tecuity™

STATE OF NEBRASKA
SECRETARY OF STATE

BUSINESS SERVICES FILING SYSTEM (BSFS)
TECHNICAL PROPOSAL

RESPONSE to RFP NO. 5301 Z1

JULY 21, 2016

Tecuity, Inc.
136 E 800 S, STE A
Smithfield, UT 84335

Toll Free: 888-TEC-UITY
sales@tecuity.com
www.tecuity.com

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FORM A - BIDDER CONTACT SHEET

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:	***TECUITY, INC.***
Bidder Address:	***136 E 800 S, SUITE A*** ***SMITHFIELD, UT 84335***
Contact Person & Title:	***JON EVANS, PRESIDENT***
E-mail Address:	***Jon.evans@tecuity.com***
Telephone Number (Office):	***(801) 206-9798***
Telephone Number (Cellular):	***(435) 512-1215***
Fax Number:	***(877) 310-7921***

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:	***TECUITY, INC.***
Bidder Address:	***136 E 800 S, SUITE A*** ***SMITHFIELD, UT 84335***
Contact Person & Title:	***JON EVANS, PRESIDENT***
E-mail Address:	***Jon.evans@tecuity.com***
Telephone Number (Office):	***(801) 206-9798***
Telephone Number (Cellular):	***(435) 512-1215***
Fax Number:	***(877) 310-7921***

REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM

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: **TECUITY, INC.**

COMPLETE ADDRESS: **136 E 800 S, SUITE A, SMITHFIELD, UT 84335**

TELEPHONE NUMBER: **888-832-8489** FAX NUMBER: **977-310-7721**

SIGNATURE: ____________________ DATE: **07/15/2016**

TYPED NAME & TITLE OF SIGNER: **JON EVANS, PRESIDENT**

EXECUTIVE SUMMARY

Tecuity is in a very unique position to offer the State of Nebraska and specifically the Office of the Secretary of State exactly what they are requesting in this RFP. Over the past ten years we have implemented Tecuity's SOS Enterprise in three partner states: Wyoming, South Dakota, and Tennessee. We are currently underway in deploying our solution in North Dakota as well. We now have the opportunity to respond to this RFP and find that the Nebraska Secretary of State's objectives are in full alignment with our SOS Enterprise Solution. Our solution accomplishes the following high-level objectives.

- *"Easy, intuitive, and professional customer experience"*
- *"24/7/365 online availability for customers"*
- *"Public records that are easy to access online"*
- *"Industry-leading vendor who utilizes best practices"*
- *"Detailed plan for proper system rollout"*
- *Strong change management and communications"*
- *"Single fully integrated system"*
- *"Ability to share data with other state agencies"*
- *"Simple access to the system data with intuitive reporting tools"*

The nine objectives are interlaced with dependencies and interactions that jointly create a complete and robust system. Your specifications are clearly configured to meet these objectives. With over ten years of experience providing a configurable solution for four previous states, Tecuity is unsurpassed in delivering on-time and on budget operational systems. We believe Nebraska's Secretary of State objectives are met or exceeded by our six guiding principles:

INCREASE ONLINE FILING

Tecuity partner states have seen a very significant increase in online filings as a result of our solution specifically designed to meet their individual needs. We not only see an increase in filing but also a decrease in number of exception filings. Our unique *FORM ASSIST* technology increases data entry accuracy and ensures 100% completed forms. We believe in a "one and done" approach. Meaning, do it once, do it right, and be done.

How do our partner states know they have an increase in the on line filings? The Tecuity solution provides a robust and ***comprehensive metrics module*** that management has the ability monitor, assess, and report on all activities down to the user level.

INCREASE CUSTOMER SATISFACTION (ease of doing business with Nebraska)

Today's demands on business are increasing and everyone's most limited resource is time. Modern systems enhance customer service to the public by providing a ***fully responsive web design*** that adapts to the user's device. Whether that device is a mobile phone, tablet, or PC, the solution automatically adjusts the display specific to the device.

For customer convenience, the state's website is now open 24 hours a day seven days a week for anyone to register a business, submit annual reports, pay fees, and download document images. The information is all there, all the time, and accessible all the time. It is not only the data but the document images are available on line. Busy business owners can conduct business with the state in the evenings, on weekends, and holidays. For the eternal staff these transactions take place silently in the background with no direct staff involved.

For staff it means a ***single enterprise solution*** with single sign-on, with integrated user rights, and roles. Document imaging and document management are simply part of the system fully integrated for the on line user to see and access from the website.

PROVIDE PUBLIC TRANSPARENCY

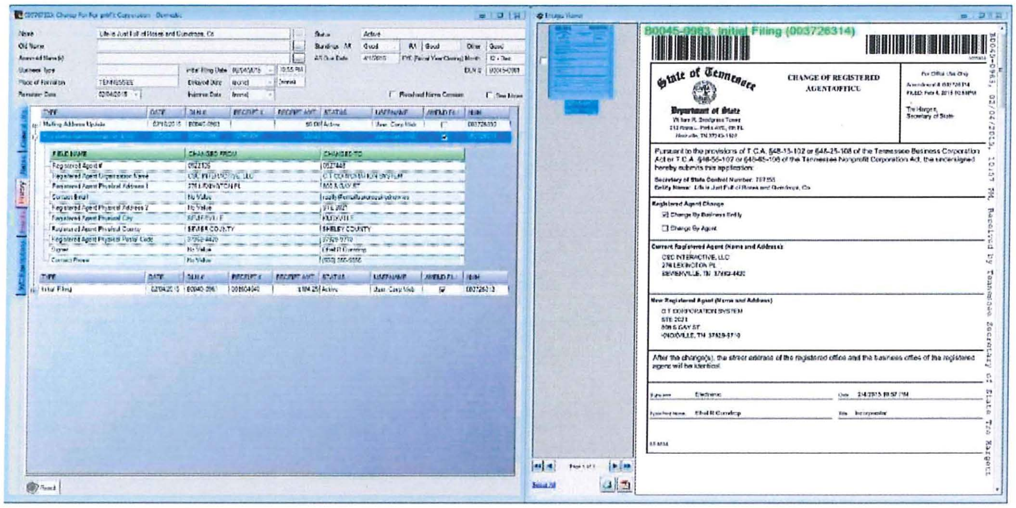
All data and imaged forms are available to the public as determined by the state on a fee or free basis. Payment options are integrated so the "one and done" practice is consistent.
There are three very important aspects of transparency and governance: searching, audit trails, and real-time processing. ***Searching*** - everyone needs to be able to easily and quickly find what they are looking for. ***Audit trails*** for historical and legal veracity. Neither of the first are viable without ***real-time processing***. Whether a document is filed internally by staff or externally by a customer, the data entered and document images are immediately available for all to see and retrieve.

DECREASE PAPER HANDLING (Green Initiative)

Tecuity provides the ability to become ***virtually paperless*** by utilizing the robust document imaging and management module with integrated workflow management and associated document work queues. We strive to eliminate the printer. Our solution includes a comprehensive document imaging and document management system which does not require additional licensing o fees. Additionally, our public portal provides ***secure e-submission and e-payment capabilities*** seamlessly in an elegant self-checkout process.

INCREASE DATA ACCURACY (or decrease exception filings)

Tecuity incorporates a step-by-step approach to data entry allowing users to identify where they are in the filing process. The use of a graphical user interface incorporated in the solution quickly ***visually queues*** users that documents have been filed completely. We employ logic instructions, required data field ***validation*** with field level data ***verification***, and third-party validations services. For example, addresses are validated against USPS database to ensure deliverable mail. Business rules are applied to provide logic error checking to ensure all fields have been completed and populated accurately.



When actual forms are involved, Tecuity's unique ***Single View Split Screen*** technology creates pro-active administrative screens for clerks to see data and associated document images simultaneously, wherein digital data and original form images are viewed at the same time. Due to our industry standard N-tier architecture, the data layer is accessed by users in a manner allowing each to have exactly what they need. Internal and external users are presented a user interface allowing each a robust work environment to do their prescribed tasks with speed, accuracy, and efficiency.

ADAPTABLE/SCALABLE

States want to be independent of a vendor and have the ability to make configuration changes to the system. Tecuity's solution is ***highly configurable and extendable*** by authorized users to make configuration changes through the administration module as legislation, rules, or policy changes occur. We have states processing hundreds of thousands of filing documents each year and well over 2.5 million images in our single all-inclusive enterprise solution.

WHY TECUITY

We have implemented our efficient and effective document management and business registry systems for three states. While there is a small customer base of 50 States, whose document management needs are relatively similar, we fully understand that there will never be a one-size fits all solution to meet the individual needs of each state. Tecuity has the experience to LEVERAGE technologies that will be key foundation blocks of any system. A few examples are: image management, document management, bar coding, single sign-on, audit trail, workflow, reporting and ad hoc searching.

We are confident in our software solutions and professional services for three very important reasons:

- We do one thing and have ***only done one thing for the past 10 years– business services in Secretary of State's offices.*** We understand the potential problems and issues that must be solved on a daily basis and are committed to the success of the State of Nebraska. Our domain expertise is unsurpassed.
- Tecuity built a robust and comprehensive software solution that is ***real-time, user-centric***, follows ***industry best-practices***, and is a proven solution enabling Filing Authorities to be more efficient, effective, and timely in day-to-day operations.
- Tecuity stands apart in how we work and deliver technology solutions. We retain our State Agency cliental due to our **uncompromising focus** on their success.

Great People
Build Great Software

The State of Nebraska should not be concerned about the size of our company. Admittedly we are small. But small offers unique characteristics not found in larger organizations. First, we insist you call our current customers and ask them anything – measure our success of doing one thing really well. Second, consider our track record of on-time and on budget delivery. Third, see SOS Enterprise in action.

Tecuity will provide professional implementation services, data conversion, software configuration, system integration, training, and project management services to deliver a fully automated functional enterprise solution to the State of Nebraska.

Tecuity was established with the basic belief that the best way to provide technology solutions is to work collaboratively with our customers. We firmly believe any project must have a clear definition of success and every individual on the team must understand their role in achieving that success. By implementing our proven "Get Clear" communications, project leadership, development, and implementation methodologies, we are excited to provide the high level of service anticipated by the State of Nebraska.

Our dedicated team has successfully delivered every implementation to other states on time and on budget. Tecuity holds a gold standard of proven results. The State of Nebraska has the assurance that Tecuity is committed to the successful implementation of the provided specifications and associated tools.

Discovering the secret to successful implementations with state technology projects is really no secret at all. We believe in open and immediate communications. But this open and immediate communication can soon deteriorate without checks and balances. Work assignments are given to individuals/teams that include clear and concise instructions regarding scope, duration, and deliverables. These individuals/teams know that once they have concerns meeting these expectations they bring it up immediately. A best-practice is built on the premise that "bad news is better early, rather than later." Corrective action is taken to fix or mitigate the impact. Our "get it done" attitude achieves results and our customers appreciate our open and candid communication protocol.

TECUITY PROCESSES INCLUDE "KAIZEN."

THIS WORD ORIGINATES IN THE JAPANESE LANGUAGE AND MEANS "CONTINUOUS IMPROVEMENT."

TECUITY'S PHILISOPHICAL SOLUTION IS CONTINUOUSLY IMPROVED AND FUNCTIONALITY EXPANDED TO STREAMLINE BUSINESS PROCESSES AND WORKFLOWS.

Tecuity is a company founded on providing products and services specifically tailored to the needs and business processes found within the functions performed by the Secretary of State, Lieutenant Governor Offices, and Filing Authorities within the United States of America. As such Tecuity has sought and been awarded various contracts with multiple states for these products and services. Since our founding in 2005, we are proud to have become one of the most respected and recognized companies providing service to state governments. This is achieved by consistently delivering our solutions on-time and on-budget, as expected by our customers. We look forward to being of service to the State of Nebraska.

HISTORY

Tecuity is located in beautiful Cache Valley, Utah. A short drive to the Salt Lake City International Airport and Delta Hub which gives us the ability to easily service customers nationwide. Tecuity was incorporated in the State of Utah in 2005 and is currently in good standing.

Tecuity is a premier technology solutions and services company. Each member of our team is a highly skilled, talented, and creative professional dedicated to our customers' success. We possess expertise in a wide spectrum of software methodologies, programming environments, development tools, and database technologies, enabling us to craft integrated technology solutions that meet each customer's current and long-term business needs.

Tecuity team members have developed software for Secretary of State Offices and other filing authorities since 2001. Our business model is built around designing, building, and delivering systems specifically designed to meet or exceed the business requirements for Secretary of States and other government filing authorities.

We are active Sponsor Members of the National Association of Secretary of States (NASS) and the International Association of Commercial Administrator (IACA). The experience we have gained over the years in working with Secretary of State's Offices and similar filing authorities has given us the ability to deliver quality products and services.

At Tecuity we strive to achieve high quality standards in our technology solutions and deliver exceptional customer service. Our business philosophy is built around listening to the needs of our customers, then helping them achieve their goals. This is at the heart of our "Get Clear" strategy as we achieve success for our customers. At Tecuity, we firmly believe we are unlike any other technology solutions company. We understand that technology solutions for government filing authorities must improve efficiencies, reduce costs, streamline processes, and provide the ability to collect and disseminate information to the user community to be worth the investment. We look forward to being your partner in success. We are a Microsoft Development Partner.

CORPORATE OVERVIEW

a. BIDDER IDENTIFICATION AND INFORMATION

Company Name	**Tecuity, Inc.**
FEIN	20-3670302
Entity Type	Chapter S Corporation
Date of Incorporation	October 24, 2005
State of Incorporation	Utah
Corporate Headquarters	136 East 800 South, Suite A Smithfield, UT 84335
Toll-Free	(888) 832-8489
Fax	(877) 310-7921
Website	www.tecuity.com
Contact	Jon Evans, President
Contact Phone	(435) 512-1215

There have been no name changes to the company.

b. FINANCIAL STATEMENTS

CONFIDENTIAL PROPRIETARY INFORMATION

See ITEM 1 in the Confidential Proprietary Information Binder.

Tecuity has no record of judgements or pending litigations. There are no pending events that will have financial impact on the company's ability to perform the contract.

c. CHANGE OF OWNERSHIP

There has been no change in ownership of Tecuity, Inc. in the past ten (10) years. There is no pending change in ownership.

d. OFFICE LOCATION

Tecuity, Inc.
136 E 800 S, Suite A
Smithfield, UT 84335

e. RELATIONSHIP WITH STATE

Tecuity, Inc. has no previous relationship with the State of Nebraska.

f. BIDDDER'S EMPLOYEE RELATIONS TO STATE

None of the employees of Tecuity have ever been an employee of the State of Nebraska.

g. CONTRACT PERFORMANCE

Tecuity, Inc. has not terminated any contract for any reason.

h. SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

The Right People. We strongly feel any engagement with our customers starts with the right people. The proposed project leadership and team members are seasoned professionals and technology experts with in-depth experience in working with Filing Authorities with a proven track record of successful project deliveries. Each team member has a real personality, is highly motivated, and an exceptional communicator.

The Right Technology. For any engagement to be successful, the specific needs of the customer need to be understood and have the right technology applied. Tecuity believes in utilizing new technologies but also making sure those technologies conform to industry and state-approved standards.

The Right Results. Tecuity is focused on providing real value to our customers with real results. We deliver projects on time and on budget. We have architected a proven implementation process that ensures success in our delivery of services, quality of workmanship, and exceptional customer service. Tecuity is committed and focused on understanding the needs of the Client and making sure business needs and Information Technology strategies align with the organization's strategic mission.

Wyoming, Secretary of State's Office, Wyoming Business Entity and Annual Reports System (WYOBEAR)
Contact: Secretary Ed Murray
Secretary of State
2020 Carey Avenue
Cheyenne, Wyoming 82002
307-777-7378
secofstate@wyo.gov
Prime Contractor: Tecuity, Inc.
Project Description: To design, build, and implement a new Business Entity and Annual Reports System for the State of Wyoming including an online web portal for processing electronic annual reports and payments.
Date Started: April 2006
Date Completed: June 2007 – on time.
Company Role: Responsible for all aspects of the system from design through deployment and management. Tecuity continues to provide ongoing maintenance and support for this system.

Wyoming, Secretary of State's Office, Wyoming Business Entity and Annual Reports System (WYOBEAR-ENHANCED)
Project Description: To incorporate new legislative changes that affected business processes within the WYOBEAR Suite. This included the design and development of a commercial registered agent module and related enhancements.
Date Started: September 2008
Date Completed: January 2009 - on time
Company Role: Responsible for all aspects of the system from design through implementation and management. Tecuity continues to provide ongoing maintenance and support for this system.

Wyoming, Secretary of State's Office, WyoSuite Creation, Financials Rewrite
Project Description: To enhance the WYOBEAR application to become the WyoSuite Enterprise Application incorporating a rewrite of the current receipt system. This project was to not only rewrite the current system but to significantly enhance the financial module within the enterprise application. Additional controls around financial data and additional processing were introduced as well as new reporting capabilities.
Date Started: September 2014
Date Completed: July 2015 – on time
Company Role: Responsible for all aspects of incorporating the receipt system into the WyoSuite Enterprise Application.

Tennessee, Secretary of State's Office, Uniform Commercial Code System (UCC)

Project Description: To implement a new UCC System for the State of Tennessee including an online web portal for processing all electronic filings, searches, and payments. This project also included implementing digital document scanning, generation, storage, and retrieval of UCC and related documents.
Date Started: October 2011
Completion Date: July 2013 – on time.
Company Role: Responsible for converting their existing Mainframe UCC System and Oracle/IBM FileNET imaging system into the current enterprise solution and providing new online functionality through secure access to the public that was not yet available. This includes a five-year maintenance contract to continually improve the software over this period of time.

Tennessee, Secretary of State's Office, Tennessee Business Entity and Annual Reports System (TNBEAR)

Contact: Secretary Tre Hargett
Secretary of State
State Capitol, Nashville
Tennessee 37243-0305
615-741-2819
Tre.Hargett@tn.gov
Prime Contractor: Tecuity, Inc.
Project Description: To customize and implement a new Business Entity and Annual Reports System for the State of Tennessee including an online web portal for processing electronic articles of incorporation, annual report filing, amendments, and e-payment processing.
Date Started: September 2008
Date Completed: September 2009 – on time
Company Role: Responsible for all aspects of the system from design through implementation and management. This includes a four-year maintenance contract to continually improve the software over this period of time.

Tennessee, Secretary of State's Office, TNBEAR Phase 2

Project Description: To implement a new modules and a 100% paperless process in all modules of the enterprise solution.
Date Started: August 2013
Completion Date: Sept 2016
Company Role: Responsible for an additional 15 functional modules to be added to the Enterprise solution and the incorporation of document scanning and image processing for all documents managed by the Secretary of State's Office. Major functions include Miscellaneous Records Module, Trademarks Module, Motor Vehicle Temporary Liens Module, Deed Management, Lease Management, and other enhancements to the overall solution.

South Dakota
Contact: Secretary Shantel Krebs
Secretary of State
Capitol Building
500 East Capitol Avenue STE 204
Pierre, SD 57501-5070
605-773-3537
Shantel.Krebs@state.sd.us
Prime Contractor: Tecuity, Inc.
Project Description: To implement a new Uniform Commercial Code solution specific to the needs of South Dakota.
Date Started: April 2015
Completion Date: Anticipated November 2015
Company Role: Responsible for converting their existing UCC System and FileDirector imaging system into the current enterprise solution for all aspects of UCC Data processing for both Internal staff and the public through online subscriptions.

South Dakota
Project Description: To implement SOS Enterprise Business Registration Module specific to the needs of South Dakota.
Date Started: December 2015
Completion Date: Anticipated September 2016
Company Role: Responsible for converting their existing Business Registration System and FileDirector imaging system into the current enterprise solution for all aspects of Business Registration data processing for both Internal staff and the public through online subscriptions.

Note: TNBEAR and WYOBEAR were names given by the states to SOS Enterprise for their

North Dakota – contract awarded June 2016
Contact: Jim Selrum
Deputy Secretary of State
600 East Boulevard Avenue Dept 108
Bismark, ND 58505-3660
701-328-3660
jsilrum@nd.gov
Project Description: To implement SOS Enterprise Business Registration Modules specific to an RFP that meets the needs of North Dakota.
Prime Contractor: Tecuity, Inc.
Date Started: TBD
Completion Date: TBD

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

Project Management may be defined as the application of knowledge, skills, tools, and techniques to project activities to meet the stated requirements. All must be expertly managed to deliver the on-time, on-budget results that organizations need. At Tecuity, we are committed to EXCELLENT Project Management. It may just be a single degree of separation between excellent and good, but we know that is an extremely important degree. Our Project Management Methodology is described below in detail, but the one thing you need to know is we are committed to providing the State of Nebraska with EXCELLENCE in all aspects of this project effort.

Scope of Work & Examples

It is understood the proposal evaluation committee is asking vendors to outline and demonstrate how they will accomplish the work outlined in the request for proposal. It is further understood the state desires the following deliverables to be accomplished by the selected vendor:

- Provide a Quality Management Plan
- Provide a Test Management Plan
- Assist in the development of a detailed schedule with fixed deadlines to include
  - Work breakdown structure
  - Schedule including tasks, activities, duration, sequencing, and dependencies
  - Complete dates identified for each task
  - Milestones, including entrance and exit criteria
- Assist in the development of a Human Resource Plan to include
  - Staff assigned, location, and schedule
  - Project resources required
  - Resource allocation percentage by role
  - Contractor resources
- Assist in the development of a Communication Plan
- Assist in the review of the Risk Management Plan
- Assist in the development of a Test Plan
- Assist in the development of a Training Plan
- Assist in the development of the Implementation Plan
- Assist in the development of the Transition Plan
- Assist in the development of Project Closeout Reports

In the pages that follow in this section the above items are described in detail. Tecuity will work with the Secretary of State's Office Project Team to ensure the timely delivery of the items outlined in this section.

Project Approach

Tecuity has delegated a team of dedicated professionals to perform the software configuration and implementation. Tecuity can guarantee the highest degree of success by incorporating our proven "Get Clear" project strategy.

"Get Clear" is an accumulation of our experience (i.e. what we learned from each implementation) and expertise. This is a living process and we are always striving to improve it by incorporating new things we have learned and adhering to industry best practices.

Prior to initiating work on the project, Tecuity team members and the Client will jointly set milestones, iterations, development tasks, and deliverables. Major milestones will frequently incorporate several iterations and many tasks, each of which will have a deliverable. By tracking deliverables, it is possible to demonstrate and report on progress compared to schedule. Ensuring all team members have a clear understanding of the desired metrics is essential to a successful project.

During the first two weeks of the project, Tecuity will meet with key stakeholders to develop a clear understanding of objectives and perform analysis services including; base line, minimum requirements, and "nice to have" capabilities. It is a crucial building block of the project that both Tecuity and the Client have a clear mutual understanding and agreement on each objective.

Data and image conversion constitutes a significant portion of the project. Tecuity and the Client will jointly work to obtain data and image exports from the current system. Data conversion routines will be configured and initiated early in the project. Sample processes and iterations are run against all data types to ensure accurate transfers. Once all conversion routines are validated, a mass conversion will roll the data and images to the enterprise solution data files. This will provide the opportunity for detailed review of the data and images in advance of the project rollout.

Tecuity will create a test environment for the Client and provide test rollouts on a consistent basis to ensure the solution is routinely reviewed to verify alignment with the stated objectives of data integrity and user interface.

Additionally, Tecuity will create and make available to the Client a web-based project collaboration space. This online tool will facilitate communications and is the mechanism for tracking any issues during the configuration and implementation process. Team members will use this site to share information and collaborate on milestones, iterations, key design documents, flowcharts, status reports, etc. An issue tracking system will record issues and track resolutions.

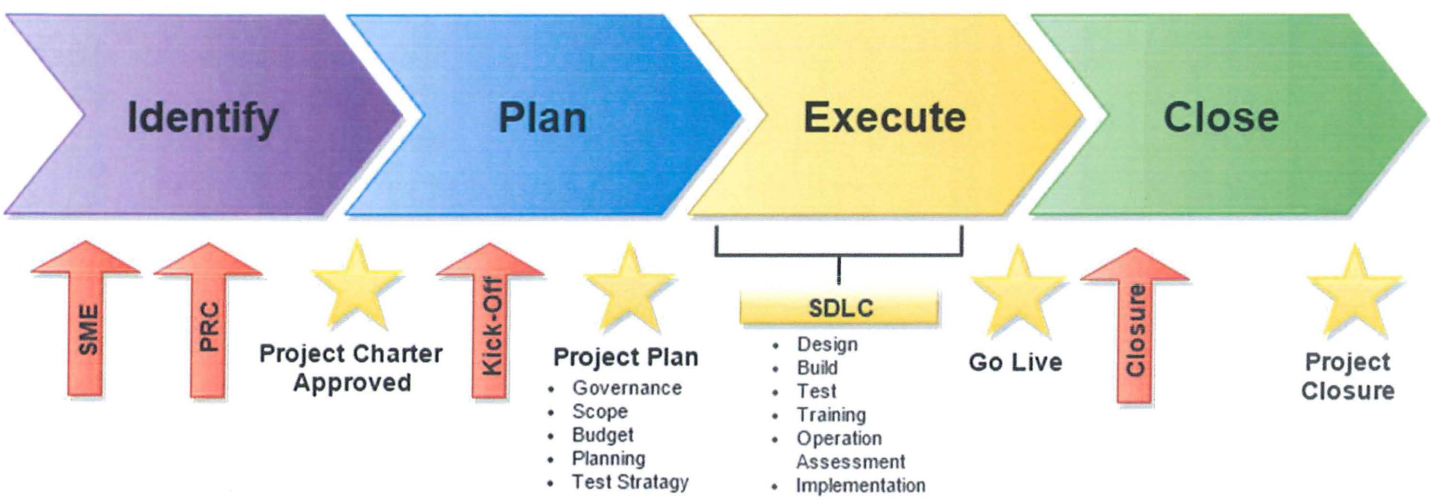
During the entire project, Tecuity resources will be available on a daily basis for phone calls, conference calls, web meetings, etc. Using remote contributors whenever possible will help mitigate costs. However, resources will be deployed as needed to the client site. During production rollout, Tecuity resources will be onsite to support this segment of the project.

Project Management Methodology

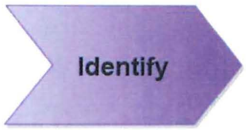
At Tecuity, we have a single guiding principle to provide excellence in all areas by being responsive to our customer's needs and concerns. We strive to 'over-deliver' on Client expectations in all aspects of the project life cycle. Our extensive experience and expertise has allowed Tecuity to solidify a strong management methodology with proven implementation strategies and work breakdown structures that focus on key elements of the software development lifecycle (SDLC).

Tecuity also follows and adheres to the Carnegie Mellon's Software Engineering Institute's (SEI) Capability Maturity Model Integration (CMMI) and the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK®) guidelines in our management of project scope, cost, resources, schedule, staffing, communication, quality assurance, risk assessment, and deployment.

It is imperative that all resources assigned to the project, both from Tecuity and the Client have a clear definition of what a successful project implementation will require. The combined project team members, including key stakeholders, must understand their roles. The entire team will collaborate in every aspect of the project life cycle to ensure absolute success. The following diagram identifies key phases in the Project Life Cycle:



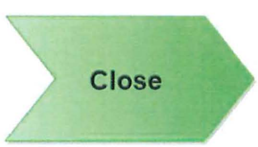
The project management life cycle contains four steps: Identify, Planning, Execution, and Closure. Each step plays a crucial role in the process, and no one-step is more important than any other.



During this phase, an overview of the project is defined and project strategy is outlined, the project manager is appointed and project team assembled. This is often referred to as the "project kick-off" where the baseline for scope, work breakdown structures, schedule, resources, and cost are established. The primary goal of this step is to communicate how the desired results will be achieved.

The planning process is of major significance, proper execution of this step is the base for successful project management. A detailed breakdown and assignment of each task from beginning to end of the project is specified. This includes a risk assessment and a detailed definition of the criteria for the successful completion of each task. The roles and responsibilities of each team member are defined. Team documents including the project plan, software quality assurance plan, configuration management plan, risk management plan, and the change management plan are created.

During the Execution and Control phase, the planned solution is implemented ensuring that project activities are completed and meet the objectives specified in the project requirements. Any potential delays or obstacles to project success in the delivery, quality, or schedule are identified and corrective action is taken. As the Execution and Control phase progresses, groups across the organization become more involved in planning for the final testing, production, and support.



During Closure, the project manager will be focused on bringing the project to its proper conclusion and any minor issues are resolved. At this point a written formal project review report is produced by the Project Manager and contains the following elements: a formal acceptance of the final product, Weighted Critical Measurements (matching initial requirements to the final delivered product), lessons learned, and a formal project closure notification to senior management and key stakeholders.

Utilizing Tecuity's proven methodologies for successful project delivery and having followed the Project Management Lifecycle as described above, the Client is fully confident that they will have a successful project, delivered on-time and on-budget.

Project Communication & Reporting

To reiterate, communication with our clients is at the heart of our company culture. We believe in open, frequent, candid, formal, and informal communication with our clients. Whether the news is good or bad, communicating facts and delivering them early allows organizations to respond and correct direction if necessary. This open communication ensures a solid partnership and an ongoing win-win relationship. It is our experience that meeting at regularly scheduled intervals throughout the project are invaluable to project success. Frequent meetings will help facilitate a true partnership between the Client and Tecuity. A daily stand-up with Tecuity staff members and weekly status meetings including Tecuity and the Client staff assigned to the project will be conducted throughout the implementation effort to ensure project success.

Daily Stand-Ups

The Technical Lead on the project will conduct daily stand-up meetings. The purpose of these meetings gives each team member the chance to communicate what they completed the prior day, their daily work outlined for the day, and also indicate whether they are facing any roadblocks with the work to be completed. This meeting is called a "Stand-Up" because it is only to take 5 to 10 minutes. If there are issues or roadblocks that are presented, they can be taken offline with the Technical Lead. This will help ensure daily tasks move forward as anticipated.

Status Reporting

Tecuity's Project Manager will email a weekly status report to the Client Project Manager This status report will be reviewed in the weekly team meeting. The status report will contain information under the following headers:

- Highlights
- Risks
- Schedule
- Comments

The status report is intended to be a realistic snapshot of the project for the time period completed. The report will communicate project progress or concerns regarding potential schedule slippage, project constraints, bottlenecks, and opportunities to improve the success of the project.

Conference Calls

A conference call will also occur no less than once a week. This will ensure an ongoing open dialogue of project status, thus avoiding any misunderstandings during the implementation process.

Email

Tecuity will utilize email as a method to communicate with the Client. This communication tool will allow Tecuity to "Get Clear" and communicate questions, accomplishments, and issues to the Client as they occur. This will result in open timely communication and will enhance the overall development effort of this project.

Online Collaboration Tool

This tool will allow Tecuity and the State of Nebraska to collaborate and share information about the project via an online collaborative tool for project documents, contacts, and schedule. Tecuity will also utilize existing online collaboration tools used by the Secretary of State's Office should a different tool be recommended.

Tecuity also utilizes a ticketing system that allows for the tracking and management of features and bugs as they are identified or occur. This will be used throughout the implementation effort.

Quality Assurance

The Software Quality Assurance Plan (SQAP) sets forth the process, methods, standards, and procedures that will be used to perform Software Quality Assurance throughout the project effort. Tecuity follows the IEEE 730-2014 Standard for Software Quality Assurance Processes in addition to the Software Life Cycle Process of ISO/IEC/IEEE 12207:2008 and the information content requirements of ISO/IEC/IEEE 15289:2011. Standards are also followed according to the ANSI/IEEE Standard for Software Verification and Validation.

Purpose and Scope

The SQAP provides the foundation for management of the software quality assurance activities and is based on project activities and work products as documented in the Project Plan. These activities as defined in the project plan are:

- Identify SQA responsibilities of the project team and the SQA resource
- Defines reviews and audits and how they will be conducted
- Lists activities, processes, and work products that the SQA resource will review and audit
- Identifies SQA work products

SQA Roles and Responsibilities

The following chart defines SQA roles and responsibilities of the project team and their function at Iteration Exit.

ROLE	SQA RESPONSIBILITY	SQA RESPONSIBILITY
QA Manager	• Manages the Quality Assurance Function	Approve or Require Rework
Subject Matter Experts (SME)	• Helps define production quality expectations • Represents application users • Determines final acceptance	Approve or Require Rework

QA Resource	• Audits and approves project deliverables from a QA perspective • Reviews plans and deliverables for compliance with applicable standards • Provides guidance and assistance on process matters	Approve or Require Rework
Project Manager	• Ensures implementation of quality activities. • Coordinates resolution of issues • Provides regular and timely communication	Oversight

Project Checkpoints (Iteration Exits Reviews)

Each iteration of implementation/configuration/development will have at least one formal checkpoint called an iteration exit. When an iteration has been successfully exited, it indicates that all deliverables due to date have been completed, all outstanding issues have acceptable action plans, and there is a sound plan for the remainder of the project. An iteration exit is the vehicle for securing approval to a particular functional area and continue with the project and move forward to the next iteration.

The purpose of the Iteration Exit Review is to:

- Allow all functional areas involved with the project to review the current Project Plan. This includes at a minimum, a detailed plan for the next iteration and a high-level plan for the remainder of the project.
- Provide a forum to raise qualification (issues and concerns) if issues exist that will impact the Project Plan.
- Ensure an acceptable action plan exists for all issues raised.
- Obtain approval on current iteration deliverables and to begin the next iteration.

With any software implementation/development project, lifecycle iterations may overlap as activities from the new iteration are beginning and activities from the previous iteration are completing.

Verification and Validation of Requirements

This area of the SQAP provides verification and validation that a particular requirement has been met by the implementation/development of a particular feature and adequately addresses the associated business need.

The following IEEE definitions apply in this SQAP:

- Verification – The process of determining whether or not the products of a given iteration of the software development cycle fulfill the requirements established.

- Validation - The process of evaluating software at the end of the software development process to ensure compliance with software requirements.
- The term requirements encompass the areas of hardware, user interface, operation, software interface, functionality, performance, communications, security, access, and backup and recovery.

Verification

The following activities will be performed as part of the requirements verification:

- Produce a traceability matrix tracing all functional requirements back to system objectives.
- Evaluate functional requirements and relationships for correctness, consistency, completeness, accuracy, readability, and testability.
- Assess how well the functional requirement satisfies the system objectives.
- Assess the criticality of requirements to identify key performance or critical areas of software.

Validation

The following activities will be performed as part of the requirements validation:

- Compliance with all requirements
- Adequacy of user documentation
- Performance at boundaries and under stress conditions
- Plan documentation of tests tasks and results
- Execute the Acceptance Test Plan
- Document acceptance test results
- Software Quality Assurance Milestones
- Software quality assurance spans the entire software development lifecycle as described in the following table.

Development Lifecycle

STAGE	DELIVERABLE	QA ACTIVITY
Planning	• Project Plan	Review processes & audit contents
Preparation	• Functional Requirements • Installation Plan	Review processes & audit contents
Software Design	• Functional Design Document • Security Plans • Training Plan • System Test Plan • Acceptance Plan	Review processes & audit contents Trace design components to requirements Trace requirements to design components

	• Configuration Management Plan • Conversion Plan	
Development / Implementation	• Site Installation Plan • System Documentation	Review processes & audit contents
System Testing & Acceptance	• Test results • System documentation • Operational System	Review processes & audit contents

Roles & Responsibilities

The Quality Assurance Team will work independently from the project implementation team as depicted in the project organizational chart. The QA team will report to the Tecuity Project Manager who is ultimately responsible for the successful completion of the entire project effort.

The QA Team must have support and commitment from all project team members and key stakeholders and related management in order to be fully effective in quality assurance efforts. It is recommended that all individuals of the project team, including SME's, be trained in quality assurance principles and best practices and expect quality assurance activities within their individual work efforts.

Specific subject matters experts will be identified in the finalization of the Software Quality Assurance Plan who will perform quality inspections throughout the project effort. Tecuity will make every effort to comply with requests for validation and verification to ensure the solution complies with project goals, objectives, functional requirements, contract provisions, and expectations.

Governance & Control

Tecuity and the Client will work in unison throughout the implementation lifecycle of the enterprise solution. Both the Tecuity Project Manager and the Client Project Manager will work together and decisions will be made based on the collaborative effort of both parties. All changes to the project scope, including functionality, timeline, and resources will be addressed utilizing the change management methodology outlined in this document.

Following this process will ensure proper control of the project and both parties will have ownership and responsibility for the successful implementation in this work effort.

Testing

We understand that a QA vendor will be selected at a later time. The parameters of testing will be established with the Secretary of State and the QA vendor. However, it is worth mentioning the type of testing we have done in the past as a means of demonstrating our ability to meet an extensive testing environment. Tecuity implements an iterative approach to testing solution functionality. As each component is completed and implemented it is validated against the requirements identified through multiple testing efforts. The following tests are utilized as least once in the implementation effort for each functional requirement.

- Unit/Functional Testing
- System Integration Testing
- User Acceptance Testing
- Performance/Stress Testing
- Regression Testing
- Conversion Validation Testing
- Vulnerability Testing
- Data Conversion Validation Testing
- Backup and Recovery Testing
- Final Solution Acceptance Testing

It is understood that no amount of testing ensures a defect-free implementation. However, it is Tecuity's practice to identify as many defects as possible, early on in the process, and to prioritize those defects to avoid unnecessary rework.

Tecuity's commitment to deliver high-quality software solutions and our dedication to exceeding the needs of our customers drives us to delivery world-class solutions.

User Acceptance Testing

User Acceptance Testing (UAT) is performed in the Test Environment to ensure implemented functionality and integrated systems are fully tested by the Division. In this effort functionality is tested against requirements and processes are validated. User Acceptance Testing provides validation that all systems and interfaces are working according to specifications. These tests also validate that all previous tests (unit/functional) and issues identified have been successfully resolved.

Data & Image Migration

Every project that Tecuity engages in the data and image conversion play a crucial part in the success of that project. With many years of experience working with other states, Tecuity has developed streamlined processes for consolidating various sources of legacy data into one centralized repository of information and images. Throughout this process, data validation and verification takes place on a continuous basis to ensure a thorough transfer and conversion of all critical data and image records.

Tecuity will work with the Client to identify all sources of data and images that will need to be converted. For each source, a detailed document will be created that identifies proper mapping of legacy fields into the enterprise solution data model. Scripts will be built and added to a centralized data conversion workflow that can be executed on demand and at specified intervals to allow continuous quality improvement and data clean up. On a regular basis, backups of legacy data stores will be requested and run through the data conversion process to provide as close to real-time comparison as possible. Each script, logs necessary audit information, record counts, processing time,

and various other metrics in order to validate accurate data conversion and expected results. These metrics and information play an important part in determining rollout and go-live schedules.
As data is converted, reports and extracts are created of possible data discrepancies or inaccurate information. These extracts are given to key staff members that can validate or prove accuracy of the information. These discrepancies are corrected in legacy systems prior to go-live in order to provide as smooth a conversion process as possible or added to the data conversion plan for post-conversion cleanup. This is an iterative process throughout the project and is placed in the testing environment for staff members to review each time a new conversion is run.

Conversion of legacy images follows a similar process and has the same level of integrity checks and validation.

The end goal is to bring all necessary information of the system into a consolidated and reliable data repository that provides real-time tracking and filing of all information outlined in this project effort as well as the necessary backup and offsite redundancy to ensure consistency in the system and to all users.
Should any transactional (payments, invoices, vouchers, outstanding records) information exist and need to be persisted into the new system as the old one goes offline, these will be identified and appropriate plans and enhancements will be added to the solution to accommodate proper handling of that information until it is phased out.

Migration Assumptions

The risks in data migration projects are not surprising but nevertheless have potential impact.

- The beginning data needs to be clean and identifiable. Identity means the record type and/or relationship/links to other data exists. Images especially, need ties to host records.
- Bad data in the source system will only result in bad data in the future system. Some data clean-up can be addressed in migrations if it is systemic.
- Multiple source images convert to a single format in the future system.
- The iterative approach has to be validated by the in-house staff to ensure accuracy.
- Complete access to the data and database structure is granted to Tecuity.
- Source system has to be frozen during final data conversion – cannot convert a moving target.

Migration Steps

Tecuity is proposing to assume overall responsibility and to provide a full range of data and image conversion services for this project. Tecuity assumes the NE SOS will provide resources to assist in completing conversion activities and NE SOS will be responsible for the extraction of data from the legacy system listed in this requirement into a uniform format, which can easily be imported into the proposed solution. Tecuity will be responsible for the transformation and loading of the data and associated images.

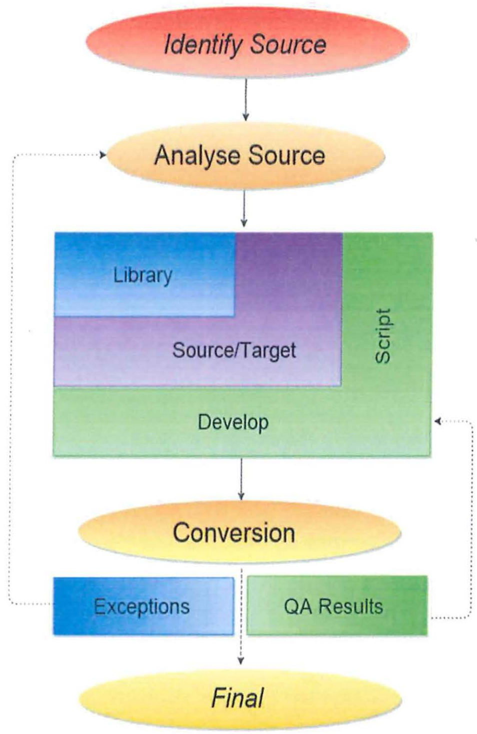
Tecuity will provide the overall management and oversight for all conversion activities. In our scope of work, Tecuity will work jointly with NE SOS stakeholders to` define:

- Data Entities to be converted
- Images and associated indexes to be converted
- Amount of data and history to be converted
- Conversion scripts for transforming and loading the current data
- Converted data validation requirements and methodology
- Report data discrepancies in legacy data if found in data transformation processes

An overall data and image conversion plan will be created with the detailed steps required to perform the conversion. This plan will be formulated by first analyzing the data from the existing databases and systems. Once this data analysis is complete, Tecuity will perform the data mapping process for all the databases. One of the primary components of any conversion approach is an accurate data mapping process. Part of the mapping process will also help in identifying defaults, data anomalies, conversion rules, and other specifics. Even in a well-designed conversion process, there will be some elements that cannot be mapped, defaulted, or inferred. The conversion specifications will identify the situations where such data exceptions can occur and the data elements that cannot be converted. Such data exceptions will be identified for further resolution.

Tecuity will provide the technical expertise to map data, images, and related indexes to be converted into the proposed solution and develop technical specifications. Tecuity's conversion experts will provide the knowledge, guidance, and assistance in completing manual data conversion activities.

Tecuity's Data Conversion Strategy:



Conversion effort goes through an iterative multi-pull strategy. This involves extracting the data from the current databases in multiple pulls, with each subsequent pull resulting in cleaner converted data. Through this iterative process, the data conversion routine further refined in each iteration fine-tuning the output data to ensure the most-clean data possible.

Initial Data pull: Data extracted during this pull is used to analyze the current data structure and format. Conversion routines are developed based on the analysis of the data during this pull. Other relevant management scripts are also created during this pull. These management scripts are used to reconcile record counts between the source data and the converted data such as total number of business registrations, number of annual report, amendments, etc.

Exit Point/Milestone: Conversion Requirements Document

Interim Data Pull: Data extracted during this pull is used as the source data for the conversion routines that have been developed. The converted data is analyzed for structure and format and it's adherence to the proposed solution's data model.

Errors that are reported during this pull are resolved through interaction between NE SOS and Tecuity. Resolution of the errors will be achieved by one or more of the following ways

1) changing the data type/structure of error fields
2) assign default values while converting for non-existent fields in the source.

During this phase conversion scripts go through an iterative process of refining and testing the data that's processed through them. This iterative approach results in high accuracy of the converted data. This pull is concluded upon the acceptance of the converted data by the ND SOS.

It is also recommended to engage in a user acceptance test of the converted data by connecting it to testing/staging application to make sure that the converted data flows seamlessly through the application. NE SOS users can validate in this test environment that converted data is accurate and matches the source record data in the legacy system.

Exit point/Milestone: Production ready converted data

Final data pull: Extraction of the data in this pull is initiated after successful user acceptance testing and before the "go-live" deployment of the new solution. Once the data is pulled it is recommended 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.

Critical Success Factors

Based on Tecuity's experience with similar implementations and to align with the Nebraska SOS's requirements, Tecuity has identified a few absolute success factors for implementation and adoption of the proposed solution:

- Agency Buy-In – cross agencies collaboration and communication.
- Change Management – transition from traditional filings to online filing.
- Agency System Adaptability – availability of web services and other standard integration points.
- Degree of Scalability and Extensibility – support future user and transaction load and implementation of future filings.
- Data Governance – Determine and enforce data ownership and quality across the agencies.

Tecuity's proposed solution, experience, and approach is built around the above critical success factors to eliminate any risks related to the BFS implementation.

Project Assumptions

The following assumptions have been identified in the preparation of this proposal.

Organizational Assumptions

- The SOS Enterprise Solution implementation team will work primarily from the Tecuity Development Center in Utah.
- Tecuity project team members will work closely with the Client resources to ensure functionality and interface design consistencies.
- The Client will assign a project manager responsible for the implementation of the SOS Enterprise Solution. This resource will be Tecuity's point of contact for the duration of the project and will work closely with the Tecuity Project Manager.
- Client resources will be available to Tecuity as described in the Project Personnel Roles and Responsibilities section of this document.
- The Client will be able and willing to perform timely client acceptance testing and sign-off of each completed iteration.
- Tecuity resources will be onsite ion an as needed basis as agreed upon by Tecuity and Client.
- Tecuity resources will be onsite for the deployment and "go-live" activities associated to the SOS Enterprise Solution.

Technical Assumptions

- The project will be developed using Microsoft .NET technologies utilizing .NET C# as the primary development language.

- The latest version of Microsoft .NET Framework will be installed and utilized in this implementation effort.
- The solution will be developed utilizing an n-tier architecture to isolate the User Interface, Business Components, and the Data Repository in their own tier.
- The Agile Software Development Methodology will be followed in this project effort.

Proposed Personnel

Name: Kris Kofoed			
Title:	Project Manager	**# of Years with Tecuity**	3
Brief Summary of Experience:	Software Project Management on many different types of custom software and SaaS model development projects.		

RELEVANT PROFESSIONAL EXPERIENCE	
Required Information: ***10/2015 to Present:*** ***Vendor Name:*** Tecuity, Inc. ***Client Name:*** South Dakota SOS ***Client Contact Name:*** Teresa Bray ***Client Address, Phone Number, Email:*** 500 E. Capitol Ave., Suite 204, Pierre, SD; Teresa.Bray@state.sd.us57501, 605-773-5002 ***Role in Project:*** Project Manager ***Duration of Project:*** 2.5 years (On going) ***Software engagement:*** Axosoft for PM	Main contact for South Dakota on all Projects and Improvements to their UCC installation and forth coming Business Entity Software. Planned status meetings and status reports to let SD know where we were at on the projects. Worked hand in hand with the programmers to quote new projects out of scope. Delivered on time and in scope.
Required Information: ***042010 to 062010:*** ***Vendor Name:*** Big Head Business Solutions ***Client Name:*** Rendezvous River Sports ***Client Contact Name:*** Will Taggart ***Client Address, Phone Number, Email:*** will@jacksonholekayak.com; Jackson Hole , WY 307-413-4911 ***Role in Project:*** Project Manager ***Details & Duration:*** ½ year service ongoing.	Rendezvous Approached Big Head with a need for some rental software to run their fleet of rental boats and gear. We worked with them to come up with a solution they could use in the store that quickly let them see what was available and track it.

EDUCATION	
Institution Name:	Utah State University
City:	Logan
State:	Utah
Degree/Achievement:	Bachelors of Science in Business Information Systems

HARDWARE/SOFTWARE SUMMARY (Be Specific)		
	Description	*# of Year's Experience*
Environments:	Microsoft	10
Hardware:	Dell PCs, Servers, and Networking Switches	8
Software:	Visual Studio, Axosoft, Asana	10
Databases:	SQL	10

REFERENCES	
Minimum of three (3) required, including name, title, organization, phone number, fax number and email address	**Andrew Belair** – Desktop Computing Manager, IPEX USA LLC; Montreal, Canada 514-769-3445 x 248 **Kent Millecum** – National Sales Manager, Camp Chef; Logan Utah; kentm@campchef.com 435-512-2380 **Mike Oliver** – Senior Programmer, Big Head Business Solutions, mike@bigheadbiz.com , 802-579-2515

Name: Andy Rasmussen			
Title:	Implementation/Integration Lead	**# of Years with Tecuity**	10
Brief Summary of Experience:	The past ten years have been providing enterprise business registration and UCC systems to three states.		

RELEVANT PROFESSIONAL EXPERIENCE	
7/2013 to Present: ***Vendor Name: Tecuity, inc.*** ***Client Name: Wyoming Secretary of State*** ***Client Contact Name: See references provided by Wyoming for RFP.*** ***Role in Project: Director of Product Development / System Architect Government Solutions***	Responsible for developing enterprise-level solutions through proper system architecture and scalability requirements for existing product lines • Architected scalable designs for managing image repositories with over 2 TBs of storage • and rollout • Interfaced with third party vendors and systems • Designed REST-based web service interface with appropriate security architecture • Managed development teams and oversaw product upgrade • Responded to RFI / RFP requests from various States for product information and best practice guidelines

1/2013 to Present: ***Vendor Name: Tecuity, Inc.*** ***Client Name: South Dakota Secretary of State*** ***Client Contact Name: See references provided by South Dakota for RFP.*** ***Role in Project: Senior Software Engineer/Project Manager***	Converted South Dakota legacy UCC system into BEAR Enterprise Suite • Converted South Dakota UCC data and images into new system Configured system to match South Dakota UCC laws and requirements • Redesigned UCC scanning and image processing for 100% web-based interaction • Worked with IT staff in getting system incorporated into required hardware / server environments • Provided knowledge and best-practices experience in rolling legacy system into BEAR
10/2008 to Present ***Vendor Name: Tecuity, Inc.*** ***Client Name: Tennessee Secretary of State*** ***Client Contact Name: See references provided by Tennessee for RFP.*** ***Role in Project: Senior Software Engineer/Project Manager*** ***Details and Duration of Project:***	Designed, built, and deployed an enterprise solution for business entity filings and annual reports • Upgraded business entity system to .NET 3.5 • Converted system to match Tennessee's requirements and rules • Added new modular functionality to system for integration into existing backend systems • Enhanced system to provide better user access control and management • Continue to enhance enterprise system adding scalability, reliability, and extensibility for future implementations • Enhanced BEAR Enterprise Suite with a new UCC module with complete processing functionality • Engineered a complete new imaging / scanning solution to replace legacy FileNet system • Imported over 4.5 million tif images and records into new solution • Re-architected core framework within BEAR to allow more modular functionality and configurability • Created a standardized Task Manager for processing configurable scheduled tasks

Required Information: ***1/2013 to 7/2013*** ***Vendor Name: Tecuity, Inc.*** ***Client Name: Wyoming Secretary of State*** ***Client Contact Name: See references provided by Wyoming for RFP.*** ***Role in Project: Senior Software Engineer/Project Manager*** ***Details and Duration of Project:***	Designed, built, and deployed an enterprise solution for business entity filings and annual reports • Built a .NET 2.0 client desktop application for internal staff to manage all aspects of business entity registration and renewal including reporting and official certificate generation • Built an ASP.NET 2.0 internal and external web site for businesses to pay taxes online as well as perform various searches and obtain official business certificates • Converted and imported FoxPro legacy data into a new data model in MS SQL Server 2005 • Assisted in the deployment and securing of the entire enterprise solution into production and rollout • Standardized all communication between the presentation tier, the common services tier, and the data tier using XML and web services • Used an agile software development methodology to provide faster results, better communication, and clearer expectations with the customer • Provided independent evaluation and analysis of new statewide / countywide voter registration system • Built new website for SOS Office using Dreamweaver and trained SOS staff on using Contribute to extend the site as needed (To be live on July 1, 2008) • Building a new ASP.NET voter precinct lookup tool that will be made available to the public in conjunction with release of new website for SOS Office

EDUCATION

Institution Name:	Utah State University
City:	Logan
State:	Utah
Degree/Achievement:	BA Business Information Systems, Minors in Computer Science and Spanish
Certifications:	

HARDWARE/SOFTWARE SUMMARY (Be Specific)

	Description	***# of Year's Experience***
Environments:	Windows 95/98/NT/2000/XP/Vista/7/8/10, Amazon AWS	Up to 18 years
Hardware:	N/A	
Software:	Microsoft Office (All Versions), Microsoft Project, Visio	Up to 18 years
Tools:	MS Visual Studio, Adobe CS3, ActiveReports, Crystal Reports, Silverlight, Oracle Forms, Subversion, AngularJS, BootStrap, HTML5	Up to 18 years

Databases:	MS SQL Server 6.5/7/2000/2005/2008/2012, Oracle 8i/9i/10g, MS Access, MySQL, MongoDB	Up to 18 years
REFERENCES		
Minimum of three (3) required, including name, title, organization, phone number, fax number and email address	Andrea Byrne, IT Director, Wyoming Secretary of State Nathan Burton: Business Services Director, Tennessee Teresa Bray, South Dakota	

Name: Chris Metz			
Title:	Lead Data Architect	**# of Years with Tecuity**	5
Brief Summary of Experience:	Full Stack C# Engineer with skills ranging from backend, frontend, database, and extensive experience with Scrum and Agile practices as well as Deployment Management Systems and Sprint management systems.		

RELEVANT PROFESSIONAL EXPERIENCE	
Required Information: 10/2015 to Present: ***Vendor Name:*** Tecuity, Inc. ***Client Name:*** Wyoming Secretary of State ***Client Contact Name::*** Andrea Byrne Wyoming Secretary of State's Office 307-777-5953 Andrea.Byrne@WYO.GOV ***Role in Project: Lead Developer*** ***Details and Duration of Project: 2014 to present***	Created a system for legislative rules submission and control. This included establishing a new database and converting original documents to responsive html. This included a web application that allows internal administrative users to edit documents and provide document conformity. Administrator functionality and workflow for approval, packets, view, and changes. In an n-tiered approach the business layer contains SQL stored procedures.
Required Information: 02/2012 to 10/2015: ***Vendor Name:*** Corporate Service Company ***Client Name:*** Various County Governments ***Client Contact Name:*** N/A ***Client Address, Phone Number, Email:*** N/A ***Role in Project:*** .Net Software Developer ***Details and Duration of Project:*** Multiple ***Software/hardware used in engagement:*** C#, XML, XSLT, WPF, WCF, Config transforms, WIC, Click Once, .NET, SQL, Agile – Scrum, IIS, MSBuild.	Supported and Developed applications to allow users to conveniently submit legal documents electronically. Created a plugin that interfaced with another system called Green Folders which required a substantial amount of collaboration with another company and dealing with constant changes in their system. Supported our old Cruise Control build server and moved all builds to the new Team City build server as well as maintained it and taught the rest of the team basic principles of working in Team City. Championed causes that strengthened continuous integration principles, enforced test driven development, and promoted innovation. Spent many hours on dedicated R&D time. R&D projects included: a Mobile app for our BINS product using Xamarin, a 3D game using Unity, and a Gamified Team City application that shows users as sprites that fight monsters based on stats collected from successful/failed.

Required Information: April 2011 ***to*** Feb 2012***:*** ***Vendor Name:*** Coverstar ***Client Name: N/A*** ***Client Contact Name: N/A*** ***Client Address, Phone Number, Email: N/A*** ***Role in Project:*** Lead Developer ***Details and Duration of Project:*** 1 Year project to convert Access Item Management system to Web Based C# Item Management System. ***Software/hardware used in engagement:*** C#,MVC,NHibernate, : Asp.Net, Access 2003, SQL Server, VB, Linq, Javascript, HTML, Xml, and CSS.	Repaired existing Software, Websites, Web Services, and Database problems. Attended to company IT needs as well, including Email, File Servers, DNS, Etc.
Required Information: January 2010-April 2011 ***Vendor Name:*** TechMedia Network ***Client Name:*** ***Client Contact Name:*** ***Client Address, Phone Number, Email:*** ***Role in Project:*** ***Details and Duration of Project: Mulitple*** ***Software/hardware used in engagement:*** PHP,Javascript,Css,Html	Developed web applications using the following technologies: HTML, PHP, Javascript, Xml, Ruby On Rails, MySql, Jquery, CSS, and API's. Used subversion as a document management system. Built careers page at: http://www.techmedianetwork.com/careers.html.

EDUCATION	
Institution Name:	Stevens Henager College
City:	Ogden
State:	Utah
Degree/Achievement:	Bachelors in Computer Science
Certifications:	

HARDWARE/SOFTWARE SUMMARY (Be Specific)		
	Description	***# of Year's Experience***
Environments:	Microsoft Windows Server 2008-2014	5
Hardware:	PC, Servers, Printers, Scanners	5
Software:	Visual Studio 2008-2016, Sql Server 2008-2016, Office 2008-2016, Access 2008, Azure	5

Tools:	NHibernate – Free ORM, Resharper, Sql Server 2008-2016, Management Studio, Gimp, Notepad++, Team City, Version One, Axosoft	5
Databases:	SQL, Access	5

REFERENCES	
Minimum of three (3) required, including name, title, organization, phone number, fax number and email address	**Eric Randal,** *Corporate Service Company,* (800) 927-9801 ext. 64173 **Jody Harris,** *Wonder Bread,* (801)-621-5455 **Scott Gines,** *Coversta,* (801)-373-4777

Name: John Wright			
Title:	Software Development Lead	**# of Years with Tecuity:**	7 +
Brief Summary of Experience:	I have many years of experience spent working to understand and solve the challenges faced by filing authorities, specifically in the Secretary of State's office. I am proud of the success we have seen our customer experience both in the 100% reliability and availability for day to day processing as well as in improved efficiency, timeliness and expanded ease of access to filing tools and information for their customers.		

RELEVANT PROFESSIONAL EXPERIENCE	
Oct 2008 to Present ***Vendor Name:*** Tecuity, Inc ***Client Name:*** Tennessee Secretary of State ***Client Contact:*** Nathan Burton 312 Rosa L. Parks Ave. - 6th Floor Nashville, TN 37243 615-253-3576 Nathan.Burton@TN.GOV ***Role in Project:*** Sr Engineer, Team Lead ***Software/hardware used in engagement:*** .NET, C#, ASP.NET, MS SQL Server, N-Tier architecture	Involvement in every aspect of the design, development, deployment and maintenance of the TNBEAR enterprise suite. I have been hands on with customer interactions for system design, support and enhancements. I have lead a team of 5 developers through the initial product planning, design, development and deployment as well as subsequent enhancement projects. I have in depth knowledge of the system services, databases, tasks events and processes.

Oct 2006 – Oct 2008 ***Vendor Name:*** Tecuity, Inc ***Client Name:*** Wyoming Secretary of State ***Client Contact:*** Andrea Byrne Wyoming Secretary of State's Office 307-777-5953 Andrea.Byrne@WYO.GOV ***Role in Project:*** Sr Software Engineer ***Software/hardware used in engagement:*** .NET, C#, ASP.NET, MS SQL Server, N-Tier architecture	I was the lead software engineer for the development of the public facing Secretary of State Business Services web site as well as for the redesign of the main Secretary of State web site. The business services site utilizes N-tier architecture to provide secure data access, and configurability, as well as to utilize the same data access and business code used in the BEAR desktop application.

EDUCATION	
Institution Name:	University of Utah
City:	Salt Lake City
State:	Utah
Degree/Achievement:	2 Years complete focusing on a major in English
Certifications:	Accepted in the honors program with full tuition waiver.

HARDWARE/SOFTWARE SUMMARY (Be Specific)		
	Description	***# of Year's Experience***
Environments:	MS Windows Desktop and Server OS	18 yrs
Hardware:		
Software:	C#, VB, Javascript, .NET, CSS, XML, HTML, Java	18 yrs
Tools:	MS Visual Studio, SQL Server Manager, SVN, TOAD	18 yrs
Databases:	MS SQL Server, Oracle, Access	18 yrs

REFERENCES	
Minimum of three (3) required, including name, title, organization, phone number, fax number and email address	**Lisa Moran, Systems Analyst, TN Secretary of State, 615-333-1370, Lisa.Moran@TN.GOV**

j. SUBCONTRACTORS

Tecuity, Inc. does not plan on using subcontractors as part of this project. Since we specialize in providing only SOS systems specifically designed for the roles fulfilled with Secretary of State's offices, our personnel are key to our success. Their personal understanding of the stringent requirements of such offices cannot be easily found outside these individuals.

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. *[Terms and Conditions]***

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:

Amendment to Contract Award with the most recent dated amendment having the highest priority;
Contract Award and any attached Addenda;
The Request for Proposal form and the Contractor's Proposal, signed in ink
Amendments to RFP and any Questions and Answers; and
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	NOTES/COMMENTS:

		RFP Response (Initial)	

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	NOTES/COMMENTS:

		RFP Response (Initial)	

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.

PROJECT DESCRIPTON AND SCOPE OF WORK

A. PROJECT OVERVIEW

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.

B. LEGAL AUTHORITY

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.

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

a. Both the Corp and UCC modules provide:
b. Interface with Microsoft Office Suite version 2010 or above to facilitate generation of custom templates and certificates
c. Generation of bar code labels for scanning purposes
d. 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.

Although the Tecuity solution comes complete with an integrated document imaging and management solution which requires no additional license fees or per image costs, we also have the ability to provide interfaces to other image storage solutions. Because the State of Nebraska has standardized on OnBase for Image storage and retrieval it is understood an interface is required.

In preparation to our response, Tecuity has had various meetings and phone conversations with Chad Kudym and his associated staff at DataBank. It is Tecuity's understanding that DataBank is the vendor providing services to the State of Nebraska when integrating with OnBase. Based on our discussions with DataBank, a review of functionality available in OnBase, and a comprehensive review of all imaging requirements in the request for proposal, the Tecuity SOS Enterprise Solution will be integrated with the OnBase solution for document image storage and retrieval.

SOS Enterprise will be utilized in several aspects to identify specific image data as it relates to image classification. The actual storage of image data will take place in OnBase. SOS Enterprise will be used to formulate an index of image data is it relates to Nebraska SOS documents and to provide specific functionality available in SOS Enterprise like request for copies, identifying document pages as public or private, etc.

SOS Enterprise imaging web services along with web services available to the OnBase product will be utilized in the solution.

Tecuity is confident we can provide the functionality desired by the Nebraska SOS Office by utilizing OnBase coupled with functionality contained in SOS Enterprise for a complete document and imaging solution specifically tailored to the needs of the Secretary of State's Office.

The following pages in this section describe our document imaging and scanning solution. It has been provided here as a reference. We will generate a combined solution utilizing SOS Enterprise and the OnBase product utilized by the state.

Document imaging and scanning are included and fully integrated components of Tecuity's solution. Tecuity invested a significant number of research and development hours in architecting and developing a scalable and robust enterprise-level solution to handle the various images and documents that are collected by our customers. By understanding the needs and requirements of our customers, we were able to craft a simple, yet comprehensive solution that empowers users with image manipulation functions to manage documents and images. Such features include scanning, classifying, redacting of sensitive information, OCR data extraction, and bar code recognition for streamlined workflow processing. Industry best practices, records retention requirements, and redundant backup procedures are incorporated to provide a secure, state-of-the-art solution.

The document imaging solution is entirely incorporated into the proposed solution and provides continuity between data and image. By having this relationship, users are able to have a full picture of the data collected, as well as the image associated to that data. Fast image retrieval allows for a quicker response to questions or customer inquiry. This functionality can also be available to public users as defined by client requirements.

For the past several years, many of Tecuity's clients have chosen to implement this solution and experienced increased benefits to their document retention systems. By incorporating workflow processes around different document types that are scanned, proper routing of work can be directed to the appropriate users for processing and/or fulfillment. Feedback from our customers helped to enhance and solidify the superior feature set and the performance of our document imaging solution. It truly is a world-class system.

Since we have our own document management and imaging system we will utilize it for the repository, along with the indexing capabilities to create a seamless connection between data files and image files. Our current customers enjoy simultaneous presentation of data and image.

Barcoding and Scanning technologies are connected to the front-end of the imaging repository where we have proprietary barcoding technology that allows the scanning function to be streamlined while increasing accuracy. This is designed for daily mail room openings and for forms completed online, then printed, and mailed in. This function can also be used from front-end counter clerks to create on demand forms for signature and allow the signature/document to be scanned into the image repository with no additional data entry.

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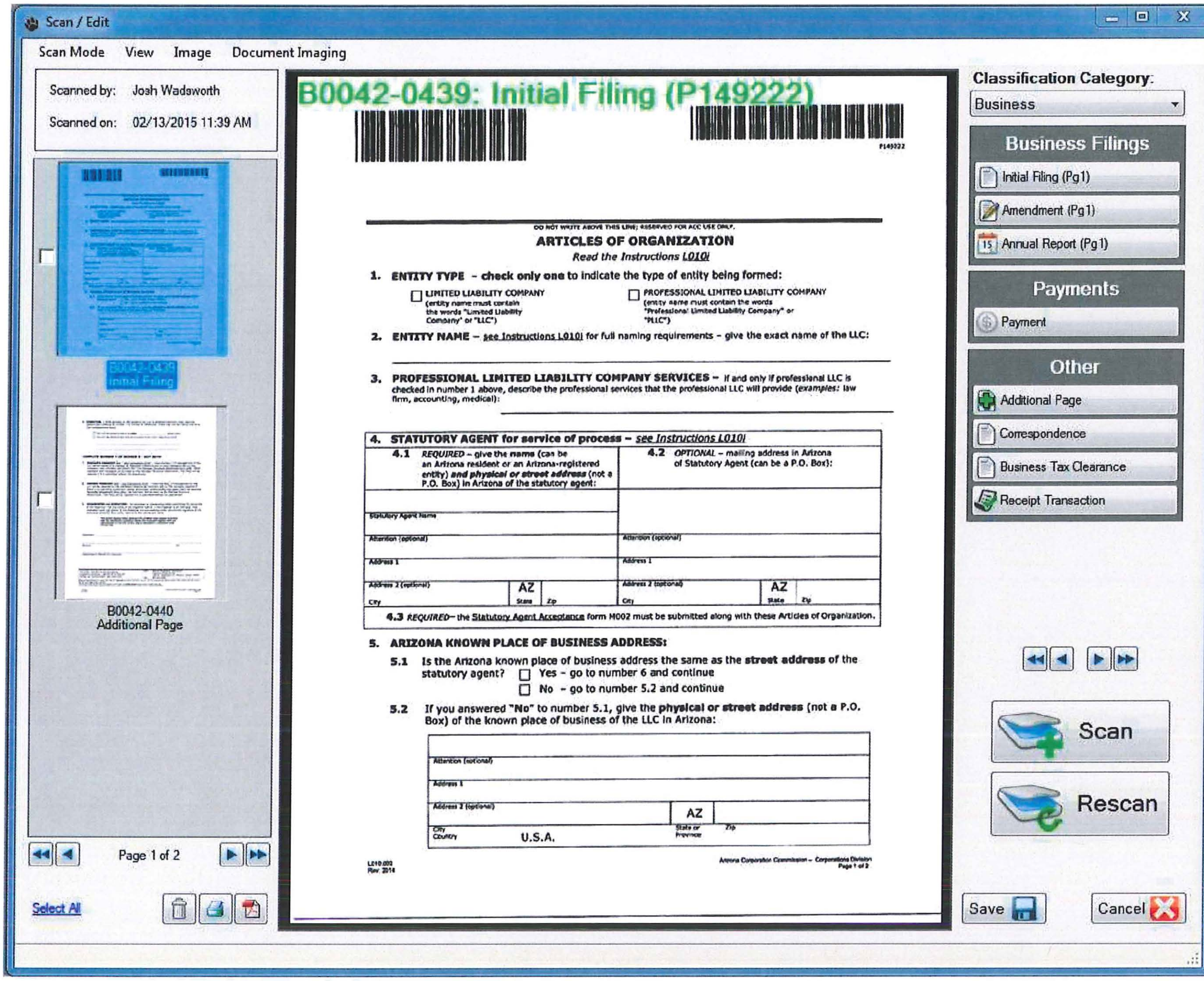
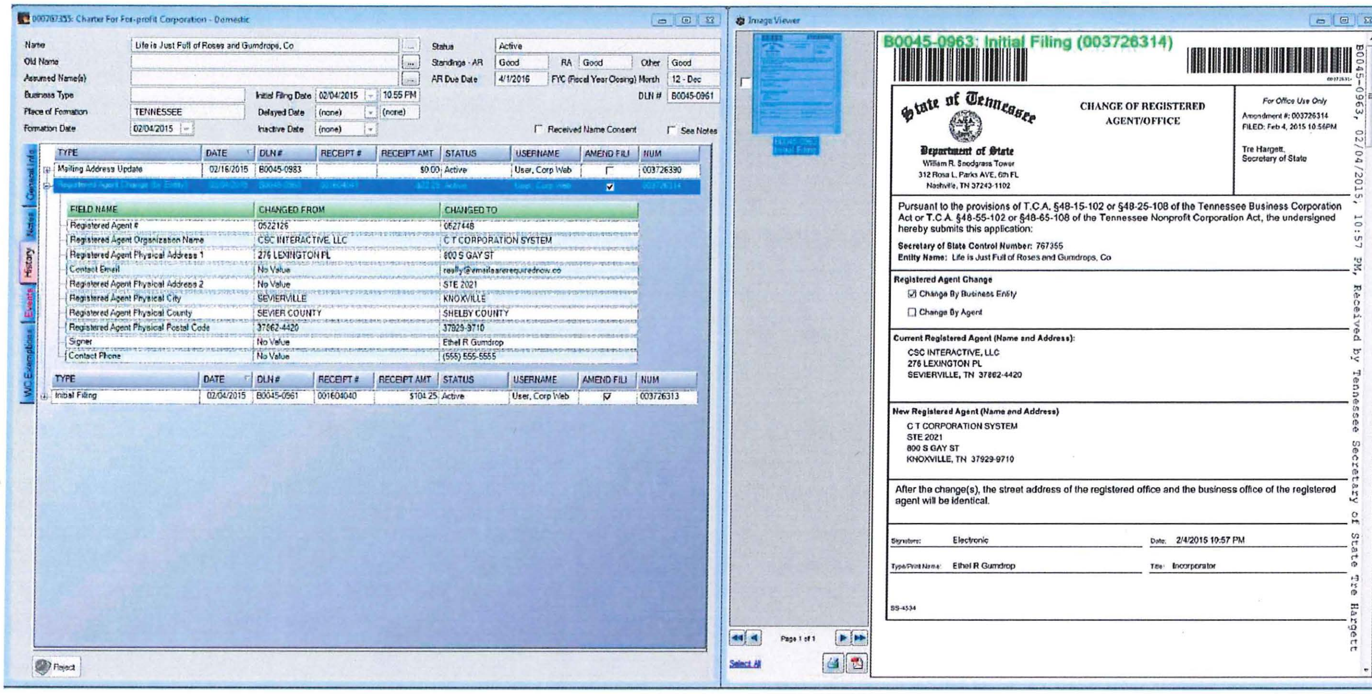
In our current system, documents are scanned and classified using the customized document management module. Classifications are configurable and can be categorized and shown by user rights to help internal staff by showing them only what they have access to. Barcodes are utilized to reduce manual user input by auto classifying documents so that the user need only visually review and save. Redaction of sensitive information can also be performed. The following image demonstrates scanned page images and the ~~ability to classify each page as a particular document type.~~



The SOS Enterprise associates scanned or digitally created documents to a data record in the SOS Enterprise. For internal user images can always be shown ***side-by-side*** with their associated Meta data for a comprehensive view of all information collected by the filing authority. This module includes image classification and barcode options that provide easy data input and view control. Any classification can be marked as a public (included in a copies request) or private (viewable only to internal staff). OCR and ICR data extraction is also a major component of the imaging system that significantly reduces manual data entry.

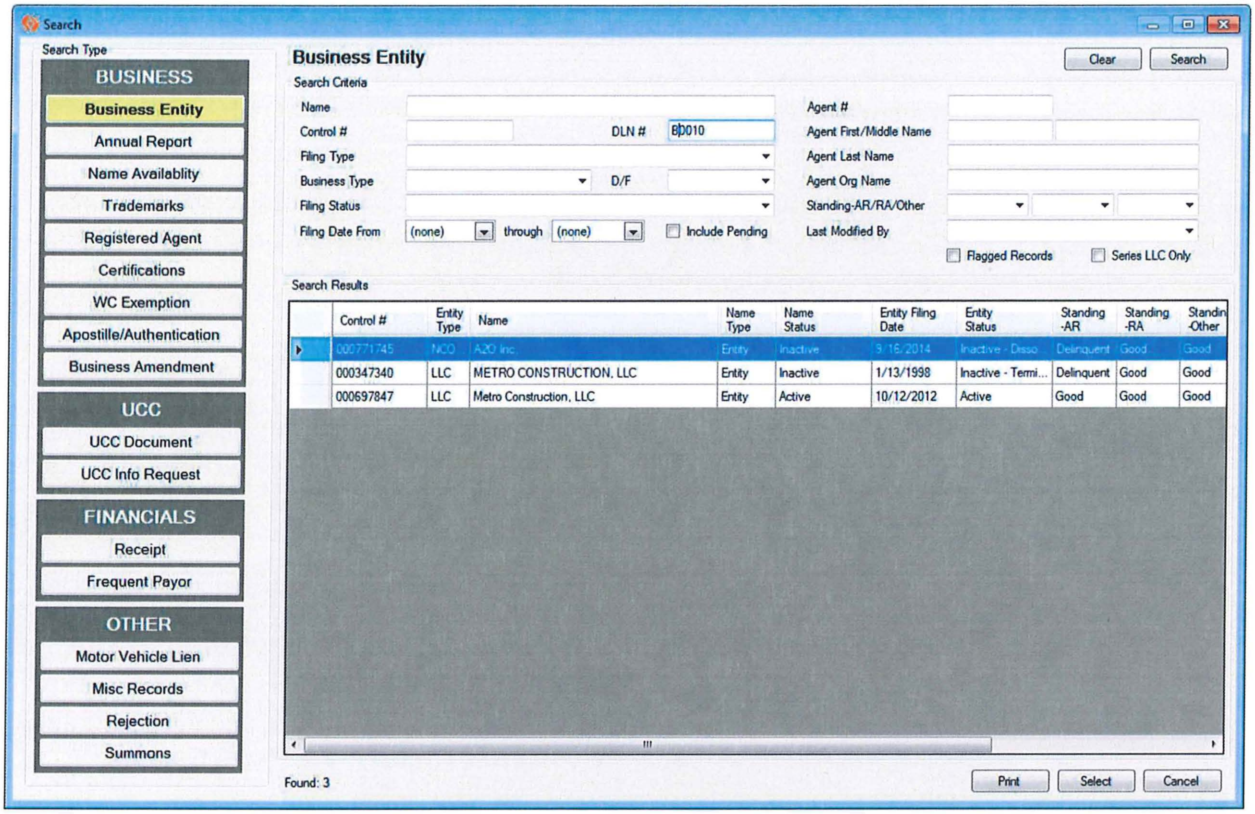
The solution also provides for the maintenance of original and ***redacted*** images. Redaction services are also an integral part of the imaging solution. The image shown below depicts a view showing the data collected on the left with the source image on the right. Note the tracking of individual data fields with changed from/to values.



From the comprehensive commercial recording detail form, historical items (initial filing, annual reports, amendments, system generated correspondence, etc.) are listed chronologically by date from newest to oldest. From each historical item, the user has the ability to view all associated document images. This includes both inbound and outbound document images. In the image shown above in section 4.3.5.2.A, the Document Locator Number (DLN #) is shown as one of the data items in the listing. A user, with appropriate application rights, simply clicks on the DLN # value and the associated images are displayed in our unique split-screen view, thus providing document images and associated data elements to the user at the simple click of the mouse.

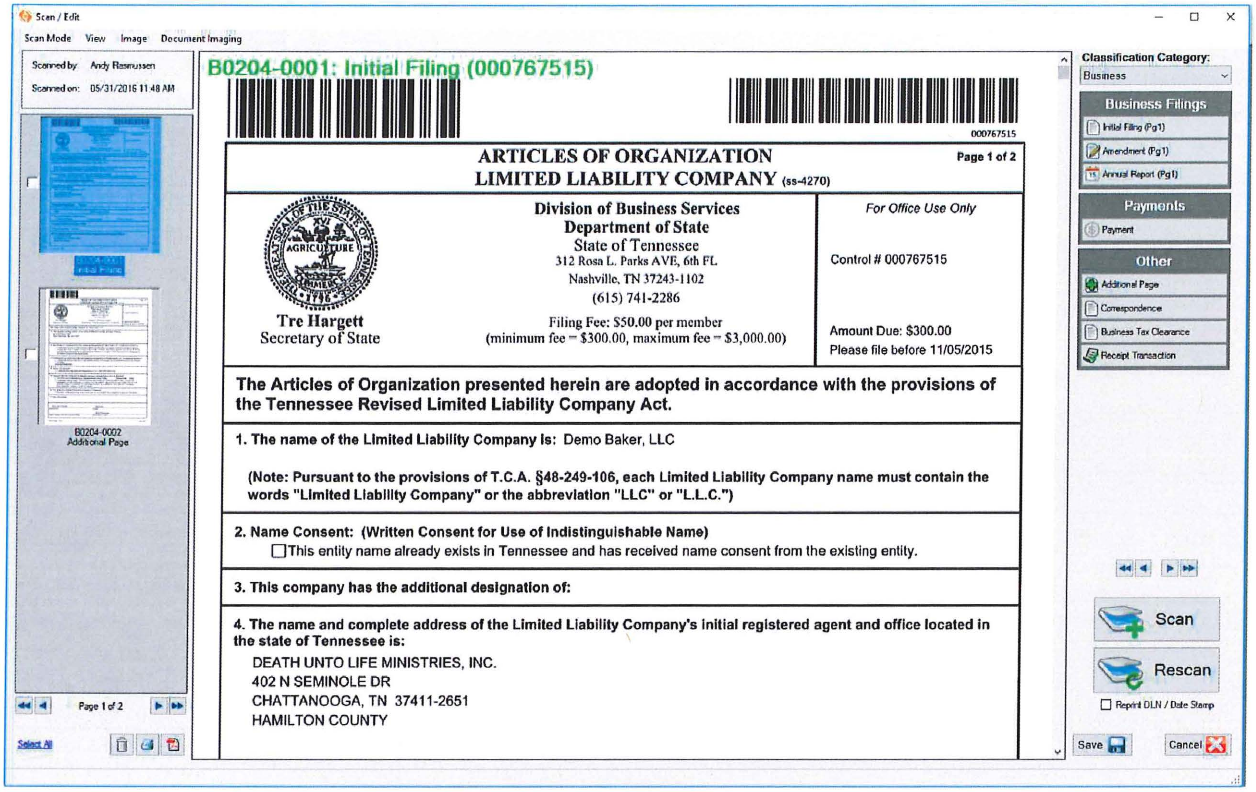
The solution provides a robust search and filter mechanism for all document types stored in the system. From this compressive search and filter mechanism, the desired commercial recording record and associated images can be located.

Once located, the user, based on application rights, does have the ability to view and manipulate documents including redaction. The following image demonstrates a search with search results for a commercial recording. In this instance the user searched for a partial document locator number and the resulting matches are displayed.



2. Documents include all corporate filings and filings made pursuant to the UCC revised article 9.

SOS Enterprise is designed to accommodate an unlimited number of forms. SOS Enterprise provides a streamlined approach to processing incoming mail in a variety of formats and priorities. Included in the solution is a highly configurable scanning module that make matching any approach to document categorization and distribution. By scanning all mail items upfront, work can be distributed across many different user queues all through an easy-to-use paperless workflow management solution. The scanning module is also able to identify document types by reading form barcodes and MICR values to help auto classify certain document types. By classifying each page individually, access rights can be managed for all document types. This ensures that public users only see images that are for public view. Below is a screen shot of the scanning module and how each page can be classified or auto-classified in the system.



The solution provides for the automatic creation of documents based on user configurations and association to document types. At the end of any filing process, associated document may be created automatically or manually. The solution also provides a robust event and job processing function to automatically generate reports based on schedule and associated business rules.

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.

This is understood and is incorporated in the proposed solution.

4. The software will interact with the image library and with the portal for online filing services.

See section 1 above.

5. The software will provide full accounting functionality.

Included in the solution is a comprehensive accounting / receipting system that allows for tracking all incoming and outgoing payment types or options along with a variety of reports and audit logs to ensure accurate financial tracking. As checks are received and scanned into the system, they become available to pay for filings, invoices, or towards pre-paid accounts. All monies collected throughout the day are accounted for and many split-role functions are distributed across user roles to ensure accurate revenue collection and distribution all the while providing easy-to-use reconciliation and end-of-day processing.

The system provides many configurable options to manage how all accounting features, fees, and charges are handled both internally and online for public users. This provides a single point of configuration to match necessary future changes.

There are many reports and automated jobs that provide for reconciliation and accountability of all payments and filings received. This allows for individual users as well as managers to be able to track all documents or payments throughout the system and to identify any anomalies or missing documents / payments. Drill down and summarization reporting allows managers to see productivity and throughput as an agency / division and as individual users.

Currently SOS Enterprise provides a variety of bulk filing options based on the needs of each state. Supported document formats are xml based as well as flat file. Other formats can be configured as well. This bulk filing and payment process allows for more automation and provides a higher level of customer service to those large filers. Through various API and / or web services, the solution can easily reduce the amount of paper received in the office and provides for a faster turn-around to the end user. Currently all states using SOS Enterprise have seen dramatic increase in throughput and document turn-around with a large reduction in rejected documents.

No hard-coding or fixed value fees exist in the system. By having the fees be configurable, fees can be adjusted based on legislative requirements and/or changes. Because these fee calculations are centralized throughout the system, once a fee is changed, all processes (online, internal, automated bulk filing, and system jobs) will use the same calculations, thus resulting in the same value. There are a variety of variables that can be used in the calculation of fees (i.e. page counts, party count, etc...) as well. The system provides certain rights around what users can override the fee, which fees can be overridden, and how fees are distributed across accounts.

6. Improved functionality is required, particularly as outlined below:
7. Configurability of statutory changes and policies
   a. Fees/rates/funds/accounting codes

Included in the solution is a comprehensive accounting / receipting system that allows for tracking all incoming and outgoing payment types or options along with a variety of reports and audit logs to ensure accurate financial tracking. As checks are received and scanned into the system, they become available to pay for filings, invoices, or towards pre-paid accounts. All monies collected throughout the day are accounted for and many split-role functions are distributed across user roles to ensure accurate revenue collection and distribution all the while providing easy-to-use reconciliation and end-of-day processing.

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as an agency / division and as individual users.

Double data-entry for critical and financial information can be configured to ensure accurate amounts are collected and reported.

Currently SOS Enterprise provides a variety of bulk filing options based on the needs of each state. Supported document formats are xml based as well as flat file. Other formats can be configured as well. This bulk filing and payment process allows for more automation and provides a higher level of customer service to those large filers. Through various API and / or web services, the solution can easily reduce the amount of paper received in the office and provides for a faster turn-around to the end user. Currently all states using SOS Enterprise have seen dramatic increase in throughput and document turn-around with a large reduction in rejected documents.

The fee calculation process within SOS Enterprise provides runtime calculation, thus providing the user with the ability to see what fees are based on entered values. For example, if a user were to enter different values in the stock and/or par value fields during the new filing process, the fees are calculated based on the entered values. As the user updates those values, the fees will also be updated. This provides for accurate assessment of the fees so that the end user is fully aware of what will be the final charge.

There are many different data fields that are used to calculate fees. These different fields will trigger the fee calculator to determine what the fee will be based on the user's selection. This is available to the system administrators to configure

b. Adding or changing entity types and other filing categories and options, filing types, all lien types, and action codes

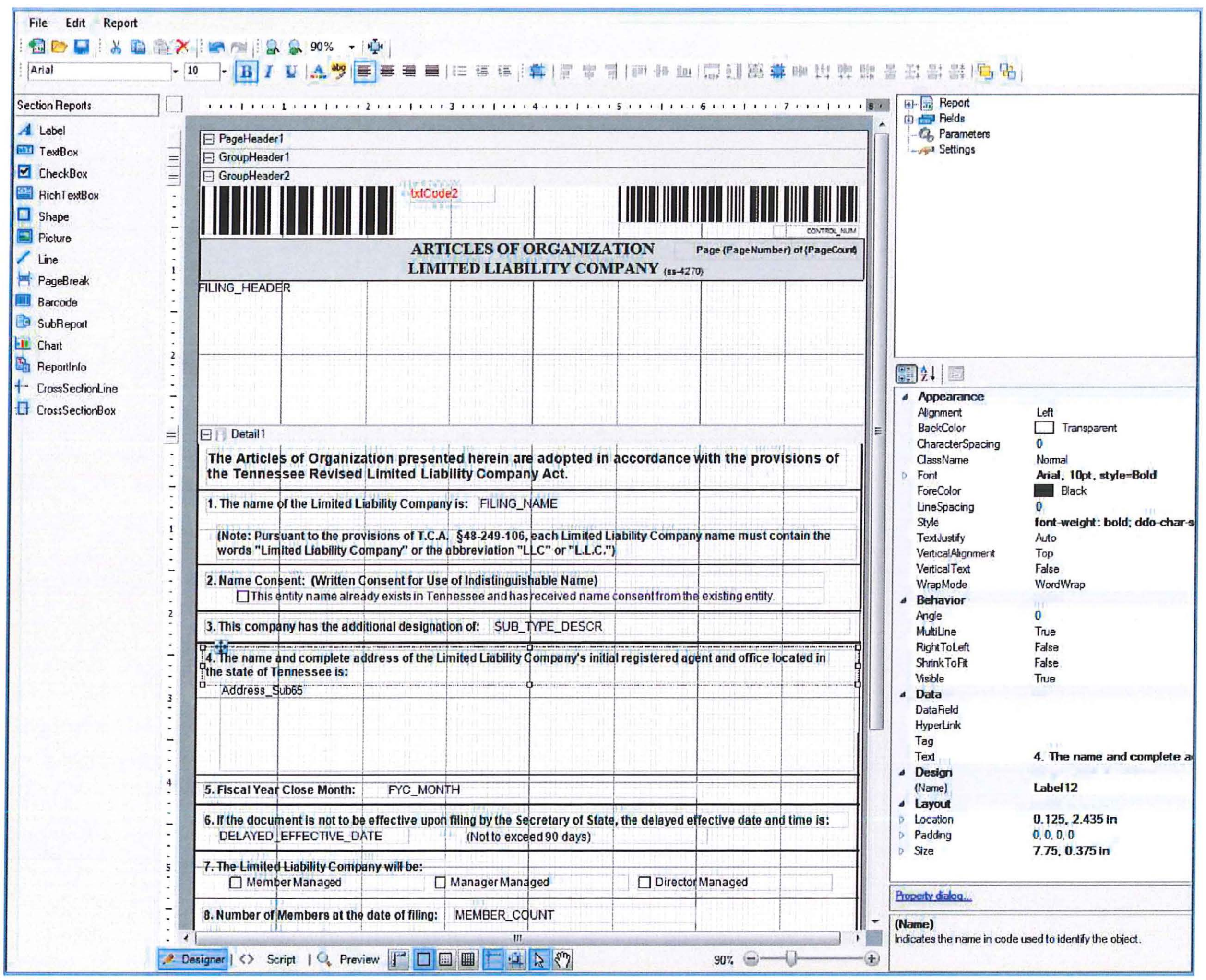
SOS Enterprise was built with based on the premise that there will be new and/or additional transactional types required by states. We understood from the onset that there would be this requirement. Therefore, new types can be created to meet this need. This is a universal function and indeed Business Registration and UCC use the same architecture allowing for this different types. We can further establish these types in categories (Business Registration, UCC, or others). Roles can be established so an individual has access to only that which they are authorized by group or specific filing type (form). The granularity of the roles and rights is specific to exact types and/or grouping by individual.

THIS BASIC ARCHITECTURE IS EXTREMELY POWERFUL WITHIN SOS ENTERPRISE AND ALLOWS FOR ADDITIONAL TYPES/CATEGORIES. We have successfully included options interfaced with other state agencies. Examples, are Motor Vehicle Temporary ??? and Worker's Compensation Exemptions for business registration.

The user experience is identical between each type and category. Cross training of individuals between traditional processes is very easy. For example, UCC personnel can quickly assist Business Registration personnel for scanning and upfront processes to load balance volumes between groups for peak loads.

c. Templates/reports

SOS Enterprise has implemented the comprehensive report tool from Active Reports™ to provide full-featured and highly configurable reports, forms, certificates, correspondence, letters, etc. This functionality is included as part of the solution with no additional licensing costs, etc. All documents are defined by templates within the solution. This tool is available based on application roles to users of the system allowing for the creation and editing of documents, as well as ad-hoc reports, generated by the system without needing to contact the vendor. The following image is a sample of an Articles of Organization template within the solution.



Source data for all templates is from XML documents. Each element in an XML document can be associated to a user defined field in the template. At the time of report generation, the XML document elements are inserted into the field defined by the user.

For each business process defined and associated document type, the specific report to be generated is identified and configured. This association of report/template to the respective commercial recording is part of the configuration process. Administrative users have the ability to define which report or template is associated to a particular process. This is based on application roles.

d. Triggers for renewal, expiration, system generated tasks, maturity dates, retention time frames, and purge capabilities

SOS Enterprise includes a fully featured event management handler. Events are flagged on entities for a myriad of different reasons. One of which is the handling of the Annual List (or Annual Report) and all notifications related to it. The system is configurable to send reminder notices for the Annual Report at regular intervals such as 60, 30 or 7 days from the due date. Events are also used if an entity does NOT file their Annual Report to send notices of dissolution and to ultimately dissolve the entity if corrective action is not taken.

The format of the notices can be configured for each implementation of the SOS Enterprise application and, at a minimum, include a listing of current information on file.

e. Automated notices, how they are sent, and to whom

The adhoc reporting can set reports to run at predetermined intervals and with predetermined criteria. Warning notices can be sent to customers' mail, email, text messaging, etc. The criteria can be based on any data set. For example, a notice can be sent at 90, 60, and 30 days before expiration. These reports/notifications can be scheduled and run automatically at predetermined times (evening or overnight).

f. Workflow/Staff Assignments, Digital/Electronic Signatures, and Redaction

Workflow:

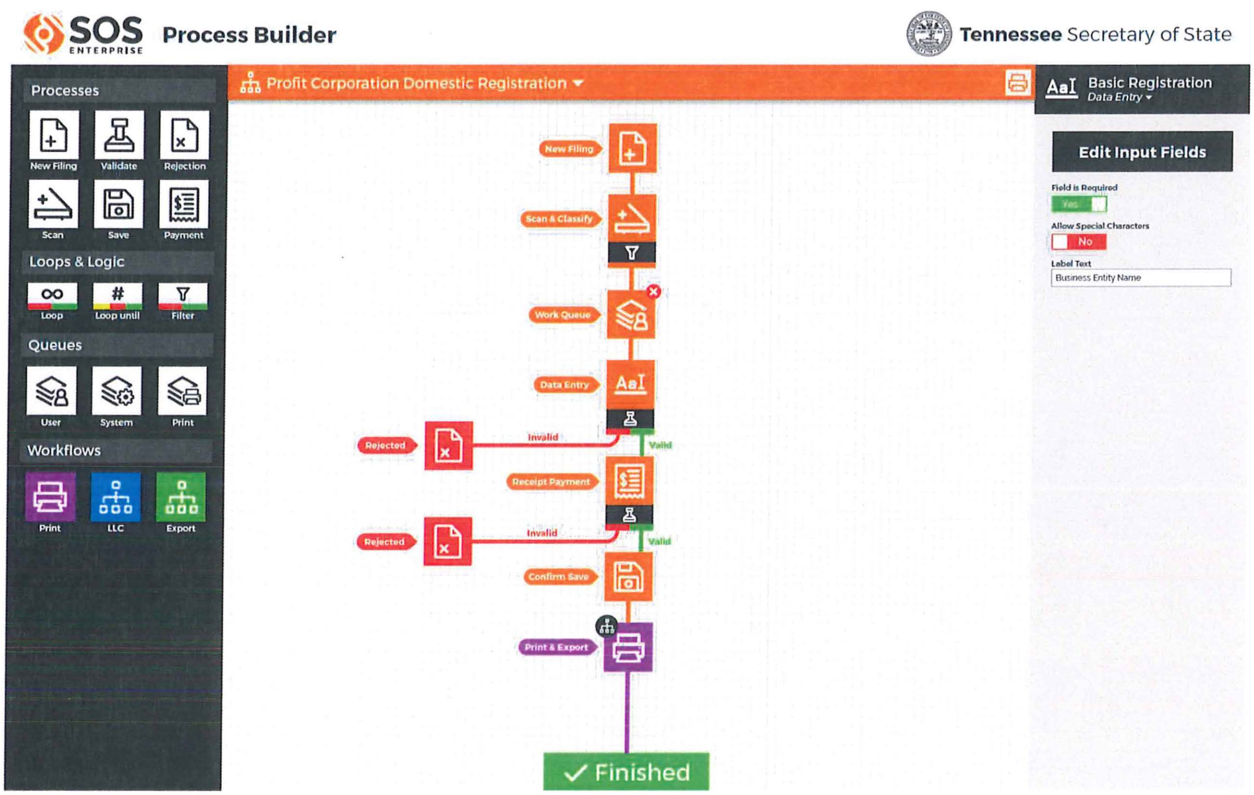
Tecuity completely understands the need for a dynamic solution that allows for the adding, refining, and changing of business requirements as we step into the future. The one thing that is a guarantee is that change will happen based on legislative rules or other mandates.

By simply dragging and dropping the predefined workflow pieces onto the canvas, a new process can be created by a non-technical, administrative user. Additionally, existing workflow processes can be easily edited due to the simplicity of the visual representation.

The proposed solution's rules engine is database driven and does not require code changes or impact future upgradeability and support. The business rules in the proposed solution are defined in database tables and XML based property files and therefore require minimum or no code changes. Any changes/customizations to these business rules for the Nebraska implementation can be made without impeding or sacrificing future upgrades or support. The proposed solution's administrator user interface includes a graphic interface to change existing rules without any vendor or technical resource dependency.

In addition, Tecuity has developed, as part of the SOS Enterprise solution, a robust and comprehensive business process workflow designer. We call this our "Process Builder". This functionality integrates workflow steps and sub-processes with integrated business rules. This functionality allows the Secretary of State office to visually document a business process or workflow and the resulting workflow definition becomes the actual process for a particular business process within the solution. Please reference the following images from our solution.

Process Builder



Digital Electronic Signature

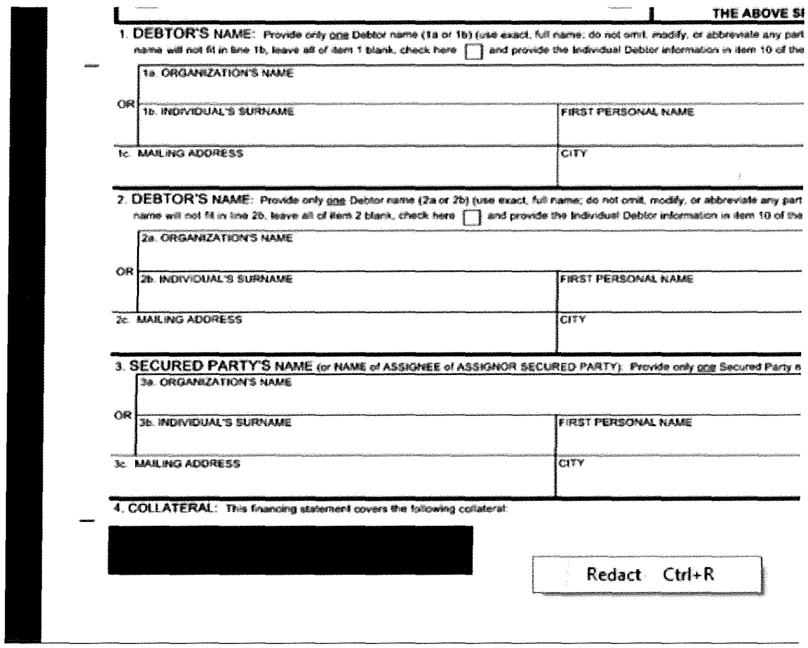
SOS Enterprise incorporates the capture of a digital signature and attestation statements as required by the Nebraska Secretary of State's Office.

Redaction

Redaction and OCR capabilities are built into the system. In both cases when viewing a document the internal user can right-click the mouse select "redaction" or "OCR" and select a rectangular area of the document. The area will then be redacted or copied into an edit window for pasting in a given field.

For redaction the redacted area is burned in to a copy of the document. It is very important to note that there are now two (2) version of the document; the original that can viewed internally and printed only by internal staff, and the redacted copy. Since the redaction is "burned" in to the copy it is impossible to do any sort of peeling or lifting the burn to see what is underneath.

Redaction can also be set up to be automatic for set forms with specific areas identified. The manual redaction described above can be used anywhere on the form. For example, the submitter writes something anywhere on the form that should not be shared with the public can be redacted.


THE ABOVE S

1. DEBTOR'S NAME: Provide only one Debtor name (1a or 1b) (use exact, full name; do not omit, modify, or abbreviate any part
name will not fit in line 1b, leave all of item 1 blank, check here ☐ and provide the Individual Debtor information in item 10 of the

1a. ORGANIZATION'S NAME

OR 1b. INDIVIDUAL'S SURNAME | FIRST PERSONAL NAME

1c. MAILING ADDRESS | CITY

2. DEBTOR'S NAME: Provide only one Debtor name (2a or 2b) (use exact, full name; do not omit, modify, or abbreviate any part
name will not fit in line 2b, leave all of item 2 blank, check here ☐ and provide the Individual Debtor information in item 10 of the

2a. ORGANIZATION'S NAME

OR 2b. INDIVIDUAL'S SURNAME | FIRST PERSONAL NAME

2c. MAILING ADDRESS | CITY

3. SECURED PARTY'S NAME (or NAME of ASSIGNEE of ASSIGNOR SECURED PARTY): Provide only one Secured Party n

3a. ORGANIZATION'S NAME

OR 3b. INDIVIDUAL'S SURNAME | FIRST PERSONAL NAME

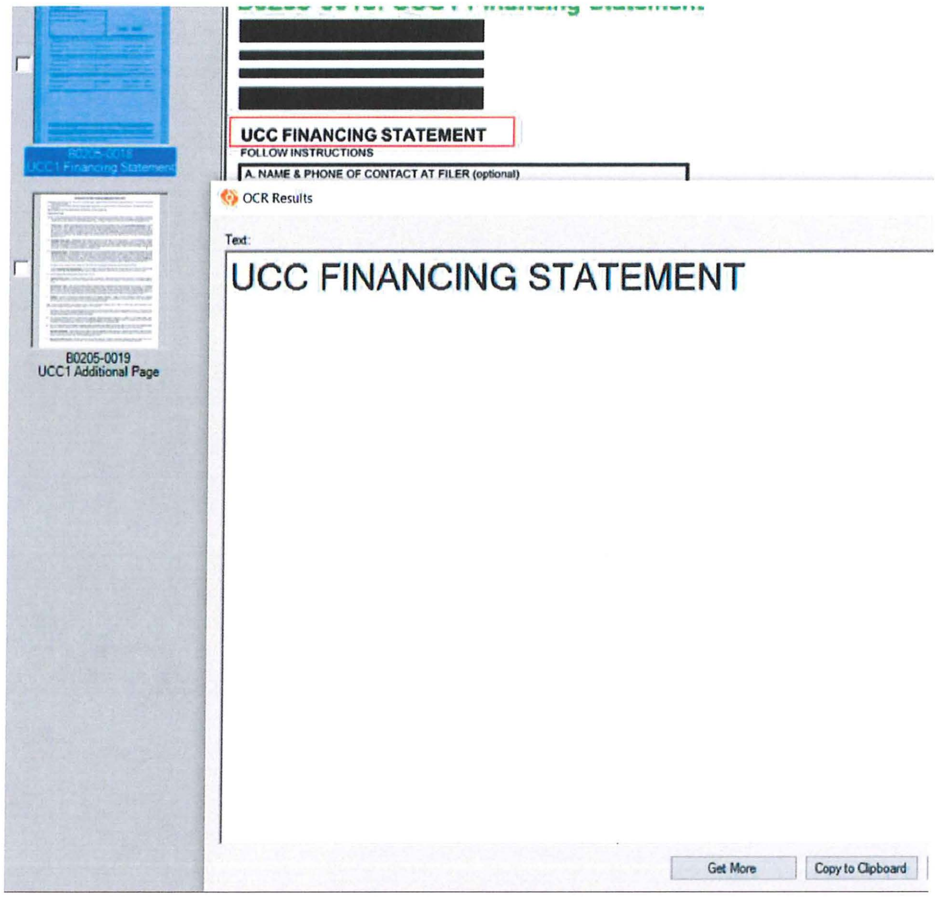
3c. MAILING ADDRESS | CITY

4. COLLATERAL: This financing statement covers the following collateral:

[redacted]

Redact Ctrl+R

OCR Copy and Paste Function



g. Scheduling of actions, reports, notices.

See section e. above.

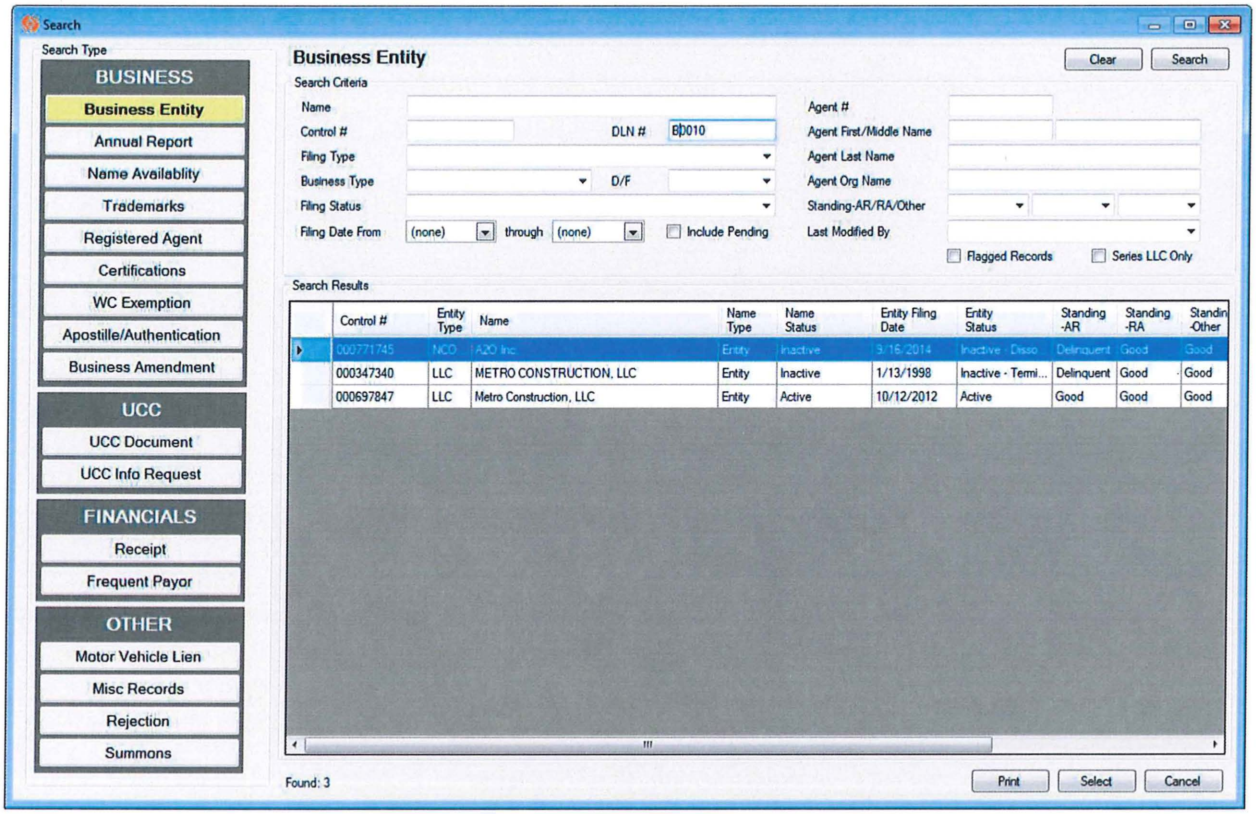
8. Workflow processes to include:
a. name availability

The proposed solution's built-in functionality, data layer, rules engine, and workflow layer is fully exposed through a secure web services layer therefore allowing seamless integration with multiple external agency applications. For external applications that do not support web services, additional options including APIs and data feeds are available.

b. search functionality

The solution provides a robust search and filter mechanism for all document types stored in the system. From this compressive search and filter mechanism, the desired commercial recording record and associated images can be located.

Once located, the user, based on application rights, does have the ability to view and manipulate documents including redaction. The following image demonstrates a search with search results for a commercial recording. In this instance the user searched for a partial document locator number and the resulting matches are displayed.



c. email notifications and communications, including both internal and external customers

SOS Enterprise includes a fully featured notification system. Email can be configured to be sent according to various events and data activities on a data record. This notification includes both internal and external users. Tecuity also has as an option the ability to send text messages. User preferences can be set to receive notifications via email or text message.

The system is configurable to send a multitude of notifications to various users and filers in the solution.

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

SOS Enterprise provides for a full end-to-end process for the various document types managed by the Secretary of State's Office. We fully understand this lifecycle and will incorporate processes according to the Nebraska State statutes and regulations.

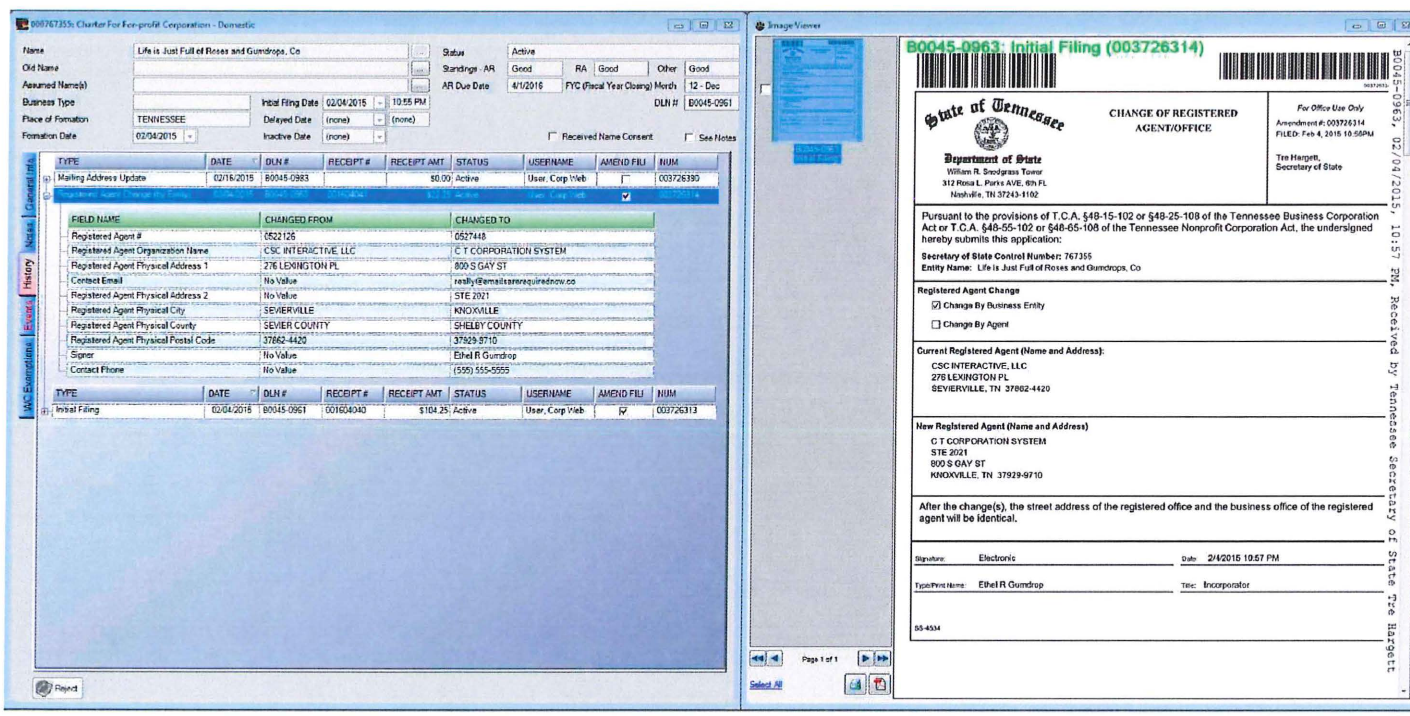
10. Track who performs actions within the system

Tecuity's proposed solution keeps track of access attempt information such as IP address, user information, and time stamp of login attempts, successful logins and logouts. The proposed solution maintains comprehensive audit trails of all units of transactions into a (non-database) log file by user name, date, time-stamp, action type (Insert, Update, Delete, and View), action-reason and data value. These audit logs can be used to reconstruct a damaged database.

Not only is there a technology audit trail discussed above, there is a record level audit trail for all transactions performed by the solution. The solution provides the ability to configure field level change management tracking and recording. For each record that is added, changed, or deleted, the solution provides the ability to track who made the change, what date and time the change was made, and record field level changed from and changed to values. All of this historical data is available in the historical view of documents recorded. This historical view is a comprehensive recording of all amendments, annual reports, corrections, etc. performed on a record. Each event or instance is displayed in chronological order. Examples are address changes, annual reports, registered agent changes, mergers, etc.

Additionally, a key element of Tecuity's SOS Enterprise solution is that in all instances the image is exposed as part of the audit trail detail. The image actually becomes part of the audit trail. We refer to this as a "hardened" image. Operators can make data entry errors. If there is ever a question the actual form's "hardened" image is part of the record and thus a significant addition to the viability of a complete and accurate audit trail.

The following image is a sample of this historical view of changed from and changed to information with an image also displayed associated to the record.



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The proposed solution's audit process captures every time the system is accessed via a query, transaction (online and batch), document management, reporting, notification, amendments, work queue and rules management, acceptance, and rejection of any updates, etc.

There are two types of audit trails within the solution.

- Access audit trail tracks system access via passwords, IP addresses, etc.
- Process audit trail is for seeing all the transactions/events that take place with a particular entity. This audit trail allows internal users to review every change that took place and corresponding authorized create/update authority that effected the creation or update. The solution also logs and records changed from and changed to values including the date and time of the change and the user that facilitated the change.

11. Audit trail of actions including date/time stamping

See 10 above. Everything is date stamped and hardened images are all part of the audit trail. The audit trail functionality within SOS Enterprise is truly one of the most extensive of any application software in the industry.

12. Utility Functions

The solution comes with many utility functions that can be leveraged by the Nebraska Secretary of State's Office. Some of the more popular utilities are as follows:

- User Print Queue Management
- Job/Event/Task Management
- Ad-hoc Mailing Address generator
- Undeliverable Address Management
- UCC Fee Calculator
- Penalty Fee Calculator

13. Training

See Project Description and Scope of Work, Section I. Training.

14. Data Conversion/Migration Plan

The section is repeated from: Corporate Overview Section I, Summary of Bidder's Proposed Personnel/Management Approach.

Every project that Tecuity engages in the data and image conversion play a crucial part in the success of that project. With many years of experience working with other states, Tecuity has developed streamlined processes for consolidating various sources of legacy data into one centralized repository of information and images. Throughout this process, data validation and verification takes place on a continuous basis to ensure a thorough transfer and conversion of all critical data and image records.

Tecuity will work with the Client to identify all sources of data and images that will need to be converted. For each source, a detailed document will be created that identifies proper mapping of legacy fields into the enterprise solution data model. Scripts will be built and added to a centralized data conversion workflow that can be executed on demand and at specified intervals to allow continuous quality improvement and data clean up. On a regular basis, backups of legacy data stores will be requested and run through the data conversion process to provide as close to real-time comparison as possible. Each script, logs necessary audit information, record counts, processing time, and various other metrics in order to validate accurate data conversion and expected results. These metrics and information play an important part in determining rollout and go-live schedules.
As data is converted, reports and extracts are created of possible data discrepancies or inaccurate information. These extracts are given to key staff members that can validate or prove accuracy of the information. These discrepancies are corrected in legacy systems prior to go-live in order to provide as smooth a conversion process as possible or added to the data conversion plan for post-conversion cleanup. This is an iterative process throughout the project and is placed in the testing environment for staff members to review each time a new conversion is run.

Conversion of legacy images follows a similar process and has the same level of integrity checks and validation.

The end goal is to bring all necessary information of the system into a consolidated and reliable data repository that provides real-time tracking and filing of all information outlined in this project effort as well as the necessary backup and offsite redundancy to ensure consistency in the system and to all users.
Should any transactional (payments, invoices, vouchers, outstanding records) information exist and need to be persisted into the new system as the old one goes offline, these will be identified and appropriate plans and enhancements will be added to the solution to accommodate proper handling of that information until it is phased out.

Migration Assumptions

The risks in data migration projects are not surprising but nevertheless have potential impact.

- The beginning data needs to be clean and identifiable. Identity means the record type and/or relationship/links to other data exists. Images especially, need ties to host records.
- Bad data in the source system will only result in bad data in the future system. Some data clean-up can be addressed in migrations if it is systemic.
- Multiple source images convert to a single format in the future system.
- The iterative approach has to be validated by the in-house staff to ensure accuracy.
- Complete access to the data and database structure is granted to Tecuity.
- Source system has to be frozen during final data conversion – cannot convert a moving target.

Migration Steps

Tecuity is proposing to assume overall responsibility and to provide a full range of data and image conversion services for this project. Tecuity assumes the NE SOS will provide resources to assist in completing conversion activities and NE SOS will be responsible for the extraction of data from the legacy system listed in this requirement into a uniform format, which can easily be imported into the proposed solution. Tecuity will be responsible for the transformation and loading of the data and associated images.

Tecuity will provide the overall management and oversight for all conversion activities. In our scope of work, Tecuity will work jointly with NE SOS stakeholders to` define:

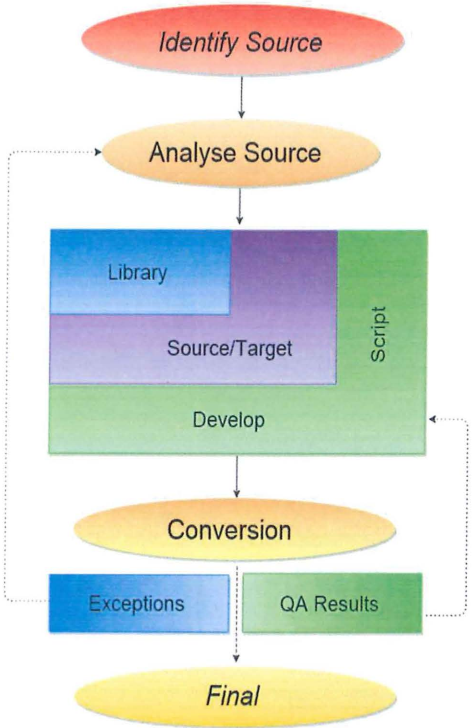
- Data Entities to be converted
- Images and associated indexes to be converted
- Amount of data and history to be converted
- Conversion scripts for transforming and loading the current data
- Converted data validation requirements and methodology
- Report data discrepancies in legacy data if found in data transformation processes

An overall data and image conversion plan will be created with the detailed steps required to perform the conversion. This plan will be formulated by first analyzing the data from the existing databases and systems. Once this data analysis is complete, Tecuity will perform the data mapping process for all the databases. One of the primary components of any conversion approach is an accurate data mapping process. Part of the mapping process will also help in identifying defaults, data anomalies, conversion rules, and other specifics. Even in a well-designed conversion process, there will be some elements that cannot be mapped, defaulted, or inferred. The conversion specifications will identify the situations where such data exceptions can occur and the data elements that cannot be converted. Such data exceptions will be identified for further resolution.

Tecuity will provide the technical expertise to map data, images, and related indexes to be converted into the proposed solution and develop technical specifications. Tecuity's conversion experts will provide the knowledge, guidance, and assistance in completing manual data conversion activities.

Tecuity's Data Conversion Strategy:

Conversion effort goes through an iterative multi-pull strategy. This involves extracting the data from the current databases in multiple pulls, with each subsequent pull resulting in cleaner converted data. Through this iterative process, the data conversion routine further refined in each iteration fine-tuning the output data to ensure the most-clean data possible.



Initial Data pull: Data extracted during this pull is used to analyze the current data structure and format. Conversion routines are developed based on the analysis of the data during this pull. Other relevant management scripts are also created during this pull. These management scripts are used to reconcile record counts between the source data and the converted data such as total number of business registrations, number of annual report, amendments, etc.

Exit Point/Milestone: Conversion Requirements Document

Interim Data Pull: Data extracted during this pull is used as the source data for the conversion routines that have been developed. The converted data is analyzed for structure and format and it's adherence to the proposed solution's data model.

Errors that are reported during this pull are resolved through interaction between NE SOS and Tecuity. Resolution of the errors will be achieved by one or more of the following ways

1) changing the data type/structure of error fields
2) assign default values while converting for non-existent fields in the source.

During this phase conversion scripts go through an iterative process of refining and testing the data that's processed through them. This iterative approach results in high accuracy of the converted data. This pull is concluded upon the acceptance of the converted data by the NV SOS.

It is also recommended to engage in a user acceptance test of the converted data by connecting it to testing/staging application to make sure that the converted data flows seamlessly through the application. NE SOS users can validate in this test environment that converted data is accurate and matches the source record data in the legacy system.

Exit point/Milestone: Production ready converted data
Final data pull: Extraction of the data in this pull is initiated after successful user acceptance testing and before the "go-live" deployment of the new solution. Once the data is pulled it is recommended 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.

15. Batch Reports/AR – Receipting

a. Invoicing

Included in the solution is a comprehensive accounting / receipting system that allows for tracking all incoming and outgoing payment types or options along with a variety of reports and audit logs to ensure accurate financial tracking. As checks are received and scanned into the system, they become available to pay for filings, invoices, or towards pre-paid accounts. All monies collected throughout the day are accounted for and many split-role functions are distributed across user roles to ensure accurate revenue collection and distribution all the while providing easy-to-use reconciliation and end-of-day processing.

The system provides many configurable options to manage how all accounting features, fees, and charges are handled both internally and online for public users. This provides a single point of configuration to match necessary future changes.

b. Payment processing

Generally we have interfaced to the state's current approved vendor for credit card payment processing. From an accounting standpoint, payment amounts can be distributed across revenue accounts based on formulas that include percentage distribution or set amount distribution or combination thereof. Reports can be generated by batch showing the complete distribution and through API be transferred to the accounting (ERP system).

We have effectively interfaced to all our customers accounting systems.

Currently SOS Enterprise provides a variety of bulk filing options based on the needs of each state. Supported document formats are xml based as well as flat file. Other formats can be configured as well. This bulk filing and payment process allows for more automation and provides a higher level of customer service to those large filers. Through various API and / or web services, the solution can easily reduce the amount of paper received in the office and provides for a faster turn-around to the end user. Currently all states using SOS Enterprise have seen dramatic increase in throughput and document turn-around with a large reduction in rejected documents.

c. Tracking and reporting of accounting information

See section b. above.

d. Automated interface with the State's accounting system, Payment and Financial Center (PFC)

See section b. above.

16. Scope includes all the functionality of the current system, all Appendices, and Attachment A

From our review of the request for proposal and accompanying documentation we have responded with our SOS Enterprise solution that will meet and in many cases exceed the needs as outlined in the RFP.

17.	Annual/Biennial Updates (Reports)

Annual/Biennial reports can be submitted online. SOS Enterprise also has an 'Event" function that allows will sent notification letters to companies based time intervals prior to delinquency (user defined, for example, 90, 60, and 30 days prior to expiration) and of course can also send delinquency and dissolution notices.

Events are user defined and created. In each event the out bound letter image is captured in the system and is now a part of the audit trail. When the customer calls in and states they received a notice the staff member can see an actual hardened copy of the same letter. This can be configured to use email notification also if allowed.

SOS Enterprise comes with ??? report preconfigured. A user can use the built-in report writer to create or modify existing reports. Reports can be run on demand or can be event driven and available to specific users as needed.

18.	Integration with Image Library

See section 1. above.

19.	Barcode readers, Barcode label printers, barcode hand scanners or replacement product set.

From our review of existing hardware we believe it can be leveraged in the deployment of the new solution. We have proposed Canon high-speed scanners as an option as they allow the physical printing of a time stamp on the received paper documents. The specifics and use of the Canon scanner will be addressed in gap analysis.

20.	Use modern technology that is supportable using local resources and can be configured using SoS internal resources.

This discussion must start with an understanding of our architecture. As such the presentation layer is configurable by users for screen layout, reports, and forms generation. We also have a Workflow generator discuss elsewhere in this document. User roles and rights are definable by state employees.

The Tecuity software solution (SOS Enterprise) is built on sound technology and industry best-practices. The SOS Enterprise solution utilizes an N-tier architecture isolating the User Interface, Application Server tier, and Database tier. This isolation enhances the maintainability of the software and provides adaptability and scalability as new features and functionality are needed in the future.

The software is built using Microsoft technologies. The code is written in C# .Net and supports the .Net Framework 3.5 or greater. The database supports SQL Server 2008 or greater. As an example, this software solution is currently running in the Secretary of State's Office in Wyoming. The system is housed at a State central IT location utilizing the State's web server farm, application server farm, and database server farm. The system supports both client and web users within the state network. In addition, a public facing website and web applications have been developed for both the UCC system and Business Entity System. Tennessee, South Dakota, and Wyoming have implemented this solution in a similar environment on state infrastructure. If desired, the SOS Enterprise Solution can be hosted in a cloud environment external to the State network.

Tecuity is confident our solution meets the technical requirements as described in the request for proposal issued by the state. Furthermore, because we have implemented this solution in three other states on-time and on-budget meeting each states individual and unique requirements, we are confident our solution will meet and in many cases exceed the technical requirements as outlined by the state.

The following information is provided to give the Nebraska Secretary of State's Office more detailed information about the architecture of the solution.

Scalability

The solution has been architected with industry best practices for all application tiers to make the system scalable and available. The solution can be deployed into various environments including virtual environments and server farms at each tier of the n-tier architecture for scalability and demand.

Technology (Language & Database)

This section describes the technology, platform, hardware, and software required to implement SOS Enterprise. Each installation will vary based on the filing authorities' environment and existing infrastructure.

Platform & Technology Details

SOS Enterprise has been developed according to industry standards and best practices.

- Industry-standard technologies Microsoft .NET, AJAX, Microsoft SQL Server, Extensible Markup Language (XML)
- Distributed N-tier architecture
- Implemented web services to provide scalability and maintainability
- External interfaces for data sharing, consuming, and producing
- Comprehensive productivity management and user metrics
- Workflow and events management
- Automatic application deployment for system management
- Flexible security model
- Scanned/Image document processing
- Third-party integrations for online credit, debit, and ACH processing (E-commerce)
- Extensive system reports & ad-hoc reporting
- Agile software development & implementation methodologies

Minimum System Requirements

The following outlines the minimum required hardware and software configurations for each N-tier in the deployment of SOS Enterprise.

Web Server
• Hardware: Dual Core Processor (3GHz+), 8 GB of memory, 200 GB of disk space • Software Configuration: Windows Server 2008 R2 or higher, IIS 7.0 or higher, and Microsoft .NET 4.0 SP1 or higher
Application Server
• Hardware: Dual Core Processor (3GHz+), 8 GB of memory, 200 GB of disk space Software • Configuration: Windows Server 2008 R2 or higher, IIS 7.0 or higher, and Microsoft .NET 4.0 SP1 or higher
Database Server
• Hardware: Quad Core Processor (3GHz+), 16 GB of memory, 500 GB of disk space • Software Configuration: Windows Server 2008 R2 or higher, IIS 7.0 or higher, and Microsoft .NET 4.0 SP1 or higher, SQL Server 2008 SP2 or higher

N-tier architecture

N-tier architecture is utilized in SOS Enterprise to facilitate maintainability extensibility, and scalability with a look to the future.

Presentation Tier

The presentation layer is responsible for displaying the user interfaces. Currently a .NET desktop application and a responsive web application are available depending on customer needs.

- User-centric, highly intuitive interface
- Personalized user experience by user/role
- Rich, highly interactive web pages, responsive design, AJAX enabled
- Server processing of web pages

Business Tier

Responsible for accessing the data and enforcing business rules.

- All methods web enabled (Web services)
- Highly configurable business rules
- Manages all information between the data and presentation tiers
- XML document schemas
- Business logic layer
- Data access layer

Data Tier

Represents the database and provides consistent record management throughout the system.

- Enterprise Database Management System (Microsoft SQL Server)
- Utilizes stored procedures for increased security and configurability

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21.	Improve the level of functionality of the existing system and accommodate expansion of services.

See section 20 above.

22.	Interface with Portal and accommodate the expansion of online services.

SOS Enterprise comes complete with a robust and extendible and expandable framework for integrations with other systems. The solution will be adjusted as necessary to provide any additional interface methods in place as required when interacting with other state systems and the web portal. Tecuity is confident we can incorporate the needed functionality.

23.	Eliminate existing silos in the current system so that filing processes, accounts receivable, and deposit preparation are completed in one system.

SOS Enterprise is truly an enterprise system. All of the data and images associated with Business Entity, UCC/EFS, and Notary are housed in a single database. We interface effectively with payment processing and accounting (ERP) systems.

In the case of Nebraska, we will also interface with OnBase – effectively adding an image silo beyond our normal implementation.

24.	Provide extensive reporting capabilities both standard and ad hoc.

See section Letters and Templates in the requirements matrix.

25.	Auto generates and manually populates templates.

See Section D.7.c

26.	Administrative systems to support various accounts: billing, accounts receivable, and accounts payable, including online and electronic payment processing capabilities;

SOS Enterprise provides for the financial administration reports, tools, processes as identified in the request for proposal.

27.	Enhanced search engine capabilities and organization to navigate and search the database that allows users to easily find services and content.

Comprehensive search for various documents and filings throughout SOS Enterprise, including name availability. Inherent in each search option is the ability to enter multiple search criteria to narrow search results. Configuring search rules including search result fields and the management of "Noise Words" is available through application settings and configurations.

The solution allows for the recording and processing of amendments to original filings on record. There are currently over 95 amendment types that can be configured for a filing authorities' use. Applicable amendment types will be enabled and additional types can be customized to meet the filing authorities' needs. The processing of amendments includes a complete historical tracking of changed record values.

Provides for the annual filing of reports and lists due by business entities. Through this process entities can pay for fees due, update physical and mailing addresses, update officers of the entity, and correct registered agent information if applicable. Included online functions drastically reduce internal staff workload.

Enables the filing authority to record information about received documents that do not conventionally conform to regular business entity filings. This includes the ability to capture the type of document received and submitter information.

Records receipt of any document or filing that must be returned unrecorded. Rejection reasons can be configured by filing type, document type, etc. The process of recording a rejection also generates a letter indicating the reasons for the rejection to be sent back to the submitter. Document images of the submitted documents are associated to the rejection record.

Provides registration of various Registration Statements namely stocks, bonds, and other investment offerings.

SOS Enterprise is packaged with a multitude of reports and comes complete with a report designer. Additional reports can be created easily and appropriate rights established for users to access each report.

Provides management of Apostilles & Authentications verified documents.

SOS Enterprise contains comprehensive automated processing and event creation based on the specific business needs and legislative requirements of the filing authority. Automated events and jobs are configured to run daily and monthly to ensure customer notifications and timed events are processed punctually and accurately. Below is a partial list of these processes to illustrate some of the ways automated processing can be leveraged.

* Filing Expiration Warning Notices
* Name Expiration Warning Notices
* UCC Financing Statement Lapse Date Warning Notices
* Data Download File Creation
* Annual Report/Listing Due Notices
* No Registered Agent Notices
* Entity Expired Notices
* Entity Delinquent Processing for Tax, Registered Agent, and Other
* Inactive Entities Processing
* Image generation from Online Filings
* Workers Compensation Registry Processing

28. Printing file stamp with barcode for miscellaneous documents to be scanned.

SOS Enterprise contains the ability to define and manage document lable templates. Templates will be defined and incorporated as required.

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;

SOS Enterprise has a robust accounting system included. The system is designed to interface with the state's current credit card clearing authority and the state's accepted cash (check) receipting processes. The robustness of the system lies in the receipting of payments and distribution of funds as stipulated by the state.

First there is a one to many or many to one receipting capability. This means that one check can pay an array of fees (actions). Conversely, there can be multiple payment methods towards one fee (action).

No matter the payment option that funds receipted funds can be distributed to revenue accounts based on formulas and/or fixed fees. See Section Scope of Word Section D.15.a.

4. extensive reporting capabilities both standard and ad hoc;

See Section D.7.a.

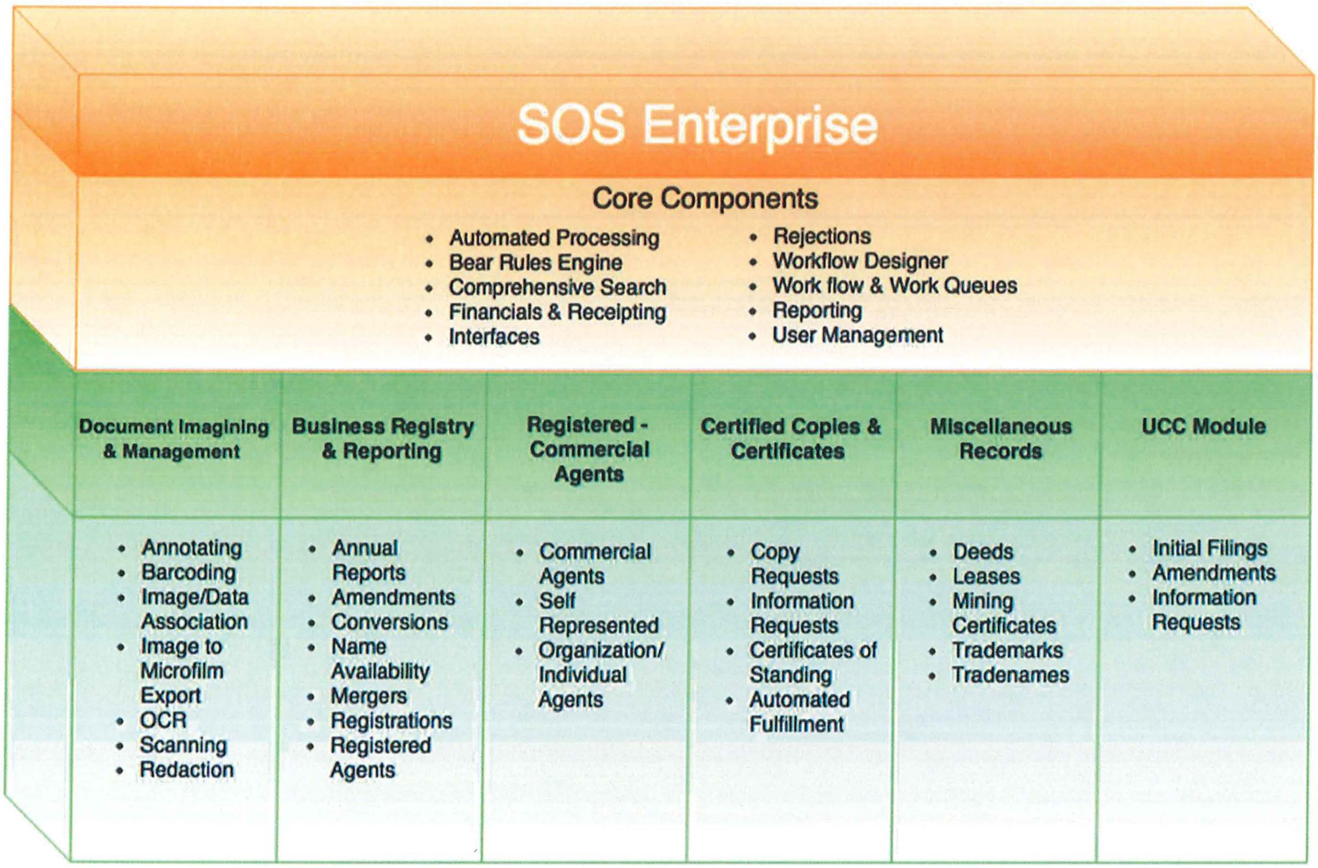
4. software which provides APIs to the portal manager, document imaging, state accounting, and credit card processing contractor;

The proposed Tecuity software solution is built on sound technology and industry best-practices. The SOS Enterprise solution utilizes an N-tier architecture isolating the User Interface, Application Server tier, and Database tier. This isolation enhances the maintainability of the software and provides adaptability and scalability as new features and functionality are needed in the future. The proposed solution supports all the above business processes including Commercial Recordings, Notaries, Trademarks, Securities, UCC and several other similar processes. The proposed software is also easily scalable to support high volumes of transactions and users.

The software is built using Microsoft technologies. The code is written in C# .Net and supports the .Net Framework 3.5 or greater. The database supports SQL Server 2008 or greater. As an example, this software solution is currently running in the Secretary of State's Office in Wyoming. The system is housed at a State central IT location utilizing the State's web server farm, application server farm, and database server farm. The system supports both thin-client and web users within the state network. In addition, a public facing website and web applications have been developed for both the UCC system and Business Entity System. Tennessee, South Dakota, and Wyoming have implemented this solution in a similar environment on state infrastructure. If desired, the SOS Enterprise Solution can be hosted in a cloud environment external to the State netwo

Modules & Components

SOS Enterprise is comprised of several modules that can be both enabled and configured depending on the needs of the filing authority.



Modules shown are described as follows:

- **CORE** – this functionality is included in every distribution of our Enterprise solution. At its root, CORE represents the workhorse and engine that drives all processes within the system. CORE also includes several components that relate directly to all modules in the system. This includes financials, user batches, receipting, rejections, reporting, user management, print queues, work queues, interfaces, etc.
- **Document Imaging and Management –** associates scanned or digitally created documents to a data record in SOS Enterprise. Images can always be shown side-by-side with their associated data elements for a clear picture of all information collected by the filing authority. This module includes image classification and barcode options that provide easy data input and view control. Any classification can be marked as a public (included in a copies request) or private (viewable only to internal staff). OCR & ICR data extraction is also a major component of the imaging system that significantly reduces manual data entry.
- **Business Entity Registration –** manages everything related to business entities, annual reports and related amendments. Also included with this module are other components that are

directly related to business entity processing such as registered agent management, name availability searches, conversions, mergers, etc. The ability to file amendments is also provided in this functionality each based on business rules and entity type. This module includes but is not limited to corporations, limited liability companies, limited partnerships, limited liability partnerships, cooperative associations, and more.

- **Commercial Registered Agents –** manages the recording of registered agents and commercial agents depending on filing authority requirements. If the agent is an organization, then an association between the agent record and its corresponding business entity record can be maintained. Based on statute, the registered agent or commercial agent module can be configured within the application. Registered agent information, if required, is also displayed with business entity information. A registered agent assignment tool provides the ability to assign entities from one registered agent to another and to merge agent records
- **Certified Copies & Certificates –** Manages requests for certified copies, certificates of existence/authorization, certificates of good standing, certificates of facts, certificates of non-existence, etc. Facilitates the preparation of copies and in many cases provides complete auto-generated results. Also available online as self-service options.
- **Miscellaneous Records –** this module has been built in a configurable manner to handle many different document types that have generally simple rules associated to them. Examples of existing documents in the miscellaneous records module are mechanic's liens, transient merchants, travel agents, mining certificates, deeds, leases, joint exercise of government powers agreement, etc.
- **UCC (Uniform Commercial Code)** – this module handles Financing Statements (UCC1), Amendments (UCC3), Information Statements (UCC5) and Information Requests (UCC11).

Additional modules available are:

- **Notaries**
- **Trademark & Service Marks**
- **Apostilles and Authentications**
- **Service of Process - (Summons)**
- **Commercial Business Licensing**
- **Occupational and Professional Licensing**

5. software that is accessible to users running popular browsers such as Microsoft Internet Explorer, Safari, Firefox, and Chrome;

The proposed solution's back-end support Microsoft Windows Server. The front-end user desktops require the Microsoft Windows operating system. All popular web-browsers including IE, Chrome, Firefox, and Safari are supported.

Tecuity follows the industry standard best practices to secure application programs and avoid application vulnerabilities. Following are the some of the areas where best practices are implemented in the application code:

- Avoid Session Hijacking - Session Hijacking is capturing the session of another user, which in effect means being able to impersonate the user in the eyes of the application.
- Avoid Information Gathering – In Information Gathering, the purpose is not to actually perform an attack, but rather to reveal information on the system, which can further assist in other attacks.
- Avoid XML Injection - XML Injection occurs due to the fact that the backbone of a web service is XML. Any inputs passed in XML can be the subject of an injection attack.
- Avoid SQL injection - In a SQL Injection attack, the attacker is able to modify the SQL command that is being executed at the backend database to read, delete, or insert data. The SQL command injection is carried out by variety of means, including form inputs in a HTML page.
- Data encryption of important /sensitive data in the hidden fields.
- Avoid Buffer Overflow - Buffer overflow happens when data that is sent as input to the server overflows the boundaries of the input area, thus causing the server to misbehave. Buffer overflows can be used to make the server run a code sent into the overflowed buffer.
- Client and server side input validations - check what type of data has been inputted and validate against the data type the application is expecting. This way the system does not rely solely on client side validation.
- Avoid Cookie Poisoning - Cookie Poisoning is changing the contents of cookie saved in the client's computer in such a way that it would change the normal flow of the application.
- Avoid Brute Force - Attacks designed to steal passwords or session ids, by means of enumerating a large number of password/session ID options.

Tecuity is also proposing data encryption standard to protect the data at rest and utilization of Secure Socket Layer (SSL) using HTTPS protocol to protect the data in transit. An SSL certificate lets the end user know that they are really doing business with the proposed solution (not a non-secure website), and that the information they send through the site, such as personal information in online forms, is protected from interception or alteration over the Web. Furthermore, Tecuity has incorporated field-level encryption on personal sensitive data stored in the database.

The proposed solution implements 128-bit/256-bit SSL Digital Certificates in the web server layer for server authentication to protect all incoming requests from the client web browser. This authentication secures all inbound messages and ensures that all data passed between the web server and client web browser remains private and intact.

The communication to the proposed solution will be achieved by SSL digital certificates with 128-bit/256-bit encryption between the browser clients and the web server. In addition to SSL encryption a user session management component in the web server shall be used to manage the state information between user-browser and the server. This will further ensure requests are not compromised. 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. Because cookies are not persistent on the browser, the user shall need to login after each time the browser is closed and reopened.

An application login screen shall be provided for the user to enter their User Id and Password to gain access to the system. The user password will be encrypted. Single sign-on capabilities may also be implemented for state staff logins to the solution. The system allows the creation of an unlimited number of application roles. Users are limited access to the various solution functions and data dependent upon the particular role assigned.

6. conversion of the current system's data;

See Corporation Overview, i. Summary of Bidder's Proposed Personnel / Management Approach; also see Section G.1.a

7. enhancements which easily accommodate statutory requirements, rules & regulations, and policy changes (e.g., add new business entity types and forms, update filing fees);

Adding new document types to either the business registry and UCC functions is allowed by the system. The previous states we have worked with do not have the same set of documents. Each has different documents. The system design allows the user to create new documents and easily create their own workflows. The presentation layer of the n-tier design then will present the document to external and internal users as specified.

As discussed previously, Tecuity has deployed a special category of "Miscellaneous Records." Admittedly, this is not the best product description. In the previous paragraph we talk about adding new forms to the forms library used for registry and UCC. "Miscellaneous Records" are simply for those forms and processes outside the forms library. Miscellaneous Records – this module has been built in a configurable manner process/document types that have generally simple rules associated to them. Examples of existing documents in the miscellaneous records module are mechanic's liens, transient merchants, travel agents, mining certificates, deeds, leases, joint exercise of government powers agreement, etc.

8. ongoing maintenance updates;

Periodic system maintenance is performed based on the schedule identified by the Nebraska Secretary of State's office and state hosting staff. Tecuity will work with state staff to coordinate times when production would not be available. This could be due to a system maintenance patch or other routine maintenance.

For software product updates and deployments to production, Tecuity and the Nebraska Secretary of State's Office will agree to all outage and upgrade times. We have been successful at providing minimal production downtimes in upgrades to our solution in other states. We envision providing the same level of service to the State of Nebraska.

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For software product updates and deployments to production, Tecuity and the Nebraska Secretary of State's Office will agree to all outage and upgrade times. We have been successful at providing minimal production downtimes in upgrades to our solution in other states. We envision providing the same level of service to the State of Nebraska.

9. helpdesk support; and

See section in the matrix on support and maintenance and help desk.

10. training and applicable instruction materials to system users.

See: Project Description and Scope of Work, Section I. Training.

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.

Tecuity agrees to comply with the requirements as outlined.

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.

Tecuity agrees to comply with the requirements as outlined.

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:

www.nol.org
www.ne.gov
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.

Tecuity agrees to comply with the requirements as outlined.

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.

Tecuity agrees to comply with the requirements as outlined.

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

Tecuity agrees to comply with the requirements as outlined.

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.

Tecuity agrees to comply with the requirements as outlined.

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").

All previous Secretary of State implementation have been accomplished by using the states' credit card processing vendor.

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

Tecuity agrees to comply with the requirements as outlined.

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;

Tecuity is in agreement and will comply with the requirements as outlined.

b. descriptions of approach to knowledge transfer, including capturing and preserving the knowledge necessary to maintain the functions, applications, and services of the system?

Tecuity is in agreement and will comply with the requirements as outlined.

c. data mapping and conversion of SoS system data;

Tecuity is in agreement and will comply with the requirements as outlined.

d. the resources and the time commitments for training and knowledge transfer activities;

See: Project Description and Scope of Work, Section I. Training.

e. measurements for proving the knowledge transfer is effective;

Tecuity is in agreement and will comply with the requirements as outlined.

f. roles and responsibilities as they relate to the project;

Our team will consist of Tecuity resources that have participated on projects of similar size and scope for other filing authorities. It is our experience and expertise that sets us apart from the competition and ensures project success.

The following table outlines the Tecuity resource and the role they will be providing on the project.

Resource/Role	Description/Responsibilities
Tecuity Resources	
Jon Evans, Project Executive	Responsible for the success of the project engagement. Holds a position on the executive steering committee.
Kris Kofoed Project Manager	Provide project oversight, project management, reporting progress and issues to Tecuity and the Secretary of State's Office. Holds a position on the executive steering committee.
Andy Rasmussen, Implementation/Integration Lead	Responsible for the implementation and coordination of all development tasks and leading the technical team.
John Wright, Software Development Lead	Responsible for all configuration, architecture, and deployment of all system components and processes.
TBA, Subject Matter Expert(s)	Tecuity subject matter experts will work with the NE SOS subject matter experts to fine-tune and identify specific functional requirements. Subject matter experts will also participate in user acceptance testing to ensure successful project delivery.
Implementation Team, Implementation/Configuration	Responsible for the configuration and implementation of the SOS Enterprise Solution configured for ND SOS.
QA Team, Quality Assurance/Test Specialist	Responsible for quality assurance, testing the application, and coordinating test efforts. Reports to the project manager on anomalies and issues to be resolved.
DBA Team, Data/Image Migration	Responsible for all data and image migration from the legacy system to SOS Enterprise. Works with NE SOS to ensure source data is accurately identified, converted, and validated in the new solution.

g. point of contact and procedures for managing problems or issues during the implementation period;

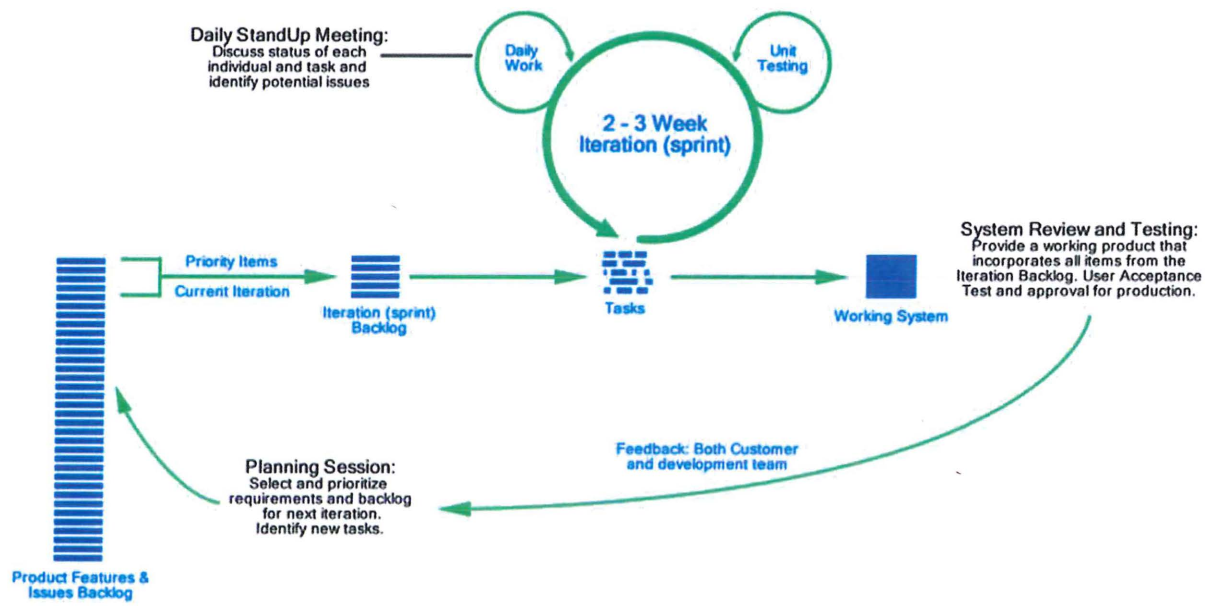
Tecuity knows that success is a result of an efficient and accurate implementation process. Our process includes the clear definition of project deliverables, functional work items, and anticipated outcomes. We use an iterative approach with frequent releases of componentized business functionality. Through our "Get Clear" strategy we work collaboratively with our clients to conduct frequent candid communications to ensure all aspects of the implementation process are on track and according to schedules defined.

Some key benefits of the Tecuity process are:

- Real results (completed work items) are available for review and testing in weeks not months
- Focus is given to high-priority items early in the process
- Functionality is released as small components or modules of the larger solution
- Iterative planning meetings clarify requirements, demonstrate progress, and enable early feedback of completed functionality
- User feedback is incorporated into subsequent releases
- Users inherently receive training by playing a key role in identifying and validating functionality and participating in acceptance testing

A diagram of the Tecuity implementation methodology is as follows:

Tecuity Product Lifecyle



Following this process, the Tecuity implementation plan is identified in the following project segments:

- Segment 1 – Project Initiation
- Segment 2 – Analysis-Business Requirements
- Segment 3 – Data & Image Conversion
- Segment 4 – Configuration & Implementation
- Segment 5 – User Acceptance Testing
- Segment 6 – Training
- Segment 7 – Production Deployment
- Segment 8 – Warranty Period -Transition to Support and Maintenance

The following table describes each project work segment and anticipated deliverables.

SEGMENT	DESCRIPTION	DELIVERABLE(S)
1	**Project Initiation** Tecuity team members and the NE SOS will agree on the project scope, milestones, iterations, development tasks, and deliverables for this effort. Mutual buy-in and individual team member roles must be understood by both Tecuity and the NV SOS. All resources must understand the goal of the project effort and have a clear vision of project success. Tecuity team members will work with the NE SOS project manager to establish and refine the work plan and obtain schedule approval.	Project Kick-Off Meeting Initiation Documentation Online Issue Tracking & Management Change Management Plan Defined Updated Work Plan & Sign-off Updated Project Roadmap
2	**Analysis-Business Requirements** Business requirement analysis is conducted involving the NE SOS key stakeholders, project manager, subject matter experts, users, and administrators. In this effort the Tecuity team works in an iterative fashion to identify functional requirements and business process improvement recommendations as preparation to Segment 4 – Configuration and Product Implementation. The Tecuity team will focus first at a high-level then work to define and refine functional requirements into deliverable	Gap Analysis – Utilize existing process maps and policy/procedures Sandbox Created Functional Requirements Requirements Matrix Analysis Sessions Physical Data Model (PDM) SOS Enterprise Solution base configuration Updated Work Plan

	work items.	
3	**Data & Image Conversion** Data extract and image conversion processes are performed throughout the implementation process. This process goes hand-in-hand with segment 4 of the iteration plan. Data and image conversion will be performed a minimum of three iterations with each iteration providing a cleaner data migration than the prior iteration. Each iteration pass provides opportunity to identify discrepancies and tighten up data conversion routines. Tecuity will work with the NE SOS IT personnel in order to extract data and images from the legacy system. Data will be transformed into is proper format, images will be converted to single page document sets, and data and images will be loaded into the SOS Enterprise Solution.	Data Migration Matrix Data & Image Conversion Plan Exception Reports per iteration A minimum of three data conversion iterations will be performed (Initial, Midpoint, and Final)
4	**Configuration & Implementation** The Tecuity Team translates business requirements into the working software solution and ensures all requirements have been met. Working collaboratively with the NE SOS project team, Tecuity will conduct review sessions of the working software implementation. As part of this effort converted data is also necessary for proper evaluation and review. It is Tecuity's practice to perform an initial data conversion in this segment and continually improve the data conversion process as anomalies are identified. Having data in the solution at the time of review clearly demonstrates the new solutions functionality. Tecuity will follow an iterative approach as functionality is implemented to provide early and consistent feedback, identify	Development Environment Setup Configure the SOS Enterprise Solution for Business Registrations Configure Online Applications Application Reports Identified Review Sessions Documentation & Test Cases Defined Updated Work Plan

	discrepancies in the implementation, and provide informal training of NE SOS resources. Throughout this segment of the implementation unit, functional, and operational testing will be performed.	
5	**User Acceptance Testing** In this segment all aspects of the solution are fully tested by the NE SOS project team in the test environment and compared to the RFP requirements and detailed configuration documents generated in the analysis phase. This effort is to ensure all requirements have been provided and the solution is functioning according to expectations. User Acceptance Testing provides validation that all system and interfaces are working according to specifications.	Test Environment Configured Final UAT Plan Completed User Acceptance Testing with results reported Updated Work Plan
6	**Training** Tecuity trainers will provide two types of training sessions, operational and technical. In the operational training, users will lea row to run the solution for normal day-to-day activities such as searches, perform data entry, print queues, reporting, as so forth. In the technical training, technical Staff such as database administrators, system administrators, and support staff will learn various duties. This includes maintaining users, configuring task workers, updating applications settings, updating business rules, and configuring reporting templates.	Finalized training material Training Sessions Technical Documentation User Manual Online Help Updated Work Plan
7	**Production Deployment** Tecuity installs the configured BEAR Enterprise Solution into the production environment for operation and production roll-out.	Production Environment Configured Finalized System Documentation Final Data Conversion and Data Load Deployment/Rollout

	Tecuity ensures all automated processes are configured and scheduled for event processing. Tecuity and BCS ensure all data backups, redundancy, and disaster recovery mechanisms are in place and functional.	Post Implementation Plan Post Deployment – Technology Transfer Project Close-Out Meeting
8	**Warranty Period -Transition to Support and Maintenance** The 90-day warranty period begins the day the application is deployed into production environment. The system warranty covers bug fixes and issue resolution to support production-related issues. In order to meet the needs of the NV SOS, Tecuity is ready to transition to the optional support and maintenance segment of the engagement.	Bug resolution as it relates to production issues Optional support and maintenance initiated

Project Communication & Reporting

To reiterate, communication with our clients is at the heart of our company culture. We believe in open, frequent, candid, formal, and informal communication with our clients. Whether the news is good or bad, communicating facts and delivering them early allows organizations to respond and correct direction if necessary. This open communication ensures a solid partnership and an ongoing win-win relationship. It is our experience that meeting at regularly scheduled intervals throughout the project are invaluable to project success. Frequent meetings will help facilitate a true partnership between the Client and Tecuity. A daily stand-up with Tecuity staff members and weekly status meetings including Tecuity and the Client staff assigned to the project will be conducted throughout the implementation effort to ensure project success.

Daily Stand-Ups

The Technical Lead on the project will conduct daily stand-up meetings. The purpose of these meetings gives each team member the chance to communicate what they completed the prior day, their daily work outlined for the day, and also indicate whether they are facing any roadblocks with the work to be completed. This meeting is called a "Stand-Up" because it is only to take 5 to 10 minutes. If there are issues or roadblocks that are presented, they can be taken offline with the Technical Lead. This will help ensure daily tasks move forward as anticipated.

Status Reporting

Tecuity's Project Manager will email a weekly status report to the Client Project Manager. This status report will be reviewed in the weekly team meeting. The status report will contain information under the following headers:

- Highlights
- Risks
- Schedule
- Comments

The status report is intended to be a realistic snapshot of the project for the time period completed. The report will communicate project progress or concerns regarding potential schedule slippage, project constraints, bottlenecks, and opportunities to improve the success of the project.

Conference Calls

A conference call will also occur no less than once a week. This will ensure an ongoing open dialogue of project status, thus avoiding any misunderstandings during the implementation process.

Email

Tecuity will utilize email as a method to communicate with the Client. This communication tool will allow Tecuity to "Get Clear" and communicate questions, accomplishments, and issues to the Client as they occur. This will result in open timely communication and will enhance the overall development effort of this project.

Online Collaboration Tool

This tool will allow Tecuity and the State of Nebraska to collaborate and share information about the project via an online collaborative tool for project documents, contacts, and schedule. Tecuity will also utilize existing online collaboration tools used by the Nebraska Secretary of State's Office should a different tool be recommended.

Tecuity also utilizes a ticketing system that allows for the tracking and management of features and bugs as they are identified or occur. This will be used throughout the implementation effort.

Tecuity is confident, that based on our understanding of and comfort with the project requirements and scope, we can deliver a successful solution on time and on budget. Nevertheless, it is a fact that on even the most carefully planned projects, change is inevitable. Changes to a project, even seemingly minor ones will affect the overall schedule and budget. Industry averages indicate change orders can increase project cost and timeline by 15% – 20% of the overall budget. To mitigate the impact of change on key success factors, a Change Management process is necessary. Tecuity and State of Nebraska will jointly develop and implement this process. This will provide the Client an opportunity to clearly understand the impact in both time and cost before resources are committed.

A baseline including a clear and concise definition of the project scope, critical success factors and, specific starting and ending points must first exist. Tecuity and the Client can then determine if the requested change is part of the initial scope and requires clarification, or is a change to or expansion of the original scope.

The Change Control Process consists of the following steps, which are explained in more detail further in the document:

- A Project Change Order Form must be completed and signed by the Client and Tecuity
- Tecuity will estimate the impact on project cost and schedule
- Client and Tecuity will discuss the impact of the change
- The decision to Approve or Decline will be accepted by both parties
- Approved changes will be implemented as an additional project iteration

Change Request

Any team member may raise an issue via a Change Request. The requestor identifies and describes in the appropriate amount of detail the requested change. Supporting materials including specific examples and screen shots will facilitate effective communication of the request. Identifying the urgency of the change, what impact it will have on the critical success factors and, the consequences of NOT proceeding with the change are required. The Change Request is then submitted to the Change Committee.

Change Committee

The Change Committee is comprised of primary stakeholders including the project manager, business process owner, oversight member, and vendor. The Change Committee reviews the Change Request and determines if the change has a true "business" benefit. Technical impact is provided by the Technical Team if the change is Provisionally Accepted. The committee also considers if the change is within the initial project scope, the potential impact on milestones and the impact of NOT making the change. The committee also checks the Change Log for similar Existing and pending Change Requests to eliminate redundancy/overlap.

The committee may return the request to the originator if any of the information needed is not included or additional information and research is warranted. Requests can also be forwarded to additional personnel for their input.

On the merits of the Change Request, including the additional review requested by the committee, the change is accepted or rejected. The Provisionally Accepted Change Request is forwarded to the technical team. Rejected Change Requests are returned to the requestor with detail.

Technical Feasibility

The technical team evaluates the request based solely on the technical issues and impact. The technical team does not comment on the business merits of the change – this was determined by the Change Committee. The technical staff only responds on what it will take to accomplish the defined change or offer an alternative solution.

Their response to the Change Committee includes:

- User impact
- Schedule/resources impact with a revised plan
- Any dependencies, technical risks and/or conflicts
- Technical change alternatives
- Amount of work required (in both hours and dollars) to make the change and measure the financial impact

Final Disposition
The Change Committee reviews the Technical Feasibility and makes a final decision. The final decision is communicated to the requestor and technical staff.

Tecuity utilizes a ticketing and reporting solution provides the ability for the entire project team both Tecuity and from the NE SOS to log issues as they occur. The solution allows for the entry of notes, comments, screen shots, etc. to fully describe the issue.

Issues are then prioritized by the NE SOS Project Manager and the Tecuity Project Manager for resolution.

h. test plan and procedures;

Testing
We understand that a QA vendor will be selected at a later time. The parameters of testing will be established with the Secretary of State and the QA vendor. However, it is worth mentioning the type of testing we have done in the past as a means of demonstrating our ability to meet an extensive testing environment. Tecuity implements an iterative approach to testing solution functionality. As each component is completed and implemented it is validated against the requirements identified through multiple testing efforts. The following tests are utilized as least once in the implementation effort for each functional requirement.

- Unit/Functional Testing
- System Integration Testing
- User Acceptance Testing
- Performance/Stress Testing
- Regression Testing
- Conversion Validation Testing
- Vulnerability Testing
- Data Conversion Validation Testing
- Backup and Recovery Testing
- Final Solution Acceptance Testing

It is understood that no amount of testing ensures a defect-free implementation. However, it is Tecuity's practice to identify as many defects as possible, early on in the process, and to prioritize those defects to avoid unnecessary rework.

Tecuity's commitment to deliver high-quality software solutions and our dedication to exceeding the needs of our customers drives us to delivery world-class solutions.

User Acceptance Testing

User Acceptance Testing (UAT) is performed in the Test Environment to ensure implemented functionality and integrated systems are fully tested by the Division. In this effort functionality is tested against requirements and processes are validated. User Acceptance Testing provides validation that all systems and interfaces are working according to specifications. These tests also validate that all previous tests (unit/functional) and issues identified have been successfully resolved.

i. risk mitigation plan and strategy; and

Tecuity's approach to risk management starts with developing the risk management plan. This plan defines the scope and process for the identification, assessment, and management of risks that could impact the implementation of the project. The objective of the Risk Management Plan is to define the strategy to manage project-related risks to encourage an acceptable minimal impact on cost, schedule, and operational performance.

The product of risk management planning will be the Risk Register. The Risk Register will document various risks with their classification, mitigation and handling strategies, impact on cost and schedule, and action items.

The risk management process includes these five elements.

1) **Risk Management Planning** – Deciding how to approach and conduct the risk management activities for the project.
2) **Risk Identification** – An initial and continuous effort to identify, quantify and document risks as they are identified.
3) **Risk Analysis** – Evaluate identified risks to determine probability of occurrence, impact, and timeframe.
4) **Risk Planning / Mitigation** – Establish an action plan for risk and assign responsibility.
5) **Risk Monitoring and Control** – Capture, compile, and report risk.

Risk Management Planning

Risk management planning is the process of determining how to approach and conduct risk activities for the project. Planning is critical to establish the importance of risk management, to allocate proper resources and time to risk management, and to establish the basis for evaluating risk.

Risk Identification

A baseline set of risks will be created and entered into the project Risk Register. These baseline risks will be identified through the normal course of the project planning process. Risk statements will be written for each identified risk. Risk statements will be clear and concise and contain only one risk condition and one or more consequences of that condition.

All project stakeholders are responsible for identifying new risks. New risks identified during project-related meetings shall be added to the Risk Register within two working days of the meeting. It will be the responsibility of the Tecuity Project Manager to make sure this is accomplished.

Tecuity brings over ten years of experience to the project in implementing similar systems. This experience has provided Tecuity with a unique insight to common operation and system risks. Some of the common risks are documented in the table below. This table is not intended to be an exhaustive list. Risks are assumed to generally apply to both Tecuity and the Client team members.

Risk Area	Potential Risk

Project Scope and Complexity	• Scope misperceptions
	• Requirements poorly documented
	• Requirements not agreed upon by project members
	• Complexity misunderstood in terms of:
	  o Technology
	  o Number/Needs of users
	  o Business process

Technology	• Technology not proven • Unreliable performance record of vendors • Inexperience with the technologies to be used
Staffing	• Inadequate resources committed to the project • Project team members' inexperience with similar projects • Resources pulled from project before completion
Culture	• Users not willing to make business process changes • Customer does not make a strong commitment to project • Organization changes within agency, removal of key personnel
Project Management	• Executive leadership not actively engaged in project • Project issues unaddressed • Change control processes ignored, leading to unchecked growth of project scope

Risk Analysis

Tecuity will use a qualitative approach to Risk Analysis. This methodology uses a risk level matrix based on probability and impact. This allows for an independent assessment of probability and consequence of risk.

Each risk shall be evaluated to determine impact, probability of occurrence, and timeframe. Each risk shall be examined to determine its relationship to other risks identified. Initially, the identifier of the risk shall provide an estimate of these attributes. The Project Manager shall be responsible for further analyses and prioritization of the risks. The criteria for analyzing risks are established later in the Risk

Classification section of this plan.

Risk Planning/Mitigation
Risk handling identifies a course of action to effectively manage a given risk. As a rule, all identified risks are processed. Specific handling methods should be selected after the probable impact on the project has been determined.

All project team members are responsible to recognize and report risks. The Tecuity Project Manager then determines what action should be taken for each risk. The Tecuity Project Manager determines whether to keep the risk, delegate responsibility, or transfer the risk responsibility up the project organization chain.

Risk planning requires a decision to perform further research, accept the risk (document acceptance rationale in the Risk Register and close the risk), watch the risk attributes and status (define tracking requirements, document in the Risk Register, and assign a "watch" action), or mitigate the risk (create a Mitigation Plan, assign action items, and monitor the activities and risk).

Mitigation activities shall be documented on the Risk Register. As a separate document, a Mitigation Plan shall be written for any effort that requires re-allocation of project resources. The Project Manager shall determine when to use a Mitigation Plan.

Risk Monitoring and Control
Risk information and metrics defined during planning shall be captured, tracked, and analyzed for trends. The person assigned responsibility for the risk shall provide routine trend and status reports on research and/or mitigation activities to the Tecuity Project Manager in at least weekly intervals. Team members report on identified and tracked risks during regular project meetings. The Risk Register shall be used to report summary status, and the Tecuity Project Manager gives a project risk progress report to senior management on a monthly basis.

Decisions shall be made by the Project Manager during weekly and monthly meetings to close risks, continue to research, mitigate or watch risks, re-plan or re-focus actions or activities, or invoke contingency plans. This is also the time when the Project Manager authorizes and allocates resources toward risks. Tecuity works closely with team executive leadership on tracking risk mitigation progress.

j. contingency plan for failed implementation.

Tecuity will work with the Nebraska SOS to incorporate a failed implementation contingency plan. It should be noted that Tecuity has never had to use this plan in any prior installation.

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.

See the section on Project Communication and Reporting.

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 inclusing in future upgrades.

Tecuity agrees with this statement.

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.

See section on Data Conversion in this document.

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.

Tecuity agrees with this statement.

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.

Change Management

Tecuity is confident, that based on our understanding of and comfort with the project requirements and scope, we can deliver a successful solution on time and on budget. Nevertheless, it is a fact that on even the most carefully planned projects, change is inevitable. Changes to a project, even seemingly minor ones will affect the overall schedule and budget. Industry averages indicate change orders can increase project cost and timeline by 15% – 20% of the overall budget. To mitigate the impact of change on key success factors, a Change Management process is necessary. Tecuity and Nebraska will jointly develop and implement this process. This will provide the Client an opportunity to clearly understand the impact in both time and cost before resources are committed.

A baseline including a clear and concise definition of the project scope, critical success factors and, specific starting and ending points must first exist. Tecuity and the Client can then determine if the requested change is part of the initial scope and requires clarification, or is a change to or expansion of the original scope.

The Change Control Process consists of the following steps, which are explained in more detail further in the document:

- A Project Change Order Form must be completed and signed by the Client and Tecuity
- Tecuity will estimate the impact on project cost and schedule

- Client and Tecuity will discuss the impact of the change
- The decision to Approve or Decline will be accepted by both parties
- Approved changes will be implemented as an additional project iteration

Change Request

Any team member may raise an issue via a Change Request. The requestor identifies and describes in the appropriate amount of detail the requested change. Supporting materials including specific examples and screen shots will facilitate effective communication of the request. Identifying the urgency of the change, what impact it will have on the critical success factors and, the consequences of NOT proceeding with the change are required. The Change Request is then submitted to the Change Committee.

Change Committee

The Change Committee is comprised of primary stakeholders including the project manager, business process owner, oversight member, and vendor. The Change Committee reviews the Change Request and determines if the change has a true "business" benefit. Technical impact is provided by the Technical Team if the change is Provisionally Accepted. The committee also considers if the change is within the initial project scope, the potential impact on milestones and the impact of NOT making the change. The committee also checks the Change Log for similar Existing and pending Change Requests to eliminate redundancy/overlap.

The committee may return the request to the originator if any of the information needed is not included or additional information and research is warranted. Requests can also be forwarded to additional personnel for their input.

On the merits of the Change Request, including the additional review requested by the committee, the change is accepted or rejected. The Provisionally Accepted Change Request is forwarded to the technical team. Rejected Change Requests are returned to the requestor with detail.

Technical Feasibility

The technical team evaluates the request based solely on the technical issues and impact. The technical team does not comment on the business merits of the change – this was determined by the Change Committee. The technical staff only responds on what it will take to accomplish the defined change or offer an alternative solution.

Their response to the Change Committee includes:

- User impact
- Schedule/resources impact with a revised plan
- Any dependencies, technical risks and/or conflicts
- Technical change alternatives
- Amount of work required (in both hours and dollars) to make the change and measure the financial impact

Final Disposition

The Change Committee reviews the Technical Feasibility and makes a final decision. The final decision is communicated to the requestor and technical staff.

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

SOS Enterprise training materials are customized by the needs of our clients per implementation. The needs of individual users and user groups are determined with key stakeholders and the appropriate training materials are provided.

Our approach is simply about Knowledge Transfer and acceptance by the entire user community. What this means in simple terms: We want to facilitate learning. Learning for different groups and individuals is the desired result. Hence, the greatest software in the world is only as good as your executable skills allow. And we are well aware that the number one reason for implementation failures results from low user adoption.

We follow the "Appreciative Education" model. This begins with the assumption that the learner has as much wisdom, experience, and insight as the instructor (facilitator). The instructor role in relationship to the learner is not based on a relative gap (deficit of knowledge, skill, and experience). The learner in many cases will be an expert in the material. The key is focusing on assets of knowledge rather than deficits. In our business, these learners come from two major categories.

1. Application Staff

This group of users consists of Division staff that will utilize the system on a daily basis performing regular and routine filing and processing tasks. This training consists of working with print queues, performing searches, performing various filing tasks, daily batch reporting, division and user reconciliations, and report printing.

2. Technical Staff

This group of users consists of system administrators, database administrators, developers, and support staff. Training is focused on learning the various duties and functions to maintain SOS Enterprise. This includes user maintenance, configuration and management of task workers, automated tasks, configuring templates, application settings, performing database backups, and maintaining business rules.

Tecuity recognizes that Training comprises a significant portion of Transition and Change Management. A key objective for a successful implementation is adequate and effective training. With Tecuity's broad experience, and world-class resources, Tecuity is confident to work with the state to devise and follow through on an effective training plan.

Tecuity understands that implementing an effective system does not end with implementation. Given the volume of system users, it is critical that training is timely and effective to help avoid problems and confusion when the system is deployed. Tecuity has extensive experience in training users of all levels through a dedicated team of practitioners who specialize in training and curriculum development. This team has employed a breadth of different training models including hands-on, manual-based, e-Learning and Computer Based Training. These various types of training have been delivered to end-users, trainers, central staff, partners, and others.

Tecuity recommends hands-on, instructor-led, training as the primary means of training and encourages Nebraska SOS to utilize this format as much as possible. Tecuity creates and maintains a training environment to provide users with this experience prior to using the application in production. Tecuity understands the need to maintain and support a training environment which mirrors, but does not impact the production environment in order to provide an environment in which production activities can be simulated as much as possible. This approach also helps ensure all users have adequate access to the solution before having to use the application in a production environment. These training sessions will be conducted at the Nebraska SOS offices.

Tecuity will provide training to the onsite technical supports Staff/System Administrators and any other users identified by Nebraska SOS. This is in addition to the training that is provided to the business users of the application.

All training provided for the new system will be customized according to the new system functionality. Tecuity will work with Nebraska SOS for developing state specific use cases and training materials. All training sessions will be customized based on the agency function and job requirements and the Nebraska SOS system module functionality.

The Training format and the content for upgrades and major releases will be similar to training performed for the deployment of the new system. The difference between the two trainings is that training will be conducted only to specific user groups that are impacted due to the changes performed to the application in case of upgrades. If the upgrade impacts all the user groups, the training will be conducted to all the user groups.

A training plan will be developed in collaboration with the Nebraska SOS project team. At a minimum we are recommending the following training curriculum to be provided to the Nebraska SOS staff. Tecuity will work with Nebraska SOS and if required, additional training topics will be addressed.

#	User Group / Role	Training Topics
1	Nebraska SOS Commercial Records Staff	Commercial Business Registration Certificate of Good Standing Trademarks Filing Business Inquiry UCC Inquiry UCC-1 and UCC-3 Filing Work Order Inquiry

#	User Group / Role	Training Topics
		Work Order and Process Send Paper Forms Document Management
2	Nebraska SOS UCC Staff	UCC-1 and UCC-3 Filing UCC Inquiry Request for Information Request for Copies Document Management
3	Nebraska SOS System Administrator	User Maintenance Screen Maintenance User Role Maintenance Screen Role Maintenance
4	Nebraska SOS Correspondence Staff	Generate Correspondence for Acceptance Generate Correspondence for Rejection
5	Nebraska SOS Technical Staff	System Installation System Configuration System Administration System Backup and Recovery

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).

Tecuity views the training items below to be components of a training agenda. Certainly we plan to train staff, administrator, and IT staff at the levels required for each. These items will be included in the agenda and will be further developed during the implementation process.

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

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:

Tecuity views the training items below to be components of a training agenda. Certainly we plan to train staff, administrator, and IT staff at the levels required for each. These items will be included in the agenda and will be further developed during the implementation process.

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

3. Training for SoS Administrators will include:

Tecuity views the training items below to be components of a training agenda. Certainly we plan to train staff, administrator, and IT staff at the levels required for each. These items will be included in the agenda and will be further developed during the implementation process.

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.

For more information on maintenance and the help desk, please reference the requirements matrix.

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.

Tecuity will provide a HelpDesk consistent with the statement above.

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.

Tecuity will on a regular basis provides source code to the state of the most current production environment. When the transition plan is effected Tecuity will then provide current source code either on the regularly scheduled date or ninty (90) days whichever is sooner.

2. Modify the Transition Plan based upon the results of State review.

Tecuity agrees to modify the Transition Plan in good faith upon State's 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.

Since the State will be hosting the application internally the State will be in possession of all reports and data.

4. Provide technical and professional support to the State and/or a successor Contractor in support of the transition.

Tecuity will provide technical support to the source code provided the state.

5. This period will not exceed 180 days from termination or expiration of contract.

Tecuity agrees with 180 days transition period.

L. DELIVERABLES

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	
10.	December 31, 2017 - January 5, 2018	
11.	120 Day Post Go-Live Sign Off	
12.	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	

In the intial phase of project planning and gap analysis, as part of the Project Initial Phase, all project milestones and deliverables will be identified and a schedule generated for their accomplishment. Tecuity wil work with the state to identify whether or not a two phase approach will be best or a single phased approach. Careful consideration will be given to provide the Secretary of State's Office the ability to incorporate the new solution or components thereof as soon as possible. Both approaches will be discussed in the project initiation phase of the project effort.

It is anticipated this schedule will be developed during contract negotiations.

The following table describes milestones and deliverables contained within each segment and milestone of the project effort.

Task Name	Resource Name(s)
NE SOS Business Licensing System Project	
Segment 1-Project Initiation	
Project Plan	
Milestone Matrix/Implementation Plan	Tecuity PM/NESOS PM
Communication Management Plan	Tecuity PM/NESOS PM
Change Management Plan	Tecuity PM/NESOS PM
Risk Management Plan	Tecuity PM/NESOS PM
Quality Assurance/Issue Management Plan	Tecuity PM/NESOS PM
Human Resource Management Plan	Tecuity PM/NESOS PM
Revise/Review Plans w/NESOS PM	Tecuity PM/NESOS PM
NESOS Sign-Off	NESOS PM
Project Schedule/Work Plan	
Finalize Project Baseline	Tecuity PM/NESOS PM
NESOS Sign-Off	NESOS PM
Project Kickoff Meeting	
Prepare Kickoff Meeting Agenda	Tecuity PM/NESOS PM
Faciliate Project Kickoff Meeting Onsite	Tecuity Team/NE SOS Team
MILESTONE 1: Project Plan & Schedule Accepted	
MILESTONE 2: Project Kickoff Complete	
Segment 2-Assessment (Business Requirements)	
Application Demo & Orientation	
Facilitate Orientation Meeting	Tecuity PM/NESOS PM
Sandbox Setup	Tecuity Team
Gap Analysis	
Session 1 Analysis: Gap/Requirements	
Session 1 Document Findings	Tecuity Lead
Distribute/Review/Revise w/Stakeholders	Tecuity PM/NESOS PM/SME
Session 2 Analysis: Gap/Requirements	
Session 2 Document Findings	Tecuity Lead
Distribute/Review/Revise w/Stakeholders	Tecuity PM/NESOS PM/SME
Session 2 Analysis: Gap/Requirements	
Session 2 Document Findings	Tecuity Lead
Distribute/Review/Revise w/Stakeholders	Tecuity PM/NESOS PM/SME
Database Configuration/Data Modeling	
Confirm Data Modeling Modifications	Tecuity Team
Document Data Model Changes	Tecuity Team
Generate PDM/Database Design Document(s)	Tecuity Team
Distribute/Review/Revise w/Stakeholders	Tecuity PM/NESOS PM/SME
NESOS Sign-Off	NESOS PM

Functional Requirements Document	
Phase 1-UCC/EFS/Master Lien List	
UCC/EFS Functionality/Processing/Requirements	Tecuity Lead/Tecuity PM
Onsite Review w/Stakeholders	Tecuity Team/NE SOS Team
Phase 1 Sign Off	Tecuity PM/NESOS PM
Phase 2-Corps	
Corps Functionality/Processing/Requirements	Tecuity Lead/Tecuity PM
Onsite Review w/Stakeholders	Tecuity Team/NE SOS Team
Phase 2 Sign Off	Tecuity PM/NESOS PM
Phase 3 Public Portal	
Public Portal Functionality/Processing/Requirements	Tecuity Lead/Tecuity PM
Onsite Review w/Stakeholders	Tecuity Team/NE SOS Team
Phase 3 Sign Off	Tecuity PM/NESOS PM
Requirements Traceablity Matrix	
Review Business Requirements	Tecuity Lead
Requirements to RFP Matching	Tecuity Lead/Tecuity PM
Distribute/Review/Revise w/Stakeholders	Tecuity Team/NE SOS Team
NESOS Sign-Off	Tecuity PM/NESOS PM
Technical Design	
Specific Configuration Documentation	Tecuity Lead/Tecuity PM
Interface Plan	Tecuity Lead/Tecuity PM
Business Needs Documentation	Tecuity Lead/Tecuity PM
Distribute/Review/Revise w/Stakeholders	Tecuity Team/NE SOS Team
NESOS Sign-Off	Tecuity PM/NESOS PM
Quality Assurance Planning	
Customized Modules - Test Cases	Tecuity Team
Update Requirements Matrix	Tecuity Lead/Tecuity PM
Distribute/Review/Revise w/Stakeholders	Tecuity Team/NE SOS Team
NESOS Sign-Off	Tecuity PM/NESOS PM
Training Plan	
Define Training Needs/Audience/Sessions Required	Tecuity PM/NESOS PM
Identify Training Modules	Tecuity PM/Tecuity SME
Identify Training Locations and Resources	Tecuity PM/NESOS PM
Identify Training Materials for Update	Tecuity PM/Tecuity SME
Onsite Review w/Stakeholders	Tecuity Team/NE SOS Team
NESOS Sign-Off	NESOS PM/NESOS SME
MILESTONE 3: Data Configuration/Data Modeling Complete/Accepted	
MILESTONE 4: Gap Analysis Completed/Accepted	
MILESTONE 5: Technical Design Completed/Accepted	
MILESTONE 6: Requirements Document Completed/Accepted	
MILESTONE 7: Quality Assurance Plan Completed/Accepted	
MILESTONE 8: Training Plan Completed/Accepted	
Segment 3-Data & Image Conversion	

Data Conversion	
Review Data Conversion Requirements	Tecuity DBA/Tecuity Lead/PM
Develop Data Dictionary/Data Map	Tecuity DBA
Develop Detailed Data Migration Plan	Tecuity DBA
Develop Data Migration Scripts	Tecuity DBA
Collect Data from Legacy System	Tecuity DBA
Distribute/Review/Revise w/Stakeholders	Tecuity Team/NE SOS Team
NESOS Sign-Off	NESOS PM/NESOS SME
Initial Data Pull	
Conduct Initial Data Pull	NESOS PM/Tecuity DBA/PM
Run Initial Data Conversion	Tecuity DBA
UAT Data Pull	
Conduct UAT Data Pull	NESOS PM/Tecuity DBA/PM
Run UAT Data Conversion	Tecuity DBA
Final Data Pull - Production Data Conversion	
Conduct Final Data Pull for Production	NESOS PM/Tecuity DBA/PM
Run Production Data Conversion	Tecuity DBA
MILESTONE 9: Data Conversion Plan/Scripts Completed	
Segment 4-Configuration & Implementation	
Application Configuration/Implementation	
Configure Development Environment (n-tier)	Tecuity Team
Configure / Install Base SOS Enterprise	Tecuity Team
Create Development Database Environment	Tecuity Team/Tecuity DBA
Complete Code Configuration - Base Product	
Phase 1-Internal Staff	
Phase 1 Configuration	Tecuity Team
Phase 1 Testing	NESOS PM/Tecuity PM/ND SME
Phase 1 Functional Demonstration	Tecuity Team/NE SOS Team
Phase 2-Public Portal	
Phase 2 Configuration	Tecuity Team
Phase 2 Testing	NESOS PM/Tecuity PM/ND SME
Phase 2 Functional Demonstration	Tecuity Team/NE SOS Team
Phase 3-Admin/Reports/Interface	
Phase 3 Configuration	Tecuity Team
Phase 3 Testing	NESOS PM/Tecuity PM/ND SME
Phase 3 Functional Demonstration	Tecuity Team/NE SOS Team
MILESTONE 10: Environment Setup Complete	
MILESTONE 11: Phase 1 - Internal Staff - Config Complete	
MILESTONE 12: Phase 2 - Public Portal - Config Complete	
MILESTONE 13: Phase 3 - Admin/Reports/Interface - Config Complete	
Segment 5-User Acceptance Testing	
UAT Preparation	
Configure Test UAT Environment	Tecuity Team

Finalize Test Management Plan	Tecuity QA/Tecuity PM
NESOS Sign-Off	NESOS PM/Tecuity PM
Execute User Acceptance Testing	
Train UAT Testers/NE SOS End Users	Tecuity Trainer/Tecuity PM/Users
Execute Test Plans	Tecuity Trainer/Tecuity PM/Users
Support Issue Management	Tecuity Team/Tecuity PM
Track/Resolve Issues/Release Patches	Tecuity Team/Tecuity PM
Track UAT & Performance Testing/Load Testing	Tecuity Trainer/Tecuity PM/Users
NESOS Sign-Off	NESOS PM/Tecuity PM
MILESTONE 14: User Acceptance Testing Complete/Accepted	
Segment 6-Training	
Training	
Finalize Training Materials/Documentation	Tecuity Trainer/Tecuity PM
Finalize Training Data	Tecuity Trainer/Tecuity PM
NESOS Sign-Off	NESOS PM/Tecuity PM
User Training	
Train the Trainer	Tecuity Trainer/Tecuity PM/Users
MILESTONE 15: Training Complete/Accepted	
Segment 7-Production Deployment	
Production Deployment	
Review Full Production Configuration/Setup	Tecuity Team
Run Final Data Conversion-Load Production Environment	Tecuity DBA
Install Production SOS Enterprise	Tecuity Team
Test Production Installation/Data Conversion	Tecuity Team
Go-Live	Tecuity Team/NE SOS Team
Project Wrap-Up/Close Activities	
Conduct Project Close Meeting	NESOS Team/Tecuity Team
Final System Acceptance	NESOS PM/Tecuity PM
Review Support & Maintenance Plan	NESOS PM/Tecuity PM
NESOS Production Sign-Off	NESOS PM/Tecuity PM
MILESTONE 16: Production Deployment	
Segment 8-Warranty Period/Support & Maintenance Transition	
Warranty Support	Tecuity Team/QA
Review Full Production Configuration/Setup	Tecuity Team/NE SOS Team
MILESTONE 17: 90-Day Warranty Close-Out	

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.

For optional functionality details reference the requirements matrx.

APPENDIX A – REQUIREMENTS MATRIX

EXHIBIT A - BUSINESS INTELLIGENCE WHITEPAPER

EXHIBIT B – RESPONSIVE DESIGN

2

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.	YES			

Bidder Response:

Our software solution is built on sound technology and industry best-practices. The SOS Enterprise solution utilizes an N-tier architecture isolating the User Interface, Application Server tier, and Database tier. This isolation enhances the maintainability of the software and provides adaptability and scalability as new features and functionality are needed.

Tecuity is confident our solution meets the technical requirements as described in the request for proposal issued by the state. Furthermore, because we have implemented this solution in three (soon to be four – North Dakota) other states on-time and on-budget, we are confident our solution will meet and in many cases exceed the technical requirements as outlined.

The following information is provided to give the Nebraska Secretary of State's Office more detailed information about the architecture of the solution.

Modules & Components

SOS Enterprise is comprised of several modules that can be both enabled and configured depending on the needs of the filing authority.

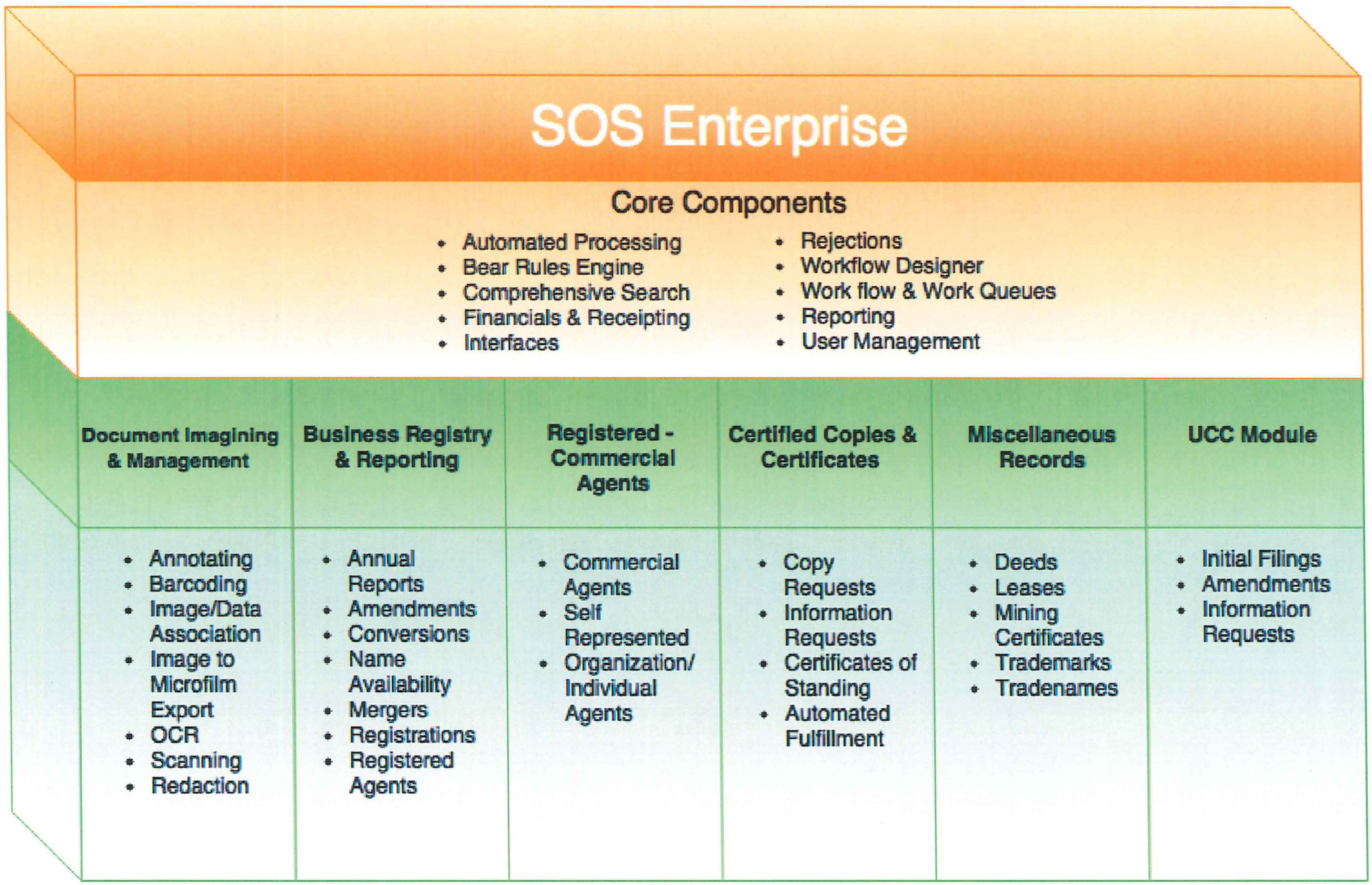


Figure 1 SOS Enterprise Overview

Modules shown are described as follows:

- **CORE** – this functionality is included in every distribution of our Enterprise solution. At its root, CORE represents the workhorse and engine that drives all processes within the system. CORE also includes several components that relate directly to all modules in the system. This includes financials, user batches, receipting, rejections, reporting, user management, print queues, work queues, interfaces, etc.
- **Document Imaging and Management –** associates scanned or digitally created documents to a data record in SOS Enterprise. Images can always be shown side-by-side with their associated data elements for a clear picture of all information collected by the filing authority. This module includes image classification and barcode options that provide easy data input and view control. Any classification can be marked as a public (included in a copies request) or private (viewable only to internal staff). OCR & ICR data extraction is also a major component of the imaging system that significantly reduces manual data entry.
- **Business Entity Registration –** manages everything related to business entities, annual reports and related amendments. Also included with this module are other components that are directly related to business entity processing such as registered agent management, name availability searches, conversions, mergers, etc. The ability to file amendments is also provided in this functionality each based on business rules and entity type. This module includes but is not limited to corporations, limited liability companies, limited partnerships, limited liability partnerships, cooperative associations, and more.
- **Commercial Registered Agents –** manages the recording of registered agents and commercial agents depending on filing authority requirements. If the agent is an organization, then an association between the agent record and its corresponding business entity record can be maintained. Based on statute, the registered agent or commercial agent module can be configured within the application. Registered agent information, if required, is also displayed with business entity information. A registered agent assignment tool provides the ability to assign entities from one registered agent to another and to merge agent records
- **Certified Copies & Certificates –** Manages requests for certified copies, certificates of existence/authorization, certificates of good standing, certificates of facts, certificates of non-existence, etc. Facilitates the preparation of copies and in many cases provides complete auto-generated results. Also available online as self-service options.
- **Miscellaneous Records –** this module has been built in a configurable manner to handle many different document types that have generally simple rules associated to them. Examples of existing documents in the miscellaneous records module are mechanic's liens, transient merchants, travel agents, mining certificates, deeds, leases, joint exercise of government powers agreement, etc.
- **UCC (Uniform Commercial Code)/EFS (Effective Financing Statements)** – this module handles Financing Statements (UCC1), Amendments (UCC3), Information Statements (UCC5) and Information Requests (UCC11) as well as EFS documents.
- **Workflow** engine is built into SOS Enterprise. Workflow directs the processing flows for registrations and payments, based on

hierarchies that follow configurable business rules.

Additional modules available are:

- **Notaries** – manages state registered notaries and associated functionality.
- **Trade & Service Marks** – manages the filing and submission of trade and service marks including the management of images associated trade and service marks.
- **Apostilles and Authentications**
- **Service of Process - (Summons)**
- **Occupational & Professional Licensing**

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.	YES			

Bidder Response:

The Tecuity license to SOS Enterprise is an unlimited user perpetual site license. This includes setting up the solution in Development, Test, QA, Stage, Training, and Production environments.

Our solution is completely compatible with the existing state infrastructure. The software is built using Microsoft technologies. The code is written in C# .Net and supports the .Net Framework 3.5 or greater. The database supports SQL Server 2008 or greater.

The proposed Tecuity software solution is built on sound technology and industry best-practices. The SOS Enterprise solution utilizes an N-tier architecture isolating the User Interface, Application Server tier, and Database tier. This isolation enhances the maintainability of the software and provides adaptability and scalability as new features and functionality are needed in the future. The proposed software is also easily scalable to support high volumes of transactions and users.

The solution may be configured to utilize the Nebraska Directory Services and will leverage all existing state infrastructure both at the server level and the desktop level. The existing infrastructure is a great fit to our proposed solution. As an example, this software solution is currently running in the Secretary of State's Office in Wyoming. The system is housed at a state central IT location utilizing the State's web server farm, application server farm, and database server farm. This allows state employees in a multi-office situation access to the same database. The system supports both a thin client and web users within the state network. In addition, a public facing website and web applications have been developed for both the UCC/EFS system and Business Entity System. Tennessee, South Dakota, and Wyoming have implemented this solution in a similar environment on state infrastructure. Our implementation for North Dakota will also be deployed to the States' central infrastructure.

If desired, the SOS Enterprise Solution can be hosted in a cloud environment external to the State network.

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.	YES			

Bidder Response:

Tecuity will provided to the Secretary of State's Office a perpetual license agreement that provides for an unlimited number of users for all functionality available as a site license specifically for the Secretary of State's offices. (Location of Secretary of State offices within the state are consider part of the site license.) As part of this enterprise license, all source code will be provided to the Secretary of State at the completion of the implementation as a safe-guard measure for internal maintenance and support only. The Secretary of State can install and operate multiple instances of the software for their purposes, such as; Development, Test, QA, Stage, Training, and Production environments. The state will be continuously consulted on future enhancements, improvements, and releases.

SAL-4	Bidder should indicate understanding and acceptance of the requirement that the State will retain ownership of all entered, calculated, and derived data.	YES			

Bidder Response:

It is understood the State will retain ownership of all entered, calculated, and derived data in the solution.

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)	YES			

Bidder Response:
An N-tier architecture is utilized in SOS Enterprise to facilitate availability, maintainability, extensibility, and scalability with a look to the future.

Presentation Tier

The presentation layer is responsible for displaying the user interfaces. Currently a .NET thin client and a responsive web application

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

are available depending on customer needs.

- User-centric, highly intuitive interface
- Personalized user experience by user/role
- Rich, highly interactive web pages, responsive design, AJAX enabled
- Server processing of web pages
- Browser support includes the current version and the prior three versions of the following: Microsoft Internet Explorer, Edge, Safari, Firefox, and Chrome.

Business Tier
Responsible for accessing the data and enforcing business rules.

- All methods web enabled (Web services/REST services)
- Interfaces (APIs) to Nebraska.gov, document Imaging, State accounting, and credit card processing contractor
- Highly configurable business rules
- Manages all information between the data and presentation tiers
- XML document schemas
- Business logic layer
- Data access layer

Data Tier
Represents the database and provides consistent record management throughout the system.

- Enterprise Database Management System (Microsoft SQL Server)
- Utilizes stored procedures for increased security and configurability
- Consumes and generates XML Documents to support an open system architecture

Architectural Diagram
The following diagram demonstrates the N-tier architecture found in the SOS Enterprise solution.

Page 11
has been redacted

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

SOS Enterprise has been architected with integrations in mind. The solution has been developed as an N-Tier application supporting a user interface tier, application service tier, and database tier. It is in this application service tier that various web services, including RESTful services have been created for easy integration to additional systems and processes. Information through these services can be shared as XML documents and other formats as required. Additional services will be generated for the specific needs based on requirements. It should be understood the core framework for these services is already in the core product and will be leveraged as additional specific needs are identified for integrations.

Our software has seamlessly incorporated several services from third-party vendors. The main integrations are as follows:

USPS AMS (Address Matching Service) – Addresses entered into the system at any point can be set to validate with the USPS database. This allows the filing authority to both collect clean and valid address data while also staying in compliance with legislation requiring that addresses be deliverable. Note: This service does require a yearly subscription with the USPS.

Active Reports – Fully featured reports and customized form letters are integrated throughout the system. Creation of administrative reports, accounting reports, dynamic form letters, receipts, notices, ad-hoc reports or any other type of dynamic form can be managed by the seamlessly integrated Active Reports software. SOS Enterprise combines this powerful reporting tool with individual print queues, automatic jobs, and daily accounting reports to deliver important information in an efficient manner.

Tecuity Custom API – Our solution is architected in a way that it can interface with other third party applications with a very small amount of customized code. For example, the software can easily be configured to collect data from any number of resources including Amazon S3, Microsoft Azure, Rackspace, or any State provided or custom data store.

GDPicture.NET – allowing SOS Enterprise to provide cutting edge image management technology. GDPicture.NET is an integrated image management manipulation tool kit. All digitized images in the system can quickly be viewed side by side with their associated data record with just the click of the mouse.

Tecuity Custom Payment Integrations – We know very well that many filing authorities have existing systems that handle money and receipting and that our

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
	system must easily interface with those systems quickly. SOS Enterprise includes a single and simple-to-configure access point for this integration to occur. SOS Enterprise also boasts its own receipting and accounting solution that can be connected at this integration point.				
PR-2	Bidder should describe the extent of the system's configurability.	YES			

Bidder Response:

Tecuity completely understands the need for a dynamic solution that allows for the adding, refining, and changing of business requirements as we step into the future. The one thing that is a guarantee is that change will happen based on legislative rules or other mandates.

By simply dragging and dropping the predefined workflow pieces onto the canvas, a new process can be created by a non-technical, administrative user. Additionally, existing workflow processes can be easily edited due to the simplicity of the visual representation.

The proposed solution's rules engine is database driven and does not require code changes or impact future upgradeability and support. The business rules in the proposed solution are defined in database tables and XML based property files and therefore require minimum or no code changes. Any changes/customizations to these business rules for the Nebraska implementation can be made without impeding or sacrificing future upgrades or support. The proposed solution's administrator user interface includes a graphic interface to change existing rules without any vendor or technical resource dependency.

In addition, Tecuity has developed, as part of the SOS Enterprise solution, a robust and comprehensive business process workflow designer. We call this our "Process Builder". This functionality integrates workflow steps and sub-processes with integrated business rules. This functionality allows the Secretary of State office to visually document a business process or workflow and the resulting workflow definition becomes the actual process for a particular business process within the solution. Please reference the following images from our solution.

Process Builder

RTM #	Project Requirements	Yes	Customization Required	No	Alternate

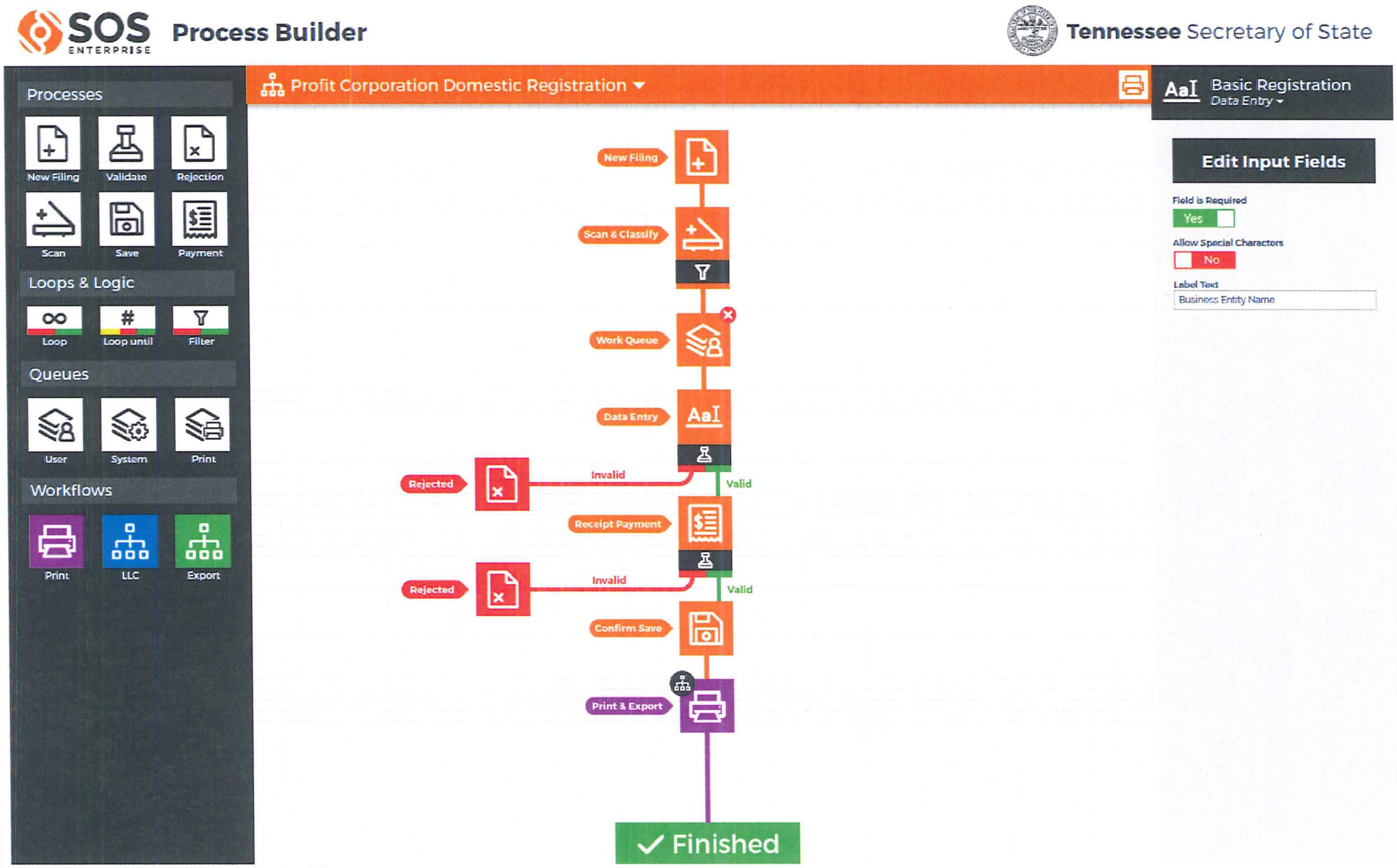


Figure 1 SOS Enterprise Process Builder

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
Form Builder					

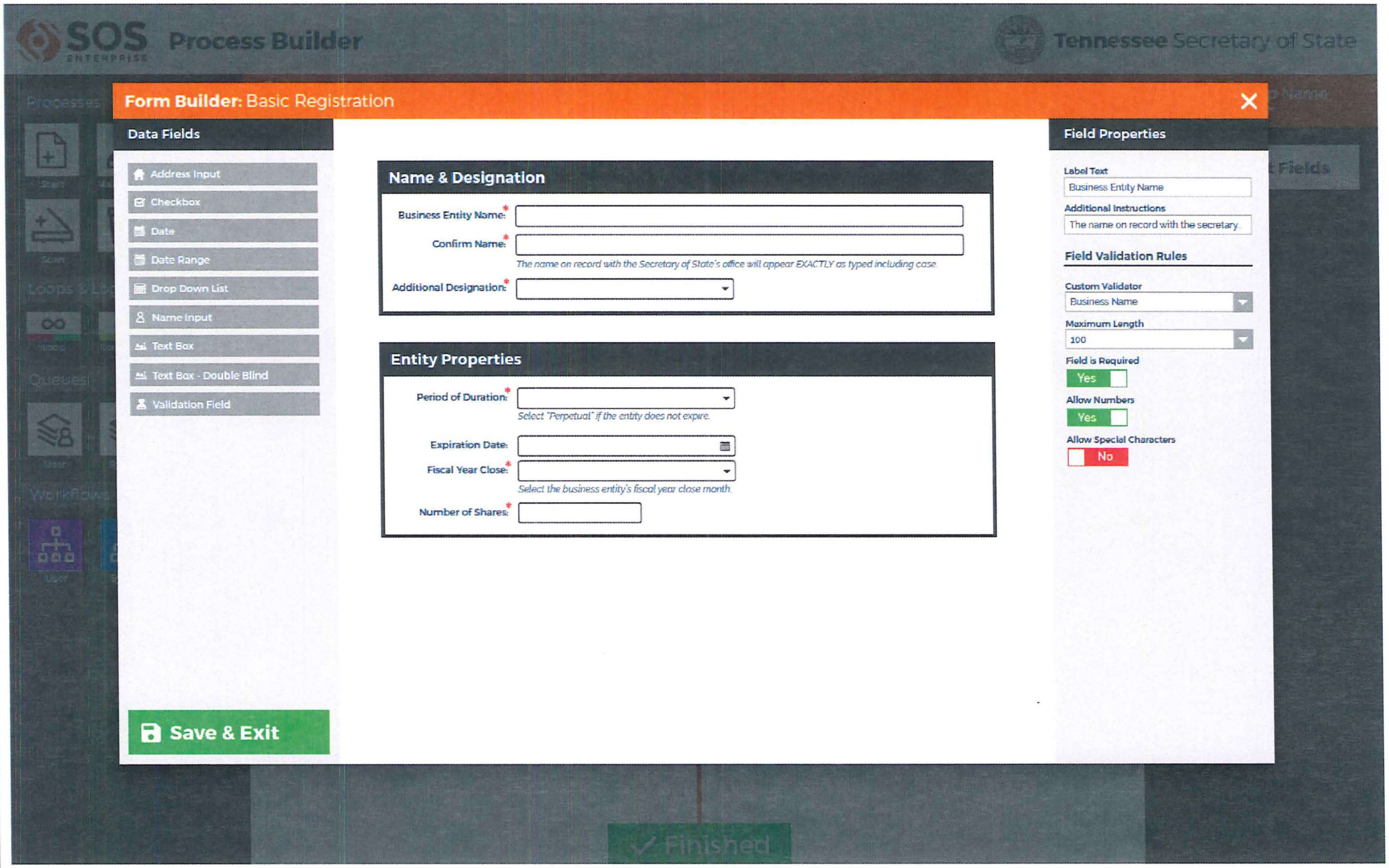


Figure 2 SOS Enterprise Form Builder

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.	YES			

Bidder Response:

The proposed solution's application security architecture will be implemented to ensure compliance with Nebraska State security guidelines, workflow, and user roles. The security architecture will be implemented with the following goals:

1) A user with a valid ID and password can access the system (Authentication).
2) Each user is identified by an application role in the system and access is granted to only those areas of the system that are pre-defined for that role (Authorization).
3) At a minimum the new system will support all user roles that are required for the core functionality and access by all the stakeholders. Additional roles can be defined and incorporated by system administrators.

The security architecture will also support integration into Microsoft Active Directory Services and Nebraska Directory Services to eliminate the need for application-based user login and utilize a single sign-on architecture.

In addition to user security, the architecture will support comprehensive audit trails on the entire unit of transactions by user name, date/time stamp, action type (Insert, Update, Delete, View) and Delete Reason. Audit trail data is stored in database tables and is easily accessible to designated system administrators.

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.	YES			

	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:

The proposed solution has been architected for speed and provide response times of less than two (2) seconds for each system navigation or action. The solution is continually monitored for performance in all three tiers of the architected solution. Database queries are continually monitored for improvement and adjustments to queries and indexes are made as the data set grows. This is a part of the continual effort Tecuity makes in ensuring the solution is responsive and meeting expectations and performance thresholds. The proposed solution has been architected for growth and has been performing in production environments in other states with similar capacities.

Tecuity is sensitive to system down. The proposed solution has been in production environments for over ten years and system downtime has only been a result of network outages on state hosted hardware and architecture. The software solution has functioned as designed. Tecuity is responsive to work with state staff in identifying issues and working together to find solutions to issues as they occur. Our commitment to 100% uptime is evident in our customer service and responsiveness to our customers.

The Tecuity solution has been custom developed for Secretary of State offices. Tecuity understands the operational requirements of the State and they are very similar to the operational requirements in other states utilizing the Tecuity solution. Tecuity routinely meets with key stakeholders and state staff to periodically review the Agency's operational requirements and make any adjustments as required to ensure operations are performing at peak levels.

Periodic system maintenance is performed based on the schedule identified by the Nebraska Secretary of State's office and state hosting staff. Tecuity will work with state staff to coordinate times when production would not be available. This could be due to a system maintenance patch or other routine maintenance. For software product updates and deployments to production, Tecuity and the Nebraska Secretary of State's Office will agree to all outage and upgrade times. We have been successful at providing minimal production downtimes in upgrades to our solution in other states. We envision providing the same level of service to the State of Nebraska.

The solution has been designed using an n-tier architecture which distributes the workload to a website layer, application or web services layer, and the database layer. This distribution of workload provides the capacity for accuracy, timeliness, and consistency in day-to-day operations for the Agency.

The proposed solution has also been architected to utilize a thin-client for state staff that utilizes web services within the solution. This provides internal state staff with a highly-intuitive and robust user interface that does not use the website layer. The website is used for functionality available to the public. This architecture does set the Tecuity solution apart in the field and has provided consistent results in each implementation. State staff has the capacity to continue to perform work functions even if the website was to experience an issue due to a network outage, denial of service attach, etc.

Tecuity's SOS Enterprise solution comes complete with a specific IT monitoring dashboard that includes real-time transaction statistics and monitoring results of all aspects of the solution. This includes each tier of the N-tier architecture including all critical components of the website, web services, and database functions. This dashboard contains a complete picture of the health of the solution in real-time. The dashboard will be further configured for specific metrics and statistics as required by the State of Nebraska. These real-time dashboard management functions will allow Tecuity and the State of Nebraska to ensure application uptime and responsiveness by providing information on which action can be taken.

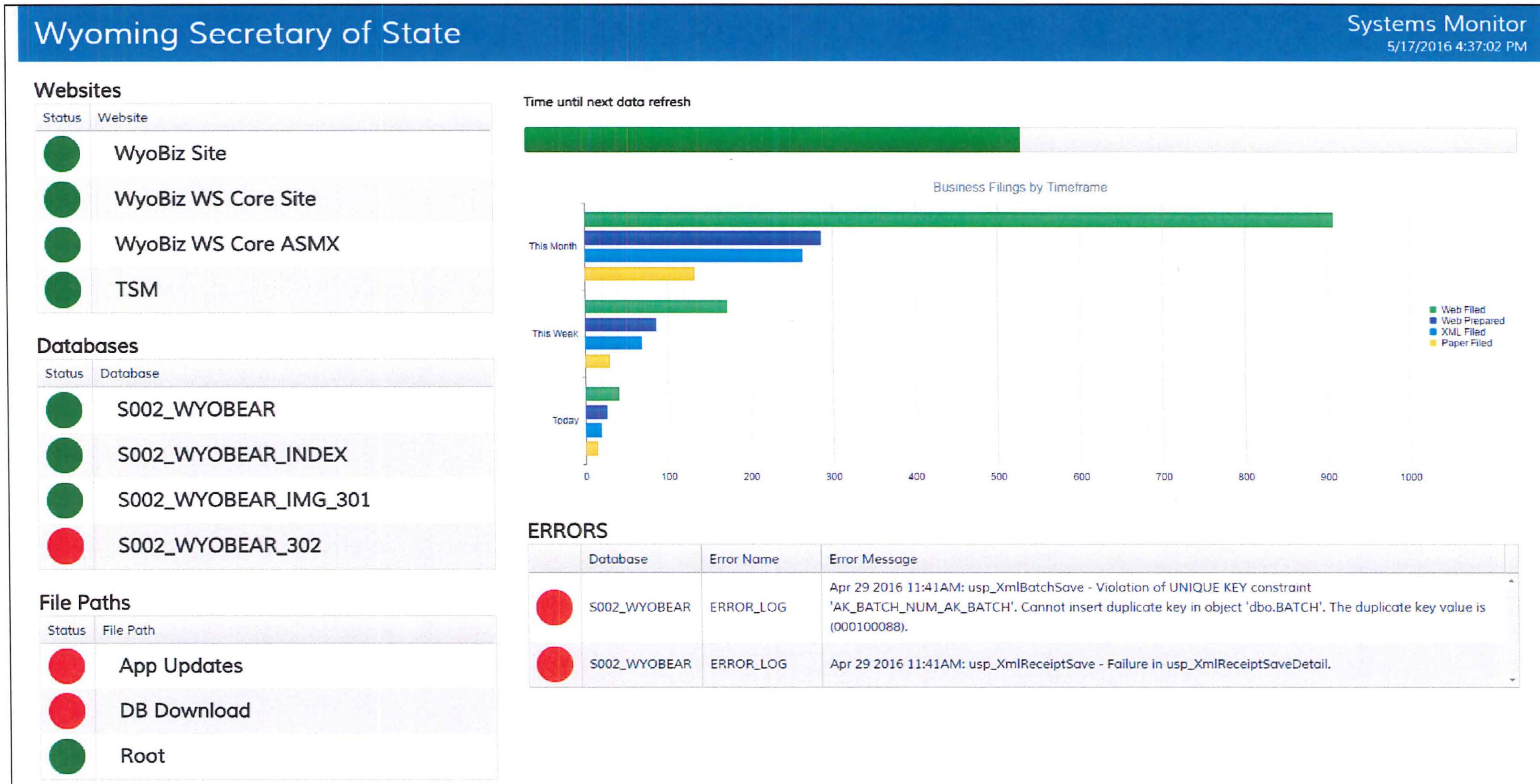


Figure 1 SOS Enterprise Systems Monitor Dashboard

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.	YES			
Bidder Response:					

PROPIETARY AND CONFIDENTIAL *For Tecuity's response, please reference item 2 in the proprietary information binder.*					
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.	YES			
Bidder Response: **PROPIETARY AND CONFIDENTIAL** *For Tecuity's response, please reference item 3 in the proprietary information binder.*					
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	YES			

	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:

Tecuity will provide software maintenance support services at as part of this contract effort.
The Software Maintenance will be provided to meet (or exceed) the requirements stated under this section. In addition to the standard maintenance and support contract, a mutually agreed SLA will be developed to suit Nebraska SOS requirements.

The following services are provided as a part of the standard maintenance and support:

- **On-site "War-room"** – During the first 3 critical days following a major production release Tecuity will ensure an onsite presence from our helpdesk with constant connection to our team of post-production resources to provide quick response times for critical issues.
- **Unlimited Phone and Remote Support –** Nebraska SOS and technical personnel (3rd Party Users are supported by Nebraska SOS) are guaranteed replies to any questions regarding the software and related components essential to the Tecuity solution in operation. This support is unlimited in the number of calls via a toll-free number or e-mails, the number of questions you may have, or the amount of time we spend with you. Our objective is to be there to help you, every business hour of every business day.
- **Bug Reporting and Fixes** – Unlimited reporting of bugs and up to 200 hours of bug fixes and product enhancements. Training, documentation updates and technical support will be provided in the release due to bug fixes. *A bug is defined as a defect found in the Tecuity Replacement solution that produces an incorrect or unexpected result, or causes it to behave in unintended ways. A change in*

business workflow that may force the application to be non-usable or ineffective is not considered a bug nor would any changes or enhancements made to improve the current process or application.

- **Software Updates and New Releases** – In any given 12-month period, the Tecuity Replacement solution will typically have one minor upgrade (maintenance), one major upgrade (new features), as well as several patches if required. Training on the new functionality and features will be made available for each new release; costs are covered under the annual maintenance agreement. Along with each release there will be standard documentation that is included with the release and/or upgrade. Updates may also include software upgrades to support new releases of any 3rd Party System Software used in the Tecuity solution.
- **Access to Information** – Users may elect to receive periodic mailings from our customer support organization. These mailings, geared at end users, outline new features, give tips for using features, discuss how to solve common problems, and provide other frequently requested information. Project staff and users will also have access to a secured web-site that provides instant status about reported issues, a searchable database of frequently asked questions, and much more detailed self-help information.
- **Weekly Status Meetings/Communication** – Tecuity will provide as part of the support and maintenance contract, a scheduled meeting with support personnel to discuss the solution and any issues that need to be addressed.

Maintenance Releases and Patches

Tecuity classifies releases and patches in two categories:

- Standard
- Emergency

Standard releases and patches are provided at regularly scheduled intervals agreeable by the Nebraska Secretary of State's Office and Tecuity. Each release and patch is tested and all necessary training and documentation is included. Emergency releases and patches are provided upon request from a designated Nebraska Secretary of State Representative and can be provided within 24 hours of request.

Typical Downtime for Major and Minor Upgrades

The major and minor upgrades are conducted during off-hours and usually requires less than one-hour of down time. Any emergency upgrades that require system downtime during regular hours is only conducted upon request from designated personnel at Nebraska SOS and upon communication to the user-group.

Effort Level for Upgrades

Majority of the upgrades are conducted utilizing automated scripts and are managed by Tecuity's senior support personnel to ensure minimum down-time and effort.

Performance Guarantees

Based on experiences from past engagements, Tecuity has placed a heavy emphasis on using our proven approach to achieve even-higher levels of customer satisfaction with the quality and accuracy of our response to support requests. The quality and timely response of all the support requests are constantly monitored and measured by the Tecuity Support Manager and Tecuity Project Executive to assure that we comply or exceed the service level agreement in place.

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.	YES			

Bidder Response:

Tecuity provides for an online ticketing system to track each issue, situation, or problem from identification through resolution with the ability for Tecuity and State staff to log notes, comments, upload images, etc. in support of each incident. Tecuity will make every effort to adequately respond to problems or questions identified by the Nebraska Secretary of State's Office. Tecuity fully comprehends the importance of the production environment being available 24 x 7 x 365 and the criticality of resolving issues promptly. We will make every effort to exceed expectations in providing support and maintenance.

Tecuity follows the following process diagram in resolving and escalating issues.

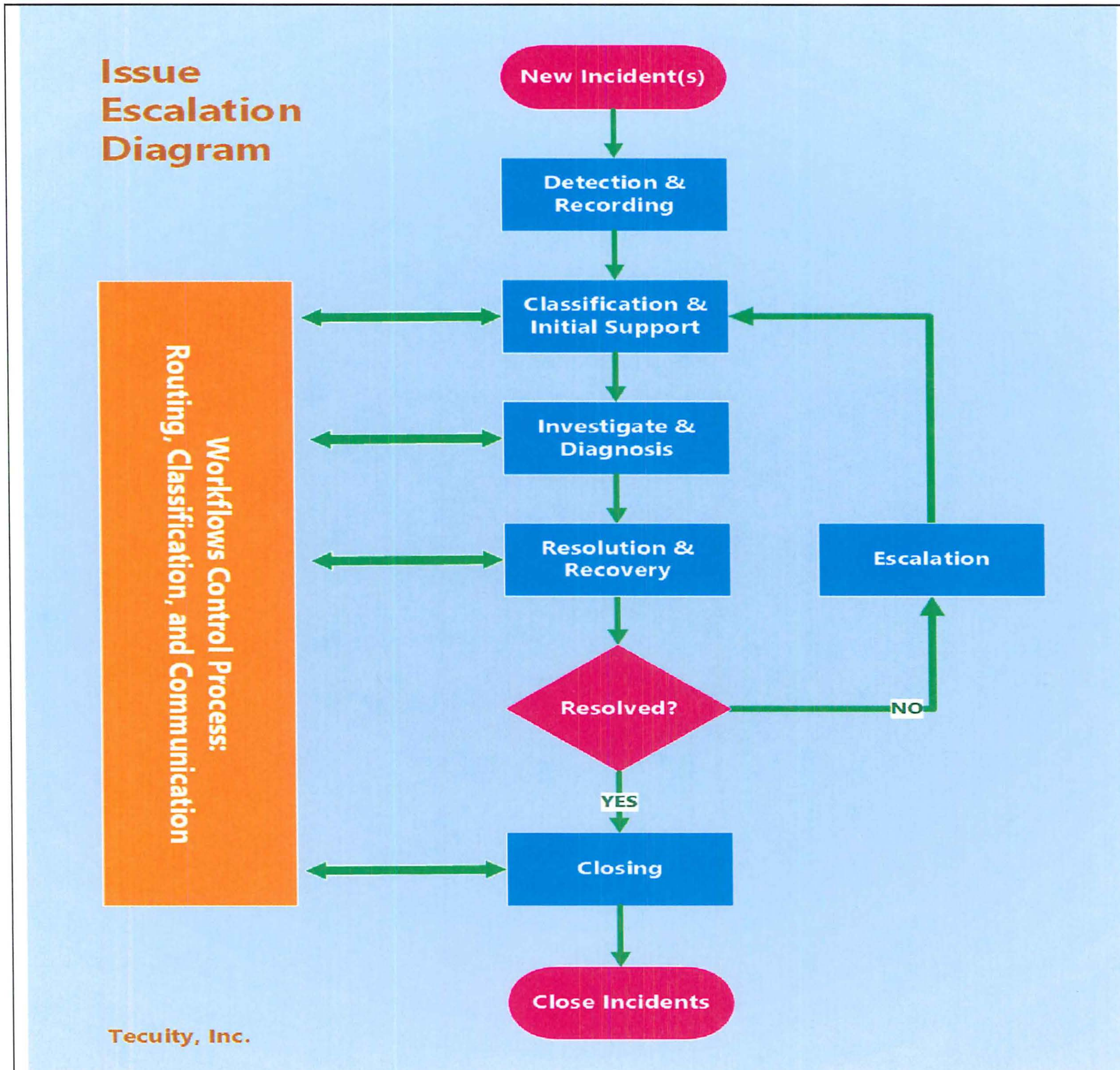


Figure 1 Tecuity Issue Escalation Diagram

Call Center Staff Location
The Tecuity support staff is located at our corporate headquarters in Utah.

Support Hours
Tecuity's normal hours of operation for the technical support team are from 8:00 a.m. thru 5:00 p.m. Mountain Time, Monday through Friday. Additional support hours are available after 5:00 p.m. or on holidays and weekends via phone/email at additional costs.

Issue Criticality, Escalation, and Response Time Goals
Tecuity will respond to issues based on the criticality of the issue. When a problem is reported, a Tecuity support engineer will work closely with Nebraska SOS staff to ensure the issue is prioritized correctly according to the following criticality scale.

- Criticality 1: The production environment is seriously impacted by some issue or is out of service. There is no work around available for this criticality status. Tecuity support engineers will use their best judgement to escalate the issue and work on a resolution.
- Criticality 2: Production is operable but a serious issue has occurred. Production is functioning at a sub-standard level. Tecuity support engineers will use their best judgement to escalate the issue and work to find resolution.
- Criticality 3: Minor problem or small enhancement request. These issues will be resolved according to the routine build schedule as resources become available.

The following tables describes Tecuity's response time goals in responding to issues reported by SOS Enterprise users:

Criticality	Initial Phone Response	Begin Resolution	Expected Status Response Times
Criticality 1	Within the hour	Within the hour	Every hour
Criticality 2	Within 4 hours	Within 8 hours	Once a Day
Criticality 3	Within 8 hours	As prioritized	Once a Week

Help Desk Employee Qualifications
Technical support offered by Tecuity is performed by our in-house Technical Support Team. This team is co-located with our development and implementation teams. Technical support staff are technically minded individuals who are intimately familiar with SOS Enterprise. When you call, you WILL speak with someone who understands your issue and our staff will make every effort to solve the reported issue as soon as possible.

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality outlined in this requirement. Our solution implements a workflow approach to each filing or document type and provides both the state staff user and the public user an engaging interface for data collection. The processes implemented in SOS Enterprise will provide improved mechanisms for data entry and validation over current solutions. Our solution is highly configurable and will not only accommodate the general features outlined above but will enhance them. The following information briefly describes our workflow, data entry, and image viewing capabilities associated to received work in the solution.

The ***combined Imaging, Split-screen, and Workflow*** give internal users an unmatched robust work environment, allowing them to achieve productivity rates not found elsewhere. When documents requiring review are added to the workflow manager, they can be assigned to specific users to review by type or all documents can be processed collectively with a First-In, First-Out (FIFO) method to auto assign the next available document for review as each document is completed.

The following picture identifies the workflow manager and validation process of the recorded document.

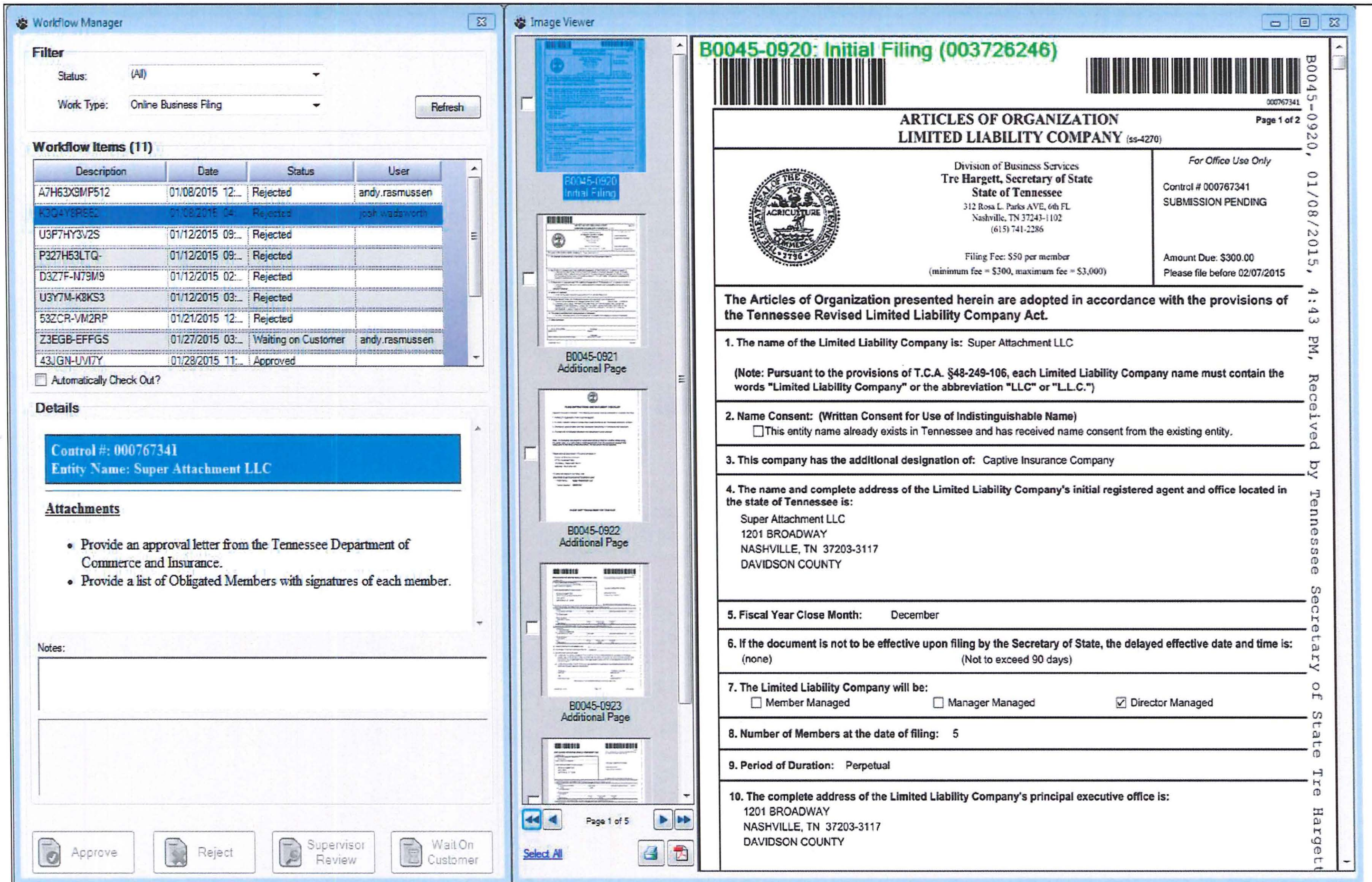


Figure 1 SOS Enterprise Workflow Manager

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 –	YES			

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:

Tecuity's solution meets and in several cases exceeds the functionality outlined in the request for proposal.

The comprehensive search provides **real-time** access to all document types captured in the system. This key component enables users to search by a combination of search criteria to narrow search results and locate data records within the solution. As documents are recorded by internal staff or through the online public portal, records are immediately available and can be located through the comprehensive search mechanisms. The search mechanisms employed by SOS Enterprise provide comprehensive searches including wildcards, noise name removal, full and partial data entry, multiple criteria entry at the same time, and many other options.

The Tecuity solution provides for the search options and items identified in this section. This includes Business Entity Names, Reserved Names, Registered Names, Trade Marks, Service Marks, Trade Names, Name Availability Checks, Duplicate Name Checks, Financial Accounts, Registered Agents, Job Search, UCC, Annual Reports, Business Amendments, Receipts, and more.

We look forward to demonstrating these capabilities and for the Nebraska SOS to try these searches first hand in our sandbox. All search criteria items for each respective search are configurable. Which fields are also included in search results listings are also configurable. Of course all search results are printable and exportable to various file formats. The following describes several screen shots from the internal thin-client application that will be utilized by state staff. This is not inclusive of all search options but is provided as information to the Nebraska SOS to demonstrate the complexity of our search functionality and the rapid and comprehensive results we provide through our search engine.

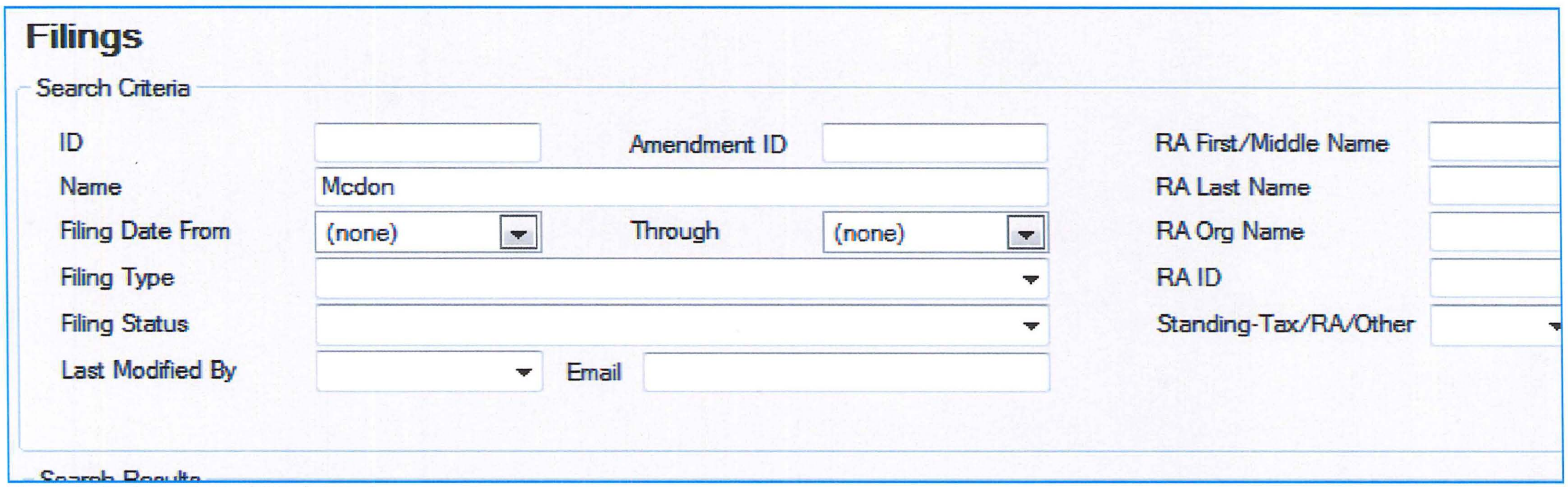


Figure 1 - Business Entity (Filing) Search

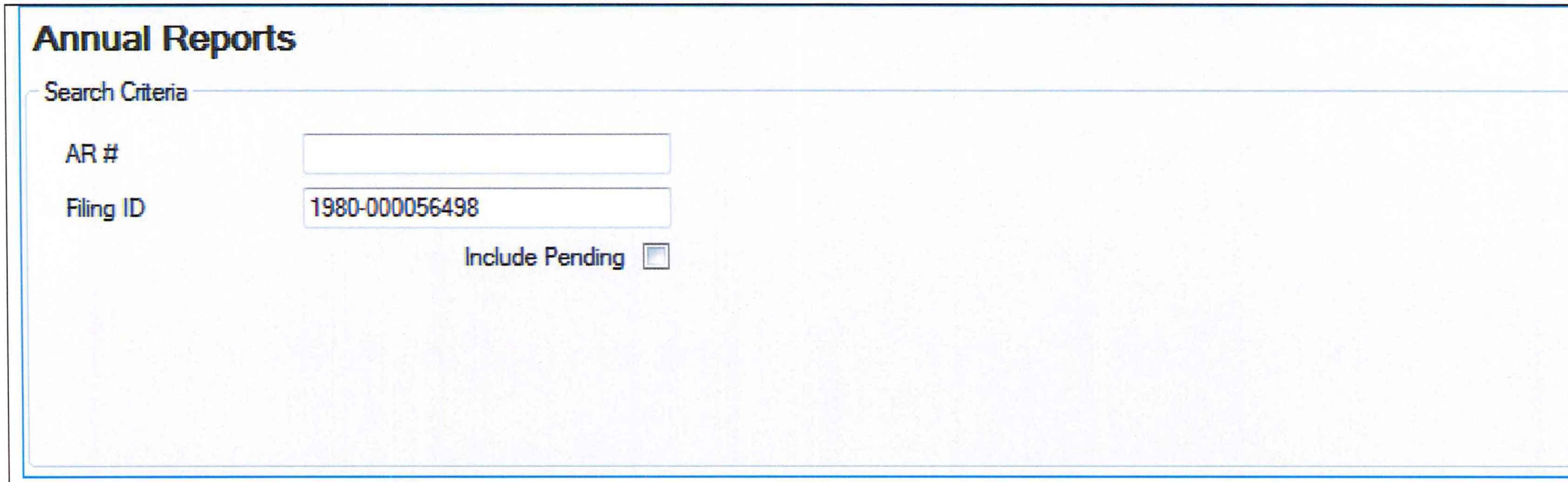


Figure 2 – Annual Report Search

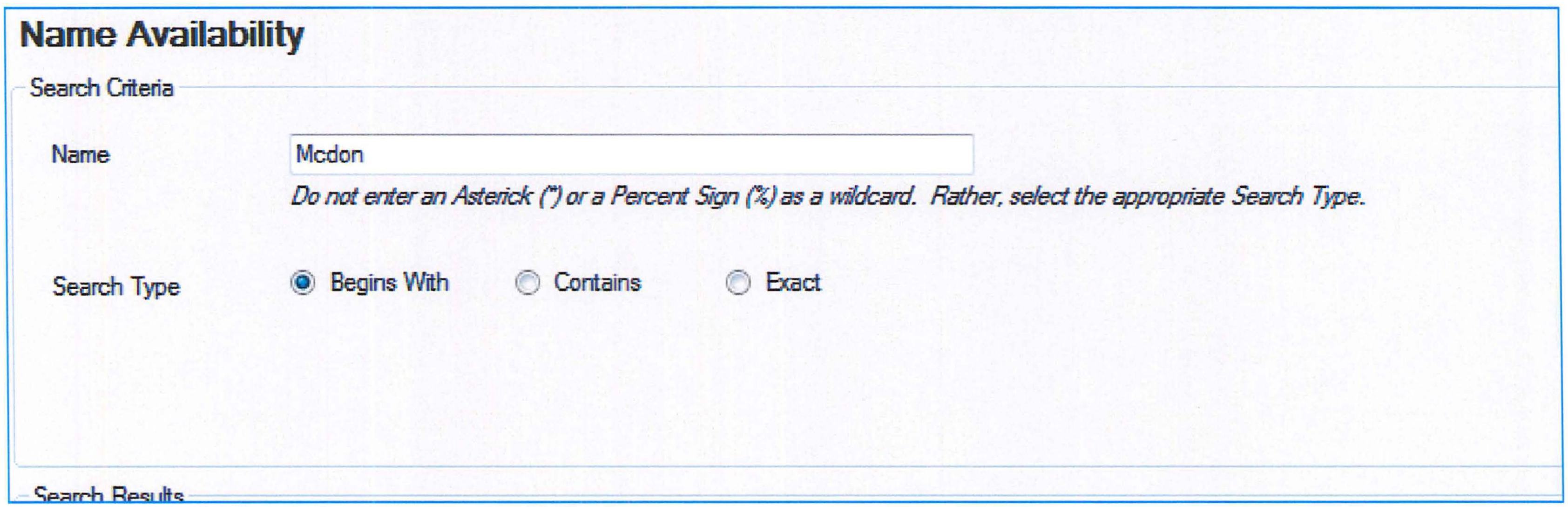


Figure 3 - Name Availability Search

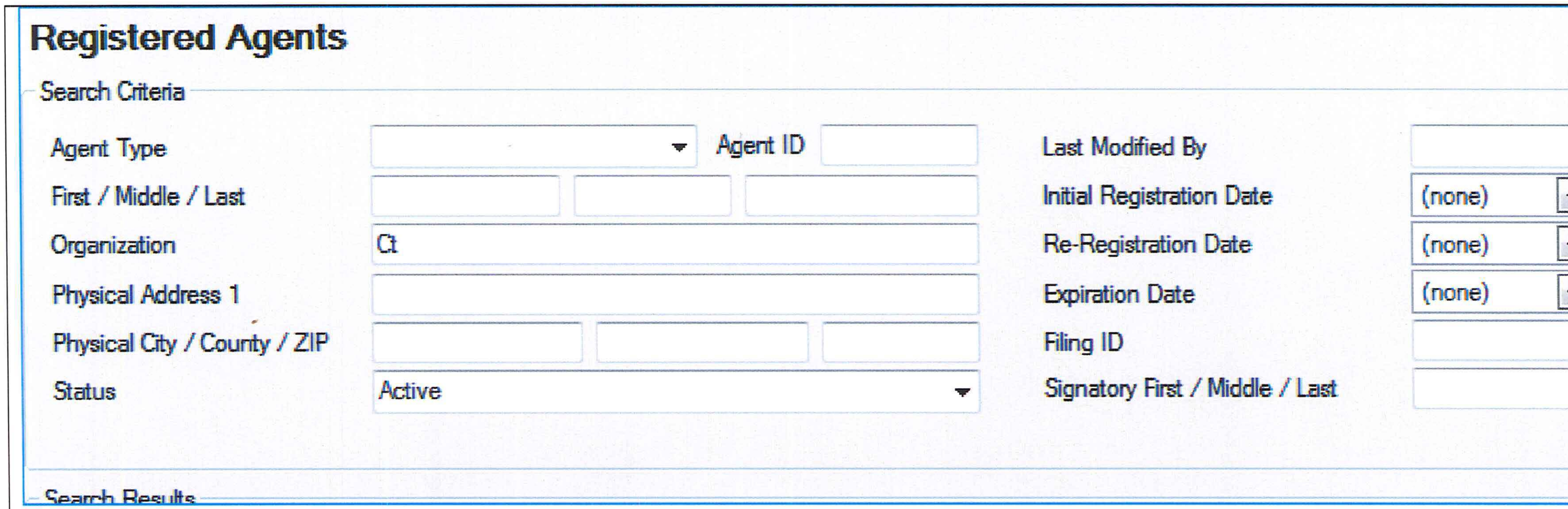


Figure 4 - Registered Agent Search

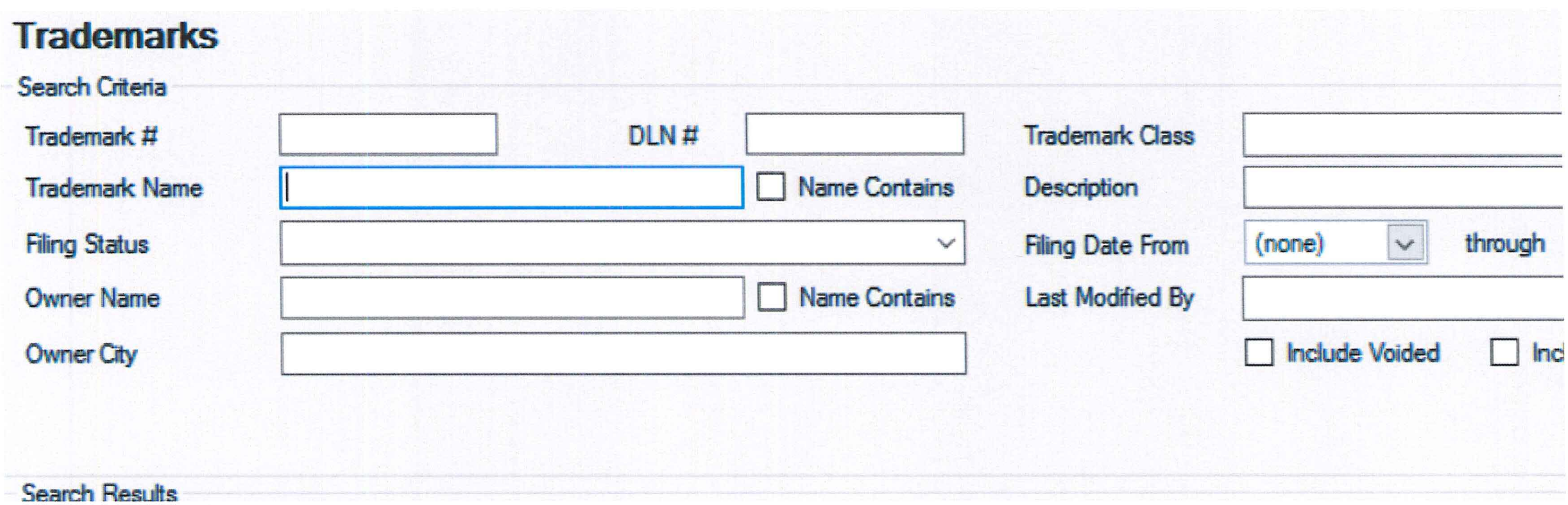


Figure 5 – Trademark/Service Mark Search

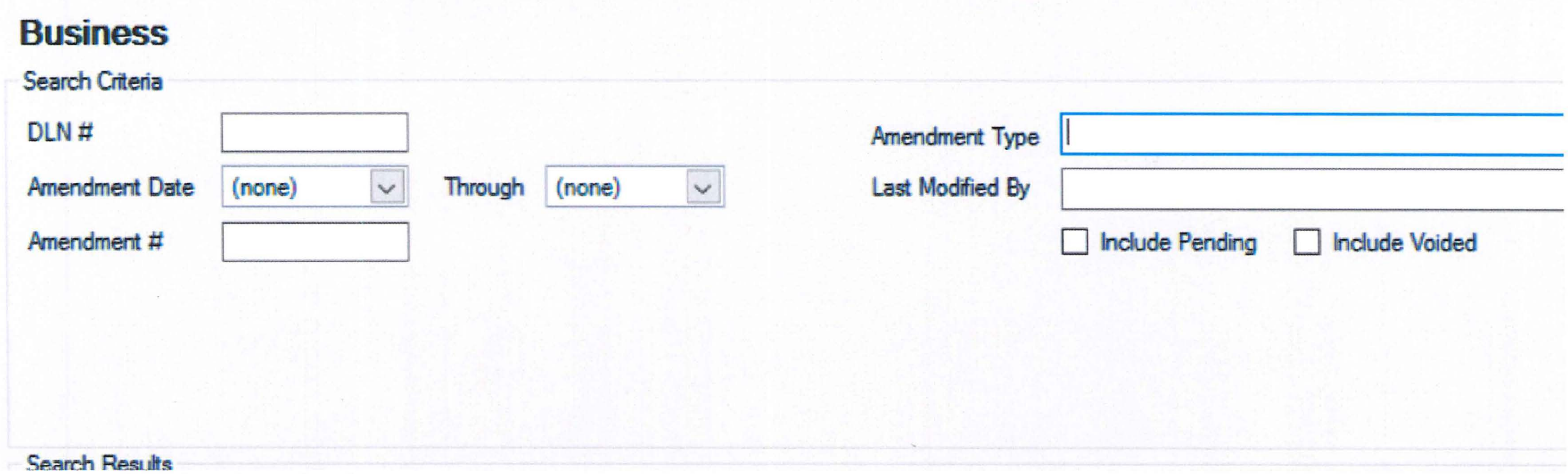


Figure 6 – Business Amendment Search

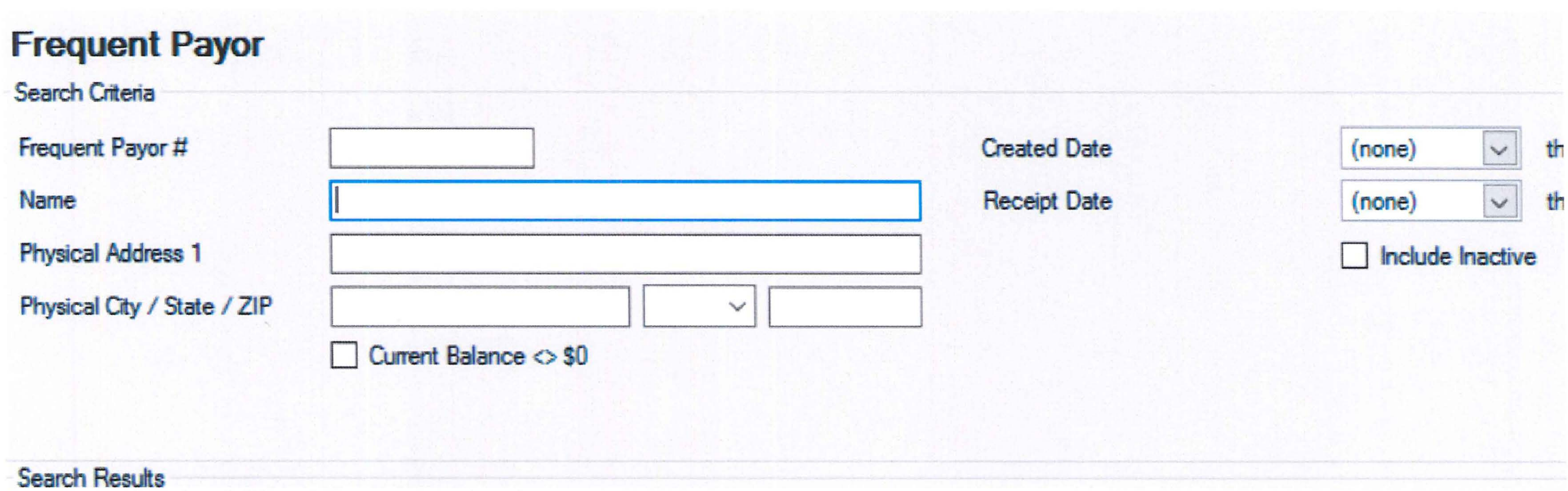


Figure7 – Account Search (Named Frequent Payor in TN)

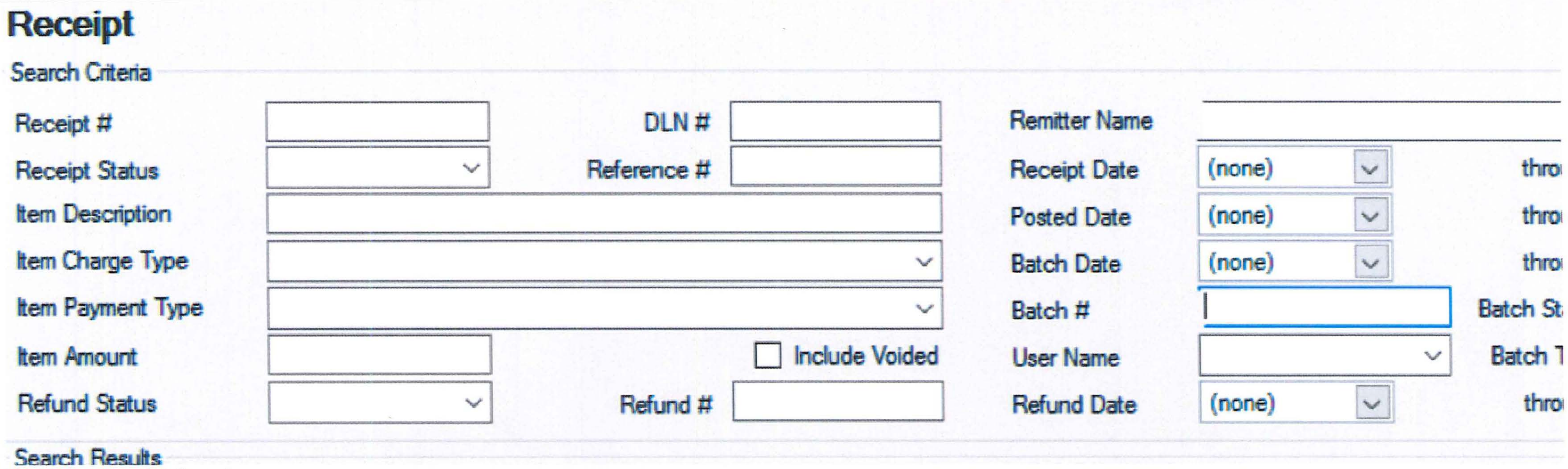


Figure 8 – Receipt Search

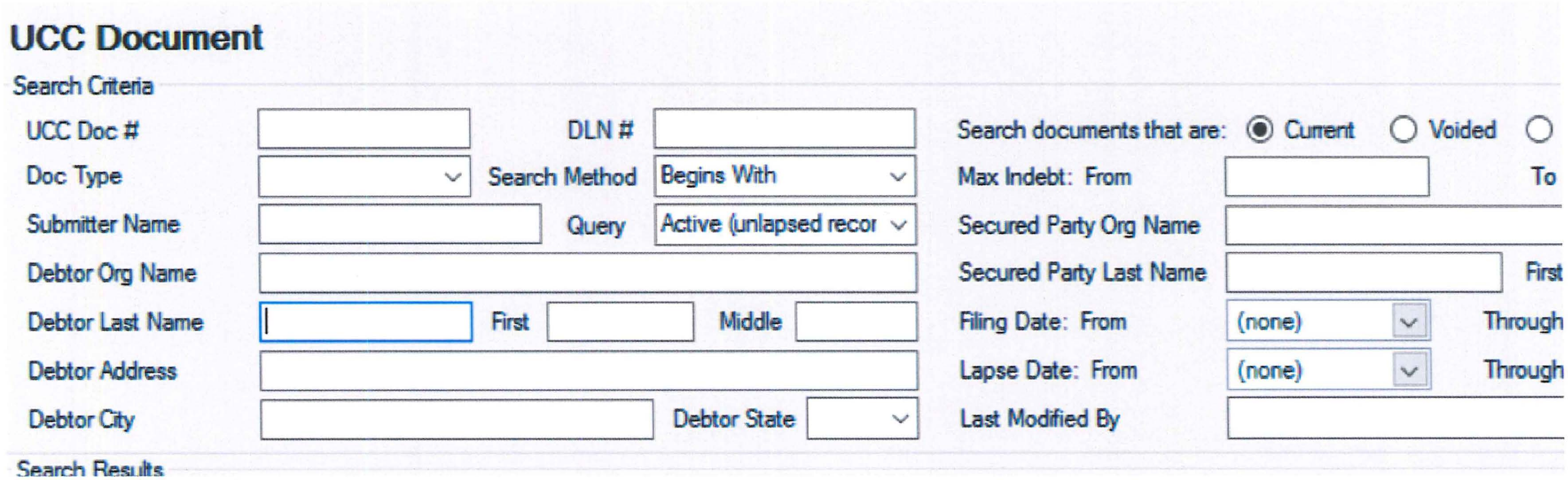


Figure 9 – UCC Document

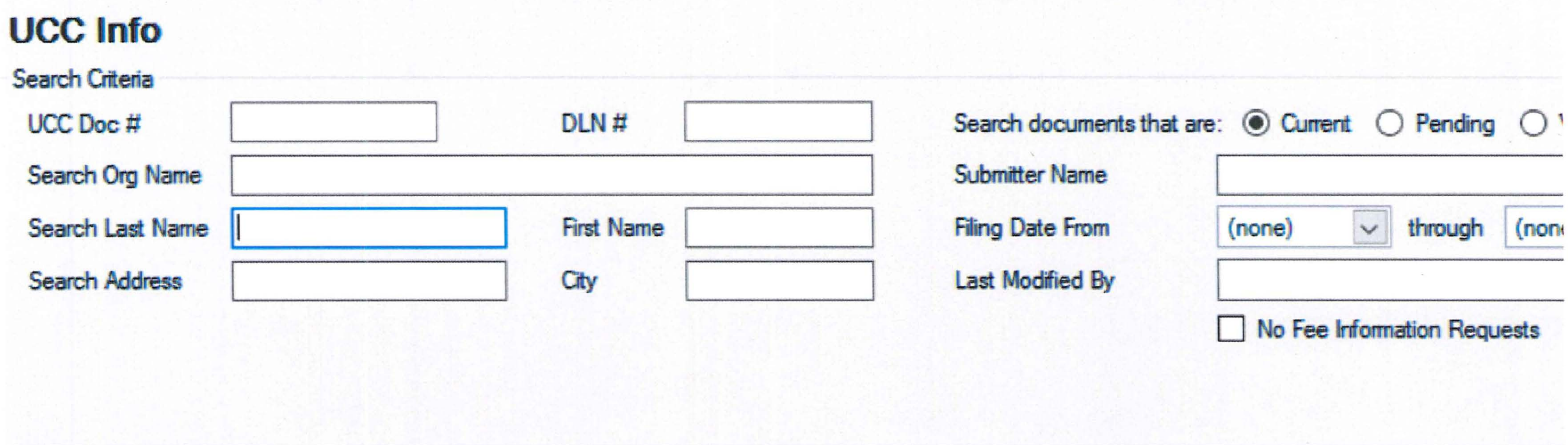


Figure 10 – UCC Info Request

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.	YES			

Bidder Response:

Tecuity's name availability functionality provides for the ability to employ an electronic process in checking the name. The saving of this information has not been implemented in other states but our solution does have the capability to do so as outlined in the requirements. Furthermore, our solution provides for the maintenance of several name lists when used in name availability searches. The following lists are maintained by entity type and specific rules can be applied for both foreign and domestic entities. These configurable name lists include: Regulated Words, Required Name Ending/Containing Words, Not Allowed Name Ending/Containing Words, Noise Words, Obscene Words, and various punctuation replacement and removal functions. Tecuity's name availability search is both highly configurable and comprehensive.

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.	YES			

Bidder Response:

Capturing Registered Agent information in one place is core functionality in our solution. The Tecuity solution provides for the functionality outlined in this requirement. We also provide the ability to manage registered agents and include comprehensive update, merge, and purge tools and the ability to update multiple Business Entity records through our global registered agent change tool. Our solution is truly comprehensive and provide for many configurable options including the designation of commercial agents.

The following screen shots identify some of this information. We look forward to demonstrating the full capabilities of our solution in regards to registered agent management.

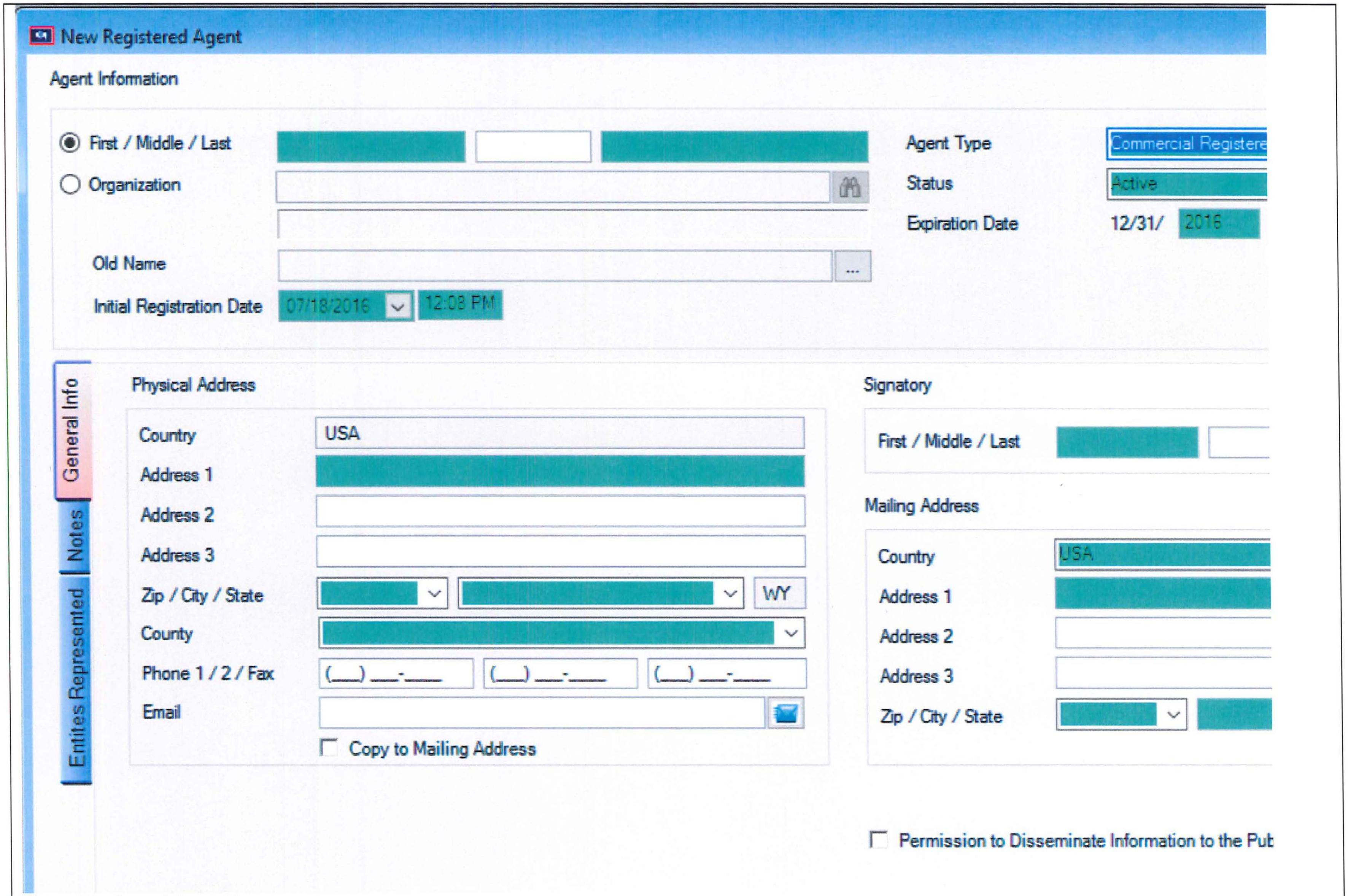


Figure 1 Registered Agent Management

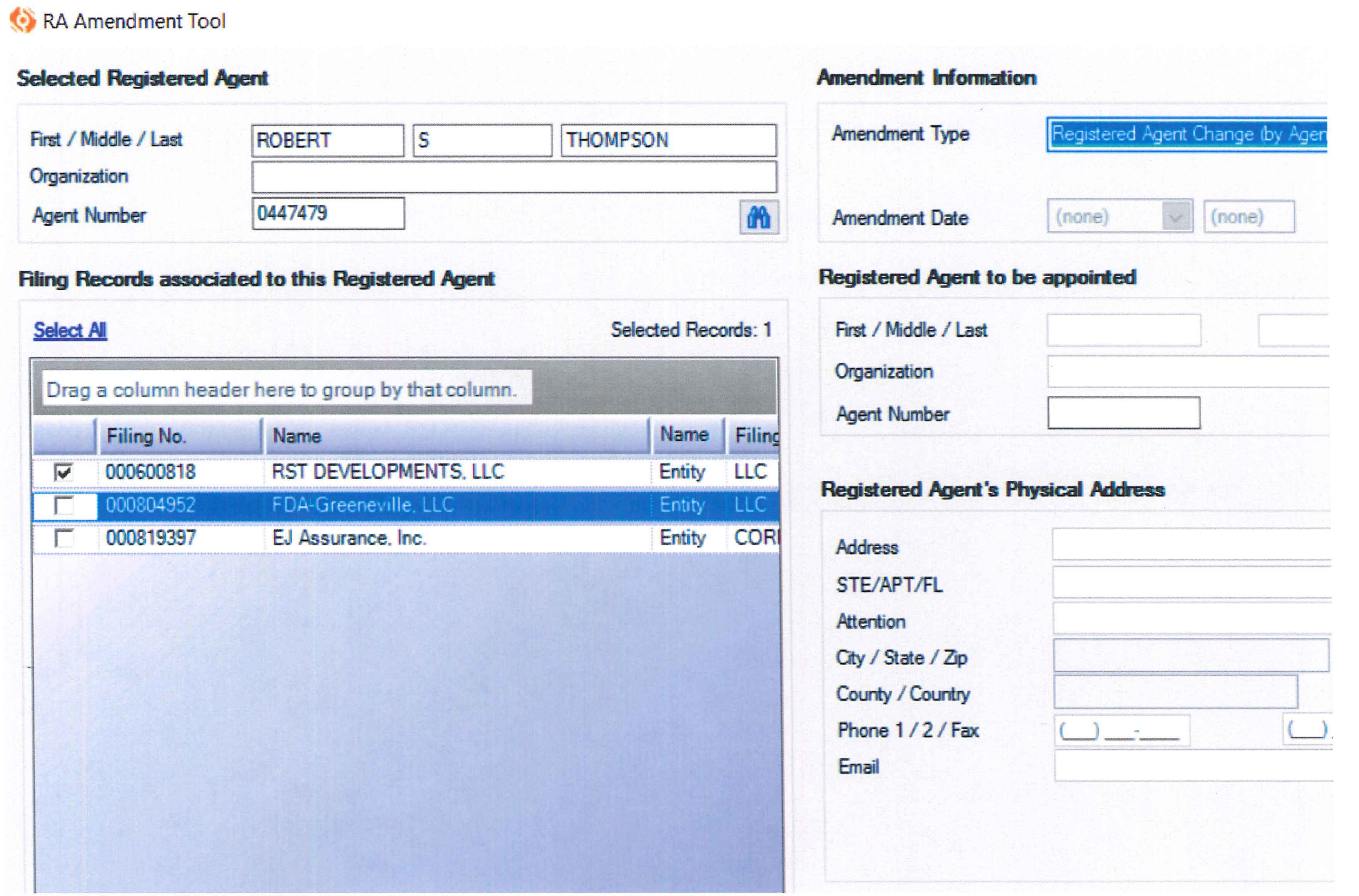
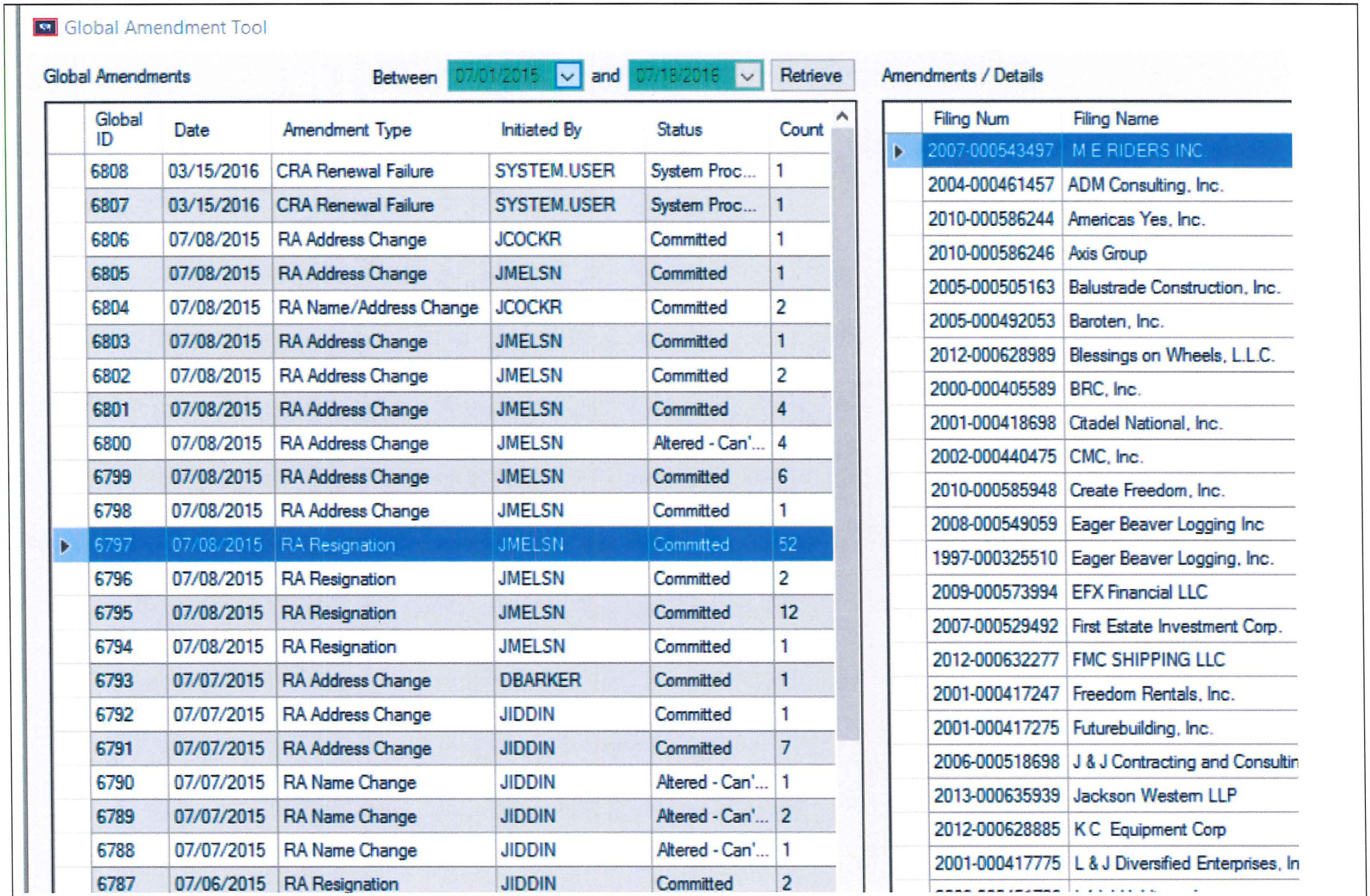


Figure 2 Global Registered Agent Change Tool



Global ID	Date	Amendment Type	Initiated By	Status	Count
6808	03/15/2016	CRA Renewal Failure	SYSTEM.USER	System Proc...	1
6807	03/15/2016	CRA Renewal Failure	SYSTEM.USER	System Proc...	1
6806	07/08/2015	RA Address Change	JCOCKR	Committed	1
6805	07/08/2015	RA Address Change	JMELSN	Committed	1
6804	07/08/2015	RA Name/Address Change	JCOCKR	Committed	2
6803	07/08/2015	RA Address Change	JMELSN	Committed	1
6802	07/08/2015	RA Address Change	JMELSN	Committed	2
6801	07/08/2015	RA Address Change	JMELSN	Committed	4
6800	07/08/2015	RA Address Change	JMELSN	Altered - Can'...	4
6799	07/08/2015	RA Address Change	JMELSN	Committed	6
6798	07/08/2015	RA Address Change	JMELSN	Committed	1
6797	07/08/2015	RA Resignation	JMELSN	Committed	52
6796	07/08/2015	RA Resignation	JMELSN	Committed	2
6795	07/08/2015	RA Resignation	JMELSN	Committed	12
6794	07/08/2015	RA Resignation	JMELSN	Committed	1
6793	07/07/2015	RA Address Change	DBARKER	Committed	1
6792	07/07/2015	RA Address Change	JIDDIN	Committed	1
6791	07/07/2015	RA Address Change	JIDDIN	Committed	7
6790	07/07/2015	RA Name Change	JIDDIN	Altered - Can'...	1
6789	07/07/2015	RA Name Change	JIDDIN	Altered - Can'...	2
6788	07/07/2015	RA Name Change	JIDDIN	Altered - Can'...	1
6787	07/06/2015	RA Resignation	JIDDIN	Committed	2

Filing Num	Filing Name
2007-000543497	M E RIDERS INC
2004-000461457	ADM Consulting, Inc.
2010-000586244	Americas Yes, Inc.
2010-000586246	Axis Group
2005-000505163	Balustrade Construction, Inc.
2005-000492053	Baroten, Inc.
2012-000628989	Blessings on Wheels, L.L.C.
2000-000405589	BRC, Inc.
2001-000418698	Citadel National, Inc.
2002-000440475	CMC, Inc.
2010-000585948	Create Freedom, Inc.
2008-000549059	Eager Beaver Logging Inc
1997-000325510	Eager Beaver Logging, Inc.
2009-000573994	EFX Financial LLC
2007-000529492	First Estate Investment Corp.
2012-000632277	FMC SHIPPING LLC
2001-000417247	Freedom Rentals, Inc.
2001-000417275	Futurebuilding, Inc.
2006-000518698	J & J Contracting and Consultin
2013-000635939	Jackson Western LLP
2012-000628885	K C Equipment Corp
2001-000417775	L & J Diversified Enterprises, In

Figure 3 Global Registered Agent Change History

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.	YES			

Bidder Response:

The Tecuity solution provides the functionality specified in the outlined requirements for formation documents both in-house and online filings. Both processes are comprehensive and the solution provides step by step instructions for the online user and mechanisms for rapid data entry for in-house staff. The workflow or steps for both in-house processing and online processing are configurable in the solution. To best see how our processes work, we look forward to demonstrating these capabilities. Screen shots from the online portal have been included in forming a domestic LLC in Tennessee. This is a portion of the process and not the complete process. Further details can be demonstrated and the Nebraska SOS can try these options first-hand in our sandbox. It is also understood the information for online processes may be captured by the existing website developed by Nebraska Interactive. Our solution provides for the consumption of this through web services as well.

Instructions to Form or Register a New Busine:

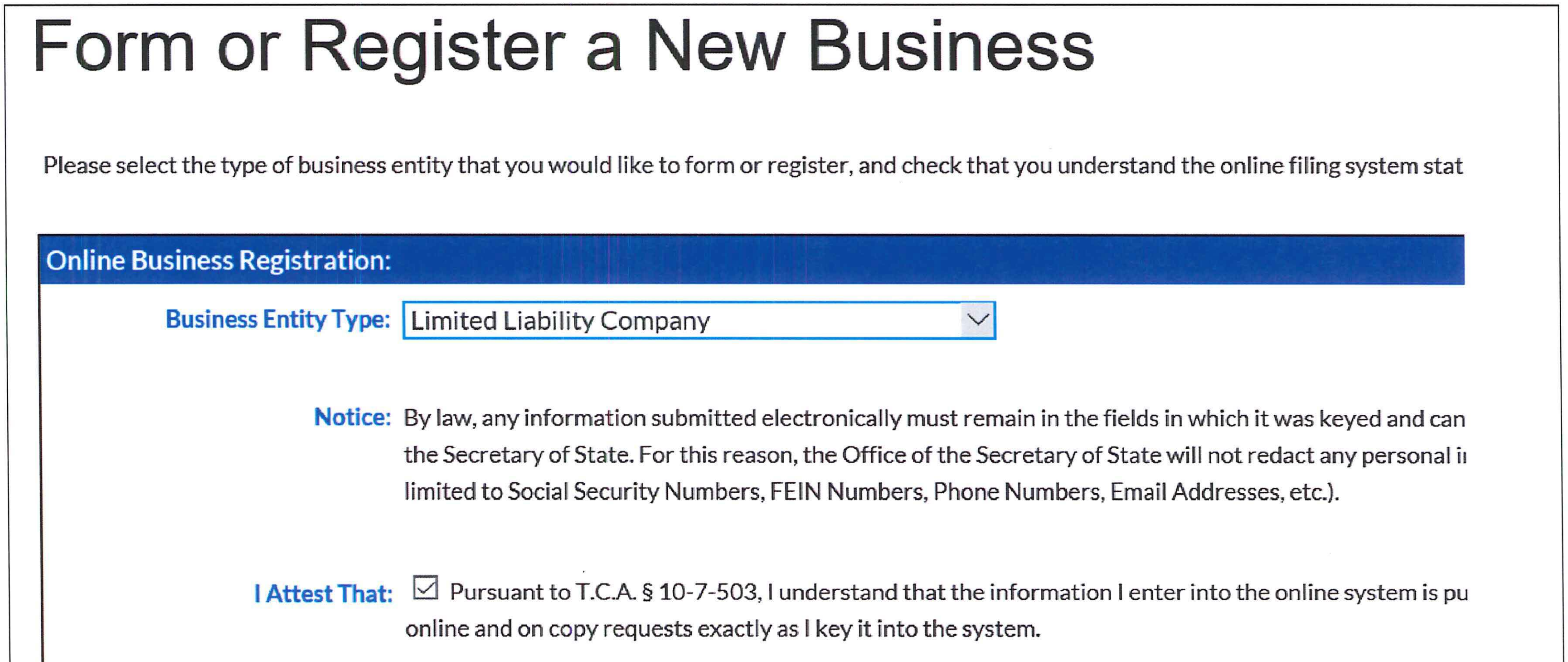
Who Can File Here

- Anyone wishing to form or register a business entity that has not previously been registered with the Tennessee Secretary of State.
- Certain registrations can be filed and paid for online (credit/debit card required), although the selection of certain options will require that documents be printed and mailed to the office of the Secretary of State.
- In most cases, the option is available to print the registration information on the correct form to mail to the Secretary of State.
  A check for the appropriate filing fee must be included.

What You Can Do Here

- File or prepare formation documents to form a business that will be based in Tennessee.
- Register or prepare documents to obtain a Certificate of Authority to transact business in Tennessee if your business was formed in another state.
- A service fee may be charged if filing fees are paid online by credit or debit card.

Figure 1 Instruction Page



Form or Register a New Business

Please select the type of business entity that you would like to form or register, and check that you understand the online filing system stat

Online Business Registration:

Business Entity Type: Limited Liability Company

Notice: By law, any information submitted electronically must remain in the fields in which it was keyed and can the Secretary of State. For this reason, the Office of the Secretary of State will not redact any personal i limited to Social Security Numbers, FEIN Numbers, Phone Numbers, Email Addresses, etc.).

I Attest That: ☑ Pursuant to T.C.A. § 10-7-503, I understand that the information I enter into the online system is pu online and on copy requests exactly as I key it into the system.

Figure 2 Select Entity Type

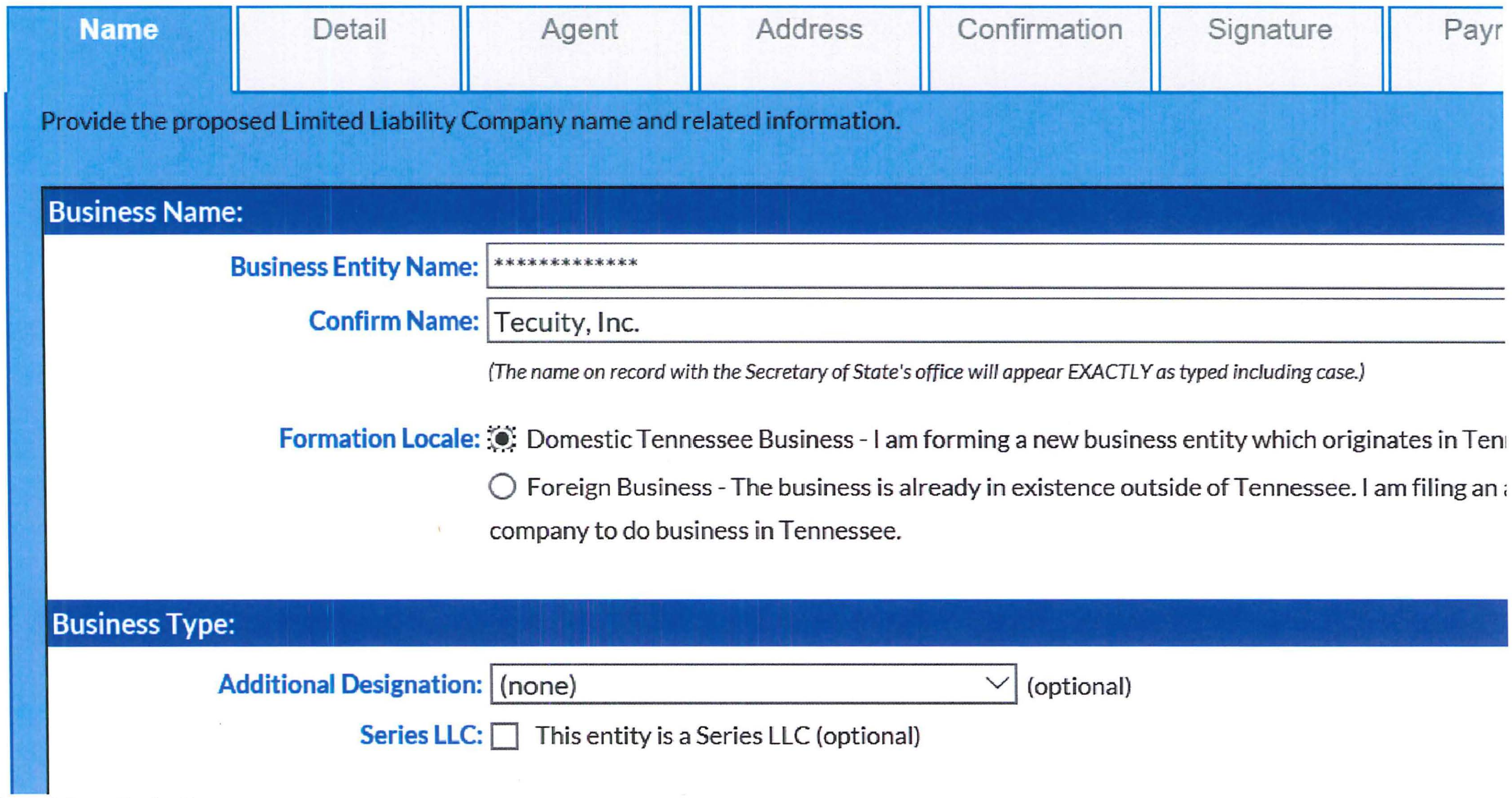


Figure 3 Enter Entity Name

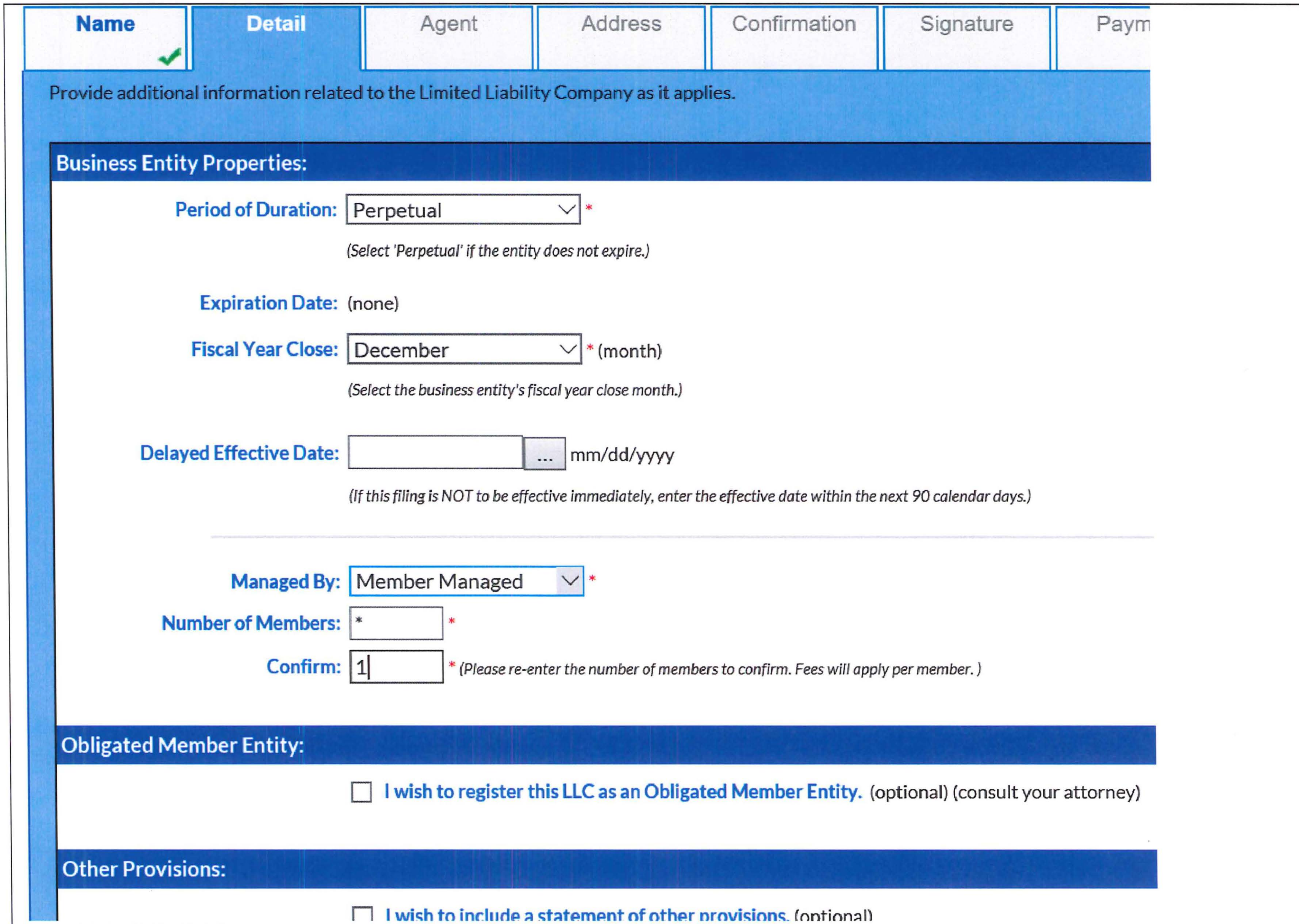


Figure 4 Enter Entity Detail

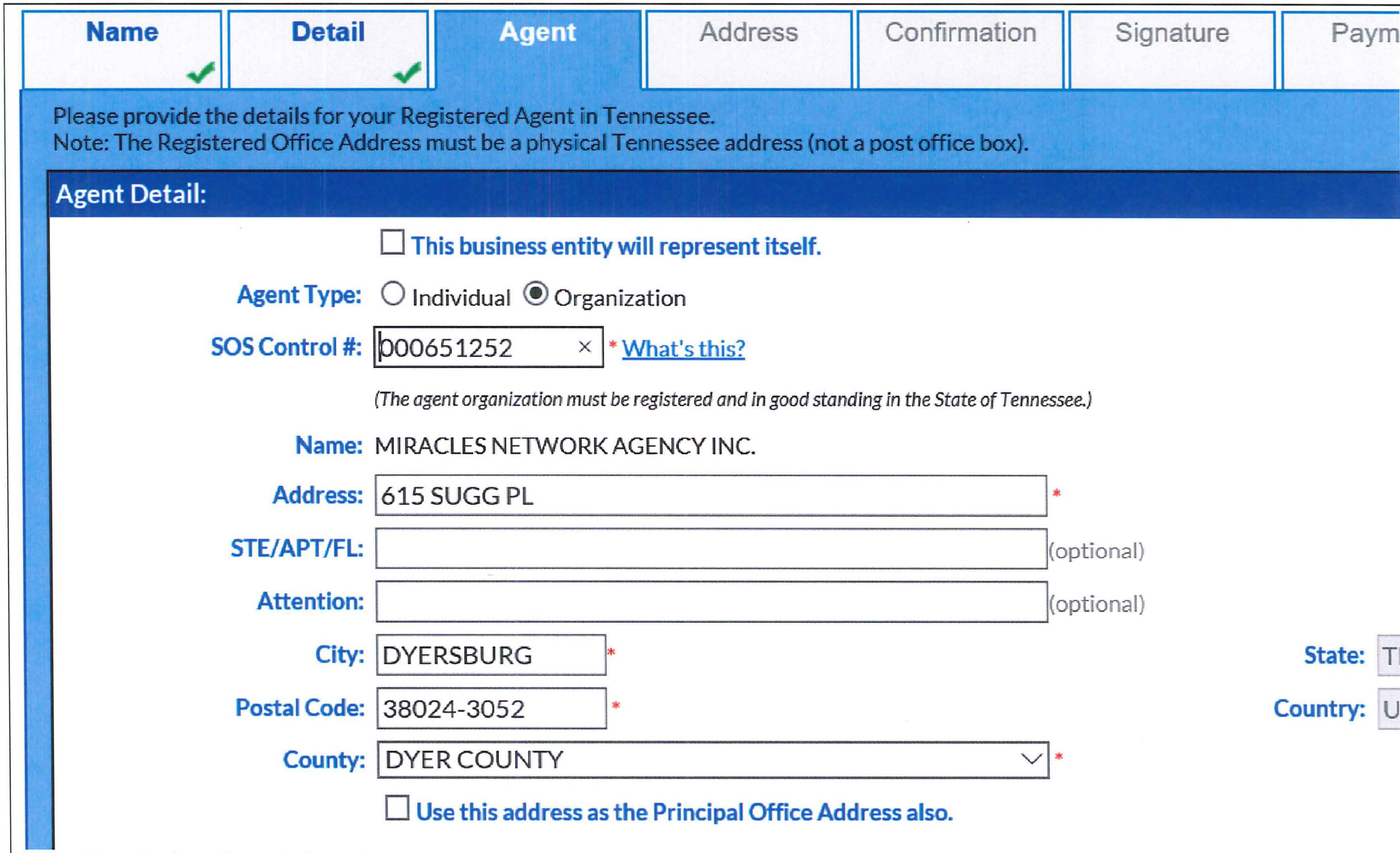


Figure 5 Enter Registered Agent Information

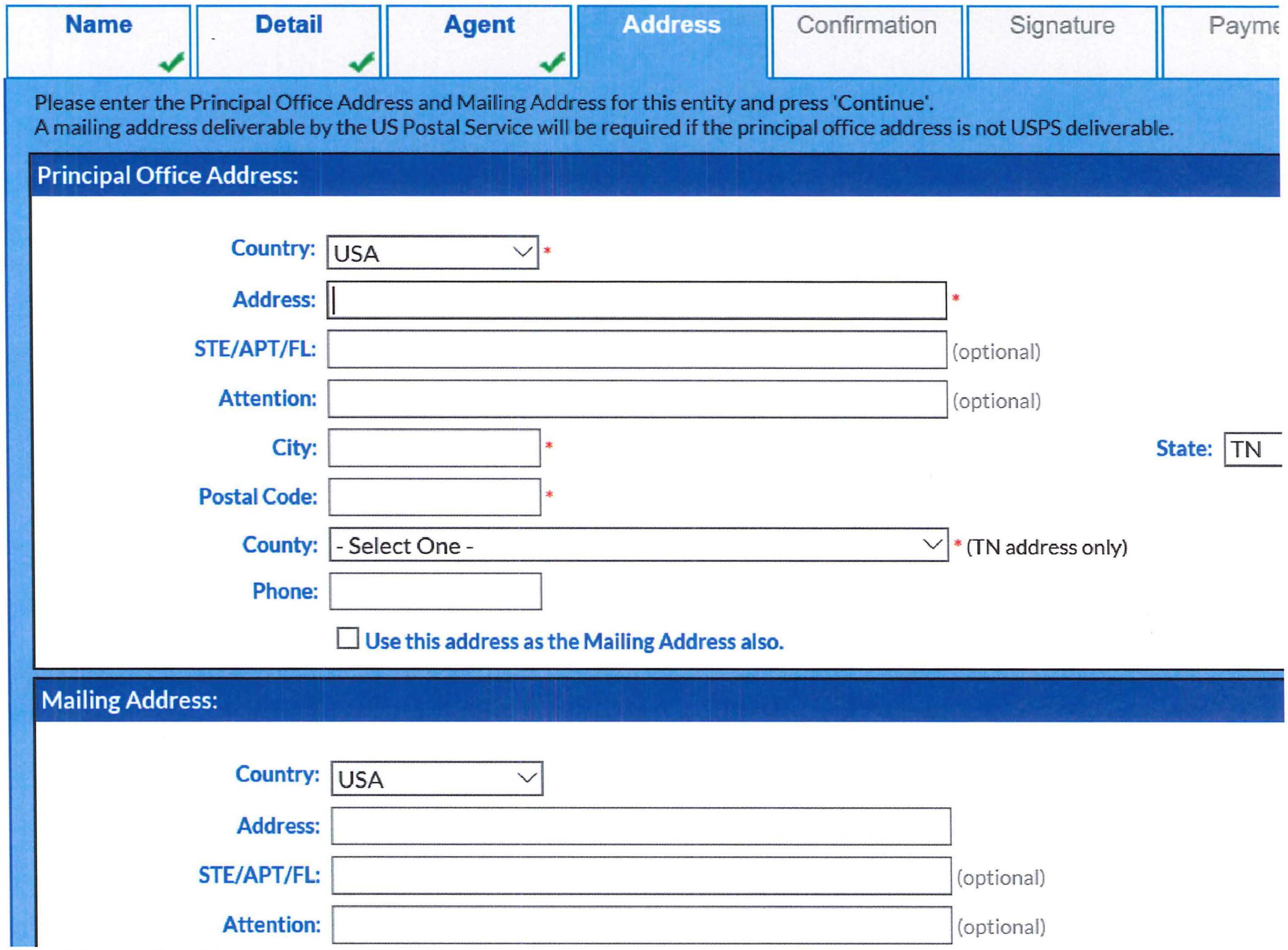


Figure 6 Enter Entity Addresses

Additional steps in the online process include confirmation, signature, and payment. There is also an internal process for state staff for rapid data entry. It is also understood that current web processes have been developed by Nebraska interactive and this project will require interface to receive online document data into the solution. This has been provided as informational to give the Nebraska SOS an idea in how Tecuity has provided online services in other states.

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality as outlined in the request for proposal. Similar step-by-step processes are also implemented for amendment and correction filings. The following screen shot identifies possible options on an entity. This is not inclusive of all entity types or processes but is provided as an example.

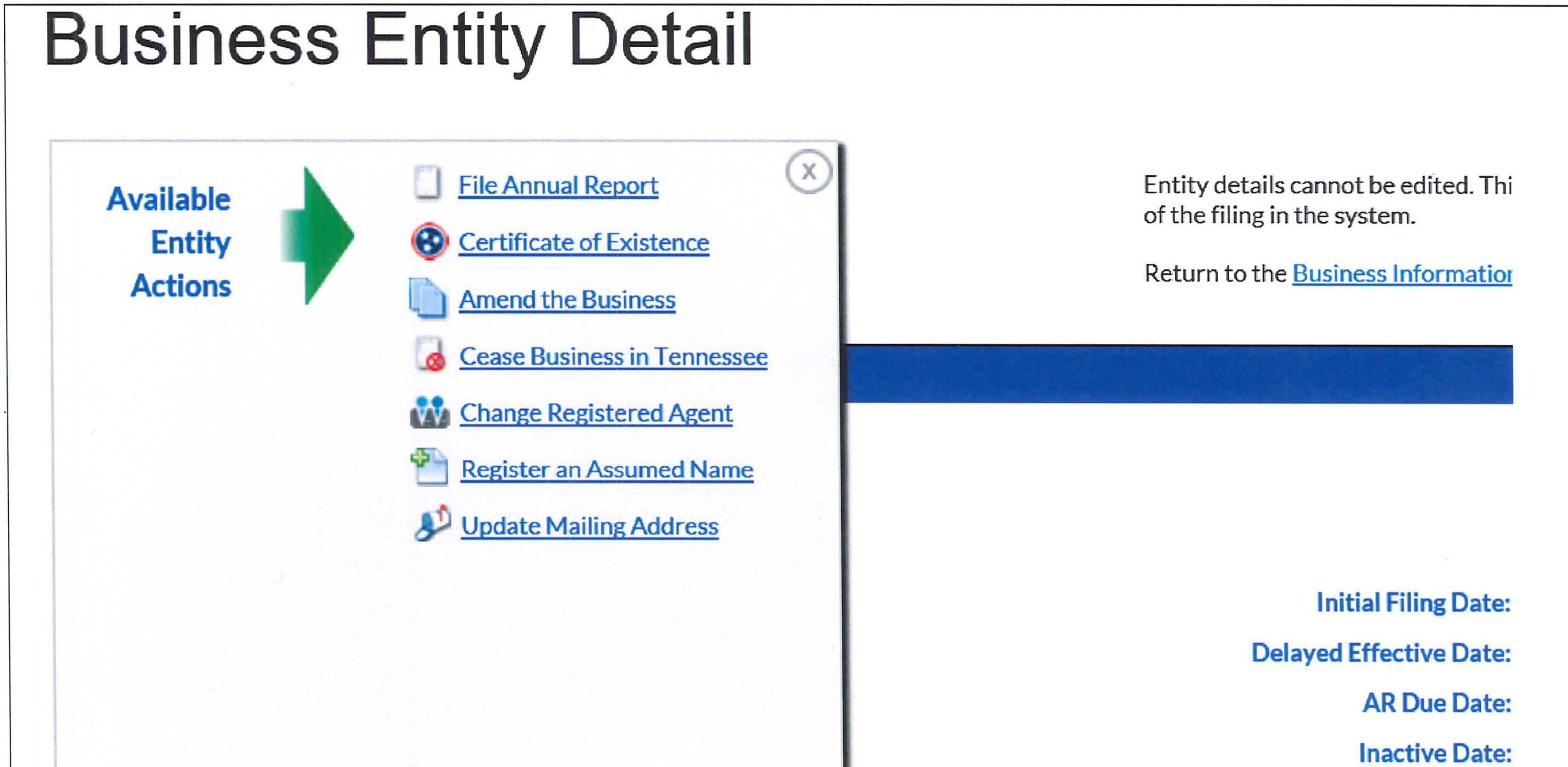


Figure 1 possible actions on a particular entity (online portal)

The following is a screen shot from the thin-client application utilized by staff in selecting an amendment type. All amendment types and their association to entity types is completely configurable in the solution.

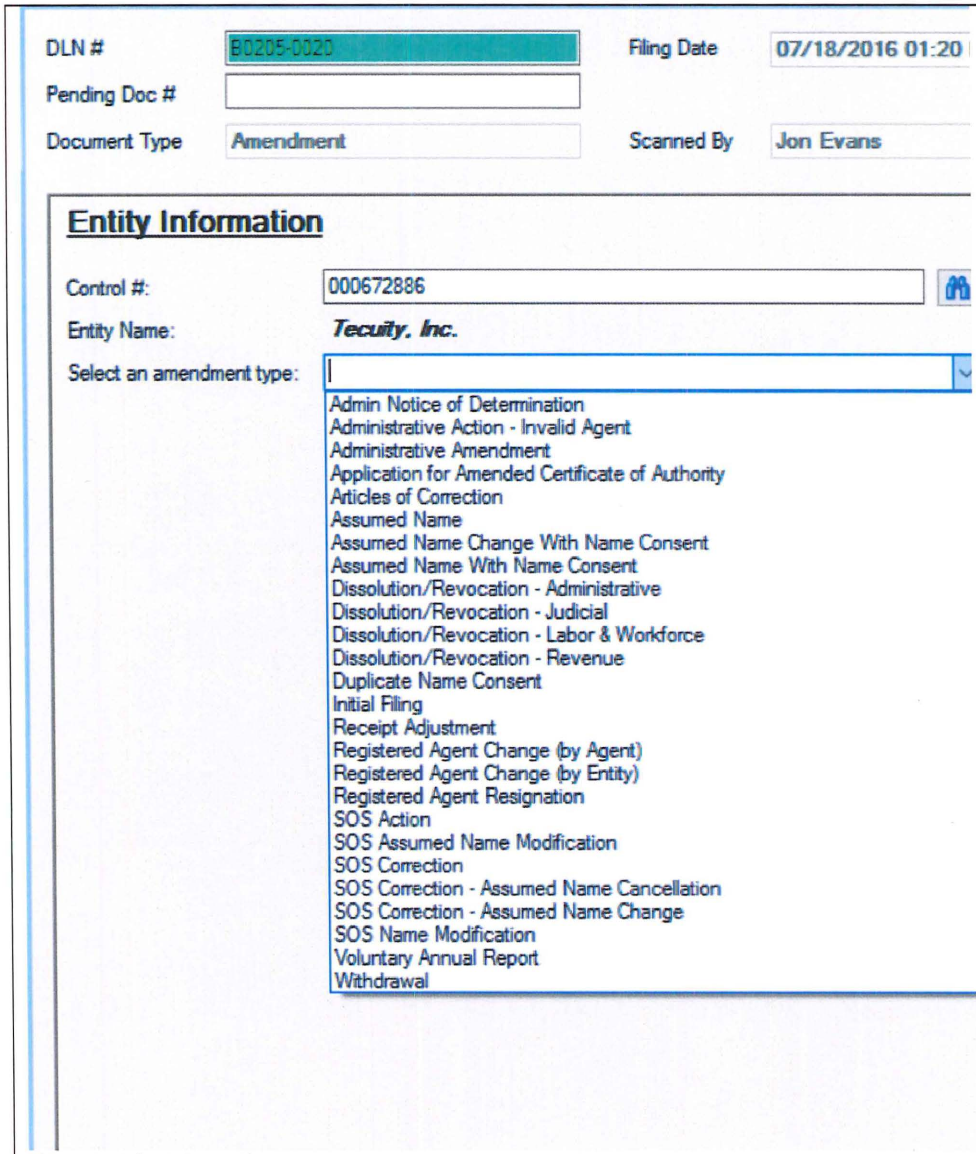


Figure 2 Select Amendment Type

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality as outlined in the request for proposal.

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality as outlined in the request for proposal. The following is a sample of the merger process, conversion filings follow a similar process and both can be demonstrated to the Nebraska SOS.

In the default configuration, a merger document is processed by entering the DLN number from the image and then simply entering in the surviving and non-surviving entities. Other fields, such as name consent information, can also be entered during this process. Once the data is entered, the staff member will save the document and then receipt the money as described elsewhere.

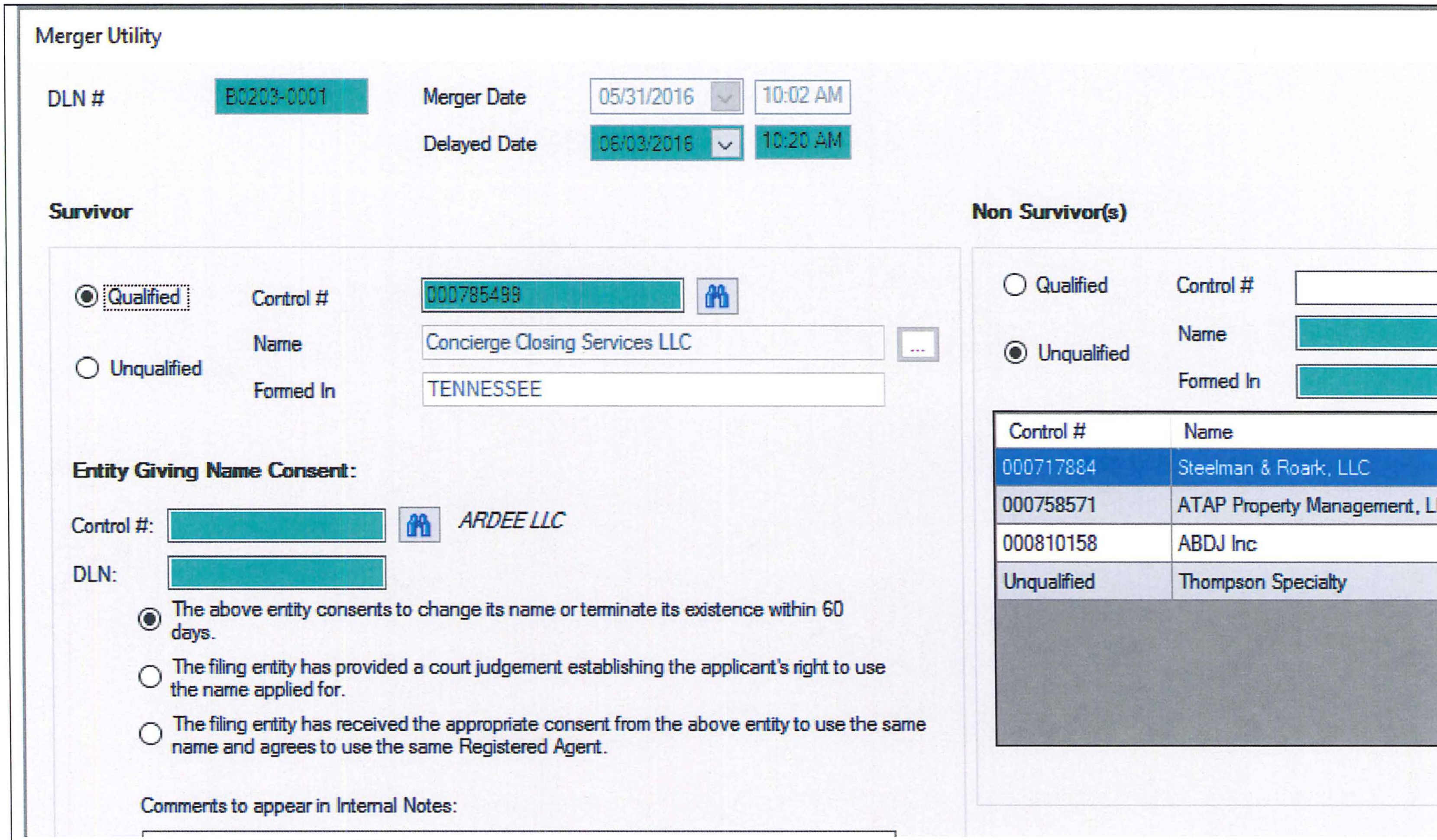


Figure 1 SOS Enterprise Entity Merge Utility

Depending on configuration, an acknowledgement letter can be sent via email or printed by the data entry person. Sample letter content is shown below without headers or footers.

Concierge Closing Services LLC
1616 WESTGATE CIR
BRENTWOOD, TN 37027-8571

Control # 785499 Effective Date:

Document Receipt

Receipt # : 2412850 Filing F

Payment-Cash - Concierge Closing Services LLC, BRENTWOOD, TN

ACKNOWLEDGMENT OF MERGER

Steelman & Roark, LLC (TENNESSEE) (Qualified Non-su

ATAP Property Management, LLC (TENNESSEE) (Qualified N

ABDJ Inc (TENNESSEE) (Qualified Non-survivor)

Thompson Specialty (NEVADA) (Unqualified Non-surv

merged into **Concierge Closing Services LLC (TENNESSEE) (Qua**

Figure 2 Generated Acknowledgement of Merger Document

Once saved, the merger is active and live. Searching one of the non-survivors will show the entity as "Inactive-Merged" with a history item showing the merger details as shown.

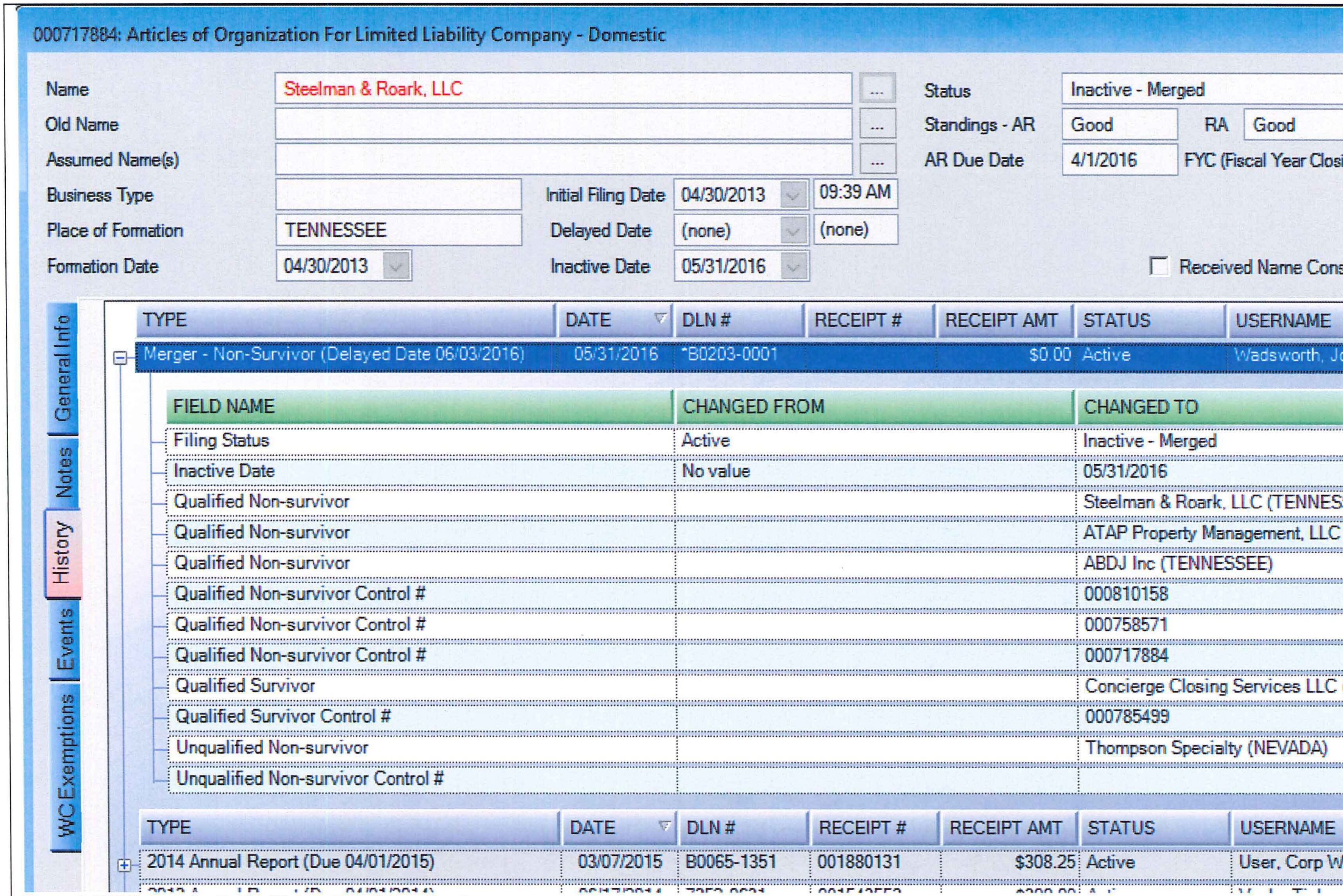


Figure 3 SOS Enterprise Entity History Detail Non-Survivor

Searching the survivor will show the surviving entity as active and the same details of the merger as shown in the non-survivor are shown in its history.

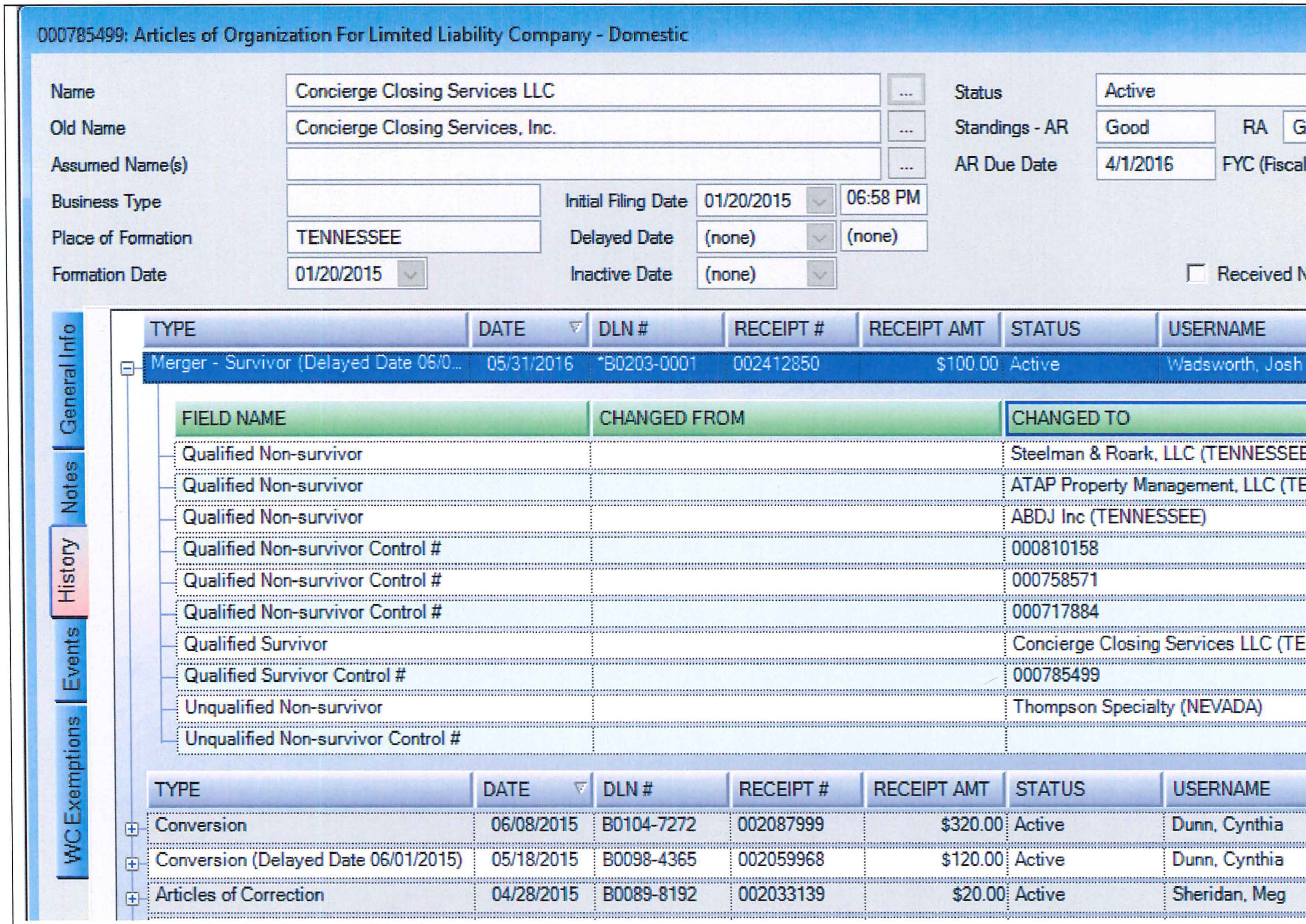


Figure 4 SOS Enterprise Entity History Detail Survivor

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality as outlined in the request for proposal. The following screen shots identify some functionality in the solution from the state staff interface. We look forward to the Nebraska SOS Office utilizing our sandbox and trying this functionality first-hand.

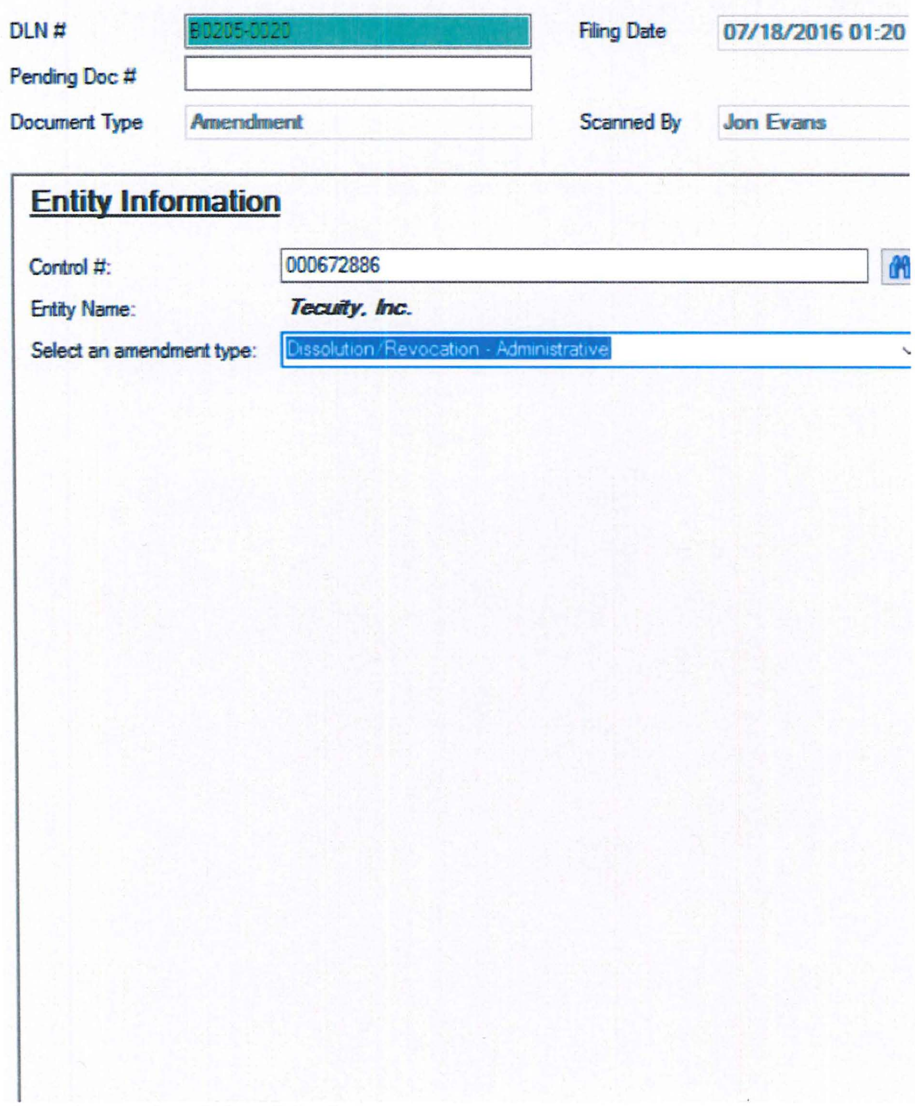


Figure 1 Amendment Type Selection

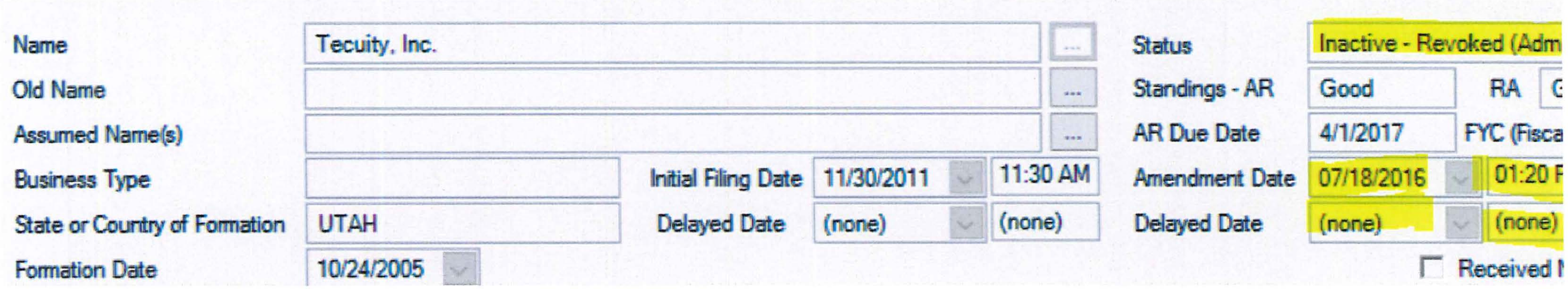


Figure 2 Amendment Details

Tecuity, Inc.
STE A
136 E 800 S
SMITHFIELD, UT 84335-9673

Filing Acknowledgment

Please review the filing information below and notify our office immediately of any discrep

Control # : 672886 Status: Inactive - Revoked (Administrative)

Filing Type: For-profit Corporation - Foreign

Document Receipt

Receipt # : Filing Fee:

Amendment Type: Dissolution/Revocation - Administrative Image # : B02

Filed Date: 07/18/2016 1:20 PM

Alex Pa

Alex Padilla

Figure 3 Amendment Acknowledgement

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.	YES			

Bidder Response:

The Tecuity solution provides both online (public) and in-house (staff) processes for filing reinstatement documents and meets the requirements as outlined. Again we look forward to demonstrating this capability and having the Nebraska SOS try this functionality first hand. The following are screen shots from the online reinstatement process when an entity is required to file annual reports as part of the reinstatement process.

An online workflow process has been implemented on the website to walk the public user through the filing of all required annual reports. Tecuity also understands many of these online processes will require interface to Nebraska Interactives developed functionality.

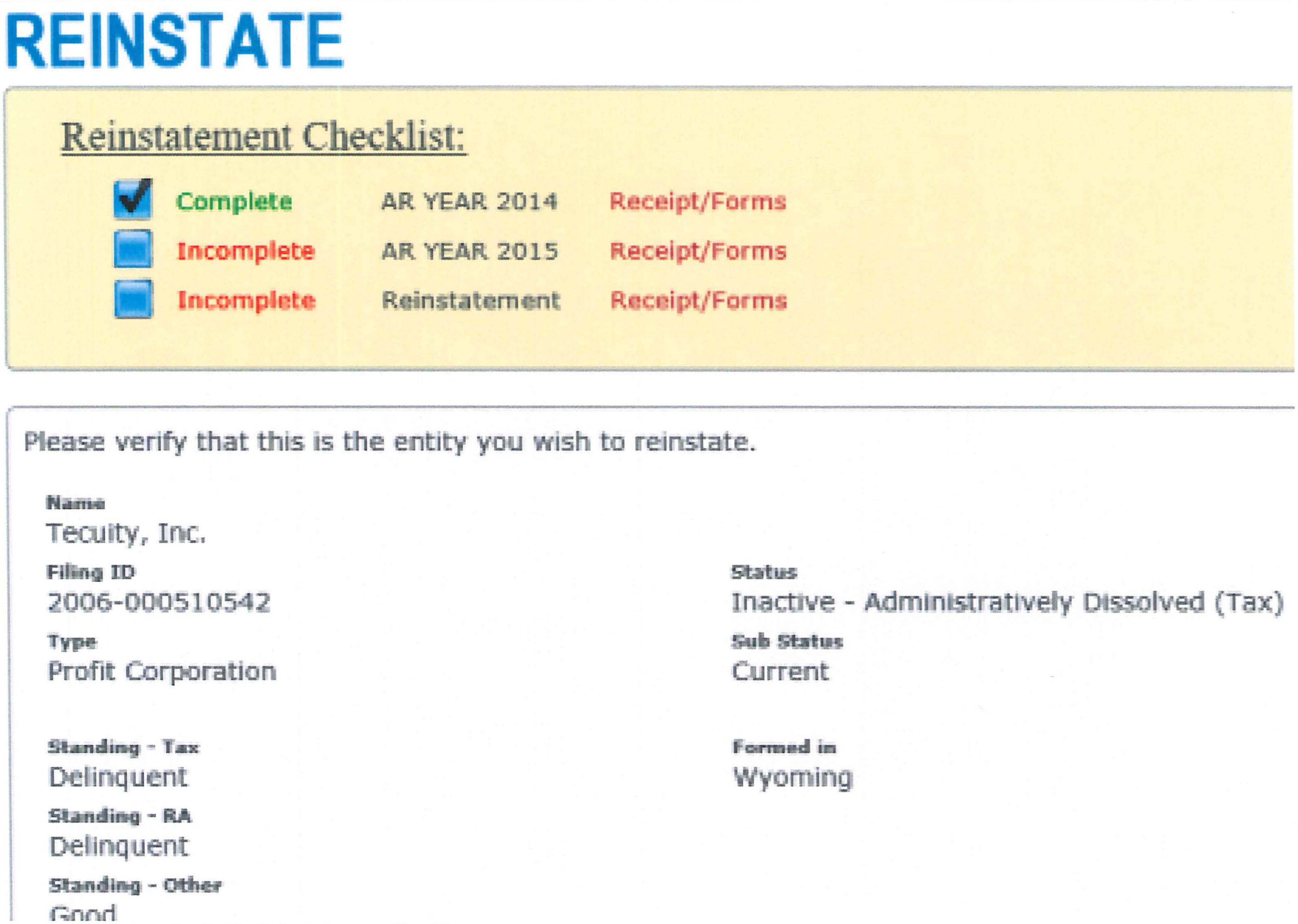


Figure1 SOS Enterprise Entity Reinstatement Checklist

The thin client for internal SOS office staff includes a similar process of managing the workflow of reinstating an entity.

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality as outlined in the request for proposal. The solution allows for the rapid entry of annual reports when received by state staff. The solution also provides a step-by-step approach for the online user to file their annual reports. The validation checks outlined are incorporated to both internal processing as well as public portal. Our solution can also interface with Nebraska interactive as necessary. The following screen shots identify data entry values that can be entered through the annual and Biennial Report Entry. These screen shots are not inclusive of all forms provided in the solution. The solution also logs changed from and changed to values as data is updated by the annual or biennial report. Report images are also available with a simple click of the image icon associated to the report in history. See the history screen shot in figure 2.

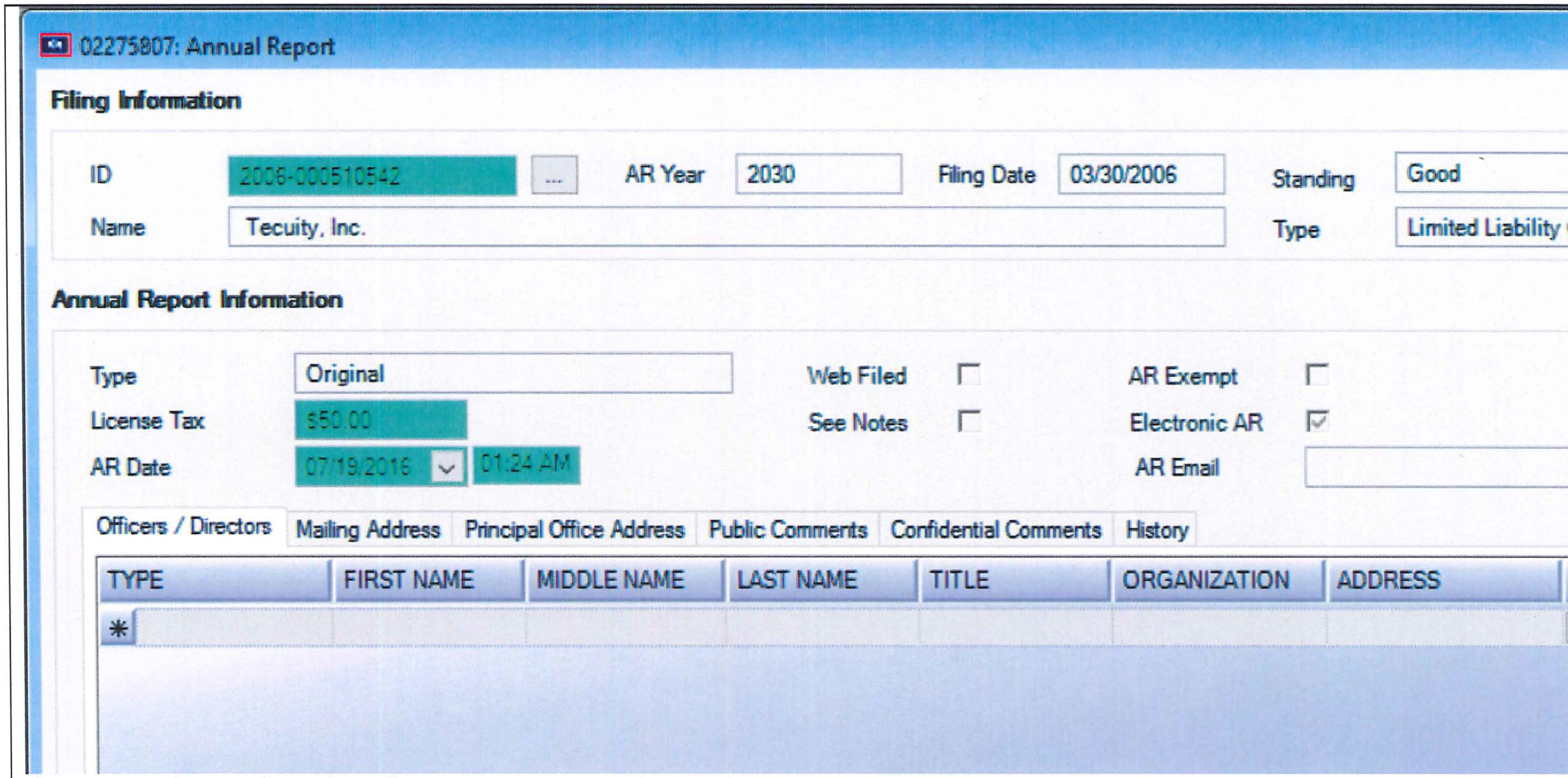
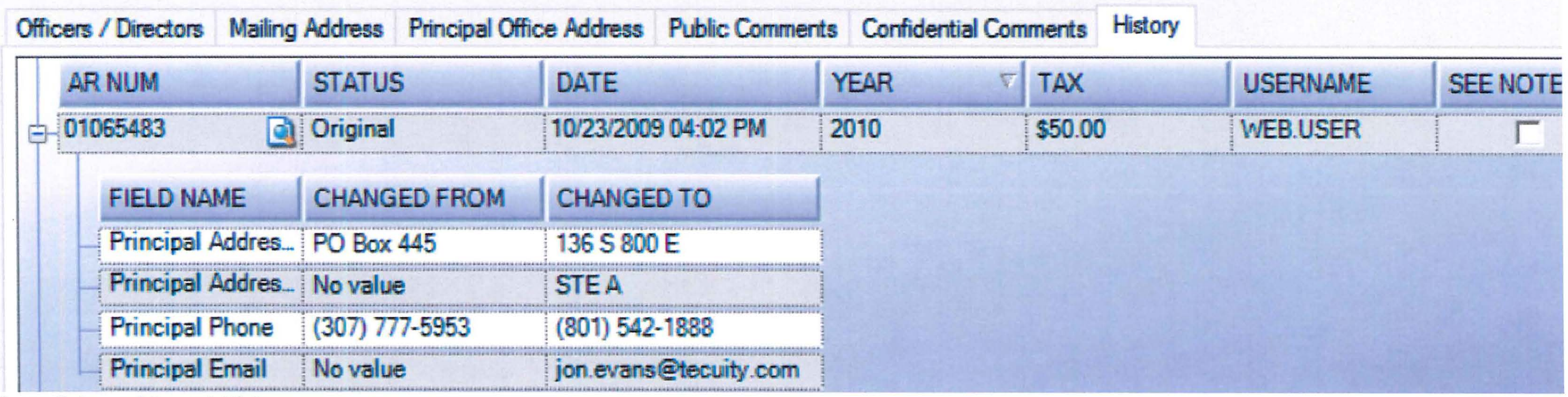


Figure 1 Annual Report General Detail



Officers / Directors | Mailing Address | Principal Office Address | Public Comments | Confidential Comments | History

AR NUM	STATUS	DATE	YEAR	TAX	USERNAME	SEE NOTE
01065483	Original	10/23/2009 04:02 PM	2010	$50.00	WEB.USER	

FIELD NAME	CHANGED FROM	CHANGED TO
Principal Addres...	PO Box 445	136 S 800 E
Principal Addres...	No value	STE A
Principal Phone	(307) 777-5953	(801) 542-1888
Principal Email	No value	jon.evans@tecuity.com

Figure 2 Annual Report History

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	YES			

	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:

The Tecuity solution provides for the functionality outlined in the request for proposal. The Wyoming Secretary of State's Office also has incorporated a mass annual report process so our solution has had this feature incorporated for years.

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.	YES			

Bidder Response:

Automated System Generated Functions are one of the many strong suites of the SOS Enterprise solution. As identified these events are scheduled functions based upon data in the filed records. We refer to them as "Events". Our solution has over 75+ events that can be configured or expanded. New events can also be created. All events are defined with a business process flow document and any event associated to an entity is displayed on the events tab of the entity detail record. All events are automatic based on data on the records and can be configured to run at off times during the night.

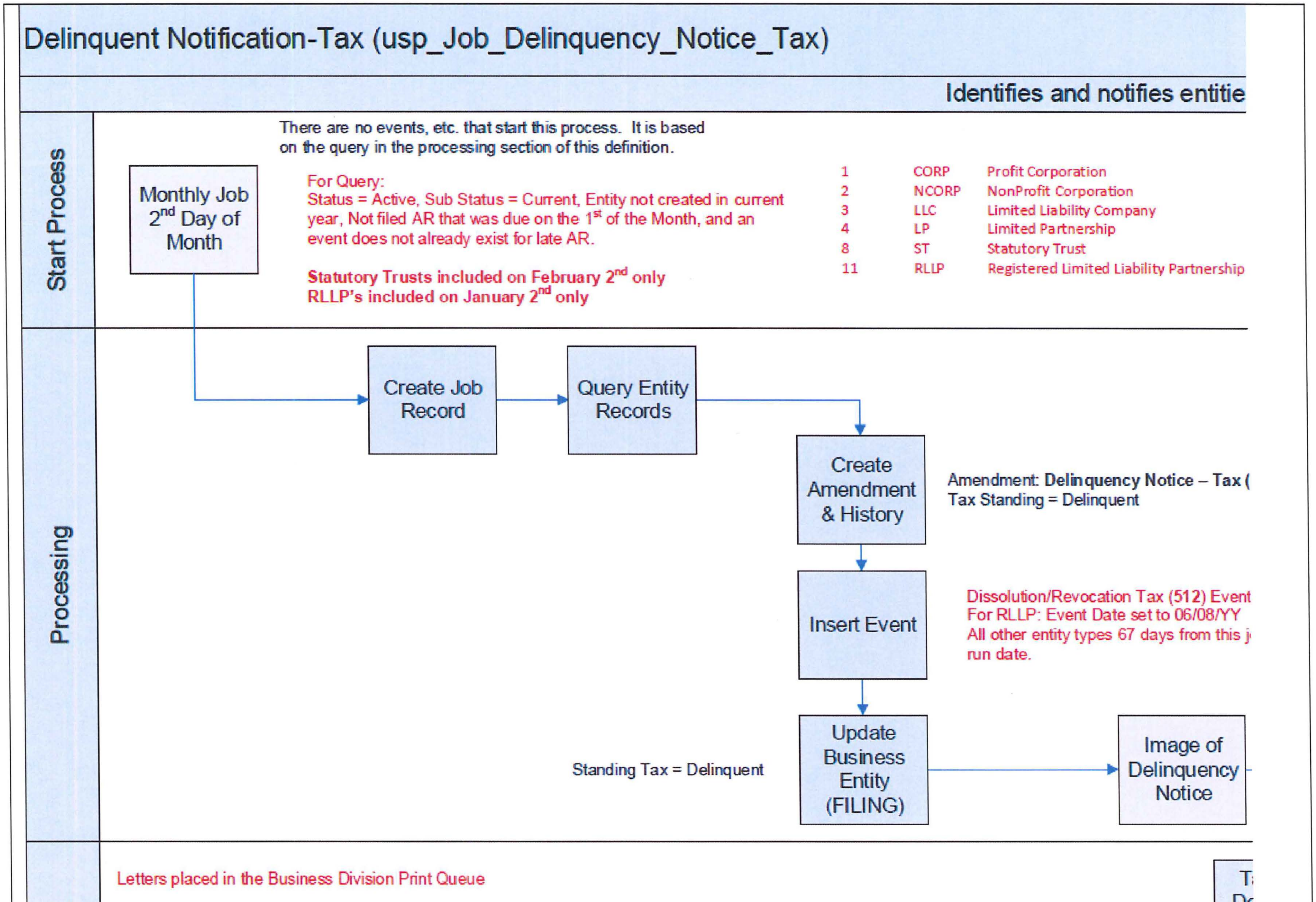


Figure 1 Sample Event Process Workflow

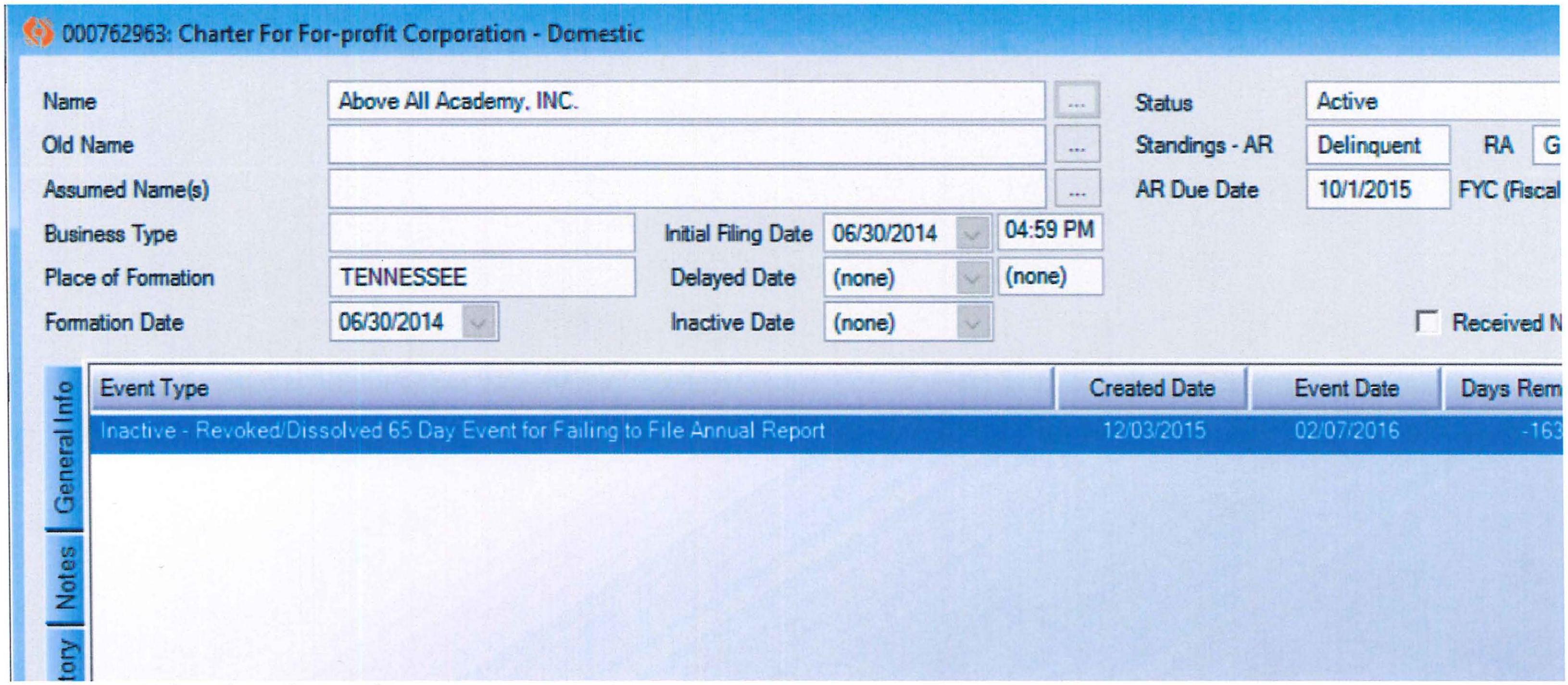


Figure 2 Event tab on the entity record

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"	YES			

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:

The Tecuity solution provides for the functionality outlined in the request for proposal. We look forward to demonstrating this functionality and allowing the Nebraska SOS to try our solution in our sandbox. The following screen shot displays the search criteria screen but does not demonstrate the power within the search mechanisms of the solution.

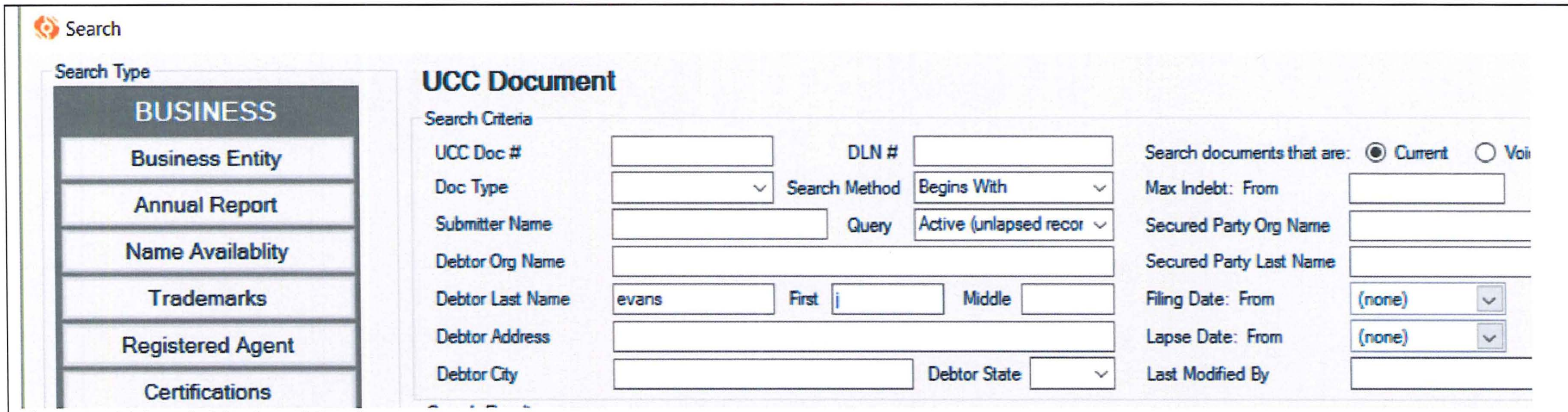


Figure 1 UCC Search Criteria and Results

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.	YES			

	The bidder should describe and provide screen shots showing how their system handles Original filing processes.				

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal. The following screen shots demonstrate the step by step approach to filing UCC documents within the solution. In the processing of documents, the Tecuity solution allows the user to highlight a section in the actual document image and initiate an OCR process to copy text from the image into various fields of the data entry form. Collateral is a good example of this functionality. The user can highlight the collateral section on the actual image and initiate the OCR functionality to copy the text into the collateral data entry field if desired.

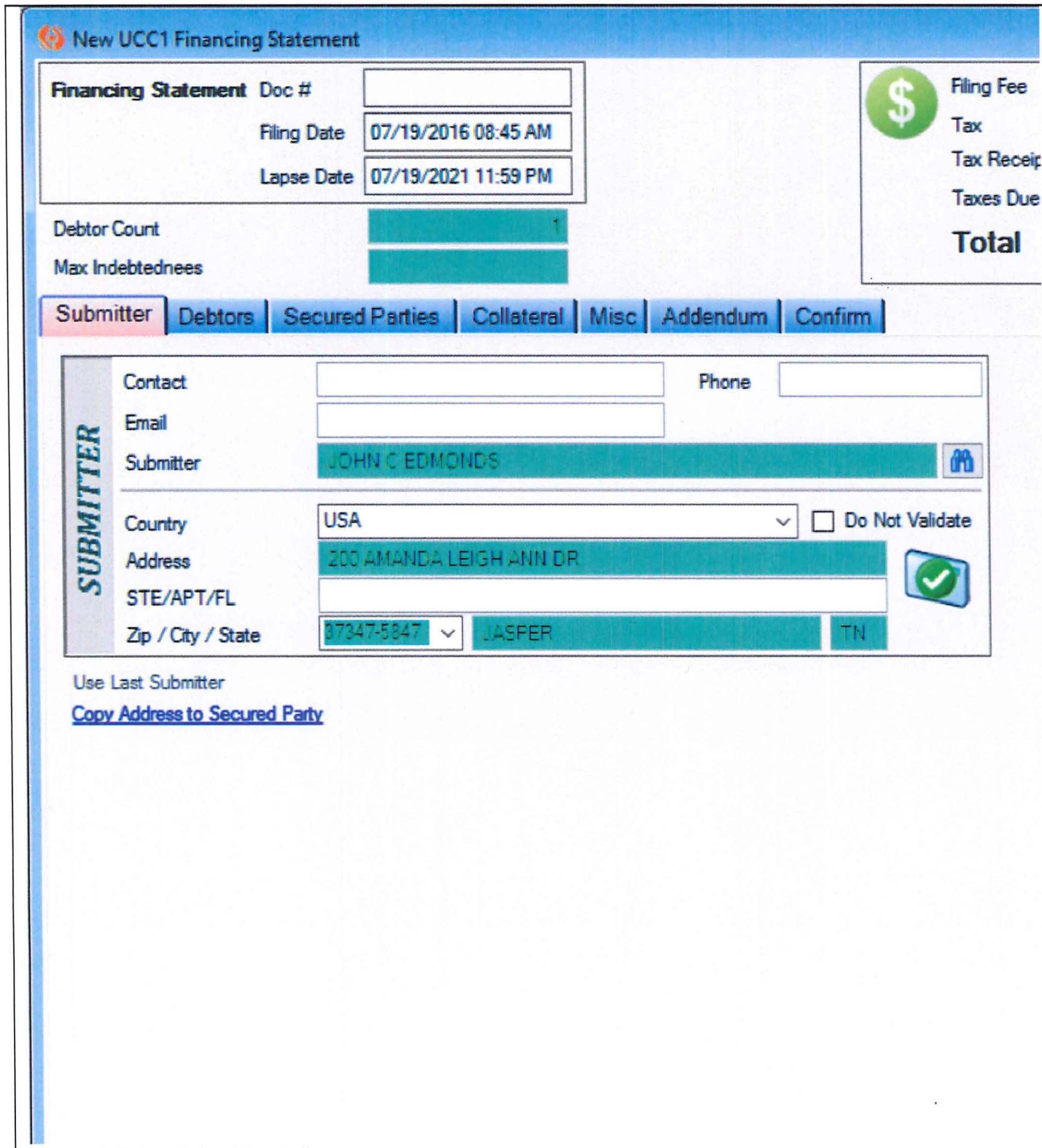


Figure 1 Enter Submitter Info

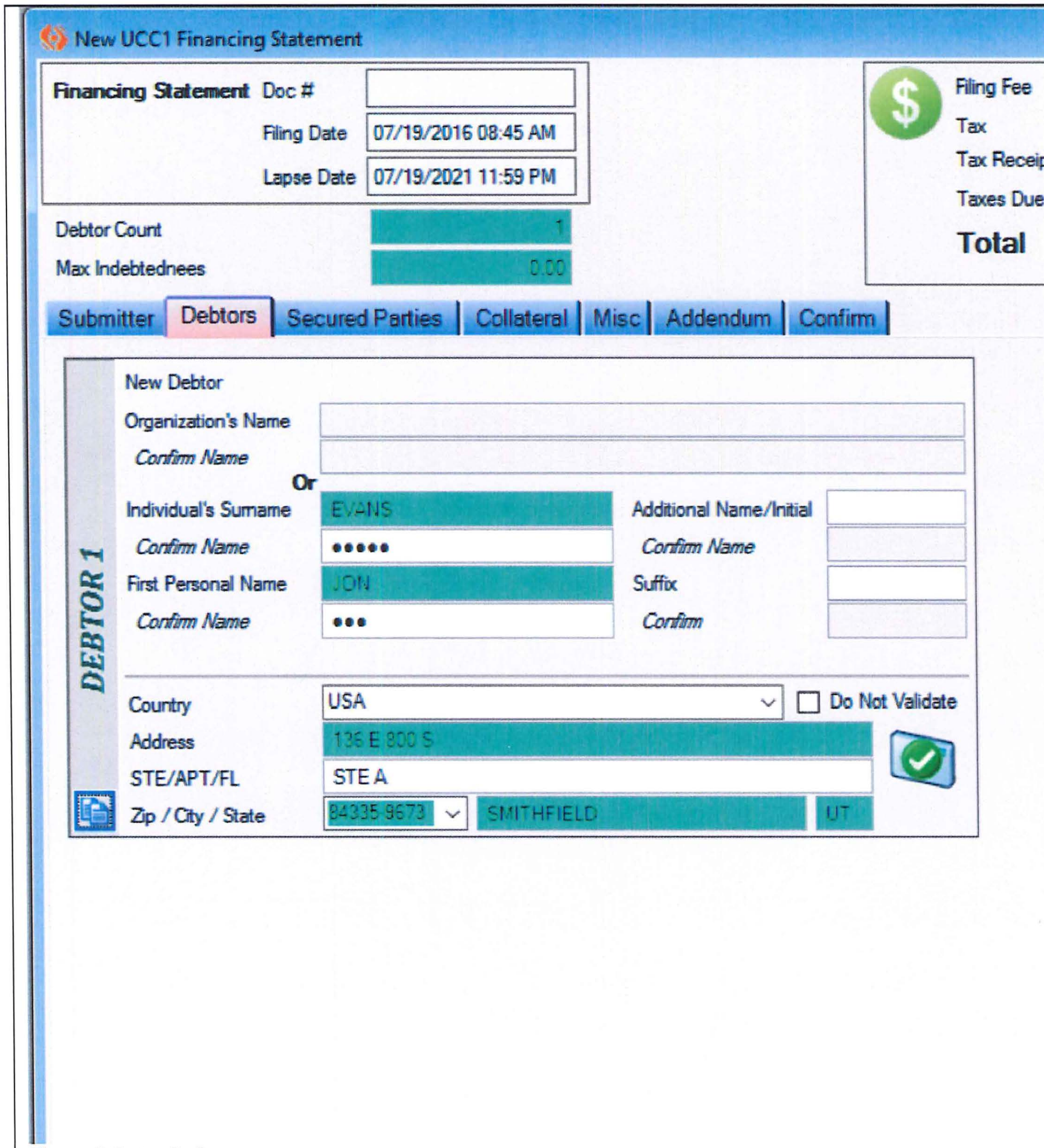


Figure 2 Enter Debtors

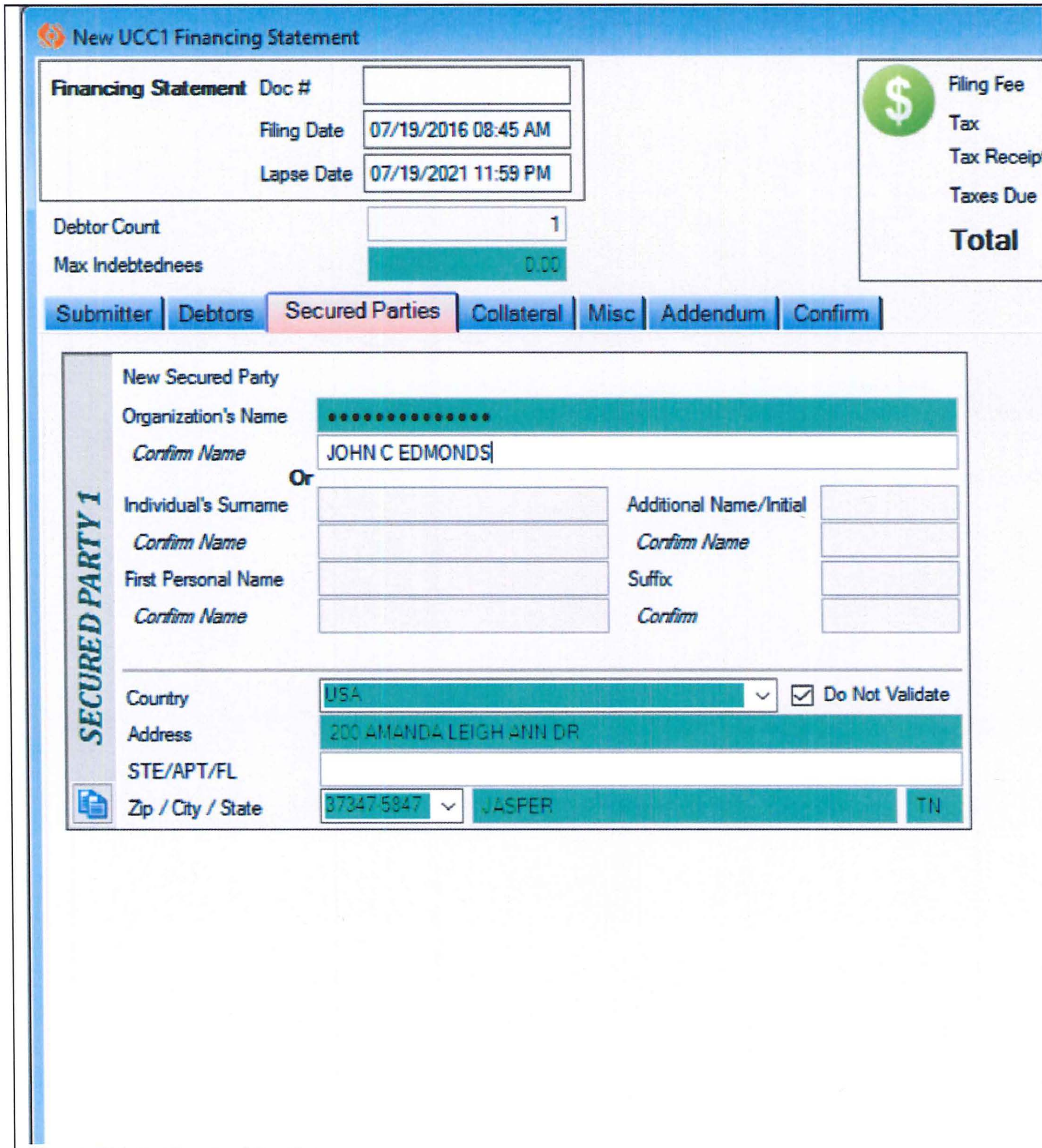


Figure 3 Enter Secured Parties

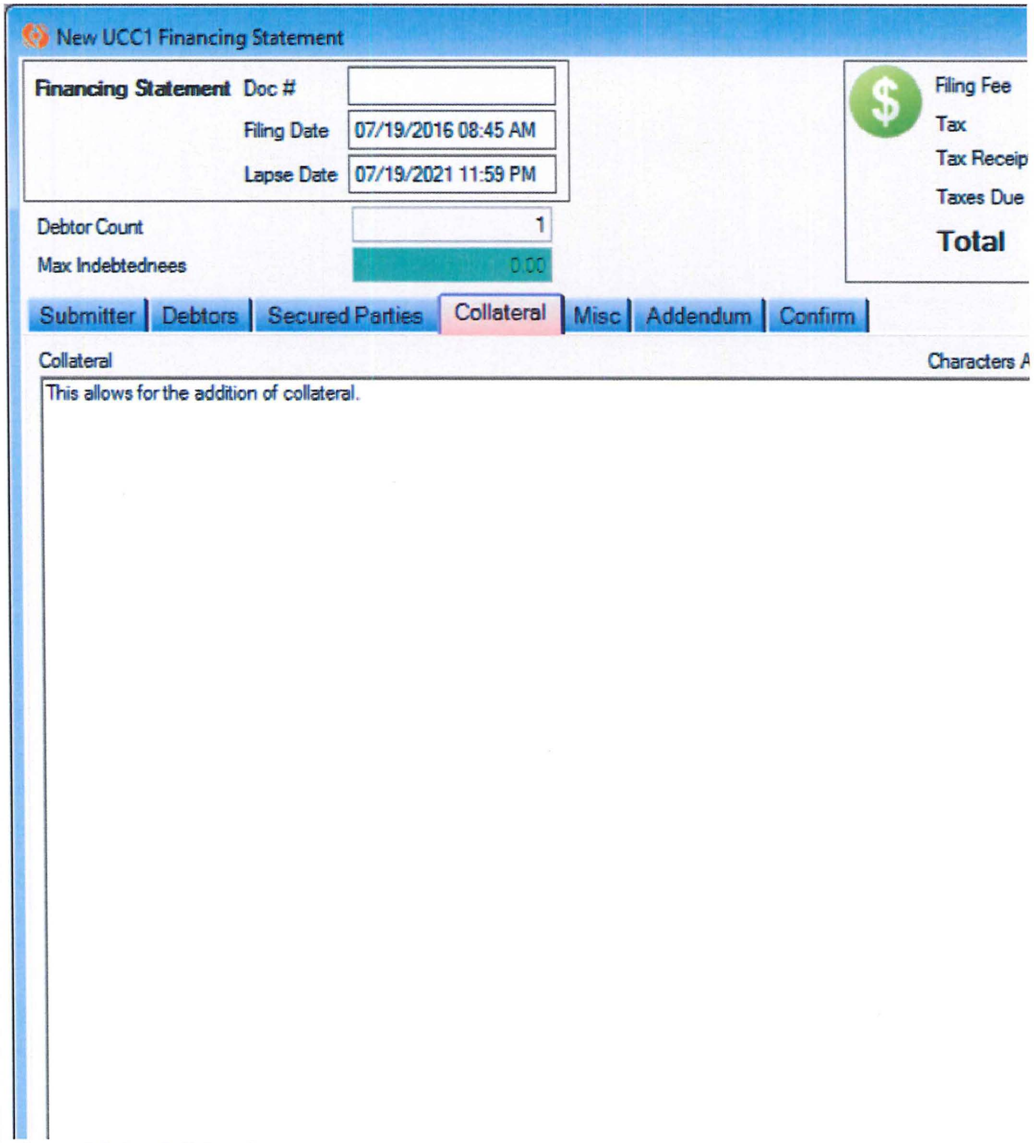


Figure 4 Enter Collateral

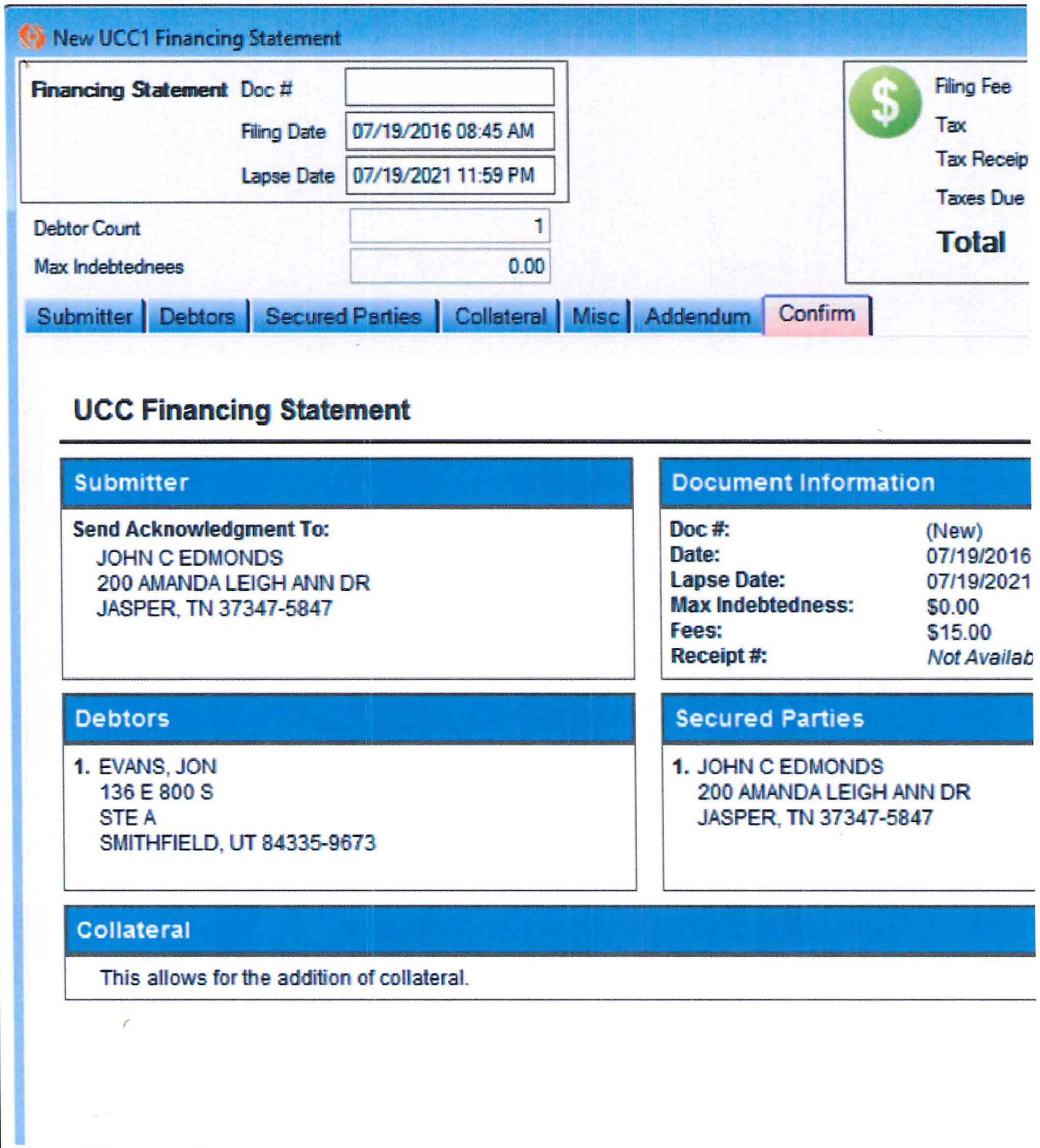


Figure 5 Confirmation

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)	YES			

	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:

The Tecuity solution provides for the functionality outlined in the request for proposal. The specific step-by-step process is very similar to that of the UCC1 process. The following screen shot describes the solutions selection of the type of amendment to be filed.

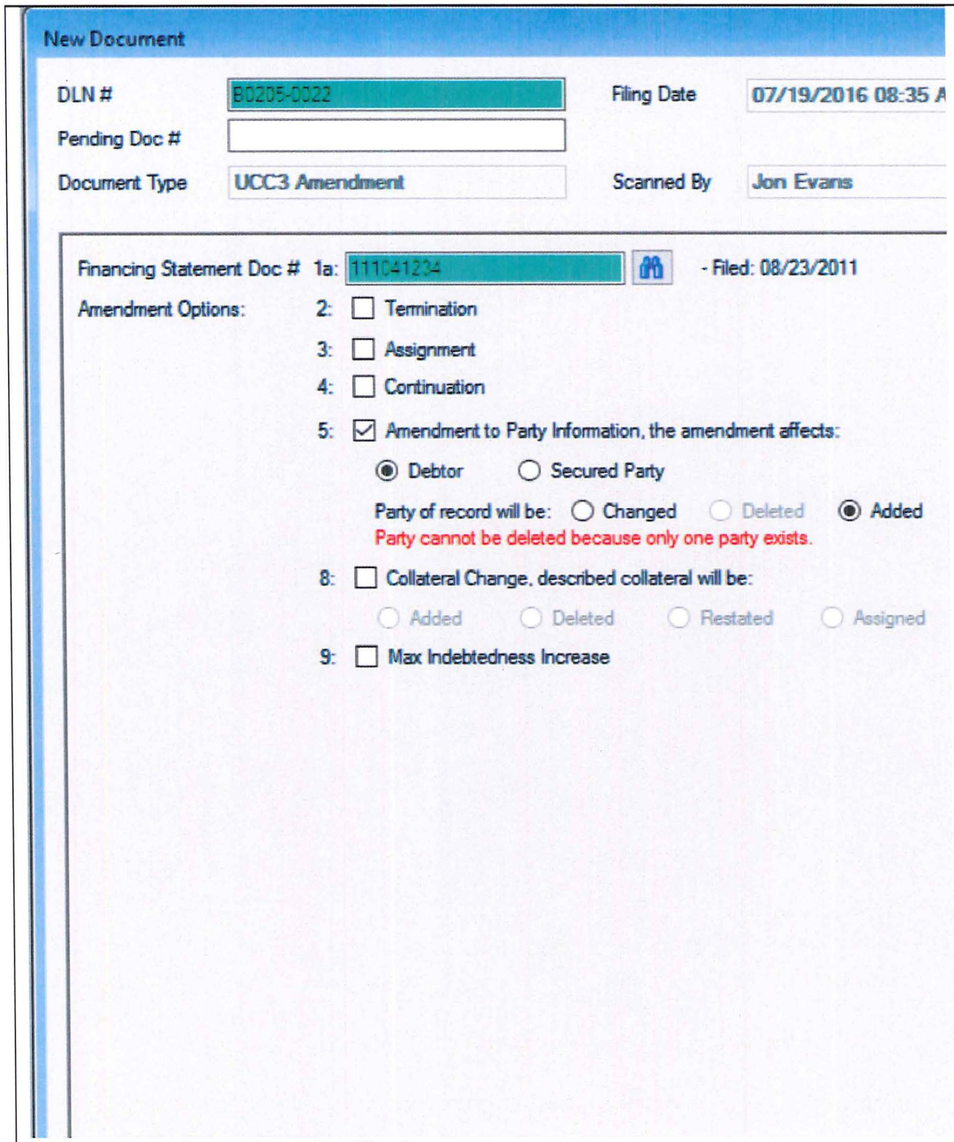


Figure 1 Amendment Type Identification

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	YES			

	system handles Corrections.				

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal. Please reference the following screen shots:

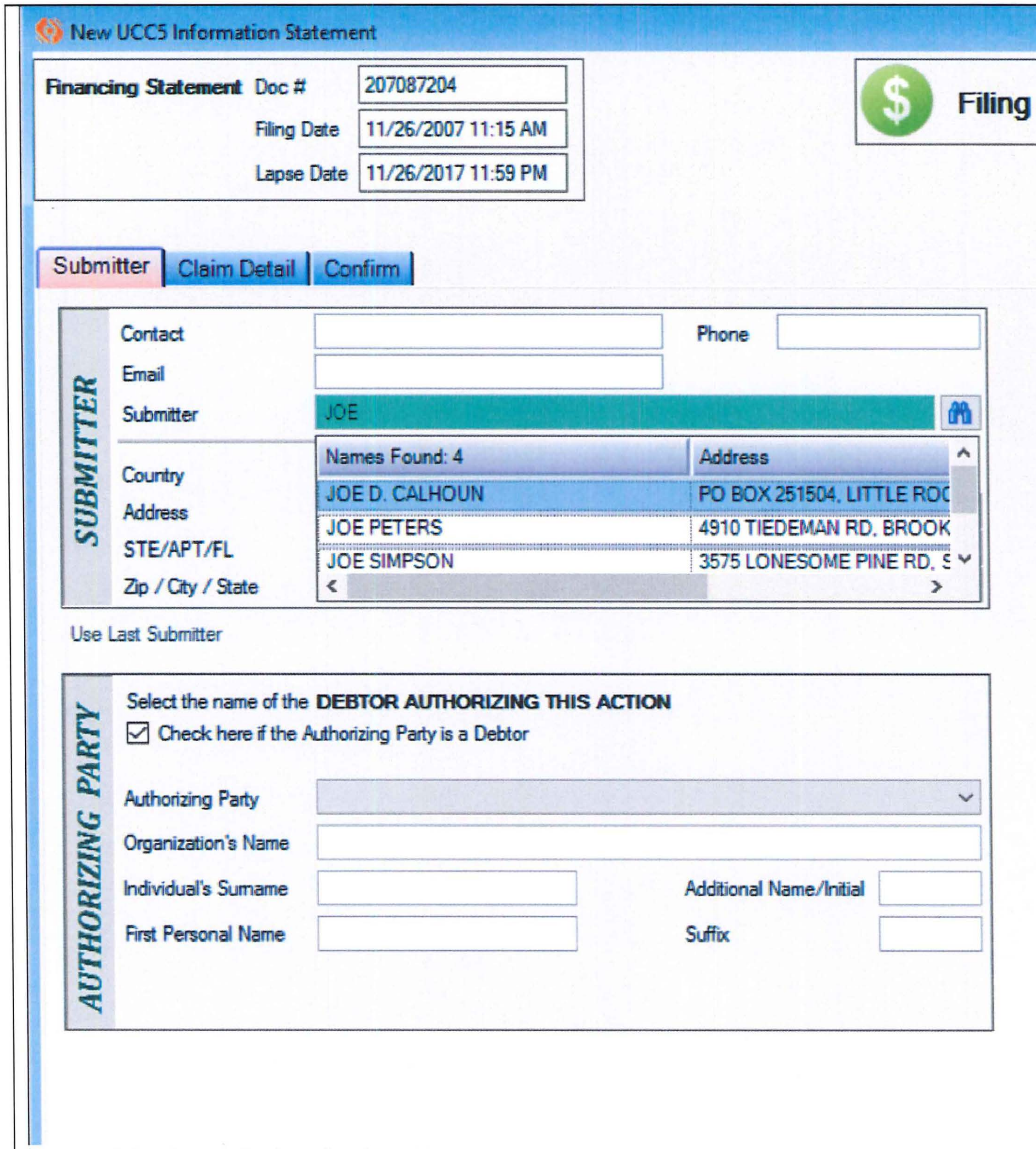


Figure 1 Selecting a submitter for the UCC5

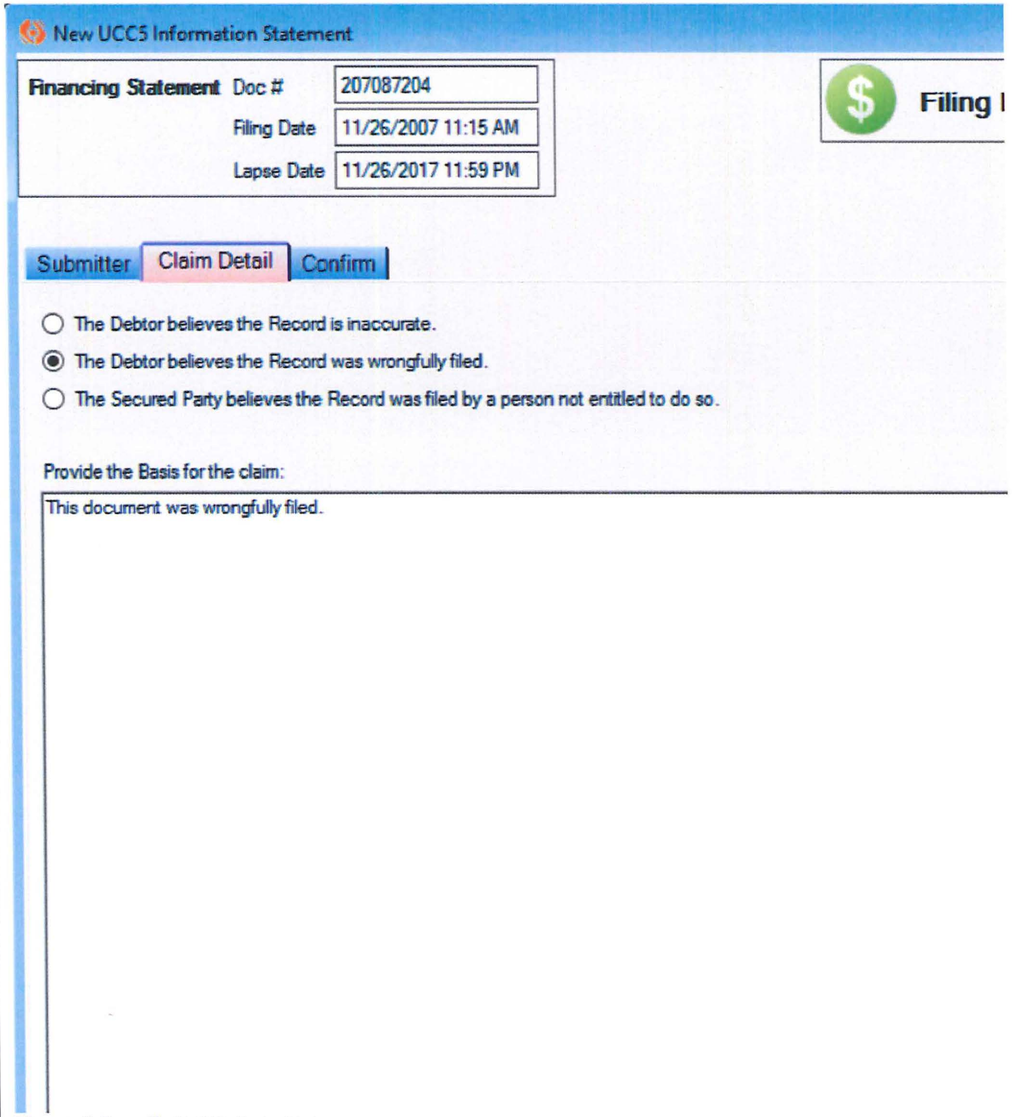


Figure 2 Specifc UCC5 Data Entry

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.	YES			
Bidder Response: The Tecuity solution provides for the functionality outlined in the request for proposal. See the response in section UCC-3 as this process is incorporated as one of the actions in the UCC3-Amendment filing process within our solution.					

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.	YES			
Bidder Response: The Tecuity solution provides for the functionality outlined in the request for proposal.					

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.	YES			
Bidder Response: The Tecuity solution provides for the functionality outlined in the request for proposal.					

<table>
<tr><th>RTM #</th><th>Technical UCC Processes/Features</th><th>Yes</th><th>Customization Required</th><th>No</th><th>Alternate</th></tr>
<tr><td>UCC-8</td><td>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)

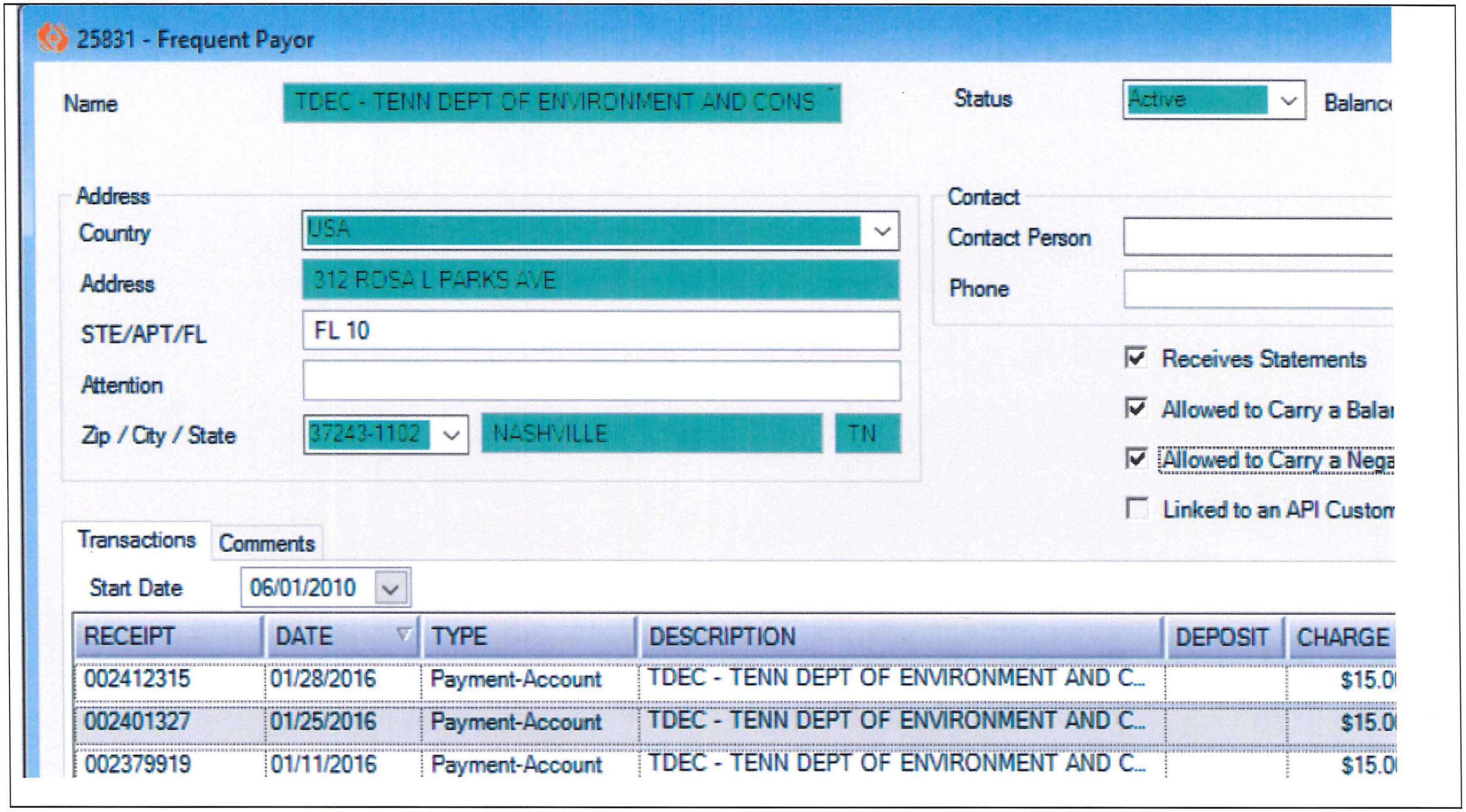
Bidder should describe and show screen shots demonstrating how their system produces, delivers, and displays the tax filings per county and county tax credit statement.</td><td>YES</td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal.</td></tr>
</table>

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal. The Tecuity solution has a complete financial accounting module incorporated within the solution that provides for this functionality. The items identified in this requirement are very much a strong suit in our solution. We look forward to demonstrating these capabilities. The following screen shot identifies the financial account and transaction history.


25831 - Frequent Payor
Name
TDEC - TENN DEPT OF ENVIRONMENT AND CONS
Status
Active
Balanc
Address
Country
USA
Address
312 ROSA L PARKS AVE
STE/APT/FL
FL 10
Attention
Zip / City / State
37243-1102
NASHVILLE
TN
Contact
Contact Person
Phone
Receives Statements
Allowed to Carry a Balai
Allowed to Carry a Nega
Linked to an API Custon
Transactions
Comments
Start Date
06/01/2010
RECEIPT
DATE
TYPE
DESCRIPTION
DEPOSIT
CHARGE
002412315
01/28/2016
Payment-Account
TDEC - TENN DEPT OF ENVIRONMENT AND C...
$15.0
002401327
01/25/2016
Payment-Account
TDEC - TENN DEPT OF ENVIRONMENT AND C...
$15.0
002379919
01/11/2016
Payment-Account
TDEC - TENN DEPT OF ENVIRONMENT AND C...
$15.0

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.	YES			
Bidder Response: Tecuity will work with the Nebraska SOS to further explore and identify the type of Electronic Filer Agreement process they desire to implement. In other states we have incorporated a process very similar to that described. We also have the ability to incorporate this process in a very similar fashion as you would create a new user to the solution.					
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.	YES			

Bidder Response:

The Tecuity solution does have a comprehensive document imaging and management solution incorporated into our solution at no additional cost. The solution does provide for automatic redaction in the scanning process when information that needs to be redacted can be identified at a set location on a particular document type. Furthermore, our solution provides for ad-hoc redaction by state staff as they review scanned images. The following screen shots identify this capability.

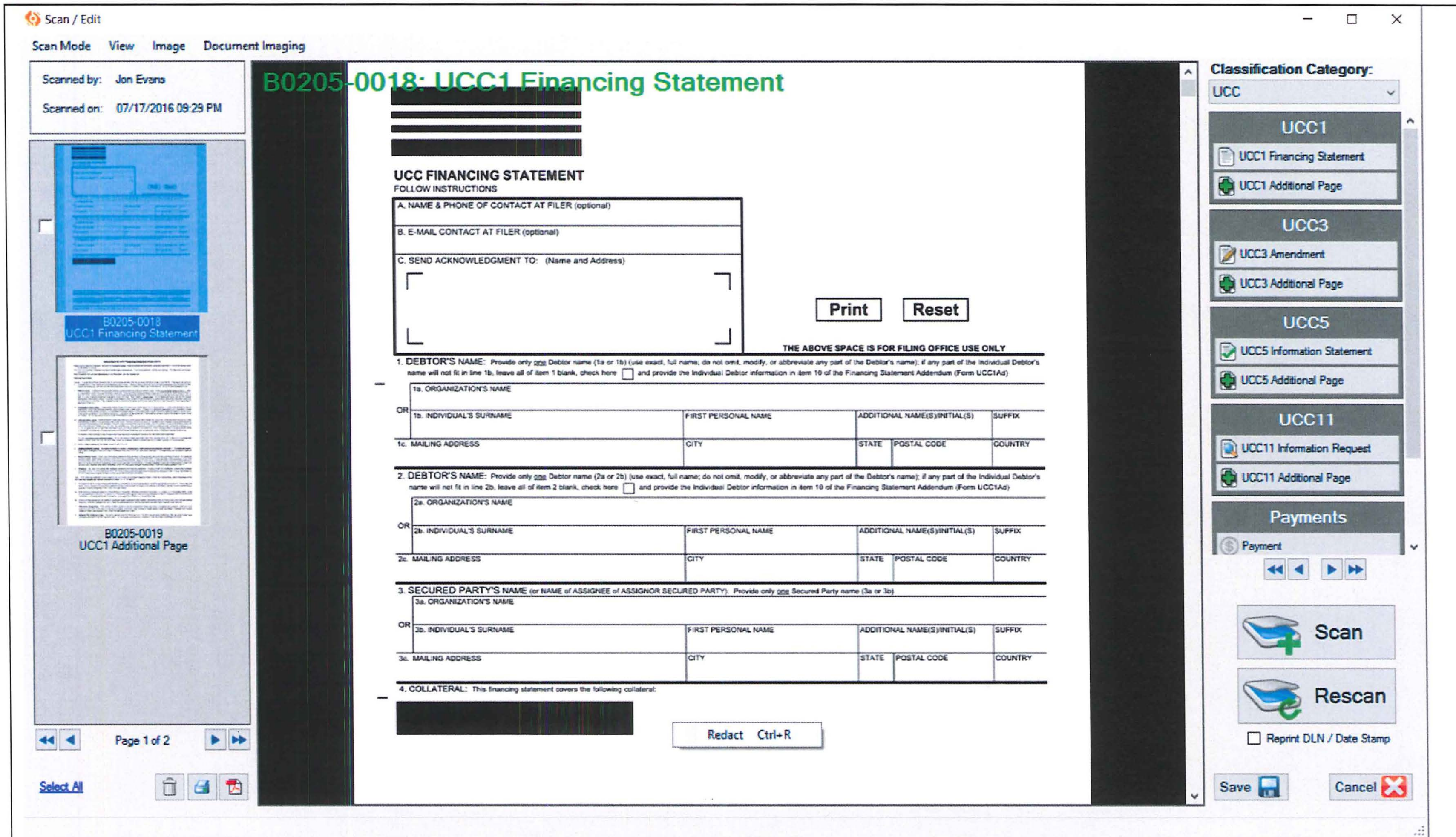


Figure 1 SOS Enterprise Redaction Functionality

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	YES			

	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.				

The Tecuity solution provides for the functionality outlined in the request for proposal. Please reference the UCC section of this matrix as this functionality is very similar.

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.	YES			

The Tecuity solution provides for the functionality outlined in the request for proposal. Please reference the UCC section of this matrix as this functionality is very similar.

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	YES			

	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:

The Tecuity solution provides for the functionality outlined in the request for proposal. Please reference the UCC section of this matrix as this functionality is very similar.

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	YES			

	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:

The Tecuity solution provides for the functionality outlined in the request for proposal. Please reference the UCC section of this matrix as this functionality is very similar.

<table>
<tr><th>RTM #</th><th>Technical EFS Processes/Features</th><th>Yes</th><th>Customization Required</th><th>No</th><th>Alternate</th></tr>
<tr><td>EFS-5</td><td>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.</td><td>YES</td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal. Please reference the UCC section of this matrix as this functionality is very similar.</td></tr>
</table>

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.	YES			
Bidder Response: The Tecuity solution provides for the functionality outlined in the request for proposal. Our solution incorporates the setting and configuration of committal times.					
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	YES			

	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:

The Tecuity solution provides for the functionality outlined in the request for proposal.

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.	YES			

Bidder Response:

Image Library

Although the Tecuity solution comes complete with an integrated document imaging and management solution which requires no additional license fees or per image costs, we also have the ability to provide interfaces to other image storage solutions. Because the State of Nebraska has standardized on OnBase for Image storage and retrieval it is understood an interface is required.

In preparation to our response, Tecuity has had various meetings and phone conversations with Chad Kudym and his associated staff at DataBank. It is Tecuity's understanding that DataBank is the vendor providing services to the State of Nebraska when integrating with OnBase. Based on our discussions with DataBank, a review of functionality available in OnBase, and a comprehensive review of all imaging requirements in the request for proposal, the Tecuity SOS Enterprise Solution will be integrated with the OnBase solution for document image storage and retrieval.

SOS Enterprise will be utilized in several aspects to identify specific image data as it relates to image classification. The actual storage of image data will take place in OnBase. SOS Enterprise will be used to formulate an index of image data is it relates to Nebraska SOS documents and to provide specific functionality available in SOS Enterprise like request for copies, identifying document pages as public or private, etc.

SOS Enterprise imaging web services along with web services available to the OnBase product will be utilized in the solution.

Tecuity is confident we can provide the functionality desired by the Nebraska SOS Office by utilizing OnBase coupled with functionality contained in SOS Enterprise for a complete document and imaging solution specifically tailored to the needs of the Secretary of State's Office.

Online Web Portal

From our review of the request for proposal and our current understanding of the components of the online web portal, Tecuity is confident we can provide the necessary integrations to the web portal and consume data obtained through the portal. Specific interfaces to the portal will be configured and enhanced in order to interact with the portal providing the ability to both send and receive information from the online web portal.

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 FFFFFFFFFFFF 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 FFFFFFFFFFFF = Company Name	YES			

Internal:

NE Sec of State John A Gale - CORP
1001350714 Pg:
MADONNA REHABILITATION SPECI

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 -
9000168586 - Pag
NATURALLYCIT
Filed: 08/13/2015 01:34

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

	NE Sec of State John A Gale - UCC Internal: 9915760275-8 Pg NE Sec. of State-UCC 9815867273-0 Filed: 09/09/2015 12:08 Online: CHARLES P TOMAN 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				

NE Sec of State John A Gale - UC

Internal: 9915760224-1 Pg

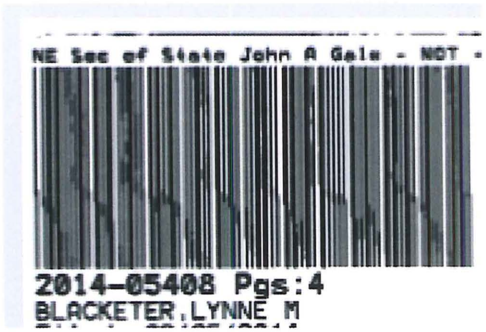
NE Sec. of State-EFS
9815063498-4
Filed: 09/09/2015 01:0
MEINECKE MICHAEL

Online:

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
FFFFFFFFFFFFFFFFFFFFFFFFFFFFFF
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 FFFFFFFFFFFFFFFFFFFFFFFFFFFFFF = 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:

The Tecuity solution provides for the functionality outlined in the request for proposal. The creation of file stamp labels is completely configurable within the solution. Tecuity will work with the Nebraska SOS to identify any improvements to current processes in generating these file stamp labels.

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal.

SOS Enterprise has implemented the comprehensive report tool from Active Reports™ to provide full-featured and highly configurable reports, forms, certificates, correspondence, letters, etc. This functionality is included as part of the solution with no additional licensing costs, etc. All documents are defined by templates within the solution. This tool is available based on application roles to users of the system allowing for the creation and editing of documents, as well as ad-hoc reports, generated by the system without needing to contact the vendor. The following image is a sample of an Articles of Organization template within the solution.

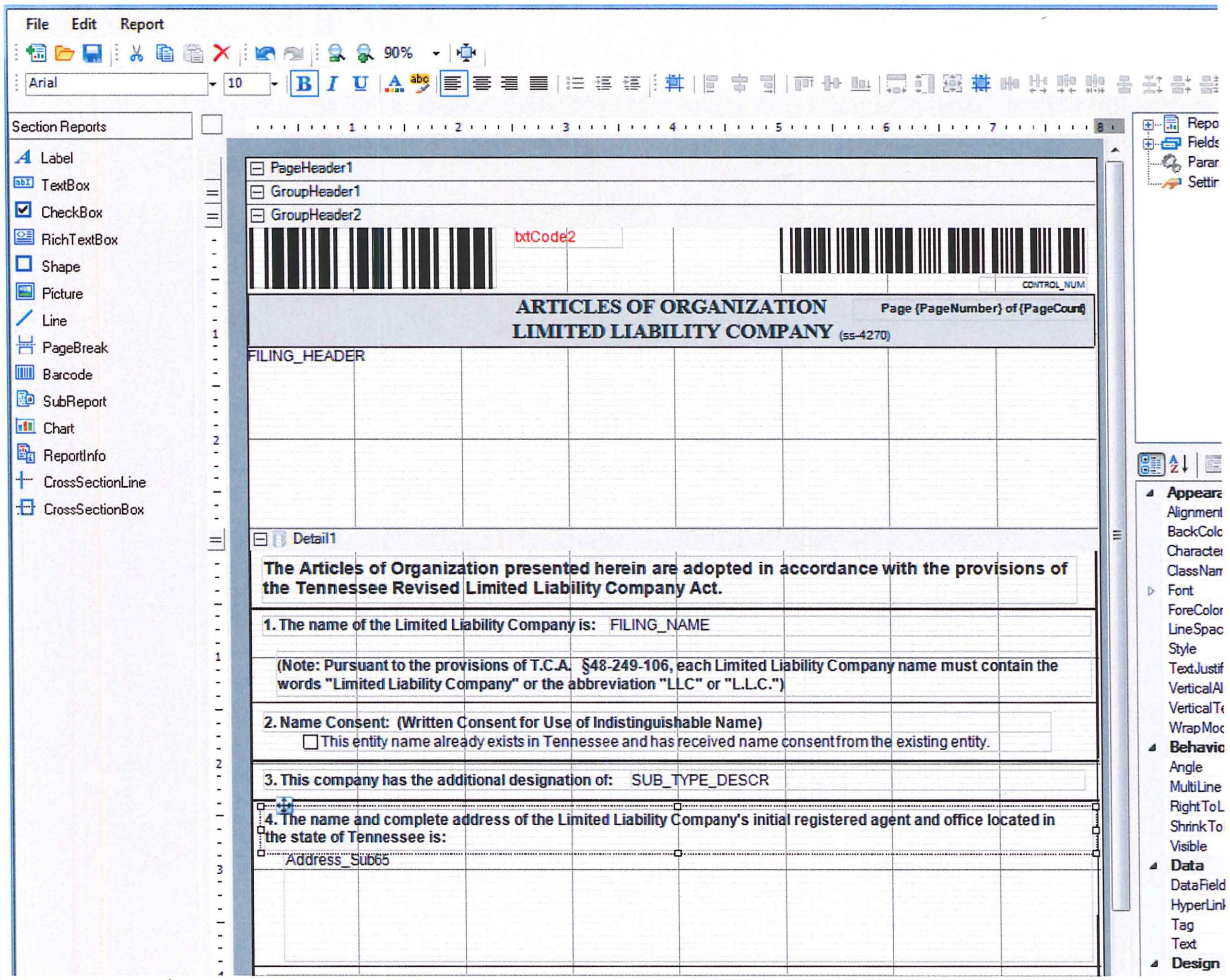


Figure 1 Report/Letter Template Designer

Source data for all templates is from XML documents. Each element in an XML document can be associated to a user defined field in the template. At the time of report generation, the XML document elements are inserted into the field defined by the user.

For each business process defined and associated document type, the specific report to be generated is identified and configured. This association of report/template to the respective document recording is part of the configuration process. Administrative users have the ability to define which report or template is associated to a particular process. This is based on application roles.

Any report generated from the solution is associated to the particular business entity or item it is associated. These generated letters and output are stored as images and become part of the history for that particular item.

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal. SOS Enterprise provides for a very comprehensive search and copy request module for corporation documents, certificates, and UCC/EFS requests. The module is very comprehensive and allows the internal user (and online user if utilized) to request, pay for, and receive copies as a single combined PDF document. To fully understand the complexity and the robust functionality contained within this module, we look forward to demonstrating these capabilities. Screen shots have been provided for the processing of corporation copy requests.

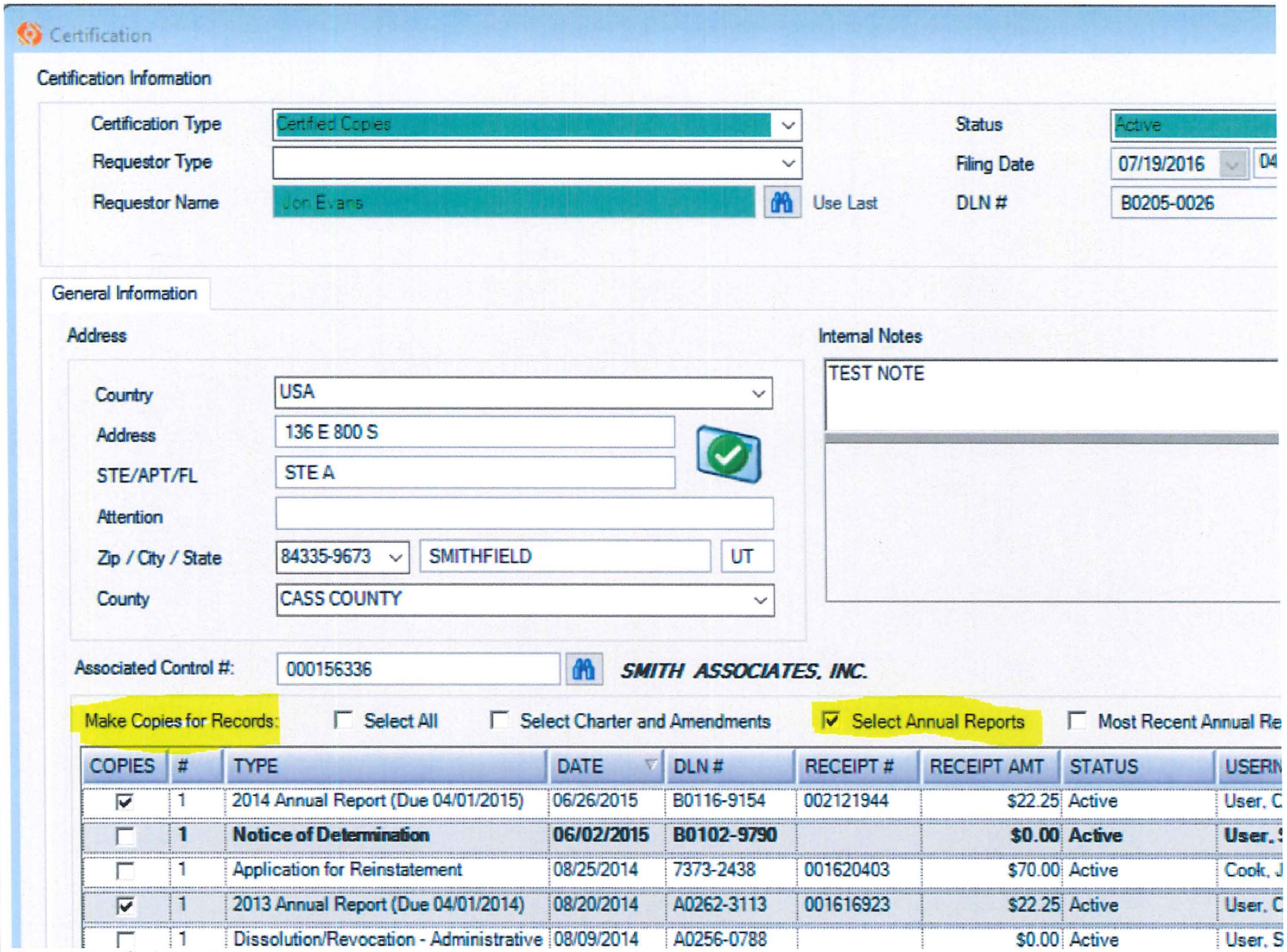


Figure 1 Certified Copy Request Form

From the above image, the ability to quickly select annual reports for an entity, or charter and amendments, etc. are all a simple click of the mouse. As with all SOS Enterprise functionality each option is integrated into the accounting/financing module for receipt generation.

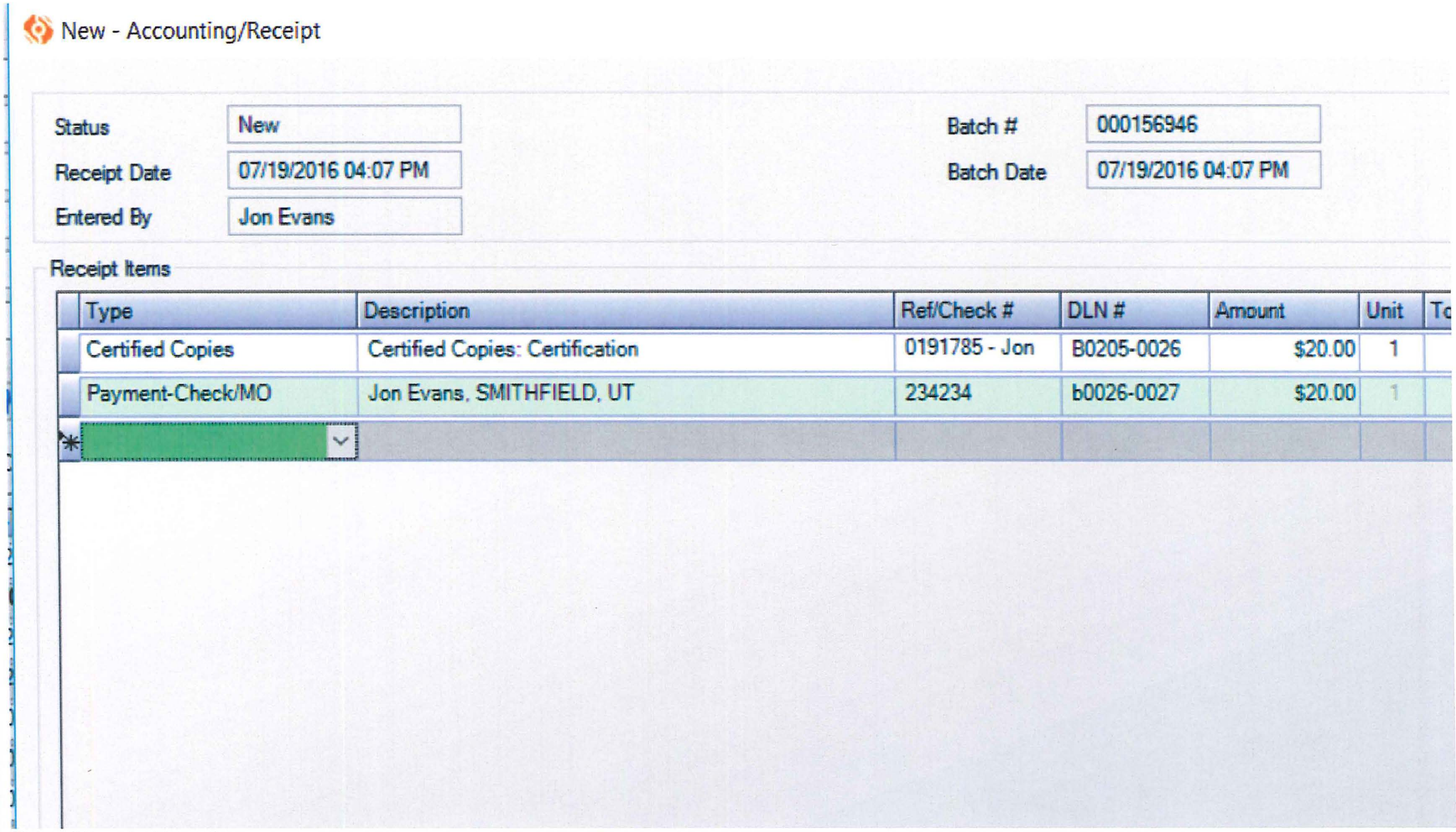


Figure 2 Receipt Entry Form

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. Corporate & Business Search 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. Corporate Document eDelivery 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. Corporate Certificates of Good Standing 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.	YES			

	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:

The Tecuity solution provides for the functionality outlined in the request for proposal. The solution has been developed using web services and RESTful web services to incorporate this functionality. During the project existing processes utilized by the Nebraska SOS will be reviewed and any gaps in functionality needed will be expanded to provide the necessary information.

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.	YES			
Bidder Response: The Tecuity solution provides for the functionality outlined in the request for proposal. For more information, see response in requirement CB-1					

of this document.					
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.	YES			

	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 Tecuity solution provides for the functionality outlined in the request for proposal. There are over 200 canned reports within the solution covering all aspects of data entered in the solution as outlined in the above requirements. The Nebraska SOS can try these reports first-hand utilizing our sandbox. There are many additional reports available in the solution. Furthermore, the Nebraska SOS can define additional reports and easily incorporate them into the solution. In order to fully understand the robust reporting capabilities of the solution a demonstration would be very helpful.

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	YES			

Bidder Response:

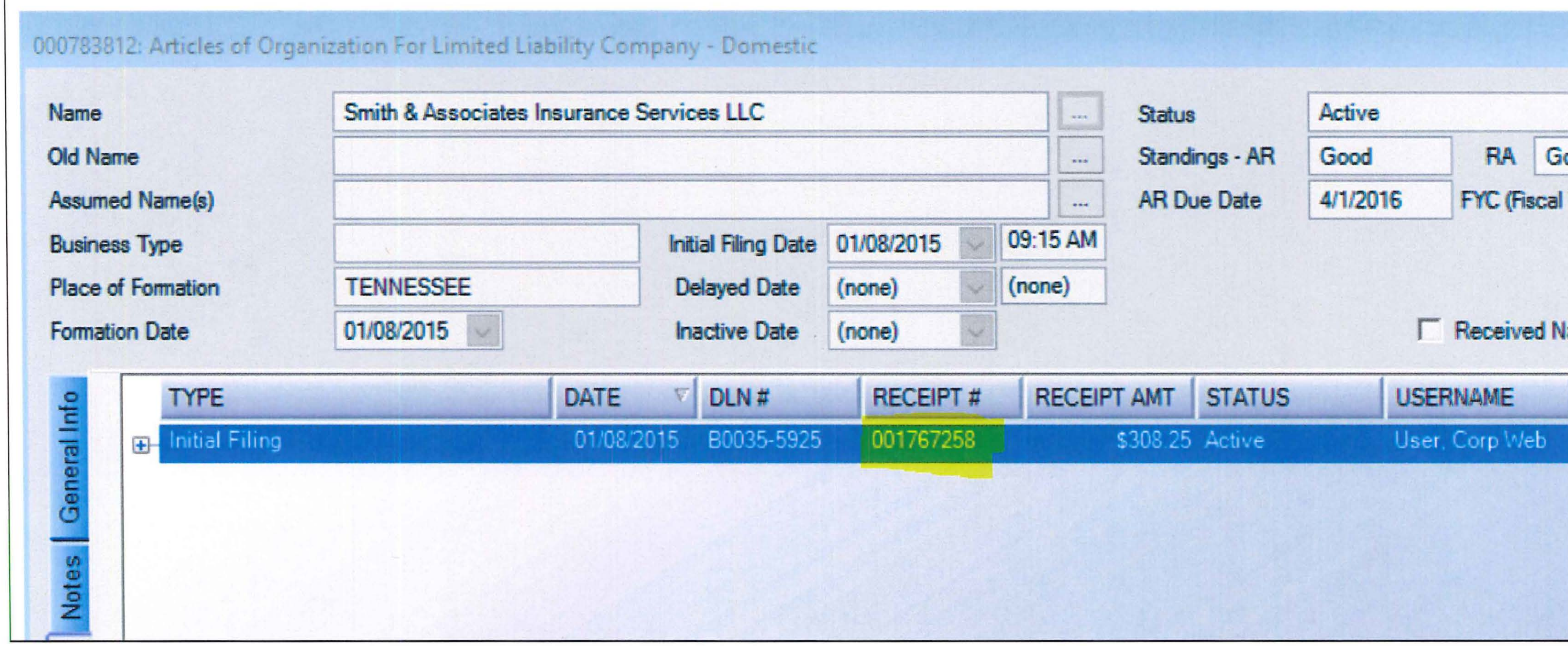
The Tecuity solution provides for the functionality outlined in the request for proposal.

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.	YES			
Bidder Response: The Tecuity solution follows these standards as outlined and furthermore agrees to follow these standards.					
SD-2	Describe your change management processes and how the State will be included in these processes.	YES			
Bidder Response: See our response in the narrative under Change Management.					
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.)	YES			
Bidder Response: The Tecuity solution can be configured to follow the State of Nebraska Records Retention Schedules.					

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal. Payments linked to items processed in the solution is core functionality in the solution. Receipts are tied directly to filing records. See the following screen shot.



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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal.

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal. SOS Enterprise contains an integrated comprehensive financials module to accommodate the requirements outlined. We look forward to demonstrating the financial module to the Nebraska SOS.

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).	YES			

	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:

SOS Enterprise provides for full and comprehensive user, batch, and agency balance procedures and mechanisms in end-of-day processes. We look forward to demonstrating these processes. The following screen shot identifies a process whereby an individual must reconcile their daily batch for accounting purposes.

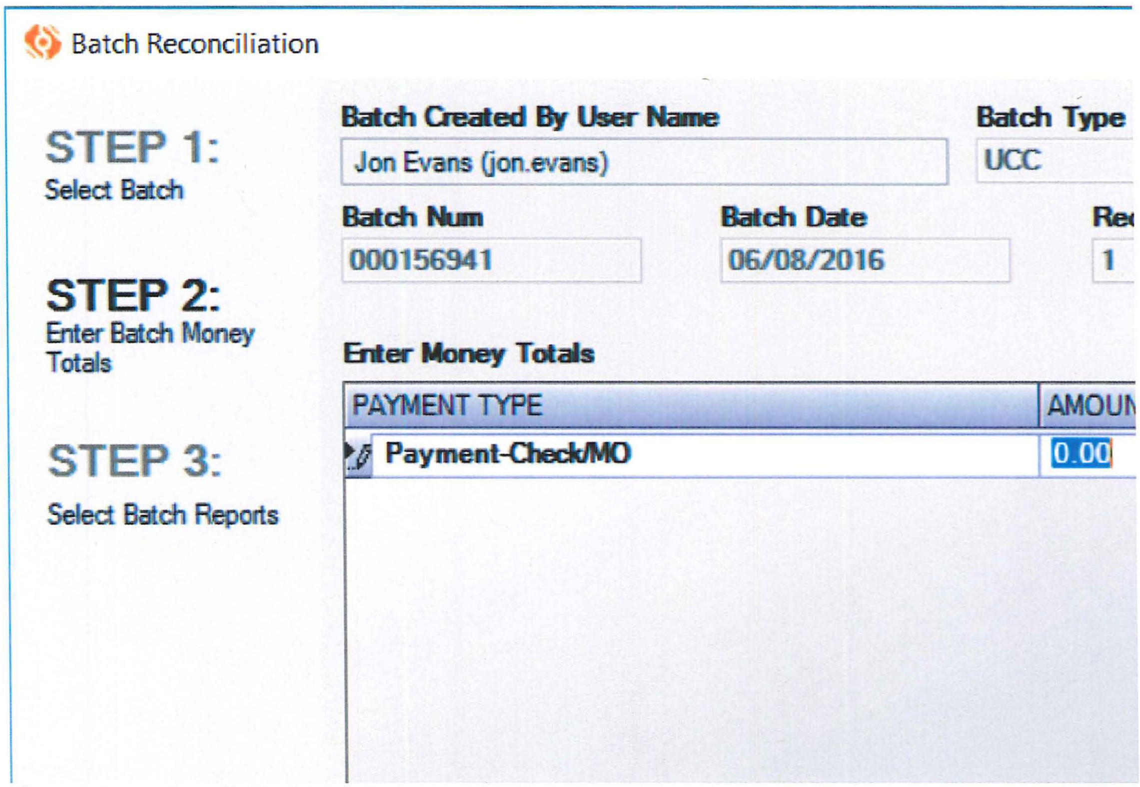


Figure 1 Reconcile Individual Batch Process

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.	YES			

Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal.

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.	YES			
Bidder Response: The Tecuity solution provides for the functionality outlined in the request for proposal. For additional information on project planning and management see our response in the narrative.					

<table>
<tr><th>RTM #</th><th>Project Planning and Management</th><th>Yes</th><th>Customization Required</th><th>No</th><th>Alternate</th></tr>
<tr><td>PPM-2</td><td>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.</td><td>YES</td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Bidder Response:

The Tecuity solution provides for the functionality outlined in the request for proposal.</td></tr>
<tr><td>PPM-3</td><td>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.</td><td>YES</td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Bidder Response:</td></tr>
</table>

RTM #	Project Planning and Management	Yes	Customization Required	No	Alternate
The Tecuity solution provides for the functionality outlined in the request for proposal.					
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.	YES			
Bidder Response: Tecuity will provide end of contract activities as outlined in the request for proposal.					

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.	YES		
Bidder Response: The Tecuity solution provides for the functionality outlined in the request for proposal. Our Notary functionality is an additional module that is part of the SOS Enterprise Solution.				
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.	YES		
Bidder Response: Tecuity does have the ability to assist the state in converting additional legacy data and images into the solution. This would be at an additional cost. Tecuity does not perform microfilm conversions but can assist the state once digital images are obtained from microfilm. Tecuity has a proven successful process that can be utilized in helping the state add additional filing data and images into the solution.				

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.	YES		
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.	YES		
Bidder Response: This functionality currently exists in SOS Enterprise. Tecuity will work with the state in integrating this information. Currently this functionality is performed through the public portal portion of SOS Enterprise. Discussions can be had with the state to determine how this functionality can be integrated into the state portal/online infrastructure.				

3

BUSINESS INTELLIGENCE:

What are you learning from Filing Statistics and Web Analytics?

OVERVIEW

Business Intelligence (BI) is a technology-driven process analyzing data and metrics against key indicators. The results from gathered data and analytics is actionable information to help Secretary of State Offices, key stakeholders, and managers make informed business decisions. BI encompasses a variety of tools, methodologies, and applications that enable organizations to collect data from internal systems and external sources. This information may be used to evaluate performance and create reports, dashboards, and data visualizations to make analytical results available to operational workers and decision makers.

Key analytical information can be gathered from Secretary of State Office technology solutions based on Filing Statistics and Web Analytics. From this collection of data, Secretaries and staff can make informed decisions on how to better provide information and services to constituents.

FILING STATISTICS

From business filing statistics, trends and patterns can be identified year to year that may help point a Secretary of State's Office in a direction to improve processes. Secretaries of State can identify which documents are filed most often and what type of information they are providing to constituents on a regular basis. From these metrics and statistics, it can be determined if moving a particular function to the website or enhancing current functionality on the website would provide more throughput or enhance the online user experience.

Furthermore, collecting statistics on staff performance in processing the various documents can be most helpful. This information can help to answer questions like, "Which document requires the most time for staff to complete and file?", "How many new business entity filings are processed in our office each day?"

Some enterprise solutions provide for this collection of metric data in the background as documents are filed and processed either internally by staff or on a website. The trick for the Secretary of State's Office is to review and leverage this data in a meaningful way whereby procedures and processes can be improved.

With the permission of the Tennessee Secretary of State's Office the following business statistics have been provided as an example of information that could be used to improve internal processes and efficiencies.

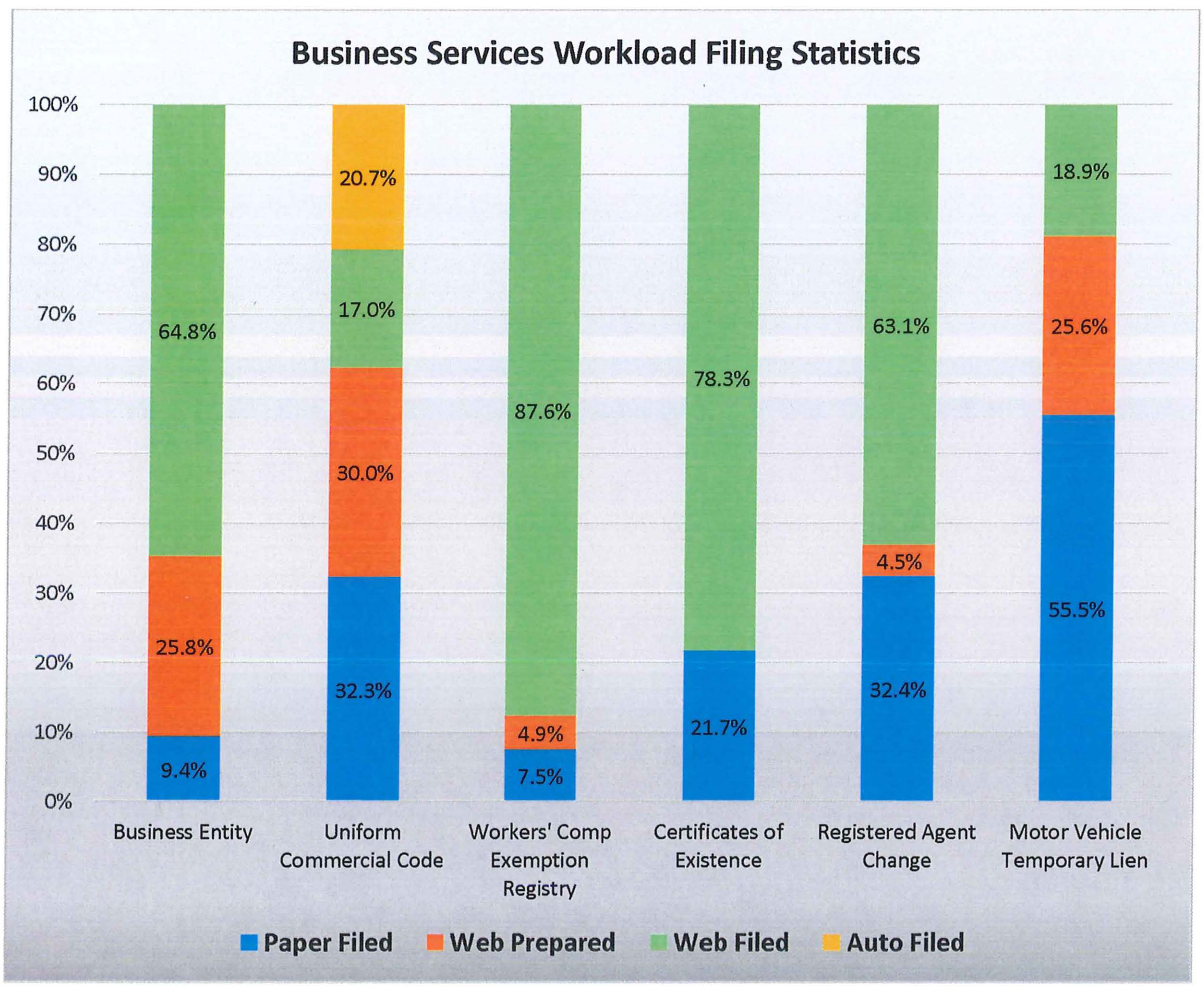
There are four ways in which the Tennessee Secretary of State's Office receives documents.

Paper Filed	Represents documents received on paper.
Web Prepared	Represents documents prepared online, printed, and mailed to the office for processing. Data is recorded in the system by the web user. When the forms are received in the office, they are simply receipted with no additional data entry.
Web Filed	Represents documents filed and paid for online.
Auto Filed	Represents documents received, filed, and paid for via Application Programming Interface (server to server communication).

2015 WORKLOAD STATISTICS

The total number of documents filed in 2015 was 535,901; of which, only 25.1% required data entry by internal staff over all document types.

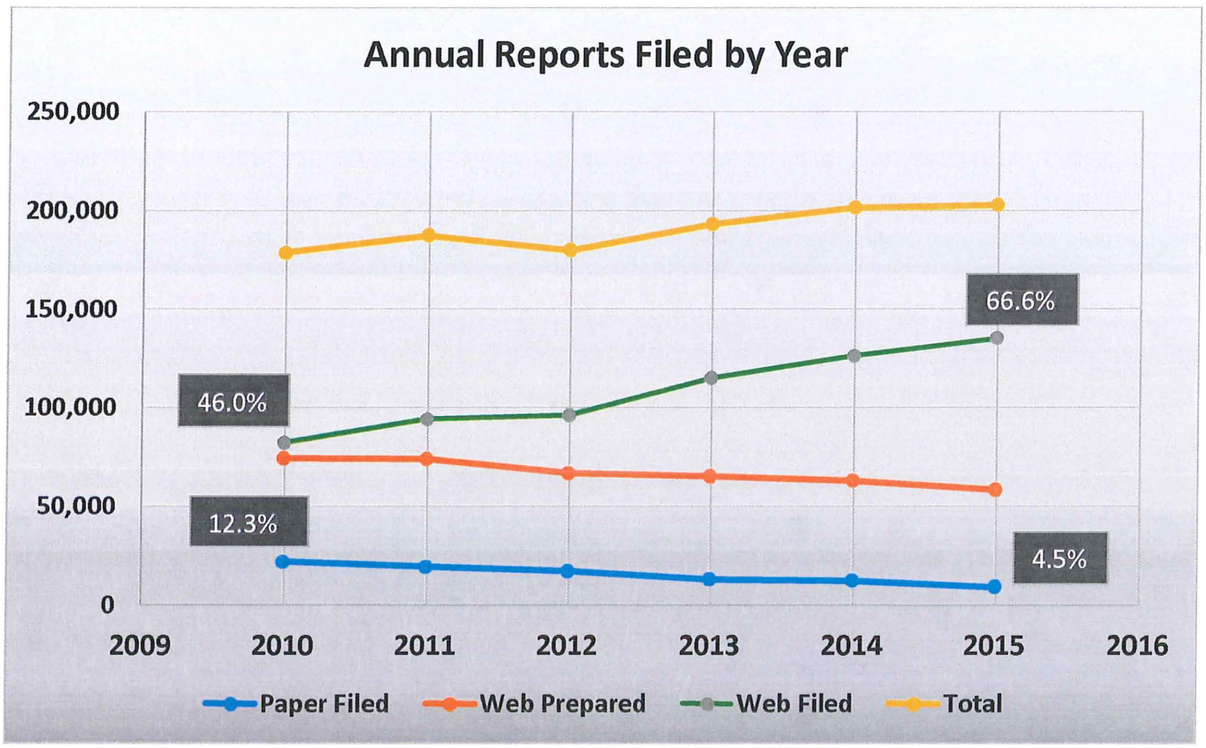
The integrated document image and data management solution utilized by the Tennessee Secretary of State's Office provides real-time metrics for documents filed. The office is making steady progress on the reduction of paper filings received in the office and online services are increasing. The graph below represents the top six business services provided by the office and how those documents were received and processed.



ANNUAL REPORT VOLUME

The graph illustrates the volume of annual reports filed in the Tennessee Secretary of State's Office over a 6-year period and indicates volume by submission method. Prior to September 2009, 100% of annual reports were data entered by staff. As identified in the graph 202,767 annual reports were filed with the Office in 2015.

The graph indicates paper-filed annual reports have dropped from 12.3% in 2010 to under 4.5% in 2015. This indicates that 95.5% of annual report data is entered by the online user. This has significantly reduced the time required for state staff to process annual reports.



WEB FILED TOP 15

The following table represents the top 15 document types filed online using the Tennessee Secretary of State's business services website during calendar year 2015. These counts represent individual documents filed and paid for online.

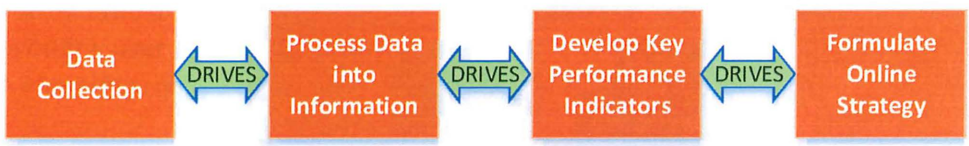
Document/Filing Type	Count
Annual Report - Limited Liability Company	58,665
Annual Report - For-profit Corporation	53,600
Annual Report - Nonprofit Corporation	22,732
Certificate of Existence/Authorization	18,097
Motor Vehicle Temporary Lien Application	16,910
UCC Financing Statement (UCC1)	15,431
New Business Filing - Limited Liability Company	13,295
UCC - Information Request	12,311
UCC Information Request Copies	12,308
UCC - Indebtedness Taxes (UCC1)	11,050
UCC – Amendment (UCC3)	10,791
Workers' Comp Exemption- Initial Registration - Unlicensed Contractors	7,993
New Business Filing - For-profit Corporation	3,774
Business Entity - Mailing Address Updates	2,667
Workers' Comp Exemption- Renewals - Licensed Contractors	2,516

WEB ANALYTICS

To understand how web analytics can assist a Secretary of State's Office in evaluating online priorities, we need to first explain what "web analytics" is. It is the collection, measurement, and analysis of web data for purposes of optimizing and better understanding web usage. This is not just a process of measuring web traffic but can be used as a valuable tool for Secretaries of State to assess and improve the effectiveness of a website. As an example, web analytics can be like measuring traffic on a road. It is easy to count the number of vehicles, even the type of vehicle can be identified. The make and model of a vehicle could also be identified. But web analytics is more than that. A better question is why is the vehicle on the road in the first place and where are they going? If they turn off the road, why? Where did they go?

The following diagram outlines the basic process in capturing web analytics:

Web Analytics Basic Process



Basic Data Collection	**Turn Data into Metrics**	**Business Strategy combined with Counts and Ratios**	**Organization online goals & objectives**
Usually Count Collection	Usually Ratio Collection		
Examples: • Page hits • Referral URL • Visit timestamp	**Examples:** • Unique visitors • Time on page • Bounce rate	**Examples:** • Completion rate • Conversion rate • Site Averages	**Examples:** • Marketshare • Save Money • Completed Orders

There are several web analytics tools on the market that provide a plethora of information, each of which organize the data in various methods. Google Analytics is a free service that generates detailed statistics about visitors on a website. In some opinions it is the simplest and most robust web analytics offered. According to the site's usage statistics, Google Analytics is used by over 50% of the top 10,000 websites in the world. Various information is collected such as where visitors are coming from, what they're doing while on the site and how often they come back, among many other things. As site analytics are more fully implemented, additional reports and details are available but it's that ease of use that makes it one of the most popular services.

SESSIONS BY COUNTRY (TOP 10)

This table represents the top 10 countries that accessed the Tennessee Secretary of State's Office Business Services website in the fourth quarter of 2015. This information is obtained by settings in the browser.

Country	Sessions
United States	437,770
India	9,889
Philippines	7,193
United Kingdom	2,951
Canada	1,103
Germany	979
(Not Set in Browser)	844
Netherlands	563
Hong Kong	281
Australia	210

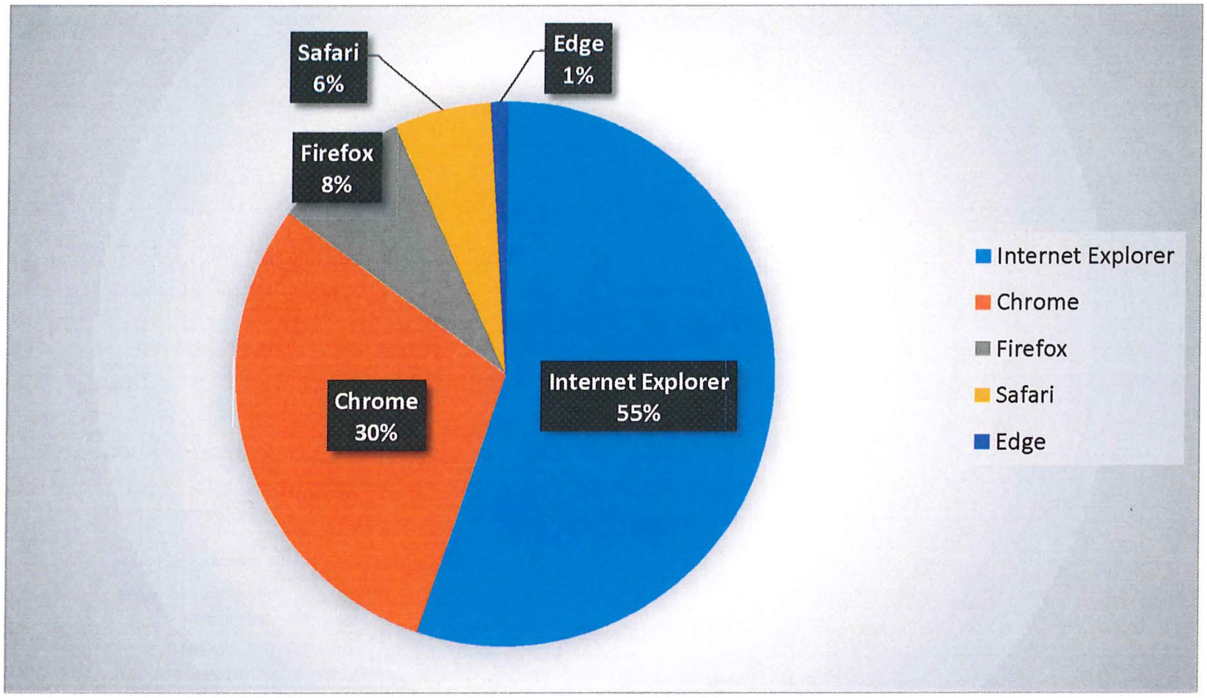
PAGE VIEWS

Page	Sessions
Business Entity Search	1,341,725
UCC Search	106,676
Business Services Home	58,261
Name Availability Search	56,156
Worker's Comp Exemption Registry Search	48,775
UCC Home	28,652
New Business Registration Instruction	27,131
New Business Registration Start	25,859

This table represents the eight most visited pages and the number of page views in the fourth quarter of 2015. As described in the table, information search pages are most often viewed by online constituents.

SESSIONS BY BROWSER

When developing online services consideration should be given for various types of browsers. The graphic below describes the type of browser that was used in accessing the website.



CONCLUSION

The various charts and graphs presented in this document provide examples of the type of information that can be captured from various software and online solutions. The capturing of basic data when combined with metrics and key indicators can become valuable business intelligence that can guide the Secretary of State's Office in providing enhanced services to constituents.

ABOUT TECUITY

EXCEEDING YOUR EXPECTATIONS

Tecuity, Inc. is a premiere technology solutions and services company in the government sector providing best-in-class on-premise and hosted cloud solutions to Secretary of State Offices and other Filing Authorities. For over 10 years, Tecuity has delivered EVERY engagement on-time and on-budget.

Our innovative and responsive solution, SOS Enterprise, (formerly named BEAR Enterprise) streamlines business processes, improves efficiencies, and provides real-time document and data management to Filing Authorities and constituents. SOS Enterprise provides integrated Document/Image Management, Business Registry (including Annual Reporting, Amendments), Registered Agent Management, Uniform Commercial Code, Apostille & Authentication, Notary, Financial/Accounting, Certificate & Copy Requests, as well as a multitude of additional modules and finely-tuned automated processes. SOS Enterprise provides both the platform and architecture for data integrations, business intelligence reporting, and facilitates Business One-Stop objectives.

Tecuity's implementation teams have worked together for over 10 years. We know this business inside and out and the challenges facing Secretary of State Offices. Our professional teams are highly skilled, talented, forward-thinking, goal-oriented, and creative professionals dedicated to our clients' success.

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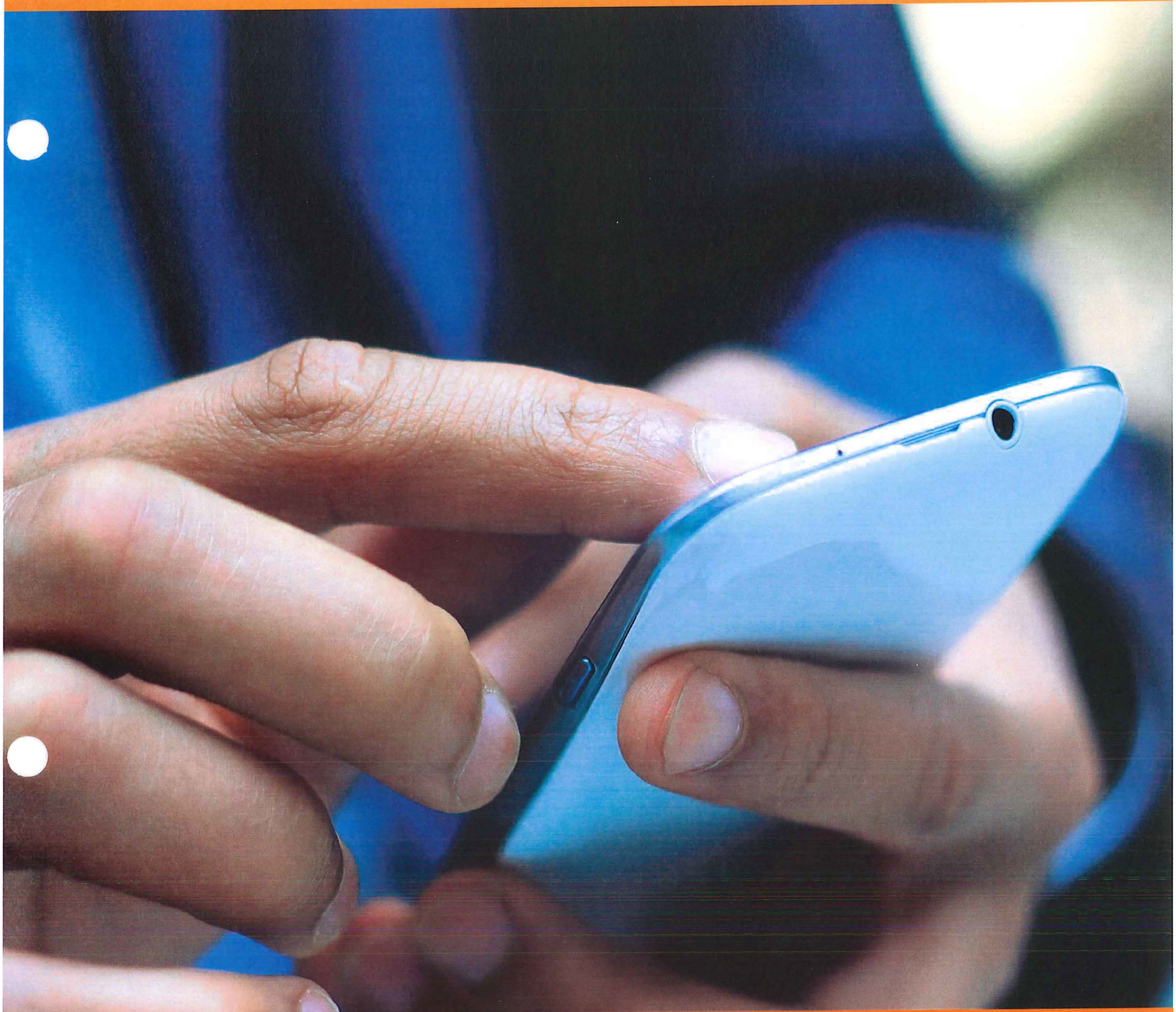

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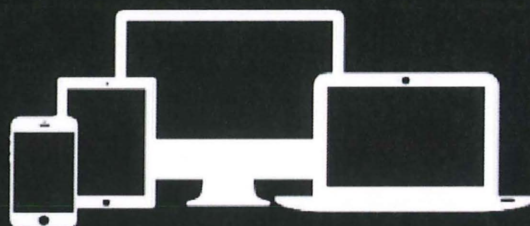
THE FUTURE OF WEB DESIGN

RESPONSIVE DESIGN



WHAT IS RESPONSIVE DESIGN?

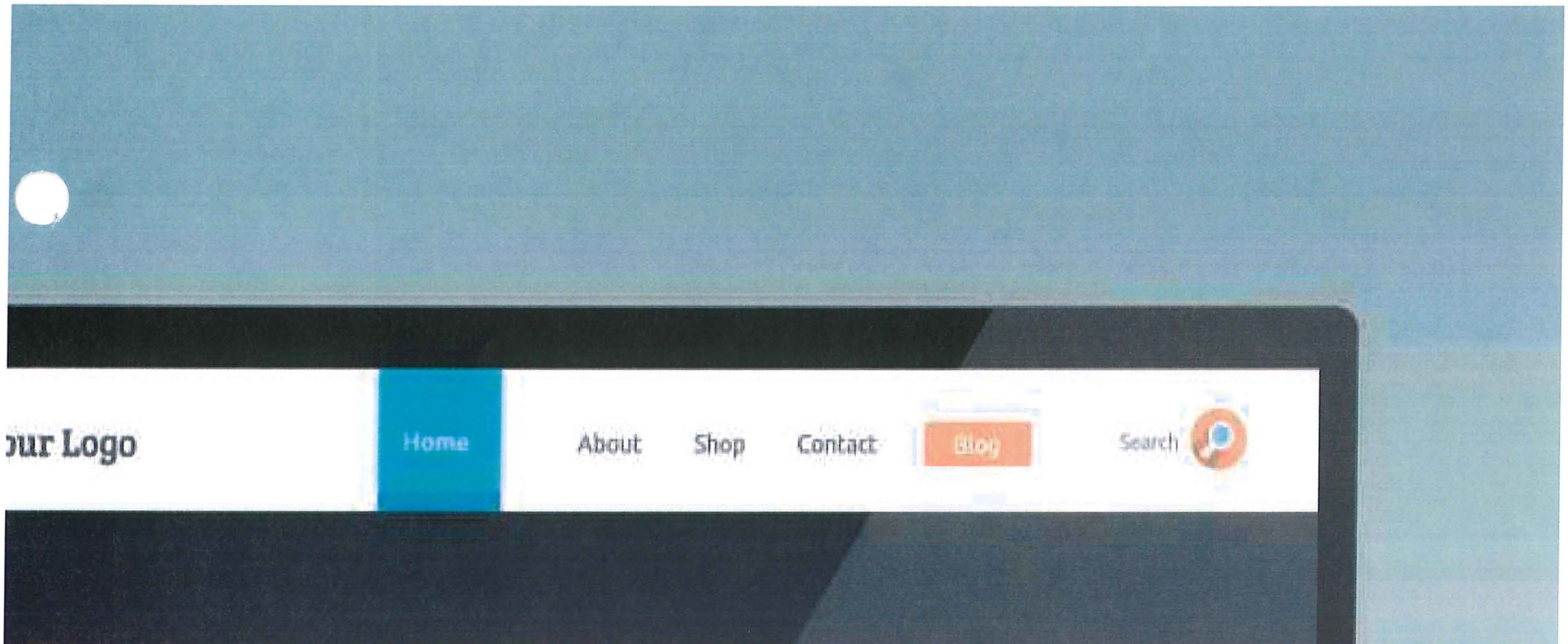
“Responsive Web design is the approach that suggests that design and development should respond to the user’s behavior and environment based on screen size, platform and orientation. The practice consists of a mix of flexible grids and layouts, images and an intelligent use of *CSS media queries. As the user switches from their laptop to tablet, the website should automatically switch to accommodate for resolution, image size and scripting abilities.”

-Smashing Magazine 2011

“I believe eventually, we’ll all stop talking about responsive web design–not because it will go away, but because it will become what’s expected. However, I don’t think this will happen in 2012. It’s still too new of a concept, and there are many web designers that are not familiar with it at all.”

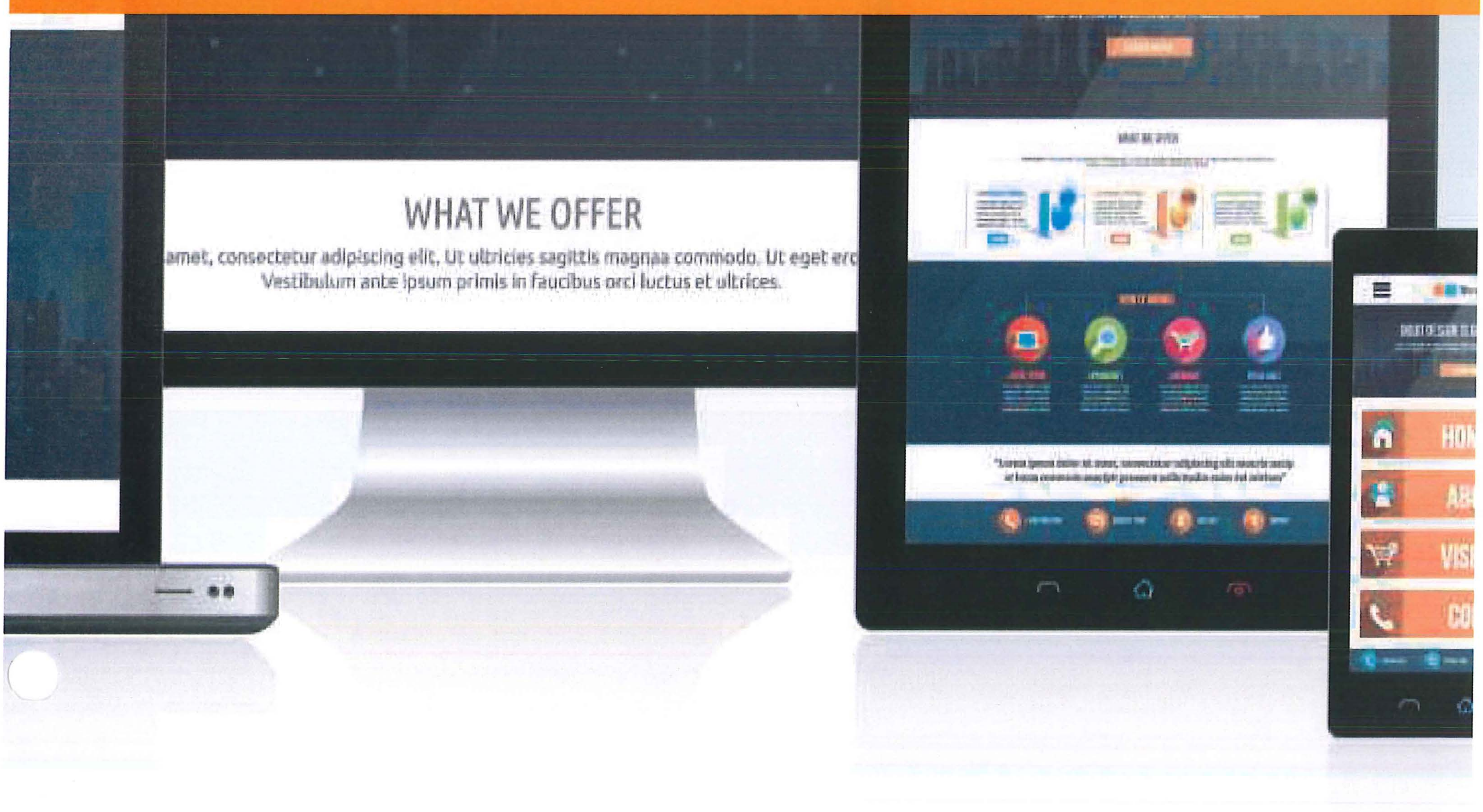
Jake Rocheleau
Web developer, author, speaker

* Media Queries is a CSS3 module allowing content rendering to adapt to conditions such as screen resolution (e.g. smartphone vs. high definition screen).



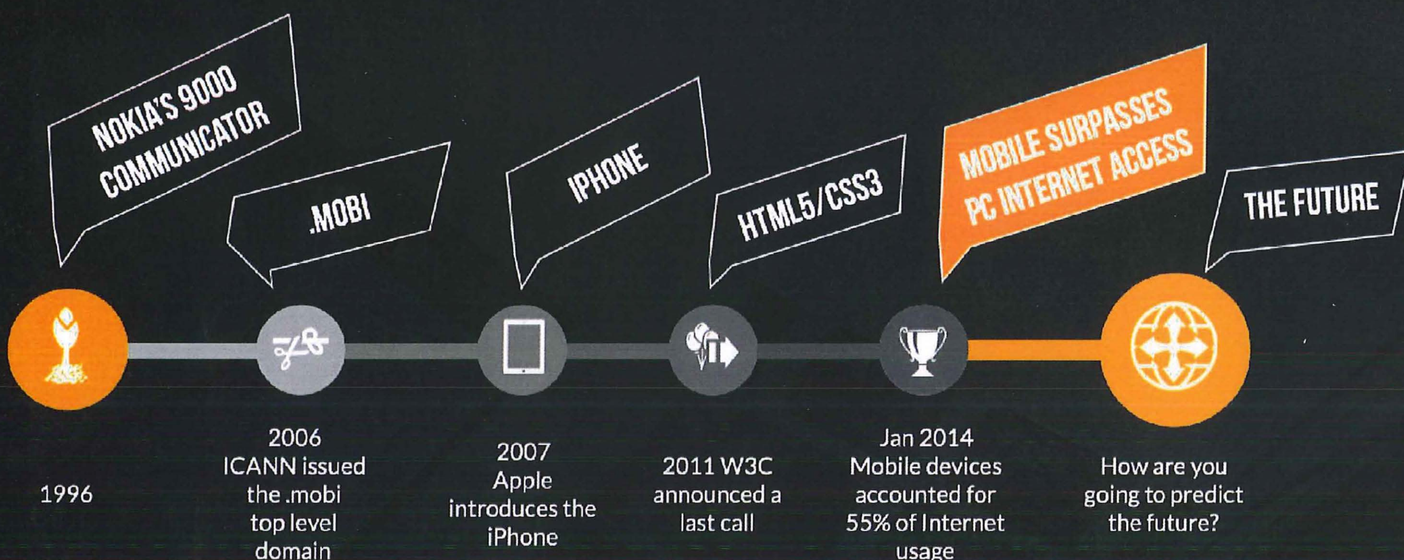
IN SIMPLE TERMS: ONE WEBSITE FOR MULTIPLE DEVICES

Because responsive design templates are based on screen size and not device, organizations are able to create web content once and have it render beautifully regardless of the device. As new devices are developed in the future, the website will provide an easy-to-use experience to the website user.



MOBILE REVOLUTION

Are you ready to respond to 55% of Internet users accessing your web content from their mobile devices?



A survey conducted in 2011 by the IDC (International Data Corporation) stated that Mobile traffic will overtake "traditional" desktop traffic by 2014.

It happened in Jan of 2014!

WHY NOT BUILD WEB APPS?

#1 As of Mar 2014 there were more then 280 devices with varying screen sizes or viewports. It's not a stretch to say this is a maintenance nightmare to build a solution for each device and screen size. And then to maintain updates for all 280 devices :)

#2 A Mobile Version of Your Website Isn't Good Enough
Jody Resnick says, "Responsive websites simplify Internet marketing and *SEO. Instead of having to develop and manage content for multiple websites, businesses with responsive sites can take a unified approach to content management because they have only the one responsive site to manage. The same applies to analytics and strategy development and deployment. A responsive website means there is only one set of analytics to examine and a single strategy to develop and deploy.

"Having a mobile friendly website
is no longer just important, it's critical."

Forbes Ecommerce Marketing Checklist for 2013

*Search Engine Optimization

Desktop Screen Resolution

With the introduction of the retina display High Definition displays have now become the standard—even on mobile devices.

99%

of your visitors have a screen resolution of 1024x768 pixels or higher

34%

of internet users have a screen resolution higher then ***1024x768***

31%

of internet users have a screen resolution of ***1366x768***

13%

of internet users have a screen resolution of ***1920x1080***

Source: http://www.w3schools.com/browsers/browsers_display.asp

WHY NOT BUILD BIGGER WEBSITES?

In today's media rich and connected world it's easy to want to fill every bit of white space on your website with content. It is important to keep in mind that users want a personalized experience. They want content that is relevant to them and not just a bunch of irrelevant information thrown at them. Plus, its the mobile revolution. Smaller, faster, and more relevant and personalized experiences are required or your users will go elsewhere!!

MOBILE FIRST DESIGN

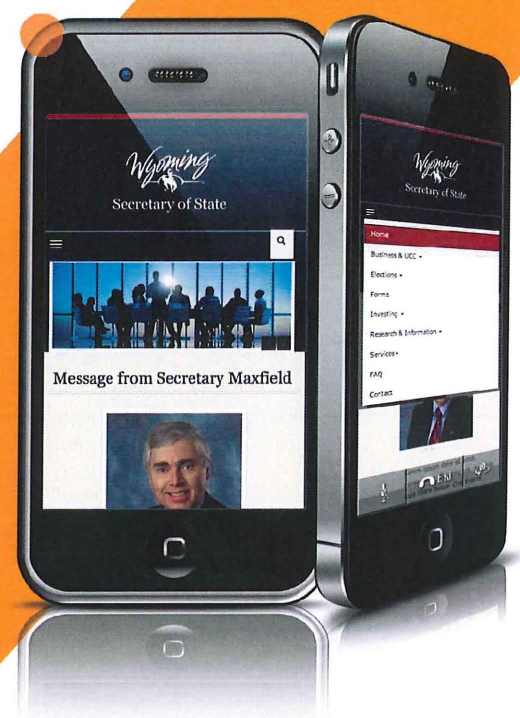
"...things have changed so dramatically over the past few years that starting with the desktop may be an increasingly backwards way of thinking about a Web product."

Luke Wroblewski
author of Mobile First, http://www.lukew.com/

WHAT ABOUT ME?

Mobile Usage Surpasses PC Usage

Jan 2014
Mobile devices accounted for 55% of Internet usage (Smartphones and tablets)



56%

of adults own a smartphone.
- 2013

39% of time spent online is on a smartphone

31% smartphone users only use their smartphone to access the internet

85% of adults feel the mobile version of a website should be better then the desktop version

72% of generation 'Y' owns a smartphone

Tablet usage is on the rise and sales are out performing PC's

A third (34%) of American adults ages 18 and older own a tablet computer like an iPad, Samsung Galaxy Tab, Google Nexus, or Kindle Fire – almost twice as many as 18% who owned a tablet one year ago.

15%

of all Internet traffic was on a tablet Q4 - 2013

49%

of college graduates own a tablet

56%

Households earning $75,000+ per year own a tablet

49%

of college graduates own a tablet

Source: http://www.pewinternet.org/2013/06/10/tablet-ownership-2013/#fn-63-1

STILL NOT CONVINCED?

Here are the top 3 reasons we feel responsive design is not only a sound development best practice, but a strategic business differentiator:

1 RECOMMENDED BY GOOGLE

With 67 percent search market share, when Google speaks, search marketers listen. Google states that responsive web design is its recommended mobile configuration, and even goes so far as to refer to responsive web design as the industry best practice.

2 ONE SITE, MANY DEVICES

One of the most appealing aspects of responsive web design is that a responsive website can provide a great user-experience across many devices and screen sizes. This is an important characteristic, since it is impossible to anticipate all the devices and screen sizes searchers will use to access your site.

3 EASIER TO MANAGE

Having a separate desktop and mobile site requires having separate SEO campaigns. Managing one site and one SEO campaign is far easier than managing two sites and two SEO campaigns. This is a key advantage a responsive website has over a separate mobile site.

NEED EVEN MORE REASONS?

Here are six more reasons you should consider responsive design for your next web project or website redesign.

1

*MOBILE USAGE IS EXPLODING

- Over 20% of Google searches are being performed on a mobile device.
- In 2012 more than half of the local searches were performed on a mobile device.
- In the United States, 31% of internet users only access the internet on a mobile device
- 61% of people have a better opinion of brands when they offer a good mobile experience
- 25.85% of all emails are opened on mobile phones, and 10.16% are opened on tablets.

2

POSITIVE USER EXPERIENCE

According to Google's Think Insights on Mobile, if a user lands on your mobile website and is frustrated or doesn't see what they are looking for, there's a 61% chance they will leave immediately and go to another website (most likely a competitor). It's also said that if they have a positive experience with your mobile website a user is 67% more likely to buy a product or use a service.

3

BLOGGING AND SOCIAL ACTIVITIES BRING MOBILE VISITORS

If you're like most Inbound Marketers and have elements of blogging and social media incorporated in your strategy, you probably have been seeing increased mobile traffic. A recent study by ComScore cites that 55% of social media consumption happens on a mobile device.

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*Source: Smart Insights

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NEED EVEN MORE REASONS?

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4

RESPONSIVE DESIGN IS PREFERRED FOR SEO

Google's Pierre Farr went on the record to declare that Google prefers responsive web design over mobile templates. Having one single URL makes it easier for Google bot to crawl your site and with Google's external link algorithm reduces the chance of on-page SEO errors. For all these reasons, responsive sites typically perform better and are easier to maintain than a separate, mobile template site.

5

A SPEEDY RESPONSIVE WEBSITE

According to the Google PageSpeed Developers standards recommends that the content above the fold on a mobile device loads in under 1 second and the entire page loads in under 2 seconds. This is typically not possible when loading a desktop website on a mobile device. When a user has to wait too long for a page to load, there's an extremely high chance they will leave your site.

6

ADAPTS TO FUTURE DEVICES

One of the big benefits of responsive design is that the size of the template is designed based on screen size not device. This means that no matter what size screen someone is viewing your website it will display properly for that screen size. So in the future as new devices (TVs, watches, glasses, etc.) are being used for web browsing, your responsive site will still look beautiful and function correctly.

EXAMPLE: WYSOS

"I believe eventually, we'll all stop talking about responsive web design–not because it will go away, but because it will become what's expected. However, I don't think this will happen in 2012. It's still too new of a concept, and there are many web designers that are not familiar with it at all."

Jake Rocheleau
Web developer, author, speaker

ABOUT TECUITY

REACHING YOUR EXPECTATIONS

Tecuity is a technology solutions and services company. Each member of our team is highly skilled, talented, and a creative professional dedicated to our client's success. Our team members possess expertise in a wide spectrum of software methodologies, programming environments, development tools, and database technologies enabling them to craft integrated technology solutions that meet each client's current and long-term business needs.

At Tecuity we strive to maintain high quality standards in our technology solutions and deliver exceptional customer service. Our business philosophy is built around listening to the needs of our clients, then helping them achieve their goals. This is at the heart of our "Get Clear" strategy as we work for the success of our clients. At Tecuity, we firmly believe we are unlike any other technology solutions company. We also understand that technology solutions must improve company efficiencies, reduce costs or increase sales, revenue, or market share to be worth the investment. We look forward to being your partner in success.

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CONCLUSION

Responsive web design allows a single website to provide a great user-experience across many devices and screen sizes, Google recommends it and it makes managing your SEO strategy easier. For these reasons, responsive web design is the best option for developing and managing your web content today and tomorrow.