016 12:00:00 AM

End Date & Time: 7/18/2016 11:59:59 PM

Payment Method: Check, Money Order, Credit Card - VISA, Credit Card - Master Card, Credit Card - American Express, Credit Card - Discover

Transaction Status: Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue

Date	Work Order Number	Business Name	Payment Method	Check Number	State Fund	Retained Revenue
05/05/2016	20160500630652	test business entity inc	Check	12313	$100.00	$0.00
05/10/2016	20160500630661	test email llc	Check	sdfg	$100.00	$0.00
05/16/2016	20160500630672	angela llc	Check	123456	$100.00	$0.00
05/16/2016	20160500630673	ANGELA 11 LLC	Check	124	$100.00	$0.00
05/17/2016	20160500630677	WHITESTONE WALK HOMEOWNERS ASSOCIATION, INC.	Check	test	$20.00	$303.00
05/17/2016	20160500630677	EDUCATIONAL TESTING SERVICE (INC.)	Check	test	$20.00	$0.00
06/27/2016	20160600630931	HABVEST, INC.	Check	3534535	$1,000.00	$0.00
06/29/2016	20160600630981	Miscellaneous Retained Revenue	Check	12412	$0.00	$90.00
06/29/2016	20160600630982	Miscellaneous State Funds	Check	124	$40.00	$0.00
06/29/2016	20160600630984	AFRICASGREATEST.COM, INC. refile	Check	235	$10.00	$50.00

Total State Revenue: $4,833.00 **Total Retained Revenue: $1,860.00**

Grand Total: $6,693.00

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Payment Method	Grand Total
Check	$1,996.00
Credit Card - VISA	$2,840.00
Money Order	$1,857.00

Back

Figure 310. Payment detail.

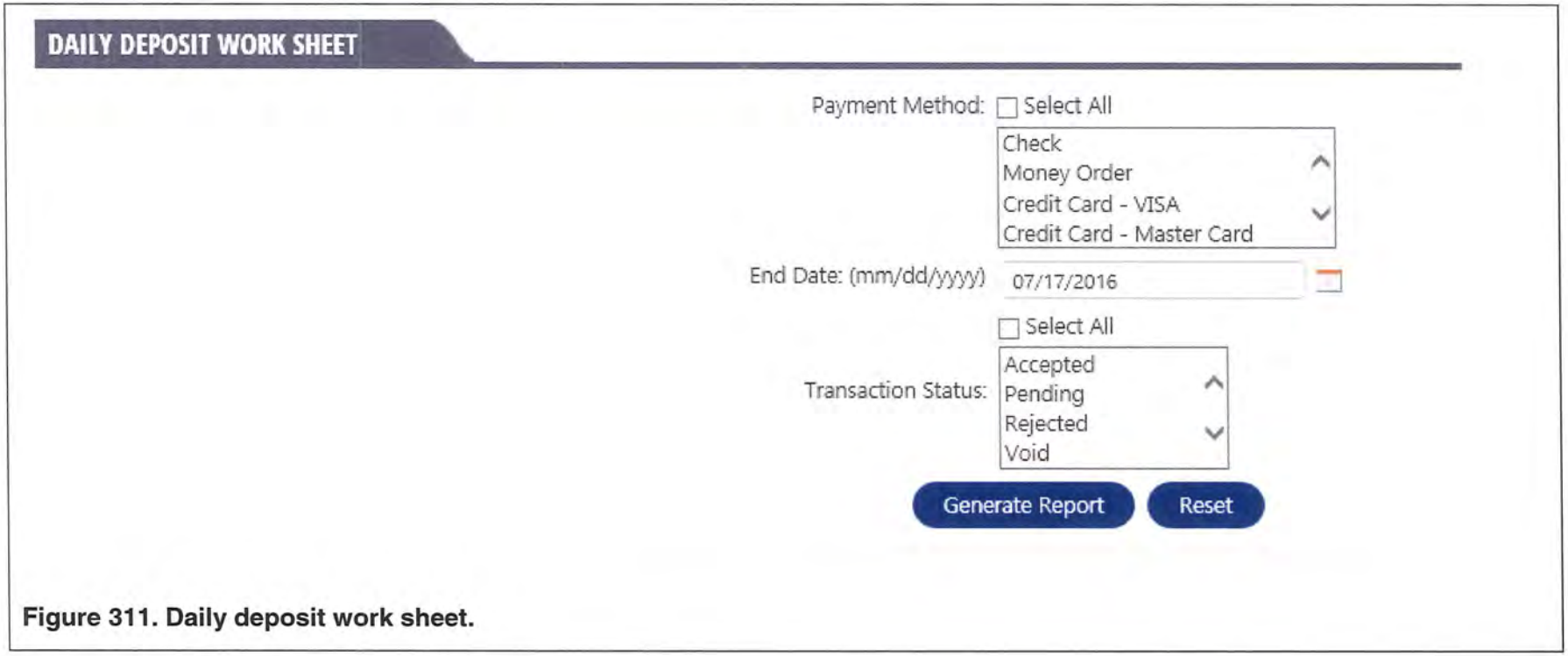
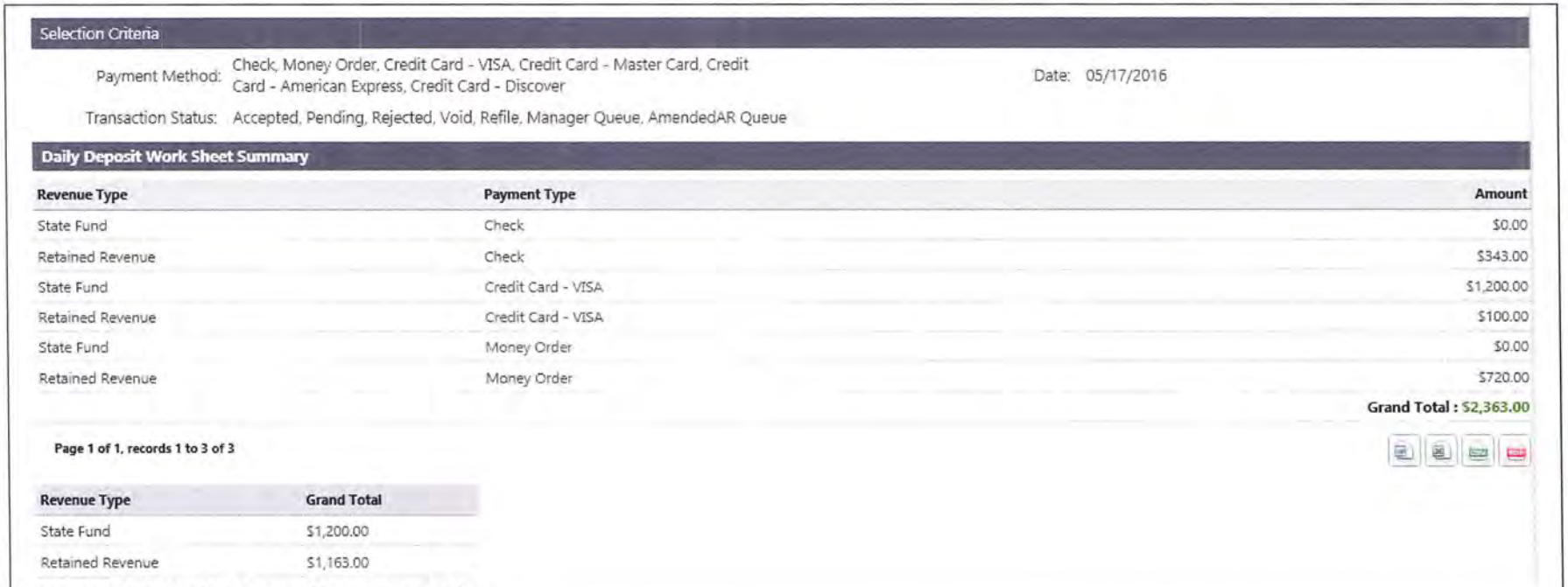


Figure 311. Daily deposit work sheet.



Selection Criteria

Payment Method: Check, Money Order, Credit Card - VISA, Credit Card - Master Card, Credit Card - American Express, Credit Card - Discover

Date: 05/17/2016

Transaction Status: Accepted, Pending, Rejected, Void, Refile, Manager Queue, AmendedAR Queue

Daily Deposit Work Sheet Summary

Revenue Type	Payment Type	Amount
State Fund	Check	$0.00
Retained Revenue	Check	$343.00
State Fund	Credit Card - VISA	$1,200.00
Retained Revenue	Credit Card - VISA	$100.00
State Fund	Money Order	$0.00
Retained Revenue	Money Order	$720.00

Grand Total : $2,363.00

Page 1 of 1, records 1 to 3 of 3

Revenue Type	Grand Total
State Fund	$1,200.00
Retained Revenue	$1,163.00

Figure 312. Daily deposit work sheet.

RTM #	Reporting/Query Requirements	Yes	Customization Required	No	Alternate
Rept-2	The bidder should provide samples of reports that identify: • EFS and UCC Terminations with Possible Incorrect Status • EFS and UCC Continuations with Possible Bad Maturity Dates See Appendix J - Ancillary Databases and Derived Reports		X		

Bidder Response:
The solution does not currently support these reports, as due to the solution architecture and validation process we have not had any need for this sort of functionality which checks that data within the application is valid.

PCC has reviewed the provided examples and will develop these reports to identical spec without any additional cost.

However, it should be noted that with the implementation of the new solution the need for these reports will be greatly reduced, if not eliminated altogether.

The application automatically applies lapse dates (maturity dates) to liens according to strict business rules. The status values tied to these dates are updated regularly by automatic jobs (see Lien Life Cycle diagram in bidder response to UCC-4). When continuations, releases, and certain types of terminations are filed, the system will update the lapse dates of the associated liens according to the business rules. It will not allow continuations, releases or terminations to be filed when they fall outside the requirements. Thus, in the proposed solution you will never see results returned such as can be seen in the sample reports provided.

In regards to legacy data, queries corresponding to these reports are run as a standard procedure during our data analysis and migration. All records with data that does not fit within the expected parameters (for example, a lien with a lapse date two years after its filing date), will be presented to the State in our data anomalies documents. After ascertaining how the data should be corrected, our data migration team will update the data before it is migrated into the final production database.

RTM #	Software Design Requirements	Yes	Customization Required	No	Alternate
SD-1	Describe how your proposed software adheres to all standards, policies, guidelines, and bulletins issued by NITC and the OCIO relative to participation in the use of the State's central computing and telecommunications facilities. Describe your understanding of the NITC standards and acknowledge your willingness to follow these standards.	X			
Bidder Response: PCC has reviewed all the processes, standards and guidelines of NITC and will comply with all provisions. This includes standards as they apply to security, various architecture guidelines, network infrastructure, and planning and project management.					
SD-2	Describe your change management processes and how the State will be included in these processes.	X			

Bidder Response:

With any major initiative comes complex change that impacts an organization. Due to the scale of the proposed business process improvement and system integration efforts, PCC will assist with wide-scale change planning and management support to guide and support the State through a seamless transition to the new BSFS. PCC's view is that change management is not a one-time event, rather it is an on-going and iterative cycle that ultimately impacts an organization's core culture and operational environment. As such, a structured process and set of tools for managing the people side of change must be used to achieve the State's business objectives with the expectation of meeting them on time, on budget, and with minimal disruption to the productivity.

When supporting a complex project, our approach is to develop and implement a customized change management program that leverages our expertise and experience. We take a collaborative, comprehensive, and holistic change management approach and combine it with an adaptable set of tools, leading change management research, and leading practices. Specifically, our change management efforts will support the project, the State, and its organization by engaging in associated activities that include (but are not limited to):

- Clarifying the vision and articulating benefits of the change.
- Identifying and coaching key sponsors to support and sanction the change.
- Identifying stakeholder groups who are impacted by the change and how they are impacted.
- Planning and executing communications to support key stakeholder needs.
- Identifying and proposing opportunities for stakeholders to become involved.
- Planning for and executing an education and training program for stakeholders based on new tools, processes, policies, procedures, and responsibilities.
- Anticipating resistance to change and managing it effectively.

- Coaching organizational leaders in how to effectively lead staff through change.
- Assessing the alignment of organization, systems, policies, and structure to make sure they support the change and maintain it.

PCC has extensive experience assisting agencies in adjusting their processes. We will work with stakeholder partners at the State to design and execute a customized, succinct assessment that aims to understand and analyze the best approach for developing the project's change management plan moving forward. Gap analysis sessions will also drive the project's approach at developing a communications and stakeholder strategy, and ultimately, provide a baseline assessment that will contribute to the shaping of the overall training approach.

The Change Management Plan will provide:

- A roadmap of activities, tactics, and events to be developed and executed.
- A master schedule of phased and iterative tasks and activities to be rolled out throughout the project lifecycle and through sustainment.
- A detailed, executable stakeholder engagement framework that addresses specific stakeholder group needs and issues, as well as staffing roles and responsibilities to support any new business processes.
- A comprehensive Communications Strategy and Plan, including target audience analysis, key messaging recommendations, and rollout schedule.
- An analysis and recommendations related to learning strategies, in collaboration with the training team and the training plan.
- An assessment and recommendations for developing and gathering key metrics related to the change management landscape.
- A structured approach and framework for capturing risks and documenting executable mitigation recommendations for any identified challenges related to organizational impacts resulting from the proposed solution, including business processes and operational barriers.

SD-3	Describe your understanding of the State of Nebraska Records Retention Schedules standards and describe how those standards are, or can be, incorporated into the software. (See Appendix L – Retention Schedules.)	X			

Bidder Response:
PCC has reviewed the retention schedule that is described in Appendix L. PCC, in practice, does not delete data from the backend database and document/image storage facilities without explicit agreement from the customer. PCC will work with the State to schedule manual removal of filer correspondence, scanned copies of completed documents and other archival data. PCC does not recommend the automatic removal of any data.

RTM #	Customer Payment and Accounting Processing Requirements	Yes	Customization Required	No	Alternate
CPP-1	Recording Payments The system must have the ability to record payments as credit cards, debit cards, cash, credit memos, checks, ACH, or IBTs and tie them to filings, searches and copy actions. The bidder should describe and provide screen shots showing how the system handles payments by various methods and links them to the actions associated with those payments.	X			
Bidder Response: **Work order – receipting of a basic filing and payment:**					

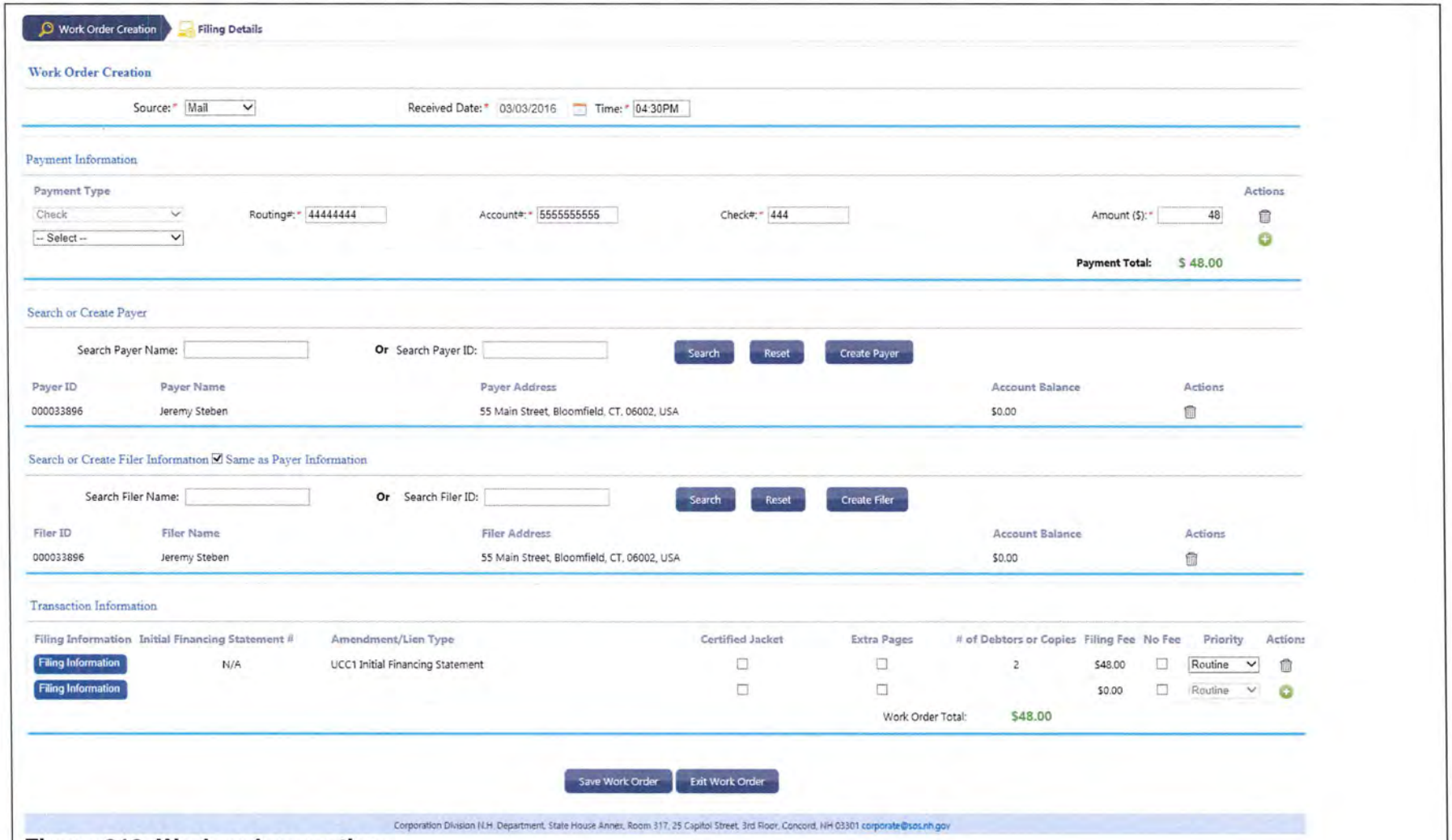


Figure 313. Work order creation.

Payment entry fields:
Each payment type displays its own set of data entry fields for reference and reconciliation.



Figure 314. Payment information. Payment type.



Figure 315. Payment information. Payment type – cash.

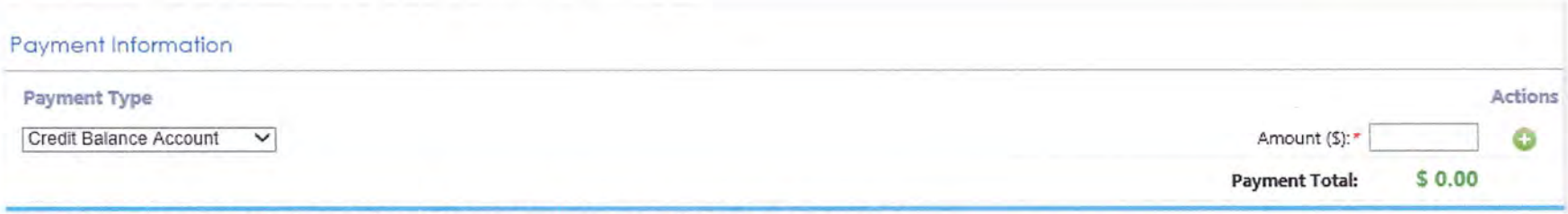


Figure 316. Payment information. Payment type – credit balance account.

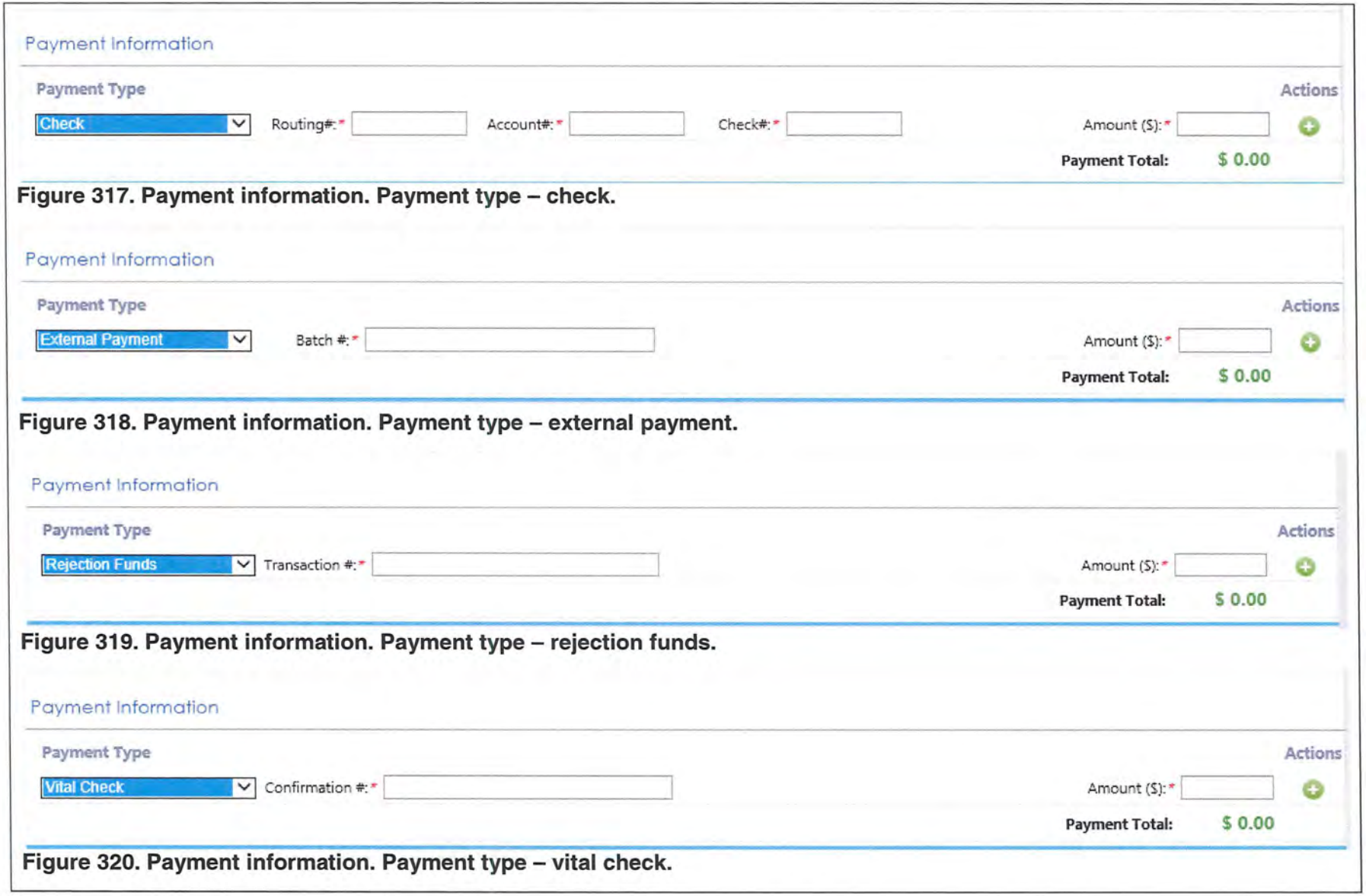


Figure 317. Payment information. Payment type – check.

Figure 318. Payment information. Payment type – external payment.

Figure 319. Payment information. Payment type – rejection funds.

Figure 320. Payment information. Payment type – vital check.

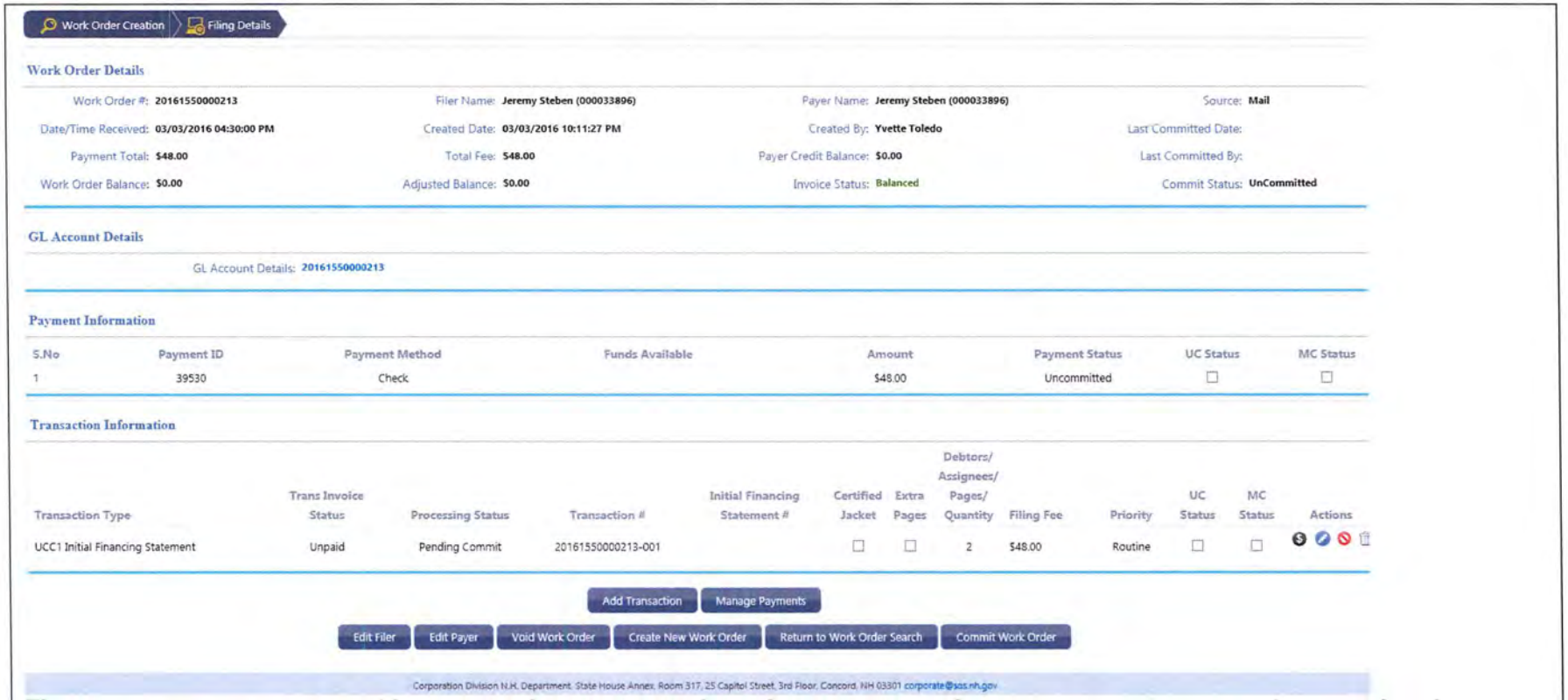


Figure 321. Work order saved in uncommitted status. ***Financial system and funds accounts have now been updated.***

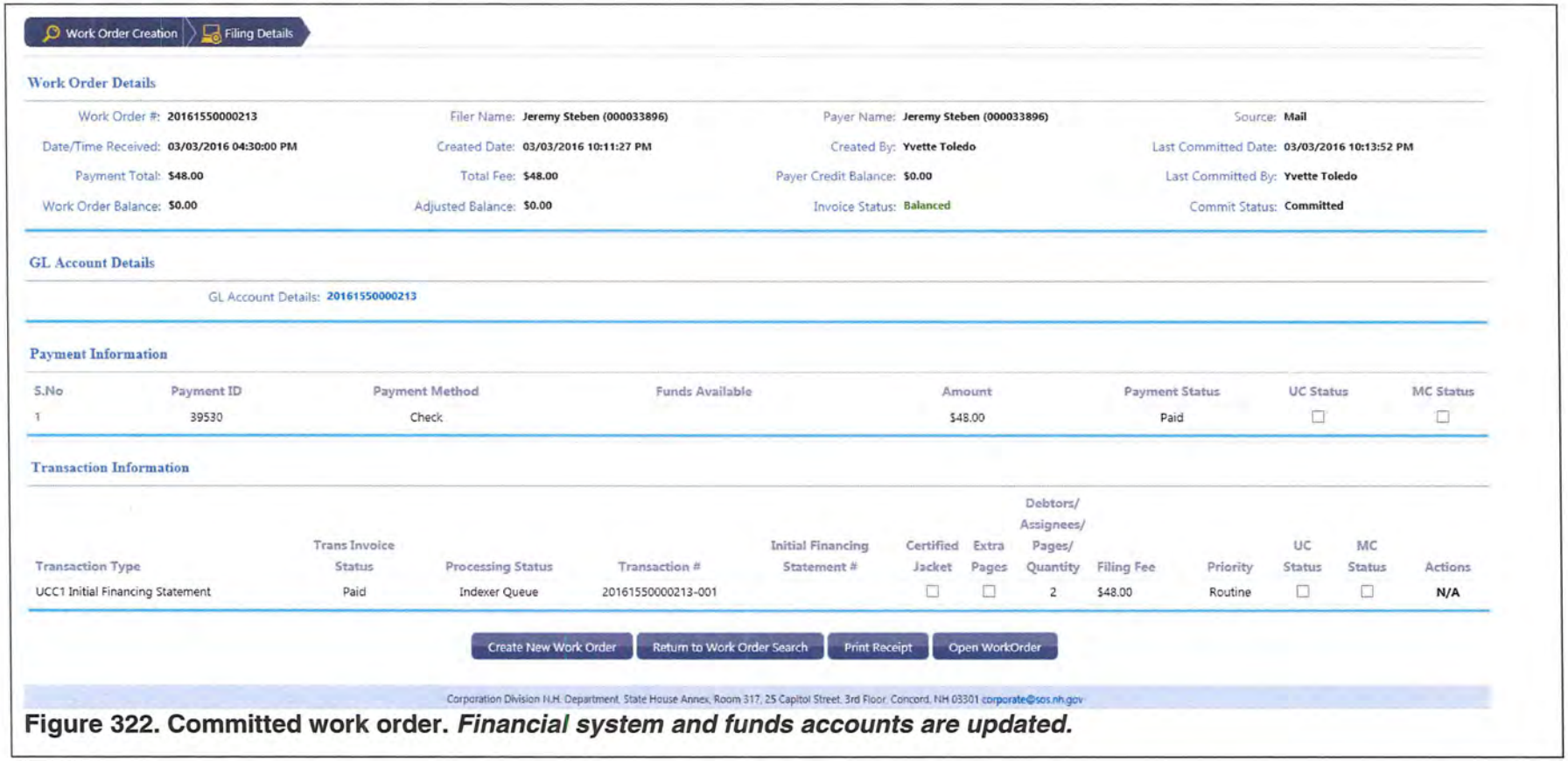


Figure 322. Committed work order. ***Financial system and funds accounts are updated.***

Payment Details

Work Order Payment ID	Payment Type	Amount
39530	Check	$48.00
	Total Amount:	**$48.00**

Transaction Details

Transaction ID	Transaction Type	Amount	Is Invoiced
1259	UCC1 Initial Financing Statement	$48.00	☐
	Total Amount:	**$48.00**	

Transaction vs Payment Mapping

Work Order Payment ID	Transaction ID	Transaction/Payment Reference Number	Amount	Comment
39530	1259	1032	$48.00	Transaction Payment

GL Accounts

Transaction ID

1259

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1032	$18.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1032	$15.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1032	$15.00	Transaction Payment	3/3/2016 10:13:52 PM	16
		Total Amount:	**$48.00**			

GL Account Names that are associated with the Transactions

Transaction ID

1259

GL Account Number	Account Name	Amount	Is Cost by Percent ?	Percentage	Fee ID
0010-10650000-402755-0002	UCC FILING FEES	N/A	☑	100	16
0010-10650000-407447-0000	UCC TOWN PORTION	$15.00	☐	N/A	16
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$18.00	☐	N/A	16

Corporation Division N.H. Department, State House Annex, Room 317, 25 Capitol Street, 3rd Floor, Concord, NH 03301 corporate@sos.nh.gov

Figure 323. GL account details. ***Accessible from work order, shows historical records of all payments, adjustments and refunds on the fund account level.***

Rejecting a transaction:

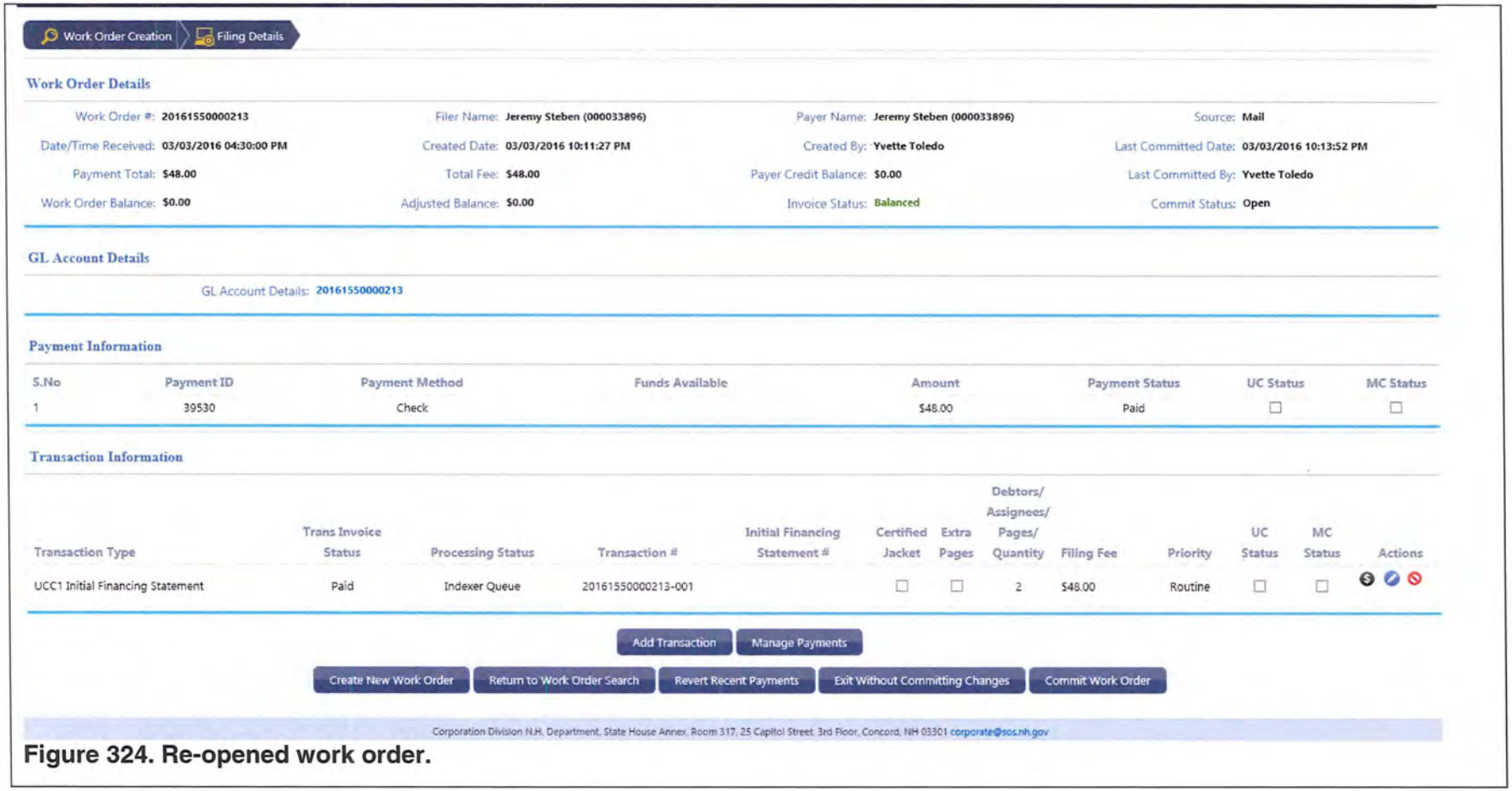


Figure 324. Re-opened work order.

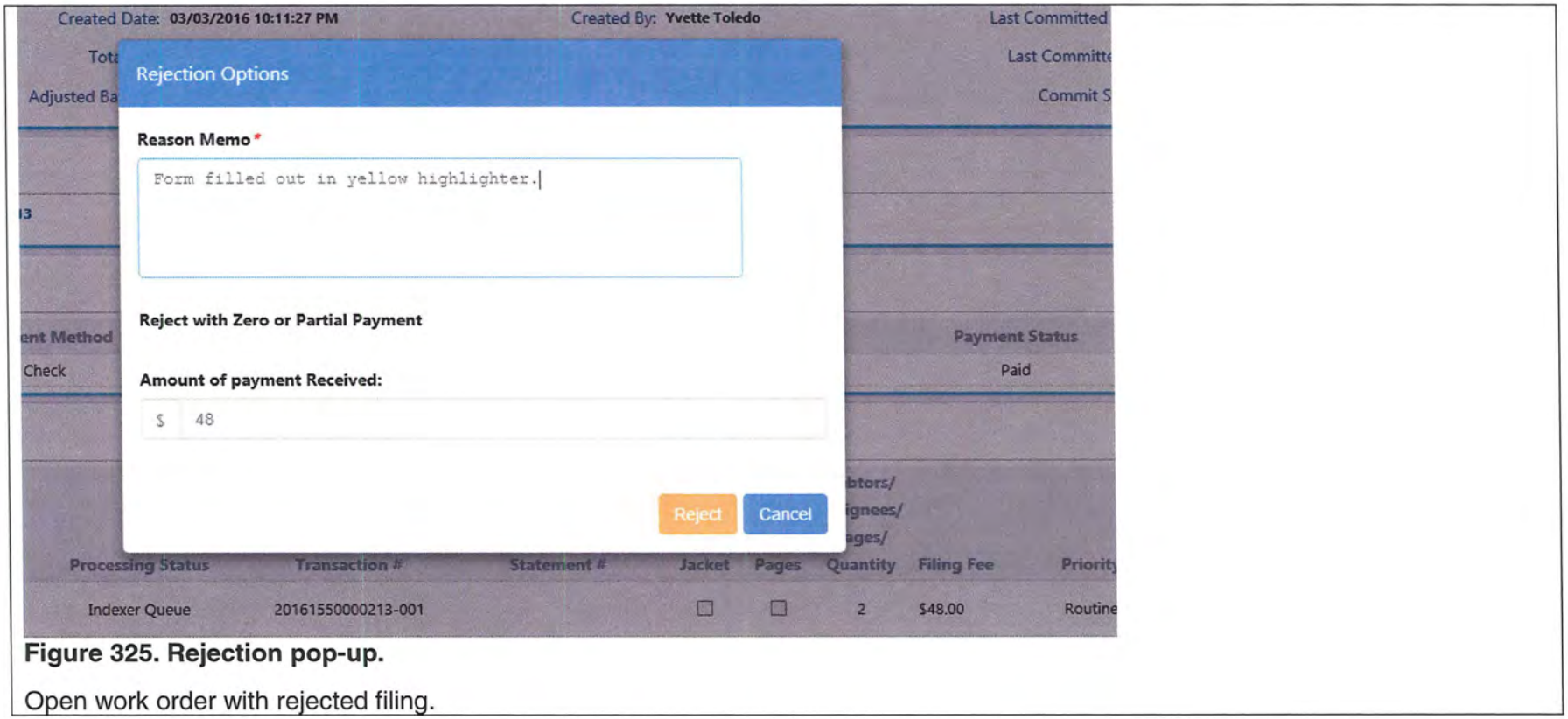


Figure 325. Rejection pop-up.

Open work order with rejected filing.

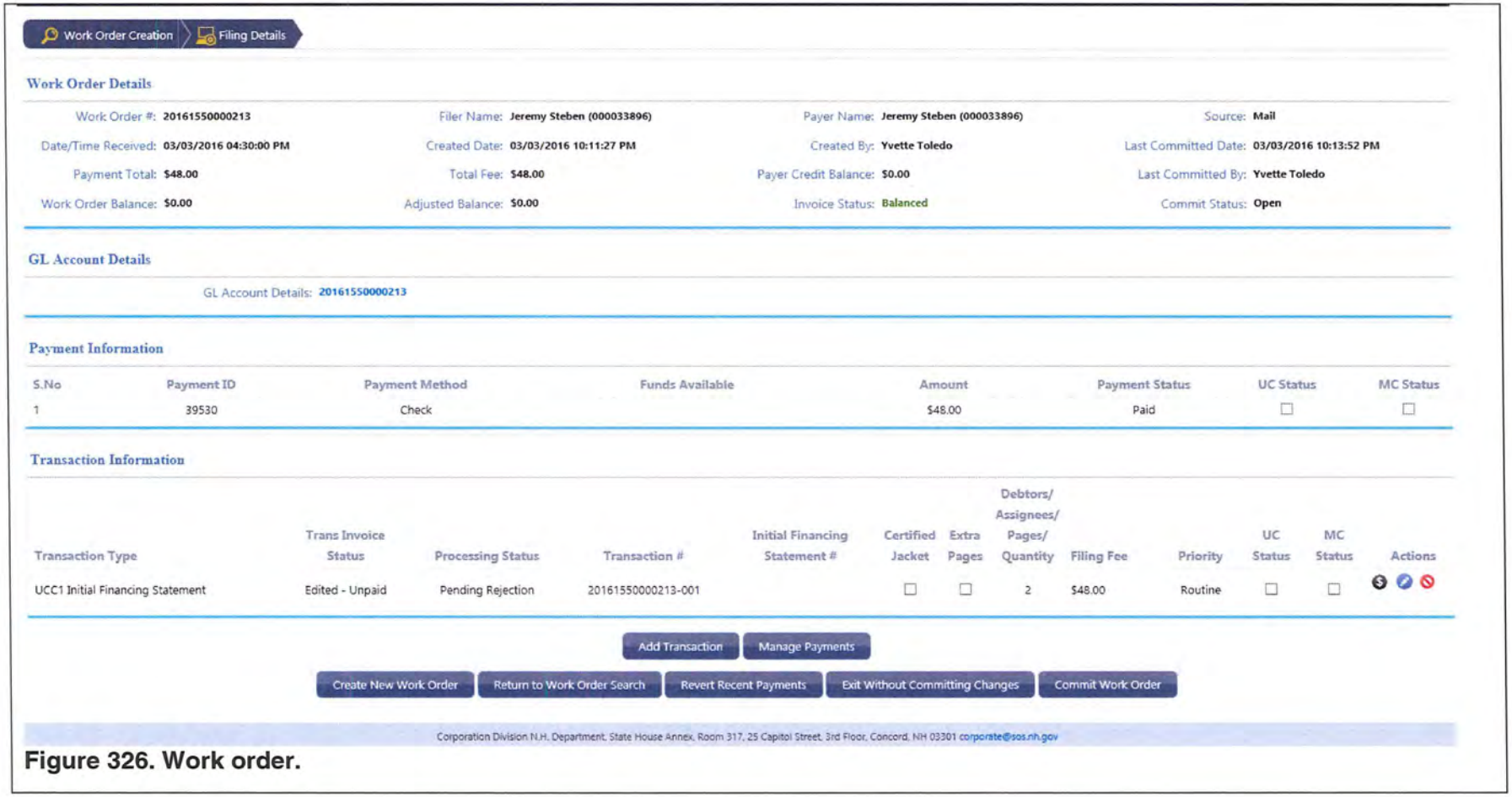


Figure 326. Work order.

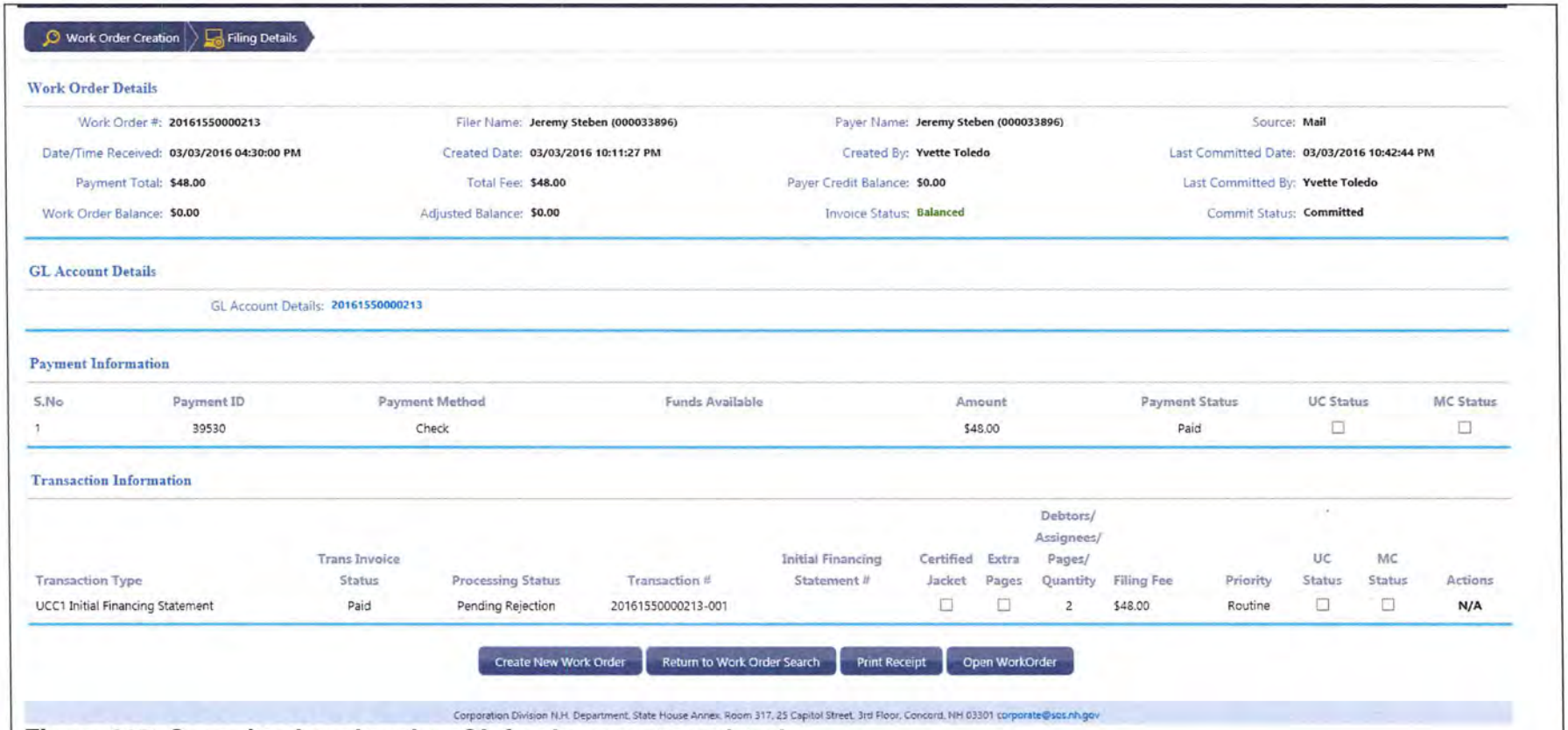


Figure 327. Committed work order. *GL fund accounts updated.*

Filing placed in the rejections processing queue. Rejected funds are transferred to the State's Corp Administration Account as per statutes. Funds from rejected filings can be kept by the State for later refiling, depending on state statutes.

Payment Details

Work Order Payment ID	Payment Type	Amount
39530	Check	$48.00
	Total Amount:	**$48.00**

Transaction Details

Transaction ID	Transaction Type	Amount	Is Invoiced
1259	UCC1 Initial Financing Statement	$48.00	☐
	Total Amount:	**$48.00**	

Transaction vs Payment Mapping

Work Order Payment ID	Transaction ID	Transaction/Payment Reference Number	Amount	Comment
39530	1259	1032	$48.00	Transaction Payment
39530	1259	1033	$48.00	Adjustments(Rejection funds Transfer)

GL Accounts

Transaction ID

1259

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1032	$18.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1032	$15.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1032	$15.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1032	-$18.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1032	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1032	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-402755-0000	CORP ADMINISTRATION	1033	$48.00	Adjustments(Rejection funds Transfer)	3/3/2016 10:42:44 PM	53
		Total Amount:	**$48.00**			

GL Account Names that are associated with the Transactions

Transaction ID

1259

GL Account Number	Account Name	Amount	Is Cost by Percent ?	Percentage	Fee ID
0010-10650000-402755-0002	UCC FILING FEES	N/A	☑	100	16
0010-10650000-407447-0000	UCC TOWN PORTION	$15.00	☐	N/A	16
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$18.00	☐	N/A	16
0010-10650000-402755-0000	CORP ADMINISTRATION	N/A	☑	100	53

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Figure 328. GL account details.

Work Order #: 20161550000213

Receipt Date/Time: 03/03/2016 10:51:36 PM

Payer Information:

Jeremy Steben
55 Main Street
Bloomfield, CT, 06002, USA

Filer Information:

Jeremy Steben
55 Main Street
Bloomfield, CT, 06002, USA

Payer Customer ID: 33896

Filer Customer ID: 33896

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
3/3/2016 10:11:27 PM	Check	Check#: 444	N/A	Paid	$48.00
				Total Payment Received:	**$48.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
3/3/2016 10:11:27 PM	UCC1 Initial Financing Statement	N/A	20161550000213-001	Rejected	Paid	$48.00
					Total	**$48.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$0.00
Credit Account Balance:	$0.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	$0.00

Figure 329. Receipt generated with rejection status.

Paying for a new filing using funds from a previously rejected filing. Note: this is shown using the same work for demonstration purposes; PCC recommends the best business practice would be to begin a new work order.

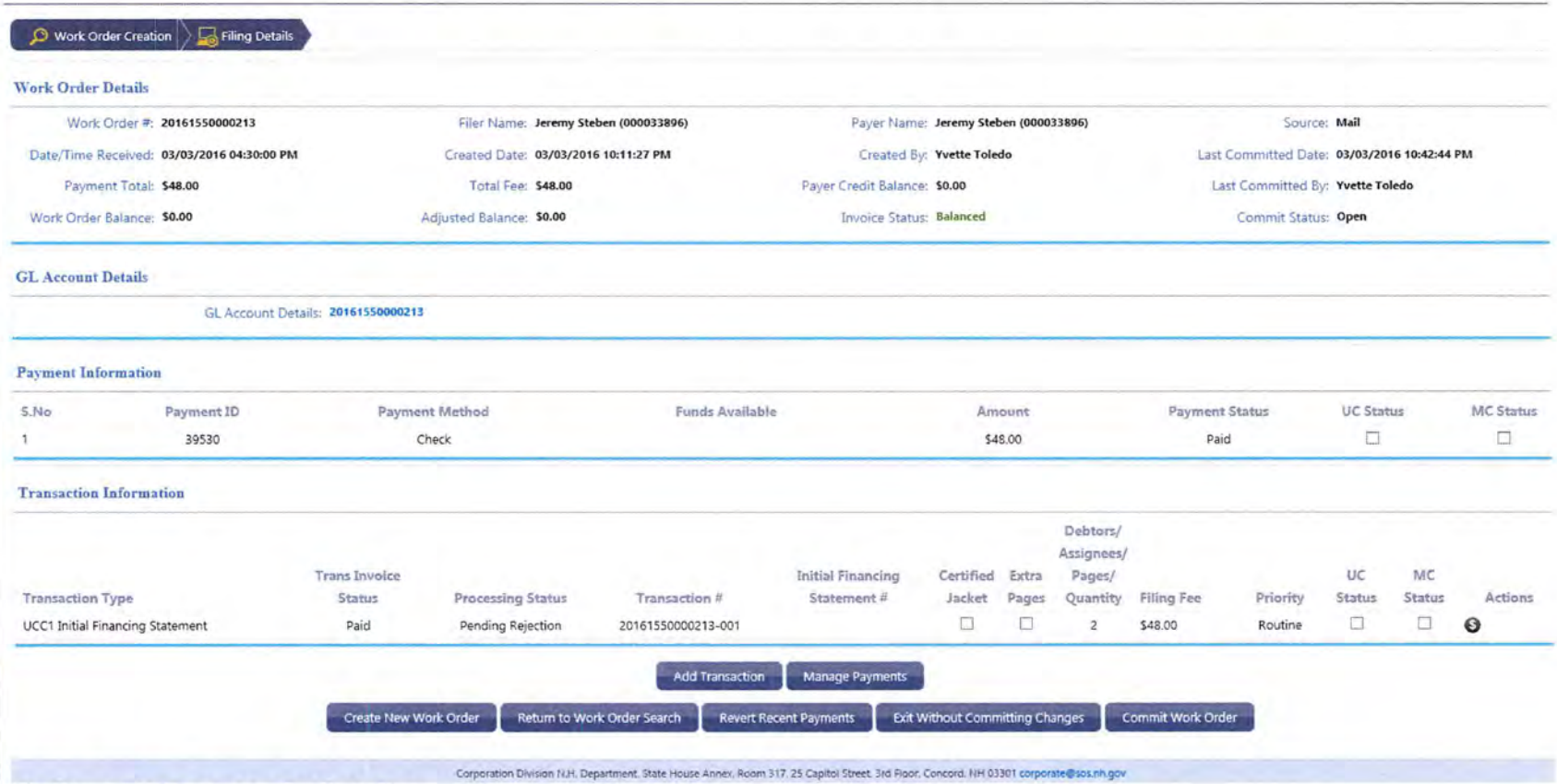


Figure 330. Re-open work order.

Add "Rejection Funds Payment." Enter the transaction number of the previously rejected filing.

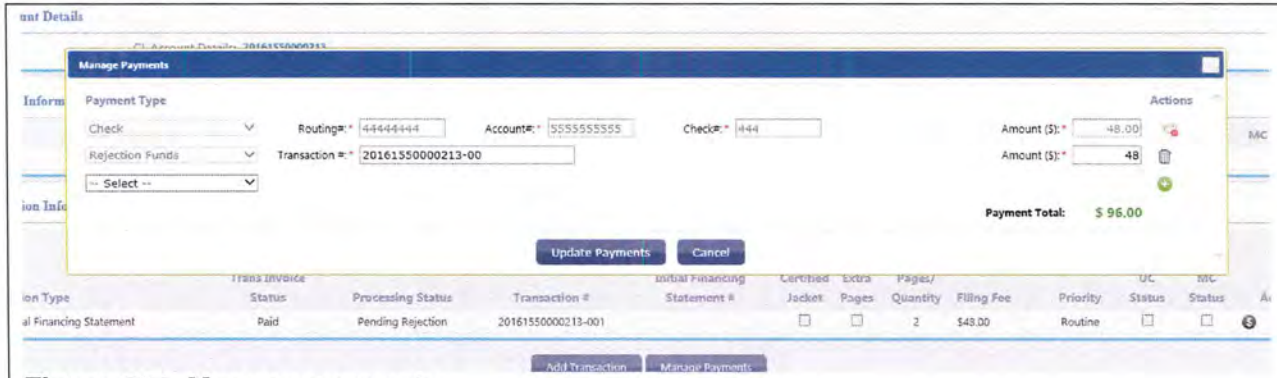


Figure 331. Manage payments.

Rejection funds payment added. Work order now has a positive balance. Work order will not allow a commit until it is balanced.

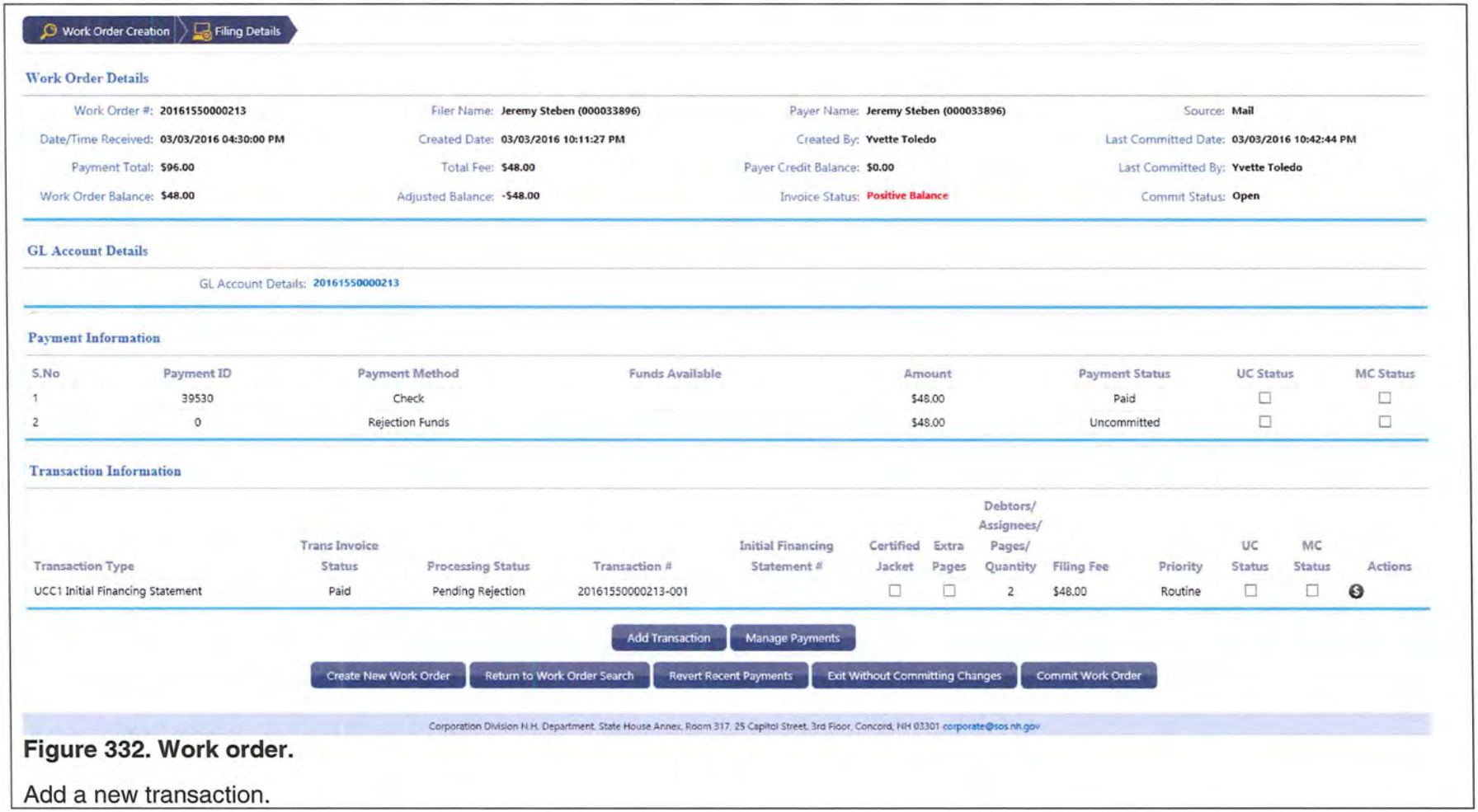


Figure 332. Work order.

Add a new transaction.



Figure 333. Filing information.

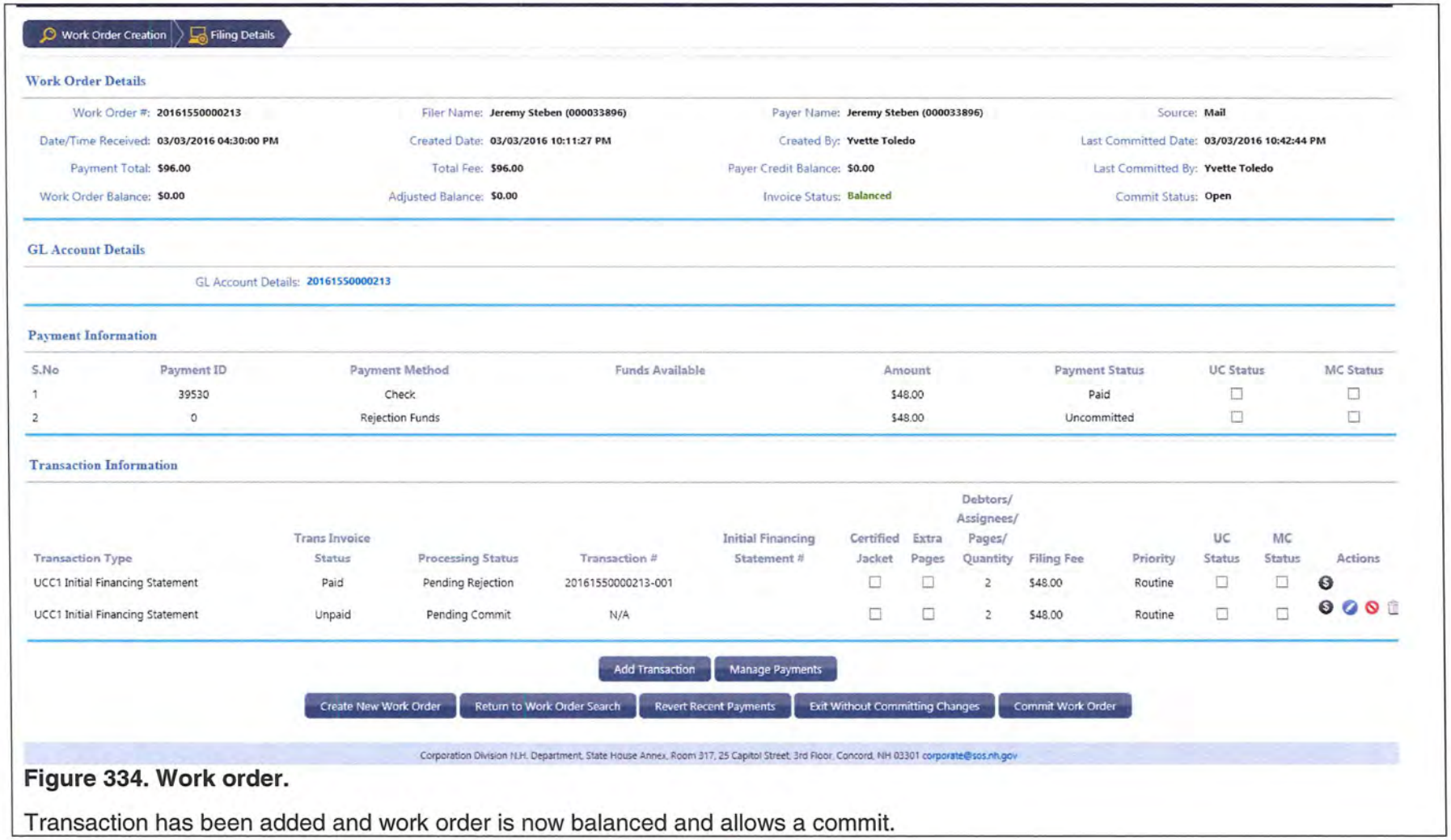


Figure 334. Work order.

Transaction has been added and work order is now balanced and allows a commit.

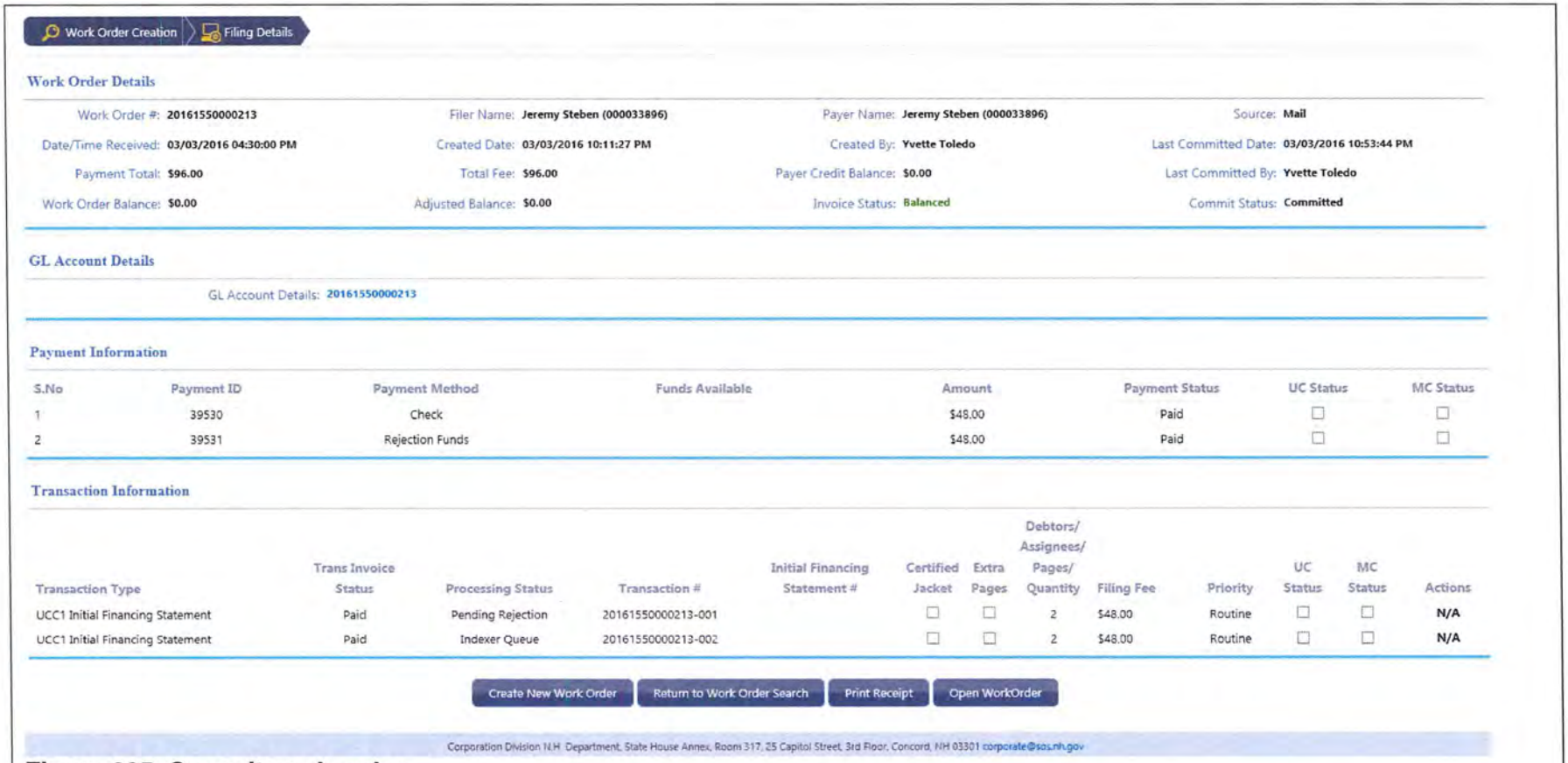


Figure 335. Commit work order.

Funds have been transferred from the Corp Administration Account to the associated payment accounts for the filing.



Figure 336. GL account details.

Work Order #: 20161550000213

Receipt Date/Time: 03/03/2016 10:57:24 PM

Payer Information:

Jeremy Steben
55 Main Street
Bloomfield, CT, 06002, USA

Filer Information:

Jeremy Steben
55 Main Street
Bloomfield, CT, 06002, USA

Payer Customer ID: 33896

Filer Customer ID: 33896

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
3/3/2016 10:11:27 PM	Check	Check#: 444	N/A	Paid	$48.00
3/3/2016 10:53:44 PM	Rejection Funds	Transaction ID#:20161550000213001	N/A	Paid	$48.00
				Total Payment Received:	**$96.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
3/3/2016 10:11:27 PM	UCC1 Initial Financing Statement	N/A	20161550000213-001	Rejected	Paid	$48.00
3/3/2016 10:53:44 PM	UCC1 Initial Financing Statement	N/A	20161550000213-002	Pending	Paid	$48.00
					Total	**$96.00**

Figure 337. New receipt generated.

Note: receipt may seem strange as it records $96.00 of payment. This is because using the rejection funds is a new payment to the work order. Normally, these two actions would have been on separate work orders. These have been combined on one for demonstration purposes only.

Adding an invoiced transaction to existing work order:
Re-open work order.

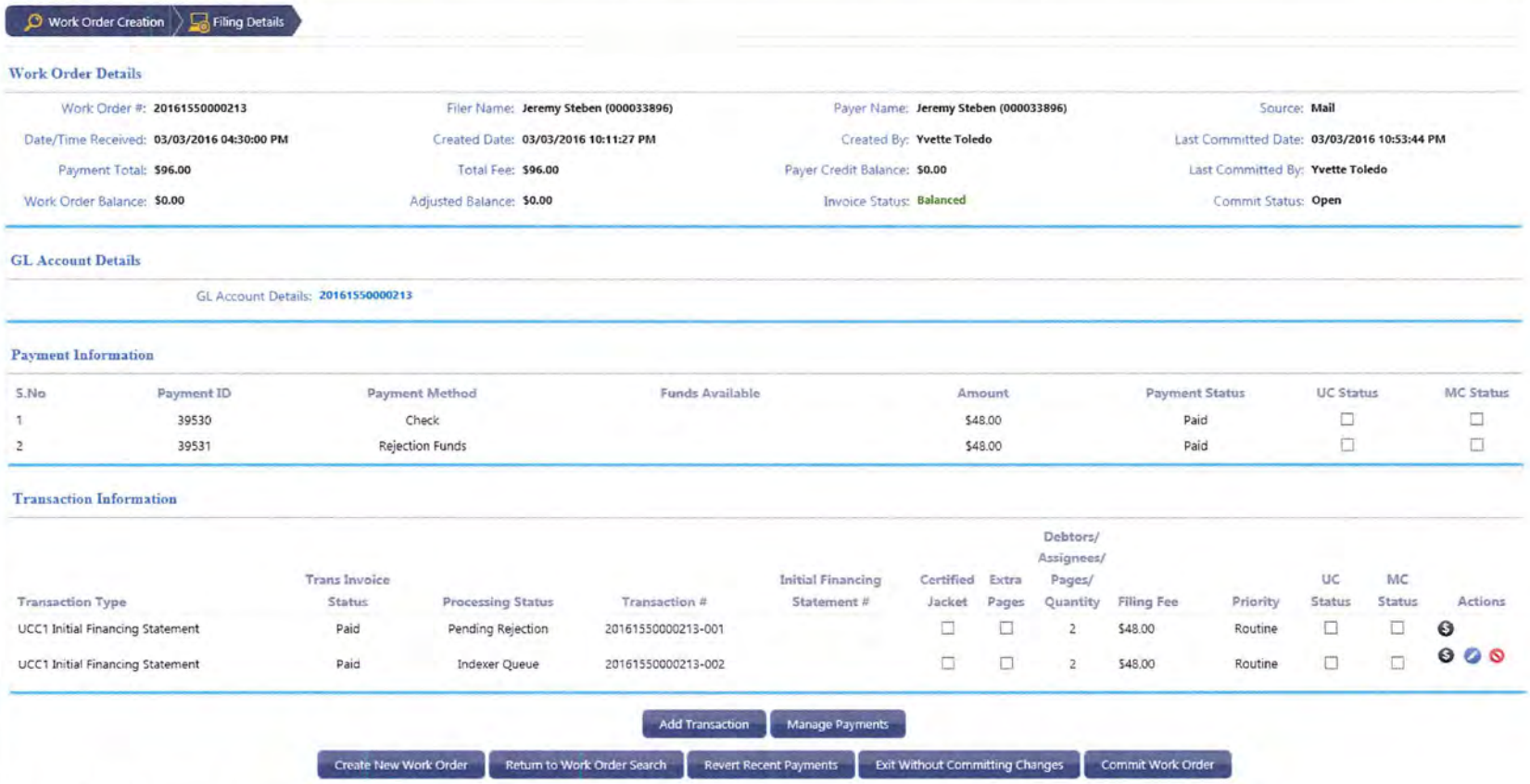


Figure 338. Work order.

Add new transaction.

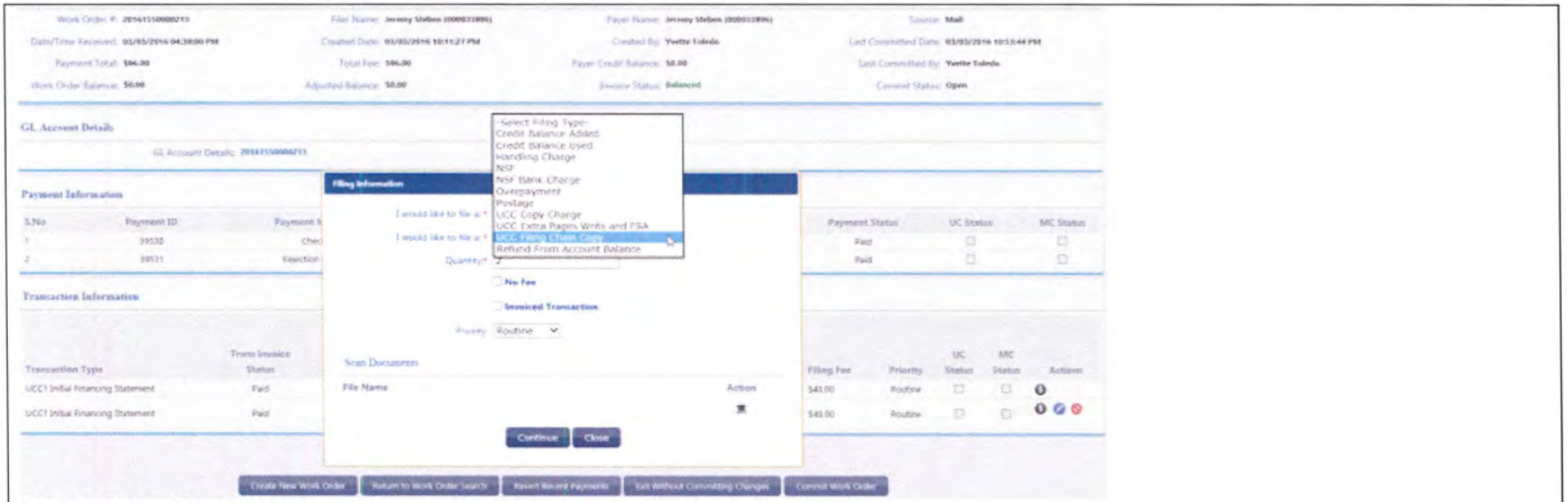


Figure 339. Filing information.

Work order now has status of “Balance Due” and will not allow commit.

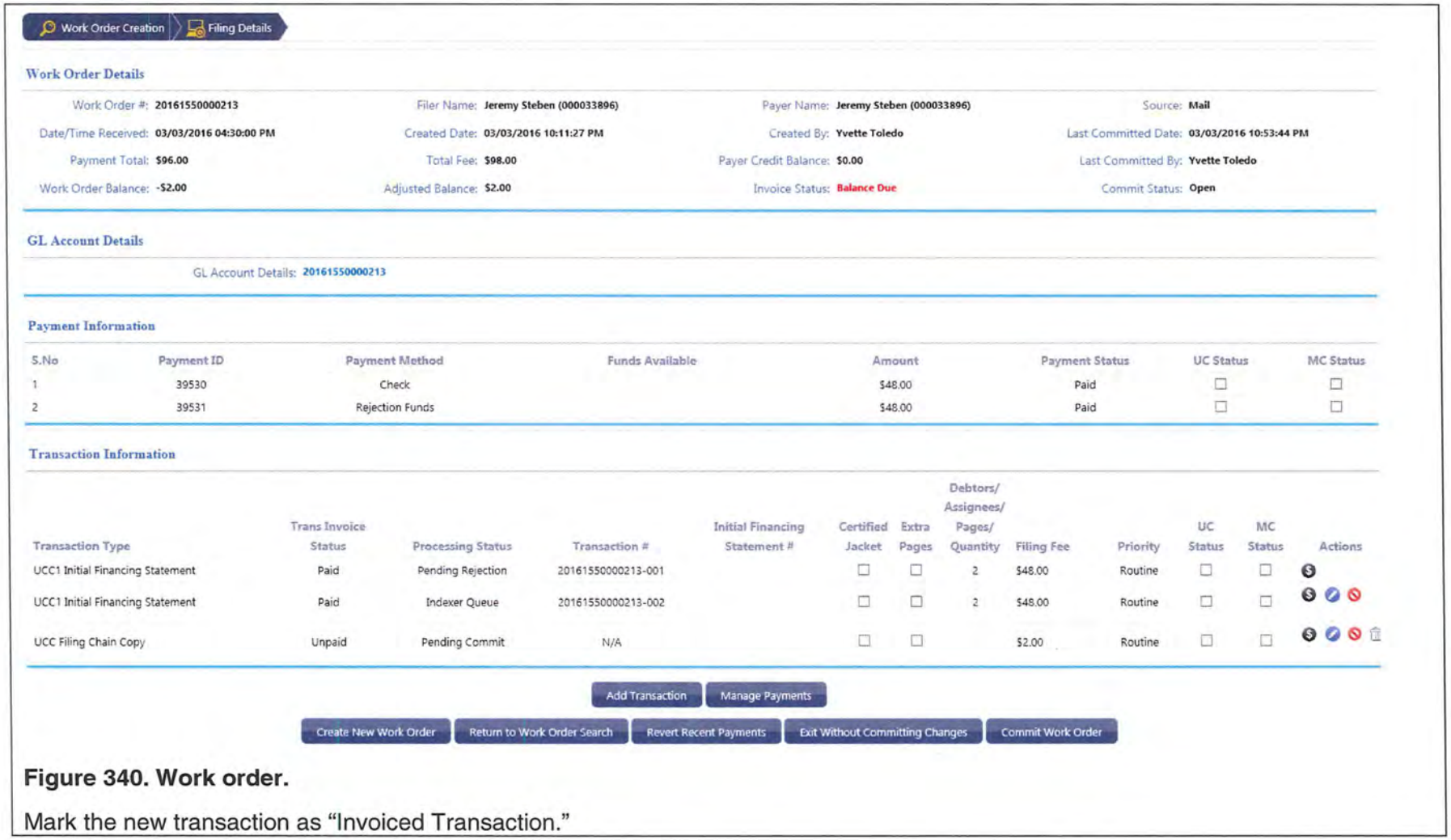


Figure 340. Work order.

Mark the new transaction as “Invoiced Transaction.”

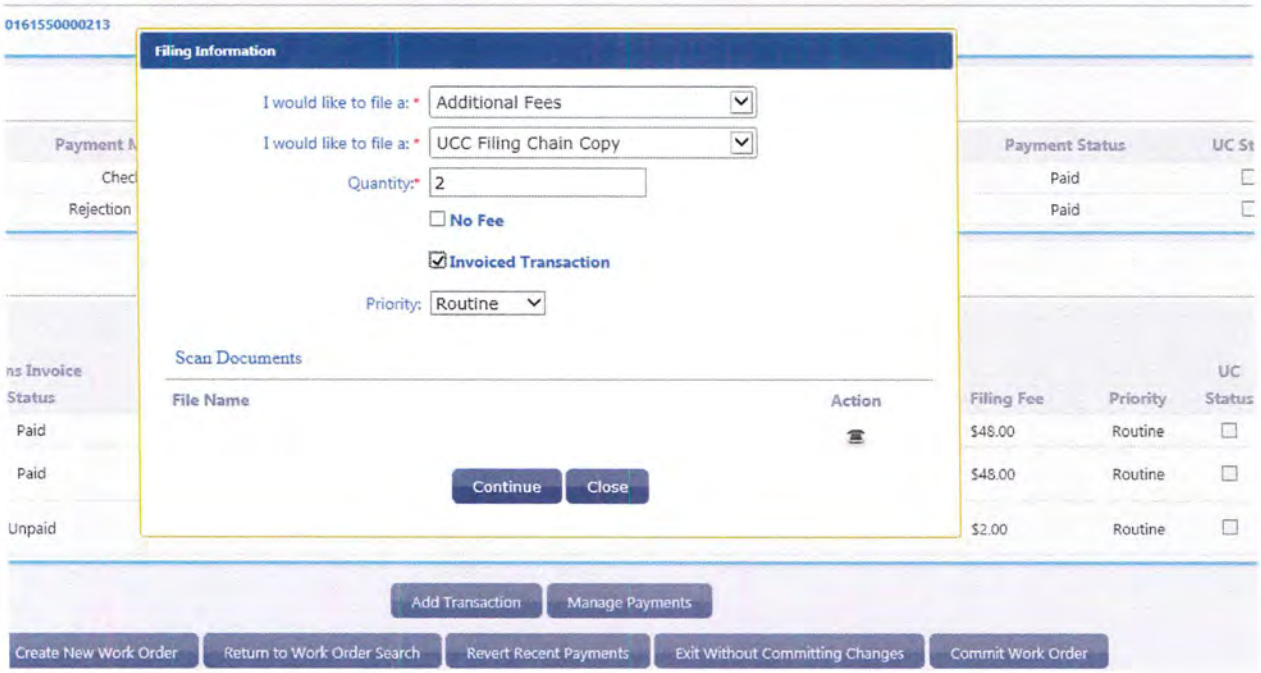


Figure 341. Filing information.

Work order still shows "Balance Due" but "Adjusted Balance" accounts for the invoiced transaction and shows "0.00" balance, so the work order is allowed to commit.

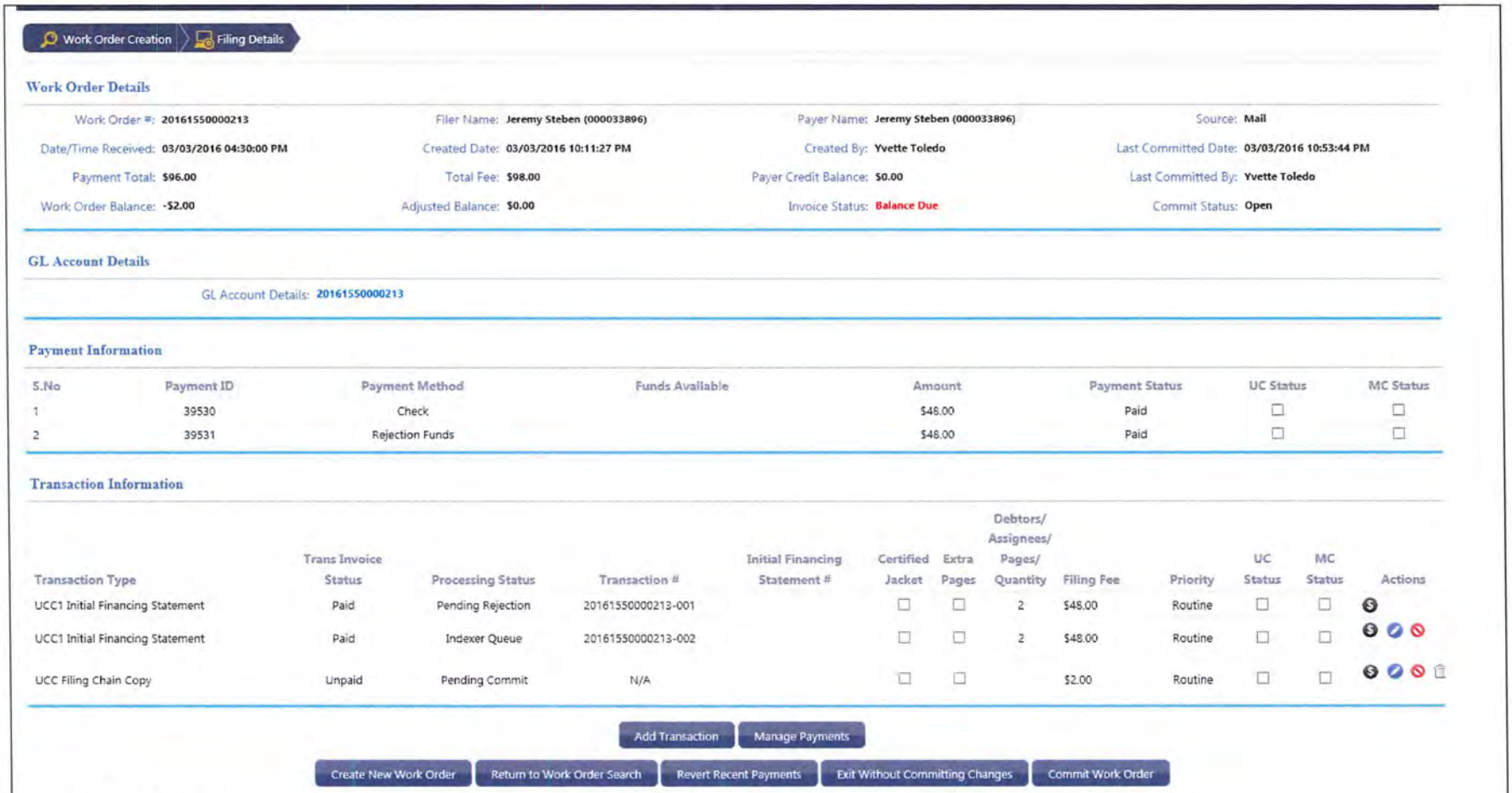


Figure 342. Work order.

Work order is committed. New transaction is shown as “Invoiced.” Work order invoice status is “Balance Due” and will reflect on aged accounts receivable reports.

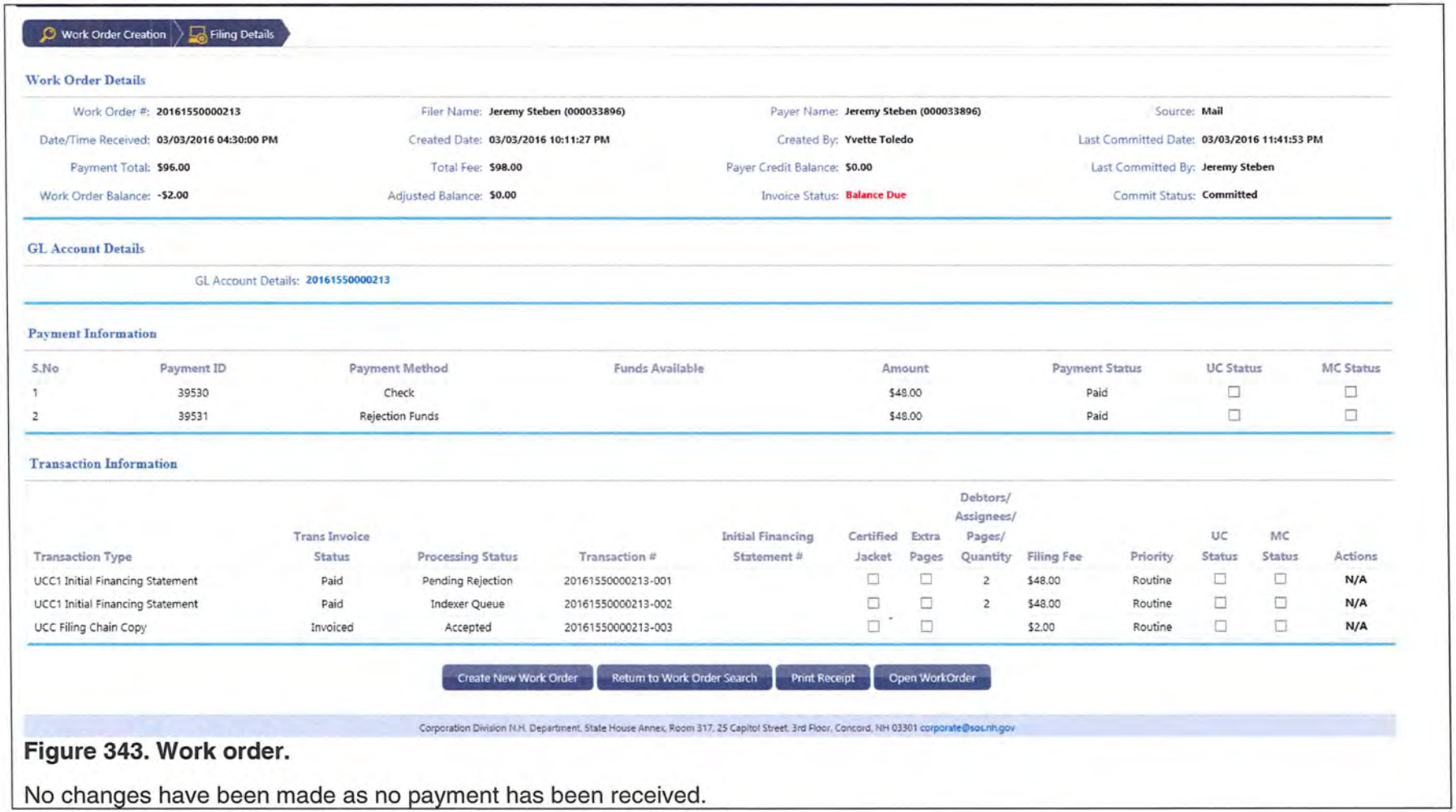
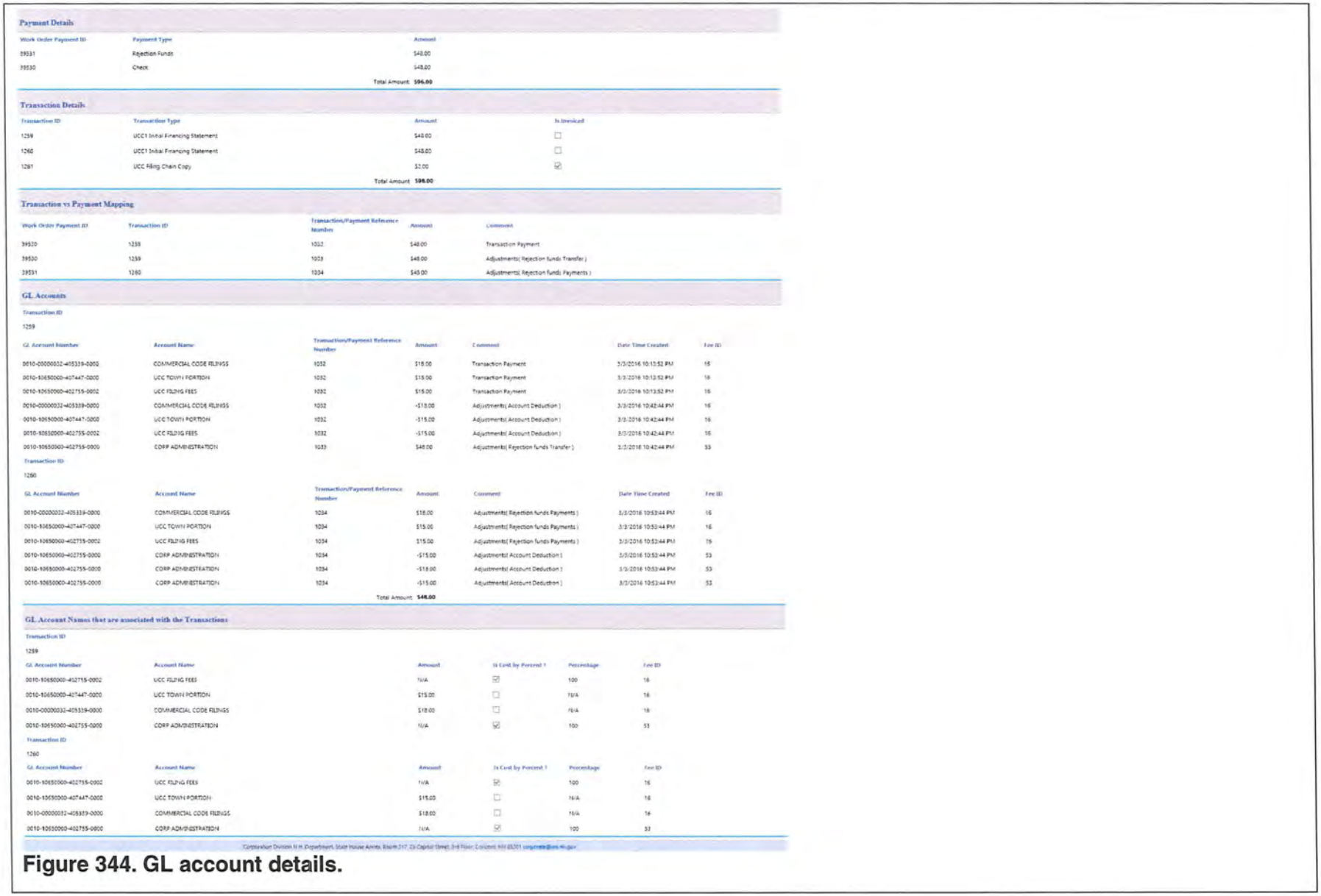


Figure 343. Work order.

No changes have been made as no payment has been received.



Payment Details

Work Order Payment ID	Payment Type	Amount
39531	Rejection Funds	$48.00
39530	Check	$48.00
	Total Amount:	**$96.00**

Transaction Details

Transaction ID	Transaction Type	Amount	Is Invoiced
1259	UCC1 Initial Financing Statement	$48.00	☐
1260	UCC1 Initial Financing Statement	$48.00	☐
1261	UCC Filing Chain Copy	$2.00	☑
	Total Amount:	**$98.00**	

Transaction vs Payment Mapping

Work Order Payment ID	Transaction ID	Transaction/Payment Reference Number	Amount	Comment
39529	1259	1032	$48.00	Transaction Payment
39530	1259	1033	$48.00	Adjustments(Rejection funds Transfer)
39531	1260	1034	$48.00	Adjustments(Rejection funds Payments)

GL Accounts

Transaction ID: 1259

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1032	$18.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1032	$15.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1032	$15.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1032	-$18.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1032	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1032	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-402755-0000	CORP ADMINISTRATION	1033	$48.00	Adjustments(Rejection funds Transfer)	3/3/2016 10:42:44 PM	53

Transaction ID: 1260

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1034	$18.00	Adjustments(Rejection funds Payments)	3/3/2016 10:53:44 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1034	$15.00	Adjustments(Rejection funds Payments)	3/3/2016 10:53:44 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1034	$15.00	Adjustments(Rejection funds Payments)	3/3/2016 10:53:44 PM	16
0010-10650000-402755-0000	CORP ADMINISTRATION	1034	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:53:44 PM	53
0010-10650000-402755-0000	CORP ADMINISTRATION	1034	-$18.00	Adjustments(Account Deduction)	3/3/2016 10:53:44 PM	53
0010-10650000-402755-0000	CORP ADMINISTRATION	1034	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:53:44 PM	53
	Total Amount:	**$48.00**				

GL Account Names that are associated with the Transactions

Transaction ID: 1259

GL Account Number	Account Name	Amount	Is Cost by Percent ?	Percentage	Fee ID
0010-10650000-402755-0002	UCC FILING FEES	N/A	☑	100	16
0010-10650000-407447-0000	UCC TOWN PORTION	$15.00	☐	N/A	16
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$18.00	☐	N/A	16
0010-10650000-402755-0000	CORP ADMINISTRATION	N/A	☑	100	53

Transaction ID: 1260

GL Account Number	Account Name	Amount	Is Cost by Percent ?	Percentage	Fee ID
0010-10650000-402755-0002	UCC FILING FEES	N/A	☑	100	16
0010-10650000-407447-0000	UCC TOWN PORTION	$15.00	☐	N/A	16
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$18.00	☐	N/A	16
0010-10650000-402755-0000	CORP ADMINISTRATION	N/A	☑	100	53

Corporation Division N.H. Department, State House Annex, Room 317, 25 Capitol Street, 3rd Floor, Concord, NH 03301 corpmail@sos.nh.gov

Figure 344. GL account details.

The generated receipt is now an invoice, showing funds due.

Work Order #: 20161550000213

Receipt Date/Time: 03/03/2016 11:48:14 PM

Payer Information:

Jeremy Stieben
55 Main Street
Bloomfield, CT, 06002, USA

Filer Information:

Jeremy Stieben
55 Main Street
Bloomfield, CT, 06002, USA

Payer Customer ID: 33896

Filer Customer ID: 33896

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
3/3/2016 10:11:27 PM	Check	Check#: 444	N/A	Paid	$48.00
3/3/2016 10:53:44 PM	Rejection Funds	Transaction ID#:20161550000213001	N/A	Paid	$48.00
				Total Payment Received:	**$96.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
3/3/2016 10:11:27 PM	UCC1 Initial Financing Statement	N/A	20161550000213-001	Rejected	Paid	$48.00
3/3/2016 10:53:44 PM	UCC1 Initial Financing Statement	N/A	20161550000213-002	Pending	Paid	$48.00
3/3/2016 11:41:53 PM	UCC Filing Claim Copy	N/A	20161550000213-003	Accepted	Invoiced	$2.00
					Total	**$98.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$2.00
Credit Account Balance:	$0.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	$0.00

Figure 345. Generated receipt.

Making payment on an invoiced transaction:
Open work order.

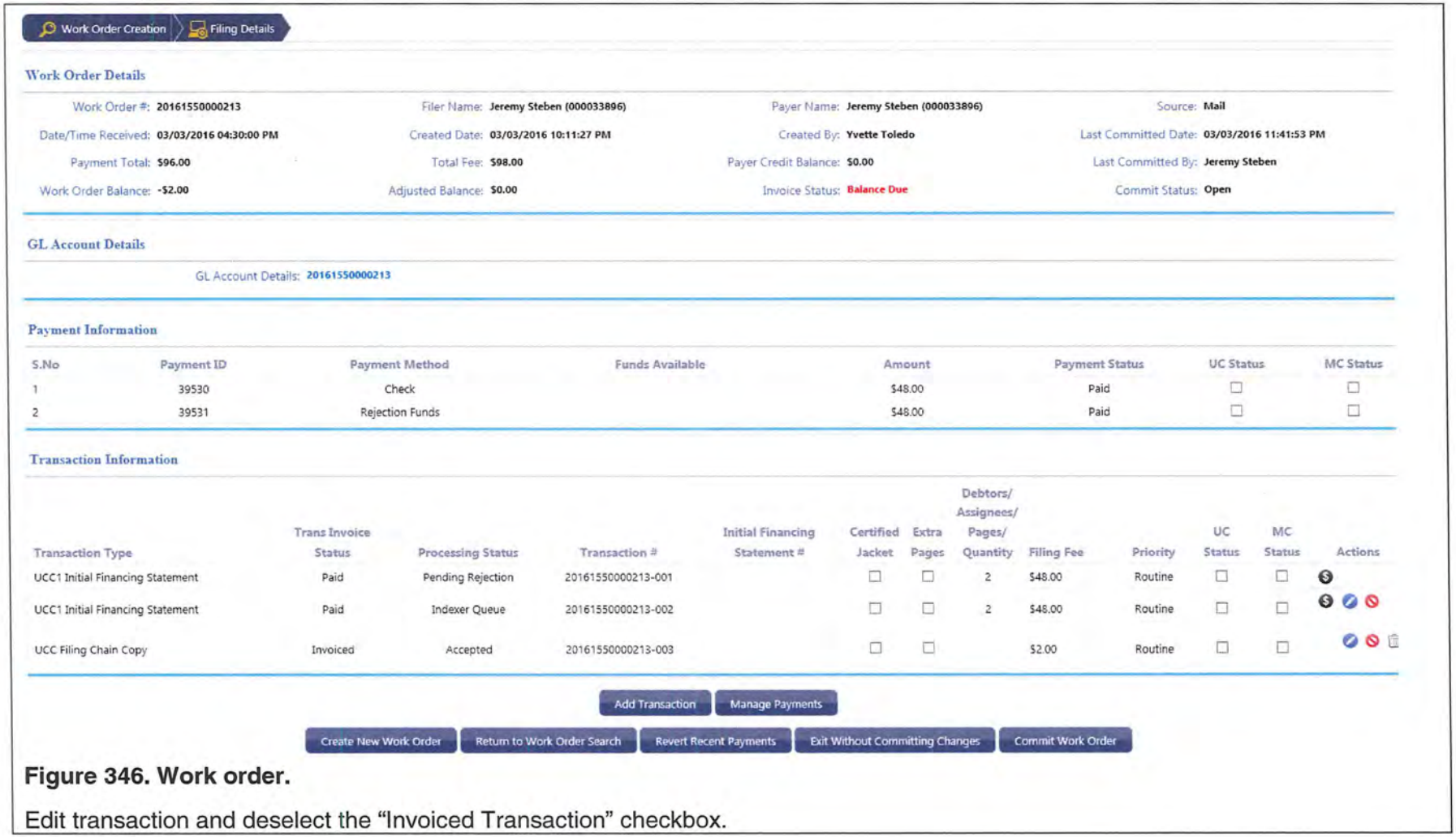


Figure 346. Work order.

Edit transaction and deselect the "Invoiced Transaction" checkbox.

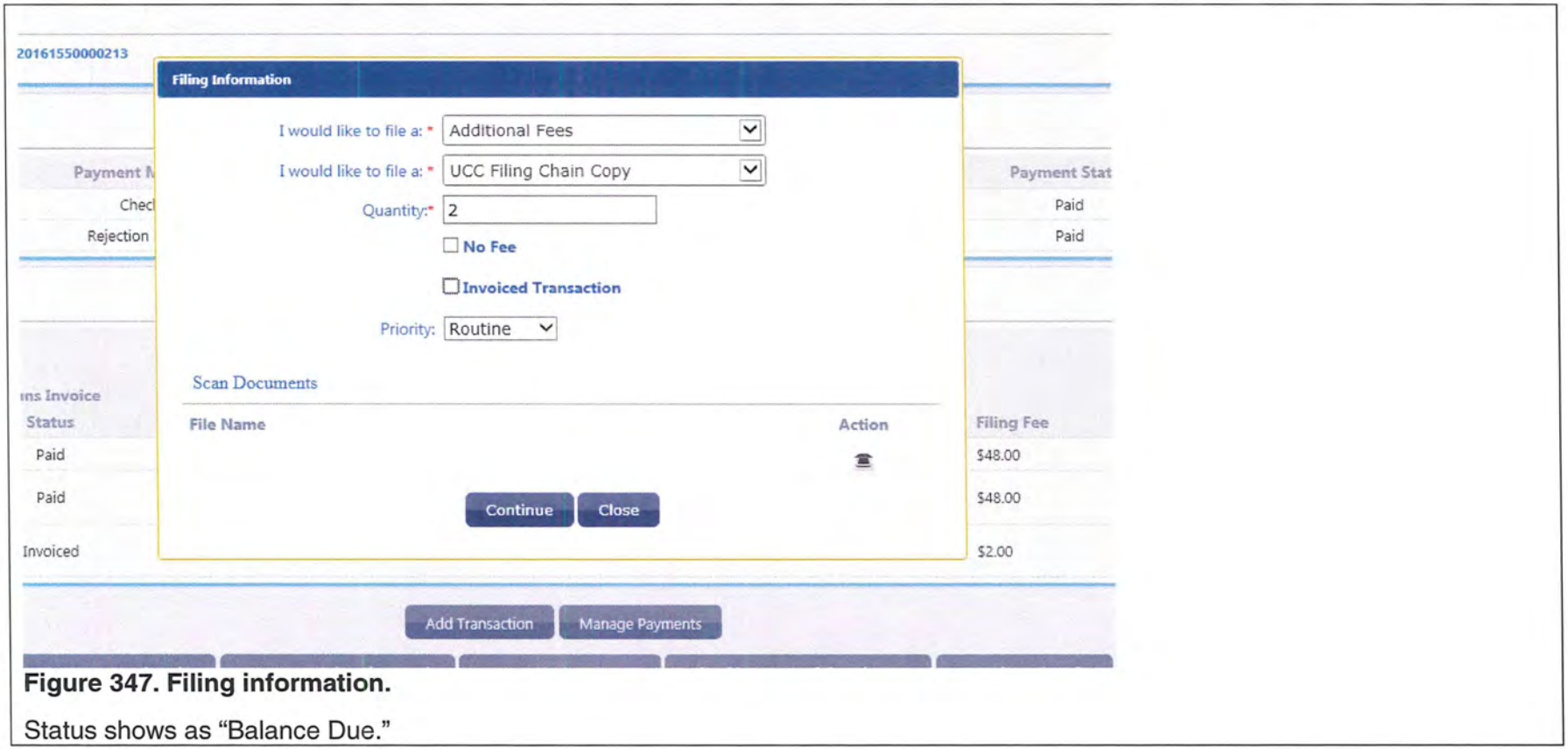


Figure 347. Filing information.

Status shows as "Balance Due."

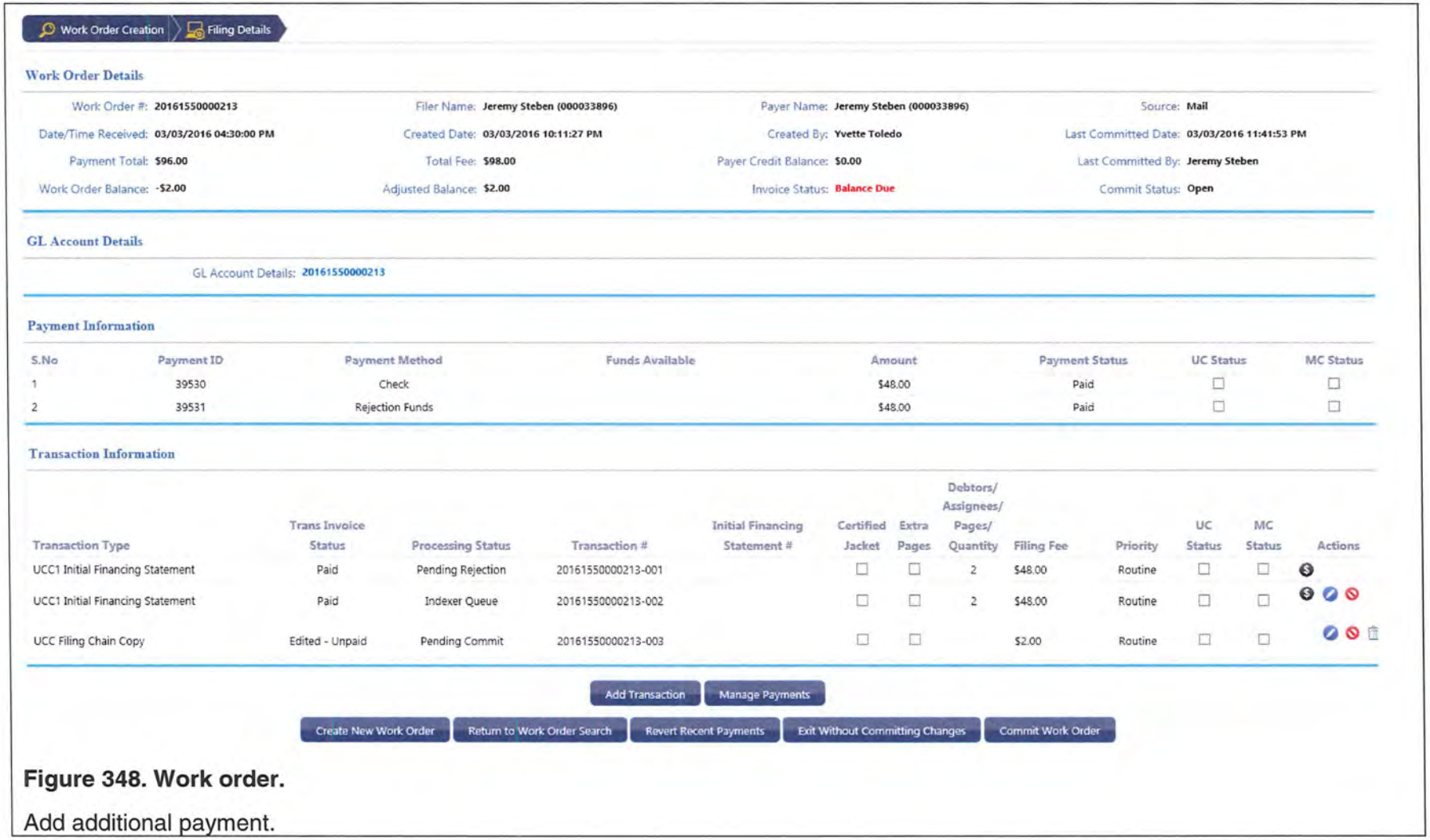


Figure 348. Work order.

Add additional payment.

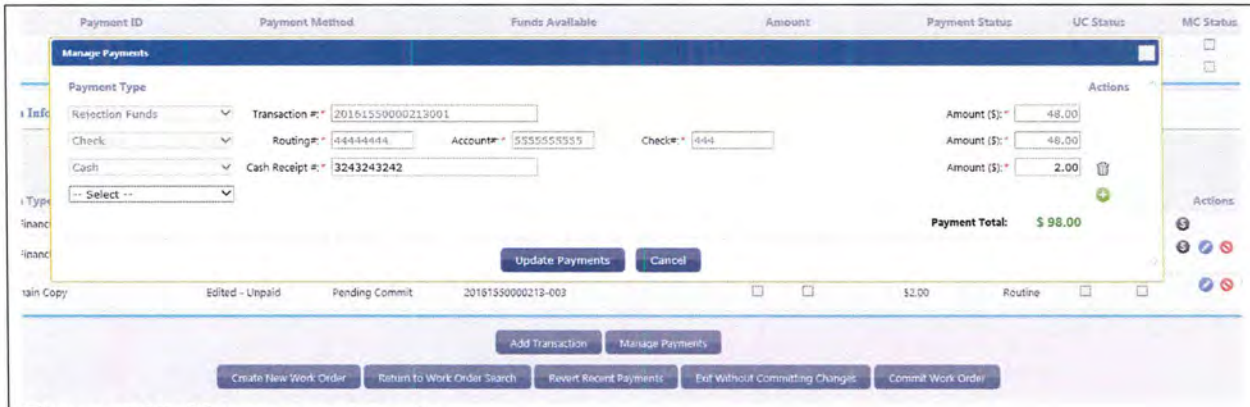


Figure 349. Manage payments.

Work order is now balanced and allowed to commit.

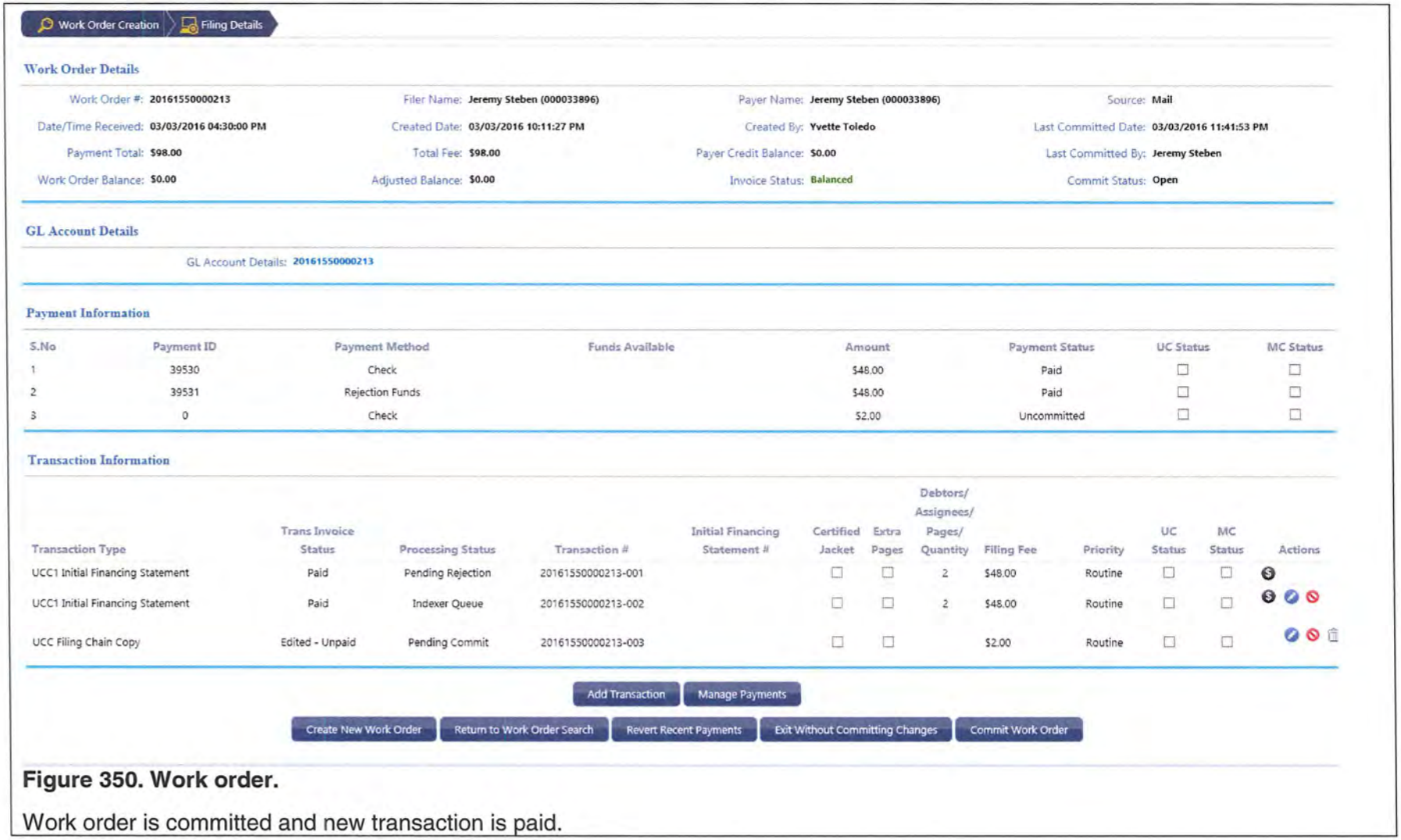
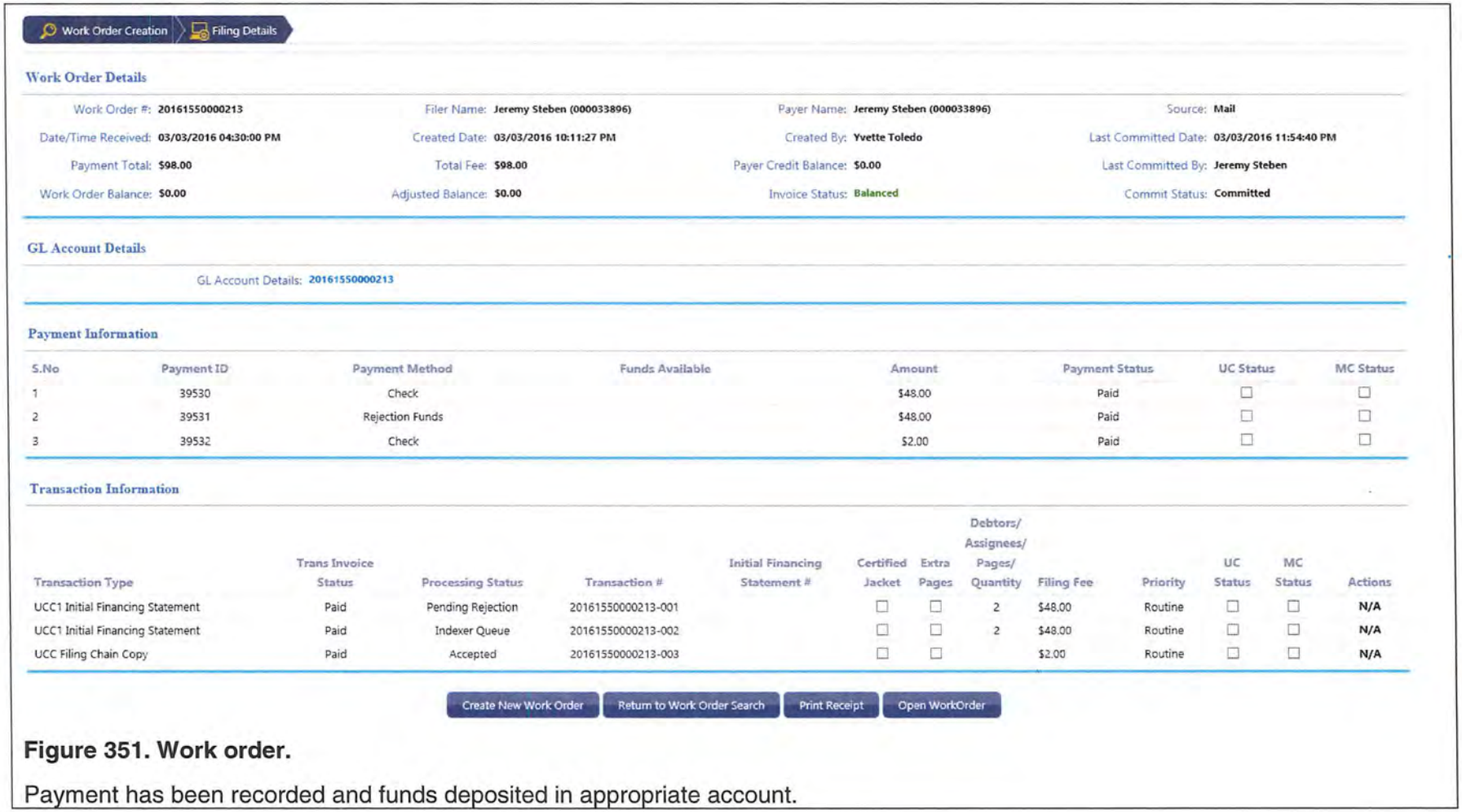


Figure 350. Work order.

Work order is committed and new transaction is paid.



Work Order Creation | Filing Details

Work Order Details

Work Order #: 20161550000213	Filer Name: Jeremy Steben (000033896)	Payer Name: Jeremy Steben (000033896)	Source: Mail
Date/Time Received: 03/03/2016 04:30:00 PM	Created Date: 03/03/2016 10:11:27 PM	Created By: Yvette Toledo	Last Committed Date: 03/03/2016 11:54:40 PM
Payment Total: $98.00	Total Fee: $98.00	Payer Credit Balance: $0.00	Last Committed By: Jeremy Steben
Work Order Balance: $0.00	Adjusted Balance: $0.00	Invoice Status: Balanced	Commit Status: Committed

GL Account Details

GL Account Details: 20161550000213

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Amount	Payment Status	UC Status	MC Status
1	39530	Check		$48.00	Paid	☐	☐
2	39531	Rejection Funds		$48.00	Paid	☐	☐
3	39532	Check		$2.00	Paid	☐	☐

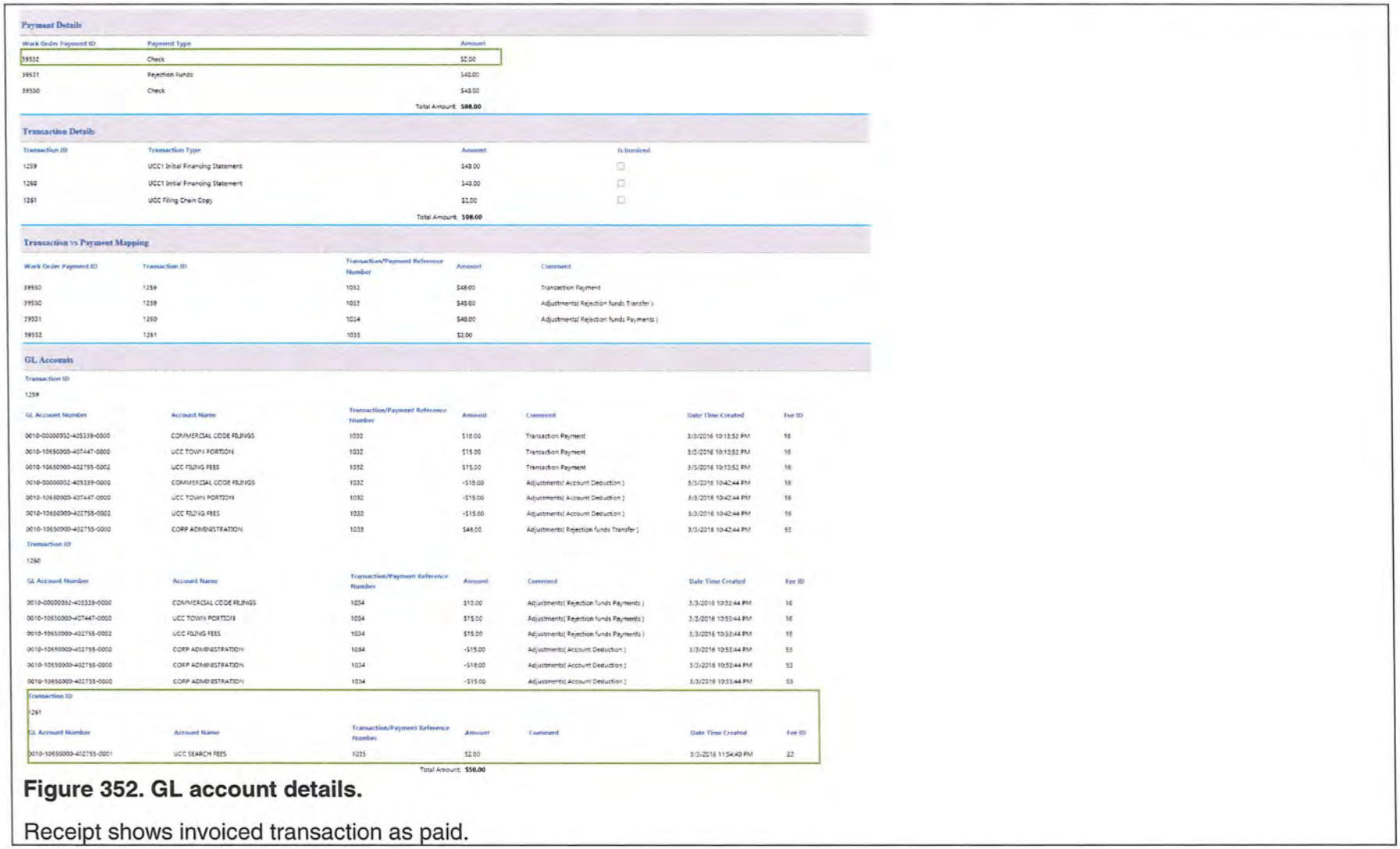
Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC1 Initial Financing Statement	Paid	Pending Rejection	20161550000213-001		☐	☐	2	$48.00	Routine	☐	☐	N/A
UCC1 Initial Financing Statement	Paid	Indexer Queue	20161550000213-002		☐	☐	2	$48.00	Routine	☐	☐	N/A
UCC Filing Chain Copy	Paid	Accepted	20161550000213-003		☐	☐		$2.00	Routine	☐	☐	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 351. Work order.

Payment has been recorded and funds deposited in appropriate account.



Payment Details

Work Order Payment ID	Payment Type	Amount
39532	Check	$2.00
39531	Rejection Funds	$48.00
39530	Check	$48.00
	Total Amount:	**$98.00**

Transaction Details

Transaction ID	Transaction Type	Amount	Is Invoiced
1259	UCC1 Initial Financing Statement	$48.00	☐
1260	UCC1 Initial Financing Statement	$48.00	☐
1261	UCC Filing Chain Copy	$2.00	☐
	Total Amount:	**$98.00**	

Transaction vs Payment Mapping

Work Order Payment ID	Transaction ID	Transaction/Payment Reference Number	Amount	Comment
39530	1259	1032	$48.00	Transaction Payment
39530	1259	1033	$48.00	Adjustments(Rejection funds Transfer)
39531	1260	1034	$48.00	Adjustments(Rejection funds Payments)
39532	1261	1035	$2.00	

GL Accounts

Transaction ID: 1259

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1032	$18.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1032	$15.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1032	$15.00	Transaction Payment	3/3/2016 10:13:52 PM	16
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1032	-$18.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1032	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1032	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:42:44 PM	16
0010-10650000-402755-0000	CORP ADMINISTRATION	1033	$48.00	Adjustments(Rejection funds Transfer)	3/3/2016 10:42:44 PM	52

Transaction ID: 1260

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	1034	$18.00	Adjustments(Rejection funds Payments)	3/3/2016 10:53:44 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	1034	$15.00	Adjustments(Rejection funds Payments)	3/3/2016 10:53:44 PM	16
0010-10650000-402755-0002	UCC FILING FEES	1034	$15.00	Adjustments(Rejection funds Payments)	3/3/2016 10:53:44 PM	16
0010-10650000-402755-0000	CORP ADMINISTRATION	1034	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:53:44 PM	53
0010-10650000-402755-0000	CORP ADMINISTRATION	1034	-$18.00	Adjustments(Account Deduction)	3/3/2016 10:53:44 PM	53
0010-10650000-402755-0000	CORP ADMINISTRATION	1034	-$15.00	Adjustments(Account Deduction)	3/3/2016 10:53:44 PM	53

Transaction ID: 1261

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-10650000-402755-0001	UCC SEARCH FEES	1035	$2.00		3/3/2016 11:54:40 PM	22

Total Amount: **$50.00**

Figure 352. GL account details.

Receipt shows invoiced transaction as paid.

Work Order #: 20161550000213

Receipt Date/Time: 03/04/2016 12:01:53 AM

Payer Information:

Jeremy Steben
55 Main Street
Bloomfield, CT, 06002, USA

Filer Information:

Jeremy Steben
55 Main Street
Bloomfield, CT, 06002, USA

Payer Customer ID: 33896

Filer Customer ID: 33896

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
3/3/2016 10:11:27 PM	Check	Check#: 444	N/A	Paid	$48.00
3/3/2016 10:53:44 PM	Rejection Funds	Transaction ID#:20161550000213001	N/A	Paid	$48.00
3/3/2016 11:54:40 PM	Check	Check#: 447	N/A	Paid	$2.00
				Total Payment Received:	**$98.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
3/3/2016 10:11:27 PM	UCC1 Initial Financing Statement	N/A	20161550000213-001	Rejected	Paid	$48.00
3/3/2016 10:53:44 PM	UCC1 Initial Financing Statement	N/A	20161550000213-002	Pending	Paid	$48.00
3/3/2016 11:41:53 PM	UCC Filing Chain Copy	N/A	20161550000213-003	Accepted	Paid	$2.00

Figure 353. Receipt.

Refund requests and approvals:

Open previously committed work order and click the modify funds icon.

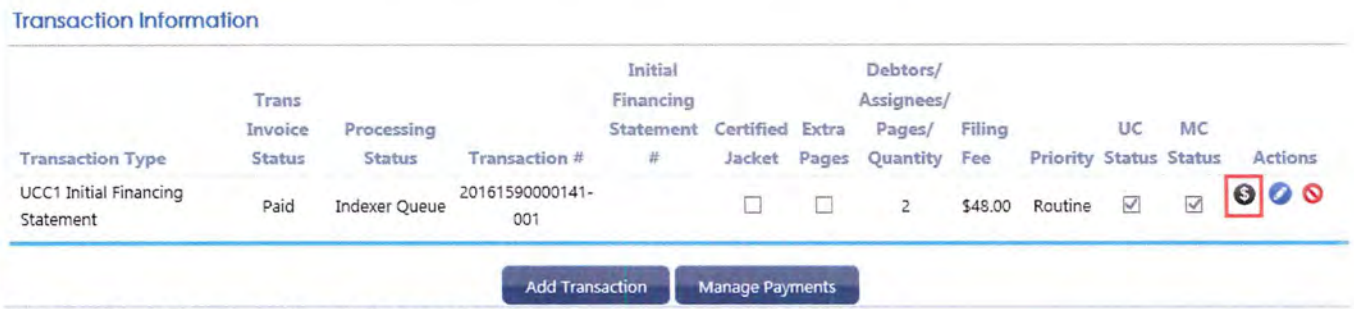


Figure 354. Transaction information.

Enter reason memo to be communicated to approver; all requests are stamped with user ID and time stamp (not pictured: function can be configured to require a document to be scanned with request to record written refund request documents).

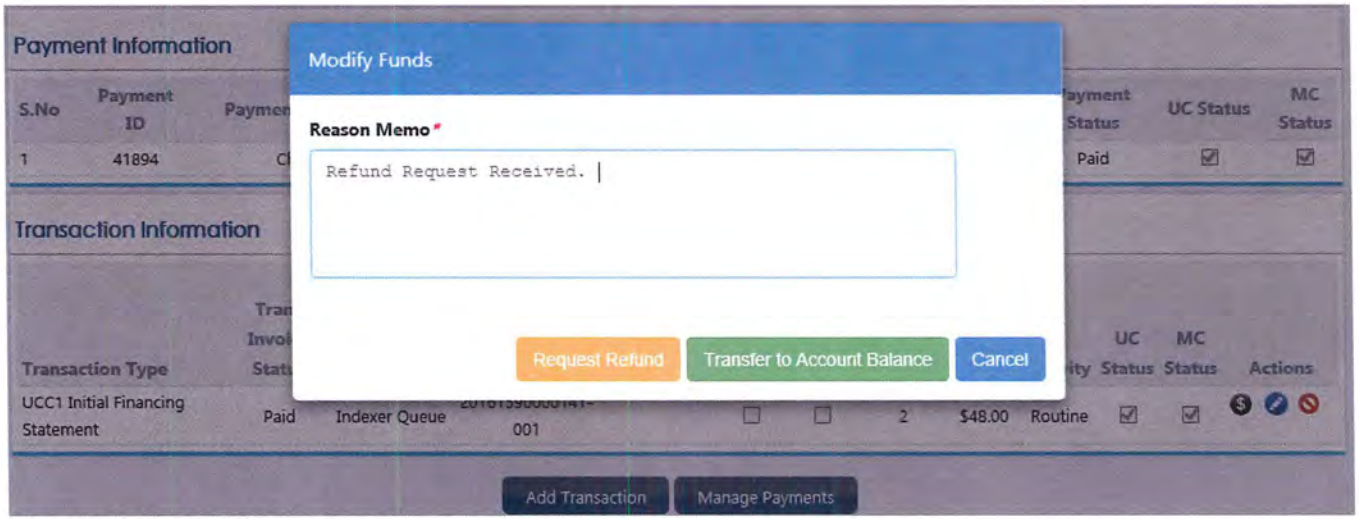


Figure 355. Modify funds. Reason memo.

Transaction is flagged as, "Refund Requested"/pending refund approval.

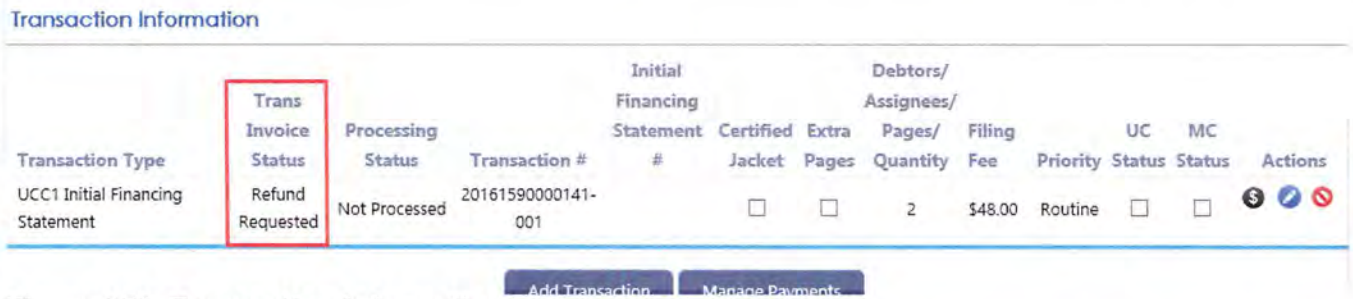


Figure 356. Transaction information.

Financial user receives alert of request in dashboard queue and clicks to proceed to financial request approval queue.

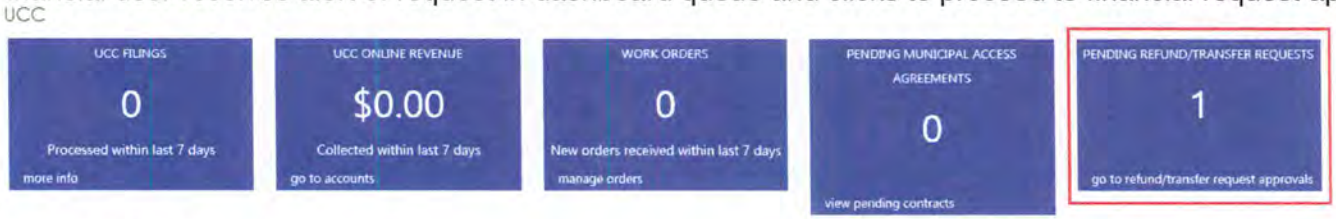


Figure 357. Dashboard.

Financial user clicks on "Pending Refund/Transfer Requests" and reviews and approves the request in the refund/transfer requests queue.

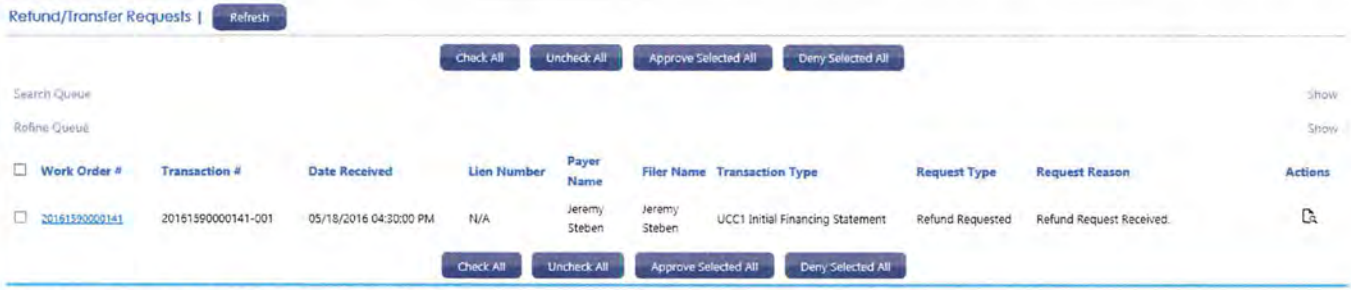


Figure 358. Refund/Transfer requests.

Transaction flagged as refunded, funds are debited from GL accounts, refund voucher file is transmitted to centralized accounting system, and funds are locked from further re-distribution.

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC1 Initial Financing Statement	Refunded	Not Processed	20161590000141-001		☐	☐	2	$48.00	Routine	☐	☐	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 359. Transaction information.

CPP-2	Payment Security Online security consistent with online payment card industry standards, specifically, the Payment Card Industry's Data Security Standards ("PCI DSS") is required. The bidder should describe and provide screen shots showing the system's online security for acceptance of payment by credit/debit card.	X			

Bidder Response:

PCC enables credit card transaction functionality in one of two methods.

1. Upon the user triggering the credit card payment process, the system passes control of the session to an authorized payment gateway, either maintained by the State or by a third party vendor. Credit card information is entered in fields on the payment gateway URL. The payment gateway accepts all information and processes the transaction. Once the payment has been authorized, the payment gateway will navigate the user back to the solution for retrieval of receipt and further filings. The transaction status (successful, declined, and so on) along with other data necessary for logging, audit trail and reports will be passed back to the solution at this time.
2. Upon the user triggering the credit card payment process, the user will be presented with credit card payment fields from within the application. Once the user submits the payment, the solution will pass the credit card data to an authorized payment gateway via API. The payment gateway will process the transaction return to the solution the transaction status (successful, declined, and so on) along with other data necessary for logging, audit trail and reports will be passed back to the solution at this time.

In regards to both methods above:

- No track 1 data is ever stored by the solution, or placed into any database tables at any time.
- The full credit card number and cardholder name and address are never stored by the solution, or placed into any database tables at any time.

- The last four digits of the credit card number will be stored in an encrypted form when this value is passed back by the payment gateway.
- All data touchpoints between the solution and the payment gateway will be encrypted.
- Only non-personal identifying data will be stored for any credit card transaction.

Screenshot examples of method 1:

Online user elects to checkout their shopping cart.

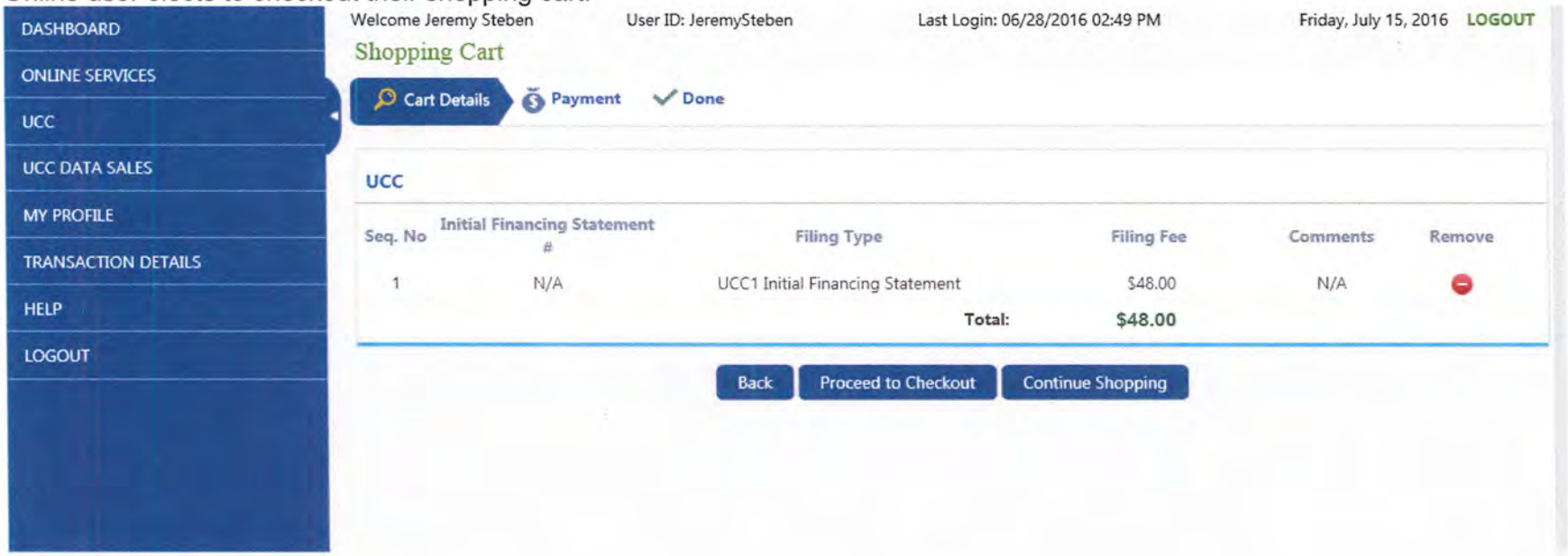


Figure 360. Shopping cart.

The user elects to pay with a credit card.

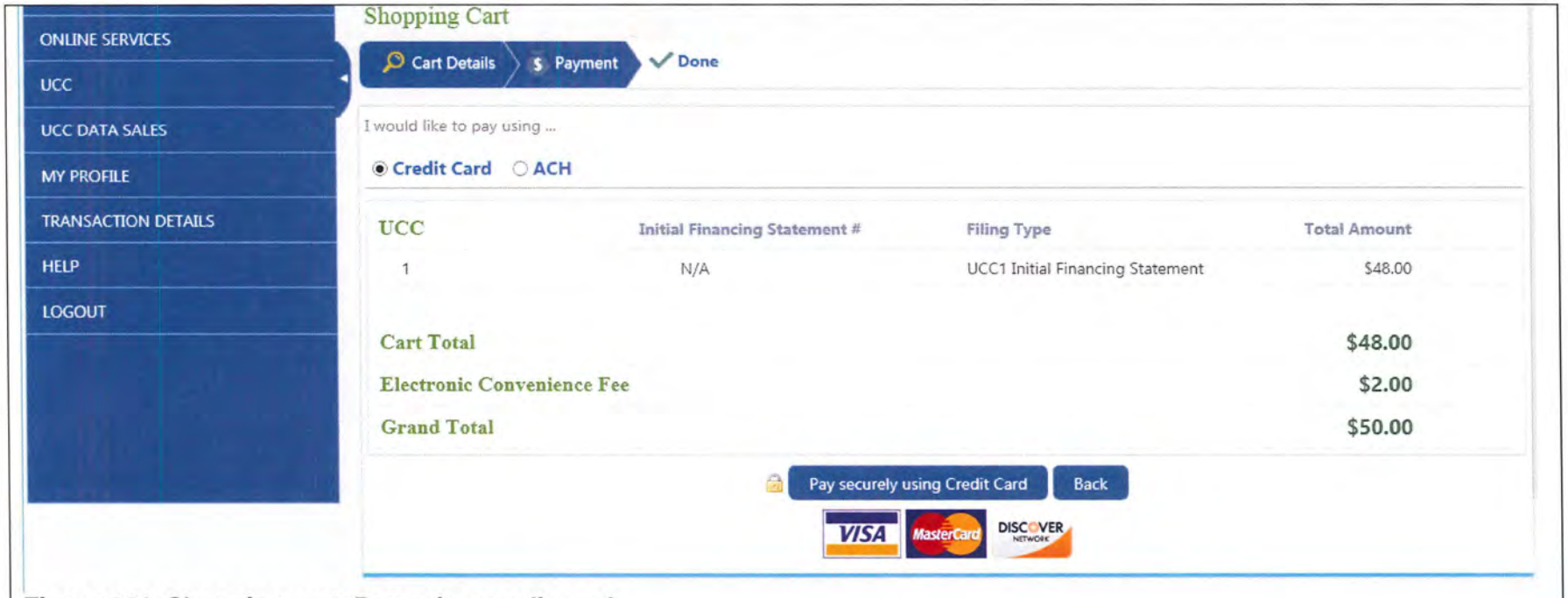


Figure 361. Shopping cart. Pay using credit card.

The solution alerts the user that they are being re-directed to the payment gateway for the purpose of credit card payment.

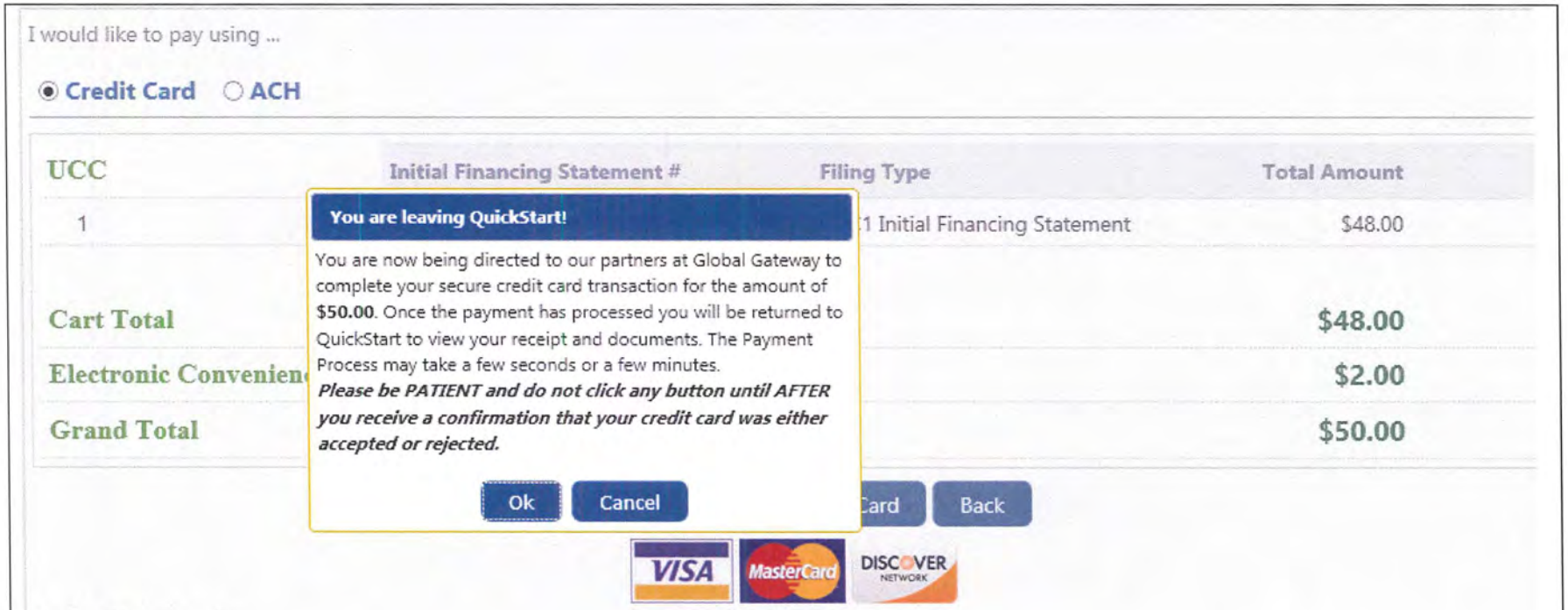


Figure 362. Alert.

The user enters the name, address, card number and any other required details into fields present on the payment gateway portal.

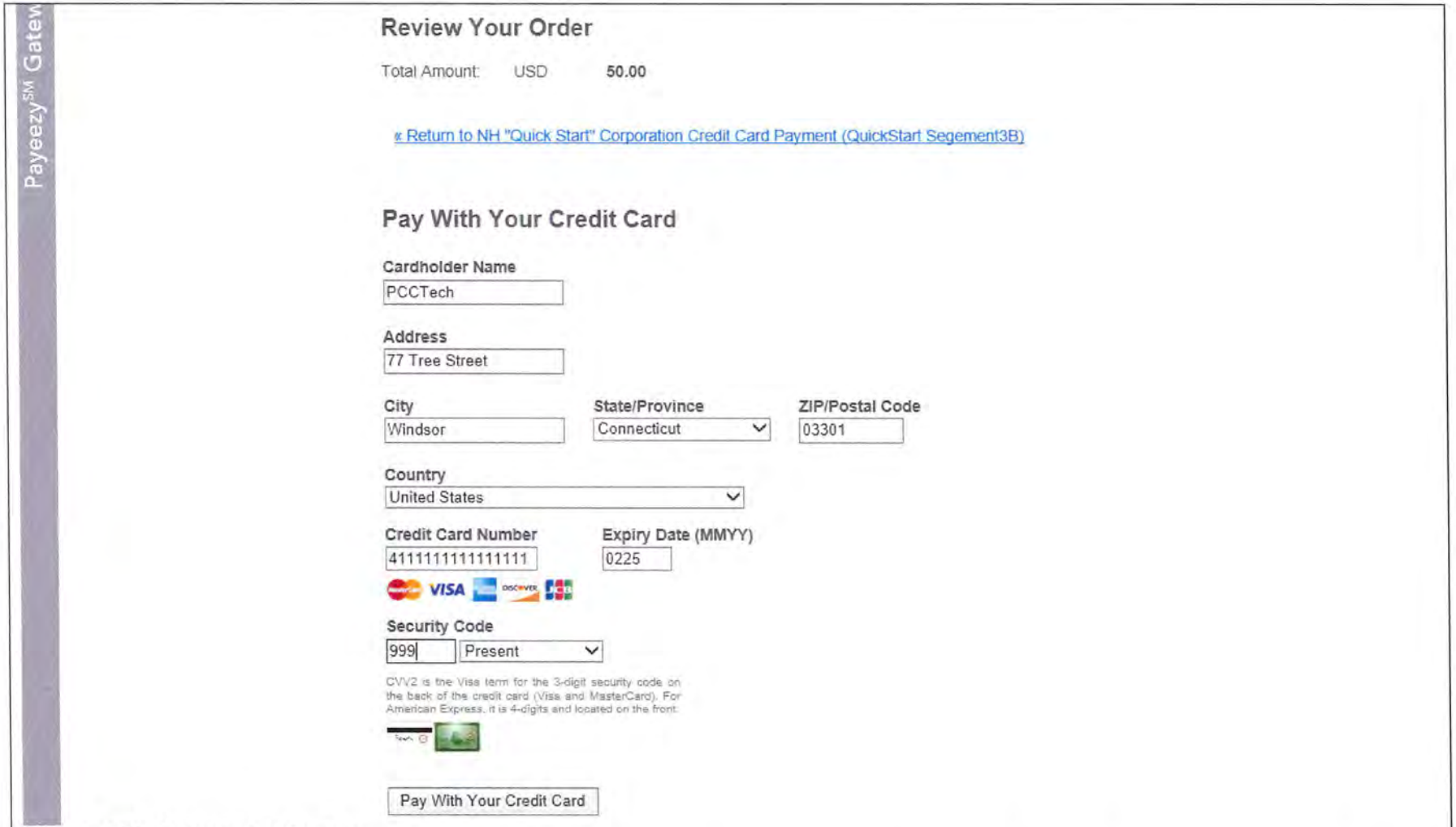


Figure 363. Payment gateway.

After clicking "Pay With Your Credit Card," the user is alerted that their payment is processing, and that upon completion they will be directed back to the solution.

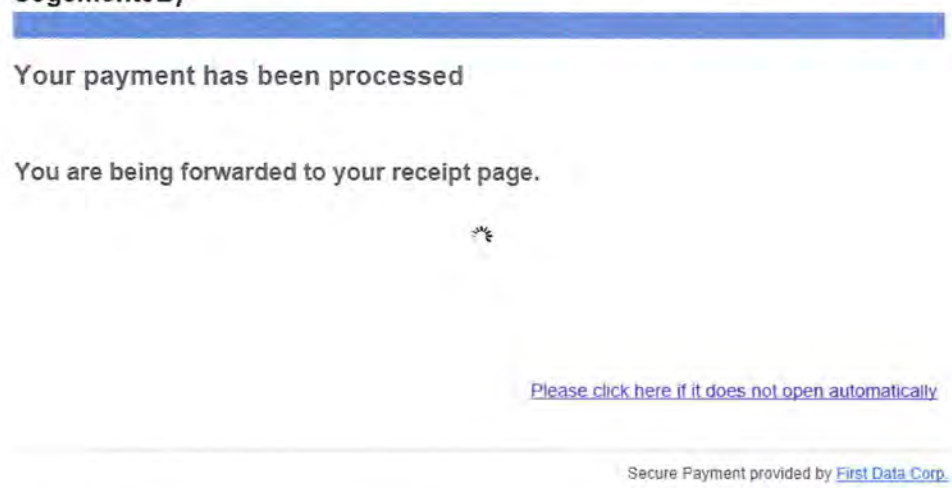


Figure 364. Payment confirmation.

The solution lands on a confirmation screen where the user may review the status of their transaction and obtain any receipts or outputs that were generated by the process.

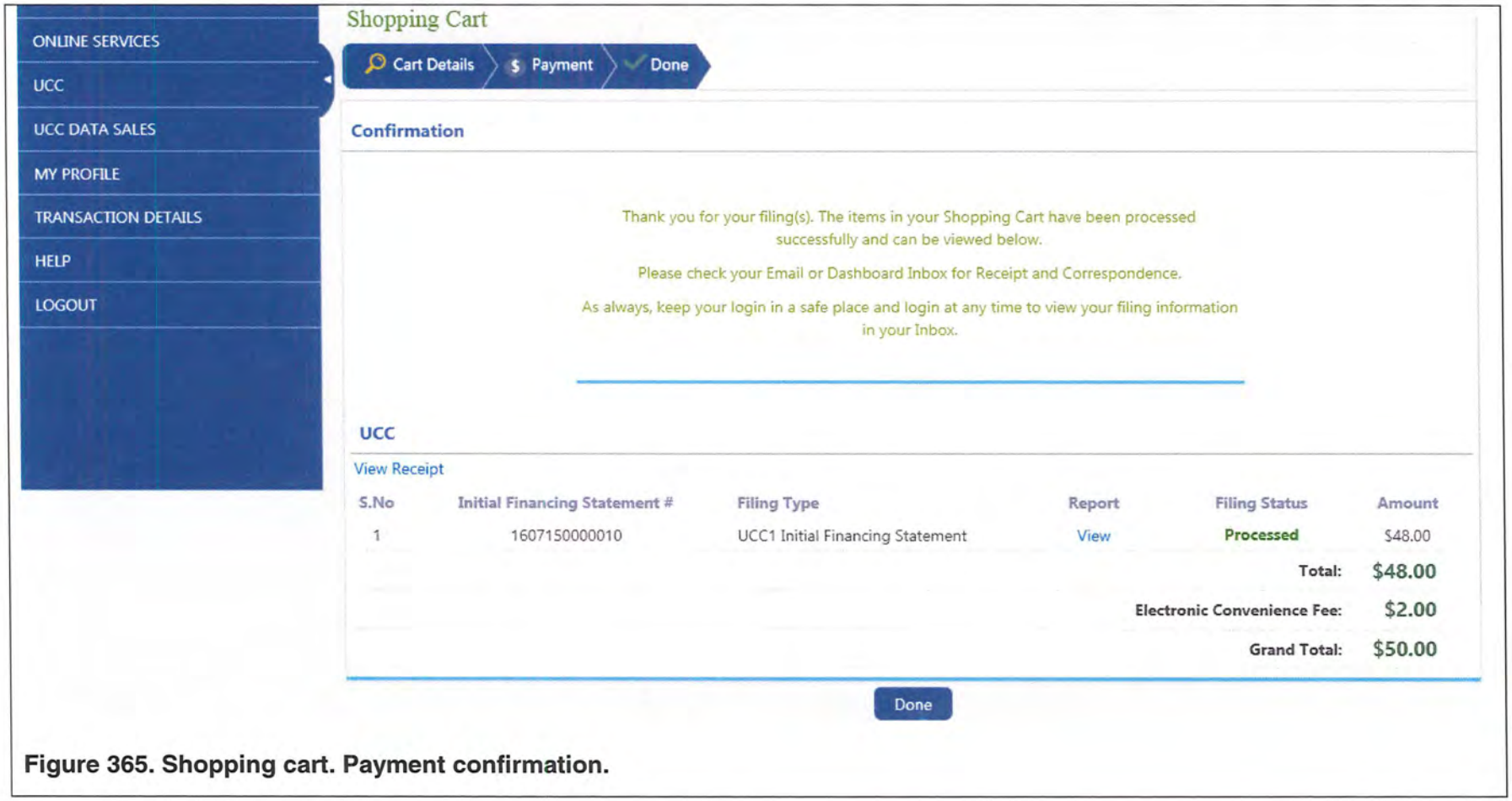


Figure 365. Shopping cart. Payment confirmation.

RTM #	Customer Payment and Accounting Processing Requirements	Yes	Customization Required	No	Alternate
CPP-3	Accounting The system should allow: A. An entity to apply for a charge account. An account is created and assigned a unique account number. The system must be able to search accounts by account name using Soundex per RTM Corp-1 or by account number and must include functionality to edit, change status, or place on credit hold, either system generated or by staff, based on number of days account is in arrears. B. Record fees, collect fees, or charge to appropriate account number and receipt payments (full or partial) received on account. C. Prepare deposit for funds receipted the previous day to be sent to the accountant for PFC deposit. See RTM CB-5 D. Bill accounts with balances monthly (electronically, faxing or mailing) assigning an invoice number E. The ability to create and apply partial/in full credit memos. F. The ability to search and retrieve by invoice number. G. The ability to run reports and generate statements. H. The ability to override a fee and the ability to accept overpayment. Describe the system's accounting, receipts, and audit trail for new and existing accounts.				X

Bidder Response:

Filer account functionalities:

The proposed solution offers a robust system of maintaining filer accounts and provides for mapping and maintenance of various privileges, such as additional methods of payment. However, PCC does not recommend nor offer by default a method to allow a filer account to accrue a running balance. Within the context of public filings in a modern technology environment, extending credit to customers for filings is an unnecessary burden for the State to place upon itself. Monthly billings, credit memos, and tracking and possibly chasing outstanding payments all consume time, resources and attention even when a robust solution is in place.

As an alternative pathway to allow high volume filers or online customers convenient and secure methods of payment, the solution allows for one or both of the following payment methods:

- **Customer account linked ACH payment**
  - Customer creates a basic customer account, then signs an agreement with State, and provides account information.
  - State links ACH account information to the provided customer account.
  - Funds clear within a matter of days.
  - Allows for instant one-click payment for all online filings.
  - Allows for easy payment for in-house filings.
    - Customer provides account name and unique customer ID number.
- **Customer account linked credit account balance**
  - Customer deposits funds into a credit account balance within the solution.
    - Funds can be deposited via online portal with ACH, credit card or eCheck.
    - Funds can be deposited by check, money order, and so on by in-house transaction.
  - The State never has to carry a negative balance for these payments.
  - Allows for instant one-click payment for all online filings.
  - Allows for easy payment for in-house filings
    - Customer provides account name and unique customer ID number.
  - The solution never allows more funds to be drawn from a transaction than is available.
    - The customer can instantly replenishing the funds in the credit account balance via the online portal.

Additional notes:

- Both methods may be used in the same implementation, or one over the other.
- Both methods require that a customer first establish an account via the online portal, online user account creation is detailed below.
- Addition of privileges to an online portal customer account
  - The ACH requires that a user with financial user role privileges manually enter and link the accounts after receiving a signed ACH agreement.

- Currently, the solution automatically creates the linked credit account balance with every account created through the online portal. The credit account balance is required by in-house to fulfill financial and GL account transactions within the system. However, if the State would like to remove, limit, or separate from in-house the ability to deposit and draw on funds deposited through the online portal, see following "Draw Down Account" note.
  - (In-house accounts created from a mail filing do not have this advanced functionality. Customers wishing the benefits of a privileged customer account must create an account by entering all information by their own hands through a secure portal where email address and IP address can be recorded and communications can be sent).

- Draw Down Account
  - States may wish to separate the in-house credit account balance funds from any funds deposited and drawn on by the customer in the online portal. A second pool of money, currently labeled as a "Draw Down Account" may be used for this purpose.
  - If a "Draw Down Account" is implemented, customers may deposit funds into the draw down account via the online portal (credit card, ACH), and they may draw on the draw down account funds when filing through the online portal. However, in-house transactions may not directly draw on this pool of money, and online transactions may not draw on the in-house credit account balance. Funds may be transferred between these accounts by manual financial user process at the request of the customer.
  - All draw down-like functionality may be disabled, and the in-house credit account balance restricted to use as a temporary container for excess funds and certain fund transfers within the work order.
  - Should the State wish to limit the draw down functionality to State approved online filers, the modified in-house approval process described in UCC-10. However, this modification may require additional cost.

Modification for running account balances for customer accounts:
The system may be modified to provide a running account balance for customer accounts. This would include support features, such as monthly billing statements, credit memos, reports and other accounting features needed to support this feature. This modification would require additional cost.

Online account creation:
The following online account creation process is necessary for creation of any account within the system that will have any sort of advanced privileges applied to it.

It is understood that the State may be utilizing their own online portal for functionality, such as filings and searches, but there must be a link to this process in order set up accounts with advanced privileges, even those that will only be used by in-house customers.

Privileges that may be applied to an online customer account:
- Alternate payment options, such as ACH or credit account balance.

- Alternate filing options, such as:
  - Paid UCC search subscription – allows a flat fee payment for unlimited online UCC search reports within an annual period.
  - State agency free search privileges – allows accounts associated to State or municipal agencies to file online UCC search reports at no fee. Privileges must be validated by in-house user and renewed annually by in-house approval.
- Data sales subscriptions
  - UCC data sales
  - Corp data sales
  - EFS buyer's list (master list)

This is the landing page of the online portal login and account creation process. Online users will begin the account creation process by clicking the "Create a User Account" button.

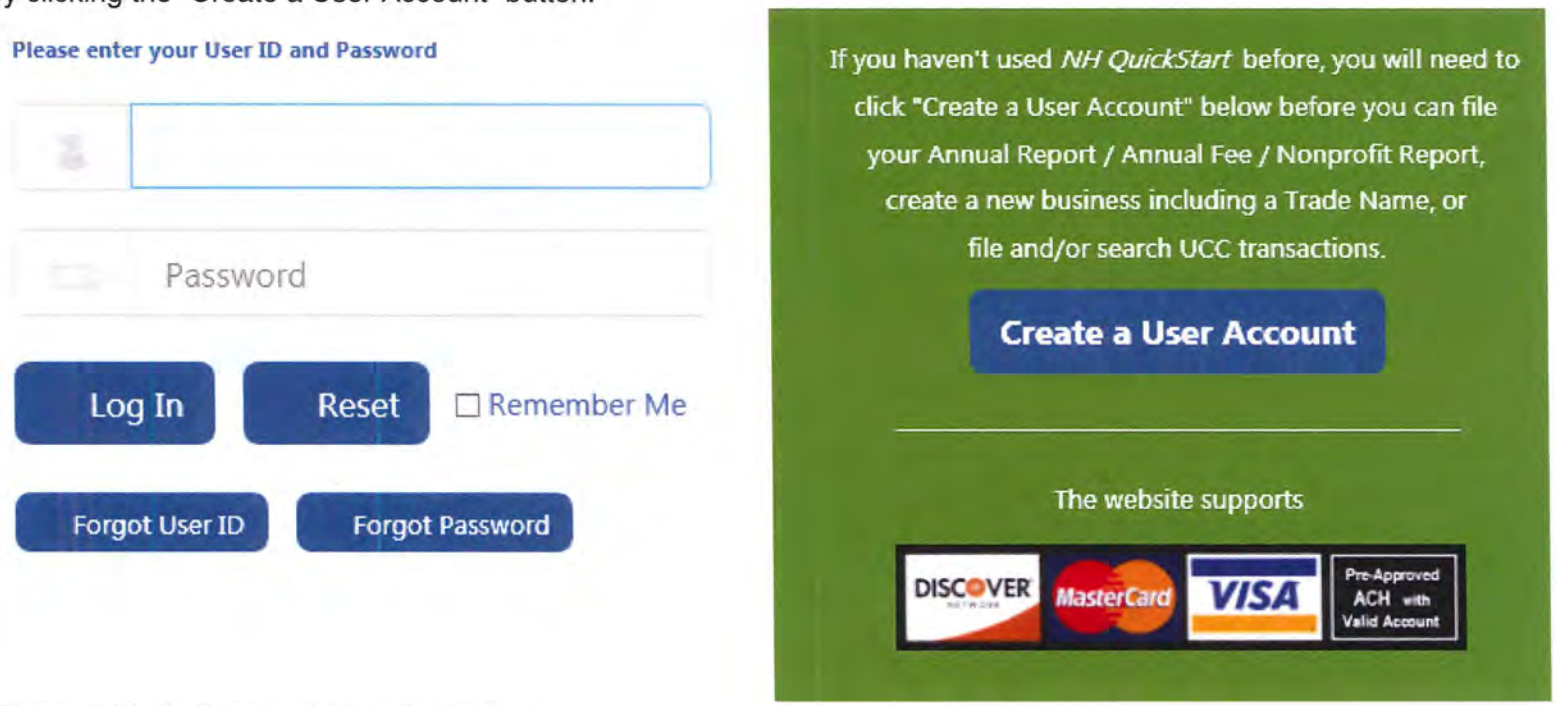


Figure 366. Online portal landing page.

The customer will enter their personal information in the account creation, customer information screen to be associated to the

account. The system allows for entry into both individual and organization name field sets.

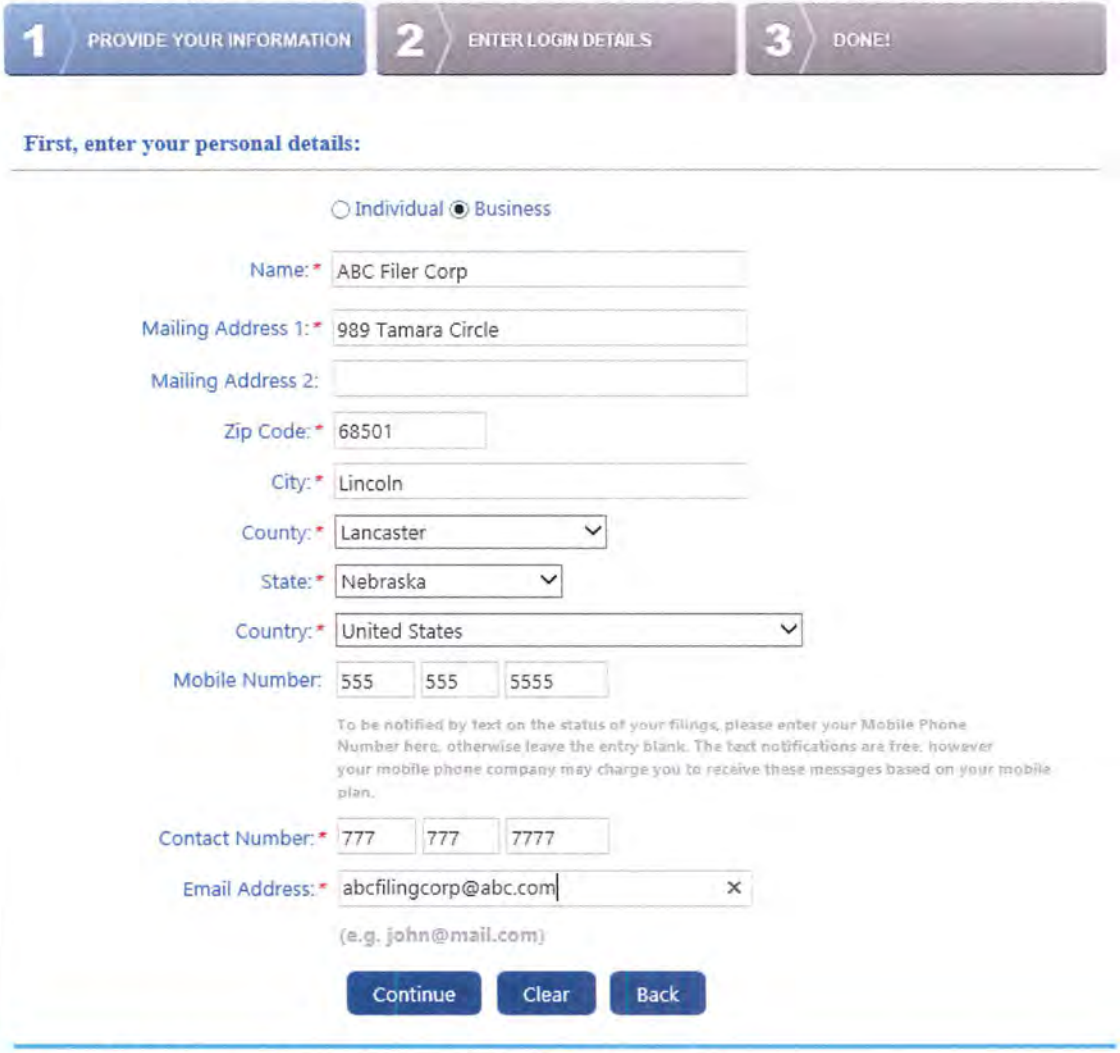


Figure 367. Account creation. Customer information.

The user will choose their login ID, password and security question on the "Enter Login Details" screen. The system validates for a unique user ID within the system.

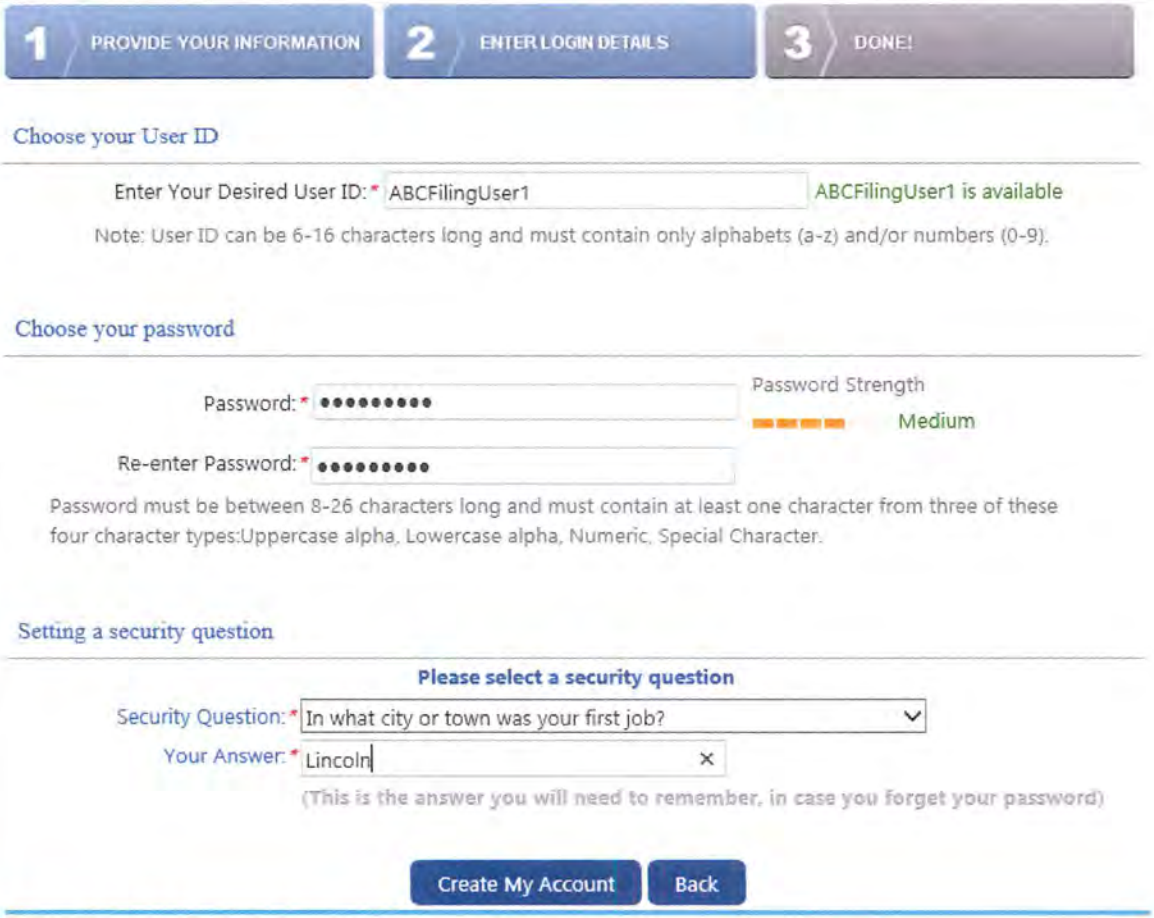


Figure 368. Account creation. Enter login details.

The system validates that the password meets or exceeds current best practice requirements and provides a password strength indicator. The system will record a security question and an answer, to be used for password resets.

On the account creation successful screen, the system gives the option to print login details for later use.

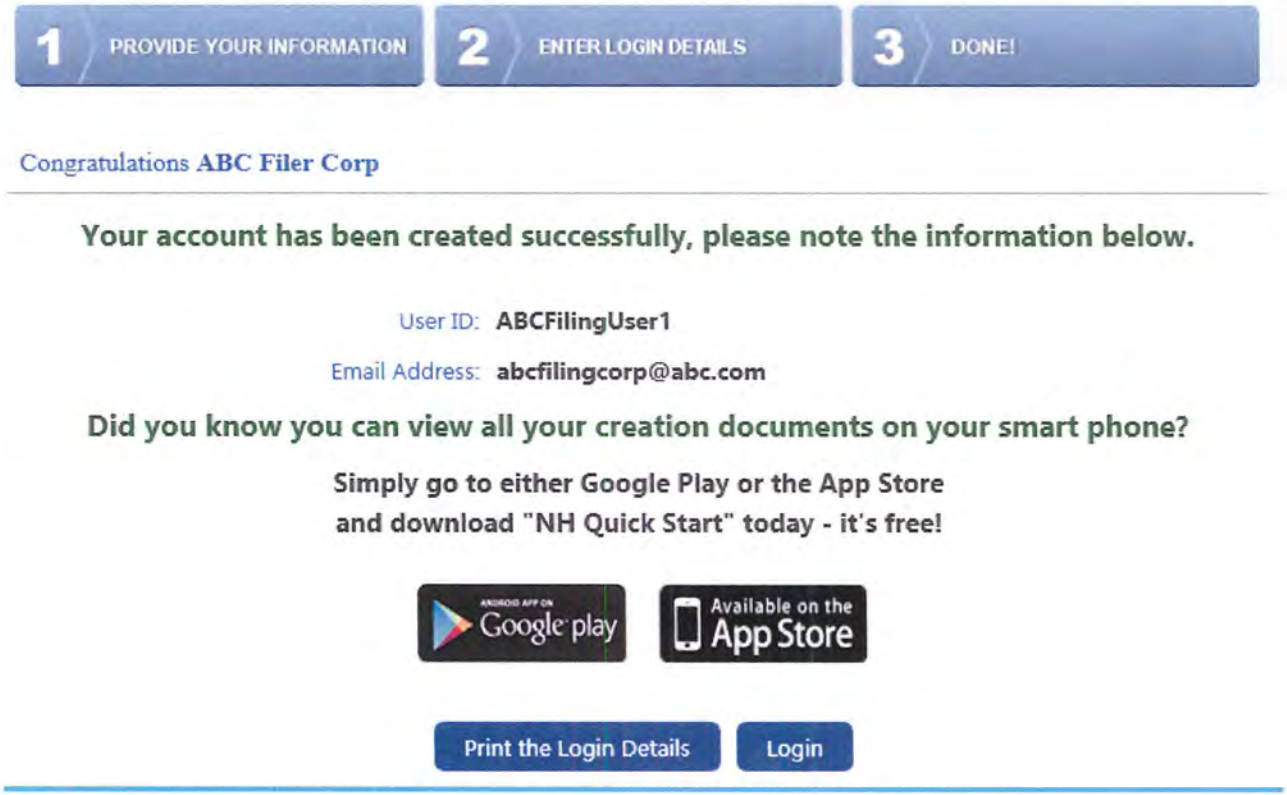


Figure 369. Account creation success confirmation.

The user may now login to the online portal.

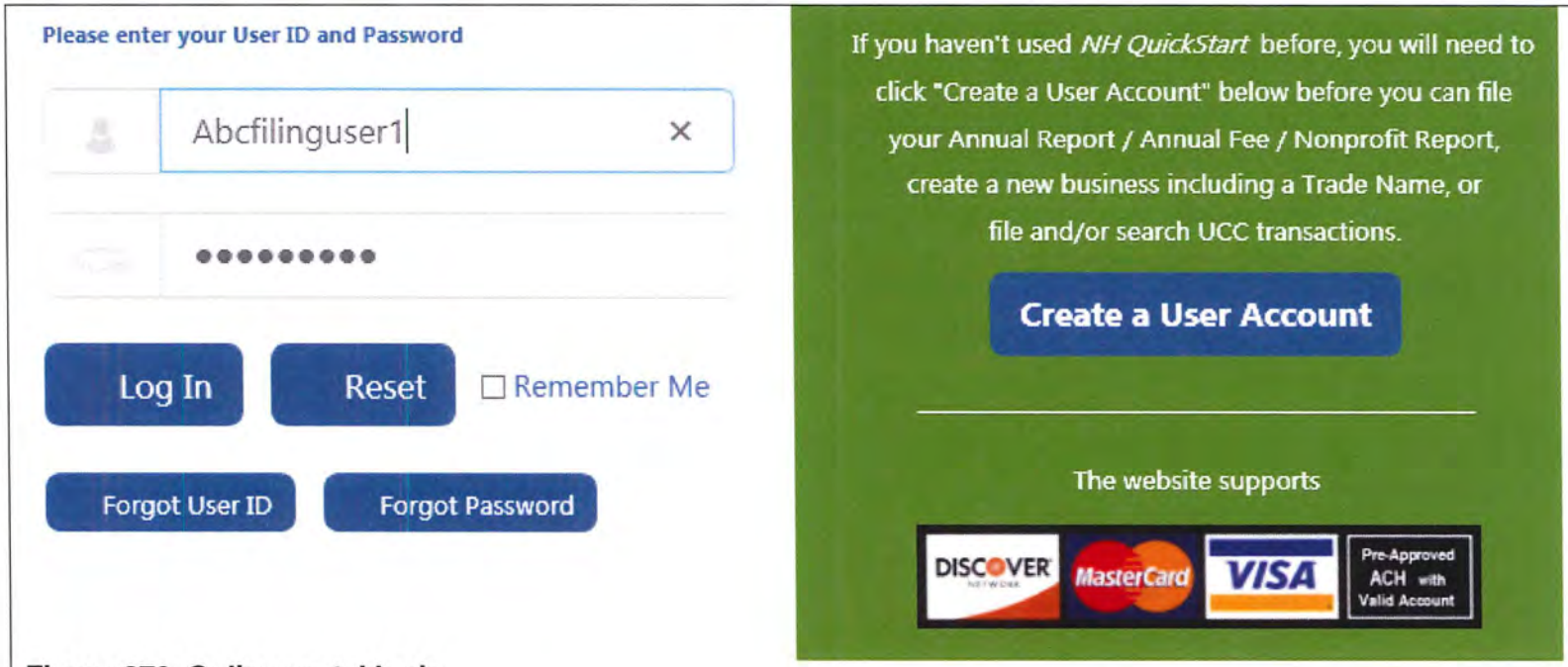


Figure 370. Online portal login.

The online portal provides a dashboard, where all correspondence, filing histories, receipt histories and data files purchased may be accessed, viewed, printed and/or downloaded.

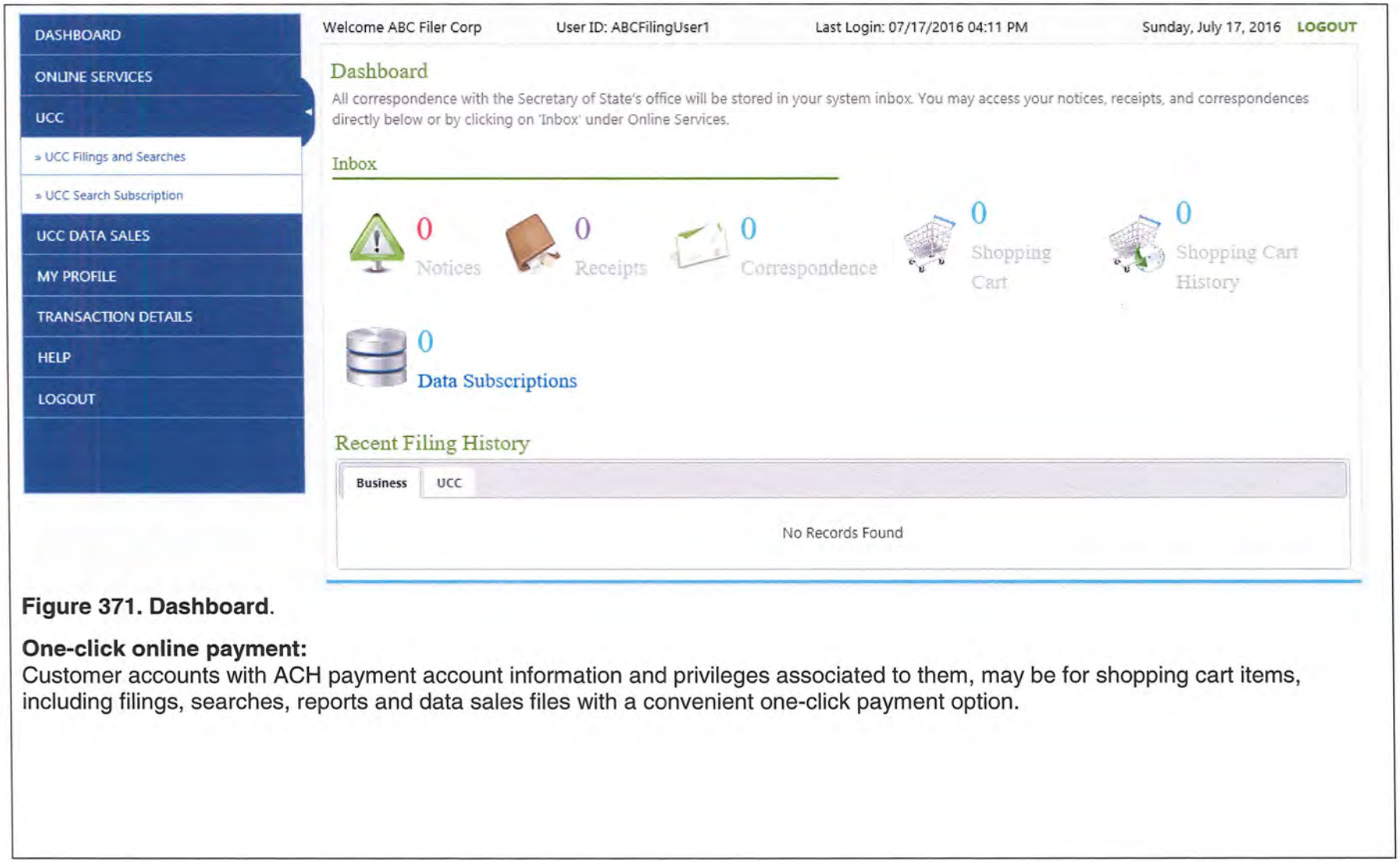


Figure 371. Dashboard.

One-click online payment:
Customer accounts with ACH payment account information and privileges associated to them, may be for shopping cart items, including filings, searches, reports and data sales files with a convenient one-click payment option.

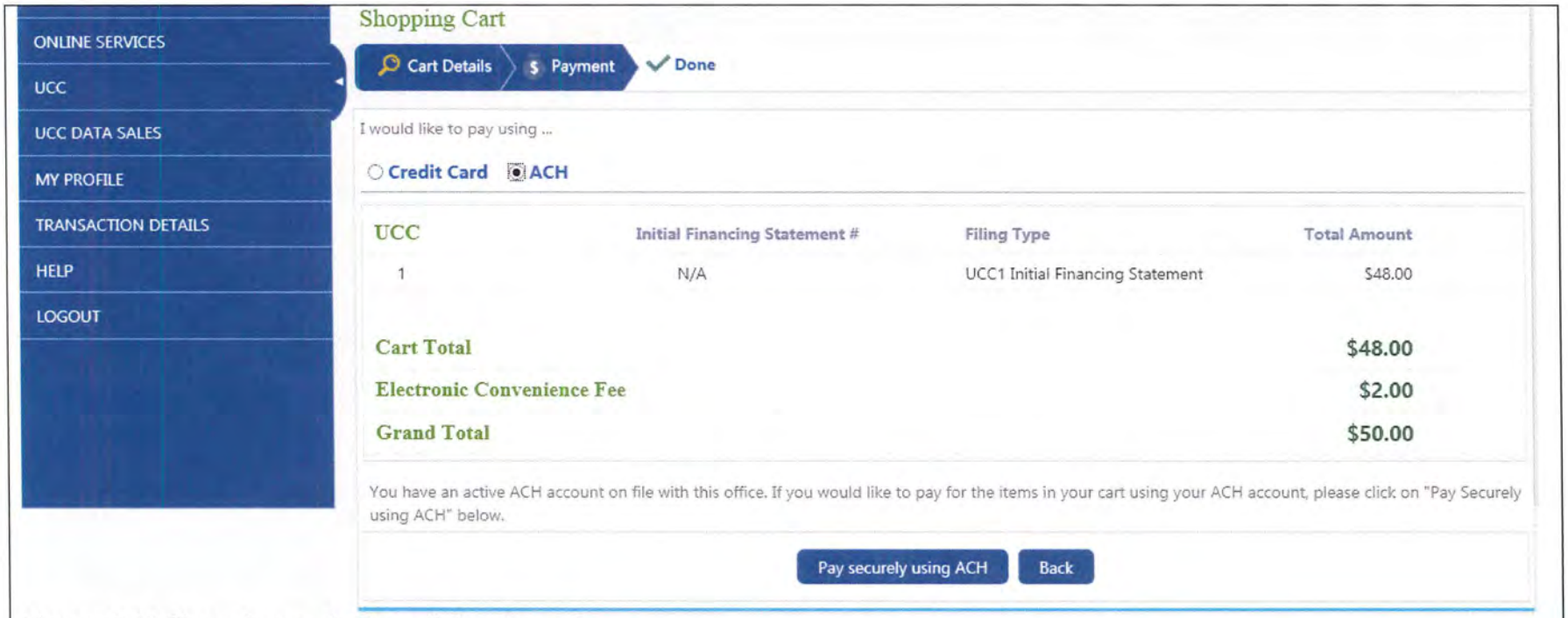


Figure 372. Shopping cart. One-click payment.

If the ability to offer a draw down, or pre-paid account is implemented, then users may view their balance and deposit funds via the Dashboard.

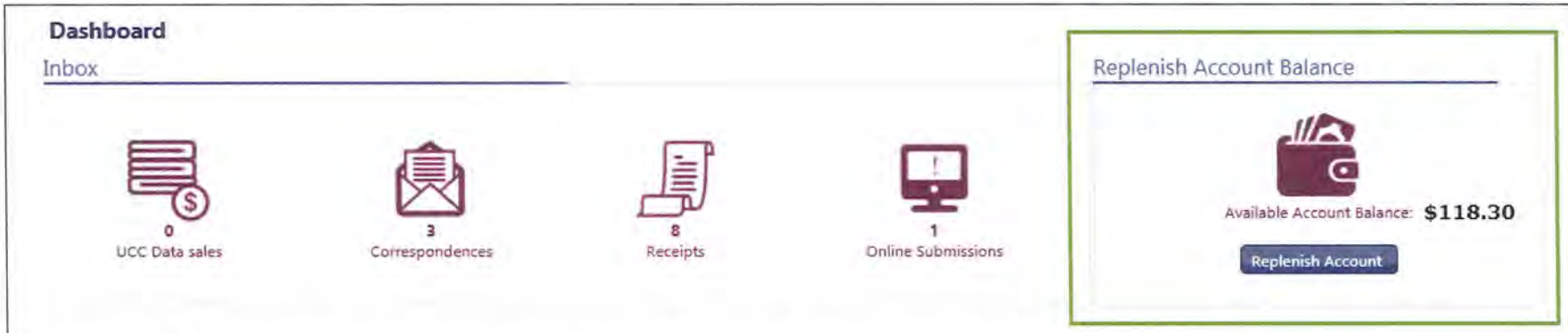


Figure 373. Dashboard. Draw down account (pre-paid account) – depositing funds A.

Clicking on "Replenish Account Balance" will navigate to a screen where the user can enter payment information to deposit funds to the account for later use. They may choose any payment method that is available through the online portal generally, as well as privileged payment methods such as ACH, if the account has those privileges. Figure 374 shows a non-privileged account and a payment screen where information is collected by the application fields and passed securely via API to the authorized payment gateway.

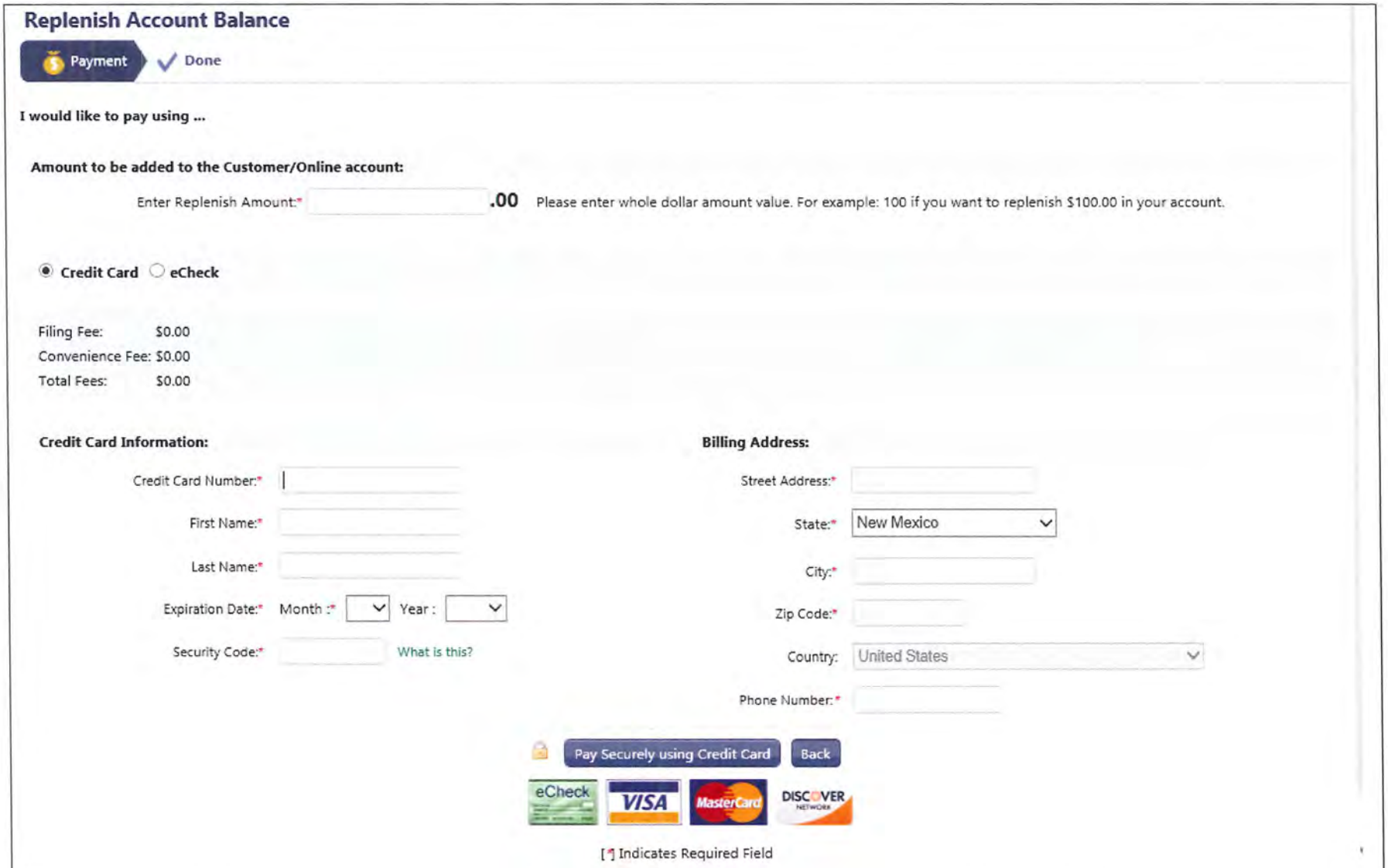


Figure 374. Replenish account balance. Draw down account (pre-paid account) – depositing funds B.

Once funds have been deposited in the draw down account, they may be used to provide payment with a convenient "Pay Securely

Using My Pre-Paid Account" button.



Figure 375. Draw down account (pre-paid account). One-click payment.

Use of credit account balances by in-house staff:
Credit account balances are created by default for any customer account created, in-house or online. If the account is created in-house, this account is used for financial functionalities requiring certain movement of funds by staff between associated transactions on a work order. If the business process allows for it, the system will accept payment rendered in-house and deposit to the account, and it may be used as form of pre-paid account.

If the account is created through the secure online portal, then this account may be funded either directly from the online portal by the account holder, or the account holder may deposit funds into a separate draw down account, which staff then use to fund the internal-only credit account balance.

Depending on business process and requirements, the credit account balance is often used to store overpayments and funds from rejected filings (assuming the State's statutes for that filing type do not require the State to keep overpayments and rejections in a

general fund). These funds may be later used to refile a rejected filing, a different filing entirely, or to issue refunds.

The following sections describe several key functionalities of credit account balances and how they are utilized within the solution.

- Adding funds to a credit account balance,
- Paying for transactions with funds stored in a credit account balance,
- Transferring overpayment funds to a credit account balance, and
- Refunding from a credit account balance.

Adding funds to a credit account balance:
Depending on the business process desired, funds may be directly added to a credit account balance by an in-house transaction. The customer would render payment, either via mail or at the counter, and usually as a check or money order, and request the funds be deposited in the account from later withdrawal.

The staff user will:

- Create a new work order.
- Enter the payment on the work order.
- Select the customer account in the payer section of the work order.
- Create a "Credit Account Balance Added" transaction.
- Transfer the funds from the "Credit Account Balance Added" to the credit account balance.

After creating the "Credit Account Balance Added" transaction type, the user clicks on the "Modify Funds" icon, enters an audit memo, and then clicks the "Transfer to Account Balance" button. This step may be done before or after the work order is committed.

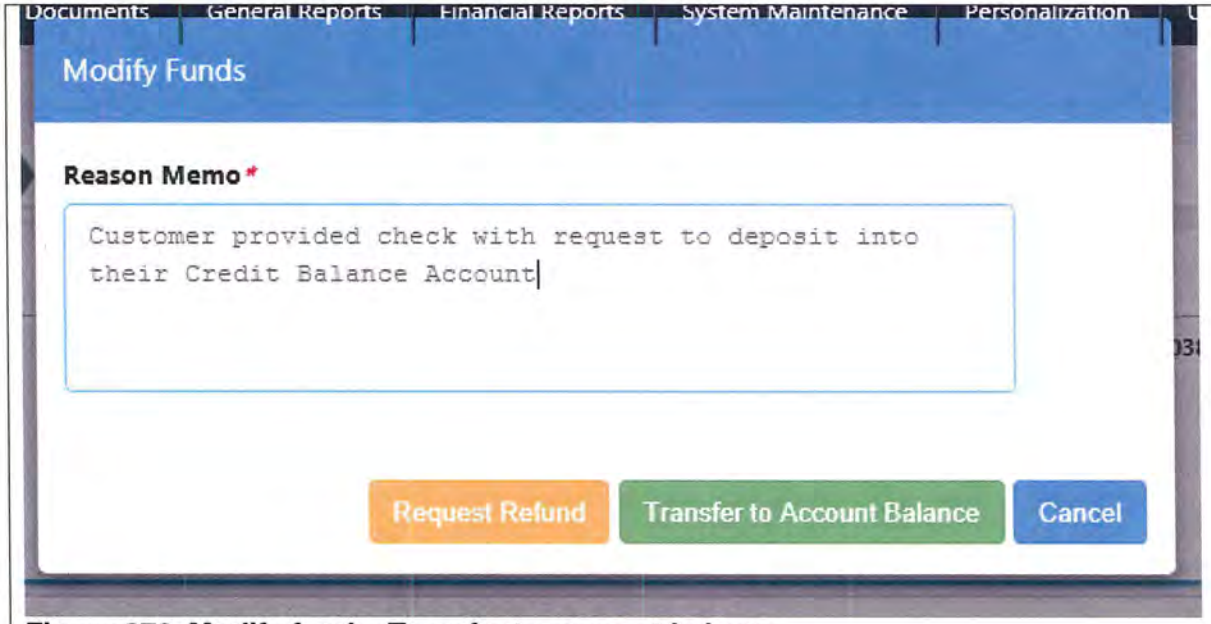


Figure 376. Modify funds. Transfer to account balance.

After committing the work order, the system automatically transfers the funds into the credit account balance of the payer of the work order. Deposits and withdrawals are always tied to the account of whichever customer is selected in the payer section. After the commit, the payer credit balance value has been updated to reflect the $100.00 which was paid into the transaction on this work order. After commit, the transaction invoice status is updated to reflect that all the funds for this transaction were paid and then transferred into the credit account balance.

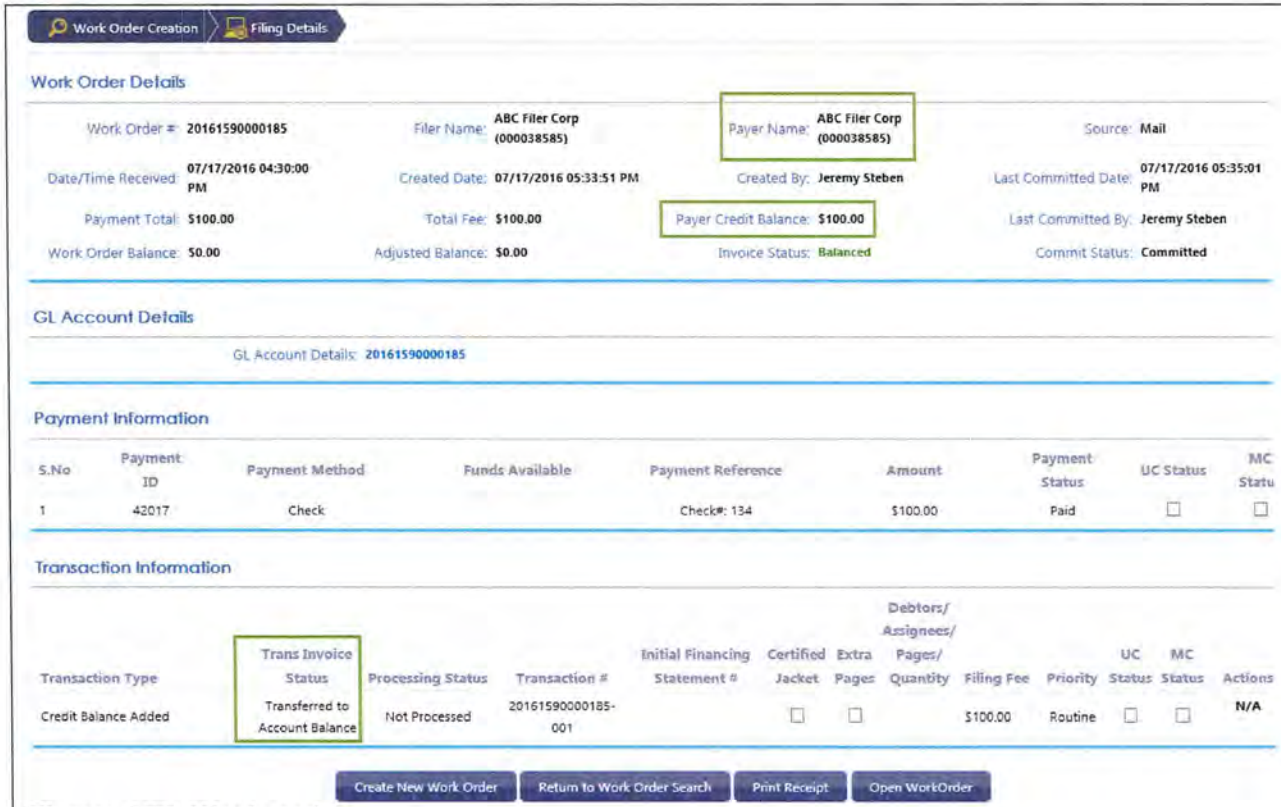


Figure 377. Work order.

The GL account details record both the initial positive revenue payment into the transaction, and the subsequent transfer out and then back in to the account as a credit account transfer.

Note that the same GL account is used both to receive the funds into the system, and when the funds are transferred into the credit account balance. However, the system now has two fee IDs associated to this transaction, one associated to the transaction type and indicates positive revenue received, and another associated specifically to transferring of funds into a credit account balance. This allows reports to be run and filtered to a granular level for audit tracking. In addition, even though all credit account balance funds are contained within the same GL account, the system tracks independently how much of the funds in that account belong to each customer account.

GL Accounts

Transaction ID

2557

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-10650000-403660-0000	DEFERRED REVENUE	3020	$100.00	Transaction Payment	7/17/2016 5:35:01 PM	64
0010-10650000-403660-0000	DEFERRED REVENUE	3020	-$100.00	Adjustments(Account Deduction)	7/17/2016 5:35:01 PM	64
0010-10650000-403660-0000	DEFERRED REVENUE	3020	$100.00	Adjustments(Credit Account Transfer)	7/17/2016 5:35:01 PM	9

Figure 378. GL accounts. Funds added.

The receipt for this work order clearly reflects that $100.00 worth of funds were received as payment, that the funds were utilized for a "Credit Balance Added" transaction type, and that the funds for that transaction were transferred into the customer's credit account balance. The new total value of the funds in the account are reflected in the "Credit Account Balance" field. The total net change to the funds in the account are reflected in the "Total Change to Credit Account Balance."

Payer Customer ID: 38585 **Filer Customer ID:** 38585

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
7/17/2016 5:33:51 PM	Check	Check#: 134	N/A	Paid	$100.00
				Total Payment Received:	**$100.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
7/17/2016 5:33:52 PM	Credit Balance Added	N/A	20161590000185-001	Not Processed	Transferred to Account Balance	$100.00
					Total	**$100.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$0.00
Credit Account Balance:	$100.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	$100.00

Figure 379. Receipt. Funds added.

Paying for transactions with credit account balance funds:

Paying for transactions with funds from a credit account balance is a simple process nearly identical to paying with any other payment method.

The staff user will:

- Enter a payment method of "Credit Account Balance" with the amount of funds to be drawn.
- Select the customer account from which the funds will be drawn in the payer information section.
- Add a transaction to be paid with the funds.

On this uncommitted work order, the user has added a payment type of "Credit Balance Account" for $10.00. They have selected the payer "ABC Filer Corp." This customer account has a balance in their credit balance account of $100.00, as reflected in the payer credit balance field and the funds available column in the payment information section. They have added a transaction for a "UCC11 National Form" to the work order.

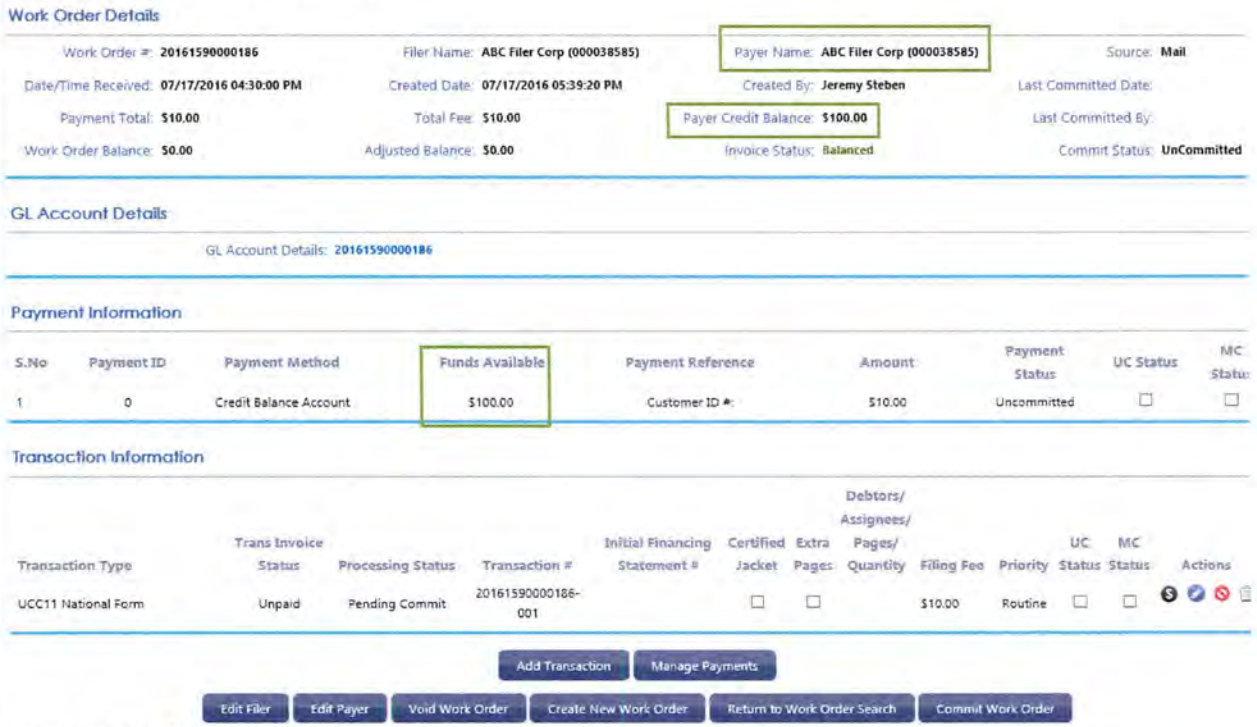
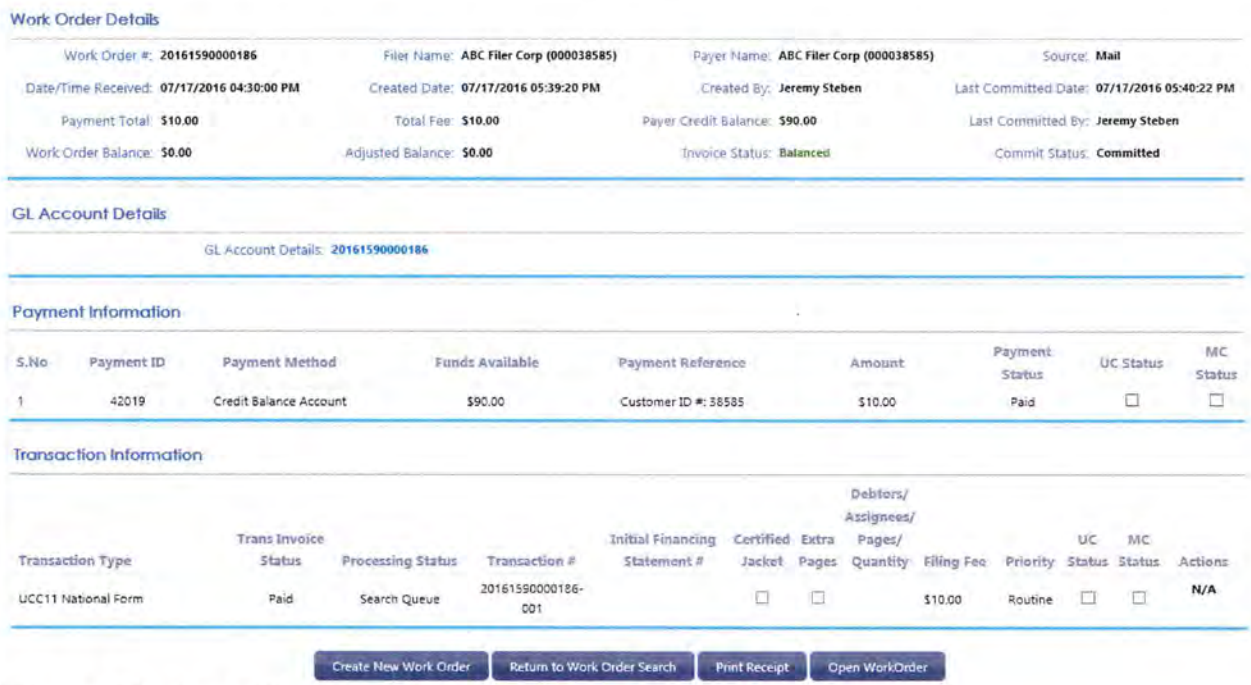


Figure 380. Uncommitted work order.

After the work order is committed, the payer credit balance has been reduced by $10.00, to $90.00. The $10.00 UCC-11 transaction is now recorded as paid.



Work Order Details

Work Order #: 20161590000186	Filer Name: ABC Filer Corp (000038585)	Payer Name: ABC Filer Corp (000038585)	Source: Mail
Date/Time Received: 07/17/2016 04:30:00 PM	Created Date: 07/17/2016 05:39:20 PM	Created By: Jeremy Steben	Last Committed Date: 07/17/2016 05:40:22 PM
Payment Total: $10.00	Total Fee: $10.00	Payer Credit Balance: $90.00	Last Committed By: Jeremy Steben
Work Order Balance: $0.00	Adjusted Balance: $0.00	Invoice Status: Balanced	Commit Status: Committed

GL Account Details

GL Account Details: 20161590000186

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	42019	Credit Balance Account	$90.00	Customer ID #: 38585	$10.00	Paid	☐	☐

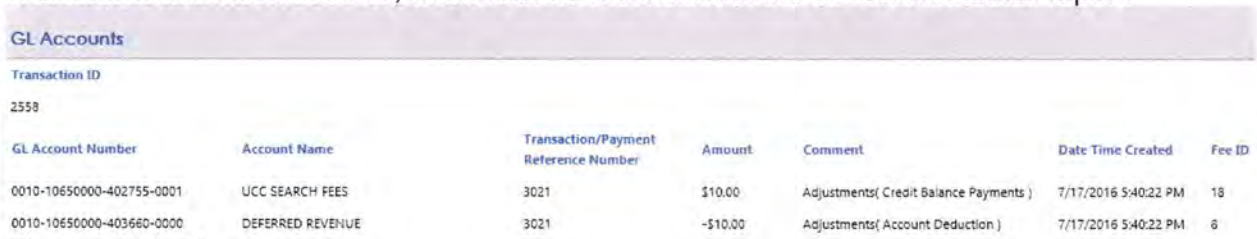
Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC11 National Form	Paid	Search Queue	20161590000186-001		☐	☐		$10.00	Routine	☐	☐	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 381. Committed work order.

The GL account details record that $10.00 was deducted from the deferred revenue account, where credit balance funds are stored, and applied to the UCC search fees account, where this transaction type is mapped to deposit funds made in payment. Each record is associated with its own fee ID, which can be reconciled in the GL account detail report.



GL Accounts

Transaction ID

2558

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-10650000-402755-0001	UCC SEARCH FEES	3021	$10.00	Adjustments(Credit Balance Payments)	7/17/2016 5:40:22 PM	18
0010-10650000-403660-0000	DEFERRED REVENUE	3021	-$10.00	Adjustments(Account Deduction)	7/17/2016 5:40:22 PM	6

Figure 382. GL accounts.

The receipt shows that the method of payment was funds drawn from a credit account balance, displays the current funds of the credit account balance at time of printing, and displays the net change to the credit account balance which occurred as a result of the

actions on this work order.

Payer Information:

ABC Filer Corp
989 Tamara Circle
Lincoln, NE, 68501, USA

Filer Information:

ABC Filer Corp
989 Tamara Circle
Lincoln, NE, 68501, USA

Payer Customer ID: 38585

Filer Customer ID: 38585

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
7/17/2016 5:40:22 PM	Credit Balance Account	Customer ID #: 38585	N/A	Paid	$10.00
				Total Payment Received:	**$10.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
7/17/2016 5:39:20 PM	UCC11 National Form	N/A	20161590000186-001	Pending	Paid	$10.00
					Total	**$10.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$0.00
Credit Account Balance:	$90.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	-$10.00

Figure 383. Receipt.

Transferring overpayment funds to a credit account balance:

If the State statutes and business process allow it, funds that are received in excess of the fees may be directly deposited into the

credit account balance upon commit of the work order.

The staff user will:

- Enter information into the work order as normal for the payment type and transaction type.
- Add an "Overpayment" transaction to the work order.
- Click on the "Modify Funds" icon, and after entering an audit memo, transfer to funds into the account.

The overpayment transaction is added to the work order. The user enters the amount that was received in excess of fees.

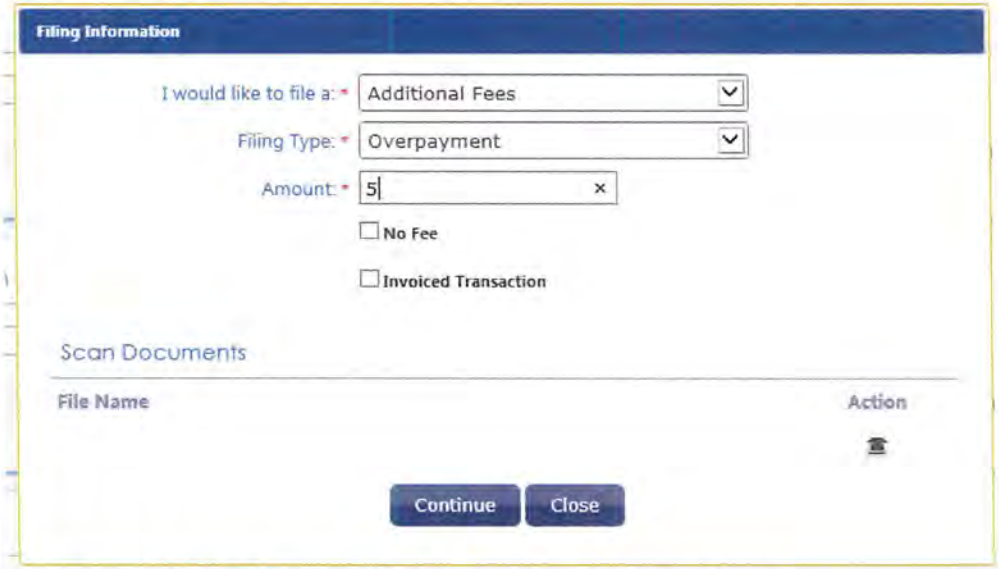


Figure 384. Filing information. Overpayment transaction.

After clicking on the "Modify Funds" icon, the staff user will enter an audit memo, and click "Transfer to Account Balance."

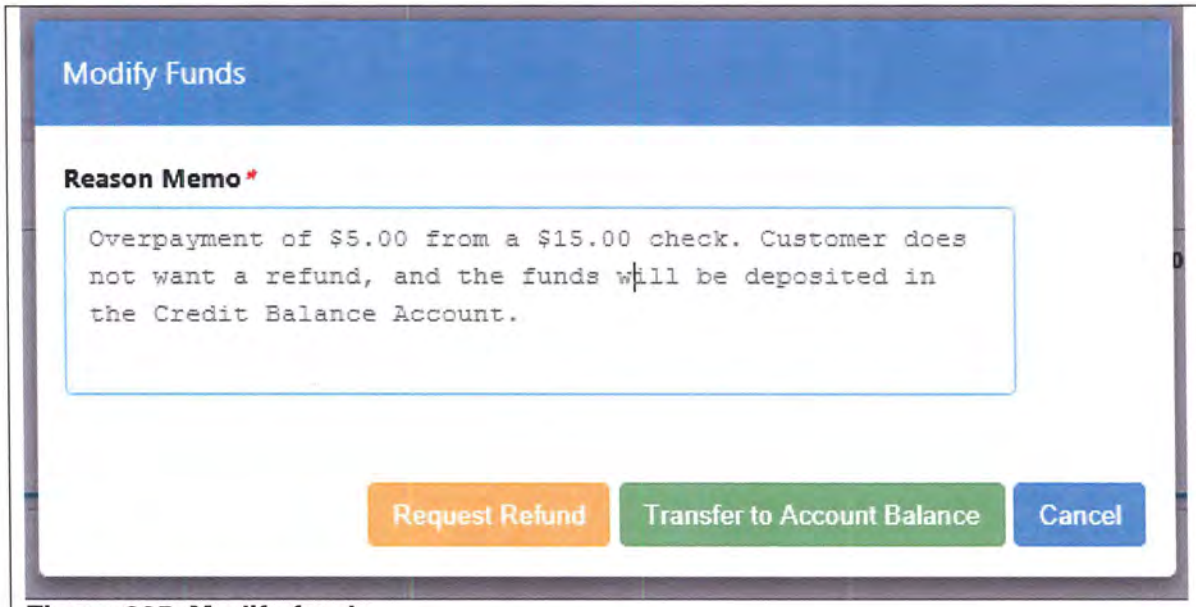
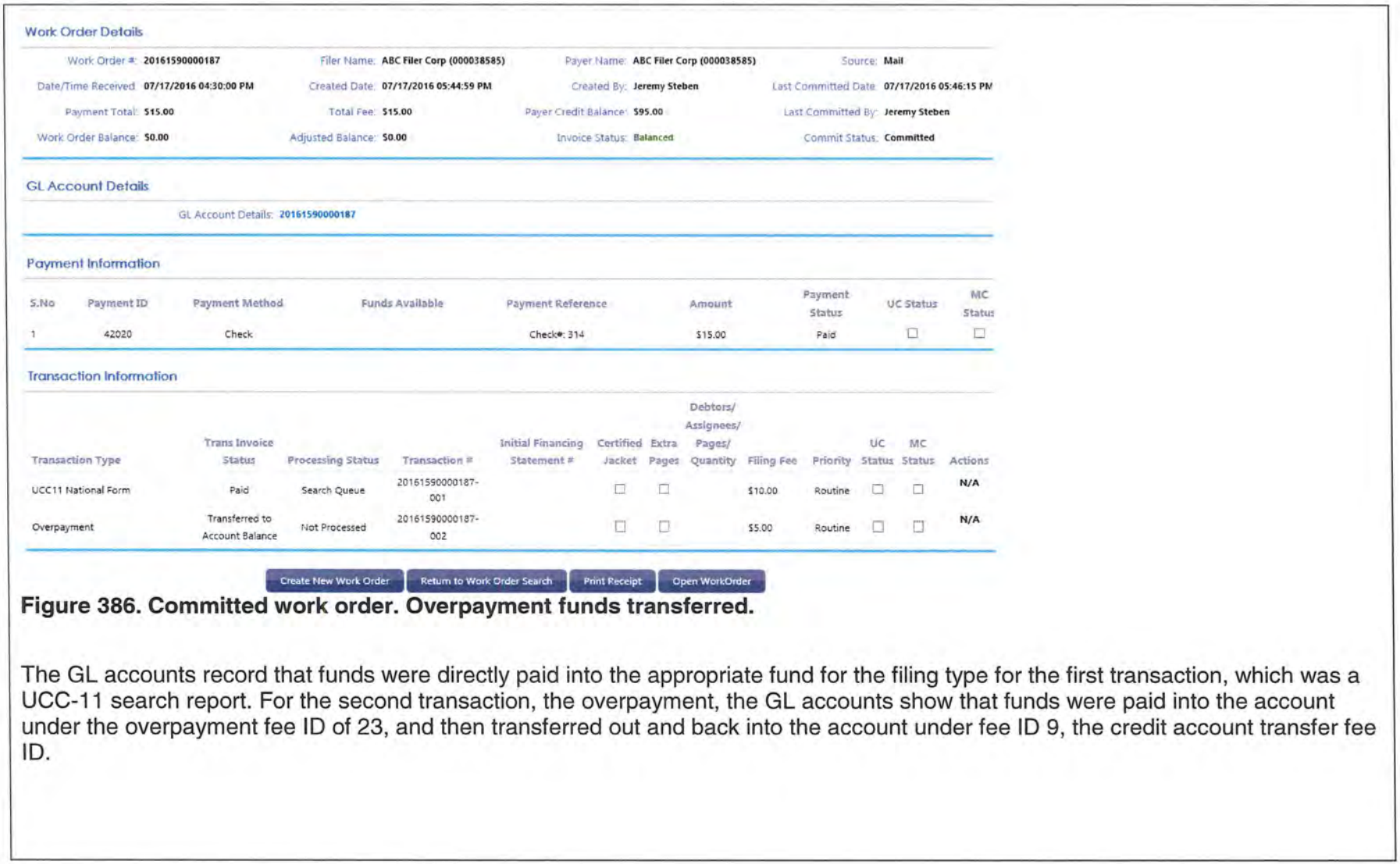


Figure 385. Modify funds.

After committing the work order, the $5.00 has been added to the payer credit balance. The overpayment transaction is recorded as having the funds paid into it were transferred into the account balance.



Work Order Details

Work Order #: 20161590000187	Filer Name: ABC Filer Corp (000038585)	Payer Name: ABC Filer Corp (000038585)	Source: Mail
Date/Time Received: 07/17/2016 04:30:00 PM	Created Date: 07/17/2016 05:44:59 PM	Created By: Jeremy Steben	Last Committed Date: 07/17/2016 05:46:15 PM
Payment Total: $15.00	Total Fee: $15.00	Payer Credit Balance: $95.00	Last Committed By: Jeremy Steben
Work Order Balance: $0.00	Adjusted Balance: $0.00	Invoice Status: Balanced	Commit Status: Committed

GL Account Details

GL Account Details: 20161590000187

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	42020	Check		Check#: 314	$15.00	Paid	☐	☐

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC11 National Form	Paid	Search Queue	20161590000187-001		☐	☐		$10.00	Routine	☐	☐	N/A
Overpayment	Transferred to Account Balance	Not Processed	20161590000187-002		☐	☐		$5.00	Routine	☐	☐	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 386. Committed work order. Overpayment funds transferred.

The GL accounts record that funds were directly paid into the appropriate fund for the filing type for the first transaction, which was a UCC-11 search report. For the second transaction, the overpayment, the GL accounts show that funds were paid into the account under the overpayment fee ID of 23, and then transferred out and back into the account under fee ID 9, the credit account transfer fee ID.

GL Accounts

Transaction ID

2559

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-10650000-402755-0001	UCC SEARCH FEES	3022	$10.00	Transaction Payment	7/17/2016 5:46:14 PM	18

Transaction ID

2560

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-10650000-403660-0000	DEFERRED REVENUE	3023	$5.00	Transaction Payment	7/17/2016 5:46:14 PM	23
0010-10650000-403660-0000	DEFERRED REVENUE	3023	-$5.00	Adjustments(Account Deduction)	7/17/2016 5:46:15 PM	23
0010-10650000-403660-0000	DEFERRED REVENUE	3023	$5.00	Adjustments(Credit Account Transfer)	7/17/2016 5:46:15 PM	9

Figure 387. GL accounts.

The receipt displays the full payment received, and shows that funds were paid into an overpayment transaction, which then had its funds transferred to the account balance. The credit account balance has been updated to reflect the new total, and the net total change to the account from the actions on this work order is reflected in the “Total Change to Credit Account Balance” field.

Payer Customer ID: 38585 **Filer Customer ID:** 38585

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
7/17/2016 5:44:59 PM	Check	Check#: 314	N/A	Paid	$15.00
				Total Payment Received:	**$15.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
7/17/2016 5:44:59 PM	UCC11 National Form	N/A	20161590000187-001	Pending	Paid	$10.00
7/17/2016 5:44:59 PM	Overpayment	N/A	20161590000187-002	Not Processed	Transferred to Account Balance	$5.00
					Total	**$15.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$0.00
Credit Account Balance:	$95.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	$5.00

Figure 388. Receipt.

Refunding from an account balance:

Users can refund funds from a customer account's credit account balance if they receive approval from a supervisor with sufficient privileges.

The staff user will:

- Create a work order with credit account balance as a payment type, and the amount to be refunded entered.
- Select the customer account that funds will be refunded from by selecting them in the payer information section.
- Add a "Refund From Credit Balance Account" transaction type to the work order.
- Use "Modify Funds" to request a refund.
- The supervisor will approve the refund. (See "Refund Requests and Approvals" under the bidder response to CPP-1).

The staff user adds a "Refund From Account Balance" transaction type to the work order, and enters the amount to be refunded.

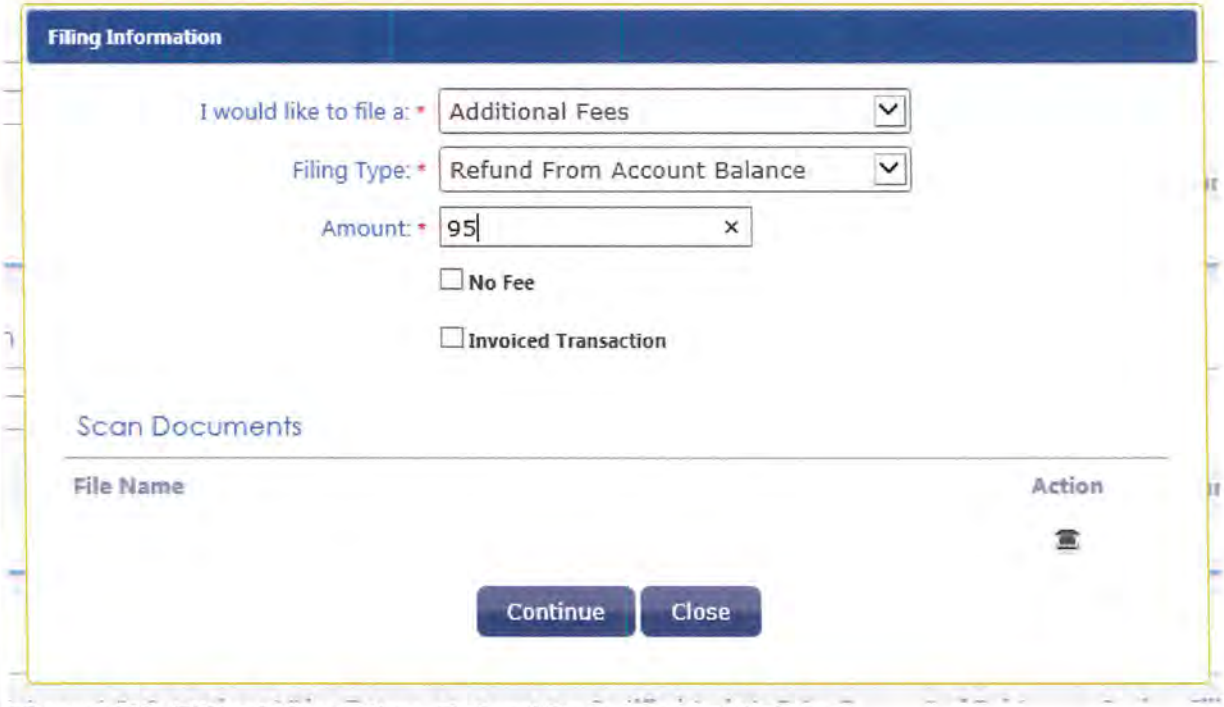


Figure 389. Filing information. Refund from account balance.

The staff user clicks on the "Modify Funds" icon and after entering an audit memo clicks "Request Refund."

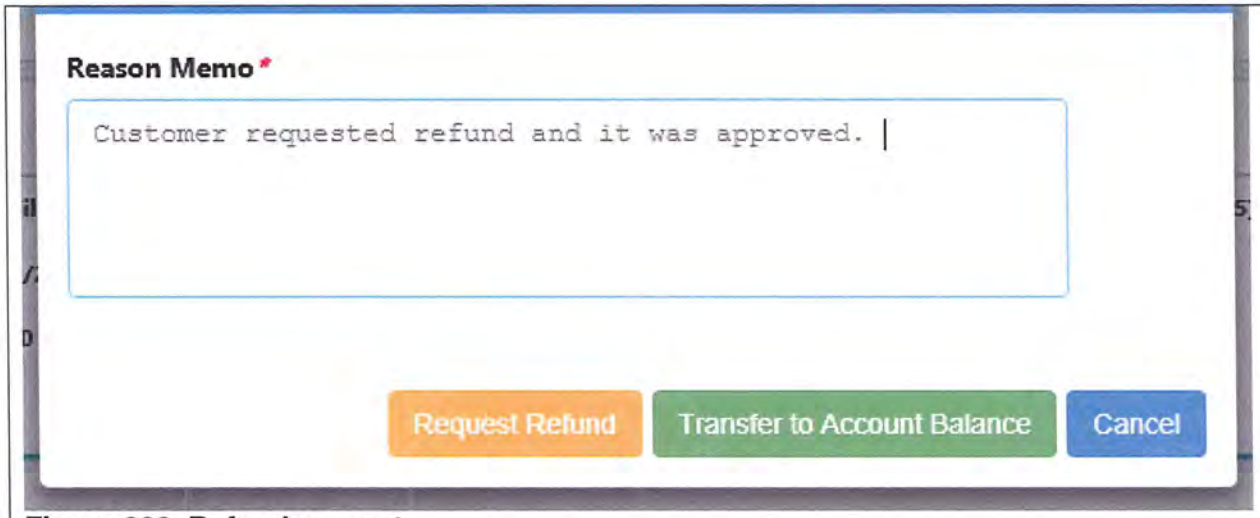
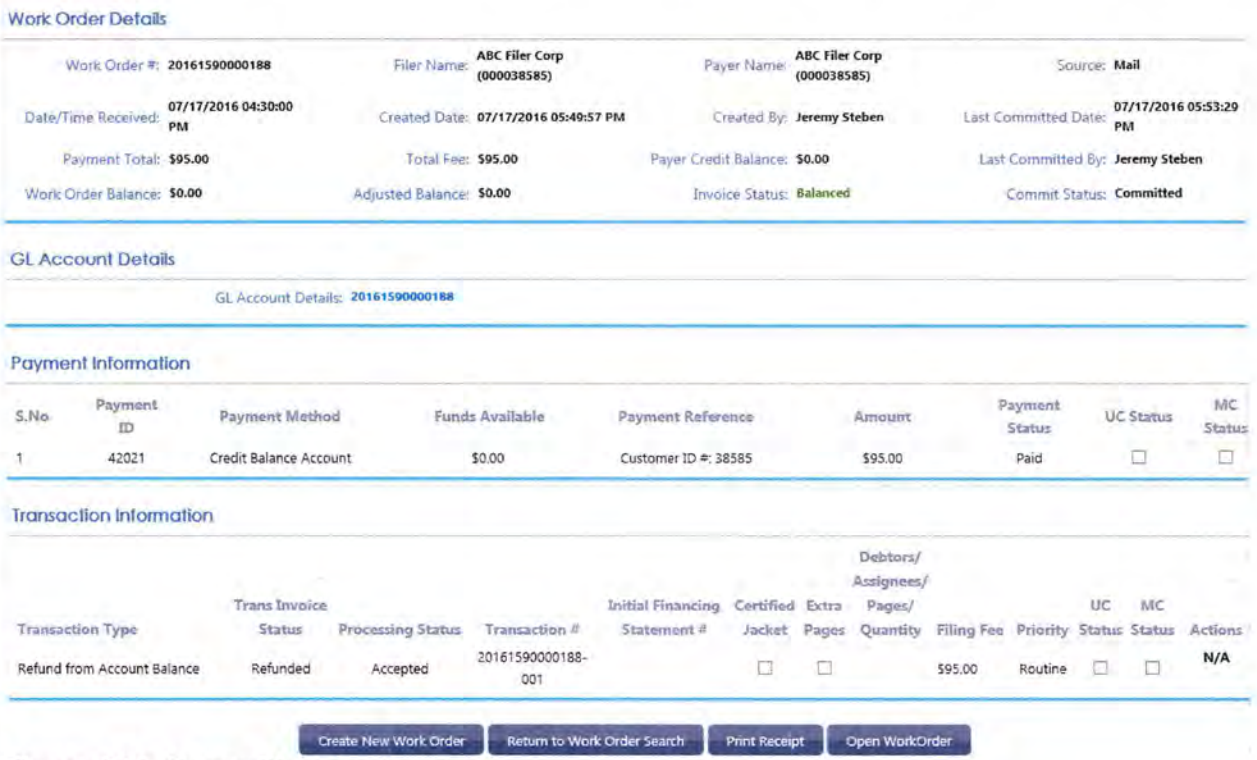


Figure 390. Refund request.

After the supervisor approves the refund, the transaction is recorded as "Refunded," and the payer credit balance has been decremented by the amount that was refunded.



Work Order Details

Work Order #:	20161590000188	Filer Name:	ABC Filer Corp (000038585)	Payer Name:	ABC Filer Corp (000038585)	Source:	Mail
Date/Time Received:	07/17/2016 04:30:00 PM	Created Date:	07/17/2016 05:49:57 PM	Created By:	Jeremy Steben	Last Committed Date:	07/17/2016 05:53:29 PM
Payment Total:	$95.00	Total Fee:	$95.00	Payer Credit Balance:	$0.00	Last Committed By:	Jeremy Steben
Work Order Balance:	$0.00	Adjusted Balance:	$0.00	Invoice Status:	Balanced	Commit Status:	Committed

GL Account Details

GL Account Details: 20161590000188

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	42021	Credit Balance Account	$0.00	Customer ID #: 38585	$95.00	Paid	☐	☐

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
Refund from Account Balance	Refunded	Accepted	20161590000188-001		☐	☐		595.00	Routine	☐	☐	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 391. Committed work order.

In the initial commit of the work order at 5:51:42 PM, the GL accounts show funds being deducted from deferred revenue under fee ID 8, and deposited back into the account under fee ID 62. This removes the funds from the credit balance account, while keeping it in deferred revenue. The actual refund doesn't occur until supervisor approval, and in the interim other work orders should not be allowed to draw upon those funds. At 5:54:41 PM, when the supervisor approves the refund, a deduction is made from the account under fee ID 62 (refunds), and the total amount contained in the GL accounts is reduced. This action will cause refund voucher files to be sent to the State accounting system to trigger a refund check to be printed.

GL Accounts

Transaction ID

2561

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Tee ID
0010-10650000-403660-0000	DEFERRED REVENUE	3024	$95.00	Adjustments(Credit Balance Payments)	7/17/2016 5:51:42 PM	62
0010-10650000-403660-0000	DEFERRED REVENUE	3024	-$95.00	Adjustments(Account Deduction)	7/17/2016 5:51:42 PM	8
0010-10650000-403660-0000	DEFERRED REVENUE	3025	-$95.00	Refund	7/17/2016 5:54:41 PM	62
		Total Amount	**($95.00)**			

Figure 392. GL accounts.

The receipt displays the new total "Credit Account Balance" value as zero, as all the remaining funds have been refunded. The "Total Refunded Field" displays the total amount that was refunded on this work order. The "Total Change to Credit Account Balance" shows the net change to the funds in the credit account balance, and are equal to the total amount which was refunded on this work order.

Payer Customer ID: 38585 **Filer Customer ID:** 38585

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
7/17/2016 5:49:57 PM	Credit Balance Account	Customer ID #: 38585	N/A	Paid	$95.00
				Total Payment Received:	**$95.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
7/17/2016 5:49:57 PM	Refund from Account Balance	N/A	20161590000188-001	Accepted	Refunded	$95.00
					Total	**$95.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$0.00
Credit Account Balance:	$0.00	**Total Refunded:**	$95.00
		Total Change To Credit Account Balance:	-$95.00

Figure 393. Receipt.

Credit account balance reconciliation reports:

The solution offers two reports to aid the State in tracking and reconciling funds kept on deposit within the solution and the State's accounts.

- Prepaid account aging report – shows historical depositing of funds by customer account over a 90 day period.
- Prepaid account liability report – shows the total current balance of all credit account balances by customer account.

Prepaid Account Aging Report

Search

Aging report as of June 30

Pre-paid Account Number	Account Name	Deposits made last 30 days	Deposits made last 31 to 60 days	Deposits made last 61 to 90 days	Deposits made beyond 90 days
5104	DEBBIE RADCLIFFE	$0.00	$0.00	$0.00	$1.00
5228	Mayra Vicuna	$0.00	$0.00	$0.00	$200.00
6294	National Corporate Research	$0.00	$0.00	$0.00	$2,000.00
6389	Charles F Dickerson Inc	$0.00	$0.00	$0.00	$50.00
6601	m2 Lease Funds LLC	$0.00	$0.00	$0.00	$50.00
6616	Floorplan Xpress, LLC-OK	$0.00	$0.00	$0.00	$700.00
6903	KAREN STANDLEY	$0.00	$0.00	$0.00	$10.00
7127	ABRAHAM RODAS	$0.00	$0.00	$0.00	$10.00
7209	Century Equipment Company, Inc.	$0.00	$0.00	$0.00	$100.00
8119	MATCO TOOLS	$0.00	$0.00	$0.00	$150.00
8264	Peoples Bank	$0.00	$0.00	$0.00	$10.00
8349	Amentech Leasing, Inc.	$0.00	$0.00	$0.00	$10.00
8440	LYNELLE TRUJILLO	$0.00	$0.00	$0.00	$70.00
8689	jerry Hamm	$0.00	$0.00	$0.00	$100.00
8735	Taylor Ranch Family Chiropractic	$0.00	$0.00	$0.00	$550.00
8969	Mountain Valley Agribusiness, LLC	$0.00	$0.00	$0.00	$30.00
9067	David Lechner	$0.00	$0.00	$0.00	$2,500.00
9632	David R Walden	$0.00	$0.00	$0.00	$15.00
9654	Greig & Richards, P.A.	$0.00	$0.00	$0.00	$10.00
10021	Assurant Commercial Capital, LLC	$0.00	$0.00	$0.00	$50.00
10052	PIONEER BANK	$0.00	$0.00	$0.00	$100.00
10062	C T Corporation	$0.00	$0.00	$0.00	$5,500.00
10225	Leigh Blackburn	$0.00	$0.00	$0.00	$30.00
11600	Mckiel Holdings Limited	$0.00	$0.00	$0.00	$100.00
11651	Mel Ashton	$0.00	$0.00	$0.00	$25.00
	Grand Total:	$0.00	$10,000,001,522.00	$10,000,002,533.00	$89,671.00

1 2 3 4 5 Next > Total No. of Records: 118 Page 1 of 5 Go to Page

Figure 394. Prepaid account aging report.

Prepaid Account Liability Report

Search

Pre-paid Account Number	Account Name	Prepaid Account Balance
6	UCC Direct Services (CT Corporation)	$39,050.00
30	The Bank of Durango	$10.00
32	Wholesale Tire Distributors	$10.00
64	ACCION New Mexico	$560.00
70	Farm Credit of New Mexico	$281.50
71	Farm Credit of New Mexico, ACA	$430.00
72	Farm Credit of New Mexico, ACA	$509.00
73	Farm Credit of New Mexico	$480.00
75	Farm Credit	$350.00
76	GMAC	$596.00
102	Monitronics International, Inc.	$50.00
114	Apex Research	$32.00
115	Corporation Service Company	$339.00
150	Core-Mark Mid-Continent Inc	$210.00
170	C Leasing Company	$90.00
227	Jordan, Sandy L	$330.00
234	John Deere Financial	$2,680.00
246	GE Commercial Distribution Finance	$160.00
247	Agrow Credit Corporation	$31.50
307	McGee Company, Inc	$100.00
336	First Citizens Bank formerly Ironstone Bank	$180.00
448	CT Corporation System	$358.00
449	UCC Direct Service	$479.00
460	Venture Finance inc	$10.00
502	First National Bank of Hereford	$20.00
	Grand Total:	$10,000,083,360.87

1 2 3 4 5 ... Next > Total No. of Records: 178 Page 1 of 8 Go to Page

Figure 395. Prepaid account liability report.

RTM #	Customer Payment and Accounting Processing Requirements	Yes	Customization Required	No	Alternate
CPP-4	Interface with PFC At end of day: A. Each staff member must balance their receipts (Jobs) with batch total for the day. B. On the day after filing, prepare payments for deposit 1. Batches must be balanced and posted, then combined for a total deposit. Once posting happens it adds the charged document amounts into Accounts Receivable. (See Appendix I – Accounts Receivable Data Fields) 2. General Document is generated to collect and combine the information in each Batch Post Report to accompany the deposit and verify the totals. 3. The system must be able to store and retrieve object code and fund code for fees. Some fees are split between codes. 4. Once finalized, the system must create an Excel file which is then imported into the State's accounting program for the PFC Deposit Document. (See Appendix E – Deposit File Layout.) C. At any step in either process above, the system must allow individual jobs and/or fees to be edited or corrected to balance and reconcile for deposit. Subsequent processes must be redone to be properly updated. D. History for these jobs and batches must be stored and searchable. (See Appendix K – Reports and Additional Information) The system must be able to recreate documents and rerun the General Document E. The system must allow payments of cash, check or charge going into the BSFS. (See Appendix I - Accounts Receivables Ancillary Database) F. The system must allow for tracking and follow through of returned payment(s).	X			

	Bidder will describe their system's API to PFC. Describe and provide screen shots showing how your system handles Accounts Receivable, Receipts, Reconciliation, and Deposit functions, including calculation and recording of fees for all filings.				

Bidder Response:

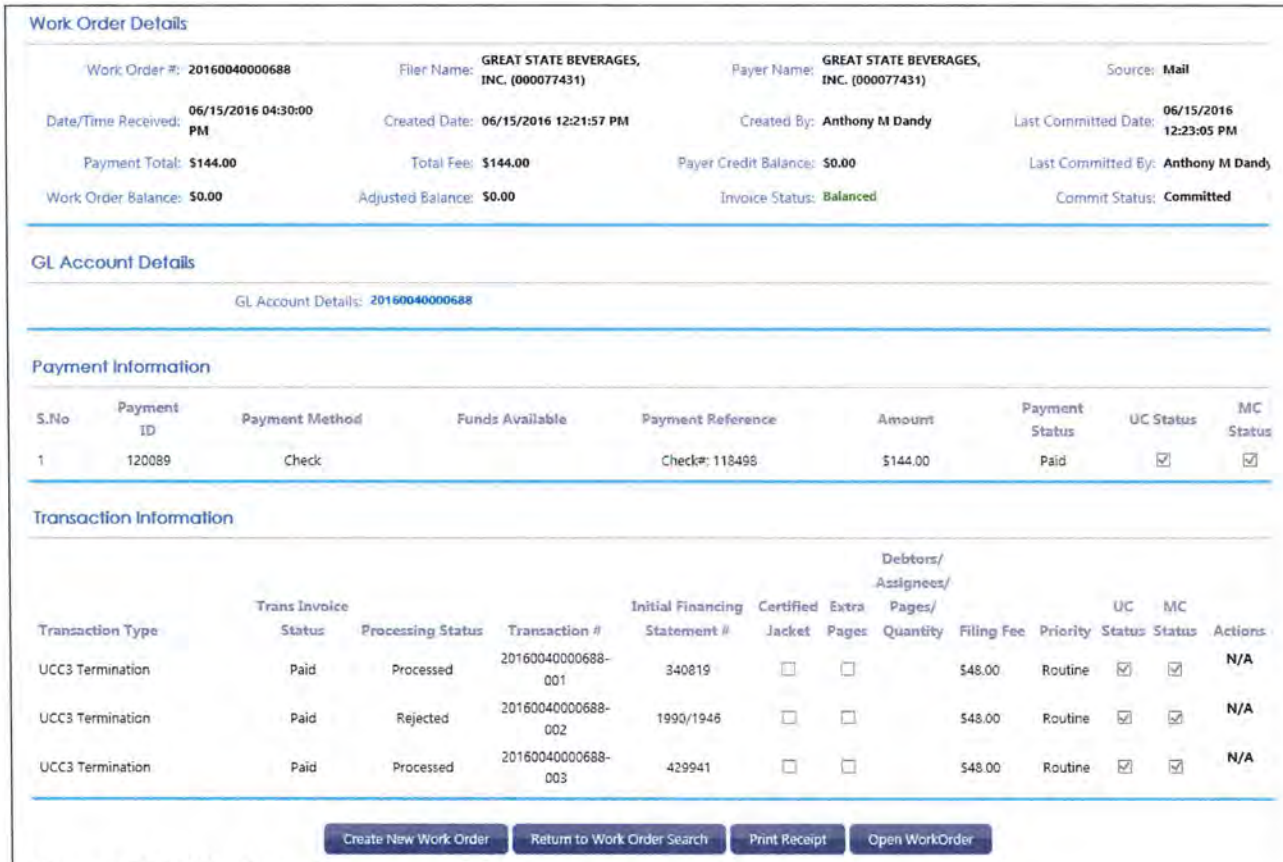
GL account details:

The GL account tables are the primary tracking mechanism of funds within the solution. All actions which receipt, refund or transfer funds within the system will create records within the GL accounts. These record debits and credits of funds to the various accounts in the system.

The basic unit of both work and financials is the work order. Every work order will have a set of GL account records generated in association to it as soon as it is committed (exception being those work orders for invoiced transactions where no funds were yet received. GL account records are generated on such work orders when payment is actually made).

The GL account records generated by and associated to a work order are available for review by clicking the "GL Account Details" hyperlink in the work order details screen.

The associations between filing types, fee codes, GL accounts and the method of distribution between accounts are maintained in a table-driven manner within the solution's application database.



Work Order Details

Work Order #:	20160040000688	Filer Name:	GREAT STATE BEVERAGES, INC. (000077431)	Payer Name:	GREAT STATE BEVERAGES, INC. (000077431)	Source:	Mail
Date/Time Received:	06/15/2016 04:30:00 PM	Created Date:	06/15/2016 12:21:57 PM	Created By:	Anthony M Dandy	Last Committed Date:	06/15/2016 12:23:05 PM
Payment Total:	$144.00	Total Fee:	$144.00	Payer Credit Balance:	$0.00	Last Committed By:	Anthony M Dandy
Work Order Balance:	$0.00	Adjusted Balance:	$0.00	Invoice Status:	Balanced	Commit Status:	Committed

GL Account Details

GL Account Details: 20160040000688

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	120089	Check		Check#: 118498	$144.00	Paid	☑	☑

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC3 Termination	Paid	Processed	20160040000688-001	340819	☐	☐		$48.00	Routine	☑	☑	N/A
UCC3 Termination	Paid	Rejected	20160040000688-002	1990/1946	☐	☐		$48.00	Routine	☑	☑	N/A
UCC3 Termination	Paid	Processed	20160040000688-003	429941	☐	☐		$48.00	Routine	☑	☑	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 396. Work order.

Click the "GL Account Details" hyperlink to see the GL account records that were generated and associated the transactions on this work order.

The solution maps transaction types to fee codes, and fee codes to GL accounts. Every transaction in the system will have one or more fee Codes that it uses to deposit funds, and each fee code will deposit funds to one or more GL accounts. These relationships are maintained in the database tables.

Figure 396 displays the fee code mapping on a work order which had three transactions. The first transaction (transaction ID 10578) was for the filing of a UCC-1. The UCC-1 transaction type is associated to a single fee ID, which is 52. Fee ID 52 is mapped to three different

GL accounts. The manner of distribution is defined in the last three rows to the right: the UCC town portion account always receives $15.00, the commercial code filings account always receives $18.00, and 100 percent of any remaining balance will be deposited into UCC filing fees.

Transaction ID

10578

GL Account Number	Account Name	Amount	Is Cost by Percent ?	Percentage	Fee ID
0010-10650000-402755-0002	UCC FILING FEES	N/A	☑	100	52
0010-10650000-407447-0000	UCC TOWN PORTION	$15.00	☐	N/A	52
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$18.00	☐	N/A	52

Transaction ID

10579

GL Account Number	Account Name	Amount	Is Cost by Percent ?	Percentage	Fee ID
0010-10650000-402755-0002	UCC FILING FEES	N/A	☑	100	52
0010-10650000-407447-0000	UCC TOWN PORTION	$15.00	☐	N/A	52
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$18.00	☐	N/A	52
0010-10650000-402755-0000	CORP ADMINISTRATION	N/A	☑	100	63

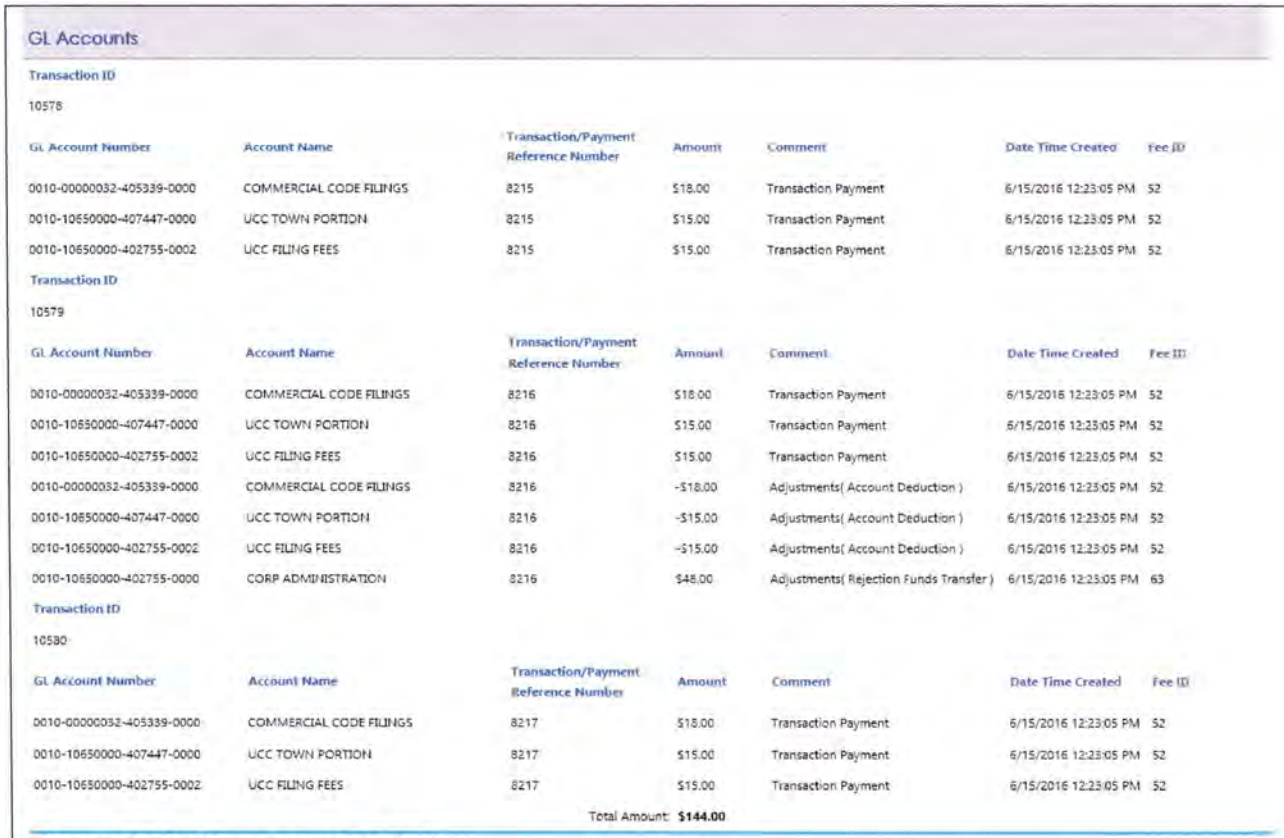
Transaction ID

10580

GL Account Number	Account Name	Amount	Is Cost by Percent ?	Percentage	Fee ID
0010-10650000-402755-0002	UCC FILING FEES	N/A	☑	100	52
0010-10650000-407447-0000	UCC TOWN PORTION	$15.00	☐	N/A	52
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$18.00	☐	N/A	52

Figure 397. GL fund distribution details.

In Figure 397, we see the GL records generated by the work order. These records are sorted by transactions on the work order. The first and third transaction show funds accepted and deposited for UCC-3 termination filings. These filing types have a total fee of $48.00, but are distributed into three separate GL accounts according to the mapping. The second transaction shows funds were received for the transaction, but the transaction was rejected and so funds were transferred back out of the initial three accounts and into a single account where rejected funds are stored.



GL Accounts

Transaction ID

10578

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	8215	$18.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-10650000-407447-0000	UCC TOWN PORTION	8215	$15.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-10650000-402755-0002	UCC FILING FEES	8215	$15.00	Transaction Payment	6/15/2016 12:23:05 PM	52

Transaction ID

10579

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	8216	$18.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-10650000-407447-0000	UCC TOWN PORTION	8216	$15.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-10650000-402755-0002	UCC FILING FEES	8216	$15.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	8216	-$18.00	Adjustments(Account Deduction)	6/15/2016 12:23:05 PM	52
0010-10650000-407447-0000	UCC TOWN PORTION	8216	-$15.00	Adjustments(Account Deduction)	6/15/2016 12:23:05 PM	52
0010-10650000-402755-0002	UCC FILING FEES	8216	-$15.00	Adjustments(Account Deduction)	6/15/2016 12:23:05 PM	52
0010-10650000-402755-0000	CORP ADMINISTRATION	8216	$48.00	Adjustments(Rejection Funds Transfer)	6/15/2016 12:23:05 PM	63

Transaction ID

10580

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	8217	$18.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-10650000-407447-0000	UCC TOWN PORTION	8217	$15.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-10650000-402755-0002	UCC FILING FEES	8217	$15.00	Transaction Payment	6/15/2016 12:23:05 PM	52

Total Amount: **$144.00**

Figure 398. GL account details.

Note: in the implementation that these screenshots were taken from, funds from rejected UCC filings were not allowed to be deposited into a customer's credit balance account. Funds from rejected UCC filings were deposited into a separate GL account, and the funds available were tracked on the transaction level, separate from the payer credit balance account. These funds were drawn on using the "Rejections Funds" payment type, and tied to each rejected transaction. This may or may not correlate with the desired functionality for the SoS' implementation, but demonstrates the versatility of PCC's solution.

In Figure 399 (transaction record) we see:

- Funds credited to the three associated GL accounts.
- Funds debited from the three associated GL accounts.
- Funds credited to the Corp Administration account, the final destination of rejected UCC filing funds.

Note: The time stamp on these records are all identical. This is because all of these actions were indicated on the work order before the first commit. However, the rejection could have occurred at a later date, when the work order was opened, and then re-committed. For instance, if the filing was later found to have reasons for rejection. This is only possible if a continuous update accounting model is adopted by the State. Please see "Interaction with State Accounting System" later in this section.

10579

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	8216	$18.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-10650000-407447-0000	UCC TOWN PORTION	8216	$15.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-10650000-402755-0002	UCC FILING FEES	8216	$15.00	Transaction Payment	6/15/2016 12:23:05 PM	52
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	8216	-$18.00	Adjustments(Account Deduction)	6/15/2016 12:23:05 PM	52
0010-10650000-407447-0000	UCC TOWN PORTION	8216	-$15.00	Adjustments(Account Deduction)	6/15/2016 12:23:05 PM	52
0010-10650000-402755-0002	UCC FILING FEES	8216	-$15.00	Adjustments(Account Deduction)	6/15/2016 12:23:05 PM	52
0010-10650000-402755-0000	CORP ADMINISTRATION	8216	$48.00	Adjustments(Rejection Funds Transfer)	6/15/2016 12:23:05 PM	63

Figure 399. Transaction information. Changes to account funds.

Financial reconciliation:
The system will record all fees and payments in the systems work order object. The work order is the primary unit of financial reconciliation. A work order maps and associates:

- Filer information
- Payment information
- Transaction (filing) information
- Meta information (filing date, source of work, and so on)

On a daily basis, the individuals will reconcile all payments, or other financial actions, made on any work order that day. All work orders will reconcile into a user close out report, giving detailed information on all payments received and financial actions made upon a work order.

On a daily basis, a senior user will reconcile all user close out reports that have been generated that day, and produce a master close out report. The master close out report will give high-level summaries of all individual parties and the movement of funds within the system for the day.

The master close out job will also generate any touchpoint files, such as refund vouchers, positive cash receipt updates, and NACHA files, and place them in the appropriate SFTP transfer folder, or other method file transfer. This will be done automatically and concurrently with generating the master close out report without the need for user intervention.

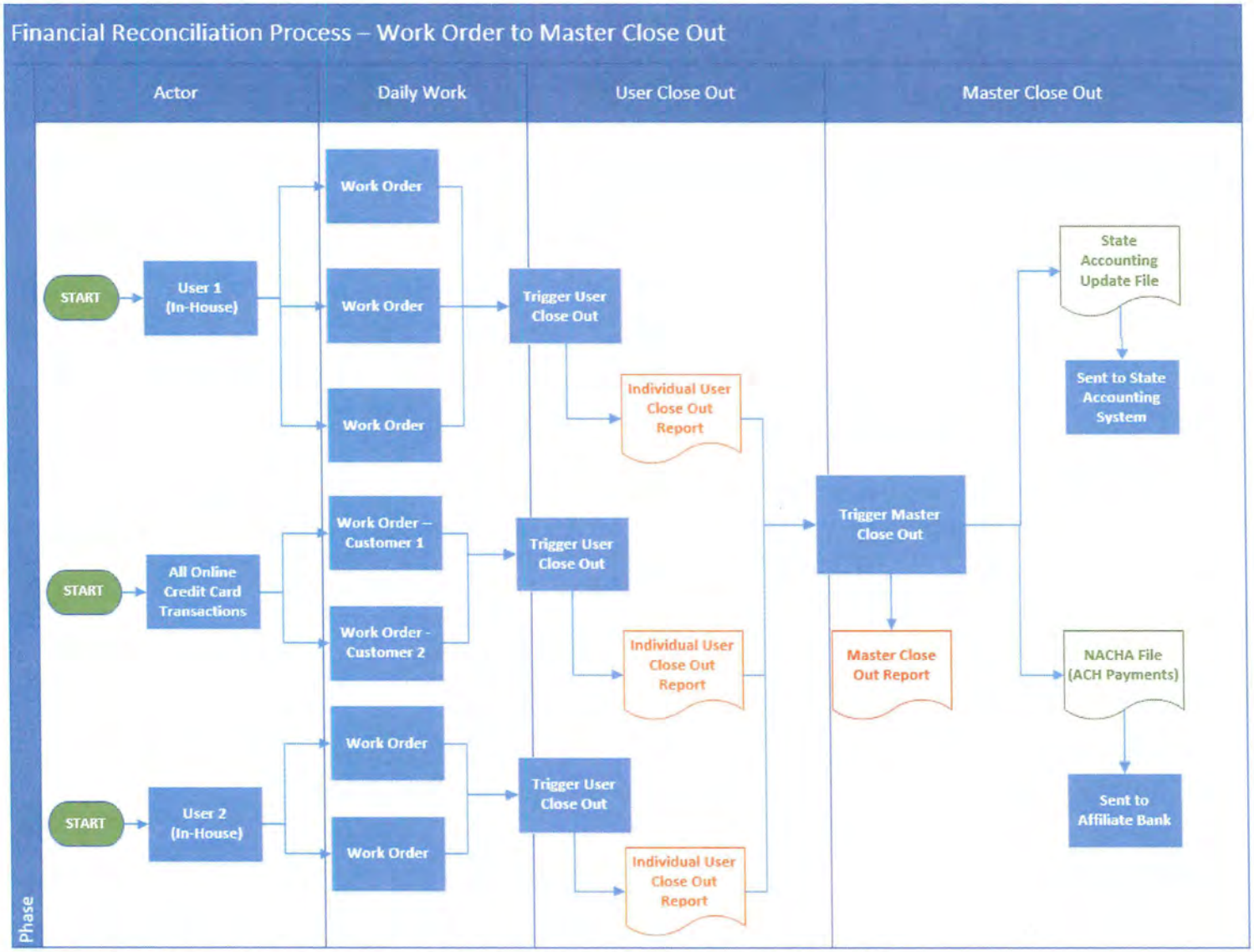


Figure 400. Financial reconciliation process – work order to master close out.

The process flow shown in Figure 401 describes the daily process of reporting and reconciling financial transactions. Some important points to note are:

- Depending on your business process, the receipting user and processing user could be the same person.
- The system is therefore ideal for dividing work between timeframes, as well as actual users. A user, or group of users could spend the morning receipting work orders, and then spend the afternoon processing all the filings that were routed to the work queues.
- The solution allows for corrections in the user close out reports. The financial user can "unlock" user close out reports, which allows the owner of those reports to then edit them and then re-generate their report for final inclusion in the finalized master close out report.

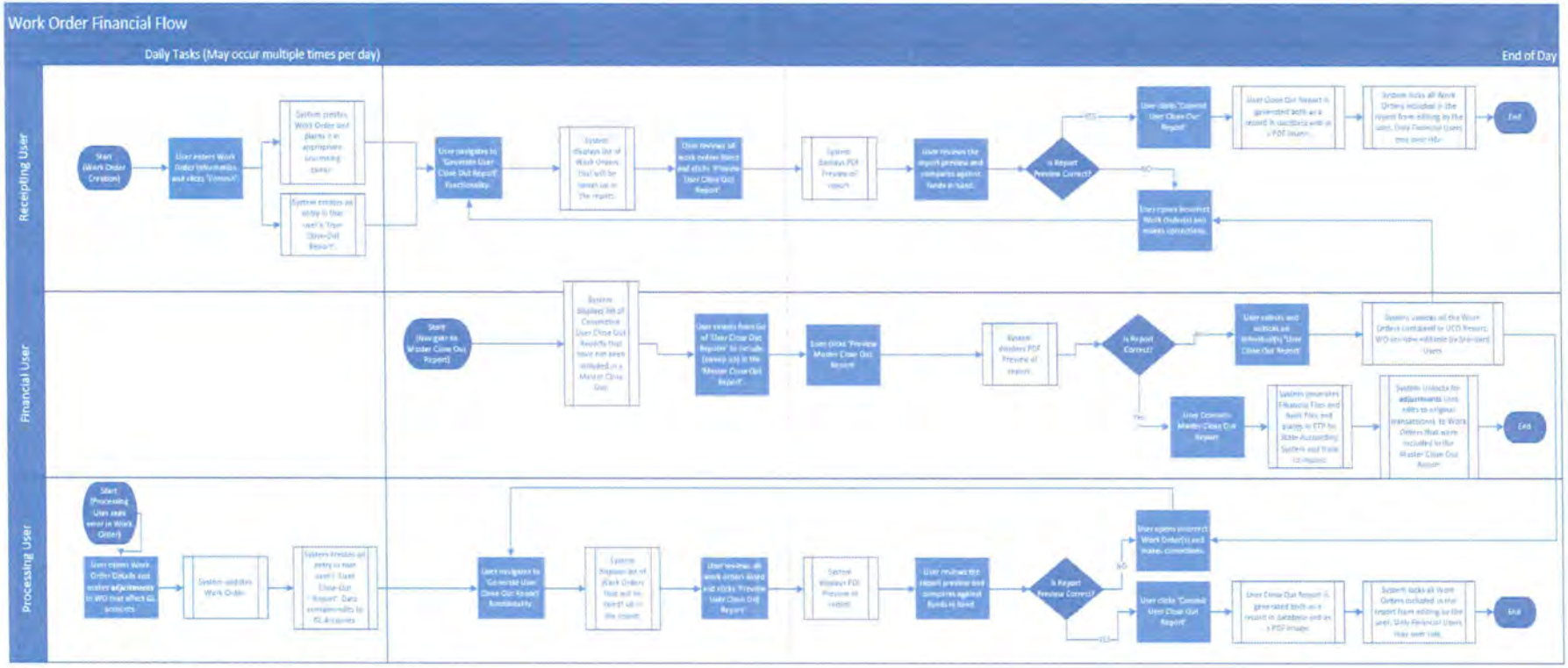


Figure 401. Work order financial flow.

At the end of the day (or near it, it is not necessary to finish all processing to run a user close out report), the user will navigate to the generate user close out report screen. The screen will display all work orders committed by the user since the last user close out report was generated by the user.



Figure 402. Work orders to be included in user close out report.

The user will click "Preview User Close Out Report" and see an html preview of the report. After confirming that the report reconciles with the funds in hand, the user will confirm the report and print the signature page with deposit summary for submission with physical funds.

Once the report is accepted, all work orders that were included in the report become locked to further editing until after they are included in a master close out report.

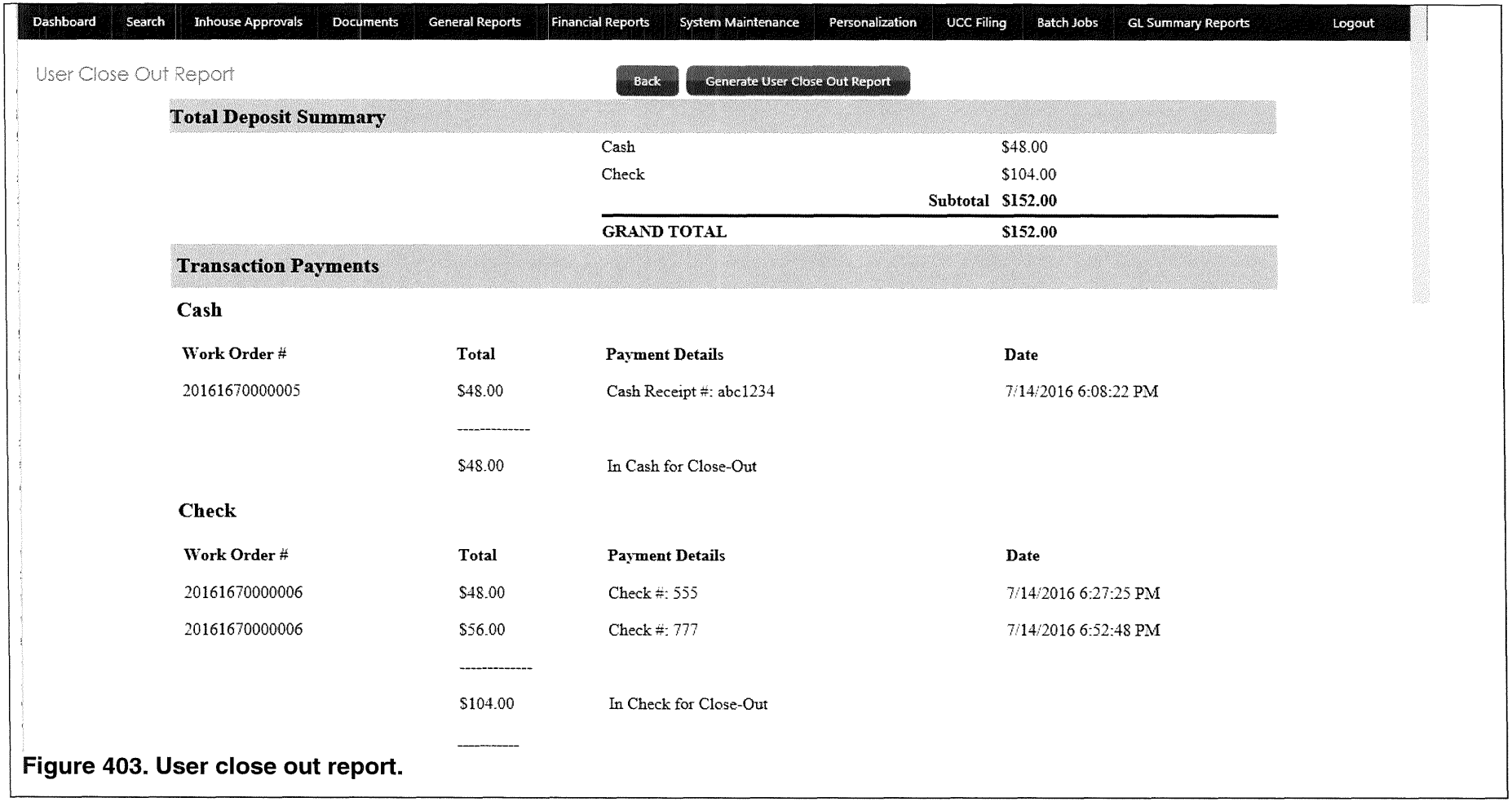


Figure 403. User close out report.

User Close Out Receipt
(To Remain With Staff Member's Deposit)

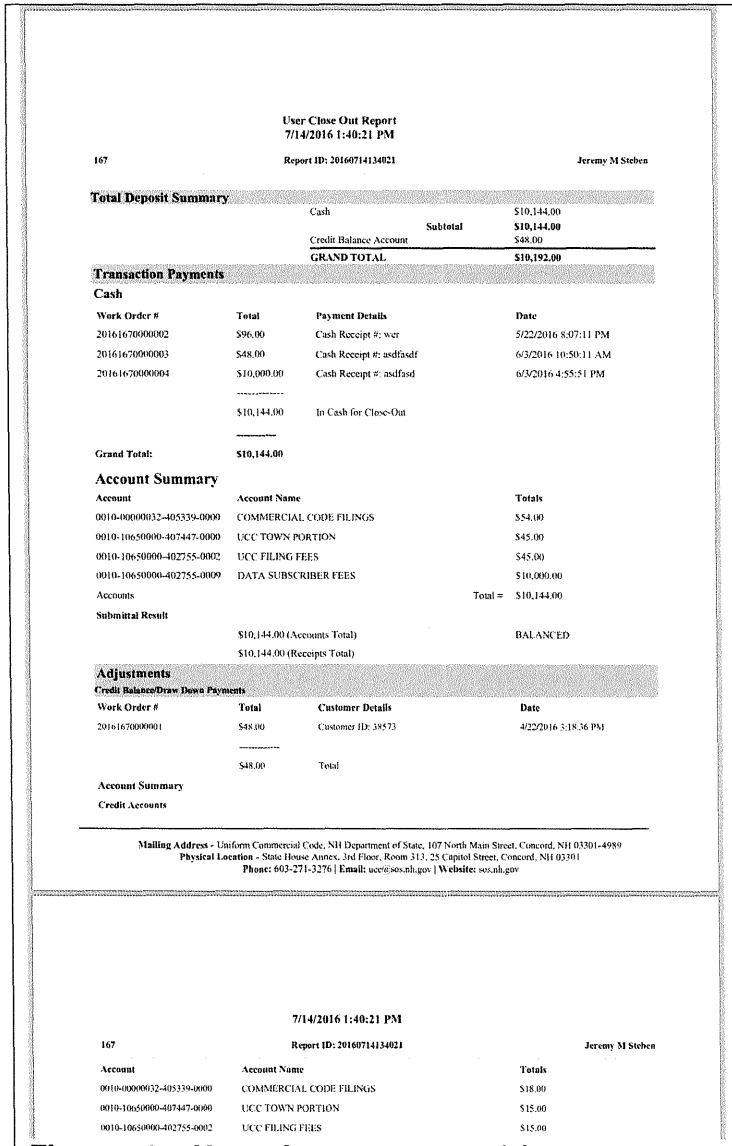
167 **Report ID: 20160717232624** **Jeremy Steben M**

Staff Member:	Jeremy Steben M (167)	
Close-Out Time:	7/17/2016 11:26:24 PM	
	Cash	$48.00
	Check	$104.00
	Total Deposit:	$152.00

Signed: _____

Date: _____

Figure 404. User close out receipt.



User Close Out Report
7/14/2016 1:40:21 PM

167 **Report ID: 20160714134021** **Jeremy M Steben**

Total Deposit Summary

Cash		$10,144.00
	Subtotal	**$10,144.00**
Credit Balance Account		$48.00
GRAND TOTAL		**$10,192.00**

Transaction Payments

Cash

Work Order #	Total	Payment Details	Date
20161670000002	$96.00	Cash Receipt #: wer	5/22/2016 8:07:11 PM
20161670000003	$48.00	Cash Receipt #: asdfasdf	6/3/2016 10:50:11 AM
20161670000004	$10,000.00	Cash Receipt #: asdfasd	6/3/2016 4:55:51 PM

	$10,144.00	In Cash for Close-Out	

Grand Total:	**$10,144.00**		

Account Summary

Account	Account Name		Totals
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS		$54.00
0010-10650000-407447-0000	UCC TOWN PORTION		$45.00
0010-10650000-402755-0002	UCC FILING FEES		$45.00
0010-10650000-402755-0009	DATA SUBSCRIBER FEES		$10,000.00
Accounts		Total =	$10,144.00

Submittal Result

$10,144.00 (Accounts Total)	BALANCED
$10,144.00 (Receipts Total)	

Adjustments

Credit Balance/Draw Down Payments

Work Order #	Total	Customer Details	Date
20161670000001	$48.00	Customer ID: 38573	4/22/2016 3:18:36 PM

	$48.00	Total	

Account Summary

Credit Accounts

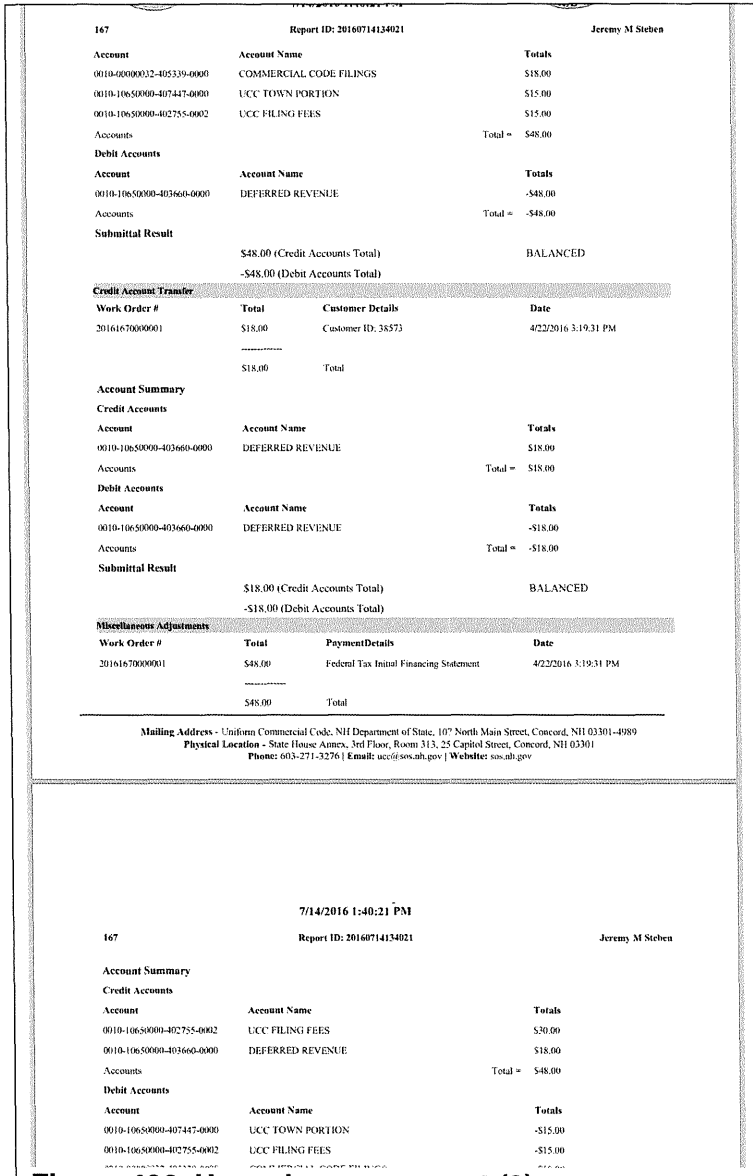
Mailing Address - Uniform Commercial Code, NH Department of State, 107 North Main Street, Concord, NH 03301-4989
Physical Location - State House Annex, 3rd Floor, Room 313, 25 Capitol Street, Concord, NH 03301
Phone: 603-271-3276 | **Email:** ucc@sos.nh.gov | **Website:** sos.nh.gov

7/14/2016 1:40:21 PM

167 **Report ID: 20160714134021** **Jeremy M Steben**

Account	Account Name	Totals
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$18.00
0010-10650000-407447-0000	UCC TOWN PORTION	$15.00
0010-10650000-402755-0002	UCC FILING FEES	$15.00

Figure 405. User close out report (1).



167 Report ID: 20160714134021 Jeremy M Steben

Account	Account Name		Totals
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS		$18.00
0010-10650000-407447-0000	UCC TOWN PORTION		$15.00
0010-10650000-402755-0002	UCC FILING FEES		$15.00
Accounts		Total =	$48.00

Debit Accounts

Account	Account Name		Totals
0010-10650000-403660-0000	DEFERRED REVENUE		-$48.00
Accounts		Total =	-$48.00

Submittal Result

$48.00 (Credit Accounts Total)		BALANCED
-$48.00 (Debit Accounts Total)		

Credit Account Transfer

Work Order #	Total	Customer Details	Date
20161670000001	$18.00	Customer ID: 38573	4/22/2016 3:19:31 PM

	$18.00	Total	

Account Summary

Credit Accounts

Account	Account Name		Totals
0010-10650000-403660-0000	DEFERRED REVENUE		$18.00
Accounts		Total =	$18.00

Debit Accounts

Account	Account Name		Totals
0010-10650000-403660-0000	DEFERRED REVENUE		-$18.00
Accounts		Total =	-$18.00

Submittal Result

$18.00 (Credit Accounts Total)		BALANCED
-$18.00 (Debit Accounts Total)		

Miscellaneous Adjustments

Work Order #	Total	PaymentDetails	Date
20161670000001	$48.00	Federal Tax Initial Financing Statement	4/22/2016 3:19:31 PM

	$48.00	Total	

Mailing Address - Uniform Commercial Code, NH Department of State, 107 North Main Street, Concord, NH 03301-4989
Physical Location - State House Annex, 3rd Floor, Room 313, 25 Capitol Street, Concord, NH 03301
Phone: 603-271-3276 | **Email:** ucc@sos.nh.gov | **Website:** sos.nh.gov

7/14/2016 1:40:21 PM

167 Report ID: 20160714134021 Jeremy M Steben

Account Summary

Credit Accounts

Account	Account Name		Totals
0010-10650000-402755-0002	UCC FILING FEES		$30.00
0010-10650000-403660-0000	DEFERRED REVENUE		$18.00
Accounts		Total =	$48.00

Debit Accounts

Account	Account Name		Totals
0010-10650000-407447-0000	UCC TOWN PORTION		-$15.00
0010-10650000-402755-0002	UCC FILING FEES		-$15.00

Figure 406. User close out report (2).

7/14/2016 1:40:21 PM

167 Report ID: 20160714134021 Jeremy M Steben

Account Summary

Credit Accounts

Account	Account Name		Totals
0010-10650000-402755-0002	UCC FILING FEES		$30.00
0010-10650000-403660-0000	DEFERRED REVENUE		$18.00
Accounts		Total =	$48.00

Debit Accounts

Account	Account Name		Totals
0010-10650000-407447-0000	UCC TOWN PORTION		-$15.00
0010-10650000-402755-0002	UCC FILING FEES		-$15.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS		-$18.00
Accounts		Total =	-$48.00

Submittal Result

$48.00 (Credit Accounts Total)		BALANCED
-$48.00 (Debit Accounts Total)		

Figure 407. User close out report. Account summary.

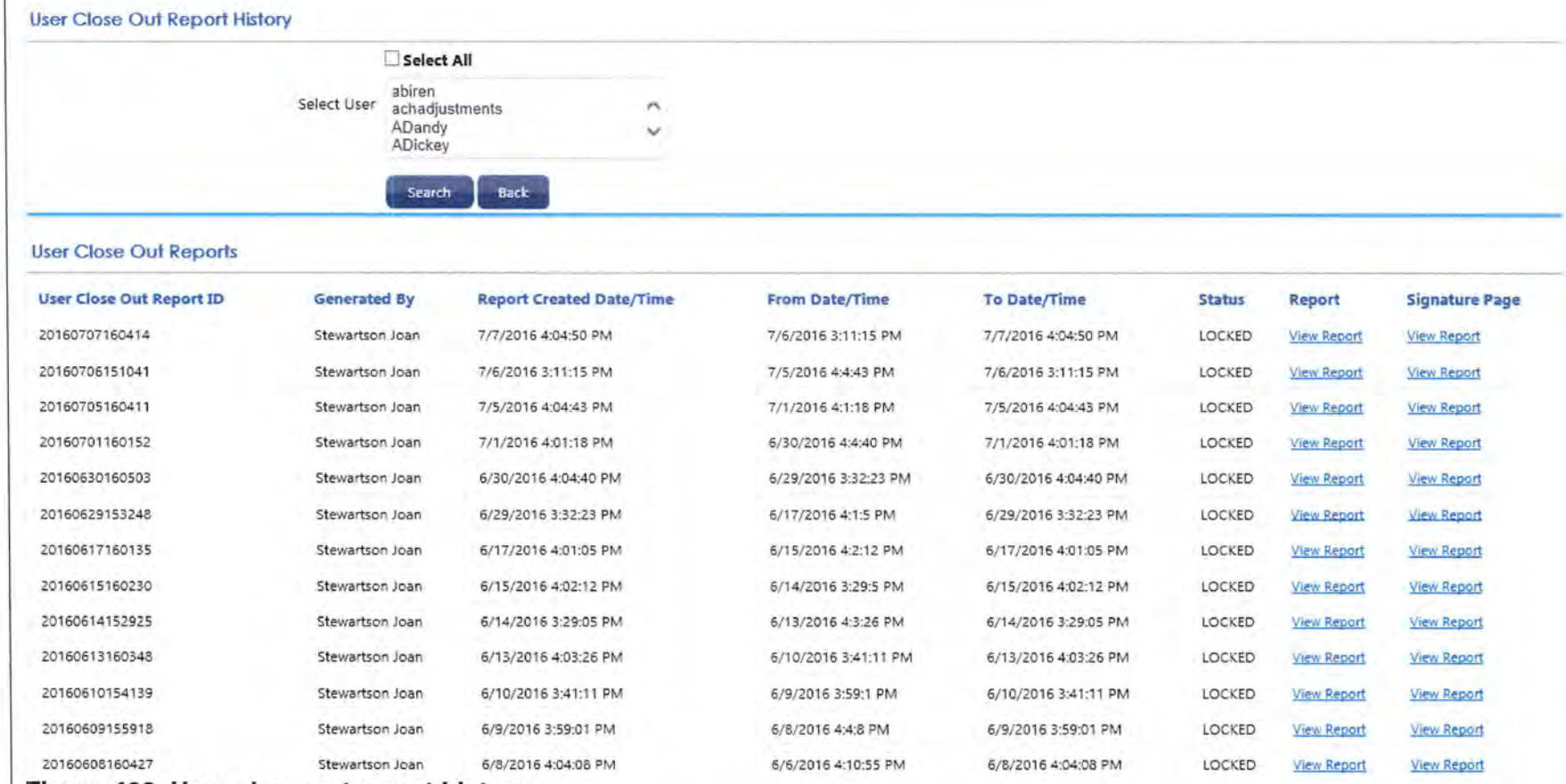


Figure 408. User close out report history.

The supervisor or financial user selects the already generated user close out reports to be included in the master close out report and job. The user has the option to view individual user close out reports, as well as a preview of the master close out report, based on the user close out reports that have been included.

If the master close out report does not reconcile, or does not appear correct, the financial user has the option of unlocking a specific user close out report. At that point, the work orders associated report become unlocked, and may be edited by the owner. Once the owner of the unlocked report regenerates their report, it will appear in this screen again with a "locked" status.

Once the master close out report is accepted, the job is triggered and the final report and financial files are generated. All included work orders are then unlocked for future edits.

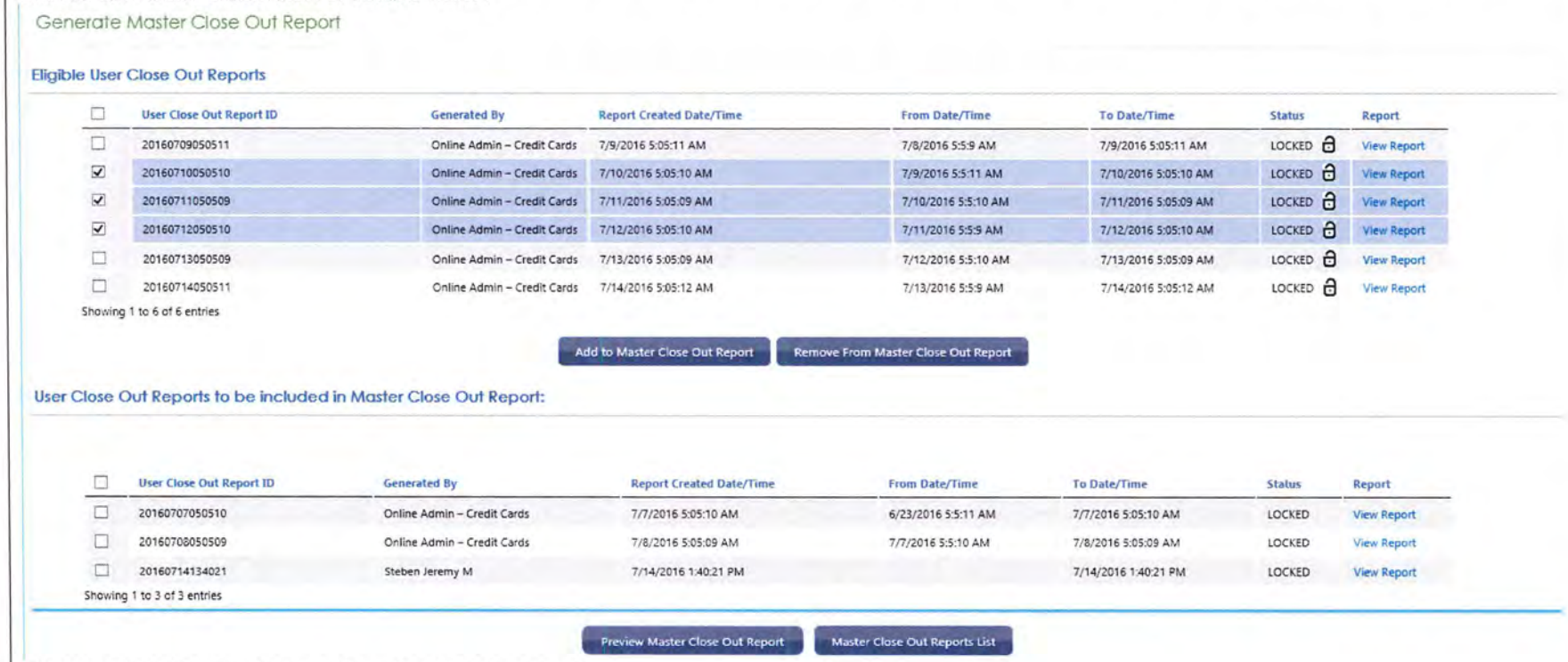


Figure 409. Generate master close out report.

Total Deposit Summary

Cash		$10,144.00
	Subtotal	**$10,144.00**
Credit Balance Account		$48.00
GRAND TOTAL		$10,192.00

Transaction Payments

Receipts By User

Jeremy Steben M

Cash	$10,144.00
Subtotal	$10,144.00

Net Deposit

Cash

Account	Account Name	Totals
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$54.00
0010-10650000-407447-0000	UCC TOWN PORTION	$45.00
0010-10650000-402755-0002	UCC FILING FEES	$45.00
0010-10650000-402755-0009	DATA SUBSCRIBER FEES	$10,000.00
	Cash Subtotal	$10,144.00

Adjustments Summary

Account	Account Name	Totals
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$0.00
0010-10650000-407447-0000	UCC TOWN PORTION	$0.00
0010-10650000-403660-0000	DEFERRED REVENUE	-$30.00
0010-10650000-402755-0002	UCC FILING FEES	$30.00
	Net Total Adjustments	$0.00

Figure 410. Master close out report.

The master close out report history allows the staff user to search for all master close out reports generated by a user, or to search for a specific report by the master close out ID, which is printed at the top of every report.

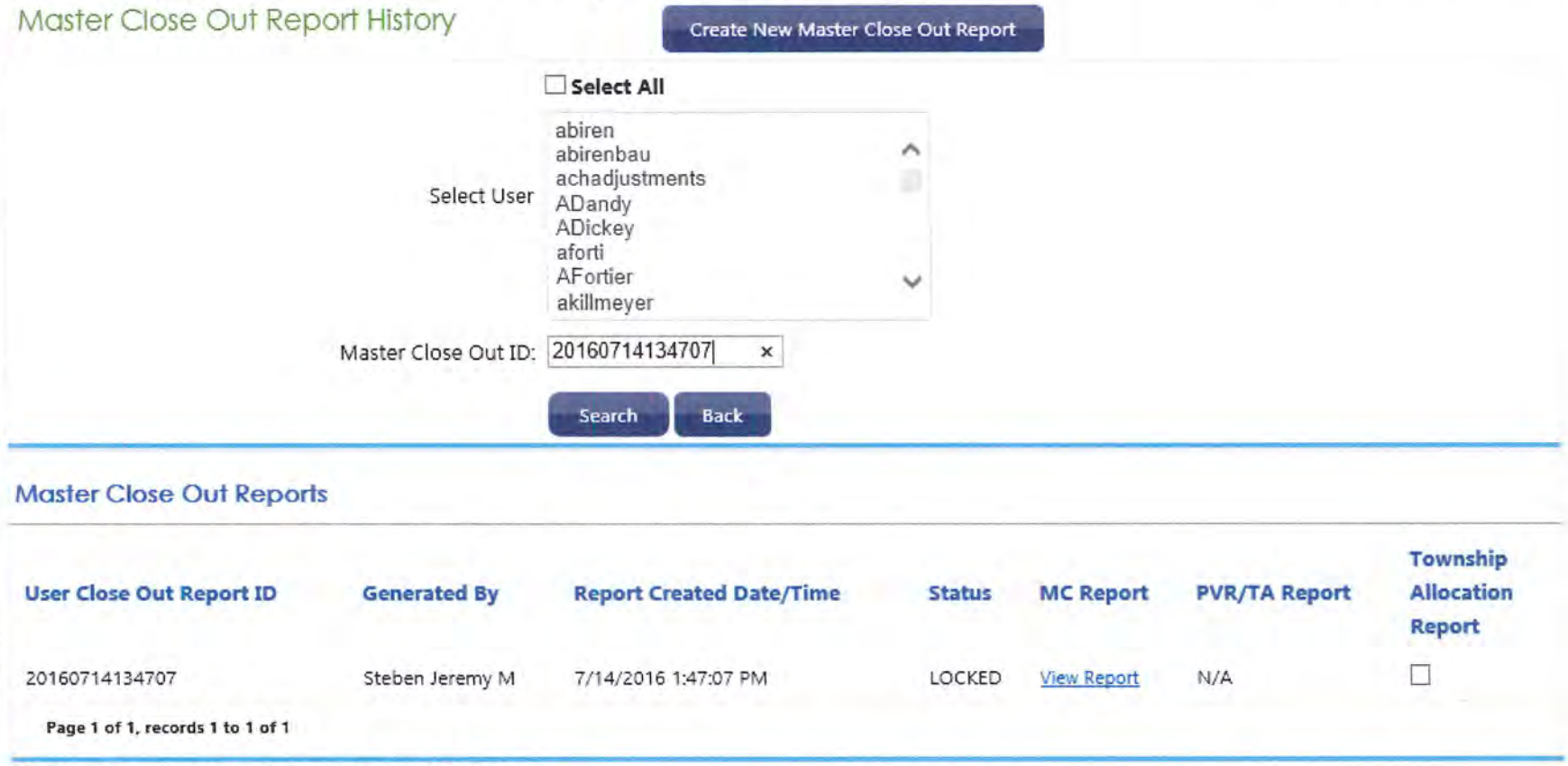
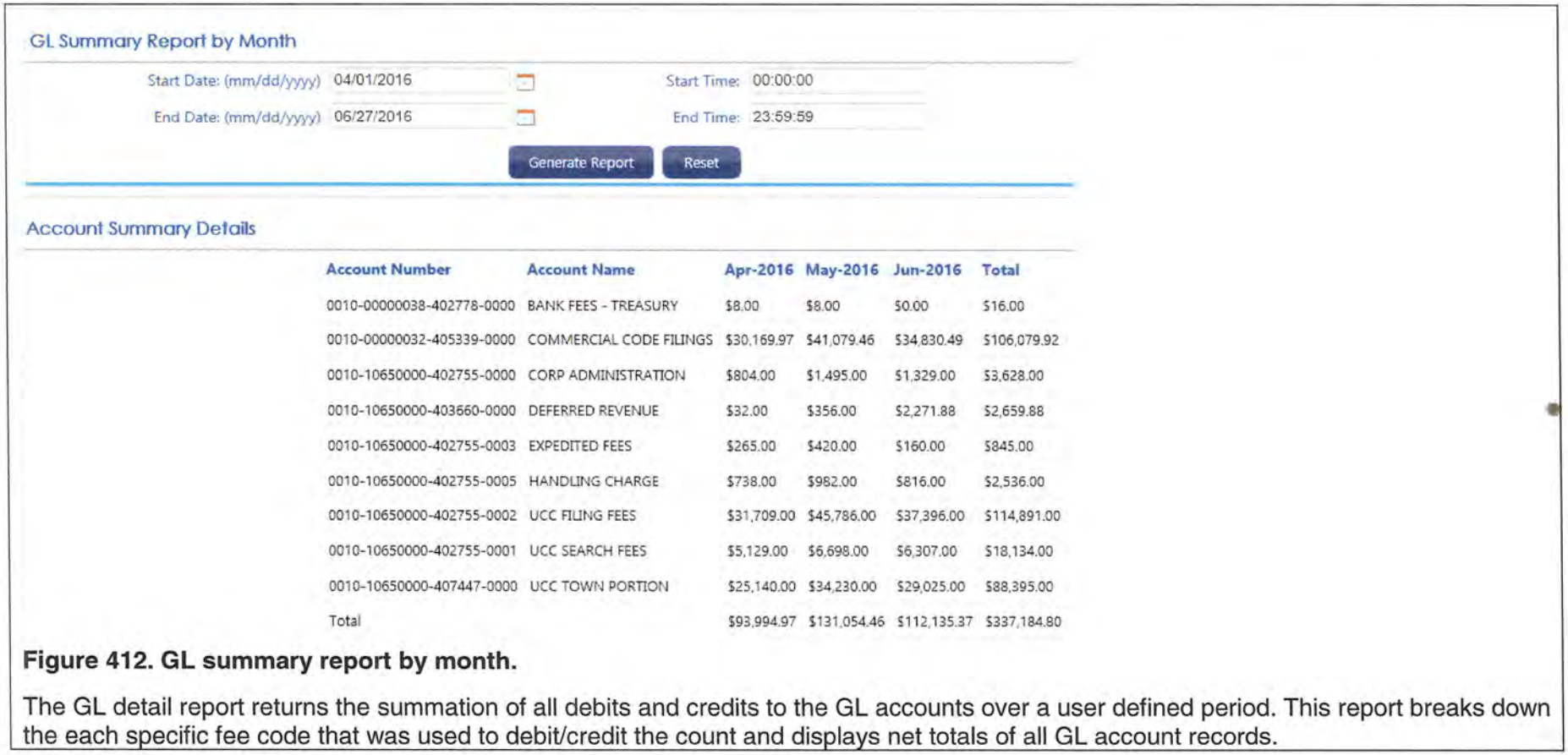


Figure 411. Master close out report history.

GL account reports:
The GL summary report returns the summation of all debits and credits to the GL accounts over a user defined period. This report breaks down the funds by each GL account and displays net totals of all GL account records.



Account Number	Account Name	Apr-2016	May-2016	Jun-2016	Total
0010-00000038-402778-0000	BANK FEES - TREASURY	$8.00	$8.00	$0.00	$16.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	$30,169.97	$41,079.46	$34,830.49	$106,079.92
0010-10650000-402755-0000	CORP ADMINISTRATION	$804.00	$1,495.00	$1,329.00	$3,628.00
0010-10650000-403660-0000	DEFERRED REVENUE	$32.00	$356.00	$2,271.88	$2,659.88
0010-10650000-402755-0003	EXPEDITED FEES	$265.00	$420.00	$160.00	$845.00
0010-10650000-402755-0005	HANDLING CHARGE	$738.00	$982.00	$816.00	$2,536.00
0010-10650000-402755-0002	UCC FILING FEES	$31,709.00	$45,786.00	$37,396.00	$114,891.00
0010-10650000-402755-0001	UCC SEARCH FEES	$5,129.00	$6,698.00	$6,307.00	$18,134.00
0010-10650000-407447-0000	UCC TOWN PORTION	$25,140.00	$34,230.00	$29,025.00	$88,395.00
Total		$93,994.97	$131,054.46	$112,135.37	$337,184.80

Figure 412. GL summary report by month.

The GL detail report returns the summation of all debits and credits to the GL accounts over a user defined period. This report breaks down the each specific fee code that was used to debit/credit the count and displays net totals of all GL account records.

GL Account Detail Report by Month

Start Date: (mm/dd/yyyy) 06/01/2016 Start Time: 00:00:00

End Date: (mm/dd/yyyy) 07/18/2016 End Time: 23:59:59

Generate Report Reset

Account Summary Details

Account Number	Account Name	Fee Name	Jun-2016	Jul-2016	Total
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	Postage	$60.00	$0.00	$60.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	Transmitting Utility	$18.00	$0.00	$18.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	UCC-1	$108.00	$0.00	$108.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	UCC-3 (Party or Collateral)	$72.00	$0.00	$72.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	UCC3 - Assignment	$36.00	$0.00	$36.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	UCC3 - Continuation	$18.00	$0.00	$18.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	UCC3 - Termination	$36.00	$0.00	$36.00
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	UCC5 - Information Statement	$36.00	$0.00	$36.00
0010-10650000-402755-0000	CORP ADMINISTRATION	Rejection Fund Transfer	$144.00	$0.00	$144.00
0010-10650000-402755-0000	CORP ADMINISTRATION	UCC Rejection	-$10.00	$0.00	-$10.00
0010-10650000-402755-0000	CORP ADMINISTRATION	Undefined Township Positive Allocation	$15.00	$0.00	$15.00
0010-10650000-402755-0001	UCC SEARCH FEES	UCC Search Subscription	$0.00	$0.00	$0.00
0010-10650000-402755-0001	UCC SEARCH FEES	UCC-11 - Standard Priority	$10.00	$0.00	$10.00
0010-10650000-402755-0001	UCC SEARCH FEES	UCC-11 Online Search	$0.00	$0.00	$0.00
0010-10650000-402755-0002	UCC FILING FEES	Department of Revenue Administration (State Tax)	$0.00	$0.00	$0.00
0010-10650000-402755-0002	UCC FILING FEES	Federal Tax Lien Railroad	$0.00	$0.00	$0.00
0010-10650000-402755-0002	UCC FILING FEES	Federal Tax Liens	$30.00	$0.00	$30.00

Figure 413. GL details report.

Making a payment as a negative receipt (NSF returned payments):
Open previously committed work order.

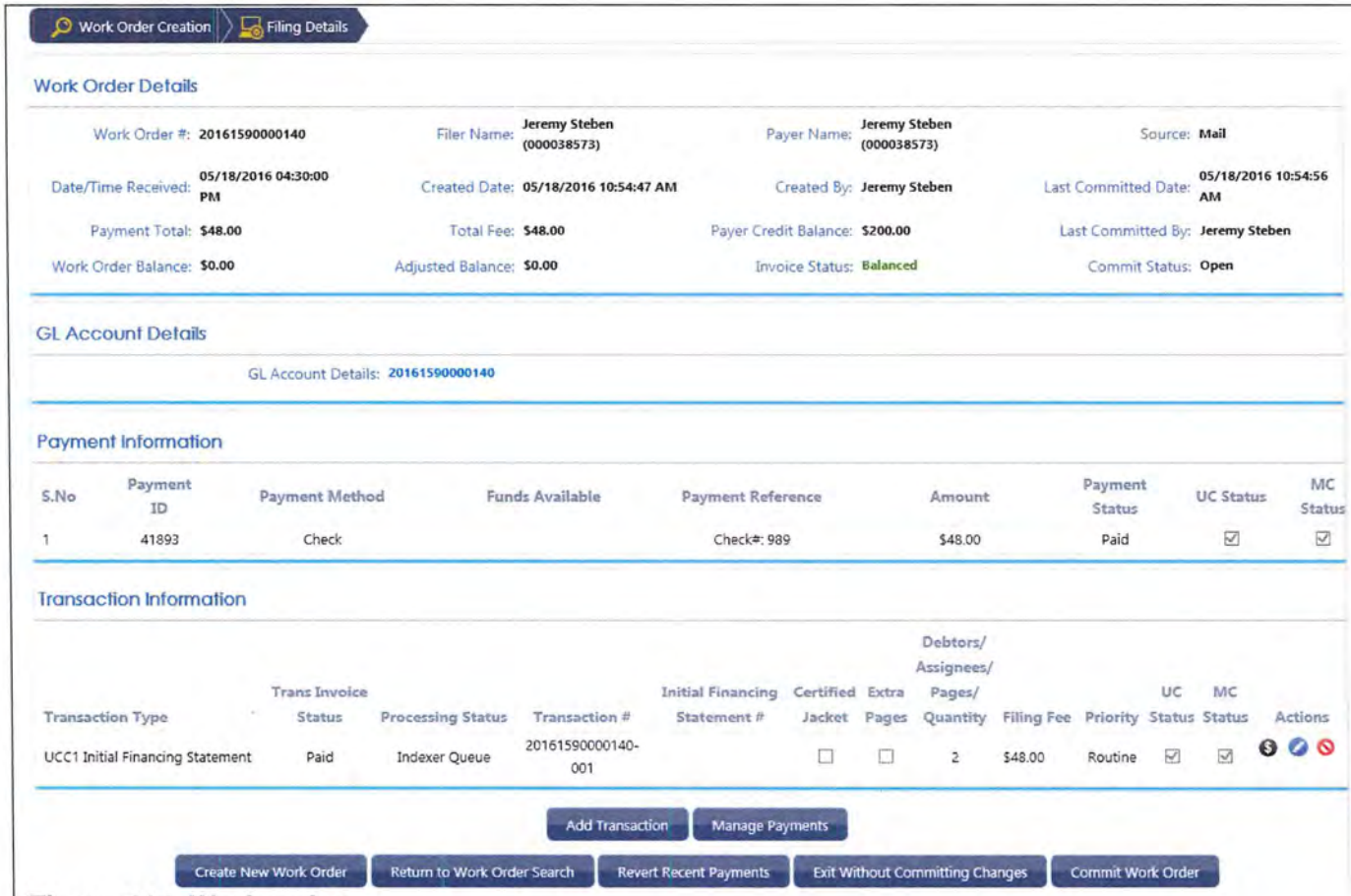


Figure 414. Work order.

Open manage payments window and select negative payment icon (role restricited to priviledged users).

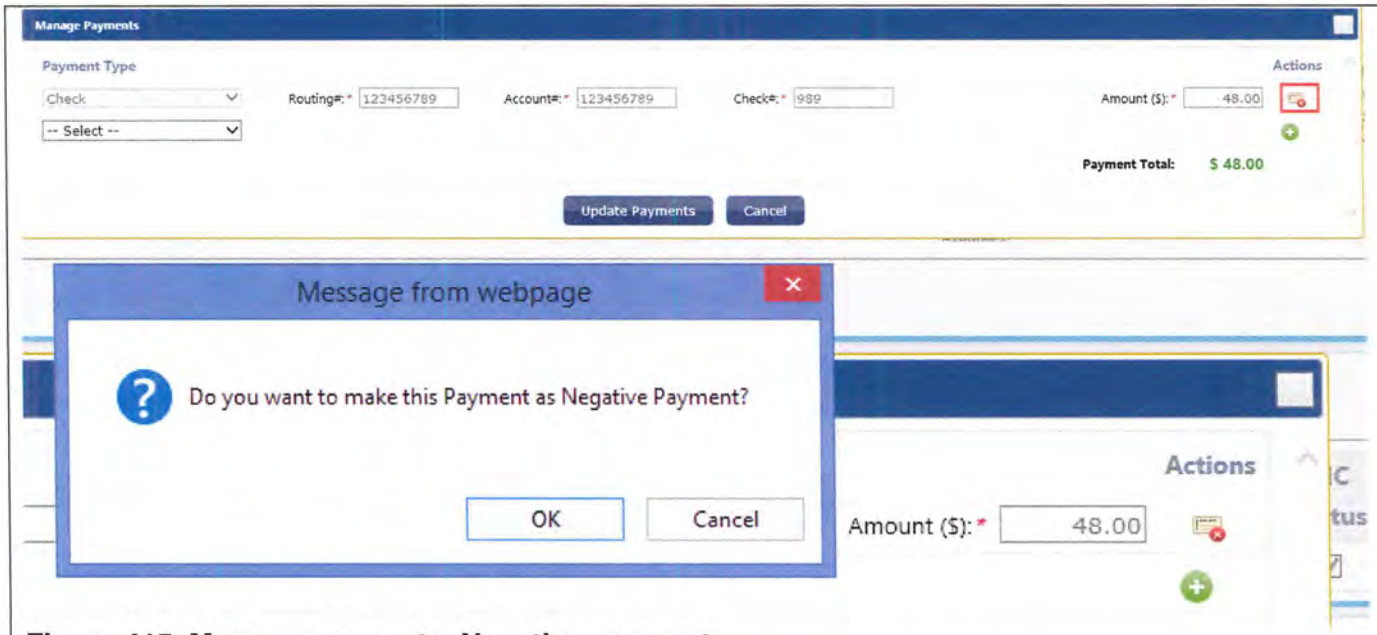
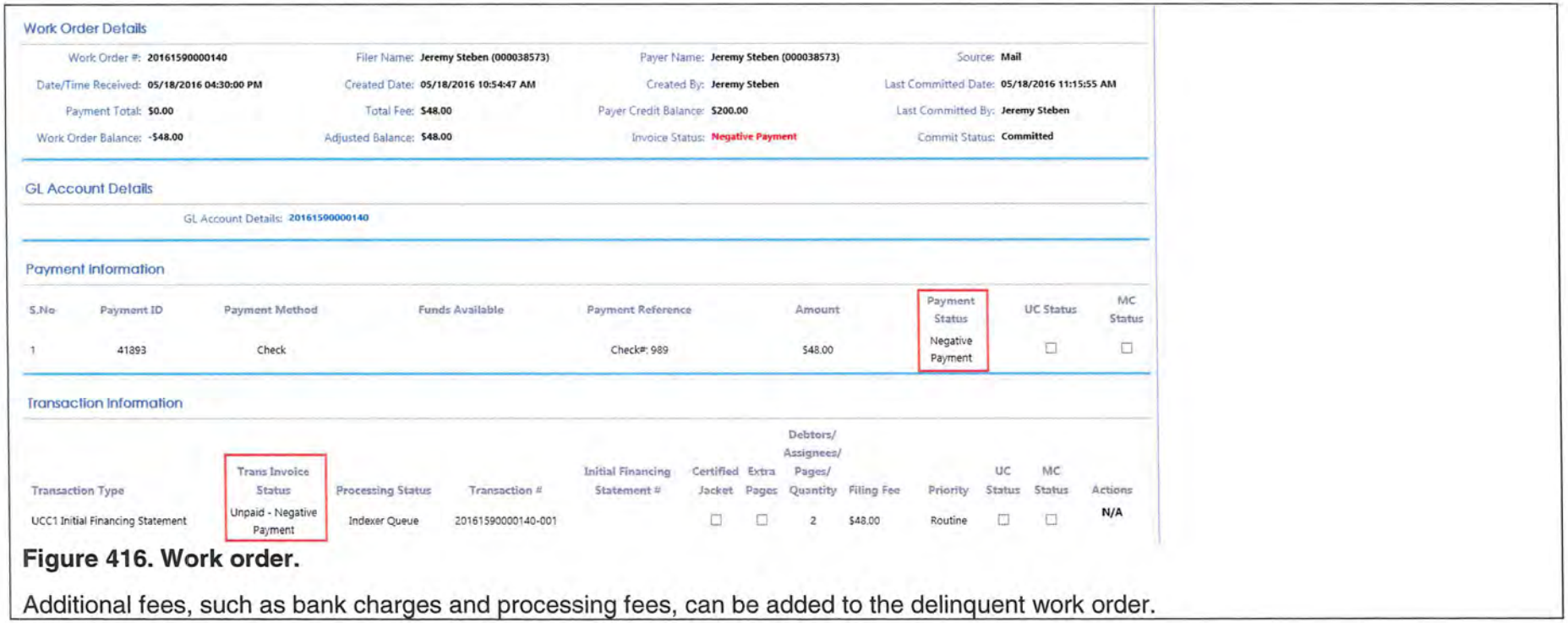


Figure 415. Manage payments. Negative payment.

Payment flagged as negative payment, associated transaction(s) flagged as unpaid due to negative payment, work order flagged as negative payment and will return and generate notices on aged accounts receivable reports.

The work order balance now shows a negative value.



Work Order Details

Work Order #: 20161590000140	Filer Name: Jeremy Steben (000038573)	Payer Name: Jeremy Steben (000038573)	Source: Mail
Date/Time Received: 05/18/2016 04:30:00 PM	Created Date: 05/18/2016 10:54:47 AM	Created By: Jeremy Steben	Last Committed Date: 05/18/2016 11:15:55 AM
Payment Total: $0.00	Total Fee: $48.00	Payer Credit Balance: $200.00	Last Committed By: Jeremy Steben
Work Order Balance: -$48.00	Adjusted Balance: $48.00	Invoice Status: Negative Payment	Commit Status: Committed

GL Account Details

GL Account Details: 20161590000140

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	41893	Check		Check#: 989	$48.00	Negative Payment	☐	☐

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC1 Initial Financing Statement	Unpaid - Negative Payment	Indexer Queue	20161590000140-001		☐	☐	2	$48.00	Routine	☐	☐	N/A

Figure 416. Work order.

Additional fees, such as bank charges and processing fees, can be added to the delinquent work order.

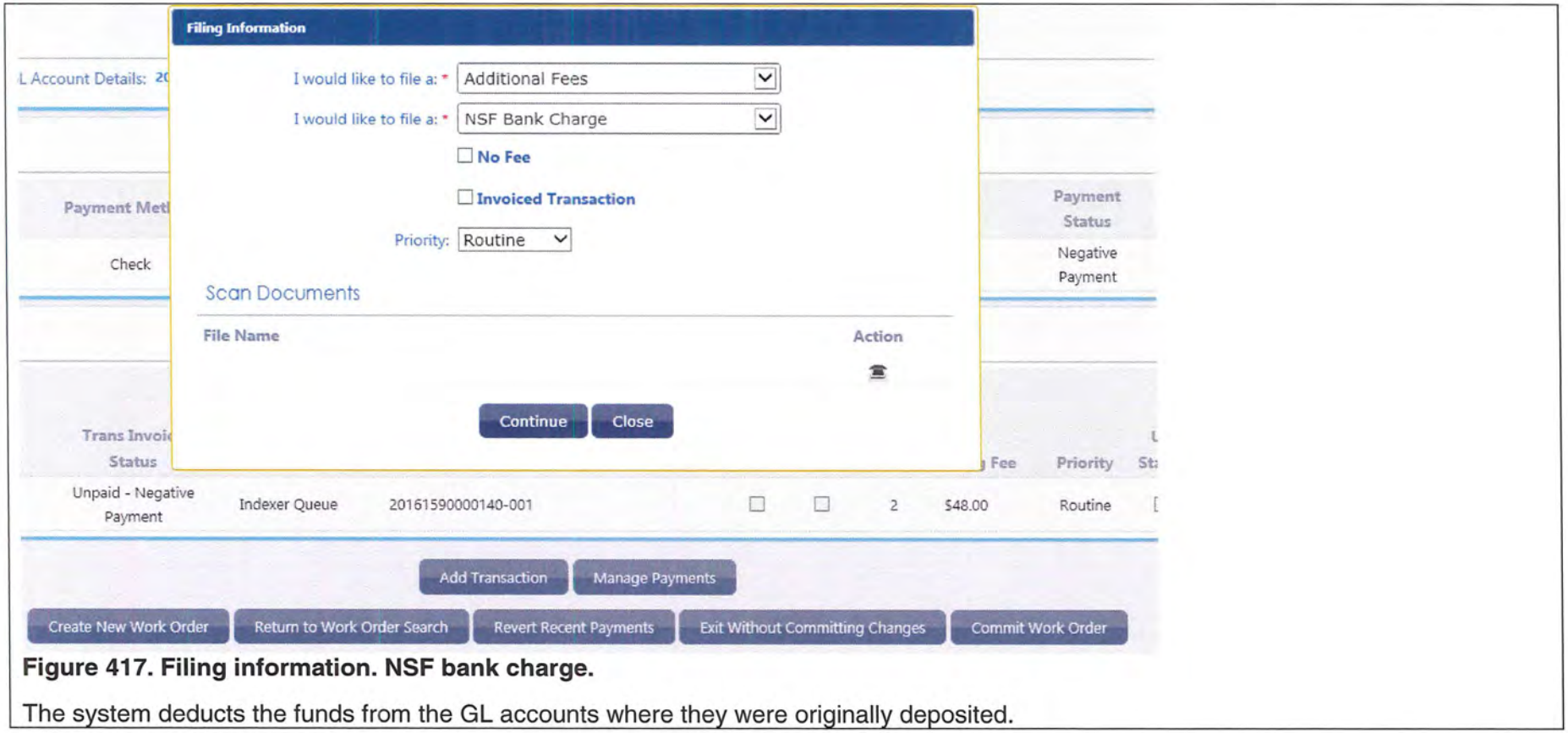


Figure 417. Filing information. NSF bank charge.

The system deducts the funds from the GL accounts where they were originally deposited.

GL Accounts

Transaction ID

2553

GL Account Number	Account Name	Transaction/Payment Reference Number	Amount	Comment	Date Time Created	Fee ID
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	3014	$18.00	Transaction Payment	7/14/2016 6:27:25 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	3014	$15.00	Transaction Payment	7/14/2016 6:27:25 PM	16
0010-10650000-402755-0002	UCC FILING FEES	3014	$15.00	Transaction Payment	7/14/2016 6:27:25 PM	16
0010-00000032-405339-0000	COMMERCIAL CODE FILINGS	3015	-$18.00	Negative Receipt	7/14/2016 6:35:58 PM	16
0010-10650000-407447-0000	UCC TOWN PORTION	3015	-$15.00	Negative Receipt	7/14/2016 6:35:58 PM	16
0010-10650000-402755-0002	UCC FILING FEES	3015	-$15.00	Negative Receipt	7/14/2016 6:35:58 PM	16

Figure 418. GL accounts.

The receipt output now records the returned payment, and may be used as a billing statement to send to the customer.

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
7/14/2016 6:26:58 PM	Check	Check#: 555	N/A	Negative Payment	$0.00
				Total Payment Received:	**$0.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
7/14/2016 6:26:58 PM	UCC1 Initial Financing Statement	1607140000029	20161670000006-001	Processed	Unpaid - Negative Payment	$48.00
7/14/2016 6:35:58 PM	NSF Bank Charge	N/A	20161670000006-002	Accepted	Invoiced	$8.00
					Total	**$56.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$56.00
Credit Account Balance:	$0.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	$0.00

Figure 419. Receipt.

Making re-payment on a work order with a returned payment:
Re-open the work order and click "Manage Payments" to bring up the manage payments window. Enter the information for the new payment being made on the work order and click "Update Payments."

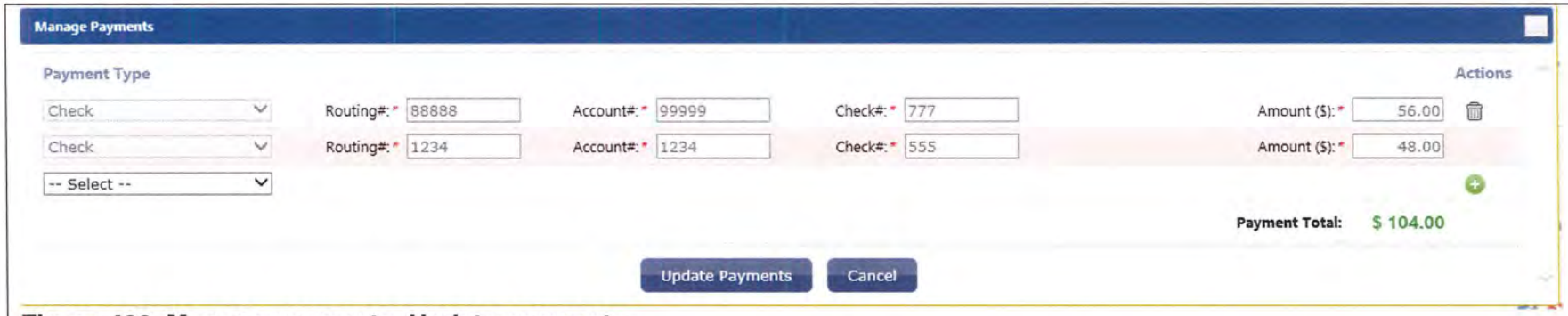


Figure 420. Manage payments. Update payments

Click on the edit icon for any additional financing charges that were applied, and remove the "Invoiced Transaction" checkbox.

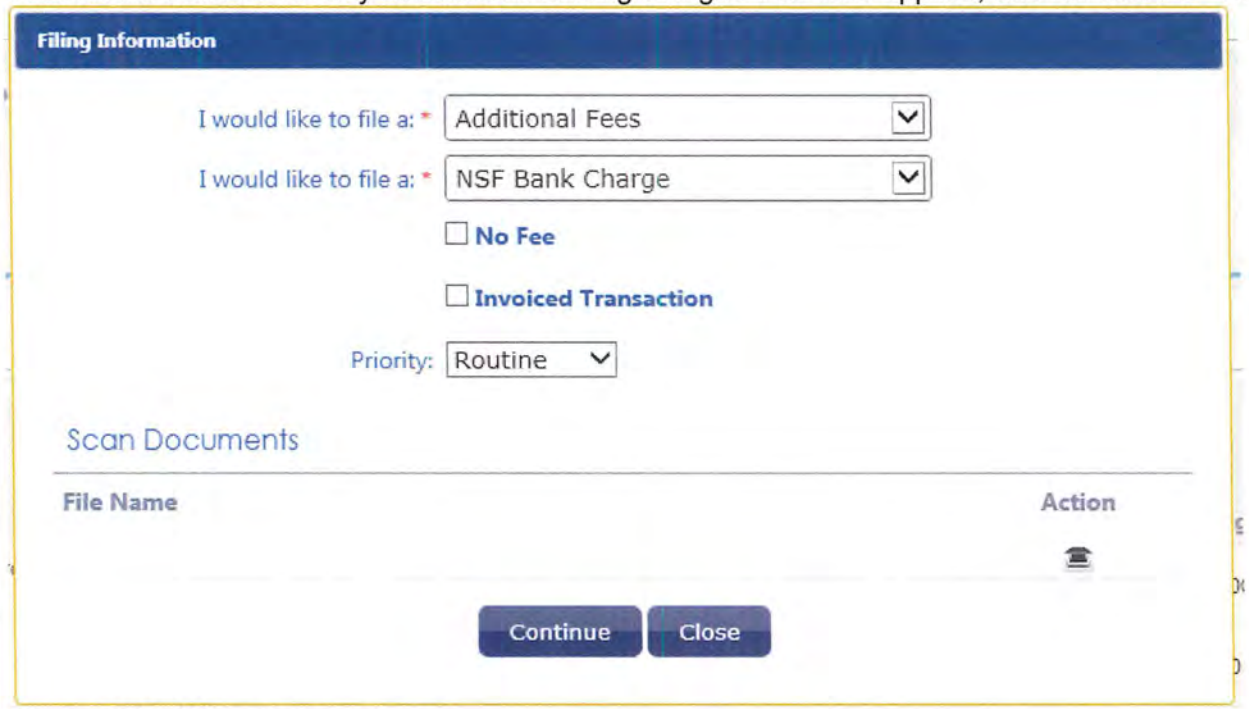


Figure 421. Filing information.

After clicking "Commit Work Order" the work order refreshes and is now balanced.

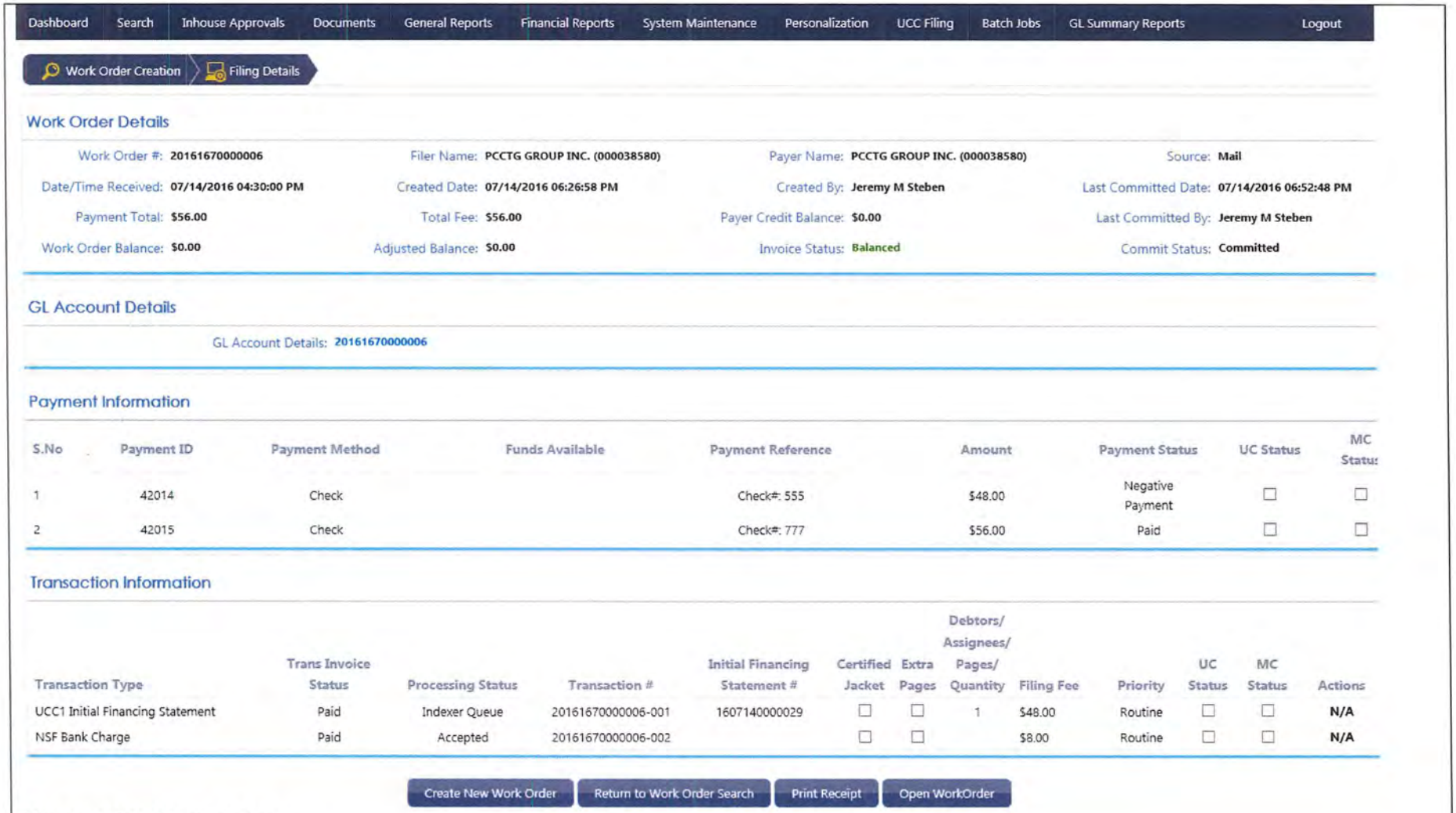


Figure 422. Work order.

The receipt is updated with the new payment, and shows the amount due as $0.00.

Payment Information:

Date	Payment Type	Payment Reference	Authorization #	Payment Status	Payment Amount
7/14/2016 6:26:58 PM	Check	Check#: 555	N/A	Negative Payment	$0.00
7/14/2016 6:52:47 PM	Check	Check#: 777	N/A	Paid	$56.00
				Total Payment Received:	**$56.00**

Transaction Information:

Date	Transaction Description	Reference Information	Transaction #	Processing Status	Invoice Status	Amount
7/14/2016 6:26:58 PM	UCC1 Initial Financing Statement	1607140000029	20161670000006-001	Pending	Paid	$48.00
7/14/2016 6:35:58 PM	NSF Bank Charge	N/A	20161670000006-002	Accepted	Paid	$8.00
					Total	**$56.00**

Drawdown Account Balance:	$0.00	**Total Due:**	$0.00
Credit Account Balance:	$0.00	**Total Refunded:**	$0.00
		Total Change To Credit Account Balance:	$0.00

Figure 423. Receipt.

Work order search:
Allows user to search for any work order in the system using robust search criteria fields, including payment type and payment reference number as well as by filer, payer and transaction number. All work order numbers are hyperlinks to a work order details screen.

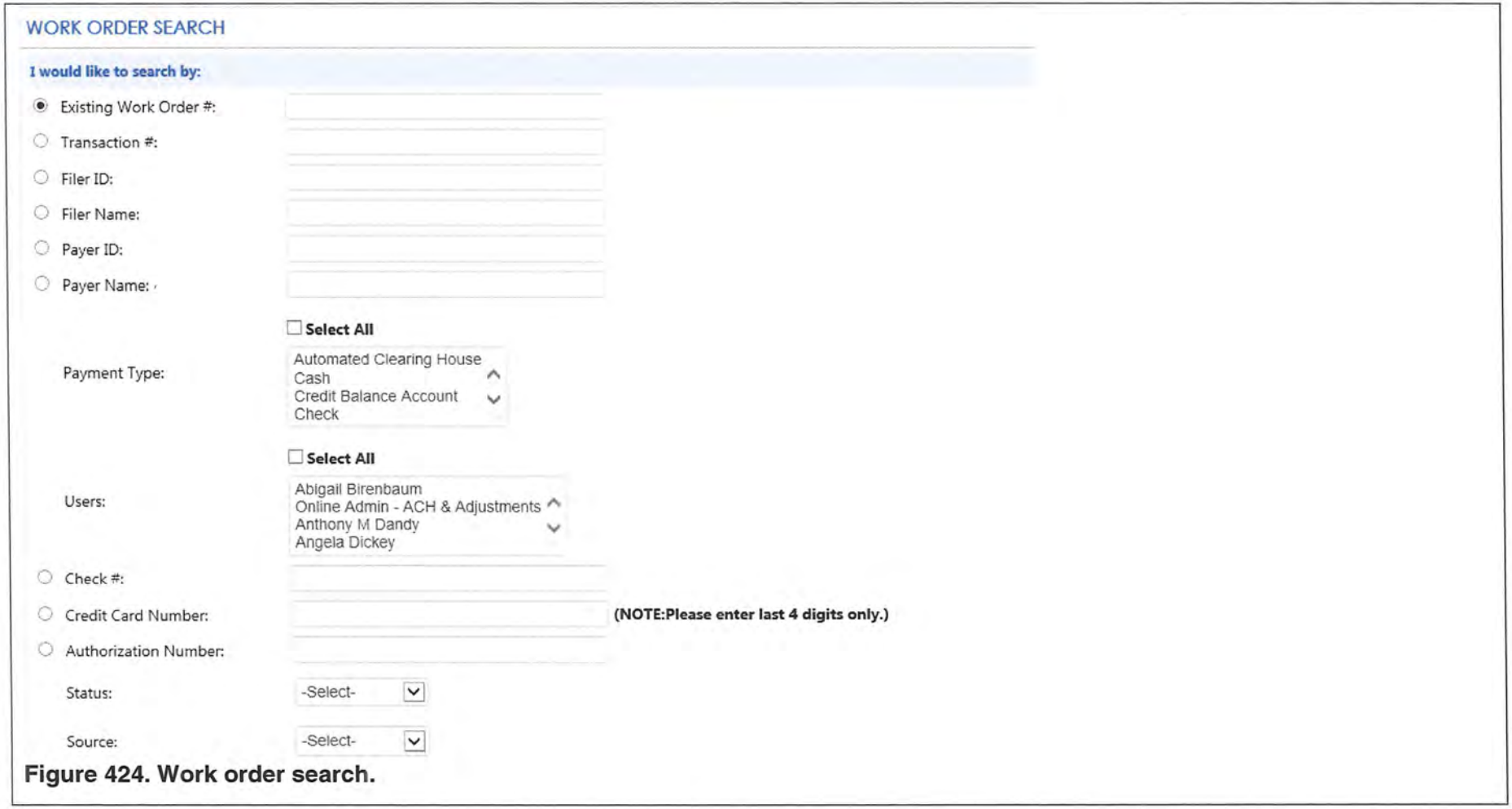


Figure 424. Work order search.

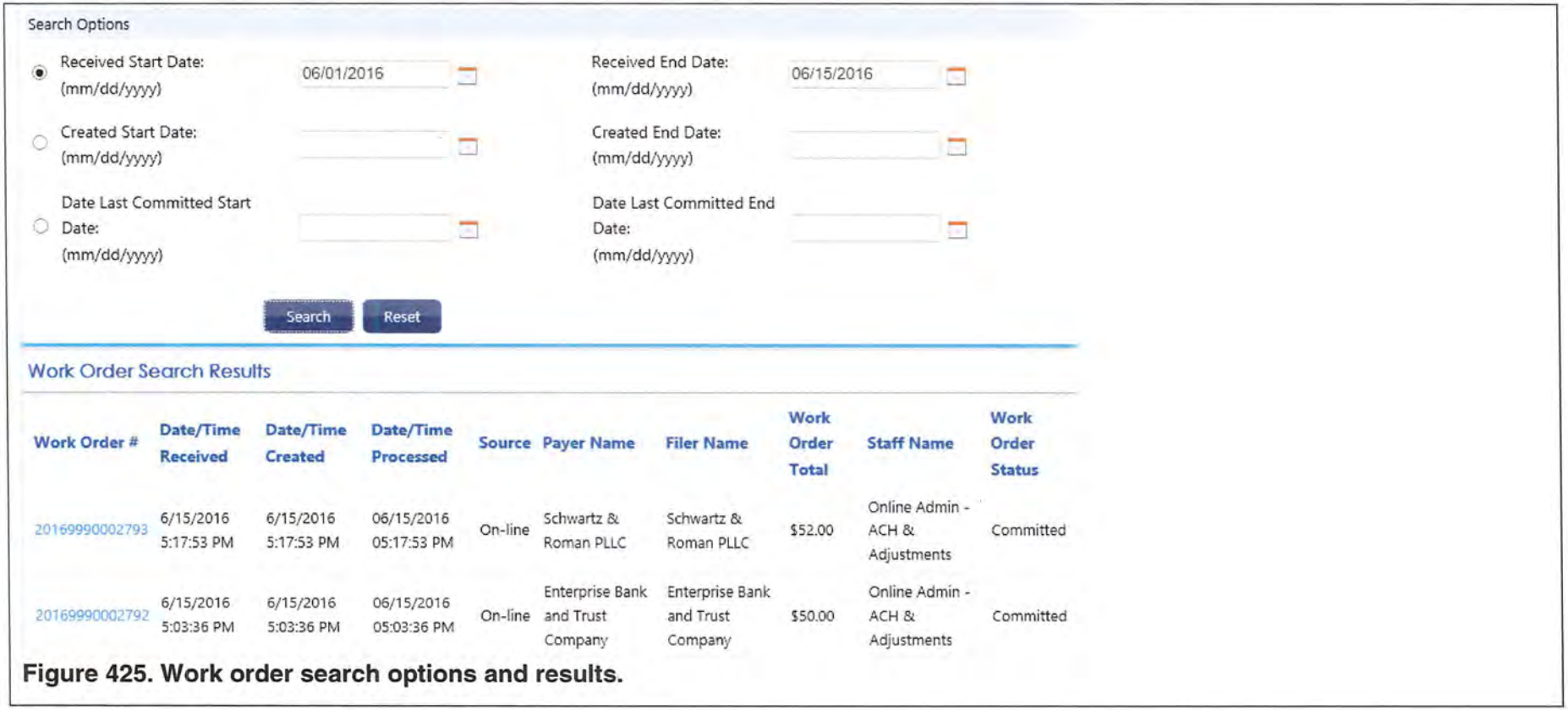
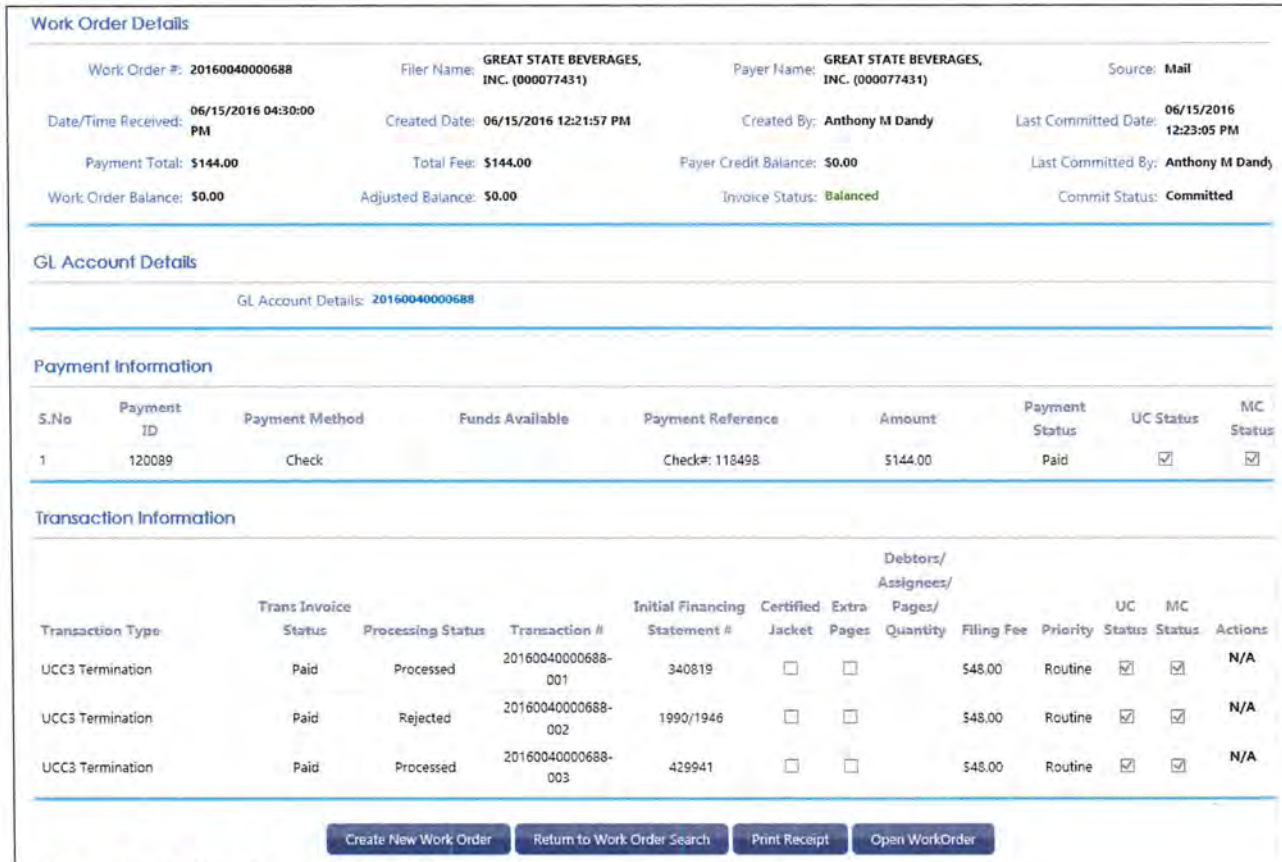


Figure 425. Work order search options and results.



Work Order Details

Work Order #:	20160040000688	Filer Name:	GREAT STATE BEVERAGES, INC. (000077431)	Payer Name:	GREAT STATE BEVERAGES, INC. (000077431)	Source:	Mail
Date/Time Received:	06/15/2016 04:30:00 PM	Created Date:	06/15/2016 12:21:57 PM	Created By:	Anthony M Dandy	Last Committed Date:	06/15/2016 12:23:05 PM
Payment Total:	$144.00	Total Fee:	$144.00	Payer Credit Balance:	$0.00	Last Committed By:	Anthony M Dandy
Work Order Balance:	$0.00	Adjusted Balance:	$0.00	Invoice Status:	Balanced	Commit Status:	Committed

GL Account Details

GL Account Details: 20160040000688

Payment Information

S.No	Payment ID	Payment Method	Funds Available	Payment Reference	Amount	Payment Status	UC Status	MC Status
1	120089	Check		Check#: 118498	$144.00	Paid	☑	☑

Transaction Information

Transaction Type	Trans Invoice Status	Processing Status	Transaction #	Initial Financing Statement #	Certified Jacket	Extra Pages	Debtors/ Assignees/ Pages/ Quantity	Filing Fee	Priority	UC Status	MC Status	Actions
UCC3 Termination	Paid	Processed	20160040000688-001	340819	☐	☐		$48.00	Routine	☑	☑	N/A
UCC3 Termination	Paid	Rejected	20160040000688-002	1990/1946	☐	☐		$48.00	Routine	☑	☑	N/A
UCC3 Termination	Paid	Processed	20160040000688-003	429941	☐	☐		$48.00	Routine	☑	☑	N/A

Create New Work Order | Return to Work Order Search | Print Receipt | Open WorkOrder

Figure 426. Work order details.

Interface with the State's accounting program:

Excel deposit file:

Although not currently an export file, the system can be modified to export the deposit file as displayed in Appendix E. This can be done in addition to, or in replacement of the standard export files that are detailed below.

One-off daily update versus continuous update of GL accounts:

The solution supports a process where the receipting of payment of funds may be de-coupled from the processing of the filing. That is to say that the work order and filings may be receipted on day one, and the financials are sent to the State accounting system at the end of the day, but filing itself can be processed at any time afterwards within the statutorily mandated period. Edits to the filing type, or to the

accepted/rejected status of the filing, can modified at any time as well.

This is made possible by the solutions ability to send update files to another system, adjusting the fund distribution between GL accounts. These files are generated with every master close out report job, and contain all modifications, either debit or credit, to the GL accounts.

The financial file export breakdown is as follows:

- Positive revenue files
  - Contains all positive credits to GL accounts that are associated with positive revenue receipted (for example, funds from payments such as cash, check, credit card, and so on).
  - Multiple files are generated for different payment types:
    - Cash and check
    - ACH
    - Credit card
- Adjustment files
  - Contains net changes to GL accounts where funds are transferred between GL accounts.
  - Generated when a transaction that deposited into one GL account was modified to deposit funds into another account, for payments from a credit account balance, for depositing rejected funds into a customer account or a general fund, and so on.
- Refund voucher files
  - Refund invoice files
    - Contains customer information and total refund amount.
    - Used to print and mail refund checks.
  - Refund distribution files
    - Contains the net deductions from GL accounts that resulted from the refund.

These files are currently exported in .csv format for transfer via SFTP or other file transfer system. However, the system can be modified to deliver this information via API. It is assumed that there will be variations in file formats between states, and the solution will be modified to accommodate as long as the file format is clearly defined by the State.

However, this assumes that the State accounting system is capable of receiving files to update the GL accounts, and that this functionality is desired. If either assumption is false, then the system will be modified to disallow modification of financial information after the initial transmit. In this case, all filings will be require to be processed and finalized before the financial information for that transaction is committed to the permanent tables, and before that data can be exported in the form of the Excel file. Functionality, such as invoicing transactions, will be unaffected as this represents new payment of funds into GL accounts, and can be transmitted on the next daily deposit file.

RTM #	Customer Payment and Accounting Processing Requirements	Yes	Customization Required	No	Alternate

CPP-5	Cash Change Drawer The system should: A. track cash change drawer additions and withdrawals by user B. track continuous balance C. provide receipt to be included in Acknowledgement of filing, to include type and amount of payment received. The bidder should describe and provide screen shots showing your system's ability to handle a Cash Change Drawer.		X		
Bidder Response: The solution features a miscellaneous receipting module. This module allows counter staff to receipt payment for filings over the counter using a modified version of the work order screen. This module currently does not track cash change drawer additions and withdrawals by the user, or track a continuous balance, however these features, and the reporting capability to support them, will be added as part of the solution modification.					

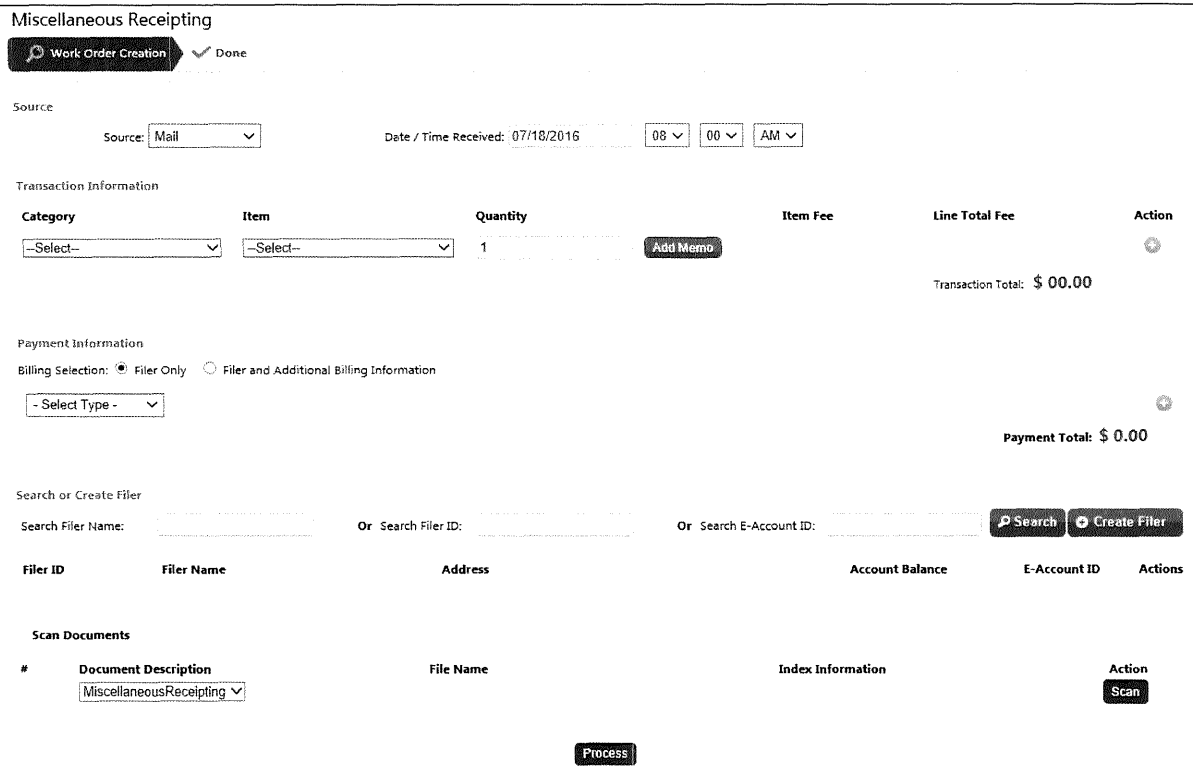


Figure 427. Miscellaneous receipting.

The solution's miscellaneous receipting module, which is a modified version of the work order screen that allows staff at the counter to accept and receipt payment for transactions, and provide receipts and acknowledgements in the same manner as the standard work order. At the current time, the solution does not track cash change drawer additions and withdrawals by user or track continuous balance, however the solution will be customized to include these features as well as all supporting report functionality.



Figure 428. Miscellaneous receipting.

PROJECT PLANNING AND MANAGEMENT, DATA CONVERSION, AND TRAINING PLAN

The contractor must assign a Project Manager who has been involved in the implementation of systems similar to the proposed system and shall provide a full Project Management Plan within ten (10) business days after the contract is awarded for review by, and discussion with, SoS.

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
PPM-1	An Initial Project Management Plan should be outlined in the bidder's proposal and should provide: A. Project Approach Statement B. Scope of Work Document C. Work Breakdown Structure D. Project Schedule E. Milestones and Deliverables Statement F. Risk Assessment and Risk Mitigation Strategies G. Resource Plan H. Implementation Plan I. Conversion Plan J. Change Control Plan K. Communication/Coordination Plan L. Project Acceptance and Signoff Form M. Project Closeout and Lessons Learned Processes.	X			

Bidder Response:
Please refer to Section i1, Project Management, in our Technical Proposal for an outline of our Initial Project Management Plan.

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
PPM-2	**Data Conversion** Conversion will be done for the following: All data contained in the UCC-Corp Database must be converted. The system must indicate which images are stored in OnBase image library, associate them with filings or cardex information in the system and retrieve them by document id number. Data and/or system information not required to be converted includes: paper filings, paper/microfilm cardex, microfiche, microfilm, cds and foreign corp books. All data contained in the AR Module and Ancillary AR Database must be converted. Refer to Appendix I - Accounts Receivables Ancillary Database, Accounts Receivable Data Fields. Additional data to be converted as designated in Appendix J – Ancillary Databases and Derived Reports, see Item #2. Bidder should propose a Conversion Plan that includes all tasks involved in accomplishing the conversion.	X			

Bidder Response:
The goal of the data migration and conversion process is to migrate the existing data from the legacy UCC-Corp Database System, Accounts Receivables (AR) Database, AR Ancillary Database and OnBase image repository provided by the SoS to the new system implemented by PCC.

The PCC team understands that data conversion is one the most important and risky activities in any large-scale implementation. The effectiveness of data conversion and migration planning and the accuracy of data import execution can make or break a project. PCC's approach to data conversion starts Day 1 with a dedicated conversion team to ensure adequate resources and priorities are applied to these efforts. We will deliver an effective Conversion Plan compliant with the above Attachment A, Form A.1, Requirements Traceability Matrix, RTM item PPM-2, Data Conversion, specification and the requirements in the RFP, Section IV, Subsection G.4, Data Conversion. The Conversion Plan documents PCC's methodology for data conversion and migration in support of SoS transition and solution deployment. The plan will provide details on the activities and processes PCC will implement for the project to ensure the integrity, security, accuracy and completeness of the migrated data in the new system. The plan will contain all functional, technical

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

and integration scope details associated with data migration and will be maintained and updated through each phase of the project. Many data conversion design and development tasks will occur in parallel with system configuration or customization to accommodate required data and record types such as entity and job records, images and scanned documents, forms and reports, templates and even other previously "unassociated" documents. PCC initiates this process early in the project and will ensure that issues that arise from the data that require structural changes to the system are identified early in the execution of the project and are managed in accordance with prescribed issue resolution processes. This allows changes to be addressed at a point when they will be less disruptive to the cost and schedule of the project. Following data migration, the PCC team will submit documentation to the State of Nebraska certifying that the system meets all requirements for data conversion and migration.

The data migration process is iterative and occurs in various phases of system life cycle implementation, including data/image acquisition, analysis, transformation and loading.

- Data Acquisition; Involves identifying databases and systems where the source records for master and transaction data reside and finalizing the specifications for extracting the complete record set or subset of data based on specific business rules.
- Data Analysis: Begins by analyzing the integrity of the data and obtaining or establishing a data dictionary. Subsequent steps include identifying gaps between the legacy and target data models and identifying count of data to be transformed.
- Data Transformation: Involves creating a data mapping document, code development for data conversion routines and cleansing the data to eliminate data errors.
- Data Loading: We load the data and images into the target database.

As part of project design activities, this draft version of the Conversion Plan will be revised and expanded to integrate the database elements. The goal is to provide a detailed approach, PCC and SoS roles and responsibilities, designs, tools, and processes required to accurately migrate the data from the legacy system to the proposed solution. The Conversion Plan, data conversion approach and designs will be submitted to the SoS Project Manager for review and approval prior to implementation.

We will implement our strategy to identify and remove any inconsistencies, inaccuracies, and gaps; create programs to enforce the edit rules of the legacy data; transform and test the results to ensure accuracy; create links for the relationships between the legacy database and the new database; create consistent formats; accommodate the various sizes, formats, and content; and load the cleansed data. In particular, in accordance with RFP requirements, PCC will associate image records with filings or cardex information in the system, and enable their assignment and retrieval by document id number and document handle number. Over the years, we have extensive experience in moving legacy Commercial Recordings and UCC data to new solutions including addressing of variety of these same data integration and association challenges. PCC assumes that the following data elements are excluded from migration to the new system: paper filings, paper/microfilm cardex, microfiche, microfilm, CDs and foreign corp books.

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

This plan describes the overall approach and processes PCC uses for data migration. It includes an inventory and cross reference of source and target data elements, images, self-describing files that have an embedded header and meta-tag information, and an overall process for data extraction, transformation and loading. Data migration and conversion will occur prior to go-Live. The converted data will be extensively tested prior to and in coordination with User Acceptance Testing activities, under Testing Plan mandates, to ensure seamless integration for system implementation at go-Live.

PCC provides the technical expertise to map data to be converted into the appropriate tables and develops technical specifications and automated routines (where needed) to address the more complex and repetitive conversion requirements. PCC's data conversion team provides the knowledge, guidance, and assistance in completing manual data conversion activities.

We assume that the State will provide resources for coordination and assistance in extracting the existing data into a uniform format that can be imported into the staging database for transformation and validation. PCC is responsible for transforming and loading the data and we will work jointly with the State to define:

- Data entities to be converted as described in the RFP;
- Historical record migration scope;
- Data extraction scripts;
- Converted data validation requirements and methodology.
- Schedule components

Data Conversion Process

This data conversion process describes the strategy, preparation, and specifications for converting data from several source systems into a single integrated system. This plan describes the overall approach and processes that will be used for data conversion. It includes an overall process for data extraction, transformation and loading.

Figure 429 illustrates the process for data acquisition and data analysis.

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

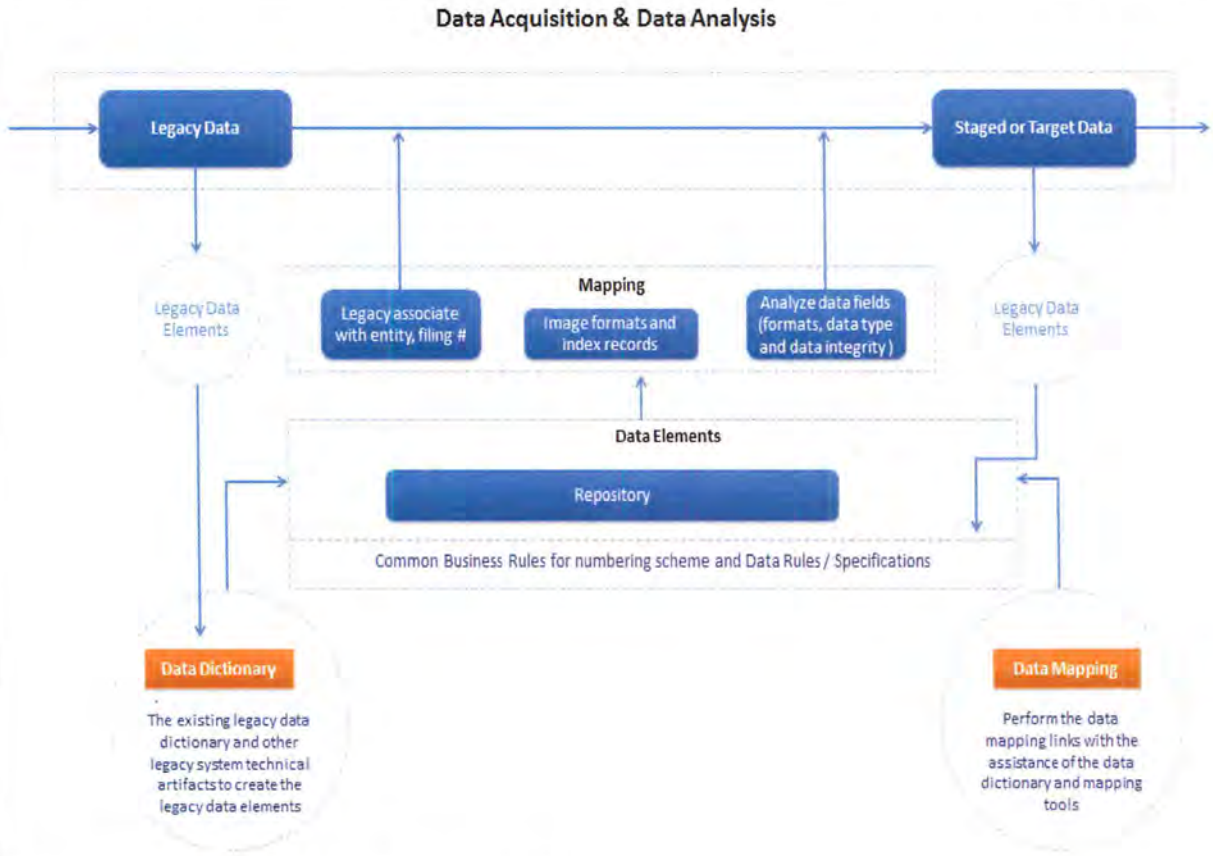


Figure 429. Data acquisition and analysis.

Data/Image Acquisition: This step involves identification of databases and systems where the sources of master and transaction data reside through finalization of the rules for extracting the whole or subset of data based on specific business rules.

1. Review the existing applications data structures and the image specifications.
   a. Review the data elements for all the conversion scope systems.
   b. Analyze the key data elements to understand the existing numbering schemes. For example: entity/registration numbers,

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

filing numbers, lien number, certificate numbers, etc.

c. Analyze the existing data fields for formats, NULLS, data type, default value, primary/reference keys and data integrity.
d. Analyze the existing image formats.
e. Any available corporation-related images that are already in a standard format will be migrated "as-is" to the proposed document management repository and the index information components in the target database.
f. Identify legacy fields that are not in use.

2. Identify source application specific master data structure to be converted and related business rules:
   a. Identify master tables and files.
   b. Identify tables and files related to history, filings, lookup, code, etc.
   c. Identify any recursive relationships.
   d. Identify existing indexes and foreign keys.

Data/Image Analysis: This step begins by analyzing the integrity of the data and obtaining or establishing a data dictionary. Subsequent steps include identifying gaps between the legacy and target data models and identifying count of data and images to be transformed.

1. Develop a data dictionary for the source data model.
2. Any legacy indexes containing non-numeric values will be cross referenced and converted into new sequential numeric indexes.
3. Develop a data transformation rules document for the following scenarios:
   a. Data type redefinitions (e.g., alphabets in dates and numbers, embedded information in codes and intelligent keys, implied content);
   b. Garbled content (e.g., multiple uses for a single field, freeform text values, corrupted data, un-initialized data);
   c. Invalid content (e.g., values out of defined range, code fields not on a valid list of values or lookup table, blank fields (optionality), inconsistent use of defaults);
   d. Context changes (e.g., import of external data, historic changes to operational parameters (system upgrades), synchronization timing of duplicated de-normalized data); and
   e. Behavior issues (e.g., variations in actual data from planned constraints of size, data type, validation rules, and relationships).
   f. Document the location and index information for all images.

Figure 430 illustrates the process for data/image transformation and data/image loading.

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

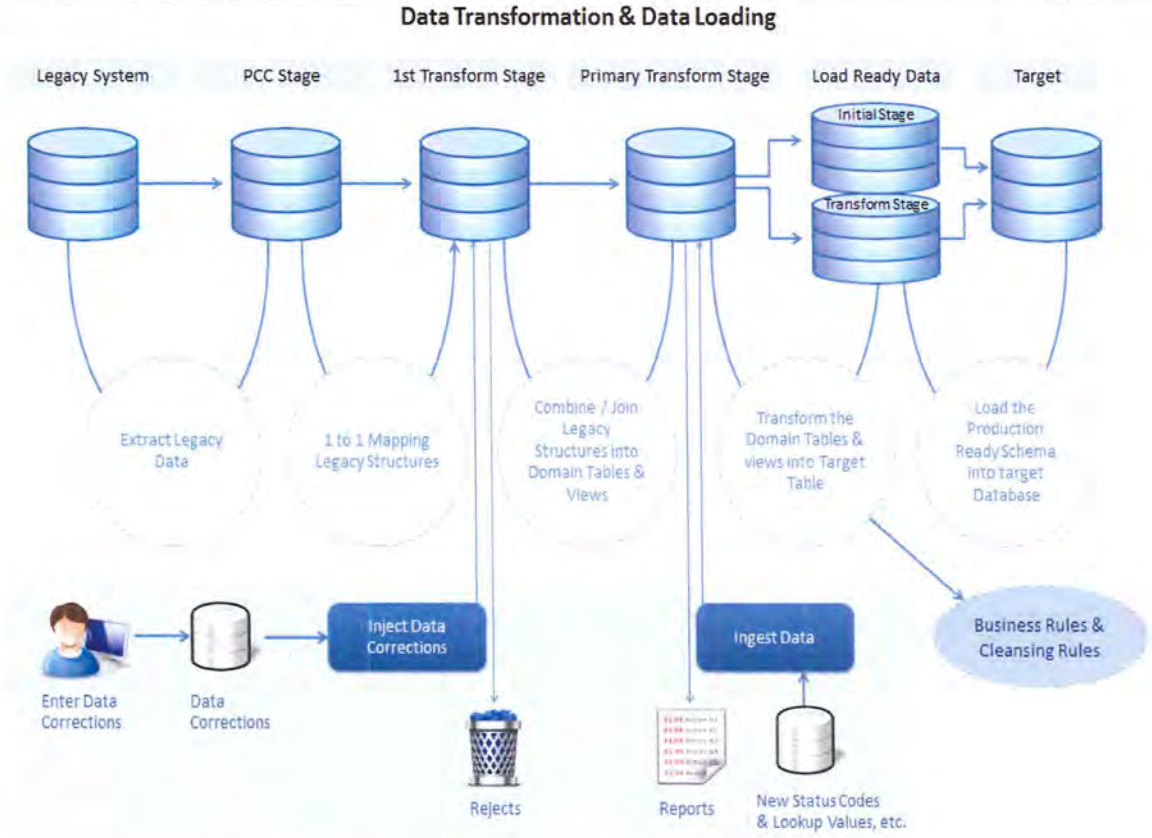


Figure 430. Data/image transformation and loading.

Data/Image Transformation: This step involves creating a data mapping document, code development for data conversion routines and cleansing the data to eliminate data errors.

1. Develop a data mapping document.
   a. Map legacy data elements, constraints, data types and relationships to the target model.
2. Establish ground rules around conversion process segments, such as:
   a. All images will be converted to a standard format during the transformation phase and will be validated for the image

quality.
   b. PCC's conversion process is performed in segments. Each segment is progressively elaborated using iterative model. The iterative model for each segment is executed in cycles for 100% data accuracy.
   c. Define the pre-requisite steps for every conversion segment.
   d. Exception reports will be generated for each cycle to handle data changes in the source system.
   e. Exception reports will be reviewed with the business stakeholders after every cycle.
   f. Updates to conversion rules.
3. Develop a conversion business rule.
   a. Develop a business rule relationship between lookup table values to the master table codes and filing table codes.
   b. Create a business rules process to format the source data.
4. Develop a transformation process to convert relational databases utilizing the data mapping and business rules document.
   a. Develop the load program to populate the target database with the extracted data.
   b. Generate reports for source data counts for every application.

Data/Image Loading: This step involves loading data and images in the target database.

1. Automate the load process from the source system to the staging database with appropriate business logic.
2. Execute conversion scripts using business rules to load the data from the staging database to the target database.
3. The converted images will be loaded into the proposed centralized InfoImage repository bulk load scripts.
4. An image viewer will be provided to view and modify any erroneous index information.
5. A data correction tool will be provided to fix the data anomalies' that are identified during the iterative conversion cycle and require manual intervention.
6. Upon the successful completion of the data load a backup of the database is created to facilitate roll-back in case of an accidental data or image loss.

A step-by-step process for data conversion is detailed below.

1. Existing scripts will be used to extract the data from the source systems such in any of the industry standard formats (SQL Server DBF, CSV, Tab or Pipe delimited) with a summary data file that includes metrics such as count, record size, etc.
2. The summary data file will be used during the conversion process to compare and reconcile results after the data load.
3. The extracted data is then loaded into a FTP folder or any available shared folder. An email notification is sent to the target audience after data is available.
4. The initial load program will load the extracted data from flat files to the staging database. This load program will have a one-to-one mapping of flat file fields to the staging database.
5. Once the data is loaded into the staging database, Microsoft .NET based programs will be used to apply the transformation

and conversion rules. An email notification is sent to the target audiences once this process starts.

6. The conversion process uses business rules, custom cleansing rules and common cleansing rules to cleanse the data in the staging database.
7. A cleansing report that details the exceptions, errors and suggestions to manual data corrections will be generated as an output of the conversion process. An email notification is sent to the target audiences once this process is completed.
8. The data correction tool will be used to correct data requiring manual updates.
9. Once data transformation is successfully completed, the data from the staging database is loaded on the target database. An email notification is sent to the target audiences after the data load is completed. Exception reports are generated and cleansing is done using automated scripts or the data entry tool where manual intervention is required.
10. Step 2 through Step 7 is an iterative and repeatable process to ensure consistency and 100 percent accuracy.
11. The data in the source system is frozen during the production pull and production conversion cycle. The production pull and cycle will be performed during late weekend hours to reduce any impacts to the legacy production environment.

PCC follows these best practices in our conversion process:

- Discover assumptions, risk and domain governance at the early stages of the data conversion.
- Proven, robust and repeatable conversion architecture using a segmented approach instead of a big-bang approach.
- Strong emphasis on documentation and review with data owners.
- Design and structure a standard format for codes and look-up values from all the disparate system to adopt single, consistent centralized solution.
- Provide a full volume mock environment for testing and reporting issues.
- All issues are tracked, monitored and resolved in the subsequent iterations.
- A manual data correction tool with audit feature is provided to fix any data and image anomalies requiring manual intervention.

Testing and Validation of Data and Images

The load program will load the data into the target database. PCC will review the data and run reports for balancing the source and target counts.

- Execute conversion reports include comprehensive statistics and details.
- Verify the data completeness.
- Execute the business scenarios using the new solution and compare the results between the legacy and the new system.

Resolution to Data and Image Errors

Data and images anomalies are tracked in PCC's Test Administration System (TAS). TAS is a Web-based tool used to report and track the status and resolution of defects, problems, issues, and technical support requests. Each issue is assigned a resolution and

status. A root analysis is conducted on each issue and the source of the error and data is identified. The possible sources include source (legacy) data, transformation scripts, staging repository, loading scripts and target database. Once a source of the issue is identified a resolution can be accomplished by any of the following options:

- Enhancing and re-running the existing conversion scripts for data correction in the target database.
- Re-load or re-running of a script if the resolution is identified as a script error.
- Re-load or re-running of a script to resolve a specific group of data in which case the data already converted with errors is replaced.
- A data correction tool is provided to fix the data anomalies that are identified in the target database that require manual intervention.
- A provision to re-index the incorrect mapping of images in the target database.
- Manual insertion of images with anomalies.

Identify and Resolve Missing Data

Missing data are identified during the data mapping process, where a table or field in the data model does not have an identifiable source from the legacy application or vice versa. The identified missing data are populated during the data load using corresponding mapping tables or using data manipulation scripts to fit in the required format. Standard guidelines will also be developed for all missing values with related resolution.

Existing Data and Image Transition Process

PCC will work with The State to develop a written tactical transition plan that includes; data validation, image validation, error handling and response, system acceptance and testing of the converted data/images in the new system. Our implementation for The State is a traditional data conversion environment where data will be pulled from multiple sources to a single integrated database.

Data Conversion Strategy

The migration effort goes through a three-pull strategy. This involves extracting the data from the current databases in three pulls with each subsequent pull resulting in cleaner converted data.

Initial pull: We use the extracted data to analyze the current data structure and format and develop conversion routines as well as other management scripts. These management scripts are used to reconcile record counts between the source data and the converted data. *Exit point/Milestone:* Data Mapping Document.

Interim pull: During the second pull, extracted data is used as the source data for the conversion routines that have been developed. The converted data is analyzed for structure and format and its adherence to the target data model.

Errors reported during this pull are resolved by one or more of the following methods:

- Change the data type or structure of the error fields
- Assign default values while converting for nonexistent fields in the source

Conversion scripts go through an iterative process of refining and testing the data that is run through them. This iterative process results in high accuracy of the converted data. After the client accepts the converted data, this pull is complete. We recommend a user acceptance test of the converted data by connecting it to the testing/staging application to make sure that the converted data flows seamlessly through the application. *Exit point/Milestone:* Production ready converted data.

Final pull: Extraction of the data in the third pull happens after successful user acceptance testing and before the go-live of the new application. Once the data is pulled, we recommend that the existing system be taken down to prevent loss of data that might be entered while converting the pulled data. After populating the production database, additional cleanup scripts and management scripts are run to reconcile the source and the converted data. *Exit point/Milestone:* Population of production system with converted data.

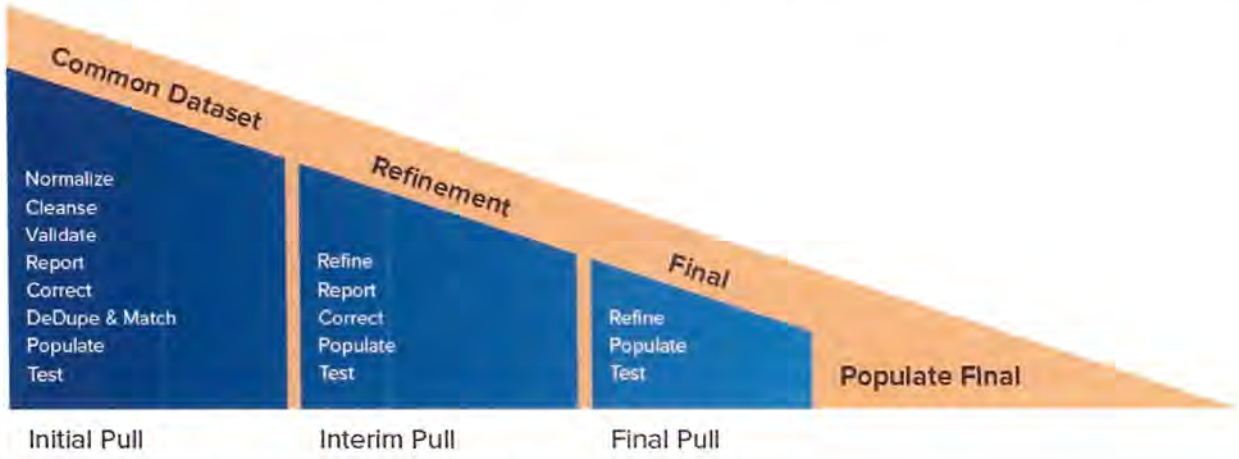


Figure 431. Data conversion three-pull strategy.

Data Conversion Tools

PCC will use a set of proven and evolved conversion tools to track, document, manage and execute the conversion process. The following tools will be used during the conversion process.

- Testing Administration System (TAS) – Issue management system to track and manage conversion related anomalies and

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
	issues and related resolutions. • Standard conversion scripts – Built from previous similar implementations, these scripts address over 75% of the steps needed to convert the data. • Standardized extract templates – These Excel templates define data requirements for most conversion entities, reducing the effort to map data across by 50%. • Customize interoperability scripts – This program, which consist of batch processing and copy/paste capabilities reduce custom development of routines by over 75%. In addition to the above, PCC proposes to use the SQL Server's SSIS Data Quality Services (DQS) Data Cleansing Process which includes the following: • Identifies incomplete or incorrect data in the data source (Access file and SQL Server database), and then corrects or alerts the user about the invalid data. • Provides two-step process to cleanse the data: computer-assisted and interactive. The computer-assisted process uses the knowledge in a DQS knowledge base to automatically process the data, and suggest replacements/corrections. The next step, interactive, allows the data steward to approve, reject, or modify the changes proposed by the DQS during the computer-assisted cleansing. • Provides a simple, intuitive, and consistent wizard-like interface to the user to navigate data and inspect errors amongst a very large set of data.				
PPM-3	A Training Plan, including training schedule, will provide for: 1. user training for SoS staff and administrators 2. technical training and documentation 3. provision of a User Manual 4. additional training for SoS users when services are enhanced or modified. Bidder should outline and provide a Training Plan.	X			

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

Bidder Response:

Training Plan

The Training Plan provides a roadmap of the detailed schedule, objectives, and key deliverables associated with training on the new proposed Business Registration and Filing Solution. PCC defines the approach that we will take in order to develop and deliver system and business process training for The State, as well as describe how our systematic training approach and methodology supports the transition to the new system. We will also provide training on new processes based on the requirements analysis and communication strategies for implementing associated organizational and/or process changes and addressing potential knowledge gaps. We monitor and assess the training throughout the training process, and conduct post-training evaluations to ensure that the users are performing at the expected levels. The Training Plan also documents PCC's strategy for potential training of end users in response to future organizational, process or functional changes impacting user operation of the system. The Training Plan incorporates the requirements in RTM item PPM-3 requirements above and in the RFP Section IV, Subsection I, Training.

The scope of the training effort is to provide the skills, knowledge, and abilities necessary for the SoS to effectively operate the BSFS. We assume that users already have basic computer skills so we can immediately begin teaching them how to use the system in addition to any modified policies and business procedures associated with solution functions. Combined with cultural change management efforts, PCC's goal is to provide users the knowledge, skills, abilities and attitudes necessary to perform their job tasks in the new proposed solution before the system in placed into production. Training will include two or more focused instruction sessions for each user role (for example, managers, administrators, process area users) covering all functional operations, workflow, accounting and reporting processes for the deployed Modules (UCC/EFS/AR/ Master Lien List, Corp and, if requested, Notary/ eNotary). PCC also provides user manuals, formative evaluations (for end of lesson evaluations and tests), job aids, handouts, references, and account sheets to support exercises in the user manuals, all of which will be available for electronic access by SoS staff. User manuals will be submitted to the SoS project manager for approval prior to use in training sessions. PCC will plan for approximately 20 training participants for each module as mandated in the RFP Section IV, Subsection I, Training, with approximately eight SoS administrators requiring additional specialized instruction. Our Training Plan will also address post-implementation instruction that will be provided when the system functions or processes have been modified, including refresher training on baseline and/or enhanced functionality.

We base our training plan on our understanding of the current- and future-state environments, as well as on our Systematic Approach to Training (SAT); we have successfully employed this plan in several other large-scale implementations. We customize our training programs and modules to meet the needs of individual user groups as determined through stakeholder and user need assessments and work closely with the stakeholder groups to review the approach in order to complete the activities.

The Training Plan is finalized during Phase 2 of our Implementation Plan (see PCC Technical Proposal, Section I.1.8, Implementation

Plan). The SoS project manager, with stakeholder support, reviews, provides feedback for, and approves the Training Plan.

Systematic Approach to Training

We use SAT to deliver high-quality training programs that drive overall project success. SAT is a method of designing, producing, evaluating, and maintaining instructional programs for education and training. This approach is strongly rooted in basic systems analysis and systems engineering concepts. It employs a series of orderly, logical, interrelated steps to produce training that is efficient and effective in preparing those who complete it with the skills, knowledge, competencies, and attitudes essential to the performance of a job.

With SAT as our approach, we use a process called ADDIE to develop our five-stage training program. ADDIE means analysis, design, development, implementation, and evaluation.

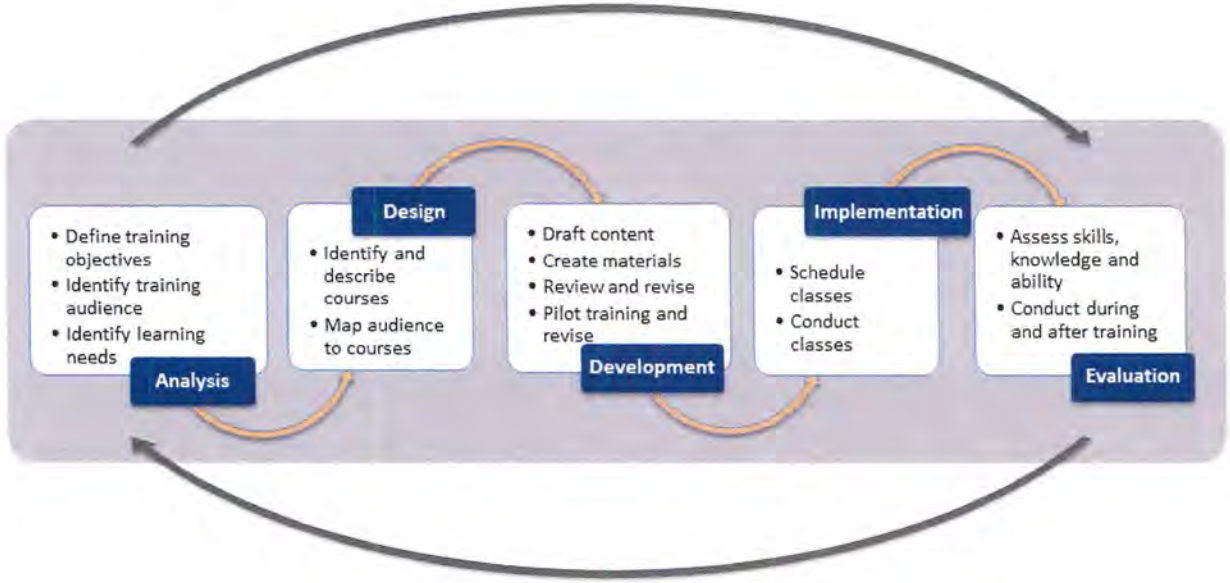


Figure 432. The ADDIE Process. The *ADDIE Process includes five stages, and we follow this approach in order to develop a comprehensive training program that best allows us to train the SoS internal users.*

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

The ADDIE process includes five stages:

- **Analysis** – Identify training needs, define the target audience, describe the tasks of the target audience, and define the expected outcomes of training. Break down the job into duties, tasks, steps, knowledge, and abilities (skills).
- **Design** – Define the framework for the training. Develop objectives; develop formative evaluations, such as writing test items to evaluate the learner's understanding throughout training; determine training setting; define media for instruction; and design and sequence training curriculum.
- **Development** – Create the lesson plan, instructor materials, and student materials. Define instructional methods and media in addition to the sequence of the training program. Trainer and student materials include manuals, handouts, job aids, and any other materials necessary to support the training implementation.
- **Implementation** – Execute the training. The logistical arrangements for training, agenda and training environments are established. Training is conducted to develop and practice skills. Evaluations are performed to gauge the learner's understanding of material.
- **Evaluation** – Continual process of feedback incorporated into each stage, referred to as formative evaluations, and post-training evaluations, called summative evaluations, to measure success. Evaluations determine if objectives were achieved and provide feedback for improvement and remediation. This stage also includes maintenance and other ongoing training activities.

Table 2 depicts a high-level summary of the activities and deliverables that PCC will provide to the SoS.

Table 2. **Training Activities and Deliverables.**

Phase	Key Activities	Key Deliverables
Analysis	• Identify training audience • Define training objectives through discussions with The State' project team • Assess the needs for the roles through review of impacts, existing documentation, and interviews	• Stakeholder identification • Training needs assessment
Design	• Assess and select design and delivery methods • Develop learning objectives for each module and job task	• Design document (courses, curriculum outline, delivery methods, etc.)

RTM #	Project Planning and Management		Yes	Customization Required	No	Alternate
	• Describe resources, structure, and methods used to develop skills, knowledge, abilities, and attitudes of students • Define the methods of assessing learning and success criteria • Establish course durations and prerequisites • Define exercises and activities	• Templates for training materials • List of training environment account conditions • Formative test evaluations • Refined training plan				
Development	• Develop training materials, lesson plans, and training class schedule • Secure resources • Prepare and test training environment • Conduct pilot and/or train the testers • Evaluate training and revise materials	• Training materials for stakeholders—manuals for each module, job aides, evaluations, etc. • Tested training environment • Account sheets for user lab exercises • Schedule				
Implementation	• Schedule training • Training preparation • End-user training and performance evaluations • Refine materials and support changes	• Finalize training schedule • Training and course evaluations • Results of user evaluations • Revised training materials				

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
Evaluation	• Define quality assurance and evaluation tools (summative evaluations) • Conduct and review on-the-job user evaluations • Incorporate feedback into training materials • Training remediation, if necessary	• QA scorecard and performance evaluation results • Finalize training materials			

Training Specifics
We design our courses in a modular format by grouping the content into manuals based on the job tasks. We sequence the curriculum so that module prerequisites are identified and courses are cumulatively built to form effective training courses. To ensure that content is retained, we reinforce relevant content in each applicable module. Reinforcement practice is done through learning exercises during the class and may also be added as needed.

Training Materials
All training will be conducted by PCC trainers. During Phase 2 of the Implementation Plan, they will develop and update the following materials for training.

- Training Manuals
- Formative Evaluations (end of lesson evaluations or tests)
- Job Aids, Handouts, References, etc.
- Account sheets or cards to support exercises in the user manual.

Additionally, presentations, workbooks, self-study tutorials, or other tools may be created to supplement or in lieu of the aforementioned materials. Our team identifies the specific materials and media used for each module in the final Training Plan. In addition, we select the media and method based on the complexity of the content and the stakeholder needs assessment.

The SoS project manager will review and approve the training materials. Changes can be made, if necessary. The trainers provide the materials in the classroom as well as online. The online manuals are search enabled so that users can easily find answers to questions.

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

Learning Exercises
Our trainers typically give a written or verbal overview of the process, a demonstration of the steps to perform the process, and then assistance in the participation practice. We establish a training environment with the explicit purpose of allowing users to perform online training scenarios.

Pre and Post Evaluations
Before training begins, the users are given an evaluation to see know knowledgeable they are. When the training is finished, we execute a post-training evaluation to ensure that the users learned everything they are expected to know for their normal job duties.

Specific Training Needs by Group
The following table is a sampling of course subjects PCC will cover for UCC/EFS module (including, UCC/EFS/AR/Master Lien List functions) and Corp module end users. PCC will work with the SoS project manager and stakeholders to tailor the training content and covered subject areas for State of Nebraska needs. Upon completion of the UCC/EFS module training, participants will be able to search, record actions, process and record subsequent actions in the work flows, store, and retrieve information and documents related to filings for UCC, Statutory Ag Liens, Judgments, and Tax Liens, as well as EFS liens and the Buyer Registration and Master Lien List. Additional system functionality will be reviewed including: creation of notifications, calculation, collection, splitting fees, balancing, reconciliation, and deposit processing for accountant, setting up, invoicing, and collection of payments from billable accounts for searches and copies, and tracking and reporting information. The Corp module training will cover the ability to search, record, store, and retrieve information and documents related to business entity registrations and other filings. Corp module training will also enable users to create and deliver notifications, calculate, collect and split fees, balance, reconcile and make deposits ready for accountant, invoice customers for certificates and copies, and track and report information. All training will include problem resolution and troubleshooting strategies and processes specific to the covered course subject, including definition and interpretation of error messages.

Table 3. **Training Course Examples for UCC/EFS and Corp Module End Users.**

Course Subject	Description
Module (UCC/EFS, Corp) Overview	The initial system orientation including: navigation, functions, capabilities, constraints/limitations and components; system login and security; common module processes; and system help features and help desk resources and processes.
Working with Work Queues	Training for working with queues is a prerequisite to training for all application users. The module is an introduction to the Business

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
	Services Filing System, including an overview of accessing the system, functions and features, search, navigation, and using work queues to process job tasks. Includes accessing work items in queues and indicating action taken to resolve queue items (reassign, close or complete, follow-up, and so on).				
Work Queue Management and Reporting	This module covers the administrative and supervisory roles to manage user work. The solution utilizes an electronic, configurable work queue component where the workload can be divided, automatically assigned, and routed based on the document type, security role, business rule, or volume of work. The electronic work queue can process the documents in a sequential manner based on the submission date and document type. The work queue can be configured to support multi-review processes. This module illustrates how to configure the review and work assignments, generate reports based on the work queue, and manage how the work queues divide and route information based on security roles, business rules, and volume of work.				
Common Module Processes	Orientation and hands-on execution instruction for common module processes. This includes processing of: Formation Documents; Amendments and Corrections; Renewals; Mergers and Conversions; Dissolutions and Revocations; Reinstatements and other functions associated with business entity registrations and filings, UCC filings, and EFS. Search, retrieval, recording and storage of these records is also covered. Additional details in these areas are also included in some of the special focus courses below.				
Information Statement Filing	Training will cover filing of information statements.				
Filings Work Flows, Actions, Correspondence and Fee Processing	Covers specific work flows for filings received via walk-in, mail-in, filed online, or Document eDelivery with staff review processes. Filing actions and correspondence instruction includes: filing generation, distribution, storage, search and copy functions; fee processing; charge account creation and configuration; customer notification creation, generation and delivery; processing of electronic filing agreements; fraudulent/Bogus filing procedures; cash change drawer functions; and				

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
	generation of barcode labels for scanning and integration with OnBase images and document retrieval functions in BSFS.				
UCC/EFS Module-Special Reports and Functions	Covers processes to register quarterly buyers; Daily transmissions of select filings to counties; Monthly Termination Listing Report; County Tax Credit Statement Report; ACH- and IBT-related accounting functions; UIN; redaction of images; buyer list registration; and Master Lien list functions (e.g. receipt fee processing, Master Lien List access and updates).				
Trademark/ Service Mark Registration and Filings	Training covers the processes to support registration of a trademark or service mark, or to renew a trademark or service mark that is scheduled to expire.				
Apostille Filings	The training will cover processes associated with Apostille filings; such as issuing a certification, or apostille, for a notarized document going to a foreign country, issuing certifications and apostilles for other public documents issued by government agencies providing a certificate of appointment and so on.				
Service of Process Filings	Training covers the service of process filing activities, such as filing documents, running inquires and reports, and providing certificates of evidencing service.				
Copy Requests (Regular/ Certified)	Training covers activities to process a request for regular or certified copies of a document or instrument				
Facsimile Filings	Any authorized officer may file a signature with the Secretary of State. After the authorized official submits the signature under oath, the facsimile signature may be executed in lieu of the actual signature. Training will cover all processes associated with this request.				
Application Reporting	This training course is geared toward users who are responsible for financial reporting associated with the system. These users will learn the processes to generate the defined reports and reconcile financial reporting.				
Business Search	Training will cover functions associated with conducting business				

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
	searches and name availability.				
Certificate of Good Standing Filing	Training covers Certificate of Good Standing filings, including conducting a Tax Compliance search, generating a certificate with watermarks and a tracking number, etc.				
Biennial and Annual Report Filings	This module covers all processes related to Biennial and Annual Report Filings (processing customer filings of reports and other supporting documents, searching for reports, etc.).				
Domestic/Foreign LLC Filings	The training will cover all processes related to LLC filings (profit, non-profit, domestic, and foreign); for example, searching for filings, recording the names and addresses of the managers or managing members, articles of organization, and so on.				
Domestic/Foreign LP, LLP and LLLP Filings	The training will cover all processes related to LP/LLP/LLLP filings (profit, non-profit, domestic, and foreign); for example, searching for filings, recording the names and addresses of the managers or managing members, articles of organization, etc.				
Domestic/Foreign Profit and Non Profit Corporation Filings	The training will cover all processes related to corporation filings (profit, non-profit, domestic, and foreign); for example, searching for filings, recording the names and addresses of the managers or managing members of these corporations, filing articles of incorporation, and issuing a certificate of incorporation.				
Reservation Filings	This module covers the process to handle reservation filings, including reserving names and transferring name reservations.				
Merger Filings	Training will cover all processes related to mergers, such as filing articles of merger, consolidation or exchange, issuing a certificate of merger, fee consolidation or exchange.				
Dissolution Filings	The module introduces the dissolution processes, including processing articles of dissolution, statement of intent to dissolve, Application for Tax Clearance for Dissolution/Withdrawal, and so on.				
Amendments	The module introduces the Amendment processes, including processing amendments to business filings, filing articles of amendment, and issuing a certificate of amendment.				
Notary Public	This training course covers notary public filings, including activities to				

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate

Filings	file or renew a notary public commission.
Registered Agent Filings	This module covers activities related to Registered Agent filings, including searching for registered agents, associating the registered agent to a business entity, and maintaining the address of the registered agent.

Table 4 is a sampling of courses we will provide SoS administrators.

Table 4. **Training Course Examples for SoS Administrators.**

Course	Description
Database Backup	Data backup and recovery protects against accidental loss of data, corruption, and hardware failures. Training will cover the process to backup and restore the database for database administrators.
Application Backup	Application backup training will cover the process to backup and restore the application structure for system administrators (to prevent against failures, corruption, and so on).
Deploy patches to the servers	Training will demonstrate the process to deploy software patches to the server when updates are released to The State.
Application deployment	Administrators will learn the process to deploy the application to new users/desktops.
Manage User Information	Maintenance of application users includes providing system access, modifying user roles, removing access, policy changes, rule updates and other activities associated with ensuring the proper personnel has the appropriate system permissions to perform job functions.
Work Flow and Performance Management	Covers workflow management, assignment, tracking and performance reporting with special functionality for administrators and managers. This includes historical tracking functions and configuration of work flows and processes, as needed.
Resolve Browser compatibility issues	Administrators will learn to check for browser compatibility and troubleshoot common browser compatibility issues.

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
Setup printers	This training covers the steps to set up printers and related settings for the system application or resolve issues with printing from the Business Services Filing System.				
Configure and Monitor Batch Jobs	Trainees will learn the tools and processes to monitor the system's batch jobs and configure batch job settings.				
Reconcile the daily external interface calls	Training will cover the process to reconcile interface calls (where applicable), for activities such as payments.				
Managing Work Queues	Trainees will learn how to change the work queues in order to route the work to other users.				
Configure Templates	The trainers will show trainees how to configure the templates that are used for sending correspondence to users.				
Maintain Business Rules	Business rules are configured by the IT staff and are used to drive how the solution operates.				
Configure Correspondence and Reminders	This training covers how notifications and reminders are sent to users.				
Ad-hoc Query Tool Maintenance	Trainees will learn how to create ad-hoc reports and maintain those reports for future use.				
Report Maintenance	This training will cover the various reports that users can run and special report generation and customization capabilities for system administrators, SoS executives, and managers.				
PPM-4	The contractor is responsible for end of contract activities at the completion of this contract to ensure that the transition to the successor contractor or the State occurs smoothly and without disruption to the State. End of Contract Transition activities will include planning, timely transfer of data, and documentation specifically for Nebraska. Bidder should provide a detailed Transition Plan.	X			

Bidder Response:
PCC has extensive experience in successfully transitioning operation and maintenance of systems we implement to government organization staff and other contractors, if requested by the State. PCC provides a detailed Transition Plan that, when implemented, will ensure a smooth, non-disruptive transition of system operation to the State of Nebraska and/or contractor staff at the end of the PCC contract. The transition period will not exceed 180 days from expiration or termination of the contract. The Transition Plan may be modified throughout the project based on State of Nebraska reviews and/or changes in priorities impacting the plan.

The Transition Plan implements actions addressing end-of-contract transition requirements into project knowledge transfer and training activities including planning, data transfer and all supporting documentation. The key objective of the Transition Plan is to enable the SoS to effectively operate and maintain the implemented system without adverse impact to system users. Our comprehensive and effective approach will allow the SoS to continue to capitalize on the successful system implementation whether or not PCC staff continue to be responsible for system operation and maintenance tasks.

The Transition Plan mandates that all documents, reports, source code and data associated with potential end-of contract transition be stored in the central project data repository and knowledge base used for all knowledge transfer activities. So, the SoS will have continuous access to these materials even prior to potential transition events.

PCC will provide analytical, technical or other professional support to the SoS to assist in transition efforts. Our staff will work directly with designated SoS and/or contractor staff in scheduled sessions where SoS administrators will view and participate in the execution of key system operation, administration, configuration, maintenance and security functions. PCC will assist the SoS in understanding the system functions, technologies, data and processes needed to assume operational responsibility for these areas.

As a key component of these efforts, PCC will provide an overview of system-related documentation to designated SoS and contractor staff. All processes are well-documented in user and technical manuals and on-line help functions, including complete technical, database, application and end-user documentation. The documents provide sufficient technical detail, but are also written in understandable language such that users can easily become familiar with the system. While these information resources will be tailored for supporting the proposed solution, a significant amount of the content in these documents has been used successfully in previous, similar implementations and provides SoS staff and contractor administrators and users the ability to fully operate and maintain the system, develop additional functionality and upgrades and provide user training. Key document resources are listed in Table 5.

Table 5. **Business Services Filing System Documentation.**

Business Services Filing System Documentation	
System User Guides	User guides will be provided for each system module. These guides are developed from the detailed system specifications and provide descriptions of the functional capabilities of each subsystem, including details on the proper use and operation of transactions, inquiries, and reporting facilities.
System Installation Manual	This document gives in depth information regarding the client desktop, the application, and the database server. For each component, information is provided regarding the hardware and software requirements along with detailed installation instructions.
System Workstation Operators Guide	This document is a quick reference manual describing how to use the system. It provides examples and illustrations of screen and report formats. This document is written with the assumption that the reader is familiar with the system operation. It describes the general use of codes, data element definitions, on-screen help, windows, menus, and so on.
System Backup Procedures	This document includes information about creating a domain, installing backup hardware and detailed instructions on how to create a backup. These instructions include information on how to schedule and script a backup and how to retrieve information from backup tapes.
System Administrator Manual	This document provides detailed information on system security, such as how to set up and manage operator passwords and authorization tables.
Other Documentation	Entity Relationship Diagram that describes data relationships Data dictionary Module descriptions Data flow diagrams, including all modules Network diagram Server and client hardware requirements Software licenses and maintenance contracts

Form A.2

Optional Features Matrix (OFM)

Request for Proposal Number 5301Z1

Each of the items in the Optional Features Matrix in the table below allows a response of one of the following options: "Yes", "Customization Required", and "No". If offering any of these optional features, bidders should respond to the Optional Features Matrix using the matrix format.

The OFM offers the bidder an opportunity to describe how their product can provide any of these features as part of their proposed solution and/or integrate such features at a later date.

The Bidder Response box should be completed if the response to the feature is "Yes" or "Customization Required". **Bidders should provide responses directly in the matrix, using as much space as needed.** Below is a brief definition of each response option.

Yes	Yes, feature is available and demonstrable in the current release of the proposed solution in the bidder's response to this RFP, without manipulation of fields, forms, or the need to add fields or tables to the system.
Customization Required	The feature is not currently included in the proposed solution but the requested functionality can be provided with some customization to fully meet the request.
No	No, the bidder is not offering this feature currently nor in the future in conjunction with this proposal.

OFM	Optional Feature	Yes	Customization Required	No
Notary/ eNotary	**Notary/eNotary Public Component** See Appendix C - Statutes and Rules & Regulations regarding Notary Public, Appendix J – Ancillary Databases and Derived Reports, Optional, #1 which contains data definitions from the current Notary Public System. See Legislative Bill LB465 for eNotary Public details. New rules & regulations will also be drafted to support the details for this new legislation. Bidder should describe the Notary/eNotary component/module of your system and how it works with the proposed BSFS. Describe how you would integrate, configure, and convert existing notary information to include your Notary/eNotary module in the proposed BSFS.	X		

Bidder Response:
The Notary/eNotary module provides the ability to process all standard notary filings:

- Applications
- Renewals
- Amendments
- Certified copy requests

The module also provides all functionality to support the maintenance of eNotaries, and integration with eNotary solution vendors

- eNotary commission enhancement applications
- eNotary renewals
- Solution provider tracking
- eNotary exam tracking
- Training cycle (refresher course) tracking with automatic reminders
- Exposed API for real-time verification of eNotary status by authorized eNotary solution provider entities

The module would be integrated such that it is accessible to users with the appropriate role privileges from the same dashboard as the business and UCC filing functionality. The Notary/eNotary module would maintain its own work order, process flow and financial reports distinct from the other two modules. Integration of all financials and work queues can be performed at additional cost.

Existing notary information would undergo PCC's thorough analysis and data migration process and be brought into line with the

OFM	Optional Feature	Yes	Customization Required	No

modules data normalization scheme to the degree that is possible. Please note the following requirements in regards to the module:

- The solution requires that a unique identifying number, known as a commission number, be issued to all notaries in the State. This number ensures proper historical tracking and allows the system to enforce logical business rules regarding filings of renewals and amendments.
    - The commission number is generated by the system each time a new notary application is filed.
- The solution requires that the State allows commissions to be linked historically. This allows members of the public to view an individual's complete history as a notary in the State. The commission number will be maintained throughout multiple commissions.
    - This means that upon renewal, the system will issue a new commission, but it will be historically linked to the previous one, and be associated with the same commission number.
    - Commission numbers can be changed, though this should be done only in extraneous circumstances. The system provides association to the previous commission number.
- Legacy records
    - If a historical association between subsequent commissions was not maintained in the legacy system, then the records will be migrated as-is, with unrelated commission records. However, all time-forward commissions created or renewed in the new solution will maintain a multi-commission history.

The eNotary support functionality requires that the State update its statutes and processes in order to accommodate the latest standards for eNotarization. The PCC solution was developed using the standards recommended by Worldwide Notary and DocVerify, two prominent eNotary service providers. If the State chooses to go with a different set of standards regarding how eNotary commission enhancements are applied to traditional notary commissions, the refresher course training requirements and the exam tracking requirements, then the application will have to be modified at additional cost.

OFM	Optional Feature	Yes	Customization Required	No

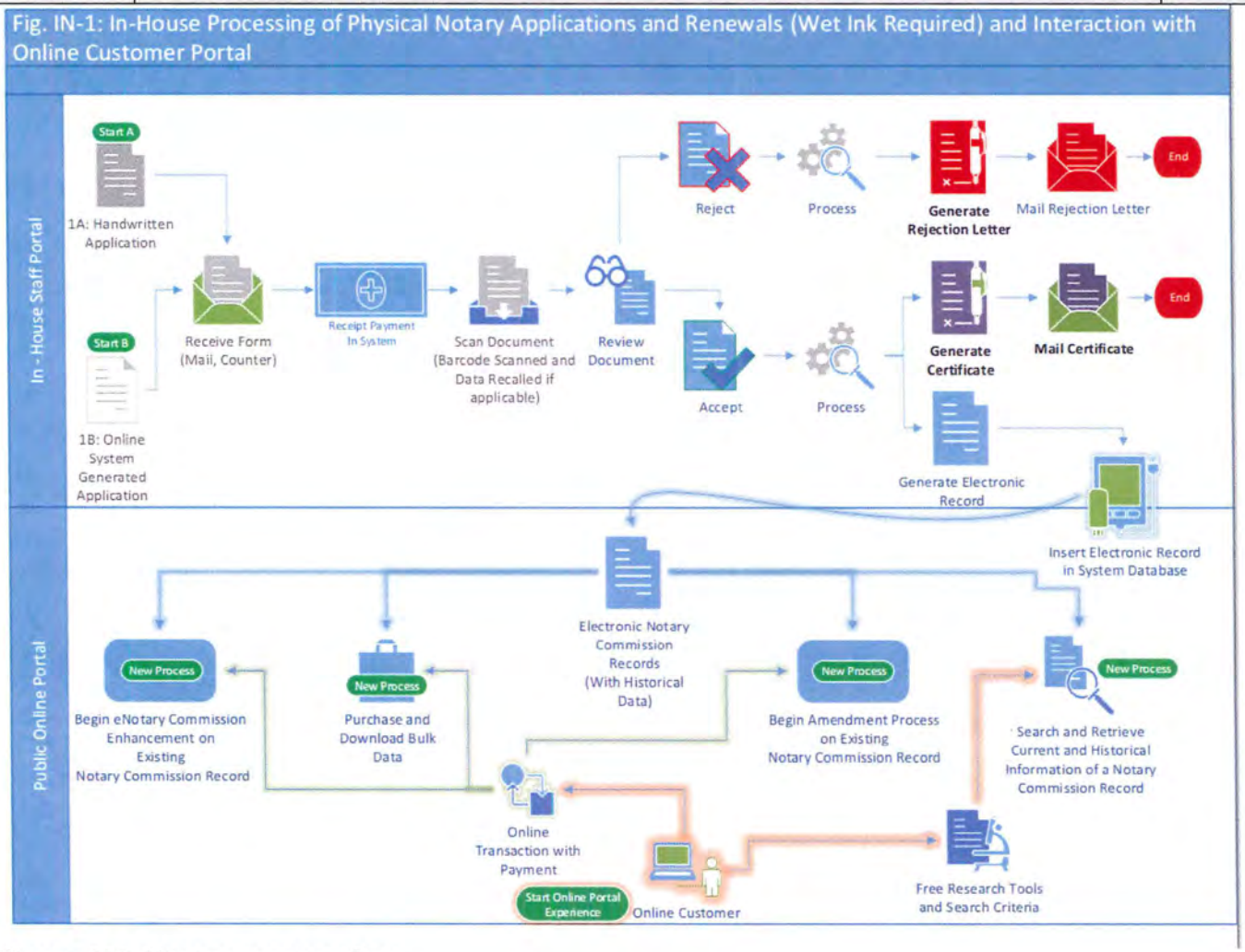


Figure 433. Notary process flow.

OFM	Optional Feature	Yes	Customization Required	No

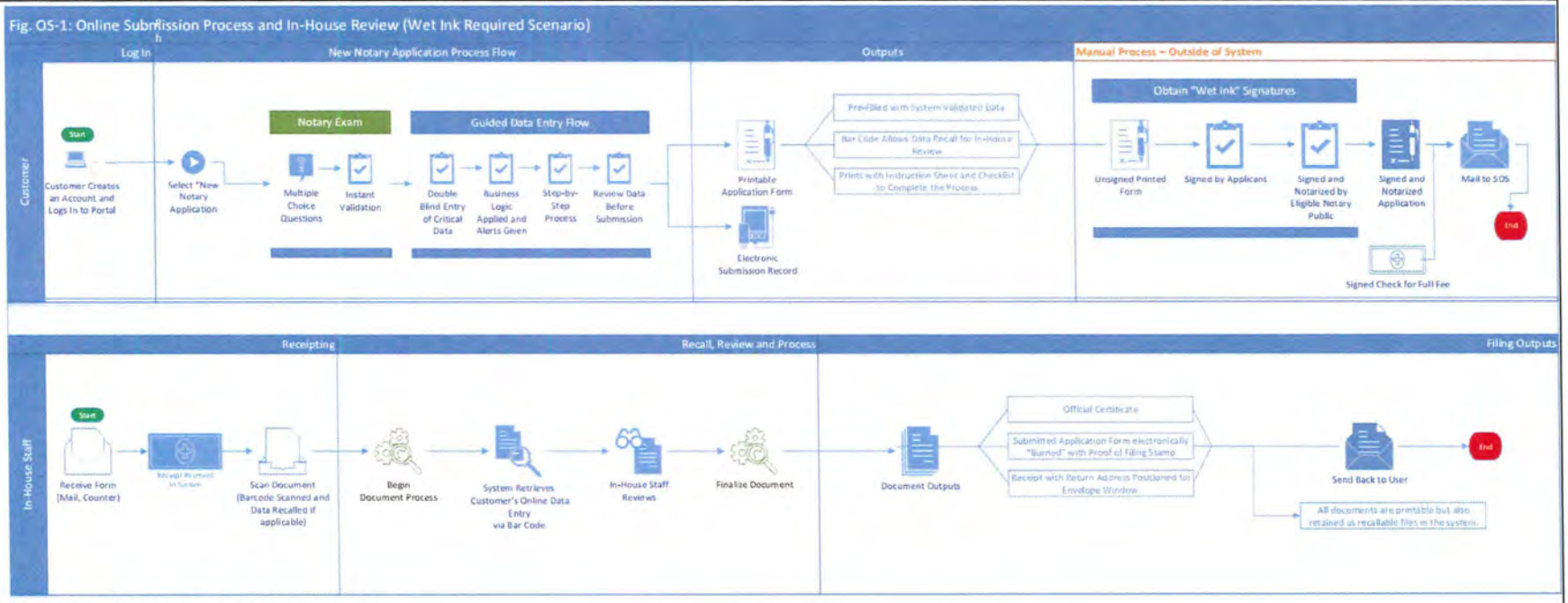


Figure 434. Notary process flow.

Online login:

In this process the public user will enter their user ID and password to login into the system.

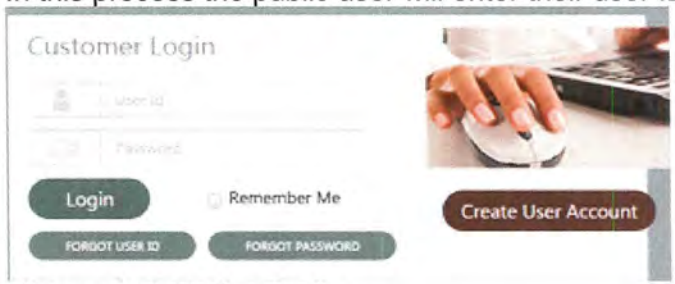


Figure 435. Online login.

OFM	Optional Feature	Yes	Customization Required	No

1. User enters user name and password into the provided fields.
2. User clicks "Login" and the system navigates to the online dashboard.

New notary application:
The new notary application flow allows a public user to electronically fill out and print a new notary application. The public user will then complete the form by having it notarized and then send form to the SoS. No records will be created in the database until it is filed by the State. There is no fee to fill out the form online.

1. Online dashboard
   User selects the New Notary Application filing from the Notary Public menu.
2. Instructions screen
   User reads the instructions and filing requirements.
3. Processing screen
   User enters their information.
4. Review screen
   User reviews the information entered and submits the information.
5. Completed screen
   User prints the system generated outputs: a pre-filled filing form and an instruction sheet.

Online dashboard:

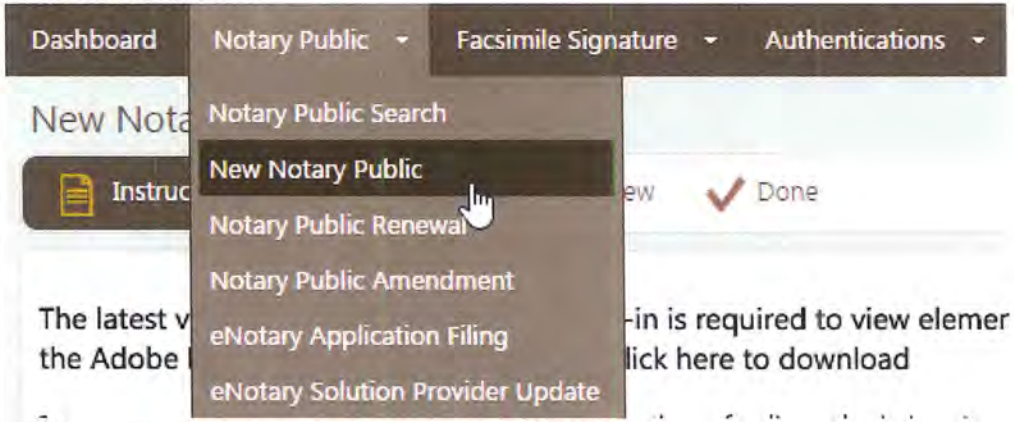


Figure 436. Online dashboard.

1. Select the New Notary Public menu item in the Notary Public menu.

OFM	Optional Feature	Yes	Customization Required	No

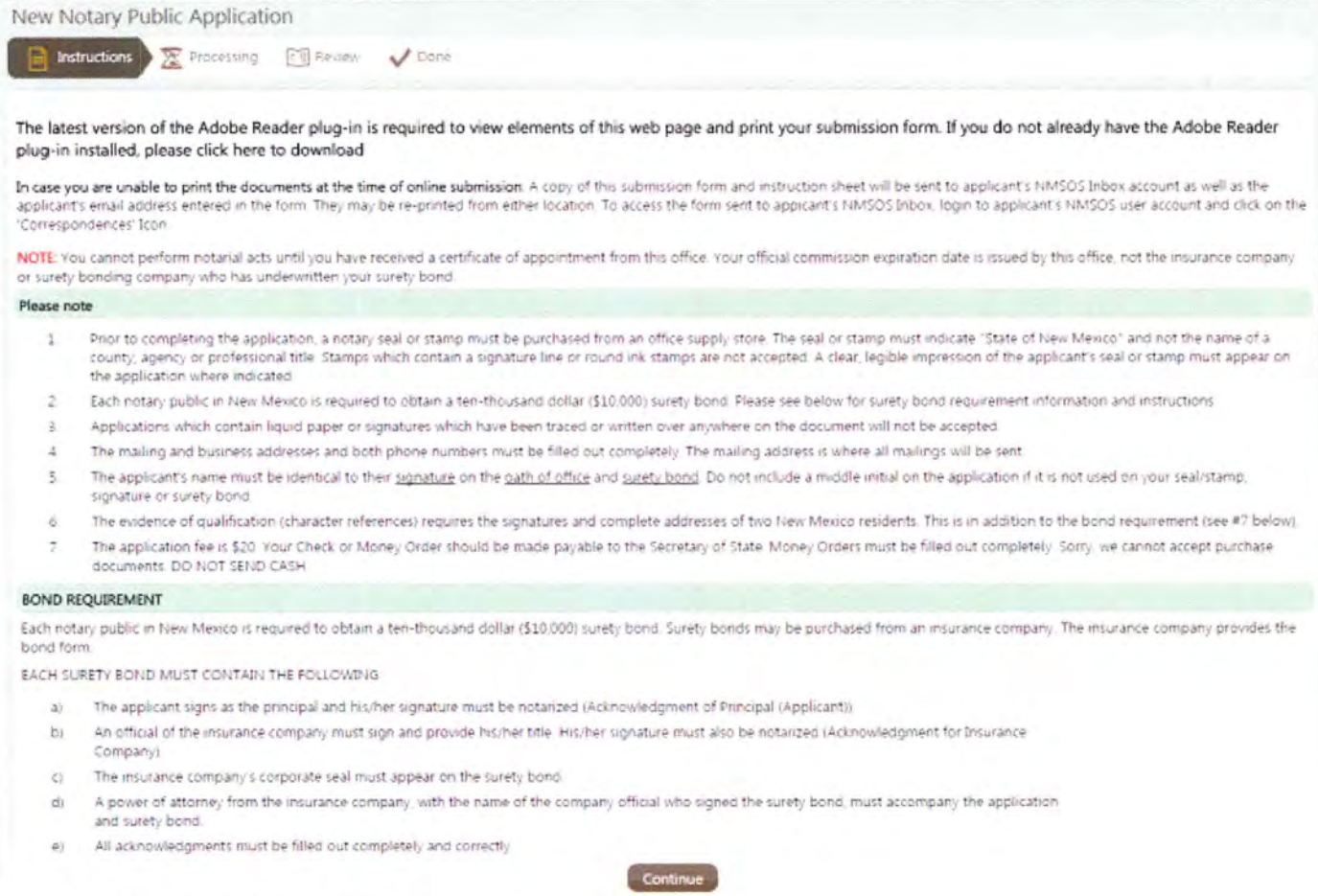


Figure 437. Instruction screen.

2. Read the instructions and confirm all requirements have been met.
3. Click "Continue."

OFM	Optional Feature	Yes	Customization Required	No

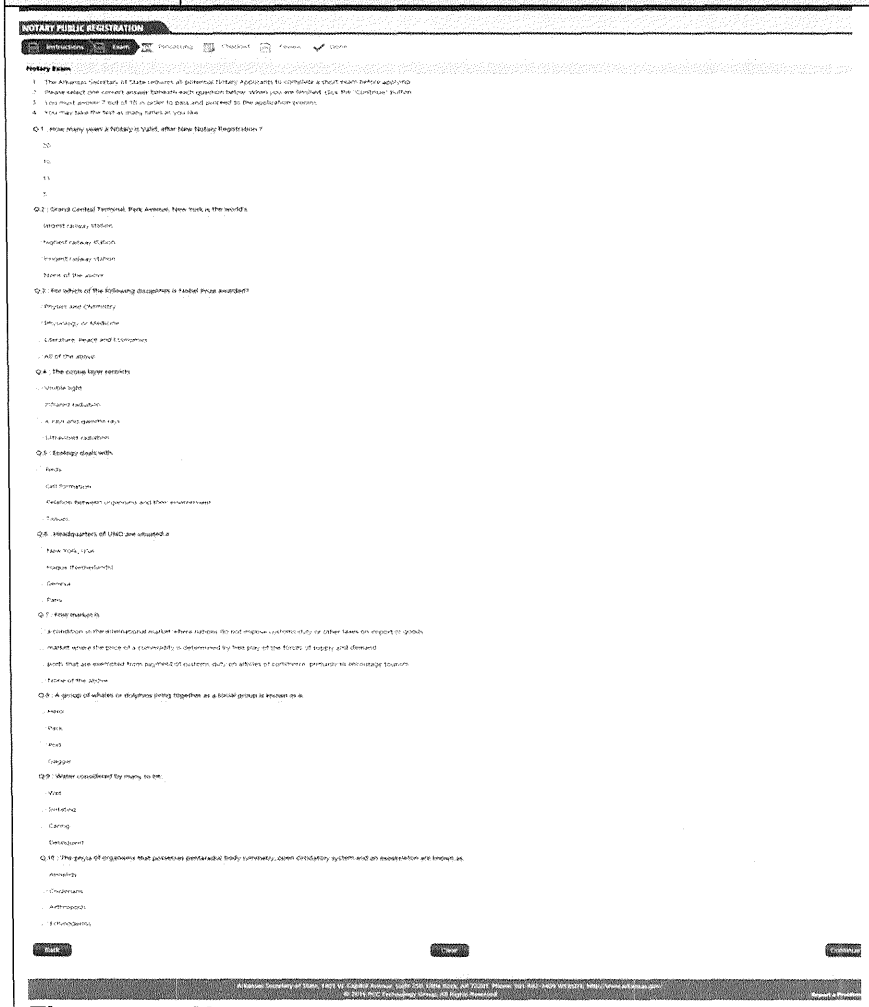


Figure 438. Notary exam.

OFM	Optional Feature	Yes	Customization Required	No

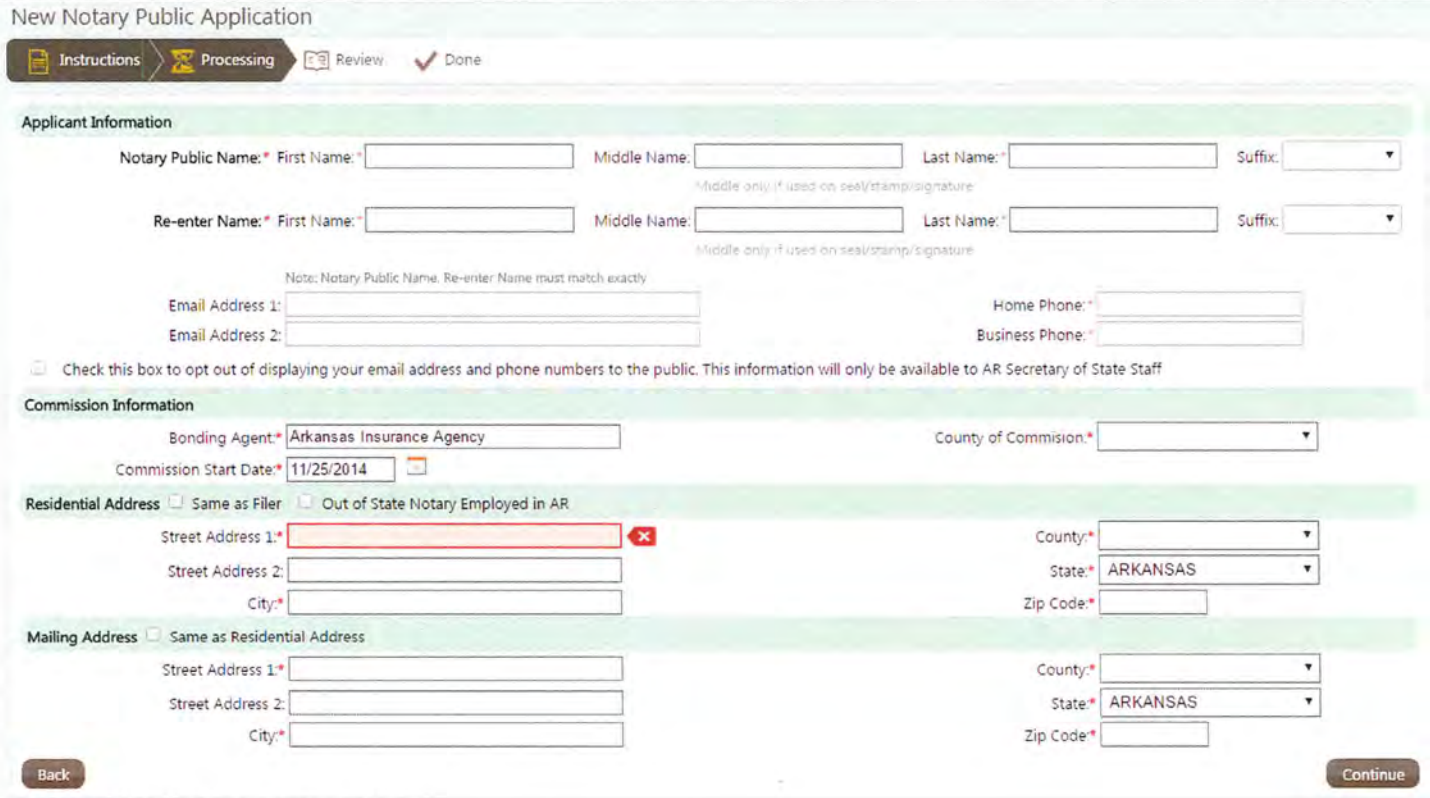


Figure 439. Processing screen.

4. Enter the applicant's name information into the first line of name fields.
5. Re-enter the applicant's name information into the second line of name fields.
6. Enter email address information.
7. Enter phone number information.
8. If the applicant has requested to opt in of displaying their email address in the public notary search, check the provided check box.
9. Enter the applicant's commission information into the "Bonding Agent" and "County of Commission" fields.
10. Enter the date on the surety bond into the commission start date on bond field.
11. Enter the applicant's residential address information into the provided fields.

12. If the applicant is also the online user, click the "Same as Online User" checkbox to populate the residential address fields with the online user's address information.
    a. Enter the county information, as it will not be contained in the online user address.
13. If the applicant is an out of state notary employed in Nebraska, click the provided checkbox. The system displays a third set of address fields labeled employer address.
14. Enter the applicant's mailing address information into the provided fields.
    a. If the address is the same as the residential address, click the "Same as Residential Address" checkbox.
12. If the employer address fields have been displayed, enter the applicant's employer address information into the provided fields.
13. Click "Continue."

NOTE: Click "Reject" to reject the filing.

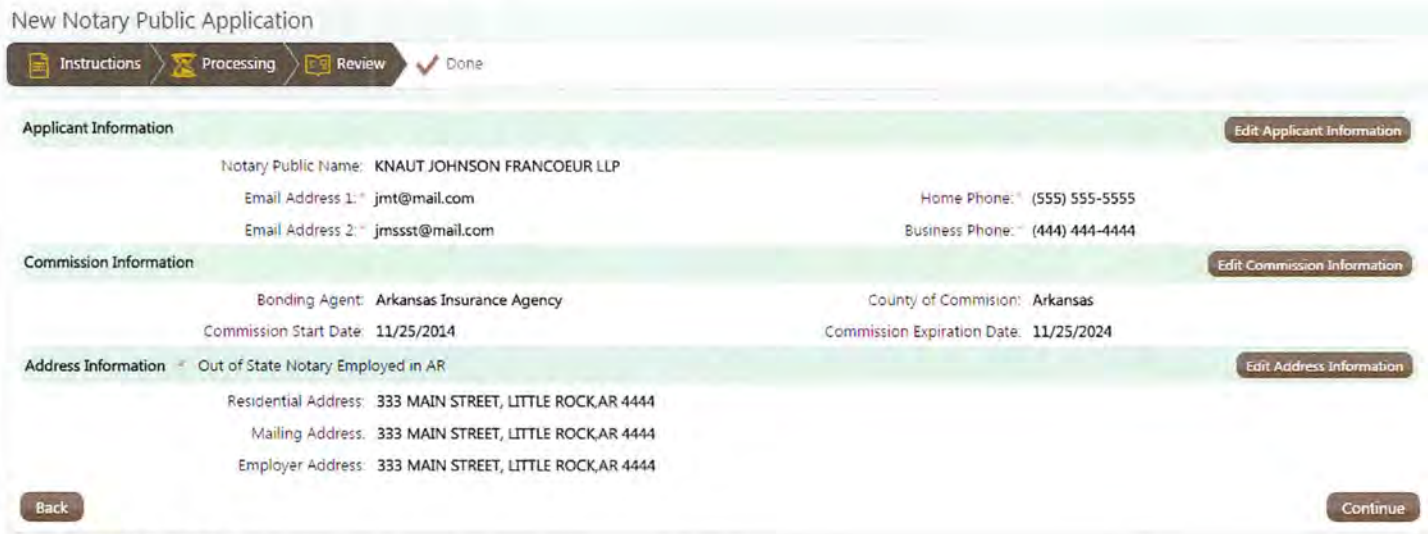


Figure 440. Review.

14. Review the information entered in the previous screen.
15. To edit a section of fields click on the corresponding button to the right of the screen.
16. Click "Continue." The system navigates to the completed screen.

OFM	Optional Feature	Yes	Customization Required	No

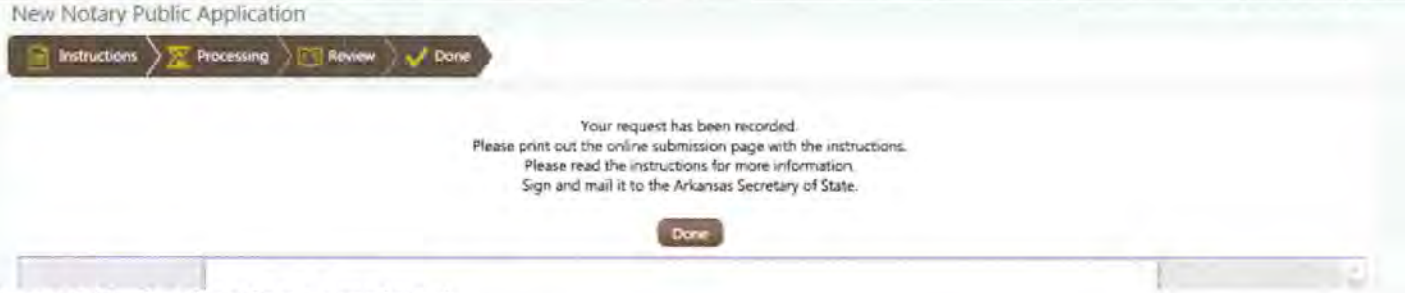


Figure 441. Application completed.

17. Print the form and checklist using the PDF viewer functionality.
18. Click "Done" to return to the online dashboard.

Notary renewal:
The notary renewal flow allows a public user to electronically fill out and print a notary renewal application. The public user will then complete the form by having it notarized and then send form to the SoS. No records will be created in the database until it is filed by the State. There is no fee to fill out the form online.

Screen progression:
1. Online dashboard
   User selects the Notary Renewal filing from the Notary Public menu.
2. Notary search screen
   User searches for the selects the notary record to be processed.
3. Instructions screen
   User confirms that all requirements have been met and checks them off.
4. Processing screen
   User enters their information.
5. Review screen
   User reviews the information entered and submits the information.
6. Completed screen
   User prints the system generated outputs: a pre-filled filing form and an instruction sheet.

OFM	Optional Feature	Yes	Customization Required	No

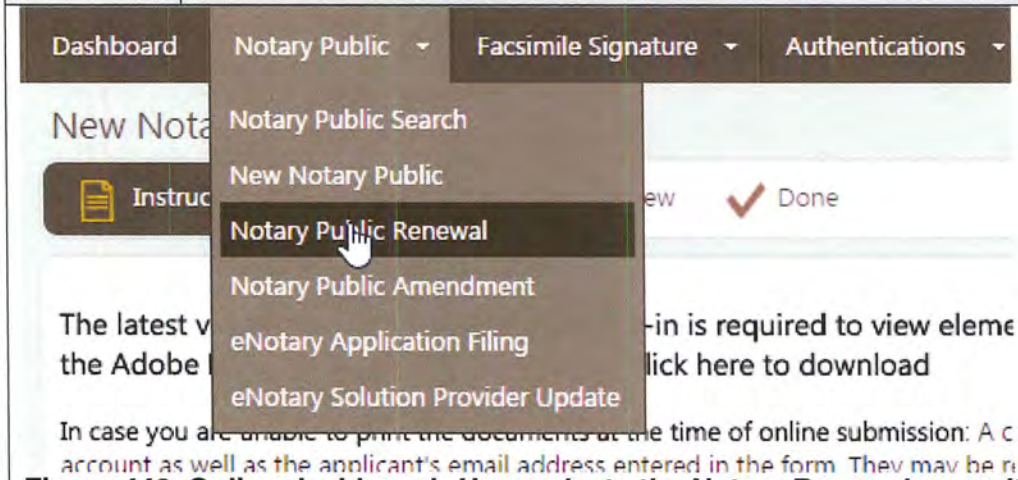


Figure 442. Online dashboard. ***User selects the Notary Renewal menu item in the Notary Public menu.***



Figure 443. Notary search.

Process:

1. Enter the search criteria into the provided fields.
2. Click “Search.” System displays matching results in the grid below.
3. Select the radio button to the left of the record that will be renewed.
4. Click “Continue.” System navigates to the instructions screen.

OFM	Optional Feature	Yes	Customization Required	No

NOTE: Click “Clear” to clear the search results and all the criteria fields.

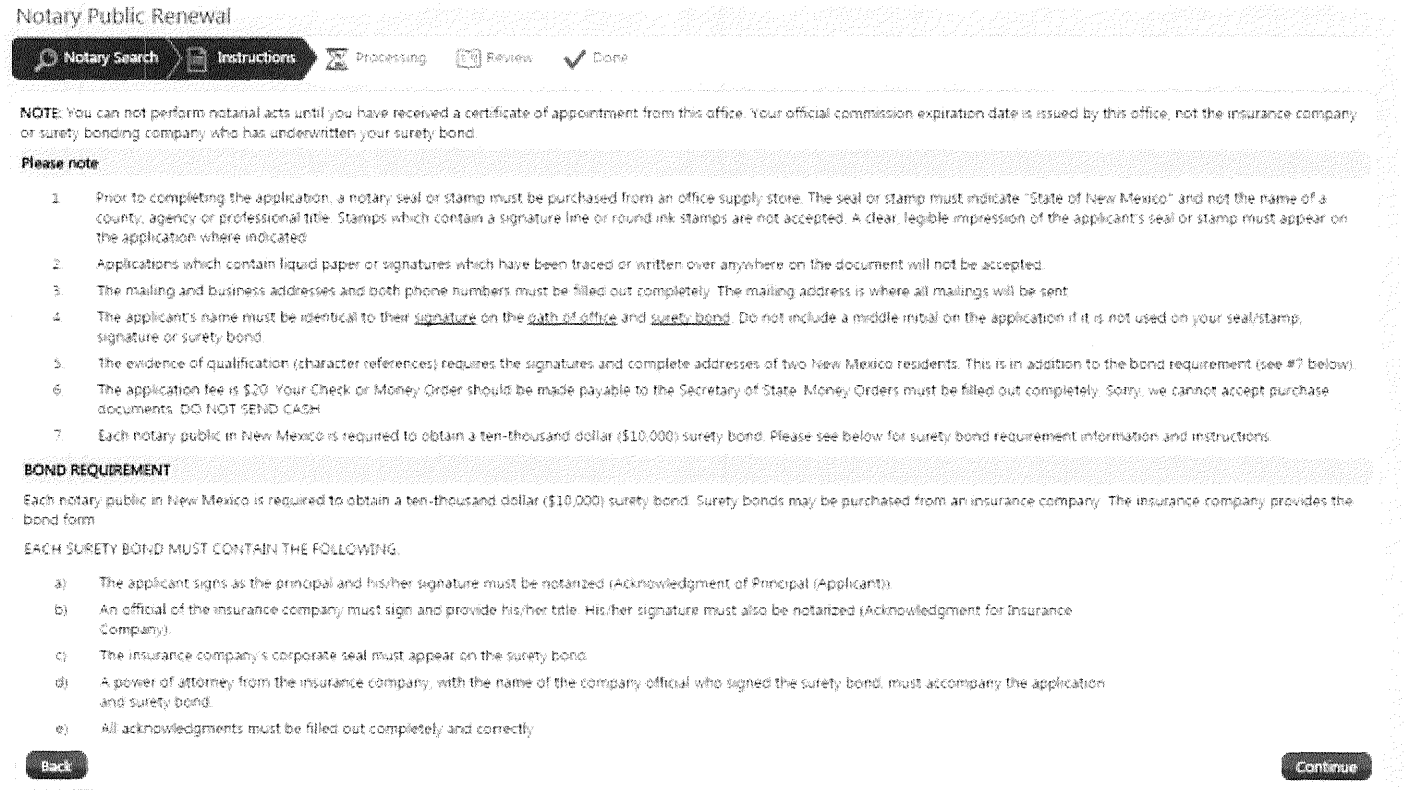


Figure 444. Notary instructions.

5. Read the instructions and confirm that all requirements have been met.
6. Click “Continue.”

Table 6. **Buttons.**

Screen Label	Condition/Description	Action
Back	Button	System navigates to the notary search screen.

OFM	Optional Feature	Yes	Customization Required	No

Continue	Button	System navigates to the processing screen.

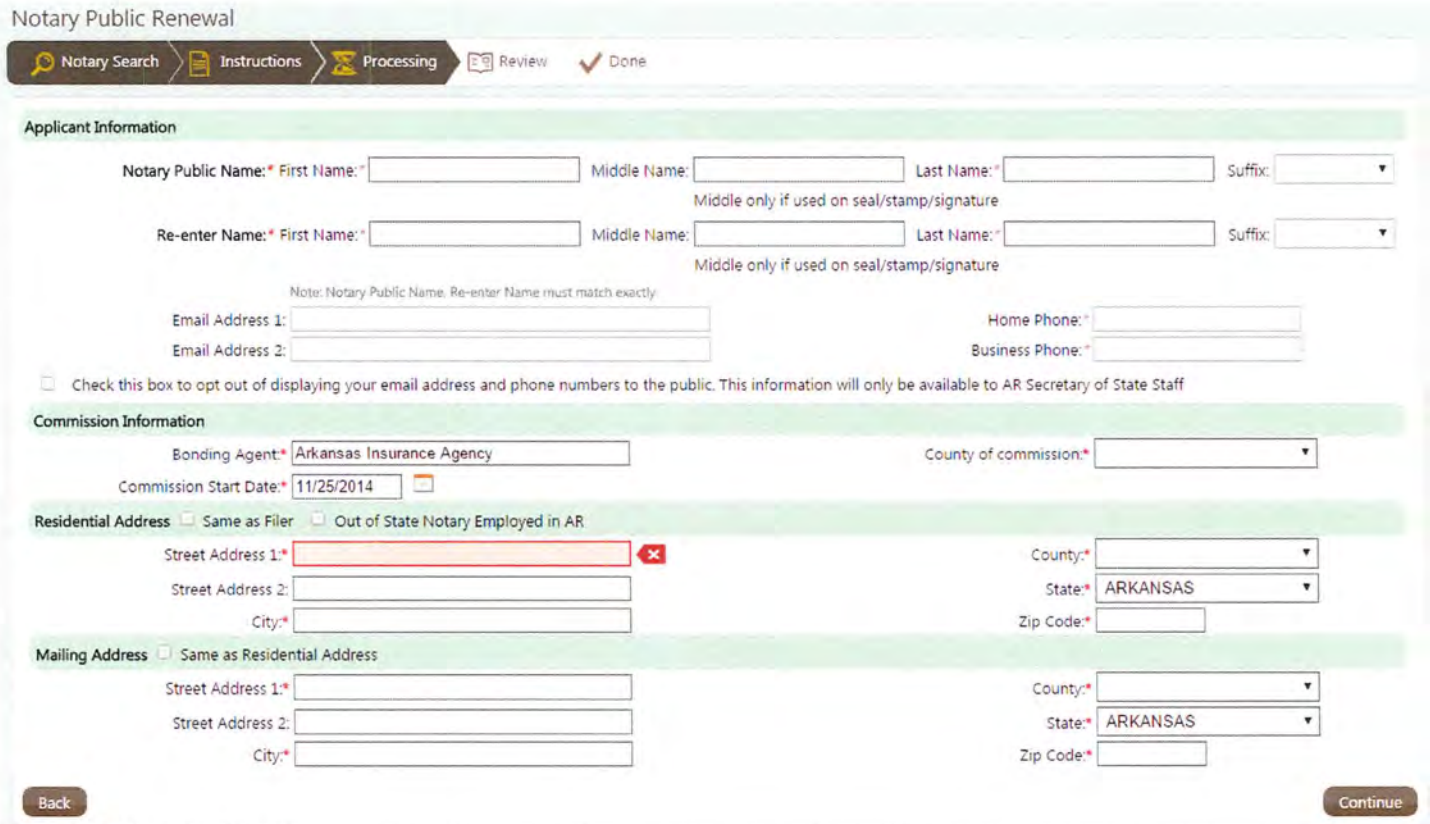


Figure 445. Processing.

7. To edit the applicant information:
   a. Enter the applicant's name information into the first line of name fields.
   b. Re-enter the applicant's name information into the second line of name fields.
   c. Enter email address information.
   d. Enter phone number information.

OFM	Optional Feature	Yes	Customization Required	No

e. If the applicant has requested to opt out of displaying their email address and phone number information in the public notary search, check the provided check box.

8. To edit the commission information:
   a. Enter the applicant's commission information into the "Bonding Agent" and "County of Commission" fields.
   b. Enter the date on the surety bond into the "Commission Start Date" field.
9. To edit the residential address:
   a. Enter the applicant's residential address information into the provided fields.
   b. If the applicant is also the online user, click the "Same as Online User" checkbox to populate the residential address fields with the online user's address information.
      i. Enter the "County" information, as it will not be contained in the online user address.
   c. If the applicant is an out of state notary employed in Nebraska, click the provided checkbox. The system displays a third set of address fields labeled employer address.
10. To edit the mailing address:
   a. Enter the applicant's mailing address information into the provided fields.
      1. If the address is the same as the residential address, click the "Same as Residential Address" checkbox.
11. To edit the employer address:
   a. If the employer address fields have been displayed, enter the applicant's employer address information into the provided fields.
12. Click "Continue."

OFM	Optional Feature	Yes	Customization Required	No

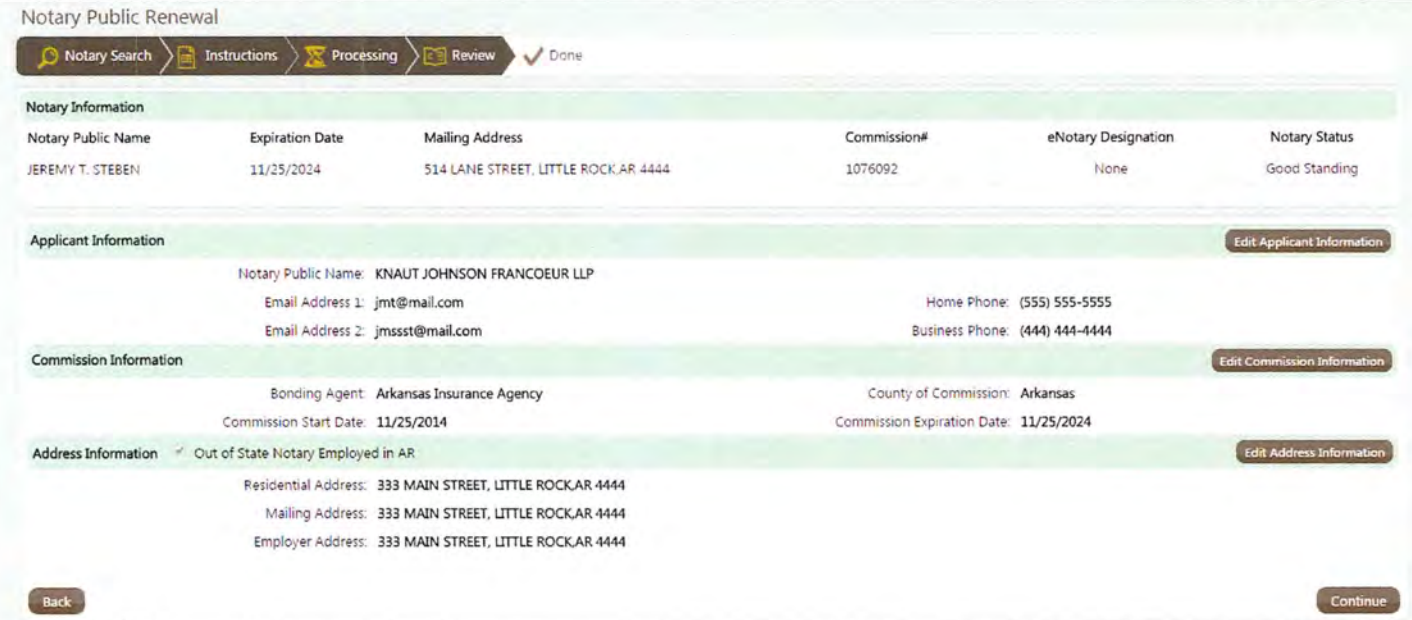


Figure 446. Review.

Process:

1. Review the information entered in the previous screen.
2. To edit a section of fields, click on the corresponding button to the right of the screen.
3. Click "Continue." The system navigates to the completed screen.

OFM	Optional Feature	Yes	Customization Required	No

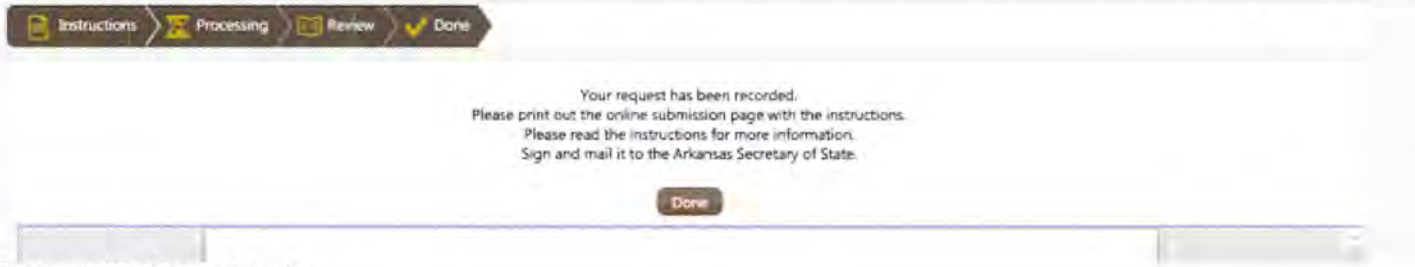


Figure 447. Completed.

4. Print the form and checklist using the PDF viewer functionality.
5. Click "Done" to return to the online dashboard.

Notary amendment:
The notary amendment flow allows a public user to electronically fill out and print a notary amendment application. The public user will then complete the form by having it notarized and then send form to the SoS. No records will be created in the database until it is filed by the State. There is no fee to fill out the form online.

Screen progression:
1. Online dashboard
   User selects the Notary Amendment filing from the Notary Public menu.
2. Instructions screen
   User confirms that all requirements have been met and checks them off.
3. Notary search screen
   User searches for and selects the notary record to be processed.
4. Processing screen
   User enters their information.
5. Review screen
   User reviews the information entered and submits the information.
6. Completed screen
   User prints the system generated outputs: a pre-filled filing form and instruction sheet.

OFM	Optional Feature	Yes	Customization Required	No

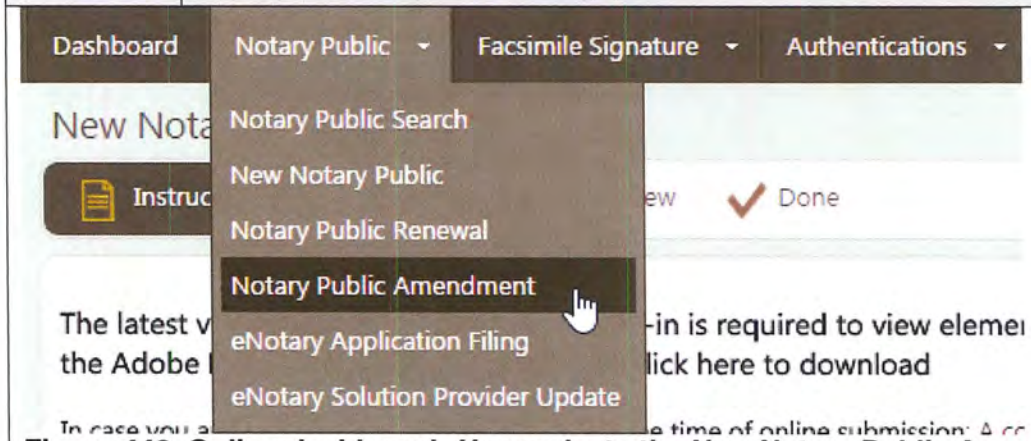


Figure 448. Online dashboard. ***User selects the New Notary Public Amendment in the Notary Public menu.***

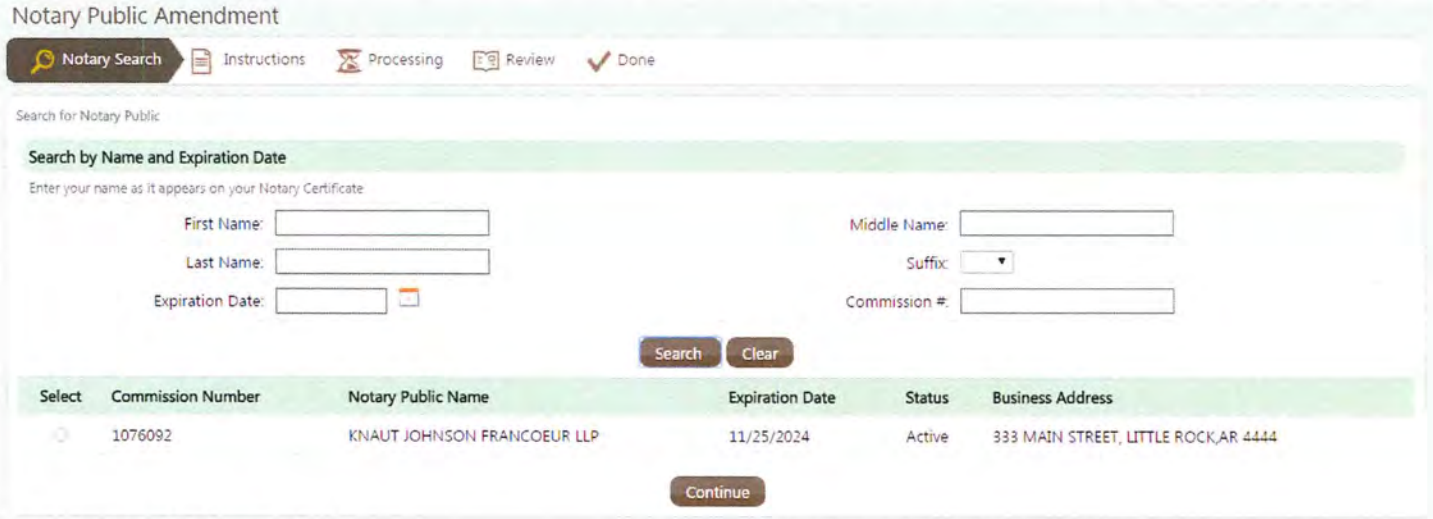


Figure 449. Notary search.

Process:

1. Enter the search criteria into the provided fields.
2. Click “Search.” System displays matching results in the grid below.

3. Select the radio button to the left of the record that will be amended.
4. Click "Continue." System navigates to the Instructions Screen.

NOTE: Click "Clear" to clear the search results and all the criteria fields.

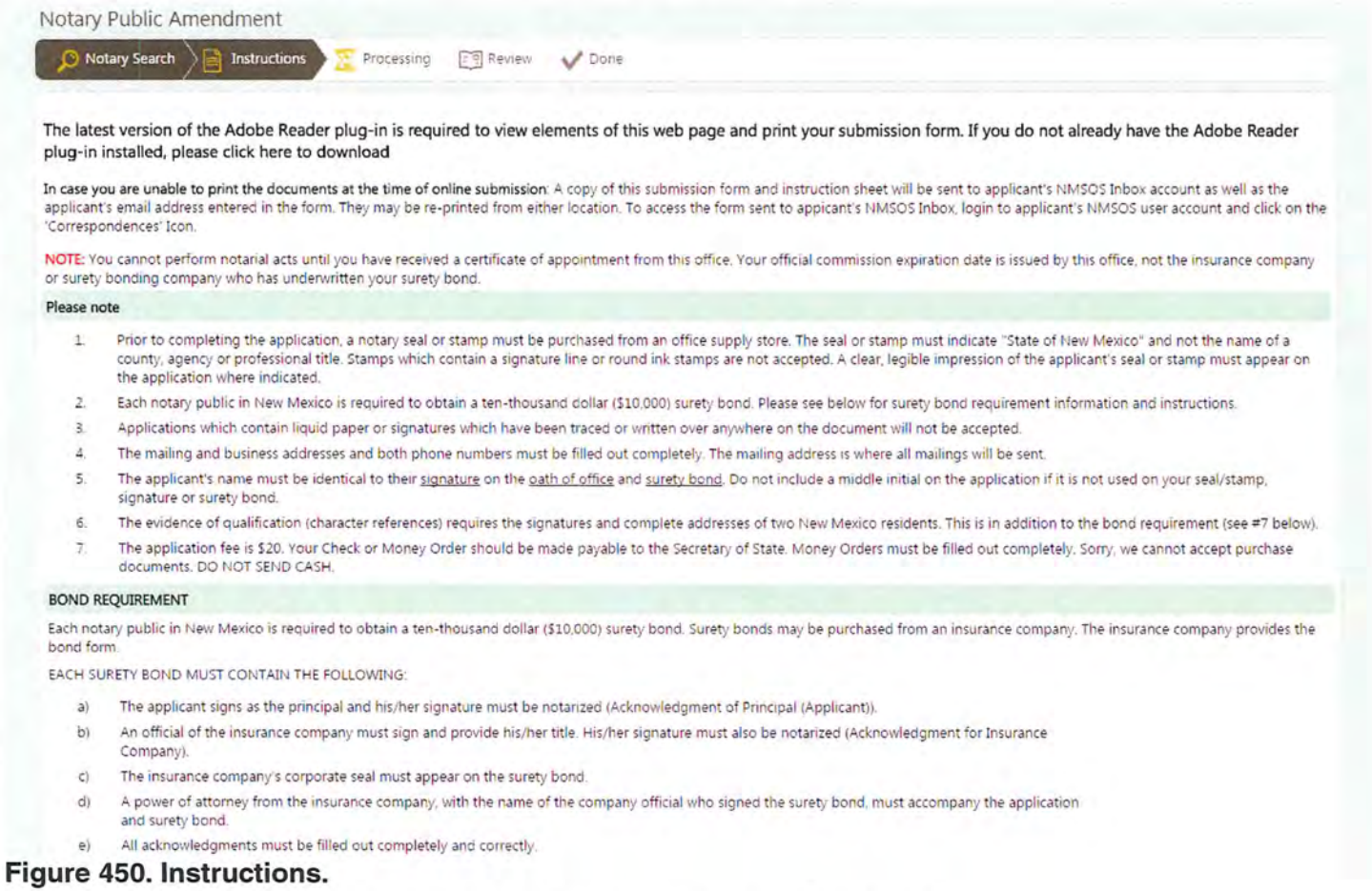


Figure 450. Instructions.

5. Read the instructions and confirm that all requirements have been met.
6. Click "Continue."

OFM	Optional Feature	Yes	Customization Required	No

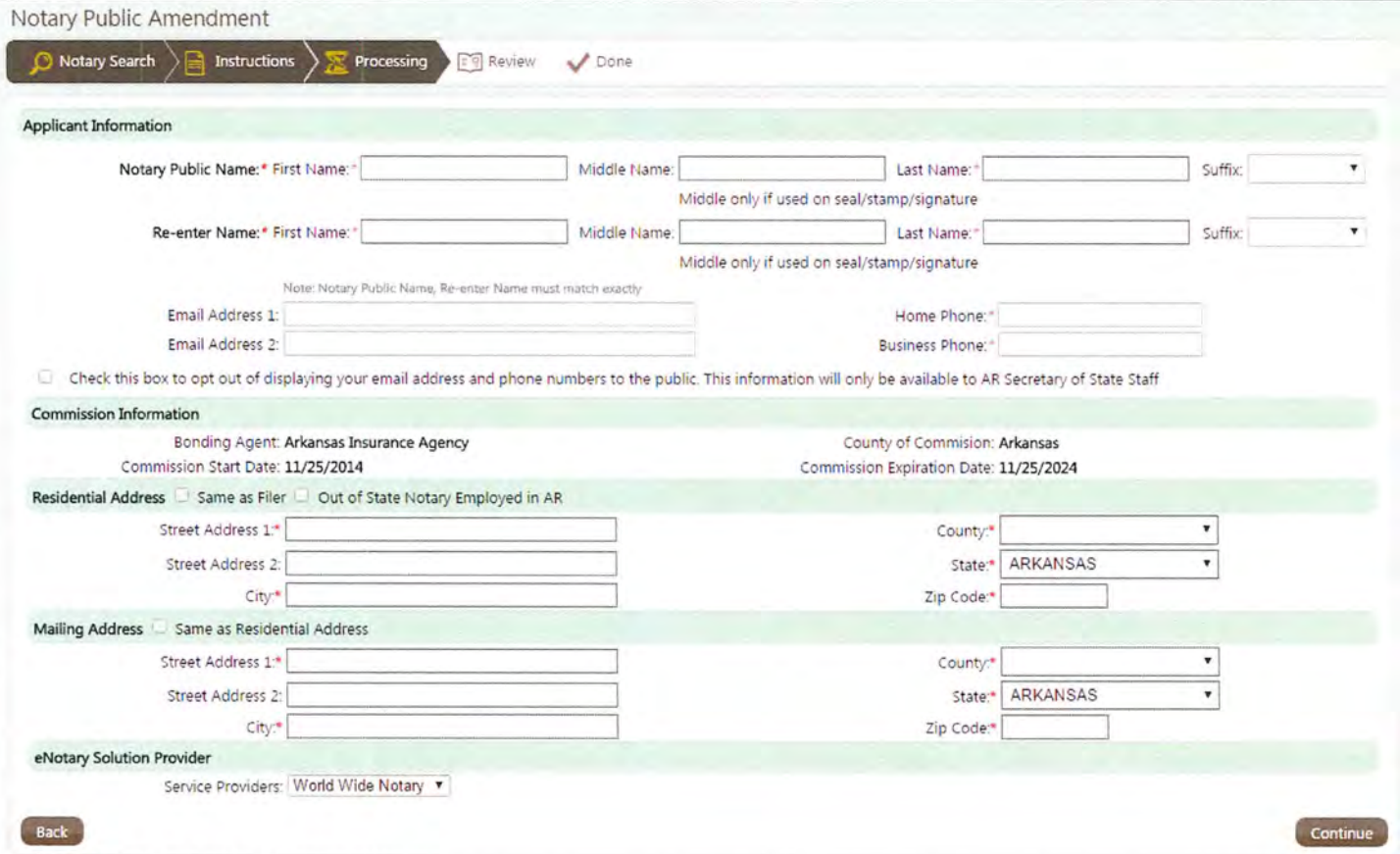


Figure 451. Processing screen.

7. To edit the applicant information:
   a. Enter the applicant's name information into the first line of name fields.
   b. Re-enter the applicant's name information into the second line of name fields.
   c. Enter email address information.
   d. Enter phone number information.
   e. If the applicant has requested to opt out of displaying their email address and phone number information in the public notary

OFM	Optional Feature	Yes	Customization Required	No

search, check the provided check box.

8. To edit the commission information:
   a. Enter the applicant's commission information into the "Bonding Agent" and "County of Commission" fields.
   b. Enter the date on the surety bond into the "Commission Start Date" field.
9. To edit the residential address:
   a. Enter the applicant's old residential address information into the provided fields.
   b. Enter the applicant's residential address information into the provided fields.
   c. If the applicant is an out of state notary employed in Nebraska, click the provided checkbox. The system displays a third set of address fields labeled employer address.
10. To edit the mailing address:
   a. Enter the applicant's old mailing address information into the provided fields.
   b. Enter the applicant's mailing address information into the provided fields.
      i. If the address is the same as the residential address, click the "Same as Residential Address" checkbox.
11. To edit the employer address:
   a. If the employer address fields have been displayed, enter the old applicant's employer address information into the provided fields.
   b. Enter the applicant's employer address information into the provided fields.
12. To edit the eNotary solution provider (only available to eNotaries):
   a. Select the providers from the "Service Providers" select box.
13. Click "Continue."

OFM	Optional Feature	Yes	Customization Required	No

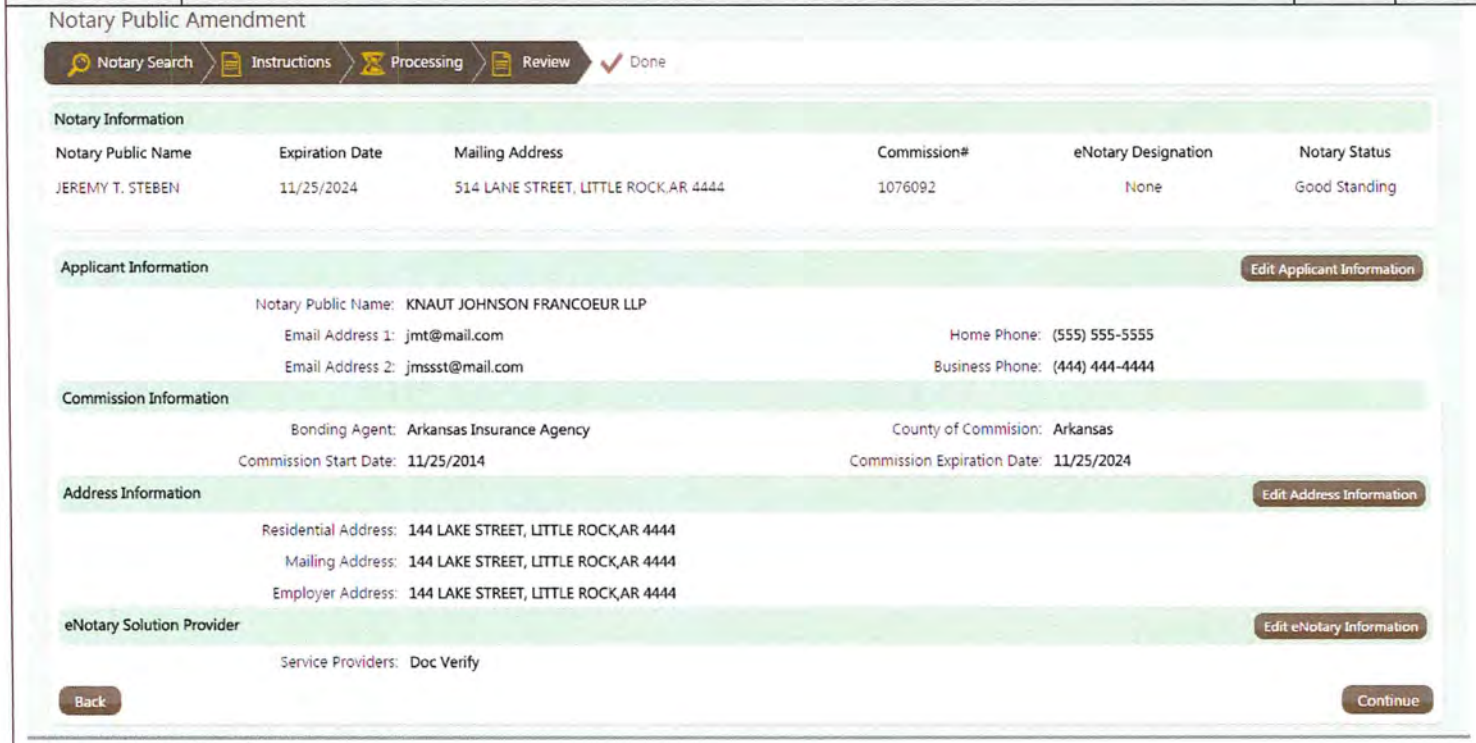


Figure 452. Review screen.

14. Review the information entered in the previous screen.
    a. To edit a section of fields click on the corresponding button to the right of the screen.
15. Click "Continue." The system navigates to the completed screen.

OFM	Optional Feature	Yes	Customization Required	No

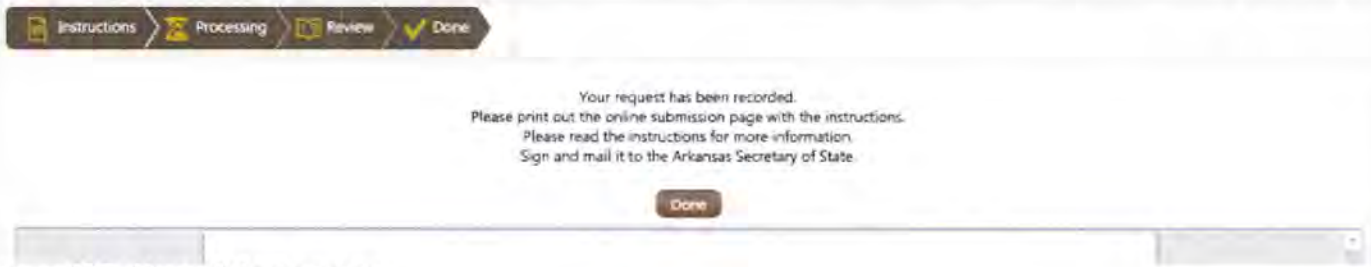


Figure 453. Completed screen.

16. Print the form and checklist using the PDF viewer functionality.
17. Click "Done" to return to the online dashboard.

eNotary application:
The eNotary application filing flow allows a public user to electronically fill out, make payment on, and file an eNotary application. Upon confirmation of payment the selected notary record will acquire an eNotary designation of "Pending Training." A $20.00 fee will be charged via third party payment gateway.

Screen progression:
1. Online dashboard
   User selects the eNotary Application Filing from the Notary Public menu.
2. Instructions screen
   User confirms that all requirements have been met and checks them off.
3. Notary search screen
   User searches for and selects the notary record to be processed.
4. Processing screen
   User enters their current email and phone information.
5. Review screen
   User reviews the information entered and submits the information.
6. Completed screen
   User prints the system generated outputs: an instructions letter and receipt. The system will also automatically send an acceptance email and a copy of the instructions letter to both the email addresses entered during the filing.

OFM	Optional Feature	Yes	Customization Required	No

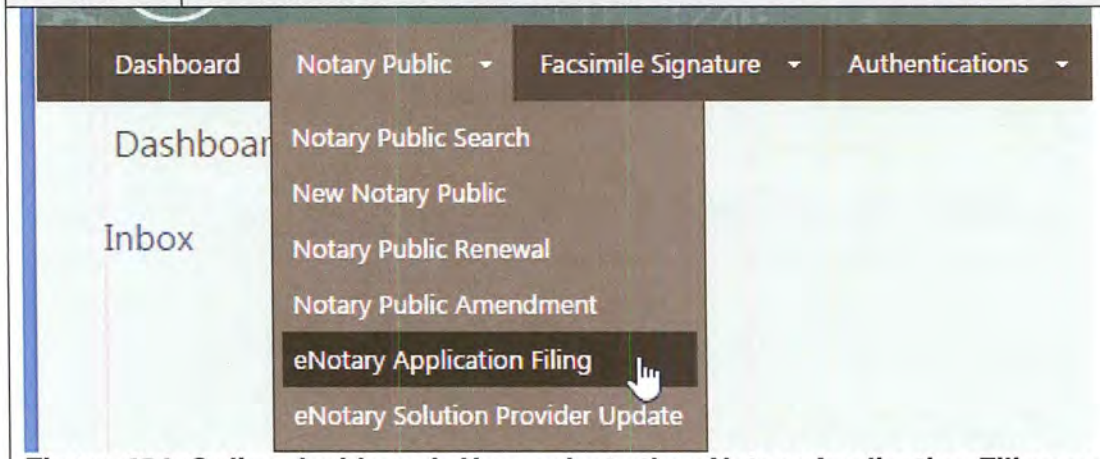


Figure 454. Online dashboard. ***User selects the eNotary Application Filing menu item from the Notary Public menu.***

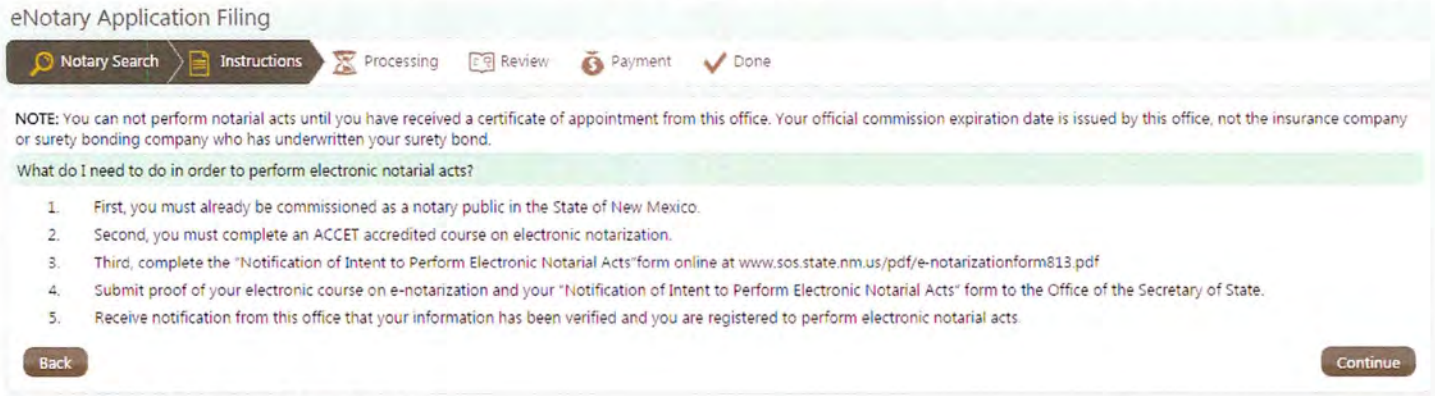


Figure 455. Instructions screen.

1. Read the instructions and confirm that all requirements have been met.
2. Click 'Continue'.

OFM	Optional Feature	Yes	Customization Required	No

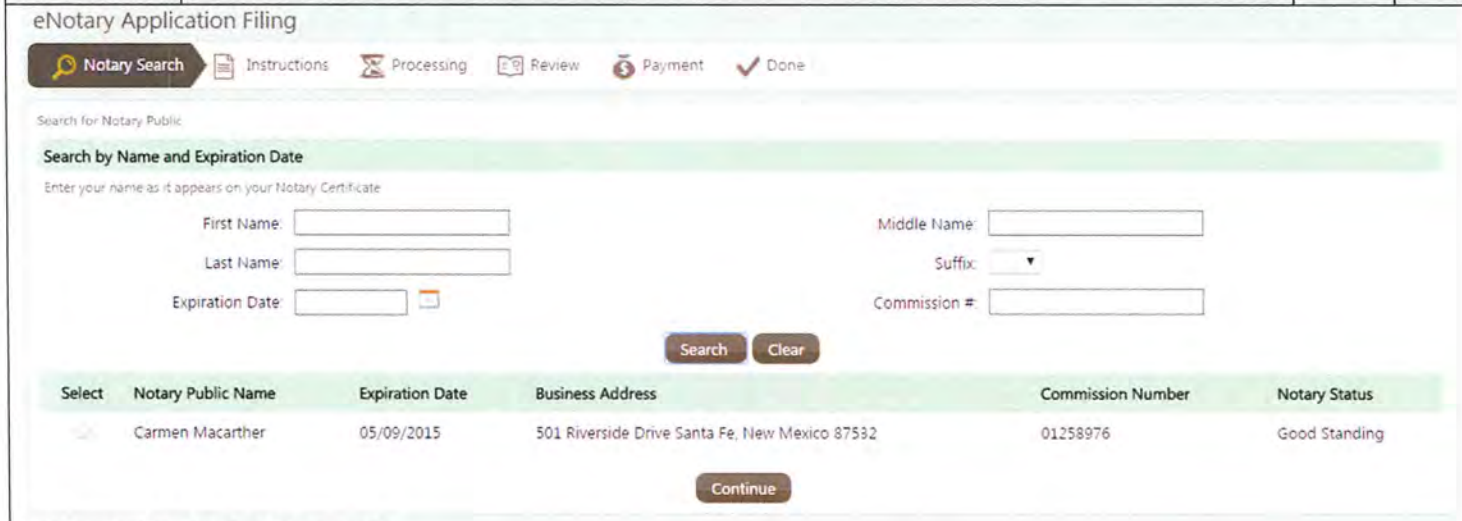


Figure 456. Notary search.

1. Enter the search criteria into the provided fields.
2. Click "Search." System displays matching results in the grid below.
3. Select the radio button to the left of the record that will be amended.
4. Click "Continue." System navigates to the instructions screen.

NOTE: Click "Clear" to clear the search results and all the criteria fields.

OFM	Optional Feature	Yes	Customization Required	No

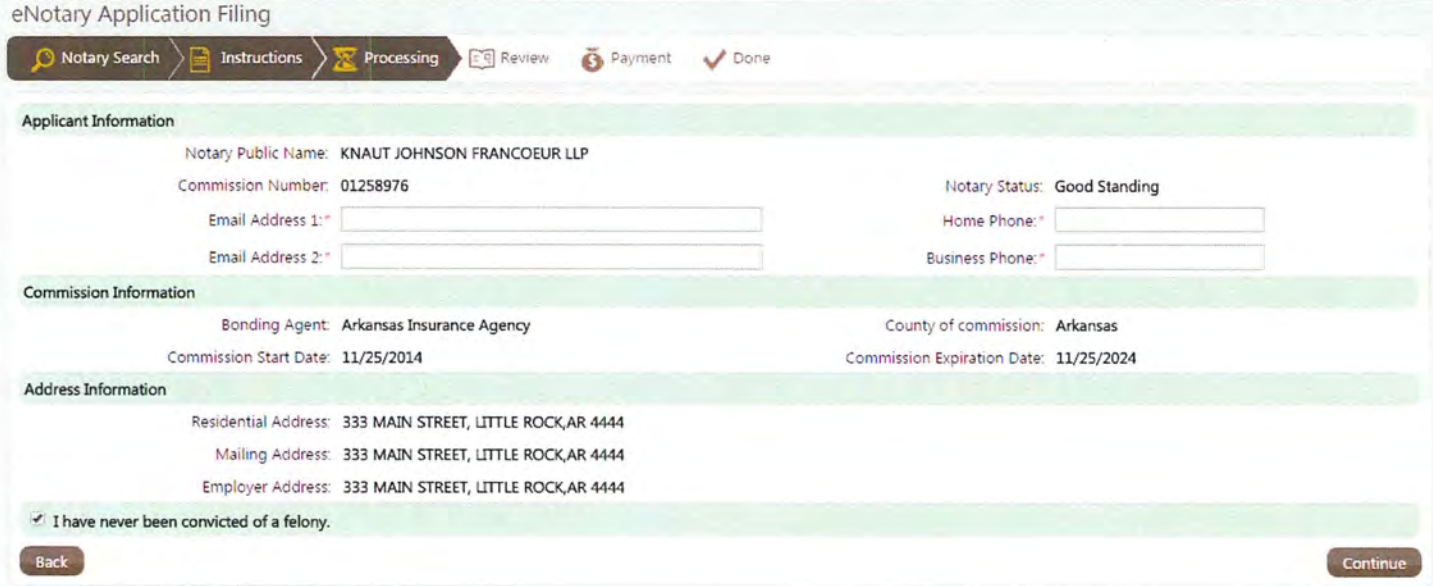


Figure 457. Processing screen.

5. Enter email address information.
6. Select county of commission from the dropdown list.
7. Click "Continue."

OFM	Optional Feature	Yes	Customization Required	No

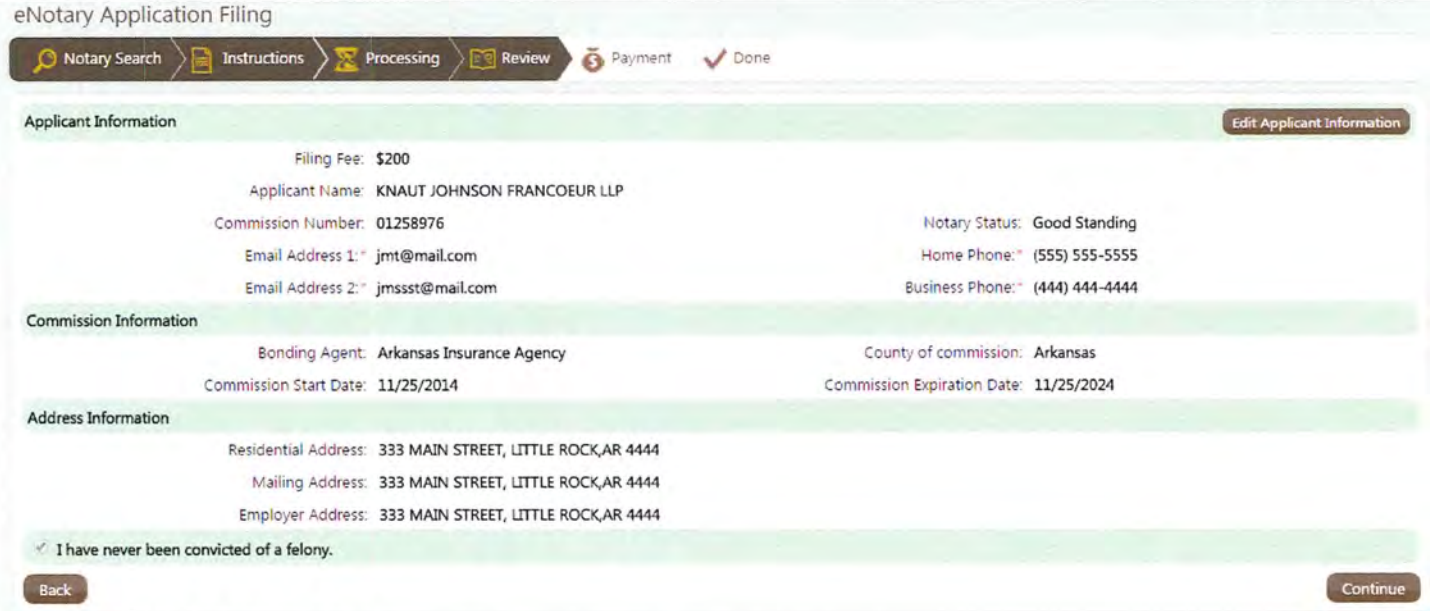


Figure 458. Review screen.

8. Review the information entered in the previous screen.
   a. To edit a section of fields click on the corresponding button to the right of the screen.
9. Click "Continue." The system navigates to the completed screen.

OFM	Optional Feature	Yes	Customization Required	No

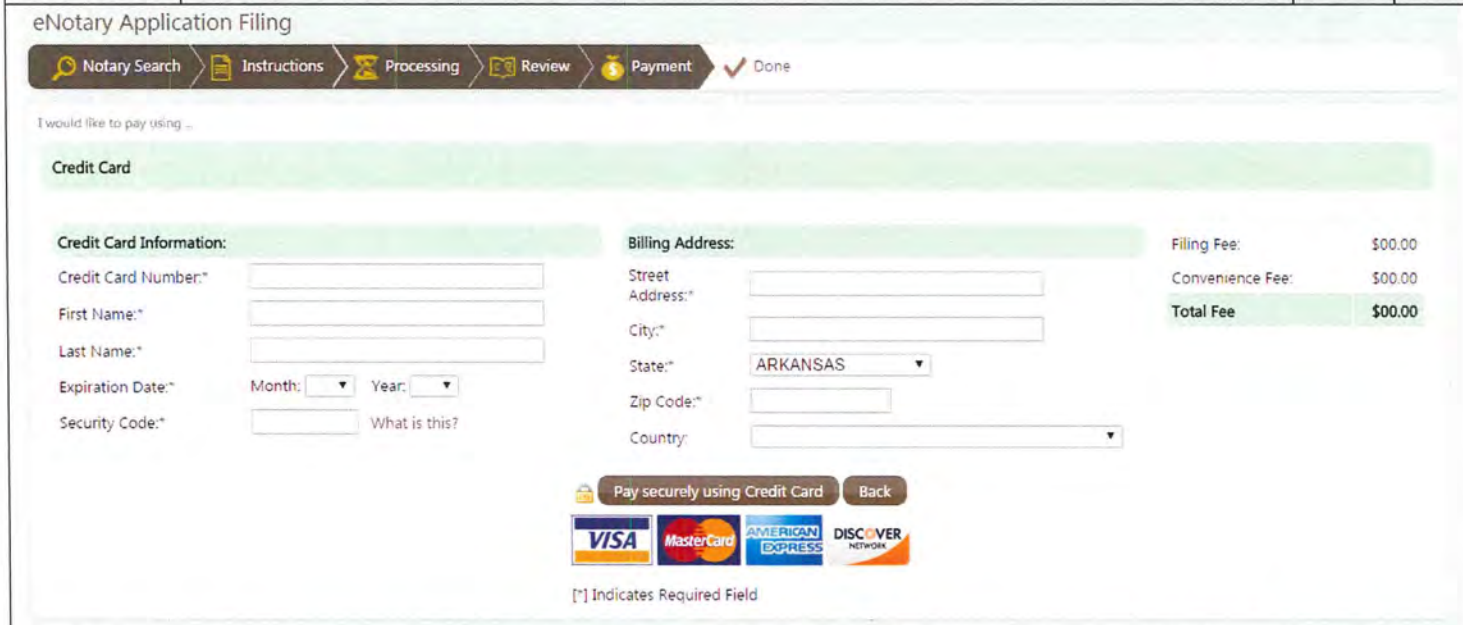


Figure 459. Payment screen. ***NOTE: The system will open a third party payment window where the user will make payment. After payment has been confirmed the system will navigate to the completed screen.***

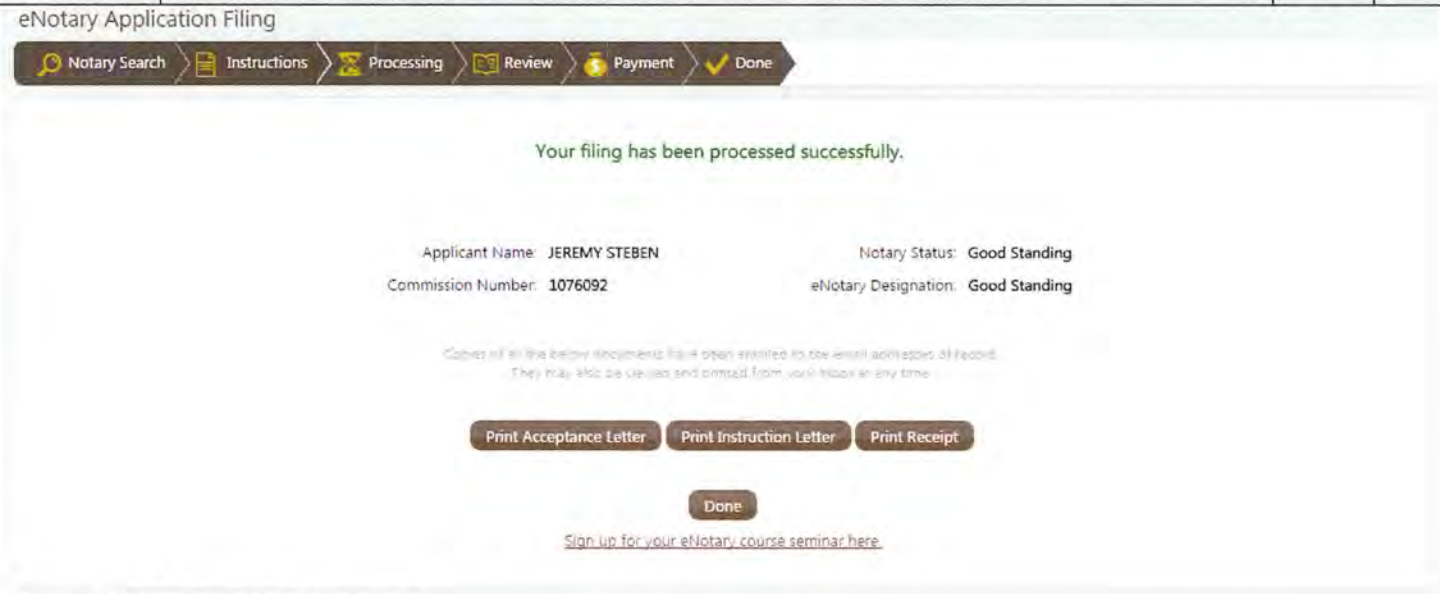


Figure 460. Completed screen.

10. Click "Print Instruction Letter" to view and print the instructions to complete the eNotary registration process.
11. Click "Print Receipt" to view and print the receipt for this filing transaction.
12. Click "Done" to return to the online sashboard.

eNotary service provider update:
The eNotary service provider update filing flow allows a public user to update their notary record with the eNotary service providers they have chosen to use. There is no fee associated with this filing.

Screen progression:
1. Online dashboard
   User selects the eNotary Service Provider Update from the Notary Public menu.
2. Instructions screen
   User confirms that all requirements have been met and checks them off.
3. Notary search screen
   User searches for and selects the notary record to be processed.

OFM	Optional Feature	Yes	Customization Required	No

4. Processing screen
   User selects their chosen service providers in a multi-selector bo
5. Review screen
   User reviews the information entered and submits the information.
6. Completed screen
   User prints the system generated outputs: a no-fee receipt which serves as a filing confirmation.

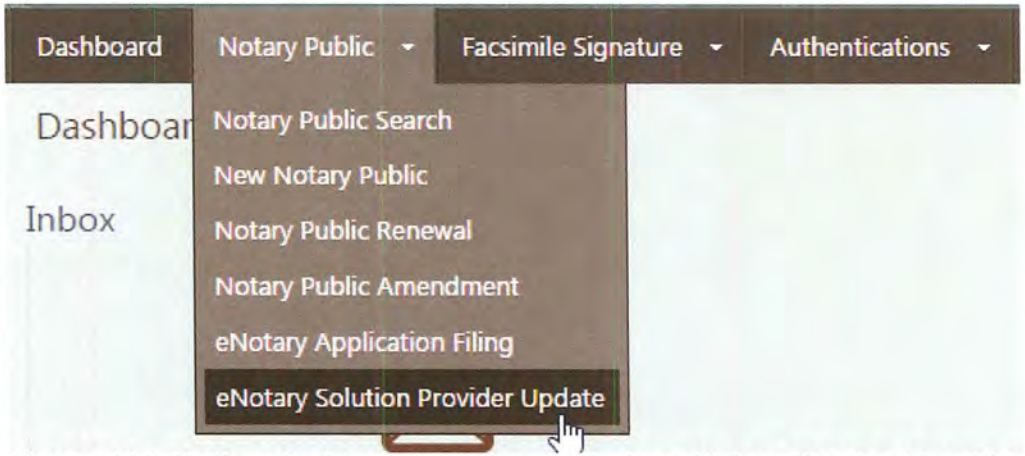


Figure 461. Online dashboard. ***User selects the eNotary Service Provider Update menu item in the Notary Public menu.***

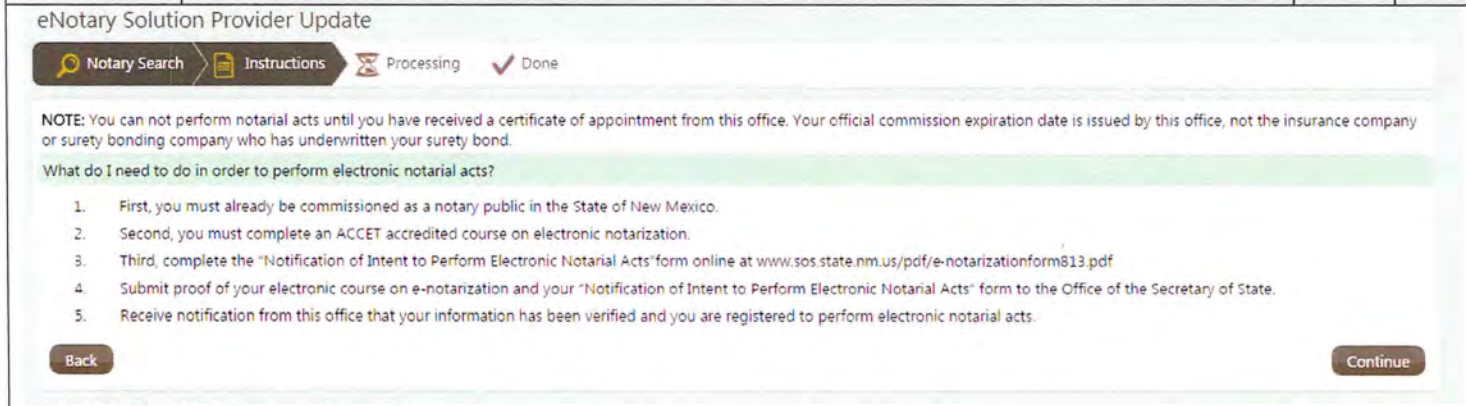


Figure 462. Instructions screen.

1. Read the instructions and confirm that all requirements have been met.
2. Click "Continue."

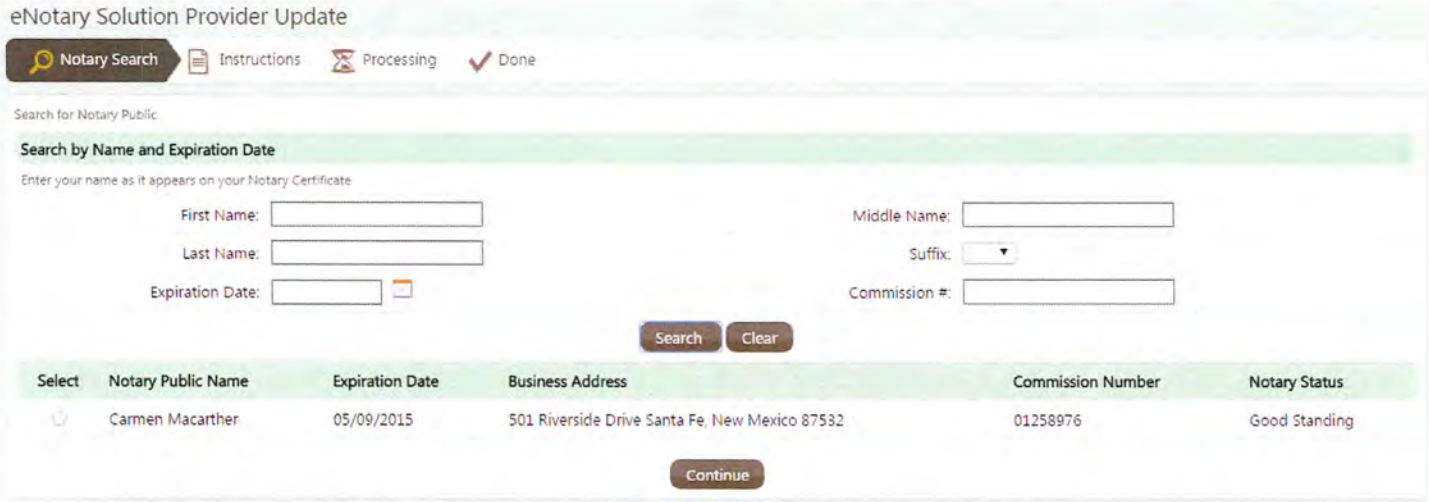


Figure 463. Search screen.

3. Enter the search criteria into the provided fields.

OFM	Optional Feature	Yes	Customization Required	No

4. Click "Search." System displays matching results in the grid below.
5. Select the radio button to the left of the record that will be amended.
6. Click "Continue." System navigates to the instructions screen.

NOTE: Click "Clear" to clear the search results and all the criteria fields.



Figure 464. Processing screen.

7. Select the chosen service providers from the service provider multi-selector box.
8. Click "Continue."

OFM	Optional Feature	Yes	Customization Required	No

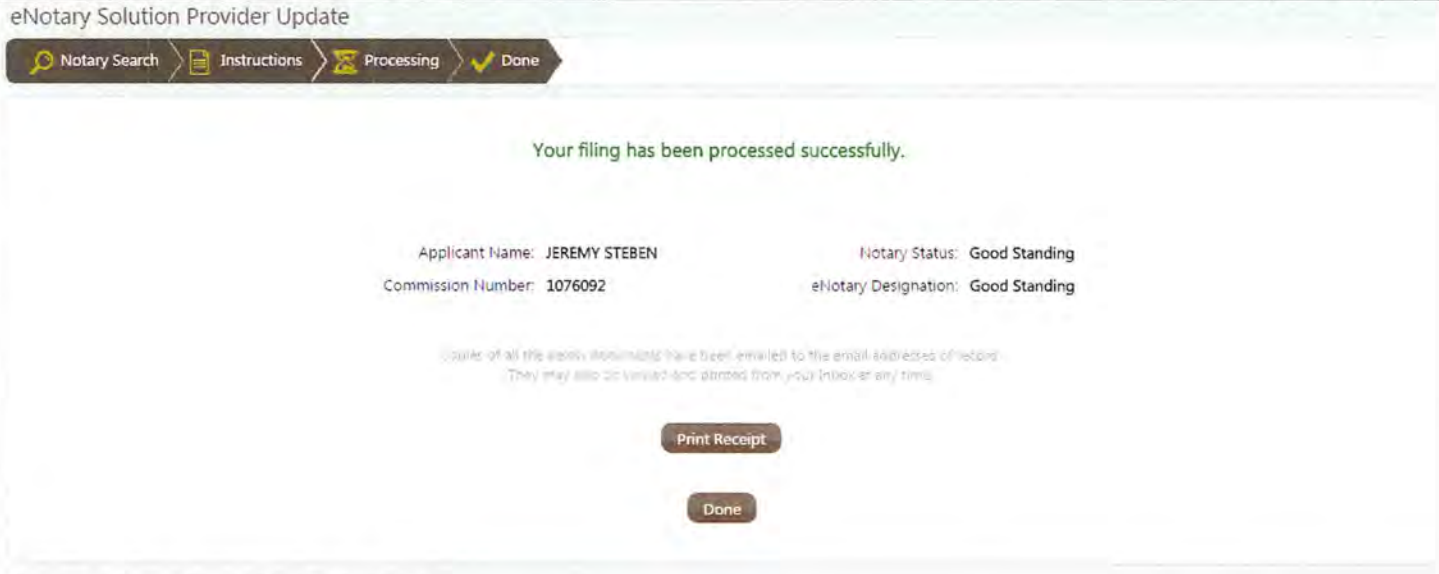


Figure 465. Completed screen.

9. Click "Print Receipt" to view and print the receipt for this filing transaction.
10. Click "Done" to return to the online dashboard.

Online notary search:
The online search allows the online user to search the notary public database and view all filing history details associated with a record.

Screen progression:
1. Notary search
   User enters search criteria and clicks search. Matching notary records are displayed in a grid. User may elect to view the details of a specific notary.
2. Notary history
   User views all information associated with that notary history.

OFM	Optional Feature	Yes	Customization Required	No

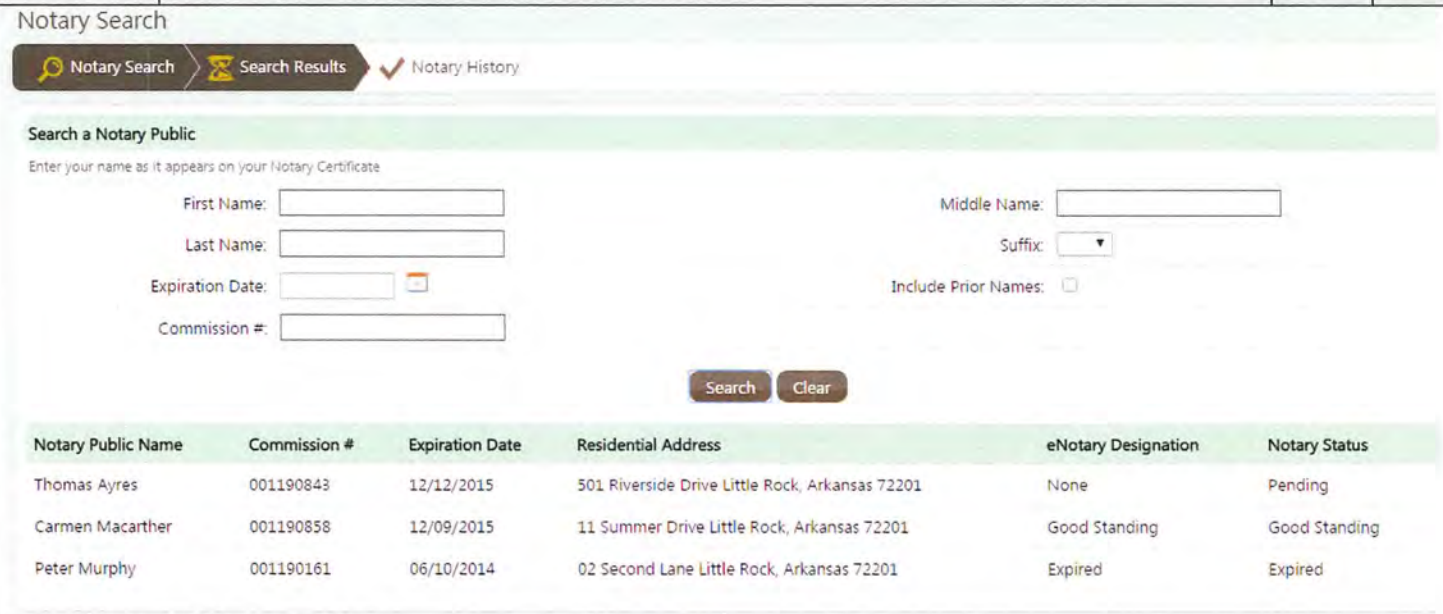


Figure 466. Notary search.

1. Enter the search criteria into the provided fields.
2. Click “Search.” System displays matching results in the history screen grid.
3. Click the “View” hyperlink next to the record to be viewed. System navigates to the notary history screen.

OFM	Optional Feature	Yes	Customization Required	No

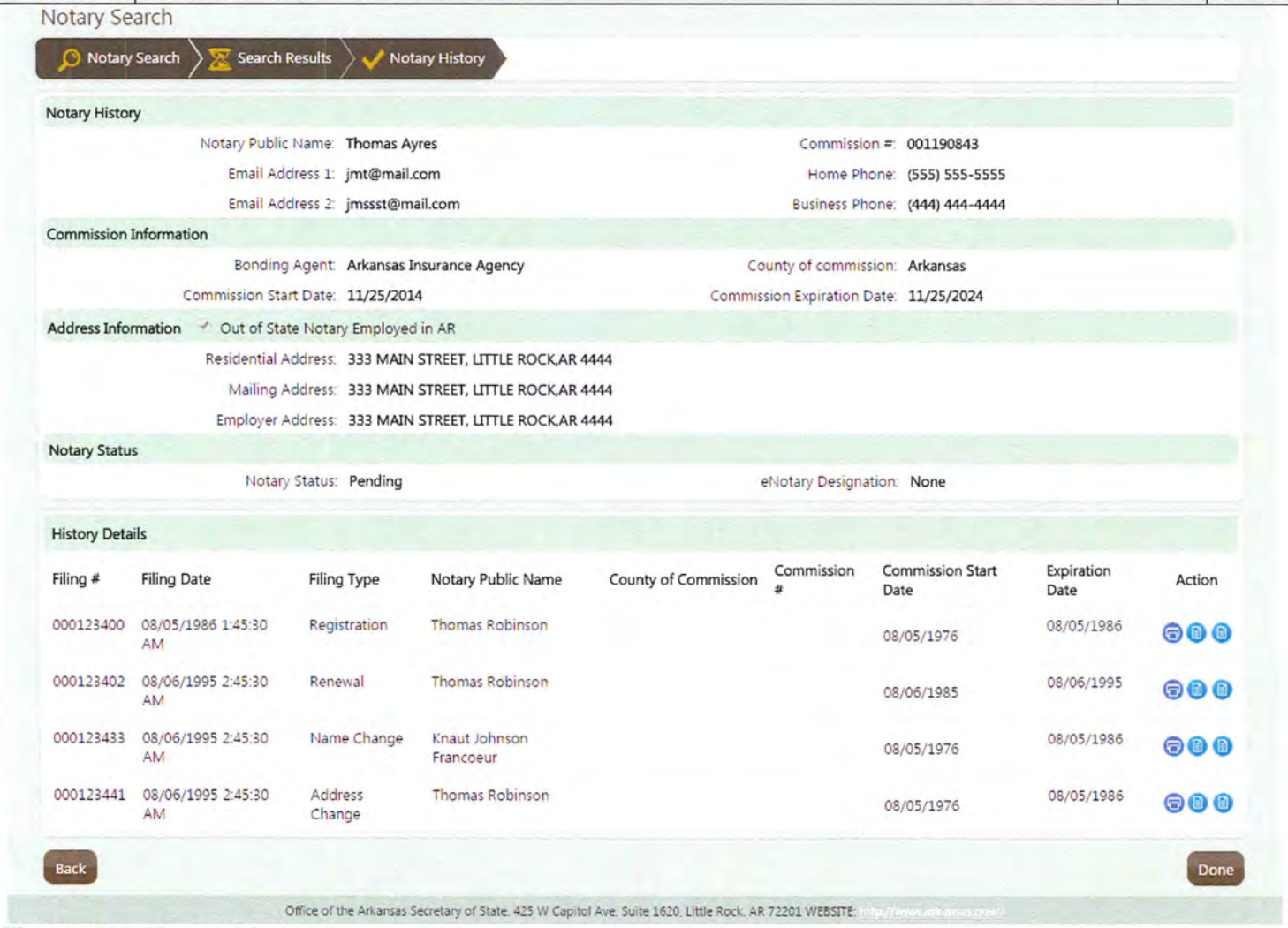


Figure 467. Notary history.

4. View the notary's current information.

Note: Click "Done" to return to the notary search screen.

Additional Filings and Images	**Additional Filings and Images** The State may desire, at a future time, to add filing data and images of past filings which are not in the current system. Bidder should describe their ability to add previously filed records and images into the system. This would include: paper filings, paper/microfilm, cardex, microfiche, microfilm, cds, and foreign corp books.	X		

Bidder Response:
For additional Filings and Images for which the Business is in the system, the proposed solution provides an administrative correction screen for authorized user groups. The screen can be used to select an existing business, update any business information, create a new filing history, edit a filing history, regenerate/generate a filing certificate or upload a document to the history.

For Additional Filings and Images that are for a business not in the current system, the staff user would create a new work order for the filing, and scan (paper) or upload a converted PDF in the same manner as any other new in-house filing.

PCC can provide a generic Entity/Filing Type workflow for old filings that do not have a one-to-one match with a system type. These generic records would have minimal index fields to be entered by the user (Business Name, ID and Address), and the rest of the filing information would only be available on the scanned/uploaded image.

In either case, if the old filings and images are in the form of microfilm, cardex, microfiche, CDs, and foreign corp books, this proposed solution will require them to be converted to a PDF format before being added to the system by the staff using this process.

NOTE: PCC has no basis of information for the volumes, scope or complexity of the back-file conversion process, so we have not included fixed cost estimates in the proposal for that effort. Instead, the rate card in our Cost Proposal provides for an Image Conversion Specialist that can be utilized through additional time and material billing. Once engaged with the SOS, and we can assess the effort, PCC can refine a fixed-cost estimate for the work. Included in this estimate, PCC could provide additional value by offering bulk loading of images and index data that would be converted/scanned, to reduce the need for staff to enter one-off filings into the system.

OFM	Optional Feature	Yes	Customization Required	No
Preferred Name Availability Process	**Preferred Name Availability Process** In addition to the required Name Availability basic process, a Preferred Name Availability process is described in Appendix N - Name Availability Screening Bidder should describe their ability to provide such enhanced Name Availability search process.	X		
Bidder Response: Preferred name availability is available in the proposed solution. The name availability check can be set up to a multi-level approval process. This is handled by work queues and the reviewer queues.				
Registered Agent Self-Service	**Registered Agent (RA) Self-Service** Currently, registered agents can report address changes for entities they represent to The State, then staff updates the RA address. Provide a description of what would be required to allow registered agents to securely access the BSFS and update their address information.	X		
Bidder Response: The registered agents will be provided with a secure BSFS account. The RAs can login and make updates their address. All businesses that are associated to the RA will be displayed. The agent's ID and address are pointed to the business in the database and making an update to the address will impact all the businesses that are associated with that the RA and the address. There is an option in the proposed application to provide a custom RA address for businesses. Making an update to the RA's address will not impact those set of businesses. The process of validating identity and providing Registered Agents' with Login IDs, and the consolidation of register agent database records will be owned by the SoS.				

SECTION III. TERMS AND CONDITIONS

III. TERMS AND CONDITIONS

By signing the "Request for Proposal for Contractual Services" form, the bidder guarantees compliance with the provisions stated in this Request for Proposal, agrees to the Terms and Conditions unless otherwise agreed to, and certifies bidder maintains a drug free work place environment.

Bidders are expected to closely read the Terms and Conditions and provide a binding signature of intent to comply with the Terms and Conditions; provided, however, a bidder may indicate any exceptions to the Terms and Conditions by (1) clearly identifying the term or condition by subsection, and (2) including an explanation for the bidder's inability to comply with such term or condition which includes a statement recommending terms and conditions the bidder would find acceptable. Rejection in whole or in part of the Terms and Conditions may be cause for rejection of a bidder's proposal. **Bidders must include completed Section III with their proposal response.**

The State of Nebraska is soliciting bids in response to the RFP. The State of Nebraska will not consider proposals that propose the substitution of the bidder's contract, agreements, or terms for those of the State of Nebraska's. Any License, Service Agreement, Customer Agreement, User Agreement, Bidder Terms and Conditions, Document, or Clause purported or offered to be included as a part of this RFP must be submitted as individual clauses, as either a counter-offer or additional language, and each clause must be acknowledged and accepted in writing by the State. If the Bidder's clause is later found to be in conflict with the RFP or resulting contract the Bidder's clause shall be subordinate to the RFP or resulting contract.

A. GENERAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The contract resulting from this Request for Proposal shall incorporate the following documents:

1. Amendment to Contract Award with the most recent dated amendment having the highest priority;
2. Contract Award and any attached Addenda;
3. The Request for Proposal form and the Contractor's Proposal, signed in ink
4. Amendments to RFP and any Questions and Answers; and
5. The original RFP document and any Addenda.

These documents constitute the entirety of the contract.

Unless otherwise specifically stated in a contract amendment, in case of any conflict between the incorporated documents, the documents shall govern in the following order of preference with number one (1) receiving preference over all other documents and with each lower numbered document having preference over any higher numbered document: 1) Amendment to Contract Award with the most recent dated amendment having the highest priority, 2) Contract Award and any attached Addenda, 3) the signed Request for Proposal form and the Contractor's Proposal, 4) Amendments to RFP and any Questions and Answers, 5) the original RFP document and any Addenda.

Any ambiguity in any provision of this contract which shall be discovered after its execution shall be resolved in accordance with the rules of contract interpretation as established in the State of Nebraska.

Once proposals are opened they become the property of the State of Nebraska and will not be returned.

B. AWARD

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

All purchases, leases, or contracts which are based on competitive proposals will be awarded according to the provisions in the Request for Proposal. The State reserves the right to reject any or all proposals, in whole or in part, or to award to multiple bidders in whole or in part, and at its discretion, may withdraw or amend the Request for Proposal at any time. The State reserves the right to waive any deviations or errors that are not material, do not invalidate the legitimacy of the proposal, and do not improve the bidder's competitive position. All awards will be made in a manner deemed in the best interest of the State. The Request for Proposal does not commit the State to award a contract. If, in the opinion of the State, revisions or amendments will require substantive changes in proposals, the due date may be extended.

By submitting a proposal in response to this Request for Proposal, the bidder grants to the State the right to contact or arrange a visit in person with any or all of the bidder's clients.

Once intent to award decision has been determined, it will be posted to the Internet at:

http://das.nebraska.gov/materiel/purchasing.html

Grievance and protest procedure is available on the Internet at:

http://das.nebraska.gov/materiel/purchase_bureau/docs/vendors/protest/ProtestGrievanceProcedureForVendors.pdf

Any protests must be filed by a vendor within ten (10) business days after the intent to award decision is posted to the Internet.

C. COMPLIANCE WITH CIVIL RIGHTS LAWS AND EQUAL OPPORTUNITY EMPLOYMENT / NON DISCRIMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor shall comply with all applicable local, state, and federal statutes and regulations regarding civil rights laws and equal opportunity employment. The Nebraska Fair Employment Practice Act prohibits Contractors of the State of Nebraska, and their Subcontractors, from discriminating against any employee or applicant for employment, with respect to hire, tenure, terms, conditions, compensation, or privileges of employment because of race, color, religion, sex, disability, marital status, or national origin (Neb. Rev. Stat. §§ 48-1101 to 48-1125). The Contractor guarantees compliance with the Nebraska Fair Employment Practice Act, and breach of this provision shall be regarded as a material breach of contract. The Contractor shall insert a similar provision in all Subcontracts for services to be covered by any contract resulting from this Request for Proposal.

D. PERMITS, REGULATIONS, LAWS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor shall procure and pay for all permits, licenses, and approvals necessary for the execution of the contract. The Contractor shall comply with all applicable local, state, and federal laws, ordinances, rules, orders, and regulations.

E. OWNERSHIP OF INFORMATION AND DATA

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State of Nebraska shall have the unlimited right to publish, duplicate, use, and disclose all information and data developed or derived by the Contractor pursuant to this contract.

The Contractor must guarantee that it has the full legal right to the materials, supplies, equipment, and other rights or titles (e.g. rights to licenses transfer or assign deliverables) necessary to execute this contract. The contract price shall, without exception, include compensation for all royalties and costs arising from patents, trademarks, and copyrights that are in any way involved in the contract. It shall be the responsibility of the Contractor to pay for all royalties and costs, and the State must be held harmless from any such claims.

F. INSURANCE REQUIREMENTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor shall not commence work under this contract until all the insurance required hereunder has been obtained and such insurance has been approved by the State. The Contractor shall maintain all required insurance for the life of this contract and shall ensure that the State Purchasing Bureau has the most current certificate of insurance throughout the life of this contract. If Contractor will be utilizing any Subcontractors, the Contractor is responsible for obtaining the certificate(s) of insurance required herein under from any and all Subcontractor(s). The Contractor is also responsible for ensuring Subcontractor(s) maintain the insurance required until completion of the contract requirements. The Contractor shall not allow any Subcontractor to commence work on any Subcontract until all similar insurance required of the Subcontractor has been obtained and approved by the Contractor. Approval of the insurance by the State shall not limit, relieve, or decrease the liability of the Contractor hereunder.

If by the terms of any insurance a mandatory deductible is required, or if the Contractor elects to increase the mandatory deductible amount, the Contractor shall be responsible for payment of the amount of the deductible in the event of a paid claim.

Insurance coverages shall function independent of all other clauses in the contract, and in no instance shall the limits of recovery from the insurance be reduced below the limits required by this section.

1. WORKER'S COMPENSATION INSURANCE

The Contractor shall take out and maintain during the life of this contract the statutory Workers' Compensation and Employer's Liability Insurance for all of the contactors' employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the Subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the Subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. This policy shall include a waiver of subrogation in favor of the State. The amounts of such insurance shall not be less than the limits stated hereinafter.

2. COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE

The Contractor shall take out and maintain during the life of this contract such Commercial General Liability Insurance and Commercial Automobile Liability Insurance as shall protect Contractor and any Subcontractor performing work covered by this contract from claims for damages for bodily injury, including death, as well as from claims for property damage, which may arise from operations under this contract, whether such operation be by the Contractor or by any Subcontractor or by anyone directly or indirectly employed by either of them, and the amounts of such insurance shall not be less than limits stated hereinafter.

The Commercial General Liability Insurance shall be written on an occurrence basis, and provide Premises/Operations, Products/Completed Operations, Independent Contractors, Personal Injury, and Contractual Liability coverage. The policy shall include the State, and others as required by the contract documents, as Additional Insured(s). This policy shall be primary, and any insurance or self-insurance carried by the State shall be considered excess and non-contributory. The Commercial Automobile Liability Insurance shall be written to cover all Owned, Non-owned, and Hired vehicles.

3. INSURANCE COVERAGE AMOUNTS REQUIRED

COMMERCIAL GENERAL LIABILITY	
General Aggregate	$2,000,000
Products/Completed Operations Aggregate	$2,000,000
Personal/Advertising Injury	$1,000,000 per occurrence
Bodily Injury/Property Damage	$1,000,000 per occurrence
Fire Damage	$50,000 any one fire
Medical Payments	$10,000 any one person
Damage to Rented Premises	$300,000 each occurrence
Contractual	Included
XCU Liability (Explosion, Collapse, and Underground Damage)	Included
Independent Contractors	Included
Abuse & Molestation	Included
If higher limits are required, the Umbrella/Excess Liability limits are allowed to satisfy the higher limit.	
WORKER'S COMPENSATION	
Employers Liability Limits	$500K/$500K/$500K
Statutory Limits- All States	Statutory - State of Nebraska
USL&H Endorsement	Statutory
Voluntary Compensation	Statutory
COMMERCIAL AUTOMOBILE LIABILITY	
Bodily Injury/Property Damage	$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
Motor Carrier Act Endorsement	Where Applicable
UMBRELLA/EXCESS LIABILITY	

Over Primary Insurance	$5,000,000
PROFESSIONAL LIABILITY	
All Other Professional Liability (Errors & Omissions)	$5,000,000 Per Claim / Aggregate
COMMERCIAL CRIME	
Crime/Employee Dishonesty Including 3rd Party Fidelity	$1,000,000
CYBER LIABILITY	
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties	$10,000,000
SUBROGATION WAIVER	
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."	
LIABILITY WAIVER	
"Commercial General Liability & Commercial Automobile Liability policies shall be primary and any insurance or self-insurance carried by the State shall be considered excess and non-contributory."	

4. EVIDENCE OF COVERAGE

The Contractor should furnish the State, with their proposal response, a certificate of insurance coverage complying with the above requirements to the attention of the Buyer at 402-471-2089 (fax)

Administrative Services
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, NE 68508

These certificates or the cover sheet shall reference the RFP number, and the certificates shall include the name of the company, policy numbers, effective dates, dates of expiration, and amounts and types of coverage afforded. If the State is damaged by the failure of the Contractor to maintain such insurance, then the Contractor shall be responsible for all reasonable costs properly attributable thereto.

Notice of cancellation of any required insurance policy must be submitted to Administrative Services State Purchasing Bureau when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

G. COOPERATION WITH OTHER CONTRACTORS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State may already have in place or choose to award supplemental contracts for work related to this Request for Proposal, or any portion thereof.

1. The State reserves the right to award the contract jointly between two or more potential Contractors, if such an arrangement is in the best interest of the State.
2. The Contractor shall agree to cooperate with such other Contractors, and shall not commit or permit any act which may interfere with the performance of work by any other Contractor.

H. INDEPENDENT CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

DC			

It is agreed that nothing contained herein is intended or should be construed in any manner as creating or establishing the relationship of partners between the parties hereto. The Contractor represents that it has, or will secure at its own expense, all personnel required to perform the services under the contract. The Contractor's employees and other persons engaged in work or services required by the contractor under the contract shall have no contractual relationship with the State; they shall not be considered employees of the State.

All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination against the Contractor, its officers, or its agents) shall in no way be the responsibility of the State. The Contractor will hold the State harmless from any and all such claims. Such personnel or other persons shall not require nor be entitled to any compensation, rights, or benefits from the State including without limit, tenure rights, medical and hospital care, sick and vacation leave, severance pay, or retirement benefits.

I. CONTRACTOR RESPONSIBILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor is solely responsible for fulfilling the contract, with responsibility for all services offered and products to be delivered as stated in the Request for Proposal, the Contractor's proposal, and the resulting contract. The Contractor shall be the sole point of contact regarding all contractual matters.

If the Contractor intends to utilize any Subcontractor's services, the Subcontractor's level of effort, tasks, and time allocation must be clearly defined in the Contractor's proposal. The Contractor shall agree that it will not utilize any Subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State. Following execution of the contract, the Contractor shall proceed diligently with all services and shall perform such services with qualified personnel in accordance with the contract.

J. CONTRACTOR PERSONNEL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor warrants that all persons assigned to the project shall be employees of the Contractor or specified Subcontractors, and shall be fully qualified to perform the work required herein. Personnel employed by the Contractor to fulfill the terms of the contract shall remain under the sole direction and control of the Contractor. The Contractor shall include a similar provision in any contract with any Subcontractor selected to perform work on the project.

Personnel commitments made in the Contractor's proposal shall not be changed without the prior written approval of the State. Replacement of key personnel, if approved by the State, shall be with personnel of equal or greater ability and qualifications.

The State reserves the right to require the Contractor to reassign or remove from the project any Contractor or Subcontractor employee.

In respect to its employees, the Contractor agrees to be responsible for the following:

1. any and all employment taxes and/or other payroll withholding;
2. any and all vehicles used by the Contractor's employees, including all insurance required by state law;
3. damages incurred by Contractor's employees within the scope of their duties under the contract;
4. maintaining workers' compensation and health insurance and submitting any reports on such insurance to the extent required by governing State law; and
5. determining the hours to be worked and the duties to be performed by the Contractor's employees.

K. CONTRACT CONFLICTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Contractor shall insure that contracts or agreements with sub-contractors and agents, and the performance of services in relation to this contract by sub-contractors and agents, does not conflict with this contract.

L. STATE OF NEBRASKA PERSONNEL RECRUITMENT PROHIBITION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor shall not, at any time, recruit or employ any State employee or agent who has worked on the Request for Proposal or project, or who had any influence on decisions affecting the Request for Proposal or project.

M. CONFLICT OF INTEREST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

By submitting a proposal, bidder certifies that there does not now exist any relationship between the bidder and any person or entity which is or gives the appearance of a conflict of interest related to this Request for Proposal or project.

The bidder certifies that it shall not take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its services hereunder or which creates an actual or appearance of conflict of interest.

The bidder certifies that it will not employ any individual known by bidder to have a conflict of interest.

N. PROPOSAL PREPARATION COSTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State shall not incur any liability for any costs incurred by bidders in replying to this Request for Proposal, in the demonstrations and/or oral presentations, or in any other activity related to bidding on this Request for Proposal.

O. ERRORS AND OMISSIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The bidder shall not take advantage of any errors and/or omissions in this Request for Proposal or resulting contract. The bidder must promptly notify the State of any errors and/or omissions that are discovered.

P. BEGINNING OF WORK

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The bidder shall not commence any billable work until a valid contract has been fully executed by the State and the successful Contractor. The Contractor will be notified in writing when work may begin.

Q. ASSIGNMENT BY THE STATE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State shall have the right to assign or transfer the contract or any of its interests herein to any agency, board, commission, or political subdivision of the State of Nebraska. There shall be no charge to the State for any assignment hereunder.

R. ASSIGNMENT BY THE CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor may not assign, voluntarily or involuntarily, the contract or any of its rights or obligations hereunder (including without limitation rights and duties of performance) to any third party, without the prior written consent of the State, which will not be unreasonably withheld.

S. DEVIATIONS FROM THE REQUEST FOR PROPOSAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The requirements contained in the Request for Proposal become a part of the terms and conditions of the contract resulting from this Request for Proposal. Any deviations from the Request for Proposal must be clearly defined by the bidder in its proposal and, if accepted by the State, will become part of the contract. Any specifically defined deviations must not be in conflict with the basic nature of the Request for Proposal, mandatory requirements, or applicable state or federal laws or statutes. "Deviation", for the purposes of this RFP, means any proposed changes or alterations to either the contractual language or deliverables within the scope of this RFP. The State discourages deviations and reserves the right to reject proposed deviations.

T. GOVERNING LAW

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The contract shall be governed in all respects by the laws and statutes of the State of Nebraska. Any legal proceedings against the State of Nebraska regarding this Request for Proposal or any resultant contract shall be brought in the State of Nebraska administrative or judicial forums as defined by State law. The Contractor must be in compliance with all Nebraska statutory and regulatory law.

U. ATTORNEY'S FEES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within	NOTES/COMMENTS:

		RFP Response (Initial)	
DC			

In the event of any litigation, appeal, or other legal action to enforce any provision of the contract, the Contractor agrees to pay all expenses of such action, as permitted by law, including attorney's fees and costs, if the State is the prevailing party.

V. ADVERTISING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor agrees not to refer to the contract award in advertising in such a manner as to state or imply that the company or its services are endorsed or preferred by the State. News releases pertaining to the project shall not be issued without prior written approval from the State.

W. STATE PROPERTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor shall be responsible for the proper care and custody of any State-owned property which is furnished for the Contractor's use during the performance of the contract. The Contractor shall reimburse the State for any loss or damage of such property; normal wear and tear is expected.

X. SITE RULES AND REGULATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor shall use its best efforts to ensure that its employees, agents, and Subcontractors comply with site rules and regulations while on State premises. If the Contractor must perform on-site work outside of the daily operational hours set forth by the State, it must make arrangements with the State to ensure access to the facility and the equipment has been arranged. No additional payment will be made by the State on the basis of lack of access, unless the State fails to provide access as agreed to between the State and the Contractor.

Y. NOTIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

During the bid process, all communication between the State and a bidder shall be between the bidder's representative clearly noted in its proposal and the buyer noted in Section II.A. Procuring Office and Contact Person, of this RFP. After the award of the contract, all notices under the contract shall be deemed duly given upon delivery to the staff designated as the point of contact for this Request for Proposal, in person, or upon delivery by U.S. Mail, facsimile, or e-mail. Each bidder should provide in its proposal the name, title, and complete address of its designee to receive notices.

1. Except as otherwise expressly specified herein, all notices, requests, or other communications shall be in writing and shall be deemed to have been given if delivered personally or mailed, by U.S. Mail, postage prepaid, return receipt requested, to the parties at their respective addresses set forth above, or at such other addresses as may be specified in writing by either of the parties. All notices, requests, or communications shall be deemed effective upon personal delivery or three (3) calendar days following deposit in the mail.
2. Whenever the Contractor encounters any difficulty which is delaying or threatens to delay its timely performance under the contract, the Contractor shall immediately give notice thereof in writing to the State reciting all relevant information with respect thereto. Such notice shall not in any way constitute a basis for an extension of the delivery schedule or be construed as a waiver by the State of any of its rights or remedies to which it is entitled by law or equity or pursuant to the provisions of the contract. Failure to give such notice, however, may be grounds for denial of any request for an extension of the delivery schedule because of such delay.

Either party may change its address for notification purposes by giving notice of the change, and setting forth the new address and an effective date.

For the duration of the contract, all communication between Contractor and the State regarding the contract shall take place between the Contractor and individuals specified by the State in writing. Communication about the contract between Contractor and individuals not designated as points of contact by the State is strictly forbidden.

Z. EARLY TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			PCC agrees to this requirement; however, we would like to know what is included in the performance report to ensure that we meet the expectations of the SoS.

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.
2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the

Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.

3. The State may terminate the contract immediately for the following reasons:

a. if directed to do so by statute;
b. Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;
c. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
d. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
e. an involuntary proceeding has been commenced by any party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
f. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
g. Contractor intentionally discloses confidential information;
h. Contractor has or announces it will discontinue support of the deliverable;
i. second or subsequent documented "vendor performance report" form deemed acceptable by the State Purchasing Bureau; or
j. Contractor engaged in collusion or actions which could have provided Contractor an unfair advantage in obtaining this contract.

AA. FUNDING OUT CLAUSE OR LOSS OF APPROPRIATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State may terminate the contract, in whole or in part, in the event funding is no longer available. The State's obligation to pay amounts due for fiscal years following the current fiscal year is contingent upon legislative appropriation of funds for the contract. Should said funds not be appropriated, the State may terminate the contract with respect to those payments for the fiscal years for which such funds are not appropriated. The State will give the Contractor written notice thirty (30) calendar days prior to the effective date of any termination, and advise the Contractor of the location (address and room number) of any related equipment. All obligations of the State to make payments after the termination date will cease and all interest of the State in any related equipment will terminate. The Contractor shall be entitled to receive just and equitable compensation for any authorized work which has been satisfactorily completed as of the termination date. In no event shall the Contractor be paid for a loss of anticipated profit.

BB. BREACH BY CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

DC			

The State may terminate the contract, in whole or in part, if the Contractor fails to perform its obligations under the contract in a timely and proper manner. The State may, by providing a written notice of default to the Contractor, allow the Contractor to cure a failure or breach of contract within a period of thirty (30) calendar days (or longer at State's discretion considering the gravity and nature of the default). Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing the Contractor time to cure a failure or breach of contract does not waive the State's right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby.

CC. ASSURANCES BEFORE BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

If any document or deliverable required pursuant to the contract does not fulfill the requirements of the Request for Proposal/resulting contract, upon written notice from the State, the Contractor shall deliver assurances in the form of additional Contractor resources at no additional cost to the project in order to complete the deliverable, and to ensure that other project schedules will not be adversely affected.

DD. ADMINISTRATION – CONTRACT TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

1. Contractor must provide confirmation that upon contract termination all deliverables prepared in accordance with this agreement shall become the property of the State of Nebraska; subject to the ownership provision (section E) contained herein, and is provided to the State of Nebraska at no additional cost to the State.
2. Contractor must provide confirmation that in the event of contract termination, all records that are the property of the State will be returned to the State within thirty (30) calendar days. Notwithstanding the above, Contractor may retain one copy of any information as required to comply with applicable work product documentation standards or as are automatically retained in the course of Contractor's routine back up procedures.

EE. PENALTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

In the event that the Contractor fails to perform any substantial obligation under the contract, the State may withhold all monies due and payable to the Contractor, without penalty, until such failure is cured or otherwise adjudicated.

FF. RETAINAGE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State will withhold 10 percent (10%) of each payment due as retainage. 75% of the retainage amount will be payable after 120 days post Go-Live sign off and 25% will be payable after quarterly, annual, and biennial processes are completed and verified. The Contractor will invoice the State for the retainage. The State may reject any invoice for retainage by identifying the specific reasons for such rejection in writing to the Contractor within forty-five (45) calendar days of receipt of each retainage invoice. .

GG. PERFORMANCE BOND

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor will be required to supply a bond executed by a corporation authorized to contract surety in the State of Nebraska, payable to the State of Nebraska, which shall be valid for the life of the contract to include any renewal and/or extension periods. The amount of the bond must be an established dollar amount of $250,000. The bond will guarantee that the Contractor will faithfully perform all requirements, terms and conditions of the contract. Failure to comply shall be grounds for forfeiture of the bond as liquidated damages. Amount of forfeiture will be determined by the agency based on loss to the State. The bond will be returned when the service has been satisfactorily completed as solely determined by the State, after termination or expiration of the contract.

HH. FORCE MAJEURE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Neither party shall be liable for any costs or damages resulting from its inability to perform any of its obligations under the contract due to a natural disaster, or other similar event outside the control and not the fault of the affected party ("Force Majeure Event"). A Force Majeure Event shall not constitute a breach of the contract. The party so affected shall immediately give notice to the other party of the Force Majeure Event. The State may grant relief from performance of the contract if the Contractor is prevented from performance by a Force Majeure Event. The burden of proof for the need for such relief shall rest upon the Contractor. To obtain release based on a Force Majeure Event, the Contractor shall file a written request for such relief with the State Purchasing Bureau. Labor disputes with the impacted party's own

employees will not be considered a Force Majeure Event and will not suspend performance requirements under the contract.

II. PROHIBITION AGAINST ADVANCE PAYMENT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Payments shall not be made until contractual deliverable(s) are received and accepted by the State.

JJ. PAYMENT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

State will render payment to Contractor when the terms and conditions of the contract and specifications have been satisfactorily completed on the part of the Contractor as solely determined by the State. Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §§ 81-2401 through 81-2408). The State may require the Contractor to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any services provided by the Contractor prior to the Effective Date, and the Contractor hereby waives any claim or cause of action for any such services.

KK. INVOICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Invoices for payments must be submitted by the Contractor to the agency requesting the services with sufficient detail to support payment. The terms and conditions included in the Contractor's invoice shall be deemed to be solely for the convenience of the parties. No terms or conditions of any such invoice shall be binding upon the State, and no action by the State, including without limitation the payment of any such invoice in whole or in part, shall be construed as binding or estopping the State with respect to any such term or condition, unless the invoice term or condition has been previously agreed to by the State as an amendment to the contract.

LL. RIGHT TO AUDIT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within	NOTES/COMMENTS:

		RFP Response (Initial)	
DC			

Contractor shall establish and maintain a reasonable accounting system that enables the State to readily audit contract. The State and its authorized representatives shall have the right to audit, to examine, and to make copies of or extracts from all financial and related records (in whatever form they may be kept, whether written, electronic, or other) relating to or pertaining to this contract kept by or under the control of the Contractor, including, but not limited to those kept by the Contractor, its employees, agents, assigns, successors, and Subcontractors. Such records shall include, but not be limited to, accounting records, written policies and procedures; all paid vouchers including those for out-of-pocket expenses; other reimbursement supported by invoices; ledgers; cancelled checks; deposit slips; bank statements; journals; original estimates; estimating work sheets; contract amendments and change order files; back charge logs and supporting documentation; insurance documents; payroll documents; timesheets; memoranda; and correspondence.

Contractor shall, at all times during the term of this contract and for a period of five (5) years after the completion of this contract, maintain such records, together with such supporting or underlying documents and materials. The Contractor shall at any time requested by the State, whether during or after completion of this contract and at Contractor's own expense make such records available for inspection and audit (including copies and extracts of records as required) by the State. Such records shall be made available to the State during normal business hours at the Contractor's office or place of business. In the event that no such location is available, then the financial records, together with the supporting or underlying documents and records, shall be made available for audit at a time and location that is convenient for the State. Contractor shall ensure the State has these rights with Contractor's assigns, successors, and Subcontractors, and the obligations of these rights shall be explicitly included in any subcontracts or agreements formed between the Contractor and any Subcontractors to the extent that those Subcontracts or agreements relate to fulfillment of the Contractor's obligations to the State.

Costs of any audits conducted under the authority of this right to audit and not addressed elsewhere will be borne by the State unless certain exemption criteria are met. If the audit identifies overpricing or overcharges (of any nature) by the Contractor to the State in excess of one-half of one percent (.5%) of the total contract billings, the Contractor shall reimburse the State for the total costs of the audit. If the audit discovers substantive findings related to fraud, misrepresentation, or non-performance, the Contractor shall reimburse the State for total costs of audit. Any adjustments and/or payments that must be made as a result of any such audit or inspection of the Contractor's invoices and/or records shall be made within a reasonable amount of time (not to exceed 90 days) from presentation of the State's findings to Contractor.

MM. TAXES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State is not required to pay taxes of any kind and assumes no such liability as a result of this solicitation. Any property tax payable on the Contractor's equipment which may be installed in a state-owned facility is the responsibility of the Contractor.

NN. INSPECTION AND APPROVAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Final inspection and approval of all work required under the contract shall be performed by the designated State officials. The State and/or its authorized representatives shall have the right to enter any premises where the Contractor or Subcontractor duties under the contract are being performed, and to inspect, monitor or otherwise evaluate the work being performed. All inspections and evaluations shall be at reasonable times and in a manner that will not unreasonably delay work.

OO. CHANGES IN SCOPE/CHANGE ORDERS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State may, upon the written agreement of Contractor, make changes to the contract within the general scope of the RFP. The State may, at any time work is in progress, by written agreement, make alterations in the terms of work as shown in the specifications, require the Contractor to make corrections, decrease the quantity of work, or make such other changes as the State may find necessary or desirable. The Contractor shall not claim forfeiture of contract by reasons of such changes by the State. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices if any, or a pro-rated value.

Corrections of any deliverable, service or performance of work required pursuant to the contract shall not be deemed a modification. Changes or additions to the contract beyond the scope of the RFP are not permitted.

PP. SEVERABILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

If any term or condition of the contract is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and conditions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the contract did not contain the particular provision held to be invalid.

QQ. CONFIDENTIALITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within	NOTES/COMMENTS:

		RFP Response (Initial)	
DC			

All materials and information provided by the State or acquired by the Contractor on behalf of the State shall be regarded as confidential information. All materials and information provided by the State or acquired by the Contractor on behalf of the State shall be handled in accordance with federal and state law, and ethical standards. The Contractor must ensure the confidentiality of such materials or information. Should said confidentiality be breached by a Contractor, Contractor shall notify the State immediately of said breach and take immediate corrective action.

It is incumbent upon the Contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1), which is made applicable to Contractors by 5 U.S.C. 552a (m)(1), provides that any officer or employee of a Contractor, who by virtue of his/her employment or official position has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

RR. PROPRIETARY INFORMATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Data contained in the proposal and all documentation provided therein, become the property of the State of Nebraska and the data becomes public information upon opening the proposal. If the bidder wishes to have any information withheld from the public, such information must fall within the definition of proprietary information contained within Nebraska's public record statutes. **All proprietary information the bidder wishes the State to withhold must be submitted in a sealed package, which is separate from the remainder of the proposal, and provide supporting documents showing why such documents should be marked proprietary.** The separate package must be clearly marked PROPRIETARY on the outside of the package. **Bidders may not mark their entire Request for Proposal as proprietary**. Bidder's cost proposals may not be marked as proprietary information. Failure of the bidder to follow the instructions for submitting proprietary and copyrighted information may result in the information being viewed by other bidders and the public. Proprietary information is defined as trade secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and serve no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Attorney General Opinions 92068 and 97033, bidders submitting information as proprietary may be required to prove specific, named competitor(s) who would be advantaged by release of the information and the specific advantage the competitor(s) would receive. Although every effort will be made to withhold information that is properly submitted as proprietary and meets the State's definition of proprietary information, the State is under no obligation to maintain the confidentiality of proprietary information and accepts no liability for the release of such information.

SS. CERTIFICATION OF INDEPENDENT PRICE DETERMINATION/COLLUSIVE BIDDING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

By submission of this proposal, the bidder certifies that it is the party making the foregoing proposal and that the proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the proposal is genuine and not collusive or sham; that the bidder has not directly or indirectly induced or solicited any other bidder to put in a false or sham proposal, and has not directly or indirectly colluded, conspired, connived, or agreed with any bidder or anyone else to put in a sham proposal, or that anyone shall refrain from bidding; that the bidder has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the proposal price of the bidder or any other bidder, or to fix any overhead, profit, or cost element of the proposal price, or of that of any other bidder, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the proposal are true; and further that the bidder has not, directly or indirectly, submitted the proposal price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company association, organization, proposal depository, or to any member or agent thereof to effectuate a collusive or sham proposal.

TT. STATEMENT OF NON-COLLUSION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The proposal shall be arrived at by the bidder independently and be submitted without collusion with, and without any direct or indirect agreement, understanding or planned common course of action with, any person; firm; corporation; bidder; Contractor of materials, supplies, equipment or services described in this RFP. Bidder shall not collude with, or attempt to collude with, any state officials, employees or agents; or evaluators or any person involved in this RFP. The bidder shall not take any action in the restraint of free competition or designed to limit independent bidding or to create an unfair advantage.

Should it be determined that collusion occurred, the State reserves the right to reject a bid or terminate the contract and impose further administrative sanctions.

UU. PRICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

All prices, costs, and terms and conditions outlined in the proposal shall remain fixed and valid commencing on the opening date of the proposal until an award is made (and for bidder

receiving award, prices shall remain as bid for the duration of the contract unless otherwise so stated in the contract) or the Request for Proposal is cancelled.

Prices quoted on the Cost Proposal form shall remain fixed for the initial contract period. At renewal time rates may increase no more than 5% upon mutual written agreement by Contractor and SoS, and be accompanied by documentation justifying the price increase. Further documentation may be required by the State to justify the increase. The State reserves the right to deny any requested price increase. No price increases are to be billed to any State Agencies prior to written amendment of the contract by the parties.

The State will be given full proportionate benefit of any price decrease during the term of the contract.

Contractor represents and warrants that all prices for services, now or subsequently specified, are as low as and no higher than prices which the Contractor has charged or intends to charge customers other than the State for the same or similar products and services of the same or equivalent quantity and quality for delivery or performance during the same periods of time. If, during the term of the contract, the Contractor shall reduce any and/or all prices charged to any customers other than the State for the same or similar products or services specified herein, the Contractor shall make an equal or equivalent reduction in corresponding prices for said specified products or services.

Contractor also represents and warrants that all prices set forth in the contract and all prices in addition, which the Contractor may charge under the terms of the contract, do not and will not violate any existing federal, state, or municipal law or regulations concerning price discrimination and/or price fixing. Contractor agrees to hold the State harmless from any such violation. Prices quoted shall not be subject to increase throughout the contract period unless specifically allowed by these specifications.

VV. BEST AND FINAL OFFER

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The State will compile the final scores for all parts of each proposal. The award may be granted to the highest scoring responsive and responsible bidder. Alternatively, the highest scoring bidder or bidders may be requested to submit best and final offers. If best and final offers are requested by the State and submitted by the bidder, they will be evaluated (using the stated criteria), scored, and ranked by the Evaluation Committee. The award will then be granted to the highest scoring bidder. However, a bidder should provide its best offer in its original proposal. Bidders should not expect that the State will request a best and final offer.

WW. ETHICS IN PUBLIC CONTRACTING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

No bidder shall pay or offer to pay, either directly or indirectly, any fee, commission compensation, gift, gratuity, or anything of value to any State officer, legislator, employee or evaluator based on the understanding that the receiving person's vote, actions, or judgment will

be influenced thereby. No bidder shall give any item of value to any employee of the State Purchasing Bureau or any evaluator.

Bidders shall be prohibited from utilizing the services of lobbyists, attorneys, political activists, or consultants to secure the contract. It is the intent of this provision to assure that the prohibition of state contact during the procurement process is not subverted through the use of lobbyists, attorneys, political activists, or consultants. It is the intent of the State that the process of evaluation of proposals and award of the contract be completed without external influence. It is not the intent of this section to prohibit bidders from seeking professional advice, for example consulting legal counsel, regarding terms and conditions of this Request for Proposal or the format or content of their proposal.

If the bidder is found to be in non-compliance with this section of the Request for Proposal, they may forfeit the contract if awarded to them or be disqualified from the selection process.

XX. INDEMNIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

1. GENERAL

The Contractor agrees to defend, indemnify, hold, and save harmless the State and its employees, volunteers, agents, and its elected and appointed officials ("the indemnified parties") from and against any and all claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses ("the claims"), sustained or asserted against the State, arising out of, resulting from, or attributable to the willful misconduct, negligence, error, or omission of the Contractor, its employees, Subcontractors, consultants, representatives, and agents, except to the extent such Contractor liability is attenuated by any action of the State which directly and proximately contributed to the claims.

2. INTELLECTUAL PROPERTY

The Contractor agrees it will, at its sole cost and expense, defend, indemnify, and hold harmless the indemnified parties from and against any and all claims, to the extent such claims arise out of, result from, or are attributable to, the actual or alleged infringement or misappropriation of any patent, copyright, trade secret, trademark, or confidential information of any third party by the Contractor or its employees, Subcontractors, consultants, representatives, and agents; provided, however, the State gives the Contractor prompt notice in writing of the claim. The Contractor may not settle any infringement claim that will affect the State's use of the Licensed Software without the State's prior written consent, which consent may be withheld for any reason.

If a judgment or settlement is obtained or reasonably anticipated against the State's use of any intellectual property for which the Contractor has indemnified the State, the Contractor shall, at the Contractor's sole cost and expense, promptly modify the item or items which were determined to be infringing, acquire a license or licenses on the State's behalf to provide the necessary rights to the State to eliminate the infringement, or provide the State with a non-infringing substitute that provides the State the same functionality. At the State's election, the actual or anticipated judgment may be treated as a breach of warranty by the Contractor, and the State may receive the remedies provided under this RFP.

3. PERSONNEL

The Contractor shall, at its expense, indemnify and hold harmless the indemnified parties from and against any claim with respect to withholding taxes, worker's compensation, employee benefits, or any other claim, demand, liability, damage, or loss of any nature relating to any of the personnel provided by the Contractor.

4. SELF-INSURANCE

The State of Nebraska is self-insured for any loss and purchases excess insurance coverage pursuant to Neb. Rev. Stat. § 81-8,239.01 (Reissue 2008). If there is a presumed loss under the provisions of this agreement, Contractor may file a claim with the Office of Risk Management pursuant to Neb. Rev. Stat. §§ 81-8,829 – 81-8,306 for review by the State Claims Board. The State retains all rights and immunities under the State Miscellaneous (Section 81-8,294), Tort (Section 81-8,209), and Contract Claim Acts (Section 81-8,302), as outlined in Neb. Rev. Stat. § 81-8,209 et seq. and under any other provisions of law and accepts liability under this agreement to the extent provided by law.

YY. NEBRASKA TECHNOLOGY ACCESS STANDARDS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Contractor shall review the Nebraska Technology Access Standards, found at http://nitc.nebraska.gov/standards/2-201.htm and ensure that products and/or services provided under the contract are in compliance or will comply with the applicable standards to the greatest degree possible. In the event such standards change during the Contractor's performance, the State may create an amendment to the contract to request the contract comply with the changed standard at a cost mutually acceptable to the parties.

ZZ. ANTITRUST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor hereby assigns to the State any and all claims for overcharges as to goods and/or services provided in connection with this contract resulting from antitrust violations which arise under antitrust laws of the United States and the antitrust laws of the State.

AAA. DISASTER RECOVERY/BACK UP PLAN

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor shall have a disaster recovery and back-up plan, of which a copy should be provided to the State, which includes, but is not limited to equipment, personnel, facilities, and

transportation, in order to continue services as specified under the specifications in the contract in the event of a disaster.

BBB. TIME IS OF THE ESSENCE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Time is of the essence in this contract. The acceptance of late performance with or without objection or reservation by the State shall not waive any rights of the State nor constitute a waiver of the requirement of timely performance of any obligations on the part of the Contractor remaining to be performed.

CCC. RECYCLING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Preference will be given to items which are manufactured or produced from recycled material or which can be readily reused or recycled after their normal use as per Neb. Rev. Stat. § 81-15,159.

DDD. DRUG POLICY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

Contractor certifies it maintains a drug free work place environment to ensure worker safety and workplace integrity. Contractor agrees to provide a copy of its drug free workplace policy at any time upon request by the State.

EEE. EMPLOYEE WORK ELIGIILITY STATUS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor is required and hereby agrees to use a federal immigration verification system to determine the work eligibility status of employees physically performing services within the State of Nebraska. A federal immigration verification system means the electronic verification of the work authorization program authorized by the Illegal Immigration Reform and Immigrant

Responsibility Act of 1996, 8 U.S.C. 1324a, known as the E-Verify Program, or an equivalent federal program designated by the United States Department of Homeland Security or other federal agency authorized to verify the work eligibility status of an employee.

If the Contractor is an individual or sole proprietorship, the following applies:

1. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at http://das.nebraska.gov/materiel/purchasing.html

   The completed United States Attestation Form should be submitted with the Request for Proposal response.

2. If the Contractor indicates on such attestation form that he or she is a qualified alien, the Contractor agrees to provide the US Citizenship and Immigration Services documentation required to verify the Contractor's lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program.

3. The Contractor understands and agrees that lawful presence in the United States is required and the Contractor may be disqualified or the contract terminated if such lawful presence cannot be verified as required by Neb. Rev. Stat. § 4-108.

FFF. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND INELIGIBILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor, by signature to this RFP, certifies that the Contractor is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency from participating in transactions (debarred). The Contractor also agrees to include the above requirements in any and all Subcontracts into which it enters. The Contractor shall immediately notify the Department if, during the term of this contract, Contractor becomes debarred. The Department may immediately terminate this contract by providing Contractor written notice if Contractor becomes debarred during the term of this contract.

Contractor, by signature to this RFP, certifies that Contractor has not had a contract with the State of Nebraska terminated early by the State of Nebraska. If Contractor has had a contract terminated early by the State of Nebraska, Contractor must provide the contract number, along with an explanation of why the contract was terminated early. Prior early termination may be cause for rejecting the proposal.

GGG. POLITICAL SUB-DIVISIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
DC			

The Contractor may extend the contract to political sub-divisions conditioned upon the honoring of the prices charged to the State. Terms and conditions of the Contract must be met by political sub-divisions. Under no circumstances shall the State be contractually obligated or liable for any purchases by political sub-divisions or other public entities not authorized by Neb. Rev. Stat. § 81-145, listed as "all officers of the state, departments, bureaus, boards, commissions,

councils, and institutions receiving legislative appropriations." A listing of Nebraska political subdivisions may be found at the website of the Nebraska Auditor of Public Accounts.

EVIDENCE OF INSURANCE

PCC has complied with the instructions in the RFP to fax our Certificate of Insurance to the State Purchasing Bureau. We provide a copy following this page.

The rest of this page is intentionally left blank.

184089

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY): 7/15/2016

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER	CONTACT NAME: Alice Brutcher	
Commercial Lines - 952-242-3100 Wells Fargo Insurance Services USA, Inc. 400 Highway 169 South St. Louis Park, MN 55426	PHONE (A/C, No, Ext): (952) 242-3075	FAX (A/C, No):
	E-MAIL ADDRESS: alice.brutcher@wellsfargo.com	
	INSURER(S) AFFORDING COVERAGE	NAIC #
	INSURER A : Hartford Fire Insurance Company	19682
INSURED PCC Technology Inc. 100 Northfield Drive Ste 300A Windsor, CT 06095	INSURER B : Hartford Casualty Insurance Company	29424
	INSURER C : Lloyd's of London	
	INSURER D : AIG Specialty Insurance Company	26883
	INSURER E :	
	INSURER F :	

COVERAGES **CERTIFICATE NUMBER:** 10695108 **REVISION NUMBER:** See below

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	X COMMERCIAL GENERAL LIABILITY			41UUNVT0682	4/3/2016	4/3/2017	EACH OCCURRENCE	$ 1,000,000
	CLAIMS-MADE X OCCUR						DAMAGE TO RENTED PREMISES (Ea occurrence)	$ 300,000
							MED EXP (Any one person)	$ 10,000
							PERSONAL & ADV INJURY	$ 1,000,000
	GEN'L AGGREGATE LIMIT APPLIES PER:						GENERAL AGGREGATE	$ 2,000,000
	POLICY X PRO-JECT LOC						PRODUCTS - COMP/OP AGG	$ 2,000,000
	OTHER:							$
A	AUTOMOBILE LIABILITY			41UUNVT0682	4/3/2016	4/3/2017	COMBINED SINGLE LIMIT (Ea accident)	$ 1,000,000
	X ANY AUTO						BODILY INJURY (Per person)	$
	ALL OWNED AUTOS / SCHEDULED AUTOS						BODILY INJURY (Per accident)	$
	X HIRED AUTOS / X NON-OWNED AUTOS						PROPERTY DAMAGE (Per accident)	$
								$
B	UMBRELLA LIAB X OCCUR			41RHUVT0232	4/3/2016	4/3/2017	EACH OCCURRENCE	$ 10,000,000
	EXCESS LIAB CLAIMS-MADE						AGGREGATE	$ 10,000,000
	DED X RETENTION $ 10,000							$
B	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY Y/N			41WEAA0236	4/3/2016	4/3/2017	X PER STATUTE / OTH-ER	
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? N	N/A					E.L. EACH ACCIDENT	$ 1,000,000
	(Mandatory in NH)						E.L. DISEASE - EA EMPLOYEE	$ 1,000,000
	If yes, describe under DESCRIPTION OF OPERATIONS below						E.L. DISEASE - POLICY LIMIT	$ 1,000,000
C	Professional Liability & Cyber Liability-Claims Made Retro Date- 07/12/1993			W1B655160101	05/03/2016	04/03/2017	Each Claim: $5,000,000 Per Occurance: $5,000,000 Aggregate: $5,000,000	

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

Additional Insured: The State of Nebraska, Certificate holder, is an additionally insured, primary & noncontributory on the General Liability and Waiver of Subrogation on the Worker's Compensation in favor of the State of Nebraska as respects work performed by the named insured.
Independent Contractors are also an additional insured as respects independent contractor for project specified.

CERTIFICATE HOLDER

Administrative Services
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, NE 68508

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

The ACORD name and logo are registered marks of ACORD © 1988-2014 ACORD CORPORATION. All rights reserved.

(This certificate replaces certificate# 10695081 issued on 7/15/2016)

CID: 184089 SID: 10695108

Certificate of Insurance (Con't)

OTHER Coverage

INSR LTR	TYPE OF INSURANCE	ADDL INSR	WVD SUBR	POLICY NUMBER	EFFECTIVE DATE (MM/DD/YY)	EXPIRATION DATE (MM/DD/YY)	LIMIT
D	Cyber Liability			16152020	07/15/2016	4/3/2017	$5Mil xs $5Mil Excess Network Security

Proprietary and
Confidential

PROPRIETARY AND CONFIDENTIAL

A separate sheet must be provided that clearly states which sections have been submitted as proprietary or have copyrighted materials. All proprietary information the bidder wishes the State to withhold must be submitted in accordance with the instructions outlined in Section III, Proprietary Information.

Section III, RR. Proprietary Information

Data contained in the proposal and all documentation provided therein, become the property of the State of Nebraska and the data becomes public information upon opening the proposal. If the bidder wishes to have any information withheld from the public, such information must fall within the definition of proprietary information contained within Nebraska's public record statutes. All proprietary information the bidder wishes the State to withhold must be submitted in a sealed package, which is separate from the remainder of the proposal, and provide supporting documents showing why such documents should be marked proprietary. The separate package must be clearly marked PROPRIETARY on the outside of the package. Bidders may not mark their entire Request for Proposal as proprietary. Bidder's cost proposals may not be marked as proprietary information. Failure of the bidder to follow the instructions for submitting proprietary and copyrighted information may result in the information being viewed by other bidders and the public. Proprietary information is defined as trade secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and serve no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Attorney General Opinions 92068 and 97033, bidders submitting information as proprietary may be required to prove specific, named competitor(s) who would be advantaged by release of the information and the specific advantage the competitor(s) would receive. Although every effort will be made to withhold information that is properly submitted as proprietary and meets the State's definition of proprietary information, the State is under no obligation to maintain the confidentiality of proprietary information and accepts no liability for the release of such information.

PCC provides our proprietary and confidential sections in a separate envelope marked, "Proprietary and Confidential":

- Section 2, Financial Statements



Audits of Consolidated Financial Statements

December 31, 2015 and 2014

LAPORTE

LaPorte, APAC
7100 Village Walk | Suite 300
Covington, LA 70433
985.892.5850 | Fax 985.892.5956
LaPorte.com

Independent Auditor's Report

To the Members and Board of Directors of
GCR Acquisition Company, LLC

Report on the Consolidated Financial Statements
We have audited the accompanying consolidated financial statements of GCR Acquisition Company, LLC and subsidiaries (the Company), which comprise the consolidated balance sheets as of December 31, 2015 and 2014, and the related consolidated statements of income, members' equity, and cash flows for the years then ended and the related notes to the consolidated financial statements.

Management's Responsibility for the Consolidated Financial Statements
Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility
Our responsibility is to express an opinion on these consolidated financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion
In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of GCR Acquisition Company, LLC and subsidiaries as of December 31, 2015 and 2014, and the results of its operations and cash flows for the years then ended, in conformity with accounting principles generally accepted in the United States of America.

Report on Consolidating Information
Our audits were conducted for the purpose of forming an opinion on the consolidated financial statements as a whole. The consolidating information in Schedules I and II is presented for purposes of additional analysis of the consolidated financial statements rather than to present the financial position and results of operations of the individual companies, and is not a required part of the consolidated financial statements.

Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the consolidated financial statements. The consolidating information has been subjected to the auditing procedures applied in the audit of the consolidated financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the consolidated financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the consolidating information is fairly stated in all material respects in relation to the consolidated financial statements as a whole.



A Professional Accounting Corporation

Covington, LA
April 28, 2016

Consolidated Balance Sheets
December 31, 2015 and 2014

	2015	2014
Assets		
Current Assets		
Cash and Cash Equivalents	$ 4,720,644	$ 974,721
Accounts Receivable, Net of Allowance of $433,311 and $371,247, in 2015 and 2014, Respectively	10,792,952	10,451,798
Unbilled Receivables	1,126,203	1,474,027
Prepaid Expenses and Other Current Assets	1,325,507	681,075
Deferred Income Tax Asset, Current	662,467	436,940
Total Current Assets	18,627,773	14,018,561
Property and Equipment, Net	1,250,517	709,825
Other Assets		
Goodwill	24,743,388	22,163,845
Deferred Financing Costs, Net of Accumulated Amortization of $133,664 and $89,046, in 2015 and 2014, Respectively	89,428	89,046
Deposits	29,456	24,190
Total Other Assets	24,862,272	22,277,081
Total Assets	$ 44,740,562	$ 37,005,467

The accompanying notes are an integral part of these consolidated financial statements.

Consolidated Balance Sheets (Continued)
December 31, 2015 and 2014

	2015	2014
Liabilities and Members' Equity		
Current Liabilities		
Accounts Payable	$ 1,485,377	$ 2,054,411
Accrued Expenses	4,147,427	2,976,910
Accrued Income Taxes	462,670	411,898
Deferred Revenue	1,280,363	1,246,009
Current Portion of Long-Term Debt	1,875,000	1,250,000
Current Portion of Capital Leases	28,286	-
Total Current Liabilities	9,279,123	7,939,228
Long-Term Liabilities		
Long-Term Debt, Net of Current Portion	10,125,000	10,025,000
Capital Leases, Net of Current Portion	18,090	-
Deferred Income Tax Liability, Long-Term	371,159	158,230
Total Long-Term Liabilities	10,514,249	10,183,230
Total Liabilities	19,793,372	18,122,458
Members' Equity	24,947,190	18,883,009
Total Liabilities and Members' Equity	$ 44,740,562	$ 37,005,467

The accompanying notes are an integral part of these consolidated financial statements.

Consolidated Statements of Income
For the Years Ended December 31, 2015 and 2014

	2015	2014
Revenues	$ 47,667,837	$ 40,956,648
Cost of Revenues	23,452,332	21,437,847
Gross Profit	24,215,505	19,518,801
Selling, General, and Administrative Expenses	15,513,335	12,918,435
Operating Income	8,702,170	6,600,366
Other Income (Expenses)		
Other Income	4,897	-
Gain on Sale of Property and Equipment	-	17,962
Transaction Costs	(412,051)	(33,153)
Interest Expense	(610,003)	(1,874,955)
Total Other Expenses, Net	(1,017,157)	(1,890,146)
Income Before Provision for Income Taxes	7,685,013	4,710,220
Provision for Income Taxes	1,926,067	2,241,013
Net Income	$ 5,758,946	$ 2,469,207

The accompanying notes are an integral part of these consolidated financial statements.

Consolidated Statements of Members' Equity
For the Years Ended December 31, 2015 and 2014

Balance at January 1, 2014	$ 16,399,319
Net Income	2,469,207
Unit-Based Compensation	14,483
Balance at December 31, 2014	18,883,009
Net Income	5,758,946
Member Contributions	150,000
Unit-Based Compensation	155,235
Balance at December 31, 2015	$ 24,947,190

The accompanying notes are an integral part of these consolidated financial statements.



Consolidated Statements of Cash Flows
For the Years Ended December 31, 2015 and 2014

	2015	2014
Cash Flows from Operating Activities		
Net Income	$ 5,758,946	$ 2,469,207
Non-Cash Items Included in Net Income:		
Depreciation	252,247	171,060
Amortization	44,618	1,268,951
Gain on Sale of Property and Equipment	-	(17,962)
Deferred Income Taxes	(95,523)	(405,196)
Bad Debt Expense	172,879	160,309
Unit-Based Compensation	155,235	14,483
Change in Operating Assets and Liabilities:		
(Increase) Decrease in Assets:		
Accounts Receivable	104,520	(232,843)
Unbilled Accounts Receivable	429,237	(449,514)
Prepaid Expenses and Other Current Assets	(627,270)	(623,427)
Increase (Decrease) in Liabilities:		
Accounts Payable	(667,457)	(1,206,547)
Accrued Expenses	642,211	765,479
Accrued Income Taxes	(7,615)	(7,728)
Deferred Revenue	34,354	675,280
Net Cash Provided by Operating Activities	6,196,382	2,581,552
Cash Flows from Investing Activities		
Cash Acquired in Business Combination	146,245	-
Decrease (Increase) in Other Assets	4,860	(2,000)
Proceeds from Sale of Property and Equipment	-	34,298
Purchases of Property and Equipment	(710,480)	(383,575)
Net Cash Used in Investing Activities	(559,375)	(351,277)
Cash Flows from Financing Activities		
Deferred Financing Costs Paid	(45,000)	-
Borrowings on Line of Credit	1,430,428	1,600,000
Repayments on Line of Credit	(1,430,428)	(1,600,000)
Repayments on Capital Leases	(21,084)	-
Proceeds from Long-Term Debt	50,000	-
Repayment of Long-Term Debt	(1,875,000)	(1,287,621)
Net Cash Used in Financing Activities	(1,891,084)	(1,287,621)
Net Increase in Cash and Cash Equivalents	3,745,923	942,654
Cash and Cash Equivalents, Beginning of Year	974,721	32,067
Cash and Cash Equivalents, End of Year	$ 4,720,644	$ 974,721

The accompanying notes are an integral part of these consolidated financial statements.

Consolidated Statements of Cash Flows (Continued)
For the Years Ended December 31, 2015 and 2014

	2015	2014
Supplemental Disclosures of Cash Flow Information		
Cash Paid During the Year for:		
Interest	$ 610,003	$ 606,003
Income Taxes	$ 2,133,577	$ 3,292,893
Supplemental Disclosures of Non-Cash Investing and Financing Activities		
Debt Incurred to Facilitate Business Combination	$ 2,930,427	$ -
Note Payable Incurred to Refinance Debt	2,400,000	-
Member Contribution Exchanged in Business Combination	150,000	-
Business Combination Earn Out Included in Accrued Expenses Payable	500,000	-

The accompanying notes are an integral part of these consolidated financial statements.

Byron L. Diamond
Director

Pete Ricketts, Governor

ADDENDUM NUMBER ONE

Date: April 22, 2016

To: All Bidders

From: Nancy Storant/Connie Heinrichs, Buyer(s)
AS Material State Purchasing

RE: Addendum for Request for Proposal Number RFP 5301 Z1
to be opened July 21, 2016 at 2:00 p.m. Central Time

First Pre-Proposal Conference/WebEx Information for RFP 5301 Z1
Thursday, April 28, 2016
1:00 – 4:00 pm | Central Daylight Time | 3 hrs
Join WebEx meeting
Meeting number: 926 283 364
Meeting password: RFP5301Z1
Join from a video conferencing system or application
Dial **926283364@nvcn-cio.webex.com**

Second Pre-Proposal Teleconference Information for RFP 5301 Z1:
Friday, May 20, 2016
1:00 – 4:00 pm | Central Daylight Time | 3 hrs

Dial Conference Access Number: 888-820-1398
Participants will enter the Attendee Code: 7123423#

Note: The conference will not start until the moderator joins.

Attendee Quick Commands
*6 Mute/Un-Mute Own Line

This addendum will become part of the proposal and should be acknowledged with the Request for Proposal.

NEBRASKA
AdministrativeServices

Byron L. Diamond
Director

Pete Ricketts, Governor

ADDENDUM NUMBER TWO

Date: March 26, 2016

To: All Bidders

From: Nancy Storant/Connie Heinrichs, Buyer(s)
AS Material State Purchasing

RE: Addendum for Request for Proposal Number RFP 5301 Z1
to be opened July 21, 2016 at 2:00 p.m. Central Time

Attachment A Matrix has been replaced and superseded in its entirety with Attachment A Matrix-Revision 1.

This addendum will become part of the proposal and should be acknowledged with the Request for Proposal.

NEBRASKA
Administrative Services

Byron L. Diamond
Director

Pete Ricketts, Governor

ADDENDUM NUMBER THREE

Date: April 28, 2016

To: All Bidders

From: Nancy Storant/Connie Heinrichs, Buyer(s)
AS Material State Purchasing

RE: Addendum for Request for Proposal Number RFP 5301 Z1
to be opened July 21, 2016 at 2:00 p.m. Central Time

Attachment A Matrix has been replaced and superseded in its entirety with Attachment A Matrix-Revision 2.

The outline to be used in the First Pre-Proposal Conference/WebEx has been posted as a separate document entitled Business Services Filing System Request for Proposal Outline for Review Purposes.

This addendum will become part of the proposal and should be acknowledged with the Request for Proposal.

NEBRASKA
Administrative Services

Byron L. Diamond
Director

Pete Ricketts, Governor

ADDENDUM NUMBER FOUR

Date: May 10, 2016

To: All Bidders

From: Nancy Storant/Connie Heinrichs, Buyer(s)
AS Material State Purchasing

RE: Addendum for Request for Proposal Number RFP 5301 Z1
to be opened July 21, 2016 at 2:00 p.m. Central Time

Attachment A Matrix has been replaced and superseded in its entirety with Attachment A Matrix-Revision 3.

This addendum will become part of the proposal and should be acknowledged with the Request for Proposal.

NEBRASKA
Administrative Services

Byron L. Diamond
Director

Pete Ricketts, Governor

ADDENDUM FIVE
QUESTIONS and ANSWERS

Date: May 16, 2016

To: All Bidders

From: Nancy Storant/Connie Heinrichs, Buyers
AS Materiel State Purchasing Bureau

RE: Addendum for Request for Proposal Number 5301Z1
to be opened July 21, 2016 at 2:00 p.m. Central Time

Questions and Answers

Following are the questions submitted and answers provided for the above mentioned Request for Proposal. The questions and answers are to be considered as part of the Request for Proposal. It is the Bidder's responsibility to check the State Purchasing Bureau website for all addenda or amendments.

Question Number	RFP Section Reference	RFP Page Number	Question	State Response
1.			Whether companies from Outside **USA** can apply for this? (like,from India or Canada)	Companies can respond but all hosted software, disaster recovery sites, and load balancing operations sites will reside in the United States. All services performed by the Contractor will be within the United States.
2.			Whether we need to come over there for meetings?	Yes
3.			Can we perform the tasks (related to RFP) outside **USA**? (like, from India or Canada)	All hosted software, disaster recovery sites, and load balancing operations sites will reside in the United States. All services performed by the Contractor will be within the United States.

4.			Can we submit the proposals via email?	No
5.	IV. A.	30	Would the State of Nebraska consider a custom built application/system instead of a pre-built solution to begin with?	No
6.	IV. F. 4.	34	Would the State of Nebraska consider technologies including Oracle, Java, or MySQL?	Java is acceptable; MySQL data base and Oracle data base are not acceptable.
7.	D.7.a	42	Is it a manual process to split the fees into different funds? Or is that automated based on a system value?	Currently this is an automated process in the system based on the statutory requirements. And the same process will be used with the new system.
8.	UCC-6.G	RTM 50	What happens throughout the court process? Will we need to send documents to external users? Or track the process of the court's actions?	Not relevant to this RFP, as this is a manual process. The Secured Party or Debtor will provide SoS the certified copy of the court order or judgment necessary to determine next steps for system filing action(s). Documents do not need to be sent to external users pertaining to UCC-6 No, SoS does not track the court's actions pertaining to UCC-6.
9.			We would like to attend the second pre-proposal conference in-person. Should we submit Form B?	The second pre-proposal conference is via teleconference only and Form B is not mandatory.
10.			When would the State like this solution implemented? What is the State's preference for a go-live date?	See RFP Section IV. L; Deliverables.
11.			How many users require training? How many are IT/system administrators? Does the State prefer a Train-the-Trainer method?	See RFP Section IV. I; Training.
12.			How much data conversion is involved? How much data? How many databases? Tables? Rows?	See RFP Section IV. G. 4; Data Conversion See Attachment A-Requirements Matrix REVISION 3. PPM-2 Appendix B, H, and I includes two databases with an estimated 235 tables. Rows are not

				tracked. See Appendix J for additional data to be converted.
13.			Would the State release the names and companies of the pre-proposal conference? We are looking for subcontractors to assist with this implementation.	Trent Fellers Stone Fin Technology Jesse Temple Stone Fin Technology Julian Staab Nebraska Interactive Jess Evers Nebraska Interactive Brian Schmoll Nebraska Interactive Bruce Rice Nebraska Interactive Carmen Easley Nebraska Interactive Jane Rihanek Nebraska Interactive Brent Hoffman Nebraska Interactive Chad Kudym Databank Kurt Kirchmann Databank Scott Allen CC Intelligent Solutions Andy Rasmussen Tecuity Jon Evans Tecuity Inc. Garth Weber Tecuity Inc. C. Russell eGov Dave Pfister eGov Curtis Mackie eGov Aaron Steager eGov Bob Atkins Capstone Gary Patel PCC Technology Group No name given Cisco

Section IV.A has been replaced and superseded in its entirety with the following:

The purpose of this RFP is to replace the existing custom software used by the Business Services Division of the Secretary of State's (SoS) Office, with a new Business Services Filing System (BSFS) that:

1. Uses modern technology that is supportable using local resources and can be configured using SoS internal IT resources.
2. Improves all levels of functionality of the existing system and expands services currently provided.
3. Eliminates existing silos in the current system so that filing processes, accounts receivable, and deposit preparation are completed in one system.
4. Provides extensive reporting capabilities both standard and ad hoc.

The existing business services software is used to file and generate a variety of documents within the SoS Office. These documents include all Corp filings and other filings made pursuant to the Uniform Commercial Code, revised article 9. The software is also used to file federal and state tax liens, judgment liens, farm product security filings, trade names and trademarks, and a variety of other statutory filings. The software interacts with an OnBase image library, online filing services, and the state's accounting system.

Section IV.B has been replaced and superseded in its entirety with the following:

The most pertinent sections of the Business Services Division statutes can be found on our website at the following locations:

http://www.sos.ne.gov/business/corp_serv/corp_stat_menu.html

http://www.sos.ne.gov/business/ucc/index.html

Corp, UCC, and EFS statutes can be found at the following links:

Nebraska Revised Statutes: http://nebraskalegislature.gov/laws/laws.php

Uniform Commercial Code: http://nebraskalegislature.gov/laws/browse-ucc.php
Pertinent Corporation, UCC, EFS, Statutes and Rules & Regulations are listed in Appendix C – Statutes and Rules & Regulations

This addendum will become part of the proposal and should be acknowledged with the Request for Proposal.

NEBRASKA
AdministrativeServices

Byron L. Diamond
Director

Pete Ricketts, Governor

ADDENDUM SIX
QUESTIONS and ANSWERS

Date: June 9, 2016

To: All Bidders

From: Nancy Storant/Connie Heinrichs, Buyers
AS Materiel State Purchasing Bureau

RE: Addendum for Request for Proposal Number 5301Z1
to be opened July 21, 2016 at 2:00 p.m. Central Time

Questions and Answers

Following are the questions submitted and answers provided for the above mentioned Request for Proposal. The questions and answers are to be considered as part of the Request for Proposal. It is the Bidder's responsibility to check the State Purchasing Bureau website for all addenda or amendments.

Question Number	RFP Section Reference	RFP Page Number	Question	State Response
1.	Atch B – Cost Proposal Sheet	4	The Pricing Spreadsheet for Optional Notary/eNotary Public Component Process leads the bidder to think there will be Software, conversion, installation, configuration, testing and deployment throughout the Optional Renewal Periods. Do you intend this or is it intended there will be Maintenance, Help Desk and Training throughout the Optional Renewal Periods?	Software, conversion, installation, configuration, testing and deployment are a onetime cost; however, it is unknown when and/or if we would exercise the option to purchase Optional Notary/eNotary Public Component Process. (It is recognized that the cost might differ if, for example, the feature is added within the initial period vs. ten years later.) Support and maintenance for Notary/eNotary may be included in the support and maintenance included in the pricing for the Business

				Services Filing System as stated under optional processes in Attachment B; however, if you chose to charge separately from the BSFS support and maintenance, cost is to be listed in the optional cost proposal in the support and maintenance as an annual cost per year to begin following post go live sign off of the Notary/eNotary system and prorated in the first year of implementation to coincide with the fiscal year end June 30th.
2.	Atch B – Cost Proposal Sheet	5-6	The Pricing Spreadsheet for the other three optional processes – Full Name Availability Screening Process, Registered Agent Self-Service Process, and Filings and Images not in Existing System Process only include Software, conversion, installation, configuration, testing and deployment throughout the Optional Renewal Periods. Did you intend this or was it supposed to be Maintenance, Help Desk and Training throughout the Optional Renewal Periods?	For these optional processes it is unknown when and/or if we would exercise the option to purchase these features/processes. (It is recognized that the cost might differ if, for example, the feature is added within the initial period vs. ten years later.) Support and maintenance for each of these processes will be included in the support and maintenance included in the pricing for the BSFS support and maintenance since these are items associated with the BSFS rather than separate functioning systems.
3.	Atch A – Requirements Matrix – Amend 3	Throughout	There are sections for "Bidder's Response" at the end of each section. Is it acceptable to enter the bidder's response after these sections, outside of the established boxes. This is a format issue as we are having difficulty keeping the format tied together as we enter large amounts of information and screen shots.	Yes, please label by including RTM# and short title for each response, also reference where to find additional response in bidder response box to ensure we know to look elsewhere and that it is labeled.

4.	B – Cost Proposal Sheet	4	The Pricing Spreadsheet for Optional Notary/eNotary Public Component Process leads the bidder to think there will be Software, conversion, installation, configuration, testing and deployment throughout the Optional Renewal Periods. Do you intend this or is it intended there will be Maintenance, Help Desk and Training throughout the Optional Renewal Periods?	See answer to Question #1
5.	B – Cost Proposal Sheet	5-6	The Pricing Spreadsheet for the other three optional processes – Full Name Availability Screening Process, Registered Agent Self-Service Process, and Filings and Images not in Existing System Process only include Software, conversion, installation, configuration, testing and deployment throughout the Optional Renewal Periods. Did you intend this or was it supposed to be Maintenance, Help Desk and Training throughout the Optional Renewal Periods?	See answer to question #2
6.	B – Cost Proposal Sheet	Throughout	There are sections for "Bidder's Response" at the end of each section. Is it acceptable to enter the bidder's response after these sections, outside of the established boxes. This is a format issue as we are having difficulty keeping the format tied together as we enter large amounts of information and screen shots.	See answer to questions #3.
7.			Will the existing SOS system source code be shared with the winning bidder to view?	Yes
8.	(Attachment A, SAL-2),	(Page 3)	What version of .NET, and what version of libraries/frameworks will the vendor be required to support/utilize on these systems?	At a minimum, the vendor must support .Net Framework 4.6 and above. Model-View-Controller (MVC) 6 and above.

9.	(Attachment A, UCC-11), (Attachment A-CB-6),	(Page 58); (Page 88)	Is redaction handled by OnBase or will the new vendor be required to provide a redaction solution?	OnBase has the ability to do Redaction, but if the Bidder's system has the ability to redact Personal Protected Information (PPI), then the bidder should describe.
10.	(Attachment A-CS-1), (Attachment A-Corp-1), (Attachment A-UCC-1),	(Page 9); (Page 21); (Page 46)	What items in the requirements matrix are enhancements or improvements to the existing system?	CS-1 and Corp-1 Audit trail functions, the ability to charge fees, and the API for search from external source are enhancements. UCC-1 audit trail, documents received via document eDelivery, UCC XML bulk filings, and API for search from external source are enhancements
11.			Will the vendor have secure VPN access or have to be onsite for development?	Yes, the contractor will have secure VPN access to all environments, except production. All initial set up and changes for production are required to be coordinated with the state OCIO, who will move items into Production.
12.	(Appendix A Entity Types Actions Matrix Corp Filings) (Corp Tab)		What does the column called "High Level Function" represent?	It is not applicable for bid responses; it was used to sort the Excel spreadsheet entries into the desired groupings.
13.	(Appendix H UCC & EFS Lien Data Fields) (UCC Actions Tab)		It lists forms for Federal and State UCC filing tax liens. These forms do not appear to be listed in the Appendix D Certificate, Forms and Templates. Will these forms be provided?	Yes; these forms are not SOS forms and therefore may be changed by the filer; examples of forms currently being filed are attached in the icon below.  Tax Lien Form Examples 201606011
14.	IV.F.2	32	A stated requirement of the system is to interface with the State's existing image library (currently Hyland OnBase). Since imaging is a critical success factor we ask that the state make available a small sample database of	Examples of the Filing Stamps and Indexing can be found in RTM CB-2. Data for Corps, UCC/EFS, Cardex, and miscellaneous document types was scanned and exported, and is included in the icon attachment below. See individual tabs for specific data on each of these types.

			OnBase exactly how the state currently has the database setup with images, barcoding, and indexing numbers, etc. Having this information will allow us to better quantify the tasks, timeline, and pricing for this particular interface.	 Exported OnBase Data.xlsx OnBase Solution The OnBase solution that will be used with your software will be updated before it is ready to be used with your software. The State cannot provide specifics regarding how it will process documents since those changes are not yet made. However, the State can provide general information that may help you. **Indexing** In OnBase the process of indexing is where keyword name/value pairs are assigned to a document so the document can be easily retrieved at a later date. Keywords are identified as being the unique values that are most likely to be searched upon to find the document, such as a name or date. “Indexing numbers” could be configured to be a unique number, such as the unique number of each document in the system. “Indexing numbers” could also be assigned from the barcode when the bar code scanning is set up. The information in the bar code can be automatically indexed into a designated keyword, and saved with the document. **What can be stored in OnBase?** Physical documents can be imported into OnBase by the process of scanning or uploading. Electronic documents like Emails,

				Microsoft Office documents, pictures, PDF or other electronic documents can be imported and stored in the OnBase system. **Barcodes in OnBase** Barcodes can be utilized with the Scanning process to automatically upload documents into OnBase, and assign the information in the Barcode to a specific keyword on the document. Barcodes can also be used to identify a Document Type or can be used as a separator page when scanning in a batch of documents with mixed Document Types. OnBase supports several formats of barcodes, including Code 39 (3 of 9). **Document Retrieval** To retrieve a document stored in OnBase the Document Retrieval function is used. This feature allows the user to search OnBase for a document or list of documents that match the specified search criteria. The search criteria uses a combination of the document type and keyword values to help the user find a specific document quickly.
15.	In Section IV, J.		Provide Post Implementation Support, Please clarify the help desk coverage. At first it requires manning of the desk during normal business hours, but later seems to require that calls received after hours are forwarded and responded to within an hour. Is the latter requirement based on Priority (i.e. System down), or does the State expect return of routine calls in the middle of the night?	The Help Desk coverage would be from 7 a.m. to 6 p.m. CT Monday through Friday, excluding State holidays;; any after hour calls would be for critical items with high priority. The State does not anticipate routine calls at night.

16.			We assume the Help Desk is limited to “Level 2”, where State will field calls from the Public and the contractor only responds to designated SOS staff questions. Please confirm.	Yes.
17.	In Section IV, J.		Provide Post Implementation Support, can the State further explain the maintenance requirements for “updating, enhancing, and modifying the system in response to technological advances and the need for additional features”? Would the State be open to a pool of T&M hours for this unknown scope? Alternatively, are you just looking for a description of our product roadmap and process for providing the State with enhancements added for other customers?	Technological advances means operating system, database, or any software products embedded within the system as part of the delivery. Example; word and excel are included, then word and excel must stay current with word and excel Microsoft products. Description of a future roadmap does not belong with post implementation support response. If bidder wishes to provide product roadmap it should be included as part of the product overview section.
18.	In Section IV, D. Scope of Work, #22,		what does the State mean by “accommodate”? What are the contractor’s responsibilities for ensuring future added services on the portal are integrated with the BSFS? Would additional Web Services or other integrations be handled by T&M services or change orders, or is the State expecting the vendor for this RFP to anticipate the number of future services within our fixed bid?	Self-service function exists within the system but not all desired services are currently offered on-line. In order to “accommodate the expansion of online services”, or make additional filings and other services available through the portal for self-service, when we add these services we require the system to also expand functions to send and receive necessary data to and from the portal and into the BSFS. In addition, forms should be parameter driven and many items should be configurable so it is anticipated that SoS IT staff will be able to handle system needs to add new entity types, forms, fees, etc. along with other routine tasks.

19.	Section IV, A.		Project Overview: Would the State please provide a list of the current Web services or other integration points (including type of service and parameters if possible) to the online web portal that would need to be re-integrated with the new BSFS system?	These are referenced throughout the RFP, Attachment A, and the Appendices. Description of the UCC_Corp Database Image Retrieval Process is attached in the icon below.  Image Retrieval Service.docx
20.			Of the 20 staff that require training, how many of those will be system administrators?	Up to 8 System Administrators.
21.	Section IV, C.		Current Operational Environment - Is it mandatory to interface with Microsoft Office Suite Version 2010 or greater for the generation of custom templates and certificates, or could the contractor propose a different rich-text template manager as part of the proposed solution?	The bidder may propose a different rich-text template manager as part of their proposed solution. The proposed template manager must have the capabilities to generate templates and certificates similar to what is generated in the current system. If proposed, cost associated with this must be included in the initial bid.
22.			Are we required to perform Registered Agent record consolidation? If so, what is the vendor's role for the cleanup.	The contractor will not perform the consolidation but will provide the system functions to enable staff the capability to perform these duties.
23.			Regarding the Registered Agent requirement of having multiple field office addresses, is this requirement only if the RA is an entity or does the State want this requirement if the RA is an individual as well?	Both types of functionality are required. Any RA, (entity or individual), may have multiple field office addresses.
24.	Section IV, D.		Scope of Work Please confirm that all "Functionality of the Current system" are included in and will be scoped based on the RFP, Attachments, and Appendices.	The current functionality is in the RFP, Attachments and Appendices; however, given the complexity of the system and processes the State anticipates that there may be minor details that the bidder would need to include in their bid response.

25.			Do you have any preference for COTS, MOTS or Custom Development, and are there any standard technologies that are not supported by the State (i.e. Oracle and MySQL as mentioned on the pre-bid call).	The State will NOT accept custom development; rather we require an existing COTS or MOTS application that is configurable to our SOS needs. The standard technologies that the State will accept are Java; Microsoft .Net (Asp.net and C#); Microsoft SQL Server 2012 and DB2.
26.	In Attachment B,		it states the cost must be guaranteed for the initial "5 Year" contract period. The table below this requirement, however, specifies an end date of June 30, 2021. If the Contract is slated to begin December 21, 2016, there is only 4.5 years until June 30, 2021. Please clarify.	The second sentence of Attachment B has been deleted in its entirety and replaced with "The costs must be guaranteed for the initial contract period. Please see Attachment B Revision 1.
				Here is the list of individuals that called into the Second Pre-Proposal Teleconference on May 20, 2016. Garth Weber Tecuity, Inc. Julian Staub Nebraska Interactive Brian Schmoll Nebraska Interactive Bob Atkins Capstone Jennifer Collister PCC Technology Group Greg Amato PCC Technology Group Sarah Bouchard PCC Technology Group Kelly Kopyt Foster Moore

This addendum will become part of the proposal and should be acknowledged with the Request for Proposal.

State of Nebraska (State Purchasing Bureau)

REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM

RETURN TO:
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, Nebraska 68508
Phone: 402-471-6500
Fax: 402-471-2089

SOLICITATION NUMBER	RELEASE DATE
RFP 5301Z1	**April 21, 2016**
OPENING DATE AND TIME	PROCUREMENT CONTACT
July 21, 2016 2:00 p.m. Central Time	**Nancy Storant/Connie Heinrichs**

This form is part of the specification package and must be signed in ink and returned, along with proposal documents, by the opening date and time specified.

PLEASE READ CAREFULLY!

SCOPE OF SERVICE

The State of Nebraska, Administrative Services (AS), Materiel Division, State Purchasing Bureau, is issuing this Request for Proposal, RFP Number 5301Z1 for the purpose of selecting a qualified contractor to provide a Business Services Filing System.

Written questions for the first round of questions are due no later than May 5, 2016. Written questions for the second round of questions are due no later than May 26, 2016. Questions should be submitted via e-mail to as.materielpurchasing@nebraska.gov or may be sent by facsimile to (402) 471-2089.

The First Pre-Proposal Conference will be held on April 28, 2016 at 1:00pm CT at 1526 K Street, Development Center or via WebEx. A Second Pre-Proposal Teleconference will be held on May 20, 2016 at 1:00pm CT.

Bidder should submit one (1) original of the entire proposal. Proposals must be submitted by the proposal due date and time.

PROPOSALS MUST MEET THE REQUIREMENTS OUTLINED IN THIS REQUEST FOR PROPOSAL TO BE CONSIDERED VALID. PROPOSALS WILL BE REJECTED IF NOT IN COMPLIANCE WITH THESE REQUIREMENTS.

1. Sealed proposals must be received in State Purchasing Bureau by the date and time of proposal opening per the schedule of events. No late proposals will be accepted. No electronic, e-mail, fax, voice, or telephone proposals will be accepted.
2. This form "REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES" MUST be manually signed, in ink, and returned by the proposal opening date and time along with bidder's proposal and any other requirements as specified in the Request for Proposal in order for a bidder's proposal to be evaluated.
3. It is the responsibility of the bidder to check the website for all information relevant to this solicitation to include addenda and/or amendments issued prior to the opening date. Website address is as follows: http://das.nebraska.gov/materiel/purchasing.html

IMPORTANT NOTICE: Pursuant to Neb. Rev. Stat. § 84-602.02, all State contracts in effect as of January 1, 2014, and all contracts entered into thereafter, will be posted to a public website. Beginning July 1, 2014, all contracts will be posted to a public website managed by the Department of Administrative Services.

In addition, all responses to Requests for Proposals will be posted to the Department of Administrative Services public website. The public posting will include figures, illustrations, photographs, charts, or other supplementary material. Proprietary information identified and marked according to state law is exempt from posting. To exempt proprietary information you must submit a written statement showing that the release of the information would give an advantage to named business competitor(s) and show that the named business competitor(s) will gain a demonstrated advantage by disclosure of information. The mere assertion that information is proprietary is not sufficient. (Attorney General Opinion No. 92068, April 27, 1992) The agency will then determine if the interests served by nondisclosure outweigh any public purpose served by disclosure. Cost proposals will not be considered propriety.

To facilitate such public postings, the State of Nebraska reserves a royalty-free, nonexclusive, and irrevocable right to copy, reproduce, publish, post to a website, or otherwise use any contract or response to this RFP for any purpose, and to authorize others to use the documents. Any individual or entity awarded a contract, or who submits a response to this RFP, specifically waives any copyright or other protection the contract or response to the RFP may have; and, acknowledge that they have the ability and authority to enter into such waiver. This reservation and waiver is a prerequisite for submitting a response to this RFP and award of the contract. Failure to agree to the reservation and waiver of protection will result in the response to the RFP being non-conforming and rejected.

Any entity awarded a contract or submitting a RFP agrees not to sue, file a claim, or make a demand of any kind, and will indemnify, hold, and save harmless the State and its employees, volunteers, agents, and its elected and appointed officials from and against any and all claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses ("the claims"), sustained or asserted against the State, arising out of, resulting from, or attributable to the posting of contracts, RFPs and related documents.

BIDDER MUST COMPLETE THE FOLLOWING

By signing this Request for Proposal for Contractual Services form, the bidder guarantees compliance with the provisions stated in this Request for Proposal, agrees to the terms and conditions unless otherwise agreed to (see Section III) and certifies that bidder maintains a drug free work place environment.

Per Nebraska's Transparency in Government Procurement Act, Neb. Rev Stat § 73-603 DAS is required to collect statistical information regarding the number of contracts awarded to Nebraska Contractors. This information is for statistical purposes only and will not be considered for contract award purposes.

_____ **NEBRASKA CONTRACTOR AFFIDAVIT**: Bidder hereby attests that bidder is a Nebraska Contractor. "Nebraska Contractor" shall mean any bidder who has maintained a bona fide place of business and at least one employee within this state for at least the six (6) months immediately preceding the posting date of this RFP.

_____ I hereby certify that I am a **Resident disabled veteran or business located in a designated enterprise zone** in accordance with Neb. Rev. Stat. § 73-107 and wish to have preference, if applicable, considered in the award of this contract.

FIRM: _____

COMPLETE ADDRESS: _____

TELEPHONE NUMBER: _____ FAX NUMBER: _____

SIGNATURE: _____ DATE: _____

TYPED NAME & TITLE OF SIGNER: _____

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GLOSSARY OF TERMS

Acceptance Test Procedure: Benchmarks and other performance criteria, developed by the State of Nebraska or other sources of testing standards, for measuring the effectiveness of products or services and the means used for testing such performance.

Accounts Receivable (AR) Ancillary Database: used to generate invoices and process payments for UCC and Corps accounts that are allowed to charge and be invoiced. This is due to a portion of the AR Module not working following a PC software upgrade.

Accounts Receivable (AR) Module: processes AR information within the UCC_Corp Database used to compile batch post reports, job totals, and batch totals for UCC and Corp Modules.

Addendum: Something to be added or deleted to an existing document; a supplement.

After Receipt of Order (ARO): After Receipt of Order

Agency: Any state agency, board, or commission other than the University of Nebraska, the Nebraska State colleges, the courts, the Legislature, or any other office or agency established by the Constitution of Nebraska.

Agent/Representative: A person authorized to act on behalf of another.

Amend: To alter or change by adding, subtracting, or substituting.

Amendment: A written correction or alteration to a document.

Appropriation: Legislative authorization to expend public funds for a specific purpose. Money set apart for a specific use.

Award: All purchases, leases, or contracts which are based on competitive proposals will be awarded according to the provisions in the Request for Proposal. The State reserves the right to reject any or all proposals, wholly or in part, or to award to multiple bidders in whole or in part. The State reserves the right to waive any deviations or errors that are not material, do not invalidate the legitimacy of the proposal, and do not improve the bidder's competitive position. All awards will be made in a manner deemed in the best interest of the State.

Best and Final Offer (BAFO): In a competitive bid, the final offer submitted which contains the bidder's (vendor's) most favorable terms for price.

Bid/Proposal: The offer submitted by a vendor in a response to written solicitation.

Bid Bond: An insurance agreement, accompanied by a monetary commitment, by which a third party (the surety) accepts liability and guarantees that the vendor will not withdraw the bid.

Bidder: A vendor who submits an offer bid in response to a written solicitation.

Burnt Number: A system generated number assigned to a document that is discarded by the filing officer before a job is committed due to a form, filing fee or filing system error.

Business: Any corporation, partnership, individual, sole proprietorship, joint-stock company, joint venture, or any other private legal entity.

Business Day: Any weekday, except State-recognized holidays.

Calendar Day: Every day shown on the calendar including Saturdays, Sundays, and State/Federal holidays.

Cancellation: To call off or revoke a purchase order without expectation of conducting or performing it at a later time.

Central Processing Unit (CPU): Any computer or computer system that is used by the State to store, process, or retrieve data or perform other functions using Operating Systems and applications software.

Certified Copy: An official certificate attesting that the attached document(s) are a true and correct copy as filed with the Secretary of State.

Collusion: An agreement or cooperation between two or more persons or entities to accomplish a fraudulent, deceitful, or unlawful purpose.

Commodities: Any equipment, material, supply or goods; anything movable or tangible that is provided or sold.

Commodities Description: Detailed descriptions of the items to be purchased; may include information necessary to obtain the desired quality, type, color, size, shape, or special characteristics necessary to perform the work intended to produce the desired results.

Company: Catch-all terms for entity types and other filing options. Usually used in communications when the implied entity types or other filing options are known between all parties.

Competition: The effort or action of two or more commercial interests to obtain the same business from third parties.

Confidential Information: Unless otherwise defined below, "Confidential Information" shall also mean proprietary trade secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and serve no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Nebraska Attorney General Opinions 92068 and 97033, proof that information is proprietary requires identification of specific, named competitor(s) who would be advantaged by release of the information and the specific advantage the competitor(s) would receive.

Contract: An agreement between two or more parties creating obligations that are enforceable or otherwise recognizable at law; the writing that sets forth such an agreement.

Contract Administration: The management of the contract which includes and is not limited to; contract signing, contract amendments and any necessary legal actions.

Contract Management: The management of day to day activities at the agency which includes and is not limited to ensuring deliverables are received, specifications are met, handling meetings and making payments to the Contractor.

Contract Period: The duration of the contract.

Contractor: Any individual or entity having a contract to furnish commodities or services.

Cooperative Purchasing: The combining of requirements of two or more political entities to obtain advantages of volume purchases, reduction in administrative expenses or other public benefits.

Copyright: A property right in an original work of authorship fixed in any tangible medium of expression, giving the holder the exclusive right to reproduce, adapt and distribute the work.
CPU: Any computer or computer system that is used by the State to store, process, or retrieve data or perform other functions using Operating Systems and applications software.

Corp Module: Process within the UCC_Corp Database used to record, store, retrieve information and documents related to business entity registrations and other filing options. It creates notifications, calculates fees, and tracks and reports information. Images associated with filings are retrievable by document number for actions on record from the image library.

Critical Program Error: Any Program Error, whether or not known to the State, which prohibits or significantly impairs use of the Licensed Software as set forth in the documentation and intended in the contract.

Customer Service: The process of ensuring customer satisfaction by providing assistance and advice on those products or services provided by the Contractor.

Default: The omission or failure to perform a contractual duty.

Deviation: Any proposed change(s) or alteration(s) to either the terms and conditions or deliverables within the scope of the written solicitation or contract.

Document eDelivery: This is the portal manager software which will interface real time via API with the bidder's system. The software is maintained by Nebraska.gov and allows electronic submission of certain documents to be filed with the SoS. Documents and payments are electronically submitted for review by filing officers (currently only Corp documents require review); whereas UCC/EFS are accepted and directly sent into UCC_Corp Database without staff review and are not listed in eDelivery. As filing types are added there may be UCC/EFS filings added that may require staff review before acceptance/rejection that will be filed through eDelivery.

Electronic Notary (eNotary): a notary public registered with the Secretary of State that has the capability of performing electronic notarial acts in conformance with the Electronic Notary Public Act;

EnterpriseOne (E1): Integrated applications suite of comprehensive enterprise resource planning (ERP) software that is developed and sold by Oracle Corp. Used to complete deposits to State Treasurer.

Enterprise Content Management (ECM) referred to as OnBase image library: These technologies are used to capture, manage, store, and control enterprise-wide content, including documents, images, e-mail messages, instant messages, video, and more. OnBase is used as our digital library to store images of documents filed with the SoS. Image retrieval can be accessed and retrieved via the UCC_Corp Database.

Evaluation: The process of examining an offer after opening to determine the vendor's responsibility, responsiveness to requirements, and to ascertain other characteristics of the offer that relate to determination of the successful award.

Evaluation Committee: Committee(s) appointed by the requesting agency that advises and assists the procuring office in the evaluation of bids/proposals (offers made in response to written solicitations).

Extension: Continuance of a contract for a specified duration upon the agreement of the parties beyond the original Contract Period. Not to be confused with "Renewal Period".

File Update: System generated update which may add action(s) and/or change status.

Filer (Filer/Client, Customer): Individual or entity that requests and/or pays for provided services.

Free on Board (F.O.B.) Destination: The delivery charges are included in the quoted price and prepaid by the vendor. Vendor is responsible for all claims associated with damages during delivery of product.

Free on Board (F.O.B.) Point of Origin: The delivery charges are not included in the quoted price and are the responsibility of the agency. Agency is responsible for all claims associated with damages during delivery of product.

Foreign Corp Books: An electronic pdf collection of files containing scanned cardex information and documents prior to year 1980 for foreign corporations, lost documents for domestic and nonprofit corporations, and other miscellaneous entities (e.g., unincorporated associations).

General Document (Gen Doc): Ancillary Access database used to compile information on charge accounts and UCC payments received prior to being entered into Payroll & Financial Center (PFC) for deposit.

Inbound: Data entered into the system either internally or online.

Installation Date: The date when the procedures described in "Installation by Contractor", and "Installation by State", as found in the RFP, or contract, are completed.

Job: A job contains tracking and payment processing information. One receipt is created for a job and may include one or more entities and/or actions. Jobs are combined to create a batch.

Late Bid/Proposal: An offer received after the Opening Date and Time.

Licensed Software Documentation: The user manuals and any other materials in any form or medium customarily provided by the Contractor to the users of the Licensed Software which will provide the State with sufficient information to operate, diagnose, and maintain the Licensed Software properly, safely, and efficiently.

Mandatory/Must: Required, compulsory, or obligatory.

May: Discretionary, permitted; used to express possibility.

Module (see System): A collection of routines and data structures that perform a specific function of software.

Must: See Shall/Will/Must.

National Institute for Governmental Purchasing (NIGP): National Institute of Governmental Purchasing – Source used for assignment of universal commodity codes to goods and services.

Nebraska.gov: The State of Nebraska's official web portal.

Nebraska Interactive, LLC: The third party network manager that hosts the official web portal for the State of Nebraska.

Open Market Purchase: Authorization may be given to an agency to purchase items above direct purchase authority due to the unique nature, price, quantity, location of the using agency, or time limitations by the AS Materiel Division, State Purchasing Bureau.

Opening Date and Time: Specified date and time for the public opening of received, labeled, and sealed formal proposals.

Operating System: The control program in a computer that provides the interface to the computer hardware and peripheral devices, and the usage and allocation of memory resources, processor resources, input/output resources, and security resources.

Outbound: Depending on request, system auto populates templates, generates data files, or generates and may also send notice(s).

Outsourcing: The contracting out of a business process which an organization may have previously performed internally or has a new need for, to an independent organization from which the process is purchased back.

Payroll & Financial Center (PFC): Electronic procurement system of record.

Performance Bond: An insurance agreement, accompanied by a monetary commitment, by which a third party (the surety) accepts liability and guarantees that the Contractor fulfills any and all obligations under the contract.

Platform: A specific hardware and Operating System combination that is different from other hardware and Operating System combinations to the extent that a different version of the Licensed Software product is required to execute properly in the environment established by such hardware and Operating System combination.

Portal: Portal means the State's centralized electronic information system by which public records or electronic information and services are provided using electronic access.

Posting: Submitting a batch to the accounting system. Once submitted, the batch can no longer be edited by filing officers.

Pre-Bid/Pre-Proposal Conference: A meeting scheduled for the purpose of clarifying a written solicitation and related expectations.

Product: Something that is distributed commercially for use or consumption and that is usually (1) tangible personal property, (2) the result of fabrication or processing, and (3) an item that has passed through a chain of commercial distribution before ultimate use or consumption.

Professional Certificate (PC; Certificate of Registration; Application for Electronic Access of Records; and also refers to the certificate of authority issued by the Nebraska Supreme Court): Document prepared and issued by a regulatory body or the electronic accessing of the regulatory body's licensing records by the Secretary of State. PCs must be filed for a professional entity; when filing: formation document, amendment that changes an entity to a professional entity, an amendment that changes the entity's name, and annually from the date of the last PC filing.

Program Error: Code in Licensed Software which produces unintended results or actions, or which produces results or actions other than those described in the specifications. A program error includes, without limitation, any Critical Program Error.

Program Set: The group of programs and products, including the Licensed Software specified in the RFP, plus any additional programs and products licensed by the State under the contract for use by the State.

Project: The total scheme, program, or method worked out for the accomplishment of an objective, including all documentation, commodities, and services to be provided under the contract.

Proposal: See Bid/Proposal.

Proprietary Information: Proprietary information is defined as trade secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and service no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Attorney General Opinions 92068 and 97033, proof that information is proprietary requires identification of specific named competitor(s) advantaged by release of the information and the demonstrated advantage the named competitor(s) would gain by the release of information.

Protest/Grievance: A complaint about a governmental action or decision related to a Request for Proposal or resultant contract, brought by a vendor who has timely submitted a bid response in connection with the award in question, to AS Materiel Division or another designated agency with the intention of achieving a remedial result.

Public Proposal Opening: The process of opening correctly submitted offers at the time and place specified in the written solicitation and in the presence of anyone who wished to attend.

Recommended Hardware Configuration: The data processing hardware (including all terminals, auxiliary storage, communication, and other peripheral devices) to the extent utilized by the State as recommended by the Contractor.

Record: Filing action entered and that resides within the information management system throughout a designated retention period.

Redaction: Act of striking out or otherwise removing from the public record or public view any sensitive, private or confidential information not required by law and which may be exempt by law, administrative policy or procedure from disclosure.

Release Date: The date of public release of the written solicitation to seek offers

Renewal Period: Optional contract periods subsequent to the original Contract Period for a specified duration with previously agreed to terms and conditions. Not to be confused with Extension.

Request for Information (RFI): A general invitation to vendors requesting information for a potential future solicitation. The RFI is typically used as a research and information gathering tool for preparation of a solicitation.

Request for Proposal (RFP): A written solicitation utilized for obtaining competitive offers.

Responsible Bidder: A bidder who has the capability in all respects to perform fully and lawfully all requirements with integrity and reliability to assure good faith performance.

Responsive Bidder: A bidder who has submitted a bid which conforms to all requirements of the solicitation document.

Scanning: Process performed to convert paper documents to digital images and places them into the image library for association with the document identification number to retrieve image via the UCC_Corp Database.

Search: (UCC & EFS) A listing containing all filings and related filing information regarding debtor name.

Shall/Will/Must: An order/command; mandatory.

Should: Expected; suggested, but not necessarily mandatory.

Software License: Legal instrument with or without printed material that governs the use or redistribution of licensed software.

Sole Source – Commodity: When an item is available from only one source due to the unique nature of the requirement, its supplier, or market conditions.

Sole Source – Services: A service of such a unique nature that the vendor selected is clearly and justifiably the only practical source to provide the service. Determination that the vendor selected is justifiably the sole source is based on either the uniqueness of the service or sole availability at the location required.

Specifications: The detailed statement, especially of the measurements, quality, materials, and functional characteristics, or other items to be provided under a contract.

State, The State: When capitalized, State/the State refer to the State of Nebraska and Nebraska Secretary of State and any other state agency.

System (see Module): Any collection or aggregation of two (2) or more Modules that is designed to function, or is represented by the Contractor as functioning or being capable of functioning, as an entity.

Termination: Occurs when either party, pursuant to a power created by agreement or law, puts an end to the contract prior to the stated expiration date. All obligations which are still executory on both sides are discharged but any right based on prior breach or performance survives.

Trade Secret: Information, including, but not limited to, a drawing, formula, pattern, compilation, program, device, method, technique, code, or process that (a) derives independent economic value, actual or potential, from not being known to, and not being ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and

(b) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy (see Neb. Rev. Stat. §87-502(4)).

Trademark: A word, phrase, logo, or other graphic symbol used by a manufacturer or vendor to distinguish its product from those of others, registered with the U.S. Patent and Trademark Office.

UCC All Records: Unlapsed (record that has been stored and indexed in the UCC module where the lapsed date has not yet occurred), or lapsed (record where the lapsed date occurred within the prior 365 days).

UCC Certified Search: An official certificate containing listing of all filings and related filing information regarding debtor name as provided by the filer/client.

UCC_Corp Database (includes UCC,Corp, and AR Modules within the UCC_Corp Database): Current business services filing software applications used to process filings.

UCC/EFS Module: Module within the UCC-Corp Database used to record, store, and retrieve information and documents related to UCC filings. Lien types include UCC, Statutory Ag Liens, Judgments, Taxes, and Effective Financing Statements (EFS). Images associated with filings are retrievable by document number for actions on record from the image library.

UCC Record: Initial financing statement, an amendment of party or collateral information, an assignment, a continuation statement, a termination statement, a filing office statement or an information statement, and includes a record thereof maintained by the filing office. The term shall not be deemed to refer exclusively to paper or paper-based filings.

Upgrade: Any change that improves or alters the basic function of a product of service.

Vendor: An individual or entity lawfully conducting business in the State of Nebraska, or licensed to do so, who seeks to provide goods or services under the terms of a written solicitation.

Vendor Performance Report: A report issued to the Contractor by State Purchasing Bureau when products or services delivered or performed fail to meet the terms of the purchase order, contract, and/or specifications, as reported to State Purchasing Bureau by the agency. The State Purchasing Bureau shall contact the Contractor regarding any such report. The vendor performance report will become a part of the permanent record for the Contractor. The State may require vendor to cure. Two such reports may be cause for immediate termination.

Will: See Shall/Will/Must.

Work Day: See Business Day.

I. SCOPE OF THE REQUEST FOR PROPOSAL

The State of Nebraska, Administrative Services (AS), Materiel Division, State Purchasing Bureau (hereafter known as State Purchasing Bureau), is issuing this Request for Proposal, RFP Number 5301Z1 for the purpose of selecting a qualified Contractor to provide a Business Services Filing System.. Any resulting contract is not an exclusive contract to furnish the services provided for in this Request for Proposal, and does not preclude the purchase of similar services from other sources.

A contract resulting from this Request for Proposal will be issued from date of award to June 30, 2021. The contract has the option to be renewed for five (5) additional three (3) year periods as mutually agreed upon by all parties. The State reserves the right to extend the period of this contract beyond the termination date when mutually agreeable to the Contractor and the State of Nebraska.

ALL INFORMATION PERTINENT TO THIS REQUEST FOR PROPOSAL CAN BE FOUND ON THE INTERNET AT: http://das.nebraska.gov/materiel/purchasing.html

A. SCHEDULE OF EVENTS

The State expects to adhere to the tentative procurement schedule shown below. It should be noted, however, that some dates are approximate and subject to change

	ACTIVITY	DATE/TIME
1.	Release Request for Proposal	April 21, 2016
2.	Last day to submit "Notification of Intent to Attend First Pre-Proposal Conference"; if attending in person	April 26, 2016
3.	First Pre-Proposal Conference/WebEx, Location: State Purchasing Bureau 1526 K Street, Development Center Lincoln, NE 68508	April 28, 2016 1:00pm to 4:00pm CT
4.	Last day to submit first round written questions	May 5, 2016
5.	State responds to written first round of questions through Request for Proposal "Addendum" and/or "Amendment" to be posted to the Internet at: http://das.nebraska.gov/materiel/purchasing.html	May 16, 2016
6.	Second Pre-Proposal Teleconference	May 20, 2016 1:00pm to 4:00pm CT
7.	Last day to submit Second Round written questions	May 26, 2016
8.	State responds to written Second round of questions through Request for Proposal "Addendum" and/or "Amendment" to be posted to the Internet at: http://das.nebraska.gov/materiel/purchasing.html	June 9, 2016
9.	Proposal opening Location: State Purchasing Bureau 1526 K Street, Suite 130 Lincoln, NE 68508	July 21, 2016 2:00 PM Central Time
10.	Review for conformance of mandatory requirements	July 21, 2016
11.	Evaluation period	July 22, 2016 through August 19, 2016
12.	"Oral Interviews/Presentations and/or Demonstrations" (if required)	TBD
13.	Post "Letter of Intent to Contract" to Internet at: and/or http://das.nebraska.gov/materiel/purchasing.html	October 26, 2016
14.	Contract finalization period	October 26, 2016 through December 20, 2016
15.	Contract award	December 21, 2016
16.	Contractor start date	December 21, 2016

II. PROCUREMENT PROCEDURES

A. PROCURING OFFICE AND CONTACT PERSON

Procurement responsibilities related to this Request for Proposal reside with the State Purchasing Bureau. The point of contact for the procurement is as follows:

Name:	Nancy Storant/Connie Heinrichs
Agency:	State Purchasing Bureau
Address:	1526 K Street, Suite 130
	Lincoln, NE 68508
Telephone:	402-471-6500
Facsimile:	402-471-2089
E-Mail:	as.materielpurchasing@nebraska.gov

B. GENERAL INFORMATION

The Request for Proposal is designed to solicit proposals from qualified vendors who will be responsible for providing a Business Services Filing System at a competitive and reasonable cost. Proposals that do not conform to the mandatory items as indicated in the Request for Proposal will not be considered.

Proposals shall conform to all instructions, conditions, and requirements included in the Request for Proposal. Prospective bidders are expected to carefully examine all documentation, schedules, and requirements stipulated in this Request for Proposal, and respond to each requirement in the format prescribed.

A fixed-price contract will be awarded as a result of this proposal. In addition to the provisions of this Request for Proposal and the awarded proposal, which shall be incorporated by reference in the contract, any additional clauses or provisions required by the terms and conditions will be included as an amendment to the contract.

C. CUSTOMER SERVICE

In addition to any specified service requirements contained in this agreement, the Contractor agrees and understands that satisfactory customer service is required. Contractor will develop or provide technology and business procedures designed to enhance the level of customer satisfaction and to provide the customer appropriate information given their situation. Contractor, its employees, Subcontractors, and agents must be accountable, responsive, reliable, patient, and have well-developed communication skills as set forth by the customer service industry's best practices and processes.

D. COMMUNICATION WITH STATE STAFF AND EVALUATORS

From the date the Request for Proposal is issued until a determination is announced regarding the selection of the Contractor, contact regarding this project between potential Contractors and individuals employed by the State is restricted to only written communication with the staff designated above as the point of contact for this Request for Proposal. Bidders shall not have any communication with, or attempt to communicate with or influence in any way, any evaluator involved in this RFP.

Once a Contractor is preliminarily selected, as documented in the intent to contract, that Contractor is restricted from communicating with State staff until a contract is signed. Violation of this condition may be considered sufficient cause to reject a Contractor's proposal and/or selection irrespective of any other condition.

The following exceptions to these restrictions are permitted:

1. written communication with the person(s) designated as the point(s) of contact for this Request for Proposal or procurement;
2. contacts made pursuant to any pre-existing contracts or obligations;
3. state staff and/or Contractor staff present at the Pre-Proposal Conference/WebEx when recognized by the State Purchasing Bureau staff facilitating the meeting for the purpose of addressing questions; and
4. State-requested presentations, key personnel interviews, clarification sessions or discussions to finalize a contract.

Violations of these conditions may be considered sufficient cause to reject a bidder's proposal and/or selection irrespective of any other condition. No individual member of the State, employee of the State, or member of the Evaluation Committee is empowered to make binding statements regarding this Request for Proposal. The buyer will issue any clarifications or opinions regarding this Request for Proposal in writing.

E. WRITTEN QUESTIONS AND ANSWERS

Any explanation desired by a bidder regarding the meaning or interpretation of any Request for Proposal provision must be submitted in writing to the State Purchasing Bureau and clearly marked "RFP Number 5301Z1; Business Services Filing System Questions". It is preferred that questions be sent via e-mail to as.materielpurchasing@nebraska.gov. Questions may also be sent by facsimile to 402-471-2089, but must include a cover sheet clearly indicating that the transmission is to the attention of Nancy Storant/Connie Heinrichs, showing the total number of pages transmitted, and clearly marked "RFP Number 5301Z1; Business Services Filing System Questions".

It is recommended that Bidders submit questions sequentially numbered, include the RFP reference and page number using the following format.

Question Number	RFP Section Reference	RFP Page Number	Question

Written answers will be provided through an addendum to be posted on the Internet at http://das.nebraska.gov/materiel/purchasing.html on or before the date shown in the Schedule of Events.

F. PRE-PROPOSAL CONFERENCE/WebEx

Two pre-proposal conferences will be held on the dates, times, and locations shown in the Schedule of Events. Attendance at the pre-proposal conferences/WebEx is optional in order to submit a proposal. Bidders will have an opportunity to ask questions at the conferences/WebEx to assist in the clarification and understanding of the Request for Proposal requirements. The State will make every reasonable attempt to answer those questions before the end of the conferences/WebEx. Bidders attending the pre-proposal meetings may submit further questions in writing for questions which the bidder requires an official written response as shown in the Schedule of Events.

Written answers to written questions will be provided through an addendum to be posted on the Internet at http://das.nebraska.gov/materiel/purchasing.html on or before the date shown in the Schedule of Events. Verbal responses provided during the pre-proposal meetings shall not be binding on the State of Nebraska.

1. NOTIFICATION OF INTENT TO ATTEND FIRST PRE-PROPOSAL CONFERENCE (if attending in person)

Notification of attendance should be submitted to the State Purchasing Bureau via e-mail (as.materielpurchasing@nebraska.gov), facsimile (402-471-2089), hand delivery or US mail by the date shown in the Schedule of Events. Potential bidders should utilize the "Notification of Intent to Attend Pre-Proposal Conference" (see Form B) that accompanies this document to the contact person shown on the cover page of the Request for Proposal Form. This form should be filled out in its entirety and returned no later than the date shown in the Schedule of Events.

G. ORAL INTERVIEWS/PRESENTATIONS AND/OR DEMONSTRATIONS

The Evaluation Committee(s) may conclude after the completion of the Technical and Cost Proposal evaluation that oral interviews/presentations and/or demonstrations are required in order to determine the successful bidder. All bidders may not have an opportunity to interview/present and/or give demonstrations; the State reserves the right to select only the top scoring bidders to present/give oral interviews in its sole discretion. The scores from the oral interviews/presentations and/or demonstrations will be added to the scores from the Technical and Cost Proposals. The presentation process will allow the bidders to demonstrate their proposal offering, explaining and/or clarifying any unusual or significant elements related to their proposals. Bidders' key personnel may be requested to participate in a structured interview to determine their understanding of the requirements of this proposal, their authority and reporting relationships within their firm, and their management style and philosophy. Bidders shall not be allowed to alter or amend their proposals. Only representatives of the State and the presenting bidders will be permitted to attend the oral interviews/presentations and/or demonstrations.

If Bidder is invited to provide an Oral Demonstration it will occur over an estimated two day period. A working sandbox portal version will be made available to the state for testing of the base COTS or Nebraska (or similar state) configured COTS demo application for five (5) working days following the demonstration. The bidder will remain a third day and will be available via phone or e-mail through the remaining days to support staff to assist in testing.

Once the oral interviews/presentations and/or demonstrations have been completed the State reserves the right to make a contract award without any further discussion with the bidders regarding the proposals received.

Detailed notes of oral interviews/presentations and/or demonstrations may be recorded and supplemental information (such as briefing charts, et cetera) may be accepted; however, such supplemental information shall not be considered an amendment to a bidders' proposal. Additional written information gathered in this manner shall not constitute replacement of proposal contents.

Any cost incidental to the oral interviews/presentations and/or demonstrations shall be borne entirely by the bidder and will not be compensated by the State.

H. SUBMISSION OF PROPOSALS

The following describes the requirements related to proposal submission, proposal handling, and review by the State.

To facilitate the proposal evaluation process, one (1) original of the entire proposal must be submitted. Proposals must be submitted by the proposal due date and time. A separate sheet must be provided that clearly states which sections have been submitted as proprietary or have copyrighted materials. All proprietary information the bidder wishes the State to withhold must be submitted in accordance with the instructions outlined in Section III, Proprietary Information. Proposal responses should include the completed Form A, Bidder Contact Sheet. Proposals must reference the Request for Proposal number and be sent to the specified address. Please note that the address label should appear as specified in Section II part A on the face of each container or bidder's bid response packet. Rejected late proposals will be returned to the bidder unopened, if requested, at bidder's expense. If a recipient phone number is required for delivery purposes, 402-471-6500 should be used. The Request for Proposal number must be included in all correspondence.

Emphasis should be concentrated on conformance to the Request for Proposal instructions, responsiveness to requirements, completeness, and clarity of content. If the bidder's proposal is presented in such a fashion that makes evaluation difficult or overly time consuming, it is likely that the proposal will be rejected.

The Technical and Cost Proposals should be packaged separately (loose-leaf binders are preferred) on standard 8 ½" by 11" paper, except that charts, diagrams and the like may be on fold-outs which, when folded, fit into the 8 ½" by 11" format. Pages may be consecutively numbered for the entire proposal, or may be numbered consecutively within sections. Figures and tables must be numbered and referenced in the text by that number. They should be placed as close as possible to the referencing text. The Technical Proposal must not contain any reference to dollar amounts. However, information such as data concerning labor hours and categories, materials, subcontracts and so forth, shall be considered in the Technical Proposal so that the bidder's understanding of the scope of work may be evaluated. The Technical Proposal shall disclose the bidder's technical approach in as much detail as possible, including, but not limited to, the information required by the Technical Proposal instructions.

I. PROPOSAL OPENING

The sealed proposals will be publicly opened and the bidding entities announced on the date, time, and location shown in the Schedule of Events. Proposals will be available for viewing by those present at the proposal opening. Vendors may also contact the State to schedule an appointment for viewing proposals after the Intent to Award has been posted to the website.

J. LATE PROPOSALS

Proposals received after the time and date of the proposal opening will be considered late proposals. Rejected late proposals will be returned to the bidder unopened, if requested, at bidder's expense. The State is not responsible for proposals that are late or lost due to mail service inadequacies, traffic, or any other reason(s).

K. REJECTION OF PROPOSALS

The State reserves the right to reject any or all proposals, wholly or in part, or to award to multiple bidders in whole or in part. The State reserves the right to waive any deviations or errors that are not material, do not invalidate the legitimacy of the proposal and do not improve the bidder's competitive position. All awards will be made in a manner deemed in the best interest of the State.

L. EVALUATION OF PROPOSALS

All proposals that are responsive to the Request for Proposal will be evaluated. Each category will have a maximum possible point potential. The State will conduct a fair, impartial, and comprehensive evaluation of all responsive proposals in accordance with the criteria set forth below. The State may elect to use a third-party to conduct credit checks as part of the corporate overview evaluation. Areas that will be addressed and scored during the evaluation include:

1. Corporate Overview should include but is not limited to:

a. the ability, capacity, and skill of the bidder to deliver and implement the system or project that meets the requirements of the Request for Proposal;
b. the character, integrity, reputation, judgment, experience, and efficiency of the bidder;
c. whether the bidder can perform the contract within the specified time frame;
d. the quality of bidder performance on prior contracts;
e. such other information that may be secured and that has a bearing on the decision to award the contract;

2. Technical Approach; and
3. Cost Proposal.

Neb. Rev. Stat. § 73-107 allows for a preference for a resident disabled veteran or business located in a designated enterprise zone. When a state contract is to be awarded to the lowest responsible bidder, a resident disabled veteran or a business located in a designated enterprise zone under the Enterprise Zone Act shall be allowed a preference over any other resident or nonresident bidder, if all other factors are equal.

Resident disabled veterans means any person (a) who resides in the State of Nebraska, who served in the United States Armed Forces, including any reserve component or the National Guard, who was discharged or otherwise separated with a characterization of honorable or general (under honorable conditions), and who possesses a disability rating letter issued by the United States Department of Veterans Affairs establishing a service-connected disability or a disability determination from the United States Department of Defense and (b)(i) who owns and controls a business or, in the case of a publicly owned business, more than fifty percent of the stock is owned by one or more persons described in subdivision (a) of this subsection and (ii) the management and daily business operations of the business are controlled by one or more persons described in subdivision(a) of this subsection. Any contract entered into without compliance with this section shall be null and void.

Therefore, if a resident disabled veteran or business located in a designated enterprise zone submits a bid in accordance with Neb. Rev. Stat. § 73-107 and has so indicated on the RFP cover page under "Bidder must complete the following" requesting priority/preference to be considered in the award of this contract, the following will need to be submitted by the vendor within ten (10) business days of request:

1. Documentation from the United States Armed Forces confirming service;
2. Documentation of discharge or otherwise separated characterization of honorable or general (under honorable conditions);
3. Disability rating letter issued by the United States Department of Veterans Affairs establishing a service-connected disability or a disability determination from the United States Department of Defense; and
4. Documentation which shows ownership and control of a business or, in the case of a publicly owned business, more than fifty percent of the stock is owned by one or more persons described in subdivision (a) of this subsection; and the management and daily business operations of the business are controlled by one or more persons described in subdivision (a) of this subsection.

Failure to submit the requested documentation within ten (10) business days of notice will disqualify the bidder from consideration of the preference.

Evaluation criteria will be released with the Request for Proposal. Once bid has opened a list of respondents will be posted to the State Purchasing Bureau website at http://das.nebraska.gov/materiel/purchasing.html

M. EVALUATION COMMITTEE

Proposals will be independently evaluated by members of the Evaluation Committee(s). The Evaluation Committee(s) will consist of staff with the appropriate expertise to conduct such proposal evaluations. Names of the members of the Evaluation Committee(s) will not be published.

Prior to award, bidders are advised that only the point of contact indicated on the front cover of this Request for Proposal For Contractual Services Form can clarify issues or render any opinion regarding this Request for Proposal. No individual member of the State, employee of the State, or member of the Evaluation Committee(s) is empowered to make binding statements regarding this Request for Proposal.

Any contact, or attempted contact, with an evaluator that is involved with this RFP may result in the rejection of this proposal and further administrative actions may be taken.

N. MANDATORY REQUIREMENTS

The proposals will first be examined to determine if all mandatory requirements listed below have been addressed to warrant further evaluation. Proposals not meeting mandatory requirements will be excluded from further evaluation. The mandatory requirement items are as follows:

1. Request for Proposal For Contractual Services form, signed in ink;
2. Corporate Overview;
3. Completed Section III;
4. Technical Approach; and
5. Cost Proposal.

O. REFERENCE CHECKS

The State reserves the right to check any reference(s), regardless of the source of the reference information, including but not limited to, those that are identified by the company in the proposal, those indicated through the explicitly specified contacts, those that are identified during the review of the proposal, or those that result from communication with other entities involved with similar projects. The State may use a third-party to conduct reference checks.

Information to be requested and evaluated from references may include, but is not limited to, some or all of the following: financial stability of the company, project description and background, job performed, functional and technical abilities, communication skills and timeliness, cost and schedule estimates and accuracy, problems (poor quality deliverables, contract disputes, work stoppages, et cetera), overall performance, and whether or not the reference would rehire the firm or individual. Only top scoring bidders may receive reference checks, and negative references may eliminate bidders from consideration for award.

P. SECRETARY OF STATE/TAX COMMISSIONER REGISTRATION REQUIREMENTS

All bidders should be authorized to transact business in the State of Nebraska. All bidders are expected to comply with all Nebraska Secretary of State Registration requirements. It is the responsibility of the bidder to comply with any registration requirements pertaining to types of business entities (e.g. person, partnership, foreign or domestic limited liability company, association, or foreign or domestic corporation or other type of business entity). The bidder who is the recipient of an Intent to Award will be required to certify that it has so complied and produce a true and exact copy of its current (within ninety (90) calendar days), valid Certificate of Good Standing or Letter of Good Standing; or in the case of a sole proprietorship, provide written documentation of sole proprietorship. This must be accomplished prior to the award of the contract. Construction Contractors are expected to meet all applicable requirements of the Nebraska Contractor Registration Act and provide a current, valid certificate of registration. Further, all bidders shall comply with any and all other applicable Nebraska statutes regarding transacting business in the State of Nebraska. Bidders should submit the above certification(s) with their bid.

If a bank is registered with the Office of Comptroller of Currency, it is not required to register with the State. However, the Office of Comptroller of Currency does have a certificate of good standing/registration. The bank could provide that for verification. (Optional)

Q. VIOLATION OF TERMS AND CONDITIONS

Violation of the terms and conditions contained in this Request for Proposal or any resultant contract, at any time before or after the award, shall be grounds for action by the State which may include, but is not limited to, the following:

1. Rejection of a bidder's proposal;
2. Withdrawal of the Intent to Award
3. Termination of the resulting contract.
4. Legal action.
5. Suspension of the bidder from further bidding with the State for the period of time relative to the seriousness of the violation, such period to be within the sole discretion of the State.

III. TERMS AND CONDITIONS

By signing the "Request for Proposal for Contractual Services" form, the bidder guarantees compliance with the provisions stated in this Request for Proposal, agrees to the Terms and Conditions unless otherwise agreed to, and certifies bidder maintains a drug free work place environment.

Bidders are expected to closely read the Terms and Conditions and provide a binding signature of intent to comply with the Terms and Conditions; provided, however, a bidder may indicate any exceptions to the Terms and Conditions by (1) clearly identifying the term or condition by subsection, and (2) including an explanation for the bidder's inability to comply with such term or condition which includes a statement recommending terms and conditions the bidder would find acceptable. Rejection in whole or in part of the Terms and Conditions may be cause for rejection of a bidder's proposal. **Bidders must include completed Section III with their proposal response.**

The State of Nebraska is soliciting bids in response to the RFP. The State of Nebraska will not consider proposals that propose the substitution of the bidder's contract, agreements, or terms for those of the State of Nebraska's. Any License, Service Agreement, Customer Agreement, User Agreement, Bidder Terms and Conditions, Document, or Clause purported or offered to be included as a part of this RFP must be submitted as individual clauses, as either a counter-offer or additional language, and each clause must be acknowledged and accepted in writing by the State. If the Bidder's clause is later found to be in conflict with the RFP or resulting contract the Bidder's clause shall be subordinate to the RFP or resulting contract.

A. GENERAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The contract resulting from this Request for Proposal shall incorporate the following documents:

1. Amendment to Contract Award with the most recent dated amendment having the highest priority;
2. Contract Award and any attached Addenda;
3. The Request for Proposal form and the Contractor's Proposal, signed in ink
4. Amendments to RFP and any Questions and Answers; and
5. The original RFP document and any Addenda.

These documents constitute the entirety of the contract.

Unless otherwise specifically stated in a contract amendment, in case of any conflict between the incorporated documents, the documents shall govern in the following order of preference with number one (1) receiving preference over all other documents and with each lower numbered document having preference over any higher numbered document: 1) Amendment to Contract Award with the most recent dated amendment having the highest priority, 2) Contract Award and any attached Addenda, 3) the signed Request for Proposal form and the Contractor's Proposal, 4) Amendments to RFP and any Questions and Answers, 5) the original RFP document and any Addenda.

Any ambiguity in any provision of this contract which shall be discovered after its execution shall be resolved in accordance with the rules of contract interpretation as established in the State of Nebraska.

Once proposals are opened they become the property of the State of Nebraska and will not be returned.

B. AWARD

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

All purchases, leases, or contracts which are based on competitive proposals will be awarded according to the provisions in the Request for Proposal. The State reserves the right to reject any or all proposals, in whole or in part, or to award to multiple bidders in whole or in part, and at its discretion, may withdraw or amend the Request for Proposal at any time. The State reserves the right to waive any deviations or errors that are not material, do not invalidate the legitimacy of the proposal, and do not improve the bidder's competitive position. All awards will be made in a manner deemed in the best interest of the State. The Request for Proposal does not commit the State to award a contract. If, in the opinion of the State, revisions or amendments will require substantive changes in proposals, the due date may be extended.

By submitting a proposal in response to this Request for Proposal, the bidder grants to the State the right to contact or arrange a visit in person with any or all of the bidder's clients.

Once intent to award decision has been determined, it will be posted to the Internet at:
http://das.nebraska.gov/materiel/purchasing.html

Grievance and protest procedure is available on the Internet at:
http://das.nebraska.gov/materiel/purchase_bureau/docs/vendors/protest/ProtestGrievanceProcedureForVendors.pdf

Any protests must be filed by a vendor within ten (10) business days after the intent to award decision is posted to the Internet.

C. COMPLIANCE WITH CIVIL RIGHTS LAWS AND EQUAL OPPORTUNITY EMPLOYMENT / NONDISCRIMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor shall comply with all applicable local, state, and federal statutes and regulations regarding civil rights laws and equal opportunity employment. The Nebraska Fair Employment Practice Act prohibits Contractors of the State of Nebraska, and their Subcontractors, from discriminating against any employee or applicant for employment, with respect to hire, tenure, terms, conditions, compensation, or privileges of employment because of race, color, religion, sex, disability, marital status, or national origin (Neb. Rev. Stat. §§ 48-1101 to 48-1125). The Contractor guarantees compliance with the Nebraska Fair Employment Practice Act, and breach of this provision shall be regarded as a material breach of contract. The Contractor shall insert a similar provision in all Subcontracts for services to be covered by any contract resulting from this Request for Proposal.

D. PERMITS, REGULATIONS, LAWS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor shall procure and pay for all permits, licenses, and approvals necessary for the execution of the contract. The Contractor shall comply with all applicable local, state, and federal laws, ordinances, rules, orders, and regulations.

E. OWNERSHIP OF INFORMATION AND DATA

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State of Nebraska shall have the unlimited right to publish, duplicate, use, and disclose all information and data developed or derived by the Contractor pursuant to this contract.

The Contractor must guarantee that it has the full legal right to the materials, supplies, equipment, and other rights or titles (e.g. rights to licenses transfer or assign deliverables) necessary to execute this contract. The contract price shall, without exception, include compensation for all royalties and costs arising from patents, trademarks, and copyrights that are in any way involved in the contract. It shall be the responsibility of the Contractor to pay for all royalties and costs, and the State must be held harmless from any such claims.

F. INSURANCE REQUIREMENTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor shall not commence work under this contract until all the insurance required hereunder has been obtained and such insurance has been approved by the State. The Contractor shall maintain all required insurance for the life of this contract and shall ensure that the State Purchasing Bureau has the most current certificate of insurance throughout the life of this contract. If Contractor will be utilizing any Subcontractors, the Contractor is responsible for obtaining the certificate(s) of insurance required herein under from any and all Subcontractor(s). The Contractor is also responsible for ensuring Subcontractor(s) maintain the insurance required until completion of the contract requirements. The Contractor shall not allow any Subcontractor to commence work on any Subcontract until all similar insurance required of the Subcontractor has been obtained and approved by the Contractor. Approval of the insurance by the State shall not limit, relieve, or decrease the liability of the Contractor hereunder.

If by the terms of any insurance a mandatory deductible is required, or if the Contractor elects to increase the mandatory deductible amount, the Contractor shall be responsible for payment of the amount of the deductible in the event of a paid claim.

Insurance coverages shall function independent of all other clauses in the contract, and in no instance shall the limits of recovery from the insurance be reduced below the limits required by this section.

1. WORKERS' COMPENSATION INSURANCE

The Contractor shall take out and maintain during the life of this contract the statutory Workers' Compensation and Employer's Liability Insurance for all of the contactors' employees to be engaged in

work on the project under this contract and, in case any such work is sublet, the Contractor shall require the Subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the Subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. This policy shall include a waiver of subrogation in favor of the State. The amounts of such insurance shall not be less than the limits stated hereinafter.

2. COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE

The Contractor shall take out and maintain during the life of this contract such Commercial General Liability Insurance and Commercial Automobile Liability Insurance as shall protect Contractor and any Subcontractor performing work covered by this contract from claims for damages for bodily injury, including death, as well as from claims for property damage, which may arise from operations under this contract, whether such operation be by the Contractor or by any Subcontractor or by anyone directly or indirectly employed by either of them, and the amounts of such insurance shall not be less than limits stated hereinafter.

The Commercial General Liability Insurance shall be written on an occurrence basis, and provide Premises/Operations, Products/Completed Operations, Independent Contractors, Personal Injury, and Contractual Liability coverage. The policy shall include the State, and others as required by the contract documents, as Additional Insured(s). This policy shall be primary, and any insurance or self-insurance carried by the State shall be considered excess and non-contributory. The Commercial Automobile Liability Insurance shall be written to cover all Owned, Non-owned, and Hired vehicles.

3. INSURANCE COVERAGE AMOUNTS REQUIRED

COMMERCIAL GENERAL LIABILITY	
General Aggregate	$2,000,000
Products/Completed Operations Aggregate	$2,000,000
Personal/Advertising Injury	$1,000,000 per occurrence
Bodily Injury/Property Damage	$1,000,000 per occurrence
Fire Damage	$50,000 any one fire
Medical Payments	$10,000 any one person
Damage to Rented Premises	$300,000 each occurrence
Contractual	Included
XCU Liability (Explosion, Collapse, and Underground Damage)	Included
Independent Contractors	Included
Abuse & Molestation	Included
If higher limits are required, the Umbrella/Excess Liability limits are allowed to satisfy the higher limit.	
WORKER'S COMPENSATION	
Employers Liability Limits	$500K/$500K/$500K
Statutory Limits- All States	Statutory - State of Nebraska
USL&H Endorsement	Statutory
Voluntary Compensation	Statutory
COMMERCIAL AUTOMOBILE LIABILITY	
Bodily Injury/Property Damage	$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
Motor Carrier Act Endorsement	Where Applicable
UMBRELLA/EXCESS LIABILITY	
Over Primary Insurance	$5,000,000
PROFESSIONAL LIABILITY	
All Other Professional Liability (Errors & Omissions)	$5,000,000 Per Claim / Aggregate
COMMERCIAL CRIME	
Crime/Employee Dishonesty Including 3rd Party Fidelity	$1,000,000
CYBER LIABILITY	
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties	$10,000,000
SUBROGATION WAIVER	
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."	
LIABILITY WAIVER	

"Commercial General Liability & Commercial Automobile Liability policies shall be primary and any insurance or self-insurance carried by the State shall be considered excess and non-contributory."

4. EVIDENCE OF COVERAGE

The Contractor should furnish the State, with their proposal response, a certificate of insurance coverage complying with the above requirements to the attention of the Buyer at 402-471-2089 (fax)

Administrative Services
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, NE 68508

These certificates or the cover sheet shall reference the RFP number, and the certificates shall include the name of the company, policy numbers, effective dates, dates of expiration, and amounts and types of coverage afforded. If the State is damaged by the failure of the Contractor to maintain such insurance, then the Contractor shall be responsible for all reasonable costs properly attributable thereto.

Notice of cancellation of any required insurance policy must be submitted to Administrative Services State Purchasing Bureau when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

G. COOPERATION WITH OTHER CONTRACTORS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State may already have in place or choose to award supplemental contracts for work related to this Request for Proposal, or any portion thereof.

1. The State reserves the right to award the contract jointly between two or more potential Contractors, if such an arrangement is in the best interest of the State.

2. The Contractor shall agree to cooperate with such other Contractors, and shall not commit or permit any act which may interfere with the performance of work by any other Contractor.

H. INDEPENDENT CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

It is agreed that nothing contained herein is intended or should be construed in any manner as creating or establishing the relationship of partners between the parties hereto. The Contractor represents that it has, or will secure at its own expense, all personnel required to perform the services under the contract. The Contractor's employees and other persons engaged in work or services required by the contractor under the contract shall have no contractual relationship with the State; they shall not be considered employees of the State.

All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination against the Contractor, its officers, or its agents) shall in no way be the responsibility of the State. The Contractor will hold the State harmless from any and all such claims. Such personnel or other persons shall not require nor be entitled to any compensation, rights, or benefits from the State including without limit, tenure rights, medical and hospital care, sick and vacation leave, severance pay, or retirement benefits.

I. CONTRACTOR RESPONSIBILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor is solely responsible for fulfilling the contract, with responsibility for all services offered and products to be delivered as stated in the Request for Proposal, the Contractor's proposal, and the resulting contract. The Contractor shall be the sole point of contact regarding all contractual matters.

If the Contractor intends to utilize any Subcontractor's services, the Subcontractor's level of effort, tasks, and time allocation must be clearly defined in the Contractor's proposal. The Contractor shall agree that it will not utilize any Subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State. Following execution of the contract, the Contractor shall proceed diligently with all services and shall perform such services with qualified personnel in accordance with the contract.

J. CONTRACTOR PERSONNEL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor warrants that all persons assigned to the project shall be employees of the Contractor or specified Subcontractors, and shall be fully qualified to perform the work required herein. Personnel employed by the Contractor to fulfill the terms of the contract shall remain under the sole direction and control of the Contractor. The Contractor shall include a similar provision in any contract with any Subcontractor selected to perform work on the project.

Personnel commitments made in the Contractor's proposal shall not be changed without the prior written approval of the State. Replacement of key personnel, if approved by the State, shall be with personnel of equal or greater ability and qualifications.

The State reserves the right to require the Contractor to reassign or remove from the project any Contractor or Subcontractor employee.

In respect to its employees, the Contractor agrees to be responsible for the following:

1. any and all employment taxes and/or other payroll withholding;
2. any and all vehicles used by the Contractor's employees, including all insurance required by state law;
3. damages incurred by Contractor's employees within the scope of their duties under the contract;
4. maintaining workers' compensation and health insurance and submitting any reports on such insurance to the extent required by governing State law; and
5. determining the hours to be worked and the duties to be performed by the Contractor's employees.

K. CONTRACT CONFLICTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Contractor shall insure that contracts or agreements with sub-contractors and agents, and the performance of services in relation to this contract by sub-contractors and agents, does not conflict with this contract.

L. STATE OF NEBRASKA PERSONNEL RECRUITMENT PROHIBITION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor shall not, at any time, recruit or employ any State employee or agent who has worked on the Request for Proposal or project, or who had any influence on decisions affecting the Request for Proposal or project.

M. CONFLICT OF INTEREST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

By submitting a proposal, bidder certifies that there does not now exist any relationship between the bidder and any person or entity which is or gives the appearance of a conflict of interest related to this Request for Proposal or project.

The bidder certifies that it shall not take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its services hereunder or which creates an actual or appearance of conflict of interest.

The bidder certifies that it will not employ any individual known by bidder to have a conflict of interest.

N. PROPOSAL PREPARATION COSTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State shall not incur any liability for any costs incurred by bidders in replying to this Request for Proposal, in the demonstrations and/or oral presentations, or in any other activity related to bidding on this Request for Proposal.

O. ERRORS AND OMISSIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The bidder shall not take advantage of any errors and/or omissions in this Request for Proposal or resulting contract. The bidder must promptly notify the State of any errors and/or omissions that are discovered.

P. BEGINNING OF WORK

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The bidder shall not commence any billable work until a valid contract has been fully executed by the State and the successful Contractor. The Contractor will be notified in writing when work may begin.

Q. ASSIGNMENT BY THE STATE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State shall have the right to assign or transfer the contract or any of its interests herein to any agency, board, commission, or political subdivision of the State of Nebraska. There shall be no charge to the State for any assignment hereunder.

R. ASSIGNMENT BY THE CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor may not assign, voluntarily or involuntarily, the contract or any of its rights or obligations hereunder (including without limitation rights and duties of performance) to any third party, without the prior written consent of the State, which will not be unreasonably withheld.

S. DEVIATIONS FROM THE REQUEST FOR PROPOSAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The requirements contained in the Request for Proposal become a part of the terms and conditions of the contract resulting from this Request for Proposal. Any deviations from the Request for Proposal must be clearly defined by the bidder in its proposal and, if accepted by the State, will become part of the contract. Any specifically defined deviations must not be in conflict with the basic nature of the Request for Proposal, mandatory requirements, or applicable state or federal laws or statutes. "Deviation", for the purposes of this RFP, means any proposed changes or alterations to either the contractual language or deliverables within the scope of this RFP. The State discourages deviations and reserves the right to reject proposed deviations.

T. GOVERNING LAW

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The contract shall be governed in all respects by the laws and statutes of the State of Nebraska. Any legal proceedings against the State of Nebraska regarding this Request for Proposal or any resultant contract shall be brought in the State of Nebraska administrative or judicial forums as defined by State law. The Contractor must be in compliance with all Nebraska statutory and regulatory law.

U. ATTORNEY'S FEES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

In the event of any litigation, appeal, or other legal action to enforce any provision of the contract, the Contractor agrees to pay all expenses of such action, as permitted by law, including attorney's fees and costs, if the State is the prevailing party.

V. ADVERTISING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor agrees not to refer to the contract award in advertising in such a manner as to state or imply that the company or its services are endorsed or preferred by the State. News releases pertaining to the project shall not be issued without prior written approval from the State.

W. STATE PROPERTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor shall be responsible for the proper care and custody of any State-owned property which is furnished for the Contractor's use during the performance of the contract. The Contractor shall reimburse the State for any loss or damage of such property; normal wear and tear is expected.

X. SITE RULES AND REGULATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor shall use its best efforts to ensure that its employees, agents, and Subcontractors comply with site rules and regulations while on State premises. If the Contractor must perform on-site work outside of the daily operational hours set forth by the State, it must make arrangements with the State to ensure access to the facility and the equipment has been arranged. No additional payment will be made by the State on the basis of lack of access, unless the State fails to provide access as agreed to between the State and the Contractor.

Y. NOTIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

During the bid process, all communication between the State and a bidder shall be between the bidder's representative clearly noted in its proposal and the buyer noted in Section II.A. Procuring Office and Contact Person, of this RFP. After the award of the contract, all notices under the contract shall be deemed duly given upon delivery to the staff designated as the point of contact for this Request for Proposal, in person, or upon delivery by U.S. Mail, facsimile, or e-mail. Each bidder should provide in its proposal the name, title, and complete address of its designee to receive notices.

1. Except as otherwise expressly specified herein, all notices, requests, or other communications shall be in writing and shall be deemed to have been given if delivered personally or mailed, by U.S. Mail, postage prepaid, return receipt requested, to the parties at their respective addresses set forth above, or at such other addresses as may be specified in writing by either of the parties. All notices, requests, or communications shall be deemed effective upon personal delivery or three (3) calendar days following deposit in the mail.

2. Whenever the Contractor encounters any difficulty which is delaying or threatens to delay its timely performance under the contract, the Contractor shall immediately give notice thereof in writing to the State reciting all relevant information with respect thereto. Such notice shall not in any way constitute a basis for an extension of the delivery schedule or be construed as a waiver by the State of any of its rights or remedies to which it is entitled by law or equity or pursuant to the provisions of the contract. Failure to give such notice, however, may be grounds for denial of any request for an extension of the delivery schedule because of such delay.

Either party may change its address for notification purposes by giving notice of the change, and setting forth the new address and an effective date.

For the duration of the contract, all communication between Contractor and the State regarding the contract shall take place between the Contractor and individuals specified by the State in writing. Communication about the contract between Contractor and individuals not designated as points of contact by the State is strictly forbidden.

Z. EARLY TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.

2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.

3. The State may terminate the contract immediately for the following reasons:

- **a.** if directed to do so by statute;
- **b.** Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;
- **c.** a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
- **d.** fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
- **e.** an involuntary proceeding has been commenced by any party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
- **f.** a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
- **g.** Contractor intentionally discloses confidential information;
- **h.** Contractor has or announces it will discontinue support of the deliverable;
- **i.** second or subsequent documented "vendor performance report" form deemed acceptable by the State Purchasing Bureau; or
- **j.** Contractor engaged in collusion or actions which could have provided Contractor an unfair advantage in obtaining this contract.

AA. FUNDING OUT CLAUSE OR LOSS OF APPROPRIATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State may terminate the contract, in whole or in part, in the event funding is no longer available. The State's obligation to pay amounts due for fiscal years following the current fiscal year is contingent upon legislative appropriation of funds for the contract. Should said funds not be appropriated, the State may terminate the contract with respect to those payments for the fiscal years for which such funds are not appropriated. The State will give the Contractor written notice thirty (30) calendar days prior to the effective date of any termination, and advise the Contractor of the location (address and room number) of any related equipment. All obligations of the State to make payments after the termination date will cease and all interest of the State in any related equipment will terminate. The Contractor shall be entitled to receive just and equitable compensation for any authorized work which has been satisfactorily completed as of the termination date. In no event shall the Contractor be paid for a loss of anticipated profit.

BB. BREACH BY CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State may terminate the contract, in whole or in part, if the Contractor fails to perform its obligations under the contract in a timely and proper manner. The State may, by providing a written notice of default to the Contractor, allow the Contractor to cure a failure or breach of contract within a period of thirty (30) calendar days (or longer at State's discretion considering the gravity and nature of the default). Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing the Contractor time to cure a failure or breach of contract does not waive the State's right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby.

CC. ASSURANCES BEFORE BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

If any document or deliverable required pursuant to the contract does not fulfill the requirements of the Request for Proposal/resulting contract, upon written notice from the State, the Contractor shall deliver assurances in the form of additional Contractor resources at no additional cost to the project in order to complete the deliverable, and to ensure that other project schedules will not be adversely affected.

DD. ADMINISTRATION – CONTRACT TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

1. Contractor must provide confirmation that upon contract termination all deliverables prepared in accordance with this agreement shall become the property of the State of Nebraska; subject to the ownership provision (section E) contained herein, and is provided to the State of Nebraska at no additional cost to the State.

2. Contractor must provide confirmation that in the event of contract termination, all records that are the property of the State will be returned to the State within thirty (30) calendar days. Notwithstanding the above, Contractor may retain one copy of any information as required to comply with applicable work product documentation standards or as are automatically retained in the course of Contractor's routine back up procedures.

EE. PENALTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

In the event that the Contractor fails to perform any substantial obligation under the contract, the State may withhold all monies due and payable to the Contractor, without penalty, until such failure is cured or otherwise adjudicated.

FF. RETAINAGE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State will withhold 10 percent (10%) of each payment due as retainage. 75% of the retainage amount will be payable after 120 days post Go-Live sign off and 25% will be payable after quarterly, annual, and biennial processes are completed and verified. The Contractor will invoice the State for the retainage. The State may reject any invoice for retainage by identifying the specific reasons for such rejection in writing to the Contractor within forty-five (45) calendar days of receipt of each retainage invoice. .

GG. PERFORMANCE BOND

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor will be required to supply a bond executed by a corporation authorized to contract surety in the State of Nebraska, payable to the State of Nebraska, which shall be valid for the life of the contract to include any renewal and/or extension periods. The amount of the bond must be an established dollar amount of $250,000. The bond will guarantee that the Contractor will faithfully perform all requirements, terms and conditions of the contract. Failure to comply shall be grounds for forfeiture of the bond as liquidated damages. Amount of forfeiture will be determined by the agency based on loss to the State. The bond will be returned when the service has been satisfactorily completed as solely determined by the State, after termination or expiration of the contract.

HH. FORCE MAJEURE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Neither party shall be liable for any costs or damages resulting from its inability to perform any of its obligations under the contract due to a natural disaster, or other similar event outside the control and not the fault of the affected party ("Force Majeure Event"). A Force Majeure Event shall not constitute a breach of the contract. The party so affected shall immediately give notice to the other party of the Force Majeure Event. The State may grant relief from performance of the contract if the Contractor is prevented from performance by a Force Majeure Event. The burden of proof for the need for such relief shall rest upon the Contractor. To obtain release based on a Force

Majeure Event, the Contractor shall file a written request for such relief with the State Purchasing Bureau. Labor disputes with the impacted party's own employees will not be considered a Force Majeure Event and will not suspend performance requirements under the contract.

II. PROHIBITION AGAINST ADVANCE PAYMENT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Payments shall not be made until contractual deliverable(s) are received and accepted by the State.

JJ. PAYMENT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

State will render payment to Contractor when the terms and conditions of the contract and specifications have been satisfactorily completed on the part of the Contractor as solely determined by the State. Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §§ 81-2401 through 81-2408). The State may require the Contractor to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any services provided by the Contractor prior to the Effective Date, and the Contractor hereby waives any claim or cause of action for any such services.

KK. INVOICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Invoices for payments must be submitted by the Contractor to the agency requesting the services with sufficient detail to support payment. The terms and conditions included in the Contractor's invoice shall be deemed to be solely for the convenience of the parties. No terms or conditions of any such invoice shall be binding upon the State, and no action by the State, including without limitation the payment of any such invoice in whole or in part, shall be construed as binding or estopping the State with respect to any such term or condition, unless the invoice term or condition has been previously agreed to by the State as an amendment to the contract.

LL. RIGHT TO AUDIT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Contractor shall establish and maintain a reasonable accounting system that enables the State to readily audit contract. The State and its authorized representatives shall have the right to audit, to examine, and to make copies of or extracts from all financial and related records (in whatever form they may be kept, whether written, electronic,

or other) relating to or pertaining to this contract kept by or under the control of the Contractor, including, but not limited to those kept by the Contractor, its employees, agents, assigns, successors, and Subcontractors. Such records shall include, but not be limited to, accounting records, written policies and procedures; all paid vouchers including those for out-of-pocket expenses; other reimbursement supported by invoices; ledgers; cancelled checks; deposit slips; bank statements; journals; original estimates; estimating work sheets; contract amendments and change order files; back charge logs and supporting documentation; insurance documents; payroll documents; timesheets; memoranda; and correspondence.

Contractor shall, at all times during the term of this contract and for a period of five (5) years after the completion of this contract, maintain such records, together with such supporting or underlying documents and materials. The Contractor shall at any time requested by the State, whether during or after completion of this contract and at Contractor's own expense make such records available for inspection and audit (including copies and extracts of records as required) by the State. Such records shall be made available to the State during normal business hours at the Contractor's office or place of business. In the event that no such location is available, then the financial records, together with the supporting or underlying documents and records, shall be made available for audit at a time and location that is convenient for the State. Contractor shall ensure the State has these rights with Contractor's assigns, successors, and Subcontractors, and the obligations of these rights shall be explicitly included in any subcontracts or agreements formed between the Contractor and any Subcontractors to the extent that those Subcontracts or agreements relate to fulfillment of the Contractor's obligations to the State.

Costs of any audits conducted under the authority of this right to audit and not addressed elsewhere will be borne by the State unless certain exemption criteria are met. If the audit identifies overpricing or overcharges (of any nature) by the Contractor to the State in excess of one-half of one percent (.5%) of the total contract billings, the Contractor shall reimburse the State for the total costs of the audit. If the audit discovers substantive findings related to fraud, misrepresentation, or non-performance, the Contractor shall reimburse the State for total costs of audit. Any adjustments and/or payments that must be made as a result of any such audit or inspection of the Contractor's invoices and/or records shall be made within a reasonable amount of time (not to exceed 90 days) from presentation of the State's findings to Contractor.

MM. TAXES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State is not required to pay taxes of any kind and assumes no such liability as a result of this solicitation. Any property tax payable on the Contractor's equipment which may be installed in a state-owned facility is the responsibility of the Contractor.

NN. INSPECTION AND APPROVAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Final inspection and approval of all work required under the contract shall be performed by the designated State officials. The State and/or its authorized representatives shall have the right to enter any premises where the Contractor or Subcontractor duties under the contract are being performed, and to inspect, monitor or otherwise evaluate the work being performed. All inspections and evaluations shall be at reasonable times and in a manner that will not unreasonably delay work.

OO. CHANGES IN SCOPE/CHANGE ORDERS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State may, upon the written agreement of Contractor, make changes to the contract within the general scope of the RFP. The State may, at any time work is in progress, by written agreement, make alterations in the terms of work as shown in the specifications, require the Contractor to make corrections, decrease the quantity of work, or make such other changes as the State may find necessary or desirable. The Contractor shall not claim forfeiture of contract by reasons of such changes by the State. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices if any, or a pro-rated value.

Corrections of any deliverable, service or performance of work required pursuant to the contract shall not be deemed a modification. Changes or additions to the contract beyond the scope of the RFP are not permitted.

PP. SEVERABILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

If any term or condition of the contract is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and conditions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the contract did not contain the particular provision held to be invalid.

QQ. CONFIDENTIALITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

All materials and information provided by the State or acquired by the Contractor on behalf of the State shall be regarded as confidential information. All materials and information provided by the State or acquired by the Contractor on behalf of the State shall be handled in accordance with federal and state law, and ethical standards. The Contractor must ensure the confidentiality of such materials or information. Should said confidentiality be breached by a Contractor; Contractor shall notify the State immediately of said breach and take immediate corrective action.

It is incumbent upon the Contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1), which is made applicable to Contractors by 5 U.S.C. 552a (m)(1), provides that any officer or employee of a Contractor, who by virtue of his/her employment or official position has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

RR. PROPRIETARY INFORMATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Data contained in the proposal and all documentation provided therein, become the property of the State of Nebraska and the data becomes public information upon opening the proposal. If the bidder wishes to have any information withheld from the public, such information must fall within the definition of proprietary information contained within Nebraska's public record statutes. **All proprietary information the bidder wishes the State to withhold must be submitted in a sealed package, which is separate from the remainder of the proposal, and provide supporting documents showing why such documents should be marked proprietary**. The separate package must be clearly marked PROPRIETARY on the outside of the package. **Bidders may not mark their entire Request for Proposal as proprietary**. Bidder's cost proposals may not be marked as proprietary information. Failure of the bidder to follow the instructions for submitting proprietary and copyrighted information may result in the information being viewed by other bidders and the public. Proprietary information is defined as trade secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and serve no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Attorney General Opinions 92068 and 97033, bidders submitting information as proprietary may be required to prove specific, named competitor(s) who would be advantaged by release of the information and the specific advantage the competitor(s) would receive. Although every effort will be made to withhold information that is properly submitted as proprietary and meets the State's definition of proprietary information, the State is under no obligation to maintain the confidentiality of proprietary information and accepts no liability for the release of such information.

SS. CERTIFICATION OF INDEPENDENT PRICE DETERMINATION/COLLUSIVE BIDDING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

By submission of this proposal, the bidder certifies that it is the party making the foregoing proposal and that the proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the proposal is genuine and not collusive or sham; that the bidder has not directly or indirectly induced or solicited any other bidder to put in a false or sham proposal, and has not directly or indirectly colluded, conspired, connived, or agreed with any bidder or anyone else to put in a sham proposal, or that anyone shall refrain from bidding; that the bidder has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the proposal price of the bidder or any other bidder, or to fix any overhead, profit, or cost element of the proposal price, or of that of any other bidder, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the proposal are true; and further that the bidder has not, directly or indirectly, submitted the proposal price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company association, organization, proposal depository, or to any member or agent thereof to effectuate a collusive or sham proposal.

TT. STATEMENT OF NON-COLLUSION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The proposal shall be arrived at by the bidder independently and be submitted without collusion with, and without any direct or indirect agreement, understanding or planned common course of action with, any person; firm; corporation; bidder; Contractor of materials, supplies, equipment or services described in this RFP. Bidder shall not collude with, or attempt to collude with, any state officials, employees or agents; or evaluators or any person involved in this RFP. The bidder shall not take any action in the restraint of free competition or designed to limit independent bidding or to create an unfair advantage.

Should it be determined that collusion occurred, the State reserves the right to reject a bid or terminate the contract and impose further administrative sanctions.

UU. PRICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

All prices, costs, and terms and conditions outlined in the proposal shall remain fixed and valid commencing on the opening date of the proposal until an award is made (and for bidder receiving award, prices shall remain as bid for the duration of the contract unless otherwise so stated in the contract) or the Request for Proposal is cancelled.

Prices quoted on the Cost Proposal form shall remain fixed for the initial contract period. At renewal time rates may increase no more than 5% upon mutual written agreement by Contractor and SoS, and be accompanied by documentation justifying the price increase. Further documentation may be required by the State to justify the increase. The State reserves the right to deny any requested price increase. No price increases are to be billed to any State Agencies prior to written amendment of the contract by the parties.

The State will be given full proportionate benefit of any price decrease during the term of the contract.
Contractor represents and warrants that all prices for services, now or subsequently specified, are as low as and no higher than prices which the Contractor has charged or intends to charge customers other than the State for the same or similar products and services of the same or equivalent quantity and quality for delivery or performance during the same periods of time. If, during the term of the contract, the Contractor shall reduce any and/or all prices charged to any customers other than the State for the same or similar products or services specified herein, the Contractor shall make an equal or equivalent reduction in corresponding prices for said specified products or services.

Contractor also represents and warrants that all prices set forth in the contract and all prices in addition, which the Contractor may charge under the terms of the contract, do not and will not violate any existing federal, state, or municipal law or regulations concerning price discrimination and/or price fixing. Contractor agrees to hold the State harmless from any such violation. Prices quoted shall not be subject to increase throughout the contract period unless specifically allowed by these specifications.

VV. BEST AND FINAL OFFER

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The State will compile the final scores for all parts of each proposal. The award may be granted to the highest scoring responsive and responsible bidder. Alternatively, the highest scoring bidder or bidders may be requested to submit best and final offers. If best and final offers are requested by the State and submitted by the bidder, they will be evaluated (using the stated criteria), scored, and ranked by the Evaluation Committee. The award will then be granted to the highest scoring bidder. However, a bidder should provide its best offer in its original proposal. Bidders should not expect that the State will request a best and final offer.

WW. ETHICS IN PUBLIC CONTRACTING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

No bidder shall pay or offer to pay, either directly or indirectly, any fee, commission compensation, gift, gratuity, or anything of value to any State officer, legislator, employee or evaluator based on the understanding that the receiving person's vote, actions, or judgment will be influenced thereby. No bidder shall give any item of value to any employee of the State Purchasing Bureau or any evaluator.

Bidders shall be prohibited from utilizing the services of lobbyists, attorneys, political activists, or consultants to secure the contract. It is the intent of this provision to assure that the prohibition of state contact during the procurement process is not subverted through the use of lobbyists, attorneys, political activists, or consultants. It is the intent of the State that the process of evaluation of proposals and award of the contract be completed without external influence. It is not the intent of this section to prohibit bidders from seeking professional advice, for example consulting legal counsel, regarding terms and conditions of this Request for Proposal or the format or content of their proposal.

If the bidder is found to be in non-compliance with this section of the Request for Proposal, they may forfeit the contract if awarded to them or be disqualified from the selection process.

XX. INDEMNIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

1. GENERAL

The Contractor agrees to defend, indemnify, hold, and save harmless the State and its employees, volunteers, agents, and its elected and appointed officials ("the indemnified parties") from and against any and all claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses ("the claims"), sustained or asserted against the State, arising out of, resulting from, or attributable to the willful misconduct, negligence, error, or omission of the Contractor, its employees, Subcontractors, consultants, representatives, and agents, except to the extent such Contractor liability is attenuated by any action of the State which directly and proximately contributed to the claims.

2. INTELLECTUAL PROPERTY

The Contractor agrees it will, at its sole cost and expense, defend, indemnify, and hold harmless the indemnified parties from and against any and all claims, to the extent such claims arise out of, result from, or are attributable to, the actual or alleged infringement or misappropriation of any patent, copyright, trade secret, trademark, or confidential information of any third party by the Contractor or its employees, Subcontractors, consultants, representatives, and agents; provided, however, the State gives the Contractor prompt notice in writing of the claim. The Contractor may not settle any infringement claim that will affect the State's use of the Licensed Software without the State's prior written consent, which consent may be withheld for any reason.

If a judgment or settlement is obtained or reasonably anticipated against the State's use of any intellectual property for which the Contractor has indemnified the State, the Contractor shall, at the Contractor's sole cost and expense, promptly modify the item or items which were determined to be infringing, acquire a license or licenses on the State's behalf to provide the necessary rights to the State to eliminate the infringement, or provide the State with a non-infringing substitute that provides the State the same functionality. At the State's election, the actual or anticipated judgment may be treated as a breach of warranty by the Contractor, and the State may receive the remedies provided under this RFP.

3. PERSONNEL

The Contractor shall, at its expense, indemnify and hold harmless the indemnified parties from and against any claim with respect to withholding taxes, worker's compensation, employee benefits, or any other claim, demand, liability, damage, or loss of any nature relating to any of the personnel provided by the Contractor.

4. SELF-INSURANCE

The State of Nebraska is self-insured for any loss and purchases excess insurance coverage pursuant to Neb. Rev. Stat. § 81-8,239.01 (Reissue 2008). If there is a presumed loss under the provisions of this agreement, Contractor may file a claim with the Office of Risk Management pursuant to Neb. Rev. Stat. §§ 81-8,829 – 81-8,306 for review by the State Claims Board. The State retains all rights and immunities under the State Miscellaneous (Section 81-8,294), Tort (Section 81-8,209), and Contract Claim Acts (Section 81-8,302), as outlined in Neb. Rev. Stat. § 81-8,209 *et seq.* and under any other provisions of law and accepts liability under this agreement to the extent provided by law.

YY. NEBRASKA TECHNOLOGY ACCESS STANDARDS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Contractor shall review the Nebraska Technology Access Standards, found at http://nitc.nebraska.gov/standards/2-201.html and ensure that products and/or services provided under the contract are in compliance or will comply with the applicable standards to the greatest degree possible. In the event such standards change during the Contractor's performance, the State may create an amendment to the contract to request the contract comply with the changed standard at a cost mutually acceptable to the parties.

ZZ. ANTITRUST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor hereby assigns to the State any and all claims for overcharges as to goods and/or services provided in connection with this contract resulting from antitrust violations which arise under antitrust laws of the United States and the antitrust laws of the State.

AAA. DISASTER RECOVERY/BACK UP PLAN

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor shall have a disaster recovery and back-up plan, of which a copy should be provided to the State, which includes, but is not limited to equipment, personnel, facilities, and transportation, in order to continue services as specified under the specifications in the contract in the event of a disaster.

BBB. TIME IS OF THE ESSENCE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Time is of the essence in this contract. The acceptance of late performance with or without objection or reservation by the State shall not waive any rights of the State nor constitute a waiver of the requirement of timely performance of any obligations on the part of the Contractor remaining to be performed.

CCC. RECYCLING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Preference will be given to items which are manufactured or produced from recycled material or which can be readily reused or recycled after their normal use as per Neb. Rev. Stat. § 81-15,159.

DDD. DRUG POLICY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Contractor certifies it maintains a drug free work place environment to ensure worker safety and workplace integrity. Contractor agrees to provide a copy of its drug free workplace policy at any time upon request by the State.

EEE. EMPLOYEE WORK ELIGIBILITY STATUS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor is required and hereby agrees to use a federal immigration verification system to determine the work eligibility status of employees physically performing services within the State of Nebraska. A federal immigration verification system means the electronic verification of the work authorization program authorized by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, 8 U.S.C. 1324a, known as the E-Verify Program, or an equivalent federal program designated by the United States Department of Homeland Security or other federal agency authorized to verify the work eligibility status of an employee.

If the Contractor is an individual or sole proprietorship, the following applies:

1. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at http://das.nebraska.gov/materiel/purchasing.html

The completed United States Attestation Form should be submitted with the Request for Proposal response.

2. If the Contractor indicates on such attestation form that he or she is a qualified alien, the Contractor agrees to provide the US Citizenship and Immigration Services documentation required to verify the Contractor's lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program.

3. The Contractor understands and agrees that lawful presence in the United States is required and the Contractor may be disqualified or the contract terminated if such lawful presence cannot be verified as required by Neb. Rev. Stat. § 4-108.

FFF. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND INELIGIBILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor, by signature to this RFP, certifies that the Contractor is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency from participating in transactions (debarred). The Contractor also agrees to include the above requirements in any and all Subcontracts into which it enters. The Contractor shall immediately notify the Department if, during the term of this contract, Contractor becomes debarred. The Department may immediately terminate this contract by providing Contractor written notice if Contractor becomes debarred during the term of this contract.

Contractor, by signature to this RFP, certifies that Contractor has not had a contract with the State of Nebraska terminated early by the State of Nebraska. If Contractor has had a contract terminated early by the State of Nebraska, Contractor must provide the contract number, along with an explanation of why the contract was terminated early. Prior early termination may be cause for rejecting the proposal.

GGG. POLITICAL SUB-DIVISIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor may extend the contract to political sub-divisions conditioned upon the honoring of the prices charged to the State. Terms and conditions of the Contract must be met by political sub-divisions. Under no circumstances shall the State be contractually obligated or liable for any purchases by political sub-divisions or other public entities not authorized by Neb. Rev. Stat. § 81-145, listed as "all officers of the state, departments, bureaus, boards, commissions, councils, and institutions receiving legislative appropriations." A listing of Nebraska political subdivisions may be found at the website of the Nebraska Auditor of Public Accounts.

IV. PROJECT DESCRIPTION AND SCOPE OF WORK

A. PROJECT OVERVIEW

The purpose of this RFP is to replace the existing Uniform Commercial Code (UCC) Corporation (Corp) Database with a new Business Services Filing System (BSFS) of customized software used by the Business Services Division of the Secretary of State (SoS)'s Office for various filings, with a system that:

1. Uses modern technology that is supportable using local resources and can be configured using SoS internal IT resources.
2. Improves all levels of functionality of the existing system and expands services currently provided.
3. Eliminates existing silos in the current system so that filing processes, accounts receivable, and deposit preparation are completed in one system.

The existing business services software is used to file and generate a variety of documents within the SoS Office. These documents include all Corp filings and filings made pursuant to the UCC, revised article 9. The software is also used to file federal and state tax liens, judgment liens, Effective Financing Statements (EFS) for farm product security filings, trade names and trademarks, and a variety of other statutory filings. The software interacts with an OnBase image library, online filing services, and the state's accounting system.

B. LEGAL AUTHORITY

The legal authority to issue this RFP is governed by the Records Management Act Neb. Rev. Stat. §§ 84-1201 to 84-1227 as described herein which operates under the governance of the State.

The most pertinent sections of the Business Services Division statutes can be found on our website at the following locations:

http://www.sos.ne.gov/business/corp_serv/corp_stat_menu.html

http://www.sos.ne.gov/business/ucc/index.html

Corp, UCC, and EFS statutes can be found at the following links:

Nebraska Revised Statutes: http://nebraskalegislature.gov/laws/laws.php

Uniform Commercial Code: http://nebraskalegislature.gov/laws/browse-ucc.php

Pertinent Corporation, UCC, EFS, Statutes and Rules & Regulations are listed in Appendix C – Statutes and Rules & Regulations

C. CURRENT OPERATIONAL ENVIRONMENT

The current system consists of an application that SoS employees use to view business entity information, record filings, retrieve documents, and perform other business related tasks along with databases that store pertinent information related to the filings. In addition there are ancillary databases, programs, processes, and reports. (See Appendix J – Ancillary Databases and Derived Reports and Appendix I – Accounts Receivables Ancillary Database.

1. Corp Module

The Corp module records, stores, and retrieves information and documents related to business entity registrations filed by the SoS. Registrations are recorded for corporations, limited liability companies, limited partnerships, limited liability partnerships, trade names, trademarks, various other business entities, and other filing options. Documents and related information maintained by the system include formation documents, registrations, renewals, annual and biennial reports, amendments, name changes, changes of registered agent or office, mergers, corrections, conversions, revocations, dissolutions, reinstatements, and a variety of other business entity documents. The Corp module supports business processes in a variety of ways. Following is a list of some of the unique functions provided by the current Corp module:

- **a.** Generation of reports by entity type and/or action, for a specified date range
- **b.** Robust name search to facilitate determinations regarding business and/or trade name availability
- **c.** Generation of renewal notices for trade names, trademarks, service marks, and professional entities
- **d.** Generation of data files for biennial reports notices and provides other custom functionality associated with biennial and annual reports

2. UCC Module

The UCC module records, stores, and retrieves information and documents related to UCC filings recorded by the SoS. These documents include initial and subsequent filings for UCC and other security interest records, state and federal tax liens, judgment liens, statutory agricultural liens, and Effective Financing Statements (EFS) related to agricultural products. Subsequent filings consist of amendments, continuations, assignments, and terminations.

The UCC module supports business processes in a variety of ways. Following is a list of some of the unique functions provided by the current UCC module:

- **a.** Generation of reports by filing type and/or action, for a specified date range
- **b.** Customized searches based upon a strict set of search criteria
- **c.** Calculation and assignment of status, action type, and maturity date for filings
- **d.** Printing additional file stamps with barcodes for miscellaneous documents filed within Business Services.
- **e.** Buyer Registration and Master Lien List creation and publication

3. Accounts Receivable Module

The Accounts receivable(AR) module includes functionality for calculating and recording fees for all UCC filings, UCC/Corp certificates, UCC searches, UCC/Corp copies, Buyer Registration and Master Lien List. These are entered into the UCC Module and then are written to the AR module when the job is committed. Once committed the charge can be accessed using the AR Module. Data fields are described in Appendix I - Accounts Receivable Ancillary Database.

The AR module supports business process in a variety of ways. Following is a list of some of the unique functions provided by the current AR module:

- **a.** Generate reports by filing type and/or action, for a specified date range
- **b.** An application can be made by an entity to setup a charge account. Fulfill request by creating account and assign unique account number. The system must be able to search for account name using Soundex per Corp-1 and to search by account number. There must be functionality to edit, change status of account, and place on credit hold, either by staff or by system, based on number of days in arrears.
- **c.** Record fees, collect fees, or charge to appropriate account number.
  - **i.** Prepare deposit for funds receipted the previous day to be sent to the accountant for PFC deposit. See RTM CPP-4
  - **ii.** Bill accounts with balances monthly (electronically, faxing or mailing)
- **d.** Receipt payments (full or partial) received on account.
- **e.** The ability to create and apply credit memos.
- **f.** The ability to search and retrieve by invoice number.
- **g.** The ability to run queries and generate statements.
- **h.** The ability to override fees and the ability to accept overpayment.
- **i.** Receipt monies into daily jobs for batch processing and auditing
- **j.** Creation and delivery of invoices/billing statements

4. UCC_Corp Database

Both the Corp and UCC modules provide:

- **a.** Interface with Microsoft Office Suite version 2010 or above to facilitate generation of custom templates and certificates
- **b.** Generation of bar code labels for scanning purposes
- **c.** Ancillary Databases and executable files that are used with the current system. Refer to Appendix J. – Ancillary Databases and Derived Reports.

Both the Corp and UCC modules interface with the State's OnBase image library and an online web portal. Filed documents are either scanned directly into the OnBase image library or imported into the library via the online web portal for later retrieval by the filing office or retrieval by the public through the online web portal. The web portal also interfaces with the databases to retrieve filed documents and information as well as to insert new filing information into the database and OnBase image library.

The SoS's Corp and UCC online filing services are provided by a third party portal manager with the registered name of Nebraska.gov. Portal software provides services that can be accessed by a pay-as-you-go method and through subscription services.

The portal software offers subscription services for users to access selected information. Currently, a subscriber to the portal pays an annual fee; which is waived for state agency subscribers. Subscribers with extremely large amounts of data can take advantage of high-speed electronic batch processing. Subscribers requesting these services transmit files to the portal electronically. These files are then processed and sent back to the subscriber where the processed file can be downloaded at the subscriber's convenience.

All content on the SoS's website is provided by the current application from the SoS's office. The portal manager is involved in development of many interactive services, but those on the SoS's website remain under the control and direction of the SoS. Content on the website remains the responsibility of the SoS. All of the data used by the current SoS website is stored by the SoS in the database of record.

All users can access the portal 24 hours a day, 7 days a week. The SoS uses the portal manager's customer service and help desk for both SoS staff and users of portal services.

The following hardware devices are used with our current system. Please provide hardware price and cost for any new equipment that must be purchased.

Device	Model	Quantity
Wasp Hand Bar Code Scanner	WLS 9000	2
Symbol Hand Bar Code Scanner	LS2208-SR20007R-UR	1
Zebra Label Printer	LP2824	15
Dymo Label Printer	Label Writer 400	5
Dymo Label Printer	Label Writer 400 Pro	1
Dymo Label Printer	Label Writer 450	2
Dymo Label Printer	Label Writer 330	2
Dymo Label Printer	GK420d	1
Epson Receipt Printer	TM-U295	2
Lanier Network Copier/Printer	MP6002	1
Lanier Network Copier/Printer	LD370	1
Panasonic Scanner with Kofax VRS Version 5.1	KV-S3065CW	2
Dell/HP Computers running Windows 7 Enterprise with dual monitors		24

D. SCOPE OF WORK

The software will provide support for functional areas of the Business Services Division of the SoS Office. Our primary focus is to replace our existing UCC and Corp modules and processes.

1. The business services software will be used to file and generate a variety of documents within the SoS's Office.
2. Documents include all corporate filings and filings made pursuant to the UCC revised article 9.
3. The software will be used to file federal and state tax liens, judgment liens, farm product security filings, trade names and trademarks, and a variety of other statutory filings.
4. The software will interact with the image library and with the portal for online filing services.
5. The software will provide full accounting functionality.
6. Improved functionality is required, particularly as outlined below:
7. Configurability of statutory changes and policies
  - **a.** Fees/rates/funds/accounting codes
  - **b.** Adding or changing entity types and other filing categories and options, filing types, all lien types, and action codes
  - **c.** Templates/reports
  - **d.** Triggers for renewal, expiration, system generated tasks, maturity dates, retention time frames, and purge capabilities
  - **e.** Automated notices, how they are sent, and to whom
  - **f.** Workflow/Staff Assignments, Digital/Electronic Signatures, and Redaction
  - **g.** Scheduling of actions, reports, notices.

8. Workflow processes to include:
  - **a.** name availability
  - **b.** search functionality
  - **c.** email notifications and communications, including both internal and external customers

9. Lifecycle process
  - **a.** Corp – Formation Document, Amendments, Annual/Biennial Updates (Reports), Merge/Convert, Dissolution (State/Corp/Judicial), Reinstatement

b. UCC/EFS – Originals, Amendments, Corrections, and Terminations

10. Track who performs actions within the system
11. Audit trail of actions including date/time stamping
12. Utility Functions
13. Training
14. Data Conversion/Migration Plan
15. Batch Reports/AR – Receipting
- **a.** Invoicing
- **b.** Payment processing
- **c.** Tracking and reporting of accounting information
- **d.** Automated interface with the State's accounting system, Payment and Financial Center (PFC)

16. Scope includes all the functionality of the current system, all Appendices, and Attachment A
17. Annual/Biennial Updates (Reports)
18. Integration with Image Library
19. Barcode readers, Barcode label printers, barcode hand scanners or replacement product set.
20. Use modern technology that is supportable using local resources and can be configured using SoS internal resources.
21. Improve the level of functionality of the existing system and accommodate expansion of services.
22. Interface with Portal and accommodate the expansion of online services.
23. Eliminate existing silos in the current system so that filing processes, accounts receivable, and deposit preparation are completed in one system.
24. Provide extensive reporting capabilities both standard and ad hoc.
25. Auto generates and manually populates templates.
26. Administrative systems to support various accounts: billing, accounts receivable, and accounts payable, including online and electronic payment processing capabilities;
27. Enhanced search engine capabilities and organization to navigate and search the database that allows users to easily find services and content.
28. Printing file stamp with barcode for miscellaneous documents to be scanned.

E. PROJECT REQUIREMENTS

The contractor must provide:

1. modern technology software that is easily supported and configured, uses responsive design, and meets business requirements of Corp and UCC/EFS functions;
2. improved level of functionality of the existing system and expansion of services currently provided;
3. integrated filing processes, accounting functions, and deposit preparation features;
4. extensive reporting capabilities both standard and ad hoc;
5. software which provides APIs to the portal manager, document imaging, state accounting, and credit card processing contractor;
6. software that is accessible to users running popular browsers such as Microsoft Internet Explorer, Safari, Firefox, and Chrome;
7. conversion of the current system's data;
8. enhancements which easily accommodate statutory requirements, rules & regulations, and policy changes (e.g., add new business entity types and forms, update filing fees);
9. ongoing maintenance updates;
10. helpdesk support; and
11. training and applicable instruction materials to system users.

F. TECHNICAL REQUIREMENTS

1. Legislated Processes, Forms, and Filings

BSFS filings must meet many statutory requirements and comply with numerous rules and regulations. For information regarding these filings, current forms, field restrictions, required edits and relationships, see Appendix A – Entity Types - Actions Matrix for Corp Filings, Appendix B – Corp Data Fields, Appendix G – Lien Types - Action Matrix for UCC & EFS Filings, Appendix H **-** UCC & EFS Lien Data Fields, Appendix I - Accounts Receivable Ancillary Database**.**

2. Document Image Library and Enterprise Content Management (ECM)

The contractor will use the State's existing image library (currently Hyland OnBase). The contractor's system must associate document id numbers with the filed document handle number stored in OnBase in order to display, retrieve, print, fax, and email selected document images based on the latest document date.

The bidder should describe the most efficient way to integrate the OnBase software with the bidder's proposed software. The State requires this interface to be as seamless as possible and provide access to, and allow printing of, associated images without exiting the contractor's software.

3. Official Portal for the State of Nebraska

Nebraska.gov is the registered name of the State of Nebraska's home page for internet access to government information and services (the portal) and is currently managed by Nebraska Interactive. The portal is an information and communication system created to provide equal electronic access for the citizens and businesses across Nebraska, to state, county, local government, and other public information. As a State of Nebraska information service, the portal operates under the authority of the State, and all portal operations, including policies, services, and regulations, are governed by the State.

The State of Nebraska has registered the following domain names as the state's official home page:

a. www.nol.org
b. www.ne.gov
c. www.nebraska.gov

Most of the information and services available through the portal are free to the user. Some information and services are subject to statutory fees. There are two ways to access for-fee portal services: a pay-as-you-go method and through subscription services.

The current portal manager offers subscription services for users who want to access selected information that has commercial value. Currently, a subscriber to the portal pays an annual fee; which is waived for state agency subscribers. Subscribers with extremely large amounts of data can take advantage of high-speed electronic batch processing. Subscribers requesting these services transmit files to the portal manager electronically. These files are then processed and sent back to the subscriber where the processed file can be downloaded at the subscriber's convenience. Batch programming is in place to check files for errors, improve turnaround time, and reduce administrative costs. The subscriber is billed monthly, instead of by transaction, further reducing administrative costs.

Certain state records, such as UCC and Corp records are assessed a transaction or record search fee. All fees are approved by the State.

All external filing access to BSFS is through the portal. Nebraska.gov also serves as the manager to the SoS's website.

4. Hosting Model

The current UCC_Corp Database is, and the BSFS will be, hosted at the Office of the CIO in a virtual server environment. The State will provide disaster recovery (DR) and backups.

The bidder's application will use Nebraska Directory Services (NDS) to access web-based applications.

In order to take advantage of as much existing infrastructure as possible, the BSFS system will run on VMWare virtual machines hosted by the Office of the Chief Information Officer. The system will comprise three (3) virtual servers: a database server, an internet web server, and an intranet/development web server. The database server will use Microsoft Windows Server OS and SQL Server 2012 R2 or above. The web servers will use Microsoft Windows Server OS and run IIS.

5. Peripheral Hardware

Proposed system must interface with the existing barcode label printers, barcode label hand scanners, and document imaging scanners or proposed alternative hardware for integration with the existing image library

6. Licensing Model

The State will be provided a perpetual right-to-use license to include test, Quality Assurance (QA), User Acceptance Testing (UAT), training, and production environments.

7. State Credit Card processor

The system must integrate with the State of Nebraska's current Merchant Credit Card Processing Service. All credit card transactions will be securely processed through the system and all will undergo on-line verification. Processing must be compliant with Payment Card Industry's Data Security Standards ("PCI DSS").

8. Security

The Nebraska Information Technology Commission (NITC) has adopted an Information Security Policy to provide a uniform set of reasonable and appropriate security safeguards for protection of the confidentiality, integrity, availability, and privacy of State of Nebraska information collected, stored, and used to serve the citizens of the State of Nebraska.

All installed software must be maintained at a vendor-supported level to ensure accuracy and integrity. All known security patches, release updates, service packs, and other fixes must be reviewed, evaluated, and appropriately applied in a timely manner.

For specifics, see:
NITC 8-101: Information Security Policy
http://nitc.nebraska.gov/standards/8-101.html

NITC 8-102: Data Security Standard
http://nitc.nebraska.gov/standards/8-102.html

NITC 8-301: Password Standard
http://nitc.nebraska.gov/standards/8-301.html

NITC 8-302: Identity and Access Management Standard for State Government Agencies
http://nitc.nebraska.gov/standards/8-302.html

G. PROJECT PLANNING AND MANAGEMENT

1. Project Management Plan

The contractor must assign a Project Manager who has been involved in the implementation of proposed similar system and will manage the project to ensure the project stays on task and within scope of the contract in collaboration with the SoS Project Manager. The contractor must employ appropriately skilled staff to build and support the system.

Within ten (10) business days after the contract is awarded, the contractor shall provide a full Project Management Plan. The contractor's Project Manager and SoS Project Manager will jointly discuss timing and staffing issues that will impact the timeline. The result shall be an updated Project Management Plan. The Project Management Plan shall be mutually agreed to and further developed by both the contractor and SoS.

The finalized Project Management Plan must be completed within twenty (20) business days after the contract is awarded and shall be subject to SoS approval. The Project Management Plan shall be considered finalized when the Secretary of State or designee and the contractor have provided signature approval of the Plan.

The Project Management Plan should include:

a. project definition and description of tasks scheduled with key milestones defined in terms of duration communicated to the contractor's and SoS's project teams;
b. descriptions of approach to knowledge transfer, including capturing and preserving the knowledge necessary to maintain the functions, applications, and services of the system;
c. data mapping and conversion of SoS system data;
d. the resources and the time commitments for training and knowledge transfer activities;
e. measurements for proving the knowledge transfer is effective;
f. roles and responsibilities as they relate to the project;
g. point of contact and procedures for managing problems or issues during the implementation period;
h. test plan and procedures;
i. risk mitigation plan and strategy; and
j. contingency plan for failed implementation.

SoS reserves the right to approve or reject any changes to the contractor's Project Manager or other key personnel after the contract is awarded. SoS also reserves the right to require key personnel changes, with reasonable notice to the contractor.

The contractor's Project Manager and team lead should meet onsite with SoS staff on an agreed-upon basis in order to report on work progress and general issues and to test approved applications.

2. Project Status Reports

For the period of contract initiation through 60 days past implementation, the contractor's Project Manager shall provide weekly Project Status Reports, which shall include:

- **a.** significant work plan activities performed during the reporting period, with review of the completed activities and comparison with plan;
- **b.** identification of project risks and documented recommendations to mitigate such risks;
- **c.** deliverables completed during the reporting period and identification of milestones reached and comparison with plan;
- **d.** significant work plan activities and resources planned for the next reporting period;
- **e.** deliverables expected to be completed in the next reporting period;
- **f.** identification of problems or issues and tracking status of problems/issues;
- **g.** documentation of what is being done to achieve resolution of problems/issues; and
- **h.** project notes and comments.

The contractor will comply with NITC standards for Project Status Reporting on Enterprise Projects. A copy of the standards document is available at: http://nitc.nebraska.gov/standards/1-203.html. The SoS Deputy for Business Services & Technology or designee will work directly with the contractor's Project Manager and will be responsible for overall quality assurance. During development, the contractor shall conduct and document weekly management status meetings or phone calls and provide weekly written status reports including an updated electronic copy of the complete and up-to-date project work plan including major SoS activities and milestones.

3. Coordination

The SoS Deputy for Business Services & Technology or designee will act as liaison between the contractor and SoS staff on issues related to the system and communicate needs to the contractor for inclusion in future upgrades.

4. Data Conversion

Define the tasks involved in accomplishing the conversion. Upon award and completion of the design specifications for the system, the contractor will be expected to update the conversion plan to include methods of accomplishing the transfer of data from the old structure to the new structure.

All data contained in the UCC-Corp Database System is required to be converted. The system must indicate which images are stored in OnBase, associate them with filings or cardex information in the system, and retrieve them by document id number and document handle number.

All data contained within the AR Database System is required to be converted. See Appendix I – Accounts Receivables Ancillary Database.

Data and/or system information not required to be converted includes: paper filings, paper/microfilm cardex, microfiche, microfilm, cds and foreign corp books.

All data must be converted from the current UCC_Corp Database System to the contractor's system prior to the Go-Live date. Data migration and testing of that process must be done in advance, according to the Test Plan, to ensure seamless transition for Go-Live.

5. Testing

The contractor shall provide a unit testing plan to be approved by Secretary of State or designee and shall complete unit testing in the development environment before installing the contractor's system to the UAT environment. As components of the proposed system are completed they need to be demonstrated to SoS staff for verification of correctness and completeness.

A UAT plan will be designed in conjunction with the contractor and by SoS. Acceptance Testing is designed to ensure that all new functions are tested by users, including but not limited to, proper functioning of edits, audits, and business rules, accuracy of financial processing and file maintenance, and the format and content of all system outputs, including outputs from reporting functions. Acceptance Testing also offers the opportunity to test User Manuals, forms, procedures and business processes. All subsystems and modules will be tested. Acceptance Testing will be conducted in a controlled and stable environment. These tests may use all of, or selected parts of, the preliminary converted files.
UAT will be completed by SoS staff, with assistance from contractor staff, before installing the contractor's system to the production environment. UAT will be allocated for an estimated four months between July through October. If defects are found UAT time frame may restart at the discretion of SoS. As part of UAT, parallel testing will also be performed including interfaces to Nebraska.gov, OnBase, and PFC. SoS will determine how long parallel testing will take place not to exceed 5 business days of input data. All

functions of the system will be tested including front and back office financial features, processes, and reports.

6. Change Control

The contractor must identify any changes to the project plan that affect the originally agreed to delivery date. The SoS technical team will be included in the change management process. Change management includes assessing and reporting on the risk and timing of an implementation against the other components of the system. Any plan changes must be agreed upon by both parties, documented as a change to the project plan, and shall require an approval signature on the revised project plan from the SoS Project Sponsor or designee and the contractor.

Contractor must communicate and coordinate any changes to contractor's security infrastructure which directly affect the security of system data. Contractor must not modify any part of the security posture of the system unless this is coordinated in advance with the SoS IT staff. This includes any changes to the hardware, software, or any technical services that may indirectly have an impact to the contractor security posture.

H. PROJECT START THROUGH IMPLEMENTATION

Project initiation and implementation will happen over an extended period of time. The SoS prefers that Phases 1 and 2 be launched at the same time; however, timing of funding and/or workload might require phased implementation.

The project will entail the following:

Establish Communication and Partnership Coordination for Implementation

1. Phase 1 UCC/EFS/AR/ Master Lien List
- **a.** Software Installation into Test Environment
- **b.** Design, Development, and Configuration
- **c.** Documentation of system and any necessary interfaces
- **d.** Set up of work flow processes
- **e.** Conversion of Data in Test Environment
- **f.** Training
- **g.** UAT of Application & Onsite Assistance
- **h.** Software Installation into the Production Environment
- **i.** Conversion of data into Production Environment
- **j.** Configuration of the system in production
- **k.** Compile, organize, and publish the Master Lien List
- **l.** System Launch – UCC/EFS/AR
- **m.** Problem Resolution

2. Phase 2 – Corp
- **a.** Software Installation into Test Environment
- **b.** Design, Development, and Configuration
- **c.** Documentation of system and any necessary interfaces
- **d.** Set up of work flow processes
- **e.** Conversion of Data in Test Environment
- **f.** Training
- **g.** UAT of Application & Onsite Assistance
- **h.** Software Installation into the Production Environment
- **i.** Conversion of data into Production Environment
- **j.** Configuration of the system in production
- **k.** System Launch
- **l.** Problem Resolution

3. Phase 3 – Notary/eNotary
- **a.** Software Installation into Test Environment
- **b.** Design, Development, and Configuration
- **c.** Documentation of system and any necessary interfaces
- **d.** Set up of work flow processes
- **e.** Conversion of Data in Test Environment
- **f.** Training
- **g.** UAT of Application & Onsite Assistance

h. Software Installation into the Production Environment
i. Conversion of data into Production Environment
j. Configuration of the system in production
k. System Launch
l. Problem Resolution

I. TRAINING

Business Services staff will be fully trained in all functional operations, workflow, accounting, and reporting processes of the BSFS Corp and UCC/EFS modules before the system is placed into production, training to be done in two or more separate sessions, and before any new function or component is added and placed into production. Initial training should be broken down by staff functions for users, administrator(s), and managers

1. Corp Training

The contractor shall train approximately 20 total staff on the use of the Corp functionality in the system. Training sessions shall be conducted onsite in two or more separate sessions to allow attendance of all staff so that staff may continue to provide uninterrupted customer service throughout the training process. The contractor is responsible for contractor staff costs for these training sessions (i.e., travel, hotel accommodations, food, materials, and incidentals).

Initial Corp training shall include:

a. a general overview of the proposed Corp portion of the system, its functions, capabilities, limitations, components, and physical layout
b. security and sign on to application process
c. walk-through of common Corp processes (the filing categories of Formation Documents (filed in order to form a business entity or establish an agent, a name, or a mark); Amendments & Corrections (filed for entities and other filing options to amend documents that have previously been filed with the SoS); Renewals (filed for Other Filing Options to continue their existence and update information); Mergers & Conversions (filings that change the status and/or type of entities), Dissolutions & Revocations (filings that dissolve corporate entities that are on record); and Reinstatements (filings that reestablish corporate entities that were previously on record).
d. search, store, perform actions, record, retrieve customer account and other filing information and documents related to business entity registrations and other filings
e. work flow for filings received via walk-in, mail-in, filed online for immediate acceptance into the database or Document eDelivery which requires staff review
f. filing actions and correspondence - generation, distribution, and storage
g. handling of fees - calculate, receipt, split, balance, reconcile, deposit, and invoice
h. setting up charge accounts
i. name availability and search process
j. creation, generation, and delivery of customer notifications
k. track and report information
l. annual/biennial report generation and report filing
m. generation of barcode labels for scanning to connect filing document to image(s) in OnBase image library and retrieval of documents via BSFS
n. troubleshooting and problem resolution procedures, error messages
o. help features and inquiry functions
p. generation and distribution of reports
q. HelpDesk protocols
r. cash change drawer

At the completion of the Corp training, participants should be able to search, record, store, and retrieve information and documents related to business entity registrations and other filings. They must also be able to create and deliver notifications, calculate, collect and split fees, balance, reconcile and make deposits ready for accountant, invoice customers for certificates and copies, and track and report information.

2. UCC/EFS Training

The contractor shall train approximately 20 total staff on the use of the UCC/EFS functionality in the system. Training sessions shall be conducted onsite in two or more separate sessions to allow attendance of all staff for training provided so that staff may continue to provide uninterrupted customer service throughout the training process. The contractor is responsible for contractor staff costs for these training sessions (i.e., travel, hotel accommodations, food, materials, and incidentals). Initial training shall include:

a. a general overview of the proposed UCC/EFS portion of the system, its functions, capabilities, limitations, components, and physical layout

b. security and sign on to application process
c. walk-through of common UCC/EFS processes to include search, record, store, and retrieve information and documents related to UCC filings and EFS recorded by the SoS
d. work flow for filings received via walk-in, mail-in, filed online for immediate acceptance into the database or Document eDelivery which requires staff review
e. filing actions and correspondence - generation, distribution, and storage
f. handling of fees - calculate, receipt, split, balance, reconcile, deposit, and invoice
g. setting up of charge accounts
h. name availability & search process for both UCC & EFS
i. create, generate, and deliver customer notifications
j. provide searches and copies
k. track and report information
l. procedures for Bogus or Fraudulent Filings
m. generation of barcode labels for scanning to connect document to images in OnBase image library, and retrieval of documents
n. process to register quarterly buyers troubleshooting and problem resolution procedures, error messages, help features and inquiry functions
o. generate and distribute reports
p. training should be broken down by staff functions for staff, administrator(s), and managers,
q. Help Desk protocols
r. Daily Transmission of certain filings to counties
s. Monthly Termination Listing Report
t. County Tax Credit Statement Report
u. accounting functions related to ACH and IBT
v. process for electronic filing agreements
w. redaction of images
x. UIN
y. Register buyer list applicants, receipt fees for Master Lien List, and know how to access current Master Lien List and Updates for such.
z. cash change drawer

At the completion of the UCC/EFS training, participants should be able to search, record actions, and subsequent actions, store, and retrieve information and documents related to filings for UCC, Statutory Ag Liens, Judgments, and Tax Liens, as well as EFS liens and the Buyer Registration and Master Lien List. The system must also create notifications, calculate, collect, and split fees, balance, reconcile, and make deposits ready for accountant, set up, invoice, and collection payments from billable accounts for searches and copies, and track and report information.

3. Training for SoS Administrators will include:
a. performance monitoring and procedures,
b. workflow and assignment functions,
c. administrative duties such as account maintenance, policy changes, rules and regulations, and statutory additions or removal,
d. tracking past events and transactions, and who completed them, in the BSFS,
e. creation and customization of reports,
f. executive level reporting functions, and
g. configuration procedures for all configurable processes, e.g., retention, permissions, roles, fees, funding, templates, actions.

The contractor will provide a User Manual to the SoS Project Manager prior to the training sessions for review and approval. The contractor must provide an electronic manual that will be accessible to all Business Services staff through a link from the main menu of the BSFS. This will enable the contractor to keep the online manual updated and provide real time instruction.

The contractor will be responsible for training the SoS Project Manager and designee when the services provided are enhanced or modified, at no additional cost to the State. The location for this training will be determined by the SoS Project Manager and the contractor and should be completed as needed. Expenses incurred by SoS staff will be the responsibility of SoS. This session should provide refresher training, as needed, and update training on BSFS enhancements.

J. PROVIDE POST IMPLEMENTATION SUPPORT

The Contractor must provide system validation period support after implementation of each module for a 120 day period to address and resolve any production issues. The Contractor will provide all maintenance, modifications,

and corrections that are necessary for the system validation period in production. Items that run biennially, annually or quarterly will remain under this system validation period until scheduled process is complete, and any defects found will be resolved at no cost to the State. After the system validation period all corrections will be handled under the maintenance period.

1. Maintenance

The contractor must have a plan for updating, enhancing, and modifying the system in response to technological advances and the need for additional features to improve efficiency and ability to meet the public's and SoS's demands.

Normal and preventative maintenance shall be performed at a time that shall not adversely impact daily operations, with prior notification to SoS of the downtime.

The contractor shall provide a list of all enhancements and changes to be made to the BSFS in a maintenance release prior to the release.

The contractor shall monitor availability of upgrades offered by their hardware and software vendors and make timely installation of such changes when technically appropriate, at no additional cost to SoS.

When changes or additions are made to the database, contractor will provide updated field mapping and relationship documentation.

2. Help Desk

The contractor must provide a HelpDesk, staffed with knowledgeable personnel, to resolve problems presented by SoS Admin or IT staff at no additional cost, with no limit on the number of calls that can be placed to the HelpDesk. HelpDesk support personnel will be available at an 800 telephone number at least during work days from 7 a.m. to 6 p.m. CT.

The HelpDesk number must be available for year round coverage, 7 days per week, 24 hours per day for reporting problems. Call forwarding to HelpDesk staff may be used during the off hours (outside the hours listed above) and a response must occur within one (1) hour of the message. The HelpDesk will function to solve problems and will maintain a log of all calls reporting problems or requesting assistance, fully documenting the problem(s) and what action(s) were taken to correct the issue(s). The log will be made available to SoS upon request.

K. SUCCESSION PLANNING & COOPERATION

The Contractor shall be responsible for end of contract activities at the completion of this contract to ensure that the transition from Contractor operations by the successor Contractor, or the State, occurs smoothly and without disruption to the State. End of Contract Transition activities will include planning, timely transfer of data, and documentation specifically for Nebraska at no additional cost to the State.

Business Services Filing System Contractor End of Contract Transition Responsibilities

1. Provide a detailed Transition Plan with RFP response.
2. Modify the Transition Plan based upon the results of State review.
3. Download all reports and data in a format prescribed by the State. Any and all data stored in the web application may be requested. Transfer data, documentation, and other applicable materials to the State in accordance with the approved Transition Plan.
4. Provide technical and professional support to the State and/or a successor Contractor in support of the transition.
5. This period will not exceed 180 days from termination or expiration of contract.

L. DELIVERABLES (REQUIRED)

The schedule below represents an anticipated timeline for implementing all phases simultaneously.

Establish Communication and Partnership Coordination for Implementation at Contract award date

	Deliverable	**Anticipated Delivery**
1.	Software Installation into Test Environment	December 2016
2.	Design, Development and Configuration	December 2016 – May 2017
3.	Documentation of system and any necessary interfaces	December 2016 – May 2017
4.	Setup work flow processes	April 2017 – June 2017

5.	Conversion of Data into Test Environment	June 2017
6.	Training	June 2017 – July 2017
7.	UAT of Application & Onsite Assistance	July 2017 – October 2017
8.	Software Installation, Conversion of data, & Configuration in Production Environment	October 27 – 31, 2017
9.	System Launch	November 1, 2017
10.	120 Day Post Go-Live Sign Off	
11.	Maintenance Fees Start Upon Post Go-Live Sign Off	

Alternatively, if timing of funding and/or work load prevents simultaneous implementation, an alternate schedule will be determined during the finalization of the Project Plan. The schedule below represents an example of an estimated timeline for implementing the phases consecutively.

	Deliverable	**Anticipated Delivery**
	Phase 1 (UCC/EFS/AR/Master Lien List)	
1.	Software Installation into Test Environment	December 2016
2.	Design, Development and Configuration	December 2016 – May 2017
	Documentation of system and any necessary interfaces	December 2016 – May 2017
3.	Setup work flow processes	April 2017 – June 2017
4.	Conversion of Data into Test Environment	June 2017
5.	Training	June 2017 – July 2017
6.	UAT of Application & Onsite Assistance	July 2017 – October 2017
7.	Software Installation, Conversion of data, & Configuration in Production Environment	October 27 – 31, 2017
8.	System Launch	November 1, 2017
9.	Back-up data, compile, organize, and publish the Master Lien List	December 31, 2017 - January 5, 2018
10.	120 Day Post Go-Live Sign Off	
11.	Maintenance Fees Start Upon Post Go-Live Sign Off	
	Phase 2 (Corp)	
1.	Software Installation into Test Environment	December 2017
2.	Design, Development and Configuration	December 2017 – May 2018
3.	Documentation of system and any necessary interfaces	December 2017 – May 2018
4.	Setup work flow processes	April 2018 – June 2018
5.	Conversion of Data into Test Environment	June 2018
6.	Training	June 2018 – July 2018
7.	UAT of Application & Onsite Assistance	July 2018 – October 2018
8.	Software Installation, Conversion of data, & Configuration in Production Environment	October 27 – 31, 2018
9.	System Launch	November 1, 2018
10.	120 Day Post Go-Live Sign Off	
11.	Maintenance Fees Start Upon Post Go-Live Sign Off	

M. OPTIONAL

The following features are not included in the requirements of this RFP. However, the State prefers that each be incorporated in the BSFS as part of the proposed solution or be integrated into the BSFS at a future date. The bidder should complete Form A.2 in Attachment A to describe any of the following features if their product/solution is able to provide one of more of the features and include costs for each feature in the appropriate section of Attachment B – Cost Proposal.

1. Notary/eNotary Public Component

The State currently utilizes a Notary Public System outside of the UCC_Corp Database and would prefer that this function be integrated into the BSFS, including the new eNotary Public function.

See Appendix C - Statutes and Rules & Regulations regarding Notary Public, Appendix J – Ancillary Databases and Derived Reports, Optional, #1 contains data definitions from the current Notary Public System.

2. Filings and images currently not in existing system.

The State may desire at a future time to add filing data and images of past filings which are not in the current system. This would include: paper filings, paper/microfilm cardex, microfiche, microfilm, cds, and foreign corp books.

3. Preferred Name Availability Process

In addition to the required basic process for determining name availability, a Preferred Name Availability process is described in Appendix N - Name Availability Screening Minimum Requirements and Preferred Requirements.

SoS may want to consider an option to include this enhanced functionality in the BSFS.

4. Registered Agent (RA) Self-Service

Currently, registered agents can report address changes for entities they represent to the SoS then staff update the RA address.

SoS may want to consider an option for registered agents to be allowed to securely access the BSFS to update their address information.

V. PROPOSAL INSTRUCTIONS

This section documents the mandatory requirements that must be met by bidders in preparing the Technical and Cost Proposal. Bidders should identify the subdivisions of "Project Description and Scope of Work" clearly in their proposals; failure to do so may result in disqualification. Failure to respond to a specific requirement may be the basis for elimination from consideration during the State's comparative evaluation.

Proposals are due by the date and time shown in the Schedule of Events. Content requirements for the Technical and Cost Proposal are presented separately in the following subdivisions; format and order:

A. PROPOSAL SUBMISSION

1. REQUEST FOR PROPOSAL FORM

By signing the "Request for Proposal for Contractual Services" form, the bidder guarantees compliance with the provisions stated in this Request for Proposal, agrees to the Terms and Conditions stated in this Request for Proposal unless otherwise agreed to, and certifies bidder maintains a drug free work place environment.

The Request for Proposal for Contractual Services form must be signed in ink and returned by the stated date and time in order to be considered for an award.

Further, Section III. Terms and Conditions must be returned with the proposal response.

2. CORPORATE OVERVIEW

The Corporate Overview section of the Technical Proposal should consist of the following subdivisions:

a. BIDDER IDENTIFICATION AND INFORMATION

The bidder must provide the full company or corporate name, address of the company's headquarters, entity organization (corporation, partnership, proprietorship), state in which the bidder is incorporated or otherwise organized to do business, year in which the bidder first organized to do business and whether the name and form of organization has changed since first organized.

b. FINANCIAL STATEMENTS

The bidder must provide financial statements applicable to the firm. If publicly held, the bidder must provide a copy of the corporation's most recent audited financial reports and statements, and the name, address, and telephone number of the fiscally responsible representative of the bidder's financial or banking organization.

If the bidder is not a publicly held corporation, either the reports and statements required of a publicly held corporation, or a description of the organization, including size, longevity, client base, areas of specialization and expertise, and any other pertinent information, must be submitted in such a manner that proposal evaluators may reasonably formulate a determination about the stability and financial strength of the organization. Additionally, a non-publicly held firm must provide a banking reference.

The bidder must disclose any and all judgments, pending or expected litigation, or other real or potential financial reversals, which might materially affect the viability or stability of the organization, or state that no such condition is known to exist.

The State may elect to use a third-party to conduct credit checks as part of the corporate overview evaluation.

c. CHANGE OF OWNERSHIP

If any change in ownership or control of the company is anticipated during the twelve (12) months following the proposal due date, the bidder must describe the circumstances of such change and indicate when the change will likely occur. Any change of ownership to an awarded vendor(s) will require notification to the State.

d. OFFICE LOCATION

The bidder's office location responsible for performance pursuant to an award of a contract with the State of Nebraska must be identified.

e. RELATIONSHIPS WITH THE STATE

The bidder shall describe any dealings with the State over the previous three (3) years. If the organization, its predecessor, or any party named in the bidder's proposal response has contracted with the State, the bidder shall identify the contract number(s) and/or any other information available to identify such contract(s). If no such contracts exist, so declare.

f. BIDDER'S EMPLOYEE RELATIONS TO STATE

If any party named in the bidder's proposal response is or was an employee of the State within the past thirty-six (36) months, identify the individual(s) by name, State agency with whom employed, job title or position held with the State, and separation date. If no such relationship exists or has existed, so declare.

If any employee of any agency of the State of Nebraska is employed by the bidder or is a Subcontractor to the bidder, as of the due date for proposal submission, identify all such persons by name, position held with the bidder, and position held with the State (including job title and agency). Describe the responsibilities of such persons within the proposing organization. If, after review of this information by the State, it is determined that a conflict of interest exists or may exist, the bidder may be disqualified from further consideration in this proposal. If no such relationship exists, so declare.

g. CONTRACT PERFORMANCE

If the bidder or any proposed Subcontractor has had a contract terminated for default during the past three (3) years, all such instances must be described as required below. Termination for default is defined as a notice to stop performance delivery due to the bidder's non-performance or poor performance, and the issue was either not litigated due to inaction on the part of the bidder or litigated and such litigation determined the bidder to be in default.

It is mandatory that the bidder submit full details of all termination for default experienced during the past three (3) years, including the other party's name, address, and telephone number. The response to this section must present the bidder's position on the matter. The State will evaluate the facts and will score the bidder's proposal accordingly. If no such termination for default has been experienced by the bidder in the past three (3) years, so declare.

If at any time during the past three (3) years, the bidder has had a contract terminated for convenience, non-performance, non-allocation of funds, or any other reason, describe fully all circumstances surrounding such termination, including the name and address of the other contracting party.

h. SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

The bidder shall provide a summary matrix listing the bidder's previous projects similar to this Request for Proposal in size, scope, and complexity. The State will use no more than three (3) narrative project descriptions submitted by the bidder during its evaluation of the proposal.

The bidder must address the following:

i. Provide narrative descriptions to highlight the similarities between the bidder's experience and this Request for Proposal. These descriptions must include:

- **a)** The time period of the project;
- **b)** The scheduled and actual completion dates;
- **c)** The Contractor's responsibilities;
- **d)** For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number, and e-mail address); and
- **e)** Each project description shall identify whether the work was performed as the prime Contractor or as a Subcontractor. If a bidder performed as the prime Contractor, the description must provide the originally scheduled completion date and budget, as well as the actual (or currently planned) completion date and actual (or currently planned) budget.

ii. Contractor and Subcontractor(s) experience must be listed separately. Narrative descriptions submitted for Subcontractors must be specifically identified as Subcontractor projects.

iii. If the work was performed as a Subcontractor, the narrative description shall identify the same information as requested for the Contractors above. In addition, Subcontractors shall identify what share of contract costs, project responsibilities, and time period were performed as a Subcontractor.

i. SUMMARY OF BIDDER'S PROPOSED PERSONNEL/MANAGEMENT APPROACH

The bidder must present a detailed description of its proposed approach to the management of the project.

The bidder must identify the specific professionals who will work on the State's project if their company is awarded the contract resulting from this Request for Proposal. The names and titles of the team proposed for assignment to the State project shall be identified in full, with a description of the team leadership, interface and support functions, and reporting relationships. The primary work assigned to each person should also be identified.

The bidder shall provide resumes for all personnel proposed by the bidder to work on the project. The State will consider the resumes as a key indicator of the bidder's understanding of the skill mixes required to carry out the requirements of the Request for Proposal in addition to assessing the experience of specific individuals.

Resumes must not be longer than three (3) pages. Resumes shall include, at a minimum, academic background and degrees, professional certifications, understanding of the process, and at least three (3) references (name, address, and telephone number) who can attest to the competence and skill level of the individual. Any changes in proposed personnel shall only be implemented after written approval from the State.

j. SUBCONTRACTORS

If the bidder intends to Subcontract any part of its performance hereunder, the bidder must provide:

i. name, address, and telephone number of the Subcontractor(s);
ii. specific tasks for each Subcontractor(s);
iii. percentage of performance hours intended for each Subcontract; and
iv. total percentage of Subcontractor(s) performance hours.

3. TECHNICAL APPROACH

The technical approach section of the Technical Proposal must consist of the following subsections:

a. Bidder must respond to each item in Attachment A, Requirements Matrix, using Attachment A for responses.

B. COST PROPOSAL REQUIREMENTS

This section describes the requirements to be addressed by bidders in preparing the Cost Proposal. The bidder must submit the Cost Proposal in a section of the proposal that is a separate section or is packaged separately as specified in this RFP from the Technical Proposal section.

The component costs of the fixed price proposal for providing the services set forth in the Request for Proposal must be provided by submitting forms substantially equivalent to those described below.

1. PRICING SUMMARY

This summary shall present the total fixed price to perform all of the requirements of the Request for Proposal. The bidder must include details in the Cost Proposal supporting any and all costs. These details must include, at a minimum, detailed descriptions and/or specifications of the goods and/or services to be provided, quantities, and timing and unit costs, if applicable.

The State reserves the right to review all aspects of the Cost Proposal for reasonableness and to request clarification of any proposal where the cost component shows significant and unsupported deviation from industry standards or in areas where detailed pricing is required.

The State wants the option of acquiring scanners, barcode readers and label printers through the contractor. The bidder should identify the make, model number, and price per unit that they would recommend to fulfill this need for the SoS. The State will determine whether to acquire this equipment through the contractor or from the State's existing hardware contracts. These will be provided in Attachment B.

The State wishes to be able to purchase time and materials development and associated expenses on an as needed basis through the life of the contract. The bidder should include per hour rate charges for the different roles that could be required for this optional additional software development. There is no guarantee of the number of hours that would be used under this option. Travel expenses will be charged separately and must be preapproved by the State.

The Bidder must list each role/title and provide an hourly rate in Attachment B. These rates are fixed for the initial term of the contract. At renewal time rates may increase by no more than 5% upon mutual written agreement by Contractor and the SoS.

2. PRICES

Prices quoted shall be net, including transportation and delivery charges fully prepaid by the bidder, F.O.B. destination named in the Request for Proposal. No additional charges will be allowed for packing, packages, or partial delivery costs. When an arithmetic error has been made in the extended total, the unit price will govern.

C. PAYMENT SCHEDULE

The payment schedule for the project is tied to specific dates and deliverables. Invoices may be submitted by the Contractor on specific dates based on the completion and acceptance of related deliverables. No invoice will be approved unless the associated deliverables have been approved. A percentage of the total contract cost less retainage may then be invoiced based on the following schedule.

For simultaneous implementation of all phases

Percentage of Total Cost	Deliverable
20% less retainage	Software Installation
20% less retainage	Corp, UCC & EFS - Conversion of Data into Test Environment
10% less retainage	Training & Training Documentation
20% less retainage	User Acceptance Testing of Application
30% less retainage	Production Implementation/Go Live
7.5%	Retainage Payout - 120 Day Post Go-Live Sign Off
2.5%	Retainage Payout - after quarterly, annual and biennial processes are completed and verified.

If consecutive implementation of phases is chosen, payment schedule will be determined during finalization of Project Plan.

Form A
Bidder Contact Sheet
Request for Proposal Number 5301Z1

Form A should be completed and submitted with each response to this Request for Proposal. This is intended to provide the State with information on the bidder's name and address, and the specific person(s) who are responsible for preparation of the bidder's response.

Preparation of Response Contact Information	
Bidder Name:	
Bidder Address:	
Contact Person & Title:	
E-mail Address:	
Telephone Number (Office):	
Telephone Number (Cellular):	
Fax Number:	

Each bidder shall also designate a specific contact person who will be responsible for responding to the State if any clarifications of the bidder's response should become necessary. This will also be the person who the State contacts to set up a presentation/demonstration, if required.

Communication with the State Contact Information	
Bidder Name:	
Bidder Address:	
Contact Person & Title:	
E-mail Address:	
Telephone Number (Office):	
Telephone Number (Cellular):	
Fax Number:	

Form B

Notification of Intent to Attend First Pre-Proposal Conference

Request for Proposal Number 5301Z1

Bidder Name:	
Bidder Address:	
Contact Person:	
E-mail Address:	
Telephone Number:	
Fax Number:	
Number of Attendees:	

The "Notification of Intent to Attend Pre-Proposal Conference" form should be submitted to the State Purchasing Bureau via e-mail (as.materielpurchasing@nebraska.gov), facsimile (402-471-2089), hand delivered or US Mail by the date shown in the Schedule of Events.

Attachment A
Forms

Request for Proposal Number 5301Z1

Bidders are required to complete all forms provided in this attachment
Form A.1 is to be included as part of the Technical proposal.
Form A.2 is to be submitted as part of the Technical proposal, indicating which Optional features, if any, are included.

Form A.1 Requirements Traceability Matrix

Form A.2 Optional Service Matrix

Form A.1

Requirements Traceability Matrix (RTM)

Request for Proposal Number 5301Z1

Each of the items in the Detailed Technical Requirement Matrix in the table below requires a response of one of the following options: “Bidder”, “Subcontractor/Affiliate”, “3rd Party”, and “No”. Bidders must respond to the Detailed Requirements Matrix using the matrix format provided and must not change the order of the requirements.

The RTM must indicate how the bidder intends to comply with the requirement and the effort required to achieve that compliance. It is not sufficient for the bidder to simply state that it intends to meet the requirements of the RFP. The Department will consider any such response to the requirements in this RFP to be non-responsive. The narrative should provide sufficient information to differentiate the bidder’s technical solution from other bidders’ solutions. Explain each response and describe how the proposed solution meets each requirement.

Only one box may be checked per requirement. If Oral Interviews/Presentations and/or Demonstrations are requested, you may be asked to demonstrate each item marked as “Yes”, “Customization Required “, or “Alternate”.

The Bidder Response box should be completed if the response to the requirement is “Yes”, “Customization Required”, or “Alternate”. Bidders may also use it with “No” responses if desired. **Bidders must provide a response directly in the matrix, using as much space as needed.** Below is a brief definition of each response option. Bidders should carefully read the response definitions as these responses, as well as the entire response to this RFP, will become part of any resulting contract with the awarded contractor.

Yes	Yes, requirement is met and demonstrable in the current release of the product(s) proposed in the bidder’s response to this RFP, without manipulation of fields, forms, or the need to add fields or tables to the system.
Customization Required	The requirement is not completely met by the product(s) included in the proposed solution but can be met with some customization. Bidder should indicate whether the requirement can be met by the go-live date and describe any other specifics that will aid in evaluation.
No	No, the requirement is not or cannot be met by the product(s) included in the proposed solution. A response of “No” to a requirement does not eliminate the bidder’s proposal from consideration. All proposals meeting the mandatory requirements set forth in Section II.N will be evaluated and scored by the evaluation committee.
Alternate	The “Alternate” option is appropriate when a requirement can be met through a separate module or if the module is not included in the fixed price cost proposal. In such a case, it is recommended that the bidder note this in the cost on the Optional Cost Proposal.

General Statement of Requirements					
The Secretary of State intends to replace the existing Business Services Filing System (BSFS) with a comprehensive, configurable system that is easy to understand and provides cutting edge technology to improve functionality and expand services					
RTM #	**System Architecture, Licensing, and Ownership**	**Yes**	**Customization Required**	**No**	**Alternate**
SAL-1	Bidder should provide a high-level description (and optional diagram) of their proposed system to provide a BSFS that handles filing processes, accounts receivable, and deposit preparation.				
Bidder Response:					
SAL-2	Bidder should describe in detail the technical architecture and licensing of the software you are proposing in order to support the following requirements: A. independent development, test, QA, and training environments that mimic the production environment B. virtual, clustered web servers, application servers, database servers and FTP servers (if needed - will be provided and housed by the State) C. the coding languages and software database environment used for the proposed solution D. The bidder's application will use Nebraska Directory Services (NDS) to access web-based applications. E. In order to take advantage of as much existing infrastructure as possible, the BSFS system will run on VMWare virtual machines hosted by the Office of the Chief Information Officer. The system will comprise three (3) virtual servers: a database server, an internet web server, and an intranet/development web server. The database server will use Microsoft Windows Server OS and SQL Server 2012 R2 or above. The web servers will use Microsoft Windows Server OS and run IIS. Desktop PC's will use Office Suite 2010 or above.				
Bidder Response:					

RTM #	System Architecture, Licensing, and Ownership	Yes	Customization Required	No	Alternate
SAL-3	Bidder should acknowledge ability and willingness to provide the State with perpetual license for development, test, QA, training, and production environments.				
Bidder Response:					
SAL-4	Bidder should indicate understanding and acceptance of the requirement that the State will retain ownership of all entered, calculated, and derived data.				
Bidder Response:					

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
PR-1	Bidder should describe how their system meets the following requirements: A. Uses modern technology software that is easily supported and configured, uses responsive design, and meets business requirements of Corp, UCC and EFS functions B. Integrates filing processes, accounting functions, and deposit preparation features C. Provides APIs to Nebraska.gov, document imaging, State accounting, and credit card processing contractor D. Is accessible to users running browsers such as Microsoft Internet Explorer, Safari, Firefox, and Chrome. Please explain which version of browsers your system is compatible with. E. Offers enhancements/configurability to accommodate changes in statutory requirements, rules and regulations, and policy (e.g., add new business entity types, create or modify forms, and update filing fees)				
Bidder Response:					

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
PR-2	Bidder should describe the extent of the system's configurability.				
Bidder Response:					

TECHNICAL REQUIREMENTS

State of Nebraska standards require that all state government web applications that require authentication and authorization of users will use Nebraska Directory Services (NDS) to access web-based applications. NDS is based upon Microsoft Active Directory and can be accessed via native Active Directory methods or Secure LDAP (LDAPS). Multi-factor authentication is available.

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
GF-1	Describe how your system will integrate NDS authentication into the requirement to provide unique user identification for access and tracking user activity in your application. Include a description of options for supporting single authentication and multi-factor authentication processes supported by your system.				
Bidder Response:					
GF-2	System Uptime A. The proposed system must be fully functional with all components operating 99 percent of the time annually. Faults in availability attributed outside contractor's control will not be included in this calculation. B. During critical time periods, downtime should be avoided. Application Response Time A. Application response times during submission of user entered data, retrieval of images, and during data exchange to and from the portal should be sub second. During unprecedented high traffic volumes or system failures causing slow response time, the user must be informed through system notifications. Describe how you will monitor performance and problem resolution to meet the system uptime and application response time.				
Bidder Response:					

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
GF-3	The bidder should mark this section **proprietary and confidential** when responding to the RFP to preserve the integrity and security of the State's portal. Describe how your system will comply with NITC state standards, as applicable, for data security through the use of passwords, specialized software, or other appropriate means.				
Bidder Response:					
GF-4	The bidder should mark this section **proprietary and confidential** when responding to the RFP to preserve the integrity and security of the State's portal. Describe your system's access controls, application security, and cryptography for PII/PPI information security.				
Bidder Response:					
GF-5	**Maintenance** The contractor will have responsibility for maintaining functionality of the BSFS. The contractor must have a plan for updating, enhancing, and modifying the system in response to technological advances and the need for additional features to improve efficiency and ability to meet the public's and SoS's requirements. The contractor must resolve any performance issue. Normal and preventative maintenance shall be performed at a time that shall not adversely impact daily operations, with prior notification to SoS of the downtime. During critical time periods application problems and individual user downtime must be minimized, and critical problems that have no workaround must be resolved within an agreed time period with the SoS office.				

	The contractor shall provide a list of all enhancements and changes to be made to the BSFS in a maintenance release prior to the release. The SoS office must approve of any work-around or fix. The contractor shall monitor availability of upgrades offered by their hardware and software vendors and make timely installation of such changes when technically appropriate, at no additional cost to SoS. When changes or additions are made to the database, contractor will provide updated field mapping and relationship documentation. Changes due to inevitable Federal legislation or State legislation beyond what is described in the RFP will be treated as enhancements. Explain in detail how you will comply with maintenance requirements to include: A. normal and preventative maintenance that will be performed at times that avoid adversely impacting daily operations B. upgrades and enhancements for your software C. upgrades for peripheral hardware (e.g., scanners, label printers)				
Bidder Response:					

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
GF-6	Describe your provisions for HelpDesk support and for logging, tracking, and documenting problems and resolutions.				
Bidder Response:					

RTM #	Common System Processes/Features	Yes	Customization Required	No	Alternate
CS-1	General Features A. When Secretary of State staff receives a filing request, they determine the type of action needed, chose that option from a dropdown list, and proceed to enter the appropriate information based on that action. (See Appendix A - Entity Types - Actions Matrix for Corp Filings & Appendix G - Actions Matrix for UCC & EFS Filings). B. All fields are editable with a very few exceptions (e.g., system-generated account number) as noted in the Data Field appendices (Appendix B – Corp Data Fields & Appendix H - UCC & EFS Data Fields). C. Current filing date, time, and unique job number are generated when the filing is entered by staff. For Corp filings, EFS, Tax filings, and Judgments, the effective date and time are initially set to equal the filing date and time, and can be changed by staff; UCC filing date is generated when filing is entered by staff and effective default time is 5:00 p.m. but can be changed by staff to actual filing committal time as needed. D. Creates a unique job number which is made up of C, U, or E to indicate Corp or UCC/EFS application, last two digits of the year, two digit month, two digit day, and then a dash followed by four digits designating which job it was that day (e.g., job number C151013-0061 refers to the 61st job done in the Corp module on October 13, 2015). The bidder should describe and provide screen shots showing how their system is able to provide the features/functions listed above, emphasizing how the system will improve the current process.				
Bidder Response:					

Technical Corp Processes/Features

The Corporations system must record, store, and retrieve information and documents related to business entity registrations and other filings. The system must also create notifications, calculate and split fees, track and report information.

Entity Types				Other Filing Options
Domestic 1. Corp a. Bank b. Insurance Company c. Nebraska Benefit Corp 2. Corp PC 3. GP 4. LCA 5. LLC 6. Professional LLC 7. LP 8. LLP 9. Domesticated Foreign Corp 10. Domesticated Foreign Corp PC	Foreign 1. Corp 2. Corp PC 3. GP 4. LCA 5. LLC 6. Professional LLC 7. LP 8. LLP	Non Profit 1. Dom Corp 2. Dom LCA 3. Foreign Corp 4. Domesticated Foreign Corp 5. Foreign LCA 6. Non Stock Corp 7. Non Taxable Corp	Other Entity Types 1. Agricultural Association 2. Fraternal Society 3. Hospital Authority 4. Joint Public Agency 5. Sanitary & Improvement District	1. Registered Agent Designation 2. Trade Name 3. Service Mark 4. Trade Mark 5. Reserved Name 6. Registered Name *Entity types and other filing options (if any) as added by legislation prior to contract date will also be included.

The filing categories of Formation Documents (filed in order to form a corporate entity or establish an agent, a name, or a mark); Amendments & Corrections (filed for entities and other filing options to amend documents that have previously been filed with the Secretary of State); Renewals (filed for Other Filing Options to continue their existence and update information); Mergers & Conversions (filings that change the status and/or type of entities); Dissolutions & Revocations (filings that dissolve corporate entities); Reinstatements (filings that reestablish corporate entities that were administratively dissolved); and Annual & Biennial filings handled individually (see Appendix A - Entity Types - Actions Matrix for Corp Filings) will follow this general workflow.

Current Workflow – This Workflow provides an overview of the daily processing of Corp filings and applies to RTM Corp-1 through RTM Corp-12 below.

The system assigns a unique batch number to each staff member at the beginning of the day. Jobs containing filer/client

information and filing fees collected are recorded in the batch by system assigned job numbers.

A. For filings received by mail or in the office:
   1. Endorse check and receive monies for the filings.
   2. If name availability check required (i.e., for Formation, New Name, and Reinstatements after 1 year filings),
      a. Complete initial Name Availability Check (by staff member)
      b. Name check approval by supervisor (aka Red Pen)
   3. Identify Entity Type or Other Filing Option
   4. Manually review (by staff) the document for statutory requirements, then continue with a, b, or c:
      a. If necessary, route for supervisory review and determine next step
      b. Accept and file
         i. Staff enters required information for entity and filing type. (Refer to Appendix A - Entity Types - Actions Matrix for Corp Filings and Appendix B – Corp Data Fields). Standard relationship editing is expected on all data fields. These relationship edits will be validated with the State after bid award. i.e. address, city, state, zip
         ii. For Formation and Name Change filings, a Modified Name is system generated, and Duplicate Name check is system generated, using Soundex and Wildcard minus the last word in the name
         iii. Perform If-Then rules (Appendix B – Corp Data Fields)
         iv. Option provided to create and issue certificates for documents being filed using designated templates. (Refer to Appendix D – Certificates, Forms, and Templates. Start with OPEN ME FIRST document for explanation of folder contents and usage.)
         v. System assigns fees in the job window (staff must be able to edit fees). Fund and object codes are system assigned at the time the fees are receipted and entered into the database, splitting fees into 2 or more funds if required. (Refer to Appendix F – Accounting Codes and Filing Fees)
         vi. Staff receipts the fees by entering the filer client information in the job window. Staff must have the option of selecting a 'use as filer' button or searching filer client table and selecting a match to populate the filer client information. Staff must have the ability to add additional service fees such as certificates, copies, pages, interest or make corrections and edit or delete any fees.
         vii. Staff commits the job which will write the data to the database, store the fee information, automatically generate, save, and print an acknowledgment letter, with an option to not print the acknowledgement letter. (See RTM CB-3)
         viii. File Stamp filing (see RTM CB-2)
         ix. Send for scanning
         x. Return file stamped copy of the document, with the acknowledgement letter to filer.

c. Decline and reject
    i. Create, and save, letter using Word templates within the system to provide reason(s) for Rejection
    ii. Return document with letter and fees

B. For filings received via Document eDelivery – List of filings currently available through Document eDelivery.
1. The Document eDelivery system will initiate a search of the Registered Agent table for the Registered Agent listed in the filing. The system returns all matches to the eDelivery system for the filer to select one or create a new record.
2. If Name Availability Check is required when filing is received from Document eDelivery (i.e., for Formation, New Name, and Reinstatements after 1 year filings), staff will initiate a Name Availability Check, as in A. 2. a. & b. above.
3. Manually review (by staff), then either:
    a. Accept and file (If Approved; staff must initiate duplicate name check)
        i. If the Registered Agent was not selected from the matches in the database, a new record will be created.
        ii. Perform If-Then rules (Appendix B – Corp Data Fields)
        iii. Upload data
        iv. Upload approved document(s) which include file stamp(s) to image library
        or
    b. Decline and reject (If Not Approved)
        i. Staff enters rejection reasons into Document eDelivery system
        ii. Document eDelivery system sends email to filer with rejection information

C. For each change, discard, or deletion of a committed job, entity, action, or correspondence (e.g., filings, letters, staff or system-generated updates, automated interface updates), create an audit trail record containing a date and time stamp, staff member or system involved, and a link to the image (when appropriate).
D. Staff Balances Receipts and Reconciles each Batch at End of Day
E. The following day, batches are totaled and prepared for deposit, then sent to the accountant for PFC deposit. See RTM CB-5.

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-1	Name Search. Check for name availability is searched and performed within the system to ensure that the requested name for filing is not the same or deceptively similar to other SoS filings on record per statutes and policy guidelines. (Additional specifics will be provided upon contract award.) The search for Name Availability applies to the filing category of Formation Documents and to filings for New Name and Reinstatements after 1 year. The search for existing records is used to find the original filing entity for Amendments & Corrections; Mergers & Conversions, Dissolutions & Revocations, Reinstatements and Annual & Biennial filings handled individually (see Appendix A - Entity Types - Actions Matrix for Corp Filings). For each search, create an audit trail record containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate). The following search criteria must be available in the system in order to look for existing records on file for the following categories. A. All Entity Types – 1. Name: Finds entities of all types whose ModifiedName or ForeignModifiedName match the name entered. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Insert OR 2. Acct #: Finds entities of all types that match the account number entered. 3. Document #: Finds entities of all types that match the account number entered. B. Company –				

	1. Name: Finds entities of type(s) *other than* T, S, M, RN, VN, PN whose ModifiedName or ForeignModifiedName match the name entered. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Search Previous Names Also: Search may be expanded to also include previous entity names such as those due to name changes or mergers. iv. Insert OR v. Search Cardex: Search may be conducted against cardex data instead of Domestic/Foreign entity names. Note that this is the only search type that allows searching the cardex data. 2. Acct #: Finds entities of type(s) *other than* T, S, M, RN, VN, PN whose account number match the number entered. 3. Document #: Finds all entities of type T, S, M, RN, VN, PN that match the document number entered. 4. Officer Name: Finds entities of type(s) *other than* T, S, M, RN, VN, PN by match on the Officer's last name. The name being searched may be an exact match, a wildcard match, a soundex exact match or soundex wildcard match. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Limit to Term: Search may be limited to only those officers whose term spanned a given start and end date. iv. Insert OR C. Registered Name – 1. Name: Finds all entities of type RN whose ModifiedName matches the name entered. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Insert OR				

	2. Acct #: Finds all entities of type RN that match the account number entered. 3. Document #: Finds all entities of type RN that match the document number entered. D. Reserved Name – 1. Name: Finds all entities of type VN whose ModifiedName matches the name entered. a. Additional Search Options: i. Soundex ii. Wildcard Implied iii. Insert OR 2. Acct #: Finds all entities of type VN that match the account number entered. 3. Document #: Finds all entities of type VN that match the document number entered. E. Trademark, Service Mark – 1. Name: Finds all entities of type M or S whose ModifiedName matches the name entered. a. Additional Search Options i. Soundex ii. Wildcard Implied iii. Insert OR 2. Acct #: Finds all entities of type M or S that match the account number entered. 3. Document #: Finds all entities of type M or S that match the document number entered. 4. Keywords: Finds all entities of type M or S that match the keyword entered. a. Additional Search Options i. Wildcard Implied ii. Insert OR F. Trade Name – 1. Name: Finds all entities of type T or PN whose ModifiedName matches the name entered. a. Additional Search Options i. Soundex				

	ii. Wildcard Implied iii. Insert OR 2. Acct #: Finds all entities of type T or PN that matches the account number entered. 3. Document #: Finds all entities of type T or PN that match the document number entered. G. Duplicate Name Check – This search is system generated using the following: Count the number of words in the entity name being created. If there is more than one word then drop the last word. This should get rid of most ending noise words like "Inc.", 'Co", "LLC", etc. Generate a Soundex value of the entity name. The Soundex value is padded to 15 characters. Note that this is a *very* non-standard implementation of the Soundex algorithm. Display any matching entity names to user. User will determine if entity name is a duplicate or not via visual inspection of all names returned. H. Check Name Availability – 1. Name: Finds active entities of type(s) other than M and S or entities deemed inactive within the past 365 days of type(s) other than VN and RN whose modified name matches the name entered. a. Additional Search Options – i. Soundex ii. Wildcard Implied iii. Any Combination of Words: Finds all entities that contain at least one of the words entered. Entities are displayed sorted based upon the number of words found from the search criteria. Note that this option is not allowed in conjunction with the Soundex nor Wildcard Implied options. I. Global Change of Registered Agent – 1. Registered Agent Name: Finds active entities using agent name entered a. Additional Search Options				

	i. Soundex ii. Wildcard 2. Find Registered Agent a. Individual - Finds all individual Registered Agents with the specified name. b. Entity – Searches the Corp database and finds all active Corp Entities associated with the specified name. The list of entities is displayed and indicates which entities can NOT be chosen (See Appendix K – Reports and Additional Information, document “Authorized Registered Agents by Entity Type”). The user then “Chooses” an entity, a new search is performed against the RA table that finds all registered agents listings for that entity. The user then selects the agent to display. c. Other - Finds all Registered Agents with the specified name. (Note: This option searches for RAs what are flagged as neither an entity nor an individual.) J. Charge Account – 1. Soundex 2. Wildcard K. Job History Search – 1. Job # - Finds jobs that match the specified job number. a. Wildcard Implied b. Insert OR 2. Filer/Client Name – Finds jobs that match the specified Filer/Client name. a. Wildcard Implied b. Insert OR 3. Billing Acct ID – Finds jobs that match the specified Billing Acct ID. 4. Entity Acct # - Finds jobs that match the specified Entity Account Number. 5. Document # - Finds jobs that match the specified Document Number. L. Filer/Client Maintenance – This form lists every filer entered into the FilerClient table. This table holds these filers who conduct frequent				

	business with their name & address information and is maintained for quick selection and entry into the job window. 1. Name – This will locate the first occurrence of the entered name within the list. 2. AcctID – This will locate the first occurrence of the entered Acct ID within the list. Note that the current Corp application does not utilize Billing Acct Numbers, but is included and applies to the new BSFS. **Additional Search Options Descriptions** A. **"**Insert OR" option: Allows a Boolean "or" search. Entities containing any word or phrase separated by the "or" indicator will be returned. Note that both the Soundex and Wildcard options may be applied to this type of search. B. Soundex: Searches entities based on the Soundex value of the entity's name. This type of search will typically result in vastly more results than a non-Soundex search. C. Wildcard: Appends a wildcard character to the end of any entered search criteria. This is a "begins with" search vs. an exact match search and typically feels more natural to the user. Note that the manual use of wildcard characters (* and %) is also allowed. In most cases, the user may manually enter a wildcard character and the search will respond accordingly. **Additional Algorithm Descriptions** A. Soundex algorithm: 1. Remove all spaces from search criteria. 2. If no wildcard character was manually entered then create a standard Soundex value padded to 15 characters by adding trailing "0" as needed. 3. If user manually entered wildcard characters then: a. Split the name at each wildcard character. b. Convert the first part of the name using the standard Soundex algorithm. c. Append the wildcard character. d. Prepend a "throw-away" character (i.e. "L" or "R") to the				

	beginning of the next name part and convert using the standard Soundex algorithm. Append this value starting at the second character to the values above. e. Repeat steps 3 & 4 for each remaining wildcard character and name part. f. Pad the final value to 15 characters by adding trailing "0" as needed. B. Modified Name algorithm: Note that this algorithm is not the same as the modified name algorithm used within the UCC application, for neither UCC nor EFS. 1. Replace all colons, semicolons, commas, periods, hyphens, slashes, and ampersands with a space. 2. Remove all other punctuation i.e. characters that are neither A thru Z nor 0 thru 9. 3. Remove "THE" as a word from the beginning, middle or end of the name. 4. Remove "AND" as a word from the middle or end of the name. Leave this word if located at the beginning of the name. 5. Remove multiple spaces. The system must provide an API for the external calling of the search modules from Nebraska.gov. The bidder should describe provide screen shots showing and provide examples of how their system's name search process(es) facilitate(s) determinations regarding business and trade name availability and for retrieval of existing records, emphasizing how the proposed system will improve the current workflow process.				
Bidder Response:					

RTM #	**Technical Corp Processes/Features**	**Yes**	**Customization Required**	**No**	**Alternate**
Corp-2	Name Availability Screening Name availability is a screening process that is completed on a daily basis for any written requests received from consumers to check if a name may be available for filing prior to filing the document. Also name availability is used in current workflow. The name availability process must be upgraded to a basic electronic process to enter information into a template worksheet, which is then stored and retrievable by name(s) checked, date checked, and system generated document number, and can be purged per retention schedule. See Appendix N - Name Availability Screening The bidder should describe and provide screen shots showing how their system handles and checks for name availability screening, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	**Technical Corp Processes/Features**	**Yes**	**Customization Required**	**No**	**Alternate**
Corp-3	Registered Agent (RA) The software must provide the ability to capture RA information in one place for each unique Registered Agent. RAs might have more than one valid office address. The software must provide RA address, email and phone contact. If the RA is known and already exists, prevent creation of a new RA record. If the RA doesn't exist in the system, a record will need to be created. If the RA doesn't provide a number, search for the RA in the database before creating a new RA record. See search instructions described in RTM Corp-1 I.2. Staff needs the ability to update, merge, and purge RA data and the ability to search, including by wildcard, RA data by name, address, email, and id number. (See Appendix J – Ancillary Databases and Derived Reports Item #8) The bidder should describe and provide screen shots showing how their system handles and processes RA information, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	**Technical Corp Processes/Features**	**Yes**	**Customization Required**	**No**	**Alternate**
Corp-4	Formation Documents Filings received in-house: refer to the Current Workflow A; in addition, the following are specific details for Formation Documents. A. If accepted, then staff checks existing Registered Agent table, if no RA record exists, a new record is created. B. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). C. If declined see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Formation Documents, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	**Technical Corp Processes/Features**	**Yes**	**Customization Required**	**No**	**Alternate**
Corp-5	Amendment & Correction Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Amendment & Correction Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Check for existing Registered Agent data and update as needed. D. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). E. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Amendment & Correction Filings, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-6	Renewal Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Renewal Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). D. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Renewal Filings, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-7	Merger & Conversion Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Merger & Conversion Filings A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Check for existing Registered Agent data and update as needed. D. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). E. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Merger & Conversion Filings, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-8	Dissolution & Revocation Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Dissolution & Revocation Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). D. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Dissolution & Revocation Filings, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-9	Reinstatement Filings For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Reinstatement Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is inactive. If status is active or suspended, allow staff to determine whether to continue. C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). D. If declined, see workflow. Filings received via Document eDelivery – refer to Current Workflow B). The bidder should describe and provide screen shots showing how their system handles and processes Reinstatement Filings, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-10	Annual & Biennial Report Filings - handled individually For filings received in-house refer to the Current Workflow; in addition, the following are specific details for Annual & Biennial Filings. A. Search for existing entity – Refer to Corp 1 for search options B - F. B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue. C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields). D. If declined, see workflow. The bidder should describe and provide screen shots showing how their system handles and processes individual Annual & Biennial Report filings, emphasizing how it improves the current workflow process.				
Bidder Response:					

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-11	Annual & Biennial Report Filings – mass processing These filings are required reports that must be filed periodically by entities. All can be found in Appendix A - Entity Types - Actions Matrix for Corp Filings labeled as Annual & Biennial Filings. Statutory Requirements for Annual and Biennial filings can be found in Appendix C – Statutes and Rules & Regulations. Current process A. Review filings. Review of the filing will include system reading of a barcode or entry of account number to check that the company is Active and that there has been no Annual or Biennial filing previously within the year. B. If the filing is Rejected, go to process described in H. C. For Accepted filings that are Annual and Biennial filings only, continue with the process described in E. This is a streamlined function. D. For Accepted filings that are Annual and Biennial filings that also include additional filings not categorized as Annual and Biennial filings, continue with the process described in F. E. Accept and file This streamlined process provides some shortcut to allow volume processing of Annual and Biennial filings. For this process, 100 filings will comprise a batch. The system will automatically close a batch when 100 filings have been processed and open a new batch, unless this is a closing at the end of the day which would include closing the batch. 1. Enter required information for filing. (Refer to Appendix A - Entity Types - Actions Matrix for Corp Filings and Appendix B – Corp Data Fields). Standard relationship editing is expected on all data fields. These relationship edits will be validated with the State after bid award. i.e. address, city, state, zip				

	a. This is a re-check by another staff member of the review process completed above. Verify status is active and that there isn't an Annual or Biennial filing already within the year. If status is inactive or suspended or there is an Annual or Biennial filing already on file, system should not allow filing. If not continuing, refer to Decline and reject section H. b. The system has to accommodate multiple Annual or Biennial filings for one Job. If payment doesn't match fee for multiple filings in the Job, the entire Job will be rejected. If not continuing, refer to Decline and reject section H. c. Capture required data needed (i.e., entity type, stock amount, # of pages) to calculate fee and verify that check amount matches fee and indicate if post filing updates are required. d. Endorse check with the account number of the first filing in the Job. e. When the Job is committed then print label. f. Post filing updates are completed at a later date using the scanned images. See G. below. 2. Receipt fees (Refer to Appendix F - Accounting Codes and Filing Fees) 3. Add filing stamp (assign document number and barcode label). 4. Address scanning options 5. If filing comes from Nebraska.gov a. Perform If-Then rules (Appendix B – Corp Data Fields) as filer enters information b. If filing is successful, i. Data is automatically uploaded into system ii. Upload approved documents in image library with				

	online file stamp per daily schedule iii. Payment amount and type are recorded. 6. Create audit trail records containing a date and time stamp, staff member or system involved. F. Multiple action filings Process other filing action(s) submitted for Other filing type(s) and process the Annual or Biennial filing as a Job. Other filings will be processed as described in the sections above and the Annual or Biennial filing will be processed as described in E.1.a., E.1.c., E.1.e., E.1.f., E.2., and E.3., indicating whether post filing updates are required. Print the label and receipt fees Create audit trail records containing a date and time stamp, staff member or system involved. G. Post filing updates using images Every biennial report that indicates that a post filing update is required will run through a process where based on the document filing stamp date and time an image will be brought up for a staff member to process and update the field information in the system. See Appendix B - Corp Data Fields. The staff member will uncheck the update box removing it from the update list. Create audit trail records containing a date and time stamp, staff member or system involved. The process repeats for the next update in the queue.				

	H. Rejection Process Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or explanation. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3 The bidder should describe and provide screen shots showing how their system handles mass processing of Annual and Biennial Report filings. The processes above describe the current flow; the bidder may suggest other more efficient workflow processes for consideration.				
Bidder Response:					

RTM #	Technical Corp Processes/Features	Yes	Customization Required	No	Alternate
Corp-12	Automated System-Generated Functions The bidder should describe and provide screen shots showing how their system handles and processes automated system-generated functions, emphasizing improvement over the current process. These scheduled functions are based upon data in filed records. For system generated actions, refer to the If-Then tab in Appendix B – Corp Data Fields for these action codes – CA, EL, NA, NP, NRV, RD. For system generated notices, refer to Appendix C – Statutes and Rules & Regulations for LLPA, BR, TR, RE, & PC. If a letter needs to be printed, templates are found in Appendix D - Certificates, Letters, and Templates printed per RTM CB-3.				
Bidder Response:					

TECHNICAL REQUIREMENTS – UCC Processes/Features

The UCC System must record, store, and retrieve information and documents related to Uniform Commercial Code (UCC) filings. (See Appendix G - Lien Types - Action Matrix for UCC & EFS Filings and Appendix H – UCC & EFS Lien Data Fields.)

Lien Types			
Uniform Commercial Code (U) 1. Financing Statement 2. Manufactured Home 3. Public Finance Transaction 4. Transmitting Utility 5. Mortgage* 6. Subordination Agreement* *Original filings are no longer accepted, but we are required to search for and to be able to file subsequent actions on those already on record.	Statutory Ag Liens (A) 1. Agister 2. Agricultural Production Input Lien (API) 3. Artisan Lien 4. Electrical Lien 5. Feed Lien 6. Fertilizer Lien 7. Petroleum Products 8. Seed Lien 9. Thresher Lien 10. Veterinarian Lien	Judgments (J) 1. Abstract Of Judgment 2. Notice Of Lien For Fine Or Penalty For Sentencing 3. Criminal Fine Enforcement	Taxes (T) 1. Federal Tax 2. Refiled Federal Tax 3. State Tax

The filing categories of Original Documents; Amendments, Corrections; and Terminations (see Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings) will follow this general workflow.

Current Workflow – This Workflow provides an overview of the daily processing of UCC filings and applies to UCC-1 through UCC-11 below.

A. For filings received by mail (filings received via Document eDelivery are handled without staff involvement)
   1. Open mail
      a. Endorse check, verify money received and/or charge account number as indicated on filing.
   2. Review document for statutory and rules & regulation requirements then determine if a, b, or c:
      a. If necessary, route for supervisor review and determine next steps
      b. Accept and file

i. Enter required information for lien type. (Refer to Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings and Appendix H - UCC & EFS Lien Data Fields). Fund and object codes need to be applied to the fees at the time they are entered into filing system with the capability to split into 2 or more funds for the deposit. (Refer to Appendix F – Accounting Codes and Filing Fees)

ii. Enter the filer client information provided or search name in the filer client table to populate the filer information with the option of entering the account number in the job window. System has ability to add additional certifications, copies, attachments, searches, miscellaneous fees, buyer registration fees, or make corrections, edit, or delete any fees as needed. (Refer to Appendix D – Certificates, Forms, and Templates. Start with OPEN ME FIRST document for explanation of folder contents and usage.)

iii. Receipt fees by check, cash, coin, or charge account number.

iv. Commit job which will generate, save, and print acknowledgment(s) by default, with the option to not print.

v. File Stamp filing (see RTM CB-2).

vi. Send for scanning.

vii. Return acknowledgement to filer along with copy, if provided.

viii. The system will assign a unique batch number to each staff member. Jobs are recorded in batches from a job window. Batches are totaled and reconciled for deposit.

or

c. Decline and reject

i. Create rejection letter via Word template within the system.

ii. Return document with letter and fees.

B. For filings received via Document eDelivery – there is no staff review

C. For all changes or correspondence (e.g., filings, letters, staff or system-generated updates, automated interface updates), create an audit trail record containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate).

D. Balance Receipts and Reconcile each Batch at End of Day

E. Review of Filed Records (normally performed day of deposit; however, may be done at any time.)

1. Delete a record or job after a filing has been committed prior to posting the batch.
2. Delete a record after the batch has been posted.
3. Discard a filing number at the time of filing, or after committal, but prior to posting the batch.

F. The following day, batches are totaled and prepared for deposit, then sent to the accountant for PFC deposit. See RTM CB-5.

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-1	**Name Search** The criteria below apply to the filing types Originals, Amendments, Corrections, Terminations and any other subsequent actions (See Appendix C – Statutes and Rules and Regulations; NAC Title 436 – Administrative Rules for Article 9, Chapter 5; Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings; and see also Appendix H – UCC & EFS Lien Data Fields). For each search, create an audit trail record containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate). The following search criteria must be available in the system in order to look for existing records on file for the following categories. **A. ModName Calculation** 1. Individuals a. Individual debtors must be explicitly identified as individuals. b. The ability to indicate alternative designation, (lessee, consignee, bailee, buyer, licensee, registered owner). c. The individual name may contain first, middle and last elements. d. Convert each element of the name (first, middle, last) to uppercase. e. Remove punctuation, accent marks and spaces. Only characters A-Z and digits 0-9 are valid. f. Concatenate the last, first and middle names with the "|" character as a separator. For example, "John A. Smith" would be stored as "Smith|John|A"				

	2. Organizations a. Organization debtors must be explicitly identified as an organization. b. Ability to indicate alternative designation (lessor, consignor, bailor, seller, licensor, owner) c. Convert the name to uppercase. d. Replace “&” with “AND”. e. Remove punctuation and accent marks. Only characters A-Z and digits 0-9 are valid. Note: Any character not in the list of valid characters is replaced with a space (“ “) character. f. Remove multiple consecutive spaces which may have been left as a result of the previous step. g. Remove ending noise words as defined in 503.1.5. h. Remove any occurrence of “THE” at the beginning of the name. i. Remove all remaining spaces. **B. Standard Search (UCC/Agriculture)** 1. Must designate debtor as Organization or Individual 2. Create a search value using the “modname” algorithm. 3. Search the Debtor table for matches of the ModName column. 4. No SSN or FEIN numbers should appear on the search results. 5. Must be able to indicate whether the search is to be certified. 6. When searching for liens the system must return all debtors associated to each lien and indicate multiple debtors on liens by a common indicator. 7. The search report will show all debtors/secured parties associated with each lien in either All or Unlapsed status.				

C. Non-Standard Wildcard Search (Tax / Judgment)

1. Must designate debtor as Organization or Individual
2. Create a search value using the “modname” algorithm.
3. Insert a wildcard character at the end of Last, First and Middle names in the calculated search value. From example above, the search value would be “Smith%|John%|A%”.
4. Search Debtor table using a LIKE search of the ModName column. The % character acts as a wildcard and will find all “modname(s)” matching the pattern.
5. No SSN or FEIN numbers should appear on the search results.

D. Find Records – Internal Search only

For a “UCC” search, the following rules apply.

1. For a search for individuals, a value must be specified in both “Last Name” textboxes else the “Find” button is disabled.
2. There are five lien classes; “UCC”, “Agriculture”, “Judgment”, “Tax” and “EFS”. The “UCC” liens searched include the “Agriculture class”. The “Tax” liens searched include all lien classes other than “UCC” (i.e. “Judgments”, “Tax”). This search will not return any liens from the “EFS” class.
3. All individual data elements (Last, First, Middle and Organization names) are converted to their ModName equivalent before searching.
4. When the Soundex option is selected, the Soundex value is calculated from the corresponding ModName value.
5. UCC Liens: Default options specified; Wildcard = no, Soundex = no
   a. Debtor name
      i. Individual: This search appends a wildcard if

	certain conditions are met even if the "Wildcard" checkbox is not checked. ii. LastName ***never*** has a wildcard appended. iii. FirstName has a wildcard character appended ***only if*** the FirstName is 0 or 1 character long. iv. MiddleName has a wildcard character appended ***only if*** the MiddleName is 0 or 1 character long. b. Organization i. OrganizationName is never searched by wildcard. 6. Tax Liens: Default options specified; Wildcard = yes, Soundex = yes a. Debtor name v. Individual: vi. LastName always has a wildcard appended. vii. FirstName always has a wildcard appended. viii. MiddleName always has a wildcard appended. a) Organization 1) OrganizationName always has a wildcard appended. 7. Debtor Name Search for debtors matching the specified name. The searcher may choose to return All, Unlapsed, or Inactive liens (record where the lapsed day exceeds 365 days but still in the UCC Module) associated with the debtor(s) returned. 8. Additional Search Options a. Limit to liens filed within a specified Date Range. This filter applies to both UCC and Tax liens. b. Limit to liens filed by a debtor who resides in a specified City. This filter applies to both UCC and Tax liens. c. Limit to liens filed by a particular Secured Party. This filter applies to **both** UCC and Tax liens. d. Wildcard: For individuals, a wildcard is added to the				

	end of Last, First and Middle names. For organizations, a wildcard is added to the end of the Organization name. e. Soundex: Performs the search using the Soundex encoding of the ModName of the individual or organization. f. Soundex + Wildcard: If both options are selected then a wildcard character is appended to the Soundex value of an Organization ModName. For individuals, the Last, First & Middle "ModName (s)" are individually converted to a Soundex value and a wildcard character is the appended to the end of each. The First and Middle name Soundex values then have their initial alpha character removed to keep in line with the standard Soundex encoding algorithm. The individual Soundex values are then concatenated together and any consecutive digits on either side of the wildcard characters are removed to keep in line with the standard Soundex algorithm. g. Any combination of All, Unlapsed, or Inactive lien status may be selected. 9. Secured Party Name a. The Secured Party search functions similarly to the Debtor Name search of UCC Liens described above with the following differences: b. Searches are conducted against the SecuredParty table vs. Debtor table. c. All lien classes (except "EFS") are searched. d. The lien classes are all searched in the same manner. There is no special handling for "Tax" or other lien classes.				

	10. Original Document # Searches the "LienMaster" table for a matching original document number. The search is an exact match on the specified document number. 11. Document # Searches the "UCCActions" table for liens having an exact match to the specified document number. A second search is then conducted to retrieve detail data from the "LienMaster", Debtor and Secured Party tables for each lien returned in the first search. 12. Additional Search Options Any combination of All, Unlapsed, or Inactive lien status may be selected. 13. Find Old Terminations – Internal Search only Find Old Termination – This internal search looks for original document numbers and actions relating to it from the "UCCActionsArchived" table. The filing data stored in this table is from UCC filings that were from a previous system and isn't incorporated or easily searchable in the current system. **E. Job History Search** Job # – Finds jobs that match the specified job number. 1. Wildcard Implied 2. Insert OR **F. Filer/Client Name (Individual/Organization)** Finds jobs that match the specified Individual / Organization. 1. Wildcard Implied 2. Insert OR **G. Billing Acct ID –** Finds jobs that match the specified Billing Acct ID				

	H. Original Document # – Finds jobs that match the specified Document Number. **I. Filer/Client Maintenance –** This form lists every filer entered into the FilerClient table. This table holds these filers who conduct frequent business and their name & address information is maintained for quick selection and entry into the job window. 1. Name – This will locate the first occurrence of the entered name within the list. 2. AcctID – This will locate the first occurrence of the entered Acct ID within the list. Note that the Corporation application does not utilize Billing Acct Numbers so this type of search doesn't apply. The system must provide an API for the external calling of the search modules from Nebraska.gov. Create a search value using the "modname" algorithm per Appendix C - Statutes and Rules and Regulations, Administrative Rules for Article 9, Title 436, Chapter 5. Language contained within these Rules for 505.2.5 and 505.2.8 no longer applies to search reports and is in the process of being removed so programming for these will not be needed. Must designate debtor as Individual or Organization. The system must have an override function to change the 'through date and time'. NAC Title 436 will add the ability to search a particular debtor address which we currently do not have in programming; add criteria to programming for UCC filings, including Statutory Ag Liens as NAC Title 436 will be updated to accommodate this rule. **NAC Title 436 Search Logic** For additional search criteria see Appendix C- Statutes and Rules & Regulations and Appendix K – Reports and Additional Information – Search Logic Spreadsheet.				

	Soundex This is the standard Soundex encoding algorithm as described here: https://en.wikipedia.org/wiki/Soundex. The UCC encoded value is carried out to 8 characters vs. the standard 4 characters. The system calculates and stores the Soundex encoding of the ModName value. **Additional Search Options Descriptions** A. "Insert OR" option: Allows a Boolean "or" search. Names containing any word or phrase separated by the "or" indicator will be returned. Note that both the Soundex and Wildcard options may be applied to this type of search. B. Soundex: Searches names based on the Soundex value of the debtor's or secured party's name. This type of search will typically result in vastly more results than a non-Soundex search. C. Wildcard: Appends a wildcard character to the end of any entered search criteria. This is a "begins with" search vs. an exact match search and typically feels more natural to the user. Note that the manual use of wildcard characters (* and %) is also allowed. In most cases, the user may manually enter a wildcard character and the search will respond accordingly. The bidder should describe and provide screen shots showing their system's name search processes, and its use for retrieval of existing records, emphasizing how the proposed system will improve the current process.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-2	**Original Filings** Original Filings are filed with the Secretary of State. All lien types and action codes can be found in Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings labeled as Originals and Appendix H – UCC & EFS Lien Data Fields. Statutory Requirements for Originals can be found in Appendix C – Statutes and Rules & Regulations. Click to see Filing Compliance Chart for jurisdictional requirements. Review and Enter Filing Data A. Accept and file 1. Enter required information for filing. a. Check for a Debtor and Secured Party data b. Status becomes active 2. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees) 3. Commit job 4. Calculate maturity date for original filings (including leap year updates) and assign status and action type for filings 5. File Stamp filing (see RTM CB-2) 6. Generate letter (Acknowledgement of Filing) and return copy if included with acknowledgement receipt to filer. See RTM CB-3 7. Send for scanning B. Decline and reject Return document with system-generated rejection letter and fees, if collected. Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or explanation. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3 C. Allow ability to correct Original filing and create audit trail.				

	The bidder should describe and provide screen shots showing how their system handles Original filing processes.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-3	**Amendment Filings** Amendments, Continuations, Assignments, and various actions with fees are filed to update Original Filings by document number. All can be found in Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings labeled as Amendments. See also Appendix H – UCC & EFS Lien Data Fields. Statutory Requirements for Amendments can be found in Appendix C – Statutes and Rules & Regulations. Click to see Filing Compliance Chart for jurisdictional requirements. Review and Enter Filing Data A. Accept and file 1. Enter original document number by using the eyeball icon to search and retrieve original filing for update. 2. Enter required information for filing. a. Check for a Debtor and Secured Party data or collateral change. b. If status is inactive Reject c. If status is lapsed then accept filing for amendment, assignment, or termination. 3. Receipt fees or charge account for filing (Refer to Appendix F – UCC & EFS Accounting Codes and Filing Fees). 4. Commit job 5. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings 6. File Stamp filing (see RTM CB-2) 7. Generate letter (Acknowledgement of Filing) and return copy if included with acknowledgement receipt to filer. (see RTM CB-3)				

	8. Send for scanning B. Decline and reject Return document with rejected system generated letter and fees if collected. Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or explanation. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3 C. Generate letter (Acknowledgement of Filing). (see RTM CB-3) D. Allow ability to correct Amendment filing and create audit trail. The bidder should describe and provide screen shots showing how their system handles Amendments, Continuations, and Assignments.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-4	**Corrections** Filing Office Statements and Information Statements are filed to correct and update Original Filings or Amendments by document number. See Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings labeled as Correction. Also Appendix H – UCC & EFS Lien Data Fields. Statutory Requirements for Correction can be found in Appendix C – Statutes and Rules & Regulations. Click to see Filing Compliance Chart for jurisdictional requirements. Review and Enter Filing Data A. Accept and file 1. Enter original document number by using the eyeball icon to search and retrieve original filing for update. 2. Enter required information for filing. a. Check for a Debtor and Secured Party data b. If status is inactive Reject 3. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees) 4. Commit job 5. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings 6. File Stamp filing (see RTM CB-2) 7. Generate letter including explanation of correction and Acknowledgement of Filing. See RTM CB-3 8. Allow ability to correct Correction filing and create audit trail. 9. Send for scanning The bidder should describe and provide screen shots showing how their				

	system handles Corrections.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-5	**Terminations** Terminations are filed to update Original Filings by document number. All can be found in Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings labeled as Terminations, see also Appendix H UCC & EFS Lien Data Fields. Statutory Requirements for Terminations can be found in Appendix C – Statutes and Rules & Regulations. Click to see Filing Compliance Chart for jurisdictional requirements. Review and Enter Filing Data A. Accept and file 1. Enter original document number by using the eyeball icon to search and retrieve original filing for update. 2. Enter required information for filing. a. Check for a Debtor and Secured Party data b. If status is inactive then Reject. Do not Reject a tax lien if status is inactive, must be able to change status to active prior to termination. 3. Receipt fees or charge account for filing for only Release of Federal Tax Lien and Certificate of Release of Judgment Lien. 4. Commit job 5. File Stamp filing (see RTM CB-2) 6. Allow ability to correct Termination filing and create audit trail. 7. Generate letter (Acknowledgement of Filing). See RTM CB-3 The bidder should describe and provide screen shots showing how their system handles Terminations, including description of how it improves the current process of retention and purging.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-6	**Bogus or Fraudulent Filing Process and Procedures** (See Appendix C – Statutes and Rules & Regulations, Nebraska Uniform Commercial Code, See Appendix D – Certificates, Forms, & Templates, UCC Forms, Manual Use, "Bogus Filer Affidavit", "Letter to Debtor", "Notice of Termination to Secured Party", "Bogus Filers Tracking Sheet", & "Filing Office Statement") A. Follow steps in UCC-2, B. staff will identify if filing is bogus or fraudulent, C. add to tracking sheet, D. send appropriate correspondences and affidavits to debtor, along with form to file termination (UCC-1) E. send certified letter to secured party stating a termination was filed, if debtor signs affidavit and files termination F. If no termination filed filing remains on record G. If termination is filed secured party can pursue court action; if court favors for the secured party a filing office statement is filed and we delete termination from record, if court finds in favor of debtor a court order is filed to make filing inactive. The bidder should describe and provide screen shots showing how their system records, tracks and handles fraudulent filings, emphasizing to what extent this process can be automated.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-7	**Termination Report for posting on the website**. (See Appendix J – Ancillary Databases and Derived Reports Item #4) A. List all UCC Termination Filings for prior month the beginning of the following month. B. Is superseded monthly. The bidder should describe and provide screen shots showing their system's termination report process, emphasizing how it improves the current process.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-8	**County Tax Filings, Payments, and Reports** Prepare daily filings for Federal and State Liens and Judgments filed for the day to send electronically to the respective counties. A. Arrange filings in numerical order under county of filing by numerical number. B. Use coversheet template to send all filings electronically to each respective county that has a filing(s) for the day. C. Enter county number, Register of Deeds, and number of pages on the coversheet template. D. By 3:00 p.m. daily send filings electronically to respective counties with receipt confirmation. Prepare County Tax Credit Statements on a monthly basis. Bidder should describe and show screen shots demonstrating how their system produces and displays Monthly County Tax Credit Statement. A. Preparation of monthly payment statements for Federal and State Liens and Judgments filed for the prior month are sent to the individual or multiple counties to verify their report. B. Provide monthly payment statements to SoS accountant needed to send payment of funds due to each county for their portion of the fees collected for the monthly filings via E1. (See Appendix J – Ancillary Databases and Derived Reports Item #3) Bidder should describe and show screen shots demonstrating how their system produces, delivers, and displays the tax filings per county and county tax credit statement.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-9	**Charge Accounts and Payments** The system must accommodate: A. Automated Clearing House (ACH) for: 1. IRS 2. Department of Justice B. Inter Branch Transfer (IBT) for: 1. Revenue 2. Labor 3. Motor Vehicle 4. Various other state agencies The bidder should describe how their system is able to set up charge accounts, apply credit, send statements, receive funds, apply and track payments for ACH and IBT accounts for government or state agencies to utilize when filing State and Federal Liens and Judgments.				
Bidder Response:					

RTM #	Technical UCC Processes/Features	Yes	Customization Required	No	Alternate
UCC-10	**Electronic Filer Agreement Process For Online Filing** Banks, law firms, large filing volume firms or other companies may register to become electronic filers. Currently we do not allow individuals to register for electronic filing. Filers submit agreement to our office for staff review and approval. Once approved agreement is sent to Nebraska.gov to set up charge account and then they notify customer of account approval and provide password. (See Appendix D, UCC Forms or EFS Forms folder, "Electronic Filing Services Agreement"). Bidder should describe how their system provides an Electronic Filer Agreement Process For Online Filing.				
Bidder Response:					
UCC-11	**Redaction** Documents stored in the image library may have PPI information. In that case documents must be stored in both original format and redacted format. Only redacted images and documents without PPI information are made available to the public. Staff members need ability to review all pages of UCC Filings as this information may be contained in free form on additional pages or under collateral. Bidder should describe their system's ability to redact Personal Protected Information (PPI) such as: social security numbers, federal tax identification numbers or federal employer identification numbers (FTIN/FEIN), or financial account numbers on filings to prevent fraudulent usage of personal information.				
Bidder Response:					

TECHNICAL REQUIREMENTS – EFS Processes/Features

The EFS System must record, store, and retrieve information related to Effective Financing Statements (EFS) recorded by the Secretary of State. (Appendix G - Lien Types - Action Matrix for UCC & EFS Filings and Appendix H – UCC & EFS Lien Data Fields)

The filing categories of Original Documents; Amendments & Continuations; and Terminations (see Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings) will follow this general workflow.

Current Workflow – This Workflow provides an overview of the daily processing of EFS filings and applies to EFS-1 through EFS-6 below.

A. For filings received by mail (filings received via Document eDelivery are handled without staff involvement)
   1. Open mail
      a. Endorse check, verify money received and/or charge account number as indicated on filing.
   2. Review document for statutory and rules & regulations requirements then determine if a, b or c:
      a. If necessary route for supervisor review and determine next steps
      b. Accept and file
         i. Enter required information for lien type. (Refer to Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings and Appendix H – UCC & EFS Lien Data Fields) Fund and object codes need to be applied to the fees at the time they are entered into filing system with the capability to split into 2 or more funds for the deposit. (Refer to Appendix F – Accounting Codes and Filing Fees)
         ii. Enter the filer client information provided or search name in the filer client table to populate the filer information with the option of entering the account number in the job window. System has ability to add additional certifications, copies, attachments, searches, miscellaneous fees, buyer registration fees, or make corrections, edit, or delete any fees as needed. (Refer to Appendix D – Certificates, Forms, and Templates. Start with OPEN ME FIRST document for explanation of folder contents and usage.)
         iii. Receipt fees by check, cash, coin, or charge account number.
         iv. Commit job which will generate, save, and print acknowledgment(s) by default, with the option to not print.
         v. File Stamp filing (see RTM CB-2)
         vi. Send for scanning
         vii. Return acknowledgement to filer along with copy, if provided
         viii. The system will assign a unique batch number to each staff member. Jobs are recorded in batches from a job window. Batches are totaled and reconciled for deposit.
         or

c. Decline and reject
    i. Create rejection letter via Word template within the system.
    ii. Return document with letter and fees.

B. For filings received via Document eDelivery on the SoS website– there is currently no staff review; however, we are adding administrative online review capabilities via Nebraska.gov for EFS Amendments or other filings as needed that need staff review prior to filing.
C. For all changes or correspondence (e.g., filings, letters, staff or system-generated updates, automated interface updates), create audit trail records containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate).
D. Balance Receipts and Reconcile each Batch at End of Day
E. Review of Filed Records (normally performed day of deposit; however, may be done at any time.)
    1. Delete a record or job after a filing has been committed prior to posting the batch.
    2. Delete a record after the batch has been posted.
    3. Discard a filing number at the time of filing, or after committal, but prior to posting the batch.
F. The following day, batches are totaled and prepared for deposit, then sent to the accountant for PFC deposit. See RTM CB-5.

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-1	These criteria apply to the filing types Originals, Amendments & Continuations, Terminations and any other subsequent actions. (See Appendix C – Statutes and Rules & Regulations, EFS, Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings, and Appendix H – UCC & EFS Lien Data Fields). For each search, create an audit trail record containing a date and time stamp, staff member or system involved, with a link to the image (when appropriate). The following search criteria must be available in the system in order to look for existing records on file for the following categories. A. **ModName Calculation** 1. **Individuals** a. Individual debtors must be explicitly identified as individuals. b. The individual name may contain first, middle and last elements. c. Convert each element of the name (first, middle, last) to uppercase. d. Remove punctuation, accent marks and spaces. Only characters A-Z and digits 0-9 are valid. e. Concatenate the last, first and middle names with the "|" character as a separator. For example, "John A. Smith" would be stored as "Smith|John|A" 2. **Organizations** a. Organization debtors must be explicitly identified as an organization. b. Convert the name to uppercase. c. Replace "&" with "AND". d. Remove punctuation and accent marks. Only characters A-Z				

	and digits 0-9 are valid. Note: Any character not in the list of valid characters is replaced with a space (" ") character. e. Remove multiple consecutive spaces which may have been left as a result of the previous step. f. Remove ending noise words as defined in NAC Title 436, Chapter 5. g. Remove any occurrence of "THE" at the beginning of the name. h. Remove all remaining spaces. B. **Non-Standard Wildcard + Soundex Search (EFS)** 1. Must designate debtor as Organization or Individual 2. Create a search value using the "modname" algorithm. 3. Insert a wildcard character at the end of the First and Middle names **(but not the Last name)** in the calculated search value. From example above, the search new value would be "Smith|John%|A%". 4. Create a "soundex" value from the search value while keeping the wildcard characters intact. From the example above, the soundex value for the search value "Smith|John%|A%" would be "S5325%45%". 5. Search *EFSDebtor* table using a LIKE search of the DebtorNameSoundex column. 6. When searching for liens the system must return all debtors associated to each lien and indicate multiple debtors on liens by a common indicator. 7. The search report will show all debtors/secured parties associated with each lien. 8. Only active records are searched. C. **EFS Search – Internal Search Only** For an "EFS" search, the following rules apply. 1. For a search for individuals, a value must be specified in the "Last Name" textbox else the "Find" button is disabled. 2. All individual data elements (Last, First, Middle and Organization names) are converted to their ModName equivalent before searching.				

	3. When the Soundex option is selected, the Soundex value is calculated from the corresponding ModName value. 4. **EFS Liens: Default options specified; Wildcard = yes, Soundex = yes** a. **Debtor name** **i. Individual** a) LastName **only** has a wildcard appended if the FirstName and MiddleName values are both blank. b) FirstName **always** has a wildcard appended. c) MiddleName **always** has a wildcard appended **ii. Organization** a) OrganizationName always has a wildcard appended. 5. **Debtor Name – Internal Search only** Search for EFS debtors matching the specified name. The searcher may choose to return Active (record where lapsed date has not yet occurred), Lapsed (record where lapsed date has occurred in the prior 365 days) or Inactive (record where lapsed date occurred over 365 days) liens associated with the debtor(s) returned. 6. **Additional Search Options – Internal Search only** a. Limit to liens filed within a specific Date Range. b. Limit to liens filed by a debtor who resides in a specific City. c. Limit to liens filed by a particular Secured Party. i. Wildcard: For individuals, a wildcard is added to the end of the First Name and Middle names and the Last name if the First and Middle names are blank. For organizations, a wildcard is added to the end of the Organization name. ii. Soundex: Performs the search using the Soundex encoding of the ModName of the individual or organization. iii. Soundex + Wildcard: If both options are selected then a wildcard character is appended to the Soundex value of an Organization ModName. For individuals, the Last, First & Middle ModNames are individually converted to a Soundex value and a wildcard				

	character is the appended to the end of each. The First and Middle name Soundex values then have their initial alpha character removed to keep in line with the standard Soundex encoding algorithm. The individual Soundex values are then concatenated together and any consecutive digits on either side of the wildcard characters are removed to keep in line with the standard Soundex algorithm. iv. Any combination of Active, Lapsed or Inactive lien status may be selected. 7. **Debtor UIN – Internal Search only – Internal Search only** Searches "EFSDebtor" table for debtors having an exact match of the Debtor UIN specified. 8. **Additional Search Options – Internal Search only** a. Limit to liens filed within a specified Date Range. b. Limit to liens filed by a debtor who resides in a specified City. c. Limit to liens filed by a particular Secured d. Party. **e.** Any combination of Active, Lapsed or Inactive lien status may be selected. 9. **Secured Party Name – Internal Search only** a. The Secured Party search functions similarly to the Debtor Name search of UCC Liens described above with the following differences: b. Searches are conducted against the SecuredParty table vs. Debtor table. c. All lien classes (except "UCC") are searched. d. The lien classes are all searched in the same manner. There is no special handling for "Tax" or other lien classes. 10. **Original Document # – Internal Search only** Searches the "EFSLienMaster" table for a matching original document number. The search is an exact match on the specified document number				

	11. **Document # – Internal Search only** Searches the "EFSActions" table for liens having an exact match to the specified document number. A second search is then conducted to retrieve detail data from the LienMaster, Debtor and Secured Party tables for each lien returned in the first search. 12. **Find Old Term – Internal Search only** Find Old Terminations – This internal search looks for original document numbers and actions relating to it from the "EFSActionsArchived" table. The filing data stored in this table is from EFS filings that were terminated from a previous system and isn't incorporated or easily searchable in the current system. 13. **Job History Search – Internal Search only** a. Job # - Finds jobs that match the specified job number. i. Wildcard Implied ii. Insert OR b. Filer/Client Name (Individual/Organization) – Finds jobs that match the specified Individual / Organization. i. Wildcard Implied ii. Insert OR c. Billing Acct ID – Finds jobs that match the specified Billing Acct ID. d. Original Document # - Finds jobs that match the specified Document Number. 14. **Filer/Client Maintenance - Internal Search only –** This form lists every filer entered into the FilerClient table. This table holds filers who conduct frequent business and their name & address information are maintained for quick selection and entry into the job window. a. Name – This will locate the first occurrence of the entered name within the list. b. AcctID – This will locate the first occurrence of the entered Acct ID within the list. Note that the Corporation application does not utilize Billing Acct Numbers so this type of search doesn't apply.				

	Search Logic For additional search criteria see Appendix K – Reports and Additional Information – Search Logic Spreadsheet. **Soundex** This is the standard Soundex encoding algorithm as described here: https://en.wikipedia.org/wiki/Soundex. The EFS encoded value is carried out to 8 characters vs. the standard 4 characters. The system calculates and stores the Soundex encoding of the ModName value. The system must be able to provide a unique search report identification number which identifies the search report done internally or online. The search request declaimer page must provide the previous day at 5:00 PM as the 'through date and time' along with disclaimer and filing officers name. The system must have an override function to change the 'through date and time'. Annual process – The system must allow elimination of anything that does not have exact match of first and last name. The remaining names will be displayed and included in the search results. Effective Financing Statements- (See Appendix H – UCC & EFS Lien Data Fields) The system must provide an API for the external calling of the search modules from Nebraska.gov. The search in EFS replaces "&" by "and", as defined per Administrative Rules for Article 9, Title 436, Chapter 5, 503.1.3. Only Active filings and imaged documents will be retrieved. The user must indicate whether the debtor is an Individual or Organization. The bidder should describe and provide screen shots showing their system's name search processes, and retrieval of existing records, emphasizing how the proposed system will improve the current process.				
Bidder Response:					

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-2	**Unique Identifier Number** Current process The unique identifier number (UIN) is a ten digit number derived from a combination of letters taken from the individual or organization name, coupled with the last four digits of the debtor's social security number or federal tax identification number. (See Appendix K – Reports and Additional Information, "Unique Identifier Number" and "Federal Register Notice for UIN") The current system generates and returns the UIN, which is created from data entered for paper filings and in online filings for all EFS and subsequent actions. Nebraska.gov passes information to the system which generates and returns a UIN back to Nebraska.gov. The UIN is accessible on our website and is also used to generate and/or look up a UIN for paper filers. The UIN is captured for use in the filing, and is also printable for customers if they so choose. A UIN has been generated for all existing debtors in the system. The system stores new UINs for debtors in the system upon filing, and the UIN appears on EFS search results and on the Master Lien list. Bidder should describe and show their process for creating the unique identifier number (UIN), showing how information is communicated via API between SoS and the portal.				
Bidder Response:					

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-3	**Original Filings** Original Filings are filed with the Secretary of State. All lien types and action codes can be found in Appendix G - Lien Types - Actions Matrix UCC & EFS labeled as Originals. See Appendix H – UCC & EFS Lien Data Fields, and Appendix C – Statutes and Rules & Regulations. Statutory Requirements for Originals can be found in Appendix C – Statutes and Rules & Regulations. Review and Enter Filing Data A. Accept and file 1. Enter required information for filing. (Refer to Appendix G a. Check for a Debtor and Secured Party data b. Status becomes active 2. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees) 3. Commit job 4. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings 5. File Stamp filing (see RTM CB-2) 6. Generate letter including explanation of correction and Acknowledgement of Filing. See RTM CB-3 7. Send for scanning B. Decline and reject Return document with rejected system generated letter and fees if collected. Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or an explanation. Allow selection of multiple reasons. Create				

	rejection notice as indicated in RTM CB-3 C. Allow ability to correct Original filing and create audit trail. The bidder should describe and provide screen shots showing how their system handles Original filings and emphasizing how the proposed system will improve the current process.				
Bidder Response:					

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-4	**Amendment Filings** Amendments & Continuations with fees are filed to update Original Filings by document number. All can be found in Appendix G - Lien Types - Actions Matrix for UCC & EFS labeled as Amendments. See Appendix H – UCC & EFS Lien Data Fields and Statutory Requirements for Amendments can be found in Appendix C – Statutes and Rules & Regulations. Review and Enter Filing Data A. Accept and file 1. Enter original document number by using the eyeball icon to search and retrieve original filing for update. 2. If the filing is lapsed or inactive then reject, if not, continue to step c. 3. Enter required information for filing. a. Check for a Debtor and Secured Party data or collateral change b. If status is lapsed or inactive Reject 4. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees) 5. Commit job 6. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings 7. File Stamp filing (see RTM CB-2) 8. Send for scanning or A. Decline and reject Return document with rejected system generated letter and fees if collected. Provide a dropdown of all the rejection reasons and				

	the ability to manually add additional rejections or explanations. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3 B. Generate letter (Acknowledgement of Filing). See RTM CB-3 C. Allow ability to correct Amendment filing and create audit trail. The bidder should describe and provide screen shots showing how their system handles Amendment & Continuation filings. Bidder should also describe and provide screen shots showing how their system will handle these filings once online submission becomes available through the SoS website.				
Bidder Response:					

RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-5	**Terminations** Terminations are filed to update Original Filings by document number. All can be found in Appendix G – Lien Types – Actions Matrix for UCC & EFS Filings labeled as Terminations. Also see Appendix H – UCC & EFS Data Fields. Statutory Requirements for Terminations can be found in Appendix C – Statutes and Rules & Regulations. Review and Enter Filing Data A. Accept and file 1. Enter original document by using the eyeball icon to search and retrieve original filing for update. 2. If status is lapsed or inactive Reject, if status is active continue to step c. 3. Enter required information for filing. a. Check for a Debtor and Secured Party data 4. Change lien status to inactive. 5. Commit job 6. File Stamp filing (see RTM CB-2) 7. Generate letter (Acknowledgement of Filing). See RTM CB-3 8. Send for scanning The bidder should describe and provide screen shots showing how their system handles Terminations, including description of how it improves the current process of retention and purging.				
Bidder Response:					

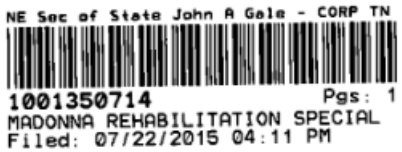
RTM #	Technical EFS Processes/Features	Yes	Customization Required	No	Alternate
EFS-6	Filing Committal Times (See Appendix H - UCC & EFS Lien Data Fields) The bidder should describe and provide screen shots showing how their system will set default committal times and allow staff to manually change committal times as necessary per requirements.				
Bidder Response:					
EFS-7	**Master Lien List** Legislation has recently been passed that modifies the Master Lien List process. The following describes the current processes involved, including the modifications due to that legislation. This process must be integrated within the BSFS. A. Buyers Registration process takes place and is to be completed from within the BSFS and placing existing buyer information into EFS-4 application template and letter and send in desired electronic or other format to potential buyers. Registration process will be communicated to prior registered buyers or those whom have requested a new registration), but new registrations can be received anytime throughout the year, outside typical registration timeframe (Mid November through December 31). Once application and fees are received by our office, approval or denial determination must be made through staff review. If not all needed information is received, send request for additional information or fees. If approved by staff, Buyer account identification (ID) number must be assigned by system for each buyer. Once ID is assigned, manual data entry is made by staff including: name, address, contact information including email, commodity(s) name and number, statutory Ag liens, and updates requested with commodity code and name as noted on registration to be provided/published to buyer. The system provides a drop down list of reports buyers can register to receive by individual commodity number, the statutory Ag number, and an updates report by				

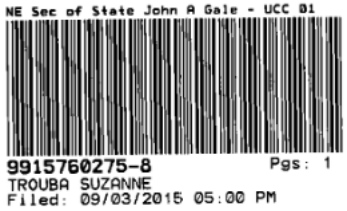
	commodity number, and name auto fills. Alternatively the buyer can choose a report of all commodities. Updates can only be selected from the drop down list and provided if buyers subscribe to a commodity(s) or to statutory Ag liens. B. Receipt annual fees (registration and list(s)) into BSFS, reconcile, and deposit fees through daily jobs like other fees processed in BSFS. System must track commodities and media type(s)/file format(s). Media type(s)/file format(s) existing in the system for all buyers is wiped clean when renewal registrations are sent each year for buyers to register for the upcoming year. This is to be completed in a mass system action to clear all registrants' media/file type information. New media/file types and format designations are manually entered into BSFS by staff once annual registration and fee is receipted from buyer. Existing buyer names and account numbers would not be deleted when clearing media/file type and format. ID should be kept with original Buyer as assigned and assign additional numbers sequentially by the system for new buyers as registered. C. A static backup of monthly data in the BSFS must be made at the end of each month after 5:00 p.m. close of business day which is used to compile and organize data from current month into usable information for the Master Lien List, which consists of the Master Lien List and an Updates List. D. The Master Lien List and Updates shall be compiled and organized on a monthly basis and will include EFS filings and Statutory Ag Liens recorded in our BSFS. The Lists will be organized by: farm product, arranged within each product, in alphabetical order according to individual debtor or organization name, in numerical order by UIN, by county, by crop year, for Unlapsed and not yet terminated Statutory Ag Liens, and EFS filings that are Active records existing in the BSFS by 5:00 p.m. the end of each month. E. For Updates, the backup from prior month end shall be used to compare necessary data to current month end data to produce				

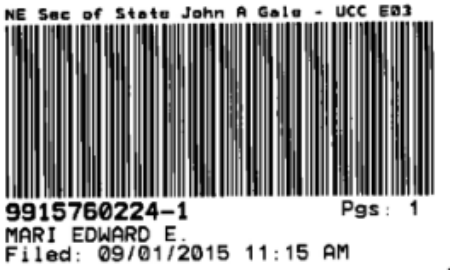
	Updates. Updates contain EFS Liens and UCC Statutory Agricultural Liens for all new, lapsed or terminated filing records, the updates list includes debtor information, secured party information, and commodity information that has been added, modified, or deleted on liens from the previous Master Lien List distributed/published. Full data is compiled, but data is also parceled per individual commodities. F. Once data is compiled, organized, and the information is created, it will then be saved and published on our website. The information shall be published in searchable format lists: according to farm product and arranged within each farm product alphabetically by debtor, and by farm product arranged numerically, by the debtor's UIN, and any current USDA plan, statutes, and rules & regulations as required. G. The Master Lien List and Updates shall be provided and published via a secure sign-on through our website where registered buyers may access the files to view and use as needed, print, and/or download to their systems in multiple file types and/or formats (XML, CSV, and Excel) as determined best to meet the buyers' needs. Lists and Updates will no longer be provided on cd, microfiche, or paper, and they will not be mailed via USPS mail, but will be accessed electronically upon publication. H. See Appendix M – Master Lien List for more details and summary overview and report formats; Appendix C – Statutes and Rules & Regulations (Sections: UCC/EFS and EFS); See Appendix J – Ancillary Databases and Derived Reports Item #1 and #2; and Appendix K – Reports and Additional Information. The bidder should describe and provide screen shots showing how their system will backup, organize, compile, create updates, and publish lists that are searchable and may be downloaded by the registered buyer.				
Bidder Response:					

Common Database Processes/Features					
The system must support a database that stores pertinent information related to Corp, UCC, EFS, and other filings.					
RTM #	**Common Database Processes/Features**	**Yes**	**Customization Required**	**No**	**Alternate**
CB-1	Describe how your system can interface with the existing OnBase image library and the State's third-party web portal to accept and store documents that are either scanned directly into the image library or imported into the library via the online web portal for later retrieval by the filing office and the public. Describe how your system can interface with the existing OnBase image library and the State's third-party web portal and the database to retrieve filed documents and information and insert new filing information into the database and image library.				
Bidder Response:					

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-2	**Filing Stamps and Indexing** The current system creates filing stamp labels in several different (but similar) formats. The system must provide an option to reprint an existing file stamp/label. The proposed system should simplify this process, providing one consistent stamp/label across the board for Corp, UCC, EFS, and other document type file stamps. Current formats are specified below: The filing stamp currently follows the format below for Corp filings added to the system internally (by staff): NE Sec of State AAAA – CORP BBBB CCCCCCCCCC DDDDDDDDDD Pages:EEEE FFFFFFFFFFF Filed: mm/dd/yyyy hh:mm:ss AM/PM) Where AAAA = Current Secretary of State's Name BBBB = Action Comp Code from Appendix A - Entity Types/Actions Matrix. CCCCCCCCCC = The barcode reflects the filing type 'Corp' and the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode. DDDDDDDDD = Filing document number. Internal filing number is assigned with a continuous 10DDDDDDDD number and is different from the online continuous filing number 90DDDDDDD. EEEE = Total number of pages FFFFFFFFFFF = Company Name				

	Internal:  The filing stamp currently follows the format below for Corp filings accepted into the system from Document eDelivery: Online: NE Sec of State John A. Gale CORP - CRTO 9000168586 - Page 1 of 1 NATURALLYCITY, LLC Filed: 08/13/2015 01:34:41 PM The filing stamp currently follows the format below for UCC filings added to the system internally (by staff): NE Sec of State AAAA – UCC BBBB CCCCCCCCCC DDDDDDDDDD Pages:EEEE FFFFFFFFFFFF Filed: mm/dd/yyyy hh:mm:ss AM/PM) Where AAAA = Current Secretary of State's Name BBBB = Action Comp Code from Appendix G - Lien Types - Actions Matrix. CCCCCCCCCC = The barcode reflects the filing type 'UCC' and the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode. DDDDDDDDDD = Filing document number EEEE = Total number of pages FFFFFFFFFFFF = Company Name				

	Internal:  Online: NE Sec. of State-UCC 9815867273-0 Filed: 09/09/2015 12:08 p.m. CHARLES P TOMAN Pg: 1 of 1 The filing stamp currently follows the format below for EFS filings added to the system internally (by staff): NE Sec of State AAAA – UCC BBBB CCCCCCCCCC DDDDDDDDDD Pages:EEEE FFFFFFFFFFF Filed: mm/dd/yyyy hh:mm:ss AM/PM) Where AAAA = Current Secretary of State's Name BBBB = Action Comp Code from Appendix G - Lien Types/Actions Matrix. CCCCCCCCCC = The barcode reflects the filing type 'UCC' and the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode. DDDDDDDDDD = Filing document number EEEE = Total number of pages FFFFFFFFFFF = Company Name				

	Internal:  Online: NE Sec. of State-EFS 9815063498-4 Filed: 09/09/2015 01:04 pm MEINECKE MICHAEL J Pg: 1 of 1 In order to be able to scan other miscellaneous documents a file stamp with barcode must be created and placed on the document. Additional filing stamp follows the format below and is manually entered into the system (by staff): NE Sec of State AAAA – BBB–CCC DDDD-DDDDD Pages:EEEE FFFFFFFFFFFFFFFFFFFFFFFFFFFFF Filed: (mm/dd/yyyy hh:mm:ss AM/PM) Where AAAA = Current Secretary of State's Name BBB = Action Code CCC = Doc Type DDDD-DDDDD = The barcode reflects the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode. EEEE = Total number of pages FFFFFFFFFFFFFFFFFFFFFFFFFFFFF = Applicant's Last Name, First Name, Middle Name Filed: mm/dd/yyyy hh:mm:ss AM/PM) E.g: NE Sec of State John A Gale - NOT - NEW 2007-03-0116 LAST				

	NAME, FIRST NAME, MIDDLE NAME Pgs. 4 Filed: 03/11/2010 Internal Example:  The bidder should describe and provide screen shots showing how their system will function and provide examples of how they are going to apply an index, file stamp, store, and retrieve filings in OnBase image library, emphasizing how the proposed system will improve the current process.				
Bidder Response:					

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-3	**Letters and Templates** The system must: A. Generate an appropriate letter (Acknowledgement of Filing and/or receipt or rejection), then store, retain, make searchable, and purge according to retention schedule. See Appendix D – Certificates, Forms, and Templates. (Provide option to send by email. Start with OPEN ME FIRST document for explanation of folder contents and usage.) B. Create an audit trail record by company name, account number, filer/client containing debtor name, secured party and lien number, type of letter, date, time, and staff member, with a link back to the letter as long as it exists. The proposed system must provide the options to the filer of sending the letter and required documents by email, fax, paper, or bulk mailing. When creating acknowledgements, templates, or system notifications spell check functionality and case sensitivity should be available for use. The bidder should describe and provide screen shots showing how the system will generate, send, store, and purge letters and create an audit trail, emphasizing how the proposed system will improve the current process.				
Bidder Response:					

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-4	**Searches and Copy Requests** Searches and Copies (Regular or Certified), Certificates of Good Standing. Refer to RTM Corp-1 for Corporation search information. Refer to UCC-1 and Appendix C - Statutes and Rules & Regulations for UCC search information and EFS-1 for EFS search information. The system must allow fees to be collected and/or charges to be invoiced for all request types per page and/or per certificate and/or per name and trackable in the Accounts Receivable for Corp, UCC, and EFS. Certificates, Certified Copies, and Certified Search Report of records need to include the State seal/or use State seal preprinted paper when generating. These must pull information and/or images from the system and prefill templates. The image must be able to print on either letter or legal size paper as needed. UCC Certified Search and Copies reports are pulled from the templates and the staff manually adds the gold seal. Provide option to send by email. See Appendix D – Certificates, Forms, and Templates. (Start with OPEN ME FIRST document for explanation of folder contents and usage.) The bidder should describe and provide screen shots showing how the system will handle Searches and Copy Requests.				
Bidder Response:					

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-5	**External Access** Access by external third party vendors for searches and filings must come through an API to use the contractor software to perform searches and to return results, and to process incoming online filings rather than granting them access to tables and files. External search and copy requests as well as online filings via the SoS website are currently handled through Nebraska.gov. <u>Corporate & Business Search</u> Searches are provided to obtain information on the status of all entities, trade names, trademarks, and service marks registered in the State of Nebraska. Certificates of Good Standing and images of filed documents may also be available for purchase. Payment can be made by credit card or a customer account can be set up on ACH billing in order to complete the transfer of funds due to the Secretary of State. <u>Corporate Document eDelivery</u> This service allows users to electronically submit document(s) for filing with the Secretary of State. Payment can be made by credit card or a customer accountcan be set up on ACH billing in order to complete the transfer of funds due to the Secretary of State. <u>Corporate Certificates of Good Standing</u> This service allows users to request a paper certificate to be mailed from the office or an electronic certificate of good standing for business entities registered with the Secretary of State. The electronic certificate include a verification ID number for electronic validation and are instantly available and can be viewed in a web browser or printed.				

	Corporate Record Searches – Special Requests Specify criteria for a search of the Nebraska Secretary of State Corporate Database and receive a file of all matching records. Information includes: Entity type (nonprofit, LLC, etc.), company name, officer name and principle office address (no phone numbers) plus other entity specific information. *Note: The total number of matches and cost is provided prior to submitting order.* Corporate Records Batch Subscribers can sign up to receive official corporation record data from the Secretary of State Business office on a weekly, bi-weekly, or monthly basis. This is a full set of data in a fixed record length format containing multiple files that would be used in external databases. File delivery is accomplished via FTP. Corporate Searches and Document Images Images of filed business documents are available through the online Corporate Image searches. Examples of documents available include: tax reports, name changes, annual filings, etc. These documents are instant-access and can be viewed in the web browser, or printed. UCC Image Batch Subscribers can sign up to receive PDF images of UCC documents filed with the Nebraska Secretary of State on a monthly basis. File delivery is accomplished via FTP. UCC Records Batch Subscribers can sign up to receive official UCC record data from the Secretary of State Business office on a weekly, bi-weekly, or monthly basis. This is a full set of data in a fixed record length format containing				

	multiple files that would be used in external databases. File delivery is accomplished via FTP. UCC/EFS Filings This service allows you to electronically file UCC and EFS Originals, Assignments, Amendments, Continuations and Terminations with the Secretary of State. Subscribers must complete the UCC Electronic Filing Agreement with the Secretary of State to access this service. UCC/EFS Searches and Document Images This service provides online access to the Nebraska Secretary of State Uniform Commercial Code and Effective Financing Statement records. Subscribers can search by original document number or debtor name only. Special request searches by secured party or debtor location are also available. UCC/EFS Special Requests Specify criteria for a search by Secured Party, or location, of the Nebraska Secretary of State UCC Database and receive a file of all matching records. Information includes: Lien number, date of filing, debtor name, and address. Bidder should describe how their system's API handles and processes the above searches, requests, and online filings via Nebraska.gov and how additional filings can be added via the portal.				
Bidder Response:					

RTM #	Common Database Processes/Features	Yes	Customization Required	No	Alternate
CB-6	Document Imaging The bidder will use the State's existing image library (Hyland OnBase). The system must associate document id numbers with the filed document handle number stored in OnBase in order to display, retrieve, print, fax, and email selected document images. Scanning Original documents must be kept for one year after being filed and scanned and must be easily retrievable. The bidder should propose when and how the documents should be scanned, redacted, and tagged for this manual filing/retrieval. Redaction must be applied, in part or whole, to personal protected information (PPI) as defined by policy. The OnBase image library will store images of both the Original document and the redacted version. The SoS internal users will have access to the image of the Original or redacted document. Retrieving Images Criteria for the system include: A. viewing or retrieving images through the bidder application or Nebraska.gov without signing into OnBase image library for an entity, debtor, or document number. B. ability to print, fax, or email all or selected page(s) from a selected image. Must be able to print on appropriate size paper. C. ability to print, fax, or email single or multiple document images for an entity without having to open or view the image(s). Must be able to print on appropriate size paper. Bidder will describe how their system's API handles and processes document imaging, scanning, and retrieval, emphasizing how it improves the current process.				
Bidder Response:					

RTM #	Reporting/Query Requirements	Yes	Customization Required	No	Alternate
Rept-1	Bidder should provide samples of the following reports and other standard reports that are available in your system. A. Reports by entity type based on active, inactive, and lapsed or active, inactive, and suspended which will included the number filed B. Reports by entity type and/or action based upon a specified date range C. Accounts receivable reports, for example, daily deposit reports by staff person; and audit reports D. Reports by filing type and/or action based upon a specified date range E. UCC AR Reports F. Management reports of staff user processes on a daily, monthly, and annual basis. Statistical / Entity reports G. Online and internal filings, separate and combined status report H. Daily report of monies processed for invoice receipt types listed below. 1. Cash, Credit Memos, Checks, ACH, IBTs 2. Transaction Report for payments received by type, funds, and amount. I. Daily Scanning Error report that identifies any documents within a range that don't have images scanned and page differences of what was entered in the system for document vs what was scanned. J. UCC Batch Proof Accounts Receivable Report – All monies received for daily jobs or AR from billing invoices for a daily total received. Currently missing on the report is total number of filings by action, and total monies received. See Appendix K – Reports and Additional Information for examples of existing reports with additional pertinent information needed to distribute				

	reports to appropriate parties, in requested format, per specified schedule. Reports provided by the bidder's system should be substantially the same as the examples. The BSFS should file stamp and export reports into OnBase for storage and retrieval or store and retrieve them within the filing system. The bidder should describe and provide screen shots showing how your system generates, stores, and retrieves reports/queries by entity type and/or action for a specified date range. At a minimum, bidder should acknowledge that you are able to develop reports as requested and provide ad hoc report capability.				
Bidder Response:					
RTM #	**Reporting/Query Requirements**	**Yes**	**Customization Required**	**No**	**Alternate**
Rept-2	The bidder should provide samples of reports that identify: • EFS and UCC Terminations with Possible Incorrect Status • EFS and UCC Continuations with Possible Bad Maturity Dates See Appendix J - Ancillary Databases and Derived Reports				
Bidder Response:					

RTM #	Software Design Requirements	Yes	Customization Required	No	Alternate
SD-1	Describe how your proposed software adheres to all standards, policies, guidelines, and bulletins issued by NITC and the OCIO relative to participation in the use of the State's central computing and telecommunications facilities. Describe your understanding of the NITC standards and acknowledge your willingness to follow these standards.				
Bidder Response:					
SD-2	Describe your change management processes and how the State will be included in these processes.				
Bidder Response:					
SD-3	Describe your understanding of the State of Nebraska Records Retention Schedules standards and describe how those standards are, or can be, incorporated into the software. (See Appendix L – Retention Schedules.)				
Bidder Response:					

RTM #	Customer Payment and Accounting Processing Requirements	Yes	Customization Required	No	Alternate
CPP-1	Recording Payments The system must have the ability to record payments as credit cards, debit cards, cash, credit memos, checks, ACH, or IBTs and tie them to filings, searches and copy actions. The bidder should describe and provide screen shots showing how the system handles payments by various methods and links them to the actions associated with those payments.				
Bidder Response:					
CPP-2	Payment Security Online security consistent with online payment card industry standards, specifically, the Payment Card Industry's Data Security Standards ("PCI DSS") is required. The bidder should describe and provide screen shots showing the system's online security for acceptance of payment by credit/debit card.				
Bidder Response:					

RTM #	Customer Payment and Accounting Processing Requirements	Yes	Customization Required	No	Alternate
CPP-3	Accounting The system should allow: A. An entity to apply for a charge account. An account is created and assigned a unique account number. The system must be able to search accounts by account name using Soundex per RTM Corp-1 or by account number and must include functionality to edit, change status, or place on credit hold, either system generated or by staff, based on number of days account is in arrears. B. Record fees, collect fees, or charge to appropriate account number and receipt payments (full or partial) received on account. C. Prepare deposit for funds receipted the previous day to be sent to the accountant for PFC deposit. See RTM CB-5 D. Bill accounts with balances monthly (electronically, faxing or mailing) assigning an invoice number E. The ability to create and apply partial/in full credit memos. F. The ability to search and retrieve by invoice number. G. The ability to run reports and generate statements. H. The ability to override a fee and the ability to accept overpayment. Describe the system's accounting, receipts, and audit trail for new and existing accounts.				
Bidder Response:					

RTM #	Customer Payment and Accounting Processing Requirements	Yes	Customization Required	No	Alternate
CPP-4	Interface with PFC At end of day: A. Each staff member must balance their receipts (Jobs) with batch total for the day. B. On the day after filing, prepare payments for deposit 1. Batches must be balanced and posted, then combined for a total deposit. Once posting happens it adds the charged document amounts into Accounts Receivable. (See Appendix I – Accounts Receivable Data Fields) 2. General Document is generated to collect and combine the information in each Batch Post Report to accompany the deposit and verify the totals. 3. The system must be able to store and retrieve object code and fund code for fees. Some fees are split between codes. 4. Once finalized, the system must create an Excel file which is then imported into the State's accounting program for the PFC Deposit Document. (See Appendix E – Deposit File Layout.) C. At any step in either process above, the system must allow individual jobs and/or fees to be edited or corrected to balance and reconcile for deposit. Subsequent processes must be redone to be properly updated. D. History for these jobs and batches must be stored and searchable. (See Appendix K – Reports and Additional Information) The system must be able to recreate documents and rerun the General Document E. The system must allow payments of cash, check or charge going into the BSFS. (See Appendix I - Accounts Receivables Ancillary Database) F. The system must allow for tracking and follow through of returned payment(s).				

	Bidder will describe their system's API to PFC. Describe and provide screen shots showing how your system handles Accounts Receivable, Receipts, Reconciliation, and Deposit functions, including calculation and recording of fees for all filings.				
Bidder Response:					
RTM #	**Customer Payment and Accounting Processing Requirements**	**Yes**	**Customization Required**	**No**	**Alternate**
CPP-5	Cash Change Drawer The system should: A. track cash change drawer additions and withdrawals by user B. track continuous balance C. provide receipt to be included in Acknowledgement of filing, to include type and amount of payment received. The bidder should describe and provide screen shots showing your system's ability to handle a Cash Change Drawer.				
Bidder Response:					

PROJECT PLANNING AND MANAGEMENT, DATA CONVERSION, AND TRAINING PLAN

The contractor must assign a Project Manager who has been involved in the implementation of systems similar to the proposed system and shall provide a full Project Management Plan within ten (10) business days after the contract is awarded for review by, and discussion with, SoS.

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
PPM-1	An Initial Project Management Plan should be outlined in the bidder's proposal and should provide: A. Project Approach Statement B. Scope of Work Document C. Work Breakdown Structure D. Project Schedule E. Milestones and Deliverables Statement F. Risk Assessment and Risk Mitigation Strategies G. Resource Plan H. Implementation Plan I. Conversion Plan J. Change Control Plan K. Communication/Coordination Plan L. Project Acceptance and Signoff Form M. Project Closeout and Lessons Learned Processes.				
Bidder Response:					

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
PPM-2	**Data Conversion** Conversion will be done for the following: All data contained in the UCC-Corp Database must be converted. The system must indicate which images are stored in OnBase image library, associate them with filings or cardex information in the system and retrieve them by document id number. Data and/or system information not required to be converted includes: paper filings, paper/microfilm cardex, microfiche, microfilm, cds and foreign corp books. All data contained in the AR Module and Ancillary AR Database must be converted. Refer to Appendix I - Accounts Receivables Ancillary Database, Accounts Receivable Data Fields. Additional data to be converted as designated in Appendix J – Ancillary Databases and Derived Reports, see Item #2. Bidder should propose a Conversion Plan that includes all tasks involved in accomplishing the conversion.				
Bidder Response:					
PPM-3	A Training Plan, including training schedule, will provide for: 1. user training for SoS staff and administrators 2. technical training and documentation 3. provision of a User Manual 4. additional training for SoS users when services are enhanced or modified. Bidder should outline and provide a Training Plan.				
Bidder Response:					

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
PPM-4	The contractor is responsible for end of contract activities at the completion of this contract to ensure that the transition to the successor contractor or the State occurs smoothly and without disruption to the State. End of Contract Transition activities will include planning, timely transfer of data, and documentation specifically for Nebraska. Bidder should provide a detailed Transition Plan.				
Bidder Response:					

Form A.2

Optional Features Matrix (OFM)

Request for Proposal Number 5301Z1

Each of the items in the Optional Features Matrix in the table below allows a response of one of the following options: “Yes”, “Customization Required”, and “No”. If offering any of these optional features, bidders should respond to the Optional Features Matrix using the matrix format.

The OFM offers the bidder an opportunity to describe how their product can provide any of these features as part of their proposed solution and/or integrate such features at a later date.

The Bidder Response box should be completed if the response to the feature is “Yes” or “Customization Required”. **Bidders should provide responses directly in the matrix, using as much space as needed.** Below is a brief definition of each response option.

Yes	Yes, feature is available and demonstrable in the current release of the proposed solution in the bidder’s response to this RFP, without manipulation of fields, forms, or the need to add fields or tables to the system.
Customization Required	The feature is not currently included in the proposed solution but the requested functionality can be provided with some customization to fully meet the request.
No	No, the bidder is not offering this feature currently nor in the future in conjunction with this proposal.

OFM	Optional Feature	Yes	Customization Required	No
Notary/ eNotary	**Notary/eNotary Public Component** See Appendix C - Statutes and Rules & Regulations regarding Notary Public, Appendix J – Ancillary Databases and Derived Reports, Optional, #1 which contains data definitions from the current Notary Public System. See Legislative Bill LB465 for eNotary Public details. New rules & regulations will also be drafted to support the details for this new legislation. Bidder should describe the Notary/eNotary component/module of your system and how it works with the proposed BSFS. Describe how you would integrate, configure, and convert existing notary information to include your Notary/eNotary module in the proposed BSFS.			
Bidder Response:				
Additional Filings and Images	**Additional Filings and Images** The State may desire, at a future time, to add filing data and images of past filings which are not in the current system. Bidder should describe their ability to add previously filed records and images into the system. This would include: paper filings, paper/microfilm, cardex, microfiche, microfilm, cds, and foreign corp books.			
Bidder Response:				

OFM	Optional Feature	Yes	Customization Required	No
Preferred Name Availability Process	**Preferred Name Availability Process** In addition to the required Name Availability basic process, a Preferred Name Availability process is described in Appendix N - Name Availability Screening Bidder should describe their ability to provide such enhanced Name Availability search process.			
Bidder Response:				
Registered Agent Self-Service	**Registered Agent (RA) Self-Service** Currently, registered agents can report address changes for entities they represent to the SoS, then staff updates the RA address. Provide a description of what would be required to allow registered agents to securely access the BSFS and update their address information.			
Bidder Response:				

ATTACHMENT B

Cost Proposal Sheet - RFP Number 5301Z1

Bidders shall provide their proposed costs below. The costs must be guaranteed for the initial contract period. The contract has the option to be renewed for five (5) additional three (3) year periods, as mutually agreed upon by the State and the contractor. Please indicate pricing for all renewal periods for support and maintenance. At renewal time rates may increase no more than 5% upon mutual written agreement by Contractor and SoS, and be accompanied by documentation justifying the price increase. All increases shall be calculated against the previous period's price and agreed upon in writing between the State and the Contractor upon renewal.

BUSINESS SERVICES FILING SYSTEM PRICING SPREADSHEET

Pricing Spreadsheet	Initial Period (Contract Award to June 30, 2021)	Optional First Renewal Period	Optional Second Renewal Period	Optional Third Renewal Period	Optional Fourth Renewal Period	Optional Fifth Renewal Period
Software, conversion, installation, configuration, testing, and deployment						
Support and maintenance per year, encompassing all installed software to begin after post Go-Live sign off as defined in the RFP. Once maintenance begins after Go-Live sign off, it will be prorated to coincide with the end of the fiscal year which is June 30th.						

Optional Hardware and Services

Peripheral Hardware Pricing Spreadsheet

Please provide a list of the peripheral hardware (scanners, barcode readers, and barcode label printers) needed for the full and efficient functioning of the proposed system. State will determine whether to acquire peripheral hardware from the contractor or via existing State hardware contracts.

Peripheral Hardware Item Description	Make	Model Number	Cost per unit
Image scanner			
Barcode reader			
Barcode label printer			
Other equipment as needed			

Pricing Spreadsheet for Consulting Services for New Time and Materials Projects

Provide the hourly rate for additional consulting services for new time and materials projects to the Secretary of State. There is no guarantee regarding the number of hours that will be used.

The bidder must list each role/title and provide an hourly rate. These rates are fixed for the initial term of the contract. At renewal time, rates may increase by no more than 5% with supporting justification for any increase.

Role/title	Hourly rate

Actual travel expenses will be billed separately so the quoted rates must not include those expenses. Generally, travel must be authorized before it happens. Travel expense may include mileage, car rental, meals, parking, fuel, hotel, airfare, taxi. Receipts are required for all items. A Google (or like software) map of the shortest route between two points is required for all mileage. Mileage rate is based on Federal defined rates. Expense may not include durable goods or commodities. Excessive tipping is not allowed. Alcohol is not reimbursable. Actual travel expenses will not exceed the limits as defined by the State's travel reimbursement policies. It is the contractor and subcontractor's responsibility to understand the State's polices regarding travel reimbursement.

Optional Processes

For all following optional processes below it is unknown when and/or if we would exercise the option to purchase. Support and maintenance for each of these processes will be included in the support and maintenance included in the pricing for the Business Services Filing System, except for Notary/eNotary which may be included or may not be but all maintenance and support shall be billed on one itemized invoice after Go-Live sign off, and it will be prorated to coincide with the end of the fiscal year which is June 30th.

Pricing Spreadsheet for Optional Notary/eNotary Public Component Process

Bidder should provide a cost proposal to integrate, configure, and convert data to include your Notary/eNotary module for proposed system, depending on which period this option is exercised.

Notary/eNotary Module	Initial Contract Period	Optional First Renewal Period	Optional Second Renewal Period	Optional Third Renewal Period	Optional Fourth Renewal Period	Optional Fifth Renewal Period
Software, conversion, installation, configuration, testing, and deployment						
Support and maintenance per year, encompassing all installed software to begin after post Go-Live sign off as defined in the RFP. Once maintenance begins after Go-Live sign off, it will be prorated to coincide with the end of the fiscal year which is June 30th.						

Pricing Spreadsheet for Optional Full Name Availability Screening Process

Bidder should provide a cost proposal for the full Name Availability Screening Process (above the minimum requirements) in the proposed system, depending on which period this option is exercised. Maintenance for this will be included in the maintenance quoted for the Initial Contract.

Full Name Availability Screening	Initial Contract Period	Optional First Renewal Period	Optional Second Renewal Period	Optional Third Renewal Period	Optional Fourth Renewal Period	Optional Fifth Renewal Period
Software, any conversion if needed, installation, configuration, testing, and deployment						

Pricing Spreadsheet for Optional Registered Agent Self-Service Process

Bidder should provide a cost proposal for the Registered Agent Self-Service Process in the proposed system, depending on which period this option is exercised. Maintenance for this will be included in the maintenance quoted for the Initial Contract.

Registered Agent Self-Service	Initial Contract Period	Optional First Renewal Period	Optional Second Renewal Period	Optional Third Renewal Period	Optional Fourth Renewal Period	Optional Fifth Renewal Period
Software, any conversion if needed, installation, configuration, testing, and deployment						

Pricing Spreadsheet for Optional Filings and Images not in Existing System Process

Bidder should provide a cost proposal for the Filings and Images not in Existing System in the proposed system, depending on which period this option is exercised. Maintenance for this will be included in the maintenance quoted for the Initial Contract.

Filings and Images not in Existing System	Initial Contract Period	Optional First Renewal Period	Optional Second Renewal Period	Optional Third Renewal Period	Optional Fourth Renewal Period	Optional Fifth Renewal Period
Software, any conversion if needed, installation, configuration, testing, and deployment						

Attachment C

List of Appendices

Appendix A – Entity Types - Actions Matrix for Corp Filings

Appendix B – Corp Data Fields

Appendix C – Statutes and Rules & Regulations

Appendix D –Certificates, Forms, and Templates

Appendix E – Deposit File Layout

Appendix F – Accounting Codes and Filing Fees

Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings

Appendix H – UCC & EFS Lien Data Fields

Appendix I – Accounts Receivables Ancillary Database

Appendix J – Ancillary Databases and Derived Reports

Appendix K – Reports and Additional Information

Appendix L – Retention Schedules

Appendix M – Master Lien List

Appendix N – Name Availability Screening