

**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 the Cost Proposal**

**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.

<b>General Statement of Requirements</b>					
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					
<b>RTM #</b>	<b>System Architecture, Licensing, and Ownership</b>	<b>Yes</b>	<b>Customization Required</b>	<b>No</b>	<b>Alternate</b>
SAL-1	Bidder should provide a high-level description (and optional diagram) of their proposed system to provide a BSFS that handles filing processes, accounts receivable, and deposit preparation.				
Bidder Response:					
SAL-2	<p>Bidder should describe in detail the technical architecture and licensing of the software you are proposing in order to support the following requirements:</p> <ul style="list-style-type: none"> <li>A. independent development, test, QA, and training environments that mimic the production environment</li> <li>B. virtual, clustered web servers, application servers, database servers and FTP servers (if needed - will be provided and housed by the State)</li> <li>C. the coding languages and software database environment used for the proposed solution</li> <li>D. The bidder's application will use Nebraska Directory Services (NDS) to access web-based applications.</li> <li>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 of 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.</li> </ul>				
Bidder Response:					

SAL-3	Bidder should acknowledge ability and willingness to provide the State with perpetual license for development, test, QA, training, and production environments.				
Bidder Response:					
SAL-4	Bidder should indicate understanding and acceptance of the requirement that the State will retain ownership of all entered, calculated, and derived data.				
Bidder Response:					

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
PR-1	<p>Bidder should describe how their system meets the following requirements:</p> <ul style="list-style-type: none"> <li>A. Uses modern technology software that is easily supported and configured, uses responsive design, and meets business requirements of Corp, UCC and EFS functions</li> <li>B. Integrates filing processes, accounting functions, and deposit preparation features</li> <li>C. Provides APIs to Nebraska.gov, document imaging, State accounting, and credit card processing contractor</li> <li>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.</li> <li>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)</li> </ul>				
Bidder Response:					

RTM #	Project Requirements	Yes	Customization Required	No	Alternate
PR-2	Bidder should describe the extent of the system's configurability.				
Bidder Response:					
<b>TECHNICAL REQUIREMENTS</b> State of Nebraska standards require that all state government web applications that require authentication and authorization of users will use Nebraska Directory Services (NDS) to access web-based applications. NDS is based upon Microsoft Active Directory and can be accessed via native Active Directory methods or Secure LDAP (LDAPS). Multi-factor authentication is available.					

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
GF-1	Describe how your system will integrate NDS authentication into the requirement to provide unique user identification for access and tracking user activity in your application. Include a description of options for supporting single authentication and multi-factor authentication processes supported by your system.				
Bidder Response:					
GF-2	System Uptime A. The proposed system must be fully functional with all components operating 99 percent of the time annually. Faults in availability attributed outside contractor's control will not be included in this calculation. B. During critical time periods, downtime should be avoided.  Application Response Time A. Application response times during submission of user entered data, retrieval of images, and during data exchange to and				

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
	<p>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.</p> <p>Describe how you will monitor performance and problem resolution to meet the system uptime and application response time.</p>				
Bidder Response:					
GF-3	<p>The bidder should mark this section <b>proprietary and confidential</b> 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.</p>				
Bidder Response:					
GF-4	<p>The bidder should mark this section <b>proprietary and confidential</b> 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.</p>				
Bidder Response:					
GF-5	<p><b>Maintenance</b> The contractor will have responsibility for maintaining functionality of the BSFS.</p> <p>The contractor must have a plan for updating, enhancing, and modifying the system in response to technological advances and</p>				

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
	<p>the need for additional features to improve efficiency and ability to meet the public's and SoS's requirements.</p> <p>The contractor must resolve any performance issue.</p> <p>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.</p> <p>The contractor shall provide a list of all enhancements and changes to be made to the BSFS in a maintenance release prior to the release. The SoS office must approve of any work-around or fix. The contractor shall monitor availability of upgrades offered by their hardware and software vendors and make timely installation of such changes when technically appropriate, at no additional cost to SoS.</p> <p>When changes or additions are made to the database, contractor will provide updated field mapping and relationship documentation.</p> <p>Changes due to inevitable Federal legislation or State legislation beyond what is described in the RFP will be treated as enhancements.</p> <p>Explain in detail how you will comply with maintenance requirements to include:</p> <ul style="list-style-type: none"> <li>A. normal and preventative maintenance that will be performed at times that avoid adversely impacting daily operations</li> <li>B. upgrades and enhancements for your software</li> <li>C. upgrades for peripheral hardware (e.g., scanners, label printers)</li> </ul>				

RTM #	General Features, Maintenance, and Support	Yes	Customization Required	No	Alternate
Bidder Response:					
GF-6	Describe your provisions for HelpDesk support and for logging, tracking, and documenting problems and resolutions.				
Bidder Response:					

RTM #	Common System Processes/Features	Yes	Customization Required	No	Alternate
CS-1	<p>General Features</p> <ul style="list-style-type: none"> <li>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 &amp; Appendix G - Actions Matrix for UCC &amp; EFS Filings).</li> <li>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 &amp; Appendix H - UCC &amp; EFS Data Fields).</li> <li>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.</li> <li>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).</li> </ul> <p>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.</p>				
Bidder Response:					

**Technical Corp Processes/Features**

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

Entity Types				Other Filing Options
<u>Domestic</u> 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	<u>Foreign</u> 1. Corp 2. Corp PC 3. GP 4. LCA 5. LLC 6. Professional LLC 7. LP 8. LLP	<u>Non Profit</u> 1. Dom Corp 2. Dom LCA 3. Foreign Corp 4. Domesticated Foreign Corp 5. Foreign LCA 6. Non Stock Corp 7. Non Taxable Corp	<u>Other Entity Types</u> 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 i, ii, or iii:
  - 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 acknowledgment 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. 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 #		Yes	Customization Required	No	Alternate
Corp-1	<p>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.)</p> <p>The search for Name Availability applies to the filing category of Formation Documents and to filings for New Name and Reinstatements after 1 year.</p> <p>The search for existing records is used to find the original filing entity for Amendments &amp; Corrections; Mergers &amp; Conversions, Dissolutions &amp; Revocations, Reinstatements and Annual &amp; Biennial filings handled individually (see Appendix A - Entity Types - Actions Matrix for Corp Filings).</p> <p>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).</p> <p>The following search criteria must be available in the system in order to look for existing records on file for the following categories.</p> <p>A. All Entity Types –</p> <ol style="list-style-type: none"> <li>1. Name: Finds entities of all types whose ModifiedName or ForeignModifiedName match the name entered. <ol style="list-style-type: none"> <li>a. Additional Search Options: <ol style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard Implied</li> <li>iii. Insert OR</li> </ol> </li> </ol> </li> <li>2. Acct #: Finds entities of all types that match the account number entered.</li> <li>3. Document #: Finds entities of all types that match the account number entered.</li> </ol>				

	<p>B. Company –</p> <ol style="list-style-type: none"> <li>1. Name: Finds entities of type(s) <i>other than</i> T, S, M, RN, VN, PN whose ModifiedName or ForeignModifiedName match the name entered. <ol style="list-style-type: none"> <li>a. Additional Search Options: <ol style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard Implied</li> <li>iii. Search Previous Names Also: Search may be expanded to also include previous entity names such as those due to name changes or mergers.</li> <li>iv. Insert OR</li> <li>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.</li> </ol> </li> </ol> </li> <li>2. Acct #: Finds entities of type(s) <i>other than</i> T, S, M, RN, VN, PN whose account number match the number entered.</li> <li>3. Document #: Finds all entities of type T, S, M, RN, VN, PN that match the document number entered.</li> <li>4. Officer Name: Finds entities of type(s) <i>other than</i> 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. <ol style="list-style-type: none"> <li>a. Additional Search Options: <ol style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard Implied</li> <li>iii. Limit to Term: Search may be limited to only those officers whose term spanned a given start and end date.</li> <li>iv. Insert OR</li> </ol> </li> </ol> </li> </ol> <p>C. Registered Name –</p> <ol style="list-style-type: none"> <li>1. Name: Finds all entities of type RN whose ModifiedName matches the name entered. <ol style="list-style-type: none"> <li>a. Additional Search Options:</li> </ol> </li> </ol>				
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	<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard Implied</li> <li>iii. Insert OR</li> </ul> </li> <li>2. Acct #: Finds all entities of type RN that match the account number entered.</li> <li>3. Document #: Finds all entities of type RN that match the document number entered.</li> </ul> <p>D. Reserved Name –</p> <ul style="list-style-type: none"> <li>1. Name: Finds all entities of type VN whose ModifiedName matches the name entered. <ul style="list-style-type: none"> <li>a. Additional Search Options: <ul style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard Implied</li> <li>iii. Insert OR</li> </ul> </li> </ul> </li> <li>2. Acct #: Finds all entities of type VN that match the account number entered.</li> <li>3. Document #: Finds all entities of type VN that match the document number entered.</li> </ul> <p>E. Trademark, Service Mark –</p> <ul style="list-style-type: none"> <li>1. Name: Finds all entities of type M or S whose ModifiedName matches the name entered. <ul style="list-style-type: none"> <li>a. Additional Search Options <ul style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard Implied</li> <li>iii. Insert OR</li> </ul> </li> </ul> </li> <li>2. Acct #: Finds all entities of type M or S that match the account number entered.</li> <li>3. Document #: Finds all entities of type M or S that match the document number entered.</li> <li>4. Keywords: Finds all entities of type M or S that match the keyword entered. <ul style="list-style-type: none"> <li>a. Additional Search Options <ul style="list-style-type: none"> <li>i. Wildcard Implied</li> <li>ii. Insert OR</li> </ul> </li> </ul> </li> </ul> <p>F. Trade Name –</p> <ul style="list-style-type: none"> <li>1. Name: Finds all entities of type T or PN whose</li> </ul>				
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	<p>ModifiedName matches the name entered.</p> <ol style="list-style-type: none"> <li>a. Additional Search Options <ol style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard Implied</li> <li>iii. Insert OR</li> </ol> </li> <li>2. Acct #: Finds all entities of type T or PN that matches the account number entered.</li> <li>3. Document #: Finds all entities of type T or PN that match the document number entered.</li> </ol> <p>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 <i>very</i> 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.</p> <p>H. Check Name Availability –</p> <ol style="list-style-type: none"> <li>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. <ol style="list-style-type: none"> <li>a. Additional Search Options – <ol style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard Implied</li> <li>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.</li> </ol> </li> </ol> </li> </ol>				
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	<ul style="list-style-type: none"> <li>I. Global Change of Registered Agent – <ul style="list-style-type: none"> <li>1. Registered Agent Name: Finds active entities using agent name entered <ul style="list-style-type: none"> <li>a. Additional Search Options <ul style="list-style-type: none"> <li>i. Soundex</li> <li>ii. Wildcard</li> </ul> </li> </ul> </li> <li>2. Find Registered Agent <ul style="list-style-type: none"> <li>a. Individual - Finds all individual Registered Agents with the specified name.</li> <li>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.</li> <li>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.)</li> </ul> </li> </ul> </li> <li>J. Charge Account – <ul style="list-style-type: none"> <li>1. Soundex</li> <li>2. Wildcard</li> </ul> </li> <li>K. Job History Search – <ul style="list-style-type: none"> <li>1. Job # - Finds jobs that match the specified job number. <ul style="list-style-type: none"> <li>a. Wildcard Implied</li> <li>b. Insert OR</li> </ul> </li> <li>2. Filer/Client Name – Finds jobs that match the specified Filer/Client name. <ul style="list-style-type: none"> <li>a. Wildcard Implied</li> <li>b. Insert OR</li> </ul> </li> <li>3. Billing Acct ID – Finds jobs that match the specified Billing Acct ID.</li> <li>4. Entity Acct # - Finds jobs that match the specified Entity</li> </ul> </li> </ul>				
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	<p>Account Number.</p> <p>5. Document # - Finds jobs that match the specified Document Number.</p> <p>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 &amp; address information and is maintained for quick selection and entry into the job window.</p> <ol style="list-style-type: none"> <li>1. Name – This will locate the first occurrence of the entered name within the list.</li> <li>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.</li> </ol> <p><b>Additional Search Options Descriptions</b></p> <p>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.</p> <p>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.</p> <p>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.</p> <p><b>Additional Algorithm Descriptions</b></p> <p>A. Soundex algorithm:</p> <ol style="list-style-type: none"> <li>1. Remove all spaces from search criteria.</li> <li>2. If no wildcard character was manually entered then create a standard Soundex value padded to 15 characters by</li> </ol>				
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	<p>adding trailing "0" as needed.</p> <ol style="list-style-type: none"> <li>3. If user manually entered wildcard characters then: <ol style="list-style-type: none"> <li>a. Split the name at each wildcard character.</li> <li>b. Convert the first part of the name using the standard Soundex algorithm.</li> <li>c. Append the wildcard character.</li> <li>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.</li> <li>e. Repeat steps 3 &amp; 4 for each remaining wildcard character and name part.</li> <li>f. Pad the final value to 15 characters by adding trailing "0" as needed.</li> </ol> </li> <li>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. <ol style="list-style-type: none"> <li>1. Replace all colons, semicolons, commas, periods, hyphens, slashes, and ampersands with a space.</li> <li>2. Remove all other punctuation i.e. characters that are neither A thru Z nor 0 thru 9.</li> <li>3. Remove "THE" as a word from the beginning, middle or end of the name.</li> <li>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.</li> <li>5. Remove multiple spaces.</li> </ol> </li> </ol> <p>The system must provide an API for the external calling of the search modules from Nebraska.gov.</p> <p>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.</p>				
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Bidder Response:					
Corp-2	<p><b>Name Availability Screening</b></p> <p>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.</p> <p>See Appendix N - Name Availability Screening</p> <p>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.</p>				
Bidder Response:					
Corp-3	<p><b>Registered Agent (RA)</b></p> <p>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 #9 B.</p>				

	<p>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)</p> <p>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.</p>				
Bidder Response:					
Corp-4	<p>Formation Documents</p> <p>Filings received in-house: refer to the Current Workflow A; in addition, the following are specific details for Formation Documents.</p> <ul style="list-style-type: none"> <li>A. If accepted then staff checks existing Registered Agent table, if no RA record exists, a new record is created.</li> <li>B. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields).</li> <li>C. If declined see workflow.</li> </ul> <p>Filings received via Document eDelivery – refer to Current Workflow B).</p> <p>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.</p>				
Bidder Response:					

Corp-5	<p><b>Amendment &amp; Correction Filings</b>  For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Amendment &amp; Correction Filings.</p> <ul style="list-style-type: none"> <li>A. Search for existing entity – Refer to Corp 1 for search options 2 – 6.</li> <li>B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue.</li> <li>C. Check for existing Registered Agent data and update as needed.</li> <li>D. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields).</li> <li>E. If declined, see workflow.</li> </ul> <p>Filings received via Document eDelivery – refer to Current Workflow B).</p> <p>The bidder should describe and provide screen shots showing how their system handles and processes Amendment &amp; Correction Filings, emphasizing how it improves the current workflow process.</p>				
Bidder Response:					

Corp-6	<p>Renewal Filings</p> <p>For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Renewal Filings.</p> <ul style="list-style-type: none"> <li>A. Search for existing entity – Refer to Corp 1 for search options 2 – 6.</li> <li>B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue.</li> <li>C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields).</li> <li>D. If declined, see workflow.</li> </ul> <p>Filings received via Document eDelivery – refer to Current Workflow B).</p> <p>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.</p>				
Bidder Response:					

Corp-7	<p><b>Merger &amp; Conversion Filings</b>  For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Merger &amp; Conversion Filings</p> <ul style="list-style-type: none"> <li>A. Search for existing entity – Refer to Corp 1 for search options 2 – 6.</li> <li>B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue.</li> <li>C. Check for existing Registered Agent data and update as needed.</li> <li>D. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields).</li> <li>E. If declined, see workflow.</li> </ul> <p>Filings received via Document eDelivery – refer to Current Workflow B).</p> <p>The bidder should describe and provide screen shots showing how their system handles and processes Merger &amp; Conversion Filings, emphasizing how it improves the current workflow process.</p>				
Bidder Response:					

Corp-8	<p>Dissolution &amp; Revocation Filings</p> <p>For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Dissolution &amp; Revocation Filings.</p> <ul style="list-style-type: none"> <li>A. Search for existing entity – Refer to Corp 1 for search options 2 – 6.</li> <li>B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue.</li> <li>C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields).</li> <li>D. If declined, see workflow.</li> </ul> <p>Filings received via Document eDelivery – refer to Current Workflow B).</p> <p>The bidder should describe and provide screen shots showing how their system handles and processes Dissolution &amp; Revocation Filings, emphasizing how it improves the current workflow process.</p>				
Bidder Response:					

Corp-9	<p><b>Reinstatement Filings</b>  For filings received in-house refer to the Current Workflow A; in addition, the following are specific details for Reinstatement Filings.</p> <ul style="list-style-type: none"> <li>A. Search for existing entity – Refer to Corp 1 for search options 2 – 6.</li> <li>B. Verify status is inactive. If status is active or suspended, allow staff to determine whether to continue.</li> <li>C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields).</li> <li>D. If declined, see workflow.</li> </ul> <p>Filings received via Document eDelivery – refer to Current Workflow B).</p> <p>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.</p>				
Bidder Response:					

Corp-10	<p>Annual &amp; Biennial Report Filings - handled individually  For filings received in-house refer to the Current Workflow; in addition, the following are specific details for Annual &amp; Biennial Filings.</p> <ul style="list-style-type: none"> <li>A. Search for existing entity – Refer to Corp 1 for search options 2 – 6.</li> <li>B. Verify status is active. If status is inactive or suspended, allow staff to determine whether to continue.</li> <li>C. Perform If-Then rules depending on action type (Refer to Appendix B – Corp Data Fields).</li> <li>D. If declined, see workflow.</li> </ul> <p>The bidder should describe and provide screen shots showing how their system handles and processes individual Annual &amp; Biennial Report filings, emphasizing how it improves the current workflow process.</p>				
Bidder Response:					

Corp-11	<p>Annual &amp; 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 &amp; Biennial Filings.</p> <p>Statutory Requirements for Annual and Biennial filings can be found in Appendix C – Statutes and Rules &amp; Regulations.</p> <p>Current process</p> <ul style="list-style-type: none"> <li>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.</li> <li>B. If the filing is Rejected, go to process described in H.</li> <li>C. For Accepted filings that are Annual and Biennial filings only, continue with the process described in E. This is a streamlined function.</li> <li>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.</li> <li>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. <ul style="list-style-type: none"> <li>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 <ul style="list-style-type: none"> <li>a. This is a re-check by another staff member of the</li> </ul> </li> </ul> </li> </ul>				
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	<p>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.</p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>d. Endorse check with the account number of the first filing in the Job.</li> <li>e. When the Job is committed then print label.</li> <li>f. Post filing updates are completed at a later date using the scanned images. See G. below.</li> </ul> <ol style="list-style-type: none"> <li>2. Receipt fees (Refer to Appendix F - Accounting Codes and Filing Fees)</li> <li>3. Add filing stamp (assign document number and barcode label).</li> <li>4. Address scanning options</li> <li>5. If filing comes from Nebraska.gov <ul style="list-style-type: none"> <li>a. Perform If-Then rules (Appendix B – Corp Data Fields) as filer enters information</li> <li>b. If filing is successful, <ul style="list-style-type: none"> <li>i. Data is automatically uploaded into system</li> <li>ii. Upload approved documents in image library with online file stamp per daily schedule</li> </ul> </li> </ul> </li> </ol>				
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	<p>iii. Payment amount and type are recorded.</p> <p>c. Create audit trail records containing a date and time stamp, staff member or system involved.</p> <p>F. Multiple action filings</p> <p>Process other filing action(s) submitted for Other filing type(s) and process the Annual or Biennial filing as a Job.</p> <p>Other filings will be processed as described in the sections above and the Annual or Biennial filing will be processed as described in E.a.i., E.a.iii., E.a.v., E.a.vi., E.b., and E.c., indicating whether post filing updates are required.</p> <p>Print the label and receipt fees</p> <p>Create audit trail records containing a date and time stamp, staff member or system involved.</p> <p>G. Post filing updates using images</p> <p>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.</p> <p>The staff member will uncheck the update box removing it from the update list.</p> <p>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.</p>				
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	<p>H. Rejection Process</p> <p>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</p> <p>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.</p>				
Bidder Response:					
Corp-12	<p>Automated System-Generated Functions</p> <p>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.</p> <p>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.</p> <p>For system generated notices, refer to Appendix C – Statutes and Rules &amp; Regulations for LLPA, BR, TR, RE, &amp; PC.</p> <p>If a letter needs to be printed, templates are found in Appendix D - Certificates, Letters, and Templates printed per RTM CB-3.</p>				
Bidder Response:					

**TECHNICAL REQUIREMENTS – UCC Processes/Features**

The UCC System must record, store, and retrieve information and documents related to Uniform Commercial Code (UCC) filings. (See Appendix G - Lien Types - Action Matrix for UCC & EFS Filings and Appendix H – UCC & EFS Lien Data Fields.)

<u>Lien Types</u>			
<u>Uniform Commercial Code (U)</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.	<u>Statutory Ag Liens (A)</u> 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	<u>Judgments (J)</u> 1. Abstract Of Judgment 2. Notice Of Lien For Fine Or Penalty For Sentencing 3. Criminal Fine Enforcement	<u>Taxes (T)</u> 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 i, ii, or iii:
    - 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 #		Yes	Customization Required	No	Alternate
UCC-1	<p><b>Name Search</b>  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 &amp; EFS Filings; and see also Appendix H – UCC &amp; EFS Lien Data Fields).</p> <p>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).</p> <p>The following search criteria must be available in the system in order to look for existing records on file for the following categories.</p> <p><b>A. ModName Calculation</b></p> <ol style="list-style-type: none"> <li>1. Individuals <ol style="list-style-type: none"> <li>a. Individual debtors must be explicitly identified as individuals.</li> <li>b. The ability to indicate alternative designation, (lessee, consignee, bailee, buyer, licensee, registered owner).</li> <li>c. The individual name may contain first, middle and last elements.</li> <li>d. Convert each element of the name (first, middle, last) to uppercase.</li> <li>e. Remove punctuation, accent marks and spaces. Only characters A-Z and digits 0-9 are valid.</li> <li>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”</li> </ol> </li> </ol>				

	<ol style="list-style-type: none"> <li>2. Organizations <ol style="list-style-type: none"> <li>a. Organization debtors must be explicitly identified as an organization.</li> <li>b. Ability to indicate alternative designation (lessor, consignor, bailor, seller, licensor, owner)</li> <li>c. Convert the name to uppercase.</li> <li>d. Replace “&amp;” with “AND”.</li> <li>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.</li> <li>f. Remove multiple consecutive spaces which may have been left as a result of the previous step.</li> <li>g. Remove ending noise words as defined in 503.1.5.</li> <li>h. Remove any occurrence of “THE” at the beginning of the name.</li> <li>i. Remove all remaining spaces.</li> </ol> </li> </ol> <p><b>B. Standard Search (UCC/Agriculture)</b></p> <ol style="list-style-type: none"> <li>1. Must designate debtor as Organization or Individual</li> <li>2. Create a search value using the “modname” algorithm.</li> <li>3. Search the Debtor table for matches of the ModName column.</li> <li>4. No SSN or FEIN numbers should appear on the search results.</li> <li>5. Must be able to indicate whether the search is to be certified.</li> <li>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.</li> <li>7. The search report will show all debtors/secured parties associated with each lien in either All or Unlapsed status.</li> </ol>				
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	<p><b>C. Non-Standard Wildcard Search (Tax / Judgment)</b></p> <ol style="list-style-type: none"> <li>1. Must designate debtor as Organization or Individual</li> <li>2. Create a search value using the “modname” algorithm.</li> <li>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%”.</li> <li>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.</li> <li>5. No SSN or FEIN numbers should appear on the search results.</li> </ol> <p><b>D. Find Records – Internal Search only</b></p> <p>For a “UCC” search, the following rules apply.</p> <ol style="list-style-type: none"> <li>1. For a search for individuals, a value must be specified in both “Last Name” textboxes else the “Find” button is disabled.</li> <li>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.</li> <li>3. All individual data elements (Last, First, Middle and Organization names) are converted to their ModName equivalent before searching.</li> <li>4. When the Soundex option is selected, the Soundex value is calculated from the corresponding ModName value.</li> <li>5. UCC Liens: Default options specified; Wildcard = no, Soundex = no <ol style="list-style-type: none"> <li>a. Debtor name <ol style="list-style-type: none"> <li>i. Individual: This search appends a wildcard if</li> </ol> </li> </ol> </li> </ol>				
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	<p>certain conditions are met even if the “Wildcard” checkbox is not checked.</p> <ul style="list-style-type: none"> <li>ii. LastName <b>never</b> has a wildcard appended.</li> <li>iii. FirstName has a wildcard character appended <b>only if</b> the FirstName is 0 or 1 character long.</li> <li>iv. MiddleName has a wildcard character appended <b>only if</b> the MiddleName is 0 or 1 character long.</li> </ul> <p>b. Organization</p> <ul style="list-style-type: none"> <li>i. OrganizationName is never searched by wildcard.</li> </ul> <p>6. Tax Liens: Default options specified; Wildcard = yes, Soundex = yes</p> <p>a. Debtor name</p> <ul style="list-style-type: none"> <li>v. Individual: <ul style="list-style-type: none"> <li>vi. LastName always has a wildcard appended.</li> <li>vii. FirstName always has a wildcard appended.</li> <li>viii. MiddleName always has a wildcard appended.</li> </ul> </li> <li>a) Organization <ul style="list-style-type: none"> <li>1) OrganizationName always has a wildcard appended.</li> </ul> </li> </ul> <p>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.</p> <p>8. Additional Search Options</p> <ul style="list-style-type: none"> <li>a. Limit to liens filed within a specified Date Range. This filter applies to both UCC and Tax liens.</li> <li>b. Limit to liens filed by a debtor who resides in a specified City. This filter applies to both UCC and Tax liens.</li> <li>c. Limit to liens filed by a particular Secured Party. This filter applies to <b>both</b> UCC and Tax liens.</li> <li>d. Wildcard: For individuals, a wildcard is added to the</li> </ul>				
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	<p>end of Last, First and Middle names. For organizations, a wildcard is added to the end of the Organization name.</p> <ul style="list-style-type: none"> <li>e. Soundex: Performs the search using the Soundex encoding of the ModName of the individual or organization.</li> <li>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 &amp; 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.</li> <li>g. Any combination of All, Unlapsed, or Inactive lien status may be selected.</li> </ul> <p>9. Secured Party Name</p> <ul style="list-style-type: none"> <li>a. The Secured Party search functions similarly to the Debtor Name search of UCC Liens described above with the following differences:</li> <li>b. Searches are conducted against the SecuredParty table vs. Debtor table.</li> <li>c. All lien classes (except “EFS”) are searched.</li> <li>d. The lien classes are all searched in the same manner. There is no special handling for “Tax” or other lien classes.</li> </ul>				
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	<p>10. Original Document # Searches the “LienMaster” table for a matching original document number. The search is an exact match on the specified document number.</p> <p>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.</p> <p>12. Additional Search Options Any combination of All, Unlapsed, or Inactive lien status may be selected.</p> <p>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.</p> <p><b>E. Job History Search</b> Job # – Finds jobs that match the specified job number. 1. Wildcard Implied 2. Insert OR</p> <p><b>F. Filer/Client Name (Individual/Organization)</b> Finds jobs that match the specified Individual / Organization. 1. Wildcard Implied 2. Insert OR</p> <p><b>G. Billing Acct ID –</b> Finds jobs that match the specified Billing Acct ID</p>				
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	<p><b>H. Original Document # –</b> Finds jobs that match the specified Document Number.</p> <p><b>I. Filer/Client Maintenance –</b> This form lists every filer entered into the FilerClient table. This table holds these filers who conduct frequent business and their name &amp; address information is maintained for quick selection and entry into the job window.</p> <ol style="list-style-type: none"> <li>1. Name – This will locate the first occurrence of the entered name within the list.</li> <li>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.</li> </ol> <p>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'.</p> <p>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.</p> <p><b>NAC Title 436 Search Logic</b> For additional search criteria see Appendix C- Statutes and Rules &amp; Regulations and Appendix K – Reports and Additional Information – Search Logic Spreadsheet.</p>				
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	<p><b>Soundex</b>  This is the standard Soundex encoding algorithm as described here: <a href="https://en.wikipedia.org/wiki/Soundex">https://en.wikipedia.org/wiki/Soundex</a>. 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.</p> <p><b>Additional Search Options Descriptions</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>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.</li> </ul> <p>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.</p>				
Bidder Response:					

UCC-2	<p><b>Original Filings</b></p> <p>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 &amp; EFS Filings labeled as Originals and Appendix H – UCC &amp; EFS Lien Data Fields. Statutory Requirements for Originals can be found in Appendix C – Statutes and Rules &amp; Regulations. Click to see <a href="#">Filing Compliance Chart</a> for jurisdictional requirements.</p> <p>Review and Enter Filing Data</p> <p>A. Accept and file</p> <ol style="list-style-type: none"> <li>1. Enter required information for filing. <ol style="list-style-type: none"> <li>a. Check for a Debtor and Secured Party data</li> <li>b. Status becomes active</li> </ol> </li> <li>2. Receipt fees (Refer to Appendix F – Accounting Codes and Filing Fees)</li> <li>3. Commit job</li> <li>4. Calculate maturity date for original filings (including leap year updates) and assign status and action type for filings</li> <li>5. File Stamp filing (see RTM CB-2)</li> <li>6. Generate letter (Acknowledgement of Filing) and return copy if included with acknowledgement receipt to filer. See RTM CB-3</li> <li>7. Send for scanning</li> </ol> <p>B. Decline and reject</p> <p>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</p> <p>C. Allow ability to correct Original filing and create audit trail.</p> <p>The bidder should describe and provide screen shots showing how</p>				
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	their system handles Original filing processes.				
Bidder Response:					
UCC-3	<p><b>Amendment Filings</b>  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 &amp; EFS Filings labeled as Amendments. See also Appendix H – UCC &amp; EFS Lien Data Fields. Statutory Requirements for Amendments can be found in Appendix C – Statutes and Rules &amp; Regulations. Click to see <a href="#">Filing Compliance Chart</a> for jurisdictional requirements.</p> <p>Review and Enter Filing Data</p> <p>A. Accept and file</p> <ol style="list-style-type: none"> <li>1. Enter original document number by using the eyeball icon to search and retrieve original filing for update.</li> <li>2. Enter required information for filing. <ol style="list-style-type: none"> <li>a. Check for a Debtor and Secured Party data or collateral change.</li> <li>b. If status is inactive Reject</li> <li>c. If status is lapsed then accept filing for amendment, continuation, assignment, or termination.</li> </ol> </li> <li>3. Receipt fees or charge account for filing (Refer to Appendix F – UCC &amp; EFS Accounting Codes and Filing Fees).</li> <li>4. Commit job</li> <li>5. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings</li> <li>6. File Stamp filing (see RTM CB-2)</li> </ol>				

	<p>7. Generate letter (Acknowledgement of Filing) and return copy if included with acknowledgement receipt to filer. (see RTM CB-3)</p> <p>8. Send for scanning</p> <p>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</p> <p>C. Generate letter (Acknowledgement of Filing). (see RTM CB-3)</p> <p>D. Allow ability to correct Amendment filing and create audit trail.</p> <p>The bidder should describe and provide screen shots showing how their system handles Amendments, Continuations, and Assignments.</p>				
Bidder Response:					

UCC-4	<p><b>Corrections</b>  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 &amp; EFS Filings labeled as Correction. Also Appendix H – UCC &amp; EFS Lien Data Fields. Statutory Requirements for Correction can be found in Appendix C – Statutes and Rules &amp; Regulations. Click to see <a href="#">Filing Compliance Chart</a> for jurisdictional requirements.</p> <p>Review and Enter Filing Data</p> <p>A. Accept and file</p> <ol style="list-style-type: none"> <li>1. Enter original document number by using the eyeball icon to search and retrieve original filing for update.</li> <li>2. Enter required information for filing. <ol style="list-style-type: none"> <li>a. Check for a Debtor and Secured Party data</li> <li>b. If status is inactive Reject</li> <li>c. Commit job</li> </ol> </li> <li>3. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings</li> <li>4. File Stamp filing (see RTM CB-2)</li> <li>5. Generate letter including explanation of correction and Acknowledgement of Filing. See RTM CB-3</li> <li>6. Allow ability to correct Correction filing and create audit trail.</li> <li>7. Send for scanning</li> </ol> <p>The bidder should describe and provide screen shots showing how their system handles Corrections.</p>				
Bidder Response:					

UCC-5	<p><b>Terminations</b></p> <p>Terminations are filed to update Original Filings by document number. All can be found in Appendix G - Lien Types - Actions Matrix for UCC &amp; EFS Filings labeled as Terminations, see also Appendix H UCC &amp; EFS Lien Data Fields. Statutory Requirements for Terminations can be found in Appendix C – Statutes and Rules &amp; Regulations. Click to see <a href="#">Filing Compliance Chart</a> for jurisdictional requirements.</p> <p>Review and Enter Filing Data</p> <p>A. Accept and file</p> <ol style="list-style-type: none"> <li>1. Enter original document number by using the eyeball icon to search and retrieve original filing for update.</li> <li>2. Enter required information for filing. <ol style="list-style-type: none"> <li>a. Check for a Debtor and Secured Party data</li> <li>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.</li> </ol> </li> <li>3. Receipt fees or charge account for filing for only Release of Federal Tax Lien and Certificate of Release of Judgment Lien.</li> <li>4. Commit job</li> <li>5. File Stamp filing (see RTM CB-2)</li> <li>6. Allow ability to correct Termination filing and create audit trail.</li> <li>7. Generate letter (Acknowledgement of Filing). See RTM CB-3</li> </ol> <p>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.</p>				
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Bidder Response:					
UCC-6	<p><b>Bogus or Fraudulent Filing Process and Procedures</b>  (See Appendix C – Statutes and Rules &amp; Regulations, Nebraska Uniform Commercial Code, See Appendix D – Certificates, Forms, &amp; Templates, UCC Forms, Manual Use, “Bogus Filer Affidavit”, “Letter to Debtor”, “Notice of Termination to Secured Party”, “Bogus Filers Tracking Sheet”, &amp; “Filing Office Statement” )</p> <ul style="list-style-type: none"> <li>A. receive filing and monies,</li> <li>B. staff will identify if filing is bogus or fraudulent,</li> <li>C. record filing,</li> <li>D. add to tracking sheet,</li> <li>E. send appropriate correspondences and affidavits to debtor, along with form to file termination (UCC-1)</li> <li>F. send certified letter to secured party stating a termination was filed, if debtor signs affidavit and files termination</li> <li>G. If no termination filed filing remains on record</li> <li>H. 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.</li> </ul> <p>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.</p>				
Bidder Response:					

UCC-7	<p><b>Termination Report for posting on the website.</b> (See Appendix J – Ancillary Databases and Derived Reports Item #4)</p> <ul style="list-style-type: none"> <li>A. List all UCC Termination Filings for prior month the beginning of the following month.</li> <li>B. Is superseded monthly.</li> </ul> <p>The bidder should describe and provide screen shots showing their system’s termination report process, emphasizing how it improves the current process.</p>				
Bidder Response:					
UCC-8	<p><b>County Tax Filings, Payments, and Reports</b></p> <p>Prepare daily filings for Federal and State Liens and Judgments filed for the day to send electronically to the respective counties.</p> <ul style="list-style-type: none"> <li>A. Arrange filings in numerical order under county of filing by numerical number.</li> <li>B. Use coversheet template to send all filings electronically to each respective county that has a filing(s) for the day.</li> <li>C. Enter county number, Register of Deeds, and number of pages on the coversheet template.</li> <li>D. By 3:00 p.m. daily send filings electronically to respective counties with receipt confirmation.</li> </ul> <p>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.</p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> </ul>				

	<p>(See Appendix J – Ancillary Databases and Derived Reports Item #3)</p> <p>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.</p>				
Bidder Response:					
UCC-9	<p><b>Charge Accounts and Payments</b></p> <p>The system must accommodate:</p> <ul style="list-style-type: none"> <li>A. Automated Clearing House (ACH) for: <ul style="list-style-type: none"> <li>1. IRS</li> <li>2. Department of Justice</li> </ul> </li> <li>B. Inter Branch Transfer (IBT) for: <ul style="list-style-type: none"> <li>1. Revenue</li> <li>2. Labor</li> <li>3. Motor Vehicle</li> <li>4. Various other state agencies</li> </ul> </li> </ul> <p>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.</p>				
Bidder Response:					

UCC-10	<p><b>Electronic Filer Agreement Process For Online Filing</b></p> <p>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").</p> <p>Bidder should describe how their system provides an Electronic Filer Agreement Process For Online Filing.</p>				
Bidder Response:					
UCC-11	<p><b>Redaction</b></p> <p>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.</p> <p>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.</p> <p>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.</p>				
Bidder Response:					

### **TECHNICAL REQUIREMENTS – EFS Processes/Features**

The EFS System must record, store, and retrieve information related to Effective Financing Statements (EFS) recorded by the Secretary of State. (Appendix G - Lien Types - Action Matrix for UCC & EFS Filings and Appendix H – UCC & EFS Lien Data Fields)

The filing categories of Original Documents; Amendments & Continuations; and Terminations (see Appendix G - Lien Types - Actions Matrix for UCC & EFS Filings) will follow this general workflow.

Current Workflow – This Workflow provides an overview of the daily processing of EFS filings and applies to EFS-1 through EFS-6 below.

- A. For filings received by mail (filings received via Document eDelivery are handled without staff involvement)
    1. Open mail
      - a. Endorse check, verify money received and/or charge account number as indicated on filing.
    2. Review document for statutory and rules & regulations requirements then determine if i, ii, or iii:
      - b. If necessary route for supervisor review and determine next steps
      - c. 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

- d. 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 #		YES	Customization Required	No	Alternate
EFS-1	<p>These criteria apply to the filing types Originals, Amendments &amp; Continuations, Terminations and any other subsequent actions. (See Appendix C – Statutes and Rules &amp; Regulations, EFS, Appendix G – Lien Types - Actions Matrix for UCC &amp; EFS Filings, and Appendix H – UCC &amp; EFS Lien Data Fields).</p> <p>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).</p> <p>The following search criteria must be available in the system in order to look for existing records on file for the following categories.</p> <p><b>A. ModName Calculation</b></p> <p><b>1. Individuals</b></p> <ul style="list-style-type: none"> <li>a. Individual debtors must be explicitly identified as individuals.</li> <li>b. The individual name may contain first, middle and last elements.</li> <li>c. Convert each element of the name (first, middle, last) to uppercase.</li> <li>d. Remove punctuation, accent marks and spaces. Only characters A-Z and digits 0-9 are valid.</li> <li>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”</li> </ul> <p><b>2. Organizations</b></p> <ul style="list-style-type: none"> <li>a. Organization debtors must be explicitly identified as an organization.</li> <li>b. Convert the name to uppercase.</li> <li>c. Replace “&amp;” with “AND”.</li> </ul>				

	<p>d. Remove punctuation and accent marks. Only characters A-Z and digits 0-9 are valid. Note: Any character not in the list of valid characters is replaced with a space (" ") character.</p> <p>e. Remove multiple consecutive spaces which may have been left as a result of the previous step.</p> <p>f. Remove ending noise words as defined in NAC Title 436, Chapter 5.</p> <p>g. Remove any occurrence of "THE" at the beginning of the name.</p> <p>h. Remove all remaining spaces.</p> <p><b>B. Non-Standard Wildcard + Soundex Search (EFS)</b></p> <ol style="list-style-type: none"> <li>1. Must designate debtor as Organization or Individual</li> <li>2. Create a search value using the "modname" algorithm.</li> <li>3. Insert a wildcard character at the end of the First and Middle names (<b>but not the Last name</b>) in the calculated search value. From example above, the search new value would be "Smith John% A%".</li> <li>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%".</li> <li>5. Search <i>EFSDebtor</i> table using a LIKE search of the DebtorNameSoundex column.</li> <li>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.</li> <li>7. The search report will show all debtors/secured parties associated with each lien.</li> <li>8. Only active records are searched.</li> </ol> <p><b>C. EFS Search – Internal Search Only</b></p> <p>For an "EFS" search, the following rules apply.</p> <ol style="list-style-type: none"> <li>1. For a search for individuals, a value must be specified in the "Last Name" textbox else the "Find" button is disabled.</li> </ol>				
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	<ol style="list-style-type: none"> <li>2. All individual data elements (Last, First, Middle and Organization names) are converted to their ModName equivalent before searching.</li> <li>3. When the Soundex option is selected, the Soundex value is calculated from the corresponding ModName value.</li> <li>4. <b>EFS Liens: Default options specified; Wildcard = yes, Soundex = yes</b> <ol style="list-style-type: none"> <li>a. <b>Debtor name</b> <ol style="list-style-type: none"> <li>i. <b>Individual</b> <ol style="list-style-type: none"> <li>a) LastName <b>only</b> has a wildcard appended if the FirstName and MiddleName values are both blank.</li> <li>b) FirstName <b>always</b> has a wildcard appended.</li> <li>c) MiddleName <b>always</b> has a wildcard appended</li> </ol> </li> <li>ii. <b>Organization</b> <ol style="list-style-type: none"> <li>a) OrganizationName always has a wildcard appended.</li> </ol> </li> </ol> </li> </ol> </li> <li>5. <b>Debtor Name – Internal Search only</b> 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.</li> <li>6. <b>Additional Search Options – Internal Search only</b> <ol style="list-style-type: none"> <li>a. Limit to liens filed within a specific Date Range.</li> <li>b. Limit to liens filed by a debtor who resides in a specific City.</li> <li>c. Limit to liens filed by a particular Secured Party. <ol style="list-style-type: none"> <li>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</li> </ol> </li> </ol> </li> </ol>				
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	<p>Organization name.</p> <ul style="list-style-type: none"> <li>ii. Soundex: Performs the search using the Soundex encoding of the ModName of the individual or organization.</li> <li>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 &amp; 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.</li> <li>iv. Any combination of Active, Lapsed or Inactive lien status may be selected.</li> </ul> <p>7. <b>Debtor UIN – Internal Search only – Internal Search only</b> Searches “EFSDebtor” table for debtors having an exact match of the Debtor UIN specified.</p> <p>8. <b>Additional Search Options – Internal Search only</b></p> <ul style="list-style-type: none"> <li>a. Limit to liens filed within a specified Date Range.</li> <li>b. Limit to liens filed by a debtor who resides in a specified City.</li> <li>c. Limit to liens filed by a particular Secured</li> <li>d. Party.</li> <li>e. Any combination of Active, Lapsed or Inactive lien status may be selected.</li> </ul>				
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	<p>9. <b>Secured Party Name – Internal Search only</b></p> <ul style="list-style-type: none"> <li>a. The Secured Party search functions similarly to the Debtor Name search of UCC Liens described above with the following differences:</li> <li>b. Searches are conducted against the SecuredParty table vs. Debtor table.</li> <li>c. All lien classes (except “UCC”) are searched.</li> <li>d. The lien classes are all searched in the same manner. There is no special handling for “Tax” or other lien classes.</li> </ul> <p>10. <b>Original Document # – Internal Search only</b> Searches the “EFSLienMaster” table for a matching original document number. The search is an exact match on the specified document number</p> <p>11. <b>Document # – Internal Search only</b> 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.</p> <p>12. <b>Find Old Term – Internal Search only</b> 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.</p> <p>13. <b>Job History Search – Internal Search only</b></p> <ul style="list-style-type: none"> <li>a. Job # - Finds jobs that match the specified job number. <ul style="list-style-type: none"> <li>i. Wildcard Implied</li> <li>ii. Insert OR</li> </ul> </li> <li>b. Filer/Client Name (Individual/Organization) – Finds jobs that match the specified Individual / Organization.</li> </ul>				
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	<ul style="list-style-type: none"> <li>i. Wildcard Implied</li> <li>ii. Insert OR</li> <li>c. Billing Acct ID – Finds jobs that match the specified Billing Acct ID.</li> <li>d. Original Document # - Finds jobs that match the specified Document Number.</li> </ul> <p>14. <b>Filer/Client Maintenance - Internal Search only –</b>  This form lists every filer entered into the FilerClient table. This table holds filers who conduct frequent business and their name &amp; address information are maintained for quick selection and entry into the job window.</p> <ul style="list-style-type: none"> <li>a. Name – This will locate the first occurrence of the entered name within the list.</li> <li>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.</li> </ul> <p><b>Search Logic</b>  For additional search criteria see Appendix K – Reports and Additional Information – Search Logic Spreadsheet.</p> <p><b>Soundex</b>  This is the standard Soundex encoding algorithm as described here: <a href="https://en.wikipedia.org/wiki/Soundex">https://en.wikipedia.org/wiki/Soundex</a>. 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.</p> <p>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 disclaimer 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'.</p>				
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	<p>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.</p> <p>Effective Financing Statements- (See Appendix H – UCC &amp; EFS Lien Data Fields)</p> <p>The system must provide an API for the external calling of the search modules from Nebraska.gov. The search in EFS replaces “&amp;” 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.</p> <p>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.</p>				
Bidder Response:					
EFS-2	<p><b>Unique Identifier Number</b> 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”)</p> <p>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.</p> <p>Nebraska.gov passes information to the system which generates and</p>				

	<p>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.</p> <p>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.</p> <p>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.</p>				
<p>Bidder Response:</p>					

EFS-3	<p><b>Original Filings</b></p> <p>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 &amp; EFS labeled as Originals. See Appendix H – UCC &amp; EFS Lien Data Fields, and Appendix C – Statutes and Rules &amp; Regulations.</p> <p>Statutory Requirements for Originals can be found in Appendix C – Statutes and Rules &amp; Regulations.</p> <p>Review and Enter Filing Data</p> <p>A. Accept and file</p> <ol style="list-style-type: none"> <li>1. Enter required information for filing. (Refer to Appendix G       <ol style="list-style-type: none"> <li>a. Check for a Debtor and Secured Party data</li> <li>b. Status becomes active</li> </ol> </li> <li>2. Receipt fees (Refer to Appendix F – Accounting Codes and Filing Fees )</li> <li>3. Commit job</li> <li>4. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings</li> <li>5. File Stamp filing (see RTM CB-2)</li> <li>6. Generate letter including explanation of correction and Acknowledgement of Filing. See RTM CB-3</li> <li>7. Send for scanning</li> </ol> <p>B. Decline and reject</p> <p>Return document with rejected system generated letter and fees if collected. Provide a dropdown of all the rejection reasons and the ability to manually add an additional rejection or an explanation. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3</p>				
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	<p>C. Allow ability to correct Original filing and create audit trail.</p> <p>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.</p>				
Bidder Response:					
EFS-4	<p><b>Amendment Filings</b>  Amendments &amp; 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 &amp; EFS labeled as Amendments. See Appendix H – UCC &amp; EFS Lien Data Fields and Statutory Requirements for Amendments can be found in Appendix C – Statutes and Rules &amp; Regulations.</p> <p>Review and Enter Filing Data</p> <p>A. Accept and file</p> <ol style="list-style-type: none"> <li>1. Enter original document number by using the eyeball icon to search and retrieve original filing for update.</li> <li>2. If the filing is lapsed or inactive then reject, if not, continue to step c.</li> <li>3. Enter required information for filing. <ol style="list-style-type: none"> <li>a. Check for a Debtor and Secured Party data or collateral change</li> <li>b. If status is lapsed or inactive Reject</li> </ol> </li> <li>4. Receipt fees or charge account for filing (Refer to Appendix F – Accounting Codes and Filing Fees)</li> <li>5. Commit job</li> <li>6. Calculation of maturity date for original filings (including leap year updates) and assignment of status and action type for filings</li> <li>7. File Stamp filing (see RTM CB-2)</li> </ol>				

	<p>8. Send for scanning or</p> <p>A. Decline and reject Return document with rejected system generated letter and fees if collected. Provide a dropdown of all the rejection reasons and the ability to manually add additional rejections or explanations. Allow selection of multiple reasons. Create rejection notice as indicated in RTM CB-3</p> <p>B. Generate letter (Acknowledgement of Filing). See RTM CB-3</p> <p>C. Allow ability to correct Amendment filing and create audit trail.</p> <p>The bidder should describe and provide screen shots showing how their system handles Amendment &amp; 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.</p>				
<p>Bidder Response:</p>					

EFS-5	<p><b>Terminations</b></p> <p>Terminations are filed to update Original Filings by document number. All can be found in Appendix G – Lien Types – Actions Matrix for UCC &amp; EFS Filings labeled as Terminations. Also see Appendix H – UCC &amp; EFS Data Fields. Statutory Requirements for Terminations can be found in Appendix C – Statutes and Rules &amp; Regulations.</p> <p>Review and Enter Filing Data</p> <p>A. Accept and file</p> <ol style="list-style-type: none"> <li>1. Enter original document by using the eyeball icon to search and retrieve original filing for update.</li> <li>2. If status is lapsed or inactive Reject, if status is active continue to step c.</li> <li>3. Enter required information for filing. <ol style="list-style-type: none"> <li>a. Check for a Debtor and Secured Party data</li> </ol> </li> <li>4. Change lien status to inactive.</li> <li>5. Commit job</li> <li>6. File Stamp filing (see RTM CB-2)</li> <li>7. Generate letter (Acknowledgement of Filing). See RTM CB-3</li> <li>8. Send for scanning</li> </ol> <p>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.</p>				
Bidder Response:					

EFS-6	<p>Filing Committal Times (See Appendix H - UCC &amp; EFS Lien Data Fields)</p> <p>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.</p>				
Bidder Response:					
EFS-7	<p><b>Master Lien List</b></p> <p>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.</p> <p>A. Buyers Registration process takes place and is to be completed from within the BSFS and placing existing buyer information into EFS-4 application template and letter and send in desired electronic or other format to potential buyers. Registration process will be communicated to prior registered buyers or those whom have requested a new registration), but new registrations can be received anytime throughout the year, outside typical registration timeframe (Mid November through December 31). Once application and fees are received by our office, approval or denial determination must be made through staff review. If not all needed information is received, send request for additional information or fees. If approved by staff, Buyer account identification (ID) number must be assigned by system for each buyer. Once ID is assigned, manual data entry is made by staff including: name, address, contact information including email, commodity(s) name and number, statutory Ag liens, and updates requested with commodity code and name as noted on registration to be provided/published to buyer. The system provides a drop</p>				

	<p>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.</p> <p>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.</p> <p>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.</p> <p>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</p>				
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	<p>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.</p> <p>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.</p> <p>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 &amp; regulations as required.</p> <p>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.</p> <p>H. See Appendix M – Master Lien List for more details and summary overview and report formats; Appendix C – Statutes and Rules &amp; Regulations (Sections: UCC/EFS and EFS);</p>				
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	<p>See Appendix J – Ancillary Databases and Derived Reports Item #1 and #2; and Appendix K – Reports and Additional Information.</p> <p>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.</p>				
Bidder Response:					

<b>Common Database Processes/Features</b>					
The system must support a database that stores pertinent information related to Corp, UCC, EFS, and other filings.					
CB-1	<p>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.</p> <p>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.</p>				
Bidder Response:					



NE Sec of State John A Gale - CORP TN  
  
 1001350714 Pgs: 1  
 MADONNA REHABILITATION SPECIAL  
 Filed: 07/22/2015 04:11 PM

Internal:

The filing stamp currently follows the format below for Corp filings accepted into the system from Document eDelivery:

NE Sec of State John A. Gale CORP - CRTD  
 9000168586 - Page 1 of 1  
 NATURALLYCITY, LLC  
 Filed: 08/13/2015 01:34:41 PM

Online:

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.

CCCCCCCCC = 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 01



9915760275-8 Pgs: 1

TROUBA SUZANNE  
Filed: 09/03/2015 05:00 PM

Internal:

NE Sec. of State-UCC  
9815867273-0  
Filed: 09/09/2015 12:08 p.m.  
CHARLES P TOMAN

Online: Pg: 1 of 1

The filing stamp currently follows the format below for EFS filings added to the system internally (by staff):

NE Sec of State AAAA – UCC BBBB  
CCCCCCCCCC  
DDDDDDDDDD Pages:EEEE  
FFFFFFFFFFFF  
Filed: mm/dd/yyyy hh:mm:ss AM/PM)

Where AAAA = Current Secretary of State's Name  
BBBB = Action Comp Code from Appendix G - Lien Types/Actions Matrix.  
CCCCCCCCCC = The barcode reflects the filing type 'UCC' and the filing document number and only used for internal filings. The barcode is generated as a 3 of 9 barcode.  
DDDDDDDDDD = Filing document number  
EEEE = Total number of pages  
FFFFFFFFFFFF = Company Name

NE Sec of State John A Gale - UCC E03



9915760224-1 Pgs: 1

MARI EDWARD E.  
Filed: 09/01/2015 11:15 AM

Internal:

NE Sec. of State-EFS  
9815063498-4  
Filed: 09/09/2015 01:04 pm  
MEINECKE MICHAEL J  
Pg: 1 of 1

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  
FFFFFFFFFFFFFFFFFFFFFFFFFFFF  
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  
FFFFFFFFFFFFFFFFFFFFFFFFFFFF = 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:

<p>CB-3</p>	<p><b>Letters and Templates</b></p> <p>The system must:</p> <ul style="list-style-type: none"> <li>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.)</li> <li>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.</li> </ul> <p>The proposed system must provide the options to the filer of sending the letter and required documents by email, fax, paper, or bulk mailing.</p> <p>When creating acknowledgements, templates, or system notifications spell check functionality and case sensitivity should be available for use.</p> <p>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.</p>				
<p>Bidder Response:</p>					

<p>CB-4</p>	<p><b>Searches and Copy Requests</b></p> <p>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 &amp; 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.</p> <p>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.</p> <p>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.</p> <p>See Appendix D – Certificates, Forms, and Templates. (Start with OPEN ME FIRST document for explanation of folder contents and usage.)</p> <p>The bidder should describe and provide screen shots showing how the system will handle Searches and Copy Requests.</p>				
<p>Bidder Response:</p>					

<p>CB-5</p>	<p><b>External Access</b></p> <p>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.</p> <p>External search and copy requests as well as online filings via the SoS website are currently handled through Nebraska.gov.</p> <p><u>Corporate &amp; Business Search</u></p> <p>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.</p> <p><u>Corporate Document eDelivery</u></p> <p>This service allows users to electronically submit document(s) for filing with the Secretary of State. Customer accounts must be set up on ACH billing in order to complete the transfer of funds due to the Secretary of State.</p> <p><u>Corporate Certificates of Good Standing</u></p> <p>This service allows users to request an electronic certificate of good standing for business entities registered with the Secretary of State. These certificates include a verification ID number for electronic validation. These documents are instantly available and can be viewed in a web browser or printed.</p> <p><u>Corporate Record Searches – Special Requests</u></p> <p>Specify criteria for a search of the Nebraska Secretary of State Corporate Database and receive a file of all matching records.</p>				
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	<p>Information includes: Entity type (nonprofit, LLC, etc.), company name, officer name and principle office address (no phone numbers).  <i>Note: The total number of matches and cost is provided prior to submitting order.</i></p> <p><u>Corporate Records Batch</u></p> <p>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.</p> <p><u>Corporate Searches and Document Images</u></p> <p>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.</p> <p><u>UCC Image Batch</u></p> <p>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.</p> <p><u>UCC Records Batch</u></p> <p>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. <u>UCC/EFS Filings</u></p>				
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	<p>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 <u>UCC Electronic Filing Agreement</u> with the Secretary of State to access this service.</p> <p><u>UCC/EFS Searches and Document Images</u></p> <p>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.</p> <p><u>Special request searches</u> by secured party or debtor location are also available.</p> <p><u>UCC/EFS Special Requests</u></p> <p>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.</p> <p>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.</p>				
<p>Bidder Response:</p>					

<p>CB-6</p>	<p><b>Document Imaging</b>  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.</p> <p><b>Scanning</b>  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.</p> <p><b>Retrieving Images</b>  Criteria for the system include:</p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>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.</li> </ul> <p>Bidder will describe how their system's API handles and processes document imaging, scanning, and retrieval, emphasizing how it improves the current process.</p>				
<p>Bidder Response:</p>					

RTM #	REPORTING/QUERY REQUIREMENTS	Yes	Customization Required	No	Alternate
Rept-1	<p>Bidder should provide samples of the following reports and other standard reports that are available in your system.</p> <ul style="list-style-type: none"> <li>A. Reports by entity type based on active, inactive and lapsed which will included the number filed</li> <li>B. Reports by entity type and/or action based upon a specified date range</li> <li>C. Accounts receivable reports for example daily deposit reports by staff person, audit reports</li> <li>D. Reports by filing type and/or action based upon a specified date range</li> <li>E. UCC AR Reports</li> <li>F. Management reports of staff user processes on a daily, monthly and annual basis. Statistical / Entity reports</li> <li>G. Online and internal filings separate and combined status report</li> <li>H. Daily report of monies processed for invoice receipt types listed below. <ul style="list-style-type: none"> <li>1. Cash, Credit Memos, Checks, ACH, IBTs</li> <li>2. Transaction Report for payments received by type, funds, and amount.</li> </ul> </li> </ul> <p>Annually</p> <ul style="list-style-type: none"> <li>Commercially Audited company financials</li> <li>Business Plan</li> <li>Data center comprehensive annual certification</li> </ul> <p>Quarterly</p> <ul style="list-style-type: none"> <li>Management Report - progress reports on projects under way, and various marketing efforts. Statistical reports must be provided on Portal traffic and hit counts</li> <li>Business plan assessment to include number of hours spent on revenue-generating vs. non-revenue generating projects (work by project) and anticipated projects over the next</li> </ul>				

	<p>quarter (same breakdown)  Financials outlining volume and revenue details for each service  Disaster recovery test results  Results of external and internal scans on the entire infrastructure</p> <p>Monthly  Monthly Uptime report  Monthly Response time report  Project priority report</p> <p>Bi-weekly  Project status reports</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>				
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Bidder Response:					
Rept-2	<p>The bidder should provide samples of reports that identify:</p> <ul style="list-style-type: none"> <li>• EFS and UCC Terminations with Possible Incorrect Status</li> <li>• EFS and UCC Continuations with Possible Bad Maturity Dates</li> </ul> <p>See Appendix J - Ancillary Databases and Derived Reports</p>				
Bidder Response:					

<b>SOFTWARE DESIGN REQUIREMENTS</b>					
SD-1	Describe how your proposed software adheres to all standards, policies, guidelines, and bulletins issued by NITC and the OCIO relative to participation in the use of the State's central computing and telecommunications facilities. Describe your understanding of the NITC standards and acknowledge your willingness to follow these standards.				
Bidder Response:					
SD-2	Describe your change management processes and how the State will be included in these processes.				
Bidder Response:					
SD-3	Describe your understanding of the State of Nebraska Records Retention Schedules standards and describe how those standards are, or can be, incorporated into the software. (See Appendix L – Retention Schedules.)				
Bidder Response:					

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<b>CUSTOMER PAYMENT AND ACCOUNTING PROCESSING REQUIREMENTS</b>					
CPP-1	<p>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.</p> <p>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.</p>				
Bidder Response:					
CPP-2	<p>Payment Security Online security consistent with online payment card industry standards, specifically, the Payment Card Industry's Data Security Standards ("PCI DSS") is required.</p> <p>The bidder should describe and provide screen shots showing the system's online security for acceptance of payment by credit/debit card.</p>				
Bidder Response:					
CPP-3	<p>Accounting The system should allow:</p> <p style="padding-left: 20px;">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,</p>				

	<p>either system generated or by staff, based on number of days account is in arrears.</p> <ul style="list-style-type: none"> <li>B. Record fees, collect fees, or charge to appropriate account number and receipt payments (full or partial) received on account.</li> <li>C. Prepare deposit for funds receipted the previous day to be sent to the accountant for PFC deposit. See RTM CB-5</li> <li>D. Bill accounts with balances monthly (electronically, faxing or mailing) assigning an invoice number</li> <li>E. The ability to create and apply partial/in full credit memos.</li> <li>F. The ability to search and retrieve by invoice number.</li> <li>G. The ability to run reports and generate statements.</li> <li>H. The ability to override a fee and the ability to accept overpayment.</li> </ul> <p>Describe the system's accounting, receipts, and audit trail for new and existing accounts.</p>				
Bidder Response:					
CPP-4	<p>Interface with PFC</p> <p>At end of day:</p> <ul style="list-style-type: none"> <li>A. Each staff member must balance their receipts (Jobs) with batch total for the day.</li> <li>B. On the day after filing, prepare payments for deposit <ul style="list-style-type: none"> <li>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)</li> <li>2. General Document is generated to collect and combine the</li> </ul> </li> </ul>				

	<p>information in each Batch Post Report to accompany the deposit and verify the totals.</p> <ol style="list-style-type: none"> <li>3. The system must be able to store and retrieve object code and fund code for fees. Some fees are split between codes.</li> <li>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.)</li> </ol> <p>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.</p> <p>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</p> <p>E. The system must allow payments of cash, check or charge going into the BSFS. (See Appendix I - Accounts Receivables Ancillary Database)</p> <p>F. The system must allow for tracking and follow through of returned payment(s).</p> <p>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.</p>				
<p>Bidder Response:</p>					

CPP-5	<p>Cash Change Drawer</p> <p>The system should:</p> <ul style="list-style-type: none"> <li>A. track cash change drawer additions and withdrawals by user</li> <li>B. track continuous balance</li> <li>C. provide receipt to be included in Acknowledgement of filing, to include type and amount of payment received.</li> </ul> <p>The bidder should describe and provide screen shots showing your system's ability to handle a Cash Change Drawer.</p>				
Bidder Response:					

**PROJECT PLANNING AND MANAGEMENT, DATA CONVERSION, AND TRAINING PLAN**

The contractor must assign a Project Manager who has been involved in the implementation of systems similar to the proposed system and shall provide a full Project Management Plan within ten (10) business days after the contract is awarded for review by, and discussion with, SoS.

RTM #	Project Planning And Management	Yes	Customization Required	No	Alternate
PPM-1	<p>An Initial Project Management Plan should be outlined in the bidder's proposal and should provide:</p> <ul style="list-style-type: none"> <li>A. Project Approach Statement</li> <li>B. Scope of Work Document</li> <li>C. Work Breakdown Structure</li> <li>D. Project Schedule</li> <li>E. Milestones and Deliverables Statement</li> <li>F. Risk Assessment and Risk Mitigation Strategies</li> <li>G. Resource Plan</li> <li>H. Implementation Plan</li> <li>I. Conversion Plan</li> <li>J. Change Control Plan</li> <li>K. Communication/Coordination Plan</li> </ul>				

	L. Project Acceptance and Signoff Form M. Project Closeout and Lessons Learned Processes.				
Bidder Response:					
PPM-2	<p><b>Data Conversion</b> Conversion will be done for the following:</p> <p>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.</p> <p>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.</p> <p>Bidder should propose a Conversion Plan that includes all tasks involved in accomplishing the conversion.</p>				
Bidder Response:					
PPM-3	<p>A. Training Plan, including training schedule, will provide for:</p> <ol style="list-style-type: none"> <li>1. user training for SoS staff and administrators</li> <li>2. technical training and documentation</li> <li>3. provision of a User Manual</li> <li>4. additional training for SoS users when services are enhanced or modified.</li> </ol> <p>Bidder should outline and provide a Training Plan.</p>				
Bidder Response:					

## Form A.2

### Optional Features Matrix (OFM)

#### Request for Proposal Number 5301Z1

Each of the items in the Optional Features Matrix in the table below allows a response of one of the following options: “Yes”, “Customization Required”, and “No”. If offering any of these optional features, bidders should respond to the Optional Features Matrix using the matrix format.

The OFM offers the bidder an opportunity to describe how their product can provide any of these features as part of their proposed solution and/or integrate such features at a later date.

The Bidder Response box should be completed if the response to the feature is “Yes” or “Customization Required”. **Bidders should provide responses directly in the matrix, using as much space as needed.** Below is a brief definition of each response option.

Yes	Yes, feature is available and demonstrable in the current release of the proposed solution in the bidder’s response to this RFP, without manipulation of fields, forms, or the need to add fields or tables to the system.
Customization Required	The feature is not currently included in the proposed solution but the requested functionality can be provided with some customization to fully meet the request.
No	No, the bidder is not offering this feature currently nor in the future in conjunction with this proposal.

OFM	Optional Feature	Yes	Customization Required	No
Notary/ eNotary	<p><b>Notary/eNotary Public Component</b> See Appendix C - Statutes and Rules &amp; 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 &amp; regulations will also be drafted to support the details for this new legislation.</p> <p>Bidder should describe the Notary/eNotary component/module of your system and how it works with the proposed BSFS.</p> <p>Describe how you would integrate, configure, and convert existing notary information to include your Notary/eNotary module in the proposed BSFS.</p> <p>Describe how you would integrate, configure, and convert existing notary information to include your Notary module in the proposed BSFS.</p>			
Bidder Response:				
Additional Filings and Images	<p><b>Additional Filings and Images</b> The State may desire, at a future time, to add filing data and images of past filings which are not in the current system.</p> <p>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.</p>			
Bidder Response:				
Preferred Name	<p><b>Preferred Name Availability Process</b> In addition to the required Name Availability basic process, a Preferred Name</p>			

OFM	Optional Feature	Yes	Customization Required	No
Availability Process	<p>Availability process is described in Appendix N - Name Availability Screening</p> <p>Bidder should describe their ability to provide such enhanced Name Availability search process.</p>			
Bidder Response:				
Registered Agent Self-Service	<p><b>Registered Agent (RA) Self-Service</b></p> <p>Currently, registered agents can report address changes for entities they represent to the SoS, then staff updates the RA address.</p> <p>Provide a description of what would be required to allow registered agents to securely access the BSFS and update their address information.</p>			
Bidder Response:				