

State of Nebraska
Department of Banking and Finance



Response to

Request for Proposal

for the

Commercial off the Shelf (COTS) Financial Licensing and Enforcement Software Solution

Option A

Office of the Chief Information Officer (OCIO) Hosted or Cloud Based Infrastructure as a Service (IaaS)

from



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COVER LETTER

Eduloka, Ltd. (dba inLumon)
5375 Kietzke Lane, Suite 150
Reno, NV 89511

January 31, 2019

Nancy Storant, Buyer
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, NE 68508

Dear Ms. Storant,

inLumon is pleased to present this response to the Nebraska Department of Banking and Finance Request for Proposal for Commercial off the Shelf (COTS) Financial Licensing and Enforcement Software Solution. Our firm is uniquely qualified to meet the Department of Banking and Finance's (Department) functional requirements and desired features having similarly implemented credentialing management systems in a wide variety of related disciplines and professional fields including many professional and occupational regulatory agencies in Nevada, California, Louisiana and Wyoming.

inLumon helps dozens of government agencies across multiple certification and licensing disciplines to reduce paper, increase efficiency, and improve customer satisfaction with our unique, web-based licensing framework. Our clients benefit from a highly configurable, commercial-off-the-shelf (COTS) rules-driven database that includes proven operational components, faster implementation schedules, and reduced state risks. We do this with a flexible, rules driven, secure role-based database solution spanning the full gamut of our customer application, licensing and document management processes. With intuitive web portals for agency staff, applicants, licensees, business partners and the public, we provide a complete licensure solution for our customers. inLumon also provides a variety of ad-hoc query tools, reports, interfaces and other components to allow our customers to work within a modern user interface and overcome current challenges in certification reporting management and administration. We actively seek to optimize operations and are poised to easily address future changes inherent in credentialing regulation.

Our Licensing Framework solution will meet the Department's new, single system vision by managing the entire lifecycle of financial licensure and enforcement processes. Our solution tracks an individual's entire career from initial application through licensure approval, renewals, continuing education, administrative review, and historical information. The system provides a user-friendly system that automates complex certification business rules and regulations using a workflow and business rule driven process focused on ease of use and administration. Department stakeholders, business partners and the public will consistently benefit from our modern, intuitive web-based system. We believe our proposal and system can overcome current challenges and empower staff by leveraging our licensing framework's flexible configuration.

inLumon is focused on your business first and assesses the implications of the technology we design, develop, and implement to improve your operation, increase customer satisfaction, decrease operational inefficiencies and reduce overall costs for the Oregon Board of Licensed Social Workers. Our expertise and extensive experience in licensing, permitting and enforcement systems includes a successful implementation track record of implementing our COTS solution across multiple public agencies.



inLumon proposes to utilize our flexible COTS solution and technical depth to develop, customize and implement an Application and Licensing System for the Nebraska Department of Banking and Finance. We consider our staff's experience implementing licensure systems, unique insights and functional understanding of inLumon's Licensing Framework increases our overall chances for success, helps in defining realistic, achievable timelines for the project and in becoming the Department's long-term partner. Experience and industry knowledge are critical in deciding with whom to partner with, and the Department should consider inLumon's great;

- **People** (We have great CLIENTS supported by a team of highly qualified, talented and dedicated professionals. We want to add YOU to our community!),
- **Products** (Our flexible, intuitive LICENSING FRAMEWORK and INSPECTION APP are proven to save agencies time, paperwork and headaches. We anticipate CHANGE. Our solution, agile implementation approach and ongoing support model enables our clients to quickly replace current system(s) and empowers them to easily adapt to future changes.), and
- **Pricing** (We offer highly flexible OPTIONS that reduce risk and overall costs. Each model proposed includes software licensing, dedicated resource(s) providing personalized support.)

The balance of our proposal outlines our approach and plan to migrate the existing data, providing detailed information on fulfilling the Commercial Off the Shelf (COTS) Financial Licensing and Enforcement Software Solution project and business requirements, inLumon's qualifications, and our intuitive, highly configurable COTS licensure solution. In summary, we have the tenure and successful experience implementing application and licensure systems to help the Department implement a new, comprehensive solution to best serve staff, applicants and licensees to ultimately benefit the citizens of Nebraska.

We provide this information in confidence as our pricing, presentation materials and demonstration test sites may not be replicated, copied for any use, disseminated, distributed, or reverse engineered.

inLumon welcomes the opportunity to discuss this proposal, its contents, demonstrate our solution and ultimately partner with the Nebraska Department of Banking and Finance in achieving its strategic objectives.

Thank you,

Nick Aliberti
Business Development Sales Manager
5375 Kietzke Lane, Suite 150
Reno, NV 89511
(775) 400-1351
nick.aliberti@inlumon.com

| | |
|----|---|
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Form A - Bidder Contact Sheet

Request for Proposal Number 5960 Z1

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

| Preparation of Response Contact Information | |
|---|--|
| Bidder Name: | Eduloka, Ltd. (dba 'inLumon') |
| Bidder Address: | 5375 Kietzke Lane, Suite 150 Reno, NV 89511 |
| Contact Person & Title: | Nick Aliberti, Business Development Sales Manager |
| E-mail Address: | nick.aliberti@inlumon.com |
| Telephone Number (Office): | 800-246-0541 |
| Telephone Number (Cellular): | 775-400-1351 |
| Fax Number: | 800-246-0541 |

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

| Communication with the State Contact Information | |
|--|--|
| Bidder Name: | Eduloka, Ltd. (dba 'inLumon') |
| Bidder Address: | 5375 Kietzke Lane, Suite 150 Reno, NV 89511 |
| Contact Person & Title: | Nick Aliberti, Business Development Sales Manager |
| E-mail Address: | nick.aliberti@inlumon.com |
| Telephone Number (Office): | 800-246-0541 |
| Telephone Number (Cellular): | 775-400-1351 |
| Fax Number: | 800-246-0541 |

REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM

By signing this Request for Proposal for Contractual Services form, the bidder guarantees compliance

BIDDER MUST COMPLETE THE FOLLOWING

with the procedures stated in this Request for Proposal, and agrees to the terms and conditions unless otherwise indicated in writing and certifies that bidder maintains a drug free work place.

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

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

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

____ I hereby certify that I am a blind person licensed by the Commission for the Blind & Visually Impaired in accordance with Neb. Rev. Stat. §71-8611 and wish to have preference considered in the award of this contract.

FORM MUST BE SIGNED USING AN INDELIBLE METHOD (NOT ELECTRONICALLY)

| | |
|-------------------------------|--|
| FIRM: | Eduloka Limited (dba inLumon) |
| COMPLETE ADDRESS: | 5375 Kietzke Lane, Ste 150, Reno, NV 89511 |
| TELEPHONE NUMBER: | (800) 246-0541 |
| FAX NUMBER: | (800) 246-0541 |
| DATE: | January 24, 2019 |
| SIGNATURE: | <i>B. Kavitharaj Basavaraj</i> |
| TYPED NAME & TITLE OF SIGNER: | Kavitharaj Basavaraj, President |

CORPORATE OVERVIEW

BIDDER IDENTIFICATION AND INFORMATION

inLumon (a DBA of Eduloka, Ltd.)

Headquarters located at: 5375 Kietzke Lane, Suite 150, Reno, NV 89511

Eduloka Limited is an LLC, incorporated in the State of Nevada on January 29, 2010.

FINANCIAL STATEMENTS

As a privately held company, inLumon considers financial information confidential and has provided the requested statements in an attached sealed envelope. Other financial information includes:

| | |
|---|--|
| Company name: | Eduloka Limited DBA inLumon |
| Ownership (sole proprietor, partnership, etc.): | LLC |
| State of incorporation: | Nevada; Wyoming |
| Date of incorporation: | 01/29/2010; 12/30/2016 |
| Location of company headquarters: | 5375 Kietzke Lane, Suite 150, Reno NV 89511 |
| Location(s) of the company offices: | 9645 Gateway Drive, Suite A Reno, NV 89521 |
| Number of employees/consultants | 18 |
| FEIN # | 45-3361278 |
| Dun & Bradstreet # | 01-405-1691 |

inLumon has established and ongoing relationships with government regulatory agencies, state licensing boards and commissions in Nevada, Wyoming and California since 2014. inLumon has also been providing technology services to private sector clients since 2010. Contract values include:

Nevada Department of Education - Teacher Licensure
Implementation Contract Amount: \$609,835.16
Annual Maintenance: \$144,000.00

Nevada Office of Workforce Innovation
Yearly O&M Contract Amount: \$427,129.00

Wyoming Professional Licensing Boards
Implementation Contract Amount: \$351,000.00
Annual Maintenance: \$39,000.00

California Massage Therapy Council
Implementation Contract Amount: \$265,000.00

inLumon's growing list of public sector clients include:

| Client | Project |
|---|---|
| Alabama State Board of Professional Engineers and Land Surveyors | Current Implementation of Licensing and Enforcement System |

| | |
|--|---|
| California Massage Therapy Council | Replacement of Licensing, Investigation and Legal Application |
| Louisiana State Board of Medical Examiners | Implementation of Licensing Application for medical and Allied Health professions |
| Nevada Department of Education | Implementation of Educator Licensing Application |
| Nevada State Board of Cosmetology | Mobile Inspection Application |
| Nevada State Board of Dental Examiners | Licensing Application implementation |
| Nevada State Board of Dispensing Opticians | Implementation of Licensing Application |
| Nevada State Board of Examiners for Speech-Language Pathology, Audiology and Hearing Aid Dispensing | Implementation of Licensing Application |
| Nevada State Board of Funeral & Cemetery Services | Implementation of Licensing Application |
| Nevada State Board of Massage Therapists | Replacement of Licensing, Enforcement and Cash Management Application |
| Nevada State Board of Nursing | Online Renewal application and maintenance of existing database |
| Nevada State Board of Pharmacy | Implementation of Licensing Application and Online Renewals |
| Nevada State Board of Physical Therapists | Implementation of Licensing Application |
| Nevada State Board of Professional Engineers and Land Surveyors | Replacement of Licensing and Enforcement Database Implementation of Online Application |
| Nevada State Board of Veterinary Medical Examiners | Implementation of Licensing Application |
| Nevada Transportation Authority | Implementation of Driver Permit Application |
| Wyoming Board of Certified Public Accountants | Implementation of Licensing Application |
| Wyoming Professional Teaching Standards Board | Implementation of Licensing Application |
| Wyoming Real Estate Commission & Certified Appraisers Board | Implementation of Licensing Application |
| Wyoming State Board of Professional Engineers and Professional Land Surveyors | Implementation of Licensing Application and Online Services |
| Wyoming State Professional Licensing Board | Implementation of Licensing Application for multiple (18 and growing) professions |
| Wyoming Water Well Contractors Licensing Board | Implementation of Licensing Application |

CHANGE OF OWNERSHIP

inLumon does not anticipate any change in ownership during the twelve (12) months following the RFP due date.

OFFICE LOCATION

inLumon's headquarter office, located at 5375 Kietzke Lane, Suite 150, Reno, NV 89511, is the location responsible for performance pursuant to any contract awarded by the State.

RELATIONSHIPS WITH THE STATE

inLumon has recently received an Intent to Award letter from the Nebraska Department of Education for implementation of an Educator Licensing System. At the time of this response submission, inLumon is in active contract negotiations with the Nebraska Department of Education.

BIDDER'S EMPLOYEE RELATIONS TO STATE

No employee of inLumon is or has been an employee of the State within the past eighteen (18) months.

CONTRACT PERFORMANCE

inLumon has not had any contract terminated for default, convenience, non-performance, non-allocation of funds, or any other reason in the past three (3) years.

SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

inLumon acknowledges that the Nebraska Department of Banking and Finance is on the threshold of a huge modernization effort and that having a partner with deep knowledge of regulatory processes, technology and project management will provide a tremendous benefit. We provide certainty and reliability to our clients as their IT services, consulting, and business solutions partner.

With our deep understanding of and hands-on experience with Licensing and Enforcement Systems, we are confident that inLumon is a low risk and qualified vendor. We deliver technology that enables your agency to succeed. After all, experience and industry knowledge make a difference in interpreting and meeting requirements, and inLumon always focuses on your business first and assesses the long-term implications of the technology we design, develop, and implement. inLumon has a long-standing commitment to the regulatory boards we serve and has significant, relevant knowledge that we can bring to the Nebraska Department of Banking and Finance to improve service, increase efficiencies, and reduce costs and risk.

Headquartered in Reno, NV, inLumon delivers technology services and accelerates growth for clients by solving complex business challenges with breakthrough technical innovations. inLumon has heard from a number of clients and other agencies who tell a similar story— how they invested a great deal of time and money into working with vendors that focused on process more than outcomes. Common terms like 'Best Practices' and 'Structured Approach' have been tossed around, all the while agency staff are tasked with documenting their system by detailing step-by-step what the system needs to do then making decisions and signing deliverable documents about a system that they have yet to work with. Continuing to hear these stories, inLumon learned that project after project, these vendors failed—failed to deliver a working system, failed to deliver a system that met client needs, and failed to meet agreed upon deadlines. Yet vendors didn't fail to bill their clients—and these "non-systems" were not cheap. At inLumon, we vowed to be different and demonstrate that by:

- Building upon a proven licensing system framework while constantly developing new functionality requested by our clients. This provides a stable, base system that can be replicated quickly—

functionality is added when requested from the licensing user community. Many of our clients begin verifying their migrated data in their new inLumon system within two to six weeks after contract execution and reviewing/testing their applications shortly thereafter.

- Collaborating and communicating with our clients throughout the entire implementation process—meeting frequently to assess progress and coordinate activities. A key to successful project management is to repeat what works and avoid what does not. To that end, we work closely with our clients to ensure all requirements are met without adding workload to them or the unnecessary formalities of hard-to-follow, rigid processes. At inLumon, we share a common, secure environment with our clients to identify / track all requirements and business rules necessary to meet their needs. We then use this list of requirements to plan and manage our work, giving both the client and inLumon requirements traceability throughout the implementation in a collaborative environment.
- Using our Licensing Framework, inLumon is able to provide a User Acceptance Testing (UAT) area for our clients almost immediately following project ‘kick-off.’ This allows our clients to begin working in their new system, using their own data and identifying where changes to the system are needed. This approach not only helps our clients build a system that meets their needs, it also teaches our client every aspect of how the system works. Our clients get to understand their new system in detail, become comfortable with the system, and train their staff prior to Go Live - thereby reducing the need for expensive training sessions at the last minute.
- Working with our clients during requirements definition, assisting in the preparation and testing of the new system provides client opportunities for hands-on virtual and on-site training/tools. This helps our clients feel better prepared and knowledgeable about the system they will be using. Users feel invested in their new systems because inLumon ensures they are included in every step of the implementation process. ‘Pride of Ownership’ results from this level of client involvement in the process. inLumon is available to further discuss, demonstrate our solution and provide options for consideration.

Previous projects similar to the proposed Nebraska Department of Banking and Finance’s COTS Financial Licensing and Enforcement Software Solution include:

1) Nevada Department of Education

- a. Time period for project: 5/17 – 8/19
- b. Scheduled / Actual completion dates: May 1, 2017 to present
- c. inLumon’s responsibilities: inLumon was contracted to develop, customize, and implement an Educator Licensure System including data migration for the Department of Education. The implementation project is on schedule to be completed by the estimated end date of the project and within the original budget / cost proposal, which will be followed by ongoing support and updates to the solution.
- d. Contact: Jason Dietrich, Office of Educator Licensure Director, (702) 668-4328, jdietrich@doe.nv.gov
- e. inLumon performed the aforementioned work as the prime, and only, contractor.

2) Nevada State Board of Pharmacy

- a. Time period for project: 6/18 - present
- b. Scheduled / Actual completion dates: June 2018 – October 2018 Licensing system implementation including online renewals and support are ongoing.
- c. inLumon’s responsibilities: inLumon was originally contracted to provide online renewal

capabilities with ongoing support.

d. Contact: Kris Mangosing, 775-850-1440, kmangosing@pharmacy.nv.gov

e. inLumon performed the aforementioned work as the prime, and only, contractor.

3) Wyoming Board of Professional Engineers and Professional Land Surveyors

a. Time period for project: 2/17 – 6/23

b. Scheduled / Actual completion dates: February 15, 2017 - present

c. inLumon's responsibilities: New contract was awarded to provide functionality assessment, data migration, design, development, implementation, maintenance and support of a new Licensing Application. The online renewal and staff back office portal was completed on time and implemented. Other functionalities of the initial implementation and support of the application are in progress and on schedule to be completed by the estimated completion date within budget.

d. Contact: Shannon Stanfill, Executive Director, (307)777-6155, Shannon.Stanfill@wyo.gov

e. inLumon performed the aforementioned work as the prime, and only, contractor.

SUMMARY OF BIDDER'S PROPOSED PERSONNEL/MANAGEMENT APPROACH

For inLumon, implementation starts on the first day of the engagement and finishes only when our customer is completely satisfied with the solution that we have implemented. Our implementation management approach focuses on achieving project and organizational objectives – implementing and maintaining the management framework needed to sustain collaborative relationships, and institutionalizing processes and procedures needed to meet the planned schedules while producing a quality product. It also includes the rigorous monitoring and measurement necessary to mitigate the risks associated with all large system implementation efforts.

At inLumon, we understand that just having the required tools, frameworks, methodologies and so on in itself cannot translate to a successful project - we need a capable and experienced project delivery team, too. We strongly believe our tailor made approach and the consolidated experience of inLumon's team to the Nebraska Department of Banking and Finance's advantage.

For this project, inLumon an industry-leading team of individuals with significant experience and expertise in implementing Licensing and Enforcement Systems. Furthermore, our unified team will work collaboratively with Department project stakeholders as a well-informed, well-coordinated, and highly skilled team proven to work effectively together from the start. We believe no other team can offer the Licensing and Enforcement System domain expertise, capabilities and know-how we have built into our team.

Partnership, Professionalism, and Teamwork - While project performance is often measured in terms of meeting contractual obligations, stated project metrics, or specific deliverables, inLumon also measures success in terms of end user satisfaction and stakeholder delight with the solutions and work we have delivered. We take immense pride in our results and apply our simple management principles when we engage in any implementation to ensure satisfaction.

PRINCIPLE

1

Management Principle 1: Collaborate – Manage in Partnership

inLumon recognizes the fundamental need to build a strong partnership with our customers. Because a partnership depends on open and effective collaboration, inLumon employs management techniques based on focused values promoting open, timely, and forthright communications. inLumon's collaborative approach results in a synergy between the various customer participants and the inLumon Team. We build on an environment of mutual trust and respect enabling all to effectively implement the solution.

PRINCIPLE

2

Management Principle 2: Flexible Yet Robust – A Customer-Centric Management Approach

Applying inLumon's customer-centric implementation management approach to our technical services results in solutions specifically designed around the specific requirements and needs of our customers.

PRINCIPLE

3

Management Principle 3: Communicate – Provide Visibility into the Project

Our collaborative implementation approach is successful only if a strong commitment is made to establishing an open and comprehensive communication channel between the stakeholders from the customer and the inLumon teams. A robust communication plan ensures that all stakeholders and constituencies are duly informed and consulted on all matters related to the implementation.

PRINCIPLE

4

Management Principle 4: Leverage Lessons Learned and Previous Experience

By leveraging inLumon's enterprise Project Management experience, every project benefits from the success of previous projects. With this support, we ensure all implementations maintain the highest level of quality.

PRINCIPLE

5

Management Principle 5: Start with the Implementation Plan – End with Success

inLumon begins with developing and finalizing an implementation plan where everyone—staff, management, and especially sponsors and stakeholders—are in concurrence, enabling inLumon to build on this blueprint for successful implementation.

PRINCIPLE

6

Management Principle 6: Manage Proactively

inLumon's implementation team proactively manages efforts by conducting regular project status reviews for each milestone and task—to ensure that we are on schedule. inLumon pays particular attention to tasks that have begun or finished late, evaluating potential trends that suggest the need to adjust resources or approach to keep the project on track. Issues are either resolved or escalated weekly, which continues the steady progress for achieving the required milestone. All deliverables go through a rigorous quality assurance process to ensure that our customer gets the best quality. inLumon uses a collaborative customer approach to ensure that nothing is left to chance for project success.

inLumon's Project Management Framework follows industry accepted best practices for project management based on the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK®). inLumon employs PMI certified Project Managers who apply deep knowledge, leverage past experiences and lessons learned, and utilize industry accepted project management tools and techniques to monitor and control implementation activities. We do this on all projects to meet or exceed our customer's project needs and objectives.

The inLumon approach to staffing and project organization is built upon a belief that ensuring success in implementing licensing database systems starts with market focus. It is very difficult for any vendor to view it as just another systems integration project. It is very important that the company creates a focused application practice. inLumon hires the best industry talent to lead our technology practice. This team has successfully created the human resource talent structure essential for successful technical solution delivery.

The inLumon team possesses qualified staff with extensive, relevant technical knowledge and capabilities necessary to execute this project. We also bring a capable management leadership team that has the skills and experience to make the project a success for BLSW's stakeholders. Leveraging best practices and lessons learned from previous professional licensure and enforcement system implementations and other large, enterprise wide system implementation projects, the inLumon leadership team's focus is on delivering project to the Board's specifications. The proposed individuals are proven leaders; each experienced in delivering large solutions using the technologies and tools prescribed in the RFQ. Individually, the members of our team are highly qualified for their assigned roles; collectively, their expertise provides the skills, knowledge, and proven performance needed to deliver the database replacement project. Consider the following highlights of inLumon's proposed Project Principals:

- *Strong Project Management and Program Governance* – key for Project Success, and hence inLumon has proposed to utilize a Strong Project Manager to manage Project Tracking, Planning, Communication and Customer Satisfaction.
- *Solution Management* - led by an industry veteran
- *Executive Management* - promising to pay frequent visits to BLSW to ensure the project is tracked at the highest level. This project is as important to inLumon as it is important to the Board.
- *Dedicated Advisors* – Solution Architect and Project Manager cater the best of the breed business transformation roadmap
- *Deep Functional Expertise* - The Project Principals named in this proposal bring more than many years of domain, technology, business process consulting, solution conceptualization, system development, database implementation and integration experience.
- *Experienced Personnel* - Project Principals proposed have worked on similar, successful database implementation projects.
- *Technical Expertise* - Our proposed technical and functional resources have extensive experience working with the prescribed business processes, technology and tools.

We are confident that the Project Principals meet or exceed required staffing qualifications, as reflected by their resumes provided on the following pages.



Tuhin Verma

Solution Architect and Implementation Lead

VISIONARY, EXPERIENCED, RESOURCEFUL & TECHNICALLY PROFICIENT

My relevant experiences in Information Technology, State Government, software development and implementation as well as project management for different organizations have provided me with a solid foundation for growth, both personally and professionally. I am technically proficient and enjoy providing technical solutions for my clients. Proven skills include:

Project Management | State Government | Finding Technical Solutions | Goal-Oriented focus!

SUMMARY of RELEVANT EXPERIENCES

- Strong problem-solver, Solutions-oriented and Results-driven Information Technology professional with more than twenty years of experience in IT industry, managing and delivering projects of different size and complexity using multiple technologies
- Experience building interaction and collaboration in a highly cross- functional environment; advocating organizational ideas and positions effectively; influencing and negotiating successfully across organizational boundaries including: peers, team members, executive management
- Proven success acquiring and retaining talent needed to reach goals; providing stretch assignments, coaching and feedback to reports to enhance their effectiveness and potential. Imparted strong quality orientation, responsibility and accountability to the development team
- Strong problem-solver with solid background in managing and architecting projects to implement business and technology solutions using Client-Server, Web and Service Oriented Architecture
- Experience with Agile development methodologies, Scrum project management techniques and Software Development Lifecycle methodologies
- Experience developing and creating training, test plans, roll out plan and policy and procedures
- Experience representing the State agencies at the Board of Examiners meeting, at the Budget hearings, meeting with the LCB Analyst, meeting with the US Department of Education representatives
- Current PMI certification (PMP Credential earned in Jan 2007) with experience in applying the PMBOK. Experience and knowledge of the PMBOK Project Management Process Group and Knowledge Areas
- Experience using Microsoft productivity tools like MS Project for developing detailed project timeline, Visio, Word, Excel, SharePoint, PowerPoint
- Course work from Software Engineering Institute (SEI), Carnegie Mellon, Pittsburgh, PA on Software Architecture Principles and Practices and Documenting Software Architecture
- Hands-on development experience in multiple technology (IBM Mainframe, Oracle, Microsoft) and quick learner that rapidly adapts to emerging technologies and business process

EXPERIENCE

inLumon (2013-present, Reno, Nevada)

Solution Architect and Implementation Lead

In this pivotal role, I:

- Worked on the implementation of Educator Licensing Application Framework and implementation of the Licensing System for many boards as a Technical Lead including Nevada Department of Education Licensing System implementation
- Worked with the technical team and client team to review the requirements
- Provided overall project management, business requirement gathering and documentation of the Statewide Longitudinal Data Systems (SLDS) implementation for the Nevada Department of Education (NDE) in collaboration with the Nevada System of Higher Education (NSHE) and the Department of Employment Training and Rehabilitation (DETR). The project implementation was completed ahead of schedule and under budget

- Developed detailed project plans with timelines, resource allocation, activity sequencing, critical path and cost allocation. Management of the project plan to track project schedule and cost to completion
- Worked with the System Analyst on the Feasibility Study Report to include Cost Benefit and Return on Investment to the partner agencies and to the public
- Organized and coordinated meetings with stakeholders, business and technology groups, leadership team, external entities, partner agencies, project team and other entities as required. Documented and followed up on the meeting minutes, questions, issues, and risks
- Developed the Test Plan and Test Scripts for the User Acceptance Testing (UAT) and Load Testing. Participated in the UAT with the client to ensure the product works as per the requirement

Nevada Department of Motor Vehicles (2012 to 2013, Carson City, Nevada)

Consultant

In this key role, I:

- Worked as a Consultant to DOE, NV on the CDLIS Modernization project. Responsible for the technical delivery of the interface. Interface involves exchanging data with Law Enforcement and a federal agency
- Created Requirement document and technical documentation. Provided high-level consultation and training to the team
- Managed the development task and testing coordination with different Federal agencies and State of Nevada agencies for exchanging information
- Worked closely with different stakeholders to plan, define, and scope the requirement
- Implemented improved procedures and standards to significantly reduce the data validation error rate and improved the data quality when exchanging information

Hewlett Packard (2009 to 2012, Trenton, NJ)

In this key role, I:

- Managed delivery of 60 interfaces (internal and external) for exchanging data with different external entities, state agencies and federal agencies as part of NJ MVC modernization project.
- Managed the Data Bridging effort, reverse flow of data to legacy system and forward flow of data from the legacy to the system being developed.
- Worked with the Database team on the data architecture and data modeling.
- Worked on individual matching and address matching systems with the data architecture team
- Interface architecture and design using Microsoft, Oracle and JAVA technology
- Managed the deployment of the application in system test mode
- Worked with the Vehicle Registration and Driver License team as a functional analyst
- Responsibilities includes Business requirement gathering and documentation, System architecture design, research and evaluation of various alternatives, overall project management, encompassing estimation and planning, working with various business units, interacting with users for defining the project requirements, managing relationship with external entities and third-parties, defining project deliverables, risk management, quality management, execution, technical review, progress monitoring, program documentation, user training and ensuring seamless delivery of the software solution as per the requirements
- Managed cross functional team of internal and external partners, dependencies & stakeholder expectations, relationship with external entities and third-parties
- Created Requirement document and technical documentation. Provided high-level consultation and training to the team
- Worked closely with different stakeholders to plan, define, and scope the requirement
- Implemented improved procedures and standards to significantly reduce the data validation error rate and improved the data quality when exchanging information

Nevada Department of Motor Vehicles (1999-2008, Carson City, Nevada)

Consultant

As a consultant for the DOE, my role included:

- Working on system integration and framework development and NDOE modernization projects
- Documenting user requirements

- Developing common functions/ modules for Driver License functionality
- Providing support for Production & Go live phases of implementation

EDUCATION

Bangalore University, Bangalore, Karnataka ~ Bachelor of Engineering (Mechanical Engineering)
Project Management Institute ~ Project Management Professional (PMP) certification (since 2007)
Nevada Certified Public Manager

HARDWARE/SOFTWARE SUMMARY

| <u>Category</u> | <u>Description</u> | <u>Experience (Years)</u> |
|-----------------|--|---------------------------|
| Environments | Windows 20xx Server / UNIX / LINUX | 18 |
| Hardware | Intel based servers, PCs, Windows, Sun, IBM servers | 18 |
| Software | Microsoft Technology (ASP .Net, C#, VB .Net) | 25 |
| | AngularJS, COBOL, JCL, VSAM, CICS | 14 |
| | JAVA, Microsoft Dynamics | 3 |
| Tools | Microsoft Visio, Microsoft Project, Microsoft Office | 15 |
| | Message Broker, IBM Business Process Manager | 3 |
| | Team Foundation Server (TFS), Visual Source Safe (VSS) Rational Rose | 10 |
| Databases | DB2 | 12 |
| | SQL Server 2000/2005/2008/2012/2014, MySQL | 15 |
| | Oracle 8i/9i/10g/11g/12c | 7 |

REFERENCES

Name: *Glenn Meyer*
 Title: *IT Director*
 Organization: *Nevada Department of Education*
 Phone Number: *(775) 687-9126*
 Email Address: gmeyer@doe.nv.gov

Name: *Will Goldschmidt*
 Title: *Program Manager*
 Organization: *DB Driven, Inc.*
 Phone Number: *(540) 419-5922*
 Email Address: will@dbdriven.net

Name: *Mary Harmon*
 Title: *Chief IT Manager*
 Organization: *Nevada Department of Employment, Training and Rehabilitation*
 Phone Number: *(775) 684-3943*
 Email Address: mwharmon@nvdetr.org



Chris M.
Project Manager

EXPERIENCED, DEPENDABLE, CONSISTENT & RESOURCEFUL

My experiences in Information Technology, State Government, business development, software development and implementation as well as project management from Fortune 100 corporations to small start-up companies have helped me mature personally and expand my roles professionally. I am genuinely interested and excited to learn the business needs and struggles my clients experience as well as collaborating on finding the right solution for them. I consider myself a team player and strive to make those around me rise to the challenge. Proven skills include:

Project Management | Business Development | Effective Communicator | Demonstrated Collaborator | Bridging the gap between business users and IT Technical Staff | Positive & Can-Do Attitude!

SUMMARY of RELEVANT EXPERIENCES

Chris is PMI/PMP certified, with more than twenty-five years in program / project management and applications support. Successfully led project / support teams – from requirements definition, development through implementation and finally ongoing support. This work included changes to COTS solutions as well as ground up application development projects – delivering value-added solutions to major organizations. Proficient in multiple project management, requirements engineering, and system development disciplines, including PMBOK, DSDM, Agile, and Use Cases, with years of experience defining, documenting, and managing requirements and in process reengineering for both IT and non-IT corporate and State Government projects.

- Strong project management, product line development, operations and applications support.
- Excellent management skills working with State and Local Governments
- Expert at establishing and building strong customer relations, including all aspects of project development and implementation, as well as designing software solutions to meet client needs and ongoing applications support.
- Proficient at development of realistic plans, goals and aligning plans with company goals, managing resources and creating contingency plans.
- Proven track record managing / directing multiple project teams involved with system design, maintenance of existing systems and system conversions.
- Experience in engineering sales, account management and managing customer satisfaction.
- Ability to work independently and as part of a marketing and technical team.
- Extremely well versed in software development lifecycle (Agile and Waterfall) and custom development solutions.
- Self-Motivated and Results-Focused IT professional with more than 40 years of cross-industry experience using a wide spectrum of technologies and methodologies

inLumon (2016-present, Sacramento, CA and Nampa, ID)

Vice-President and Director of Project Management

Program Manager for various Licensing System implementation project, including Nevada Department of Education, Wyoming Professional Teaching Standards Board, Wyoming Professional Licensing Board. Responsible for the daily management of project team consisting of Business Analysts and Developers and Testers.

Responsibilities:

- Management of all phases of client service projects in areas of information technology and business systems engineering

- Defined and documented business requirements and business processes
- Developed project plans identifying key dates and resource requirements for the following projects.
- Assembled and directed project teams
- Defined and controlled project budgets of overall project
- Create and achieve deliverable signoff status and initiate invoicing process
- Tracked key milestones and adjusted project plans accordingly
- Prepared and delivered reports and recommendations (Weekly, monthly and Executive Quarterly)
- Identify and manage issues and risks as well as Change Control Process
- Worked with Third Party companies and internal IT Departments to coordinate project systems testing, installation and support

Pacific Project Management, Inc. (2005-2017, Sacramento, CA)

Senior Project Manager and acting President

This IT services company provided various IT services to private companies as well as the State of California.

My role included:

- Obtaining California Small Business Certification, CMAS and IT MSA approved vendor status
- Developed and maintained hardware/software network and servers for enterprise
- Responsible for all business development and corporation branding/marketing
- Proposed and won several private industry and State of California contracts
- Provided project management, facilitator, trainer and business analysis services
- Championed the use of new collaboration software with State of California clients
- Provided in-house training to State of California staff in Microsoft and SAS software
- Appointed by Board as acting President in my last 18 months with corporation

Northrop Grumman Information Technology, Inc. (1997-2005, Sacramento, CA)

Senior Project Manager—Healthcare Practice Manager

This Fortune 100 Company provided IV&V and project management services to several Agencies for the State of California. My role included:

- Obtaining CMAS and IT MSA approved vendor status
- Performed Independent Verification and Validation (IV&V) and project management on State of California projects
- Managed all healthcare related projects for the State of California
- Proposed and won a total of \$22.5M in State of California multi-year contracts
- Developed and conducted in-house training of 50 individuals for PMP Certification

KEY ROLES on PROJECTS

- 05-18 to present—Wyoming Professional Teaching Standards Board (PTSB) Licensing system implementation
- 11-17 to present—Wyoming Professional Licensing Boards system implementation
- 11-17 to present—Wyoming Real Estate Commission Licensing system implementation
- 05-17 to 02/18—Nevada Department of Education Licensing Modernization Project
- 05-16 to 08-18—CAMTC Application and Certification Modernization Project
- 01-99 to 06-14—California Office of Statewide Health Planning and Development (OSHPD) MIRCal Project, CORC Project, ICD-10 Readiness Project and SAS Enterprise Business Intelligence
- 10/04 to 01/05—Nevada SOS Electronic-Secretary of State (e-SOS) Project
- 06/03 to 09/04—California Child Support Automation Services Project (Franchise Tax Board & Department of Child Support Services joint project)
- 10/02 to 06/03—State of Colorado Business Practice Manager



- 04/00 to 10/02—Northrop Grumman IT State & Local Health Services Practice Manager
- 03/97 to 01/99—Northrop Grumman IT California Health and Human Service, Child Welfare Services/Case Management System—the first State of California statewide system for CWS

EDUCATION

California State University, Sacramento ~ *Bachelor's Degree in Business Administration (3.6 GPA)*
Project Management Institute ~ *Project Management Professional (PMP) certification (1999—2021)*

HARDWARE/SOFTWARE SUMMARY

| <u>Category</u> | <u>Description</u> | <u>Experience (Years)</u> |
|-----------------|--|---------------------------|
| Environments | Mainframe; Mid-Range, Windows 20xx Server | 25 |
| Hardware | IBM 43xx, IBM AS/400, Intel based servers & PCs | 12 |
| Software | VM/SP, DOS/VSE, OS/400, Windows Server 2008 & 2012, SAS, SSRS, .Net, COBOL, ReXX, JCL, VSAM, CICS, HTML & SharePoint | 25 |
| Tools | Microsoft Office (Word, Excel, Power Point, Project, Visio & Outlook) | 15 |
| Databases | Microsoft SQL, Oracle, IBM DB2 | 25 |

ADDITIONAL WORK EXPERIENCE

- 01/94 to 02/97—Information Technology Manager, CH²M HILL, Sacramento, CA
- 08/87 to 12/93—Systems Analyst/Systems Programmer/Data Center Manager, Willamette Industries, Portland, OR
- 08/86 to 08/87—Applications and Systems Programmer, Bingham International, Portland, OR
- 11/80 to 08/86—Senior Programmer Analyst/Systems Programmer, Farm Credit Banks, Sacramento, CA
- 07/75 to 11/80—Programmer Analyst, Department of Defense, McClellan AFB, CA

REFERENCES

Name: *Sheryl LaFlamme*
 Title: *President*
 Organization: *Synchronicity Consulting Group, Inc.*
 Phone Number: *(916) 410-6B36*
 Email Address: slaflamme@syncgroup1.com

Name: *Kary Houston*
 Title: *Owner and President*
 Organization: *Certified Testers, LLC.*
 Phone Number: *(916) 752-9069*
 Email Address: certifiedtesters@gmail.com

Name: *Jeff Boone*
 Title: *Co-Managing Director*
 Organization: *California Statewide Credit Development Corporation (CSCDC)*
 Phone Number: *(530) 297-2140*
 Email Address: jeff@calstatewide.com

Pawandeep Singh

Software Engineer

EXPERIENCED, CONSISTENT, TECHNICALLY PROFICIENT & PASSIONATE

With inLumon, (2016-present, Reno, Nevada) worked on the following projects: Nevada Department of Education Licensing System Implementation, Nevada State Board of Dental Examiners, Wyoming Real Estate Commission, Wyoming Board of Professional Engineers and Professional Land Surveyors, Wyoming Board of Certified Public Accountants, Wyoming Professional Licensing Board, and the Wyoming Professional Teaching Standards Board

SUMMARY of RELEVANT EXPERIENCES

- Experience in Regulatory Licensing domain
- Worked on multiple Licensing System implementation
- 4+ years of experience as Software Developer, Team Lead in software design, analysis, development, testing and implementation of web and client server applications using Microsoft Technologies
- Hands on application development using Angular JS 1.x, C#, MVC, Windows forms, Web Forms in ASP.NET using C# as the code-behind language, SQL Server, MySQL and ADO.NET and LINQ as the Database data consumer
- Experience in IIS, AJAX
- Experience in Web API, Web Services
- Worked in MVC-5 with EF-6 (Code-First and Data-First).

Software Engineer (.Net) and Front-End Developer

In these roles, I:

- Was involved in Requirement gathering and design document
- Developed the applications in AngularJS, ASP.NET MVC (C# as the code-behind language)
- Implemented the Identity for user access
- Managed the MySQL and SQL Server databases for multiple clients
- Implemented the payment process for processing the payment at the time of applying for license or renewal
- Involved in test module developed for managing creating test
- Used the JQuery plugins for enhancing the interface responsiveness

EDUCATION

Global Institute, Punjab Technical University, India ~ Bachelor of Technology (Computer Science)

HARDWARE/SOFTWARE SUMMARY

| <u>Category</u> | <u>Description</u> | <u>Experience (Years)</u> |
|-----------------|---|---------------------------|
| Environments | Windows 20xx Server / Windows | 4 |
| Hardware | Intel based servers, PCs, Windows | 4 |
| Software | Asp.net Identity, Asp.net Web API, Asp.net MVC, Asp.net Web Forms, IIS Server, Microsoft Azure, Service Orientated Architecture, Multithreading and Caching | 4 |
| Tools | Version Control, Reporting, Third Party Tools, CMS Packages / Servers, Database Design and Development Methodologies | 4 |
| Databases | SQL Server, MySQL | 4 |

Eric Fritzing
Software Engineer

EXPERIENCED, RESOURCEFUL, FOCUSED, AND ADROIT

Experienced .NET full-stack software engineer of databases, back-end services, web service implementation, and front-end websites, with a broad knowledge of languages and frameworks. Experience working on Nevada Department of Education Licensing System Maintenance.

EXPERIENCE

inLumon (July 2018 – Present, Reno, NV)

Software Engineer

Develop web applications, services, and databases to create, track, and renew regulatory board licensing processes and reporting:

- Develop intuitive web applications for use by state regulatory board staff and licensees
- Create web service APIs to act as the middleware between the web application and the databases
- Maintain and expand databases to facilitate new features to the application
- Interact with customers to provide training and demonstrations
- Customize each software release to the individual needs of each regulatory board across numerous vocational domains and locales

University of Nevada, Reno (October 2009 – July 2018, Reno, NV)

Software Developer

Development of applications and services to meet the needs of scientists that supply and utilize environmental sensor data:

- Windows Server and Ubuntu system administration
- Microsoft SQL Server database administration
- Design and implement a graphical user interface-based framework for climate model coupling
- Utilize third-party web services for data consolidation and processing
- Create new websites and services for scientific data-driven applications using Angular and ASP.NET
- Develop and manage microservices architecture using WCF
- Advise student projects

Hamilton Company (December 2006 – October 2009, Reno, NV)

Software Engineer

Create and maintain code developed to program and operate robotic Microlabs:

- Design, implement, and maintain software for robotic fluid handling Microlabs
- Create third-party device drivers and integrate them into an existing software framework
- Research new algorithms for robots that make efficient use of resources over time
- Author software documentation

EDUCATION

University of Nevada, Reno – August 2006 - M.S. in Computer Science

- 3.94 GPA
- Focused study on software requirements, specification, and design

University of Nevada, Reno - December 2003 – B.S. in Computer Science

- Minor in Mathematics

TECHNICAL SKILLS SUMMARY

| <u>Category</u> | <u>Description</u> | <u>Experience (Years)</u> |
|-----------------|---|---------------------------|
| Languages | C#, C/C++, Python, Java, JavaScript, HTML, CSS | 12+ |
| Frameworks | ASP.NET, WCF, WPF, Bootstrap, jQuery, AngularJS/4 | 9 |
| Software | MS Server, Nginx, Apache | 7 |
| Tools | Team Foundation Server, Git | 10 |
| IDEs | Visual Studio, Netbeans | 14 |
| OSes | Windows Server, Ubuntu | 10 |
| Databases | Microsoft SQL Server, PostgreSQL, MySQL | 10 |

PROJECTS

- NRDC Main Website: <http://sensor.nevada.edu/>
- NRDC Webcam Image Archive: <http://sensor.nevada.edu/WebcamImageArchive/>
- NRDC Data Search Interface: <http://sensor.nevada.edu/SENSORDataSearch/>
- NRDC Data Search Interface (Reprised): <http://sensor.nevada.edu/Data%20Search/>

REFERENCES

Name: *Dr. Sergiu Dascalu*
 Title: *Professor*
 Organization: *University of Nevada, Reno*
 Phone Number: *(775) 784-4613*
 Email Address: dascalus@cse.unr.edu

Name: *Dr. Fred Harris*
 Title: *Professor*
 Organization: *University of Nevada, Reno*
 Phone Number: *(775) 784-6571*
 Email Address: Fred.Harris@cse.unr.edu

Name: *Dr. Scotty Strachan*
 Title: *Director of Cyberinfrastructure*
 Organization: *University of Nevada, Reno*
 Phone Number: *(775) 784-1110*
 Email Address: strachan@unr.edu



Hirav Parekh
Software Engineer

EXPERIENCED, POSITIVE ATTITUDE AND QUICK LEARNER

With inLumon, (2018-present, Reno, Nevada) worked on the following projects: Nevada Department of Education Licensing System Implementation, Wyoming Real Estate Commission and the Wyoming Professional Teaching Standards Board

EXPERIENCE

Software Engineer (.Net) and Front-End Developer

inLumon (Feb 2018 – Present, Reno, NV)

Software Engineer

- Developed UI for adding, searching and editing a new Continuing Education (CE) course functionality for Wyoming Real Estate Board
- Worked on the Business Partner Portal for Nevada Department of Education Licensing System and Wyoming Professional Teaching Standards Board
- Implemented interactive stacked column charts for Nevada Department of Education using Google Charts and AngularJS
- Implemented the .Net APIs and stored procedure for retrieving the data from MySQLdatabase

Tata Consultancy Service (2012-2015)

Software Developer

Working on the Timesheet Discrepancy application for Saudi Telecom Company (STC), I:

- Designed & developed the User Interface using ExtJS, HTML and CSS
- Scheduled a PL/SQL proc to automate discrepancy report saving 20% time of PMO team
- Emailed discrepancy details in tabular format by coding a UNIX script with HTML code

Working on the Defect Dashboard for STC, I:

- Developed a Dashboard to show defects raised in graphical format
- Created a Database Link to access QA data stored in testing team schema
- Implemented interactive charts using Google charts and Highcharts to show defects raised
- Retrieved data in JSON format by making an AJAX call

Working on the Kaizen Report Automation for STC, I:

- Automated process of CR status report generation
- Scheduled a PL/SQL procedure for recording and mapping CR status
- Eliminated PMO's monthly labor and decreased Turn Around Time (TAT) by 75%

Working on an Action Item tracker for STC, I:

- Developed a Web app to track action items and record Minutes of Meeting
- Brainstormed the idea with team using Mind Mapping technique for project planning
- Designed UI using ExtJS, HTML, CSS & developed the application using Struts framework
- Headed a team of 3 and oversaw delivery as well as technical documentation

EDUCATION

Ganpat University, India ~ Bachelor of Technology, Mechatronics Engineering

University of Nevada Reno, Reno, Nevada ~ Master of Science, Computer Science

HARDWARE/SOFTWARE SUMMARY

| <u>Category</u> | <u>Description</u> | <u>Experience (Years)</u> |
|------------------------|---|----------------------------------|
| Environments | Windows 20xx Server / LINUX / ROS / Android / Windows / Virtual Reality / Augmented Reality | 4 |
| Hardware | Intel based servers, PCs, Windows | 4 |
| Software | HTML, CSS, jQuery, ExtJS, AJAX, JSON, Google Charts, etc. Struts, Spring, Hibernate, JSP, Servlets, Maven, JDBC, Angular JS, Agile (Scrum & FDD), .Net API | 4 |
| Tools | Eclipse, Unity 3D, Visual Studio, SQL developer, Tomcat, Github, Blender, Tortoise SVN, MATLAB | 4 |
| Databases | Oracle, MySQL | 4 |

SUBCONTRACTORS

inLumon does not intend to Subcontract any part of this project.

SECTIONS II - IV

II. TERMS AND CONDITIONS

Bidders should complete Sections II through VI as part of their proposal. Bidder is expected to read the Terms and Conditions and should initial either accept, reject, or reject and provide alternative language for each clause. The bidder should also provide an explanation of why the bidder rejected the clause or rejected the clause and provided alternate language. By signing the RFP, bidder is agreeing to be legally bound by all the accepted terms and conditions, and any proposed alternative terms and conditions submitted with the proposal. The State reserves the right to negotiate rejected or proposed alternative language. If the State and bidder fail to agree on the final Terms and Conditions, the State reserves the right to reject the proposal. The State of Nebraska is soliciting proposals in response to this RFP. The State of Nebraska reserves the right to reject proposals that attempt to substitute the bidder's commercial contracts and/or documents for this RFP.

The bidders should submit with their proposal any license, user agreement, service level agreement, or similar documents that the bidder wants incorporated in the Contract. The State will not consider incorporation of any document not submitted with the bidder's proposal as the document will not have been included in the evaluation process. These documents shall be subject to negotiation and will be incorporated as addendums if agreed to by the Parties.

If a conflict or ambiguity arises after the Addendum to Contract Award have been negotiated and agreed to, the Addendum to Contract Award shall be interpreted as follows:

1. If only one Party has a particular clause then that clause shall control;
2. If both Parties have a similar clause, but the clauses do not conflict, the clauses shall be read together;
3. If both Parties have a similar clause, but the clauses conflict, the State's clause shall control.

A. GENERAL

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

The contract resulting from this RFP shall incorporate the following documents:

1. Request for Proposal and Addenda;
2. Amendments to the RFP;
3. Questions and Answers;
4. Contractor's proposal (RFP and properly submitted documents);
5. The executed Contract and Addendum One to Contract, if applicable ; and,
6. Amendments/Addendums to the Contract.

These documents constitute the entirety of the contract.

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

Any ambiguity or conflict in the contract discovered after its execution, not otherwise addressed herein, shall be resolved in accordance with the rules of contract interpretation as established in the State of Nebraska.



B. NOTIFICATION

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

Contractor and State shall identify the contract manager who shall serve as the point of contact for the executed contract.

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

| |
|-------------------------|
| Vendor Contract Manager |
| Vendor |
| Vendor Street Address |
| Vendor City, State, Zip |

C. GOVERNING LAW (Statutory)

Notwithstanding any other provision of this contract, or any amendment or addendum(s) entered into contemporaneously or at a later time, the parties understand and agree that, (1) the State of Nebraska is a sovereign state and its authority to contract is therefore subject to limitation by the State's Constitution, statutes, common law, and regulation; (2) this contract will be interpreted and enforced under the laws of the State of Nebraska; (3) any action to enforce the provisions of this agreement must be brought in the State of Nebraska per state law; (4) the person signing this contract on behalf of the State of Nebraska does not have the authority to waive the State's sovereign immunity, statutes, common law, or regulations; (5) the indemnity, limitation of liability, remedy, and other similar provisions of the final contract, if any, are entered into subject to the State's Constitution, statutes, common law, regulations, and sovereign immunity; and, (6) all terms and conditions of the final contract, including but not limited to the clauses concerning third party use, licenses, warranties, limitations of liability, governing law and venue, usaga verification, indemnity, liability, remedy or other similar provisions of the final contract are entered into specifically subject to the State's Constitution, statutes, common law, regulations, and sovereign immunity.

The Parties must comply with all applicable local, state and federal laws, ordinances, rules, orders, and regulations.

D. BEGINNING OF WORK

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

E. CHANGE ORDERS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within | NOTES/COMMENTS: |
|------------------|------------------|-------------------------------------|-----------------|
| | | | |

| | | | |
|----|--|---------------------------|--|
| | | RFP Response (Initial) | |
| KB | | | |

The State and the Contractor, upon the written agreement, may make changes to the contract within the general scope of the RFP. Changes may involve specifications, the quantity of work, or such other items as the Commission may find necessary or desirable. Corrections of any deliverable, service, or work required pursuant to the contract shall not be deemed a change. The Contractor may not claim forfeiture of the contract by reasons of such changes.

For all changes, the Contractor shall follow the Change Management Plan in Section V.E.2. Any in-scope changes will require a written change order that will generate an Amendment to the Contract. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices if any, a pro-rated value, or through negotiations. The State shall not incur a price increase for changes that should have been included in the Contractor's proposal, were foreseeable, or result from difficulties with or failure of the Contractor's proposal or performance.

No change shall be implemented by the Contractor until approved by the State, and the Contract is amended to reflect the change and associated costs, if any. If there is a dispute regarding the cost, but both parties agree that immediate implementation is necessary, the change may be implemented, and cost negotiations may continue with both Parties retaining all remedies under the contract and law.

F. NOTICE OF POTENTIAL CONTRACTOR BREACH

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|---------------------|---------------------|---|-----------------|
| KB | | | |

If Contractor breaches the contract or anticipates breaching the contract, the Contractor shall immediately give written notice to the State. The notice shall explain the breach or potential breach, a proposed cure, and may include a request for a waiver of the breach if so desired. The State may, in its discretion, temporarily or permanently waive the breach. By granting a waiver, the State does not forfeit any rights or remedies to which the State is entitled by law or equity, or pursuant to the provisions of the contract. Failure to give immediate notice, however, may be grounds for denial of any request for a waiver of a breach.

G. BREACH

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|---------------------|---------------------|---|--|
| | | KB | Alternative language for this section: Either Party may terminate the contract, in whole or in part, if the other Party breaches its duty to perform its obligations under the contract in a timely and proper manner. Termination requires written notice of default and a thirty (30) calendar day (or longer at the non-breaching Party's discretion considering the gravity and nature of the default) cure period. Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing time to cure a failure or breach of contract does not waive the right to immediately terminate the contract for the same or different contract breach which |

| | | | |
|--|--|--|--|
| | | | <p>may occur at a different time. Contractor shall not be liable for any excess costs after initial 2 years of this contract. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby, however the State will endeavor to mitigate any excess costs.</p> <p>Contractor shall retain all available statutory remedies and protections.</p> |
|--|--|--|--|

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

The State's failure to make payment shall not be a breach, and the Contractor shall retain all available statutory remedies and protections.

H. NON-WAIVER OF BREACH

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

The acceptance of late performance with or without objection or reservation by a Party shall not waive any rights of the Party nor constitute a waiver of the requirement of timely performance of any obligations remaining to be performed.

I. SEVERABILITY

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

J. INDEMNIFICATION

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |



1. GENERAL

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

2. INTELLECTUAL PROPERTY

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

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

3. PERSONNEL

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

4. SELF-INSURANCE

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

5. The Parties acknowledge that Attorney General for the State of Nebraska is required by statute to represent the legal interests of the State, and that any provision of this indemnity clause is subject to the statutory authority of the Attorney General.

K. ATTORNEY'S FEES

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|---------------------|---------------------|---|-----------------|
| KB | | | |

In the event of any litigation, appeal, or other legal action to enforce any provision of the contract, the Parties agree to pay all expenses of such action, as permitted by law and if order by the court, including attorney's fees and costs, if the other Party prevails.



L. RETAINAGE

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|---|
| | | KB | Since inLumon is typically paid on deliverables only and not progress payments, we propose no holdback, or if not acceptable to State, inLumon would like to propose a lower hold back percentage (5%) that can be discussed during the contract negotiation. |

The State will withhold ten percent (10%) of each payment due as retainage. The entire retainage amount will be payable ninety (90) days after successful completion of Implementation and Training. Upon completion of the project plus ninety (90) days, the Contractor will invoice the State for any outstanding work and for the retainage. The State may reject the final invoice by identifying the specific reasons for such rejection in writing to the Contractor within forty-five (45) calendar days of receipt of the final invoice. Otherwise, the project will be deemed accepted and the State will release the final payment and retainage in accordance with the contract payment terms.

M. PERFORMANCE BOND

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|--|
| | | KB | inLumon would like to propose either the elimination or a lower performance bond amount to be discussed and agreed upon during the contract negotiation. |

The Contractor will be required to supply a bond executed by a corporation authorized to contract surety in the State of Nebraska, payable to the State of Nebraska, which shall be valid for the life of the contract to include any renewal and/or extension periods. The amount of the bond must be \$75,000. The bond will guarantee that the Contractor will faithfully perform all requirements, terms and conditions of the contract. Failure to comply shall be grounds for forfeiture of the bond as liquidated damages. Amount of forfeiture will be determined by the agency based on loss to the State. The bond will be returned when the service has been satisfactorily completed as solely determined by the State, after termination or expiration of the contract.

N. ASSIGNMENT, SALE, OR MERGER

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

Either Party may assign the contract upon mutual written agreement of the other Party. Such agreement shall not be unreasonably withheld.

The Contractor retains the right to enter into a sale, merger, acquisition, internal reorganization, or similar transaction involving Contractor's business. Contractor agrees to cooperate with the State in executing amendments to the contract to allow for the transaction. If a third party or entity is involved in the transaction, the Contractor will remain responsible for performance of the contract until such time as the person or entity involved in the transaction agrees in writing to be contractually bound by this contract and perform all obligations of the contract.



O. CONTRACTING WITH OTHER NEBRASKA POLITICAL SUB-DIVISIONS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

The Contractor may, but shall not be required to, allow agencies, as defined in Neb. Rev. Stat. §81-145, to use this contract. The terms and conditions, including price, of the contract may not be amended. The State shall not be contractually obligated or liable for any contract entered into pursuant to this clause. A listing of Nebraska political subdivisions may be found at the website of the Nebraska Auditor of Public Accounts.

P. FORCE MAJEURE

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

Neither Party shall be liable for any costs or damages, or for default resulting from its inability to perform any of its obligations under the contract due to a natural or manmade event outside the control and not the fault of the affected Party ("Force Majeure Event"). The Party so affected shall immediately make a written request for relief to the other Party, and shall have the burden of proof to justify the request. The other Party may grant the relief requested; relief may not be unreasonably withheld. Labor disputes with the impacted Party's own employees will not be considered a Force Majeure Event.

Q. CONFIDENTIALITY

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

It is incumbent upon the Parties to inform their officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1), which is made applicable by 5 U.S.C. 552a (m)(1), provides that any officer or employee, who by virtue of his/her employment or official position has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.

R. EARLY TERMINATION

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.
2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.
3. The State may terminate the contract immediately for the following reasons:
 - a. if directed to do so by statute;
 - b. Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;
 - c. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
 - d. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
 - e. an involuntary proceeding has been commenced by any Party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
 - f. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
 - g. Contractor intentionally discloses confidential information;
 - h. Contractor has or announces it will discontinue support of the deliverable; and,
 - i. In the event funding is no longer available.

S. CONTRACT CLOSEOUT

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|---|
| KB | | | Please refer to Section F. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES regarding language specific to intellectual property and licensing of software. |

Upon contract closeout for any reason the Contractor shall within 30 days, unless stated otherwise herein:

1. Transfer all completed or partially completed deliverables to the State;
2. Transfer ownership and title to all completed or partially completed deliverables to the State;
3. Return to the State all information and data, unless the Contractor is permitted to keep the information or data by contract or rule of law. Contractor may retain one copy of any information or data as required to comply with applicable work product documentation standards or as are automatically retained in the course of Contractor's routine back up procedures;
4. Cooperate with any successor Contractor, person or entity in the assumption of any or all of the obligations of this contract;
5. Cooperate with any successor Contractor, person or entity with the transfer of information or data related to this contract;
6. Return or vacate any state owned real or personal property; and,
7. Return all data in a mutually acceptable format and manner.

Nothing in this Section should be construed to require the Contractor to surrender intellectual property, real or personal property, or information or data owned by the Contractor for which the State has no legal claim.

III. CONTRACTOR DUTIES

A. INDEPENDENT CONTRACTOR / OBLIGATIONS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

It is agreed that the Contractor is an independent contractor and that nothing contained herein is intended or should be construed as creating or establishing a relationship of employment, agency, or a partnership.

The Contractor is solely responsible for fulfilling the contract. The Contractor or the Contractor's representative shall be the sole point of contact regarding all contractual matters.

The Contractor shall secure, at its own expense, all personnel required to perform the services under the contract. The personnel the Contractor uses to fulfill the contract shall have no contractual or other legal relationship with the State; they shall not be considered employees of the State and shall not be entitled to any compensation, rights or benefits from the State, including but not limited to, tenure rights, medical and hospital care, sick and vacation leave, severance pay, or retirement benefits.

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

All personnel assigned by the Contractor to the contract shall be employees of the Contractor or a subcontractor, and shall be fully qualified to perform the work required herein. Personnel employed by the Contractor or a subcontractor to fulfill the terms of the contract shall remain under the sole direction and control of the Contractor or the subcontractor respectively.

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

1. Any and all pay, benefits, and employment taxes and/or other payroll withholding;
2. Any and all vehicles used by the Contractor's employees, including all insurance required by state law;
3. Damages incurred by Contractor's employees within the scope of their duties under the contract;
4. Maintaining Workers' Compensation and health insurance that complies with state and federal law and submitting any reports on such insurance to the extent required by governing law; and
5. Determining the hours to be worked and the duties to be performed by the Contractor's employees.
6. All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination alleged against the Contractor, its officers, agents, or subcontractors or subcontractor's employees)

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

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

Contractor shall insure that the terms and conditions contained in any contract with a subcontractor does not conflict with the terms and conditions of this contract.

The Contractor shall include a similar provision, for the protection of the State, in the contract with any Subcontractor engaged to perform work on this contract.

B. EMPLOYEE WORK ELIGIBILITY STATUS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

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

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

The completed United States Attestation Form should be submitted with the RFP response.

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

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

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

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

D. COOPERATION WITH OTHER CONTRACTORS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

Contractor may be required to work with or in close proximity to other contractors or individuals that may be working on same or different projects. The Contractor shall agree to cooperate with such other contractors or individuals, and shall not commit or permit any act which may interfere with the performance of work by any other contractor or individual. Contractor is not required to compromise Contractor's intellectual property or proprietary information unless expressly required to do so by this contract.

E. PERMITS, REGULATIONS, LAWS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|---|
| KB | | | Escrow for source code of inLumon software with agreed choice will be included within support costs proposed. |

The contract price shall include the cost of all royalties, licenses, permits, and approvals, whether arising from patents, trademarks, copyrights or otherwise, that are in any way involved in the contract. The Contractor shall obtain and pay for all royalties, licenses, and permits, and approvals necessary for the execution of the contract. The Contractor must guarantee that it has the full legal right to the materials, supplies, equipment, software, and other items used to execute this contract.

F. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|---|
| | | KB | This section addresses ownership of software, software license terms, and delivery of materials. The solution we are proposing will include software that will be developed specifically for this project and pre-existing software owned by inLumon. The different types of software will be identified specifically in the definitive contract, consistent with our proposal. We can agree that the State will have ownership of the software specifically developed for this project although we should retain non-exclusive royalty-free and fully paid-up license rights to use of that software for other projects. We also agree that the State will have a nonexclusive, royalty-free and irrevocable license to use the pre-existing software owned by inLumon for internal use only by the Nebraska Department of Banking and Finance for purposes of the project. The definitive contract will specify project deliverables, but source code and other escrowed materials should be deliverable as per the escrow mechanism. |

The State shall have the unlimited right to, use all information and data developed or obtained by the Contractor on behalf of the State pursuant to this contract.

The State shall own and hold exclusive title to any deliverable developed as a result of this contract. Contractor shall have no ownership interest or title, and shall not patent, license, or copyright, duplicate, transfer, sell, or exchange, the design, specifications, concept, or deliverable.

G. INSURANCE REQUIREMENTS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

The Contractor shall throughout the term of the contract maintain insurance as specified herein and provide the State a current Certificate of Insurance/Acord Form (COI) verifying the coverage. The Contractor shall not commence work on the contract until the insurance is in place. If Contractor subcontracts any portion of the Contract the Contractor must, throughout the term of the contract, either:

1. Provide equivalent insurance for each subcontractor and provide a COI verifying the coverage for the subcontractor;
2. Require each subcontractor to have equivalent insurance and provide written notice to the State that the Contractor has verified that each subcontractor has the required coverage; or,
3. Provide the State with copies of each subcontractor's Certificate of Insurance evidencing the required coverage.

The Contractor shall not allow any Subcontractor to commence work until the Subcontractor has equivalent insurance. The failure of the State to require a COI, or the failure of the Contractor to provide a COI or require subcontractor insurance shall not limit, relieve, or decrease the liability of the Contractor hereunder.

In the event that any policy written on a claims-made basis terminates or is canceled during the term of the contract or within five (5) years of termination or expiration of the contract, the contractor shall obtain an extended discovery or reporting period, or a new insurance policy, providing coverage required by this contract for the term of the contract and five (5) years following termination or expiration of the contract.

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

Notwithstanding any other clause in this Contract, the State may recover up to the liability limits of the insurance policies required herein.

1. WORKERS' COMPENSATION INSURANCE

The Contractor shall take out and maintain during the life of this contract the statutory Workers' Compensation and Employer's Liability Insurance for all of the contractors' employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the Subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the Subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. **The policy shall include a waiver of subrogation in favor of the State. The COI shall contain the mandatory COI subrogation waiver language found hereinafter.** The amounts of such insurance shall not be less than the limits stated hereinafter. For employees working in the State of Nebraska, the policy must be written by an entity authorized by the State of Nebraska Department of Insurance to write Workers' Compensation and Employer's Liability Insurance for Nebraska employees.

2. COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE

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

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

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

If the mandatory COI subrogation waiver language or mandatory COI liability waiver language on the COI states that the waiver is subject to, condition upon, or otherwise limit by the insurance policy, a copy of the relevant sections of the policy must be submitted with the COI so the State can review the limitations imposed by the insurance policy.

3. EVIDENCE OF COVERAGE

The Contractor shall furnish the Contract Manager, with a certificate of insurance coverage complying with the above requirements prior to beginning work at:

Banking and Finance
 Attn: Contract Manager
 1526 K Street, Suite 300
 Lincoln, NE 68508

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

Reasonable notice of cancellation of any required insurance policy must be submitted to the contract manager as listed above when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

4. DEVIATIONS

The insurance requirements are subject to limited negotiation. Negotiation typically includes, but is not necessarily limited to, the correct type of coverage, necessity for Workers' Compensation, and the type of automobile coverage carried by the Contractor.

H. ANTITRUST

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

I. CONFLICT OF INTEREST

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

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

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

The Parties shall not knowingly, for a period of two years after execution of the contract, recruit or employ any employee or agent of the other Party who has worked on the RFP or project, or who had any influence on decisions affecting the RFP or project.

J. STATE PROPERTY

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

K. SITE RULES AND REGULATIONS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

L. ADVERTISING

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

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

M. NEBRASKA TECHNOLOGY ACCESS STANDARDS (Statutory)

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

N. DISASTER RECOVERY/BACK UP PLAN

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

The Contractor shall have a disaster recovery and back-up plan as further defined in the technical specifications section of this RFP, which includes, but is not limited to equipment, personnel, facilities, and transportation, in order to continue services as specified under the specifications in the contract in the event of a disaster.

O. DRUG POLICY

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within | NOTES/COMMENTS: |
|------------------|------------------|-------------------------------------|-----------------|
| | | | |

| | | RFP Response (Initial) | |
|----|--|-----------------------------------|--|
| KB | | | |

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



IV. PAYMENT

A. PROHIBITION AGAINST ADVANCE PAYMENT (Statutory)

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

B. TAXES (Statutory)

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

C. INVOICES

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

Invoices for payments must be submitted by the Contractor to the agency requesting the services with sufficient detail to support payment. Invoices should be sent to 1526 K Street, Suite 300, Lincoln, NE 68508. The terms and conditions included in the Contractor's invoice shall be deemed to be solely for the convenience of the parties. No terms or conditions of any such invoice shall be binding upon the State, and no action by the State, including without limitation the payment of any such invoice in whole or in part, shall be construed as binding or estopping the State with respect to any such term or condition, unless the invoice term or condition has been previously agreed to by the State as an amendment to the contract.

D. INSPECTION AND APPROVAL

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

Final inspection and approval of all work required under the contract shall be performed by the designated State officials.

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

E. PAYMENT

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|---|
| KB | | | inLumon is proposing a subscription model as an alternative Cost Proposal in which payment can accrue from execution of the contract, and the State can make payment when deliverable is complete if desired. |

State will render payment to Contractor when the terms and conditions of the contract and specifications have been satisfactorily completed on the part of the Contractor as solely determined by the State. (Neb. Rev. Stat. Section 73-506(1)) Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2401 through 81-2408). The State may require the Contractor

to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any services provided by the Contractor prior to the Effective Date of the contract, and the Contractor hereby waives any claim or cause of action for any such services.

F. LATE PAYMENT (Statutory)

The Contractor may charge the responsible agency interest for late payment in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2401 through 81-2408).

G. SUBJECT TO FUNDING / FUNDING OUT CLAUSE FOR LOSS OF APPROPRIATIONS

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

The State's obligation to pay amounts due on the Contract for a fiscal years following the current fiscal year is contingent upon legislative appropriation of funds. Should said funds not be appropriated, the State may terminate the contract with respect to those payments for the fiscal year(s) for which such funds are not appropriated. The State will give the Contractor written notice thirty (30) calendar days prior to the effective date of termination. All obligations of the State to make payments after the termination date will cease. The Contractor shall be entitled to receive just and equitable compensation for any authorized work which has been satisfactorily completed as of the termination date. In no event shall the Contractor be paid for a loss of anticipated profit.

H. RIGHT TO AUDIT (First Paragraph is Statutory)

| Accept (Initial) | Reject (Initial) | Reject & Provide Alternative within RFP Response (Initial) | NOTES/COMMENTS: |
|------------------|------------------|--|-----------------|
| KB | | | |

The State shall have the right to audit the Contractor's performance of this contract upon a 30 days' written notice. Contractor shall utilize generally accepted accounting principles, and shall maintain the accounting records, and other records and information relevant to the contract (Information) to enable the State to audit the contract. The State may audit and the Contractor shall maintain, the Information during the term of the contract and for a period of five (5) years after the completion of this contract or until all issues or litigation are resolved, whichever is later. The Contractor shall make the Information available to the State at Contractor's place of business or a location acceptable to both Parties during normal business hours. If this is not practical or the Contractor so elects, the Contractor may provide electronic or paper copies of the Information. The State reserves the right to examine, make copies of, and take notes on any Information relevant to this contract, regardless of the form or the Information, how it is stored, or who possesses the Information. Under no circumstance will the Contractor be required to create or maintain documents not kept in the ordinary course of contractor's business operations, nor will contractor be required to disclose any information, including but not limited to product cost data, which is confidential or proprietary to contractor.

The Parties shall pay their own costs of the audit unless the audit finds a previously undisclosed overpayment by the State. If a previously undisclosed overpayment exceeds one-half of one percent (.5%) of the total contract billings, or if fraud, material misrepresentations, or non-performance is discovered on the part of the Contractor, the Contractor shall reimburse the State for the total costs of the audit. Overpayments and audit costs owed to the State shall be paid within ninety days of written notice of the claim. The Contractor agrees to correct any material weaknesses or condition found as a result of the audit.



V. PROJECT DESCRIPTION AND SCOPE OF WORK

The bidder should provide the following information in response to this RFP.

A. PROJECT OVERVIEW

The State of Nebraska intends to select a qualified bidder to provide a Commercial Off the Shelf (COTS) Financial Licensing and Enforcement Software Solution. The solution is to include software, installation, training, configuration assistance, assistance in conversion of existing data to the selected data solution and ongoing software support, enhancements and maintenance. The project that results from this RFP is for the Nebraska Department of Banking and Finance (Department).

The Financial Licensing and Enforcement Software Solution will enable the Department to efficiently supervise and track 91 categories of financial entities or financial service providers and over 100,000 individuals. The various industries regulated or oversight functions performed by the Department are found in Attachment A

The Financial Licensing and Enforcement Software Solution will assist and enable the intelligent and efficient collection, analysis, processing and storage of internal and external data associated with Department activities. Department activities include, but are not limited to, those functions associated with: chartering, licensing, registering, billing, filing, examining, reviewing of bonding, identifying securities pledged, approving auditing firms, enforcement, investigations, resolving consumer complaints, confirming citizenship, generating orders of law, delivery of reports both within state government and externally, and maintaining general information regarding investments and banking.

RESPONSE: inLumon acknowledges that the Nebraska Department of Banking and Finance (Department) is on the threshold of a large licensure and enforcement system modernization effort and that having a partner with deep knowledge of regulatory processes, technology and project management while successfully implementing online licensing systems and payment processing in a timely manner provides tremendous benefit. Our firm and staff uniquely qualified to meet the Department's new Financial Licensing and Enforcement Software Solution project having similarly implemented online licensure management systems in a wide variety of related disciplines and professional fields.

This RFP and supporting documents, coupled with our extensive experience and knowledge delivering regulatory software solutions and services, has provided inLumon a thorough understanding of project. inLumon is uniquely qualified to provide the services, and more importantly partner with the Department to meet and exceed the project requirements, goals and objectives.

inLumon proposes to utilize our flexible solution and technical depth to develop, customize and implement Licensing and Enforcement Management Systems. Our web-based COTS licensing and enforcement system product, implementation and support services will serve as a basis for fulfilling the requirement to provide outlined within the RFP.

B. PROJECT ENVIRONMENT

The Department is the chartering, registration and licensing authority for Nebraska banks, credit unions, financial securities, broker-dealers, investment advisers, and other financial entities and individuals. The Department has seventy (70) workstations/laptops in three (3) locations. The majority of these users access the current solution on a regular basis. Additionally, approximately thirty (30) of those users also access the system remotely via mobile hotspot and VPN. No internet access to the system itself is available. A public facing portal is available for the submission of complaints to the Department.

The current solution is a vendor-provided application, hosted on virtual servers running Windows Server 2016, with backend databases on SQL Server 2012. Data is downloaded from various sources including NMLS, FINRA CRD/IARD, Blue Express and FDIC and then uploaded to the system. The user community includes data uploads to a Web server, frequent public notices are currently distributed via email and paper copies, and periodic secure exchanges of examinations or other regulatory materials with various legal or regulatory parties.

The Department will utilize the State of Nebraska; Office of the Chief Information Officer centralized Data Center or their cloud provider(s) to house hardware, as necessary, for the Financial Licensing and Enforcement Software Solution.

RESPONSE: inLumon has read, understands and will comply with this requirement.

C. PROJECT REQUIREMENTS

A product, module, component or service is to be considered "required" if it is needed to meet any requirement set forth in this RFP. If bidders have products, modules or services that exceed the scope of the requirements set forth in this RFP and those products, modules or services cannot be separated out from the required functionality without negatively affecting the core functionality or services, or cannot be priced separately, then they are not considered optional and must be included in the core proposal and fixed price bid.

RESPONSE: inLumon has read, understands and will comply with this requirement. The solution proposed by inLumon addresses and exceeds the core functionality identified in the RFP. inLumon will use our Licensing Framework as a basis for the Financial Licensing and Enforcement Software Solution and most current configurations for other licensing processes and systems can be used for reference and/or gap analysis - further reducing project risk while increasing speed of implementation.

D. BUSINESS REQUIREMENTS

The Financial Licensing and Enforcement Software Solution, which will be relied upon by the Department to record and retrieve information regarding Department functions, serves as the database of all current and proposed entities and individuals. The Department is seeking software to:

1. Track approval, denial, renewal and expiration of licenses, registrations and charters;

RESPONSE: The new system inLumon will develop and implement allows for the issuance of new and renewal of existing licenses from both an online portal for applicants to complete and submit online forms as well as from within the 'Back Office' (where staff with approved access can enter information from a paper application and track through the licensure / registration lifecycle for example). Figure 1:

inLumon works with our clients to design the dashboard layout and workflows for Licensees and Applicants, empowering users to do as much of the work on their own without having to call the State for assistance. This includes the ability for a Licensee/Applicant to maintain their own:

- **Contact information**—such as mailing address, phone number and/or email address
- **Employment information**—status and school district
- **Educational experience and other information** required by the Department

inLumon’s Licensing Framework will be configured to serve the Department as the new, single system managing the entire lifecycle of licensure; tracking an individual’s career from initial application, licensure, status information, continuing education, audits and more as desired. The system maintains all current and historical information, documents (uploaded by Licensees/Applicants as well as State staff), correspondence along with licensure, endorsement, provisional and status information for multiple licenses that a Licensee may hold or have held. The following Figure 2 is a partial example (no sensitive information is shown) of an individual’s record:

Search Results

| Last Name | First Name | Licensed |
|-----------|------------|----------|
| Andrew | | |
| Nathan | | |
| Ted | | |
| Jeffrey | | |
| Alan | | |

Individual Details

Status: Active

Individual Details

| | |
|---------------------|-----------|
| Name | Jeff |
| DOB | 07/01 |
| License# | PE 1 |
| Discipline | CE |
| Original Issue Date | 08/01 |
| Business Name | |
| Mailing Address | 1002 Dura |
| Primary Phone | (715 |
| Email Address | vnet |

License Details

- Renewal Period from 1/1/2018 to 12/31/2019 Active
- Renewal Period from 1/1/2016 to 12/31/2017 Renewed
- Renewal Period from 1/1/2014 to 12/31/2015 Renewed
- Renewal Period from 1/1/2012 to 12/31/2013 Renewed
- Renewal Period from 1/1/2010 to 12/31/2011 Renewed
- Renewal Period from 1/1/2008 to 12/31/2009 Renewed

License

| Year | License# | License Status | Effective Date | Expiration Date | Action |
|------|----------|----------------|----------------|-----------------|--------|
| 2018 | | Active | 01/01/2018 | 12/31/2019 | |
| 2016 | | Renewed | 01/01/2016 | 12/31/2017 | |
| 2014 | | Renewed | 01/01/2014 | 12/31/2015 | |
| 2012 | | Renewed | 01/01/2012 | 12/31/2013 | |
| 2010 | | Renewed | 01/01/2010 | 12/31/2011 | |
| 2008 | | Renewed | 01/01/2008 | 12/31/2009 | |

Discipline

Discipline: Civil

| Discipline | Action |
|------------|--------|
| Civil | |

Figure 2: Individual Record

Within inLumon’s licensing system, all results are consolidated within the application workflow process and can be presented to agency staff for final review and disposition via the IntakeQ after applying the rules. This is where the submitted applications are reviewed for ‘completeness’. Once an application is deemed complete, it can be sent to both the AnalystQ as well as the BackgroundCheckQ (BGQ) for parallel processing if necessary, thereby reducing the overall time for processing applications. A sample of an IntakeQ is displayed in the following Figure 3A:

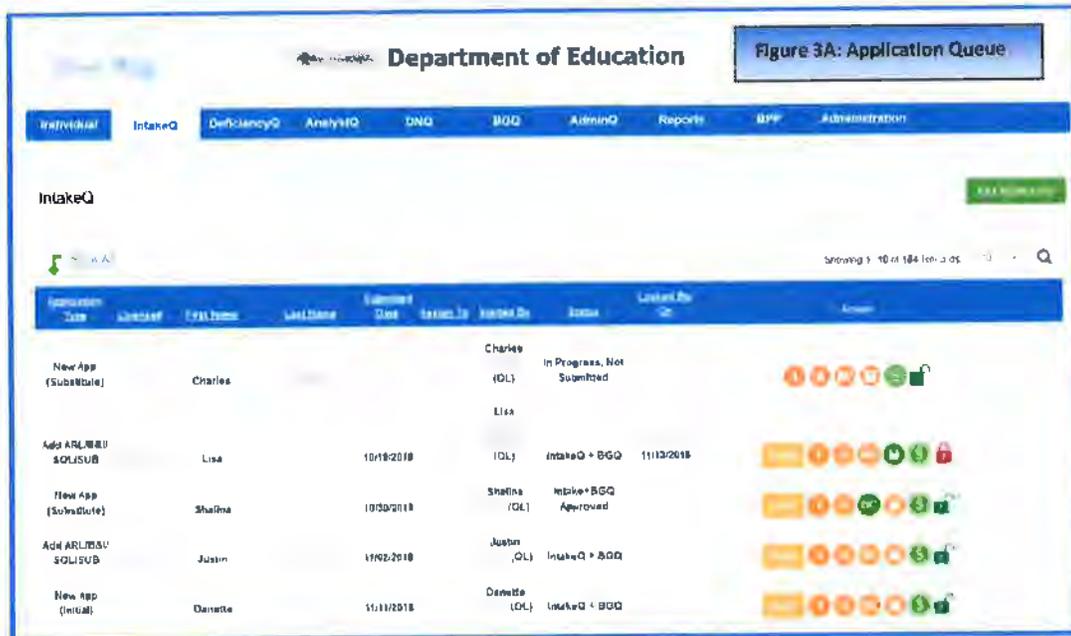


Figure 3A: Application Queue

In this screenshot, the status of all of the applications in progress can be easily ascertained by the color of the icons in the Action column. For example:

- 

This icon represents the IntakeQ. When Orange, it means that the application is not yet deemed 'Complete'. When Red, it means that the application has been deemed 'Deficient' (and is now in the DeficiencyQ). When Green, it means that the application has been deemed 'Complete' and is moved on to the AnalystQ and the BGQ.
- 

This icon represents the AnalystQ. When Orange, it means that the application is not yet been 'Approved' or 'DNQ'd'. When Red, it means that the application has been deemed 'DNQ' (and is now in the DNQ). When Green, it means that the application has been deemed 'Approved' by an Analyst and is awaiting results from the BGQ.
- 

This icon represents the BackgroundCheckQ (BGQ). When Orange, it means that the background check is not yet been completed. When Red, it means that the background check was found to have an issue. When Green, it means that the background check is complete, has been cleared and is awaiting results from the AnalystQ.
- 

This icon represents the DeficiencyQ. When Orange, it means no deficiencies have been found. When Red, it means there are deficiencies. When Green, it means that any deficiencies found have been successfully cleared.
- 

This icon represent payment. When Red, it means that payment has not yet been received. When Green, it means that payment has been received.
- 

This icon represents when the application is being worked on. When Green, it means the application is available to be reviewed. When Red, it means the application is locked because another staff is working on it. As shown in the figure above, when the Red Lock is displayed, the staff that has the application open is displayed, so staff is aware WHO is working on the application.

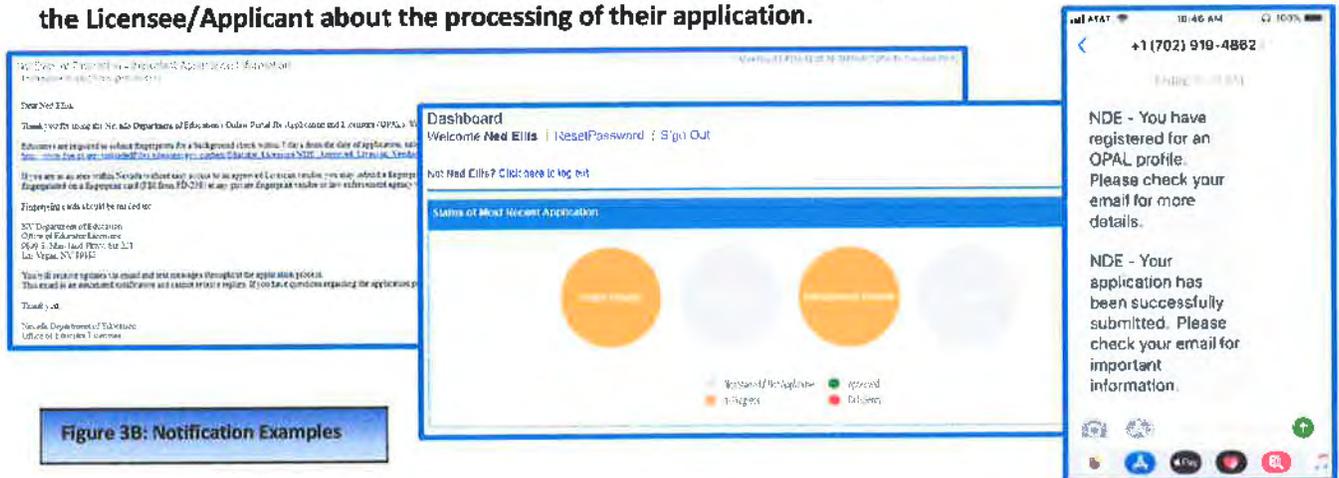
inLumon’s licensing system provides a user-friendly system that automates complex certification, enforcement and licensing regulations using a workflow and business rule driven process focused on ease of use and administration. inLumon’s customer-centric focus and approach of putting the control of the system into the hands of the users has culminated into intuitive systems supporting complex licensing workflows, regulatory processes and services.

For all of our clients, the application workflow is clearly defined to meet their already defined application workflow process. For instance, applications that are initially received (in what some call an ‘Intake queue’) are reviewed for “completeness” by ‘front office’ staff. Any application that is found to be incomplete for any reason, is noted as ‘deficient’. The application itself is then ‘gated’ into a ‘Deficiency queue’ where it is queued for a user configured amount of time.

In cases of a deficiency, the front office staff will note the deficiency(ies) in the application, send a secured message (a message inside the system that is forever associated with the Licensee/Applicant) detailing those deficiencies to the Licensee/Applicant who submitted that application. After any deficiencies are corrected and resubmitted by the Licensee/Applicant, it is automatically moved from the Deficiency queue back into the Intake queue, where staff will once again review the application for completeness. Once an application is determined to be ‘complete’, it is then ‘gated’ to an ‘Analyst queue’ where a more experience State staff reviews the application and determines if the application requirements have been met for licensure, issuance and so on.

Furthermore, inLumon’s system makes extensive use of individualized web portals, SMS messaging (TXTing) and email to keep system users, including staff, Licensees and Applicants notified of actions being taken, status changes, etc. (See examples in Figure 3B) The system can automatically send emails and/or SMS (text) messages as desired.

For instance, notifications and alerts can be automatically sent to an individual Licensee or Applicant as their application moves through the application submission, review and outcome portions of the application workflow as well as the status of background checks. This provides real-time information to the Licensee/Applicant about the processing of their application.



The inLumon system does allow for various types of notifications and alerts including email, SMS text and secure communications. Our Secure Communications capability allows communications to take place between staff and Applicants/Licensees within the system securely. This is similar to secure communications used within the banking industry.

inLumon looks forward to working with the Department to identify necessary workflows in order to satisfy all requirements to capture and track applications via configurable workflow routing.

2. Enable efficiencies such as manageable workflow, work in process tracking, and the ability to historically save an archive of license, registration and charter activity;

RESPONSE: The foundation of our design is a controlled and efficient business environment with emphasis placed on overall flexibility, customer-focused transactions, and reduction of manual intervention. The entire application is driven through configured business rules that can be easily modified and implemented independently. Through the setup and execution of these rules, the system will verify accurate data throughout and consistently process, route and perform tasks in alignment with the agency’s investigation processes, legislative mandate, statutes and/or requirements - thereby enforcing how the agency regulates. Workflows automate the system and can vary considering:

- application, license or case type,
- regulatory process (background checks, complaints, inspections, investigations, etc.),
- business unit / department (accounting, licensing, exams, compliance, audit, education, legal, enforcement, etc.),
- staff roles (administrator, manager, supervisor, clerk, etc.),
- location (region, office),
- intake method, originating party, etc.

In addition to configuring the system to support the Department’s workflows, the inLumon system provides the ability to retrieve historical data and records associated with every individual (Licensee or Applicant) maintained in the system. Examples of this are provided in the figures that follow. Figure 4 below shows all historical information related to education (note the assignment information that is being displayed for the last 20 years):

| Year | School | Assignment | School Year | Hours | ETC | Enrolled | History |
|------|------------------------------|----------------------------|-------------|-------|-----------|----------|---------|
| 2019 | K. O. ROUSSEAU LOCAL SCHOOLS | PRINCIPAL | 2019-2020 | 3 | FULL TIME | | |
| 2018 | SPRING VALLEY HIGH | ADMINISTRATIVE COORDINATOR | 2017-2018 | 5 | FULL TIME | | |
| 2017 | SPRING VALLEY HIGH | ADMINISTRATIVE COORDINATOR | 2016-2017 | 5 | FULL TIME | | |
| 2016 | D. STREET OFFICE | ADMINISTRATIVE COORDINATOR | 2015-2016 | 5 | FULL TIME | | |
| 2015 | DISTRICT OFFICE | ADMINISTRATIVE COORDINATOR | 2014-2015 | 4 | FULL TIME | | |
| 2014 | DISTRICT OFFICE | ADMINISTRATIVE COORDINATOR | 2013-2014 | 4 | FULL TIME | | |
| 2013 | DISTRICT OFFICE | ADMINISTRATIVE COORDINATOR | 2012-2013 | 5 | FULL TIME | | |
| 2012 | DISTRICT OFFICE | ADMINISTRATIVE COORDINATOR | 2011-2012 | 5 | FULL TIME | | |
| 2011 | DISTRICT OFFICE | ADMINISTRATIVE COORDINATOR | 2010-2011 | 5 | FULL TIME | | |
| 2010 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2009-2010 | 5 | FULL TIME | | |
| 2009 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2008-2009 | 5 | FULL TIME | | |
| 2008 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2007-2008 | 5 | FULL TIME | | |
| 2007 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2006-2007 | 5 | FULL TIME | | |
| 2006 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2005-2006 | 5 | FULL TIME | | |
| 2005 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2004-2005 | 5 | FULL TIME | | |
| 2004 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2003-2004 | 5 | FULL TIME | | |
| 2003 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2002-2003 | 5 | FULL TIME | | |
| 2002 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2001-2002 | 5 | FULL TIME | | |
| 2001 | DISTRICT OFFICE | PROFESSIONAL DEVELOPMENT | 2000-2001 | 5 | FULL TIME | | |
| 2000 | C. V. STREET ELEMENTARY | FIRST GRADE | 1999-2000 | 5 | FULL TIME | | |

Figure 4: Historical Information

The following Figure 5 is an example of information available related to application history. That is, it shows all the license applications that have been submitted by the Licensee over time. The inLumon system can display as much or as little of this information that is available to be imported into the system for viewing by authorized state staff.

Individual Details

Personal Financial Education **Application History** License Compliance Notes Log Documents Programs NEPF

Professional Development

Status: No Pending Transactions

| Application Type | Application Number | Submitted On | Action |
|-------------------------------|--------------------|--------------|--------|
| Existing License Registration | | | |
| Renewal | | 04/02/2018 | |
| Additional Lic/End | | | |
| Additional Lic/End | | | |
| Additional Lic/End | | 06/12/2018 | |

Figure 5: Application History

Figure 6 below is a partial example (no sensitive information is shown) of an individual's record within the system. The system maintains all current and historical information, documents (uploaded by Licensees/Applicants as well as State staff), correspondence along with licensure, endorsement and provisional information for multiple licenses that a Licensee may hold:

Individual Details

Personal Financial Education Application History **License** Compliance Notes Log Documents Programs NEPF

Professional Development

Status: No Pending Transactions

License

Download Lic Output

Extend License

Current License/Endorsement

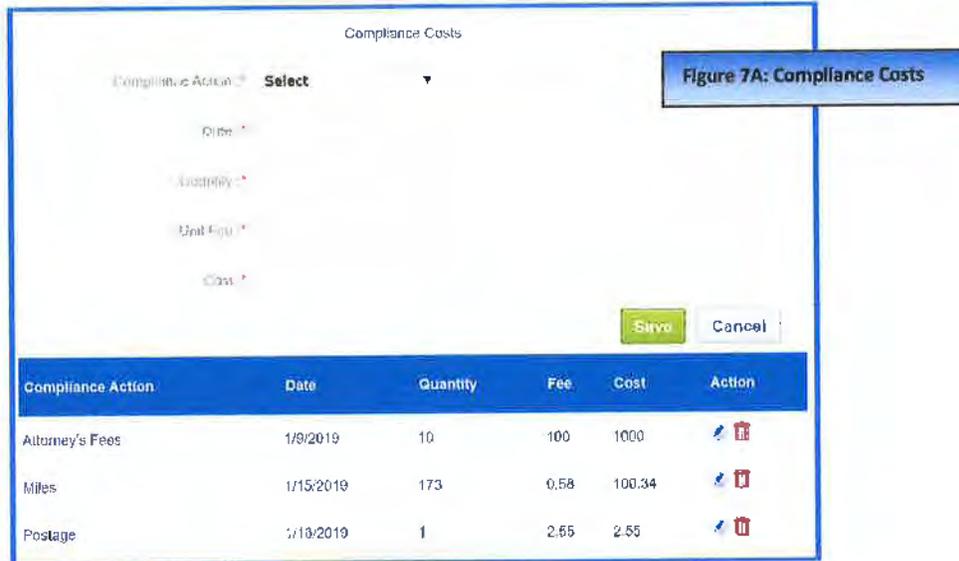
Add LicenseKind/Endorsement

| Kind | Endorsement | Type | Grade | Original | Effective | Expires | Status | Pathway | Action |
|------------|-------------------------|--------------|-------|------------|------------|------------|-----------------|---------|--------|
| Elementary | ALL ELEMENTARY SUBJECTS | Professional | K-3 | 11/21/1994 | 04/03/2018 | 02/10/2024 | Active (Active) | Legacy | + Prov |
| Elementary | ENGLISH | Professional | K-3 | 06/12/2018 | 04/03/2018 | 02/10/2024 | Active (Active) | Testing | + Prov |
| Special | SCHOOL ADMINISTRATOR | Professional | K-12 | 11/16/1998 | 04/03/2018 | 02/10/2024 | Active (Active) | Legacy | + Prov |

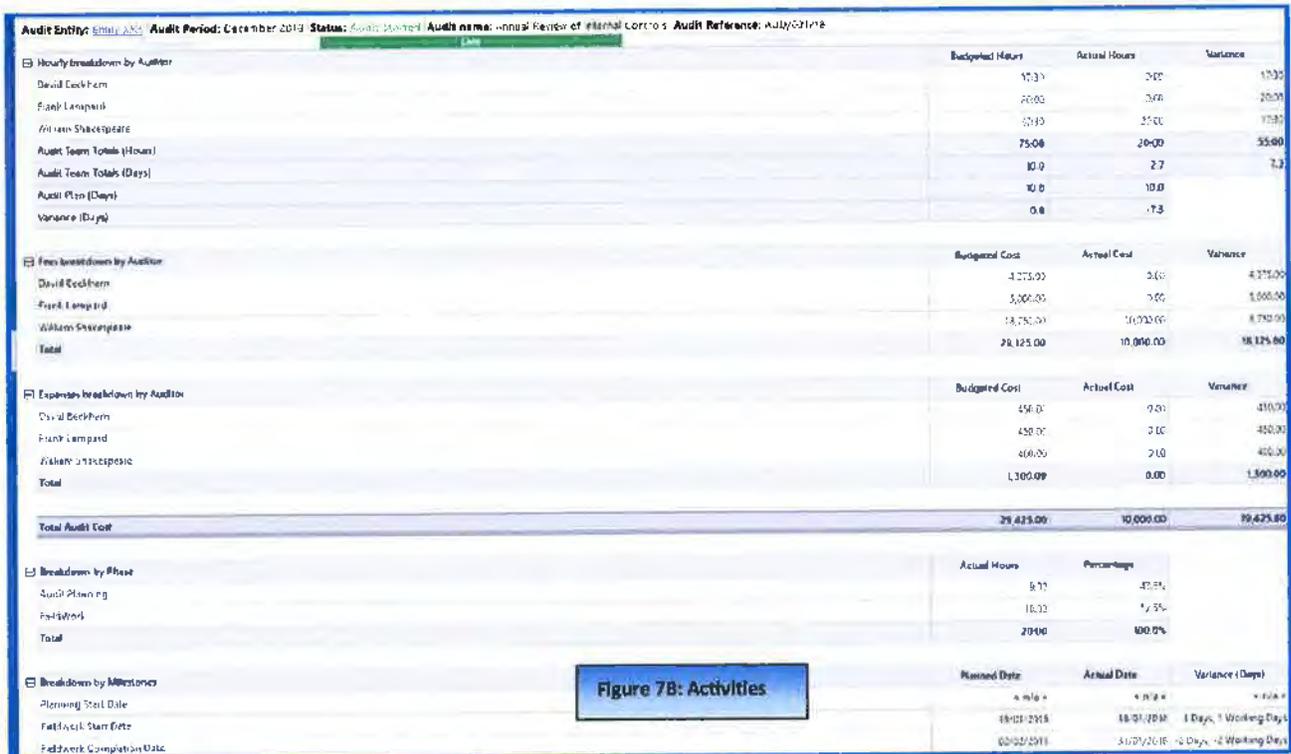
Figure 6: License History

- Track employee assignments, expenses and hours logged against enforcement and examination activities;

RESPONSE: inLumon has read, understands and will comply with this requirement by working with the Department to identify categories enabling staff to track and calculate all associated costs, expenses and time logged against enforcement and examination activities. Following is an example (Figure 7A) of how inLumon configured another client's system to perform these requested tasks:



All assignments, expenses, hours and activities tracked in the system can be reported per Department's requirements. Figure 7B is an example of another system reflecting fees, costs, expenses and breakdowns associated by activity:



Furthermore, all financial transactions that take place within the system occur in real time. That is, as a financial transaction (such as a Licensee paying to renew their license) are generated in the licensing system, tracked and the associated transaction is available in reports, queries, etc.

In the new solution, there will be a built-in report called the Daily Deposit (Slip) Report. When selected from the Reports menu, as shown in the figure below, this report first prompts for a From Date and then for a To Date—it will select only transactions that occurred during that window of time. The report lastly prompts for the Payment Method (Figure 9A):

Daily Deposit Report

From Date: 11/20/2018 To Date: 11/21/2018

Payment Method: All Payment Methods

Search Cancel

Figure 9A: Report Parameters

When the report is run, it will list all transactions that occurred during the defined time, even if that transaction took place just seconds before hitting the 'Search' button. For example, in the following figure we selected a date range (11/1/2018 through 11/21/2018) and selected All Payment Methods to display. The results of that search are shown at the bottom of the page in that figure. Additionally, Figure 9B shows that the information may be exported to either Excel or to a PDF.

Daily Deposit Report

From Date: 11/01/2018 To Date: 11/21/2018

Payment Method: All Payment Methods

Search Cancel

Export To Excel | Login To POC

Show: 20 entries

| Revenue Code | Revenue Code Description | Transaction Date | Transaction Time | Receipt# | Quantity | Price | Payment Amount | Payment Method | Check No. | License Number | Name | Staff Initials | Comments |
|--------------|------------------------------|------------------|------------------|----------|----------|-------|----------------|----------------|-----------|----------------|------|----------------|----------|
| 07 | Business Entity Registration | 11/13/2018 | 10:50:10 | 71920 | 1 | 75 | 75 | CC | | | | ONL | 0 |
| 07 | Business Entity Registration | 11/12/2018 | 04:37:49 | 71928 | 1 | 75 | 75 | CC | | | | ONL | 0 |
| 07 | Business Entity Registration | 11/12/2018 | 00:13:27 | 71928 | 1 | 75 | 75 | CC | | | | ONL | 0 |
| 07 | Business Entity Registration | 11/12/2018 | 03:05:11 | 71927 | 1 | 75 | 75 | CC | | | | ONL | 0 |

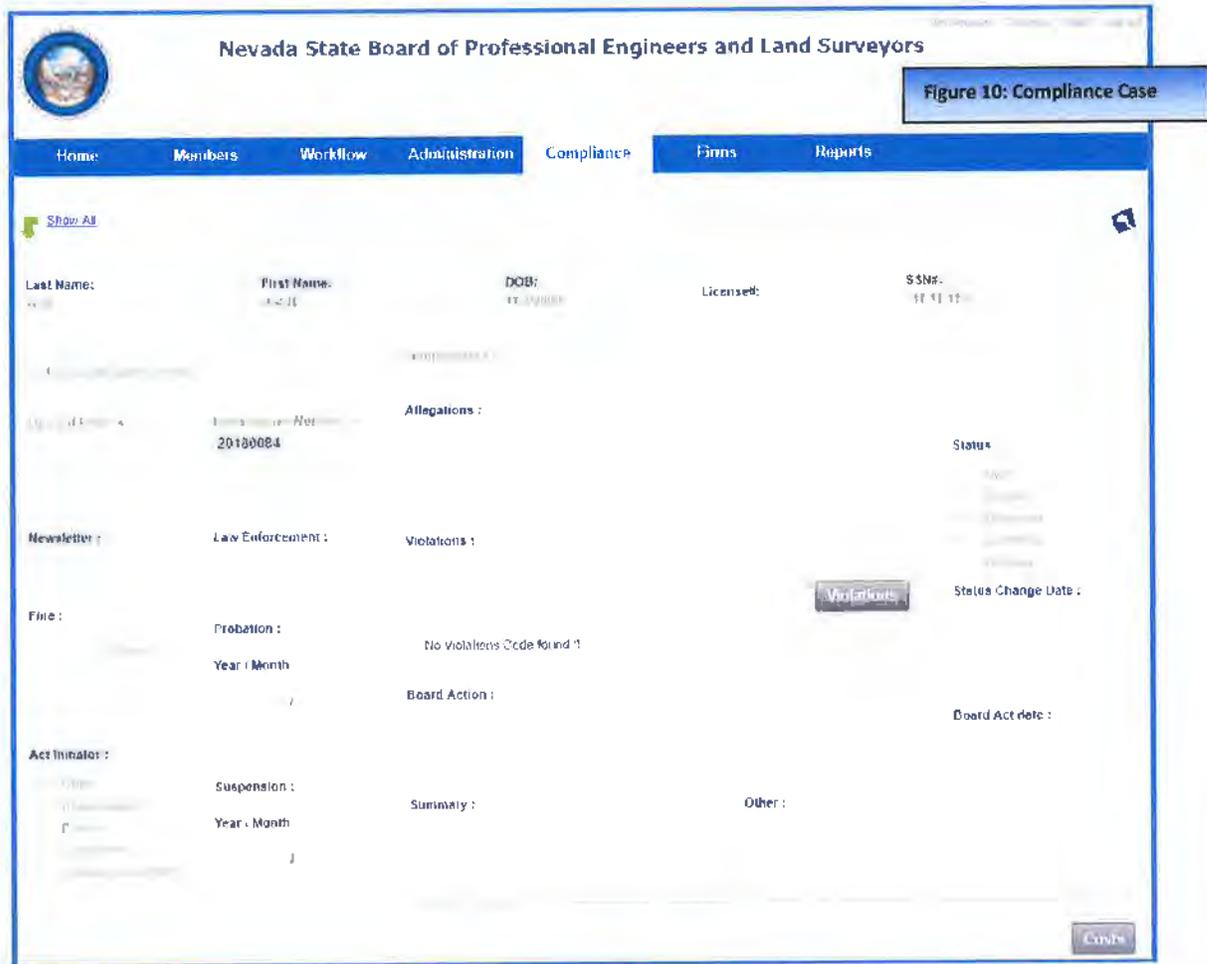
Figure 9B: Deposit Report

First Previous 1 Next Last

5. Attach examination, investigation and complaints to the appropriate license as well as monitor statistics and document types for significant trends;

RESPONSE: In terms of investigations and compliance case management, when a Licensee or Applicant is being investigated, a case is associated to that individual along with any other involved parties (i.e. Complainant, Attorneys, Etc.). All examination information, investigative notes, documents and evidence are also tracked by individual/case number (in whatever format / schema the Department desires) and can be reported against.

If, for example, a complaint is filed against a Licensee and it is determined by the investigation unit that the complaint is actionable, then a case is established and attached to that individual. All investigative notes that are collected, or supporting documents collected relating to that case are uploaded and managed in that case file. For some of our clients, those case notes are reviewed by legal staff before being forwarded to a hearing officer or Board, so as to not unduly influence the hearing officer/Board. This means that a sub-case file is created where only those documents in the case file that can be viewed by the hearing officer or Board are connected. See Figure 10 for an example:



Either way, inLumon commits to working with the Department to ensure that the system from inLumon will meet all investigation and Case Management requirements as defined by the Department.

6. Customize document retention policy expiration and document destruction approval policies and workflows;

RESPONSE: The base licensing system from inLumon provides the capability to archive data and documents per the Department’s retention policy and thus inLumon commits to meeting this requirement. In addition, as shown in Figure 11 below, the solution that inLumon will implement for the Department also provides the ability for authorized staff to archive an individual Licensee record at any time as deemed necessary, or to mark it ‘confidential’.



Marking a record as confidential means that the record still exists in the system, but it is removed from the standard view by State staff, and only authorized staff with the defined ability to view confidential records can still view this record in the system.

7. Allow easy routine searches and offer advanced search capabilities of current and historic information;

RESPONSE: inLumon works with each of our clients to identify the search fields that will be used to find records within the system, including individuals (Applicants or Licensees), licenses, permits, companies, investigations, cases, actions, etc. in the database. For one client, it was determined to create a Basic Search screen (shown by default) as well as an Advanced Search screen that could be accessed by the click of an 'Advanced Search' button. The Advanced Search allowed staff to search by additional fields, such as Driver's License Number, School Attended, Work City, Home City, Zip Code, etc.

A Basic Search screen for will look similar to Figure 12:

Another extensive search feature added by client request was that of the type of search that was performed. While some clients wanted an 'exact match' search, others wanted a search that could be done with 'partial information' entered in any field(s)—known as a 'fuzzy search'. While no search can do both at the same time, inLumon has been able to provide both by setting the default search to an exact match and by providing an 'Allow Fuzzy Search' checkbox that when checked the search will be conducted providing results that contain partial information in any field.

An example of this would be, if the last name 'Michael' was entered and the 'Search' button clicked, all individuals in the database with the last name of Michael will be displayed. If, however, 'Michael' was entered in the Last Name field, the 'Allow Fuzzy Search' box checked and then the 'Search' button clicked, all individuals with the Last Name of Michael, Michaels, Michaelson, McMichaels or any last name that contained 'michael' would be displayed. Our experience has been that this approach provides our users with the best of both worlds.

inLumon looks forward to working with the Department to help define all the search fields and desired methods that are needed throughout the new solution.

8. Allow role based case management, workflows and licensee monitoring;

RESPONSE: inLumon’s Security Services provide authentication and authorization services for inbound requests from users and external applications. Our framework uses role-based authorization across the application to allow access to different types of resources. These resources are granular and can be configured at the field, form, or process level. The framework allows different authorization stores to be used based on the system configuration.

The design authorization is based on the concept of roles and resources. These resources can be coarse-grained resources, i.e. a complete function such as, “creating a new permit” or fine-grained objects such as a specific data field that contains sensitive data and needs to be encrypted (for example, social security number of an individual).

Each control, operation, and menu option within is a resource that can have security permissions assigned to it. Each resource is uniquely identified and associated with a set of access rights in the authorization store. These access rights are associated with user roles.

Our framework uses role-based authorization to correlate users and groups with the permissions that they require to do their jobs. When a user or group is added to a role, the user or group automatically inherits the associated security permissions. These could be permissions to perform actions or to access various resources. The groups are used to determine user roles. In Figure 13 below, Users-Roles Relationship shows the relationship between roles and permissions in role-based authorization. Implementing role-based authorizations can take a variety of forms, including the following:

- **Simple role-based authorization**—Allows the user access resources or services on a single system.
- **Multi-system role-based authorization**—Allows the user access resources or services on multiple systems.
- **Multi-system, action-based or operation-based authorization**—Allows individuals in certain roles to access resources or services on multiple systems, based on the action or operation the role is requesting.

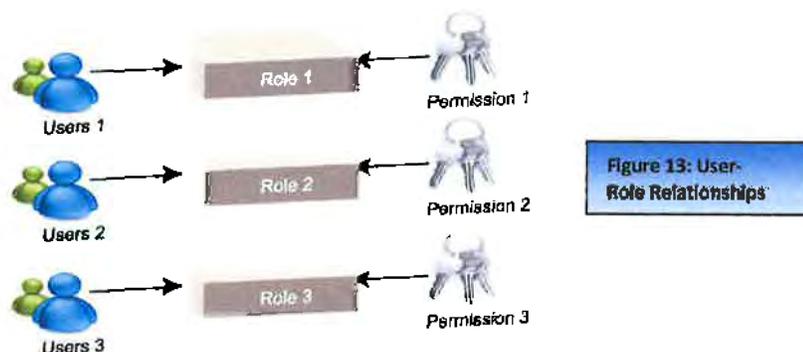


Figure 14 is a User Roles Management screen within the Administration menu of a system. Note the different groups (i.e. Staff, Applicant, Licensee, etc.) and the configured user roles within each group. From this screen, the authorized “super user” at the Department can create, edit and change role permissions to create, update, delete and/or read objects within the system.

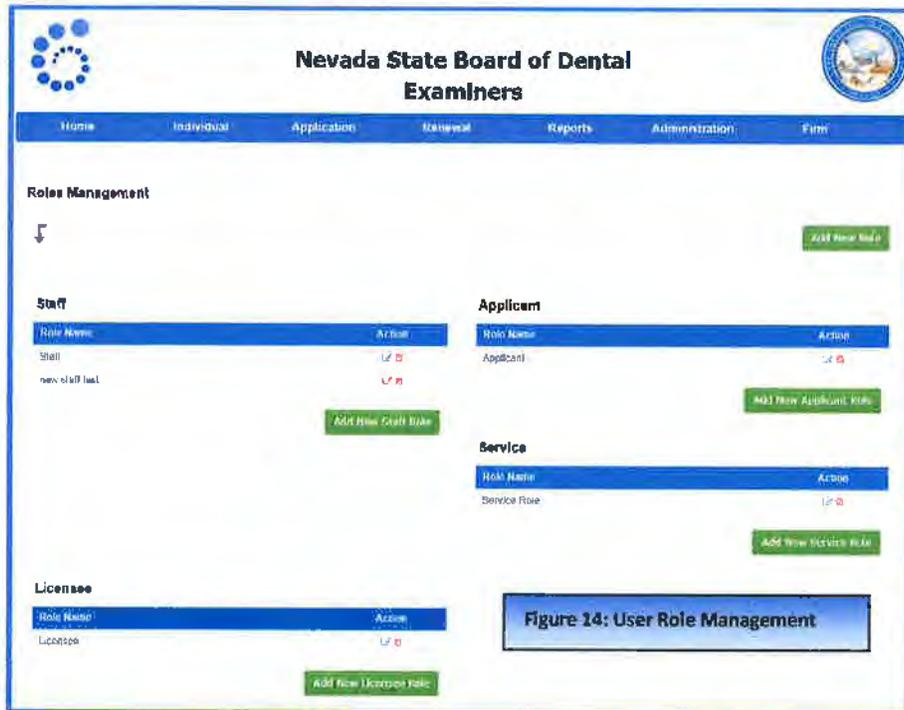
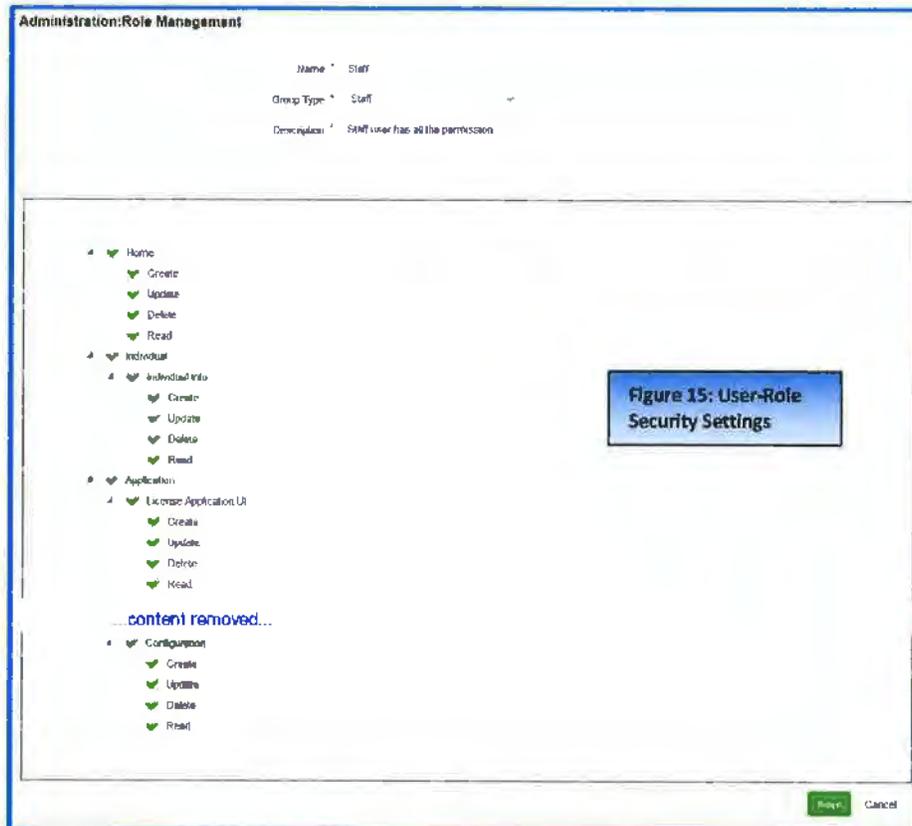


Figure 15 below is an example of how role-based security is defined in the Licensing System and then users are assigned a role (or roles) in the system that then grants them access to perform their assigned duties within the application.



- Allow for the creation of custom data import and export processes;

RESPONSE: Our solution’s technical architecture and approach lends itself well towards integrations incorporating industry standard protocols to support data feeds, transfers and interfaces to other 3rd party systems, including State financial, law enforcement, testing vendors, etc.

Furthermore, inLumon’s Licensing Framework provides integration services to implement inbound and outbound interfaces using both synchronous and asynchronous types of connections. The integration services layer exposes core business services to the external world through a Web services and file transfer gateway. This gateway can support inbound calls over Web services and interface to the business service components or exposes the business service components as Web services to the outside world through security provided by the infrastructure services layer. The integration services layer consists of interfaces for external systems (either within the State or external entities including payment portals), as shown in Figure 16 below:

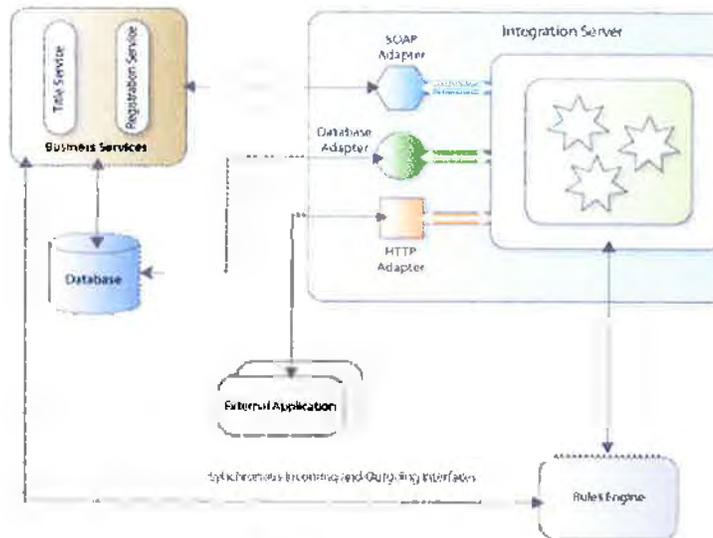
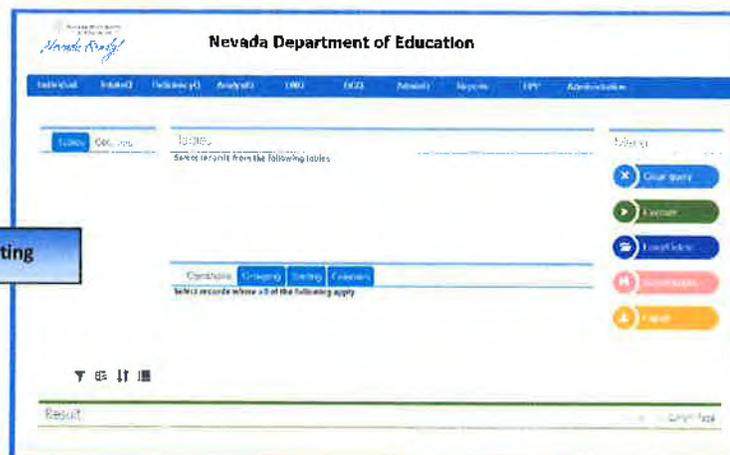


Figure16: Integration

In addition, the solution provides an Ad-Hoc query tool allowing the Department to generate their own reports, as well as exporting those results to PDF, Excel or Word. inLumon provides a Query Tool that clients use to develop ad hoc reports. These reports once defined can be saved and shared between users. Existing queries can be managed and copied to form new queries, slightly different than the source query and saved under a new name. Output from these queries is available on screen but can also be exported to Excel for additional processing or printing. The output from these queries can even be used in Bulk Email functions. Think of the possibilities! Figure 17 below is an example of that query tool in use by another client.

Figure 17: Ad-Hoc Reporting



10. Allow members of the public to securely submit complaints via internet portal;

RESPONSE: inLumon will work with Department to specify, configure and deploy an online complaint portal enabling the public to submit a complaint, including supporting documentation, electronic signature, etc. Figure 18 below is an example of a complaint form developed for another client:

The screenshot shows a web form titled "Complaint Contact Information". The form contains the following fields and sections:

- Name :** Input field
- Primary Number :** Input field
- Email :** Input field
- Name of massage professional complaint is against (first, middle & last if known)**
 - First Name :** Input field
 - Middle Name :** Input field
 - Last Name :** Input field
- Location of Occurrence**
 - Location / Name of Business :** Input field
 - Street :** Input field
 - City :** Input field
 - State :** Dropdown menu (currently showing CALIFORNIA)
 - Zip :** Input field with placeholder XXXXX-XXXX or XXXXX
- Phone No. :** Input field
- Mobile :** Input field
- Email :** Input field
- Notes :** Input field

At the bottom of the form, there is a file upload section with the following elements:

- Upload Document
- Choose File
- No file chosen
- Upload button

Figure 18: Complaint Form

11. Allow licensees to securely submit application, renewal and examination documents and fees via internet portal (Optional will not be evaluated).

RESPONSE: Typical features that inLumon incorporates into online portals include but are not limited to:

- The ability for first-time users to register for access to the system thereby creating a unique User ID and Password that is generated by the system. After completing the routine to create their unique password, applicants will then have access to their online profile within the system.
- External user (Applicants and Licensees) are limited to ONE login session and thus cannot be logged into the system more than once at any given time
- Limits any user to a total of 3 failed login attempts before the account is automatically 'locked'
- The Username and Password fields will inform the user if the Caps Lock is turned on
- Providing a 'forgot password' link that users can use when they forget their password or if they wish to easily change their existing password (as this function will reset the user's account using a temporary password and email that temporary password to the email address noted when the link is clicked)—resetting the temporary password requires entering that password, along with a new password and then verification of that new password (this will be altered as necessary to support the State's security policy)
- A notification is the system is down or unavailable

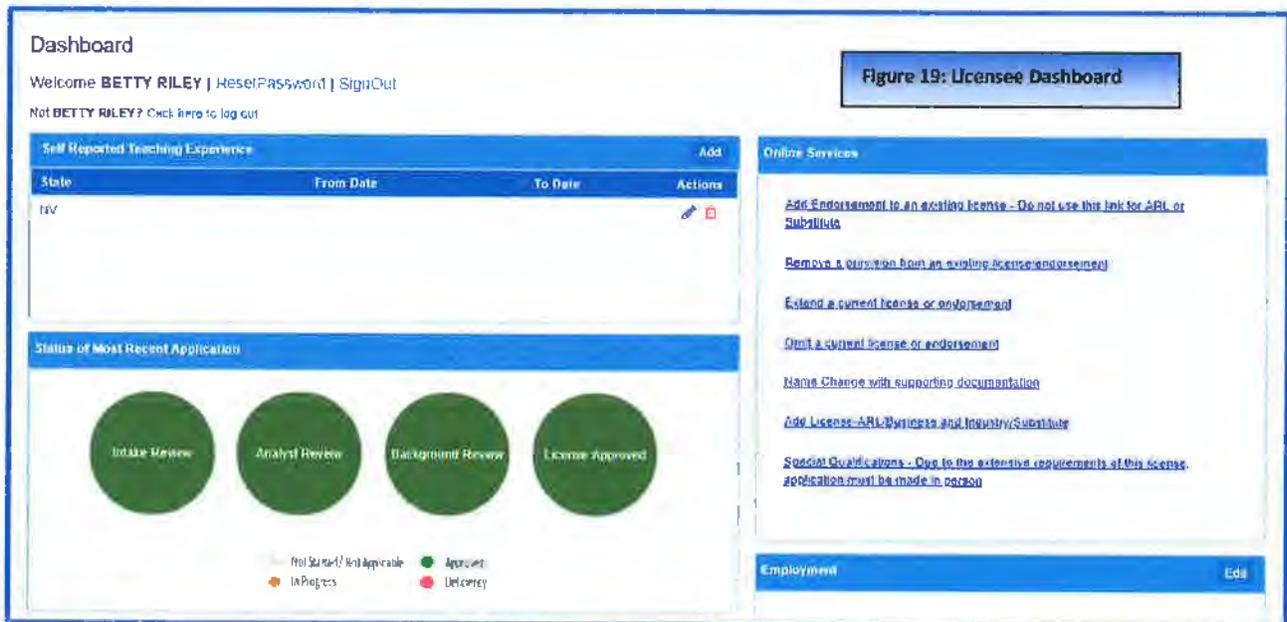


Figure 19: Licensee Dashboard

As shown in Figure 19 above, the status of the most recent application allows the Licensee or Applicant) to monitor the real-time progress of the application. Our clients have found that providing this transparency into the application process, with real-time status of their application, has significantly reduced the number of calls from Licensees/Applicants asking about the status of their application.

Licensees/Applicants can also manage mailing address as well as residential address, contact information and employment information. The Licensee/Applicant can also manage secure messages from their portal (- all secure messages are managed within the system and are associated with the Licensee/Applicant and are viewable by authorized state staff). Examples of this are shown in a partial screen, provided in Figure 20:

inLumon’s system also allows for online credit card, debit card and EFT payments using an API (Application Program Interface). We have interfaced with numerous merchant services, as determined by our clients’ requirements – many specified by the State or agency’s financial institution.

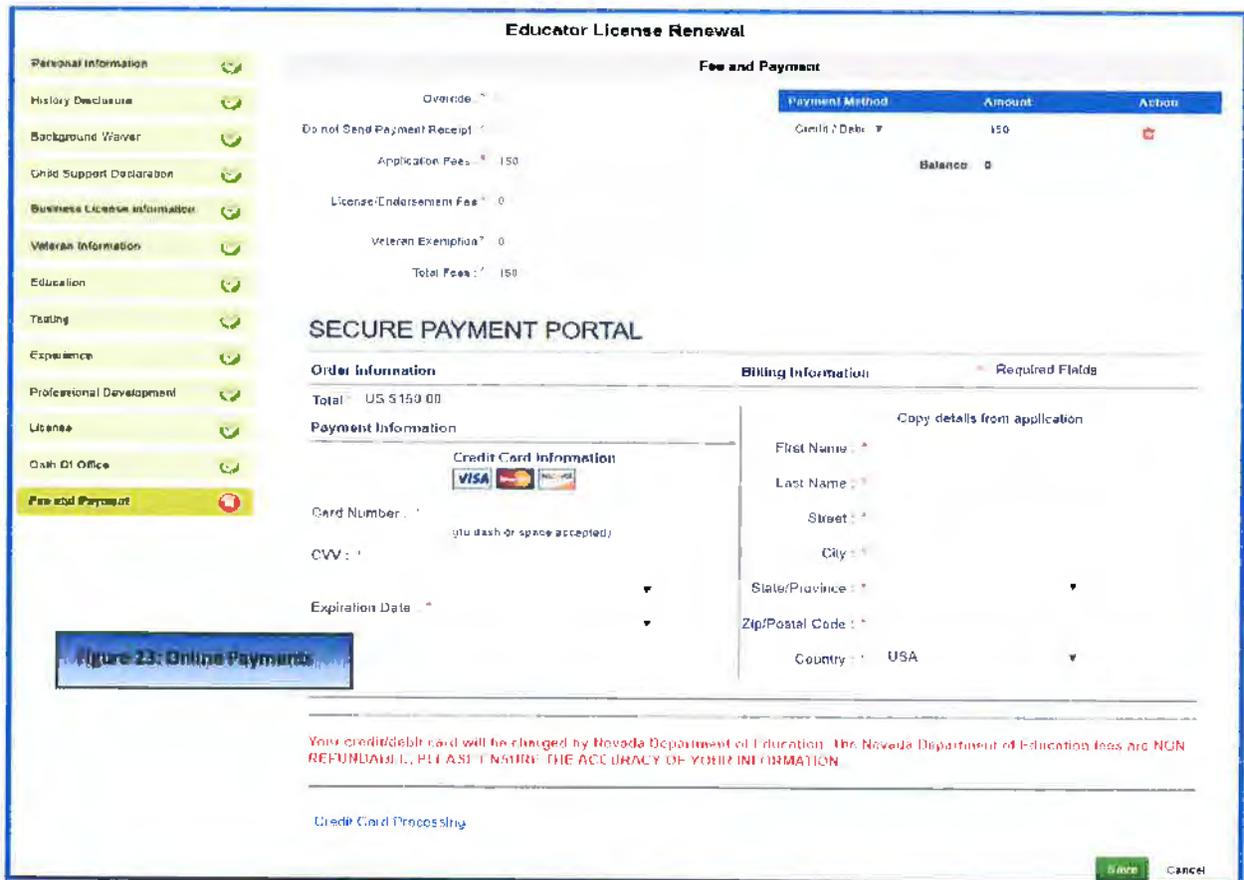


Figure 23: Online Payments

Additionally, the system is capable to split any payment over multiple forms of payment (i.e., different credit cards). Other items shown in Figure 23 above include:

- **Override feature**—this is only available for authorized State staff when entering payment for a paper application which has been entered via the ‘Back Office’. This can be used to override any amount, including waiving of Late Fees, reduced rate for veteran status, etc.
- **Method of Payment**—while the online Licensee/Applicant can only see Credit/Debit Card or EFT, authorized State staff can see additional options such as Check, Money Order, Cashier’s Check, etc.; some clients have decided that credit card information will not be taken by State staff.
- **Client managed message regarding payments as being non-refundable, etc.**
- **Credit Card Processing**—this is a link to the client’s policy regarding credit card processing. Other clients also post a separate link regarding Privacy of Information, etc. Most of these are driven by merchant services requirements or customer legal department/staff.

inLumon works closely with our clients to ensure that the secure online portal for Licensees/Applicants provides them the ability to do as many functions themselves without the aid of state staff. We look forward to working with the Department to provide that same level of service.

Attachment B details a matrix of required business processes to be included in the proposed solution.

RESPONSE: inLumon has completed and is including Attachment B in our response.

At inLumon, we know that change is inevitable – change to business processes, regulatory changes, advances in technology, and the changing demands of the public, staff and your constituents. Change happens both during and after new system implementations, and we recognize, anticipate and accommodate changes with our software and how we support our clients.

inLumon takes pride in how the usability, configuration and development of our solution continually improves and is influenced by the latest software standards, technological improvements, and our clients' input and feedback – so much so, our clients' users become very proficient in the use and configuration of the application (*Such as assigning an expiration date to applications*) that training is minimized or in some cases eliminated due to the inherent intuitive nature of the software solution they are exposed to and work with during the implementation process. Our solution has evolved into a user-friendly, efficient and flexible solution, enabling our clients to effectively perform and optimally automate their regulatory activities while empowering them to make changes to the system, such as business rules, correspondence templates, reports, screens and more, via the user interface without custom development or programming to accommodate. Figure 24 is an example Administration Menu:



Figure 24: Administration Menu

Our solution has been developed anticipating change and empowering our clients to easily adapt their system. Whether it is updating templates to reflect new regulations in advance of effective dates, adding a new certification type, configuring business rules, settings, or staff workflow changes, inLumon's Licensing Framework not only gives users the ability to modify their system without coding, but inLumon also offers clients the ability to add desired functionalities originally developed for another client to their system.

Detailed Administrator level training is also provided by inLumon, where all the tasks identified under the Administration tab are discussed in detail. In fact, inLumon supports hands-on training, and encourages the users to take a hands-on approach to training, by having them complete each task after being shown. This way, it helps to reinforce the training staff has just observed. Some of the highlights include:

- **User Management**—this is where user accounts can be inactivated when staff leaves, where passwords can be reset, etc.
- **Template Message**—This is where email and SMS (TXT) message templates are managed in the system. Staff can change message being sent to licensees without assistance from inLumon.
- **Content Management**—This allows clients to manage the content in their Application and Renewal forms without assistance from inLumon. Staff can make changes in minutes which are reflected immediately when licensees or applicants open new or renewal applications.
- **Configuration**—Here staff can manage several system values themselves without assistance from inLumon. This includes the number of days prior to expiration that a licensee can renew.
- **Reference Table**—This is where staff can manage all drop-down screens without assistance from inLumon.
- **Secure Communication**—This feature allows our clients to communicate directly with licensees and/or applicants, all of which occurs within the system.
- **Task Management & Execution**—This allows clients to create a message they wish to share (via email) to a select group of individuals within the database (task definition) and schedule when that task is to be run. Task Execution allows staff to see the results of the job and provides a list of individuals selected from the database by the task being run.
- **Bulk Email**—allows staff to define criteria to select individuals from the database and create the email message that will be sent to all those individuals.

| |
|-----------------------|
| Administration |
| Board Info |
| User Management |
| Template Message |
| Content Management |
| Document Management |
| Configuration |
| Cash Balancing |
| License Configuration |
| Reference Table |
| Secure Communication |
| Task Management |
| Bulk Email |
| Task Execution |
| Profile |

E. SCOPE OF WORK

1. **IMPLEMENTATION STRATEGY AND PROJECT PLAN MUST ACCOMPLISH INSTALLATION AND TRAINING PRIOR TO 4/3/2020**

Bidder must provide a draft implementation strategy and project plan that must include:

- the delivery of the Financial Licensing and Enforcement Software Solution;
- migration of current Department data to the Financial Licensing and Enforcement Software Solution, Department training and related tasks;
- estimated timeframe per task including estimated start and finish dates;
- total hours per task that will be required to implement the bidder's proposed solution; and
- plan must identify who is responsible for leading the task (bidder or State) and State skill set required to perform the tasks.

RESPONSE: inLumon has read, understands and will comply with this requirement.

2. **CHANGE MANAGEMENT PLAN**

The change management plan must address the manner in which unplanned software changes would be acted upon. Plan may include tiers to reflect differences in handling changes during the implementation phase, and post hand-off phase. The Change Management Process will span the entire project life cycle and incorporate a formal change request process, including formal agency review and approval. Corresponding hourly rates should be separated out and included in the Cost Proposal.

- a. The Contractor must work with the Department to establish a change management process. Change Management is the formal process for identifying changes that arise in the natural flow of the project and determining the disposition of the requested change or correction. The Change Control Process will span the entire project life cycle and incorporate a formal change request process, including formal Department review and approval. After going through the process in Section V.E.2, all changes must go through the Change Order process in Section II-E.
- b. **Change Control Tracking System**
The Contractor must provide a change control tracking system that provides the following minimum requirements:
 - i. The means to control and monitor change requests;
 - ii. A process for reporting the status of all change requests;
 - iii. The ability for the Department to set and change priorities on individual change requests;
 - iv. A method for the Department to determine the estimated and actual hours allocated to each change request and the personnel assigned to each request; and,
 - v. A method to schedule a completion date provided by the Department for each change request.

RESPONSE: inLumon has read, understands and will comply with this requirement.

3. COMPREHENSIVE SYSTEM DOCUMENTATION

Documentation shall include user level and highest administrative level guidance. The documentation must also include a listing of all pre-requisites and any hardware specifics.

RESPONSE: inLumon has read, understands and will comply with this requirement. inLumon provides Technical Training and guidance to ensure knowledge transfer occurs throughout the project as system components are deployed on the following topics:

- **Engineered System Components**
- **System design and schema**
- **System administration and maintenance**
- **System configuration and usage**
- **System procedures**
- **Application and tools development**
- **Report generation**
- **System and role based security**

Typically, we jointly develop an engagement specific Knowledge Transfer Plan describing the approach used to train technical personnel with skills necessary to transfer support responsibility from our technical team to customer personnel. It is our intent to provide customer personnel with the necessary skills to assume full responsibility for the software and effectively monitor and support the new solution.

4. MIGRATION PLANNING AND IMPLEMENTATION

The Contractor will provide and implement a migration plan of all current Department records, documents and templates. The plan will also include processes for any incremental updates until the existing solution is disabled.

RESPONSE: It has been inLumon's experience that all new licensing system implementations require data migration from exiting systems. In many cases, we have migrated data from existing vendor's systems and have extensive experience in mapping their data to our proprietary database. We also understand that data migration is not a one-time activity, but more a series of data migrations until the client and inLumon are satisfied that all data has been migrated successfully. In fact, our project plans call for one last data migration, a 'dress rehearsal' of sorts, before the final data migration for Go Live. In this

manner, we help to reduce risk involved with data migration and increase the success of a smooth transition into production.

In instances where it is a new vendor or unique, in-house system and/or multiple locations that we are migrating the data from, we can expect that it will take longer, and more care is required to ensure a successful data migration into the new inLumon system. This is our expectation with the system—it will take longer than usual, but we are confident that we will have a successful data migration.

inLumon commits to working with the Department to identify and understand existing data necessary for migration, including assessing levels of effort or alternative options to convert records into the new licensing system.

As with most new licensing system implementations, there are user files, records and documents outside of the existing database that require migration into the new licensing system. Our approach allows for this, which includes electronic files to be backed up to a secure server at a hosted site, linking to existing file location(s), or conversion of existing data/documents currently stored in the Department's document management system.

inLumon has experience in doing this with many of our licensing system clients, in terms of pictures or scanned images of paper applications, or pdf versions of uploaded documents. Once the new inLumon system is established, these data files and documents will be imported and made available through the licensing system for access.

In the end, inLumon looks forward to working with the Department to plan and implement a strategy that successfully ensures that copies of electronic files will be backed up to secure server hosted by an outside vendor, including conversion of all existing data/documents currently stored in a Department's document management system.

5. USER TESTING AND ACCEPTANCE PLAN REQUIRED

The bidder will provide a complete summary of rows migrated, including detailed comparisons of any partial loads or errors in processing.

End user acceptance test plans and schedule of no less than three (3) weeks are required.

RESPONSE: inLumon has read, understands and will comply with this requirement.

6. TRAINING ON THE FINANCIAL LICENSING SOFTWARE SOLUTION FOR USER ACCEPTANCE TESTING AND NORMAL OPERATIONS

Describe training location options (on site or at Contractor site) as well as access to web training. Product training: Contractor must provide a live interactive webinar or person to person training to discuss all user features of the product. Webinar or in person training session may be broken into manageable time segments or presented by subject matter. State may have in attendance, varying number of staff with varying skill sets. Either a recording of the live webinar or a special purpose training video, or product manuals or help files are to be made available for periodic referral during the life of the product for the purpose of continuing or new employee training. Topics must include demonstration of the functions built into the application at a sufficient level to perform daily work which includes create, edit and track various license types, payments and related documentation.

Forty (40) hours of training must occur prior to 2/1/2020 and would typically consist of five (5), eight (8) hour days reflecting typical work hours in the central time zone.

RESPONSE: inLumon is pleased to comply with this requirement as meeting and working face-to-face with our clients is paramount for project success and our long-term partnership!

We provide training for user level staff in the new system as well as training for system administrators. In addition to onsite, hands-on training, inLumon develops a 'How Do I...?' manual which outlines how various tasks are accomplished using the system vs. a technical user's manual. Our clients have found that this How Do I manual is most useful and allows staff using the electronic version of this manual to quickly search and find what they are looking for.

inLumon has developed and executed training for various customers across the globe, catering to different training requirements including soft skills, business products and processes. Owing to the rapid growth in technology, with more and more organizations adopting various systems to execute their critical functions, inLumon has shifted its focus to system-based / application – based training. To ensure that these training experiences are effective, inLumon has specialized in the following types of training approaches:

- Web-based training (WBTs) or e-learning for users of the system
- Instructor-led training (ILTs) for users of the system
- Train-the-Trainer (TTT) training for trainers
- Technical training for the developers and other technical team members
- Training for system administrators
- Online help modules embedded within the application
- Training for help-desk personnel

We combine (blend) these training approaches to deliver high impact training for our customers. inLumon will deliver the training as part of the overall project plan. The training courseware development will commence once the technical design has been signed off and the application development has been started.

7. TECHNICAL ASSISTANCE TO INSTALL, OPERATE AND MAINTAIN THE FINANCIAL LICENSING SOFTWARE SOLUTION

Product Maintenance and feature training: Contractor must provide sufficient training for three (3) technical staff and up to two (2) non-technical staff to be well versed in all standard and all custom operations of the Financial Licensing Software Solution. While training will vary depending upon product; State assumes training to be product appropriate length to cover adding or removing features, functionality, custom alterations, queries, user interfaces, tables, and records. Training resources which are to be made available to the Department in supporting the Financial Licensing Software solution include any available manuals, written on line resources, videos and other knowledge transfer tools.

RESPONSE: inLumon has read, understands and will comply with this requirement.

8. TECHNICAL SUPPORT IN RESPONSE TO USER ACCEPTANCE EXPERIENCE

The resolution of all issues identified in UAT will be completed by 3/14/2020.

RESPONSE: inLumon has read, understands and will comply with this requirement.

9. PROJECT HANDOFF

The solution will be implemented and active in the PRODUCTION environment no later than 4/3/2020.

RESPONSE: inLumon has read, understands and will comply with this requirement.

10. CONTINUING SUPPORT AND UPDATES

Ongoing support will be available from the Contractor between 7AM and 6PM CT. Training and documentation for the deployment of minor and major releases will also be provided for up to five (5) Department staff, prior to the completion of the project. Updates will be provided to the Department via secure file transfer solutions (Secure File Transfer Protocol, State-provided VPN access or State-provided ShareFile cloud sharing).

The proposal will also include a time-and-materials rate plan for the life of the contract for any future enhancements or changes within scope that cannot be performed through the configuration of the system.

RESPONSE: inLumon has read, understands and will comply with this requirement.

11. PROJECT PLANNING AND MANAGEMENT

A Project Manager will be provided by the Department, either to be a member of the Department or of the State's Office of the CIO. An Implementation Manager will be named by the bidder to be the primary point of contact throughout the project.

As this request is for a COTS solution, the primary implementation of the system will follow a waterfall method.

Any agency-specific configurations may be completed using agile or waterfall methodologies, as appropriate.

RESPONSE: inLumon has read, understands and will comply with this requirement.

F. DELIVERABLES

1. See Attachment B

TECHNICAL APPROACH

a. Understanding of the project requirements;

inLumon acknowledges that the Nebraska Department of Banking and Finance is on the threshold of a huge modernization effort and that having a partner with deep knowledge of regulatory processes, technology and project management will provide a tremendous benefit.

We are confident that our proposal presents the best functional and technical solution, the most qualified and experienced team, and the best overall value for the Nebraska Department of Banking and Finance (Department). Supporting this claim are the inLumon Team's distinguishing traits that will enable us to keep our promise to the Department for a successful project:

- inLumon understands the requirements of the Financial Licensing and Enforcement Software Solution project.
- Our unique team of industry experts understands the government licensing and enforcement management processes and systems to support them.
- inLumon has successfully implemented and is currently implementing Licensing and Enforcement solutions for Nevada, Wyoming and California regulatory agencies providing significant improvements in their customer service, workflow and regulatory effectiveness.
- We are technologists and architects with hands-on experience designing, customizing, developing and implementing the components that will comprise the solution.
- inLumon brings the resource base and delivery capability to implement the project for Department.
- We surpass client expectations consistently and believe in Integrity and Transparency. We set standards in our business and transactions and are an example for the industry and ourselves.
- We strive relentlessly; constantly improve ourselves, our teams, our services and products, to become the best.
- inLumon has excellent support team available to assist you with all kinds of technical problems.

inLumon's developed and mature Licensing Framework is utilized by several government agencies, state licensing boards and commissions performing similar activities and can easily be configured to support the Department's specific needs as a Financial Licensing and Enforcement Software Solution. The Department will be empowered with automation, workflows based on their business processes, and details of the entities they regulate, including all licenses, applications, continuing education, exams, complaints, investigations, etc. and records of payments, deposits, accounts, etc.

inLumon's Licensing Framework incorporates a COTS solution and custom software which includes a public facing web portal, a business intelligence ad-hoc query tool, a meta-data dictionary and a database engine. By combining these components in a service-orientated architecture, inLumon provides a total business solution spanning the lifecycle of the Department's business processes, including custom workflows, integrated multi-level security, data delivery, full audit and logging, and reports.

The foundation of our design is a secure, controlled and efficient business environment made of several underlying themes. All system components incorporate:

- Flexibility
- Customer Focused Transaction System
- Reduction of Manual Processing
- Modern Common User Interface

inLumon's business application framework utilizes unique components that can be easily modified and implemented independently: Customer, Functional and Common Interface.

Customer—One of the most important aspects of the framework is Customer-centricity. The Customer (individual, providers and/or entities) is one of the most important central entities and integrates with all other entities within the environment. One of the key underlying principles of the framework calls for having a single representation of the Customer within the entire system thus eliminating errors arising from duplicate data entry.

Functional—Underneath the Customer conceptual layer is the functional layer consisting of various functional blocks that perform the specific business functions such as License Issuance and Maintenance, Relationship between entities, Application Process, Complaints, Cash, Inspections and Administration management. These blocks also utilize specific interfaces to external systems or third-party systems.

Common Interface—Common Interfaces are shared among the Common Functional Components and provide services such as:

- Workflow for process execution and management
- Correspondence generation and management
- Security infrastructure that are used by the functional blocks

Coupling inLumon's application framework (See Figure A below highlighting benefits) and our proven implementation approach enables our solution to meet the Department's requirements.



The Benefits of Leveraging the Framework

When clients elect to leverage our Framework for solution design and development, they benefit by receiving

1. Proven functional and technical best practices
2. Reduced risk
3. Decreased cost
4. Shortened timeframes to deploy
5. Solution components designed to be easily modified
6. A comprehensive customer-centric solution model designed to be state-of-the-art, service-oriented, secure, and intelligent.

Our Licensing Framework includes the following subsystems and any additional subsystems identified during the discovery phase of a new system implementation:

- Customer Management
- Privilege Management
- Business License Management
- Licensee (Member) Services
- Enforcement Management
- Financial Management
- Support System Components

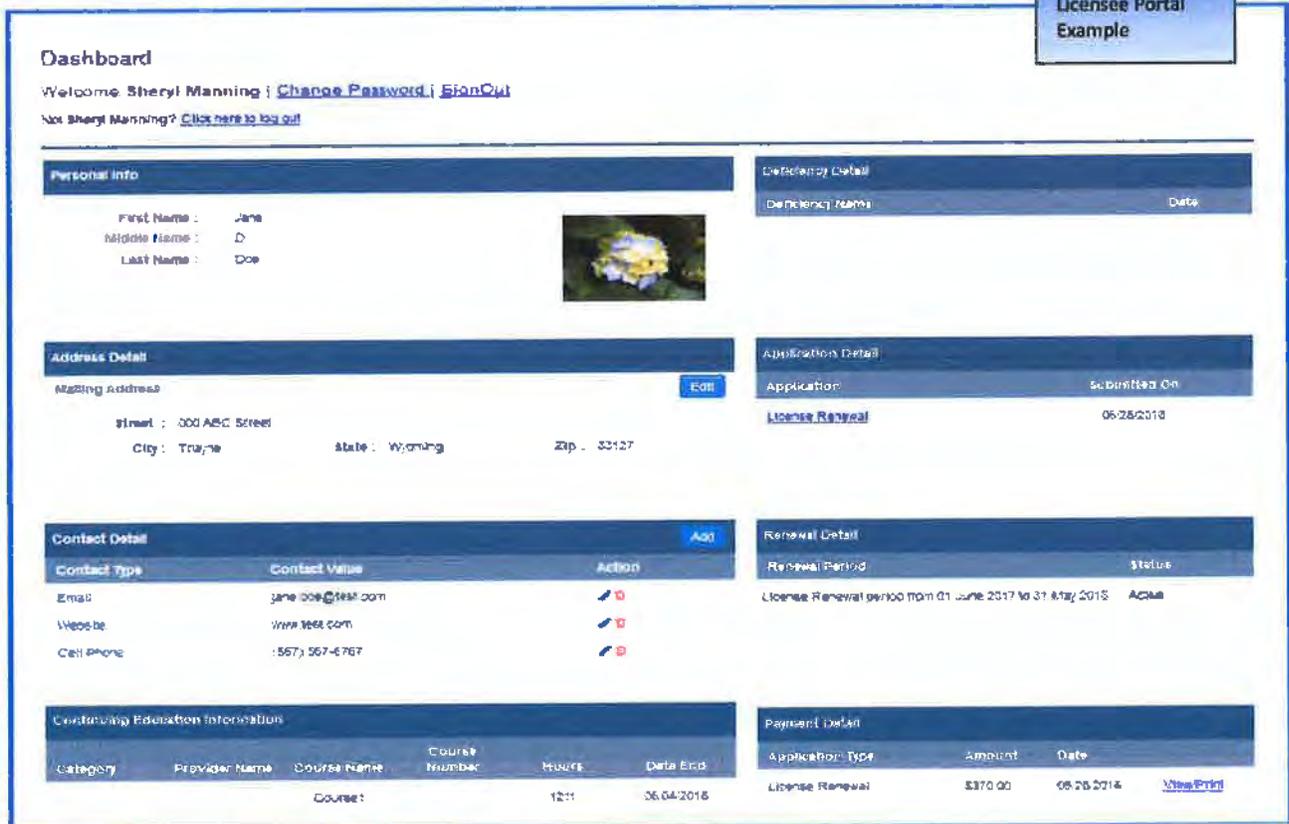
Customer Management

Customer Management components are core subsystem of our framework. This approach enables the Department to maintain a customer profile with details of the customer including all license applications. All transactions revolve around the customer and provide the common link among licenses, history, exams, financial transactions and other functions. A customer can be an individual, company or business (provider), and the system allows maintaining customer demographics, multiple addresses, contact information, customer profile for the online portal, customer identity information, customer account, and other related information. The framework also provides robust search capabilities, whereby searches can be made by key fields. The central customer subsystem includes:

- Management of customer information (names and addresses)
- Demographics
- Customer relationships
- History
- Correspondence
- Problems
- Accounts

Our solution is managed at the user level by the creation of unique customer profiles. This unique customer profile is a central engine to support all services to customers including name changes, address changes, credentials issued, correspondence, exam and/or education information, account management, and other related information. Figure A illustrates how an online licensee portal provides various services the agency desires to enable the user to perform (i.e. contact information and address updates, license renewal, view/print receipts, CE, etc.)

Figure A: Online Licensee Portal Example



The screenshot shows a user dashboard for Sheryl Manning. The dashboard includes several sections:

- Personal Info:** First Name: Jane, Middle Name: D, Last Name: Doe. Includes a profile picture.
- Address Detail:** Mailing address: 000 ABC Street, City: Trayne, State: Wyoming, Zip: 32127. Includes an 'Edit' button.
- Contact Detail:** A table with columns for Contact Type, Contact Value, and Action.

| Contact Type | Contact Value | Action |
|--------------|-------------------|-----------------|
| Email | jane.doe@test.com | [Edit] [Delete] |
| Website | www.test.com | [Edit] [Delete] |
| Cell Phone | :567.567-6767 | [Edit] [Delete] |
- Continuing Education Information:** A table with columns for Category, Provider Name, Course Name, Course Number, Hours, and Date End.

| Category | Provider Name | Course Name | Course Number | Hours | Date End |
|----------|---------------|-------------|---------------|-------|------------|
| | | Course 1 | | 12.1 | 30.04.2018 |
- Deficiency Detail:** A table with columns for Deficiency Name and Date.
- Application Detail:** Application: submitted on 05/28/2018. Includes a 'License Renewal' link.
- Renewal Detail:** Renewal Period: License Renewal period from 01 June 2017 to 31 May 2018. Status: Active.
- Payment Detail:** Application Type: License Renewal, Amount: \$370.00, Date: 05/28/2018. Includes a 'View/Print' link.

Privilege Management

The concept of a generic Privilege Management subsystem is enabled by the analytical view that any service or product that is offered provides a privilege to the customer. Once this concept is adopted and all entities normalized, then the power of developing generic routines to grant, track, suspend, reinstate and renew privileges can be developed and deployed across the range of products and services offered by the Department to its customers.

inLumon's framework is designed the same way. When an event triggers a suspension of an application (perhaps for failure to meet requirement(s)), the same software is activated triggering the suspension of the application. Or if the applicant's education is not recorded, the system will not issue a license until complete. The parameters of the two transactions are, of course different. But inLumon's generic privilege management routine parallels the Department's requirements.

Business License Management

Business License Management subsystem supports the business requirement of processing and managing licenses for various types. General activities at the point of entry area will consist of some or all of the following (depending on the user):

- Recall current applicant information and review
- Approve and process licenses
- Maintain education, employment history and related identification information
- Support licensing requirements
- Correct license information

Licensee (Member) Services

The License Issuance subsystem provides all capabilities related to licenses and the issuance of credentials. These functions include:

- Issuing new licenses
- Maintenance and tracking of requirements
- Interfacing with other systems as required
- License Application Process

As with other subsystems, the License subsystem is designed with flexibility as a key element. For example, if the Department decides to change from a one-year to two-year license term, applying the modification would be a simple change to a configuration table. Changes in the fee structure can also be made to parameter-driven tables as opposed to having to change application code.

As part of our solution framework, this subsystem also allows the workflow management for issuance of any product to the customer, which allows the Department to manage the process in accordance with its needs. Workflow management allows Department to review all information at a central location before issuing a credential. It also provides additional functions such as cancellation of previous applications, checks for status, and a customer-centric credentials issuance process.

Enforcement Management

inLumon's enforcement module allows recording complaints received, opening a case, conducting an investigation, managing outcomes, etc. Every case is assigned a case number based on the agency's schema. The complaints are associated with the business and/or licensee information. The cases are assigned using to the Investigator(s) using a Workflow process. The correspondence related to the case is generated directly using the workflow, automatically generated, and the correspondence is recorded. Specific requirements related to Enforcement Management will be discussed during the Discovery Phase and changes made during the development phase.

Financial (Cash) Management

The Financial Management subsystem will consist of the management and calculation of fees, fines and taxes, and will interface with the Department's Financial system to account for monetary transactions.

The Financial Management subsystem supports the business requirement of tracking activities associated with the control and accounting of funds. This capability is provided through a set of online applications (functions) and system processes and will specifically include the management of funds collected from Department office(s), business partners, and self-service channels. All financial processing and reporting functions reside within this logical subsystem. It encompasses processing of funds through electronic commerce (that is, credit card processing over the Internet) and point-of-sale (POS) transactions (for example, credit card, cash, check, debit card, and escrow account processing through the POS functions). This subsystem provides associated system management functions and processes allowing daily, weekly, monthly, and yearly reporting at various levels. In addition, it encompasses the reporting characteristics required to support the ongoing monitoring, audit, and management of the various units.

The framework also provides the ability to maintain information about fees and taxes including type of tax or fee, effective dates, ending dates, account number, distribution amounts (including local levels), distribution percentages, and remittance information. The system also can configure fee types, including adding, modifying, and deleting fee types.

The system records Non-Sufficient Funds (NSF) against a customer and record. The system allows the charging of a handling fee whenever a check has been dishonored and returned by the bank. The system provides for fines to be levied against and collected from customers. The system can also process restitutions for NSFs.

Support System Components of Framework

The inLumon framework has core sets of support system components under the functional and user interface layer of the application. These components are the engine that drives the entire business layer of the application and, through predetermined rules, verifies that the data is consistent throughout the system. Support System Components of framework include the following subsystems:

- Workflow Management
- Deficiencies Management
- Document and Image Management
- Correspondence Management
- Fee Management
- Auditing
- Security Services
- Integration Engine
- Reporting Services
- Web Based Transactions and Mobile App

Workflow Management

inLumon has developed a flexible workflow module that can be customized to meet the DEPARTMENT transaction workflow requirements. Workflow may vary based on application type, regulatory processes, etc. and will need to be discussed and finalized with DEPARTMENT during the Discovery phase of the project. inLumon's workflow module consists of two subsystems:

Workflow Setup—Used for setting up the workflow using the workflow framework in our system

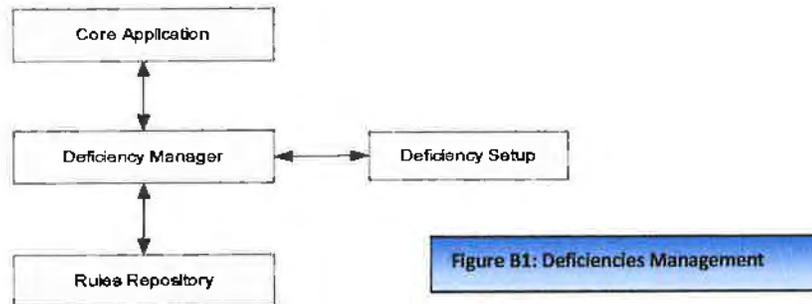
Workflow Execution—Has business rules and routines to allow execution of workflow in transactions based on the setup.

Highlights of our solution’s workflow capabilities include the following:

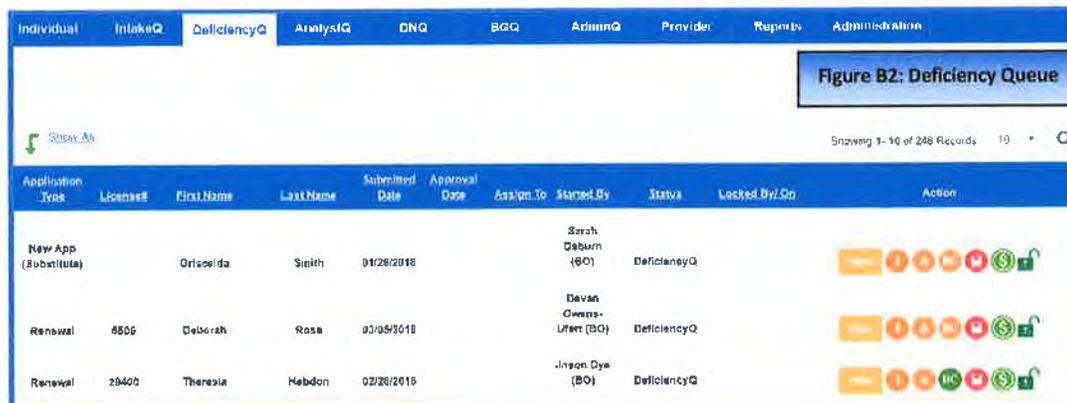
- Integration with roles, groups, and tasks that can be defined using our workflow screens
- Defining of activities and transactions with appropriate approval steps
- Integration with imaging and images associated with activities that will be routed using workflow
- Support of manual routing; this allows supervisors and authorized users to change and monitor assignments
- Reprioritization support of activities in work queues by authorized users
- Provision of features such as suspend/resume/cancel

Deficiencies Management

The Deficiency Management subsystem is responsible for capturing all the pre-requisites (e.g. mandatory information and documents to process an application) and manage these through the application life cycle, as shown in Figure B1.



The Deficiency Management subsystem is used to manage mandatory data items or documents that depend on a transaction type in the system. The system runs based on predetermined rules. For any transaction, the system passes the transaction data to the deficiency component, and the deficiency manager identifies the deficient data based on predetermined business rules. It contains a provision to suspend the transaction and produce or print a notice or other correspondence to the customer. The system will automatically keep track of all deficiencies for each transaction and can notify customers of those deficiencies via print out / display notification(s) for the customer to act on it. Figure B2 illustrates how the system can support a deficiency process and workflow by placing applications in a queue:



| Application Type | License# | First Name | Last Name | Submitted Date | Approval Date | Assign To | Shared By | Status | Locked By/On | Action |
|----------------------|----------|------------|-----------|----------------|---------------|-----------|------------------------|-------------|--------------|----------------|
| New App (Substitute) | | Orlando | Smith | 01/28/2018 | | | Sarah Daburn (BO) | DeficiencyQ | | [Action icons] |
| Renewal | 8506 | Deborah | Rosa | 03/05/2018 | | | Devan Owens-Lwert (BO) | DeficiencyQ | | [Action icons] |
| Renewal | 29400 | Theresa | Haddon | 02/20/2019 | | | Jason Dye (BO) | DeficiencyQ | | [Action icons] |

Auditing

The framework employs the concept of activity. A business function carried out within the system is a type of activity. The system can be configured to log each activity being carried out with the system. This information is stored in the database and can be retrieved to analyze or identify patterns for fraud prevention. As part of the business function audit, the system logs the following data points:

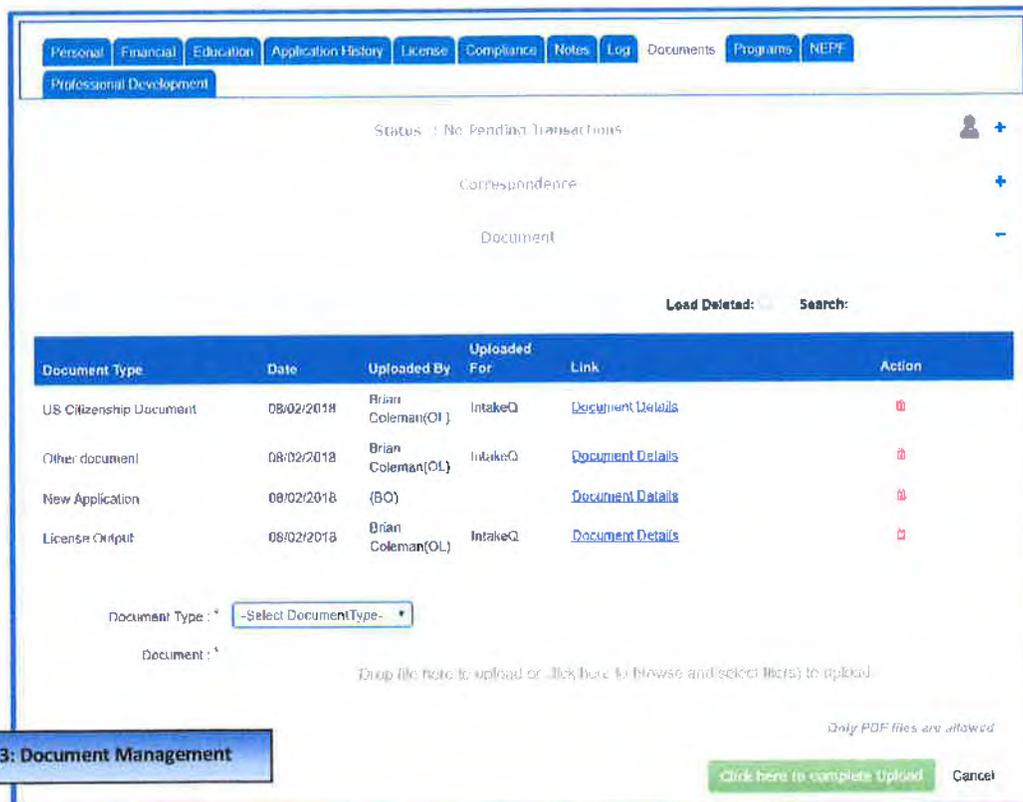
- Logged-in user
- IP Address from which the user is logged in
- Activity date and time
- Activity type
- Application Number (if a customer is in context of the business activity)

Document and Image Management

inLumon's Document and Image Management subsystem is responsible for managing the life cycle of various scanned images or electronic documents. The framework also supports integration with third-party content management systems. Highlights of the Document and Image Management subsystem include:

- Identification of supporting documents for each transaction
- Capturing of documents and bringing them into the system using scanning
- Indexing of documents to attach to a record or set of records
- Ability to export documents from the system
- Provision of privilege-based security to protect documents from unauthorized access
- Provision of enabled signature capture and automatic signature capture using document templates.

Figure B3 illustrates an example of how documents uploaded into the system are associated to an individual record, stored and made available for easy access:



The screenshot shows a web application interface for document management. At the top, there is a navigation menu with tabs: Personal, Financial, Education, Application History, License, Compliance, Notes, Log, Documents, Programs, and NEPF. The 'Documents' tab is selected. Below the navigation, there is a status indicator 'Status: No Pending Transactions' and a user profile icon. A section titled 'Correspondence' is expanded to show a 'Document' list. Below the list, there are controls for 'Load Deleted' and 'Search'. The document list is as follows:

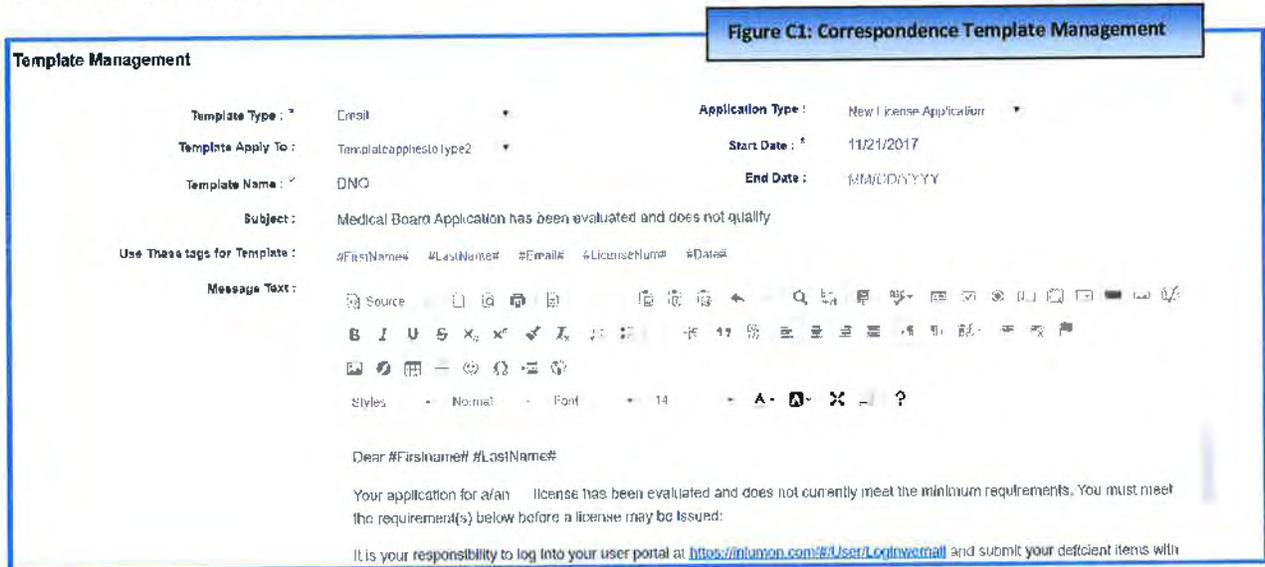
| Document Type | Date | Uploaded By | Uploaded For | Link | Action |
|-------------------------|------------|-------------------|--------------|----------------------------------|--------|
| US Citizenship Document | 08/02/2018 | Brian Coleman(OL) | IntakeQ | Document Details | |
| Other document | 08/02/2018 | Brian Coleman(OL) | IntakeQ | Document Details | |
| New Application | 08/02/2018 | (BO) | | Document Details | |
| License Output | 08/02/2018 | Brian Coleman(OL) | IntakeQ | Document Details | |

Below the table, there is a 'Document Type' dropdown menu set to '--Select DocumentType--'. Below that is a 'Document' input field. At the bottom right, there is a note 'Only PDF files are allowed' and a green button 'Click here to complete Upload' next to a 'Cancel' button.

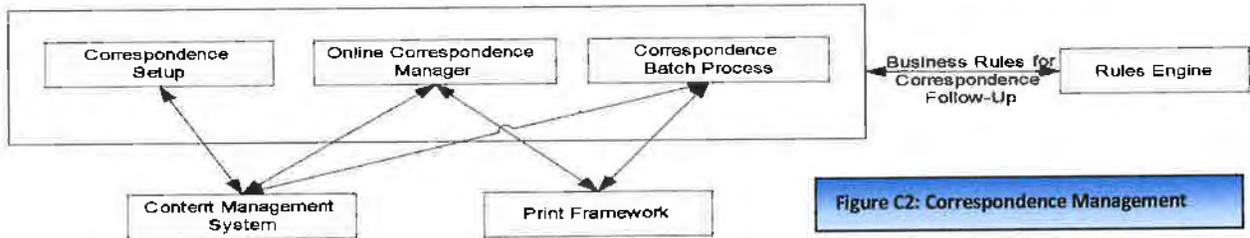
Figure B3: Document Management

Correspondence Management

The customer communication process is varied and can include postal, mail and e-mail correspondence. This correspondence is often system-generated in response to an event such as an application nearing expiration. This correspondence is based on a set of standard templates that will be defined and maintained in the system. Each Department transaction will have a set of standard templates that are applicable to it. Figure C1 illustrates an example of template management within the solution using an industry-standard text editor.



The Correspondence Management subsystem manages the entire correspondence template as illustrated in Figure C2 below.



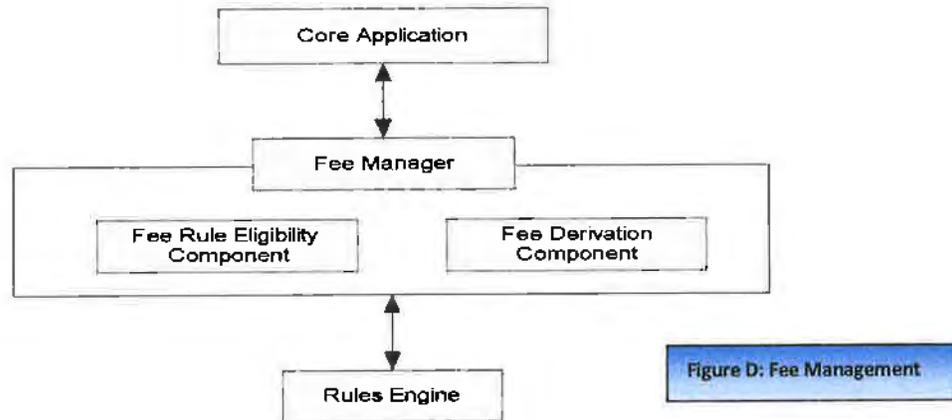
Reporting Services

Our Reporting Services subsystem enables the generation and distribution of reports from either the operational database or the reporting database. The Reporting Services subsystem helps in generating forms, correspondence, and other documents in printable format for distribution to various end users. The operational reports provide a more tactical view of the business operations. The operations report can run against the operational data source or the reporting database depending on the type and nature of the report being generated.

The same architecture can be used to generate a variety of business documents such as forms (blank or with data filled in), correspondence, and instructions. The reports and document generation can happen in an online ad hoc manner and in batch mode.

Fee Management

The Fee Management subsystem consists of calculating the various fees for a specific transaction and fees rules management as illustrated in Figure D below.



Fee management functionality is implemented based on a common rules engine that is used in other frameworks such as deficiency and supporting documents. The Fee Management framework consists of:

Fee Rule Eligibility— Identifies which fee derivation rules are applicable based on the parameters supplied as part of the transaction.

Fee Derivation Rule— Derives the exact fees required for the transaction by a percentage-fee-based rule or a fixed-fee-based rule. A fee rule derived that is based on the two foregoing (min of the two/max of the two).

Web Based Transactions and Mobile App

Customers will be able perform online transactions only after they have been authenticated. Any business transaction over the web that requires fee collection will not be complete unless a fee (if required) has been successfully collected and customers will be provided a confirmation number at the end of every transaction which will be used for future correspondence.

All the customer information will be exchanged over a secure web connection. The web channel will interface with Department database real time and utilize the same underlying system components as the rest of the system modules. This will minimize the customization needed for the web. The re-use of common functionality will also allow for new web channel transactions to be easily added in the future. As with all other channels in the system, the web channel will maintain an audit-trail for all business transactions performed.

The web channel will allow members, businesses, and partners to perform transactions identified during the discovery phase via the Internet through secure portals. Our service-oriented architecture will allow for the flexibility to add new services and transactions easily as Department business needs change.

The Mobile App will also interface with Department database real time and utilize the same underlying system components as the rest of the system modules (similar to the web channel).

Security Services

inLumon’s Security Services provide authentication and authorization services for inbound requests from users and external applications. It exposes application programming interfaces (APIs) and objects to be interfaced from the core layers such as the user interface, navigation, and business services layers. Our framework uses role-based authorization across the application to allow access to different types of resources. These resources are granular and can be configured at the field, form, or process level. The framework allows different authorization stores to be used based on the system configuration.

The design authorization is based on the concept of roles and resources. These resources can be coarse-grained resources, i.e. a complete function such as, “creating a new license” or fine-grained objects such as a specific data field that contains sensitive data and needs to be encrypted (for example, social security number of an individual).

The system also manages the concept of sensitive information. This information is identified during the discovery phase and is stored in the database as encrypted data. This sensitive information is carried through the application layers in an encrypted manner and is decrypted only for a user with the appropriate roles. Each viewing event regarding a user’s sensitive information is logged into the auditing storage. Our system also implements the concept of overriding the access control based on a high authorization (that is, a supervisor override). The supervisor override can be based on a combination of user name and password or a secure key that can be read with a barcode or entered by the supervisor.

Each control, operation, and menu option within is a resource that can have security permissions assigned to it. Each resource is uniquely identified and associated with a set of access rights in the authorization store. These access rights are associated with user roles.

Our framework uses role-based authorization to correlate users and groups with the permissions that they require to do their jobs. When a user or group is added to a role, the user or group automatically inherits the associated security permissions. These could be permissions to perform actions or to access various resources. The groups are used to determine user roles. In the Figure E below, Users-Roles Relationship shows the relationship between roles and permissions in role-based authorization. Implementing role-based authorizations can take a variety of forms, including the following:

- **Simple role-based authorization**—Allows the user access resources or services on a single system.
- **Multi-system role-based authorization**—Allows the user access resources or services on multiple systems.
- **Multi-system, action-based or operation-based authorization**—Allows individuals in certain roles to access resources or services on multiple systems, based on the action or operation the role is requesting.

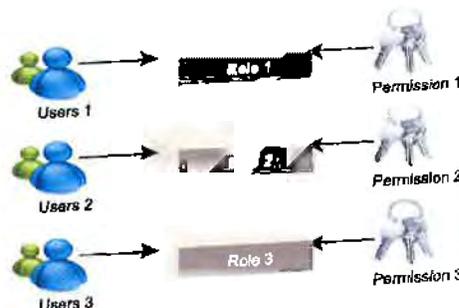
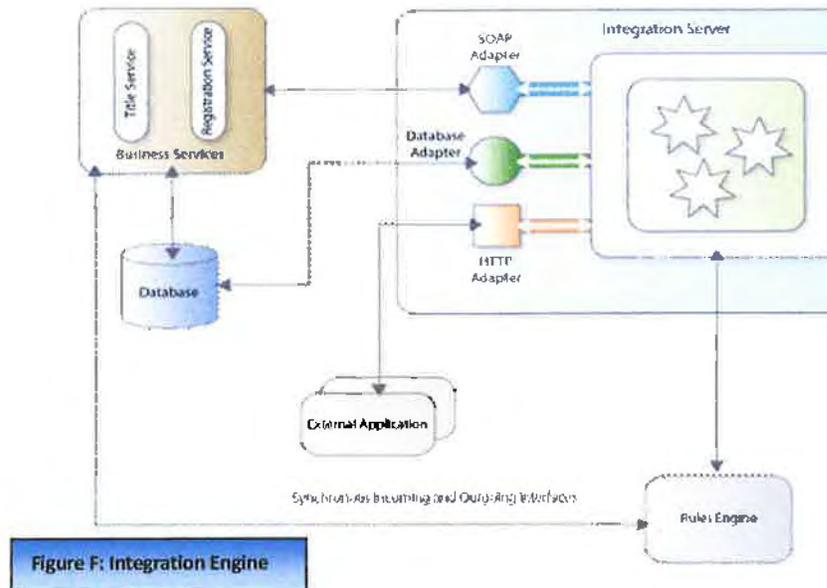


Figure E: User-Roles Relationship

Integration Engine

The Integration Engine subsystem provides services to implement inbound and outbound interfaces using both synchronous and asynchronous types of connections. The integration services layer exposes core business services to the external world through a Web services and file transfer gateway. This gateway can support inbound calls over Web services and interface to the business service components or exposes the business service components as Web services to the outside world through security provided by the infrastructure services layer. The integration services layer consists of interfaces for external systems (either within the State or external entities), as shown in Figure F below.



The integration layer provides interfaces to the various systems using hypertext transfer protocol (HTTP), file transfer protocol (FTP), simple object access protocol (SOAP), and database adaptors. The interface subsystem is flexible enough to provide following characteristics for interfaces:

- Handle external or internal interfaces to the Department
- Handle inbound or outbound data exchanges
- Allow synchronous or asynchronous communication
- Allow batch transfer of data or one-off exchange of data records on as needed basis
- Support message security (encryption, non-repudiation, etc.)
- Handle multiple record formats
- Handle multiple protocols

b. Proposed development approach;

inLumon's effective blend of revolutionary spirit, technical expertise, incisive business perspectives, and creative skill sets help our clients achieve desired outcomes and operational improvements, including several State Licensing Boards, Commissions and Agencies. Living out our belief in Integrity and Transparency, we surpass client expectations and strive relentlessly; constantly improve ourselves, our teams, our services and products to become the best.

Partnership, Professionalism, and Teamwork - These are words that describe the way we engage all our customers and manage each implementation. While success is often measured in terms of meeting contractual obligations, stated project metrics or specific deliverables, at inLumon success is also measured in terms of end user satisfaction and when stakeholders realize real benefits from the work we have performed. We take immense pride in our results and apply our simple Management Principles when we engage in any implementation to ensure satisfaction.

For inLumon, implementation starts on the first day of the engagement and finishes only when our customer is completely satisfied with the solution that we have implemented. Our implementation management approach focuses on achieving project and organizational objectives – implementing and maintaining the management framework needed to sustain collaborative relationships, and institutionalizing processes and procedures needed to meet the planned schedules while producing a quality product. It also includes the rigorous monitoring and measurement necessary to mitigate the risks associated with all large system implementation efforts.

As with every implementation, inLumon produces a comprehensive project plan and schedule based on our understanding of the project, our extensive experience implementing similar Regulatory Database systems as well as our robust delivery methodology. Our methodology emphasizes face-to-face communication and stakeholder feedback over extensive requirements gathering.

inLumon's Project Management Framework follows industry accepted best practices for project management based on the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK®). At inLumon, we understand that simply having the required tools, frameworks, methodologies does not always translate into project success. We believe a capable and experienced project delivery team is critical to success. inLumon employs PMI certified Project Managers who apply deep knowledge, leverage past experiences and lessons learned, as well as utilizing industry accepted tools and techniques to monitor and control implementation activities. We apply this approach on all projects to meet or exceed our customer's project needs and objectives.

Detail orientation is very important in a licensing project implementation. Within this proposal, we have highlighted how our COTS based solution will reduce risk. In this section we will aim to demonstrate how our deep experience in implementing licensing systems will enable us to keep on track for a project of this size and complexity. We will accomplish this by leveraging:

- Detailed task level plan with relevance to system requirements (function and module wise)
- Early recognition of data conversion and interfaces
- Rules Engine
- POC early on in the project
- Artifacts and deliverables from our previous Licensing Framework implementations

We cannot emphasize more on the last point, for any vendor to be successful in the State of Nebraska, it will be very critical to have reusable assets in the form of templates and deliverables that are educator licensing project specific.

inLumon implements a quality management approach on projects as a core activity for project team members. We also require that quality management occurs throughout the project life cycle and that quality is monitored continuously so that corrective action is taken as soon as deviations from the project quality policies are identified. Quality management processes are built into our project management and control methodologies. These processes are tailored to accommodate the specific needs of each project. Specifically, during the planning stage of the Project, we will work with the Department's project manager to develop a Quality Assurance Plan that outlines the quality policies, goals, and standards to be performed by the project to achieve process compliance and work product quality.

inLumon's typical Quality Assurance Plan covers the Review Plan, Standards, Conventions and Guidelines, List of Quality Records to be maintained for the project, Metrics Plan and Defect Prevention (DP) Plan.

The Review Plan details the inspection review process that will be followed for each output (work products/deliverables) with clear roles and responsibilities of the person carrying out the same. This plan will be developed during the initial phase of the project in agreement with the Department's Project Manager. The review plan identifies the following:

- Key deliverable name – name of the deliverable (e.g., Design documents, test plans etc.), this may be a document, or code component.
- Deliverable objective – defines the deliverable's purpose and what quality criteria the deliverable must fulfil.
- Key dates (review/ sign off) – defines when the deliverable must be prepared, made ready for review, when the review must be completed and the deliverable signed off.
- Prepared by – defines who is responsible for preparing the project deliverable and who supports the development.
- Reviewed by – defines who is responsible for reviewing and "endorsing" the project deliverable.
- Deliverable approved by – defines who is responsible for authorizing the deliverable if different from the reviewer.

Deliverables:

All deliverables will be aligned to the project process in order to standardize and manage monitoring, reporting and escalation management. In addition, a final report and presentation will be given to the project audience as per project schedule.

Quality Reviews:

Quality Reviews are conducted periodically by a Team lead, a track manager, or the project manager to measure overall compliance of the inLumon Team project deliverables and artifacts with the quality standards (code review, naming convention, version control etc.) and benchmarks established for the project.

Review techniques include peer review (within inLumon Team project team); the results are reported internally to the QA team, Project Manager, Team Leads, and other project team members.

The inLumon Team applies a formal Quality Review Process to implementation projects. Quality reviews are conducted on an on-going basis and are led by Project Manager. All reviews are submitted by the Project Manager to the Project Manager to develop a conformance plan to address any issues that are identified in the quality review. The following diagram and table provide a description of the quality review process.

Project Kick-off:

The purpose of Project Kick-Off Meeting is to begin to define the overall parameters of a project and establish the appropriate project management and quality environment to complete the project.

Successful projects begin with a detailed project definition that is understood and accepted by all Stakeholders. At the onset of the engagement, inLumon will execute Project Initiation activities following the start of Mobilization and Implementation activities. Project Initiation will begin within the first ten business days after the contract is awarded. The Mobilization phase includes the planning and preparation for the mobilization of the project components. The Project Initiation phase includes the following processes/tasks:

- Prepare for the Project – The inLumon project team begins to occupy the work site during completion of the Project Mobilization tasks. As the team begins the project initiation tasks the project organization chart is reviewed with the Department's team to ensure that it is current and that the Department has a clear understanding of the project structure, functions and responsibilities and the confidence that the organization is viewed in a dynamic context where major activities and emphasis will shift during the course of the project.
- Define Cost, Scope, Schedules and Quality (CSSQ) – The Project Manager along with the Project Team reviews the project scope, budget, schedule and quality standards.
- Perform Risk Identification – begin to identify and document any risks associated with the project.
- Refine Project Management Plan – The Project Management Plan is the management tool that sets forth the approach to manage and control the project. There are many components to this plan including risk management, issues and the communication plan. During the initiation phase of the project the inLumon team will work closely with the Department to refine and finalize the project plan.
- Project Orientation Participation – Development of the Project Charter is a pivotal starting point for the entire project, establishing the project definition that will serve as the foundation for all future efforts. Since the Department has already identified the objectives and charter for the project, inLumon will participate in orientation sessions conducted by the Department's team in order to review this charter and other project related items.
- Kick off Meetings – inLumon Team begins all of its projects with a kick-off meeting recognizing it as a critical success factor. The project team kick-off is the first meeting with the project team members to discuss the project and the work that will be completed. The kick-off meeting will allow the State and inLumon to:

Facilitate Introductions of the Department's team & inLumon team, including:

- Introduction of Project's Mission, its objectives and goal
- Define State Commitment to the Project
- Define inLumon Commitment to the Project
- Business and Technical Objectives
- High Level Approach of Project Governance
- Project Management Plan
- Implementation Plan
- Project Status and Reporting Plan
- Communication Plan
- Issue Management Plan
- Risk Management Plan
- Configuration Management Plan
- Quality Management Plan
- Identify and Represent Key Project Leadership
- Publish High Level Project Schedule

- Project Approach to meet the outcome of the Department
- Requirements Engineering and JAD Approach
- Solution Approach Overview – An implementation accelerator with reduced risk

Formally, the above activities benefit the Department:

- To recognize the start of the project
- To define the project, its purpose, and expected goals and deliverable
- To define the tools, technology, processes
- To introduce the project members and briefly discuss roles and responsibilities
- To establish a timeline, Communication & Issue Resolution roadmap
- To define key success factors including key risks and problems to be managed

The project kick-off also allows stakeholders the opportunity to communicate commitment to the project's outcomes. It ensures that all team members are familiar with and share a common understanding of the approved project plan and that they are aware of critical next step. Including stakeholders in this meeting builds communication and coordination, making the project success more likely.

Planning and Administration:

We recognize that planning and administration for a project of this magnitude constitutes one of the most critical tasks requiring attention from all stakeholders throughout the entire process. Simply stated, project management is the engine that drives the project towards its intended goals. To ensure creation of a comprehensive Planning and Administration document, our collective energies at the onset of the project will be dedicated to direct the appropriate Project Management Team. inLumon will dedicate specific resources and time to work with the Department in establishing the structure, timing, and expectations for the project. inLumon's Project Management Office (PMO) team, in collaboration and consultation with the Department's PMO team, will review the proposed tools, methods, and resources, to establish the Project Management Model for the successful delivery of the new Financial Licensing and Enforcement Software Solution.

Our guiding principle for the Planning and Administration processes is:

"Simplicity by employing the right Project Management tools at the right time ensuring that each task is measurable and auditable in real-time, while our unique COTS solution architecture enables us to enhance every sub-task in a recursive fashion until the stated objectives are achieved, and finally all tasks are fully tested and delivered."

Our Planning and administration team will rely both on standard Project Management methodologies as defined in PMBOK and the Agile method of Software Development to ensure successful deployment of the solution. Led by our Implementation Lead and Project Managers, the PMO will work with the Department to:

- Plan the steps for the configuration of our solution to meet the needs of the Department,
- Apply existing tools to add structure and predictability to the project implementation,
- Set and follow strict guidelines to ensure quality and consistency at every level, manage resources, issues, risks, changes, and deliverable development to meet the project timeline, and
- Facilitate open communication and collaboration with the Department, its stakeholders and vendors.

During the initial planning phase of the new Educator Licensing and Certification System project, inLumon will work with the Department's project team to develop and agree to the detailed work plan and project



schedule. This will include the planned deliverables listed above. The project schedule will include tasks, activities, durations, sequencing, dependencies, a work breakdown structure, expected completion dates, milestones, and resource assignments. Project milestone entrance and exit criteria will be included in the deliverable acceptance documentation.

During the planning phase for each subproject, the project team will work with the Department 's project team to develop and agree to the project schedule that takes State and Federal holidays into consideration among others. The project schedule will include tasks, activities, durations, sequencing, dependencies, a work breakdown structure, completion dates, milestones, and resource assignments. Project milestone entrance and exit criteria will be included in the deliverable acceptance documentation. The Go-Live dates and duration of the parallel run of the new and old systems for all the subprojects will be discussed and agreed upon based on the priority and dependencies of the deliverables. The development life cycle methodology followed by the inLumon Team for all the subprojects is Agile Scrum methodology. The inLumon Team uses MS Project for tracking all the Subprojects. At the time of solution implementation, the user stories will be identified based on the requirements, the user stories are prioritized, Sprint duration is identified, and release plan is established. However, the inLumon Team is amiable to adopt any other Agile methodology based on the Department's suggestions and preferences.

Attend and Participate in Meetings:

The Meeting Minutes (MoM) document serves as a record of meetings held during the development and implementation phases of the project and is an important artifact of the project.

The inLumon Team uses a standard meeting minute's template that records among other items date, time & place for the meeting, the meeting facilitator, the agenda for the meeting, the list of the attendees and the manner in which they participated, topics discussed, and action items agreed upon by all parties. In addition, the meeting minutes includes agenda items for the next meeting or for any unresolved items.

The inLumon Team uses Sharepoint to automate certain aspects of meeting management such as assignment of action items and emailing of the meeting minutes to the attendees. This way we can track action items assigned to project team members. The action items are displayed and alarms are generated for overdue actions, ensuring project issues are resolved quickly, thus boosting accountability. Sharepoint supports the functionality of attaching relevant files to Meeting Minutes. A copy of meeting minutes report is kept in the SharePoint which serves as a repository for all document deliverables.

| Meeting Minutes Protocol | Notes |
|---|---|
| Meeting Minutes are to serve as a record of the meeting | Minutes will include: Date, time, place, initiator, agenda, action items, topics & attendees |
| Meeting Minutes should inform the reader of matters discussed | Minutes will include: A record of status, progress, delays and updates |
| Meeting Minutes should assist in the resolution of project issues | Minutes will include: Action items and alarms for overdue items |
| Meeting Minutes will be kept as a digital record | Minutes will be recorded in: Primavera and SharePoint |

Status Reporting:

The inLumon Program Manager will provide the agency's Project Manager and upper management with the semi-monthly overall status/progress reports described herein for the project and weekly status/progress reports for each sub-project for the duration of the contract.

The inLumon Team methodology requires regular and consistent communication with project personnel and stakeholders. This interaction is a key to the success and health of a project and provides transparency into the project. The Communications Plan developed by the inLumon Team and approved by the Department will contain details of program and project level meetings, reports, and report distribution, which includes semi-monthly overall project and weekly sub-project status reports. Status reports will partially consist of upcoming tasks towards the completion of deliverables, variances, activities completed, activities to be completed, and will keep team members clearly informed about risks and their potential impact to assist in analyzing the execution of requirements and identifying areas of improvement, while also confirming expectations. Since status reports and regularly scheduled meetings are critically important to not only communicate progress but also escalate risks/issues and obtain guidance as well as decisions in order to properly facilitate schedule management and mitigation strategy, the inLumon Team expects the appropriate Department personnel to review the status reports in a timely manner and be present at meetings and we will gather feedback from the department staff in order to refine the format, content and timing of these reports.

Communication Management:

The inLumon Team's Communication Management approach, which will be established and administrated in association with the Department, includes processes to facilitate correspondences, communication procedures and communication structure between the Department and the inLumon Team, throughout the Master Project and various Sub-Projects. The Communication Management plan used by the inLumon Team ensures that unburdened collaboration is maintained throughout the project.

The inLumon Team focuses on implementing open and active communication between the Project Team and the Department's Team through the use of integrated organization-wide products and communication techniques, which make project information readily and conveniently available to all stakeholders and create productive communication among the inLumon Team.

inLumon has created sophisticated communication processes, these processes describe what information will be communicated when, how and to whom so that liaisons are established, and communication remains fluid. Our Communication Management Plan seeks to develop and maintain exceptional operative correspondences and discussion between the inLumon Team, the Department, and subcontractor staff which protects, cultivates and strengthens working relationships. The inLumon Team is a highly qualified and coordinated group who work in concert with our partners to supply deliverables of superior quality.

The inLumon Team promotes consistent project reporting and deliverables by offering standard project templates and providing current information on risks, issues, and change requests. Managing the project requires principal leadership to define preventative or corrective actions to address negative trends or delinquencies on the project, and to distribute and discuss project status with the appropriate project stakeholders promptly. Possible changes and transitions in the project and subprojects are communicated with the participants and stakeholders in order to inform them of any modifications that may need to be made and benefits that may result from the change. The inLumon Team collaborates with the Department during the initiation of the project to refine our communication plan and effective status reporting that works for all project stakeholders. If needed, communication channels may be expanded or augmented.

The Communication Management Plan, a subcomponent of the Project Management Plan which will be delivered to the Department at the onset of the project, includes processes to help facilitate the timely collection, analysis, creation, distribution, and storage of project information as well as how to follow these processes. This plan addresses project communication, stakeholder engagement and project meetings, and the overall communication schedule.

Risk Management Plan:

The inLumon team realizes that negative risk, if not properly monitored and addressed, can lead to escalation of project costs, dissatisfaction among users, lower quality end product, and significant delays in the project and project schedule. We view risk management as a crucial component in controlling unwanted challenges to the Department's Project and following a superior risk management strategy we can minimize the impact of negative risks on the project.

Based on our experience with risks in previous projects the inLumon Team is able to anticipate, monitor and assess risks to create a management plan using our 5 step process which can resolve any unavoidable issue before it can affect the project. Positive and negative risks can be found in many facets of a project during its life cycle, and usually fit into these categories:

- Systems & Technologies
- Implementation of Systems and technologies
- Team Members
- Resources
- Infrastructure
- Cost
- Quality
- Project Management
- Timeline

The inLumon team has the resources and experience needed to achieve the Department's goals. By using strategies that have been effective in similar projects along with leading practices for risk mitigation, we are able to handle risks appropriately and proactively. We have developed the system core architecture to eliminate potential risk and to ensure the auditability and security of all integration points while maintaining a high system throughput.

Our key team members assigned to delivering the new Licensing solution are masters of the tools & technologies proposed for this project, provide over many years of delivering complex and mission critical IT solutions and many years of hands-on and proven Licensing solution implementation expertise.

We use the following framework to manage risks:

- **Determine the Context:** Understand the projects objectives and other factors thoroughly to be able to identify risk
- **Assess the risk,** which includes identification, analysis, and evaluation steps
- **Plan a risk response:** Although risks are mostly mitigated using our proven strategies, there are other options such as avoiding, transferring, or accepting a risk. These options are, in some cases, a better response to the risk than risk mitigation
- **Monitor and Control:** Once a risk is identified and responses are planned, risk status is continually checked, reviewed and updated to measure the progress. This also allows mitigation plans to be adjusted as needed
- **Communicate:** Alert key stakeholders of any risks and risk management plans.

Quality Assurance Plan:

inLumon team has read and understood the requirement. The proposed solution by inLumon team fully complies with this requirement as described below.

The quality assurance plan is aimed at ensuring quality of deliverables within the budget, effort and schedule. The Project manager identifies the measures required to be analyzed during the project execution and analyses the measures and take corrective and preventive actions at a predetermined frequency. The techniques used to monitor these identified measures include monitoring the effectiveness of defect prevention, Monitoring of Project Process, Internal audits and configuration audits.

Quality Assurance (QA) Process:

inLumon implements a Continuous Quality Management (CQM) approach on all of its projects. CQM requires that quality management occurs throughout the project life cycle and that quality is monitored continuously so that corrective action can be taken as soon as deviations are identified from the project quality benchmarks. Quality Management processes are built into our project management and control methodologies and tailored to accommodate the specific needs of each project. Specifically, during the planning phase of the Program, we will work with the State Project Manager to develop a quality management plan that outlines the quality standards and benchmarks for the project. Once the quality targets are established, a performance metrics plan is developed that identifies key quality metrics to ensure that the agreed upon project quality standards are being met. From a quality management perspective, the focus of the project management team will be two-fold: first, to ensure that the appropriate processes are instituted and are adequate to support the quality levels that the Department expect, and second, that these processes can be institutionalized within the project as best practices.

- A master QM plan (as part of the Project Management Plan or a separate document) is developed during the planning phase of the DDEDS 3.0 and is submitted to the project management team for review and sign-off.
- All QM activities subsequent to the sign-off of the QM Plan will be performed in accordance to the QM Plan.
- The QA team will participate in the preparation and the review of the development plan, implementing standards on the project and installing procedures on the project.
- The QA team will be responsible for performing audits of the software engineering activities to verify compliance with the standards and the guidelines set forth in the QA plan.
- The QA team will be responsible for auditing designated work products to verify compliance with the standards and the guidelines set forth in the QA plan
- Results from the software audits will be presented to the project management team for review and action.
- Deviations from the set standards and guidelines found during the audit process will be documented and reported on.

Change Management Plan:

Change management is an ongoing iterative process throughout the project lifecycle which may involve many individuals at different levels within the organization. The purpose of the inLumon Team's Change Management Process (CMP) is to ensure standardized methods and procedures are used for efficient and prompt handling of all changes. A formal, repeatable process minimizes the risk when introducing change to the production environment and helps preserve the quality of service delivery. The CMP defines the activities, roles, and responsibilities necessary to effectively and efficiently manage and coordinate changes to project goals such as scope, schedule, and cost baselines.

The Integrated Project Management Plan discussed in the Project Management section of this proposal will be the guiding tool for managing all aspects of the project. The IPMP will be used in conjunction with the

Change Management Plan (CMP), also discussed in the Project Management section, to manage the impact of change. The CMP is an ongoing process performed throughout the project's lifecycle to ensure:

- Changes to base-lined project items are reviewed and approved in advance.
- Changes are coordinated across the entire project.
- Stakeholders are notified of approved changes to the project.

Post Implementation Audit:

A post-implementation audit is standard in our implementation process.

- First line support will record and track any and all issues during implementation. This data will be continually evaluated during the course of implementation to ensure compliance with SLA's.
- Secondary level will be a post implementation survey to identified contact and stakeholders at the Department. This is normally accomplished via web and email, but telephone coverage can be added for non-connected employees. This data will then be analyzed and shared entirely with designated Department personnel for discussion and improvement planning.

Staffing Plan:

The inLumon approach to staffing and project organization is built upon a belief that ensuring success in implementing licensing database systems starts with market focus. inLumon views the Department's project as large, complex and mission critical. In fact, we believe it would be difficult for any vendor to view this critical project as just another systems integration project. Although as a company inLumon is in its infancy, our key staff of seasoned professionals have instilled the importance that the company creates a focused application practice. To that end, inLumon hires and strives to retain the best industry talent to lead our technology practice. This team has successfully created the human resource talent structure essential for technical solution delivery.

The inLumon team possesses qualified staff with extensive, relevant technical knowledge and capabilities necessary to execute this project. We also bring a capable management leadership team that has the skills and experience to make the project a success for the Delaware Department of Education's stakeholders. Leveraging best practices and lessons learned from previous professional licensure system implementations and other large, enterprise wide system implementation projects, the inLumon leadership team's focus is on delivering project to the Commission's specifications. The individuals proposed on this project are proven leaders; each experienced in delivering large solutions using the technologies and tools prescribed in the RFP. Individually, the members of our team are highly qualified for their assigned roles; collectively, their expertise provides the skills, knowledge, and proven performance needed to deliver the database replacement project. Consider the following highlights of the inLumon Team:

- Strong Project Management and Program Governance – is key for Project Success, and hence inLumon has proposed to use a Strong Project Manager to manage Project Tracking, Planning, Communication and Customer Satisfaction.
- Solution Management – is led by an industry veteran
- Executive Management - pays frequent visits to the Delaware Department of Education to ensure the project is tracked at the highest level. This project is as important to inLumon as it is important to the department.

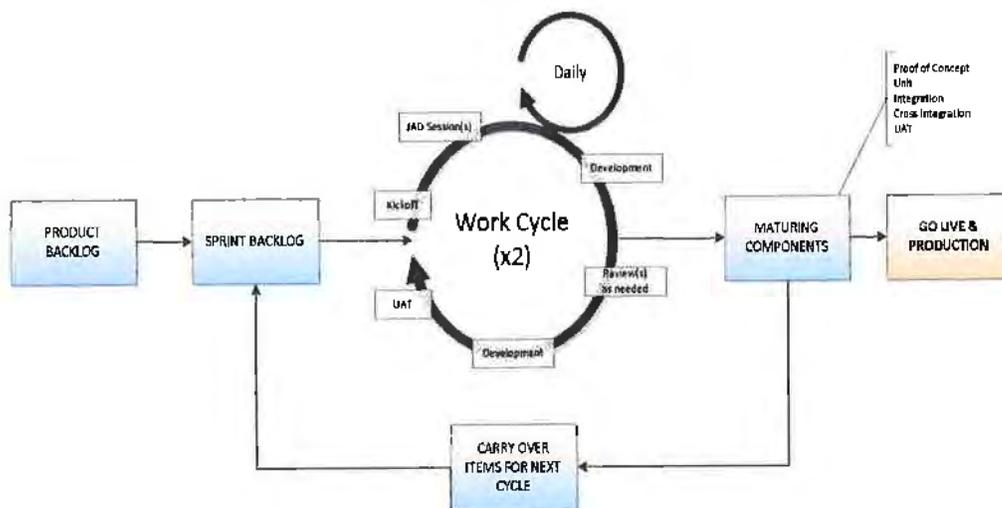
- Dedicated Advisors – like Solution Vision Lead and Technical Vision Lead cater the best of the breed business transformation roadmap
- Deep Functional Expertise - The key staff named in this proposal brings many years of domain, technology, business process consulting, solution conceptualization, system development, database implementation and integration experience.
- Experienced Personnel - Staff members proposed have worked on similar, successful licensure and certification database implementation projects.
- Technical Expertise - Our proposed technical and functional resources have extensive experience working with the prescribed financial aid business processes, technology and tools.

We understand and anticipate that the project plan we have provided with this proposal will require refinement during the planning phase of the project. We look forward to working with the State of Delaware on the new Educator Licensing and Certification System.

Approach & Strategy:

This project will use an adapted agile methodology. In general, the adapted agile methodology will deliver an updated build (code) every three to four months. Builds will involve the team working through the full software development life cycle including planning, requirements, design, development, unit and system testing, and acceptance testing.

The methodology will emphasize face-to-face communication and stakeholder feedback over extensive requirements gathering. It is expected that there will be three releases during the execution phase of the project. The Application will be released into production following the completion of all iterations and a comprehensive User Acceptance Test (UAT). The approach involves three work cycles. inLumon will identify any variance and develop necessary project plans, which are spread across two work cycles. The development work cycles will include post-UAT bug fix phases, with 30-day sprints. Upon group agreement on changes, the next phase shall begin.



inLumon uses Adapted Agile Methodology as a Standard for implementing Educator Licensing and Certification Systems

The benefits of inLumon's iterative implementation approach:

- *A short deliverable cycle allows developers to achieve visible results and a sense of accomplishment resulting from having smaller development tasks to plan, execute and deliver.*
- *Department management and staff stakeholders see visible, short-term results from the effort.*
- *Stakeholder 'owners' of different business processes automated by the effort get to see incremental results in their piece of the project with frequency, leading to better client buy-in for the project's goals.*
- *Department users and staff gets to provide feedback as each prototype deliverable of software is released to them for testing. This results in a better, more frequent and more accurate communication of client requirements that will naturally evolve over the life of the development cycle.*

After meticulously analyzing the RFP and all project requirements, we designed our approaches to exceed the Department's goals and intended results of the project. Coupling these specific approaches with our team of technical and project management, we are prepared to deliver a successful implementation as the Department's implementation partner.

inLumon's approach to successfully managing and implementing Licensing solution revolves around four defining features.

inLumon's four axes that will support the project down the route to success:

- *A Deep Understanding of the work to be performed resulting in inLumon's Driving Principles for Success.*
- *An Engagement Design that serves as a blueprint for delivering the solution.*
- *An Execution and Implementation Approach that incorporates iterative implementation of the solution by a skilled team of competent individuals*
- *A Next Generation Solution built by leveraging inLumon's Web and Smartphone framework and integrated seamlessly with best-of-breed technologies.*

These characteristics are fundamental to our engagement approach and technical approach. Equipped with expert technical skill, world-class project management capabilities, and industry leading technologies, the inLumon team is prepared to bring the same dynamic client engagement factors that have established inLumon's impeccable record of success.

**inLumon is first and foremost a technology company.
We specialize in delivering integrated solutions using advanced technologies. Our
experience in implementing technology solutions is unmatched.**

inLumon understands the significance of implementation effort to help make the organization more efficient and effective in delivering services. We recognize that this effort not only encompasses computing systems and information assets, but also business operations and processes. The solution will provide a secure, single technical infrastructure that organization can leverage to offer stakeholders multiple channels, products and services. This solution will consistently apply business rules to each service channel, regardless of stakeholder's business preference. The goal is to provide a channel-independent framework using a virtual delivery mechanism that centralizes all the business rules and data entered in the system. The system will facilitate collaboration and information sharing with other agencies and organizations across the state and country.

inLumon understands the Department needs a dependable, maintainable, scalable, future-oriented comprehensive system. To meet the Department's goals and objectives, as well as to ensure our approach will respond to business needs and workflow requirements, we developed guidelines as Driving Principles for the route to the project success.

These Driving Principles encompass what we will do to achieve project goals and objectives, as well as meet project requirements that we believe the Department identifies as success factors. Comprehensively, our driving principles define the inLumon Team's overall proposed implementation approach. These identified principles will serve as our initial roadmap for approaching the engagement with the Department. The goals identified by the Department for this project include:

- Scalable, flexible and adaptable system as per the RFP for the changing requirements and regulations that incorporates Application Workflow
- Implement security features that defend against hacking, unauthorized access and disclosure
- Search to include phonetic or sound like searches and searchable by any key fields
- Easy to Use and Intuitive User Interface with required validations to make sure bad data is not saved in the database
- Point of sale receipting and online payment capability as part of the cash management functionality
- Roles based access with multiple levels of security. Accommodate the Department's internal control policies and provide audit trail
- Interface with Microsoft Word and should include spell check
- Alerts and Reminders based on events
- Storage and retrieval of imaged documents in compliance with the Nevada record laws
- Configurable application workflow process.
- Correspondence related to the application to be initiated directly from the application workflow
- Interfaces to be implemented for exchanging information with various state, county and city officials and also with commercial fund accounting package
- Reports Management to include automated scheduling and distribution of reports, on demand reports and ad-hoc reporting
- Options to print certificates and pocket cards or generate files for printing
- Better transaction security and auditability. Audit log of activities, correspondence, phone logs, email. Log should be visible from the application
- Online services and Mobile App that can help staff, applicants and members

- Better enforcement of legislation
- Administrator tools for a limited number of staff
- Ability to archive old data/records and be able to view history and archived records from the application easily
- Better transaction security and auditability. Implement industry best practice and security standards that maintain the highest integrity in all transactions and documents produced. Security of all personal identifying information to comply with the State and Federal law
- Migration of legacy data from the current application to the new application and data retention policy to be implemented
- System and User documentation and training
- Excellent Support after the implementation

Our goal is to actually exceed the expectations of Organization—rather than simply meet expectations. inLumon’s approach to the engagement and solution result in the successful implementation of a next-generation Financial Licensing and Enforcement Software Solution that supports the Department and stakeholders well into the future while enhancing the Department’s operational efficiency and ensuring that the Department continues to provide the highest level of customer service available.

inLumon’s standard approach involves three work cycles during which inLumon will identify any variances and develop / adjust necessary project plans. A kick-off meeting will precede each build cycle and stakeholder review / feedback sessions will occur on an agreed schedule. Development work cycles will include post-UAT bug fix phases, with 30-day sprints. Upon group agreement on changes, the next phase shall begin.

In addition to employing lessons learned at the conclusion of every implementation project, inLumon encourages a liberal use of lessons learned at the end of each milestone deliverable *during* the implementation process. This helps inLumon and our clients to make minor corrections during a project rather than learning how to do the *next* project better. We’ve made mistakes along the way, but we learn from our mistakes and strive to do each and every phase of an implementation project better than the last.

Our typical schedule provides for major tasks, deliverables, and work products as illustrated in Figure G below and described on the next page.



Work Cycle 1 – Discovery

During the Discovery Phase, inLumon will perform the following high-level tasks:

- Identify System and Project requirements and design
- Identify Interface and Reports requirements and design
- Identify Online Services, Workflow, Document Imaging requirements and design
- Establish and implement Security architecture including Internal Controls and Audit Trails.
- Identify User Roles and Permission
- Identify Data Retention requirements
- Identify Administrator Tools
- Analyze existing databases and files for Conversion
- Establish Development Environment
- Whenever possible, identify changes necessary to the adapted system

Work Cycle 2 – Design and Development

During the Design and Development phase, inLumon will perform the following high-level tasks:

- Establish data management, including conversion and initial data load
- Whenever possible, identify changes necessary to the adapted system
- System development and configuration including Workflow Management, Internal Controls and Audit Trails as per the Discovery phase requirement
- Configure and develop Administrator tools as per the Discovery phase requirement
- Design and Develop Licensing, Enforcement and Cash Management System development and configuration including Workflow Management
- Develop Online Services as per Discovery phase requirement
- Establish Test/Training Environment
- Promote Changes to the Test/Training Environment
- User Acceptance Testing and provide training on application use
- Establish Production environment
- Promote Changes to the Production Environment
- Go-Live with the modules completed in Work Cycle 2

Work Cycle 3 – Development, User Testing and Go-Live

During this phase, inLumon will perform the following high-level tasks:

- Continue Licensing, Enforcement and Cash Management System development and configuration including Workflow Management
- Continue development and configuration of Online Services
- Reports development and configuration
- Interface development and configuration
- User Acceptance Testing and provide training to the user
- Test functionalities that impact third party like interfaces with the third party
- Promote Changes to the Production Environment
- Go-Live

During the planning stage of the Project, we will also work with the Department’s project manager to develop a Quality Assurance Plan that outlines the quality policies, goals, and standards to be performed by the project to achieve process compliance and work product quality. Our Quality Assurance Plan will cover items including, but not limited to, the Review Plan, Standards, Conventions and Guidelines, List of Quality Records to be maintained for the project, Metrics Plan and Defect Prevention (DP) Plan.

The project Review Plan details the inspection review process that will be followed for each output (work products/deliverables) with clear roles and responsibilities of the person carrying out the same. This plan will be developed during the initial phase of the Licensing System Replacement project in agreement with State’s Project Manager. The review plan identifies the following:

- Key deliverable name – name of the deliverable (e.g., Design documents, test plans etc.), this may be a document, or code component.
- Deliverable objective – defines the deliverable’s purpose and what quality criteria the deliverable must fulfil.
- Key dates (review/sign off) – defines when the deliverable must be prepared, made ready for review, when the review must be completed, and the deliverable signed off.
- Prepared by – defines who is responsible for preparing the project deliverable and who supports the development.
- Reviewed by – defines who is responsible for reviewing and “endorsing” the project deliverable.
- Deliverable approved by – defines who is responsible for authorizing the deliverable if different from the reviewer.

Deliverables: All deliverables will be aligned to the Licensing System Replacement project process in order to standardize and manage monitoring, reporting and escalation management. In addition, a final report and presentation will be given to the State project audience as per project schedule.

Quality Reviews: Quality Reviews are conducted periodically by a Team lead, a track manager, or the project manager to measure overall compliance of the inLumon Team project deliverables and artifacts with the quality standards (code review, naming convention, version control etc.) and benchmarks established for the project.

Review techniques include peer review (within inLumon Team project team); the results are reported internally to the QA team, Project Manager, Team Leads, and other project team members. inLumon applies a formal Quality Review Process to all projects. Quality reviews are conducted on an on-going basis and are led by the Project Manager (Illustrated in Figure H). All reviews are submitted by the Project Manager to develop a conformance plan to address any issues that are identified in the quality review.

One of the key project activities in the planning process is anticipating for and addressing risk management. Risk Management involves identifying, analyzing, and responding to project risks that could result in cost and schedule overruns and/or project failure. Risk Management should begin with the development of a Risk Management Plan during the initial phases of the project. The plan, at minimum, will address the assessment of the environmental, operational, and technical risks. This will enable the vendor and State project management teams to proactively address project risks and take timely action to avoid project impacts.



Figure H: Risk Management

The Risk Management Plan forms a section of the project management plan. Whenever the project plan is modified, the risks should be reassessed, and the Risk Management Plan revised, if required. Whenever

risks occur in the project, the project plan and/or the project schedule is revised, if necessary. Similarly, when new risks are identified during project execution, the Risk Management Plan should be revised.

The Risk Management Plan consists of:

- Overall Risk / Risk Criticality
- Risk Mitigation Plan
- Risk Handling Plan

A set of possible risks for the project including those identified at the Contract Review stage are analyzed for the Overall Risk they attribute to (High/Medium/Low). Each risk is also classified into the following buckets:

- Probability
- Impact
- Overall Risk / Risk Criticality

Probability:

The probability of the occurrence of each risk is categorized as very low, low, medium, high, very high on a scale of 1 to 5.

Impact:

The impact of the occurrence of each risk is assessed as very low, low, medium, high, very high on a scale of 1 to 5. The impact of each risk to the project is assessed in terms of Technical, Schedule, Cost, Quality, Other Resources.

Overall Risk Criticality:

For each of the risks identified, based on the probability and impact the risk criticality is calculated.

Planning for Risk Management:

Planning is done for both mitigating and handling each of the risks. The plan is documented in the Risk Management Plan section of the project plan.

Monitoring the Project for Risks:

The project should be monitored for the symptoms of occurrences of any of the risks that are identified and for the occurrence of new risks. The potential risks and the risk mitigation plan should be discussed in the Project Status meetings and risk management plan is revised when necessary. Open communication in the team should be cultivated to obtain relevant information on potential risks. The steps that are being taken to mitigate the risks should be communicated as a part of the status report to all concerned. Where necessary, transparency should be maintained with the customer on potential risks to obtain guidance as well as support in mitigating/handling the risks.

Risk Management Tool:

inLumon has an in-house tool for managing all the project risks. We can use the inLumon tool or any other tool recommended by the State.

A few examples of typical risks in a project are listed below:

- Availability of Subject Matter Experts
- Development and Implementation of bridging programs in a Phased Implementation approach
- Dependency on 3rd party and other external systems in interface development
- Performance of the critical transactions
- Timing of legislative changes from an implementation perspective

Technical considerations;

Considering the future enterprise direction of the Department and accounting for the stated current performance, capability and functionality needs, inLumon's solution is the right choice. Key highlights and benefits of inLumon's technical solution and architecture to meet the Commission's objectives and vision include:

- A highly scalable, secure, flexible and maintainable to support the Department's current and future business needs
- Platform independent, n-tiered, service-oriented architecture approach leveraging COTS technology as much as possible
- Meeting functional, technical and implementation (i.e., phased implementation) requirements found within public sector projects
- Thoroughly following a Service-Oriented Architecture (SOA) philosophy and principles to provide highly integrated yet loosely coupled architecture between subsystems such as Core .Net transactional subsystem and Content Management subsystem
- Use of components eliminating significant amounts of custom development work allowing the focus to be more on the business aspect of the system rather than engineering aspects of the system.
- Maximizing table-driven and rules engine-driven coding
- Separation of data management from system management
- Automation of workflow processes
- Performance, capacity and throughput to handle the volume of transactions expected and forecasted by the State
- Supporting on-demand and batch printing in efficient manner preferably using the same solution for both
- Providing an efficient way to interface with external systems and integrate with document imaging products
- Built using mainstream products and technologies making it easier to manage and enhance

The Technical Architecture Is a Layered Architecture

inLumon's solution architecture has five main layers and two supporting services layers. These layers allow common functionality of the system to be isolated and reused across the system. The layered approach provides clean separation and loose coupling – two key principles of Service-oriented Architecture. The primary benefits of this multi-layer architecture include the ability to:

- Integrate different types of interfaces into the system (including state clients)
- Manage complex interactions with the database through consistent representations in the business model (e.g., effective data processing)

The following network topology diagram (Figure 1) illustrates the layers found within inLumon's solution architecture:

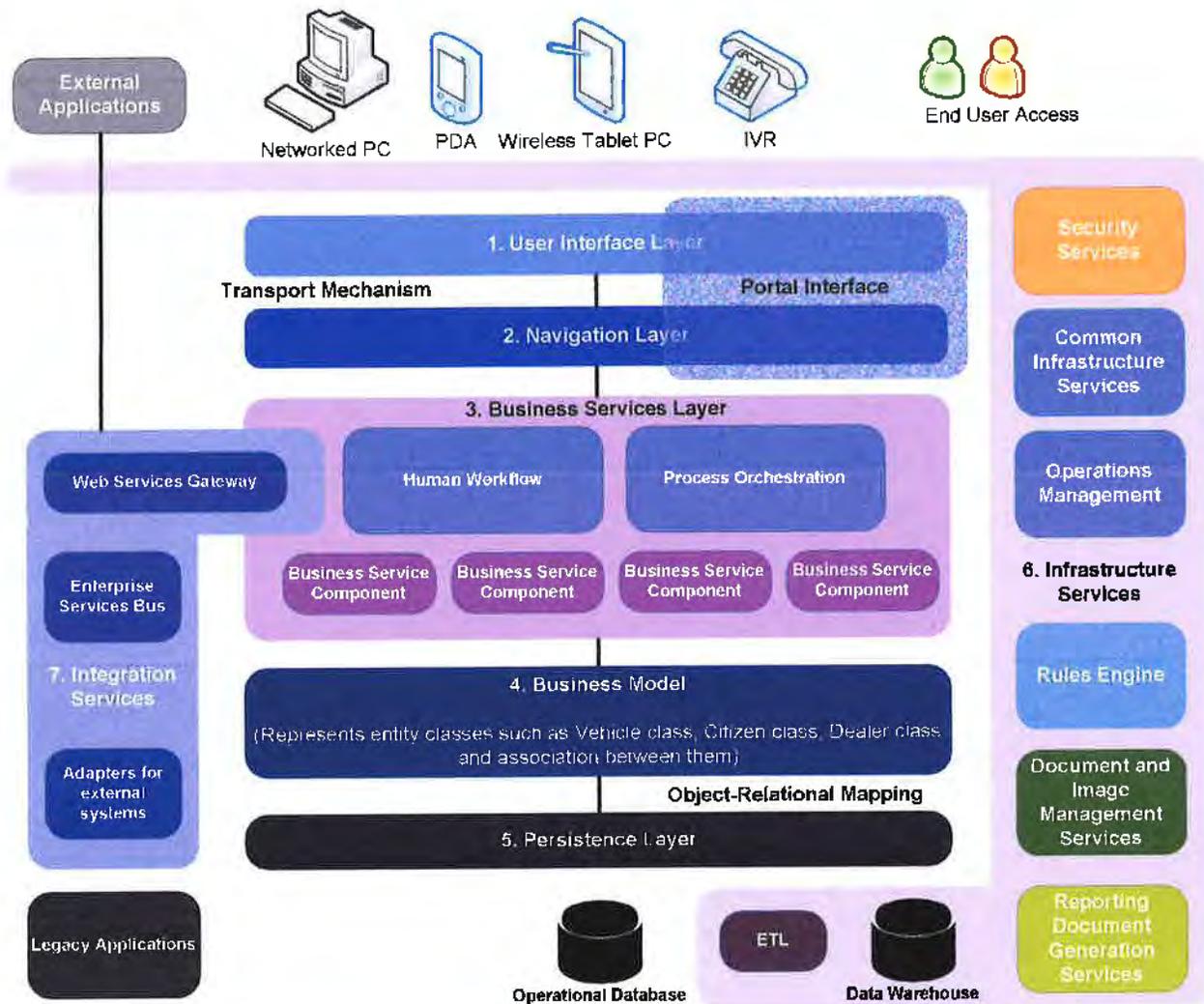


Figure 1: Topology Diagram

Architecture Critical Success Factors

inLumon has implemented similar architectures for other clients and, based on this experience, we believe that there are several critical success factors that we need to be cognizant of to design a successful architecture.

- Critical Success Factor 1: Designed for Phased Implementation
- Critical Success Factor 2: Design for Performance
- Critical Success Factor 3: Architect for Extensibility for New Technologies and Scalability
- Critical Success Factor 4: Support an Integrated Security Approach and Data Privacy
- Critical Success Factor 5: Design for High Availability
- Critical Success Factor 6: Easier to Maintain
- Critical Success Factor 7: Capitalize on Existing Assets

The following lists inLumon software/technology choices for the Department's consideration:

| | |
|--|--|
| Windows Server 2012 R2 for Server Operating System | Microsoft .Net Framework 4.5 |
| Windows 7 & 8 for Developer PC Operating System | Microsoft Visual Studio 2013 |
| Microsoft Hyper-V for Server Virtualization | Microsoft SQL Server 2014 |
| Microsoft SQL Server Reporting Services | Microsoft SQL Server Integration Services 2014 |
| Microsoft SQL Analysis Services | Microsoft Team Foundation Server |
| PDFTechLib | J2EE Java for Android App development |
| JavaScript | JQuery |
| HTML | XML |
| Crystal Reports | Eclipse IDE for Java |
| Microsoft Dynamics | Microsoft Project |
| Mantis for defect tracking | Tumbleweed for Secure File Transfer |
| Microsoft Internet Information Services (IIS) for the Web Server | Microsoft Office for Documentation |
| VeriSign SSL | Android SDK |
| iOS Xcode for iOS App development | Visual Test Manager |
| LoadUI for performance testing | MySQL |
| docStar for Document Management | inLumon framework for Document Management |

As flexibility is a key design element of our system, we rely on the inLumon framework to provide a technical, flexible solution meeting the current and future needs of the Department. The framework also allows different authorization stores to be used based on the system configuration to provide a technical, flexible solution.

inLumon is flexible based on Department requirements but plans to use either AWS or Azure for the new Commercial-Off-The-Shelf (COTS) Financial Licensing and Enforcement Software Solution application hosting. inLumon has experience hosting and managing environments on AWS (Amazon Web Services) and Azure.

inLumon's current hosting partner is HiVelocity (See: <https://www.hivelocity.net>) and has extensive experience hosting and managing our government regulatory clients' systems on servers within data centers owned and operated by HiVelocity across multiple data center locations. This is a full-service hosting provider with a Service Level Agreements (SLA) to meet or exceed those defined by the MSBOD. Below are some of the specifications of the current hosting site and services.

Infrastructure

- N+1 data center 20 miles inland, outside 500 year flood zone
- Concrete block and steel construction
- 22,000 square feet of raised floor data center space
- N+1 high efficiency UPS
- Diesel generator power redundancy
- 1000 gallons of diesel fuel allowing 7 days generator run time
- 120 tons of N+2 CRAC cooling (420 tons at full capacity)
- Dry pipe dual-interlock pre-action overhead fire suppression system
- Fire Pro-Inert 300 gas sub-floor fire suppression system
- Sub-floor leak detection system
- 24/7 Falcon monitoring of all critical infrastructure assets
- Routine preventive maintenance on all critical infrastructure assets
- Extensive lightning protection and grounding system
- 7" concrete perimeter walls
- Rear loading dock and ramp
- Dual entry diverse fiber

Security

- 24/7 on premise staff
- 24/7 monitoring of all facility entry points
- 20+ motion activated cameras throughout facility
- Dual-factor authentication for entry
- Man-trap entrance

Audits & Compliance

- HIPAA compliant
- PCI compliant
- SSAE-16 SOC 1 Type 1 certified
- SSAE-16 SOC 2 Type 1 certified
- ISAE-3402

The full service hosting includes the following services:

- Hosting the servers—Physical as well as Virtual Server configurations
- 24x7 system and network monitoring services—Call escalation including TXT or email alerts
- Network & Hardware SLAs
- Hardware Diagnostics & Replacement
- Network Intrusion Monitoring
- Support Remote & Manual Reboots
- Manual OS Reloads
- "Top of Queue" Support Ticket Escalation
- Proactive Bootless OS Security Updates and Patches
- Instant Reactive Remediation Efforts during Service or Hardware Failure
- Service Discovery Alerts
- Hardening of LAMP Stack and Ongoing Security Audits
- Initial WHM/cPanel Setup using customer provided information
- Firewall configuration setup and monitoring
- Proactive Malware Scanning
- RAID monitoring

- Recovery assistance if needed
- 2 hours per month of "anything but the code"
- Configuration changes (upon request)
- Virus and Spam Protection

Backup/Disaster Recovery Plan;

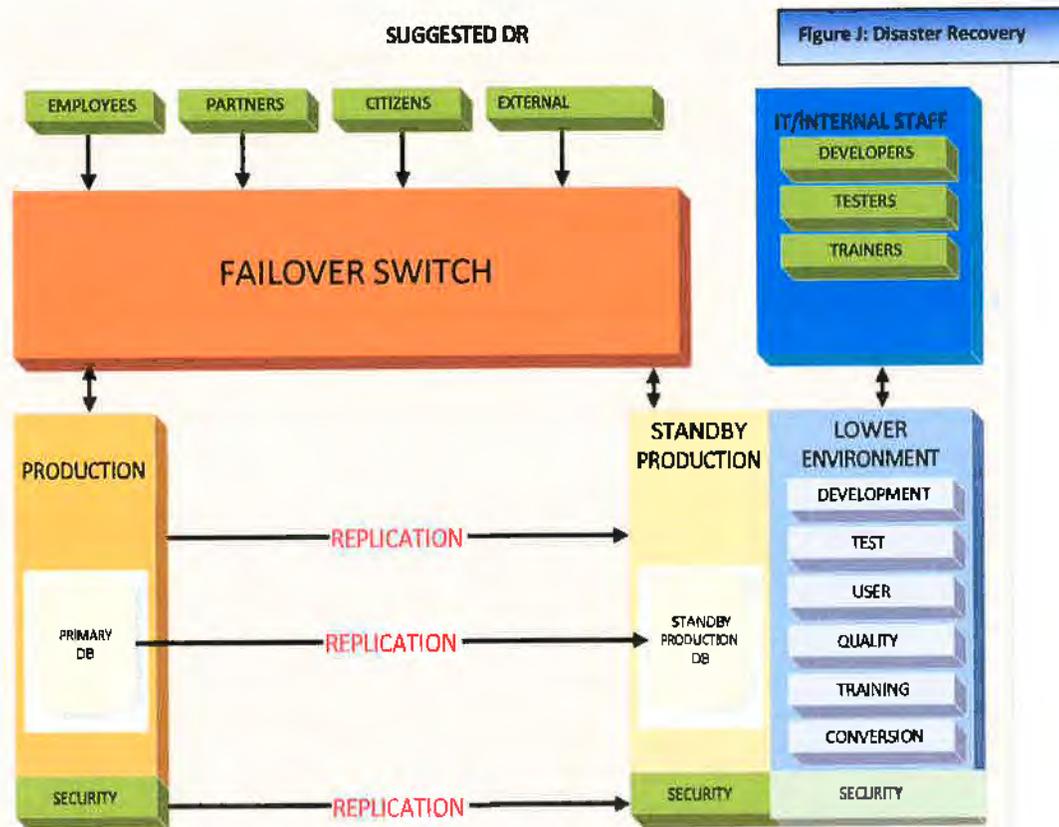
Business entities today exist in a highly competitive world. They are constantly innovating to meet their business objectives of providing essential and unique services to their customers. Technology advances have enabled them to achieve their varied strategies. And yet, the threats of disaster, on account of business interruption, are not extinct – in fact, they have also evolved along with the technology. Business interruption does happen – but what is of significance is how much of the consequences of such interruptions can the business afford? Business Continuity Planning is the act of proactively working out a way to prevent, if possible, and manage the consequences of a disaster, limiting it to the extent that a business can afford.

Need of Disaster Recovery for the Department

There are various threats and vulnerabilities to which business today is exposed. They could be:

- Catastrophic events such as floods, earthquakes, or acts of terrorism
- Accidents or sabotage
- Outages due to an application error, hardware or network failures

Some of them come unwarned. Most of them never happen. The key is to be prepared and be able to respond to the event when it does happen, so that the organization survives; its losses are minimized; it remains viable and it can be “business as usual”, even before the customers feel the effects of the downtime. Figure J illustrates recommended Disaster/Recovery:



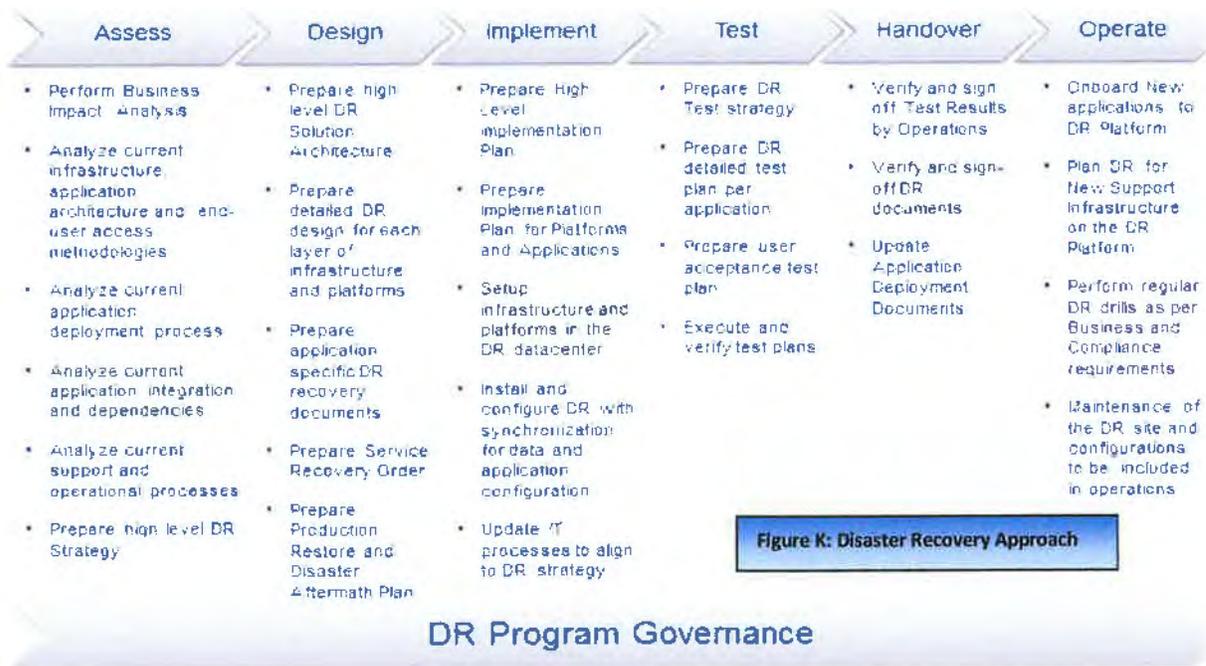
A solution for Business Continuity and Disaster Recovery should be designed to ensure minimal impact to the Department’s business in the event of a disaster, where “disaster” is defined to be the “loss of a physical facility”, “loss of technology”, or “loss of staff”.

The Business continuity plan should ensure:

- Delivery of the critical services to customers within defined timelines
- Safety of human resources and other assets
- Adherence to applicable Department Regulatory and contractual requirements
- Compliance to the Department’s process for risk management considering adequacy of existing controls and risk acceptance, as applicable
- Reduction in the period of disruption and resumption of normal working conditions at the Department
- Reduction of Department operational and financial impacts
- Continual review and improvement of the resilience of the infrastructure with Department management
- Enhanced awareness amongst Department stakeholders and participation in activities
- Similar hardware for production landscape in Primary and DR sites

inLumon will work with the Department and other stakeholders to ensure that necessary BC/DR plans are developed, deployed, tested and reviewed periodically for its effectiveness to handle disasters.

Without adequate planning or regular testing, a DR plan is nothing more than theory. inLumon’s approach to establishing a DR plan is structured and results-oriented and allows for check- pointing at every stage within each phase to ensure that the deliverables are produced on time and meet the project requirements. See Figure K below which illustrates inLumon’s Disaster Recovery Approach.



Risk Assessment

inLumon will work with the Department to conduct a preliminary risk assessment to identify the different threats present in the environment. The team shall together assess the exposure of Department to these threats by prioritizing threats based on the probability of their occurrence and their corresponding impact.

This section provides an illustrative overview of a threat landscape, the vulnerabilities to these threats and the steps that can be taken to mitigate the risks associated with these threats. The risk assessment sets priorities for the threats in the environment.

For the purpose of the Risk Assessment, the threats listed below can be considered.

| <i>IT Threats</i> | <i>General Threats</i> |
|-------------------------------|--|
| <i>Hardware Failure</i> | <i>Power Failure</i> |
| <i>Software Failure</i> | <i>Utilities Failure</i> |
| <i>Virus Attack</i> | <i>Earth Quake</i> |
| <i>Network Penetration</i> | <i>Snow and Ice Storms</i> |
| <i>Denial of Service</i> | <i>Sabotage, Vandalism and Terrorism</i> |
| <i>Vendor Support Failure</i> | <i>Hurricane and Wind Storms</i> |
| <i>Communications failure</i> | <i>Pandemic</i> |
| | <i>General strike/civil unrest</i> |

For each of the above threats, a rating will be made based on the following

1. **Probability:** To find work out the probability of occurrence of any threat, the team shall evaluate the inherent vulnerabilities in the environment and the existing mitigation.
2. **Impact:** Indicating impact of the threat. This is a function of the technology enablers or facilities or resources that may be affected due to occurrence of the threat.

This Risk Assessment results in prioritization of the threats depending on the overall risk which will then be used as the basis for further planning i.e. threats with high probability and high impact need more emphasis compared to low probability and high impact. The Risk Assessment is qualitative in nature, the metrics used for rating probability and impacts are High, Medium and Low.

In the absence of past site review documents, this assessment can be arrived at based on the following:

1. Public Data and inputs from the Department's team
2. inLumon experience with similar clients

An illustrative scatter plot of event impact vs. its probability is provided in Figure L following.

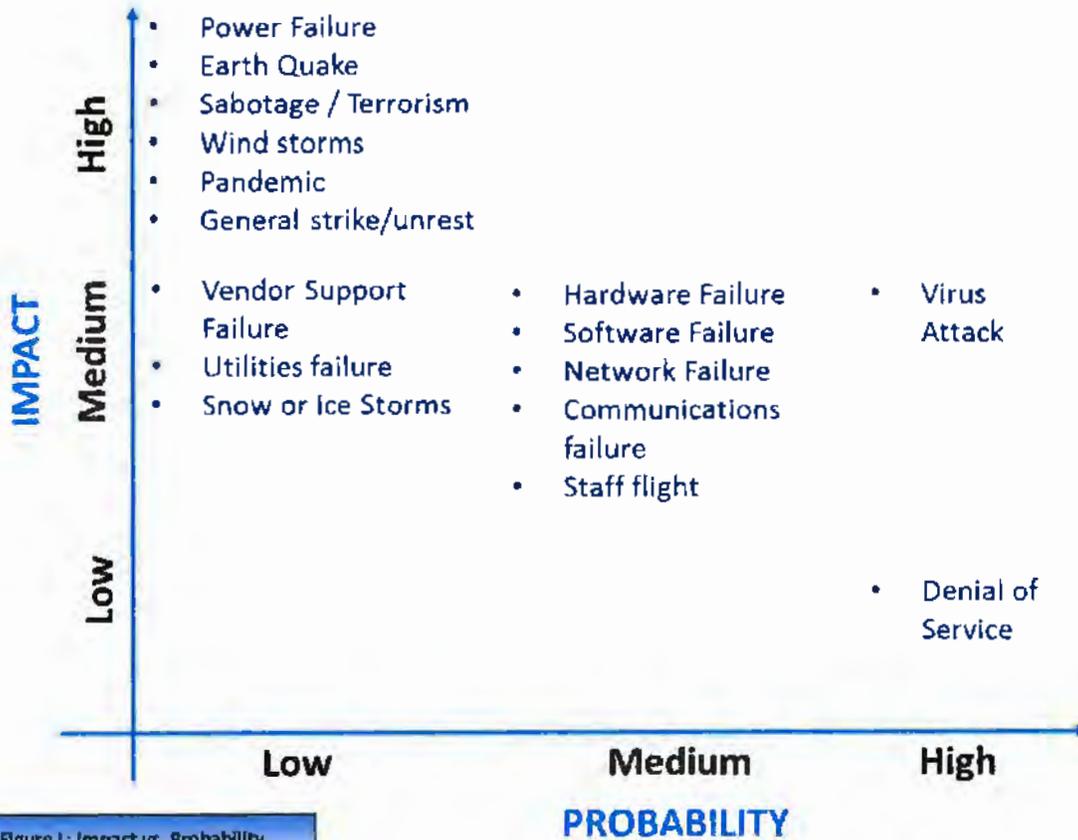


Figure L: Impact vs. Probability

BC/DR plan

The BC/DR plan for the program will be based on the initial risk assessment conducted, as detailed above. It comprises of a BC/DR organization and governance track, identification of appropriate facility locations to comply with Department requirements, DR architecture, backup and archival plan and staff retention plan to ensure minimal business, evaluation and continuous improvement plan and testing frequency.

An illustrative high level plan for BC/DR is summarized in Figures M1 & M2 below.

| Type of Disaster | Procedures | |
|---|--|--|
| | BCP | DR |
| Loss of facility due to natural disasters or infrastructure failure | <ul style="list-style-type: none"> Establishment of a backup center Infrastructure redundancy at the backup center Data redundancy Identification of critical processes and key personnel who have to restore operations | <ul style="list-style-type: none"> Communication to all stakeholders Invoke the DR process Movement of key personnel to the backup location Communication of loss of service to all customers, partners and stakeholders Restoration of critical services from backup location Recovery of base location facility Re-establishment of services from base location Restoration of BAU through additional support personnel Communication of service restoration to customers, partners and stakeholders Documentation of lessons learnt and incorporation into BCMS plan |

Figure M1: BC/DR plan

| Type of Disaster | Procedures | |
|---------------------------|---|--|
| | BCP | DR |
| Loss of technology | <ul style="list-style-type: none"> ▪ Establishment of redundant infrastructure ▪ Backup and archival of business data ▪ Identification of critical processes and key personnel who have to restore operations | <ul style="list-style-type: none"> ▪ Communication to all stakeholders ▪ Invoke the DR process ▪ Communication of loss of service to all customers, partners and stakeholders ▪ Restoration of critical services using redundant infrastructure ▪ Recovery of full technology infrastructure ▪ Re-establishment of services ▪ Restoration of BAU through additional support personnel, if required ▪ Communication of service restoration to customers, partners and stakeholders ▪ Documentation of lessons learnt and incorporation into BCMS plan |
| Loss of staff | <ul style="list-style-type: none"> ▪ Identification of critical processes and key personnel ▪ Identification of backup personnel ▪ Knowledge redundancy | <ul style="list-style-type: none"> ▪ Communication to all stakeholders ▪ Invoke the DR process ▪ Communication of loss of service to all customers, partners and stakeholders ▪ Restoration of critical services using backup personnel at backup data center, if required ▪ Re-establishment of services ▪ Communication of service restoration to customers, partners and stakeholders ▪ Documentation of lessons learnt and incorporation into BCMS plan |

Figure M2: BC/DR plan

The Department applications are interconnected to a significant degree, and for this reason, separating out the individual function/activity/processes and delivering multiple RTOs is not practical.

Location of Facilities

inLumon will provide hosting services from multiple locations which will ensure that the loss of any single facility will not cause a violation of the business continuity.

During normal operations, data from the primary facility can be replicated to the DR facility (See Figure N on the following page that illustrates facility interaction).

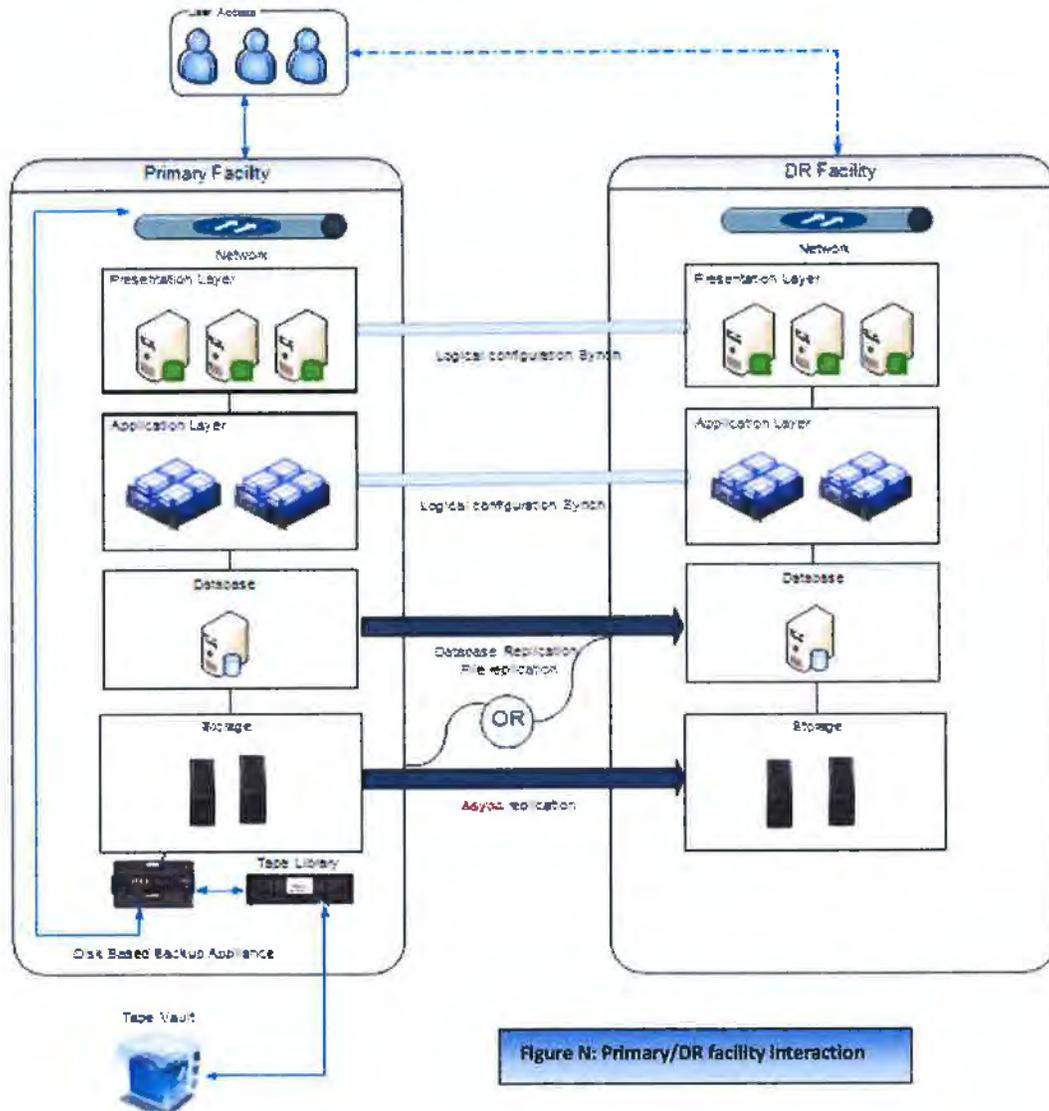


Figure N: Primary/DR facility interaction

Backups and Archiving

Beyond replicating the data from the primary site to the DR, the solution should include backup and archiving. Backups should ideally be performed daily of all production data, which is stored on dedicated (i.e. physically distinct from all other) disk storage and retained for a month. Restores, when needed are therefore simple and fast. The table below (Figure O) lists ideal backup restoration times.

Figure O: Restoration Timing

| Restore required from t time ago | Restore granularity |
|----------------------------------|---------------------|
| 1 day < t ≤ 1 month | 1 day |
| 1 month < t ≤ 1 year | 1 week |
| t > 1 year | 1 month |

Staff/knowledge retention

Loss of staff due to attrition is a standard risk for any IT/ITES organization; indeed, most organizations plan for such a risk by keeping a certain percentage of its workforce under-utilized, so that they could be quickly deployed in the event of a mass flight of talent. Fair and transparent HR policies with a high-performance work ethic will also prevent the risk to a certain extent. inLumon has such policies, established and refined over many years of our existence, to ensure that our workforce is retained as much as possible.

Knowledge retention and dissemination across the organization will be another key aspect to mitigate staff flight risk. The Department business and IT knowledge will be documented on an ongoing basis and disseminated across the workforce to reduce people dependency and facilitate replacement of staff within a short span. Audio/video recordings of systems and process information, CBT's, up to date process documentation, frequent knowledge sharing through sessions, seminars, cross training and rotation of staff across applications or processes, etc., will be some of the mechanisms for knowledge dissemination. These will be across business operations and IT.

inLumon partners with accredited, local staffing agencies to source resources at short notice. The recruitment and onboarding process will be optimized, without compromising on the quality of staff and services to Department clients.

Roles and responsibilities of the BC/DR team are detailed in Figure P below:

| Role | Responsibility | |
|---|--|---|
| | During regular operations | During an event |
| Program Manager | <ul style="list-style-type: none"> ▪ Ultimate responsibility for BCP/DR ▪ Review and approve BCMS plan ▪ Periodically review the plan and suggest improvements | <ul style="list-style-type: none"> ▪ Authorize external communications |
| Implementation Lead | <ul style="list-style-type: none"> ▪ Responsible for the DR plan creation and compliance ▪ Ensure dissemination of the plan across the program ▪ Conduct BCP/DR tests ▪ Ensure implementation of corrective and preventive actions from DR tests | <ul style="list-style-type: none"> ▪ Declare a disaster and invoke the DR plan ▪ Guide the team in responding to the disaster and monitor progress ▪ Update management on DR progress ▪ Ensure that all response and recovery actions are documented ▪ Ensures that all production services have been restored ▪ Conduct post-disaster assessment and establish corrective and preventive controls as necessary |
| Technical team member | <ul style="list-style-type: none"> ▪ Representative for respective function or technology within the program ▪ Ensure implementation of corrective/preventive measures | <ul style="list-style-type: none"> ▪ Handle responsibilities as per the plan ▪ Document response and recovery actions ▪ Participate in post-disaster assessment |
| Security and infrastructure lead | <ul style="list-style-type: none"> ▪ Help the Implementation lead with the establishment of the plan ▪ Identify continuous improvement opportunities in terms of response and recovery planning based on best practices | <ul style="list-style-type: none"> ▪ Ensure that the security-related controls are not compromised |
| Project Manager | <ul style="list-style-type: none"> ▪ Help the Implementation lead with the establishment of the plan ▪ Identify continuous improvement opportunities in terms of response and recovery planning based on best practices | <ul style="list-style-type: none"> ▪ Ensure that all actors operate as a unified team |

Figure P: Roles & Responsibilities

Performance evaluation and continuous improvement

The BC/DR plan will be reviewed for its effectiveness every six months using the following methods:

- Evaluation of the business continuity procedures at regular intervals through tests and mock drills
- Internal audits – compliance audits conducted by the audit team
- Review with the management committee

Continuous improvement in the form of preventive and corrective actions will be introduced based on information from multiple sources.

- Audit non-conformance
- Results monitored after mock drills and tests
- Results monitored after event occurrence and response
- Issues identified during events
- Issues detected during day-to-day operations
- Newly identified and emergent risks

These recommendations will form part of the pre-emptive measures, which will aid in lowering risk of a threat causing a disaster or aid in a quicker response should a disaster event occur. These recommendations will then be incorporated in the final Disaster Recovery Plan document as pre-event steps. Proposed data centers are tier 3 facilities that are geographically separated to mitigate any physical /natural disaster event.

DR Testing Frequency

inLumon and the Department should perform full disaster recovery testing by switching over to the DR data center once every six months, and between switchovers, conduct mock DR drills. The team should publish the results of the test with remediation plans to correct all failures – if any.

c. Completed Attachment B.

As requested, inLumon has completed Attachment B with detailed responses and has included with our response.

| Requirement Sections | |
|----------------------------------|--|
| Licensing (L) | |
| Department Processing (DP) | |
| Case Enforcement Management (CM) | |
| Contact Accounting (CA) | |
| Department Accounting (DA) | |
| Technical (TR) | |
| Common Services (CO) | |
| Online Self-Service (OS) | |
| Scope of Work (SOW) | |

| Bidder Instructions | |
|---|--|
| <p>Bidder Response/Description Column:</p> <p>Bidders must respond to the requirements on each tab as explained below.</p> <ul style="list-style-type: none"> • Bidders should respond using the table format provided here. For each item, the bidder should address the following: Provide a description of the proposed solution's capabilities. Include unique or innovative features and advantages/benefits for the State. • Explain each response and describe how the proposed solution meets each requirement. Insert the response directly in the table, using as much space as needed. Bidders are not limited to one (1) line responses. Responses should be more than "understood" or "noted" and the Bidder should take the opportunity to differentiate themselves. <p>Only current features should be described. Future enhancements are optional and can be described in the Optional Tab, but will not be evaluated.</p> | |
| <p>Optional Tab:</p> | <p>Optional: Implies that these are options that would enhance the software product, but would not make it unacceptable if they are absent. This gives the bidder the opportunity to propose something that exceeds the requirements or note something that they know will be future enhancements to the solution..</p> |

Licensing (L)

| State Requirements | | |
|-------------------------|--|--|
| Req # | Requirement Description | Bidder Response |
| L.1 Contact Information | | |
| L.1.1 | The system must provide a means to define and maintain configurable business rules for multiple unique license types' workflows. | <p>At inLumon, we know that change is inevitable – change to business processes, regulatory changes, advances in technology, and the changing demands of the public, staff and your constituents. Change happens both during and after new system implementations, and we recognize, anticipate and accommodate changes with our software and how we support our clients. inLumon takes pride in how the usability, configuration and development of our solution continually improves and is influenced by the latest software standards, technological improvements, and our clients' input and feedback – so much so, our clients' users become very proficient in the use and configuration of the application (Such as assigning an expiration date to applications) that training is minimized or in some cases eliminated due to the inherent intuitive nature of the software solution they are exposed to and work with during the implementation process. Our solution has evolved into a user-friendly, efficient and flexible solution, enabling our clients to effectively perform and optimally automate their regulatory activities while empowering them to make changes to the system, such as business rules, correspondence templates, reports, screens and more, via the user interface without custom development or programming to accommodate. Our solution has been developed anticipating change and empowering our clients to easily adapt their system. Whether it is updating templates to reflect new regulations in advance of effective dates, adding a new certification type, configuring business rules, settings, or staff workflow changes, inLumon's Licensing Framework not only gives users the ability to modify their system without coding, but inLumon also offers clients the ability to add desired functionalities originally developed for another client to their system. Some of the highlights include:</p> <ul style="list-style-type: none"> •User Management—this is where user accounts can be inactivated when staff leaves, where passwords can be reset, etc. •Template Message—This is where email and SMS (TXT) message templates are managed in the system. Staff can change message being sent to licensees without assistance from inLumon. •Content Management—This allows clients to manage the content in their Application and Renewal forms without assistance from inLumon. Staff can make changes in minutes which are reflected immediately when licensees or applicants open new or renewal applications. •Configuration—Here staff can manage several system values themselves without assistance from inLumon. This includes the number of days prior to expiration that a licensee can renew. •Reference Table—This is where staff can manage all drop-down screens without assistance from inLumon. •Secure Communication—This feature allows our clients to communicate directly with licensees and/or applicants, all of which occurs within the system. •Task Management & Execution—This allows clients to create a message they wish to share (via email) to a select group of individuals within the database (task definition) and schedule when that task is to be run. Task Execution allows staff to see the results of the job and provides a list of individuals selected from the database by the task being run. •Bulk Email—allows staff to define criteria to select individuals from the database and create the email message that will be sent to all those individuals. |
| L.1.2 | The system must have ability to create a workflow for creating and maintaining department contact IDs. | inLumon's framework allows for the configuration for workflow(s) based on the Department's needs, including creation of and maintenance of Department contact IDs. |

Licensing (L)

| State Requirements | | | |
|--------------------|--|----------|--|
| Req # | Requirement Description | | Bidder Response |
| L.1.3 | The contact identification module must have the ability to create and maintain contact information based on configurable data points and fields. | | Our solution is highly configurable, providing the ability to create (and validate) contact information, data points and fields. The system also manages the concept of sensitive information. This information is identified during the discovery phase and is stored in the database as encrypted data. This sensitive information is carried through the application layers in an encrypted manner and is decrypted only for a user with the appropriate roles. Each viewing event regarding a user's sensitive information is logged into the auditing storage. Our system also implements the concept of overriding the access control based on a high authorization (that is, a supervisor override). The supervisor override can be based on a combination of user name and password or a secure key that can be read with a barcode or entered by the supervisor. |
| L.1.4 | The system must provide ability to search for contacts licenses using configurable filters on all data points and fields. | | All data points within the system can be searched provided the user has the appropriate authority (determined by user role) to view the information. |
| L.1.5 | The system must provide for generating a temporary license number, while an application is in process. | | The system can be configured to create / issue a temporary license number per the Department's numbering schema. |
| L.1.6 | The system must have the ability to identify contacts and licenses by other regulatory entities identification numbers in addition to SSN or FEIN. | | The system can be configured to identify contacts by any identification numbers stored in the system. |
| L.1.7 | The system must have the ability to approve or deny an application based on business rules and workflow. | | inLumon's Licensing Framework inherently supports end-to-end application workflows based on the Department's processes for each specific license, registration and/or charter type. |
| | Future Enhancements | Optional | Any responses to be noted under the Optional tab |
| L.1.a | Entity | | |
| L.1.a1 | The system must have the ability to establish and maintain unique contact information for businesses and individuals. | | Unique identifiers can be configured in the system to provide for unique business and individual records that are created and stored in the system. |
| L.1.a2 | The system must have the ability to uniquely identify a contact. | | Unique identifiers are used in the system to ensure unique business and individual records are created and stored in the system. Furthermore, validation rules (can be) place on multiple data points to prevent the creation of duplicate individual or business records. |

Licensing (L)

| State Requirements | | Bidder Response |
|--------------------|--|---|
| Req # | Requirement Description | |
| L.1.a3 | The system must provide the ability to view the history of changes to contact and licensee data points and fields. | <p>The framework employs the concept of activity. A business function carried out within the system is a type of activity. The system can be configured to log each activity being carried out with the system. This information is stored in the database and can be retrieved to analyze or identify patterns for fraud prevention. As part of the business function audit, the system logs the following data points:</p> <ul style="list-style-type: none"> •Logged-in user •IP Address from which the user is logged in •Activity date and time •Activity type •Permit / License / Application Number |
| L.1.a4 | The system must have the ability to store multiple identifying numbers for each entity. | The system can be configured to store as many identifying numbers per entity as the Department desires. |
| L.1.a5 | The system must have the ability to prevent entry of duplicate contacts and external licenses. | Furthermore, validation rules will be implemented to prevent the creation of duplicate individual or business records. |
| L.1.a6 | The system must provide for 3rd party address standardization, compliant with NITC Standard 3-206 | inLumon includes the ability to standardize address information and furthermore validate against USPS. |

Licensing (L)

| State Requirements | | | |
|---|--|----------|---|
| Req # | Requirement Description | | Bidder Response |
| L.1.a7 | The system must have the ability to support an internationally accepted postal format for both foreign and domestic addresses. | | The system will be configured to support both foreign and domestic address information. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| L.2 Account Data | | | |
| L.2.1 | The system must have the ability to create and maintain multiple license types for every contact (business or individual) based on configurable business rules. | | inLumon's framework is highly configurable, providing the ability for multiple license types to be maintained within the system with corresponding business rules automating licensure processes for both individuals and businesses. |
| L.2.2 | The system must have the ability to create and maintain multiple renewals within a license type based on configurable business rules. | | Our solution can be configured to support various renewals for each specific license type per the Department's requirements. |
| L.2.3 | The system must have the ability to create a new account based on submission processing from a public-facing portal. | | inLumon's Licensing Framework provides the basis for any public-facing portal(s) the Department desires to deploy, including the creation of a new account. |
| L.2.4 | The system should allow for a hierarchy in the application of business rules. | | Our solution provides a user-friendly interface and hierarchy for the implementation and management of business rules within the system. |
| L.2.5 | The system must have the ability to add and update customizable flags for use with individuals and entities. | | Our solution allows for the configuration and utilization of flags to easily be applied to individual, business, application and/or case records in the system. |
| L.2.6 | The system should have the ability to set flags in a batch for multiple contacts or licenses based upon data filters. | | The system can be configured to set flags in batch upon contacts or licensees that meet a specified condition or parameter in batch or manually. |
| L.2.7 | The system must provide the ability to set the status of a flag based upon business rules (e.g. a bad check flag set automatically based upon a NSF condition for a contact and all related licenses). | | Agreed. Statuses, flags and other actions can be configured to automatically set based upon specified conditions per the Department's processes. |
| L.2.8 | The system must have the ability to flag contacts for enforcement and conditional license mandates. | | Contacts can certainly be flagged and licenses placed on conditional status(es) based on the Department's requirements. This can include, for instance, an application / renewal being placed on 'hold' until resolution of an associated investigation case. |
| | Future Enhancements | Optional | Any responses to be noted under the Optional tab |
| L.2.a Multiple Address Capture and Maintenance | | | |
| L.2.a1 | The system must have the ability to differentiate between mailing addresses and location addresses. | | The system inherently provides the ability to configure as many addresses as per the Department's needs, including mailing, physical location, and/or practice addresses. |
| L.2.a2 | The system must have the ability to create and maintain multiple mailing addresses for each entity or individual. | | All address information can be tracked in the system, including historical ("previous") and current mailing addresses for each entity and individual in the system. |

Licensing (L)

| State Requirements | | | |
|--------------------|---|----------|---|
| Req # | Requirement Description | | Bidder Response |
| L.2.a3 | The system must have the ability to create and maintain multiple location addresses for each entity or individual. | | All address information can be tracked in the system, including historical ("previous") and current location addresses for each entity and individual in the system. |
| L.2.a4 | The system must capture a history of all addresses, with an active flag to identify current records for each physical and mailing types. | | Historical information, including all addresses, are tracked in the system and allows for the selection / flagging of which addresses are current. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| L.2.b | Contact Data | | |
| L.2.b1 | The system must have the ability to create and maintain multiple contacts for each license (e.g. officers, owners, phone numbers, email addresses, mailing addresses). | | Our system is highly relational, thereby allowing for multiple contacts to be associated with a license. Furthermore, business rules can enforce how the Department regulates, such as in a case where a business can only operate if a currently licensed individual (owner, manger, etc.) is actively employed at the business. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| L.2.c | Business Relationships | | |
| L.2.c1 | The system must have the ability to create and maintain relationships between contacts or licenses (such as partnerships, parent to subsidiary affiliations, entities to owners, entities to officers, pass-through entities, financially responsible individuals, related persons for incentive applications). | | All 'real world' relationships the Department desires to track between contacts and / or licenses can be configured, tracked and displayed within the system. |
| L.2.c2 | The system must have the ability to track predecessor/successor relationships (for example, when businesses are sold and merged). | | Historical information, including prior relationships to sold / merged / closed businesses, can be tracked in the system. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| L.2.d | Agent Tracking | | |
| L.2.d1 | The system must have the ability to create and maintain third party agents acting for licensees (e.g. brokers, agents, attorneys, tax preparers, payroll services, certified service providers). | | There is virtually an unlimited amount of different entities and roles that can be configured and maintained in the system, including third-party agents. Third-party agents can be allowed to act for associated licensees. An example of this is where a firm employs multiple licensees, but an authorized firm representative can be allowed to submit renewal information and payments for all the licensees employed by the firm. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| L.2.e | Requirements for integration with Delinquency Process | | |
| L.2.e1 | The system should have the ability to support delinquency processing by creating filing period entries for all application and renewal cycles for which a licensee is liable at registration. | | The system can be configured to create applicable filing periods for delinquent licensees per the Department's requirements. |

Licensing (L)

| State Requirements | | | Bidder Response |
|--------------------|-------------------------|----------|--|
| Req # | Requirement Description | | |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |

| Department Processing (DP) | | | |
|----------------------------|--|-----------------|---|
| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | Bidder Response |
| DP.1 Standard Processing | | | |
| DP.1.1 | The system must have the ability to process submissions and related forms for all Nebraska Banking and Securities Act License types. | | inLumon's Licensing Framework will serve as the basis for the processing of all submissions to the Department. The system will be configured to collect all the information, documentation and payments required for each specific license type per the Department's processes and forms. |
| DP.1.2 | The system must have the ability to receive submissions through automated processes. | | inLumon's system inherently automates the submission processes in alignment with the Department's processes via configurable business rules. |
| DP.1.3 | The system must have the ability to load and post submissions for processing. | | inLumon will work with the Department to define the submission processes, which would include loading / posting submissions into an appropriate queue for processing. |
| DP.1.4 | The system must have the ability to compute and post/validate fees for submissions processing. | | Business rules and fees will be configured to automatically calculate associated fee(s) for processing submissions and collect payments. |
| DP.1.5 | The system must have the ability to process submissions in batch. | | Business rules and tasks can be configured in the system to process submissions (that meet Department-defined criteria) in batch. |
| DP.1.6 | The system must have the ability to correct or capture erroneous submissions received for processing. | | Business rules and validations can be placed on any and all data points to require proper entry prior to submission, thereby reducing data errors. However submissions containing errors can be flagged for further review prior to proceeding in the submission process. |
| DP.1.7 | The system must have the ability to adjust submissions received for processing. | | Per the Department's requirements, the system can be configured to adjust submissions received. |
| DP.1.8 | The system must have the ability to reverse submissions received for processing. | | Per the Department's requirements, the system can be configured to reverse submissions received. |
| DP.1.9 | The system must have the ability to transfer submissions received for processing. | | The system can be configured to transfer submissions either manually or in batch based on the Department's processes. |
| DP.1.10 | The system must have the ability to delete submissions received for processing. | | Submissions can be deleted by authorized user(s) with the appropriate permissions. |
| DP.1.11 | The system must have the ability to reprocess submissions received for processing. | | Submissions can be selected for reprocessing based upon the Department's need. |
| DP.1.12 | The system must have the ability to process an amended submission received for processing. | | Per the Department's process, amended submissions can be processed. |

| Department Processing (DP) | | | |
|----------------------------|--|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| DP.1.13 | The system must have the ability to view filing history of original submissions and amended submissions. | | All historical information, including all original and amended submissions, can be viewed and reported against within the system. |
| DP.1.14 | The system must have the ability to search for applications or other submissions. | | All data, applications and/or other submissions can be searched for and reported against within the system. |
| DP.1.15 | The system must have the ability to view processed submissions and adjustments. | | All processed submissions and adjustments will be tracked and can be viewed in the system. |
| DP.1.16 | The system must have the ability to process submissions and adjustments for payments that aren't related to the license process. | | As the Department desires, submissions and adjustments not related to the licensing process can be processed. |
| DP.1.17 | The system must have the ability to place a submission on hold. | | Holds can be placed on a submission either automatically (if certain criteria are met) or manually by authorized user(s). |
| DP.1.18 | The system must have the ability to place a group of submissions on hold based upon one or more business rules. | | Business rules can be configured to place multiple submissions on hold based on the Department's requirements. |
| DP.1.19 | The system should have the ability to release a group of submissions on hold based upon one or more business rules. | | Business rules can be configured to release multiple submissions that were on hold based on the Department's requirements. |
| DP.1.20 | The system should have the ability to suspend submissions with errors pending correction. | | Business rules can be configured to suspend submissions pending correction. |
| DP.1.21 | The system should allow applications and payments to be processed independently. | | The system will be configured to allow for independent processing of payments and applications per the Department's processes. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| DP.1.a | Channels | | |
| DP.1.a1 | The system must have the ability to process submissions received or data captured through paper applications. | | Our system inherently allows for the processing of an application that (in the unfortunate event) was submitted to the Department in paper form. |

| Department Processing (DP) | | | |
|----------------------------|--|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| DP.1.a2 | The system must have the ability to process submissions received or data captured through electronic filing. Electronic filing options include but not limited to: web portal or fillable PDF. | | inLumon will use all the Department's submission forms as a basis for electronic (online) filing. |
| DP.1.a3 | The system must have the ability to fully capture, store, validate and display all submissions. | | The system will be configured to fully capture, store, validate and display all submissions. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| DP.1.b | Management | | |
| DP.1.b1 | The system should have the ability to automatically route submissions to work queues based on configurable business rules. | | Indeed. We will work with the Department to define submission work queues and then configure the business rules to align with the Department's workflow processes. |
| DP.1.b2 | The system must provide a means to define and maintain configurable submissions processing rules. | | inLumon's Administration menu provides the ability to define, configure and maintain business rules for submission processing. |
| DP.1.b3 | The system must provide a means to define and maintain configurable submissions validation rules. | | inLumon's system provides a highly flexible business rules engine allowing for the configuration and maintenance of submission validation rules. |
| DP.1.b4 | The system should have the ability to establish user-defined tolerances (by dollar amount or percentage) across all exception identification criteria. | | The system can be configured to establish and maintain user-defined tolerances by dollar amount or percentage to be applied to exception identification criteria. |
| DP.1.b5 | The system must provide the ability to view all submissions processed for a particular contact at the license level, or entity level. | | All submissions will be tracked and displayed associated to a particular contact. |
| DP.1.b6 | The system must provide the ability to format and standardize submissions received from all channels. | | Validation rules can be placed on any and all data fields to standardize submissions received. |
| DP.1.b7 | The system must have the ability to update Contact Accounting with fees and filing dates at the contact level for each submission processed. | | The system can be configured to enable fees and filing dates to be updated at the contact level for each submission. |

| Department Processing (DP) | | |
|----------------------------|---|--|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| DP.1.b8 | The system must have the ability to update Contact Accounting with fees and associated filing dates at the license level for each submission processed. | The system can be configured to enable fees and filing dates to be updated at the license level for each submission. |
| DP.1.b9 | The system must have the ability to process submissions for ad hoc fees that do not have a filing or renewal period (e.g., a request to move a branch). | inLumon's system will have the ability to process submissions for ad hoc fees that meet Department defined criteria. |
| DP.1.b10 | The system must have the ability to process submissions that are not accompanied by payments. | The system will be able to process submissions that are not accompanied by payments. |
| DP.1.b11 | The system must have the ability to process submissions that are accompanied by payments. | Submissions that are accompanied by payments will be processed by the system. |
| DP.1.b12 | The system must provide ability to search submissions using configurable filters for all fields regardless of status. | All data within the system including submission information, regardless of status, will be searchable in the system. |
| DP.1.b13 | The system must have the ability to post multiple submissions for the same filing period based on configurable business rules. | Business rules will be configured to enable the posting of multiple submissions for the same filing period based on the Department's requirements. |
| DP.1.b14 | The system must provide for payment and submission transfer functionality across entities based on configurable business rules. | Business rules will be configured allowing for the transfer of payment and submissions per the Department's needs. |
| DP.1.b15 | The system must provide for payment and submission transfer functionality across licensee based on configurable business rules. | Transfer functionality will be enabled by the configuration of business rules in alignment with the Department's processes. |

| Department Processing (DP) | | | |
|-----------------------------------|---|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| DP.2 Exceptions Processing | | | |
| DP.2.1 | The system must be able to allow for exceptions processing. | | The system will allow for exception processing. |
| DP.2.2 | The system must have the ability to create and maintain validation rules for the identification of submission exceptions. | | Our system excels in the ability to have validation rules created, applied and maintained in support of the Department's processes, including identification of submission exceptions. |
| DP.2.3 | The system should have the ability to create and maintain suspense rules for submission exceptions. | | Suspense rules for submission exceptions will be implemented in the system via the configuration of business rules based on the Department's process. |
| DP.2.4 | The system should have the ability to create and maintain error codes for submission exceptions. | | Error codes for submission exceptions can be configured in the system. |
| DP.2.5 | The system should provide for form suspense and error correction. | | By implementing business and validation rules in the system, the system can provide for form suspension and correct errors. |
| DP.2.6 | The system should have the ability for users to save submission work in progress. | | Yes, the system inherently provides users the ability to save a submission in progress in order to return at a later time to continue where they had left off in the process. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| DP.2.a | Adjustments | | |
| DP.2.a1 | The system should have the ability to facilitate correction of submissions using electronic document images (i.e., side by side display of submission image and submission data screen or coordinated scrolling of submission data and submission image.) | | The system can store and display electronic documents for user(s) to review and correct submission data. |

| Department Processing (DP) | | | |
|----------------------------|---|-----------------|--|
| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | Bidder Response |
| DP.2.a2 | The system must have the ability to maintain a history of all user and batch updates for submissions. | | All actions taken in the system, either independently or in batch will be stored providing a historical view of submissions. |
| DP.2.a3 | The system must have the ability to record and display original and revised (system-calculated) data. | | The system can record and display original and revised data stored in the system. |
| DP.2.a4 | The system must provide the ability to view and change submission processing dates (e.g. received date, in date). | | Authorized user(s) can be enabled to view and change submission dates. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| DP.2.b | Automatic Flagging | | |
| DP.2.b1 | The system must have the ability to hold submissions based on business rules. | | Business rules can be implemented to hold submissions based on the <u>Department's requirements</u> . |
| DP.2.b2 | The system must have the ability to release submissions based on business rules. | | Submissions can be automatically released by the system based on business <u>rule configurations</u> . |
| DP.2.b3 | The system should have the ability to prioritize submissions based on business rules. | | Based on the Department's needs, business rules can be implemented to prioritize submissions. An example of this is where, for other clients, application submissions from veterans are prioritized for processing in the agency's workflow <u>queue</u> . |
| DP.2.b4 | The system should have the ability to flag submissions for review based on business rules. | | Business rules can be implemented to flag submissions based on whatever <u>criteria the department desires</u> . |
| DP.2.b5 | The system should have the ability to automatically workflow items based on configurable business rules | | Workflow management is an inherent capability of inLumon's Licensing Framework, automating the Department's workflows based on specified <u>processes and implemented via configurable business rules</u> . |
| DP.2.b6 | The system should have the ability to automatically route worklists based on configurable business rules | | Workflow automation is a hallmark of inLumon's Licensing and Enforcement Solution, enabling worklists to be automatically created and routed based on <u>business rules</u> . |
| DP.2.b7 | The system should provide for automated correspondence based on configurable business rules | | Any letters, reports, notifications, certificates and other correspondence can be generated by the system. |

| Department Processing (DP) | | | |
|----------------------------|---|-----------------|---|
| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | |
| DP.2.b8 | The system must have the ability to apply a single remittance to multiple items within a submission. | | The system allows for the application of a single remittance to multiple items. |
| DP.2.b9 | The system must have the ability to apply multiple remittances to a single submission | | Multiple remittances can be applied to a single submission. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| DP.2.c | Pass Through Functionality | | |
| DP.2.c1 | The system must have the ability for one fee type to be a withholding agent for multiple other fee types and payers. (Pass through entities, branch fees paid by parent entities) | | The system will be configured to enable one fee type to be a withholding agent for multiple other fee types and payers per the Department's requirements. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| DP.2.d | Other | | |
| DP.2.d1 | The system must provide user configurable controls for submissions processing fee rates. | | The system will provide authorized user(s) the ability to configure fee rates for submissions processing. |
| DP.2.d2 | The system should provide user configurable controls for submissions processing error messages and severity levels. | | The system provides the ability for authorized user(s) to create and configure error messages and security settings for submission processing. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| DP.2.e | Management | | |
| DP.2.e1 | The system should provide ability to manually suspend (i.e. over-ride) batch transactions that create processing issues. | | The system can enable the manual suspension of batch transactions (via inherent Task Management module). |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |

| Case Enforcement Management (CM) | | |
|----------------------------------|--|---|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| CM.1 General | | |
| CM.1.1 | The system must have user configurable work list prioritization for all case management functions. | inLumon's Licensing and Enforcement solution will be configured to support case management functions, including the prioritization of user(s) work list(s). |
| CM.1.2 | The system should provide a statute references for all found issue types based upon configurable business rules. | The system allows for the configuration of statute references for issue types. |
| CM.1.3 | The system must have the ability to create and maintain workflows. | The Workflow Management module within our Licensing and Enforcement solution inherently provides for the creation and maintenance of workflows based upon the Department's processes. |
| CM.1.4 | The system should have the ability to create and maintain an informal appeals case. | Enforcement management within the system allows for the configuration of, creation and tracking of specific case types according to the Department's processes. |
| CM.1.5 | The system should have the ability to create and maintain a field audit case. | Enforcement management within the system allows for the configuration of, creation and tracking of specific case types according to the Department's processes. |
| CM.1.6 | The system should have the ability to create and maintain an office audit case. | Enforcement management within the system allows for the configuration of, creation and tracking of specific case types according to the Department's processes. |
| CM.1.7 | The system should have the ability to create and maintain a class action case. | Enforcement management within the system allows for the configuration of, creation and tracking of specific case types according to the Department's processes. |
| CM.1.8 | The system must have the ability to create and maintain a case against a non-licensed contact. | Cases can be associated to any and all contacts, whether licensed or unlicensed by the Department. |
| CM.1.9 | The system must have the ability to create and maintain a case where NDBF is one of multiple complainants. | Our system provides for one-to-one and one-to-many relationships, thereby allowing for any and all complainants (including NDBF) to be associated with a case. |
| CM.1.10 | The system must have the ability to create and maintain a case, generated from an examination finding. | Business rules can be configured to enable the creation of a case generated from an examination finding. |
| CM.1.11 | The system must have the ability to create and maintain all case types with configurable data elements. | Our solution is highly configurable, enabling authorized user(s) to create, maintain and manage case types and data elements. |

| Case Enforcement Management (CM) | | | |
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| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CM.1.12 | The system must provide a means to define and maintain configurable business rules for handling all case types. | | Our highly configurable system provides the ability to create, define and maintain business rules within the system, including those associated to case types. |
| CM.1.13 | The system must have the ability to establish work flow for case types. | | Workflows will be configured supporting each specific case type per the Department's enforcement processes. |

| Case Enforcement Management (CM) | | | |
|----------------------------------|--|----------|---|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CM.1.14 | The system should have the ability to track time spent working on a case, by activity type and location of work (on-site, alternate work-site or in-office) completed. | | Any information the Department desires to track associated with a case, including time spent on a case, activity type and location, can be configured within the system. |
| CM.1.15 | The system must have the ability to consolidate all eligible contact fees owed into a single case. | | All fees associated to a single case can be consolidated. Furthermore, this information can be presented on an invoice and/or have payment applied. |
| CM.1.16 | The system must provide a means to define and maintain configurable case statuses. | | Case statuses, among all data points associated to cases, are able to be created, defined and managed within the system's highly-flexible configuration ability. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| CM.2 Search | | | |
| CM.2.a | General | | |
| CM.2.a1 | The system must provide ability to search cases using configurable filters on all data points and fields. | | All information contained within the system can be search for and reported against. Data points and fields used to search cases is configurable. |
| CM.2.a2 | The system must have the ability to maintain a full history for all cases. | | All historical information, including changes and actions taken within the system (i.e. whom and when a case record was accessed or opened) are stored and available for authorized users providing a complete history of each specific case. |
| CM.2.a3 | The system must have the ability to maintain a full internal audit trail for all cases. | | All historical information, including changes and actions taken within the system (i.e. whom and when a case record was accessed or opened) are tracked, stored, viewable and able to be reported against for auditing purposes. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| CM.2.b | Administration and Search | | |
| CM.2.b1 | The system should have the ability to provide for automatic or manual case creation. | | The system supports manual and automatic generation of a case based upon the Department's requirements. |
| CM.2.b2 | The system must provide the ability to add and view notes for any case based on assignable security roles. | | Our system is security-roles driven, hence providing the ability for authorized user(s) to add and/or view case notes. |
| CM.2.b3 | The system should allow users to manually assign all case types based on security roles. | | The system can allow for the manual assignment of case types based on security roles. |

| Case Enforcement Management (CM) | | | |
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| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | |
| CM.2.b4 | The system must provide manual ability to move or reverse a case through the work flow. | | The system allows the ability to manually move and/or reverse a case in the Department's workflow. |

| Case Enforcement Management (CM) | | | |
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| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CM.2.b5 | The system should provide for automated movement of a case through the process flow based on aging and workflow controls. | | Business rules can be configured to automate the movement of cases based on the Department's desired criteria, including case age and workflow. |
| CM.2.b6 | The system must have the ability to automatically or manually create correspondence. | | inLumon's solution automatically generates Department-specified correspondence, notifications, letters and reports either manually or in batch. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| CM.3 | Enforcement Processing | | |
| CM.3.a | General | | |
| CM.3.a1 | The system must provide ability to create a complaint or other "initiating report" by a member of the public or internal staff member. | | The system will be configured to support the Department's enforcement processes, including the creation of a complaint or other "initiating report" from the public or staff member. |
| CM.3.a2 | The system must provide ability to create a investigation off a initiating report to be worked by the department. | | inLumon's system will be configured to support the Department's enforcement processes, including the creation of an investigation for the Department. |
| CM.3.a3 | The system must provide ability to create an Order off an investigation to be issued by the department. | | The system will be configured to create an Order from an investigation based upon the Department's requirements. |
| CM.3.a4 | The system must provide ability to create a follow up order to either vacate or amend a prior order. | | Follow-up orders, including vacating or amending a prior order, can be configured within the system based on the Department's processes. |

| Contact Accounting (CA) | | | |
|-------------------------|--|-----------------|---|
| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | Bidder Response |
| CA.1 General | | | |
| CA.1.1 | The system must maintain contact balances for each fee type. | | Financial Management is an inherent capability of inLumon's system, providing for the tracking and maintenance of balances for fee types. |
| CA.1.2 | The system must have the ability for all functions of contact accounting to work without a filing period (e.g. ad hoc fees). | | The system will provide the ability to account for all functions of contact accounting. |
| CA.1.3 | The system must create and maintain a full history of all transaction detail affecting contact balances. | | All historical data, including financial transactions, will be stored and maintained in the system. |

| Contact Accounting (CA) | | |
|-------------------------|--|--|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| CA.1.4 | The system must use information from posted submissions to update accounts and contact obligations based on configurable business rules. | Business rules will be configured to update accounts and contacts from posted submissions. |
| CA.1.5 | The system must allow users to manually create financial transactions based on security permissions and configurable business rules. | Authorized user(s) can manually create financial transactions in the system. |
| CA.1.6 | The system must allow users to manually reverse or undo financial transactions based on security permissions and configurable business rules. | Based on a user's security role, financial transactions can be reversed and/or undone in the system. |
| CA.1.7 | The system must allow users to manually move and correct submissions and payments between contacts or licenses based on configurable business rules. | Users will be able to move / correct submissions and payments based on business rules. |
| CA.1.8 | The system must automatically recalculate fee balances based on any transaction or adjustment. | Business rules will be configured to automatically recalculate fee balances based on transactions or adjustments made within the system. |

| Contact Accounting (CA) | | | |
|-------------------------|--|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CA.1.9 | The system must allow users to initiate a recalculation of obligation balances at any time. | | Users will be able to recalculate balances at any time. |
| | Future enhancement | Optional | Any responses to be noted under the Optional tab |
| CA.2 Payments | | | |
| CA.2.1 | The system must have the ability to accept and process payments for all submission types. | | The system will have the ability to process payments for all submission types. |
| CA.2.2 | The system must provide all functions relating to the processing of payments. | | All functions relating to the processing of payments will be configured per Department's requirements. |
| CA.2.3 | The system must accept payments from all existing NDBF payment channels, primarily check and ACH. | | All existing payment methods will be accepted and processed in the new system. |
| CA.2.4 | The system must apply payments to all fee types and periods based on user-configurable business rules. | | Based on configured business rules, payments will be applied per the Department's processes. |

| Contact Accounting (CA) | | | |
|--|---|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CA.2.5 | The system must have the ability to maintain all submission and payment information. | | All submission and payment information will be tracked and stored in the system. |
| CA.2.6 | The system must have the ability to allocate payments to penalties, fees, and other agreements based on user-configurable business rules. | | Payments will be allocated for penalties, fees and other agreements per the Department's requirements. |
| CA.2.7 | The system must be able to apply a payment to a configurable set of fees. | | A payment will be able to be applied to a configurable set of fees in the system. |
| CA.2.8 | The system must be able to record, process, and report on all payment types. | | All payment types will be tracked, processed and available to be reported against in the system. |
| CA.2.9 | The system must be able to accept a payment from a third party on behalf of one or more contacts' fees/balances. | | A payment from a third party will be able to be applied to one or multiple contacts' fees / balances in the system. |
| | Future enhancement | Optional | Any responses to be noted under the Optional tab |
| CA.3 Payment Management/Credit Management | | | |
| CA.3.a | General | | |
| CA.3.a1 | The system must provide the ability to configure payment allocation and application rules. | | Our system is highly configurable, allowing for payment allocation and application rules to be applied per the Department's processes. |
| | Future enhancement | Optional | Any responses to be noted under the Optional tab |
| CA.3.b | History, View and Reporting | | |
| CA.3.b1 | The system must create and maintain payment history files. | | All payment history information will be created and stored in the system. |
| CA.3.b2 | The system must have the ability to search payments by configurable data filters. | | All data, including payments, will be searchable in the system via configurable filters (data fields) in the system. |

| Contact Accounting (CA) | | | |
|--------------------------------|---|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| | Future enhancement | Optional | Any responses to be noted under the Optional tab |
| CA.3.c Payment - Other | | | |
| CA.3.c1 | The system should have the ability to suspend payment based upon the status of contact or license flags. | | Business rules can be applied to suspend payment dependent upon contact status and/or license flags. |
| CA.3.c2 | The system should have the ability to distinguish and prioritize multiple liability types within a given liability based on user-configurable business rules. | | Liability types can be specified and prioritized in the system using business rules configured based upon the Department's processes. |
| | Future enhancement | Optional | Any responses to be noted under the Optional tab |
| CA.4 Billing, Notices and Mail | | | |
| CA.4.1 | The system must have the ability to create and maintain both manual and automatic licensee billing. | | Licensee billing will be configured within the system to be created either manually or automatically based upon the Department's requirements. |
| CA.4.2 | The system must include controls to suppress billings based on configurable business rules. | | Billings can be suppressed based upon configured business rules in the system. |
| CA.4.3 | The system must allow different billing cycles for each fee type. | | Each fee type can be configured to be billed on different cycles per the Department's processes. |
| CA.4.4 | The system must allow designated contacts or licenses to be billed out of cycle. | | Designated contacts or licensees will be able to be billed out of cycle in the system. |

| Contact Accounting (CA) | | | |
|-------------------------------------|--|-----------------|---|
| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | |
| CA.4.5 | The system must have an ability to configure consolidated or single licensee bills. | | Licensee bills will be configured to be single or consolidated based upon the Department's requirements. |
| CA.4.6 | The system should be able to generate automatic notices for unpaid or underpaid liabilities. | | inLumon's system can generate automatic notifications for unpaid or underpaid liabilities per the Department's requirements. |
| CA.4.7 | The system should be able to generate custom notices for unpaid or underpaid liabilities. | | The system allows for the customization of notifications to be generated for unpaid or underpaid liabilities. |
| CA.4.8 | The system must have the ability to add a fee to a bill based on configurable business rules. | | The system will have the ability to add a fee to a bill utilizing configurable business rules. |
| CA.4.9 | The system must have the ability to adjust accounts in accordance with Generally Accepted Accounting Principles. | | The system will have the ability to track and adjust accounts in alignment with accounting principles. |
| | Future enhancement | Optional | Any responses to be noted under the Optional tab |
| CA.5 Institution Assessments | | | |
| CA.5.1 | The system should have the ability to manually create and maintain assessments. | | Assessments can be created and maintained within the system. |
| CA.5.2 | The system should be able to create and maintain assessments by batch process. | | Assessments can be created and maintained within the system by batch. |
| CA.5.3 | Assessments should be configurable for either fixed dollar and tiered amounts. | | Assessments can be configured as either fixed or tiered dollar amounts based upon the Department's requirements. |
| CA.5.4 | The system should have the ability to manually create and release automated and manual holds. | | Holds can be configured to be created and released either manually or automatically. |
| CA.5.5 | The system should have the ability for users to move payments and portions of payments to and from different fees assigned to the payee. | | Authorized user(s) can be enabled to move payments and/or portions of payments to / from different fees assigned to payee(s) in the system. |
| CA.5.6 | The system should have the ability for users to manually cancel and/or adjust assessments. | | Users will be able to manually cancel and/or adjust assessments in the system. |
| | Future enhancement | Optional | Any responses to be noted under the Optional tab |
| CA.6 Offsets | | | |
| CA.6.a Refunds | | | |
| CA.6.a1 | The system must have the ability to create, maintain and monitor refunds for erroneous payments. | | The system can be configured to create, maintain and monitor refunds and/or erroneous payments made within the system. |
| CA.6.a2 | The system should provide for controls that limit the number and dollar amount of refunds issued in a particular cycle. | | Controls can be configured in the system to limit the number and dollar amount of refunds issued within a specific cycle per the Department's requirements. |
| CA.6.a3 | The system should provide the ability to group multiple overpayments for one contact into one refund. | | The system can consolidate multiple overpayments into one refund to be issued to a contact. |

| Contact Accounting (CA) | | | |
|-------------------------|---|----------|---|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CA.6.a4 | The system should provide a workflow for refunds. | | As with all the Department's workflows, refunds can be configured into the system as a workflow per the Department's processes. |
| CA.6.a5 | The system should provide a workflow for underpayments. | | As with all the Department's workflows, underpayments can be configured into the system as a workflow per the Department's processes. |
| | Future enhancement | Optional | Any responses to be noted under the Optional tab |

| Department Accounting (RA) | | | |
|----------------------------|---|-------------------------|---|
| State Requirements | | | |
| Req # | Requirement Description | Optional/ Additional | Bidder Response |
| RA.1 General | | | |
| RA.1.1 | The system must have the ability to allocate and distribute funds across the entire range of department General Ledger accounts | | The system will be able to allocate and distribute funds across all specified Department accounts. |
| RA.1.2 | The system must have the ability to account for fund distributions across all fiscal periods and reporting periods according to business rules. | | Through the configuration of business rules, the system will be able to account for fund distributions across fiscal and reporting periods per the Department's requirements. |
| RA.1.3 | The system must allow a user to manually distribute funds. | | Funds will be able to be manually distributed by authorized user(s) in the system. |
| RA.1.4 | The system must have the ability to allow for correction or redistribution of funds to different accounts and/or fiscal periods. | | Funds will be able to be corrected and/or redistributed to different accounts and/or fiscal periods based upon the Department's requirements. |
| RA.1.5 | The system must provide a means to create and maintain configurable business rules for handling all revenue accounting processes. | | Our system is highly configurable, allowing for the creation and maintenance of business rules supporting the Department's accounting processes. |
| RA.1.6 | The system must have the ability to accept a user defined fiscal year. | | Fiscal years can be defined by the user. |
| RA.1.7 | The system must have the ability to accept a user defined fiscal period. | | Fiscal periods can be defined by the user. |
| RA.1.8 | The system must have the ability to maintain summary revenue accounts automatically as a result of liability and payment postings to department and contact accounts. | | The system will have the ability to automatically summarize revenue accounts as a result of payment and liability postings within the system. |
| RA.1.9 | The system should have the ability to maintain and report revenue accounting including distributions which will interface with the state's current financial accounting system. | | Our system has the ability to interface to the State's financial accounting system in order to report revenue and any other information the Department desires. |
| RA.1.10 | The system must have the ability to provide access to and views of the underlying transaction data for all revenue accounting entries. | | The system has the ability for authorized user(s) to access and view all underlying transactional data in the system. |
| RA.1.11 | The system must have the ability to adjust distribution amounts based upon user defined business and security rules. | | Based upon the Department's processes, the system will be able to adjust distribution amounts based upon configured business rules. |
| RA.1.12 | The system should provide reports to support reconciliation of receipts from multiple sources for all fiscal periods on a daily/monthly/annually basis. | | All financial information will be able to be reported against in order to reconcile receipts from all sources for whatever timeframes the Department desires. |

| Department Accounting (RA) | | | |
|----------------------------|---|-------------------------|--|
| State Requirements | | | |
| Req # | Requirement Description | Optional/ Additional | Bidder Response |
| RA.1.13 | The system should provide for an adjustments and transfers report that shows impacts at the license type account level. | | Any adjustments and transfers made can be reported reflecting the affected license types. |
| RA.1.14 | The system should have the ability to maintain the revenue accounts (e.g. Journal Vouchers). | | The system will be able to maintain revenue accounts in accordance with the Department's requirements. |
| RA.1.15 | The system must have the ability to make automatic/real time changes at the revenue accounting level whenever there is a change made at the contact accounting level. | | Being an all-in-one system, any changes made at an accounting level will be automatically reflected at the contact level (and vice-versa) in real time. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| RA.2 External Inputs | | | |
| RA.2.1 | The system must have the ability to record revenue accounting entries for payments not processed in the system (e.g. federal partners and/or accounting entries from other state agencies or external systems). | | As long as accounting information about payments made outside of the system are recorded in the system (i.e. via interface to other systems), the system will record them per the Department's requirements. |
| RA.2.2 | The system must maintain a full history of all accounting transactions. | | All transactions are recorded and stored in the system providing a full accounting history. |
| RA.2.3 | The system must maintain a full internal audit trail of all accounting transactions. | | The system tracks all transactional information providing for a complete audit trail for the Department. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |

| Technical (TR) | | | |
|---|---|----------|---|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| TR 1 Reporting Database | | | |
| TR.1.1 | The system may provide a reporting database for the software. | Optional | Any responses to be noted under the Optional tab |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR 2 RDBMS | | | |
| TR.2.1 | The Bidder must identify the preferred RDBMS and provide a quote for the licenses. State reserves the rights to acquire the licenses for RDBMS off of current enterprise agreements. | | inLumon includes the necessary licenses for SQL server. |
| TR.2.2 | The RDBMS for the software may be Oracle, Microsoft SQL Server (preferred), or DB2-UDB. | | inLumon prefers to utilize SQL as the RDBMS for the system. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR 3 Scalability, Performance and Availability | | | |
| TR.3.a | General | | |
| TR.3.a1 | The software and hardware must be scalable to accommodate 100 concurrent internal users and 500 external users. | | Our system can easily scale to meet this requirement. |
| TR.3.a2 | State of Nebraska will host this application at OCIO. State of Nebraska prefers this to be in a virtual environment, which may be cloud-based within the State's existing enterprise cloud subscription. The bidder must specify the hardware requirements. | | inLumon has provided hardware considerations within the Technical Approach section of the RFP response. |

| Technical (TR) | | |
|--------------------|---|---|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| TR.3.a3 | The system must have the ability to transfer operation from a failed database or application server to a similar, redundant component to ensure uninterrupted data flow and operability (i.e., database server and application server failover capability). | inLumon has provided detailed system backup and recovery information within the Technical Approach section of the RFP response. |

| Technical (TR) | | | |
|--------------------|--|-----------------|--|
| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | Bidder Response |
| TR.3.a4 | The system must have the ability to create and maintain new license types for uses across all system functions. | | Our system is highly configurable, allowing for the creation and maintenance of new license types across all system functions per the Department's needs. |
| TR.3.a5 | The bidder must provide hardware/software recommendations that allow the State to allow a 99.9% up-time rate. | | inLumon has provided software and hardware considerations within the Technical Approach section of the RFP response. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR.3.b | Compatibility with Department's Current Technical Environment | | |
| TR.3.b1 | The system must be compatible with the current TCP/IP, ethernet network. | | Our system is web-based, compatible with the current TCP/IP, ethernet network. |
| TR.3.b2 | The system must be compatible with Windows 10 Intel PCs. | | Our system is compatible with Windows Intel PCs. |
| TR.3.b3 | The system must be compatible with Active Directory and Azure Active Directory Hybrid Security. | | Our system is able to be compatible with Active Directories in order to accommodate single sign-on capabilities for our clients. |
| TR.3.b4 | System must be compatible with the current Enterprise Content Management System, Hyland OnBase 17. | | Our system can be interfaced to OnBase per the Department's requirements. |
| TR.3.b5 | The bidder's software must be able to use the state's enterprise storage SAN. | | The system can use the State's SAN. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR.3.c | Technical Environments | | |
| TR.3.c1 | The bidder needs to define all products, licenses, and setup for technical environments needed to support a testing full size performance environment. The State reserves the right to purchase required products off of the State's enterprise agreement. | | inLumon has provided detailed technical architecture and hardware considerations within the Technical Approach section of the RFP response. |
| TR.3.c2 | The bidder needs to define all products, licenses, and setup for technical environments needed to support a production environment. The State reserves the right to purchase required products off of the State's enterprise agreement. | | inLumon has provided detailed technical architecture and hardware considerations within the Technical Approach section of the RFP response. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR.3.d | Maintenance, Configurability and Upgradeability | | |
| TR.3.d1 | The proposed software must provide documented user customization that allows the functionality of the system to be extended without modifying the base application. | | The COTS system is highly configurable, allowing for customizations without modifying the base code, of which detailed user and system administrator documentation will be provided. |

| Technical (TR) | | |
|--------------------|--|---|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| TR.3.d2 | The bidder must provide support for the timely and coordinated installation of application, updates, other licensed software, or security patches. | inLumon has read, understands and will comply with this requirement. |
| TR.3.d3 | The proposed software must provide the ability to promote a new tested version of the application into the production environment. | Our standard deployment includes a test / UAT system providing for the testing of a version prior to deployment into the production system. |
| TR.3.d4 | The proposed software must provide version control, testing, change control, and staging capabilities. | Our system inherently provides version control capabilities as described. |
| TR.3.d5 | The proposed solution must have an ongoing maintenance contract. | inLumon has included ongoing maintenance and operations fees as part of the cost proposal. |
| TR.3.d6 | The proposed solution must have a warranty. | inLumon warrants all system software for 6 months after acceptance. |

| Technical (TR) | | |
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| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| TR.3.d7 | The bidder must describe the help desk and technical support options available. | inLumon provides dedicated support and resources, including help desk and technical support for our clients. |

| Technical (TR) | | | |
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| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| TR.3.d8 | The bidder must describe technical and functional problem resolution processes. | | The inLumon Service Level Agreement (SLA), Support Plan Guide, Terms and Conditions section of the RFP response detail the parameters of the Support Plans inLumon offers and what the Nebraska Department of Banking and Finance (Department) should expect in terms of product and support services including our typical problem resolution process. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR.3.e | Configurability | | |
| TR.3.e1 | The system must conform to ADA, Section 508 standards and NITC standards. | | inLumon's system conforms to section 508 software standards. |
| TR.3.e2 | Labels and on-screen text must be configured or configurable to align with common department terminology. | | All content within the system, including labels and on-screen text, is highly configurable by Department authorized user(s). |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR 4 Document and template management | | | |
| TR.4.a | Forms Definition | | |
| TR.4.a1 | The system must allow staff to define and maintain forms and configurable forms business rules. | | Staff will be able to define, configure and maintain forms and business rules within the system. |
| TR.4.a2 | The system must have the ability for programmer supplementation to deal with complexities of forms that cannot be handled by forms configuration. | | The system does provide for programmer supplementation in order to deal with highly complex forms not configurable within the system |
| TR.4.a3 | The system must allow for editing of forms (e.g. intra-form math) business rules on forms. | | All forms and business rules within the system can be edited by authorized user(s). |
| TR.4.a4 | The system must have the ability to define and maintain business rules for multiple time periods for the same form. | | Business rules can be defined and maintained form multiple time periods associated with the same form. |
| TR.4.a5 | The system should have the ability to associate forms that may be filed together as part of a single submission. | | All forms the Department desires to be associated with and filed with a submission can be configured in the system. |
| TR.4.a6 | The system must have the ability to allow definition of range checks, tolerances, numeric/alpha, and other validations typically performed on submission form data. | | All required data fields will be configured in the system along with any validation rules and/or calculations to be performed using the data in the system per the Department's requirements. |

| Technical (TR) | | | |
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| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| TR.4.a7 | The system should have the ability to allow for a hierarchy of form business rules. | | Our system has the ability to apply a hierarchy of business rules on forms configured within the system. |
| TR.4.a8 | The facility should provide for a copy and paste function, so form administrators do not have to start from scratch in defining the form for a new year. | Optional | Any responses to be noted under the Optional tab |
| TR.4.a11 | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR.5 Operations and Operational Flexibility | | | |
| TR.5a | General | | |
| TR.5.a1 | The system must have the ability to support batch processing and daily operations concurrently including internal and external user operations. | | Our system's task management module allows for the concurrent processing of Department defined operations and batch processing. |
| TR.5.a2 | The system should have the ability for batch cycle-configured client accounting functions of the system to be user-initiated. | | Task management also allow for an authorized user to initiate a batch process for accounting functions. |
| TR.5.a3 | The system should have the ability for batch cycle-configured submission processing functions of the system to be user-initiated. | | Task management also allow for an authorized user to initiate a batch process for submission functions. |

| Technical (TR) | | | |
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| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| TR.5.a4 | The system should have the ability for batch cycle-configured case management functions of the system to be user-initiated. | | Task management also allow for an authorized user to initiate a batch process for case management functions. |
| TR.5.a5 | The system should have the ability for batch cycle-configured correspondence functions of the system to be user-initiated. | | Task management also allow for an authorized user to initiate a batch process for correspondence functions. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR.5.b | Batch Processing | | |
| TR.5.b1 | The system must have the ability to support and manage batch workflows. | | The system has the ability to support and manage batch workflows per the Department's processes. |
| TR.5.b2 | The system must have the ability to create and maintain batch processing business rules. | | The system provides the ability to create and maintain business rules for batch processing. |
| TR.5.b3 | The system must have the ability for bulk batch processing reversals (i.e., if the system has a glitch and large volumes of bad data hit the posting system, the system must be able to strip those records (as a bulk reversal) from the system). | | Bulk batch processing, including processing reversals, will be configured within the system. |
| TR.5.b4 | The system must have full backup and recovery capabilities for data and application components. | | inLumon has provided detailed system backup and recovery information within the Technical Approach section of the RFP response. |
| TR.5.b5 | The system must have the ability to archive data that is over a specified age, to be determined based on business rules, and to purge this archive based upon a user-defined schedule. | | The system allows for data and documents to be archived in accordance with Department's retention policies by configuring business rules. |
| TR.5.b6 | The system must have the ability to provide condition codes and other status information on batches. | | Any condition codes or other status information the Department desires to have applied on batches can be configured within the system. |
| TR.5.b7 | The system must provide versioned business rules tables and data with effective and expiration dates. | | All business rules, reference table information and data are configured with effective and expiration dates within the system. |

| Technical (TR) | | | |
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| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |

| Technical (TR) | | | |
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| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | |
| TR.5.c | Job Scheduler | | |
| TR.5.c1 | The system must have a job scheduling capability that covers all batch operations for the system (e.g. batch load, batch update, reports, and correspondence generation). Manual override capability must be available. | | All batch operations are managed within the Task Management module of the system in which jobs can be scheduled and manually overrode as desired. Furthermore, the system tracks all records impacted by a scheduled job or task which can be reported against as well. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR.5.d | Maintenance, Configurability and Upgradeability | | |
| TR.5.d1 | The system must support extracts, exports, and downloads. | | Our system inherently allows for the export, extraction and/or download of data. |
| TR.5.d2 | The bidder must describe their Service Level Agreement options for their products. | | inLumon has provided our typical SLA within the RFP response. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR 6 Security | | | |
| TR.6.1 | PII Rules must be manually configurable to match state rules (Nebraska, for example, says PII an example of PII is both a name and one of a DOB or address). | | Our system is highly configurable, allowing for the creation, application and maintenance of PII rules per the Department's needs. |
| TR.6.2 | PCI data must be highlighted in the system, segregated from other data and encrypted. | | Data in the system is encrypted both in transit and at rest. |
| TR.6.3 | The system must adhere to security standards and policies that are required by the State of Nebraska as defined by the NITC. For specifics, see: NITC 8-101: Information Security Policy http://nitc.nebraska.gov/standards/8-101.html NITC 8-102: Data Security Standard http://nitc.nebraska.gov/standards/8-102.html NITC 8-301: Password Standard http://nitc.nebraska.gov/standards/8-301.html NITC 8-302: Identity and Access Management Standard for State Government Agencies http://nitc.nebraska.gov/standards/8-302.html | | inLumon's solution meets or exceeds State security standards. |

| Technical (TR) | | |
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| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| TR.6.4 | The system must adhere to all security standards prescribed by the NIST Publication 800-53. | inLumon's solution meets or exceeds State security standards. |
| TR.6.5 | The system must provide a security administrator function that allows for, at a minimum, separate controls for view, add, change, and delete. | The system is security-roles driven, providing an authorized user (security administrator) the ability to define and manage user security roles and control settings. |
| TR.6.6 | The system must provide for role and permission based security. | The system is security-roles driven, providing an authorized user (security administrator) the ability to define and manage user security roles and control settings. |
| TR.6.7 | The system must provide for access and update controls by page, license type, and user action. | Every data point, property and process can have specific security settings applied providing control and access to system pages, license types, actions, etc. |
| TR.6.8 | The system must have security that integrates with automated workflow components for establishing access and update privileges for work lists. | The system has the ability to apply security upon workflow components which establishes access and update privileges for worklists supported in the system. |
| TR.6.9 | The system must have security that establishes page and element level access. | Being a security roles driven application, the system allows for establishing page and element level access rights. |
| TR.6.10 | The system must have security that integrates with automated workflow components for establishing access and update privileges for definition of which users are included in particular workgroups. | User groups are defined in the system based on the Department's requirements thereby users of the system will be given access privileges based upon the user group they are associated with which is applied to workflow components, etc. Learn more about the security capabilities of the system within the Technical Approach section of the RFP response. |

| Technical (TR) | | | |
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| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| TR.6.11 | The system should support multi-factor authentication using Microsoft's Azure MFA capabilities. | | The system can support Microsoft Azure MFA capabilities. |
| TR.6.12 | The system should provide a single sign-on for all internal functions. | | The system can provide single sign-on capabilities. |

| Technical (TR) | | |
|--------------------|--|--|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| TR.6.13 | The system should support single sign-on capabilities via integration with Active Directory. | The system can integrate with Active Directory to provide single sign on capabilities. |
| TR.6.14 | The system must maintain an audit trail of user activity that includes user ID and time/date stamp and IP address. | All activity is recorded, including user ID, time stamp, etc. to provide the Department with a complete audit trail of system activity. |
| TR.6.15 | The system must provide an audit trail of system administrators activities including user ID and time/date stamp and IP address. | All activity is recorded, including administrator user ID and time stamp information, etc. to provide the Department with a complete audit trail of system activity. |

| Technical (TR) | | | |
|----------------------------|--|----------|---|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| TR.6.16 | The system must encrypt both in the production system, test system, reporting database, and in backups any personally identifiable client data including data stored as part of the error log. | | All personally identifiable information is encrypted within the system both in transit and at rest in the database. |
| TR.6.17 | The system must encrypt all personally identifiable data in transit for all environments. | | All personally identifiable information is encrypted within the system both in transit and at rest in the system. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| TR.7 USER INTERFACE | | | |
| TR.7.a | General | | |
| TR.7.a1 | The user interface must be browser-based, compatible with Microsoft Internet Explorer or Edge. Bidder will notify which versions are compatible. | | The system is cross-browser compatible, including IE, Edge, Chrome, etc. |
| TR.7.a2 | The system must have online help at the screen or page level that includes internal and external users. | | Online help for both internal and external users can be implemented at the page or screen level in the system. |
| TR.7.a3 | The system must have the ability to carry forward header information when navigating from one screen (or page) to another. | | The system will carry forward header information from one screen to another. |
| TR.7.a4 | The system must have the ability to restrict or eliminate menu selections that the user is not authorized to use based on security settings. | | Being a security roles driven system, menu selections are not available to users who are not associated with the user group that is allowed to. |
| TR.7.a5 | The system must display both client submitted and department calculated values on filing amounts for internal users. | | The system will display both values as required by the Department. |
| TR.7.a6 | The system must have formatted printing of selected pages. | | The system allows for the formatting and printing of selected pages. |
| TR.7.a7 | The system should have a time and date stamp on formatted printing. | | Time and date stamps can be placed on print formats per the Department's requirements. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |

| Technical (TR) | | |
|--------------------|--|---|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| TR.7.c | Interfaces | |
| TR.7.c1 | The system must have the ability for information from internal and external interfaces to update client information based on business rules. | Business rules will be implemented allowing for information from interfaces to update client information in the system. |
| TR.7.c2 | The system must support internal interfaces with existing State of Nebraska systems as necessary during and after system implementation. | The system will be configured to support existing interfaces. |
| TR.7.c3 | The system must have the ability to interface with the State of Nebraska's central accounting system JD Edwards E1 Payroll Financial Center or Fuzion, depending on project completion. | The system has the ability to securely interface with other systems, including the State's accounting system. |
| TR.7.c4 | The system must have the ability to import information from the Nationwide Mortgage Licensing System, including capabilities to re-configure as their system changes. | By setting up a secure interface, the system can import information from the NMLS and, as the system is highly configurable, be able to manage and re-configure in the system. |
| TR.7.c5 | The system must have the ability to import Call Report, Uniform Bank Performance Report (UBPR) and Statistical CAMELS Off-site Rating (SCOR) information from the FDIC Extranet, including capabilities to re-configure as their system changes. | Desired information to be imported into the system from the FDIC Extranet can be facilitated through a secure interface. |
| TR.7.c6 | The system should have the ability to import CSV information from the Financial Industry Regulatory Authority (FINRA) Central Registration Depository (CRD)/Investment Advisor Registration Depository (IARD), or the "State Data Download" XML package, including capabilities to re-configure as their system changes. | Through a secure interface, the system can import information via XML and, as the system is highly configurable, be able to manage and re-configure in the system. |
| TR.7.c7 | The system must have the ability to import information from the ABD BlueExpress System (XML files on FTP), including capabilities to re-configure as their system changes. | Through a secure interface, the system can import information via XML and, as the system is highly configurable, be able to manage and re-configure in the system. |
| TR.7.c8 | The system must have the ability to import information from the North American Securities Administrators Association (NASAA) Electronic Filing Depository (EFD), including capabilities to re-configure as their system changes. | By setting up a secure interface, the system can import information from the NASAA EFD and, as the system is highly configurable, be able to manage and re-configure in the system. |

| Technical (TR) | | | |
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| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| TR.7.c9 | The system should import license and enforcement information for Federally regulated entities that have offices in Nebraska from bulk delimited, Excel or XML-based (including XBRL) files or via API call. | | Through a secure API interface, the system can import license and enforcement information as desired, as the system is highly configurable. |
| TR.7.c10 | Capture digital signature information from a e-signature provider, preferably DocuSign. | Optional | Any responses to be noted under the Optional tab |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |

| Common Services Requirements (CO) | | | |
|-----------------------------------|---|-----------------|--|
| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | |
| CO.1 Correspondence | | | |
| CO.1.a | General | | |
| CO.1.a1 | The system must be able to establish and maintain a library of correspondence templates that will be used for system generated correspondences, notices, and bills. | | Correspondence Management is an inherent capability of the system, establishing a library of Department defined templates to be generated. |
| CO.1.a2 | The system must be able to provide a means to define and maintain configurable business rules for handling correspondence. | | The system provides the ability to configure business rules for correspondence generation using templates. |
| CO.1.a3 | The system must be able to save a read only copy of all correspondence generated or created on an ad hoc basis for online retrieval and viewing. | | The system does save a copy of all correspondence generated by the system and associated to the record(s) for ease of retrieval and viewing. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| CO.1.b | Paper Stock, Formats and Printing | | |
| CO.1.b1 | The system must be able to route correspondence to multiple printers, including the DAS Print Shop. | | The system will utilize available printers for the printing of correspondence. |
| CO.1.b2 | The system must be able to queue correspondence for batch printing based on configurable business rules. | | Business rules can be implemented within the system for automatically generating and batch printing correspondence. |
| CO.1.b3 | The system should be able to batch print jobs to a merged .pdf based on configurable business rules. | | If desired, batched print jobs can be configured to be merged into a PDF file. |
| CO.1.b4 | The system must be able to provide variable text formatting both within and across different correspondence types. | | Our system uses an industry standard text editor for formatting correspondence. |
| CO.1.b5 | The system must be able to automatically maintain a correspondence log. | | As with all actions and transactions tracked in the system, correspondence will be logged in the system as well. |
| CO.1.b6 | The system must be able to print an exact duplicate of a previously generated notice, bill, or other correspondence. | | All previously generated correspondence is stored in its original form and available to be printed. |
| CO.1.b7 | The system should be able to re-send submitted mail items to a secondary address in a pre-defined hierarchy of addresses. | | The system can re-send correspondence to secondary addresses as desired. |
| CO.1.b8 | The system must be able to suppress mailings to "bad addresses". | | Business rules can be implemented disallowing (suppressing) mailings to "bad addresses" |

| Common Services Requirements (CO) | | | |
|-----------------------------------|--|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CO.1.b9 | The system should be able to define ongoing and/or unique sending of correspondence based on a set of pre-identified parameters (e.g., a one time exception set of processes, or natural disasters). | | All correspondence within the system is highly configurable, allowing for ongoing and/or unique correspondence to be generated and sent based on Department requirements. |
| CO.1.b10 | The system must be able to generate and support the mailing process for correspondence, including the DAS Print Shop. | | The system will be configured to generate correspondence in support of the Department's mailing processes. |
| CO.1.b11 | The system must be able to rerun print jobs. | | Any print jobs in the system can be rerun. |
| CO.1.b12 | The system must be able to restrict the printing of SSN, TPID, or FEIN on correspondence according to business rules. | | Any data points the Department would like to restrict from printing can be configured as so within the system. |
| CO.1.b13 | The system should be able to generate unlimited correspondence templates. | | The system's Correspondence Management module provides a virtual unlimited number of templates for system-generated letters, emails, SMS text, reports and other correspondence. |
| CO.1.b14 | The system should be able to insert bar codes or QR codes on correspondence. | Optional | Any responses to be noted under the Optional tab |
| CO.1.b15 | The system should be able to read bar codes on submitted mail and automatically update status of the correspondence and update address status to 'bad address'. | Optional | Any responses to be noted under the Optional tab |
| CO.1.b16 | The system should be able to allow users to review, edit, or delete individual correspondences or an entire correspondence batch job before batch printing. | | Users will be enabled to review, edit or delete system generated correspondence prior to batch printing. |
| CO.1.b17 | The system should be able to support overnight delivery of certified and registered mail. | Optional | Any responses to be noted under the Optional tab |
| CO.1.b18 | The system should be able to support certified delivery of mail. | Optional | Any responses to be noted under the Optional tab |
| CO.1.b19 | The system should be able to support registered delivery of mail. | Optional | Any responses to be noted under the Optional tab |

| Common Services Requirements (CO) | | | |
|-----------------------------------|---|-----------------|---|
| State Requirements | | Bidder Response | |
| Req # | Requirement Description | | |
| CO.1.b20 | The system should be able to automatically associate various documents that are to be mailed together based on profile addresses (excluding assessments). | Optional | Any responses to be noted under the Optional tab |
| CO.1.b21 | The system should be able to assemble ad hoc correspondence from a library of standard paragraphs that are maintained in the system. | Optional | Any responses to be noted under the Optional tab |
| CO.1.b22 | The system should be able to generate a cover letter to be attached to an exact copy of a letter. | | The system can be configured to incorporate a cover letter to be attached to letters in the system. |

| Common Services Requirements (CO) | | | |
|-----------------------------------|--|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| CO.1.c | Contact Management | | |
| CO.1.c1 | The system should be able to track emails to contacts and associate the emails with the contact or license's account. | Optional | Any responses to be noted under the Optional tab |
| CO.1.c2 | The system should be able to track correspondence to contacts or licensees and associate the correspondence with the account record. | Optional | Any responses to be noted under the Optional tab |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| CO.2 Reporting | | | |

| Common Services Requirements (CO) | | |
|-----------------------------------|--|--|
| State Requirements | | Bidder Response |
| Req # | Requirement Description | |
| CO.2a | General | |
| CO.2.a1 | The system must be able to provide a 'reports' library that contains all scheduled, as needed, and previously created ad hoc reports from both the production and reporting databases. | The system will have a library of standard and Department-defined reports available to be generated automatically and on an ad-hoc basis. Furthermore, the system's ad-hoc query tool enables users to create, produce and save reports upon the data in the system their security role allows them to view. |
| CO.2.a2 | The system must allow users to define and maintain configurable business rules for handling reports. | The system allows for authorized user(s) to define and configure business rules for handling reports. |
| CO.2.a3 | The system must allow users to report on all data elements maintained in the system. (e.g. within contact information, submissions processing, revenue accounting, enforcement, audit, security and contact accounting). | All data in the system can be reported against. |
| CO.2.a4 | The system must allow users to select reports to run from a reports library. | The reports menu will allow users to select reports to run. |
| CO.2.a5 | The system must be able to provide user-configurable management reports. | User-configurable management reports will be provided in the system. |
| CO.2.a6 | The system must allow users to configure, schedule and execute recurring batch reports. | The system allows for the configuration, scheduling and execution of reports per the Department's needs. |
| CO.2.a7 | The system must be able to save and maintain a history of all recurring batch reports. | Histories of all recurring batch reports will be stored and maintained in the system. |

| Common Services Requirements (CO) | | | |
|---|--|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CO.2.a8 | The system must allow system admins to create or modify user functionality security rules. | | All security roles and rules in the system are highly configurable by authorized user(s). |
| CO.2.a9 | The system must support parameter driven queries. | | The system's ad-hoc query tool provides users the ability to create and generate parameter driven inquiries. |
| CO.2.a10 | The system must allow users to perform drill-down inquiries from related summary line items to the transaction detail level. | | The system can provide users the ability to drill down to transactional details associated to summary information. |
| CO.2.a11 | The system must be able to send output reports from the production application or the reporting database to offline printing at DAS print shop. | | The system can output reports from the database to be printed at the DAS print shop. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| CO.2.b Reporting Database and Ad Hoc Reporting | | | |
| CO.2.b1 | The system should be able to automatically update and maintain data synchronization between the production database for the system and any reporting or other databases. | | The system will automatically update data between the databases. |
| CO.2.b2 | The system should be able to create and maintain an unlimited number of ad hoc reports. | | The ad-hoc query tool provides the ability to create, save and maintain an unlimited number of ad-hoc reports. |
| CO.2.b3 | The system must be able to create ad hoc reports with configurable time parameters. | | The ad-hoc query tool provides the ability to create, save and maintain reports using time parameters. |
| CO.2.b4 | The system must be able to use ad hoc reporting facility to create an extract. | | The ad-hoc query tool provides the ability to create an extract of desired data. |
| CO.2.b5 | The system must be able to report on aging of all business parameters (e.g. workflow, cases, submissions, refunds) | | The system can report upon the aging of Department defined business parameters. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |

| Common Services Requirements (CO) | | |
|-----------------------------------|---|--|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| CO.3 General Workflow | | |
| CO.3.a | General | |
| CO.3.a1 | The system must be able to provide an automated work flow function that provides for setup and maintenance of work lists by a workflow administrator. | An authorized workflow administrator will have the ability to configure and maintain automated workflows within the system. |
| CO.3.a2 | The system should be able to provide an automated work flow function that provides for setup and maintenance of routing rules by a workflow administrator. | An authorized workflow administrator will have the ability to configure and maintain workflow routing rules within the system. |
| CO.3.a3 | The system must be able to provide an automated work flow function that provides for setup and maintenance of work groups by a workflow administrator. | An authorized workflow administrator will have the ability to configure and maintain work groups within the system. |
| CO.3.a4 | The system should be able to provide an automated work flow function that provides for setup and maintenance of prioritization rules by a workflow administrator. | Prioritization rules can be configured and maintained in the system by an authorized workflow administrator. |
| CO.3.a5 | The system must be able to provide an automated work flow function that provides for monitoring of backlog at the work list and process levels. | Workflow backlog can be monitored at the work list and process levels. |
| CO.3.a6 | The system must be able to provide an automated work flow function that provides for monitoring of throughput at the work list and process levels. | Automated workflows can also be monitored to gauge throughput. |

| Common Services Requirements (CO) | | |
|---|---|---|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| CO.3.a7 | The system must be able to provide an automated work flow function that provides for monitoring of aging at the work list and process levels. | Aging work lists and processes can be monitored within the system. |
| CO.3.a8 | The system must be able to provide an automated work flow function that provides for monitoring of assignments at the work list and process levels. | The system provides automated workflows in alignment with the Department's processes, that can monitor assignments at the work list and process levels. |
| CO.3.a9 | The system must be able to provide an automated work flow function that provides for re-assignment tools. | The system provides the ability for reassignment within the workflow functions. |
| CO.3.a10 | The system must be able to provide a means to define and maintain configurable business rules for worklists. | The system is highly configurable, providing the ability to define and maintain workflow rules. |
| CO.3.a11 | The system should be able to create data for and create diagrams for performance metrics. | Data collected within the system can be displayed in charts, reports, etc. |
| | Future enhancements | Optional Any responses to be noted under the Optional tab |
| CO.3.b Workflow Balancing/Work Management Capabilities/Worklists | | |
| CO.3.b1 | The system must be able to search and sort work lists based on configurable filters. | All information in the system, including work lists, can be searched and sorted using Department defined configured filters. |
| CO.3.b2 | The system should be able to temporarily assign employees to other work groups. | Employees can be temporarily assigned to work groups per the Department's needs. |
| CO.3.b3 | The system must be able to manage and maintain worklists. | The system provides the ability to configure, manage and maintain work lists in the system. |
| CO.3.b4 | The system must be able to maintain a history for each work list. | The system will be configured to maintain a history for each work list. |
| CO.3.b5 | The system must have configurable views and functionality to support usage and navigation of worklists. | Our system is highly configurable, allowing for the ability to create and manage user views and navigation. |
| CO.3.b6 | The system should be able to automatically direct the user to the work list to select another item once they have completed the current one. | The system will be configured to automate the workflows per the Department's processes. |
| CO.3.b7 | The system should be able to allow a user to skip a work item in a worklist and go to the next item. | The system can be configured to allow for users to skip between items in the worklist. |
| CO.3.b8 | The system should be able to show items in suspense and items in work lists as part of an online consolidated view of the contact. | Optional Any responses to be noted under the Optional tab |

| Common Services Requirements (CO) | | | |
|-----------------------------------|--|----------|--|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| CO.3.b9 | The system should be able to receive items into workflow from external interfaces (e.g. external systems, audits from data warehouse). | | Through a secure interface, information and items can be imported into the system from external systems. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |
| CO 4 Common Service Other | | | |
| CO.4.1 | The system must be able to provide a dashboard or view that displays all contact activity regardless of application or enforcement type. | | The system provides a highly configurable dashboard providing for Department defined views of activity, regardless of application or enforcement type. |
| CO.4.2 | The system must have a notes and comments functionality at all account, case and application levels. | | The system has the ability to have notes and comments at all levels within the system. |
| CO.4.3 | The system must be able to implement exceptions for special provisions in statute. (e.g. existing licensure may simplify application processes) | | Our system is highly configurable, allowing for the ability to implement exceptions and future changes. |
| CO.4.4 | Documents in the system must be able to be secured by the user to multiple levels: confidential (to the item they're attached to), department-wide visibility or publicly available. | | Documents in the system can be designated at Department defined security levels (including public, confidential, etc.) by users. |
| | Future enhancements | Optional | Any responses to be noted under the Optional tab |

| Web Self-Services (OS) | | |
|------------------------|--|--|
| State Requirements | | |
| Req # | Requirement Description | Bidder Response |
| OS.1 Web Self-Service | | |
| OS.1.1 | The system must provide a self-service, publicly accessible Internet portal. | Our system inherently provides for publicly accessible self-service web portals. |
| OS.1.2 | The system's self service Internet portal must have the ability to register a prospective or existing licensee for appropriate licenses. These applications may include attachments and require a fee to be paid electronically. | The system includes a self-service portal facilitating prospective / existing licensees to register and submit applications online, including uploading documents and processing payments. |
| OS.1.3 | The system's self service Internet portal must have the ability for a licensee to request a change of their recorded address. | The self-service web portal allows for the ability for a licensee to request / implement addresses changes per the Department's processes. |
| OS.1.4 | The system's self service Internet portal must have the ability to lookup their balances owed. | Online portal users will be able to look up balances owed. |
| OS.1.5 | The system's self service Internet portal must have the ability to lookup their amount paid. | Payment records / receipts will be available for online users to lookup and account for amounts paid. |
| OS.1.6 | The system's self service Internet portal must have the ability to lookup and edit their profile. | The self-service web portal allows for a user to edit and update their profile. |
| OS.1.7 | The system's self service Internet portal must have the ability for applicants or complainants to submit forms. | The online portals will provide the ability for applicants and complainants to submit forms. |
| OS.1.8 | The system's self service Internet portal must have the ability to lookup the status of an application. | Application information, including status information, will be provided through the web portal. |
| OS.1.9 | The system's self service Internet portal must have the ability to cancel or withdraw licenses. | The self-service portal will allow for the withdrawal or cancellations of licenses per the Department's requirements. |
| OS.1.10 | The system's self service Internet portal must have a help wizard. | Online help is typically provided for system's self-service portals. |
| OS.1.11 | The system's self service Internet portal must have forms request. | The self-service portal will have the ability for users to request forms per the Department's requirements. |
| OS.1.12 | The system's self service Internet portal must be able to publish department documents, based on configurable business rules. | Documents the Department designates to have published on the self-service portal will be provided via configurable business rules. |
| OS.1.13 | The system's self service portal should allow other State of Nebraska agencies or departments to make inquiries based on configurable business rules. | The self-service portal can be configured to allow for State departments and agencies to submit inquiries. |
| OS.1.14 | The system's self service Internet portal may have the ability for applicants to submit payments. | Optional/ Additional The self-service portals will provide the ability for applicants to submit payments. |
| | Future enhancements | Optional Any responses to be noted under the Optional tab |

| Statement of Work (SW) | | | |
|--|--|--|---|
| State Requirements | | | |
| Req # | Requirement Description | | Bidder Response |
| SW.1 IMPLEMENTATION STRATEGY | | | |
| SW.1.1 | IMPLEMENTATION STRATEGY AND PROJECT PLAN MUST ACCOMPLISH INSTALLATION AND TRAINING PRIOR TO 4/3/2020 | | inLumon has provided an initial project plan and implementation management approach within our RFP response. |
| SW.2 CHANGE MANAGEMENT PLAN | | | |
| SW.2.1 | DESCRIPTION OF PLANNED AND UNPLANNED CHANGE DEPLOYMENT | | inLumon team change management practices enable project team to track the changes to the solution during the configuration/implementation phase or post implementation. Usage of industry standard tools such as allows traceability to be created from requirements to test cases and vice versa. inLumon team will work with the Nebraska Department of Banking and Finance to provide advance notice of changes to be implemented and only apply updates approved by the Nebraska Department of Banking and Finance. Change management is an ongoing iterative process throughout the project lifecycle which may involve many individuals at different levels within the organization. The purpose of the InLumon Team's Change Management Process (CMP) is to ensure standardized methods and procedures are used for efficient and prompt handling of all changes. A formal, repeatable process minimizes the risk when introducing change to the production environment and helps preserve the quality of service delivery. The CMP defines the activities, roles, and responsibilities necessary to effectively and efficiently manage and coordinate changes to project goals such as scope, schedule, and cost baselines. The Integrated Project Management Plan discussed in the Project Management section of this proposal will be the guiding tool for managing all aspects of the project. The IPMP will be used in conjunction with the Change Management Plan (CMP), also discussed in the Project Management section, to manage the impact of change. |
| SW.3 COMPREHENSIVE SYSTEM DOCUMENTATION | | | |
| SW.3.1 | DOCUMENTATION FOR ALL ADMINISTRATIVE AND USER INSTRUCTION AS WELL AS PRE-REQUISITES AND THIRD-PARTY COMPONENTS | | inLumon commits to providing the required documentation. |
| SW.4 MIGRATION PLANNING AND IMPLEMENTATION | | | |

| | | | |
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| SW.4.1 | MIGRATION PLAN OF ALL EXISTING DEPARTMENT RECORDS, DOCUMENTS AND TEMPLATES THROUGH EXISTING SYSTEM SHUT DOWN | | <p>It has been inLumon's experience that all new licensing system implementations require data migration from exiting systems. In many cases, we have migrated data from existing vendor's systems and have extensive experience in mapping their data to our proprietary database. We also understand that data migration is not a one-time activity, but more a series of data migrations until the client and inLumon are satisfied that all data has been migrated successfully. In fact, our project plans call for one last data migration, a 'dress rehearsal' of sorts, before the final data migration for Go Live. In this manner, we help to reduce risk involved with data migration and increase the success of a smooth transition into production.</p> <p>inLumon commits to working with the Department to identify and understand existing data necessary for migration, including location(s) and assessing levels of effort or alternative options to convert records into the new licensing system.</p> |
| SW.5 USER TESTING AND ACCEPTANCE PLAN REQUIRED | | | |
| SW.5.1 | TEST PLANS AND SCHEDULE OF NO LESS THAN THREE (3) WEEKS | | inLumon will comply with this requirement to have testing schedule over no more than 3 weeks. |
| SW.6 TRAINING | | | |
| SW.6.1 | INITIAL TRAINING FOR UP TO FIVE INDIVIDUALS FOR TESTING | | inLumon will provide testing training for up to five individuals. |
| SW.7 TECHNICAL ASSISTANCE | | | |
| SW.7.1 | TRAINING FOR UP TO FIVE INDIVIDUALS | | We provide training for user level staff in the new system as well as training for system administrators. |
| SW.7.2 | INSTRUCTION MANUALS | | In addition to onsite, hands-on training, inLumon develops a 'How Do I...?' manual which outlines how various tasks are accomplished using the system vs. a technical user's manual. Our clients have found that this How Do I manual is most useful and allows staff using the electronic version of this manual to quickly search and find what they are looking for. |
| SW.8 TECHNICAL ASSISTANCE FOR USER ACCEPTANCE REVIEW | | | |
| SW.1.8 | TECHNICAL SUPPORT IN RESPONSE TO USER ACCEPTANCE EXPERIENCE BY 3/14/2020 | | inLumon will comply with this requirement by providing technical support in response to user acceptance experience by 3/14/2020 |
| SW.9 PROJECT HANDOFF | | | |
| SW.1.9 | PROJECT HANDOFF BY 6/26/2020 | | inLumon will comply with this requirement by handing the project off on or before 6/26/2020 |
| SW.10 CONTINUING SUPPORT AND UPDATES | | | |

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| SW.10.1 | SUPPORT HOURS BETWEEN 7AM AND 6PM CT MONDAY-FRIDAY | | inLumon will provide technical support per the Department's requirements. |
| SW.10.2 | RELEASE DEPLOYMENT INSTRUCTIONS | | inLumon will provide thorough training and system documentation, including instructions for releasing deployments. |
| SW.11 PROJECT PLANNING | | | |
| SW.1.11 | PROJECT PLANNING AND MANAGEMENT | | inLumon has provided a thorough description of our project planning and management methodologies within our RFP response. |

| Licensing (L) | | | |
|----------------------------|---|----------|--|
| Req # | | | Bidder Response |
| L.1 Contact Information | | | |
| L.1.a | Entity | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| L.2 Account Data | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| L.2.a | Multiple Address Capture and Maintenance | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| L.2.b | Contact Data | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| L.2.c | Business Relationships | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| L.2.d | Agent Tracking | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| L.2.e | Requirements for integration with Delinquency Process | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| Department Processing (DP) | | | |
| DP.1 Standard Processing | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| DP.1.a | Channels | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| DP.1.b | Management | | |

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| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| DP.2 Exceptions Processing | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| DP.2.a | Adjustments | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| DP.2.b | Automatic Flagging | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| DP.2.c | Pass Through Functionality | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| Other | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| DP.2.e | Management | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| Case Enforcement Management (CM) | | | |
| CM.1 General | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CM.2 Search | | | |
| CM.2.a | General | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CM.2.b | Administration and Search | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| Contact Accounting (CA) | | | |

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| CA.1 General | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CA.2 Payments | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CA.3 Payment Management/Credit Management | | | |
| CA.3.a | General | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CA.3.b | History, View and Reporting | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CA.3.c | Payment - Other | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CA.4 Billing, Notices and Mail | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CA.5 Institution Assessments | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CA.6 Offsets | | | |
| CA.6.a | Refunds | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CA.6.b | Provide Payment Processing for Bonds | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| Department Accounting (RA) | | | |
| RA.1 General | | | |

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| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| RA.2 External Inputs | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| Technical (TR) | | | |
| TR.1 Reporting Database | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.2 RDBMS | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.3 Scalability, Performance and Availability | | | |
| TR.3.a | General | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.3.b | Compatibility with Department's Current Technical Environment | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.3.c | Technical Environments | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.3.d | Maintenance, Configurability and Upgradeability | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.3.e | Configurability | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.4 Document and template management | | | |
| TR.4.a | Forms Definition | | |
| TR.4.a10 | The facility should provide for a copy and paste function, so form administrators do not have to start from scratch in defining the form for a new year. | Optional | Correct. The system provides the ability to copy a previously configured form to use as a basis for the creation of a form for a new year. |

VDT ITS Functional and Technical Requirements

| | | | |
|--|---|----------|--|
| TR.4.a11 | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.5 Operations and Operational Flexibility | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.5.b | Batch Processing | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.5.c | Job Scheduler | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.5.d | Maintenance, Configurability and Upgradeability | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.6 Security | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.7 USER INTERFACE | | | |
| TR.7.a | General | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| TR.7.c | Interfaces | | |
| TR.7.c10 | Capture digital signature information from a e-signature provider, preferably DocuSign. | Optional | Digital signatures can be captured via a secure interface with an e-signature provider. |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| Services Requirements (CO) | | | |
| CO.1 Correspondence | | | |
| CO.1.a | General | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CO.1.b | Paper Stock, Formats and Printing | | |

VDT ITS Functional and Technical Requirements

| | | | |
|----------------|---|----------|--|
| CO.1.b14 | The system should be able to insert bar codes or QR codes on correspondence. | Optional | The system can incorporate bar codes or QR codes on correspondence. |
| CO.1.b15 | The system should be able to read bar codes on submitted mail and automatically update status of the correspondence and update address status to 'bad address'. | Optional | Using a Department provided bar code scanner, the system can read bar codes and via configured business rules update the system according to the Department's process. |
| CO.1.b17 | The system should be able to support overnight delivery of certified and registered mail. | Optional | The system can be configured to support the overnight mailing process. |
| CO.1.b18 | The system should be able to support certified delivery of mail. | Optional | The system can be configured to support the certified mailing process. |
| CO.1.b19 | The system should be able to support registered delivery of mail. | Optional | The system can be configured to support the registered mailing process. |
| CO.1.b20 | The system should be able to automatically associate various documents that are to be mailed together based on profile addresses (excluding assessments). | Optional | The system can associate all documents to be mailed together per the Department's requirements. |
| CO.1.b21 | The system should be able to assemble ad hoc correspondence from a library of standard paragraphs that are maintained in the system. | Optional | The Content Management module provides the ability to create and maintain a library of all content in the system, including standard paragraphs. |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CO.1.c | Contact Management | | |
| CO.1.c1 | The system should be able to track emails to contacts and associate the emails with the contact or license's account. | Optional | The system will track and associate emails generated and sent by the system. |
| CO.1.c2 | The system should be able to track correspondence to contacts or licensees and associate the correspondence with the account record. | Optional | All correspondence generated and sent to contacts or licensees will be stored and associated with the account record. |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CO.2 Reporting | | | |
| CO.2a | General | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CO.2.b | Reporting Database and Ad Hoc Reporting | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |

VDT ITS Functional and Technical Requirements

| | | | |
|----------------------------------|--|----------|--|
| CO 3 General Workflow | | | |
| CO.3.a | General | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CO.3.b | Workflow Balancing/Work Management Capabilities/Worklists | | |
| CO.3.b8 | The system should be able to show items in suspense and items in work lists as part of an online consolidated view of the contact. | Optional | The system can consolidate items in suspense and in work lists to view. |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| CO 4 Common Service Other | | | |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |
| Web Self-Services (OS) | | | |
| OS.1 Web Self-Service | | | |
| OS.1.14 | The system's self service Internet portal may have the ability for applicants to submit payments. | Optional | inLumon typically provides the ability for applicants to submit payments via a web portal. |
| | Future enhancements | Optional | Per RFP section V. PROJECT DESCRIPTION AND SCOPE OF WORK, future enhancements or changes will be addressed under the Change Management Plan using corresponding hourly rates indicated within the Cost Proposal. |

d. Detailed project work plan;

The following pages contain inLumon's initial project plan for the project. Although this is a draft Project Plan, it does include our proposed:

- Approach to Implementation
- Project Schedule
- Detailed Project Activities
- Project Milestones
- Project Deliverables

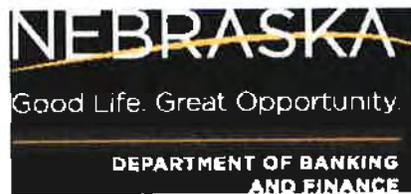
A complete copy of this proposed Project Plan is included, beginning on the next page.

If desired, inLumon can provide a copy of our proposed Project Schedule in Microsoft Project (.mpp) format upon request.

Financial Licensing and Enforcement Software Solution Project Plan (Draft)

Prepared for

The Nebraska Department of
Banking and Finance



Prepared by



Version 0.1

Release Date January, 2019

Document Version Control

| <i>Version</i> | <i>Release Date</i> | <i>By</i> | <i>Description of Release</i> |
|----------------|---------------------|-----------|--|
| 0.1 | 01-04-2018 | Chris M. | Initial release (draft) to client as part of the proposal. |
| | | | |
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Nebraska Department of Banking and Finance

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1. Introduction

This plan is a high-level plan to support the implementation of a Financial Licensing and Enforcement Software Solution for the Nebraska Department of Banking and Finance. For this specific engagement, this plan will:

- Outline the Implementation Approach
- Provide a Project Schedule
- Identify all Project Activities
- Identify all Project Milestones
- Identify all Project Deliverables
- State inLumon's Commitment to Project Success

2. Implementation Approach

inLumon's approach to implementation for this online licensing application system project is based on our combined industry experience. That is, both in terms of combined experience from our seasoned design, development, training and implementation team as well as our recent, relevant experience with assisting another State to successfully implement an online licensing application and enforcement system.

In short, the following steps are taken to implement a licensing system, which our included Project Schedule will reflect:

- Obtain a copy of NE DBF's Legacy Data and begin to analyze it for migration
- Migrate the Legacy Data into the inLumon licensing database
- Establish both a Development as well as a User Acceptance Test (UAT) & Training environments
- Build the base licensure system from the most current, relevant online licensing application and enforcement system
- Connect the base licensing system with the migrated data
- Provide NE DBF staff with access to the base system to verify data (GAP Analysis performed)
- Develop Renewal Applications and make available to NE DBF to verify (Gap Analysis performed)
- inLumon to modify data based on NE DBF Gap Analysis (NE DBF to review again)
- inLumon to modify Renewal Applications based on NE DBF Gap Analysis (NE to review again)
- inLumon to provide necessary training on licensure system including System Configuration
- Develop Licensee Registration and Dashboard for NE DBF to test (Gap Analysis performed)
- inLumon to modify data based on NE DBF final review
- inLumon to modify Renewal Applications based on NE DBF final review
- inLumon to modify Registration and Dashboard based on NE DBF review

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- Develop License Verification as needed for NE DBF
- Schedule 'Soft Release' of Back Office, Licensee Renewal Applications
- Monitor and modify as needed in support of Soft Release
- Develop New Application and make available to NE DBF to verify (Gap Analysis performed)
- inLumon to develop all defined reports and make available to NE DBF for testing, as well as provide training on built-in Query Tool
- inLumon to modify New Applications based on NE DBF Gap Analysis (NE DBF to review again)
- inLumon to modify New Applications based on NE DBF final review
- Schedule 'Soft Release' of New Applications
- Monitor and modify as needed in support of Soft Release
- Schedule and Go Live on or before scheduled Go Live Date

inLumon anticipates that these project activities may change throughout the life of the project, both before and during project execution. Our plan is to therefore confer with the NE DBF Project Manager on a regular basis, to report to NE DBF Executives as needed and to maintain the project schedule during the engagement.

Appendix

The project schedule, in Microsoft Project format (mpp), will be provided to the NE DBF upon request.

In short, in the project scheduled, the start date is planned as Monday, June 3, 2019. The project end date is currently calculated to be Tuesday, March 31, 2020.

- **Data Migration to UAT** is scheduled to start Tuesday, April 2, 2019 and end Friday, May 3, 2019.
- **Establish Base NE System In UAT** is scheduled to start Tuesday, June 4, 2019 and end Monday, July 29, 2019.
- **Perform Gap Analysis** is scheduled to start Tuesday, July 30, 2019 and end Monday, August 26, 2019.
- **Perform Update and Test Renewals** is scheduled to start Tuesday, August 27, 2019 and end Monday, November 11, 2019.
- **Perform Update and Test Back Office/Workflow** is scheduled to begin Tuesday, October 29, 2019 and end Monday, January 13, 2020.
- **Perform Update and Test New Applications, Online & Dashboards** is scheduled to start Tuesday, December 31, 2019 and end Monday, March 16, 2020.
- **Perform Update and Test Reports & Misc.** is scheduled to start Tuesday, August 27, 2019 and end Monday, December 9, 2019.
- **Soft Launch** is scheduled to begin Monday, March 16, 2020 and end is scheduled to end Monday, March 30, 2020.
- **Go Live** is scheduled for Tuesday, March 31, 2020.

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Please refer to [Attachment A](#) of this document that provides the Project Gantt Chart.

1. Project Activities

The project activities for this engagement are outlined on the next two page. The details of these activities includes:

- WBS (Work Breakdown Structure) Number
- Task (Activity) Name
- Duration (in days)
- Start Date
- Finish Date

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| WBS | Task Name | Duration | Start | Finish |
|------------|---|-----------------|---------------------|---------------------|
| 1 | NE Banking Licensing Project | 217 days | Mon 6/3/19 | Tue 3/31/20 |
| 1.1 | Kick-Off | 1 day | Mon 6/3/19 | Mon 6/3/19 |
| 1.2 | NE Banking Licensing System Project Plan | 4 days | Tue 6/4/19 | Fri 6/7/19 |
| 1.2.1 | Develop Project Plan | 2 days | Tue 6/4/19 | Wed 6/5/19 |
| 1.2.2 | Deliver Project Plan | 0 days | Wed 6/5/19 | Wed 6/5/19 |
| 1.2.3 | NE Client Reviews Project Plan | 2 days | Thu 6/6/19 | Fri 6/7/19 |
| 1.2.4 | NE Approves Project Plan | 0 days | Fri 6/7/19 | Fri 6/7/19 |
| 1.3 | Data Migration to UAT | 40 days | Tue 6/4/19 | Mon 7/29/19 |
| 1.3.1 | Obtain Copy of Legacy Data | 1 day | Tue 6/4/19 | Tue 6/4/19 |
| 1.3.2 | Review Legacy Data | 10 days | Wed 6/5/19 | Tue 6/18/19 |
| 1.3.3 | Develop Database Map | 10 days | Wed 6/5/19 | Tue 6/18/19 |
| 1.3.4 | Migrate Data into UAT | 4 days | Wed 6/19/19 | Mon 6/24/19 |
| 1.3.5 | Data Available in UAT | 0 days | Mon 6/24/19 | Mon 6/24/19 |
| 1.3.6 | NE Client Review Migrated Data #1 | 10 days | Tue 6/25/19 | Mon 7/8/19 |
| 1.3.7 | Modify Migrated NE Data | 10 days | Tue 7/9/19 | Mon 7/22/19 |
| 1.3.8 | NE Client Review Migrated Data #2 | 5 days | Tue 7/23/19 | Mon 7/29/19 |
| 1.3.9 | Data Migration to UAT Accepted by NE | 0 days | Mon 7/29/19 | Mon 7/29/19 |
| 1.4 | Establish Base NE System in UAT | 15 days | Tue 6/4/19 | Mon 6/24/19 |
| 1.4.1 | Copy Current/Relevant System as base | 15 days | Tue 6/4/19 | Mon 6/24/19 |
| 1.4.2 | Connect Base NE System w/Data | 0 days | Mon 6/24/19 | Mon 6/24/19 |
| 1.5 | Perform Gap Analysis | 20 days | Tue 7/30/19 | Mon 8/26/19 |
| 1.5.1 | Define differences (base and NE needs) | 10 days | Tue 7/30/19 | Mon 8/12/19 |
| 1.5.2 | Develop Gap Analysis Deliverable | 10 days | Tue 7/30/19 | Mon 8/12/19 |
| 1.5.3 | Submit Gap Analysis | 0 days | Mon 8/12/19 | Mon 8/12/19 |
| 1.5.4 | NE Client Reviews Gap Analysis | 10 days | Tue 8/13/19 | Mon 8/26/19 |
| 1.5.5 | NE Client accepts Gap Analysis | 0 days | Mon 8/26/19 | Mon 8/26/19 |
| 1.6 | Perform Update and Test Renewals | 55 days | Tue 8/27/19 | Mon 11/11/19 |
| 1.6.1 | Update the system based on Gap Analysis | 10 days | Tue 8/27/19 | Mon 9/9/19 |
| 1.6.2 | NE Client begins training/testing in UAT | 10 days | Tue 9/10/19 | Mon 9/23/19 |
| 1.6.3 | Needed Changes Noted | 10 days | Tue 9/10/19 | Mon 9/23/19 |
| 1.6.4 | Update system based on Needed Changes | 10 days | Tue 9/24/19 | Mon 10/7/19 |
| 1.6.5 | NE Client tests Needed Changes | 10 days | Tue 10/8/19 | Mon 10/21/19 |
| 1.6.6 | Final Changes Noted | 10 days | Tue 10/8/19 | Mon 10/21/19 |
| 1.6.7 | Update System based on Final Changes | 5 days | Tue 10/22/19 | Mon 10/28/19 |
| 1.6.8 | NE Client tests Final Changes | 10 days | Tue 10/29/19 | Mon 11/11/19 |
| 1.6.9 | NE Client approves Renewals | 0 days | Mon 11/11/19 | Mon 11/11/19 |
| 1.7 | Perform Update and Test Back Office/Workflow | 55 days | Tue 10/29/19 | Mon 1/13/20 |
| 1.7.1 | Update system based on Gap Analysis | 10 days | Tue 10/29/19 | Mon 11/11/19 |
| 1.7.2 | NE Client begins training/testing in UAT | 10 days | Tue 11/12/19 | Mon 11/25/19 |
| 1.7.3 | Needed Changes Noted | 10 days | Tue 11/12/19 | Mon 11/25/19 |
| 1.7.4 | Update system based on Needed Changes | 10 days | Tue 11/26/19 | Mon 12/9/19 |
| 1.7.5 | NE Client tests Needed Changes | 10 days | Tue 12/10/19 | Mon 12/23/19 |
| 1.7.6 | Final Changes Noted | 10 days | Tue 12/10/19 | Mon 12/23/19 |
| 1.7.7 | Update System based on Final Changes | 5 days | Tue 12/24/19 | Mon 12/30/19 |
| 1.7.8 | NE Client tests Final Changes | 10 days | Tue 12/31/19 | Mon 1/13/20 |
| 1.7.9 | NE Client approves Back Office/Workflow | 0 days | Mon 1/13/20 | Mon 1/13/20 |

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| WBS | Task Name | Duration | Start | Finish |
|-------------|--|----------------|---------------------|--------------------|
| 1.8 | Perform Update and Test New Applications, Online & Dashboards | 55 days | Tue 12/31/19 | Mon 3/16/20 |
| 1.8.1 | Update system based on Gap Analysis | 10 days | Tue 12/31/19 | Mon 1/13/20 |
| 1.8.2 | NF Client begins training/testing in UAT | 10 days | Tue 1/14/20 | Mon 1/27/20 |
| 1.8.3 | Needed Changes Noted | 10 days | Tue 1/14/20 | Mon 1/27/20 |
| 1.8.4 | Update system based on Needed Changes | 10 days | Tue 1/28/20 | Mon 2/10/20 |
| 1.8.5 | NE Client tests Needed Changes | 10 days | Tue 2/11/20 | Mon 2/24/20 |
| 1.8.6 | Final Changes Noted | 10 days | Tue 2/11/20 | Mon 2/24/20 |
| 1.8.7 | Update System based on Final Changes | 5 days | Tue 2/25/20 | Mon 3/2/20 |
| 1.8.8 | NE Client tests Final Changes | 10 days | Tue 3/3/20 | Mon 3/16/20 |
| 1.8.9 | NE Client approves New Applications, Online & Dashboards | 0 days | Mon 3/16/20 | Mon 3/16/20 |
| 1.9 | Perform Update and Test Reports & Misc. | 75 days | Tue 8/27/19 | Mon 12/9/19 |
| 1.9.1 | Identify all Needed Reports | 15 days | Tue 8/27/19 | Mon 9/16/19 |
| 1.9.2 | Identify Needed Changes to Query Tool | 5 days | Tue 9/17/19 | Mon 9/23/19 |
| 1.9.3 | Develop Reports | 15 days | Tue 9/24/19 | Mon 10/14/19 |
| 1.9.4 | Modify Query Tool | 10 days | Tue 10/15/19 | Mon 10/28/19 |
| 1.9.5 | NE Client Tests Reports | 10 days | Tue 10/29/19 | Mon 11/11/19 |
| 1.9.6 | NE Client Approves Reports | 0 days | Mon 11/11/19 | Mon 11/11/19 |
| 1.9.7 | Move Reports into Production | 5 days | Tue 11/12/19 | Mon 11/18/19 |
| 1.9.8 | NE Client Tests Query Tool | 10 days | Tue 11/19/19 | Mon 12/2/19 |
| 1.9.9 | NE Client Approves Query Tool | 0 days | Mon 12/2/19 | Mon 12/2/19 |
| 1.9.10 | Move Query Tool into Production | 5 days | Tue 12/3/19 | Mon 12/9/19 |
| 1.1 | SoR Launch | 10 days | Mon 3/16/20 | Mon 3/30/20 |
| 1.10.1 | Renewals | 0 days | Mon 3/16/20 | Mon 3/16/20 |
| 1.10.2 | Back Office/Workflow | 0 days | Mon 3/16/20 | Mon 3/16/20 |
| 1.10.3 | New Applications, Online & Dashboards | 0 days | Mon 3/16/20 | Mon 3/16/20 |
| 1.10.4 | Reports & Misc. | 0 days | Mon 3/16/20 | Mon 3/16/20 |
| 1.10.5 | Full System Test during Soft Launch | 10 days | Tue 3/17/20 | Mon 3/30/20 |
| 1.11 | Go Live | 1 day | Tue 3/31/20 | Tue 3/31/20 |
| 1.11.1 | Renewals | 1 day | Tue 3/31/20 | Tue 3/31/20 |
| 1.11.2 | Back Office/Workflow | 1 day | Tue 3/31/20 | Tue 3/31/20 |
| 1.11.3 | New Applications, Online & Dashboards | 1 day | Tue 3/31/20 | Tue 3/31/20 |
| 1.11.4 | Reports & Misc. | 1 day | Tue 3/31/20 | Tue 3/31/20 |

A brief description of each of these activities is outlined in the table beginning on the next page:

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Table 1

| <u>WBS</u> | <u>Task (Activity) Name</u> | <u>Task (Activity) Brief Description</u> |
|------------|---|---|
| 1 | NE Banking Licensing Project | Overall Name assigned to the project in Microsoft Project |
| 1.1 | Kick-Off | Initial meeting to formally start the project with NE DBF and inLumon |
| 1.2 | NE Banking Licensing System Project Plan | Formal task to review and agree to the project plan/schedule |
| 1.2.1 | Develop Project Plan | Task to develop the project plan/schedule |
| 1.2.2 | Deliver Project Plan | Formal task to submit the project plan/schedule (deliverable) |
| 1.2.3 | NE Client Reviews Project Plan | Meeting to discuss and agree upon the project plan/schedule |
| 1.2.4 | NE Approves Project Plan | Formal task where NE accepts the project plan/schedule |
| 1.3 | Data Migration to UAT | Formal task to migrate data from legacy system into UAT |
| 1.3.1 | Obtain Copy of Legacy Data | A copy of the legacy system data is obtained for inLumon use |
| 1.3.2 | Review Legacy Data | Technical Team (inLumon) to review the Legacy Data in detail to understand the data being extracted |
| 1.3.3 | Develop Database Map | Technical Team (inLumon) creates a database map between legacy system data to new system database structure |
| 1.3.4 | Migrate Data into UAT | Technical Team (inLumon) to translate the legacy data provided, using the maps created, into inLumon's database |
| 1.3.5 | Data Available in UAT | Technical Team (inLumon) makes the migrated data available for User Acceptance Testing in the UAT environment (deliverable) |
| 1.3.6 | NE Client Review Migrated Data #1 | The NE client will use the new inLumon system to review and document any missing data |
| 1.3.7 | Modify Migrated NE Data | Technical Team (inLumon) modifies the migrated data based on findings reported by the NE client |
| 1.3.8 | NE Client Review Migrated Data #2 | The NE client will again use the inLumon system to review and document any missing data |
| 1.3.9 | Data Migration to UAT Accepted by NE | Formal task where NE accepts the migrated data |
| 1.4 | Establish Base NE System in UAT | Formal task to create a base system for NE in UAT |
| 1.4.1 | Copy Current/Relevant System as base | Task to copy an existing system in production that closely relates to this new Board (client) |
| 1.4.2 | Connect Base NE System w/Data | Technical Team (inLumon) connects the migrated data to the system ready for NE DBF in UAT |

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| <u>WBS</u> | <u>Task (Activity) Name</u> | <u>Task (Activity) Brief Description</u> |
|------------|---|---|
| 1.5 | Perform Gap Analysis | Formal task to review and document the differences between the base system and the defined requirements by the NE DBF |
| 1.5.1 | Define differences (base and NE needs) | Identify the differences between the base system and NE DBF's defined requirements |
| 1.5.2 | Develop Gap Analysis Deliverable | Prepare a deliverable that identifies the differences between the base system and NE DBF's defined requirements |
| 1.5.3 | Submit Gap Analysis | Submit the Gap Analysis document to NE DBF for review (deliverable) |
| 1.5.4 | NE Client Reviews Gap Analysis | NE DBF reviews the Gap Analysis and notes any required changes |
| 1.5.5 | NE Client accepts Gap Analysis | After the noted changes are made to the document, the document is formally accepted by the NE DBF |
| 1.6 | Perform Update and Test Renewals | Formal task to update the base system and NE DBF conducts UAT on renewal applications |
| 1.6.1 | Update the system based on Gap Analysis | Technical Team (inLumon) to update the base system based on Gap Analysis (report). |
| 1.6.2 | NE Client begins training/testing in UAT | The NE DBF client begins their training with inLumon as well as testing Individual Info and Renewal Applications in UAT |
| 1.6.3 | Needed Changes Noted | NE DBF documents what needs to be changed in the system related to Individual Info and Renewal Applications |
| 1.6.4 | Update system based on Needed Changes | Technical Team (inLumon) to update the base system based on identified needed changes |
| 1.6.5 | NE Client tests Needed Changes | The NE DBF client tests Individual Info and Renewal Applications again in UAT once inLumon has completed the changes |
| 1.6.6 | Final Changes Noted | NE DBF provide inLumon with documentation on what remains to be changed in the system related to Individual Info and Renewal Applications |
| 1.6.7 | Update System based on Final Changes | Technical Team (inLumon) to update the base system based on notice of final changes |
| 1.6.8 | NE Client tests Final Changes | The NE DBF client tests Individual Info and Renewal Applications for one final time in UAT |
| 1.6.9 | NE Client approves Renewals | NE DBF accepts Individual Info and Renewal Applications in UAT |
| 1.7 | Perform Update and Test Back Office/Workflow | Formal task to update the base system and NE DBF conducts UAT on the Back Office and Application Workflow |
| 1.7.1 | Update system based on Gap Analysis | Technical Team (inLumon) to update the base system based on Gap Analysis (report). |
| 1.7.2 | NE Client begins training/testing in UAT | The NE DBF client begins their training with inLumon as well as testing Back Office and Application Workflow in UAT |
| 1.7.3 | Needed Changes Noted | NE DBF documents what needs to be changed in the system related to Back Office and Application Workflow |

| <u>WBS</u> | <u>Task (Activity) Name</u> | <u>Task (Activity) Brief Description</u> |
|------------|--|--|
| 1.7.4 | Update system based on Needed Changes | Technical Team (inLumon) to update the base system based on identified needed changes |
| 1.7.5 | NE Client tests Needed Changes | The NE DBF client tests Back Office and Application Workflow again in UAT once inLumon has completed the changes |
| 1.7.6 | Final Changes Noted | NE DBF provide inLumon with documentation on what remains to be changed in the system related to Back Office and Application Workflow |
| 1.7.7 | Update System based on Final Changes | Technical Team (inLumon) to update the base system based on notice of final changes |
| 1.7.8 | NE Client tests Final Changes | The NE DBF client tests Back Office and Application Workflow for one final time in UAT |
| 1.7.9 | NE Client approves Back Office/Workflow | NE DBF accepts Back Office and Application Workflow in UAT |
| 1.8 | Perform Update and Test New Applications, Online & Dashboards | Formal task to update the base system and NE DBF conducts LIAT on New Applications in Back Office and Online and Licensee/Applicant Dashboards |
| 1.8.1 | Update system based on Gap Analysis | Technical Team (inLumon) to update the base system based on Gap Analysis (report). |
| 1.8.2 | NE Client begins training/testing in UAT | The NE DBF client begins their training with inLumon as well as testing New Applications and User Dashboards in UAT |
| 1.8.3 | Needed Changes Noted | NE DBF documents what needs to be changed in the system related to New Applications and User Dashboards |
| 1.8.4 | Update system based on Needed Changes | Technical Team (inLumon) to update the base system based on identified needed changes |
| 1.8.5 | NE Client tests Needed Changes | The NE DBF client tests New Applications and User Dashboards again in UAT once inLumon has completed the changes |
| 1.8.6 | Final Changes Noted | NE DBF provide inLumon with documentation on what remains to be changed in the system related to New Applications and User Dashboards |
| 1.8.7 | Update System based on Final Changes | Technical Team (inLumon) to update the base system based on notice of final changes |
| 1.8.8 | NE Client tests Final Changes | The NE DBF client tests New Applications and User Dashboards for one final time in UAT |
| 1.8.9 | NE Client approves New Applications, Online & Dashboards | NE DBF accepts New Applications and User Dashboards in UAT |
| 1.9 | Perform Update and Test Reports & Misc. | Formal task to update the system and develop all the best reports |
| 1.9.1 | Identify all Needed Reports | NE DBF defines all needed reports |
| 1.9.2 | Identify Needed Changes to Query Tool | NE DBF identifies any changes needed to the Query Tool after training received by inLumon on Query Tool |
| 1.9.3 | Develop Reports | Technical Team (inLumon) develops all defined reports |

| <u>WBS</u> | <u>Task (Activity) Name</u> | <u>Task (Activity) Brief Description</u> |
|------------|---------------------------------------|--|
| 1.9.4 | Modify Query Tool | Technical Team (inLumon) to modify Query Tool (if needed) |
| 1.9.5 | NE Client Tests Reports | NE DBF tests developed reports in UAT and identifies all necessary changes |
| 1.9.6 | NE Client Approves Reports | After inLumon completes identified changes to reports this task represents where NE DBF would approve the reports. |
| 1.9.7 | Move Reports into Production | Technical Team (inLumon) moves the approved reports from the UAT into the Production environment. |
| 1.9.8 | NE Client Tests Query Tool | The task where the NE DBF client begins training and testing on the Query Tool in UAT |
| 1.9.9 | NE Client Approves Query Tool | After inLumon completes identified changes to the Query Tool, NE DBF would approve the tool. |
| 1.9.10 | Move Query Tool into Production | Technical Team (inLumon) moves the approved Query Tool from the UAT into the Production environment |
| 1.10 | Soft Launch | Formal task to perform a limited release of system in production—this depends on the agreed upon phased-in implementation approach |
| 1.10.1 | Renewals | Renewal Applications are made available in Production |
| 1.10.2 | Back Office/Workflow | Back Office and Application Workflow are made available in Production |
| 1.10.3 | New Applications, Online & Dashboards | New Applications (both Back Office and Online) as well as User Portal Dashboards are made available in Production |
| 1.10.4 | Reports & Misc. | Reports, Query Tool and all other system items are made available in Production |
| 1.10.5 | Full System Test during Soft Launch | Here the full system is tested in Production, giving the NE DBF an opportunity to work out processes and to request any last minute changes to the system before Go Live is formally announced to the public |
| 1.11 | Go Live | Formal task to Go into Production with the system after announcing to the public |
| 1.11.1 | Renewals | Renewal Applications are being submitted into Production by licensees via their dashboard |
| 1.11.2 | Back Office/Workflow | NE DBF staff is using the Back Office and processing Renewal Applications in Production |
| 1.11.3 | New Applications, Online & Dashboards | Both NE DBF staff as well as first time applicants are filling out and submitting NFW Applications into the Production environment |
| 1.11.4 | Reports & Misc. | The Query Tool, canned reports and other system functions are being executed in Production |

inLumon looks forward to discussing these project activities with the NE DBF and adjusting the Activities and timelines based on NE DBF's specific requirements.

Project Milestones

Project Milestones that have been identified in this project plan include:

- Project Kick-Off
- Deliver Project Plan
- NE Approves Project Plan
- Data Available in UAT
- Data Migration to UAT Accepted by NE
- Connect Base NE System w/Data
- Submit Gap Analysis
- NE Client accepts Gap Analysis
- NE Client approves Renewals
- NE Client approves Back Office/Workflow
- NE Client approves New Applications, Online & Dashboards
- NE Client Approves Reports
- NE Client Approves Query Tool
- Soft Launch: Renewals
- Soft Launch: Back Office/Workflow
- Soft Launch: New Applications, Online & Dashboards
- Soft Launch: Reports & Misc.
- Go Live: Renewals
- Go Live: Back Office/Workflow
- Go Live: New Applications, Online & Dashboards
- Go Live: Reports & Misc.

Project Deliverables

inLumon has accounted for and agrees to provide all Project Deliverables as identified in the Scope of Work for this engagement. In addition, because this is a Design, Development & Implementation (DD&I) project, inLumon considers ALL of the Project Milestones identified above as Project Deliverables.

inLumon **Initial Project Success**

inLumon is incredibly committed to this project for the State of Nebraska as this is hopefully our 2nd engagement in Nebraska and we recognize first impressions are critical. We want to be successful for both the Nebraska Department of Banking and Finance as well as inLumon, as we recognize this can also lead to future engagements for inLumon, both within Nebraska as well as other States, in agencies responsible for Banking and Finance licensing and enforcement.

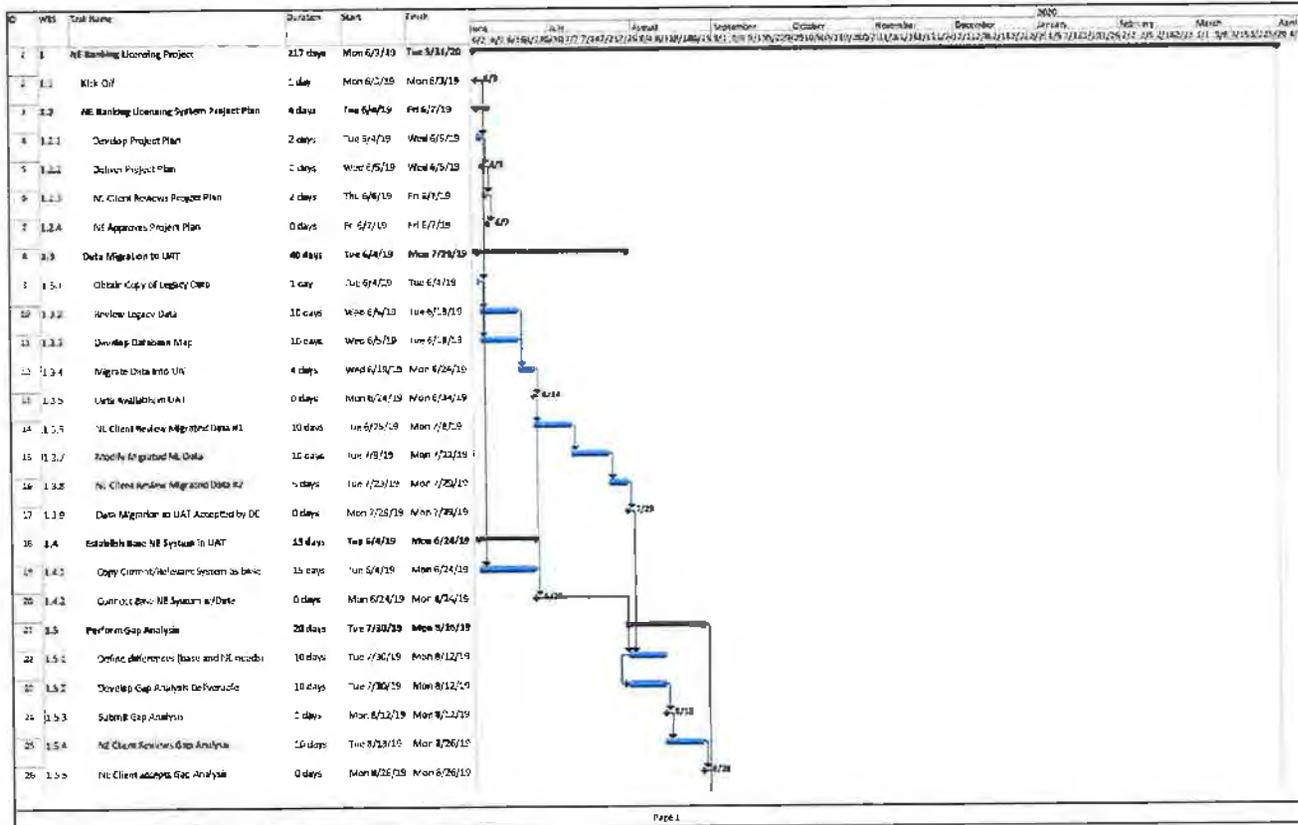
We also recognize that things happen during the lifecycle of a project, and sometimes these are outside the control of inLumon or our client. Experience has taught us that the best course of action is to partner for success with our client and do whatever is necessary to have a successful project. We make that same commitment here for this Financial Licensing and Enforcement Software Solution for the Nebraska Department of Banking and Finance.

Attachment A

The project plan for the Nebraska Department of Banking and Finance, Financial Licensing and Enforcement Software Solution project is displayed by pdf page on the following pages. The project activities and schedule is best viewed in Microsoft Project.

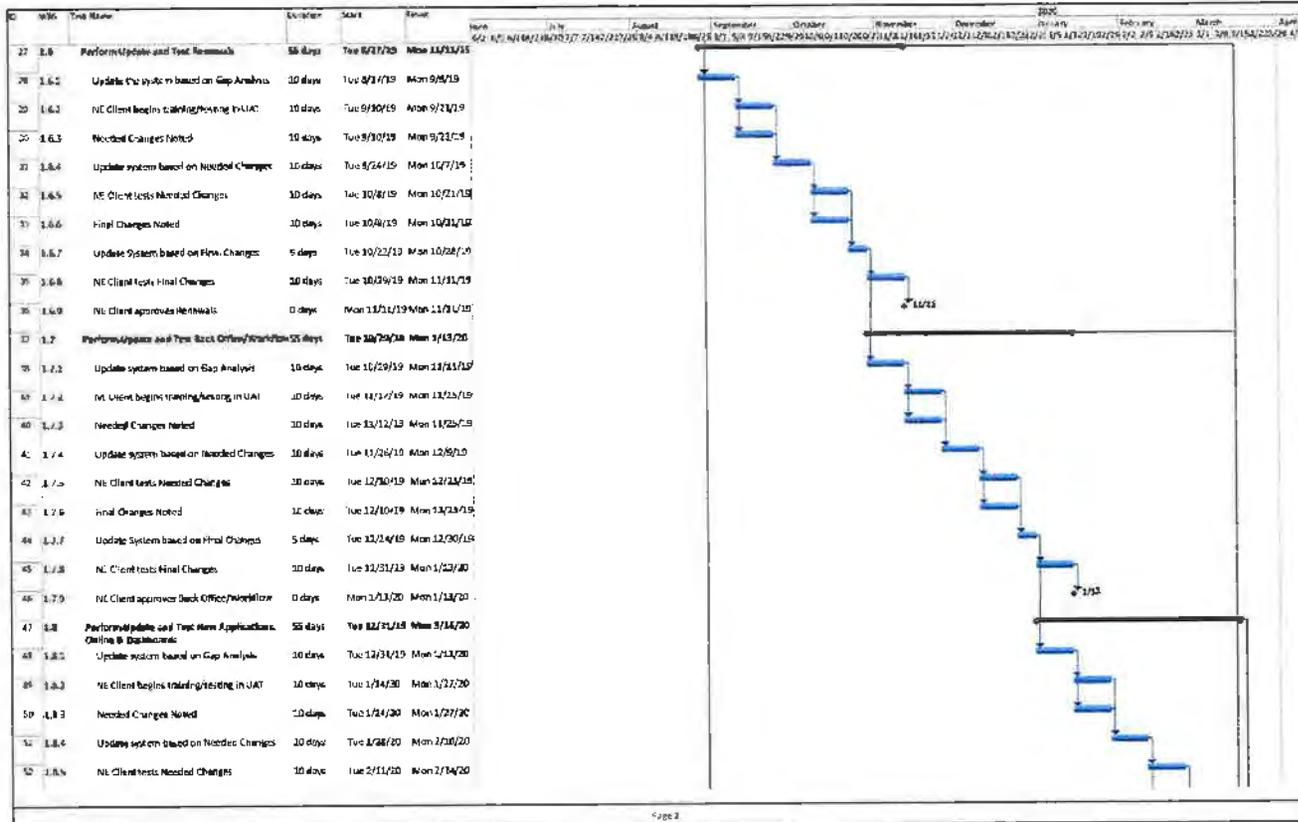
Nebraska Department of Banking and Finance Financial Licensing and Enforcement Software Solution

Project Plan
January, 2019



Nebraska Department of Banking and Finance Financial Licensing and Enforcement Software Solution

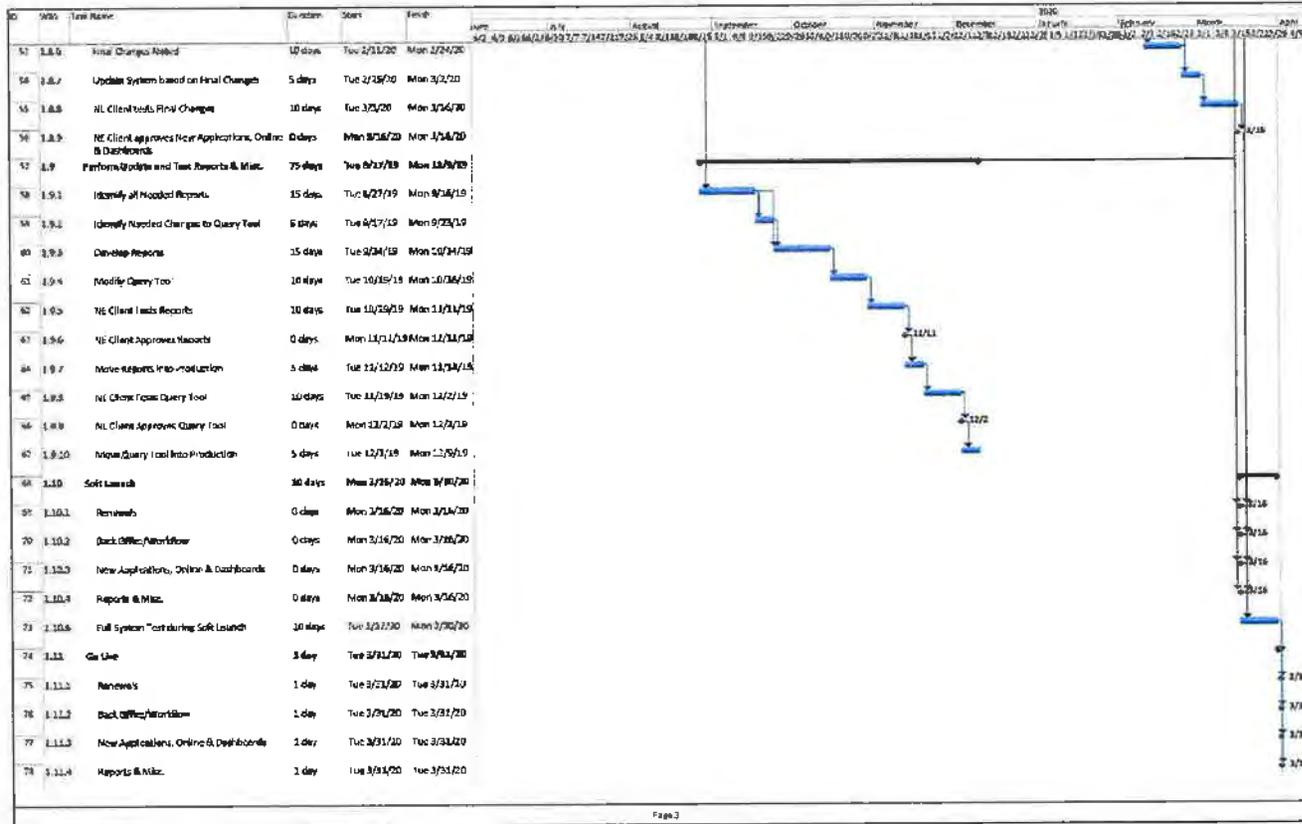
Project Plan
January, 2019



Page A-3

Nebraska Department of Banking and Finance Financial Licensing and Enforcement Software Solution

Project Plan
January, 2019



Page A-4

e. Deliverables and due dates;

inLumon typically uses a deliverables-based billing structure with clearly defined project milestones within each of our project proposals. Project milestones are defined with specific tasks identified to accomplish each milestone within each work cycle. This gives flexibility to each project that allows the schedule of tasks to be adapted to the specific needs of each project and/or client, while maintaining clearly defined project tasks for each milestone.

First and foremost, inLumon does not bill until a deliverable has been provided to our client and our client agrees that the deliverable has been provided (acceptance). At the end of each month, we review the deliverables that have been provided to our client and with our client's approval, submit an invoice for the deliverables provided that month. Each invoice details the project milestone and the supporting deliverable(s) along with the price for those deliverables.

We have found that this approach works best for both our clients and inLumon as we only invoice for what has been delivered (with approval from our client) and invoice no more than once per month.

All proposed project deliverables, along with their estimated due date, are identified in the proposed Project Plan that is included above.

inLumon Service Level Agreement, Support Plan Guide, Terms and Conditions

The inLumon Service Level Agreement (SLA), Support Plan Guide, Terms and Conditions detail the parameters of the Support Plans inLumon offers and what the Nebraska Department of Banking and Finance (Department) should expect in terms of product and support services.

Support Services

- * As per the needs and requirements of our clients, both on-site and off-site support service is provided
- * The off-site support is carried on through remote login, telephone, e-mail, messenger, letters, etc. On-site support is provided by inLumon's technical staff by visiting the Department's office
- * During the initial implementation phase, face-to-face meeting(s) are a must! This is to make sure we understand your requirement to make your system operational and ready for use. These meetings can take place at the Department's office or at inLumon's headquarters in Reno, NV
- * To ease out the implementation process, training sessions are provided
- * inLumon will specifically support initially signed off requirement for the first 6 months as part of the initial acceptance. Additional functional programming requests may be subject to additional costs as determined at the time of the upgrade request(s).

inLumon Support Desk Hours

The inLumon Support Desk operates from 7:00 AM to 6:00 PM Pacific Time, Monday through Friday except for federal holidays. Customers may use the inLumon Support Desk as a single point of contact for all support inquiries regarding inLumon products. The inLumon Support Desk provides first and second level diagnostic support including analysis of the issue, problem solving and resolution.

Technical Support Options

Customer's Named Support Contacts have access to the following options:

- inLumon Support Portal - This allows Customers to log and track incident requests and for certain products, new feature requests, 24 hours a day, 365 days a year. The portal can only be accessed by inLumon Customers with valid User IDs and passwords.
- Email - support@inlumon.com Email is the best way to contact the inLumon Support Desk. Every email is assigned a ticket number.
- Telephone - Toll free.

Reporting Support Incidents

Support Incident: A support incident is defined as a single, reproduceable issue displaying specific symptoms relating to one specific feature, function, action, or facet of the product, or one aspect of its operation or performance. Each Support Incident is a problem that inLumon cannot divide into separate, subordinate issues. If a problem can be broken down into subordinate issues, inLumon will consider each a separate incident. inLumon may expand the definition of a Support Incident to include accompanying occurrences or events that arise because of, or are dependent on it.

What is not a Support Incident?

- * A problem with consulting deliverables not covered under contract
- * Post implementation changes not covered under contract and scope
- * Request for functionality outside the scope
- * A problem caused by a Customer's unsupported alteration of an inLumon product

Incident Resolution: Once the inLumon Support Desk reviews an incident, inLumon in discussion with the customer will define resolution of the incident as accomplishing any one of the following:

- * Provides a reasonable solution to the incident
- * Provides a reasonable Workaround to the incident until the issue is resolved
- * Determines the incident is related to an action that does not follow a published guideline or specification
- * Determines the incident is an enhancement request

Support Ticket Creation

Upon receiving the support call or email, the inLumon Support Desk will log an incident and provide an incident number to the Customer. This number signifies that the issue has been received, logged and will be assigned to the appropriate work group.

Support Ticket Prioritization

inLumon will prioritize Support tickets based on:

- * The severity of the issue
- * The urgency of the issue
- * The effort involved in resolution

inLumon will work with the Department to determine the appropriate Severity and priority.

Support Ticket Severity and Response Times: The table below describes the severity inLumon will associate with each support ticket. The table also list the standard response time for each level of severity.

| Severity | Description | Response Time |
|-----------|---|-----------------------------|
| P1 | <ul style="list-style-type: none"> • System crash, major system portion unusable and no reasonable workaround within application, irretrievable data loss • Requires immediate resolution and should be fixed in the next release or patch | 30 mins to 4 hours |
| P2 | <ul style="list-style-type: none"> • Some portions of the system not working as intended/planned, resulting in noticeable deficiency or difficulty with allowing system use • Application is usable with functional restrictions and impacted operations • Workarounds should be provided and plan for next available patch release is created | 4 hours to 12 hours |
| P3 | <ul style="list-style-type: none"> • Superficial defect and minor imperfection bug do not impede system functionality • Should be fixed in the next major release | Within 48 hours |
| P4 | <ul style="list-style-type: none"> • No impact on performance or usability and does not impede functionality • Should be reviewed for a future release | 48 hours to 96 hours |

Customer Notification: For all Severity levels, inLumon will update the Customer on the Support Ticket status as agreed upon at the time inLumon contacts the Customer with the initial response. inLumon will always attempt to resolve the incident on the first contact, but at times, additional contacts may be necessary.

Customer Escalation: The inLumon Support Desk is the single point of contact for all support issues. Please contact the inLumon Support Desk to escalate a Support Ticket. Additionally, Customers may contact their Account Manager for any questions about support procedures, escalation, or any other business needs.

Additional Support-Related Policies

Planned System Outages: inLumon will work with the Department to schedule any planned outages for maintenance. inLumon will notify Customers one week prior to the scheduled maintenance window with the details.

Unplanned System Outages: In the course of resolving support incidents and software bugs, it may become necessary to temporarily bring services offline, or to block users' access. The support team will work closely with the Department to schedule these outages to minimize any interruption of service.

Business Continuity Plan: inLumon maintains a Business Continuity Plan to ensure the continuity of its critical business functions.

Service Level Review: inLumon will review and/or renew SLA at least once per year or as required. The Department may request a review of SLA at any time by contacting their inLumon Account Manager.

Terms and Conditions

- * The tasks, steps, techniques and tools that are proposed are based on the current level of understanding and technology levels prevailing in the project domain. The proposed approach will be validated and may have to be refined and modified for the actual project requirement after discussing with the Department's team.
- * inLumon will start the project within one week of acceptance of proposal or signing of the contract.
- * Acceptance criteria shall be mutually discussed and decided by the Department and inLumon's Project Manager during the project requirements phase.
- * inLumon and the Department will come into an agreement to fulfill the scope and whenever there is change in scope, mutually will agree and then document same in the agreement as and when it arises. Any other product or service required during implementation or at a later date shall be covered under a separate agreement.
- * Transactional cost associated with electronic payment (Credit Card, Debit Card, eCheck) if any, is the responsibility of Department and must be discussed between the Department and their financial institution.
- * Training will be provided to the designated staff at client's end to use the application.
- * Implementation time may vary depending on Department requirement(s) and other factors beyond inLumon and the Department.
- * If the Department and inLumon consider that, due to existing circumstances, the achievement of agreed upon objectives are no longer possible at all or not to a satisfactory degree, services may terminate with a written notice of not less than sixty (60) days.
- * Monthly rates if applicable are billed monthly at month end. Payment is required within 30 days from date of receipt of invoice; late invoices will be charged at 1.5% interest per month.
- * On an annual basis, the support and/or subscription amount may be adjusted by cost of living factor percentage not to exceed 3% with approval from both parties.
- * The solution we are proposing will include software that will be developed specifically for this project and pre-existing software owned by inLumon. The different types of software will be identified specifically in the definitive contract, consistent with our proposal. We can agree that the State will have ownership of the software specifically developed for this project although inLumon retains non-exclusive royalty-free and fully paid-up license rights to use of that software for other projects. We also agree that the State will have a nonexclusive, royalty-free and irrevocable license to use the pre-existing software owned by inLumon for internal use only by the Nebraska Department of Banking and Finance for purposes of the project. The definitive contract will specify project deliverables, but source code and other escrowed materials should be deliverable as per an escrow mechanism.
- * Force Majeure: inLumon shall be under no liability whatsoever on the occurrence of any Force Majeure event such as act of war, sabotage, strikes, fires, freight embargoes, floods, explosions, epidemics, orders of government or other duly constituted authority, any natural calamities or Act of God or other causes or events beyond the control and without the fault or negligence of Buyer (DEPARTMENT) or Seller (inLumon).



Attachment D – Cloud Consideration Criteria Questionnaire

ATTACHMENT D

Cloud Consideration Criteria

*Office of the Chief Information Officer
January 2018*

Description

As the State of Nebraska moves towards using Cloud resources, other than the private cloud solution offered by the Office of the Chief Information Officer, the following are criteria that must be taken into consideration prior to the movement of data into a non-State Cloud solution. Please refer to the NITC Technical Standards and Guidelines 8-607.Cloud Computing.

Technical questions:

How much storage is needed (GB's/TB's)?

Database server: 2 drives each of 2 TB; Application Server: Primary drive of 500 GB and Secondary drive of 1 TB; Backup server: 2 drives of 2 TB each

How much growth are you anticipating monthly (percentage change)?

Approximately 4%-6%

Are there any performance requirements?

Does the solution you are using today meet those requirements (please provide metrics)

Application Performance Metrics:

- 1) User Satisfaction**
- 2) Average Response Time**
- 3) Error Rates**
- 4) Request Rate**
- 5) Application & Server CPU**
- 6) Application Availability**

What metrics are available on the current system to measure performance and capacity?

Application Performance Metrics:

- 1) User Satisfaction**
- 2) Average Response Time**
- 3) Error Rates**
- 4) Request Rate**
- 5) Application & Server CPU**
- 6) Application Availability**

What is the impact on user experience under varying degrees of network latency/slowness?

The impact of slowness could be bad end-user experience as the application pages will load slowly and in some cases may time out depending on the network performance. The proposed solution is developed and tested using different network performance factors to handle varying degrees of network latency.

Does the data need replicated to another physical location? **NO**

Does the data need backups with specific retention schedules? **YES**

How is the data going to be used (application, server, users, archival?)

Data is always going to be used through the Application/System and on secure server for backup and testing of restore.

How is the data accessed?

- Network file share (NAS)
- **LUN attached to physical server (block storage)**
- Cloud based (object storage)

What are the Recovery Point Objective and Recovery Time Objectives for the service?

Recovery Time Objective is 4-6 hours

Recovery Point Objective depends on the Business Continuity Plan. We do an incremental backup every 20 mins and a full backup once everyday.

How is Continuity of Operations and Disaster Recovery being addressed?

To properly plan for failure, assume failures will occur and we ensure that we have built plans for how these failures will be handled. We use automation where possible and consider the implications of failure during each step of the design process. In some cases, however, automation isn't possible, and in others, a manual process may be preferred. The Continuity of Operations and Disaster Recovery is addressed in the IT Disaster Recovery Plan

Does the data moving to the cloud fall under any federal requirements such as CJIS, PCI, FTI, etc?

Our application and servers are PCI compliant. Any other federal requirements will be driven by the business requirements.

Does the proposed vendor have a direct connect to ensure the OCIO's commodity Internet is not impacted? **YES**

How will the application/serve be accessed (public internet, internal State network only, etc.)?

The online application portal can be accessed through public internet. The staff portal can be configured to be accessed through public internet or can be restricted to internal state network only.



Which Deployment Model of NITC Standard 8-607, Cloud Computing are you intending to use?

Private Cloud. We are also open to looking at State Cloud option.

Business questions: (inLumon assumes this section of questions apply to the Department)

What services are you planning to move to the Cloud?

What are your reasons for wanting to move to the Cloud?

Is there a time-frame or event driving the change, example, end-of-Life hardware/software?

Who uses the application or service now?

Number of users / Where and how do they access the service today?

Is the application/service only used within the State's internal network currently?

How will success of a move to the Cloud be measured?

Are there any application/services being actively developed or updated that may impact a Cloud migration?

Is there a contract in place to procure this?

Architecture and technology questions:

Is there any existing architecture documentation?

Yes. Please refer to page 97 within inLumon's RFP response document.

Is the current platform physical or virtual?

The proposed solution has a multiple physical servers with each physical server having virtual machines.

Are any application/service components already using Cloud services?

All of the application/service/db components of the proposed solution are Cloud services ready

Do the services use web services, and if so, for what?

The user interface layer have API calls to the application layer using web services. The web services talks to the database layer for data access.

What external dependencies do the services have?

There are no physical external dependencies other than the physical firewall. Depending on the third party interfaces to be integrated like payment gateway an external API call may need to be made from the proposed solution.

Are services accessed via a web browser? If not, what client software is required?

Services are via the web browser.

What technologies and versions are used to deliver the service (web servers, databases, directory services, etc)?

Microsoft .Net Framework 4.5, C#, Angular JS 1.x, Javascript, HTML, CSS, Relational database like MySQL 5.7, SQL Server 2016, PDFTechLib, Bitbucket for source code repository, Performance Test Manager, IIS, Windows Server 2016, Hyper-V for Virtualization, IIS, SSL

How are changes and fixes developed and deployed?

inLumon team change management practices enable project team to track the changes to the solution during the configuration/implementation phase or post implementation. Usage of industry standard tools such allows traceability to be created from requirements to test cases and vice versa. inLumon team will work with the Nebraska Department of Banking and Finance to provide advance notice of changes to be implemented and only apply updates approved by the Nebraska Department of Banking and Finance.

Change management is an ongoing iterative process throughout the project lifecycle which may involve many individuals at different levels within the organization. The purpose of the InLumon Team's Change Management Process (CMP) is to ensure standardized methods and procedures are used for efficient and prompt handling of all changes. A formal, repeatable process minimizes the risk when introducing change to the production environment and helps preserve the quality of service delivery. The CMP defines the activities, roles, and responsibilities necessary to effectively and efficiently manage and coordinate changes to project goals such as scope, schedule, and cost baselines.

The Integrated Project Management Plan discussed in the Project Management section of this proposal will be the guiding tool for managing all aspects of the project. The IPMP will be used in conjunction with the Change Management Plan (CMP), also discussed in the Project Management section, to manage the impact of change.

What environments are required to support the service (Staging, Development, training, etc)?

Development, Test/Integration, Staging (only for migration activities), UAT/Training and Production.

Was this service designed with the Cloud in mind? **Yes.**

For further information, please contact:

Office of the CIO Service Desk
cio.help@nebraska.gov
402-471-4636 or 800-982-2468