# axiell

# Proposal in Response to Request for Proposal 120277 O3 REBID

# Cloud-Based Vital Records Management System

Due December 5<sup>th</sup>, 2025, at 2:00 PM Central Time

Prepared for:
DHHS Office of Procurement and Grants
Nebraska Department of Health and Human Services

Prepared by:
Axiell ALM Inc.
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USA 11201
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# Contents

# CORPORATE OVERVIEW

## a. BIDDER IDENTIFICATION AND INFORMATION

Axiell ALM INC. (formerly KE Software Inc.) is a corporation which is incorporated in Delaware in 1997 with address of 1209 Orange St, Wilmington, Delaware, USA, 19801, and headquartered in New York with address of 195 Montague, Floor 14, Brooklyn, New York, USA, 11201. Axiell ALM INC. is a wholly owned subsidiary of Axiell Group AB.

Please find Certificates of Incorporation, Name Change and Good Standing below.

# Delaware

The First State

I, CHARUNI PATIBANDA-SANCHEZ, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED ARE TRUE AND CORRECT COPIES OF ALL DOCUMENTS ON FILE OF "AXIELL ALM, INC." AS RECEIVED AND FILED IN THIS OFFICE.

THE FOLLOWING DOCUMENTS HAVE BEEN CERTIFIED:

CERTIFICATE OF INCORPORATION, FILED THE TWENTY-THIRD DAY OF OCTOBER, A.D. 1997, AT 11 O`CLOCK A.M.

CERTIFICATE OF OWNERSHIP, CHANGING ITS NAME FROM "KE SOFTWARE INC." TO "AXIELL ALM, INC.", FILED THE TWENTY-NINTH DAY OF DECEMBER, A.D. 2015, AT 10:15 O`CLOCK A.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID CERTIFICATE OF OWNERSHIP IS THE THIRTY-FIRST DAY OF DECEMBER, A.D. 2015 AT 11:59 O'CLOCK P.M.

CERTIFICATE OF CHANGE OF REGISTERED AGENT, FILED THE FIRST DAY OF JULY, A.D. 2021, AT 5:37 O`CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE AFORESAID CERTIFICATES ARE THE ONLY CERTIFICATES ON RECORD OF THE AFORESAID CORPORATION, "AXIELL ALM, INC.".

Charuni Patibanda-Sanchez, Secretary of State

2812149  8100H
SR# 20254562618

Authentication: 205319659
Date: 11-14-25

You may verify this certificate online at corp.delaware.gov/authver.shtml

# Delaware

## The First State

Charuni Patibanda-Sanchez, Secretary of State

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# Delaware

### The First State

I, CHARUNI PATIBANDA-SANCHEZ, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "AXIELL ALM, INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE FOURTEENTH DAY OF NOVEMBER, A.D. 2025.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL REPORTS HAVE BEEN FILED TO DATE.

AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE BEEN PAID TO DATE.

Charuni Patibanda-Sanchez, Secretary of State

2812149  8300

SR# 20254562617

You may verify this certificate online at corp.delaware.gov/authver.shtml

Authentication: 205319415

Date: 11-14-25

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CERTIFICATE OF OWNERSHIP AND MERGER

MERGING

AXIELL ALM, INC.
(a Delaware corporation)

INTO

KE SOFTWARE INC.
(a Delaware corporation)

(Pursuant to Section 253 of the
General Corporation Law of the State of Delaware)

AXIELL ALM, INC., a Delaware corporation hereby certifies that:

**FIRST:** The names of the constituent corporations to be merged are AXIELL ALM, INC., a Delaware corporation ("Parent") and KE SOFTWARE INC., a Delaware corporation ("Subsidiary"). Parent owns all of the issued and outstanding stock of Subsidiary.

**SECOND:** The name of the surviving corporation is KE SOFTWARE INC. (the "Surviving Corporation").

**THIRD:** The Certificate of Incorporation of the Subsidiary immediately prior to the effective filing date of the merger shall be the Certificate of Incorporation of the Surviving Corporation immediately following the effective filing date of the merger without any amendments.

**FOURTH:** Parent, by the following resolutions of its board of directors, duly adopted and approved, on December 28, 2015, the merger of Parent into Subsidiary (the "Merger"):

> RESOLVED, that Merger be, and it hereby is, authorized, adopted and approved in all respects; and be it further

> RESOLVED, that effective upon the appropriate filing of a Certificate of Ownership and Merger with the Secretary of State of the State of Delaware on December 31, 2015 at 11:59 p.m. (the "Effective Date"), the Parent shall be merged into Subsidiary and the separate corporate existence of the Parent shall thereupon cease with the Subsidiary continuing as the surviving corporation (the "Surviving Corporation"); and be it further

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**RESOLVED,** that the Surviving Corporation shall succeed to and assume all of the liabilities and obligations of the Parent; and be it further

**RESOLVED,** that the name of this corporation be changed by changing Article FIRST of the Certificate of Incorporation of this corporation to read as follows:

Article FIRST. The name of the corporation is AXIELL ALM, INC.

**RESOLVED,** that the terms and conditions of the Merger are as follows: upon the date of filing with the Secretary of State of the State of Delaware, all stock of Subsidiary then issued and outstanding shall be cancelled and the shares of stock of Parent then issued and outstanding will be converted into 100 shares of common stock of the Surviving Corporation; and be it further

**RESOLVED,** that any officer of Parent be, and each such officer acting alone hereby is, authorized and directed, for and on behalf of Parent to (i) execute, acknowledge and file with the Secretary of State of the State of Delaware a Certificate of Ownership and Merger under Section 253 of the General Corporation Law of the State of Delaware; and (ii) execute any other documents or instruments and take all such other action which they shall deem necessary in connection with the Merger; and be it further

**RESOLVED,** that at any time prior to the Effective Date, the Merger may be amended or terminated and abandoned by the Board notwithstanding approval of the Merger by the sole stockholder of the Corporation.

**RESOLVED,** that each agreement, certificate, plan, instrument and other writing mentioned in the foregoing resolutions is to be in such form and of such content as any officer of Parent may approve, such approval to be conclusively evidenced by such officer's execution of such agreement, certificate, plan, instrument or other writing.

**FIFTH:** The merger of Parent into Subsidiary has been approved by the written consent of the owner of all of the issued and outstanding shares of Parent.

IN WITNESS WHEREOF, Parent has caused its duly authorized officer to execute this Certificate of Ownership and Merger this 28 day of December, 2015.

AXIELL ALM, INC.

By: _____

Name:  Joel Sommerfeldt

Title:  President

# b. FINANCIAL STATEMENTS

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

## b.1) Audited Financial Statements (most recent fiscal year)

Please see the following documents for 2024 audited financial statements of Axiell ALM, Inc. and 2024 audited financial statements for Axiell Group AB in Swedish (English translation below),

# ÅRSREDOVISNING
och
# KONCERNREDOVISNING

2024-01-01 – 2024-12-31

för

# Axiell Group AB
556349–2189

# Förvaltningsberättelse

Styrelsen och verkställande direktören för Axiell Group AB, organisationsnummer 556349-2189 avger årsredovisning- och koncernredovisning för räkenskapsåret 2024.

## Verksamhetens art och inriktning

Axiell Group samt dess dotterbolag utvecklar, underhåller och säljer tekniskt avancerade och innovativa lösningar till folk- och specialbibliotek, skolbibliotek, skolor, arkiv, museer och myndigheter. Koncernen erbjuder produkter och tjänster till samhällsviktiga funktioner och bidrar därmed till att skapa förutsättningar för ett samhälle där livslångt lärande och läsande är centralt och i ständig utveckling.

Moderföretaget har sitt säte i Lund.

## Ägarförhållanden

Moderföretaget är ett dotterföretag till Maxito AB, org. nr. 556249-9383 med säte i Stockholm. Axiell Group AB ingår i en koncern där moderbolaget Maxito AB upprättar koncernredovisning för den största koncernen. Maxito AB äger 96 % av moderföretagets aktier.

Moderföretaget tillhandahåller koncerngemensamma tjänster till dotterbolagen samt arbetar med utveckling.

## Väsentliga händelser under räkenskapsperioden

*Viktiga förhållanden*

I en tid av mer modest tillväxt fokuserade vi på förbättrad lönsamhet och genom att fortsatt höja den operativa effektiviteten lyckades vi förbättra vår vinstmarginal jämfört med föregående år. Under året medverkade vi i de traditionella marknadsaktiviteterna samt genomförde en rad uppskattade och bra användarmöten i Europa, och Australien.

På produktsidan fortsatte vi att stärka våra erbjudanden inom CXM (Collection Experience Management för kunder inom museum och arkiv samt LXM (Library Experience Management) för våra kunder i bibliotekssektorn med våra huvudprodukter Collections (CXM) respektive Quria (LXM). Vi har aktivt arbetat med att skapa tydliga erbjudanden i de två huvudplattformarna där vår ledande och flexibla funktionalitet ökar värdet för våra kunder.

Axiell har också tagit vidare steg för att förbättra leverans och säkerhet i molnbaserad teknologi och etablerat en strategisk väg in i nästa epok av leverans av tjänster till våra kunder med än högre kvalitet och högre effektivitet. Vi har under året fortsatt att befästa vår marknadsposition och vinna nya affärer i de flesta marknader och segment.

Axiell Group är organiserat i två affärsdivisioner: Axiell Public Library & Education och Axiell ALM & RVR. Koncernen har kontor i 15 länder och har mer än 13 000 kunder i 62 länder.

Affärsdivision *Axiell Public Library* är en helhetsleverantör av IT-lösningar och tjänster för bibliotek i Europa och Nordamerika med huvudfokus på folk- och skolbibliotek. Folkbibliotekssektorn utvecklas för att möta det digitala behov som låntagare har och öka relevansen för prioriterade målgrupper samt en effektivisering av sin verksamhet. Detta kräver moderna lösningar med inbyggda arbetsflöden som möjliggör samverkan inom sektorn samt med andra kulturinstitutioner. Detta stöd är ett centralt område inom plattformen och den tekniska utvecklingen som Axiell genomför. Inom skolbibliotekssegmentet (Quria School) är fokus att plattformen ska ge stöd för skolbibliotekarier och lärare att enkelt jobba mot målen i läroplanen samt för skolledare att uppfylla de krav som ställs på dem. Därutöver drivs tre folkbibliotek i Nacka kommun på entreprenad sedan 2019.

Affärsdivision *Axiell Archives Libraries Museums (ALM) & RVR* är den ledande leverantören av IT-lösningar för arkiv och museer globalt, för samlingshantering, digitalt engagemang samt publika lösningar. Axiell leder digitaliseringen av institutionernas samlade kunskap för att bevara kulturarv för statliga och privat finansierade institutioner samt har tekniken som gör samlingarna tillgängliga och skapar engagemang, tillgänglighet för forskare, där länkad data ingår i lösningserbjudandet, samt lärande för besökare. Affärsdivisionen säljer även lösningar för att hantera personuppgifter till länder som har/är varit en del av Commonwealth. Lösningarna hanterar registrering/arkivhantering av livshändelser, såsom födslar och äktenskap, men även nationella företagsregister.

*Väsentliga händelser*

Koncernens strategiska fokus med fortsatt marknadsexpansion för produktplattformarna Quria (LXM) och Collections (CXM) har varit positiv under året med ökande marknadsandelar. Strategin innebär också att vi successivt flyttar återkommande intäkter i form av SaaS-avtal samt Support- och Underhållsavtal från äldre produkter till dessa moderna produktplattformar och säkrar en hållbarhet och tillväxt i intäktsströmmarna på längre sikt.

Bolaget fortsätter att jobba i geografier och globala funktioner (marknad, produkt, utveckling, HR och finans). Axiell har parerat fortsatt väsentliga investeringar i utveckling av molnbaserade mjukvaruplattformar och satsningar på fler geografiska marknader genom att reducera kostnaderna inom Axiells sedan länge etablerade marknader och traditionella system. Koncernen arbetar systematiskt med att förbättra säkerhet och kvalitet och genomförde framgångsrikt en om-certifiering av ISO 27001 under året. I tillägg har arbete gjorts för att förbereda för ISO certifiering på den europeiska marknaden.

**Väsentliga händelser efter räkenskapsperiodens utgång**

**Förväntad framtida utveckling samt väsentliga risker och osäkerhetsfaktorer**
En väsentlig del av Axiells affärsmöjligheter är dock föremål för offentliga upphandlingar, vilket ofta innebär att beslutscyklerna är långa och ibland att utfallen är svårbedömda på förhand. Denna dynamik gör det från tid till annan svårt att prognosticera när nya affärer kan vinnas.

Axiell lägger mycket fokus och väsentliga resurser på att vidareutveckla nästa generations molnbaserade produkter. Trots att Axiells forsknings- och utvecklingsorganisation arbetar strukturerat så kan tidslinjer i stora utvecklingsprojekt vara svåra att med säkerhet prognostisera. Säkerhetsfrågor utvärderas kontinuerligt och kan utgöra en väsentlig risk för koncernen. Schrems II och Cloud Act (EU-dom gällande överföringar av personuppgifter till tredje land) har medfört att vi löpande vidtar behövliga åtgärder, men kraven kan ändras. Den geopolitiska situationen och beroendet av amerikanska molntjänster gör att det är svårbedömt hur den europeiska myndigheter och därmed kunder kommer att agera vid inköp av tjänster.

**Verksamhet inom forskning och utveckling**
Axiell bedriver forskning och utveckling och utvecklar systemen genom att samla in marknadsinformation från kunder, organisationer och intressenter aktiva inom Axiells marknadssegment. Detta bedrivs i en strukturerad process mellan produkt, marknad, sälj och utvecklingsorganisationen, i syfte att tillse en marknadsorienterad utvecklingsprocess. Under 2024 har kostnader fortsatt att aktiveras för vidareutvecklandet av de molnbaserade plattformarna för folkbibliotek, Quria, samt för arkiv och museer, Axiell Collections.

**Hållbarhetsupplysningar**
*HR-projekt*
HR har under 2024 haft stort fokus på att fortsätta bygga en gemensam global kultur. Implementering av gemensamma policys, riktlinjer och arbetssätt har genomsyrat arbetet där vi går mot en mer enhetlig global organisation – med hänsyn till lokala lagar och praxis.

Axiell är ett bolag som strävar efter att upprätthålla ett öppet affärsklimat och en hög affärsetik. Som ett led i att säkerställa att vår organisation lever upp till denna standard har en global visselblåsartjänst introducerats på bolaget. Genom denna tjänst kan man rapportera om det finns misstankar om missförhållanden eller oegentligheter. Visselblåsning är ett sätt att minska affärsrisker och ger alla medarbetare en möjlighet att tryggt rapportera om sådant som kan skada individer, vårt företag eller miljön. Visselblåsarmeddelanden kan lämnas öppet eller anonymt.

*Arbetsmiljöpolicy*
Koncernen har som övergripande mål att skapa en god arbetsmiljö för alla anställda. Risker för ohälsa i såväl fysiskt som psykiskt avseende skall förebyggas. En strävan är att alla, oavsett arbetsuppgifter, skall ges möjlighet till både inflytande och utveckling samt till samarbete och sociala kontakter.

Axiell bedriver ett systematiskt arbetsmiljöarbete utifrån Arbetsmiljöverkets föreskrifter, framför allt gällande den organisatoriska och sociala arbetsmiljön och strävar efter att integrera arbetsmiljöarbetet i den dagliga verksamheten i så stor utsträckning som möjligt.

Axiell främjar mångfald och jämställdhet. Mångfald innebär att erkänna, respektera och värdesätta människors olika möjlighet att bidra och se den fulla potentialen genom att aktivt arbeta för en inkluderande miljö för alla anställda. Jämställdhet är att säkra att individer eller grupper bemöts rättvist och på lika villkor oavsett etnisk tillhörighet, kön, religion, sexuell läggning eller fysiska begränsningar.

**Resultat och finansiell ställning**

Bolaget upplevde under året ett högre kostnadstryck i form av ökad inflation. Genom kostnadsoptimering levererades en vinstförbättring jämfört med 2023.

**Flerårsjämförelse**

|  |  | 2024 | 2023 | 2022 | 2021 | 2020 |
|---|---|---|---|---|---|---|
| Nettoomsättning | mkr | 524,5 | 559,1 | 620,4 | 572,5 | 576,9 |
| EBITDA före kostnader av engångskaraktär | mkr | 63,2 | 56,6 | 39,2 | 67,7 | 88,2 |
| EBITDA | mkr | 49,4 | 50,3 | 28,6 | 61,7 | 85,4 |
| EBITDA-marginal | % | 9,4 | 9,0 | 4,6 | 10,8 | 14,8 |
| EBIT | mkr | 11,5 | 13,4 | -8,6 | 27,8 | 49,7 |
| EBIT-marginal | % | 2,2 | 2,4 | -1,4 | 4,9 | 8,6 |
| Avkastning på totalt kapital | % | 0,2 | 8,3 | -1,1 | 3,7 | 7,7 |
| Avkastning på eget kapital | % | 0,4 | 19,4 | -3,1 | 9,1 | 20,7 |
| Kassalikviditet | % | 63,8 | 65,1 | 66,5 | 73,5 | 72,4 |
| Soliditet | % | 41,4 | 43,0 | 35,7 | 40,2 | 37,1 |
| Antal anställda | st | 342 | 357 | 378 | 345 | 347 |

För definitioner, se not 29.

**Resultatdisposition**

Följande balanserade vinst ska disponeras av årsstämman (kr):

| | |
|---|---|
| Balanserad vinst från föregående år | 15 649 682 |
| Omföring till fond för utvecklingsutgifter | -395 398 |
| Årets resultat | -11 010 018 |
| **Summa** | **4 244 266** |

Styrelsen föreslår att den balanserade vinsten disponeras enligt följande:

| | |
|---|---|
| I ny räkning överförs | 4 244 266 |
| **Summa** | **4 244 266** |

Koncernens och moderbolagets resultat och ställning i övrigt framgår av efterföljande resultat- och balansräkningar samt kassaflödesanalyser med noter.

# Koncernens finansiella rapporter

## Koncernens resultaträkning

| KSEK | Not | 2024 | 2023 |
|---|---|---|---|
| Nettoomsättning | 5 | 524 491 | 559 084 |
| Aktiverat arbete för egen räkning | 11 | 8 032 | 7 292 |
| Övriga rörelseintäkter | | 1 512 | 2 858 |
| **Rörelsens kostnader** | | | |
| Råvaror och förnödenheter | | -39 566 | -73 799 |
| Övriga externa kostnader | 6 | -92 300 | -94 958 |
| Personalkostnader | 7 | -351 387 | -349 355 |
| Av- och nedskrivningar av materiella och immateriella tillgångar och nyttjanderätter | 11, 12 | -37 970 | -36 864 |
| Övriga rörelsekostnader | | -1 303 | -810 |
| **Summa rörelsekostnader** | | **-522 526** | **-555 786** |
| **Rörelseresultat** | | **11 509** | **13 448** |
| Resultat från avyttring av dotterbolag | 8 | 0 | 20 616 |
| Finansiella intäkter | 8 | 3 003 | 5 521 |
| Finansiella kostnader | 8 | -10 285 | -12 417 |
| **Resultat före skatt** | | **4 227** | **27 168** |
| Inkomstskatt | 9 | -6 233 | -4 659 |
| **Årets resultat hänförligt till moderbolagets aktieägare** | | **-2 006** | **22 509** |

# Koncernens rapport över totalresultat

| KSEK | Not | 2024 | 2023 |
|------|-----|------|------|
| Årets resultat | | -2 006 | 22 509 |
| Valutakursdifferenser | | 5 959 | -1 826 |
| **Övrigt totalresultat efter skatt** | | **5 959** | **-1 826** |
| | | | |
| **Summa totalresultat för året** | | **3 953** | **20 683** |

Årets resultat och summa totalresultat är i sin helhet hänförligt till moderbolagets aktieägare.

# Koncernens rapport över finansiell ställning

| KSEK | Not | 31 dec 2024 | 31 dec 2023 |
|---|---|---|---|
| **TILLGÅNGAR** | | | |
| **Anläggningstillgångar** | | | |
| *Immateriella tillgångar* | 11 | | |
| Balanserade utvecklingsarbeten | | 80 905 | 85 290 |
| Varumärken | | 1 757 | 3 514 |
| Dataprogramvara | | 7 366 | 7 989 |
| Goodwill | | 256 394 | 253 448 |
| Övriga immateriella tillgångar | | 10 805 | 10 564 |
| | | **357 227** | **360 805** |
| *Materiella anläggningstillgångar* | 12 | | |
| Nedlagda utgifter på annans fastighet | | 1 221 | 1 454 |
| Inventarier, verktyg och installationer | | 1 759 | 2 562 |
| | | **2 980** | **4 016** |
| *Nyttjanderätter* | 13 | 33 833 | 31 327 |
| *Finansiella tillgångar* | | | |
| Andra långfristiga fordringar | 14 | 13 506 | 17 014 |
| *Uppskjuten skattefordran* | 10 | 13 391 | 12 536 |
| **Summa anläggningstillgångar** | | **420 937** | **425 697** |
| *Omsättningstillgångar* | | | |
| Varulager m.m. | | | |
| Färdiga varor | | 327 | 598 |
| | | **327** | **598** |
| **Kortfristiga fordringar** | | | |
| Kundfordringar | 16 | 106 053 | 110 945 |
| Aktuell skattefordran | | 0 | 1 739 |
| Övriga fordringar | 17 | 14 762 | 14 366 |
| Förutbetalda kostnader och upplupna intäkter | 18 | 70 223 | 57 435 |
| Likvida medel | 19 | 21 976 | 26 555 |
| **Summa omsättningstillgångar** | | **213 341** | **211 638** |
| **SUMMA TILLGÅNGAR** | | **634 278** | **637 335** |

## Koncernens rapport över finansiell ställning *fortsättning*

| KSEK | Not | 31 dec 2024 | 31 dec 2023 |
|---|---|---|---|
| **EGET KAPITAL OCH SKULDER** | | | |
| | | | |
| **Eget kapital hänförligt till moderbolagets aktieägare** | 20 | | |
| Aktiekapital | | 2 229 | 2 229 |
| Valutakursdifferenser | | 28 903 | 22 944 |
| Balanserat resultat inklusive årets resultat | | 213 677 | 225 686 |
| **Summa eget kapital hänförligt moderbolagets aktieägare** | | **244 809** | **250 859** |
| | | | |
| *Långfristiga skulder* | | | |
| Övriga avsättningar | | 866 | 839 |
| Skulder till kreditinstitut | 15, 21 | 16 332 | 33 422 |
| Leasingskulder | 13 | 19 658 | 17 951 |
| Övriga skulder | 22 | 23 792 | 9 895 |
| | | 60 648 | 62 107 |
| | | | |
| *Kortfristiga skulder* | | | |
| Skulder till kreditinstitut | 15, 21 | 17 300 | 20 847 |
| Checkräkningskredit | 15, 21 | 51 512 | 62 096 |
| Leasingskulder | 13 | 14 647 | 13 655 |
| Förskott från kunder | | 151 442 | 134 027 |
| Leverantörsskulder | | 19 750 | 20 968 |
| Aktuell skatteskuld | | 4 560 | 0 |
| Övriga skulder | 23 | 27 894 | 33 812 |
| Upplupna kostnader och förutbetalda intäkter | 24 | 41 716 | 38 964 |
| **Summa kortfristiga skulder** | | **328 821** | **324 369** |
| | | | |
| **Summa skulder** | | **389 469** | **386 476** |
| | | | |
| **SUMMA EGET KAPITAL OCH SKULDER** | | **634 278** | **637 335** |

# Koncernens rapport över förändringar i eget kapital

| KSEK | Not | Aktiekapital | Övrigt tillskjutet kapital | Valutakurs- differenser | Balanserat resultat (inkl. årets resultat) | Totalt eget kapital |
|---|---|---|---|---|---|---|
| | | | | Hänförligt till Moderbolagets ägare | | |
| Ingående balans 2023-01-01 | | 2 229 | | 24 770 | 203 177 | 230 176 |
| Årets resultat | | | | | 22 509 | 22 509 |
| Övrigt totalresultat | | | | -1 826 | | -1 826 |
| Summa årets totalresultat | | | | -1 826 | 22 509 | 20 683 |
| | | | | | | |
| Transaktioner med aktieägare i deras egenskap av ägare | | | | | | |
| Utdelningar | | | | | 0 | 0 |
| Summa transaktioner med aktieägare i deras egenskap av ägare | | | | | 0 | 0 |
| | | | | | | |
| Utgående balans 2023-12-31 | 20 | 2 229 | | 22 944 | 225 686 | 250 859 |
| | | | | | | |
| Ingående balans 2024-01-01 | | 2 229 | | 22 944 | 225 686 | 250 859 |
| Årets resultat | | | | | -2 006 | -2 006 |
| Övrigt totalresultat | | | | 5 959 | | 5 959 |
| Summa årets totalresultat | | | | 5 959 | -2 006 | 2 279 |
| | | | | | | |
| Transaktioner med aktieägare i deras egenskap av ägare | | | | | | |
| Utdelningar | | | | | -10 000 | -10 000 |
| Summa transaktioner med aktieägare i deras egenskap av ägare | | | | | -10 000 | -10 000 |
| | | | | | | |
| Utgående balans 2024-12-31 | 20 | 2 229 | | 28 903 | 213 677 | 244 809 |

# Koncernens rapport över kassaflöden

| KSEK | Not | 2024 | 2023 |
|---|---|---|---|
| **Den löpande verksamheten** | | | |
| Rörelseresultat | | 11 509 | 13 448 |
| Justering för poster som inte ingår i kassaflödet, m.m. | 28 | 37 970 | 36 841 |
| Erhållen ränta | | 3 003 | 9 521 |
| Betald ränta | | -7 904 | -12 417 |
| Betald inkomstskatt | | -1 277 | -2 566 |
| **Kassaflöde från den löpande verksamheten före förändringar i rörelsekapitalet** | | **43 301** | **44 827** |
| | | | |
| *Förändringar av rörelsekapitalet:* | | | |
| Förändring av varulager | | 271 | 247 |
| Förändring av kundfordringar och andra fordringar | | -8 292 | -2 399 |
| Förändring av leverantörsskulder och andra skulder | | 14 698 | -816 |
| **Summa förändring av rörelsekapital** | | **6 667** | **-2 968** |
| | | | |
| **Kassaflöde från den löpande verksamheten** | | **49 978** | **41 859** |
| | | | |
| *Investeringsverksamheten* | | | |
| Förvärv av dotterföretag, efter avdrag för likvida medel | 30 | 0 | 0 |
| Förvärv av rörelsegren, efter avdrag för likvida medel | | 0 | 0 |
| Investeringar i immateriella anläggningstillgångar | | -10 953 | -11 164 |
| Investeringar i materiella anläggningstillgångar | | -3 124 | -7 216 |
| Avyttring av dotterbolag | | 0 | 25 012 |
| Ökning/minskning kortfristiga finansiella fordringar | | 3 500 | 0 |
| Avyttring av finansiella tillgångar | | 4 | 217 |
| **Kassaflöde från investeringsverksamheten** | | **-10 573** | **6 849** |
| | | | |
| *Finansieringsverksamheten* | | | |
| Utbetald utdelning | | -5 000 | 0 |
| Upptagna lån | 27 | 11 667 | 0 |
| Amortering av lån | 27 | -25 440 | -41 657 |
| Amortering av leasingskuld | 27 | -16 676 | -15 214 |
| Förändring av checkräkningskredit | 27 | -10 584 | -404 |
| **Kassaflöde från finansieringsverksamheten** | | **-46 033** | **-57 275** |
| | | | |
| *Årets kassaflöde* | | **-6 628** | **-8 567** |
| Likvida medel vid årets början | | 26 555 | 28 963 |
| Valutakursdifferens i likvida medel | | 2 049 | 6 159 |
| **Likvida medel vid årets slut** | | **21 976** | **26 555** |

Noterna på sidorna 12 till 37 utgör en integrerad del av denna koncernredovisning.

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# Noter till koncernredovisningen

## Not 1 Allmän information

Axiell Group AB, koncernens moderföretag, med organisationsnummer 556349-2189, är ett privat aktiebolag som är bildat och har sitt säte i Lund, Sverige. Huvudkontor och huvudsaklig verksamhetsort ligger på Mobilvägen 4, 223 62 Lund, Sverige.

Axiell Group AB utvecklar, underhåller och säljer tekniskt avancerade och innovativa lösningar till folk- och specialbibliotek, skolbibliotek, skolor, arkiv, museer och myndigheter. Dessa aktiviteter är organiserade i två affärsområden; Axiell Public Library & Education, Axiell ALM & RVR.

## Not 2 Sammanfattning av viktiga redovisningsprinciper

De viktigaste redovisningsprinciperna som tillämpats när denna koncernredovisning upprättats anges nedan. Om inte annat särskilt anges, redovisas alla belopp i tusentalkronor (KSEK). Uppgift inom parentes avser jämförelseperiod. Koncernredovisningen omfattar det legala moderbolaget (Axiell Group AB) och dess dotterföretag. En förteckning över dotterföretagen finns i not 44.

### 2.1 Grund för rapporternas upprättande

Koncernredovisningen för Axiell Group AB har upprättats i enlighet med Årsredovisningslagen, RFR 1 *Kompletterande redovisningsregler för koncerner* samt International Financial Reporting Standards (IFRS) och tolkningar från IFRS Interpretations Committee (IFRS IC), sådana de antagits av EU. Dessa principer har tillämpats konsekvent för alla presenterade år, om inte annat anges. Moderbolaget tillämpar RFR 2 Redovisning för juridiska personer och Årsredovisningslagen. För upplysning kring de fall som moderbolaget tillämpar andra redovisningsprinciper än koncernen, se not 33.

Att upprätta rapporter i överensstämmelse med IFRS kräver användning av en del viktiga uppskattningar för redovisningsändamål. Vidare krävs att ledningen gör vissa bedömningar vid tillämpningen av koncernens redovisningsprinciper. De områden som innefattar en hög grad av bedömning, som är komplexa eller sådana områden där antaganden och uppskattningar är av väsentlig betydelse för koncernredovisningen anges i not 4 Viktiga uppskattningar och bedömningar för redovisningsändamål.

### 2.2 Nya och ändrade standarder

#### 2.2.1 Nya och ändrade standarder som tillämpas för första gången 2024

Följande standarder och ändringar tillämpas av koncernen för första gången för räkenskapsår som börjar 1 januari 2024:
- Klassificering av skulder som kortfristiga eller långfristiga och långfristiga skulder med kovenanter – Ändringar av IAS 1.
- Leasingskuld i en sale and leaseback-transaktion – Ändringar av IFRS 16.
- Leverantörsfinansieringsupplägg – Ändringar av IAS 7 och IFRS 7.

Ändringarna som anges ovan hade ingen väsentlig inverkan på beloppen som redovisades i jämförelseperioden och har inte haft någon väsentlig effekt på innevarande period.

#### 2.2.2 Nya och ändrade standarder som ännu ej tillämpas av koncernen

IFRS 18 Presentation och upplysning i finansiella rapporter är tillämplig för räkenskapsår som börjar den 1 januari 2027 och har ännu inte antagits av EU. IFRS 18 kommer att ersätta IAS 1 Utformning av finansiella rapporter, och införa nya krav som syftar till att uppnå en ökad jämförbarhet i resultatrapporteringen för liknande företag och ge användarna mer relevant information och transparens. IFRS 18 inför bland annat nya krav på struktur i resultaträkningen samt upplysningar om vissa resultatmått. Även om IFRS 18 inte kommer att påverka redovisningen eller värderingen av poster i de finansiella rapporterna, förväntas dess effekter på presentation och upplysningar vara omfattande, särskilt de som är relaterade till resultaträkningen och vad gäller av ledningen definierade resultatmått. Ledningen utvärderar för närvarande de exakta konsekvenserna av att tillämpa den nya standarden på koncernredovisningen.

### 2.3 Koncernredovisning

#### 2.3.1 Grund för konsolidering

Koncernredovisning omfattar moderföretagets räkenskaper och de dotterbolag över vilka koncernen har ett direkt eller indirekt bestämmande inflytande. Koncernredovisningen har upprättats enligt anskaffningsvärdemetoden förutom vad beträffar finansiella tillgångar och skulder (inklusive derivatinstrument) värderade till verkligt värde via resultaträkningen.

Koncerninterna transaktioner, balansposter samt orealiserade vinster och förluster på transaktioner mellan koncernföretag elimineras i sin helhet. Redovisningsprinciperna för dotterföretag ändras i förekommande fall för att garantera en konsekvent tillämpning av koncernens principer.

### 2.3.2 Dotterföretag
Dotterföretag är alla företag över vilka koncernen direkt eller indirekt innehar mer än 50% av röstetalet eller på annat sätt har ett bestämmande inflytande. Bestämmande inflytande innebär en rätt att utforma ett företags finansiella och operativa strategier i syfte att erhålla ekonomiska fördelar.

### 2.3.3 Rörelseförvärv

Förvärvsmetoden används för redovisning av koncernens rörelseförvärv. Förvärvskostnaden är den köpeskilling som erläggs för ett dotterföretag och utgörs av verkligt värde på summan överlåtna tillgångar och skulder som koncernen ådrar sig till tidigare ägare av det förvärvade bolaget. Köpeskillingen omfattar också verkligt värde av alla tillgångar eller skulder som följer av en villkorad köpeskilling. Identifierbara förvärvade tillgångar och övertagna skulder i ett rörelseförvärv värderas, med ett fåtal undantag, inledningsvis till verkliga värden på förvärvsdagen. Goodwill värderas initialt som det belopp varmed den totala köpeskillingen och verkligt värde för innehav utan bestämmande inflytande överstiger verkligt värde på identifierbara förvärvade tillgångar och övertagna skulder.

Från och med förvärvstidpunkten inkluderas det förvärvade företagets intäkter och kostnader, identifierbara tillgångar och skulder liksom eventuell uppkommen goodwill i koncernredovisningen. Resultat och övrigt totalresultat för dotterföretag som förvärvats eller avyttrats under året redovisas från det datum förvärvet alternativt avyttringen träder i kraft, enligt vad som är tillämpligt.

Koncernen hänför totalresultatet för dotterföretagen till moderföretagets ägare baserat på deras respektive ägarandelar. Innehav utan bestämmande inflytande i dotterföretagens resultat och eget kapital redovisas separat i koncernens resultaträkning, rapport över totalresultat, rapport över förändringar i eget kapital och balansräkning.

### 2.3.4 Tilläggsköpeskilling
Om det vid förvärvstidpunkten är sannolikt att köpeskillingen kommer att justeras vid en senare tidpunkt och beloppet kan uppskattas på ett tillförlitligt sätt, ska beloppet ingå i det beräknade slutliga anskaffningsvärdet för den förvärvade enheten.

Varje villkorad köpeskilling som ska överföras av koncernen redovisas till verkligt värde vid förvärvstidpunkten. Villkorad köpeskilling klassificeras antingen som eget kapital eller som finansiell skuld. Efterföljande ändringar av verkligt värde av en villkorad köpeskilling som klassificerats som skuld redovisas i koncernens resultaträkning. Villkorad köpeskilling som klassificeras som eget kapital omvärderas inte och efterföljande reglering redovisas i eget kapital.

## 2.4 Omräkning av utländsk valuta

### 2.4.1 Funktionell valuta och rapportvaluta
Poster som ingår i de finansiella rapporterna för de olika enheterna i koncernen är värderade i den valuta som används i den ekonomiska miljö där respektive företag huvudsakligen är verksamt (funktionell valuta). I koncernredovisningen används svenska kronor (kr) som är moderbolagets funktionella valuta och koncernens rapportvaluta.

### 2.4.2 Transaktioner och balansposter
Transaktioner i utländsk valuta omräknas till den funktionella valutan enligt de valutakurser som gäller på transaktionsdagen eller den dag då posterna omvärderas. Valutakursvinster och -förluster som uppkommer vid betalning av sådana transaktioner och vid omräkning av monetära tillgångar och skulder i utländsk valuta till balansdagens kurs, redovisas i resultaträkningen. Valutakursvinster och -förluster som hänför sig till lån och likvida medel redovisas i resultaträkningen som finansiella intäkter eller kostnader.

### 2.4.3 Omräkning av utländska koncernföretag
Resultat och finansiell ställning för alla koncernföretag som har en annan funktionell valuta än rapportvalutan, omräknas till koncernens rapportvaluta enligt följande:

- tillgångar och skulder för var och en av rapporten över finansiell ställning omräknas till balansdagens kurs;
- intäkter och kostnader för var och en av rapporterna över totalresultat omräknas till genomsnittlig valutakurs (såvida denna genomsnittliga kurs utgör en rimlig approximation av den ackumulerade effekten av de kurser som gäller på transaktionsdagen, annars omräknas intäkter och kostnader till transaktionsdagens kurs), och
- alla valutakursdifferenser som uppstår redovisas i övrigt totalresultat

Goodwill och justeringar av verkligt värde som uppkommer vid förvärv av en utlandsverksamhet behandlas som tillgångar och skulder hos denna verksamhet och omräknas till balansdagens kurs.

## 2.5 Intäktsredovisning

### 2.5.1 Nettoomsättning
Koncernen utvecklar, underhåller och säljer tekniska lösningar för bibliotek, skolor, förlag, arkiv, museer och återförsäljare. Kontrakt med kunder inkluderar ofta mjukvarulicenser eller mjukvara som tjänst (SaaS) tillsammans med support- och underhållsavtal. Kontrakten kan också innefatta separata molntjänster (i fall där kunden köper en mjukvarulicens som inte är en SaaS), tilläggsverktyg och moduler, implementering, konfiguration, utbildning och konsultation.

Programvarulicenser är eviga medan SaaS levereras över en överenskommen period. Avtal avseende SaaS tecknas vanligtvis på 1–5 år tillsammans med en option för kunden att förlänga. Support- och underhållsavtal samt molntjänster tecknas vanligtvis för 3–4 år med automatiska förlängningar om kunden inte säger upp avtalet. Implementering och konfiguration erbjuds vanligtvis till ett fast pris och utförs innan mjukvarulicensen eller SaaS levereras. Utbildnings- och konsulttjänster utförs vanligtvis till ett fast pris per timme och totalpriset beror på hur många timmar kunden köper. Koncernen säljer även fysiska produkter genom sin hemsida samt E-media.

Generellt ses varje produkt och/eller tjänst som levereras till kunderna som separata prestationsåtaganden. Transaktionspriset allokeras till varje prestationsåtagande i ett avtal baserat på deras fristående försäljningspris. Det förekommer inga väsentliga rabatter, straffavgifter eller andra former av rörlig ersättning.

Intäkter från mjukvarulicenser, tilläggsverktyg och moduler, fysiska produkter och E-media redovisas vid en given tidpunkt (när kunden erhåller kontroll). Intäkter från SaaS, support och underhåll, molntjänster, implementering, konfiguration, utbildning och konsultationer redovisas över tid. I de fall kunden betalar i förskott uppstår en avtalsskuld, vilket redovisas som en förutbetald intäkt. En fordran redovisas när åtagandena har levererats, då detta är den tidpunkt som ersättningen blir ovillkorlig (det vill säga, endast tidens gång krävs för att betalning ska ske).

*Finansieringskomponenter*
Normalt förfaller ersättningen till betalning när produkten har levererats till kunden. Kredittiden uppgår i snitt till 30 dagar. Förlängda betalningsvillkor kan förekomma, dessa överstiger emellertid aldrig 12 månader. Transaktionspriset justeras därför inte för effekter av betydande finansieringskomponenter.

### 2.5.2 Ränteintäkter
Ränteintäkter intäktsredovisas med tillämpning av effektivräntemetoden.

### 2.6 Statliga bidrag
Statliga bidrag redovisas till verkligt värde då det föreligger rimlig säkerhet att bidraget kommer att erhållas och att koncernen kommer att uppfylla de villkor som är förknippade med bidraget. Statliga bidrag som avser kostnadstäckning periodiseras och redovisas i resultaträkningen över samma perioder som de kostnader bidragen är avsedda att kompenseras för och dras av vid redovisningen av motsvarande kostnader. De statliga bidragen redovisas som övrig intäkt i koncernens resultaträkning.

### 2.7 Segmentsrapportering
Rörelsesegment rapporteras på ett sätt som överensstämmer med den interna rapporteringen som lämnas till den högste verkställande beslutsfattaren. Den högste verkställande beslutsfattaren är den funktion som ansvarar för tilldelning av resurser och bedömning av rörelsesegmentens resultat. I koncernen har denna funktion identifierats som VD.

Axiell Group AB:s VD bedömer verksamhetens prestation utifrån koncernens två rörelsesegment; Axiell Archives Libraries Museums & RVR samt Axiell Public Library & Education. Dessa segment är också koncernens rapporterbara rörelsesegment. VD använder främst EBITDA i bedömningen av koncernens resultat.

### 2.8 Aktuell och uppskjuten inkomstskatt
Periodens skattekostnad omfattar aktuell och uppskjuten skatt. Skatt redovisas i koncernens rapport över totalresultat, utom när skatten avser poster som redovisas i övrigt totalresultat eller direkt i eget kapital. I sådana fall redovisas även skatten i övrigt totalresultat respektive eget kapital.

Den aktuella skattekostnaden beräknas på basis av de skatteregler som på balansdagen är beslutade eller i praktiken beslutade i de länder där moderföretaget och dess dotterföretag är verksamma och genererar skattepliktiga intäkter. Ledningen utvärderar regelbundet de yrkanden som gjorts i självdeklarationer avseende situationer där tillämpliga skatteregler är föremål för tolkning. Den gör, när så bedöms lämpligt, avsättningar för belopp som troligen ska betalas till skattemyndigheten.

Uppskjuten skatt redovisas på alla temporära skillnader som uppkommer mellan det skattemässiga värdet på tillgångar och skulder och dessas redovisade värden i koncernredovisningen. Uppskjuten skatt redovisas inte om den uppstår till följd av en transaktion som utgör den första redovisningen av en tillgång eller skuld som inte är ett rörelseförvärv och som, vid tidpunkten för transaktionen, varken påverkar redovisat eller skattemässigt resultat. Uppskjuten inkomstskatt beräknas med tillämpning av skattesatser (och –lagar) som har beslutats eller aviserats per balansdagen och som förväntas gälla när den berörda uppskjutna skattefordran realiseras eller den uppskjutna skatteskulden regleras.

Uppskjutna skattefordringar redovisas i den omfattning det är troligt att framtida skattemässiga överskott kommer att finnas tillgängliga, mot vilka de temporära skillnaderna kan utnyttjas.

Uppskjutna skattefordringar och -skulder kvittas när det finns en legal kvittningsrätt för aktuella skattefordringar och skatteskulder och när de uppskjutna skattefordringarna och skatteskulderna hänför sig till skatter debiterade av en och samma skattemyndighet och avser antingen samma skattesubjekt eller olika skattesubjekt, där det finns en avsikt att reglera saldona genom nettobetalningar.

## 2.9 Leasing

### 2.9.1 Leasing
Koncernens leasingavtal avser lokaler, IT-utrustning och leasingbilar.

Leasingavtalen redovisas som nyttjanderätter och en motsvarande skuld, den dagen som den leasade tillgången finns tillgänglig för användning av koncernen. Tillgångar och skulder som uppkommer från leasingavtal redovisas initial till nuvärde. Leasingskulderna inkluderar även nuvärdet av fasta avgifter med tillägg för kända indexhöjningar vid ingången av leasingavtalet.

Avtal kan innehålla både leasing- och icke-leasingkomponenter. Koncernen har valt att tillämpa undantaget i IFRS 16 som anger att icke-leasingkomponenter inte behöver separeras från leasingkomponenter. Undantaget tillämpas på samtliga leasingtillgångar. I koncernens leasingavtal finns inga identifierade variabla avgifter utöver kända indexhöjningar.

Lösenpriset för en option att köpa den underliggande tillgången inkluderas inte då koncernen inte är rimligt säker på att utnyttja några sådana optioner. Inte heller nuvärdet av straffavgifter som utgår vid uppsägning av leasingavtalet är inkluderade i leasingskulderna då koncernen inte är rimligt säker på att utnyttja några optioner att säga upp något avtal i förtid.

Leasingbetalningarna diskonteras med leasingavtalets implicita ränta. Om denna räntesats inte kan fastställas enkelt tillämpas koncernens marginella låneränta. Koncernen fastställer den marginella låneräntan genom att tillämpa den ränta som tillämpas på den långfristiga skulden som redovisas som skuld till kreditinstitut i koncernens rapport över finansiell ställning.

Tillgångarna med nyttjanderätt värderas till anskaffningsvärde och inkluderar det belopp leasingskulden ursprungligen värderats till, leasingavgifter som betalts vid eller före inledningsdatumet, initiala direkta utgifter samt utgifter för att återställa tillgången till det skick som föreskrivs i leasingavtalets villkor.

Nyttjanderättstillgångar skrivs vanligen av linjärt över det kortare av tillgångens nyttjandeperiod och leasingavtalets längd. Avskrivningsperioder uppgår normalt till mellan 3–5 år. Om förlängningsoptioner existerar och koncernen är rimligt säker på att utnyttja en möjlighet att förlänga ett leasingavtal, se nedan avsnitt, inkluderas leasingbetalningar för denna förlängningsperiod i värderingen av skulden. Vid behov görs nedskrivningsprövning om indikation på värdenedgång finns.

Betalningar för korta kontrakt och samtliga leasingavtal av mindre värde kostnadsförs linjärt i rapporten över totalresultat. Med korta kontrakt avses avtal med en leasingperiod på 12 månader eller kortare.

### 2.9.2 Optioner att förlänga och säga upp avtal
Optioner att förlänga avtal finns inkluderade i ett antal av koncernens leasingavtal. Villkoren används för att skapa flexibilitet i hanteringen av tillgångarna som används i koncernens verksamhet. Den övervägande delen av optionerna som ger möjlighet att förlänga avtal kan endast utnyttjas av koncernen och inte av leasegivaren.

När leasingavtalets längd fastställs beaktar ledningen all tillgänglig information som ger ett ekonomiskt incitament att utnyttja en förlängningsoption eller att utnyttja en option att säga upp ett avtal. Optionen att förlänga ett avtal inkluderas endast i leasingavtalets längd om det är rimligt säkert att avtalet förlängs.

## 2.10 Immateriella tillgångar

### 2.10.1 Goodwill
Goodwill uppstår vid förvärv av dotterföretag och avser det belopp varmed köpeskillingen, eventuellt innehav utan bestämmande inflytande i det förvärvade företaget samt verkligt värde per förvärvsdagen på tidigare egen kapitalandel i det förvärvade företaget, överstiger verkligt värde på identifierbara förvärvade nettotillgångar.

Goodwill skrivs inte av, utan nedskrivningsprövas årligen under fjärde kvartalet eller oftare om händelser eller ändringar i förhållanden indikerar en möjlig värdeminskning. Det redovisade värdet på den kassagenererande enhet som goodwillen hänförts till jämförs med återvinningsvärdet, vilket är det högsta av nyttjandevärdet och det verkliga värdet minus försäljningskostnader. Eventuell nedskrivning redovisas omedelbart som en kostnad och återförs inte. Goodwill redovisas till anskaffningsvärde minskat med ackumulerade nedskrivningar. Vid försäljning av en enhet ingår det redovisade värdet på goodwill i den uppkomna vinsten/förlusten.

I syfte att testa nedskrivningsbehov, fördelas goodwill som förvärvats i ett rörelseförvärv till kassagenererande enheter eller grupper av kassagenererande enheter som förväntas bli gynnade av synergier från förvärvet. Varje enhet eller grupp av enheter som goodwill har fördelats till motsvarar den lägsta nivå i koncernen på vilken goodwillen i fråga övervakas i den interna styrningen.

### 2.10.2 Varumärken
Varumärken har tillkommit via rörelseförvärv och redovisas till verkligt värde vid anskaffningstidpunkten och redovisas därefter till anskaffningsvärde minskat med ackumulerade av- och nedskrivningar. Varumärken bedöms ha en bestämbar nyttjandeperiod varför de är föremål för avskrivning. Posterna skrivs av linjärt över den prognostiserade nyttjandeperioden motsvarande den uppskattade tid de kommer generera framtida ekonomiska fördelar. Tillgångarnas nyttjandeperiod prövas vid varje rapportperiods slut och justeras vid behov. Bedömda nyttjandeperioder för varumärken är 10 år.

### 2.10.3 Balanserade utgifter för utvecklingsarbeten

Utvecklingsutgifter som är direkt hänförliga till systemutveckling av framtidens produkter riktade mot bibliotek, arkiv och museum samt e-media, redovisas som immateriella tillgångar i koncernens rapport över finansiell ställning när följande kriterier är uppfyllda:

- det är tekniskt möjligt att färdigställa dem så att de kan användas,
- koncernens avsikt är att färdigställa dem och att använda eller sälja dem,
- det finns förutsättningar att använda eller sälja dem,
- det kan visas hur de genererar troliga framtida ekonomiska fördelar,
- adekvata tekniska, ekonomiska och andra resurser för att fullfölja utvecklingen och för att använda eller sälja dem finns tillgängliga, och
- de utgifter som är hänförliga till dem under dess utveckling kan beräknas på ett tillförlitligt sätt.

Direkt hänförbara utgifter som balanseras som en del av utvecklingsarbeten innefattar utgifter för anställda och externa konsulter. Övriga utvecklingsutgifter, som inte uppfyller dessa kriterier, kostnadsförs när de uppstår. Utvecklingsutgifter som tidigare kostnadsförts redovisas inte som tillgång i efterföljande period.

Balanserade utvecklingsutgifter redovisas som immateriella tillgångar och skrivs av från den tidpunkt då tillgången är färdig att användas. De redovisas i efterföljande perioder till anskaffningsvärde med avdrag för ackumulerade avskrivningar och eventuell nedskrivning. Avskrivningar sker baserat på bedömd nyttjandeperiod om normalt 10 år, vilket motsvarar den uppskattade tid de förväntas generera kassaflöde utifrån produkternas livscykel.

Internt utvecklad programvara som ännu inte slutförts, och som har aktiverats, skrivs inte av utan prövas årligen för nedskrivning. Avskrivning påbörjas när tillgången är redo att användas och görs tillgänglig på marknaden.

### 2.10.4 Dataprogram och övriga immateriella anläggningstillgångar

Övriga immateriella anläggningstillgångar redovisas till anskaffningsvärde minskat med ackumulerade avskrivningar och nedskrivningar. Bedömda nyttjandeperioder för förvärvade dataprogram och övriga immateriella anläggningstillgångar är normalt 5-10 år.

När immateriella tillgångar avyttras bestäms realisationsresultatet som skillnaden mellan försäljningspriset och tillgångens redovisade värde och redovisas i resultatet i någon av posterna "Övriga rörelseintäkter" eller "Övriga rörelsekostnader" i koncernens resultaträkning.

### 2.11 Materiella anläggningstillgångar

Materiella anläggningstillgångar innefattar nedlagda utgifter på annans fastighet samt inventarier, verktyg och installationer. Materiella anläggningstillgångar redovisas till anskaffningsvärde med avdrag för avskrivningar. I anskaffningsvärdet ingår utgifter som direkt kan hänföras till förvärvet av tillgången.

Tillkommande utgifter läggs till tillgångens redovisade värde eller redovisas som en separat tillgång, beroende på vilket som är lämpligast, endast då det är sannolikt att de framtida ekonomiska fördelar som är förknippade med tillgången kommer att komma koncernen tillgodo och tillgångens anskaffningsvärde kan mätas på ett tillförlitligt sätt. Redovisat värde för den ersatta delen tas bort från koncernens rapport över finansiell ställning. Utgifter för löpande underhåll och reparationer redovisas som kostnader när de uppkommer.

Avskrivningar på tillgångar, för att fördela deras anskaffningsvärde ner till det beräknade restvärdet över den beräknade nyttjandeperioden, görs linjärt enligt följande:

- Nedlagda utgifter på annans fastighet         1–20 år
- Inventarier, verktyg och installationer         3–10 år

Väsentliga uppskattningar av restvärden och uppskattningar av nyttjandeperioder uppdateras vid behov, dock minst en gång per år.

Vinster eller förluster som uppstår vid avyttring av materiella anläggningstillgångar fastställs som skillnaden mellan vad som erhållits och det redovisade värdet för tillgångarna och redovisas i resultatet i posterna "Övriga rörelseintäkter" eller "Övriga rörelsekostnader" i koncernens resultaträkning.

### 2.12 Nedskrivningar av icke-finansiella tillgångar

Goodwill som har en obestämbar nyttjandeperiod eller immateriella tillgångar som inte är färdigställda för användning skrivs inte av utan prövas årligen, eller vid indikation på värdeminskning, avseende eventuellt nedskrivningsbehov. Tillgångar som skrivs av bedöms med avseende på värdenedgång närhelst händelser eller förändringar i förhållanden indikerar att det redovisade värdet kanske inte är återvinningsbart.

En nedskrivning görs med det belopp varmed tillgångens redovisade värde överstiger dess återvinningsvärde. Återvinningsvärdet är det högre av tillgångens verkliga värde minskat med försäljningskostnader och dess nyttjandevärde. Vid bedömning av nedskrivningsbehov grupperas tillgångar på de lägsta nivåer där det finns i allt väsentligt oberoende kassaflöden (kassagenererande enheter). Goodwill fördelas på de kassagenererande enheter som förväntas dra fördel av synergieffekter i hänförliga rörelseförvärv och representerar den lägsta nivå i koncernen där koncernledningen bevakar goodwill.

För att fastställa nyttjandevärdet uppskattar koncernledningen förväntade framtida kassaflöden från varje kassagenererande enhet och fastställer en lämplig diskonteringsränta för att kunna beräkna nuvärdet av dessa kassaflöden. De data som används vid prövning av nedskrivningsbehov är direkt kopplade till koncernens senast godkända budget, justerad efter behov för att undanta effekterna av framtida omorganisationer och förbättringar av tillgångar. Diskonteringsfaktorer fastställs enskilt för varje kassagenererande enhet och återspeglar aktuella marknadsbedömningar av pengarnas tidsvärde och tillgångsspecifika riskfaktorer.

Nedskrivningar avseende kassagenererande enheter minskar först det redovisade värdet för eventuell goodwill som är fördelad på den kassagenererande enheten. Eventuell återstående nedskrivning minskar proportionellt de övriga tillgångarna i de kassagenererande enheterna. För tillgångar (andra än goodwill) som tidigare har skrivits ner görs per varje balansdag en prövning av om återföring bör göras.

## 2.13 Finansiella instrument

### 2.13.1 Första redovisningstillfället
Finansiella tillgångar och finansiella skulder redovisas när koncernen blir part i instrumentets avtalsmässiga villkor. Köp och försäljning av finansiella tillgångar och skulder redovisas på affärsdagen, det datum då koncernen förbinder sig att köpa eller sälja tillgången.

Finansiella instrument redovisas vid första redovisningstillfället till verkligt värde plus, för en tillgång eller finansiell skuld som inte redovisas till verkligt värde via resultaträkningen, transaktionskostnader som är direkt hänförliga till förvärv eller emission av finansiell tillgång eller finansiell skuld, till exempel avgifter och provisioner. Transaktionskostnader för finansiella tillgångar och finansiella skulder som redovisas till verkligt värde via resultaträkningen kostnadsförs i rapporten över totalresultat.

### 2.13.2 Klassificering och värdering av finansiella tillgångar
Koncernen klassificerar och värderar sina finansiella tillgångar i kategorin *finansiella tillgångar som redovisas till upplupet anskaffningsvärde*.

*Finansiella tillgångar värderade till upplupet anskaffningsvärde*
Klassificeringen av investeringar i skuldinstrument beror på koncernens affärsmodell för hantering av finansiella tillgångar och de avtalsenliga villkoren för tillgångarnas kassaflöden. Koncernen omklassificerar skuldinstrument endast i de fall då koncernens affärsmodell för instrumenten ändras.

Tillgångar som innehas med syftet att inkassera avtalsenliga kassaflöden och där dessa kassaflöden endast utgör kapitalbelopp och ränta redovisas till upplupet anskaffningsvärde. Ränteintäkter från sådana finansiella tillgångar redovisas som finansiella intäkter genom tillämpning av effektivräntemetoden.

Koncernens finansiella tillgångar som värderas till upplupet anskaffningsvärde utgörs av posterna andra långfristiga fordringar, kundfordringar, avtalstillgångar, övriga fordringar och likvida medel.

### 2.13.3 Bortbokning av finansiella tillgångar
Finansiella tillgångar, eller en del av en finansiell tillgång, tas bort från balansräkningen när de avtalsrättsliga rättigheterna att erhålla kassaflöden från tillgångarna har löpt ut eller överförts och antingen (i) koncernen överför allt väsentligt alla risker och fördelar som är förknippade med ägande eller (ii) koncernen överför inte eller behåller i allt väsentligt alla risker och fördelar förknippade med ägandet och koncernen har inte behållit kontrollen över tillgången.

Vinster och förluster som uppstår vid bortbokning från balansräkningen redovisas direkt i resultatet inom övriga rörelseintäkter respektive övriga rörelsekostnader.

### 2.13.4 Klassificering och värdering av finansiella skulder
Koncernen klassificerar och värderar sina finansiella skulder i kategorin finansiella skulder som redovisas till upplupet anskaffningsvärde.

*Finansiella skulder värderade till upplupet anskaffningsvärde*
Vid det första redovisningstillfället värderar koncernen en finansiell skuld till verkligt värde plus transaktionskostnader som är direkt hänförbara till den finansiella skulden. Koncernens finansiella skulder värderas efter det första redovisningstillfället till upplupet anskaffningsvärde med tillämpning av effektivräntemetoden.

Koncernens finansiella skulder värderade till upplupet anskaffningsvärde består av skulder till kreditinstitut, leverantörsskulder, övriga skulder och upplupna kostnader.

### 2.13.5 Bortbokning av finansiella skulder
Finansiella skulder tas bort från balansräkningen när förpliktelserna har reglerats, annullerats eller på annat sätt upphört. Skillnaden mellan det redovisade värdet för en finansiell skuld (eller del av en finansiell skuld) som utsläckts eller överförts till en annan part och den ersättning som erlagts, inklusive överförda tillgångar som inte är kontanter eller påtagna skulder, redovisas i rapporten över totalresultat.

Då villkoren för en finansiell skuld omförhandlas, och inte bokas bort från balansräkningen, redovisas en vinst eller förlust i rapport över totalresultat. Vinsten eller förlusten beräknas som skillnaden mellan de ursprungliga avtalsenliga kassaflödena och de modifierade kassaflödena diskonterade till den ursprungliga effektiva räntan.

### 2.13.6 Kvittning av finansiella instrument

Finansiella tillgångar och skulder kvittas och redovisas med ett nettobelopp i balansräkningen, endast när det finns en legal rätt att kvitta de redovisade beloppen och en avsikt att reglera dem med ett nettobelopp eller att samtidigt realisera tillgången och reglera skulden. Den legala rättigheten får inte vara beroende av framtida händelser och den måste vara rättsligt bindande för företaget och motparten både i den normala affärsverksamheten och i fall av betalningsinställelse, insolvens eller konkurs.

### 2.13.7 Nedskrivning av finansiella tillgångar

Koncernen bedömer de framtida förväntade kreditförluster som är kopplade till tillgångar redovisade till upplupet anskaffningsvärde. Koncernen redovisar en kreditreserv för sådana förväntade kreditförluster vid varje rapporteringsdatum.

För kundfordringar och avtalsfordringar tillämpar koncernen den förenklade ansatsen för kreditreservering, det vill säga, reserven kommer att motsvara den förväntade förlusten över hela fordrans livslängd. För att mäta de förväntade kreditförlusterna grupperas kundfordringar och avtalsfordringar baserat på fördelade kreditriskegenskaper och förfallna dagar. För koncernens övriga finansiella instrument tillämpas den generella modellen för att beräkna de förväntade kreditförlusterna. Koncernen använder sig utav framåtblickande variabler för förväntade kreditförluster. Förväntade kreditförluster redovisas i posten övriga externa kostnader i koncernens resultaträkning.

## 2.14 Varulager

Varulagret består av färdigvaror såsom pekskärmar, bibliotekskort och handskanners med mera men även till viss del reservdelar. Varulagret värderas till av det lägsta av anskaffningsvärdet och nettoförsäljningsvärdet. Därvid har inkuransrisk beaktats. Anskaffningsvärdet beräknas enligt först in- först ut-principen. I anskaffningsvärdet ingår förutom utgifter för inköp även utgifter för att bringa varorna till dess aktuella plats och skick.

## 2.15 Kundfordringar

Kundfordringar är belopp hänförliga till kunder avseende sålda varor eller tjänster som utförs i den löpande verksamheten. Kundfordringar klassificeras som omsättningstillgångar. Kundfordringar redovisas initialt till transaktionspriset. Koncernen innehar kundfordringarna i syfte att insamla avtalsenliga kassaflöden. Kundfordringar värderas därmed vid efterföljande redovisningstidpunkter till upplupet anskaffningsvärde med tillämpning av effektivräntemetoden.

## 2.16 Likvida medel

Likvida medel består enbart av disponibla tillgodohavanden hos banker och motsvarande institut.

## 2.17 Aktiekapital

Aktiekapital representerar kvotvärdet för emitterade aktier.

Andra delar i eget kapital inkluderar följande:

- Omräkningsreserv innehåller omräkningsdifferenser från omräkning av finansiella rapporter för koncernens utlandsverksamheter till SEK.
- Balanserade vinstmedel innefattar alla balanserade vinster för innevarande och tidigare perioder.
- Alla transaktioner med moderföretagets ägare redovisas separat inom eget kapital.

Utdelningar som ska betalas till aktieägare ingår i posten "Övriga skulder" när utdelningarna har godkänts på en bolagsstämma före balansdagen.

## 2.18 Upplåning

Upplåning redovisas inledningsvis till verkligt värde, netto efter transaktionskostnader. Upplåning redovisas därefter till upplupet anskaffningsvärde och eventuell skillnad mellan erhållet belopp (netto efter transaktionskostnader) och återbetalningsbeloppet redovisas i rapporten över totalresultat fördelat över låneperioden, med tillämpning av effektivräntemetoden.

Avgifter som betalas för kreditfaciliteter redovisas som transaktionskostnader för skulder till kreditinstitut i den utsträckning det är sannolikt att delar av eller hela kreditutrymmet kommer att utnyttjas. I sådana fall redovisas avgiften när kreditutrymmet utnyttjas.

Upplåning tas bort från rapporten över finansiell ställning när förpliktelserna har reglerats. Skillnaden mellan det redovisade värdet för en finansiell skuld (eller del av en finansiell skuld) som utsläcks eller överförts till en annan part och den ersättning som erlagts, inklusive överförda tillgångar som inte är kontanter eller påtagna skulder, redovisas i koncernens resultaträkning.

Upplåning klassificeras som kortfristiga skulder om inte koncernen har en ovillkorlig rätt att skjuta upp betalning av skulden i åtminstone 12 månader efter rapportperiodens slut.

I låneavtalet för koncernens långfristiga skuld förekommer vissa covenanter. Covenanterna baseras på vissa resultatmått vilka definieras i låneavtalet. För mer information, se avsnitt 3.2 Hantering av kapitalrisk.

## 2.19 Leverantörsskulder

Leverantörsskulder är finansiella instrument och avser förpliktelser att betala för varor och tjänster som har förvärvats i den löpande verksamheten från leverantörer. Leverantörsskulder klassificeras som kortfristiga skulder om de förfaller inom ett år. Om inte, redovisas de som långfristiga skulder.

Leverantörsskulder redovisas inledningsvis till verkligt värde och därefter till upplupet anskaffningsvärde med tillämpning av effektivräntemetoden.

## 2.20 Ersättningar till anställda

### 2.20.1 Kortfristiga ersättningar till anställda
Skulder för löner och ersättningar, inklusive icke-monetära förmåner och betald frånvaro, som förväntas bli reglerade inom 12 månader efter räkenskapsårets slut, redovisas som kortfristiga skulder till det odiskonterade belopp som förväntas bli betalt när skulderna regleras. Kostnaden redovisas i rapporten över totalresultat i takt med att tjänsterna utförs av de anställda. Skulden redovisas som förpliktelse avseende ersättningar till anställda i koncernens rapport över finansiell ställning.

### 2.20.2 Pensionsförpliktelser
Koncernen har avgifts- och förmånsbestämda pensionsplaner.

*Avgiftsbestämda planer*
En avgiftsbestämd pensionsplan är en pensionsplan enligt vilken företaget betalar fasta avgifter till en separat juridisk enhet. Koncernen har inte några rättsliga eller informella förpliktelser att betala ytterligare avgifter om denna juridiska enhet inte har tillräckliga tillgångar för att betala alla ersättningar till anställda som hänger samman med de anställdas tjänstgöring under innevarande eller tidigare perioder. Avgifterna redovisas som personalkostnader i rapporten över totalresultat när de förfaller till betalning. Förutbetalda avgifter redovisas som en tillgång i den utsträckning som kontant återbetalning eller minskning av framtida betalningar kan komma koncernen till godo.

*Förmånsbestämda planer*
Åtaganden för ålderspension och familjepension för tjänstemän i Sverige tryggas genom en försäkring i Alecta. Enligt ett uttalande från Rådet för finansiell rapportering, UFR 10 Redovisning av pensionsplanen ITP 2 som finansieras genom försäkring i Alecta, är detta en förmånsbestämd plan som omfattar flera arbetsgivare. Enligt ITP 2 avtalet avgörs ålderspensionens storlek av den anställdes antal tjänsteår och slutlön vid pensioneringstidpunkten. Familjepensionens storlek avgörs av den anställdes beräknade antal tjänsteår (beräknat som antalet tjänsteår från anställningstidpunkten till pensioneringstidpunkten) och lön vid tidpunkten för dödsfall.

Storleken på den anställdes och efterlevandes pension är ej beroende på de premier som företaget betalar till planen, jämte den kapitalavkastning som dessa premier ger. Ålderspension och familjepension uppfyller därmed inte definitionen av avgiftsbestämda planer i IAS 19. Åtaganden för ålderspension och familjepension enligt ITP 2 som finansieras genom försäkring i Alecta klassificeras därför som förmånsbestämda åtaganden. Enligt UFR10 saknas dock förutsättningar att redovisa en ITP 2 plan som finansieras genom försäkring i Alecta som en förmånsbestämd plan därför redovisas denna plan som avgiftsbestämd enligt IAS 19.

Förväntade avgifter för nästa rapporteringsperiod för pensionsförsäkringar som är tecknade i Alecta uppgår till 3 025 KSEK (2023: 3 199 KSEK). Koncernens andel av de sammanlagda avgifterna till planerna och koncernens andel av det totala antalet aktiva medlemmar, pensionerade medlemmar och tidigare medlemmar som är berättigade till ersättningar är oväsentliga.

Den kollektiva konsolideringsnivån utgörs av marknadsvärdet på Alectas tillgångar i procent av försäkringsåtagandena beräknade enligt Alectas försäkringstekniska beräkningsantaganden, vilka inte överensstämmer med IAS 19. Kollektiv konsolidering, i form av kollektiv konsolideringsnivå, ska normalt tillåtas variera mellan 125 och 175 %. Om Alectas kollektiva konsolideringsnivå understiger 125 % eller överstiger 175 % ska åtgärder vidtas i syfte att skapa förutsättningar för att konsolideringsnivån återgår till normalintervallet. Alectas överskott kan fördelas till försäkringstagarna och/eller de försäkrade om den kollektiva konsolideringsnivån överstiger 175 %. Alecta tillämpar premiereduktioner för att undvika att överskott uppstår.

### 2.20.3 Ersättningar vid uppsägning
Ersättningar vid uppsägningar, i den omfattning ersättningen inte ger koncernen några framtida ekonomiska fördelar, redovisas endast som en skuld och en kostnad när företaget har en legal eller informell förpliktelse att antingen (i) avsluta en anställds eller grupp av anställdas anställning före den normala tidpunkten för anställningens upphörande, eller (ii) lämna ersättningar vid uppsägning genom erbjudande för att uppmuntra frivillig avgång. Ersättningar vid uppsägning redovisas endast när koncernen har en detaljerad plan för uppsägningen och inte har någon realistisk möjlighet att annullera planen.

## 2.21 Kassaflödesanalys
Kassaflödesanalysen upprättas enligt indirekt metod. Det redovisade kassaflödet omfattar endast transaktioner som medfört in- eller utbetalningar.

# Not 3. Finansiell riskhantering

## 3.1 Finansiella riskfaktorer
Koncernen utsätts genom sin verksamhet för en mängd olika finansiella risker framför allt relaterade till kundfordringar, utlåning, leverantörsskulder och upplåning: marknadsrisk (omfattande främst ränterisk och valutarisk), kreditrisk, likviditetsrisk och refinansieringsrisk.

Koncernen eftersträvar att minimera potentiella ogynnsamma effekter på koncernens finansiella resultat. Målsättningen med koncernens finansverksamhet är att:

- säkerställa att koncernen kan fullgöra sina betalningsåtaganden,
- hantera finansiella risker,
- säkerställa tillgång till erforderlig finansiering, och
- optimera koncernens finansnetto.

Koncernens riskhantering sköts centralt enligt policys som fastställts av styrelsen. De finansiella riskerna identifieras, utvärderas och säkras i nära samarbete med koncernens operativa enheter. Ansvaret för hantering av koncernens finansiella transaktioner och risker är centraliserat till moderbolaget.

### 3.1.1 Marknadsrisk
*Valutarisk*
Koncernen har utländska dotterbolag som bedriver verksamhet i lokal valuta. Kostnader kopplade till verksamheten uppstår företrädesvis i lokal valuta i de utländska dotterbolagen, vilket medför en låg valutarisk för koncernen. Koncernens konsoliderade resultat- och balansposter redovisas i svenska kronor och en valutarisk uppstår i samband med omvärdering av balansposter till balansdagens valutakurser. Koncernen har inte ingått några valutaterminskontrakt.

Valutarisk uppstår genom framtida affärstransaktioner och redovisade tillgångar och skulder i en valuta som inte är företagets funktionella valuta, så kallad transaktionsexponering. Vidare är koncernen exponerad för valutarisk, så kallad omräkningsrisk, vid omräkning av de utländska dotterföretags resultat- och balansräkningar till koncernens rapportvaluta som är svenska kronor (SEK).

Väsentliga balansposter i utländsk valuta återfinns inom likvida medel och kundfordringar.

För likvida medel, se not 19.

**Belopp i KSEK**

| Kundfordringar | 2024-12-31 | 2023-12-31 |
|---|---|---|
| EUR | 27 201 | 30 856 |
| GBP | 11 035 | 8 901 |
| USD | 29 150 | 22 093 |
| CAD | 6 194 | 6 233 |
| AUD | 1 776 | 2 145 |
| NZD | 505 | 316 |
| CZK | 1 419 | 1 068 |
| NOK | 1 399 | 688 |
| DKK | 4 345 | 4 205 |
| SEK | 20 491 | 30 295 |
| Övriga | 2 537 | 4 145 |
| | **106 053** | **110 945** |

*Ränterisk*
Koncernen är exponerad för en relativt låg ränterisk på räntebärande långfristiga skulder. Koncernen är exponerad för konsekvenserna av rörlig ränta på skulder. Om räntan hade varit 1 procentenhet högre/lägre skulle, med alla andra variabler konstanta, årets resultat efter skatt varit cirka 0,6 Mkr lägre/högre och det egna kapitalet skulle varit 0,6 Mkr lägre/högre. Koncernen har i dagsläget inga ränteswappar för att motverka en höjning i räntan.

För mer information om koncernens upplåning se not 21 Upplåning.

### 3.1.2 Kreditrisk
Kreditrisk uppstår genom tillgodohavanden hos banker och kreditinstitut samt kundkreditexponeringar inklusive utestående fordringar. Koncernens kreditrisk hanteras på koncernnivå baserat på koncernens policy och rutiner för hanteringen av kreditrisken. Kreditrisk hos kunder minskas genom kreditriskbedömningar, upprättandet av kreditgränser i händelse av försenade betalningsåtaganden och genom avtalsvillkoren med kunderna. I de fall då ingen oberoende kreditbedömning finns, görs en riskbedömning av kundens kreditvärdighet där dennes finansiella ställning beaktas, liksom tidigare erfarenheter och andra faktorer. Individuella risklimiter fastställs baserat på interna eller externa kreditbedömningar i enlighet med de gränser som satts av styrelsen. Användningen av kreditgränser följs upp regelbundet.

Det finns ingen hög koncentration av kreditrisker avseende exponering mot enskilda kunder, och/eller regioner. Koncernens kundfordringar respektive avtalsfordringar är inom ramen för nedskrivningsmodellen för förväntade kreditförluster.

*Kundfordringar och avtalsfordringar*

Koncernen tillämpar den förenklade metoden för beräkning av förväntade kreditförluster för kundfordringar och avtalsfordringar där reserven beräknas baserat på förlustrisken för hela fordrans löptid.

För att mäta de förväntade kreditförlusterna har kundfordringar och avtalsfordringar grupperats baserat på antal förfallna dagar. Förväntade kreditförluster är baserade på en period om 12 månader före den 31 december 2024 med motsvarande historiska kreditförlusterna under samma period. De historiska kreditförlusterna justeras sedan med hänsyn till nuvarande och framåtblickande information om makroekonomiska faktorer som kan komma att påverka kundernas möjlighet att betala fordran. I de fall där koncernen har mer information om kunderna än den statistiska modellen avspeglar gör företagsledningen ytterligare bedömningar för just de kunderna. Historiskt sett har koncernen upplevt obetydliga kreditförluster. Baserat på historiska data med mycket låga kreditförluster tillsammans med en framåtblickande bedömning är de förväntade kreditförlusterna inte betydande för några kunder.

Nedskrivningar av kundfordringar och avtalsfordringar redovisas bland övriga externa kostnader i rörelseresultatet. Efterföljande återbetalningar av belopp som tidigare har skrivit ned vändes mot samma post. Belopp och åldersstruktur för förfallna fordringar framgår av not 16.

### 3.1.3 Likviditetsrisk

Koncernen säkerställer genom en försiktig likviditetshantering att tillräckligt med kassamedel finns för att möta behoven i den löpande verksamheten. Samtidigt säkerställs att koncernen har tillräckligt med utrymme på avtalade kreditfaciliteter så att betalning av skulder kan ske när dessa förfaller.

Den centrala ekonomifunktionen följer rullande prognoser för koncernens likviditetsreserv (inklusive outnyttjade kreditfaciliteter) och likvida medel baserade på förväntade kassaflöden. Analyserna utförs normalt av de rörelsedrivande företagen med beaktande av de riktlinjer och begränsningar som koncernledningen upprättat. Begränsningarna varierar mellan olika regioner då hänsyn tas till likviditeten på olika marknader. Koncernen följer även upp balansräkningsbaserade likviditetsmått mot interna och externa krav samt säkerställer tillgången till externfinansiering.

För information avseende koncernens upplåning, se not 21.

### 3.1.4 Refinansieringsrisk

Refinansieringsrisk definieras som risken det uppstår svårigheter att refinansiera bolaget, att finansiering inte kan erhållas, eller att den endast kan erhållas till ökade kostnader. Risken begränsas genom att koncernen alltid har bekräftade outnyttjade kreditutrymmen som bedöms som tillräckligt stora samt genom att refinansiering alltid påbörjas i god tid innan lånförfall.

Nedanstående tabell analyserar koncernens icke-derivata finansiella skulder uppdelade efter den tid som på balansdagen återstår fram till den avtalsenliga förfallodagen.

De belopp som anges i tabellen är de avtalsenliga, odiskonterade kassaflödena. Framtida kassaflöden i utländsk valuta och avseende rörliga räntor har beräknats med utgångspunkt från den valutakurs och ränta som gällde per balansdagen.

| Avtalsenliga löptider | Mindre än 6 månader | Mellan 6–12 månader | Mellan 1–5 år | Mer än 5 år | Summa avtalsenliga kassaflöden | Redovisat värde |
|---|---|---|---|---|---|---|
| **2024-12-31** | | | | | | |
| *Finansiella skulder* | | | | | | |
| Skulder till kreditinstitut | 9 537 | 9 114 | 17 055 | - | 35 706 | 33 632 |
| Leasingskulder | 7 453 | 7 453 | 21 111 | - | 36 017 | 34 305 |
| Checkräkningskredit | 53 012 | 1 500 | 3 000 | - | 57 512 | 51 512 |
| Leverantörsskulder | 19 750 | - | - | - | 19 750 | 19 750 |
| Övriga skulder | 145 956 | 43 162 | 33 274 | - | 222 392 | 219 642 |
| **Totalt** | **235 708** | **61 229** | **74 440** | **-** | **371 377** | **358 841** |
| | | | | | | |
| **2023-12-31** | | | | | | |
| *Finansiella skulder* | | | | | | |
| Skulder till kreditinstitut | 12 001 | 11 614 | 35 313 | - | 58 928 | 54 269 |
| Leasingskulder | 7 049 | 7 049 | 19 170 | - | 33 268 | 31 606 |
| Checkräkningskredit | 62 721 | 625 | 1 250 | - | 64 596 | 62 096 |
| Leverantörsskulder | 20 968 | - | - | - | 20 968 | 20 968 |
| Övriga skulder | 141 667 | 34 063 | 15 269 | - | 190 999 | 189 891 |
| **Totalt** | **244 406** | **53 351** | **71 002** | **-** | **368 759** | **358 830** |

### 3.2 Hantering av kapitalrisk

Koncernens mål för kapitalstrukturen är att trygga koncernens förmåga att fortsätta driva verksamhet, ge avkastning till aktieägarna samt upprätthålla en optimal kapitalstruktur till lägsta möjliga kostnad.

Prioriterat för kapitalstyrningen är att följa de bindande finansiella löften (covenanter) som koncernen givit i kreditavtal till Nordea Bank AB. Skuldlöftena omfattar en räntetäckningsgrad-covenant samt en nettoskuld/EBITDA-covenant. Under 2024 tecknades ett nytt avtal med delvis nya nivåer för covenanterna och ingen av dessa har brutits 2024.

## Not 4. Viktiga uppskattningar och bedömningar för redovisningsändamål

Koncernen gör uppskattningar och antaganden om framtiden. De uppskattningar för redovisningsändamål som blir följden av dessa kommer, definitionsmässigt, sällan att motsvara det verkliga resultatet. Uppskattningar och bedömningar utvärderas löpande och baseras på historisk erfarenhet och andra faktorer, inklusive förväntningar på framtida händelser som anses rimliga under rådande förhållanden.

De uppskattningar och antaganden som innebär en betydande risk för väsentliga justeringar i redovisade värden för tillgångar och skulder under nästkommande räkenskapsår behandlas i huvuddrag nedan.

### 4.1 Internt upparbetade tillgångar

Fördelningen mellan forsknings- och utvecklingsfaserna i nya utvecklingsprojekt av programvara och bestämning av huruvida kraven för aktivering av utvecklingsutgifter är uppfyllda kräver bedömningar. Efter aktivering övervakar koncernledningen huruvida redovisningskraven för utvecklingskostnader uppfylls även fortsättningsvis och om det finns indikationer på att den uppbokade immateriella tillgången kan vara utsatt för värdenedgång och i behov av nedskrivning. För information om redovisade värden avseende internt upparbetade tillgångar, se not 11.

### 4.2 Goodwill

Goodwill har fördelats på kassagenererande enheter utifrån en bedömning av vilka enheter som kommer att dra nytta av de synergier etc. som rörelseförvärvet skapar. När fördelningen genomförts har ledningen vägt in enheternas uppskattade verksamhetsvolymer samt en bedömning av marknadens utveckling för respektive enhet. Styrelsen har gjort en bedömning av nyttjandevärde avseende goodwill i enlighet med de principer som beskrivs ovan under rubriken Prövning av nedskrivningsbehov av goodwill och övriga immateriella tillgångar, materiella tillgångar samt andelar i koncernbolag samt i not om goodwill.

### 4.3 Prövning av nedskrivningsbehov för icke-finansiella tillgångar och goodwill

För att bedöma nedskrivningsbehovet beräknar koncernledningen återvinningsvärdet för varje tillgång eller kassagenererande enhet baserat på förväntade framtida kassaflöden och med användning av en lämplig ränta för att kunna diskontera kassaflödet. Osäkerheter ligger i antaganden om framtida kassaflöde och fastställandet av en lämplig diskonteringsränta. För information om redovisade värden avseende goodwill och kvantitativ information kring nedskrivningsprövning, se not 11.

### 4.4 Värdering av uppskjutna skattefordringar

Bedömningen av i vilken omfattning uppskjutna skattefordringar kan redovisas baseras på en bedömning av sannolikheten av hur framtida skattepliktiga intäkter kommer att kunna utnyttjas mot avdragsgilla temporära skillnader och ackumulerade skattemässiga underskott. Dessutom krävs väsentliga överväganden vid bedömning av effekten av vissa rättsliga eller ekonomiska begränsningar eller osäkerheter i olika skattemässiga jurisdiktioner. Värdet av uppskjutna skattefordringar prövas vid varje balansdag och avsättning görs endast i de länder där sannolikheten för möjlighet att utnyttja dessa mot framtida vinster bedöms som hög baserad på förväntade prognosticerade intäkter. Det verkliga resultatet kan avvika från dessa bedömningar bland annat på grund av ändrat framtida affärsklimat, ändrade skatteregler eller utfallet av myndigheters eller skattedomstolars ännu ej slutförda granskning av avgivna deklarationer.

För ytterligare information om underskottsavdrag och uppskjuten skattefordran se not 10.

### 4.5 Rörelseförvärv

Vid beräkning av verkliga värden använder koncernledningen värderingstekniker för de specifika tillgångarna och skulderna som förvärvas vid ett rörelseförvärv.

# Not 5. Segmentsinformation och upplysning om nettoomsättning

Koncernen identifierar koncernens två affärsdivisioner (tre affärsdivisioner 2023) som sina rörelsesegment. Dessa rörelsesegment övervakas av koncernens verkställande beslutsfattare (VD) och strategiska beslut fattas med grund i rörelseresultat före avskrivningar för segmenten. VD bedömer även nettoomsättningen per segment samt utifrån rörelsegren och från ett geografiskt perspektiv fördelat på Norden, övriga Europa, Nordamerika samt övriga länder. Den information som presenteras avseende de geografiska intäkterna avser de områden där kunderna är lokaliserade.

Axiell Public Library & Education är en helhetsleverantör av IT-lösningar och tjänster för bibliotek i Norden och Europa med huvudfokus på folk- och skolbibliotek. Affärsdivisionen inkluderar även drift av tre bibliotek i Nacka kommun.

Axiell Archives Libraries Museums & RVR är den ledande leverantören av globala IT-lösningar för arkiv och museer globalt, för samlingshantering, digitala objekt samt publika lösningar. Affärsdivisionen säljer även lösningar för att hantera personuppgifter till länder som har/är varit en del av commonwealth.

Affärsdivisionen Axiell Media avyttrades 31 mars 2023 och har endast genererat omsättning under föregående års första kvartal.

Segment Koncerngemensamt består av kostnader som inte är hänförbara till ett enskilt segment.

Rapportering för segment delas upp enligt följande:

| Belopp i KSEK | Axiell Public Library & Education | | Axiell Archives Libraries Museums & RVR | | Axiell Media | | Koncerngemensamt | | Totalt | |
|---|---|---|---|---|---|---|---|---|---|---|
| | 2024 | 2023 | 2024 | 2023 | 2024 | 2023 | 2024 | 2023 | 2024 | 2023 |
| **Nettoomsättning per geografiskt område** | | | | | | | | | | |
| Sverige | 124 715 | 124 260 | 1 175 | 934 | - | 36 390 | | | 125 890 | 161 584 |
| Resterande länder i Norden | 62 054 | 61 899 | 6 453 | 6 586 | - | 2 323 | | | 68 507 | 70 808 |
| Europa | 79 890 | 79 690 | 120 065 | 112 061 | - | - | | | 199 955 | 191 751 |
| Nordamerika | 7 173 | 8 089 | 84 520 | 93 833 | - | - | | | 91 693 | 101 922 |
| Övriga länder | 933 | 990 | 37 513 | 32 029 | - | - | | | 38 446 | 33 019 |
| | **274 765** | **274 928** | **249 726** | **245 443** | **-** | **38 713** | **-** | **-** | **524 491** | **559 084** |
| **Nettoomsättning per rörelsegren** | | | | | | | | | | |
| Programunderhåll | 205 782 | 210 935 | 156 616 | 150 335 | - | - | | | 362 398 | 361 270 |
| Distributions- och Serviceintäkter inom e-media | - | - | - | - | - | 38 713 | | | | 38 713 |
| Övrigt* | 68 983 | 63 993 | 93 110 | 95 108 | - | - | | | 162 093 | 159 101 |
| | **274 765** | **274 928** | **249 726** | **245 443** | **-** | **38 713** | **-** | **-** | **524 491** | **559 084** |
| **Rörelseresultat före avskrivningar** | 23 518 | 23 146 | 24 322 | 26 625 | - | 1 062 | 1 600 | -521 | 49 440 | 50 312 |
| Avskrivningar | | | | | | | | | -37 970 | -36 864 |
| Resultat från avyttring av dotterbolag | | | | | | | | | 0 | 20 616 |
| Finansiella intäkter | | | | | | | | | 3 003 | 5 521 |
| Finansiella kostnader | | | | | | | | | -10 285 | -12 417 |
| **Resultat före skatt** | | | | | | | | | **4 188** | **27 168** |

*Övrigt består av mjukvarulicenser, implementation, konfiguration, konsultation, utbildning samt övrigt.

Koncernen har ingen enskild kund som utgör mer än 10% av koncernens totala försäljning.

**Anläggningstillgångar per geografi**

Anläggningstillgångar, andra än finansiella instrument, och uppskjutna skattefordringar (det finns inga tillgångar i samband med förmåner efter avslutad anställning eller rättigheter enligt försäkringsavtal), fördelas per land enligt följande:

| | 2024 | 2023 |
|---|---|---|
| Sverige | 164 090 | 168 128 |
| Resterande länder i Norden | 59 747 | 61 503 |
| Europa | 95 741 | 90 204 |
| Nordamerika | 24 165 | 25 973 |
| Övriga länder | 50 297 | 50 340 |
| Totalt | **394 040** | **396 148** |

Nedan tabell visar koncernens tillgångar och skulder hänförliga till avtal med kunder:

| Avtalstillgångar | 2024 | 2023 |
|---|---|---|
| Kortfristiga avtalstillgångar hänförliga till avtal som konsulttjänster, konvertering och implementering m.fl. | 57 956 | 43 477 |
| Totalt | **57 956** | **43 477** |

| Avtalsskulder | 2024 | 2023 |
|---|---|---|
| Förskott | 151 442 | 134 027 |
| Totalt | **151 442** | **134 027** |

Av de avtalsskulder som inkluderades i ingående balans har följande intäktsförts under året:

| | 2024 | 2023 |
|---|---|---|
| Avtalsskulder | 128 930 | 118 737 |
| Summa intäktsförda avtalsskulder | **128 930** | **118 737** |

# Not 6. Ersättning till revisorerna

| | 2024 | 2023 |
|---|---|---|
| **PwC** | | |
| Revisionsuppdrag | 1 220 | 1 732 |
| Övriga tjänster | 180 | 134 |
| | | |
| **Övriga revisorer** | | |
| Revisionsuppdrag | 789 | 151 |
| Skatterådgivning | 572 | 675 |
| Övriga tjänster | 680 | 468 |
| | **3 441** | **3 160** |

Ovan redovisas arvoden och ersättningar till revisorer som kostnadsförts under året. Ersättning för konsultationer redovisas i de fall samma revisionsbyrå innehar revisionsuppdraget i det enskilda bolaget. Med revisionsuppdrag avses den lagstadgade revisionen av årsredovisningen samt styrelsens och verkställande direktörens förvaltning. Skatterådgivning är konsultation i skatterättsliga frågeställningar. Övriga tjänster är rådgivning som inte är hänförlig till någon av de andra kategorierna.

## Not 7. Ersättning till anställda, m.m.

| Löner, andra ersättningar och sociala avgifter - övriga anställda | 2024 | 2023 |
|---|---|---|
| Löner och andra ersättningar (varav tantiem) | 225 092 (0) | 247 241 (0) |
| Sociala avgifter | 47 960 | 49 164 |
| Pensionskostnader – avgiftsbestämda planer | 20 228 | 16 562 |
| **Summa ersättningar till övriga anställda** | **293 280** | **312 967** |

| Löner, andra ersättningar och sociala avgifter - styrelse, VD och andra ledande befattningshavare | 2024 | 2023 |
|---|---|---|
| Löner och andra ersättningar (varav tantiem) | 9 908 (0) | 12 348 (0) |
| Sociala avgifter | 3 448 | 3 611 |
| Pensionskostnader – avgiftsbestämda planer | 2 376 | 2 637 |
| **Summa ersättningar till styrelseledamöter,verkställande direktör och andra ledande befattningshavare** | **15 732** | **18 596** |

Koncernen har ingått ett avtal med VD som innebär att VD vid uppsägning från företagets sida erhåller 12 månadslöner. Vid uppsägning från VDs sida utgår inget avgångsvederlag.

För övriga ledande befattningshavare uppgår en ömsesidig uppsägningstid om 3-6 månader.

*Medelantal anställda med geografisk fördelning per land*

| | 2024 | | 2023 | |
|---|---|---|---|---|
| | Medelantal anställda | Varav män | Medelantal anställda | Varav män |
| Sverige | 101 | 48 | 107 | 52 |
| Danmark | 6 | 5 | 6 | 5 |
| Finland | 13 | 7 | 14 | 8 |
| Norge | 13 | 7 | 17 | 11 |
| Storbritannien | 42 | 29 | 43 | 31 |
| Nederländerna | 28 | 22 | 27 | 21 |
| Belgien | 6 | 3 | 7 | 4 |
| Tjeckien | 15 | 8 | 15 | 12 |
| Tyskland | 17 | 10 | 17 | 13 |
| Frankrike | 23 | 14 | 23 | 14 |
| Kanada | 45 | 27 | 49 | 30 |
| USA | 10 | 6 | 11 | 6 |
| Australien | 21 | 12 | 20 | 14 |
| Nya Zeeland | 1 | 1 | 1 | 1 |
| Indien | 1 | 1 | 0 | 0 |
| | **342** | **200** | **357** | **222** |

*Könsfördelning i koncernen (inkl. dotterföretag) för styrelseledamöter och övriga ledande befattningshavare*

| | 2024-12-31 | | 2023-12-31 | |
|---|---|---|---|---|
| | Antal på balansdagen | Varav män | Antal på balansdagen | Varav män |
| Styrelseledamöter | 4 | 4 | 4 | 3 |
| Verkställande direktör och övriga ledande befattningshavare | 5 | 3 | 5 | 3 |
| | **9** | **7** | **9** | **6** |

## Not 8. Finansiella intäkter och finansiella kostnader

| Finansiella intäkter | 2024 | 2023 |
|---|---|---|
| Ränteintäkter | 3 003 | 5 521 |
| Resultat från avyttring av dotterbolag | 0 | 20 616 |
| Valutakursdifferenser | 0 | 0 |
| **Summa finansiella intäkter** | **3 003** | **26 137** |
| | | |
| **Finansiella kostnader** | | |
| Räntekostnader | -8 195 | -9 618 |
| Räntekostnader leasingavtal | -1 082 | -1 070 |
| Valutakursdifferenser | -1 008 | -1 729 |
| **Summa finansiella kostnader** | **-10 285** | **-12 417** |
| | | |
| **Finansiella poster – netto** | **-7 282** | **13 720** |

## Not 9. Inkomstskatt

| | 2024 | 2023 |
|---|---|---|
| **Aktuell skatt** | | |
| Aktuell skatt på årets resultat | **-7 311** | -5 397 |
| Justeringar avseende tidigare år | **223** | 465 |
| **Summa aktuell skatt** | **-7 088** | **-4 932** |
| | | |
| Uppskjuten skatt | 855 | 273 |
| **Summa uppskjuten skatt** | **855** | **273** |
| | | |
| **Inkomstskatt redovisad i koncernens resultaträkning** | **-6 233** | **-4 659** |

Inkomstskatten på koncernens resultat före skatt skiljer sig från det teoretiska belopp som skulle ha framkommit vid användning av den svenska skattesatsen för resultaten i de konsoliderade företagen enligt följande:

| | 2024 | 2023 |
|---|---|---|
| **Resultat före skatt** | 4 227 | 27 168 |
| Inkomstskatt beräknad enligt skattesats i Sverige 20,6 % (20,6 %) | -871 | -5 597 |
| Skatteeffekter av: | | |
| Ej skattepliktiga intäkter | 2 756 | 7 190 |
| Ej avdragsgilla kostnader | -3 603 | -3 463 |
| Outnyttjade underskottsavdrag för vilka ingen uppskjuten skattefordran har redovisats | -4 953 | -2 029 |
| Värdering av tidigare års underskottsavdrag | 106 | -149 |
| Tidigare ej redovisade underskottsavdrag som nyttjats för att minska skatten | -93 | -5 |
| Effekt av ändrad skattesats | 202 | -445 |
| Justering avseende tidigare år | 223 | 465 |
| Övrigt | 0 | -626 |
| **Inkomstskatt** | **-6 233** | **-4 659** |

Koncernens effektiva skatt är 147,4% (2023: 17,1,%)

## Not 10. Uppskjuten skatt

| Uppskjutna skattefordringar | Skattemässiga underskott | Personalrelaterade skulder | Materiella anläggnings-tillgångar | Summa |
|---|---|---|---|---|
| Ingående balans per 2023-01-01 | 12 179 | 3 110 | 455 | 15 744 |
| Tillkommer via förvärv | | | | |
| Redovisade i resultaträkningen | 228 | -287 | -453 | -512 |
| Valutakursförändring | | | | |
| Utgående balans per den 2023-12-31 | 12 407 | 2 823 | 2 | 15 232 |
| Ingående balans per 2024-01-01 | 12 407 | 2 823 | 2 | 15 232 |
| Tillkommer via förvärv | | | | |
| Redovisade i resultaträkningen | 262 | 501 | -1 880 | -1 117 |
| Valutakursförändring | | | | |
| Utgående balans per den 2024-12-31 | 12 669 | 3 324 | -1 878 | 14 115 |
| Belopp som kvittas mot uppskjutna skatteskulder enligt kvittningsreglerna | | | | |
| Uppskjutna skattefordringar, netto | | | | 13 391 |

| Uppskjutna skatteskulder | Immateriella tillgångar | Nyttjanderätts-tillgångar | Obeskattade reserver | Summa |
|---|---|---|---|---|
| Ingående balans per 2023-01-01 | -3 041 | -24 | -115 | -3 180 |
| Tillkommer via förvärv | | | | |
| Redovisade i resultaträkningen | 250 | 180 | 54 | 484 |
| Valutakursförändring | | | | |
| Utgående balans per den 2023-12-31 | -2 791 | 156 | -61 | -2 696 |
| Ingående balans per 2024-01-01 | -2 791 | 156 | -61 | -2 696 |
| Tillkommer via förvärv | | | | |
| Redovisade i resultaträkningen | -665 | 41 | 2 596 | 1 972 |
| Valutakursförändring | | | | |
| Utgående balans per den 2024-12-31 | -3 456 | 197 | 2 535 | -724 |
| Belopp som kvittas mot uppskjutna skattefordringar enligt kvittningsreglerna | | | | |

Koncernens redovisar uppskjutna skattefordringar för skattemässiga underskottsavdrag i den utsträckning som det är sannolikt att de kan tillgodogöras genom framtida beskattningsbara vinster.

Alla uppskjutna skattefordringar (inklusive underskottsavdrag och andra skatteavdrag) har redovisats i balansräkningen. Underskottsavdrag för vilken uppskjuten skattefordran har redovisats i moderbolaget uppgår till 46 750 KSEK per 2024-12-31 (2023-12-31: 46 846 KSEK), se moderbolagets not 41 för ytterligare information.

Skattemässiga underskottsavdrag per 31 december 2024 förväntades löpa ut enligt följande:

| Förväntat datum | Mindre än 5 år | Obegränsad | Summa |
|---|---|---|---|
| Skattemässiga underskottsavdrag | | 51 769 | 51 769 |

## Not 11. Immateriella tillgångar

| | Balanserade utvecklingsarbeten och liknande arbeten | Varumärken och liknande rättigheter | Data- programvara | Goodwill | Övrigt | Summa |
|---|---|---|---|---|---|---|
| Ingående ack anskaffningsvärde 2023-01-01 | 154 159 | 17 572 | 176 933 | 282 371 | 30 258 | 661 293 |
| Årets anskaffningar | 7 292 | | | 1 069 | 2 803 | 11 164 |
| Årets försäljningar/avyttringar | -12 533 | | | -18 849 | | -31 382 |
| Valutakursdifferenser | -367 | | 28 | -6 101 | -290 | -6 730 |
| Omklassificeringar | | | | | -116 | -116 |
| Utgående ack anskaffningsvärde 2023-12-31 | 148 551 | 17 572 | 176 961 | 258 490 | 32 655 | 634 229 |
| | | | | | | |
| Ingående ack av-/nedskrivningar 2023-01-01 | -54 012 | -12 300 | -167 316 | -5 042 | -19 931 | -258 601 |
| Årets av- och nedskrivningar | -13 333 | -1 758 | -1 336 | | -2 546 | -18 973 |
| Årets försäljningar/avyttringar | 3 739 | | | | | 3 739 |
| Valutakursdifferenser | 345 | | -320 | | 260 | 285 |
| Omklassificeringar | | | | | 126 | 126 |
| Utgående ack av-/nedskrivningar per 2023-12-31 | -63 261 | -14 058 | -168 972 | -5 042 | -22 091 | -273 424 |
| | | | | | | |
| Redovisat värde 2023-12-31 | 85 290 | 3 514 | 7 989 | 253 448 | 10 564 | 360 805 |
| | | | | | | |
| Ingående ack anskaffningsvärde 2024-01-01 | 148 551 | 17 572 | 176 961 | 258 490 | 32 655 | 634 229 |
| Årets anskaffningar | 8 032 | | | | 2 921 | 10 953 |
| Årets försäljningar/avyttringar | | | | | -47 | -47 |
| Valutakursdifferenser | 1 864 | | 8 367 | 2 946 | 763 | 13 940 |
| Utrangeringar | | | -91 452 | | -2 265 | -93 717 |
| Utgående ack anskaffningsvärde 2024-12-31 | 158 447 | 17 572 | 93 876 | 261 436 | 34 027 | 565 358 |
| | | | | | | |
| Ingående ack av-/nedskrivningar 2024-01-01 | -63 261 | -14 058 | -168 972 | -5 042 | -22 091 | -273 424 |
| Årets av- och nedskrivningar | -13 598 | -1 757 | -1 329 | | -2 748 | -19 432 |
| Årets försäljningar/avyttringar | | | | | 47 | 47 |
| Valutakursdifferenser | -683 | | -7 661 | | -695 | -9 039 |
| Utrangeringar | | | 91 452 | | 2 265 | 93 717 |
| Utgående ack av-/nedskrivningar per 2024-12-31 | -77 542 | -15 815 | -86 510 | -5 042 | -23 222 | -208 131 |
| | | | | | | |
| Redovisat värde 2024-12-31 | 80 905 | 1 757 | 7 366 | 256 394 | 10 805 | 357 227 |

Det totala beloppet av utgifter för forskning och utveckling som kostnadsförts under året uppgår till 48 750 KSEK (2023: 56 360 KSEK).

| | Axiell Public Library & Education | Axiell ALM & RVR | Axiell Media | Summa |
|---|---|---|---|---|
| Ingående ackumulerade anskaffningsvärden per 2023-01-01 | 152 544 | 110 978 | 18 849 | 282 371 |
| Förvärvade verksamheter | 1 069 | | | 1 069 |
| Årets försäljningar/avyttringar | | | -18 849 | -18 849 |
| Valutakursdifferenser | -3 391 | -2 710 | | -6 101 |
| Utgående ackumulerade anskaffningsvärden per 2023-12-31 | 150 222 | 108 268 | 0 | 258 490 |
| | | | | |
| Ingående ackumulerade nedskrivningar per 2023-01-01 | -5 042 | - | - | -5 042 |
| Nedskrivningar | | | | |
| Utgående ackumulerade nedskrivningar per 2023-12-31 | -5 042 | - | - | -5 042 |
| | | | | |
| Redovisat värde per 2023-12-31 | 145 180 | 108 268 | 0 | 253 448 |
| | | | | |
| Ingående ackumulerade anskaffningsvärden per 2024-01-01 | 150 222 | 108 268 | 0 | 258 490 |
| Förvärvade verksamheter | | | | |
| Årets försäljningar/avyttringar | | | | |
| Valutakursdifferenser | 223 | 2 723 | | 2 946 |
| Utgående ackumulerade anskaffningsvärden per 2024-12-31 | 150 445 | 110 991 | 0 | 261 436 |
| | | | | |
| Ingående ackumulerade nedskrivningar per 2024-01-01 | -5 042 | - | - | -5 042 |
| Nedskrivningar | | | | |
| Utgående ackumulerade nedskrivningar per 2024-12-31 | -5 042 | - | - | -5 042 |
| | | | | |
| Redovisat värde per 2024-12-31 | 145 403 | 110 991 | 0 | 256 394 |

**Nedskrivningsprövningar för kassagenererande enheter innehållande goodwill**

Koncernen genomförde den årliga nedskrivningsprövningen av goodwill per den 30 november 2024 (30 november 2023). Prövning görs för att se så att inte det redovisade värdet på de kassagenererande enheterna överstiger deras återvinningsvärde. De kassagenererande enheterna Axiell Public Library & Education och Axiell Archives Libraries Museums & RVR har signifikanta redovisade goodwillvärden i förhållande till koncernens redovisade goodwillvärden. Goodwill är fördelad mellan de kassagenererade enheterna enligt notuppställningen ovan.

Återvinningsvärdet utgör det högsta av en tillgångs nettoförsäljningsvärde och dess nyttjandevärde, det vill säga det diskonterade nuvärdet av framtida kassaflöden. Beräkningen av återvinningsvärdet baseras på bedömningar av företagsledningen vilka anses vara rimliga givet den bästa information som finns tillgänglig.

Det mest väsentliga antagandet vid beräkningen är vägd kapitalkostnad (WACC). Beräkningar av nyttjandevärdet utgår från uppskattade framtida kassaflöden före skatt och bygger på av styrelsen godkänd budget eller prognos för 2025 och prognos för en period om de därpå följande fyra till fem åren. Beräkningen baseras på koncernledningens erfarenhet och historiska data. Däri ingår bedömning av allmän marknadstillväxt samt affärsenhetens planerade lansering av nya produkter och lösningar.

Väsentliga antaganden som använts för beräkningar av nyttjandevärden:

| För helåret | 2024 | | 2023 | |
|---|---|---|---|---|
| | Axiell Public Library & Education | Axiell Archives Libraries Museums & RVR | Axiell Public Library & Education | Axiell Archives Libraries Museums & RVR |
| Långsiktig tillväxttakt (%) | 2% | 2% | 2% | 2% |
| Diskonteringsfaktor före skatt (%) | 10,6% | 10,6% | 13,0% | 13,0% |
| Genomsnittlig årlig tillväxt(%) | 6,7% | 7,6% | 8,2% | 6,3% |

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Kassaflödesprognoserna har baserats på en EBITDA marginal som motsvarar den av styrelsen fastställda affärsplanen

Resultatet av genomförda nedskrivningsprövningar har medfört att styrelsen och företagsledningen inte har identifierat några nedskrivningsbehov i koncernen.

Företagsledningen gör bedömningen att inga rimliga förändringar i något av de viktigaste antagandena vid beräkningen av nyttjandevärdena skulle medföra att det redovisade värdet på ett materiellt sätt skulle överstiga återvinningsvärdet. En känslighetsanalys av alla beräkningar visar att värdet på goodwill kan försvaras även om diskonteringsräntan skulle höjas med en procentenhet eller EBTIDA efter prognosperioden skulle sänkas med en procentenhet.

### Diskonteringsfaktorer och känslighetsanalys
Förväntade kassaflöden diskonteras med en vägd genomsnittlig kapitalkostnad (WACC) för den relevanta kassagenererande enheten. WACC härleds från den riskfria räntan, riskpremie, affärsrisken som representeras av uppskattad beta, aktiemarknadsriskpremien och en uppskattad rimlig lånekostnad över den riskfria räntan. Diskonteringsräntan representerar den finansiella marknadens bedömning av de risker som är specifika för de kassagenererande enheterna, varvid hänsyn har tagits till såväl pengars tidsvärde som individuella risker. Diskonteringsräntan motsvarar koncernens bedömda genomsnittliga kapitalkostnad och är satt främst utifrån koncernen avkastningskrav med tillägg för uppskattning av marknadens bedömning av risk. Den diskonteringsränta före skatt som använts för alla kassagenererande enheter är 10,6% (2023: 13,0%) då förutsättningarna för respektive kassagenererande enhet bedöms som likvärdiga.

Nyttjandevärdet av respektive kassagenererande enhet är avhängig av de antagande som gjorts vid beräkningen av de diskonterade kassaflödena. Känslighetsanalys har gjorts med utgångspunkt i förändrad WACC % och EBITDA %, där analysen visar om en ökning av WACC leder till ett nedskrivningsbehov samt om en sänkning av EBITDA-marginalen leder till ett nedskrivningsbehov. För samtliga kassagenererade enheter har WACC höjts med 1% utan att något nedskrivningsbehov uppstod. För samtliga enheter har EBITDA marginalen sänkts med 1% utan att något nedskrivningsbehov påvisades. Genomförda känslighetsanalyser visade således inte på något nedskrivningsbehov. Vidare har tester på förändringar i tillväxttakten gjorts när detta har bedömts vara nödvändigt. Ingen rimlig möjlig förändring i viktiga antaganden skulle innebära att det redovisade värdet skulle överstiga återvinningsvärdet.

## Not 12. Materiella anläggningstillgångar

| | Nedlagda utgifter på annans fastighet | Inventarier, verktyg och installationer | Summa |
|---|---|---|---|
| Ingående ack anskaffningsvärde 2023-01-01 | 2 813 | 19 144 | 21 957 |
| Årets anskaffningar | 340 | 990 | 1 330 |
| Årets försäljningar/avyttringar | 127 | -3 732 | -3 605 |
| Valutakursdifferenser | -25 | -94 | -119 |
| Omklassificeringar | 0 | 0 | 0 |
| Utgående ack anskaffningsvärde 2023-12-31 | 3 255 | 16 308 | 19 563 |
| | | | |
| Ingående ack avskrivningar 2023-01-01 | -1 373 | -16 031 | -17 404 |
| Årets avskrivningar | -453 | -1 330 | -1 783 |
| Årets försäljningar/avyttringar | 0 | 3 548 | 3 548 |
| Valutakursdifferenser | 25 | 67 | 92 |
| Omklassificeringar | 0 | 0 | 0 |
| Utgående ack avskrivningar per 2023-12-31 | -1 801 | -13 746 | -15 547 |
| | | | |
| Redovisat värde 2023-12-31 | 1 440 | 3 113 | 4 553 |
| | | | |
| Ingående ack anskaffningsvärde 2024-01-01 | 3 255 | 16 308 | 19 563 |
| Årets anskaffningar | 56 | 561 | 617 |
| Årets försäljningar/avyttringar | -65 | -1 573 | -1 638 |
| Valutakursdifferenser | 92 | 331 | 423 |
| Omklassificeringar | 0 | -1 850 | -1 850 |
| Utgående ack anskaffningsvärde 2024-12-31 | 3 338 | 13 777 | 17 115 |
| | | | |
| Ingående ack avskrivningar 2024-01-01 | -1 801 | -13 746 | -15 547 |
| Årets avskrivningar | -326 | -1 339 | -1 665 |
| Årets försäljningar/avyttringar | 65 | 1 511 | 1 576 |
| Valutakursdifferenser | -55 | -294 | -349 |
| Omklassificeringar | 0 | 1 850 | 1 850 |
| Utgående ack avskrivningar per 2024-12-31 | -2 117 | -12 018 | -14 135 |
| | | | |
| Redovisat värde 2024-12-31 | 1 221 | 1 759 | 2 980 |

## Not 13. Leasing

I balansräkningen redovisas följande belopp relaterade till leasingavtal:

| Nyttjanderättstillgångar | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Fastigheter | 21 479 | 21 755 |
| Bilar | 4 730 | 1 893 |
| Utrustning | 7 624 | 7 679 |
| | 33 833 | 31 327 |

| Leasingskulder | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Långfristiga | 19 658 | 17 951 |
| Kortfristiga | 14 647 | 13 655 |
| | 34 305 | 31 606 |

Tillkommande nyttjanderätter under 2024 uppgick till 9 246 KSEK (2023:18 636 KSEK).
För information om leasingskuldens förfallotid se not 3.1.4.

I resultaträkningen redovisas följande belopp relaterade till leasingavtal:

| Avskrivning på nyttjanderätter: | 2024 | 2023 |
|---|---|---|
| Fastigheter | -9 408 | -10 357 |
| Bilar | -2 557 | -1 472 |
| Utrustning | -4 907 | -4 256 |
| **Totalt** | **-16 872** | **-16 085** |
| | | |
| Räntekostnader på leasingskulder | -1 077 | -1 070 |
| Utgifter hänförliga till korttidsleasingavtal | -909 | -565 |
| Utgifter hänförliga till leasingavtal för underliggande tillgångar av lågt värde | -63 | -74 |
| Utgifter hänförliga till variabla leasingbetalningar som inte ingår i leasingskulder | 0 | 0 |

Det totala kassaflödet gällande leasingavtal var -16 655 KSEK (2023-12-31: -15 214 KSEK).

Kontrakterade investeringar avseende nyttjanderätter vid rapportperiodens slut som ännu inte redovisas i de finansiella rapporterna uppgår till 0 KSEK.

## Not 14. Andra långfristiga fordringar

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Ingående ackumulerade anskaffningsvärden | 17 014 | 257 |
| Under året omfört till kortfristig fordran | -3 500 | 0 |
| Tillkommande fordringar | 47 | 16 948 |
| Betalningar/amorteringar | -51 | -165 |
| Årets valutakursdifferenser | -4 | -26 |
| **Redovisat värde** | **13 506** | **17 014** |

Posten består av lån relaterat till avyttring av dotterbolag på 13 000 KSEK samt depositioner.
I samband med avyttringen av Axiell Media AB år 2023 upprättades en säljrevers om 19 000 KSEK, vilket även är det bokförda värdet av Axiells fordran per bokslutsdagen, 31 december 2024. Amortering ska ske årsvis med slutbetalning i april 2027. 6 MSEK av den totala fordran ligger som kortfristig övrig fordran eftersom den förväntas amorteras under 2025. Se vidare not 17.

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## Not 15. Finansiella instrument per kategori

Koncernens samtliga finansiella instrument värderas till upplupet anskaffningsvärde. Bland redovisnings- och värderingsprinciperna finns en beskrivning av respektive kategori av finansiella tillgångar och skulder samt tillhörande redovisningsprinciper.

Nedan tabell redogör för koncernens finansiella tillgångar värderade till upplupet anskaffningsvärde:

| Finansiella tillgångar | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Andra långfristiga fordringar | 13 506 | 17 014 |
| Kundfordringar | 106 053 | 110 945 |
| Avtalstillgångar (ingår bland interimsfordringar) | 68 835 | 57 204 |
| Likvida medel | 21 976 | 26 555 |
| **Totalt** | **210 370** | **211 718** |

Nedan tabell redogör för koncernens finansiella skulder värderade till upplupet anskaffningsvärde:

| Finansiella skulder | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Skulder till kreditinstitut (lång- och kortfristiga) | 33 632 | 54 269 |
| Checkräkningskredit | 51 512 | 62 096 |
| Övriga långfristiga skulder | 23 792 | 9 895 |
| Leverantörsskulder | 19 750 | 20 968 |
| Övriga kortfristiga skulder | 156 442 | 142 717 |
| Upplupna kostnader | 39 407 | 37 278 |
| **Totalt** | **324 535** | **327 223** |

Utöver de finansiella instrument som anges i tabellerna "ovan" har koncernen finansiella skulder i form av leasingskulder vilka redovisas och värderas enligt IFRS 16.

Verkligt värde på skulder till kreditinstitut bedöms motsvara det redovisade värdet eftersom samtliga lån löper med rörlig ränta och kreditrisken i koncernen inte har förändrats väsentligt. För mer information kring skulder till kreditinstitut, se not 21 Upplåning.

Det redovisade värdet på koncernens långfristiga finansiella instrument värderade till upplupet anskaffningsvärde motsvarar i allt väsentligt dess verkliga värde eftersom räntan är i paritet med aktuella marknadsräntor.

Redovisat värde för övriga finansiella instrument i koncernen är en rimlig uppskattning av verkligt värde eftersom de är kortfristiga och diskonteringseffekten inte är väsentlig.

## Not 16. Kundfordringar och avtalsfordringar

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Kundfordringar | 106 053 | 111 285 |
| Reserv för förväntade kreditförluster | 0 | -340 |
|  | **106 053** | **110 945** |
| Avtalsfordringar | 57 956 | 43 477 |
| Reserv för förväntade kreditförluster | 0 | 0 |
|  | **57 956** | **43 477** |

Nedan tabell redovisar förändring i förlustreserver under räkenskapsåret:

|  | Kundfordringar | | Avtalsfordringar | |
|---|---|---|---|---|
|  | **2024** | **2023** | **2024** | **2023** |
| **Ingående balans per 1 januari** | 340 | 417 | 0 | 0 |
| Ökning av förlustreserven, förändring redovisad i resultaträkningen | - | - | | |
| Reservering kreditförluster | - | - | | |
| Under året bortskrivna fordringar | -340 | -81 | | |
| Återföring av ej utnyttjat belopp | - | - | | |
| Valutakursdifferenser | - | 4 | | |
| **Utgående balans per 31 december** | **0** | **340** | **0** | **0** |

Det verkliga värdet på kundfordringar respektive avtalsfordringar motsvarar dess redovisade värde, eftersom diskonteringseffekten inte är väsentlig. Inga kundfordringar eller avtalsfordringar har ställts som säkerhet för någon skuld.

Åldersstrukturen på förfallna fordringar och förväntad förlustnivå (procentuell) framgår av tabellen nedan. Belopp i KSEK.

|  | Kundfordringar | | | | Avtalsfordringar | | | |
|---|---|---|---|---|---|---|---|---|
|  | **2024-12-31** | Varav förlust-reserv i % | **2023-12-31** | varav förlust-reserv i % | **2024-12-31** | varav förlust-reserv i % | **2023-12-31** | varav förlust-reserv i % |
| 1–30 | 14 994 | | 8 024 | | | | | |
| 31–60 | 8 525 | | 2 541 | | | | | |
| 61–90 | 6 562 | | 2 341 | | | | | |
| >90 | 17 926 | 0,0% | 21 609 | 0,3% | | | | |
| **Totalt** | **48 007** | **0,0%** | **34 515** | **0,3%** | **0** | **0** | **0** | **0** |

För mer information kring reserv kring kreditförluster, se avsnitt kreditrisk i not 3.1.2.

## Not 17. Övriga fordringar

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Moms och avräkning skatter/avgifter | 1 182 | 2 202 |
| Depositioner | 4 931 | 6 618 |
| Lån relaterat till avyttring av dotterbolag | 8 000 | 4 500 |
| Övrigt | 649 | 1 046 |
|  | **14 762** | **14 366** |

Se mer information under not 14.

## Not 18. Förutbetalda kostnader och upplupna intäkter

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Övriga förutbetalda kostnader | 12 267 | 13 958 |
| Avtalstillgångar | 57 956 | 43 477 |
| Övriga upplupna intäkter | 0 | 0 |
|  | **70 223** | **57 435** |

## Not 19. Likvida medel

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| EUR | 10 087 | 9 893 |
| USD | 1 435 | 1 972 |
| CAD | 1 268 | 2 193 |
| AUD | 1 003 | 1 795 |
| CHF | 2 371 | 5 181 |
| NOK | 39 | 366 |
| QAR | 1 469 | 166 |
| AED | 1 911 | 671 |
| CZK | 2 199 | 4 184 |
| Övriga valutor | 194 | 134 |
| **Totalt** | **21 976** | **26 555** |

## Not 20. Aktiekapital och övrigt tillskjutet kapital

Nedan tabell redogör för antalet stamaktier:

|  | 2024-12-31 | | 2023-12-31 | |
|---|---|---|---|---|
|  | Antal aktier (st) | Aktiekapital (kr) | Antal aktier (st) | Aktiekapital (kr) |
| Stamaktier | 3 910 000 | 2 228 700 | 3 910 000 | 2 228 700 |
|  | **3 910 000** | **2 228 700** | **3 910 000** | **2 228 700** |

Aktiekapitalet består per den 2024-12-31 av 3 910 000 stamaktier med kvotvärdet 0,57 kr.

Alla aktier som emitterats av moderföretaget är till fullo betalda.

## Not 21. Upplåning

Upplåning innefattar följande finansiella skulder:

| Långfristiga lån | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Övriga banklån | 16 332 | 33 422 |
|  | **16 332** | **33 422** |

| Kortfristiga lån | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Övriga banklån inkl. checkräkningskredit | 68 812 | 82 943 |
|  | **68 812** | **82 943** |

Övriga banklån består av förvärvslån hos Nordea. Lån löper på 1-5 år med en årlig räntesats motsvarande Stibor 3 månader + 2 % år 2024 (2023: Stibor 3 månader + 2-3 %). Koncernens upplåning är i SEK.

Banklån som har klassificerats som kortfristig avser den del av lånet som inte har en ovillkorlig rätt att skjuta upp betalning av skulden i åtminstone 12 månader efter rapportperiodens slut.

Vidare är skulder till kreditinstitut belagda med utfästelse om att vissa covenanter ska vara uppfyllda. För mer information, se avsnitt 3.2 Hantering av kapitalrisk.

Koncernen har en beviljad checkräkningskredit i valutan SEK om 75 000 KSEK (2022: 75 000 KSEK). Av beviljad checkräkningskredit har 51 512 KSEK utnyttjats per den 31 december 2024 (62 096 KSEK per 2023-12-31).

Förutom ovan checkkredit finns inga ej utnyttjade kreditfaciliteter inom koncernen.

## Not 22. Övriga långfristiga skulder

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Skuld till moderföretag | 18 289 | 7 400 |
| Övriga skulder | 5 503 | 2 495 |
|  | **23 792** | **9 895** |

## Not 23. Övriga kortfristiga skulder

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Skuld till moderföretag | 0 | 7 342 |
| Avgifter och skatter | 22 710 | 25 120 |
| Övriga skulder | 5 184 | 1 350 |
|  | **27 894** | **33 812** |

## Not 24. Upplupna kostnader och förutbetalda intäkter

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Personalrelaterade kostnader | 29 387 | 25 345 |
| Förutbetalda intäkter | 0 | 0 |
| Övrigt | 12 329 | 13 619 |
|  | **41 716** | **38 964** |

## Not 25. Ställda säkerheter och eventualförpliktelser

| Ställda säkerheter | 2024-12-31 | 2023-12-31 |
|---|---|---|
| För egna avsättningar och skulder: |  |  |
| *Skulder till kreditinstitut* |  |  |
| Företagsinteckningar | 73 000 | 73 000 |
|  | 73 000 | 73 000 |
| Aktier i Axiell Sverige AB | 18 319 | 24 107 |
| Aktier i Axiell Services AB | 494 | 443 |
| Aktier i Axiell Norge AS | 22 417 | 19 656 |
|  | 41 230 | 44 206 |
| **Totalt** | **114 230** | **117 206** |

Koncernen har inga eventualförpliktelser per den 2024-12-31 respektive 2023-12-31. Se moderbolagets not 54 för information om borgensförbindelser som moderbolaget ingått till förmån för Axiell Finland Oy och Axiell Sverige AB.

## Not 26. Transaktioner med närstående

Koncernen är majoritetsägd av Maxito AB, org. nr. 556249-9383 med säte i Stockholm. Närstående är samtliga dotterföretag i koncernen samt ledande befattningshavare och deras närstående i Axiell-koncernen. En redogörelse för dotterföretagen återfinns i not 44. Ersättning till styrelse och ledande befattningshavare redovisas i not 7.

Samtliga transaktioner med närstående har skett på marknadsmässiga villkor. Såvida annat inte är angivet finns inga transaktioner med specialvillkor och inga garantier har utfästs eller tagits emot. Utestående saldon regleras vanligen med likvida medel.

Axiell Group AB förvärvade 2016 varumärket Axiell från Maxito AB till ett nuvärdesberäknat anskaffningsvärde av 17 572 KSEK. Betalning på 4 000 KSEK (2 000 KSEK) (inklusive ränta) är gjord under året och varumärket är nu slutreglerat och inga fler betalningar ska göras.

Nuvärdesberäknad skuld för Axiell varumärke är 0 KSEK.

Följande transaktioner har skett med närstående:

| Skulder till närstående | 2024 | 2023 |
|---|---|---|
| *Ingående balans* | **17 275** | **33 529** |
| Reglering för Axiell varumärke | -3 942 | -1 885 |
| Tillkommande lån | 9 246 | - |
| Reglering av lån | - | -7 120 |
| Utdelning | 5 000 | - |
| Reglering av aktier i Axiell Group Intressenter AB | - | -7 249 |
| *Utgående balans* | **27 579** | **17 275** |

## Not 27. Förändringar i skulder som tillhör finansieringsverksamheten

Följande icke kassapåverkande justeringar och justeringar för förändringar i rörelsekapital har gjorts i resultat före skatt för att komma fram till kassaflödet från den löpande verksamheten:

| | 2023-01-01 | Kassa-inflöde | Kassa-utflöde | Ej kassaflödespåverkande poster | | | 2023-12-31 |
|---|---|---|---|---|---|---|---|
| | | | | Tillkommande leasingavtal | Valutakurs-differenser | Övriga förändringar | |
| Skulder till kreditinstitut | 89 244 | | -34 990 | | | 15 | 54 269 |
| Skulder närstående | 20 453 | | -6 667 | | | -453 | 13 333 |
| Leasingsskulder | 24 946 | | -15 214 | 21 874 | | | 31 606 |
| Checkräkningskredit | 62 500 | | -404 | | | | 62 096 |
| | 197 143 | | -58 345 | 21 874 | - | -438 | 161 304 |

| | 2024-01-01 | Kassa-inflöde | Kassa-utflöde | Ej kassaflödespåverkande poster | | | 2024-12-31 |
|---|---|---|---|---|---|---|---|
| | | | | Tillkommande leasingavtal | Valutakurs-differenser | Övriga förändringar | |
| Skulder till kreditinstitut | 54 269 | | -20 440 | | | -197 | 33 632 |
| Skulder närstående | 13 333 | 11 667 | -5 000 | | | 2 578 | 22 578 |
| Leasingsskulder | 31 606 | | -16 676 | 19 375 | | | 34 305 |
| Checkräkningskredit | 62 096 | | -10 584 | | | | 51 512 |
| | 161 304 | 11 667 | -52 700 | 19 375 | - | 2 382 | 142 028 |

## Not 28. Justering för poster som inte ingår i kassaflödet

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Av- och nedskrivningar på icke-finansiella poster | 37 970 | 36 841 |
| Orealiserade kursdifferenser | 0 | 0 |
| | **37 970** | **36 841** |

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## Not 29. Definitioner av nyckeltal

| Nyckeltal | Definitioner |
|---|---|
| EBITDA | Rörelseresultat före avskrivningar |
| EBITDA före kostnader av engångskaraktär | Rörelseresultat exkl. kostnader av engångskaraktär före avskrivningar |
| EBITDA-marginal (%) | Rörelseresultat före avskrivningar / Nettoomsättningen |
| EBIT | Rörelseresultat före finansiella poster |
| EBIT-marginal (%) | Rörelseresultat före finansiella poster / Nettoomsättningen |
| Avkastning på totalt kapital* | (Resultat före skatt + finansiella intäkter) / Balansomslutningen |
| Avkastning på eget kapital* | (Resultat före skatt + finansiella intäkter) / Justerat eget kapital |
| Kassalikviditet | (Omsättningstillgångar - lager) / Kortfristiga skulder |
| Soliditet* | Totalt eget kapital / Balansomslutningen |

*Beräkningen av avkastningen och soliditet har gjorts utifrån justerade balansräkningar. I syfte att på ett mer rättvisande sätt redovisa koncernens finansiella ställning har per bokslutsdagen ännu ej betalda fakturerade förskott nettoredovisats mot kundfordringar.

## Not 30. Rörelseförvärv

**Försäljning 2023**

Den 4 januari 2023 erhöll Axiell Group ett bud om förvärv av Axiell Media. Efter genomförd analys beslutades att budet skulle accepteras och verksamheten avyttrades per den 31 mars 2023. Axiell Media har fram t o m 31 mars 2023 varit en del av konsolideringen i Axiell Group och har således inte redovisats som Anläggningstillgång för försäljning. Fram t o m avyttringen bidrog Axiell Media till koncernen med en omsättning om 38 713 KSEK, vinst före skatt om 263 KSEK och ett kassaflöde om 44 KSEK.

Köpeskillingen är drygt 53 MSEK varav 32 MSEK erhållits kontant. Resultatet av försäljningen blev 20,6 MSEK efter avdrag av redovisat värde för sålda nettotillgångar/skulder på 9,0 MSEK, goodwill 18,8 MSEK, utdelning 4,0 MSEK samt försäljningskostnader 0,7 MSEK.

## Not 31. Händelser efter rapportperiodens slut

Inga händelser som leder till justeringar har inträffat mellan balansdagen och datumet för utfärdande.

# Moderbolagets räkningar

## Moderbolagets resultaträkning

| Belopp i KSEK | Not | 2024 | 2023 |
|---|---|---|---|
| Nettoomsättning | 34,35 | 146 383 | 153 119 |
| Aktiverat arbete för egen räkning | | 8 032 | 6 800 |
| Övriga rörelseintäkter | | 166 | 738 |
| | | **154 581** | **160 657** |
| | | | |
| Övriga externa kostnader | 36 | -100 490 | -103 776 |
| Personalkostnader | 37 | -52 336 | -52 615 |
| Avskrivningar och nedskrivningar av materiella- och immateriella anläggningstillgångar | 42,43 | -20 345 | -26 490 |
| **Summa rörelsekostnader** | | **-173 171** | **-182 881** |
| | | | |
| **Rörelseresultat** | | **-18 590** | **-22 224** |
| | | | |
| **Resultat från finansiella poster** | | | |
| Resultat från andelar i koncernföretag | 38 | 0 | 20 704 |
| Övriga ränteintäkter och liknande resultatposter | 38 | 5 150 | 3 758 |
| Räntekostnader och liknande resultatposter | 38 | -20 970 | -16 312 |
| **Finansiella poster – netto** | | **-15 820** | **8 150** |
| | | | |
| Bokslutsdispositioner | 39 | 23 427 | 26 670 |
| | | | |
| Inkomstskatt | 40 | -27 | -1 374 |
| | | | |
| **Årets resultat** | | **-11 010** | **11 222** |

I moderbolaget förekommer inga poster som redovisas som övrigt totalresultat varför summa totalresultat för perioden överensstämmer med periodens resultat.

Noterna på sidorna 43 till 54 utgör en integrerad del av redovisningen för moderbolaget.

## Moderbolagets balansräkning

| Belopp i KSEK | Not | 31 dec 2024 | 31 dec 2023 |
|---|---|---|---|
| **TILLGÅNGAR** | | | |
| | | | |
| **Anläggningstillgångar** | | | |
| *Immateriella anläggningstillgångar* | 42 | | |
| Goodwill | | 52 517 | 59 931 |
| Balanserade utvecklingsarbeten | | 56 854 | 57 404 |
| Varumärken | | 1 757 | 3 515 |
| Dataprogramvara | | 0 | 0 |
| Övriga immateriella anläggningstillgångar | | 10 170 | 9 479 |
| | | **121 298** | **130 329** |
| | | | |
| *Materiella anläggningstillgångar* | 43 | | |
| Nedlagda utgifter på annans fastighet | | 224 | 261 |
| Inventarier, verktyg och installationer | | 643 | 786 |
| | | **867** | **1 047** |
| | | | |
| *Finansiella anläggningstillgångar* | | | |
| Andelar i koncernföretag | 44 | 157 217 | 156 959 |
| Fordringar hos koncernföretag | 45 | 54 700 | 52 839 |
| Uppskjuten skattefordran | 41 | 9 623 | 9 650 |
| Andra långfristiga fordringar | 46 | 13 038 | 16 536 |
| | | **234 578** | **235 984** |
| | | | |
| **Summa anläggningstillgångar** | | **356 743** | **367 360** |
| | | | |
| **Omsättningstillgångar** | | | |
| *Kortfristiga fordringar* | | | |
| Kundfordringar | | 745 | 427 |
| Fordringar hos koncernföretag | | 44 836 | 44 436 |
| Aktuell skattefordran | | 414 | 572 |
| Övriga fordringar | 47 | 8 176 | 4 738 |
| Förutbetalda kostnader och upplupna intäkter | 48 | 4 576 | 5 097 |
| | | **58 747** | **55 270** |
| | | | |
| **Summa omsättningstillgångar** | | **58 747** | **55 270** |
| | | | |
| **SUMMA TILLGÅNGAR** | | **415 490** | **422 630** |

## Moderbolagets balansräkning *fortsättning*

| Belopp i KSEK | Not | 31 dec 2024 | 31 dec 2023 |
|---|---|---|---|
| **EGET KAPITAL** | | | |
| *Bundet eget kapital* | | | |
| Aktiekapital | | 2 229 | 2 229 |
| Fond för utvecklingsutgifter | | 53 072 | 52 677 |
| Reservfond | | 1 701 | 1 701 |
| | | **57 002** | **56 606** |
| *Fritt eget kapital* | | | |
| Balanserat resultat | | 15 254 | 14 428 |
| Årets resultat | | -11 010 | 11 222 |
| | | **4 244** | **25 649** |
| **Summa eget kapital** | | **61 246** | **82 256** |
| **Obeskattade reserver** | | | |
| Ackumulerade överavskrivningar | | 4 777 | 5 721 |
| | | **4 777** | **5 721** |
| **Långfristiga skulder** | | | |
| Skulder till kreditinstitut | 50 | 16 332 | 33 422 |
| Skulder till koncernföretag | | 0 | 16 781 |
| Övriga skulder | 51 | 22 578 | 8 667 |
| | | **38 910** | **58 870** |
| **Kortfristiga skulder** | | | |
| Checkräkningskredit | 50 | 51 512 | 62 096 |
| Skulder till kreditinstitut | | 17 300 | 20 847 |
| Leverantörsskulder | | 7 136 | 10 062 |
| Skulder till koncernföretag | | 221 418 | 165 326 |
| Aktuell skatteskuld | | 0 | 0 |
| Övriga skulder | 52 | 7 680 | 11 154 |
| Upplupna kostnader och förutbetalda intäkter | 53 | 5 511 | 6 298 |
| | | **310 557** | **275 783** |
| **Summa skulder** | | **354 244** | **334 653** |
| **SUMMA EGET KAPITAL OCH SKULDER** | | **415 490** | **422 630** |

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## Moderbolagets rapport över förändringar i eget kapital

| Belopp i KSEK | Not | Bundet eget kapital | | | | Fritt eget kapital | | | |
| | | Aktie-kapital | Reserv-fond | Fond för utvecklings-utgifter | Summa bundet eget kapital | Balanserat resultat | Årets resultat | Summa fritt eget kapital | Totalt |
|---|---|---|---|---|---|---|---|---|---|
| **Ingående balans per 2023-01-01** | | **2 229** | **1 701** | **53 092** | **57 022** | **33 633** | **-19 621** | **14 012** | **71 034** |
| Årets resultat (och tillika totalresultat) | | | | | | | 11 222 | 11 222 | 11 222 |
| Utdelningar | | | | | | | | | |
| Förändring fond för utvecklingsutgifter | | | | -415 | -415 | 415 | | 415 | |
| Omföring av föregående års resultat | | | | | | -19 621 | 19 621 | | |
| **Utgående balans per 2023-12-31** | | **2 229** | **1 701** | **52 677** | **56 606** | **14 428** | **11 222** | **25 649** | **82 256** |
| | | | | | | | | | |
| **Ingående balans per 2024-01-01** | | **2 229** | **1 701** | **52 677** | **56 606** | **14 428** | **11 222** | **25 649** | **82 256** |
| Årets resultat (och tillika totalresultat) | | | | | | | -11 010 | -11 010 | -11 010 |
| Utdelningar | | | | | | -10 000 | | -10 000 | -10 000 |
| Förändring fond för utvecklingsutgifter | | | | 395 | 395 | -395 | | -395 | |
| Omföring av föregående års resultat | | | | | | 11 222 | -11 222 | | |
| **Utgående balans per 2024-12-31** | | **2 229** | **1 701** | **53 072** | **57 002** | **15 254** | **-11 010** | **4 244** | **61 246** |

# Moderbolagets kassaflödesanalys

**Belopp i KSEK**

| | Not | 2024 | 2023 |
|---|---|---|---|
| **Den löpande verksamheten** | | | |
| Rörelseresultat | | -18 590 | -22 224 |
| Justering för poster som inte ingår i kassaflödet m.m | 58 | 20 345 | 37 741 |
| Erhållen ränta | | 5 150 | 3 758 |
| Erhållna utdelningar | | 0 | 10 820 |
| Betald ränta | | -20 183 | -16 097 |
| Betald/erhållen inkomstskatt | | 158 | -652 |
| **Kassaflöde från den löpande verksamheten före förändring av rörelsekapital** | | **-13 120** | **13 346** |
| | | | |
| **Kassaflöde från förändringar i rörelsekapital** | | | |
| Förändring av kundfordringar och andra fordringar | | -9 993 | -7 559 |
| Förändring av leverantörsskulder och andra skulder | | 33 791 | 6 969 |
| **Kassaflöde från den löpande verksamheten** | | **10 678** | **12 756** |
| | | | |
| **Investeringsverksamheten** | | | |
| Förvärv av aktier i dotterföretag | | -258 | 0 |
| Förvärv av immateriella anläggningstillgångar | | -10 952 | -10 672 |
| Förvärv av materiella anläggningstillgångar | | -182 | -873 |
| Förvärv av finansiella tillgångar | | -44 | -23 |
| Resultat från andelar i koncernföretag | | 0 | 20 853 |
| Ökning/minskning kortfristiga finansiella placeringar och fordringar | | 3 500 | 0 |
| Avyttring av övriga finansiella tillgångar | | 42 | 20 |
| **Kassaflöde från investeringsverksamheten** | | **-7 894** | **9 305** |
| | | | |
| **Finansieringsverksamheten** | | | |
| Erhållna koncernbidrag | | 26 980 | 20 000 |
| Utbetald utdelning | | -5 000 | 0 |
| Upptagna lån | 57 | 11 667 | 0 |
| Amortering av lån | 57 | -25 847 | -41 657 |
| Förändring av checkräkningskredit | 57 | -10 584 | -404 |
| **Kassaflöde från finansieringsverksamheten** | | **2 784** | **-22 061** |
| | | | |
| **Årets kassaflöde** | | **0** | **0** |
| Likvida medel vid årets början | | 0 | 0 |
| Kursdifferens i likvida medel | | 0 | 0 |
| **Likvida medel vid årets slut** | | **0** | **0** |

# Noter till moderbolaget

## Not 32. Allmän information

Företag Axiell Group AB med organisationsnummer 556349–2189, är ett aktiebolag registrerat i Sverige med säte i Lund. Adressen till huvudkontoret är Mobilvägen 4, 223 62 Lund, Sverige.

Om inte annat särskilt anges, redovisas alla belopp i tusentalkronor (KSEK).

## Not 33. Sammanfattning av viktiga redovisningsprinciper

De viktigaste redovisningsprinciperna som tillämpats när denna årsredovisning har upprättats anges nedan. Dessa principer har tillämpats konsekvent för alla presenterade år, om inte annat anges.

Årsredovisningen för moderföretaget är upprättad i enlighet med RFR 2 *Redovisning* för juridiska personer och Årsredovisningslagen. Årsredovisningen har upprättats enligt anskaffningsvärdemetoden. I de fall moderföretaget tillämpar andra redovisningsprinciper än koncernens redovisningsprinciper, som beskrivs i not 2.1 i koncernredovisningen, anges dessa nedan.

Moderföretaget utsätts genom sin verksamhet för en mängd olika finansiella risker: marknadsrisk (valutarisk och ränterisk), kreditrisk och likviditetsrisk. Moderföretagets övergripande riskhanteringspolicy fokuserar på oförutsägbarheten på de finansiella marknaderna och eftersträvar att minimera potentiella ogynnsamma effekter på koncernens finansiella resultat. För mer information om finansiella risker hänvisas till koncernredovisningen not 3.

Att upprätta rapporter i överensstämmelse med RFR 2 kräver användning av en del viktiga uppskattningar för redovisningsändamål. Vidare krävs att ledningen gör vissa bedömningar vid tillämpningen av moderföretagets redovisningsprinciper. De områden som innefattar en hög grad av bedömning, som är komplexa eller sådana områden där antaganden och uppskattningar är av väsentlig betydelse för årsredovisningen anges i koncernredovisningens not 4.

Moderföretaget tillämpar andra redovisningsprinciper än koncernen i de fall som anges nedan:

### Uppställningsformer

Resultat- och balansräkning följer årsredovisningslagens uppställningsform. Rapport över förändring av eget kapital följer också koncernens uppställningsform men ska innehålla de kolumner som anges i ÅRL. Vidare innebär det skillnad i benämningar, jämfört med koncernredovisningen, främst avseende finansiella intäkter och kostnader och eget kapital.

### Andelar i dotterföretag

Andelar i dotterföretag redovisas till anskaffningsvärde efter avdrag för eventuella nedskrivningar. I anskaffningsvärdet inkluderas förvärvsrelaterade kostnader och eventuella tilläggsköpeskillingar. När det finns en indikation på att andelar i dotterföretag minskat i värde görs en beräkning av återvinningsvärdet. Är detta lägre än det redovisade värdet görs en nedskrivning. Nedskrivningar redovisas i posten "Resultat från andelar i koncernföretag".

### Aktieägartillskott och koncernbidrag

Koncernbidrag lämnade från moderföretag till dotterföretag och koncernbidrag erhållna till moderföretag från dotterföretag redovisas som bokslutsdisposition. Lämnat aktieägartillskott redovisas i moderbolaget som en ökning av andelens redovisade värde och i det mottagande företaget som en ökning av eget kapital.

### Finansiella instrument

IFRS 9 tillämpas ej i moderföretaget. Moderföretaget tillämpar istället de punkterna som anges i RFR 2 (IFRS 9 Finansiella instrument, p. 3–10).

Finansiella instrument värderas med utgångspunkt till anskaffningsvärde. Inom efterföljande perioder kommer finansiella tillgångar som är anskaffade med avsikt att innehas kortsiktigt att redovisas i enlighet med lägsta värdets princip till det lägsta av anskaffningsvärde och marknadsvärde. Derivatinstrument med negativt verkligt värde redovisas till detta värde.

Vid beräkning av nettoförsäljningsvärdet på fordringar som redovisas som omsättningstillgångar ska principerna för nedskrivningsprövning och förlustriskreservering i IFRS 9 tillämpas. För en fordran som redovisas till upplupet anskaffningsvärde på koncernnivå innebär detta att den förlustriskreserv som redovisas i koncernen i enlighet med IFRS 9 även ska tas upp i moderföretaget.

### Operationell leasing

Moderbolaget har valt att inte tillämpa IFRS 16 Leasingavtal, utan har i stället valt att tillämpa undantaget i RFR 2. Samtliga leasingavtal redovisas som operationell leasing, oavsett om avtalen är finansiella eller operationella. Leasingavgiften redovisas som en kostnad linjärt över leasingperioden.

### Inkråmsgoodwill

Inkråmsgoodwill är skillnaden mellan den betalda ersättningen och det behållna värdet av de tillgångar som förvärvats och de skulder som övertagits. Skattemässigt skrivs goodwill av antingen genom räkenskapsenlig avskrivning eller genom restvärdeavskrivning. Avskrivningstiden är 10 år.

### Bokslutsdispositioner

Förändringar av obeskattade reserver redovisas som bokslutsdispositioner i resultaträkningen. Koncernbidrag redovisas som bokslutsdispositioner.

## Not 34. Nettoomsättning per geografisk marknad/land

Moderbolaget har redovisat följande belopp i resultaträkningen hänförliga till intäkter:

|  | 2024 | 2023 |
|---|---|---|
| Tjänster till dotterbolag | 146 383 | 153 119 |
|  | **146 383** | **153 119** |

| Nettoomsättning per geografi | 2024 | 2023 |
|---|---|---|
| Norden | 77 078 | 81 299 |
| Europa, exklusive Norden | 50 326 | 51 341 |
| Nordamerika | 12 932 | 15 563 |
| Övriga länder | 6 047 | 4 916 |
|  | **146 383** | **153 119** |

## Not 35. Inköp och försäljning mellan koncernföretag

|  | 2024 | 2023 |
|---|---|---|
| Andel av årets totala inköp som skett från andra företag i koncernen | 44 % | 46 % |
| Andel av årets totala försäljningar som skett till andra företag i koncernen | 100 % | 100 % |

## Not 36. Ersättning till revisorerna

|  | 2024 | 2023 |
|---|---|---|
| *PwC* |  |  |
| Revisionsuppdrag | 450 | 600 |
| Övriga tjänster | 80 | 0 |
|  | **530** | **600** |

Ovan redovisas arvoden och ersättningar till revisorer som kostnadsförts under året. Ersättning för konsultationer redovisas i de fall samma revisionsbyrå innehar revisionsuppdraget i det enskilda bolaget. Med revisionsuppdrag avses den lagstadgade revisionen av årsredovisningen samt styrelsens och verkställande direktörens förvaltning.  Skatterådgivning är konsultation i skatterättsliga frågeställningar. Övriga tjänster avser rådgivning som inte är hänförbar till någon av de andra kategorierna.

## Not 37. Ersättning till anställda, m.m.

| Löner, andra ersättningar och sociala avgifter - anställda | 2024 | 2023 |
|---|---|---|
| Löner och andra ersättningar (varav tantiem) | 25 591 (0) | 22 836 (0) |
| Sociala avgifter | 8 625 | 8 424 |
| Pensionskostnader – avgiftsbestämda planer | 3 285 | 2 552 |
| **Summa ersättningar till anställda** | **37 501** | **33 812** |

| Löner, andra ersättningar och sociala avgifter - styrelse, VD och andra ledande befattningshavare | 2024 | 2023 |
|---|---|---|
| Löner och andra ersättningar (varav tantiem) | 9 908 (0) | 10 600 (0) |
| Sociala avgifter | 3 448 | 3 394 |
| Pensionskostnader – avgiftsbestämda planer | 2 376 | 2 584 |
| **Summa ersättningar till styrelseledamöter,verkställande direktör och andra ledande befattningshavare** | **15 732** | **16 578** |

*37.1 Medelantal anställda med geografisk fördelning per land*

| | 2024 | | 2023 | |
|---|---|---|---|---|
| | Medelantal anställda | Varav män | Medelantal anställda | Varav män |
| Sverige | 46 | 23 | 44 | 23 |
| Övriga Europa | 0 | 0 | 0 | 0 |
| | 46 | 23 | 44 | 23 |

*37.2 Könsfördelning i moderbolaget för styrelseledamöter och övriga ledande befattningshavare*

| | 2024 | | 2023 | |
|---|---|---|---|---|
| | Antal på balansdagen | Varav män | Antal på balansdagen | Varav män |
| Styrelseledamöter | 4 | 4 | 4 | 3 |
| Verkställande direktör och övriga ledande befattningshavare | 5 | 3 | 5 | 3 |
| | 9 | 7 | 9 | 6 |

För upplysning kring uppsägningstid respektive ersättningar till ledande befattningshavare se not 7 i koncernredovisningen.

## Not 38. Övriga ränteintäkter och liknande resultatposter samt räntekostnader och liknande resultatposter

| Övriga ränteintäkter och liknande resultatposter | 2024 | 2023 |
|---|---|---|
| Ränteintäkter, externa | 2 814 | 1 239 |
| Ränteintäkter, koncernföretag | 2 336 | 2 519 |
| Utdelning från dotterbolag | 0 | 10 820 |
| Resultat från andelar i koncernföretag | 0 | 9 884 |
| Valutakursdifferenser | 0 | 0 |
| **Totalt** | **5 150** | **24 462** |

| Räntekostnader och liknande resultatposter | 2024 | 2023 |
|---|---|---|
| Räntekostnader, externa | -7 901 | -8 779 |
| Räntekostnader, koncernföretag | -8 466 | -6 674 |
| Valutakursdifferenser | -4 603 | -859 |
| **Totalt** | **-20 970** | **-16 312** |

| **Finansiella poster - netto** | **-15 820** | **8 150** |
|---|---|---|

## Not 39. Bokslutsdispositioner

| | 2024 | 2023 |
|---|---|---|
| Skillnad mellan bokförda avskrivningar och avskrivningar enligt plan | 943 | -310 |
| Erhållna koncernbidrag | 22 484 | 26 980 |
| | 23 427 | 26 670 |

## Not 40. Inkomstskatt

|  | 2024 | 2023 |
|---|---|---|
| **Aktuell skatt** | | |
| Skatt hänförlig till tidigare år | 0 | 0 |
| | | |
| **Uppskjuten skatt** | | |
| Hänförlig till uppkomst och återförande av temporära skillnader | -27 | -1 374 |
| | | |
| **Inkomstskatt redovisas i resultaträkningen** | **-27** | **-1 374** |

Inkomstskatten på resultat före skatt skiljer sig från det teoretiska belopp som skulle ha framkommit vid användning av skattesatsen för moderbolaget enligt följande:

|  | 2024 | 2023 |
|---|---|---|
| **Resultat före skatt** | -10 983 | 12 595 |
| Inkomstskatt beräknad enligt skattesats i Sverige 20,6 % (20,6 %) | 2 262 | -2 595 |
| Skatteeffekter av: | | |
| Ej skattepliktiga intäkter | 10 | 6 748 |
| Ej avdragsgilla kostnader | -2 299 | -5 527 |
| **Totalt inkomstskatt** | **-27** | **-1 374** |

## Not 41. Uppskjuten skatt

**Uppskjutna skattefordringar**
Redovisade belopp avser temporära skillnader hänförliga till:

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Skattemässiga underskott | 46 750 | 46 846 |
| **Summa uppskjutna skattefordringar** | | |

| Bruttoförändringar | Skattemässiga underskott |
|---|---|
| **Per 1 januari 2023** | **11 024** |
| Redovisat i resultaträkningen | -1 374 |
| **Per 31 december 2023** | **9 650** |
| **Per 1 januari 2024** | **9 650** |
| Redovisat i resultaträkningen | -27 |
| **Per 31 december 2024** | **9 623** |

Uppskjutna skattefordringar redovisas för skattemässiga underskottsavdrag i den utsträckning som det är sannolikt att de kan tillgodogöras genom framtida beskattningsbara vinster. Underskottsavdrag för vilken uppskjuten skattefordran har redovisats i moderbolaget uppgår till 9 623 KSEK per 2024-12-31 (2023-12-31: 9 650 KSEK).

Alla uppskjutna skattefordringar (inklusive underskottsavdrag och andra skatteavdrag) har redovisats i balansräkningen.

# Not 42. Immateriella tillgångar

| | Goodwill | Balanserade utvecklingsar beten och liknande arbeten | Varumärken och liknande rättigheter | Dataprogram vara | Övriga immateriella tillgångar | Sum |
|---|---|---|---|---|---|---|
| Ingående ack anskaffningsvärde 2023-01-01 | 73 073 | 86 027 | 17 572 | 12 915 | 9 635 | 199 : |
| Årets anskaffningar | 1 069 | 6 800 | | | 2 803 | 10 ( |
| Årets försäljningar/avyttringar | | | | | | |
| Utgående ack anskaffningsvärde 2023-12-31 | 74 142 | 92 827 | 17 572 | 12 915 | 12 438 | 209 8 |
| | | | | | | |
| Ingående ack avskrivningar 2023-01-01 | -6 699 | -27 262 | -12 300 | -12 915 | -1 198 | -60 : |
| Årets avskrivningar | -7 512 | -8 161 | -1 757 | | -1 761 | -19 |
| Årets försäljningar/avyttringar | | | | | | |
| Utgående ack avskrivningar per 2023-12-31 | -14 211 | -35 423 | -14 057 | -12 915 | -2 959 | -79 5 |
| Redovisat värde 2023-12-31 | 59 931 | 57 404 | 3 515 | 0 | 9 479 | 130 : |
| | | | | | | |
| Ingående ack anskaffningsvärde 2024-01-01 | 74 142 | 92 827 | 17 572 | 12 915 | 12 438 | 209 8 |
| Årets anskaffningar | | 8 032 | | | 2 921 | 10 ! |
| Årets försäljningar/avyttringar | | | | | | |
| Utgående ack anskaffningsvärde 2024-12-31 | 74 142 | 100 859 | 17 572 | 12 915 | 15 359 | 220 8 |
| | | | | | | |
| Ingående ack avskrivningar 2024-01-01 | -14 211 | -35 423 | -14 057 | -12 915 | -2 959 | -79 5 |
| Årets avskrivningar | -7 414 | -8 582 | -1 758 | | -2 230 | -19 ! |
| Årets försäljningar/avyttringar | | | | | | |
| Utgående ack avskrivningar per 2024-12-31 | -21 625 | -44 005 | -15 815 | -12 915 | -5 189 | -99 5 |
| Redovisat värde 2024-12-31 | 52 517 | 56 854 | 1 757 | 0 | 10 170 | 121 : |

## Not 43. Materiella anläggningstillgångar

| | Nedlagda utgifter på annans fastighet | Inventarier, verktyg och installationer | Summa |
|---|---|---|---|
| Ingående ack anskaffningsvärde 2023-01-01 | 0 | 3 887 | 3 887 |
| Årets anskaffningar | 308 | 565 | 873 |
| Årets försäljningar/avyttringar | 0 | 0 | 0 |
| Utgående ack anskaffningsvärde 2023-12-31 | 308 | 4 452 | 4 760 |
| | | | |
| Ingående ack avskrivningar 2023-01-01 | 0 | -3 310 | -3 310 |
| Årets avskrivningar | -47 | -356 | -403 |
| Årets försäljningar/avyttringar | 0 | 0 | 0 |
| Utgående ack avskrivningar per 2023-12-31 | -47 | -3 666 | -3 713 |
| Redovisat värde 2023-12-31 | 261 | 786 | 1 047 |
| | | | |
| Ingående ack anskaffningsvärde 2024-01-01 | 308 | 4 452 | 4 760 |
| Årets anskaffningar | 29 | 153 | 182 |
| Årets försäljningar/avyttringar | 0 | 0 | 0 |
| Utgående ack anskaffningsvärde 2024-12-31 | 337 | 4 605 | 4 942 |
| | | | |
| Ingående ack avskrivningar 2024-01-01 | -47 | -3 666 | -3 713 |
| Årets avskrivningar | -66 | -296 | -362 |
| Årets försäljningar/avyttringar | 0 | 0 | 0 |
| Utgående ack avskrivningar per 2024-12-31 | -113 | -3 962 | -4 075 |
| Redovisat värde 2024-12-31 | 224 | 643 | 867 |

# Not 44. Andelar i koncernföretag

I koncernen ingår följande direkta innehav i dotterföretag:

| Namn | Säte | Antal andelar | Andel % 2024-12-31 | Andel % 2023-12-31 | Redovisat värde 2024-12-31 | Redovisat värde 2023-12-31 |
|---|---|---|---|---|---|---|
| Axiell Sverige AB, 556739-8218 | Lund | 1 000 | 100 | 100 | 100 | 100 |
| *ATP Automation Ltd OY, 1498696-6* | Parola | 200 | 100 | 100 | | |
| Axiell Danmark A/S, 26994969 | Köpenhamn | 2 000 | 100 | 100 | | |
| Axiell Norge AS, 945851910 | Oslo | 32 508 | 100 | 100 | 40 339 | 40 339 |
| Mikromarc UK Limited, 03995087 | Northiam | 50 000 | 100 | 100 | | |
| Axiell Finland OY, 2370994-4 | Vanda | 2 500 | 100 | 100 | 12 535 | 12 535 |
| Axiell Deutschland GmbH, 12057280151 | Mülheim | 10 | 100 | 100 | 14 326 | 14 326 |
| Axiell Switzerland GmbH, CHE104421708 | Zug | 300 | 100 | 100 | 844 | 844 |
| Axiell Library Ltd, 6562155 | Nottingham | 100 000 | 100 | 100 | 19 874 | 19 874 |
| *Axiell Ltd, 1607548* | Nottingham | 1 049 892 | 100 | 100 | | |
| Axiell ALM Ltd, 7680482 | Nottingham | 100 | 100 | 100 | 13 561 | 13 561 |
| *Axiell Ireland ltd, 108820* | Dublin | 2 | 100 | 100 | | |
| *KE Software (UK) Ltd, 3999190* | Manchester | 1 | 100 | 100 | | |
| *Adlib Information Systems ltd, 2559749* | Nottingham | 48 786 | 100 | 100 | | |
| Axiell ALM Netherlands B.V., 55462227 | Maarssen | 18 000 | 100 | 100 | 25 790 | 25 790 |
| Axiell ALM Germany GmbH, HRB 83374 | Potsdam | 25 000 | 100 | 100 | 1 992 | 1 992 |
| Axiell France SARL, 804272086 | Lyon | 1 000 | 0 | 100 | | 91 |
| Mobydoc S.A., 332024223 | Toulouse | 606 | 100 | 100 | 91 | |
| Axiell ALM Canada Inc, BC0448721 | Vancouver | 7 | 100 | 100 | 5 549 | 5 549 |
| Axiell Australia Pty Ltd, ABN168799380 | Abbotsford | 100 | 100 | 100 | | |
| KE Software Pty Ltd, ABN99006213298 | Abbotsford | 100 | 100 | 100 | | |
| *Axiell Pty Ltd, ABN096105252* | Abbotsford | 1 | 100 | 100 | | |
| *Axiell Ltd, 3517291* | Auckland | 1 | 100 | 100 | | |
| Axiell ALM Inc, EIN95-4867657 | Wilmington | 100 | 100 | 100 | | |
| *Culture Connect, LLC, 41352147K* | New York | 5 105 | 100 | 100 | | |
| Axiell s.r.o., 24127582 | Prag | 100 | 100 | 100 | 21 908 | 21 182 |
| Moderni historie s.r.o., 24315079 | Prag | 100 | 0 | 100 | 0 | 726 |
| Axiell ALM India Private Limited, U62090TN2023FTC165932 | Chennai | 19 998 | 100 | 0 | 258 | 0 |
| Axiell Services AB, 559110-7577 | Lund | 500 | 100 | 100 | 50 | 50 |
| Axiell Belgium B.V., 0780483972 | WoluweSaint-Lambert | 100 | 100 | 100 | | |
| | | | | | 157 217 | 156 959 |

Indirekta innehav ovan anges med kursiv stil. 0

Samtliga dotterföretag bedriver verksamhet inom bibliotek, arkiv, muséer och e-media i bokbranschen

**Förändring under året:**

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Ingående ackumulerade anskaffningsvärden | 182 938 | 221 439 |
| Förvärv | 258 | 0 |
| Avyttring | 0 | -38 501 |
| Utgående ackumulerade anskaffningsvärden | 183 196 | 182 938 |
| Ingående ackumulerade nedskrivningar | -25 979 | -14 650 |
| Årets nedskrivningar | 0 | -11 329 |
| Utgående ackumulerade nedskrivningar | -25 979 | -25 979 |
| Utgående redovisat värde | 157 217 | 156 959 |

## Not 45. Fordringar hos koncernföretag

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Ingående ackumulerade anskaffningsvärden | 52 839 | 53 813 |
| Valutakursdifferenser | 1 861 | -974 |
| Tillkommande fordringar | 0 | 0 |
| Betalningar/amorteringar | 0 | 0 |
| Utgående ackumulerade anskaffningsvärden | 54 700 | 52 839 |

## Not 46. Andra långfristiga fordringar

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Ingående ackumulerade anskaffningsvärden | 16 536 | 33 |
| Under året omfört till kortfristig fordran | -3 500 | 0 |
| Tillkommande fordringar | 44 | 16 523 |
| Betalningar/amorteringar | -42 | -20 |
| Utgående ackumulerade anskaffningsvärden | 13 038 | 16 536 |

Posten består av lån relaterat till avyttring av dotterbolag på 13 000 KSEK samt depositioner. Se koncernens not 14 för mer information.

## Not 47. Övriga fordringar

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Moms och avräkning skatter/avgifter | 103 | 62 |
| Lån relaterat till avyttring av dotterbolag | 8 000 | 4 500 |
| Övrigt | 73 | 176 |
| Totalt | 8 176 | 4 738 |

## Not 48. Förutbetalda kostnader och upplupna intäkter

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Förutbetalda leasingavgifter | 701 | 971 |
| Kostnader för licenser | 3 073 | 2 372 |
| Övriga förutbetalda kostnader | 802 | 1 754 |
| Totalt | 4 576 | 5 097 |

## Not 49. Aktiekapital och övrigt tillskjutet kapital

Se koncernens not 20 för information om moderbolagets aktiekapital.

## Not 50. Långfristiga skulder

Skulder som förfaller mellan ett och fem år från balansdagen:

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Skulder till kreditinstitut | 16 332 | 33 422 |
| Övriga skulder | 22 578 | 8 667 |
| **Totalt** | **38 910** | **42 089** |

Skulder som förfaller till betalning efter mer än fem år:

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Skulder till kreditinstitut | 0 | 0 |
| Övriga skulder | 0 | 0 |
| **Totalt** | **0** | **0** |
| | | |
| **Redovisat värde** | **38 910** | **42 089** |

Skulder till kreditinstitut förfaller fram till september 2027 och löper med en genomsnittlig ränta om Stibor+2% per år 2024 (2023: Stibor+2-3 % per år). Moderbolagets upplåning är i SEK.

Skulder till kreditinstitut som har klassificerats som kortfristig avser den del av lånet som inte har en ovillkorlig rätt att skjuta upp betalning av skul i åtminstone 12 månader efter rapportperiodens slut.

Skulder till kreditinstitut är belagda med utfästelse om att vissa covenanter ska vara uppfyllda. För mer information, se avsnitt 3.2 Hantering av kapitalrisk.

Moderbolaget har en beviljad checkräkningskredit i valutan SEK om 75 000 KSEK. Av beviljad checkräkningskredit har 51 512 KSEK utnyttjats per 31 december 2024 (62 096 KSEK per 2023-12-31).

Förutom ovan checkkredit finns inga ej utnyttjade kreditfaciliteter i moderbolaget.

## Not 51. Övriga långfristiga skulder

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Skuld till moderföretag | 18 288 | 7 400 |
| Övriga skulder | 4 290 | 1 267 |
| | **22 578** | **8 667** |

## Not 52. Övriga kortfristiga skulder

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Skuld till moderföretag | 0 | 7 342 |
| Avgifter och skatter | 2 680 | 2 546 |
| Ej utbetald utdelning | 5 000 | 0 |
| Övriga skulder | 0 | 1 266 |
| | **7 680** | **11 154** |

## Not 53. Upplupna kostnader och förutbetalda intäkter

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Personalrelaterade kostnader | 2 823 | 3 292 |
| Revision | 365 | 520 |
| Konsultkostnader | 964 | 836 |
| Licenskostnad | 690 | 888 |
| Övrigt | 669 | 762 |
|  | **5 511** | **6 298** |

## Not 54. Ställda säkerheter och eventualförpliktelser

| Ställda säkerheter | 2024-12-31 | 2023-12-31 |
|---|---|---|
| För egna avsättningar och skulder: |  |  |
| *Skulder till kreditinstitut* |  |  |
| Företagsinteckningar | 60 000 | 60 000 |
|  | **60 000** | **60 000** |
| Aktier i Axiell Sverige AB | 100 | 100 |
| Aktier i Axiell Services AB | 50 | 50 |
| Aktier i Axiell Norge AS | 26 893 | 26 893 |
|  | **87 043** | **87 043** |

**Totalt**

| Eventualförpliktelser | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Borgensförbindelse till förmån för koncernföretag | 2 000 | 2 000 |

Moderföretaget har ingått borgensförbindelse till förmån för Axiell Sverige AB och i samband med förvärvet av ATP Automation Ltd Oy har moderföretaget ingått borgensförbindelse till förmån för Axiell Finland Oy inom ramen för checkräkningskrediten hos Nordea.

## Not 55. Leasing

Moderbolaget har valt att ej tillämpa IFRS 16 i juridisk person och redovisar samtliga leasingavtal som operationella.
Huvuddelen av moderföretagets leasingavtal avser lokaler, IT-drift och tjänstebilar.

Framtida sammanlagda minimileaseavgifter för icke-uppsägningsbara operationella leasingavtal är som följer:

|  | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Inom 1 år | 5 338 | 5 052 |
| Mellan 1–5 år | 9 633 | 10 225 |
| Efter 5 år | 0 | 0 |
|  | **14 971** | **15 277** |

## Not 56. Transaktioner med närstående

Se koncernens not 26 för information om moderbolagets transaktioner med närstående.

## Not 57. Förändringar i skulder som tillhör finansieringsverksamheten

| | 2023-01-01 | Kassainflöde | Kassautflöde | Upplupen ränta | 2023-12-31 |
|---|---|---|---|---|---|
| Skulder till kreditinstitut | 89 160 | | -34 990 | 99 | 54 269 |
| Skulder till närstående | 20 453 | | -6 667 | -453 | 13 333 |
| Checkräkningskredit | 62 500 | | -404 | | 62 096 |
| | 172 113 | | -42 061 | -354 | 129 698 |

| | 2024-01-01 | Kassainflöde | Kassautflöde | Upplupen ränta | 2024-12-31 |
|---|---|---|---|---|---|
| Skulder till kreditinstitut | 54 269 | | -20 847 | 210 | 33 632 |
| Skulder till närstående | 13 333 | 11 667 | -5 000 | 2 578 | 22 579 |
| Checkräkningskredit | 62 096 | | -10 584 | | 51 512 |
| | 129 698 | 11 667 | -36 431 | 2 788 | 107 722 |

## Not 58. Justering för poster som inte ingår i kassaflödet

| | 2024-12-31 | 2023-12-31 |
|---|---|---|
| Av- och nedskrivningar på icke-finansiella poster | 20 345 | 26 412 |
| Nedskrivning av andelar i koncernföretag | 0 | 11 329 |
| | 20 345 | 37 741 |

## Not 59. Händelser efter rapportperiodens slut

För händelser efter räkenskapsårets utgång, se not 31 för koncernen.

## Not 60. Förslag till vinstdisposition

|  | 2024-12-31 |
|---|---|
| Balanserad vinst från föregående år | 15 649 682 |
| Omföring till fond för utvecklingsutgifter | -395 398 |
| Årets resultat | -11 010 018 |
| **Summa** | **4 244 266** |

| Styrelsen föreslår att den balanserade vinsten disponeras enligt följande: |  |
|---|---|
| i ny räkning överförs | 4 244 266 |
| **Summa** | **4 244 266** |

Styrelsen och verkställande direktören försäkrar att koncernredovisningen har upprättats i enlighet med internationella redovisningsstandarder IFRS sådana de antagits av EU och ger en rättvisande bild av koncernens ställning och resultat. Årsredovisningen har upprättats i enlighet med god redovisningssed och ger en rättvisande bild av moderbolagets ställning och resultat.

Förvaltningsberättelsen för koncernen och moderbolaget ger en rättvisande översikt över utvecklingen av koncernens och moderbolagets verksamhet, ställning och resultat samt beskriver väsentliga risker och osäkerhetsfaktorer som moderbolaget och de företag som ingår i koncernen står inför.

Lund, den dag som framgår av vår elektroniska signatur

 

 

Joel Sommerfeldt
Ordförande

Mats Hentzel

 

Stein Kleppestö

Joakim Nideborn

 

Maria Wasing
*Verkställande direktör*

Vår revisionsberättelse har lämnats den dag som framgår av vår elektroniska signatur

Öhrlings PricewaterhouseCoopers AB

Mikael Nilsson
Auktoriserad revisor

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**Joakim Nideborn**

Joakim Nideborn
Date: 2025-05-22 07:31 CEST
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**pwc**

# Revisionsberättelse

## Rapport om årsredovisningen och koncernredovisningen

### Uttalanden

Vi har utfört en revision av årsredovisningen och koncernredovisningen för Axiell Group AB för år 2024.

Enligt vår uppfattning har årsredovisningen upprättats i enlighet med årsredovisningslagen och ger en i alla väsentliga avseenden rättvisande bild av moderbolagets finansiella ställning per den 31 december 2024 och av dess finansiella resultat och kassaflöde för året enligt årsredovisningslagen. Koncernredovisningen har upprättats i enlighet med årsredovisningslagen och ger en i alla väsentliga avseenden rättvisande bild av koncernens finansiella ställning per den 31 december 2024 och av dess finansiella resultat och kassaflöde för året enligt IFRS Redovisningsstandarder, som de antagits av EU, och årsredovisningslagen. Förvaltningsberättelsen är förenlig med årsredovisningens och koncernredovisningens övriga delar.

Vi tillstyrker därför att bolagsstämman fastställer resultaträkningen och balansräkningen för moderbolaget samt resultaträkningen och rapporten över finansiell ställning för koncernen.

### Grund för uttalanden

Vi har utfört revisionen enligt International Standards on Auditing (ISA) och god revisionssed i Sverige. Vårt ansvar enligt dessa standarder beskrivs närmare i avsnittet Revisorns ansvar. Vi är oberoende i förhållande till moderbolaget och koncernen enligt god revisorssed i Sverige och har i övrigt fullgjort vårt yrkesetiska ansvar enligt dessa krav.

Vi anser att de revisionsbevis vi har inhämtat är tillräckliga och ändamålsenliga som grund för våra uttalanden.

### Styrelsens och verkställande direktörens ansvar

Det är styrelsen och verkställande direktören som har ansvaret för att årsredovisningen och koncernredovisningen upprättas och att de ger en rättvisande bild enligt årsredovisningslagen och, vad gäller koncernredovisningen, enligt IFRS Redovisningsstandarder, som de antagits av EU, och årsredovisningslagen. Styrelsen och verkställande direktören ansvarar även för den interna kontroll som de bedömer är nödvändig för att upprätta en årsredovisning och koncernredovisning som inte innehåller några väsentliga felaktigheter, vare sig dessa beror på oegentligheter eller misstag.

Vid upprättandet av årsredovisningen och koncernredovisningen ansvarar styrelsen och verkställande direktören för bedömningen av bolagets och koncernens förmåga att fortsätta verksamheten. De upplyser, när så är tillämpligt, om förhållanden som kan påverka förmågan att fortsätta verksamheten och att använda antagandet om fortsatt drift. Antagandet om fortsatt drift tillämpas dock inte om styrelsen och verkställande direktören avser att likvidera bolaget, upphöra med verksamheten eller inte har något realistiskt alternativ till att göra något av detta.

### Revisorns ansvar

Våra mål är att uppnå en rimlig grad av säkerhet om huruvida årsredovisningen och koncernredovisningen som helhet inte innehåller några väsentliga felaktigheter, vare sig dessa beror på oegentligheter eller misstag, och att lämna en revisionsberättelse som innehåller våra uttalanden. Rimlig säkerhet är en hög grad av säkerhet, men är ingen garanti för att en revision som utförs enligt ISA och god revisionssed i Sverige alltid kommer att upptäcka en väsentlig felaktighet om en sådan finns. Felaktigheter kan uppstå på grund av oegentligheter eller misstag och anses vara väsentliga om de enskilt eller tillsammans rimligen kan förväntas påverka de ekonomiska beslut som användare fattar med grund i årsredovisningen och koncernredovisningen.

En ytterligare beskrivning av vårt ansvar för revisionen av årsredovisningen och koncernredovisningen finns på Revisorsinspektionens webbplats: www.revisorsinspektionen.se/revisornsansvar. Denna beskrivning är en del av revisionsberättelsen.

## Rapport om andra krav enligt lagar och andra författningar

### Uttalanden

Utöver vår revision av årsredovisningen och koncernredovisningen har vi även utfört en revision av styrelsens och verkställande direktörens förvaltning för Axiell Group AB för år 2024 samt av förslaget till dispositioner beträffande bolagets vinst eller förlust.

**pwc**

Vi tillstyrker att bolagsstämman disponerar vinsten enligt förslaget i förvaltningsberättelsen och beviljar styrelsens ledamöter och verkställande direktören ansvarsfrihet för räkenskapsåret.

### Grund för uttalanden

Vi har utfört revisionen enligt god revisionssed i Sverige. Vårt ansvar enligt denna beskrivs närmare i avsnittet Revisorns ansvar. Vi är oberoende i förhållande till moderbolaget och koncernen enligt god revisorssed i Sverige och har i övrigt fullgjort vårt yrkesetiska ansvar enligt dessa krav.

Vi anser att de revisionsbevis vi har inhämtat är tillräckliga och ändamålsenliga som grund för våra uttalanden.

### Styrelsens och verkställande direktörens ansvar

Det är styrelsen som har ansvaret för förslaget till dispositioner beträffande bolagets vinst eller förlust. Vid förslag till utdelning innefattar detta bland annat en bedömning av om utdelningen är försvarlig med hänsyn till de krav som bolagets och koncernens verksamhetsart, omfattning och risker ställer på storleken av moderbolagets och koncernens egna kapital, konsolideringsbehov, likviditet och ställning i övrigt.

Styrelsen ansvarar för bolagets organisation och förvaltningen av bolagets angelägenheter. Detta innefattar bland annat att fortlöpande bedöma bolagets och koncernens ekonomiska situation, och att tillse att bolagets organisation är utformad så att bokföringen, medelsförvaltningen och bolagets ekonomiska angelägenheter i övrigt kontrolleras på ett betryggande sätt. Den verkställande direktören ska sköta den löpande förvaltningen enligt styrelsens riktlinjer och anvisningar och bland annat vidta de åtgärder som är nödvändiga för att bolagets bokföring ska fullgöras i överensstämmelse med lag och för att medelsförvaltningen ska skötas på ett betryggande sätt.

### Revisorns ansvar

Vårt mål beträffande revisionen av förvaltningen, och därmed vårt uttalande om ansvarsfrihet, är att inhämta revisionsbevis för att med en rimlig grad av säkerhet kunna bedöma om någon styrelseledamot eller verkställande direktören i något väsentligt avseende:

- företagit någon åtgärd eller gjort sig skyldig till någon försummelse som kan föranleda ersättningsskyldighet mot bolaget, eller
- på något annat sätt handlat i strid med aktiebolagslagen, årsredovisningslagen eller bolagsordningen.

Vårt mål beträffande revisionen av förslaget till dispositioner av bolagets vinst eller förlust, och därmed vårt uttalande om detta, är att med rimlig grad av säkerhet bedöma om förslaget är förenligt med aktiebolagslagen.

Rimlig säkerhet är en hög grad av säkerhet, men ingen garanti för att en revision som utförs enligt god revisionssed i Sverige alltid kommer att upptäcka åtgärder eller försummelser som kan föranleda ersättningsskyldighet mot bolaget, eller att ett förslag till dispositioner av bolagets vinst eller förlust inte är förenligt med aktiebolagslagen.

En ytterligare beskrivning av vårt ansvar för revisionen av förvaltningen finns på Revisorsinspektionens webbplats: www.revisorsinspektionen.se/revisorsansvar. Denna beskrivning är en del av revisionsberättelsen.

Malmö den dag som framgår av vår elektroniska signatur

Öhrlings PricewaterhouseCoopers AB

Mikael Nilsson
Auktoriserad revisor

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## Deltagare

**ÖHRLINGS PRICEWATERHOUSECOOPERS AB**   556029-6740   Sverige

*Signerat med Svenskt BankID*

**Undertecknare**

Namn returnerat från Svenskt BankID: MIKAEL NILSSON

Mikael Nilsson
Auktoriserad revisor

*2025-05-23 13:46:05 UTC*

Datum

Leveranskanal: E-post

# ANNUAL REPORT
and
# CONSOLIDATED ACCOUNTS

01/01/2024 – 01/01/2024

for

# Axiell Group AB
C.I.N. 556349-2189

**NON AUDITED TRANSLATED REPORT.**
**The Swedish report prevails in case of doubts**

# Management report

The Board of Directors and the CEO of Axiell Group AB, corporate identity number 556349-2189, present the annual report and consolidated financial statements for the financial year 2024.

**Nature and focus of the business**
Axiell Group and its subsidiaries develop, maintain and sell technologically advanced and innovative solutions for public and special libraries, school libraries, schools, publishers, archives, museums and government agencies. The Group offers products and services for essential society functions and thus contributes to creating the conditions for a society where lifelong learning and reading are central and in constant development.

The parent company is based in Lund, Sweden.

**Ownership structure**
The parent company is a subsidiary of Maxito AB, CRN: 556249-9383 with its headquarters in Stockholm. Axiell Group AB is part of a group where the parent company Maxito AB, establish consolidated accounts for the largest group. Maxito AB owns 96% of the parent company's shares.

The parent company provides group-wide services to subsidiaries and works with development.

**Significant events during the financial year**
*Key relationships*
In a time of more modest growth, we focused on improving profitability and by continuing to increase operational efficiency, we managed to improve our profit margin compared to the previous year. During the year, we participated in traditional marketing activities and held a series of well-received and successful user meetings in Europe and Australia.

On the product side, we continued to strengthen our CXM (Collection Experience Management) offerings for our museum and archive customers and LXM (Library Experience Management) for our library customers with our main products Collections (CXM) and Quria (LXM) respectively. We have actively worked to create clear offerings in the two main platforms where our leading and flexible functionality increases the value for our customers.

Axiell has also taken further steps to improve delivery and security in cloud-based technology and established a strategic path into the next era of delivering services to our customers with even higher quality and higher efficiency. During the year, we continued to consolidate our market position and win new business in most markets and segments.

Axiell Group is organized into two business divisions: Axiell Public Library & Education and Axiell ALM & RVR. The Group has offices in 15 countries and more than 13,000 customers in 62 countries.

*The Axiell Public Library* business division is a full-service provider of IT solutions and services for libraries in Europe and North America, with a primary focus on public and school libraries. The public library sector is evolving to meet the digital needs of patrons and increase relevance to priority target groups, as well as streamlining its operations. This requires modern solutions with built-in workflows that enable collaboration within the sector and with other cultural institutions. This support is a key area of the platform and technological development that Axiell is undertaking. In the school library segment (Quria School), the focus is on the platform providing support for school librarians and teachers to easily work towards the goals of the curriculum and for school leaders to meet the requirements placed on them. In addition, three public libraries in Nacka municipality have been operated under contract since 2019.

*Axiell Archives Libraries Museums (ALM) & RVR* business division is the leading provider of IT solutions for archives and museums globally, for collection management, digital engagement and public solutions. Axiell leads the digitization of institutional knowledge to preserve cultural heritage for government and privately funded institutions and has the technology to make collections accessible and create engagement, accessibility for researchers, where linked data is part of the solution offering, and learning for visitors. The business division also sells solutions to manage personal data to countries that are/were part of the Commonwealth. The solutions handle registration/archive management of life events, such as births and marriages, but also national business registers.

*Significant events*
The Group's strategic focus with continued market expansion for the main platforms Quria and Collections has been positive during the year with increasing market shares. The strategy also means the gradual transfer of recurring revenue in the form of SaaS agreements

and Support and Maintenance agreements from older products to these modern product platforms and ensures sustainability and growth in revenue streams in the longer term.

The company continues to work in geographical areas and global functions (marketing, product, development, HR, and finance). Axiell has offset continued significant investments in the development of cloud-based software platforms and initiatives in more geographical markets by reducing costs in Axiell's long-established markets and traditional systems. The Group works systematically to improve security and quality and successfully completed ISO 27001 recertification during the year. In addition, work has been done to prepare for ISO certification in the European market.

## Significant events after financial year close

### Expected future development and significant risks and uncertainties
However, a significant part of Axiell's business opportunities are subject to public procurement, which often means that decision cycles are long and sometimes outcomes are difficult to predict in advance. These dynamics make it difficult from time to time to forecast when new business can be won.

Axiell is putting a lot of focus and significant resources into further developing the next generation of cloud-based products. Although Axiell's research and development organization works in a structured way, timelines in large development projects can be difficult to forecast with certainty. Security issues are continuously evaluated and can pose a significant risk to the Group. Schrems II and the Cloud Act (EU ruling on transfers of personal data to third countries) have led us to take the necessary measures on an ongoing basis, but requirements may change. The geopolitical situation and the dependency on US cloud services make it difficult to assess how the European authorities and therefore customers will act when purchasing services.

## Research and development activities
Axiell conducts research and development and develops the systems by collecting market information from customers, organizations and stakeholders active in Axiell's market segment. This is conducted in a structured process between product, marketing, sales and the development organization, in order to ensure a market-oriented development process. In 2024, costs have continued to be capitalized for the further development of the cloud-based platforms for public libraries, Quria, and for archives and museums, Axiell Collections.

## Sustainability information
*HR projects*
In 2024, HR had a strong focus on continuing to build a common global culture. The implementation of common policies, guidelines and ways of working has permeated the work where we are moving towards a more unified global organization - taking into account local laws and practices.

Axiell is a company that strives to maintain an open business climate and high business ethics. As part of ensuring that our organization lives up to this standard, a global whistleblower service has been introduced at the company. Through this service, people can report suspicions of wrongdoing or irregularities. Whistleblowing is a way to reduce business risks and gives all employees the opportunity to safely report issues that could harm individuals, our company or the environment. Whistleblowing reports can be made openly or anonymously.

*Health and safety policy*
The Group's overall goal is to create a good working environment for all employees. Risks of ill health in both physical and mental terms shall be prevented. One endeavor is that everyone, regardless of work tasks, shall be given the opportunity for both influence and development as well as for cooperation and social contacts.

Axiell conducts systematic work environment management based on the Swedish Work Environment Authority's regulations, especially regarding the organizational and social work environment, and strives to integrate work environment management into daily operations as much as possible.

Axiell promotes diversity and equality. Diversity means recognizing, respecting and valuing people's different ability to contribute and see the full potential by actively working for an inclusive environment for all employees. Equality means ensuring that individuals or groups are treated fairly and equally regardless of ethnicity, gender, religion, sexual orientation or physical limitations.

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**Earnings and financial status**

During the year, the company experienced higher cost pressures in the form of increased inflation. Through cost optimization, an improvement in profit was delivered compared to 2023.

**Five-year comparison**

|  |  | **2024** | **2023** | **2022** | **2021** | **2020** |
|---|---|---|---|---|---|---|
| Net turnover | MSEK | 524,5 | 559,1 | 620,4 | 572,5 | 576,9 |
| EBITDA before non-recurring items | MSEK | 63,2 | 56,6 | 39,2 | 67,7 | 88,2 |
| EBITDA | MSEK | 49,4 | 50,3 | 28,6 | 61,7 | 85,4 |
| EBITDA margin | % | 9,4 | 9,0 | 4,6 | 10,8 | 14,8 |
| EBIT | MSEK | 11,5 | 13,4 | -8,6 | 27,8 | 49,7 |
| EBIT margin | % | 2,2 | 2,4 | -1,4 | 4,9 | 8,6 |
| Return on total capital | % | 0,2 | 8,3 | -1,1 | 3,7 | 7,7 |
| Return on equity | % | 0,4 | 19,4 | -3,1 | 9,1 | 20,7 |
| Cash liquidity (quick ratio) | % | 63,8 | 65,1 | 66,5 | 73,5 | 72,4 |
| Solvency | % | 41,4 | 43,0 | 35,7 | 40,2 | 37,1 |
| Number of employees |  | 342 | 357 | 378 | 345 | 347 |

Refer to Note 29 for definitions

**Earnings allocation**

The following retained earnings are to be appropriated by the Annual General Meeting (SEK):

| | |
|---|---|
| Retained earnings from previous year | 15 649 682 |
| Transfer to reserve for development cists | -395 398 |
| Profit/loss | -11 010 018 |
| **Total** | **4 244 266** |

The Board of Directors proposes that the retained earnings be appropriated as follows:

| | |
|---|---|
| To be carried forward | 4 244 266 |
| **Total amount** | **4 244 266** |

The Group's and parent company's earnings and financial status are shown in the following income statements and balance sheets and cash flow analyses with notes.

# Consolidated financial statements

## Consolidated income statement

| KSEK | Note | 2024 | 2023 |
|---|---|---|---|
| Net turnover | 5 | 524 491 | 559 084 |
| Capitalized development costs | 11 | 8 032 | 7 292 |
| Other operating income | | 1 512 | 2 858 |
| | | | |
| **Operational costs** | | | |
| Raw materials and essential supplies | | -39 566 | -73 799 |
| Other external costs | 6 | -92 300 | -94 958 |
| Staff costs | 7 | -351 387 | -349 355 |
| Depreciation and amortization of tangible and intangible assets and right of use | 11, 12 | -37 970 | -36 864 |
| Other operating costs | | -1 303 | -810 |
| **Total operating costs** | | **-522 526** | **-555 786** |
| | | | |
| **Operating profit/loss** | | **11 509** | **13 448** |
| Profit/loss from disposal of subsidiary | 8 | 0 | 20 616 |
| Financial income | 8 | 3 003 | 5 521 |
| Financial costs | 8 | -10 285 | -12 417 |
| **Profit/loss before tax** | | **4 227** | **27 168** |
| | | | |
| Income tax | 9 | -6 233 | -4 659 |
| | | | |
| **Profit/loss attributable to the shareholders of the parent company** | | **-2 006** | **22 509** |

## Consolidated statement of comprehensive income

| KSEK | Note | 2024 | 2023 |
|---|---|---|---|
| Net income | | -2 006 | 22 509 |
| Exchange rate differences | | 5 959 | -1 826 |
| **Other comprehensive income after tax** | | **5 959** | **-1 826** |
| **Total comprehensive income for the year** | | **3 953** | **20 683** |

The profit/loss for the year and total comprehensive income are entirely attributable to the parent company's shareholders.

# Consolidated statement for financial status

| KSEK | Note | 31 Dec 2024 | 31 Dec 2023 |
|---|---|---|---|
| **ASSETS** | | | |
| | | | |
| **Fixed assets** | | | |
| *Intangible assets* | 11 | | |
| Capitalized development | | 80 905 | 85 290 |
| Trademarks | | 1 757 | 3 514 |
| Computer software | | 7 366 | 7 989 |
| Goodwill | | 256 394 | 253 448 |
| Other intangible assets | | 10 805 | 10 564 |
| | | **357 227** | **360 805** |
| | | | |
| *Tangible fixed assets* | 12 | | |
| Costs incurred at other party's property | | 1 221 | 1 454 |
| Equipment, tools and installations | | 1 759 | 2 562 |
| | | **2 980** | **4 016** |
| *Right of use* | 13 | 33 833 | 31 327 |
| | | | |
| *Financial assets* | | | |
| Other long-term receivables | 14 | 13 506 | 17 014 |
| | | | |
| *Deferred tax assets* | 10 | 13 391 | 12 536 |
| | | | |
| **Total fixed assets** | | **420 937** | **425 697** |
| | | | |
| *Current assets* | | | |
| Inventories, etc. | | | |
| Finished goods | | 327 | 598 |
| | | **327** | **598** |
| | | | |
| **Short-term receivables** | | | |
| Accounts receivables | 16 | 106 053 | 110 945 |
| Current tax asset | | 0 | 1 739 |
| Other receivables | 17 | 14 762 | 14 366 |
| Prepaid expenses and accrued income | 18 | 70 223 | 57 435 |
| Cash and cash equivalents | 19 | 21 976 | 26 555 |
| **Total current assets** | | **213 341** | **211 638** |
| | | | |
| **TOTAL ASSETS** | | **634 278** | **637 335** |

## Consolidated statement for financial status *continued*

| KSEK | Note | 31 Dec 2024 | Dec 31, 2023 |
|---|---|---|---|
| **EQUITY AND LIABILITIES** | | | |
| | | | |
| **Equity attributable to parent company shareholders** | 20 | | |
| Share capital | | 2 229 | 2 229 |
| Exchange rate differences | | 28 903 | 22 944 |
| Retained earnings including profit/loss for the year | | 213 677 | 225 686 |
| **Total equity attributable to parent company shareholders** | | **244 809** | **250 859** |
| | | | |
| *Long-term liabilities* | | | |
| Other provisions | | 866 | 839 |
| Liabilities to credit institutions | 15, 21 | 16 332 | 33 422 |
| Lease liabilities | 13 | 19 658 | 17 951 |
| Other liabilities | 22 | 23 792 | 9 895 |
| | | **60 648** | **62 107** |
| | | | |
| *Short-term liabilities* | | | |
| Liabilities to credit institutions | 15, 21 | 17 300 | 20 847 |
| Overdraft facility | 15, 21 | 51 512 | 62 096 |
| Lease liabilities | 13 | 14 647 | 13 655 |
| Prepayments from customers | | 151 442 | 134 027 |
| Accounts payables | | 19 750 | 20 968 |
| Current tax liabilities | | 4 560 | 0 |
| Other liabilities | 23 | 27 894 | 33 812 |
| Accrued charges and deferred income | 24 | 41 716 | 38 964 |
| **Total short-term liabilities** | | **328 821** | **324 369** |
| | | | |
| **Total liabilities** | | **389 469** | **386 476** |
| | | | |
| **TOTAL EQUITY AND LIABILITIES** | | **634 278** | **637 335** |

## Consolidated statement of changes in equity

| KSEK | Note | Share capital | Other contributed capital | Exchange rate differences | Retained earnings (including proft/loss) | Total equity |
|---|---|---|---|---|---|---|
| **Opening balance 01/01/2023** | | **2 229** | | **24 770** | **203 177** | **230 176** |
| Profit/loss | | | | | 22 509 | 22 509 |
| Other total comprehensive income | | | | -1 826 | | -1 826 |
| **Comprehensive income for the year** | | | | **-1 826** | **22 509** | **20 683** |
| **Transactions with shareholders in their capacity as owners** | | | | | | |
| Dividends | | | | | 0 | 0 |
| **Total transactions with shareholders in their capacity as owners** | | | | | **0** | **0** |
| **Closing balance 31/12-2023** | 20 | **2 229** | | **22 944** | **225 686** | **250 859** |
| **Opening balance 01/01/2024** | | **2 229** | | **22 944** | **225 686** | **250 859** |
| Profit/loss | | | | | -2 006 | -2 006 |
| Other total comprehensive income | | | | 5 959 | | 5 959 |
| **Comprehensive income for the year** | | | | **5 959** | **-2 006** | **2 279** |
| **Transactions with shareholders in their capacity as owners** | | | | | | |
| Dividends | | | | | -10 000 | -10 000 |
| **Total transactions with shareholders in their capacity as owners** | | | | | **-10 000** | **-10 000** |
| **Closing balance 31/12-2024** | 20 | **2 229** | | **28 903** | **213 677** | **244 809** |

## Consolidated statement of cash flows

| KSEK | Note | 2024 | 2023 |
|---|---|---|---|
| *Operating activities* | | | |
| Operating profit/loss | | 11 509 | 13 448 |
| Adjustment for non-cash items, etc. | 28 | 37 970 | 36 841 |
| Interest received | | 3 003 | 9 521 |
| Interest paid | | -7 904 | -12 417 |
| Income tax paid | | -1 277 | -2 566 |
| **Cash flow from operating activities prior to changes in working capital** | | **43 301** | **44 827** |
| | | | |
| *Changes in working capital:* | | | |
| Change in inventories | | 271 | 247 |
| Change in accounts receivable and other receivables | | -8 292 | -2 399 |
| Change in accounts payable and other liabilities | | 14 698 | -816 |
| **Total change in working capital** | | **6 667** | **-2 968** |
| | | | |
| **Cash flow from operating activities** | | **49 978** | **41 859** |
| | | | |
| *Investment activities* | | | |
| Acquisition of subsidiaries, net of cash and cash equivalents | 30 | 0 | 0 |
| Acquisition of businesssegments after deductions for cash and cash equivalents | | 0 | 0 |
| Investments in intangible fixed assets | | -10 953 | -11 164 |
| Investments in tangible fixed assets | | -3 124 | -7 216 |
| Disposal of subsidary | | 0 | 25 012 |
| Increase/decrease in short-term financial receivables | | 3 500 | 0 |
| Disposal of financial assets | | 4 | 217 |
| **Cash flow from investment activities** | | **-10 573** | **6 849** |
| | | | |
| *Financing activities* | | | |
| Dividends paid | | -5 000 | 0 |
| New loans | 27 | 11 667 | 0 |
| Ammortization of loans | 27 | -25 440 | -41 657 |
| Amortization of lease liabilities | 27 | -16 676 | -15 214 |
| Change in overdraft facility | 27 | -10 584 | -404 |
| **Cash flow from financing activities** | | **-46 033** | **-57 275** |
| | | | |
| *Cash flow for the year* | | **-6 628** | **-8 567** |
| Cash and cash equivalents at year start | | 26 555 | 28 963 |
| Exchange rate difference in cash and cash equivalents | | 2 049 | 6 159 |
| **Cash and cash equivalents at year-end** | | **21 976** | **26 555** |

The notes on pages 12 to 37 make up an integral part of these consolidated accounts.

# Notes for the consolidated accounts

## Note 1 General information

Axiell Group AB, the Group's parent company, with CRN 556349-2189, is a private limited company established and headquartered in Lund, Sweden. The head office and main place of business is on Mobilvägen 4, 223 62 Lund, Sweden.

Axiell Group AB develops, maintains and sells technologically advanced and innovative solutions for public and special libraries, school libraries, schools, archives, museums and government agencies. These activities are organized in three business areas; Axiell Public Library & Education, Axiell ALM & RVR.

## Note 2 Summary of significant accounting policies

The principal accounting policies applied when drawing up these consolidated accounts are set out below. Unless otherwise stated, all amounts are reported in thousands of kronor (KSEK). Figures in brackets refer to the reference period. The consolidated accounts include the legal parent company (Axiell Group AB) and its subsidiaries. A list of subsidiaries is provided in Note 44.

### 2.1 Basis for drawing up the reports

The consolidated accounts for Axiell Group AB have been drawn up in accordance with the Swedish Annual Accounts Act, RFR 1 *Supplementary Accounting Rules for Groups* and International Financial Reporting Standards (IFRS) and interpretations from the IFRS Interpretations Committee (IFRS IC), as adopted by the EU. These principles have been applied consistently for all years presented, unless otherwise stated. The parent company applies RFR 2 Accounting for legal entities and the Swedish Annual Accounts Act. Refer to Note 33 for information relating to where the parent company applies different accounting policies than for the Group.

Drawing up the financial statements in accordance with IFRS requires using essential estimates for accounting purposes. It also requires that management make certain assessments in the application of the Group's accounting policies. The areas involving a high degree of assessment, complexity or areas where assumptions and estimates are significant for the consolidated accounts are disclosed in Note 4, Significant accounting estimates and assessments.

### 2.2 New and amended standards

#### 2.2.1 New and amended standards applicable for the first time in 2024

The following standards and amendments will be applied by the Group for the first time for annual periods beginning on or after January 1, 2024:
- Classification of liabilities as short-term or long-term and long-term liabilities with covenants - Amendments to IAS 1.
- Lease liability in a sale and leaseback transaction - Amendments to IFRS 16.
- Vendor finance arrangements - Amendments to IAS 7 and IFRS 7.

The amendments listed above had no material impact on the amounts recognized in the comparative period and have had no material impact on the current period.

#### 2.2.2 New and amended standards not yet applied by the Group

IFRS 18 Presentation and Disclosure of Financial Statements is applicable for annual periods beginning on or after 1 January 2027 and has not yet been adopted by the EU. IFRS 18 will replace IAS 1 Presentation of Financial Statements, and introduces new requirements aimed at achieving greater comparability in the reporting of results of similar entities and providing users with more relevant information and transparency. IFRS 18 introduces, among other things, new requirements for the structure of the income statement and the disclosure of certain performance measures. Although IFRS 18 will not affect the recognition or measurement of items in the financial statements, its impact on presentation and disclosure is expected to be significant, particularly those related to the income statement and management-defined performance measures. Management is currently evaluating the exact consequences of applying the new standard to the consolidated financial statements.

### 2.3 Consolidated accounts

#### 2.3.1 Basis for consolidation

The consolidated accounts include the accounts of the parent company and the subsidiaries over which the Group has direct or indirect control. The consolidated accounts have been drawn up according to the historical cost convention except for financial assets and liabilities (including derivative instruments) measured at fair value through the income statement.

Intra-group transactions, balance sheet items and unrealized gains and losses on transactions between Group companies are eliminated in full. The accounting policies for subsidiaries are amended where appropriate to ensure consistent application of the Group's policies.

### 2.3.2 Subsidiaries
Subsidiaries are all entities over which the Group directly or indirectly holds more than 50% of the voting rights or otherwise has a controlling influence. Controlling influence is the right to shape a company's financial and operational strategies in order to obtain economic benefits.

### 2.3.3 Business acquisitions

The acquisition method is used to report the Group's business acquisitions. The acquisition cost is the consideration paid for a subsidiary and represents the fair value of the total assets and liabilities transferred that the Group incurs to the former owners of the acquired company. The purchase consideration also includes the fair value of any assets or liabilities resulting from a contingent consideration. With few exceptions, identifiable assets acquired and liabilities assumed in a business combination are initially measured at fair value on the acquisition date. Goodwill is initially measured as the amount by which the total purchase consideration and fair value of non-controlling interests exceed the fair value of identifiable assets acquired and liabilities assumed.

From the date of acquisition, the acquired company's income and expenses, identifiable assets and liabilities and any goodwill arising are included in the consolidated accounts. The profit/loss and other comprehensive income for subsidiaries acquired or disposed of during the year are recognized from the effective date of acquisition or disposal, as appropriate.

The Group attributes the comprehensive income of its subsidiaries to the owners of the parent company based on their respective shareholdings. Non-controlling interests in the subsidiaries' profit/loss and equity are recognized separately in the consolidated income statement, the comprehensive income statement, the statement of changes in equity and balance sheet.

### 2.3.4 Additional purchase price
If, on the acquisition date, it is probable that the purchase consideration will be adjusted at a later date and the amount can be reliably estimated, the amount must be included in the estimated final acquisition cost of the acquired entity.

Any contingent consideration to be transferred by the Group is recognized at fair value on the acquisition date. A contingent consideration is classified either as equity or as a financial liability. Subsequent changes in the fair value of a contingent consideration classified as a liability are recognized in the consolidated income statement. A contingent consideration classified as equity is not revalued and subsequent settlement is recognized in equity.

## 2.4 Foreign currency translation

### 2.4.1 Functional and reporting currency
Items included in the financial statements for the various entities in the Group are measured in the currency used in the economic environment in which each entity primarily operates (functional currency). The consolidated accounts use the Swedish krona (SEK), which is the parent company's functional currency and the Group's reporting currency.

### 2.4.2 Transactions and balance sheet items
Transactions in foreign currencies are translated into the functional currency at the exchange rates prevailing on the date of the transaction or on the date the items are revalued. Foreign exchange gains and losses arising from the settlement of such transactions and from the translation of monetary assets and liabilities denominated in foreign currency at the closing rate are recognized in the income statement. Foreign exchange gains and losses on loans and cash and cash equivalents are recognized in the income statement as financial income or costs.

### 2.4.3 Translation of foreign Group companies
The earnings and financial status of all Group entities with a functional currency other than the reporting currency are translated into the Group's reporting currency as follows:

- assets and liabilities for each of the statements for financial status are translated at the closing rate
- income and costs for each of the statements comprehensive income are translated at the average exchange rate (if that average rate is a reasonable approximation of the cumulative effect of the rates prevailing on the transaction date, in which case income and costs are translated at the rate on the transaction date), and
- all resulting exchange differences are recognized in other comprehensive income

Goodwill and fair value adjustments arising on the acquisition of a foreign business are treated as assets and liabilities for this business and translated at the closing rate.

## 2.5 Revenue recognition

### 2.5.1 Net turnover
The Group develops, maintains and sells technical solutions for libraries, schools, publishers, archives, museums and retailers. Contracts with customers often include software licences or software as a service (SaaS) along with support and maintenance agreements. The contracts may also include separate cloud services (in cases where the customer purchases a non-SaaS software licence), additional tools and modules, implementation, configuration, training and consultation.

Software licences are perpetual while SaaS is delivered over an agreed period. SaaS contracts are usually signed for 1 to 5 years with an option where customers can extend. Support and maintenance agreements and cloud services are usually signed for 3 to 4 years with automatic renewals if the customer does not terminate the agreement. Implementation and configuration are usually offered at a fixed price and performed before the software licence or SaaS is delivered. Training and consultancy services are usually provided at a fixed price per hour and the total price depends on how many hours the customer buys. The Group also sells physical products through its website and E-media.

In general, each product and/or service delivered to customers is seen as a separate performance obligation. The transaction price is allocated to each performance obligation in a contract based on their stand-alone selling price. There are no significant discounts, penalties or other forms of variable remuneration.

Revenue from software licences, additional tools and modules, physical products and E-media is recognised at a point in time (when the customer obtains control). Revenues from SaaS, support and maintenance, cloud services, implementation, configuration, training and consulting are recognised over time. In cases where the customer pays in advance, a contractual liability arises, which is recognised as deferred income. A receivable is recognised when the obligations have been delivered, as this is the point at which the payment becomes unconditional (i.e. only the passage of time is required for payment to be made).

*Financing components*
Normally, the payment is due once the product has been delivered to the customer. The average credit period is 30 days. Extended payment terms may be available, but these never exceed 12 months. The transaction price is therefore not adjusted for the effects of significant financing components.

### 2.5.2 Interest income
Interest income is recognized as revenue using the effective interest method.

## 2.6 Government grants
Government grants are recognised at fair value when there is reasonable assurance that a grant will be received and that the Group will comply with the conditions attached to the grant. Government grants related to cost recovery are accrued and recognised in the income statement over the same periods as the costs the grants are intended to compensate for and which are deducted in the recognition of the corresponding costs. The government grants are recognised as other income in the consolidated income statement.

## 2.7 Segment reporting
Operating segments are reported in a manner consistent with the internal reporting provided to the chief operating decision maker. The chief operating decision maker is the function responsible for allocating resources and assessing the performance of the operating segments. In the Group, this function has been identified as the CEO.

Axiell Group AB's CEO assesses the performance of the business based on the Group's two operating segments; Axiell Archives Libraries Museums & RVR and Axiell Public Library & Education. These segments are also the Group's reportable operating segments. The CEO primarily uses EBITDA in the assessment of the Group's performance.

## 2.8 Current and deferred income tax
The tax expense for the period includes current and deferred tax. Tax is recognized in the consolidated statement for comprehensive income, except when the tax relates to items recognized in other comprehensive income or directly in equity. In such cases, the tax is also recognized in other comprehensive income and equity.

The current tax expense is calculated based on the tax rules enacted or substantively enacted on the balance sheet date in the countries where the parent company and its subsidiaries operate and generate taxable income. Management regularly evaluates the claims made in tax returns for situations where applicable tax rules are subject to interpretation. Where appropriate, it makes provisions for amounts likely to be paid to the tax authorities.

Deferred tax is recognized on all temporary differences arising between the tax bases of assets and liabilities and their carrying amounts in the consolidated accounts. Deferred tax is not recognized if it arises from a transaction that represents the initial recognition of an asset or liability that is not a business combination and that, at the time of the transaction, has no impact on accounting or taxable profit. Deferred income tax is measured using tax rates (and laws) that have been enacted or substantively enacted by the balance sheet date and are expected to apply when the related deferred tax asset is realized or the deferred tax liability is settled.

Deferred tax assets are recognized to the extent that it is probable that future taxable profits will be available against which the temporary differences can be utilized.

Deferred tax assets and liabilities are offset when there is a legally enforceable right to set off current tax assets and liabilities and when the deferred tax assets and liabilities relate to taxes levied by a single taxation authority on either the same taxable entity or different taxable entities, where there is an intention to settle the balances on a net basis.

## 2.9 Leasing

### 2.9.1 Leases
The Group's lease agreements relate to premises, IT equipment and lease cars.

Lease agreements are recognized as right-of-use assets and a corresponding liability on the date the leased asset is available for use by the Group. Assets and liabilities arising from lease agreements are initially recognized at present value. Lease liabilities also include the present value of fixed charges plus known index increases at the inception of the lease agreement.

Agreements may contain both lease and non-lease components. The Group has chosen to apply the exemption in IFRS 16 which states that non-lease components need not be separated from lease components. The exemption is applied to all lease assets. There are no identified variable charges in the Group's lease agreements other than known index increases.

The exercise price of an option to purchase the underlying asset is not included as the Group is not reasonably certain to exercise any such options. The present value of penalties payable on termination of the lease agreement is also not included in the lease liabilities as the Group is not reasonably certain to exercise any options to prematurely terminate any lease agreement.

The lease payments are discounted using the interest rate implicit in the lease agreement. If this rate cannot be easily determined, the Group's incremental borrowing rate is applied. The Group determines the incremental borrowing rate by applying the interest rate applied to the long-term debt recognized as a liability to credit institutions in the consolidated statement for financial status.

Right-of-use assets are measured at acquisition cost and include the amount of the lease liability initially measured, lease payments made on or before the commencement date, initial direct costs and costs to restore the asset to the condition prescribed by the terms of the lease agreement.

Right-of-use assets are usually depreciated on a straight-line basis over the shorter of the useful life of the asset and the term of the lease agreement. Depreciation periods are normally between 3 to 5 years. If extension options are available and the Group is reasonably certain to exercise an option to extend a lease agreement, refer to section below, where lease payments for this extension period are included in the measurement of the liability. An impairment test is performed when necessary if there is an indication of a decline in value.

Payments for short-term contracts and all low-value lease agreements are expensed on a straight-line basis in the statement of comprehensive income. Short-term contracts refer to contracts with a lease period of 12 months or less.

### 2.9.2 Options to extend and terminate agreements
Options to extend agreements are included in a number of the Group's lease agreements. The conditions are used to provide flexibility in the management of the assets used in the Group's operations. The vast majority of options to extend agreements can only be exercised by the Group and not by the lessor.

In determining the length of the lease agreement, management considers all available information that provides an economic incentive to exercise an extension option or to exercise an option to terminate a lease agreement. The option to extend a lease agreement is included in the lease agreement term only if it is reasonably certain that the lease agreement will be extended.

## 2.10 Intangible assets

### 2.10.1 Goodwill
Goodwill arises on the acquisition of a subsidiary and represents the portion of the purchase price, any non-controlling interest in the acquiree and the fair value on the acquisition date of the previously held equity interest in the acquiree that is higher than the fair value of the identifiable net assets acquired.

Goodwill is not amortized but is tested for impairment annually in the fourth quarter or more frequently if events or changes in circumstances indicate a possible impairment. The carrying amount of the cash-generating entity to which the goodwill has been allocated is compared with the recoverable amount, which is the higher of value in use and fair value less costs to sell. Any impairment is immediately recognized as an expense and is not reversed. Goodwill is recognized at acquisition cost less accumulated impairment. When an entity is sold, the carrying amount of goodwill is included in the resulting gain/loss.

For the purpose of impairment testing, goodwill acquired in a business acquisition is allocated to cash-generating entities or groups of cash-generating entities that are expected to benefit from the synergies of the acquisition. Each entity or group of entities to which goodwill has been allocated corresponds to the lowest level in the Group at which the goodwill in question is monitored for internal management purposes.

### 2.10.2 Trademarks
Trademarks are acquired through business acquisitions and are recognized at fair value at the time of acquisition and are subsequently carried at acquisition cost less accumulated depreciation and amortization. Trademarks are considered to have a definite useful life and are therefore subject to depreciation. The items are amortized on a straight-line basis over their estimated useful lives, corresponding to the estimated period during which they will generate future economic benefits. The useful life of assets is reviewed at the end of each reporting period and adjusted if necessary. The estimated useful life of trademarks is 10 years.

### 2.10.3 Capitalized cost for development

Development costs that are directly attributable to system development of future products aimed at libraries, archives and museums and E-media are recognized as intangible assets in the consolidated statement for financial status when the following criteria are met:

- it is technically possible to complete them so that they can be used,
- the Group's intention is to complete them and to use or sell them,
- there are conditions in place to use or sell them,
- it can be shown how they generate likely future economic benefits,
- adequate technical, financial and other resources to complete development and to use or sell them are available, and
- the costs attributable to them during development can be reliably calculated.

Directly attributable costs that are capitalized as part of development work include costs for employees and external consultants. Other development costs that do not meet these criteria are expensed as incurred. Development costs previously expensed are not recognized as an asset in the subsequent period.

Capitalized development costs are recognized as intangible assets and are amortized from the time the asset is ready for use. They are recognized in subsequent periods at acquisition cost less accumulated depreciation and any impairment losses. Depreciation is based on an estimated useful life of typically 10 years, which corresponds to the estimated time they are expected to generate cash flow based on the life cycle of the products.

Internally developed software not yet completed, which has been capitalized, is not amortized but tested annually for impairment. Depreciation starts when the asset is ready for use and made available on the market.

### 2.10.4 Computer programs and other intangible fixed assets

Other intangible fixed assets are reported at acquisition cost less accumulated depreciation and amortization.
The estimated useful lives of acquired computer software and other intangible fixed assets are normally 5 to 10 years.

When intangible assets are sold, the capital gain or loss is determined as the difference between the selling price and the carrying amount of the asset and is recognized in profit/loss under either 'Other operating revenues' or 'Other operating costs' in the consolidated income statement.

## 2.11 Tangible fixed assets

Tangible fixed assets include costs incurred at other people's property as well as equipment, tools and installations. Tangible fixed assets are recorded at acquisition cost less depreciation. The acquisition cost includes expenditure directly attributable to the acquisition of the asset.

Subsequent expenditure is added to the asset's carrying amount or recognized as a separate asset, as appropriate, only when it is probable that the future economic benefits associated with the asset will benefit the Group and the acquisition cost can be measured reliably. The carrying amount of the replaced part is removed from the consolidated statement for financial status. Costs for routine maintenance and repairs are recognized as an expense when incurred.

Depreciation of assets, to reduce their acquisition cost to their estimated residual value over their estimated useful life, is calculated on a straight-line basis as follows:

| | |
|---|---|
| - Costs incurred at other party's property | 1 to 20 years |
| - Equipment, tools and installations | 3 to 10 years |

Significant estimates of residual values and estimates of useful lives are updated as necessary, but at least annually.

Gains or losses arising from the disposal of tangible fixed assets are determined as the difference between the proceeds and the carrying amount of the assets and are recognized in profit/loss under 'Other operating revenues' or 'Other operating costs' in the consolidated income statement.

## 2.12 Impairment of non-financial assets

Goodwill with an indefinite useful life or intangible assets that are not ready for use are not amortized but are tested annually, or when there is an indication of value loss, regarding any impairment. Assets subject to impairment are assessed for a decline in value whenever events or changes in circumstances indicate that the carrying amount may not be recoverable.

An impairment is recognized for the amount by which the asset's carrying amount exceeds its recoverable amount. The recoverable amount is the higher of the asset's fair value less costs to sell and its value in use. When assessing impairment, assets are grouped at the lowest levels for which there are essentially independent cash flows (cash-generating entities). Goodwill is allocated to the cash-generating entities that are expected to benefit from synergies in related business acquisitions and represents the lowest level in the Group at which management monitors goodwill.

To determine value in use, Group management estimates the expected future cash flows from each cash-generating entity and determines an appropriate discount rate to calculate the present value of these cash flows. The data used for impairment testing is directly linked to the Group's latest approved budget, adjusted as necessary to exclude the effects of future reorganizations and asset improvements. Discount factors are determined individually for each cash-generating entity and reflect current market assessments of money's time value and asset-specific risk factors.

Impairment on cash-generating entities first reduce the carrying amount of any goodwill allocated to the cash-generating entity. Any remaining impairment proportionally reduces the other assets in the cash-generating entities. For assets (other than goodwill) that have previously been impaired, an assessment is made on each balance sheet date as to whether a reversal should be made.

### 2.13 Financial instruments

#### 2.13.1 First reporting date
Financial assets and financial liabilities are recognized when the Group becomes a party to the instrument's contractual provisions. Purchases and sales of financial assets and liabilities are recognized on the trade date, the date on which the Group commits to buy or sell the asset.

Financial instruments, assets or financial liabilities not recorded at fair value through profit and loss, are initially recognized at fair value plus transaction costs that are directly attributable to acquisition or issue of a financial asset or financial liability, such as fees and commissions. Transaction costs for financial assets and financial liabilities that are recognized at fair value through the income statement are expensed in the statement of comprehensive income.

#### 2.13.2 Classification and measurement of financial assets
The Group classifies and measures its financial assets in the *financial assets recognized at amortized cost* category.

*Financial assets measured at amortized cost*
The classification of investments in debt instruments depends on the Group's business model for managing financial assets and the contractual terms of the assets' cash flows. The Group reclassifies debt instruments only when the Group's business model for the instruments changes.

Assets that are held for the purpose of collecting contractual cash flows and where those cash flows represent only principal and interest are recognized at amortized cost. Interest income from such financial assets is recognized as financial income using the effective interest method.

The Group's financial assets measured at amortized cost consist of other long-term receivables, accounts receivable, contract assets, other receivables and cash and cash equivalents.

#### 2.13.3 Derecognition of financial assets
Financial assets, or part of a financial asset, are derecognized when the contractual rights to receive cash flows from the assets have expired or been transferred and either (i) the Group transfers substantially all the risks and rewards of ownership or (ii) the Group does not transfer or retain substantially all the risks and rewards of ownership and the Group has not retained control of the asset.

Gains and losses arising from derecognition are recognized directly in the balance sheet within other operating revenues and other operating costs.

#### 2.13.4 Classification and measurement of financial liabilities
The Group classifies and measures its financial liabilities in the *financial liabilities recognized at amortized cost* category.

*Financial liabilities measured at amortized cost*
At the initial reporting date, the Group measures a financial liability at fair value plus transaction costs directly attributable to the financial liability. The Group's financial liabilities are measured after the first reporting date at amortized cost using the effective interest method.

The Group's financial liabilities measured at amortized cost consist of liabilities to credit institutions, accounts payable, other liabilities and accrued expenses.

#### 2.13.5 Derecognition of financial liabilities
Financial liabilities are derecognized when the obligations have been settled, cancelled or otherwise extinguished. The difference between the carrying amount of a financial liability (or part of a financial liability) extinguished or transferred to another party and the consideration paid, including non-cash assets transferred or liabilities assumed, is recognized in the statement of comprehensive income.

When the terms of a financial liability are renegotiated and not derecognized, a gain or loss is recognized in the statement of comprehensive income. The gain or loss is calculated as the difference between the original contractual cash flows and the modified cash flows discounted at the original effective interest rate.

#### 2.13.6 Offsetting financial instruments

Financial assets and liabilities are offset and recognized in the balance sheet only when there is a legally enforceable right to offset the recognized amounts with an intention to settle on a net basis or to realize the asset and settle the liability at the same time. The legal right must not be dependent on future events and must be legally binding on the company and the counterparty both in the normal course of business and in the event of default, insolvency or bankruptcy.

### 2.13.7 Impairment of financial assets

The Group assesses the future expected credit losses associated with assets carried at amortized cost. The Group recognizes a credit reserve for such expected credit losses on each reporting date.

For accounts receivable and contractual receivables, the Group applies the simplified approach to credit provisioning, i.e. the provision will be equal to the expected loss over the life of the receivable. In order to measure the expected credit losses, accounts receivable and contractual receivables are grouped based on distributed credit risk characteristics and days past due. For the Group's other financial instruments, the general model for calculating expected credit losses is applied. The Group uses forward-looking variables for expected credit losses. Expected credit losses are recognized in other external expenses in the consolidated income statement.

## 2.14 Inventories

The inventory consists of finished goods such as touch screens, library cards and hand scanners, etc. but also some spare parts. The inventory is valued at the lower of acquisition cost and net realizable value. The risk of obsolescence has been taken into account. The amortized cost is calculated on a first-in, first-out basis. The amortized cost includes not only the purchase cost but also the cost of transporting the goods to their present location and condition.

## 2.15 Accounts receivable

Accounts receivable is the amount due from customers for goods or services sold in the ordinary course of business. Accounts receivable is classified as current assets. Accounts receivable is initially recognized at the transaction price. The Group holds the accounts receivable for the purpose of collecting contractual cash flows. Accounts receivable is therefore measured at subsequent reporting dates at amortized cost using the effective interest method.

## 2.16 Cash and cash equivalents

Cash and cash equivalents consist solely of available balances with banks and similar institutions.

## 2.17 Share capital

Share capital represents the quota value of issued shares.

Other components of equity include the following:

- The translation reserve contains translation differences from the translation of the financial statements of the Group's foreign operations into SEK.
- Retained earnings include all retained earnings for the current and previous periods.
- All transactions with the owners of the parent company are accounted for separately within equity.

Dividends payable to shareholders are included in 'Other liabilities' when the dividends have been approved by an AGM before the balance sheet date.

## 2.18 Borrowings

Borrowings are initially recognized at fair value, net of transaction costs. Borrowings are subsequently measured at amortized cost and any difference between the amount received (net of transaction costs) and the amount repaid is recognized in the statement of comprehensive income over the period of the borrowing using the effective interest method.

Fees paid for credit facilities are recognized as transaction costs for liabilities to credit institutions to the extent that it is probable that some or all of the credit facility will be drawn down. In such cases, the fee is recognized when the credit line is used.

Borrowings are removed from the statement for financial status when the obligations have been settled. The difference between the carrying amount of a financial liability (or part of a financial liability) extinguished or transferred to another party and the consideration paid, including non-cash assets transferred or liabilities assumed, is recognized in the consolidated income statement.

Borrowings are classified as short-term liabilities unless the Group has an unconditional right to defer settlement of the liability for at least 12 months after the end of the reporting period.

The loan agreement for the Group's long-term debt contains certain covenants. The covenants are based on certain performance measures defined in the loan agreement. Refer to Section 3.2 Capital risk management for more information.

## 2.19 Account payables

Accounts payable are financial instruments and relate to obligations to pay for goods and services acquired in the ordinary course of business from suppliers. Accounts payable are classified as short-term liabilities if they fall due within one year. If not, they are recorded as long-term liabilities.

Accounts payable are initially recognized at fair value and subsequently at amortized cost using the effective interest method.

### 2.20 Employee remuneration

#### *2.20.1 Short-term employee remuneration*
Liabilities for salaries and remuneration, including non-monetary benefits and paid sick leave, that are expected to be settled within 12 months after the end of the financial year are recognized as short-term liabilities at the undiscounted amount expected to be paid when the liabilities are settled. The cost is recognized in the statement of comprehensive income then the services are performed by the employees. The liability is recognized as an employee benefit obligation in the consolidated statement for financial status.

#### *2.20.2 Pension obligations*
The Group has defined contribution and defined benefit pension plans.

*Defined contribution plans*
A defined contribution plan is a pension plan under which the company pays fixed contributions to a separate legal entity. The Group has no legal or constructive obligation to pay additional contributions if that legal entity does not have sufficient assets to pay all employee remuneration relating to employee service in the current or prior periods. The contributions are recognized as staff costs in the statement of comprehensive income when they fall due. Prepaid fees are recognized as an asset to the extent that cash refunds or reductions in future payments are available to the Group.

*Defined benefit plans*
Obligations for retirement and family pensions for civil servants in Sweden are secured through an insurance policy with Alecta. According to a statement from the Swedish Financial Reporting Board, UFR 10 Accounting for the ITP 2 pension plan financed by insurance in Alecta, this is a multi-employer defined benefit plan. Under the ITP 2 agreement, the amount of the retirement pension is determined by the employee's years of service and final salary at the time of retirement. The amount of the family pension is determined by the staff member's estimated number of years of service (calculated as the number of years of service from the date of recruitment to the date of retirement) and salary at the time of death.

The amount of the employee's and survivor's' pension is not dependent on the contributions paid by the company to the plan and the return on capital that these contributions provide. Retirement pensions and family pensions therefore do not meet the definition of defined contribution plans in IAS 19. Obligations for retirement and family pensions under ITP 2 that are financed by insurance with Alecta are therefore classified as defined benefit obligations. However, according to UFR10, there are no conditions for reporting an ITP 2 plan financed by insurance in Alecta as a defined benefit plan, so this plan is reported as a defined contribution plan in accordance with IAS 19.

Expected fees for the next reporting period for pension insurance policies taken out in Alecta amount to KSEK 3,025 (2023: KSEK 3,199). The Group's share of the total contributions to the plans and the Group's share of the total number of active members, retired members and former members entitled to benefits are immaterial.

The collective consolidation level consists of the market value of Alecta's assets as a percentage of the insurance obligations calculated according to Alecta's actuarial calculation assumptions, which do not comply with IAS 19. Collective consolidation, in terms of collective consolidation level, must normally be allowed to vary between 125% and 175%. If Alecta's collective consolidation level falls below 125% or exceeds 175%, measures must be taken to create the conditions for returning the consolidation level to the normal interval. Alecta's surplus can be distributed to policyholders and/or insured persons if the collective funding ratio exceeds 175%. Alecta applies premium reductions to avoid surpluses.

#### *2.20.3 Benefits in case of termination*
Termination benefits, to the extent that the benefits do not confer any future economic benefits on the Group, are recognized as a liability and an expense only when the entity has a legal or constructive obligation to either (i) terminate the employment of an employee or group of employees before the normal termination date, or (ii) provide termination benefits by way of an offer to encourage voluntary redundancy. Termination benefits are recognized only when the Group has a detailed plan for the termination and has no realistic possibility of cancelling the plan.

### 2.21 Cash flow statement
The cash flow statement is drawn up using the indirect method. The recognized cash flow only includes transactions that resulted in cash receipts or payments.

## Note 3 Financial risk management

### 3.1 Financial risk factors
Through its activities, the Group is exposed to a variety of financial risks mainly related to accounts receivable, loans, accounts payable and borrowings: market risk (comprising mainly interest rate risk and currency risk), credit risk, liquidity risk and refinancing risk. The Group seeks to minimize potential adverse effects on the Group's financial performance. The objective of the Group's financial activities is to:

- ensure that the Group can meet its payment obligations,
- manage financial risks,
- ensure access to the necessary funding, and
- optimize the Group's net financial position.

The Group's risk management is managed centrally according to policies established by the Board of Directors. Financial risks are identified, evaluated and hedged in close cooperation with the Group's operational units. Responsibility for managing the Group's financial transactions and risks is centralized in the parent company.

### 3.1.1 Market risk
*Currency risk*
The Group has foreign subsidiaries that operate in local currency. Costs related to the business are mainly incurred in local currency in the foreign subsidiaries, which results in a low currency risk for the Group. The Group's consolidated income statement and balance sheet items are reported in Swedish kronor and a currency risk arises in connection with the revaluation of balance sheet items at the exchange rates on the balance sheet date. The Group has not entered into any forward exchange contracts.

Currency risk arises from future business transactions and recognized assets and liabilities in a currency that is not the company's functional currency, known as transaction exposure. Furthermore, the Group is exposed to currency risk, so-called translation risk, when translating the income statements and balance sheets of foreign subsidiaries into the Group's reporting currency, which is Swedish kronor (SEK).

Significant balance sheet items in foreign currency are included in cash and cash equivalents and accounts receivable.

Refer to Note 19 for cash and cash equivalents.

**Amounts in KSEK**

| Accounts receivable | 31/12/2024 | 31/12/2023 |
|---|---|---|
| EUR | 27 201 | 30 856 |
| GBP | 11 035 | 8 901 |
| USD | 29 150 | 22 093 |
| CAD | 6 194 | 6 233 |
| AUD | 1 776 | 2 145 |
| NZD | 505 | 316 |
| CZK | 1 419 | 1 068 |
| NOK | 1 399 | 688 |
| DKK | 4 345 | 4 205 |
| SEK | 20 491 | 30 295 |
| Others | 2 537 | 4 145 |
| | **106 053** | **110 945** |

*Interest rate risk*
The Group is exposed to a relatively low interest rate risk on interest-bearing long-term liabilities. The Group is exposed to the impact of variable interest rates on liabilities. If the interest rate had been 1 percentage point higher/lower with all other variables constant, profit/loss after tax would have been approximately MSEK 0.6 lower/higher and equity would have been MSEK 0.6 lower/higher. The Group currently has no interest rate swaps to counteract a rise in interest rates.

Refer to Note 21 Borrowings for more information on the Group's borrowings.

### 3.1.2 Credit risk
Credit risk arises from balances with banks and credit institutions and customer credit exposures including outstanding receivables. The Group's credit risk is managed at Group level based on the Group's credit risk management policy and procedures. Customer credit risk is mitigated through credit risk assessments, the establishment of credit limits in the event of late payment obligations and through contractual terms and conditions with customers. In cases where there is no independent credit assessment, a risk assessment of the customer's creditworthiness is carried out, taking into account the customer's financial position, past experience and other factors. Individual risk limits are set based on internal or external credit assessments in accordance with the limits set by the Board of Directors. The use of credit limits is monitored regularly.

There is no high concentration of credit risk in terms of exposure to individual customers, and/or regions. The Group's accounts receivable and contract receivables are within the scope of the impairment model for expected credit losses.

*Accounts receivable and contractual receivables*

The Group applies the simplified approach to the calculation of expected credit losses for accounts receivable and contractual receivables where the reserve is calculated based on the risk of loss for the entire duration of the receivable.

To measure the expected credit losses, accounts receivable and contractual receivables have been grouped based on the number of days past due. Expected credit losses are based on a period of 12 months before 31 December 2024 with corresponding historical credit losses during the same period. The historical credit losses are then adjusted to take into account current and forward-looking information on macroeconomic factors that may affect the ability of customers to pay their debts. Where the Group has more information about customers than the statistical model reflects, management carries out additional assessments for those customers. Historically, the Group has experienced insignificant credit losses. Based on historical data with very low credit losses together with a forward-looking assessment, the expected credit losses are not significant for any customers.

Impairment on accounts receivable and contract receivables are recognized in other external expenses in the operating profit/loss. Subsequent repayments of amounts previously written down were reversed against the same item. The amounts and age structure of receivables past due are disclosed in Note 16.

### 3.1.3 Liquidity risk

Through prudent liquidity management, the Group ensures that sufficient cash is available to meet the needs of its operating activities. At the same time, it is ensured that the Group has sufficient room in its contractual credit facilities to pay debts as they fall due.

The central finance function follows rolling forecasts of the Group's liquidity reserve (including unused credit facilities) and cash and cash equivalents based on expected cash flows. The analyses are normally carried out by the operating companies, taking into account the guidelines and limitations established by Group management. The restrictions vary across regions, taking into account the liquidity of different markets. The Group also monitors balance sheet-based liquidity measures against internal and external requirements and ensures access to external funding.

Refer to Note 21 for information on the Group's borrowings.

### 3.1.4 Refinancing risk

Refinancing risk is defined as the risk that difficulties arise refinancing the company, that financing cannot be obtained, or that it can only be obtained at increased cost. The risk is limited by the fact that the Group always has confirmed unutilized credit facilities that are deemed to be sufficiently large and that refinancing is always initiated well in good time before loan maturity.

The following table analyses the Group's non-derivative financial liabilities by the time remaining to contractual maturity on the balance sheet date.

The amounts shown in the table are the contractual undiscounted cash flows. Future cash flows in foreign currency and in respect of variable interest rates have been calculated using the exchange rate and interest rate prevailing on the balance sheet date.

| Contractual maturities | Less than 6 months | Between 6-12 months | Between 1-5 years | More than 5 years | Total contractual cash flows | Carrying amount |
|---|---|---|---|---|---|---|
| **31/12/2024** | | | | | | |
| *Financial liabilities* | | | | | | |
| Liabilities to credit institutions | 9 537 | 9 114 | 17 055 | - | 35 706 | 33 632 |
| Lease liabilities | 7 453 | 7 453 | 21 111 | - | 36 017 | 34 305 |
| Overdraft facility | 53 012 | 1 500 | 3 000 | - | 57 512 | 51 512 |
| Accounts payable | 19 750 | - | - | - | 19 750 | 19 750 |
| Other liabilities | 145 956 | 43 162 | 33 274 | - | 222 392 | 219 642 |
| **Total** | **235 708** | **61 229** | **74 440** | **-** | **371 377** | **358 841** |
| | | | | | | |
| **31/12/2022** | | | | | | |
| *Financial liabilities* | | | | | | |
| Liabilities to credit institutions | 12 001 | 11 614 | 35 313 | - | 58 928 | 54 269 |
| Lease liabilities | 7 049 | 7 049 | 19 170 | - | 33 268 | 31 606 |
| Overdraft facility | 62 721 | 625 | 1 250 | - | 64 596 | 62 096 |
| Accounts payable | 20 968 | - | - | - | 20 968 | 20 968 |
| Other liabilities | 141 667 | 34 063 | 15 269 | - | 190 999 | 189 891 |
| **Total for the year** | **244 406** | **53 351** | **71 002** | **-** | **368 759** | **358 830** |

## 3.2 Capital risk management

The Group's capital structure objectives are to safeguard the Group's ability to continue as a going concern, provide returns to shareholders and maintain an optimal capital structure at the lowest possible cost.

The priority for capital management is to comply with the binding financial commitments (covenants) given by the Group in credit agreements with Nordea Bank AB. The debt covenants include an interest coverage ratio covenant and a net debt/EBITDA covenant. In 2024, a new agreement was signed with partly new levels for the covenants and none of these have been breached in 2024.

# Note 4. Significant accounting estimates and assessments

The Group makes estimates and assumptions about the future. The resulting estimates for accounting purposes will, by definition, rarely reflect the actual outcome. Estimates and assessments are continually evaluated and are based on historical experience and other factors, including expectations of future events that are believed to be reasonable under the circumstances.

The estimates and assumptions that have a significant risk of causing a material adjustment to the carrying amounts of assets and liabilities within the next financial year are summarized below.

### 4.1 Internally generated assets
The allocation between the research and development phases of new software development projects and the determination of whether the requirements for capitalization of development costs are met are subject to assessments. After capitalization, Group management monitors whether the accounting requirements for development costs continue to be met and whether there are indications that the recorded intangible asset has declined in value and in need of impairment. Refer to Note 11 for information on the carrying amounts of internally generated assets.

### 4.2 Goodwill
Goodwill has been allocated to cash-generating entities based on an assessment of which entities will benefit from the synergies, etc. created by the business acquisition. To carry out the allocation, management has taken into account the entities' estimated business volumes and an assessment of the market development for each entity. The Board of Directors has assessed the value in use of goodwill in accordance with the principles described above under the heading Impairment testing of goodwill and other intangible assets, property, plant and equipment and investments in Group companies and in the note on goodwill.

### 4.3 Impairment testing of non-financial assets and goodwill
To assess impairment, management estimates the recoverable amount of each asset or cash-generating entity based on expected future cash flows and using an appropriate interest rate to discount the cash flows. Uncertainties lie in assumptions about future cash flows and the determination of an appropriate discount rate. Refer to Note 11 for information on the carrying amounts of goodwill and quantitative information on impairment testing.

### 4.4 Measurement of deferred tax assets
The assessment of the extent to which deferred tax assets can be recognized is based on an assessment of the likelihood that future taxable income will be available against deductible temporary differences and accumulated tax losses. Significant considerations are also required when assessing the impact of certain legal or economic constraints or uncertainties in different tax jurisdictions. The value of deferred tax assets is tested on each balance sheet date and provisions are made only in those countries where the probability of being able to utilize them against future profits is considered high based on expected forecast income. The actual results may differ from these assessments due to, among other things, changes in the future business climate, changes in tax regulations or the outcome of audits of submitted tax returns by authorities or tax courts that have not yet been completed.

Refer to Note 10 for further information on loss carry-forwards and deferred tax assets.

### 4.5 Business acquisitions
To calculate fair values, management uses valuation techniques for the specific assets and liabilities acquired in a business acquisition.

## Note 5. Segment information and net turnover information

The Group identifies the its two business divisions (three business divisions in 2023) as its operating segments. These operating segments are monitored by the Group's chief operating decision maker (CEO) and strategic decisions are made based on the operating profit/loss before depreciation for the segments. The CEO also assesses net turnover by segment and by business segment and, from a geographical perspective, divided into the Nordic region, the rest of Europe, North America and other countries. The information presented on geographical revenues refers to the areas where customers are located.

Axiell Public Library & Education is a full-service provider of IT solutions and services for libraries in the Nordic region and Europe, with a main focus on public and school libraries. The business division also includes the operation of three libraries in Nacka municipality.

Axiell Archives Libraries Museums & RVR is the leading provider of global IT solutions for archives and museums globally, for collection management, digital objects and public solutions. The business division also sells personal data management solutions to countries that are or were part of the Commonwealth.

The Axiell Media business division was divested on 31 March 2023 and has only generated revenue in the first quarter of the previous year.

The Group-wide segment consists of costs that are not attributable to an individual segment.

Segment reporting is broken down as follows:

| Amounts in KSEK | Axiell Public Library & Education | | Axiell Archives Libraries Museums & RVR | | Axiell Media | | Group-wide | | Total | |
|---|---|---|---|---|---|---|---|---|---|---|
| | 2024 | 2023 | 2024 | 2023 | 2024 | 2023 | 2024 | 2023 | 2024 | 2023 |
| **Net turnover by geographical area** | | | | | | | | | | |
| Sweden | 124 715 | 124 260 | 1 175 | 934 | - | 36 390 | | | 125 890 | 161 584 |
| Remaining Nordic countries | 62 054 | 61 899 | 6 453 | 6 586 | - | 2 323 | | | 68 507 | 70 808 |
| Europé | 79 890 | 79 690 | 120 065 | 112 061 | - | - | | | 199 955 | 191 751 |
| North America | 7 173 | 8 089 | 84 520 | 93 833 | - | - | | | 91 693 | 101 922 |
| Other countries | 933 | 990 | 37 513 | 32 029 | - | - | | | 38 446 | 33 019 |
| | **274 765** | **274 928** | **249 726** | **245 443** | **-** | **38 713** | **-** | **-** | **524 491** | **559 084** |
| **Net turnover by business segment** | | | | | | | | | | |
| Software maintenance | 205 782 | 210 935 | 156 616 | 150 335 | - | - | | | 362 398 | 361 270 |
| E-media distribution and service revenue | - | - | - | - | - | 38 713 | | | | 38 713 |
| Other* | 68 983 | 63 993 | 93 110 | 95 108 | - | - | | | 162 093 | 159 101 |
| | **274 765** | **274 928** | **249 726** | **245 443** | **-** | **38 713** | **-** | **-** | **524 491** | **559 084** |
| **Operating profit/loss before depreciation** | 23 518 | 23 146 | 24 322 | 26 625 | - | 1 062 | 1 600 | -521 | 49 440 | 50 312 |
| Depreciation | | | | | | | | | -37 970 | -36 864 |
| Profit/loss from disposal of subsidiary | | | | | | | | | 0 | 20 616 |
| Financial income | | | | | | | | | 3 003 | 5 521 |
| Financial costs | | | | | | | | | -10 285 | -12 417 |
| **Profit/loss before tax** | | | | | | | | | **4 188** | **27 168** |

*Other consists of software licenses, implementation, configuration, consulting, training and other.

The Group does not have a single customer that represents more than 10% of the Group's total sales.

**Fixed assets by geography**

Fixed assets, other than financial instruments, and deferred tax assets (there are no assets related to post-employment benefits or rights under insurance contracts) are allocated by country as follows:

|  | 2024 | 2023 |
|---|---|---|
| Sweden | 164 090 | 168 128 |
| Remaining Nordic countries | 59 747 | 61 503 |
| Europe | 95 741 | 90 204 |
| North America | 24 165 | 25 973 |
| Other countries | 50 297 | 50 340 |
| Total | **394 040** | **396 148** |

The table below shows the Group's assets and liabilities relating to contracts with customers:

| Contract assets | 2024 | 2023 |
|---|---|---|
| Current contract assets related to contracts such as consulting services, conversion and implementation, etc. | 57 956 | 43 477 |
| Total | **57 956** | **43 477** |

| Contractual liabilities | 2024 | 2023 |
|---|---|---|
| Prepayments | 151 442 | 134 027 |
| Total | **151 442** | **134 027** |

Of the contractual liabilities included in the opening balance, the following have been recognized as revenue during the year:

|  | 2024 | 2023 |
|---|---|---|
| Contractual liabilities | 128 930 | 118 737 |
| Total contractual liabilities recognized as revenue | **128 930** | **118 737** |

# Note 6. Remuneration to the auditors

|  | 2024 | 2023 |
|---|---|---|
| **PwC** | | |
| Audit assignments | 1 220 | 1 732 |
| Other services | 180 | 134 |
| **Other auditors** | | |
| Audit assignments | 789 | 151 |
| Tax advice | 572 | 675 |
| Other services | 680 | 468 |
|  | **3 441** | **3 160** |

Fees and remuneration to auditors expensed during the year are shown above. Remuneration for consultations is reported in cases where the same audit firm is tasked with the audit assignment in the individual company. An audit assignment is the statutory audit of the annual accounts and the management of the Board of Directors and the CEO. Tax advice refers to consultation on tax law issues. Other services refers to advice that does not fall under any of the other categories.

## Note 7. Employee remuneration, etc.

**Salaries, other remuneration and social security contributions - other employees**

| | 2024 | 2023 |
|---|---|---|
| Salaries and other remuneration (of which bonuses) | 225 092 (0) | 247 241 (0) |
| Social security contributions | 47 960 | 49 164 |
| Pension costs - defined contribution plans | 20 228 | 16 562 |
| **Total remuneration to other employees** | **293 280** | **312 967** |

**Salaries, other remuneration and social security contributions – Board of Directors, CEO and other senior executives**

| | 2024 | 2023 |
|---|---|---|
| Salaries and other remuneration (of which bonuses) | 9 908 (0) | 12 348 (0) |
| Social security contributions | 3 448 | 3 611 |
| Pension costs - defined contribution plans | 2 376 | 2 637 |
| **Total remuneration to board members, CEO and other senior executives** | **15 732** | **18 596** |

The Group has concluded an agreement with the CEO whereby the CEO receives 12 months' salary in the event of termination by the company. There is no severance pay in case of termination by the CEO.

For other senior executives, the mutual notice period is 3 to 6 months..

*Average number of employees with geographical distribution by country*

| | 2024 | | 2023 | |
|---|---|---|---|---|
| | Average number of employees | Of which men | Average number of employees | Of which men |
| Sweden | 101 | 48 | 107 | 52 |
| Denmark | 6 | 5 | 6 | 5 |
| Finland | 13 | 7 | 14 | 8 |
| Norway | 13 | 7 | 17 | 11 |
| United Kingdom | 42 | 29 | 43 | 31 |
| The Netherlands | 28 | 22 | 27 | 21 |
| Belgium, Belgium | 6 | 3 | 7 | 4 |
| Czech Republic | 15 | 8 | 15 | 12 |
| Germany | 17 | 10 | 17 | 13 |
| France | 23 | 14 | 23 | 14 |
| Canada | 45 | 27 | 49 | 30 |
| UNITED STATES OF AMERICA | 10 | 6 | 11 | 6 |
| Australia | 21 | 12 | 20 | 14 |
| New Zealand | 1 | 1 | 1 | 1 |
| India | 1 | 1 | 0 | 0 |
| | **342** | **200** | **357** | **222** |

*Gender distribution in the Group (incl. subsidiaries) for board members and other senior executives*

| | 31/12/2024 | | 31/12/2023 | |
|---|---|---|---|---|
| | Number on balance sheet date | Of which men | Number on balance sheet date | Of which men |
| Board Members | 4 | 4 | 4 | 3 |
| Chief Executive Officer and other senior executives | 5 | 3 | 5 | 3 |
| | **9** | **7** | **9** | **6** |

## Note 8. Financial income and financial costs

| Financial income | 2024 | 2023 |
|---|---|---|
| Interest income | 3 003 | 5 521 |
| Profit/loss from disposal of subsidiaries | 0 | 20 616 |
| Exchange rate differences | 0 | 0 |
| **Total financial income** | **3 003** | **26 137** |

| Financial costs | 2024 | 2023 |
|---|---|---|
| Interest costs | -8 195 | -9 618 |
| Interest costs on lease agreements | -1 082 | -1 070 |
| Exchange rate differences | -1 008 | -1 729 |
| **Total financial costs** | **-10 285** | **-12 417** |

| | 2024 | 2023 |
|---|---|---|
| **Financial items – net** | **-7 282** | **13 720** |

## Note 9. Income tax

| | 2024 | 2023 |
|---|---|---|
| **Current tax** | | |
| Current tax on profit/loss | **-7 311** | -5 397 |
| Adjustments for previous years | **223** | 465 |
| **Total current tax** | **-7 088** | **-4 932** |
| Deferred tax | 855 | 273 |
| **Total deferred tax** | **855** | **273** |
| **Income tax recognized in the consolidated income statement** | **-6 233** | **-4 659** |

The income tax on the Group's profit/loss before tax differs from the theoretical amount that would have resulted from applying the Swedish tax rate to the profit/loss in the consolidated companies as follows:

| | 2024 | 2023 |
|---|---|---|
| **Profit/loss before tax** | 4 227 | 27 168 |
| Income tax calculated at the tax rate in Sweden 20.6% (20.6%) | -871 | -5 597 |
| Tax effects of: | | |
| Non-taxable income | 2 756 | 7 190 |
| Non-deductible expenses | -3 603 | -3 463 |
| Unutilized loss carry-forwards for which no deferred tax asset has been recognized | -4 953 | -2 029 |
| Measurement of loss-carry forwards from previous years | 106 | -149 |
| Previously unrecognized loss carry-forwards used to reduce tax | -93 | -5 |
| Effect of change in tax rate | 202 | -445 |
| Adjustment for previous years | 223 | 465 |
| Other | 0 | -626 |
| **Income tax** | **-6 233** | **-4 659** |

The Group's effective tax rate is 147.4% (2023: 17.1.%)

## Note 10. Deferred tax

| Deferred tax assets | Tax losses | Staff-related liabilities | Tangible fixed assets | Total |
|---|---|---|---|---|
| **Opening balance at 01/01/2023** | **12 179** | **3 110** | **455** | **15 744** |
| Added by acquisitions | | | | |
| Recognized in the income statement | 228 | -287 | -453 | -512 |
| Change in exchange rates | | | | |
| **Closing balance at 31/12/2023** | **12 407** | **2 823** | **2** | **15 232** |
| | | | | |
| **Opening balance as at 01/01/2024** | **12 407** | **2 823** | **2** | **15 232** |
| Added by acquisitions | | | | |
| Recognized in the income statement | 262 | 501 | -1 880 | -1 117 |
| Change in exchange rates | | | | |
| **Closing balance at 31/12/2024** | **12 669** | **3 324** | **-1 878** | **14 115** |
| Amounts offset against deferred tax liabilities under the offsetting rules | | | | |
| **Deferred tax assets, net** | | | | **13 391** |

| Deferred tax liabilities | Intangible assets | Right-of-use assets | Untaxed reserves | Total |
|---|---|---|---|---|
| **Opening balance at 01/01/2023** | **-3 041** | **-24** | **-115** | **-3 180** |
| Added by acquisitions | | | | |
| Recognized in the income statement | 250 | 180 | 54 | 484 |
| Change in exchange rates | | | | |
| **Closing balance at 31/12/2023** | **-2 791** | **156** | **-61** | **-2 696** |
| | | | | |
| **Opening balance as at 01/01/2024** | **-2 791** | **156** | **-61** | **-2 696** |
| Added by acquisitions | | | | |
| Recognized in the income statement | -665 | 41 | 2 596 | 1 972 |
| Change in exchange rates | | | | |
| **Closing balance at 31/12/2024** | **-3 456** | **197** | **2 535** | **-724** |
| Amounts offset against deferred tax assets under the offsetting rules | | | | |

The Group recognizes deferred tax assets for tax loss carry-forwards to the extent that it is probable that they can be recovered through future taxable profits.

All deferred tax assets (including tax loss-carry forwards and other tax credits) have been recognized in the balance sheet. Loss carry-forwards for which deferred tax assets have been recognized in the parent company amount to KSEK 46,750 as of 31 December 2024 (31 December 2023: KSEK 46,846). Refer to the parent company's Note 41 for further information.

Tax loss carry-forwards as of 31 December 2024 were expected to expire as follows:

| Expected date | Less than 5 years | Unlimited | Total |
|---|---|---|---|
| Tax loss carry-forwards | | 51 769 | 51 769 |

# Note 11. Intangible assets

| | Balanced development and similar work | Trademarks and similar rights | Computer software | Goodwill | Other | Total |
|---|---|---|---|---|---|---|
| **Opening balance acquisition costs 01/01/2023** | **154 159** | **17 572** | **176 933** | **282 371** | **30 258** | **661 293** |
| Acquisitions during year Through acquisitions | 7 292 | | | 1 069 | 2 803 | 11 164 |
| Sales/disposals for the year | -12 533 | | | -18 849 | | -31 382 |
| Exchange rate differences | -367 | | 28 | -6 101 | -290 | -6 730 |
| Reclassifications | | | | | -116 | -116 |
| **Closing balance acquisition costs 31/12/2023** | **148 551** | **17 572** | **176 961** | **258 490** | **32 655** | **634 229** |
| | | | | | | |
| **Opening accumulated depreciation/amortization 01/01/2023** | **-54 012** | **-12 300** | **-167 316** | **-5 042** | **-19 931** | **-258 601** |
| Depreciation for the year | -13 333 | -1 758 | -1 336 | | -2 546 | -18 973 |
| Sales/disposals for the year | 3 739 | | | | | 3 739 |
| Exchange rate differences | 345 | | -320 | | 260 | 285 |
| Reclassifications | | | | | 126 | 126 |
| **Closing accumulated depreciation/amoritization as of 31/12/2023** | **-63 261** | **-14 058** | **-168 972** | **-5 042** | **-22 091** | **-273 424** |
| | | | | | | |
| **Carrying amount at 31/12/2023** | **85 290** | **3 514** | **7 989** | **253 448** | **10 564** | **360 805** |
| | | | | | | |
| **Opening balance acquisition costs 01/01/2024** | **148 551** | **17 572** | **176 961** | **258 490** | **32 655** | **634 229** |
| Acquisitions during year Through acquisitions | 8 032 | | | | 2 921 | 10 953 |
| Sales/disposals for the year | | | | | -47 | -47 |
| Exchange rate differences | 1 864 | | 8 367 | 2 946 | 763 | 13 940 |
| Disposals | | | -91 452 | | -2 265 | -93 717 |
| **Closing balance acquisition costs 31/12/2024** | **158 447** | **17 572** | **93 876** | **261 436** | **34 027** | **565 358** |
| | | | | | | |
| **Opening accumulated depreciation/amortization 01/01/2024** | **-63 261** | **-14 058** | **-168 972** | **-5 042** | **-22 091** | **-273 424** |
| Depreciation and amortization for the year | -13 598 | -1 757 | -1 329 | | -2 748 | -19 432 |
| Sales/disposals for the year | | | | | 47 | 47 |
| Exchange rate differences | -683 | | -7 661 | | -695 | -9 039 |
| Disposals | | | 91 452 | | 2 265 | 93 717 |
| **Closing accumulated depreciation/amortization as of 31/12/2024** | **-77 542** | **-15 815** | **-86 510** | **-5 042** | **-23 222** | **-208 131** |
| | | | | | | |
| **Carrying amount at 31/12/2024** | **80 905** | **1 757** | **7 366** | **256 394** | **10 805** | **357 227** |

The total amount of research and development expenditure expensed during the year amounts to KSEK 48 750 (2023: KSEK 56 360).

| | Axiell Public Library & Education | Axiell ALM & RVR | Axiell Media | Total |
|---|---|---|---|---|
| **Opening accumulated acquisition costs at 01/01/2023** | **152 544** | **110 978** | **18 849** | **282 371** |
| Acquired businesses | 1 069 | | | 1 069 |
| Sales/disposals for the year | | | -18 849 | -18 849 |
| Exchange rate differences | -3 391 | -2 710 | | -6 101 |
| **Closing accumulated acquisition as of 31/12/2023** | **150 222** | **108 268** | **0** | **258 490** |
| | | | | |
| **Opening accumulated amortization as of 01/01/2023** | **-5 042** | **-** | **-** | **-5 042** |
| Amortization | | | | |
| **Closing accumulated amortization as of 31/12/2023** | **-5 042** | **-** | **-** | **-5 042** |
| | | | | |
| **Carrying amount as of 31/12/2023** | **145 180** | **108 268** | **0** | **253 448** |
| | | | | |
| **Opening accumulated acquisition costs as of 01/01/2024** | **150 222** | **108 268** | **0** | **258 490** |
| Acquired businesses | | | | |
| Sales/disposals for the year | | | | |
| Exchange rate differences | 223 | 2 723 | | 2 946 |
| **Closing accumulated acquisition costs as of 31/12/2024** | **150 445** | **110 991** | **0** | **261 436** |
| | | | | |
| **Opening accumulated amortization as of 01/01/2024** | **-5 042** | **-** | **-** | **-5 042** |
| Amortization | | | | |
| **Closing accumulated amortization as of 31/12/2024** | **-5 042** | **-** | **-** | **-5 042** |
| | | | | |
| **Carrying amount as of 31/12/2024** | **145 403** | **110 991** | **0** | **256 394** |

**Impairment tests for cash-generating entities containing goodwill**
The Group performed the annual goodwill impairment test on November 30, 2024 (November 30, 2023). Tests are performed to ensure that the carrying amount of the cash-generating entities does not exceed their recoverable amount. The cash-generating entities Axiell Public Library & Education and Axiell Archives Libraries Museums & RVR have significant reported goodwill values in relation to the Group's reported goodwill values. Goodwill is allocated to the cash-generating entities according to the notes above.

The recoverable amount is the higher of an asset's net realizable value and its value in use, i.e. the discounted present value of future cash flows. The recoverable amount is calculated based on assessments by management that are considered reasonable given the best information available.

The most significant assumption in the calculation is the weighted average cost of capital (WACC). Value in use calculations are based on estimated future pre-tax cash flows and are based on a Board-approved budget or forecast for 2025 and a forecast for a period of the subsequent four to five years. The calculation is based on Group management's experience and historical data. This includes assessing general market growth and the business entity's planned launch of new products and solutions.

Significant assumptions used to calculate value in use:

| For the full year | 2024 | | 2023 | |
|---|---|---|---|---|
| | Axiell Public Library & Education | Axiell Archives Libraries Museums & RVR | Axiell Public Library & Education | Axiell Archives Libraries Museums & RVR |
| Long-term growth rate (%) | 2% | 2% | 2% | 2% |
| Pre-tax discount factor (%) | 10,6% | 10,6% | 13,0% | 13,0% |

| Average annual growth (%) | 6,7% | 7,6% | 8,2% | 6,3% |
|---|---|---|---|---|

The cash flow projections have been based on an EBITDA margin that corresponds to the business plan adopted by the Board of Directors.

The Board of Directors and management have not identified any impairment requirements in the Group as a result of the conducted impairment tests.

Management believes that reasonable changes in any of the key assumptions in the calculation of value in use would not cause the carrying amount to materially exceed the recoverable amount. A sensitivity analysis of all calculations shows that the goodwill value can be defended even if the discount rate was to increase by one percentage point or the EBTIDA after the forecast period was to decrease by one percentage point.

### Discount factors and sensitivity analysis
Expected cash flows are discounted using a weighted average cost of capital (WACC) for the relevant cash-generating entity. The WACC is derived from the risk-free rate, the risk premium, the business risk represented by the estimated beta, the stock market risk premium and an estimated reasonable cost of borrowing above the risk-free rate. The discount rate represents the financial market's assessment of the risks specific to the cash-generating entities, taking into account both the time value of money and individual risks. The discount rate corresponds to the Group's estimated average cost of capital and is set primarily on the basis of the Group's required rate of return plus an estimate of the market's risk assessment. The pre-tax discount rate used for all cash-generating entities is 10.6% (2023: 13.0%) as the conditions for each cash-generating entity are deemed equivalent.

The value in use for each cash-generating entity depends on the assumptions made when calculating the discounted cash flows. A sensitivity analysis has been performed based on percentage changes in WACC and EBITDA, where the analysis shows whether an increase in WACC leads to impairment and whether a decrease in the EBITDA margin leads to impairment. The WACC has been increased by 1% for all cash-generating entities without any need for impairment. The EBITDA margin has been reduced by 1% for all entities with no impairment identified. Sensitivity analyses carried out did not indicate any impairment. Furthermore, tests on changes in the growth rate have been carried out when deemed necessary. No reasonably possible change in key assumptions would cause the carrying amount to exceed the recoverable amount.

# Note 12. Tangible fixed assets

| | Expenditure incurred at other party's property | Equipment, tools and installations | Total |
|---|---|---|---|
| **Opening balance acquisition costs 01/01/2023** | **2 813** | **19 144** | **21 957** |
| Acquisitions during year | 340 | 990 | 1 330 |
| Through acquisitions | | | |
| Sales/disposals for the year | 127 | -3 732 | -3 605 |
| Exchange rate differences | -25 | -94 | -119 |
| Reclassifications | 0 | 0 | 0 |
| **Closing balance acquisition costs 31/12/2023** | **3 255** | **16 308** | **19 563** |
| | | | |
| **Opening accumulated depreciation 01/01/2023** | **-1 373** | **-16 031** | **-17 404** |
| Depreciation for the year | -453 | -1 330 | -1 783 |
| Through acquisitions | | | |
| Sales/disposals for the year | 0 | 3 548 | 3 548 |
| Exchange rate differences | 25 | 67 | 92 |
| Reclassifications | 0 | 0 | 0 |
| **Closing accumulated depreciation as of 31/12/2023** | **-1 801** | **-13 746** | **-15 547** |
| | | | |
| **Carrying amount at 31/12/2023** | **1 440** | **3 113** | **4 553** |
| | | | |
| **Opening balance acquisition costs 01/01/2024** | **3 255** | **16 308** | **19 563** |
| Acquisitions duringyear | 56 | 561 | 617 |
| Sales/disposals for the year | -65 | -1 573 | -1 638 |
| Exchange rate differences | 92 | 331 | 423 |
| Reclassifications | 0 | -1 850 | -1 850 |
| **Closing balance acquisition costs 31/12/2024** | **3 338** | **13 777** | **17 115** |
| | | | |
| **Opening accumulated depreciation 01/01/2024** | **-1 801** | **-13 746** | **-15 547** |
| Depreciation for the year | -326 | -1 339 | -1 665 |
| Sales/disposals for the year | 65 | 1 511 | 1 576 |
| Exchange rate differences | -55 | -294 | -349 |
| Reclassifications | 0 | 1 850 | 1 850 |
| **Closing accumulated depreciation as of 31/12/2024** | **-2 117** | **-12 018** | **-14 135** |
| | | | |
| **Carrying amount 31/12/2024** | **1 221** | **1 759** | **2 980** |

## Note 13. Leases

The following amounts related to lease arguments are recognized in the balance sheet:

| *Right-of-use assets* | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Real estate | 21 479 | 21 755 |
| Cars | 4 730 | 1 893 |
| Equipment | 7 624 | 7 679 |
| | **33 833** | **31 327** |

| *Lease liabilities* | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Long-term | 19 658 | 17 951 |
| Short-term | 14 647 | 13 655 |
| | **34 305** | **31 606** |

Additional rights of assets in 2024 amounted to KSEK 9,246 (2023: KSEK 18,636).
Refer to Note 3.1.4 for information on the maturity of lease liabilities.

The following amounts related to lease agreements are recognized in the income statement:

| **Depreciation of right of use:** | 2024 | 2023 |
|---|---|---|
| Real estate | -9 408 | -10 357 |
| Cars | -2 557 | -1 472 |
| Equipment | -4 907 | -4 256 |
| **Total** | **-16 872** | **-16 085** |

| | | |
|---|---|---|
| Interest costs on lease liabilities | -1 077 | -1 070 |
| Expenditure related to short-term lease agreements | -909 | -565 |
| Expenditure attributable to lease agreements for low-value underlying assets | -63 | -74 |
| Expenses attributable to variable lease payments not included in lease liabilities | 0 | 0 |

The total cash flow related to leases was KSEK -16,655 (31/12/2023: KSEK -15,214).

Contracted investments relating to rights of use at the end of the reporting period that are not yet recognized in the financial statements amount to KSEK 0.

## Note 14. Other long-term receivables

| | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Opening accumulated acquisition costs | 17 014 | 257 |
| Transferred to short-term receivable during the year | -3 500 | 0 |
| Additional receivables | 47 | 16 948 |
| Payments/repayments | -51 | -165 |
| Exchange rate differences for the year | -4 | -26 |
| **Carrying amount** | **13 506** | **17 014** |

The item consists of loans related to the divestment of subsidiaries of KSEK 13,000 and deposits.
In connection with the divestment of Axiell Media AB in 2023, a promissory note of KSEK 19,000 was drawn up, which is also the book value of Axiell's receivable as of the balance sheet date, 31 December 2024. Amortization is to be made annually with final payment in April 2027. MSEK 6 of the total receivable is located as a short-term other receivable as it is expected to be amortized during 2025. See also note 17.

## Note 15. Financial instruments by category

All of the Group's financial instruments are measured at acquisition cost. The recognition and measurement principles include a description of each financial asset and liability category and the related accounting policies.

The table below presents the Group's financial assets measured at acquisition cost:

| Financial assets | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Other long-term receivables | 13 506 | 17 014 |
| Accounts receivable | 106 053 | 110 945 |
| Contract assets (included in interim receivables) | 68 835 | 57 204 |
| Cash and cash equivalents | 21 976 | 26 555 |
| **Total** | **210 370** | **211 718** |

The table below presents the Group's financial liabilities measured at acquisition cost:

| Financial liabilities | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Liabilities to credit institutions (long-term and short-term) | 33 632 | 54 269 |
| Overdraft facility | 51 512 | 62 096 |
| Other long-term liabilities | 23 792 | 9 895 |
| Accounts payables | 19 750 | 20 968 |
| Other short-term liabilities | 156 442 | 142 717 |
| Accrued expenses | 39 407 | 37 278 |
| **Total** | **324 535** | **327 223** |

In addition to the financial instruments listed in the tables "above", the Group has financial liabilities in the form of lease liabilities which are recognized and measured in accordance with IFRS 16.

The fair value of liabilities to credit institutions is deemed to correspond to the carrying amount since all loans carry variable interest rates and the credit risk in the Group has not significantly changed. Refer to Note 21 Borrowings for more information on liabilities to credit institutions.

The carrying amount of the Group's long-term financial instruments measured at acquisition cost approximates its fair value because the interest rate is in line with current market rates.

The carrying amount of the Group's other financial instruments is a reasonable estimate of fair value as they are short-term and the discounting effect is not significant.

## Note 16. Account receivable and contractual receivables

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Accounts receivable | 106 053 | 111 285 |
| Reserve for expected credit losses | 0 | -340 |
|  | **106 053** | **110 945** |
| Contractual receivables | 57 956 | 43 477 |
| Reserve for expected credit losses | 0 | 0 |
|  | **57 956** | **43 477** |

The table below shows the change in loss reserves during the financial year:

|  | Accounts receivable | | Contractual receivables | |
|---|---|---|---|---|
|  | **2024** | **2023** | **2024** | **2023** |
| **Opening balance at January 1** | **340** | **417** | **0** | **0** |
| Increase in loss reserve, change reported in the income statement | - | - | | |
| Provisioning for credit losses | - | - | | |
| Receivables written off during the year | -340 | -81 | | |
| Recovery of unused amounts | - | - | | |
| Exchange rate differences | - | 4 | | |
| **Closing balance as of 31 December** | **0** | **340** | **0** | **0** |

The fair value of accounts receivable and contract receivables is equal to their carrying amount, as the effect of discounting is not material. No accounts receivable or contractual receivables have been pledged as security for any debt.

The age structure for receivables past due and the expected loss rate (percentage) are shown in the table below. Amounts in KSEK.

|  | Accounts receivable | | | | Contractual receivables | | | |
|---|---|---|---|---|---|---|---|---|
|  | 31/12/2024 | Of which loss allowance in % | 31/12/2023 | of which loss allowance in % | 31/12/2024 | of which loss allowance in % | 31/12/2023 | of which loss allowance in % |
| 1-30 | 14 994 | | 8 024 | | | | | |
| 31-60 | 8 525 | | 2 541 | | | | | |
| 61-90 | 6 562 | | 2 341 | | | | | |
| >90 | 17 926 | 0,0% | 21 609 | 0,3% | | | | |
| total | **48 007** | **0,0%** | **34 515** | **0,3%** | **0** | **0** | **0** | **0** |

Refer to the credit risk section in Note 3.1.2. for more information about the reserve for credit losses.

## Note 17. Other receivables

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| VAT and settlement of taxes/duties | 1 182 | 2 202 |
| Deposits | 4 931 | 6 618 |
| Loans related to the disposal of subsidiary | 8 000 | 4 500 |
| Other | 649 | 1 046 |
|  | **14 762** | **14 366** |

See more information in note 14.

## Note 18. Prepaid expenses and accrued income

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Other prepaid expenses | 12 267 | 13 958 |
| Contract assets | 57 956 | 43 477 |
| Other accrued income | 0 | 0 |
|  | **70 223** | **57 435** |

## Note 19. Cash and cash equivalents

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| EUR | 10 087 | 9 893 |
| USD | 1 435 | 1 972 |
| CAD | 1 268 | 2 193 |
| AUD | 1 003 | 1 795 |
| CHF | 2 371 | 5 181 |
| NOK | 39 | 366 |
| QAR | 1 469 | 166 |
| AED | 1 911 | 671 |
| CZK | 2 199 | 4 184 |
| Other currencies | 194 | 134 |
| **Total** | **21 976** | **26 555** |

## Note 20. Share capital and other contributed capital

The table below shows the number of ordinary shares:

|  | 31/12/2024 | | 31/12/2023 | |
|---|---|---|---|---|
|  | Number of shares (pcs) | Share capital (SEK) | Number of shares (pcs) | Share capital (SEK) |
| Ordinary shares | 3 910 000 | 2 228 700 | 3 910 000 | 2 228 700 |
|  | **3 910 000** | **2 228 700** | **3 910 000** | **2 228 700** |

As of December 31, 2024, the share capital consists of 3 910 000 ordinary shares with a quota value of SEK 0.57.

All shares issued by the parent company are fully paid up.

## Note 21. Borrowings

Borrowings include the following financial liabilities:

| *Long-term loans* | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Other bank loans | 16 332 | 33 422 |
|  | **16 332** | **33 422** |

| *Short-term loans* | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Other bank loans including overdraft facility | 68 812 | 82 943 |
|  | **68 812** | **82 943** |

Other bank loans consist of acquisition loans with Nordea. Loans run for 1-5 years with an annual interest rate equivalent to Stibor 3 months + 2% in 2024 (2023: Stibor 3 months + 2-3%) The Group's borrowings are in SEK.

Bank loans that have been classified as short-term refer to the part of the loan that does not have an unconditional right to defer settlement of the debt for at least 12 months after the end of the reporting period.

Furthermore, liabilities to credit institutions are subject to certain covenants. Refer to Section 3.2 Capital risk management for more information.

The Group has a committed overdraft facility in SEK of KSEK 75,000 (2022: KSEK 75,000). Of the committed overdraft facility, KSEK 51,512 has been utilized as of 31 December 2024 (KSEK 62,096 as of 31 December 2023).

Apart from the overdraft facility, the Group has no unused credit facilities.

## Note 22. Other long-term liabilities

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Liabilities to parent company | 18 289 | 7 400 |
| Other liabilities | 5 503 | 2 495 |
|  | **23 792** | **9 895** |

## Note 23. Other short-term liabilities

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Liabilities to parent company | 0 | 7 342 |
| Fees and taxes | 22 710 | 25 120 |
| Other liabilities | 5 184 | 1 350 |
|  | **27 894** | **33 812** |

## Note 24. Accrued expenses and deferred income

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Staff related costs | 29 387 | 25 345 |
| Deferred income | 0 | 0 |
| Other | 12 329 | 13 619 |
|  | **41 716** | **38 964** |

## Note 25. Pledged assets and contingent liabilities

| Pledged assets | 31/12/2024 | 31/12/2023 |
|---|---|---|
| For own provisions and liabilities: |  |  |
| *Liabilities to credit institutions* |  |  |
| Business mortgages | 73 000 | 73 000 |
|  | 73 000 | 73 000 |
| Shares in Axiell Sverige AB | 18 319 | 24 107 |
| Shares in Axiell Services AB | 494 | 443 |
| Shares in Axiell Norge AS | 22 417 | 19 656 |
|  | 41 230 | 44 206 |
| **Total** | **114 230** | **117 206** |

The Group has no contingent liabilities as of 31 December 2024 and 31 December 2023. Refer to Note 54 of the parent company for information about guarantees entered into by the parent company in favor of Axiell Finland Oy and Axiell Sverige AB.

## Note 26. Related party transactions

The Group is majority owned by Maxito AB, CRN: 556249-9383 with its headquarters in Stockholm. Related parties are all subsidiaries in the Group and senior executives and their related parties in the Axiell Group. An account of the subsidiaries can be found in Note 44. Remuneration of the Board of Directors and senior management is disclosed in Note 7.

All transactions with related parties have been conducted on market terms. Unless otherwise stated, there are no transactions with special conditions and no guarantees have been given or received. Outstanding balances are usually settled in cash and cash equivalents.

Axiell Group AB acquired the Axiell brand from Maxito AB in 2016 at a present value acquisition cost of KSEK 17,572. Payment of KSEK 4,000 (KSEK 2,000) (including interest) was made during the year and the trademark is now fully settled and no further payments will be made.

The present value of the Axiell trademark liability is SEK 0 thousand.

The following transactions have taken place with related parties:

| Liabilities to related parties | 2024 | 2023 |
|---|---|---|
| *Opening balance* | **17 275** | **33 529** |
| Settlement for Axiell brand | -3 942 | -1 885 |
| Additional loans | 9 246 | - |
| Settlement of loans | - | -7 120 |
| Dividends paid | 5 000 | - |
| Settlement of shares in Axiell Group Intressenter AB | - | -7 249 |
| *Closing balance* | **27 579** | **17 275** |

## Note 27. Changes in liabilities related to financing activities

The following non-cash adjustments and adjustments for changes in working capital have been made to profit/loss before tax to arrive at the cash flow from operating activities:

| | 01/01/2023 | Cash inflow | Cash outflow | Non-cash items | | | 31/12/2023 |
|---|---|---|---|---|---|---|---|
| | | | | Additional lease agreements | Exchange rate differences | Other changes | |
| Liabilities to credit institutions | 89 244 | | -34 990 | | | 15 | 54 269 |
| Liabilities to related parties | 20 453 | | -6 667 | | | -453 | 13 333 |
| Lease liabilities | 24 946 | | -15 214 | 21 874 | | | 31 606 |
| Overdraft facility | 62 500 | | -404 | | | | 62 096 |
| | 197 143 | | -58 345 | 21 874 | - | -438 | 161 304 |

| | 01/01/2024 | Cash inflow | Cash outflow | Items not affecting cash flow | | | 31/12/2024 |
|---|---|---|---|---|---|---|---|
| | | | | Additional lease agreements | Exchange rate differences | Other changes | |
| Liabilities to credit institutions | 54 269 | | -20 440 | | | -197 | 33 632 |
| Liabilities to related parties | 13 333 | 11 667 | -5 000 | | | 2 578 | 22 578 |
| Lease liabilities | 31 606 | | -16 676 | 19 375 | | | 34 305 |
| Overdraft facility | 62 096 | | -10 584 | | | | 51 512 |
| | 161 304 | 11 667 | -52 700 | 19 375 | - | 2 382 | 142 028 |

## Note 28. Adjustment for items not included in cash flow

| | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Depreciation and amortization on non-financial items | 37 970 | 36 841 |
| Unrealized exchange rate differences | 0 | 0 |

|  | 37 970 | 36 841 |
|---|---|---|

## Note 29. Definitions of key figures

| Key figures | Definitions |
|---|---|
| EBITDA | Operating profit/loss before depreciation |
| EBITDA before non-recurring costs | Operating profit/loss excluding non-recurring costs before depreciation |
| EBITDA margin (%) | Operating profit/loss before depreciation/Net turnover |
| EBIT | Operating profit/loss before financial items |
| EBIT margin (%) | Operating profit/loss before financial items/Net turnover |
| Return on total capital* | (Profit/loss before tax + financial income)/Balance sheet total |
| Return on equity* | (Profit/loss before tax + financial income)/Adjusted equity |
| Cash liquidity (quick ratio) | (Current assets - stock)/Short-term liabilities |
| Solvency* | Total equity/Balance sheet total |

*The calculation of the return and equity ratio is based on adjusted balance sheets. In order to more accurately present the Group's financial status, unpaid invoiced advances have been netted against accounts receivable on the balance sheet date.

## Note 30. Business acquisitions

**Sale in 2023**

Axiell Group received an offer to acquire Axiell Media on 4 January 2023. It was decided after analysis that the offer would be accepted and the business was sold on 31 March 2023. Axiell Media has until 31 March 2023 been part of the consolidation of Axiell Group and has therefore not been recognized as a fixed asset held for sale. Until the disposal, Axiell Media contributed a KSEK 38,713 turnover, a KSEK 263 profit before tax and a KSEK 44 cash flow to the Group.

The purchase price is just over MSEK 53, of which MSEK 32 was received in cash. The outcome of the sale was MSEK 20.6 after deducting the carrying amount of net assets/liabilities sold of MSEK 9, goodwill of MSEK 18.8, dividends of MSEK 4 and selling costs of MSEK 0.7.

## Note 31. Events after the end of the reporting period

There were no adjusting events between the balance sheet date and the date of issue.

# Parent company accounts

## Parent company income statement

| Amounts in KSEK | Note | 2024 | 2023 |
|---|---|---|---|
| Net turnover | 34,35 | 146 383 | 153 119 |
| Capitalized development costs | | 8 032 | 6 800 |
| Other operating income | | 166 | 738 |
| | | **154 581** | **160 657** |
| | | | |
| Other external costs | 36 | -100 490 | -103 776 |
| Staff costs | 37 | -52 336 | -52 615 |
| Depreciation and amortization of tangible and intangible fixed assets | 42,43 | -20 345 | -26 490 |
| **Total operating costs** | | **-173 171** | **-182 881** |
| | | | |
| **Operating profit/loss** | | **-18 590** | **-22 224** |
| | | | |
| **Profit/loss from financial items** | | | |
| Profit/loss from shares in Group companies | 38 | 0 | 20 704 |
| Other interest income and similar items | 38 | 5 150 | 3 758 |
| Interest costs and similar items | 38 | -20 970 | -16 312 |
| **Financial items – net** | | **-15 820** | **8 150** |
| | | | |
| Appropriations | 39 | 23 427 | 26 670 |
| | | | |
| Income tax | 40 | -27 | -1 374 |
| | | | |
| **Profit/loss** | | **-11 010** | **11 222** |

There are no items in the parent company that are recognized as other comprehensive income, which is why total comprehensive income for the period corresponds to the period's profit/loss.

The notes on pages 43 to 54 form an integral part of the parent company's accounts.

# Parent company balance sheet

| Amounts in KSEK | Note | 31 Dec 2024 | 31 Dec 2023 |
|---|---|---|---|
| **ASSETS** | | | |
| | | | |
| **Fixed assets** | | | |
| ***Intangible fixed assets*** | 42 | | |
| Goodwill | | 52 517 | 59 931 |
| Capitalized development work | | 56 854 | 57 404 |
| Trademarks | | 1 757 | 3 515 |
| Computer software | | 0 | 0 |
| Other intangible fixed assets | | 10 170 | 9 479 |
| | | **121 298** | **130 329** |
| | | | |
| ***Tangible fixed assets*** | 43 | | |
| Costs incurred at other party's property | | 224 | 261 |
| Equipment, tools and installations | | 643 | 786 |
| | | **867** | **1 047** |
| | | | |
| ***Financial fixed assets*** | | | |
| Shares in Group companies | 44 | 157 217 | 156 959 |
| Receivables from Group companies | 45 | 54 700 | 52 839 |
| Deferred tax assets | 41 | 9 623 | 9 650 |
| Other long-term receivables | 46 | 13 038 | 16 536 |
| | | **234 578** | **235 984** |
| | | | |
| **Total fixed assets** | | **356 743** | **367 360** |
| | | | |
| **Current assets** | | | |
| ***Short-term receivables*** | | | |
| Accounts receivable | | 745 | 427 |
| Receivables from Group companies | | 44 836 | 44 436 |
| Current tax assets | | 414 | 572 |
| Other receivables | 47 | 8 176 | 4 738 |
| Prepaid expenses and accrued income | 48 | 4 576 | 5 097 |
| | | **58 747** | **55 270** |
| | | | |
| **Total current assets** | | **58 747** | **55 270** |
| | | | |
| **TOTAL ASSETS** | | **415 490** | **422 630** |

## Parent company balance sheet *continued*

| Amounts in KSEK | Note | 31 Dec 2024 | 31 Dec 2023 |
|---|---|---|---|
| **EQUITY** | | | |
| | | | |
| ***Restricted equity*** | | | |
| Share capital | | 2 229 | 2 229 |
| Reserve for development costs | | 53 072 | 52 677 |
| Reserve fund | | 1 701 | 1 701 |
| | | **57 002** | **56 606** |
| ***Unrestricted equity*** | | | |
| Retained earnings | | 15 254 | 14 428 |
| Profit/loss | | -11 010 | 11 222 |
| | | **4 244** | **25 649** |
| **Total equity** | | **61 246** | **82 256** |
| | | | |
| **Untaxed reserves** | | | |
| Accumulated accelerated depreciation | | 4 777 | 5 721 |
| | | **4 777** | **5 721** |
| | | | |
| **Long-term liabilities** | | | |
| Liabilities to credit institutions | 50 | 16 332 | 33 422 |
| Liabilities to Group companies | | 0 | 16 781 |
| Other liabilities | 51 | 22 578 | 8 667 |
| | | **38 910** | **58 870** |
| | | | |
| **Short-term liabilities** | | | |
| Overdraft facility | 50 | 51 512 | 62 096 |
| Liabilities to credit institutions | | 17 300 | 20 847 |
| Accounts payable | | 7 136 | 10 062 |
| Liabilities to Group companies | | 221 418 | 165 326 |
| Current tax liability | | 0 | 0 |
| Other liabilities | 52 | 7 680 | 11 154 |
| Accrued charges and deferred income | 53 | 5 511 | 6 298 |
| | | **310 557** | **275 783** |
| | | | |
| **Total liabilities** | | **354 244** | **334 653** |
| | | | |
| **TOTAL EQUITY AND LIABILITIES** | | **415 490** | **422 630** |

# Parent company statement of changes in equity

| Amounts in KSEK | Note | Restricted equity | | | | Unrestricted equity | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | Share capital | Reserve fund | Fund for development costs | Total restricted equity | Retained earnings | Profit/loss | Total unrestricted equity | Total |
| **Opening balance at 01/012023** | | **2 229** | **1 701** | **53 092** | **57 022** | **33 633** | **-19 621** | **14 012** | **71 034** |
| Profit/loss (and comprehensive income) | | | | | | | 11 222 | 11 222 | 11 222 |
| Dividends | | | | | | | | | |
| Change in reserve for development costs | | | | -415 | -415 | 415 | | 415 | |
| Transfer of previous year's profit/loss | | | | | | -19 621 | 19 621 | | |
| **Closing balance at 31/12/2023** | | **2 229** | **1 701** | **52 677** | **56 606** | **14 428** | **11 222** | **25 649** | **82 256** |
| | | | | | | | | | |
| **Opening balance at 01/01/2024** | | **2 229** | **1 701** | **52 677** | **56 606** | **14 428** | **11 222** | **25 649** | **82 256** |
| Profit/loss (and comprehensive income) | | | | | | | -11 010 | -11 010 | -11 010 |
| Dividends | | | | | | -10 000 | | -10 000 | -10 000 |
| Change in reserve for development costs | | | | 395 | 395 | -395 | | -395 | |
| Transfer of previous year's profit/loss | | | | | | 11 222 | -11 222 | | |
| **Closing balance at 31/12/2024** | | **2 229** | **1 701** | **53 072** | **57 002** | **15 254** | **-11 010** | **4 244** | **61 246** |

# Parent company cash flow statement

**Amounts in KSEK**

| | Note | 2024 | 2023 |
|---|---|---|---|
| **Operating activities** | | | |
| Operating profit/loss | | -18 590 | -22 224 |
| Adjustment for not-cash items, etc. | 58 | 20 345 | 37 741 |
| Interest received | | 5 150 | 3 758 |
| Dividends received | | 0 | 10 820 |
| Interest paid | | -20 183 | -16 097 |
| Income tax paid | | 158 | -652 |
| **Cash flow from operating activities before changes in working capital** | | **-13 120** | **13 346** |
| | | | |
| **Cash flow from changes in working capital** | | | |
| Change in accounts receivable and other receivables | | -9 993 | -7 559 |
| Change in accounts payable and other liabilities | | 33 791 | 6 969 |
| **Cash flow from operating activities** | | **10 678** | **12 756** |
| | | | |
| **Investment activities** | | | |
| Acquisition of shares in subsidiaries | | -258 | 0 |
| Acquisition of intangible fixed assets | | -10 952 | -10 672 |
| Acquisitions of tangible fixed assets | | -182 | -873 |
| Acquisitions of financial assets | | -44 | -23 |
| Profit/loss from shares in Group companies | | 0 | 20 853 |
| Increase/decrease in short-term financial investments and receivables | | 3 500 | 0 |
| Disposal of other financial assets | | 42 | 20 |
| **Cash flow from investment activities** | | **-7 894** | **9 305** |
| | | | |
| **Financing activities** | | | |
| Group contributions received | | 26 980 | 20 000 |
| Dividends | | -5 000 | 0 |
| New loans | 57 | 11 667 | 0 |
| Repayment of loans | 57 | -25 847 | -41 657 |
| Change in overdraft facility | 57 | -10 584 | -404 |
| **Cash flow from financing activities** | | **2 784** | **-22 061** |
| | | | |
| **Cash flow for the year** | | **0** | **0** |
| Cash and cash equivalents at year start | | 0 | 0 |
| Exchange rate differences in cash and cash equivalents | | 0 | 0 |
| **Cash and cash equivalents at year-end** | | **0** | **0** |

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# Notes to the parent company

## Note 32. General information
Axiell Group AB with CRN 556349-2189 is a limited liability company registered in Sweden with its headquarters in Lund. The address of the head office is Mobilvägen 4, 223 62 Lund, Sweden.

Unless otherwise stated, all amounts are reported in thousands of kronor (KSEK).

## Note 33. Summary of significant accounting policies
The main accounting policies applied in the drawing up of this annual report are set out below. These principles have been applied consistently for all years presented, unless otherwise stated.

The annual report for the parent company has been drawn up in accordance with RFR 2 *Accounting for legal entities* and the Swedish Annual Accounts Act. The annual accounts have been prepared according to the historical cost convention. Where the parent company applies accounting policies other than the Group's accounting policies, as described in Note 2.1 in the consolidated accounts, is outlined below.

Through its activities, the parent company is exposed to a variety of financial risks: market risk (currency risk and interest rate risk), credit risk and liquidity risk. The parent company's overall risk management policy focuses on the unpredictability of financial markets and seeks to minimize potential adverse effects on the Group's financial performance. Refer to Note 3 in the consolidated accounts for more information on financial risks.

Drawing up the financial statements in accordance with RFR 2 requires using essential estimates for accounting purposes. It also requires that management make certain assessments in the application of the parent company's accounting policies. The areas involving a high degree of judgment, complexity or areas where assumptions and estimates are significant for the annual report are disclosed in Note 4 in the consolidated accounts.

The parent company applies different accounting policies than for the Group in the cases outlined below.

### Forms of presentation
The income statement and balance sheet adopt the Annual Accounts Act's format. The statement of changes in equity also adopts the Group's presentation format but must contain the columns specified in the Annual Accounts Act. Furthermore, this implies a difference in designations compared to the consolidated accounts, mainly regarding financial income and expenses and equity.

### Shares in subsidiaries
Shares in subsidiaries are recognized at amortized cost less any impairment. The amortized cost includes acquisition-related costs and any additional purchase price. The recoverable amount is calculated when there is an indication that investments in subsidiaries are impaired. If this is lower than the carrying amount, an impairment loss is recognized. Impairment is recorded in the "Profit/loss from shares in Group companies" item.

### Shareholder contributions and Group contributions
Group contributions made by the parent company to subsidiaries and Group contributions received by the parent company from subsidiaries are recognized as appropriations. Shareholder contributions are recognized in the parent company as an increase in the carrying amount of the share and in the recipient company as an increase in equity.

### Financial instruments
IFRS 9 is not applied in the parent company. The parent company instead applies the points stated in RFR 2 (IFRS 9 Financial Instruments, items 3–10).

Financial instruments are valued on an amortized cost basis. In subsequent periods, financial assets acquired with the intention of being held in the short term will be recognized in accordance with the lowest value principle at the lower of amortized cost and market value. Derivative instruments with a negative fair value are recognized at this value.

When calculating the net realizable value of receivables recognized as current assets, the IFRS 9's impairment testing and loss allowance principles must be applied. For a receivable recognized at amortized cost at Group level, this means that the loss allowance recognized in the Group in accordance with IFRS 9 should also be recognized in the parent company.

### Operating leases
The parent company has chosen not to apply IFRS 16 Lease agreements but has instead chosen to apply the exemption in RFR 2. All lease agreements are accounted for as operating leases, regardless of whether they are financial or operating leases. The lease payment is recognized as an expense on a straight-line basis over the lease term.

### Merger goodwill
Merger goodwill is the difference between the consideration paid and the retained value of the assets acquired and liabilities assumed. For tax purposes, goodwill is amortized either by accounting depreciation or by residual value depreciation.

### Appropriations
Changes in untaxed reserves are recorded as appropriations in the income statement. Group contributions are recorded as appropriations.

## Note 34. Net turnover by geographical market/country

The parent company has recognized the following amounts in the income statement related to revenue:

|  | 2024 | 2023 |
|---|---|---|
| Services to subsidiaries | 146 383 | 153 119 |
|  | **146 383** | **153 119** |

| Net turnover by geography | 2024 | 2023 |
|---|---|---|
| Nordics | 77 078 | 81 299 |
| Europe, excluding the Nordics | 50 326 | 51 341 |
| North America | 12 932 | 15 563 |
| Other countries | 6 047 | 4 916 |
|  | **146 383** | **153 119** |

## Note 35. Purchases and sales between Group companies

|  | 2024 | 2023 |
|---|---|---|
| Shares of total purchases made from other Group companies during the year | 44 % | 46 % |
| Shares of total sales for the year to other Group companies | 100 % | 100 % |

## Note 36. Remuneration to the auditors

|  | 2024 | 2023 |
|---|---|---|
| *PwC* | | |
| Audit assignments | 450 | 600 |
| Other services | 80 | 0 |
|  | **530** | **600** |

Fees and remuneration to auditors expensed during the year are shown above. Remuneration for consultations is reported in cases where the same audit firm is tasked with the audit assignment in the individual company. An audit assignment is the statutory audit of the annual accounts and the management of the Board of Directors and the CEO. Tax advice refers to consultation on tax law issues. Other services refer to advice that is not attributable to any of the other categories.

## Note 37. Employee remuneration, etc.

| Salaries, other remuneration and social security contributions - employees | 2024 | 2023 |
|---|---|---|
| Salaries and other remuneration (of which bonuses) | 25 591 (0) | 22 836 (0) |
| Social security contributions | 8 625 | 8 424 |
| Pension costs - defined contribution plans | 3 285 | 2 552 |
| **Total employee remueration** | **37 501** | **33 812** |

| Salaries, other remuneration and social security contributions – Board of Directors, CEO and other senior executives | 2024 | 2023 |
|---|---|---|
| Salaries and other remuneration (of which bonuses) | 9 908 (0) | 10 600 (0) |
| Social security contributions | 3 448 | 3 394 |
| Pension costs - defined contribution plans | 2 376 | 2 584 |
| **Total remuneration of board members, CEO and other senior executives** | **15 732** | **16 578** |

*37.1 Average number of employees with geographical breakdown by country*

|  | 2024 | | 2023 | |
|---|---|---|---|---|
|  | Average number of employees | Of which men | Average number of employees | Of which men |
| Sweden | 46 | 23 | 44 | 23 |
| Other Europe | 0 | 0 | 0 | 0 |
|  | **46** | **23** | **44** | **23** |

*37.2 Gender distribution in the parent company for board members and other senior executives*

|  | 2024 | | 2023 | |
|---|---|---|---|---|
|  | Number at balance sheet date | Of which men | Number at balance sheet date | Of which men |
| Board Members | 4 | 4 | 4 | 3 |
| Chief Executive Officer and other senior executives | 5 | 3 | 5 | 3 |
|  | **9** | **7** | **9** | **6** |

Refer to Note 7 in the consolidated accounts for information on notice periods and remuneration to senior executives.

## Note 38. Other interest income and similar income and interest costs and similar items

| Other interest income and similar items | 2024 | 2023 |
|---|---|---|
| Interest income, external | 2 814 | 1 239 |
| Interest income, Group companies | 2 336 | 2 519 |
| Dividends from subsidiaries | 0 | 10 820 |
| Profit/loss from shares in Group companies | 0 | 9 884 |
| Exchange rate differences | 0 | 0 |
| **Total** | **5 150** | **24 462** |

| Interest costs and similar items | 2024 | 2023 |
|---|---|---|
| Interest costs, external | -7 901 | -8 779 |
| Interest expense, Group companies | -8 466 | -6 674 |
| Exchange rate differences | -4 603 | -859 |
| **Total** | **-20 970** | **-16 312** |

| **Financial items - net** | **-15 820** | **8 150** |
|---|---|---|

## Note 39. Appropriations

|  | 2024 | 2023 |
|---|---|---|
| Difference between booked depreciation and depreciation according to plan | 943 | -310 |
| Group contributions received | 22 484 | 26 980 |
|  | **23 427** | **26 670** |

## Note 40. Income tax

|  | 2024 | 2023 |
|---|---|---|
| **Current tax** | | |
| Tax attributable to previous years | 0 | 0 |
| | | |
| **Deferred tax** | | |
| Attributable to the origin and reversal of temporary differences | -27 | -1 374 |
| | | |
| **Income tax recognized in the income statement** | **-27** | **-1 374** |

The income tax on the profit/loss before tax differs from the theoretical amount that would have resulted from applying the tax rate to the parent company as follows:

|  | 2024 | 2023 |
|---|---|---|
| **Profit/loss before tax** | -10 983 | 12 595 |
| Income tax calculated at the tax rate in Sweden 20.6% (20.6%) | 2 262 | -2 595 |
| Tax effects of: | | |
| Non-taxable income | 10 | 6 748 |
| Non-deductible expenses | -2 299 | -5 527 |
| **Total income tax** | **-27** | **-1 374** |

## Note 41. Deferred tax

**Deferred tax assets**
Reported amounts relate to temporary differences attributable to:

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Tax losses | 46 750 | 46 846 |
| **Total deferred tax assets** | | |

| Gross changes | Tax losses carried forward |
|---|---|
| **As of 1 January 2023** | **11 024** |
| Recognized in the income statement | -1 374 |
| **As of 31 December 2023** | **9 650** |
| **As of 1 January 2024** | **9 650** |
| Recognized in the income statement | -27 |
| **As of 31 December 2024** | **9 623** |

Deferred tax assets are recognized for tax loss carry-forwards to the extent that it is probable that they can be recovered through future taxable profits. Loss carry-forwards for which deferred tax assets have been recognized in the parent company amount to KSEK 9,623 as at 31 December 2024 (31 December 2023: KSEK 9,650).

All deferred tax assets (including tax loss-carry forwards and other tax credits) have been recognized in the balance sheet.

## Note 42. Intangible assets

| | Goodwill | Balanced development and similar work | Trademarks and similar rights | Computer software | Other intangible assets | Total |
|---|---|---|---|---|---|---|
| **Opening accumulated acquisition costs 01/01/2023** | **73 073** | **86 027** | **17 572** | **12 915** | **9 635** | **199 222** |
| Acquisitions during year | 1 069 | 6 800 | | | 2 803 | 10 672 |
| Sales/disposals for the year | | | | | | |
| **Closing balance acquisition costs 31/12/2023** | **74 142** | **92 827** | **17 572** | **12 915** | **12 438** | **209 894** |
| | | | | | | |
| **Opening accumulated depreciation 01/01/2023** | **-6 699** | **-27 262** | **-12 300** | **-12 915** | **-1 198** | **-60 374** |
| Depreciation for the year | -7 512 | -8 161 | -1 757 | | -1 761 | -19 191 |
| Sales/disposals for the year | | | | | | |
| **Closing accumulated depreciation as of 31/12/2023** | **-14 211** | **-35 423** | **-14 057** | **-12 915** | **-2 959** | **-79 565** |
| **Carrying amount 31/12/2023** | **59 931** | **57 404** | **3 515** | **0** | **9 479** | **130 329** |
| | | | | | | |
| **Opening accumulated acquisition costs 01/01/2024** | **74 142** | **92 827** | **17 572** | **12 915** | **12 438** | **209 894** |
| Acquisitions during year | | 8 032 | | | 2 921 | 10 953 |
| Sales/disposals for the year | | | | | | |
| **Closing balance acquisition costs 31/12/2024** | **74 142** | **100 859** | **17 572** | **12 915** | **15 359** | **220 847** |
| | | | | | | |
| **Opening accumulated depreciation 01/01/2024** | **-14 211** | **-35 423** | **-14 057** | **-12 915** | **-2 959** | **-79 565** |
| Depreciation for the year | -7 414 | -8 582 | -1 758 | | -2 230 | -19 984 |
| Sales/disposals for the year | | | | | | |
| **Closing accumulated depreciation as of 31/12/2024** | **-21 625** | **-44 005** | **-15 815** | **-12 915** | **-5 189** | **-99 549** |
| **Carrying amount 31/12/2024** | **52 517** | **56 854** | **1 757** | **0** | **10 170** | **121 298** |

## Note 43. Tangible fixed assets

| | Costs incurred at other party's property | Equipment, tools and installations | Total |
|---|---|---|---|
| **Opening balance acquisition costs 01/01/2023** | **0** | **3 887** | **3 887** |
| Acquisitions during year | 308 | 565 | 873 |
| Sales/disposals for the year | 0 | 0 | 0 |
| **Closing balance acquisition costs 31/12/2023** | **308** | **4 452** | **4 760** |
| | | | |
| **Opening accumulated depreciation 01/01/2023** | **0** | **-3 310** | **-3 310** |
| Depreciation for the year | -47 | -356 | -403 |
| Sales/disposals for the year | 0 | 0 | 0 |
| **Closing accumulated depreciation at 31/12/2023** | **-47** | **-3 666** | **-3 713** |
| **Carrying amount 31/12/2023** | **261** | **786** | **1 047** |
| | | | |
| **Opening accumulated acquisition costs 01/01/2024** | **308** | **4 452** | **4 760** |
| Acquisitions during year | 29 | 153 | 182 |
| Sales/disposals for the year | 0 | 0 | 0 |
| **Closing balance acquisition costs 31/12/2024** | **337** | **4 605** | **4 942** |
| | | | |
| **Opening accumulated depreciation 01/01/2024** | **-47** | **-3 666** | **-3 713** |
| Depreciation for the year | -66 | -296 | -362 |
| Sales/disposals for the year | 0 | 0 | 0 |
| **Closing accumulated depreciation as of 31/12/2024** | **-113** | **-3 962** | **-4 075** |
| **Carrying amount at 31/12/2024** | **224** | **643** | **867** |

## Note 44. Shares in Group companies

The Group includes the following direct holdings in subsidiaries:

| Name | Location | Number of shares | Share % 31/12/2024 | Share % 31/12/2023 | Carrying amount 31/12/2024 | Carrying amount 31/12/2023 |
|---|---|---|---|---|---|---|
| Axiell Sverige AB, 556739-8218 | Lund | 1 000 | 100 | 100 | 100 | 100 |
| *ATP Automation Ltd OY, 1498696-6* | Parola | 200 | 100 | 100 | | |
| Axiell Danmark A/S, 26994969 | Copenhagen | 2 000 | 100 | 100 | | |
| Axiell Norge AS, 945851910 | Oslo | 32 508 | 100 | 100 | 40 339 | 40 339 |
| Mikromarc UK Limited, 03995087 | Northiam | 50 000 | 100 | 100 | | |
| Axiell Finland OY, 2370994-4 | Vantaa | 2 500 | 100 | 100 | 12 535 | 12 535 |
| Axiell Deutschland GmbH, 12057280151 | Mülheim | 10 | 100 | 100 | 14 326 | 14 326 |
| Axiell Switzerland GmbH, CHE104421708 | Zug | 300 | 100 | 100 | 844 | 844 |
| Axiell Library Ltd, 6562155 | Nottingham | 100 000 | 100 | 100 | 19 874 | 19 874 |
| *Axiell Ltd, 1607548* | Nottingham | 1 049 892 | 100 | 100 | | |
| Axiell ALM Ltd, 7680482 | Nottingham | 100 | 100 | 100 | 13 561 | 13 561 |
| *Axiell Ireland ltd, 108820* | Dublin | 2 | 100 | 100 | | |
| *KE Software (UK) Ltd, 3999190* | Manchester | 1 | 100 | 100 | | |
| *Adlib Information Systems ltd, 2559749* | Nottingham | 48 786 | 100 | 100 | | |
| Axiell ALM Netherlands B.V., 55462227 | Maarssen | 18 000 | 100 | 100 | 25 790 | 25 790 |
| Axiell ALM Germany GmbH, HRB 83374 | Potsdam | 25 000 | 100 | 100 | 1 992 | 1 992 |
| Axiell France SARL, 804272086 | Lyon | 1 000 | 0 | 100 | | 91 |
| Mobydoc S.A., 332024223 | Toulouse | 606 | 100 | 100 | 91 | |
| Axiell ALM Canada Inc, BC0448721 | Vancouver | 7 | 100 | 100 | 5 549 | 5 549 |
| Axiell Australia Pty Ltd, ABN168799380 | Abbotsford | 100 | 100 | 100 | | |
| KE Software Pty Ltd, ABN99006213298 | Abbotsford | 100 | 100 | 100 | | |
| *Axiell Pty Ltd, ABN096105252* | Abbotsford | 1 | 100 | 100 | | |
| *Axiell Ltd, 3517291* | Auckland | 1 | 100 | 100 | | |
| Axiell ALM Inc, EIN95-4867657 | Wilmington | 100 | 100 | 100 | | |
| *Culture Connect, LLC, 41352147K* | New York | 5 105 | 100 | 100 | | |
| Axiell s.r.o., 24127582 | Prague | 100 | 100 | 100 | 21 908 | 21 182 |
| Moderni historie s.r.o., 24315079 | Prague | 100 | 0 | 100 | 0 | 726 |
| Axiell ALM India Private Limited, U62090TN2023FTC165932 | Chennai | 19 998 | 100 | 0 | 258 | 0 |
| Axiell Services AB, 559110-7577 | Lund | 500 | 100 | 100 | 50 | 50 |
| Axiell Belgium B.V., 0780483972 | WoluweSaint-Lambert | 100 | 100 | 100 | | |

157 217       156 959

Indirect holdings above are shown in italics. 0

All subsidiaries are active in libraries, archives, museums and E-media in the book industry

**Change during the year:**

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| **Opening accumulated acquisition costs** | **182 938** | **221 439** |
| Acquisitions | 258 | 0 |
| Disposal | 0 | -38 501 |
| **Closing accumulated acquisition costs** | **183 196** | **182 938** |
| Opening accumulated amortization | -25 979 | -14 650 |
| Amortization for the year | 0 | -11 329 |
| **Closing accumulated amortization** | **-25 979** | **-25 979** |
| **Closing carrying amount** | **157 217** | **156 959** |

## Note 45. Receivables from Group companies

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Opening accumulated acquisition costs | 52 839 | 53 813 |
| Exchange rate differences | 1 861 | -974 |
| Additional receivables | 0 | 0 |
| Payments/repayments | 0 | 0 |
| **Closing accumulated acquisition costs** | **54 700** | **52 839** |

## Note 46. Other long-term receivables

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Opening accumulated acquisition costs | 16 536 | 33 |
| Transferred to short-term receivable during the year | -3 500 | 0 |
| Additional receivables | 44 | 16 523 |
| Payments/repayments | -42 | -20 |
| **Closing accumulated acquisition values** | **13 038** | **16 536** |

The item consists of loans related to the disposal of subsidiaries of KSEK 13,000 and deposits. See Note 14 to the consolidated accounts for more information.

## Note 47. Other receivables

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| VAT and settlement of taxes/duties | 103 | 62 |
| Loans related to the disposal of subsidiary | 8 000 | 4 500 |
| Other | 73 | 176 |
| **Total** | **8 176** | **4 738** |

## Note 48. Prepaid expenses and accrued income

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Prepaid lease payments | 701 | 971 |
| Costs of licenses | 3 073 | 2 372 |
| Other prepaid expenses | 802 | 1 754 |
| **Total** | **4 576** | **5 097** |

## Note 49. Share capital and other contributed capital

Refer to the Group's Note 20 for information on the parent company's share capital.

## Note 50.Long-term liabilities

Liabilities falling due between one and five years from the balance sheet date:

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Liabilities to credit institutions | 16 332 | 33 422 |
| Other liabilities | 22 578 | 8 667 |
| **Total liabilities** | **38 910** | **42 089** |

Liabilities falling due after more than five years:

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Liabilities to credit institutions | 0 | 0 |
| Other liabilities | 0 | 0 |
| **Total** | **0** | **0** |
|  |  |  |
| **Carrying amount** | **38 910** | **42 089** |

Liabilities to credit institutions are due until September 2027 and carry an average interest rate of Stibor+2% per year in 2024 (2023: Stibor+2-3% Per year). The parent company's borrowings are in SEK.

Liabilities to credit institutions classified as current refer to the part of the loan that does not have an unconditional right to defer payment of the debt for at least 12 months after the end of the reporting period.

Liabilities to credit institutions are subject to certain covenants. Refer to Section 3.2 Capital risk management for more information.

The parent company has a committed overdraft facility in the SEK currency of KSEK 75,000. Of the committed overdraft facility, KSEK 51,512 has been utilized as of 31 December 2024 (KSEK 62,096 as of 31 December 2023).

Apart from the overdraft facility above, the parent company has no unused credit facilities.

## Note 51. Other long-term liabilities

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Liabilities to parent company | 18 288 | 7 400 |
| Other liabilities | 4 290 | 1 267 |
|  | **22 578** | **8 667** |

## Note 52. Other short-term liabilities

|  | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Liabilities to parent company | 0 | 7 342 |
| Fees and taxes | 2 680 | 2 546 |
| Unpaid dividends | 5 000 | 0 |
| Other liabilities | 0 | 1 266 |
|  | **7 680** | **11 154** |

## Note 53. Accrued expenses and deferred income

|  | 31/12/2024 | 31/12/2023 |
| --- | --- | --- |
| Staff-related costs | 2 823 | 3 292 |
| Audit | 365 | 520 |
| Consultancy costs | 964 | 836 |
| License costs | 690 | 888 |
| Other | 669 | 762 |
|  | **5 511** | **6 298** |

## Note 54. Pledged assets and contingent liabilities

| Pledged assets | 31/12/2024 | 31/12/2023 |
| --- | --- | --- |
| For own provisions and liabilities: |  |  |
| *Liabilities to credit institutions* |  |  |
| Business mortgages | 60 000 | 60 000 |
|  | **60 000** | **60 000** |
| Shares in Axiell Sverige AB | 100 | 100 |
| Shares in Axiell Services AB | 50 | 50 |
| Shares in Axiell Norge AS | 26 893 | 26 893 |
|  | **87 043** | **87 043** |
| **Total** |  |  |

| Contingent liabilities | 31/12/2024 | 31/12/2023 |
| --- | --- | --- |
| Guarantee in favor of Group companies | 2 000 | 2 000 |

The parent company has entered into a guarantee in favour of Axiell Sverige AB and in connection with the acquisition of ATP Automation Ltd Oy, the parent company has entered into a guarantee in favour of Axiell Finland Oy within the framework of the overdraft facility with Nordea.

## Note 55. Leases

The parent company has chosen not to apply IFRS 16 in the legal entity and reports all leases as operational.
The majority of the parent company's leases relate to premises, IT operations and company cars.

Future aggregate minimum lease payments for non-cancellable operating leases are as follows:

|  | 31/12/2024 | 31/12/2023 |
| --- | --- | --- |
| Within 1 year | 5 338 | 5 052 |
| Between 1-5 years | 9 633 | 10 225 |
| After 5 years | 0 | 0 |
|  | **14 971** | **15 277** |

## Note 56. Related party transactions

Refer to the Group's Note 26 for information on the parent company's transactions with related parties.

## Note 57. Changes in liabilities related to financing activities

| | 01/01/2023 | Cash inflow | Cash outflow | Accrued interest | 31/12/2023 |
|---|---|---|---|---|---|
| Liabilities to credit institutions | 89 160 | | -34 990 | 99 | 54 269 |
| Liabilities to related par | 20 453 | | -6 667 | -453 | 13 333 |
| Overdraft facility | 62 500 | | -404 | | 62 096 |
| | 172 113 | | -42 061 | -354 | 129 698 |

| | 01/01/2024 | Cash inflow | Cash outflow | Accrued interest | 31/12/2024 |
|---|---|---|---|---|---|
| Liabilities to credit institutions | 54 269 | | -20 847 | 210 | 33 632 |
| Liabilities to related par | 13 333 | 11 667 | -5 000 | 2 578 | 22 579 |
| Overdraft facility | 62 096 | | -10 584 | | 51 512 |
| | 129 698 | 11 667 | -36 431 | 2 788 | 107 722 |

## Note 58. Adjustment for items not included in cash flow

| | 31/12/2024 | 31/12/2023 |
|---|---|---|
| Depreciation and amortization on non-financial items | 20 345 | 26 412 |
| Amortization of shares in Group companies | 0 | 11 329 |
| | **20 345** | **37 741** |

## Note 59. Events after the end of the reporting period

Refer to the Group's Note 31 for events after the end of the financial year.

# Note 60. Proposal for the allocation of profits

|  | **31/12/2024** |
|---|---|
| Retained earnings from previous year | 15 649 682 |
| Transfer to reserve for development costs | -395 398 |
| Profit/loss | -11 010 018 |
| **Total** | **4 244 266** |

| The Board of Directors proposes that the retained earnings be allocated as follows: | |
|---|---|
| to be carried forward | 4 244 266 |
| **Total** | **4 244 266** |

The Board of Directors and the Chief Executive Officer certify that the consolidated accounts have been drawn up in accordance with International Financial Reporting Standards (IFRS) as adopted by the EU and give a true and fair view of the Group's financial status and performance. The annual report has been drawn up in accordance with generally accepted accounting principles and gives a true and fair view of the parent company's status and performance.

The Management Report for the Group and the parent company provides a true and fair view of the development of the Group's and the parent company's operations, financial status and performance, and describes significant risks and uncertainties faced by the parent company and the companies included in the Group.

Lund, on the date indicated by our electronic signature

_____
Joel Sommerfeldt
Chairman

_____
Mats Hentzel

_____
Stein Kleppestö

_____
Joakim Nideborn

_____
Maria Wasing
*Chief Executive Officer*

Our audit report was issued on the date indicated by our electronic signature.

Öhrlings PricewaterhouseCoopers AB

Mikael Nilsson
Authorized auditor

## b.2) Banking Reference

**BMO**

Michael Sajn
Vice President, Sr. Treasury Consultant
Treasury & Payment Solutions

**Commercial Banking**
320 S Canal Street
CHIC -15th Floor
Chicago, IL  60606
Tel:  (219) 576-4766
Fax: (312) 293-5959
Michael.Sajn@bmo.com

November 7, 2025

**Axiell ALM Inc.**
195 Montague St. Floor 14
Brooklyn, NY 11201
USA

To Whom It May Concern,

Per your request, please find below the account details for your BMO U.S., US Dollar Checking Account. The account is open and in good standing. The following bank information can be shared with your business partners for ACH and Wire transactions.

**Axiell ALM Inc.**
Account Number: 1619691
Routing Number: 071000288
SWIFT Number: HATRUS44 *(For International Wires Only)*

Please let me know if I can be of further assistance.  I can be reached at 219-576-4766.

Michael Sajn
Vice President, Sr. Treasury Consultant
BMO U.S.
320 S. Canal Street
CHIC-15th Floor
Chicago, IL  60606

**b.3) We hereby affirm that, to the best of our knowledge and belief, there are no judgments, pending or expected litigation, or any other real or potential financial reversals that might materially affect the viability or stability of our organization.**

## c. CHANGE OF OWNERSHIP

Axiell has not changed in ownership or control of the company is anticipated during the twelve (12) months following the solicitation response due date.

## d. OFFICE LOCATION

Axiell has no office location in the State

## e. RELATIONSHIPS WITH THE STATE

Axiell has no dealings with the State over the previous five (5) years

## f. BIDDER'S EMPLOYEE RELATIONS TO STATE

Axiell has had no employees in the State during the past twenty-four (24) months and currently has no employees in the State.

## g. CONTRACT PERFORMANCE

Axiell has not had any contracts terminated for default during the past five (5) years.

Axiell is not proposing the use of a subcontractor.

# h. SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

| Time Period | Scheduled and Actual Completion Dates | Bidder's Responsibilities | Customer Name | Customer Contact | Project Description | Vendor Based or Web Based |
|---|---|---|---|---|---|---|
| November 2015 - February 2017 | Completed in February 2017 | **· Project Planning & Management** · Develop and manage project plans, timelines, and deliverables. · Allocate resources and oversee team efficiency. **· Business Analysis & Design** · Gather and document business requirements in collaboration with stakeholders. · Conduct workflow analysis and optimization to enhance operational efficiency. · Provide subject matter expertise aligned with proven methodologies and standards for vital records management. **· Technical Implementation** · Design and configure system architecture to meet client needs. · Handle data migration from legacy systems. · Develop and integrate software components and modules. · Ensure interoperability with existing systems and standards, including (but not limited to) STEVE, EVVE, VIEWS II, OVS, Fact of Death, and EAB. **· Quality Assurance** · Conduct comprehensive | Washington DC, USA | **Josef Gasimov** DC Vital Records Registrar, Vital Records Division DC Department of Health Phone: 202-442-9029 Facsimile: 202-442-4833 Email: josef.gasimov1@dc.gov | Axiell successfully implemented our comprehensive vital records management system for Washington, DC's Vital Records Department, which included modules for electronic death registration (EDRS), electronic birth registration (EBRS), fetal death registration, and intentional termination of pregnancy (ITOP) registration. In addition to core system functionalities, we integrated advanced features such as an applicant queueing system, online certificate ordering, kiosk integration, and medical examiner office (OCME) integration through HL7/FHIR standards. This project also included geolocation and address verification tools, as well as a Birth Bundling and Enrollment | Azure-hosted (cloud-based) in Vendor's tenancy AND web-based |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | testing to ensure functionality and quality.<br>· Validate deliverables against project requirements.<br>· **Training & Documentation**<br>· Develop user manuals, technical guides, and training materials.<br>· Deliver training sessions for end users and administrators.<br>· **Deployment & Support**<br>· Support pilot runs and ensure a smooth go-live process.<br>· Provide post-go-live maintenance, warranty, and issue resolution.<br>· **Advisory & Compliance**<br>· Ensure the solution complies with regulatory standards and security requirements for vital records systems. | | | program for local government services (Books from Birth). Our collaboration with Washington, DC also extended to enhanced CDC Mortality Surveillance integration, allowing for improved public health reporting. The successful delivery of this complex, multi-faceted system highlights Axiell's expertise in handling high-volume jurisdictions with diverse needs. | |
| January 2022 - December 2023 | Completed in December 2023 | · **Project Planning & Management**<br>· Develop and manage project plans, timelines, and deliverables.<br>· Allocate resources and oversee team efficiency.<br>· **Business Analysis & Design**<br>· Gather and document business requirements in collaboration with stakeholders.<br>· Conduct workflow analysis and optimization to enhance operational efficiency.<br>· Provide subject matter expertise aligned with proven methodologies and standards for vital | US Virgin Islands, USA | **Lorraine Benjamin-Matthew**<br>Territorial Director<br>Office of Vital Records and Statistics<br>Virgin Islands Department of Health<br><br>Phone:  340-474-9749<br>Facsimile: 340-718-0850<br>Email:<br>lorraine.benjamin-matthew@doh.vi.gov | Axiell was contracted by the U.S. Virgin Islands to implement our comprehensive vital records management system. Initially focused on birth registration, the system is now being expanded to include death registration, fetal death registration, marriage registration, and certificate issuance. Our phased implementation approach allowed the U.S. Virgin Islands to | Azure-hosted (cloud-based) in Vendor's tenancy AND web-based |

| | | | | | |
|---|---|---|---|---|---|
| | | records management.<br>**· Technical Implementation**<br>· Design and configure system architecture to meet client needs.<br>· Develop and integrate software components and modules.<br>· Ensure interoperability with existing systems and standards, including (but not limited to) STEVE, EVVE, VIEWS II, OVS, Fact of Death, and EAB.<br>**· Quality Assurance**<br>· Conduct comprehensive testing to ensure functionality and quality.<br>· Validate deliverables against project requirements.<br>**· Training & Documentation**<br>· Develop user manuals, technical guides, and training materials.<br>· Deliver training sessions for end users and administrators.<br>**· Deployment & Support**<br>· Support pilot runs and ensure a smooth go-live process.<br>· Provide post-go-live maintenance, warranty, and issue resolution.<br>**· Advisory & Compliance**<br>· Ensure the solution complies with regulatory standards and security requirements for vital records systems. | | | transition smoothly into a modern vital records system, ensuring scalability and flexibility to accommodate future growth. This project showcases Axiell's ability to deliver incremental improvements while maintaining a focus on quality and compliance with NCHS standards. | |

| March 2022 - April 2025 | Scheduled and expected to complete in April 2025 | · **Project Planning & Management** · Develop and manage project plans, timelines, and deliverables. · Allocate resources and oversee team efficiency. · **Business Analysis & Design** · Gather and document business requirements in collaboration with stakeholders. · Conduct workflow analysis and optimization to enhance operational efficiency. · Provide subject matter expertise aligned with proven methodologies and standards for vital records management. · **Technical Implementation** · Design and configure system architecture to meet client needs. · Handle data migration from legacy systems. · Develop and integrate software components and modules. · Ensure interoperability with existing systems and standards, including (but not limited to) STEVE, EVVE, VIEWS II, OVS, Fact of Death, and EAB. · **Quality Assurance** · Conduct comprehensive testing to ensure functionality and quality. · Validate deliverables against project requirements. | Mississippi, USA | **Patricia Oluade** State Registrar Director Office of Vital Records Mississippi State Department of Health<br><br>Phone: 601-206-8265 Facsimile: 601-206-8272 Email: patricia.oluade@msdh.ms.gov | In Mississippi, Axiell delivered a full-featured vital records system encompassing all vital event modules, including birth registration (EBRS), death registration (EDRS), fetal death registration, marriage registration, divorce registration, and issuance. The Mississippi project demonstrated our capability to integrate systems seamlessly with medical examiners' offices through HL7/FHIR, ensuring real-time data exchange and compliance with national standards. Axiell's experience in Mississippi showcases our ability to develop systems that support complex workflows and integrate with both state and federal systems, ensuring comprehensive data management for public health and vital statistics. | Currently upgrading from State-hosted to Azure-hosted (cloud-based) in Vendor's tenancy AND web-based. |

| | | · **Training & Documentation** <br> · Develop user manuals, technical guides, and training materials. <br> · Deliver training sessions for end users and administrators. <br> · **Deployment & Support** <br> · Support pilot runs and ensure a smooth go-live process. <br> · Provide post-go-live maintenance, warranty, and issue resolution. <br> · **Advisory & Compliance** <br> · Ensure the solution complies with regulatory standards and security requirements for vital records systems. | | | | |
| --- | --- | --- | --- | --- | --- | --- |

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

Axiell's organizational structure for the project is a hierarchy of clearly defined roles. Each role has defined responsibilities and reports directly to the role above it.

At the top of the hierarchy is the Project Manager whose role is to manage the client relationship and the overall functioning of the project team to ensure successful delivery of the project.

The Project Manager will be responsible for managing resources and client expectations throughout the project. Their role will be to ensure that the project progresses in accordance with DHSS expectations and to assess and advise the DHSS with regard to any change requests. The impact of any change requests is communicated by the Project Manager to the rest of the team.

The Lead Technicians will report to the Project Manager and will oversee the project's technical direction, ensuring alignment with DHSS's goals while guiding the team through architectural decisions, coding

standards, and problem-solving. They will mentor Developers, enforce code quality, and collaborate closely with DHSS to deliver high-quality software on time. They are both hands-on experts and team leaders who ensure the success of the project's technical execution.

The Developers will report to the Lead Technicians and will be responsible for the development and enhancement of all areas of the application. Each member will be assigned specific tasks for completion as part of the overall project.

The Lead Trainer will report to the Project Manager and will be responsible for designing and delivering training programs that ensure end-users and DHSS team members understand how to effectively use the new software. They create training materials, conduct workshops or training sessions, and provide ongoing support to ensure a smooth adoption of the system. Additionally, they assess the learning needs of different users, track progress, and adjust training approaches to improve user proficiency and confidence with the software.

The Quality Assurance (QA) Manager will report to the Project Manager and will be responsible for overseeing the testing processes to ensure the software meets defined quality standards. They will develop and implement QA strategies, create test plans, manage testing teams, and ensure thorough testing is conducted to identify and resolve bugs or defects. Additionally, they will collaborate with Developers and DHSS to ensure that the software is reliable, performs well, and meets user requirements before deployment.

The Business Analyst will report to the Project Manager and will be responsible for gathering, analyzing, and documenting business requirements to ensure the software meets the organization's needs. They will act as a liaison between DHSS and the development team, translating business objectives into technical specifications. Additionally, they will help identify opportunities for process improvements, ensure alignment with DHSS's goals, and support testing and validation efforts to ensure the successful adoption of the software.

Axiell's team for the project will comprise of the following:

| Name | Role | Title |
|------|------|-------|
| Liselle Ramcharan | Project Manager | Senior Project Manager |
| Ersi Nurcellari | Lead Technician (Software Development) | Team Lead |

| Andrew Jagdharry | Lead Technician (Infrastructure) | Infrastructure Cloud Architect |
|---|---|---|
| Braden Galey | Lead Trainer and Quality Assurance Manager | QA/Business Analyst and Business Development Sales |
| Narayani Arvind | Business Analyst | VP of Operations |
| Andrew Ansbach | Developer | Software Engineer |
| Paul O'Doherty | Developer | Product Integration Backend Specialist |
| Vibha Singh | Developer | Core Development Manager |
| Alexander Orellana | Developer | Product Integration Engineer |
| Christopher Entereso | Developer | Product Integration Engineer |

Please find the resumes as follows.

# Liselle Ramcharan

## Work experience

**AXIELL ALM INC. | TORONTO, ON**

**Senior Project Manager, RVR** 2022 – PRESENT

Responsible for the delivery of vital records project implementations primarily in the North American market. Engaging with local and global colleagues to effectively manage the resource pool in order to balance the support and delivery of solutions.

**Senior Project Manager, ALM** 2021 - 2022

Responsible for the delivery of multiple software implementation projects ensuring customer satisfaction and budget commitments are met for mainly North American clients. Engaging with local and global colleagues to better resource, support and enable successful solutions for small to large scale collections management projects.

- Qualified as a Scrum Master in order to support with a challenging project and have collaboratively boosted team morale; successfully proposing changes that were made to reset the project, within the first 3 months of joining the company
- Rallied resources across different regions and project delivery teams to fast track the delivery of an already delayed solution which included having daily scrum meetings to keep the team on track

**FICANEX TECHNOLOGY LIMITED | OAKVILLE, ON** 2018 – 2021

**Integration Manager**

Responsible for the maintenance and improvement of the fintech integration platform used to provide fintech services to THE EXCHANGE participating Financial Institutions. Key member of the management team responsible for the onboarding of fintechs to provide new services and the Financial Institutions who consume those services.

- Led the development for testing the MVP solution with its first offering, an international remittance fintech solution, within the first 6 months of joining the team (5 payment solutions providers and 2 Financial Institutions)

**PASSION MANAGED INC. | MISSISSAUGA, ON** 2017 – PRESENT

**Managing Director/Owner**

Help small businesses to affordably execute projects by providing appropriate time slices to manage their projects, with a focus on detailing requirements, developing a robust project plan and providing checkpoints to monitor project progress. Accountability of project execution remains with small business.

- Developed the course content and facilitated 90-minute online sessions for an Introduction to Project Management course tailored to Small to Medium Sized Business Owners to expose them to and techniques in project management that can support how they manage their businesses

**BRANDACTIVE INTERNATIONAL INC. | TORONTO, ON** 2016 – 2017

**Project Manager (Consultant, Project Delivery)**

Provided expertise, advice and guidance to US based clients undertaking rebrand implementation projects.

- Led the execution phase for a $31 M USD project that impacted the healthcare system across 3 states and Hawaii with a 32,900 workforce and 20 main hospitals
- Successfully supported the ID badge production for the Corporate Launch Event including: approval of badge templates, data quality audits, vendor management, communication, verification of badge functionality etc.

**TD BANK GROUP | TORONTO, CANADA**                                      2010 – 2016

**Business Project Manager, Project Management Office, TD Insurance**      2012 – 2016

Planned, managed and delivered projects through all specific phases, in alignment with business and/or enterprise strategies to support the growth of TD Insurance. Led, directed and coached project teams while partnering with business and executive stakeholders within a single or across multiple lines of business. Worked with Business and IT project managers across the organisation.

- Led the successful completion of a $1 M multiple line of business project that allowed TDI to expand the sale of products to another business channel via updated backend processes and application updates
- Oversaw the Risk Management program which included a range of initiatives and projects (up to $3 M) that allowed TDI to be compliant with OSFI Regulations and empowered the Risk Management team members in the management of the smaller initiatives
- Managed (Initiation into Planning Phase) TDI's stake in a multiple line of business Information Management project ($11.5 M) that would allow TD to better manage its customers and provide a more cohesive and comprehensive view of its customers

**Associate Manager, Customer Data Strategies, Marketing**               2010 – 2012

Developed the TD Bank (US) Data Warehouse to allow for better understanding of, and marketing to its customers. Acted as the relationship manager and project lead, to drive projects that built the data warehouse capability. As a Subject Matter Expert, supported business partners with their use of the data warehouse and led testing when new regulations impacted organizational data.

- Developed and facilitated a new learning module to educate employees new to the data warehouse focused on the business context of the data warehouse

**PLATON A/S (PLATON DELOITTE) | COPENHAGEN, DENMARK**                   2008 – 2010

**Consultant, Corporate Department**

Provided strategic global support in the area of Information Management. Qualified in company's Information Management expert knowledge database (Insight®) and Project Management certification.

- Contributed to a Master Data Management project for an international media company (conducting interviews, development of new tools, data model and other documentation) to improve the quality of the Customer MDM and to be able to quickly identify and target its customers.
- Developed two new tools for a client that were subsequently included in the company's Information Management application: a questionnaire used by Data Stewards to define the attributes for a Master Data Entity and a questionnaire to assess the suitability of a chosen System of Record
- Created an extensive learning module and facilitated training for a Master Class in Organizational Change Management

**CIBC | TORONTO, ON**                                                   2004 – 2008

**Senior Data Administrator, National Collections**

Designed, developed and drove the strategic vision of the use of data resources within the department as a member of the Decision Support.

- Played a key role in the team that identified the root cause for inconsistencies in Department and CIBC's Senior Executive Team reporting that led to improvements in the application used by the Customer Service Representatives
- Developed a Logical Database Model that captured all of the business rules and allowed for a better understanding of all of the data used by the department

## Education

MSc Digital Systems | BSc Electrical and Computer Engineering (Honours) | **THE UNIVERSITY OF THE WEST**

## Professional Certifications

Certified Scrum Master | **SCRUM ALLIANCE**
PMP - Project Management Professional | **PMI**
Project Management Certificate (Distinction) | Oracle Data Warehousing Certificate | **HUMBER COLLEGE**

## Understanding of The Process

- Collaborated from its inception the implementation of the Vital Records Information Management System for USVI with the Births Module now fully in Production

- Coordinated in the Gap Analysis sessions for the Births, Deaths, Fetal Deaths and Marriage sessions for USVI

- Oversaw the refinement of the Death Module for USPR, particularly focused on areas such as the jurisdictional specific IJE fields, Industry & Occupation Codes and Cause of Death Codes

- Managed the execution of the ELC projects that led to USMP and USDC becoming fully certified in 2024

- Participated in NVSS Monthly Meetings (Main and Technical) as well as Weekly Office Hour meetings that provide an opportunity for a deeper understanding of FHIR and other FHIR-related developments initiated by NCHS

- Actively organizing ELC projects for the upcoming certification is USMP, currently heading to the Pre-Certification stage

- Currently supporting integration project and initiatives to improve USMP's vital records system for implementations such as SSA EAB

## References (3 references with name, address, and telephone number)

Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada

Name: Salih Durmic; Number 1-347-821-1460; Address: New York, USA

Name: Ruslan Khait; Number: 1-718-664-0518; Address: New York, USA

# Ersi Nurcellari

## Work experience

**Axiell ALM Inc. | Brooklyn, New York**

**Team Lead**

09/2021 – Present

- Developed and maintained web-based Vital Records application for multiple clients using C#, .NET Framework, JavaScript, HTML, CSS, Ms-Sql.
- Created new client specific views for multi0tenant MVC application to encapsulate client's requirements using HTML (Razor Pages), JavaScript, jQuery, Bootstrap.
- Implemented new functionality to enable bi-directional communication between our vital records system and the NCHS using the HL7 VRDR FHIR standard.
- Attended community of practice meetings hosted by CDC-NCHS to discuss best practices and modernization efforts for vital records.

**Intersoft Associates | Brooklyn, New York**

**Software Engineering Intern**                                        06/2019 – 09/2020

- Developed and supported a variety of software solutions using the .NET development stack.
- Constructed complex stored procedures and triggers in Ms-Sql to support client applications.
- Created mail merge processes using C# and Aspose library for the purposes of generating dunning letters from both Excel and SQL data sources.
- Designed and improved reports in Ms-Sql Server reporting services.

## Education

**B.S. Computer Science**                                                    12/2020

City College of New York (Grove School of Engineering), New York, NY

## Professional Certifications

N/A

## Understanding of The Process

**Civil Registry Implementation Commonwealth of Northern Marianas, USA**

2022 - Current

- Development of workflows in Vitaware 5.0 application.
- Implemented bi-directional communication between EDRS & NCHS.
- Implemented CDC Views-II for validating mortality data before registration.

**Civil Registry Implementation Mississippi, USA**

2022 - Current

- Development of workflows in Vitaware 5.0 application.
- Implemented bi-directional communication between EDRS & NCHS.
- Implemented bi-directional communication between EDRS & OCME via FHIR.
- Screen design and layout

**Civil Registry Implementation District of Columbia, USA**

2021 - Current

- Development of workflows in Vitaware 5.0 application.
- Implemented bi-directional communication between EDRS & NCHS.
- Implemented CDC Views-II for validating mortality data before registration.
- Implemented bi-directional communication between EDRS & OCME via FHIR.
- Cloud infrastructure setup and maintenance.

## References (3 references with name, address, and telephone number)

Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada

Name: Patrick McGinnis; Number: (514) 402-7456; Address: Ontario, Canada

Name: Jonathan Fontaine; Number: (416) 540-8321; Address: Montreal, Canada

# Andrew Jagdharry

## Work experience

**Axiell ALM Inc. | Toronto, ON**

**Infrastructure Cloud Architect**

Jan 2014 - present
- Development to current software using various languages including C++, Perl and JavaScript.
- Provide support to various vital stats clients including:
    1. Newfoundland & Labrador Vital Stats – Developing and maintaining current Vitalware software including Web Application. Also, handling training and support if needed.
    2. Saskatchewan Vital Stats – Developing and maintaining current Vitalware software including Web Application. Handling migration of application from one server to another. Training and support if needed.
    3. New Brunswick Vital Stats – Developing and maintaining current Vitalware software. Training and support if needed.
    4. Trinidad & Tobago Vital Stats – Developing and maintaining current Vitalware software including web applications. Created and maintaining their Disaster recovery server (DRP) in case of fall over of Production server including backups. Training and support if needed.
- Network Management and Server Maintenance for Toronto office including building, configuring, repair of servers, network installation and maintenance of each component.

**KE Software | Toronto, ON**

**Support Technician**

Apr 2012 – Jan 2014
- Provide support to various museum and vital stats clients
- Some developing and server management.

## Education

| | |
|---|---|
| **Computer Engineering Technology Advanced Diploma** | 04/ 2011 |

Humber Institute of Technology and Advanced Learning, Toronto ON

## Professional Certifications

N/A

## Understanding of The Process

- **Data Integrity and Validation:**
  Ensuring records are accurate, consistent, and legally compliant through rigorous validation workflows and systems.

- **International Client Collaboration:**
  Demonstrated success in supporting civil registries across various regions, including Saint Lucia, Manitoba, Quebec, Mississippi, Puerto Rico, and the US Virgin Islands. These collaborations required tailoring solutions to meet diverse legal frameworks and cultural requirements.

- **Infrastructure Setup and Maintenance:**
  Setting up, managing, and migrating servers to support vital records systems. For example, implementing disaster recovery solutions like the Trinidad and Tobago Civil Registry DRP, ensuring uninterrupted access to critical records.

- **Security and Privacy:**
  Maintaining the confidentiality and security of sensitive personal data, complying with international standards for data protection and security.

- **Automation and Workflow Optimization:**
  Developing systems that streamline record issuance, amendments, and data validation, improving operational efficiency and reducing errors.

- **System Integration:**
  Creating Web APIs and integrating vital records systems with other entities, such as healthcare or government agencies, for seamless data sharing and interoperability.

- **Compliance with Standards:**
  Regularly updating systems to align with the latest legal, technical, and security standards to ensure international interoperability and acceptance.

- **Cross-Functional Team Leadership:**
  Leading and mentoring teams in the design, development, and maintenance of solutions tailored for civil registries, ensuring high-quality deliverables that meet or exceed client expectations.

**References (3 references with name, address, and telephone number)**

Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada

Name: Patrick McGinnis; Number: (514) 402-7456; Address: Ontario, Canada

Name: Jonathan Fontaine; Number: (416) 540-8321; Address: Montreal, Canada

# Braden Galey

## Work experience

**Axiell ALM Inc. | Washington, DC**

**QA/Business Analyst and Business Development Sales**

Feb 2019 - present

- Creating and organizing sprint work/hotfixes with Azure DevOps.
- Presenting weekly system demonstrations throughout a system implementation project.
- Gathering system requirements/vendor expectations and executing Gap analyses.
- Providing quality assurance analysis and regression testing.
- Managing, organizing, and sharing QA/testing results through Azure DevOps and Microsoft Teams.
- Managing support operations by overseeing, delegating, and personally handling ~8000 customer service requests annually.
- Providing technical troubleshooting and customer service support to vital registry software's end users.
- Training new employees on system functionality and support management/procedures

**NewDay USA**

**Compliance Helpdesk Specialist**
2017-2018
- Assisted Operations via a helpdesk to ensure compliance with state and federal mortgage regulations.
- Audited and updated information/documentation in our loan origination data management system.

**Account Executive**
2017
- Collected and organized borrower information/documentation in a loan origination data management system.
- Worked with operations to guide borrowers through the loan origination process.

## Education

**B.A. Business Technology and Administration**                    2017

*University of Maryland, Baltimore County (Catonsville, MD)*

## Professional Certifications

N/A

## Understanding of The Process

- Civil Registry Implementation - District of Columbia, USA  (2019 - )
  - Managed helpdesk operations (~8000 customer service requests annually).
  - Identified issues with system quality and organized QA work for development team.
- Civil Registry Implementation – Norther Mariana Islands, USA  (2019 - )
  - Responsible for contracts and account management
  - Responsible for scoping new work and estimates.
  - Provide information in industry developments and how to best take advantage
- Civil Registry Implementation - Mississippi, USA  (2020 - )
  - Responsible for contracts and account management
  - Responsible for scoping new work and estimates.
  - Provide information in industry developments and how to best take advantage
- Civil Registry Implementation - Quebec, CA  (2021 - )
  - Responsible for contracts and account management
  - Responsible for scoping new work and estimates.

Provide information in industry developments and how to best take advantage

**References (3 references with name, address, and telephone number)**

Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada

Name: Patrick McGinnis; Number: (514) 402-7456; Address: Ontario, Canada

Name: Jonathan Fontaine; Number: (416) 540-8321; Address: Montreal, Canada

# Narayani Arvind

## Work experience

**Axiell ALM Inc.**

**VP of Operations**

**JUL 2018- PRESENT**

Responsible for managing product delivery of Axiell's COTS product for vital records solutions across North America and the Caribbean. Lead process reengineering efforts in vital records modernization projects, scoping out solution and requirements gathering. Responsible for creating and maintaining the project plan, stakeholder communication, reporting budget and project progress, coordinate development activities, train end users. Engaged in account management, gathering stakeholder needs, gap analysis, sales and system demonstrations, contract negotiations, RFI/ RFP responses, sprint management and business process re-engineering. Responsible for hiring, training and managing, junior project managers and business analysts.

End users/ customer base include state and provincial health departments, civil registries, health care facilities, forensics and medical examiners, funeral facilities across North America and the Caribbean.

Key projects: Vital records software implementation is District of Columbia, Puerto Rico, Nova Scotia, Prince Edward Island, Mississippi, New Foundland, New Brunswick and SHPDA, DC.


**DC DEPARTMENT OF HEALTH**

**PROJECT MANAGER/ SR BUSINESS ANALYST**

**JUN 2015- JUN 2018**

Reporting to the CITO, as part of the internal PMO, worked with several programs within the District of Columbia's Department of Health to reengineer paper-based process, implement electronic systems and replace legacy systems with in-house IT solutions.

Key Projects: Medical Device Licensing applications, Medical Marijuana Program, Physicians Licensing Application, Healthcare Information System, DC Confidential Filer System, Enterprise Grants Management System, DCPHIS-Rhapsody Integration.


**ACCENTURE**

**BUSINESS ANALYST**

**JUN 2011- JAN 2012**

- · Worked with Project manager to identify best approach for gathering requirements
- · Performed Reviews and Audits for internal and external activities for the existing system at Cigna Health care and prepare activity/process flow using MS Visio.

- Gathered Business Requirements, created Functional Requirements Document (FRD) and analyzed data/workflows, defined the scope, financial projections and cost/benefit analysis; progressed from Problem Statement to well-documented designs. Prepared user guidelines for easy access of the application.
- Performed GAP analysis to identify the gap between the optimized allocation and integration of the inputs, and the current level of allocation.
- Created AS-IS and TO-BE business process flow diagrams to show end-to-end business model and business process mapping exercise including swim lanes.
- Performed Data Analysis and Data validation by writing basic queries against the database.


**KPG CONSULTING**

**BUSINESS SYSTEMS ANALYST/ DATABASE MODELER**

**MAY 2009- FEB 2011**

**E-Warehouse Management System for Sea Power Resources**

The project was a B2B, Internet-based, Electronic Commerce System that allowed existing and new customers of Sea Power Resources International to participate in the cold storage business through the Internet, including collaborative planning, virtual fulfillment, logistic management, as well as a virtual market place for trading of cold storage products.

- Responsible for performing systems analysis to make any changes/enhancements to the application.
- Gathered Business Requirements by working closely with users and documented the requirements.
- Created use cases, Business Requirements and the Process Flow documents
- Acted as a liaison between the development team, testing team and business user.

## Education

ASTER OF SCIENCE IN MANAGEMENT | JUN 2015 | WILMINGTON UNIVERSITY

BACHELOR OF ENGINEERING | MAR 2011 | ANNA UNIVERSITY

## Professional Certifications

- Certified Scrum Product Owner
- Certified Six Sigma Black Belt
- Total Quality Management
- Certificate of Advanced Study in MIS
- Project Management- Cornell University

## Understanding of The Process

- Civil Registry Implementation – Saint Lucia  (2019 – 2022)

  o  Responsible for creating and maintaining the project plan, stakeholder communication, reporting budget and project

progress, coordinate development activities, train end users.

- Civil Registry Implementation - District of Columbia, USA (2018 - )

o Lead process reengineering efforts in vital records modernization projects, scoping out solution and requirements gathering.

o Responsible for creating and maintaining the project plan, stakeholder communication, reporting budget and project progress, coordinate development activities, train end users.

- Civil Registry Implementation – Northern Mariana Islands, USA (2019 – 2021)

o Engaged in account management, gathering stakeholder needs, gap analysis, sales and system demonstrations, contract negotiations, RFI/ RFP responses, sprint management and business process re-engineering.

- Civil Registry Implementation - Mississippi, USA (2020 - )

o Gathered requirements and organized development work for the transition from our old vital registry system to VITA.

o Lead bi-weekly meetings with civil registry users to ensure a smooth implementation.

## References (3 references with name, address, and telephone number)

Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada

Name: Patrick McGinnis; Number: (514) 402-7456; Address: Ontario, Canada

Name: Jonathan Fontaine; Number: (416) 540-8321; Address: Montreal, Canada

# Andrew Ansbach

## Work experience

**Axiell ALM Inc. | Brooklyn, New York:**

**Software Engineer**                                    04/2022 – Present

- Delivered innovative features to government clients for a vital records management system using expertise in **.Net** development and proficiency in **C#** and **JavaScript**
- Provided critical support and bug fixes throughout rounds of **User Acceptance Testing** through effective use of **Visual Studio**'s debugger and substantial understanding of the **MVC** architecture model
- Drew on ample knowledge of **relational database design** to alter vital records to comply with NCHS standards in **Microsoft SQL Server**
- Facilitated communication between development team and local jurisdictions in **Microsoft Teams** and **Azure DevOps** to ensure product requirements were clearly outlined and project deadlines were met

**EquiBlocks | Montreal, Quebec, Canada:**

**Software Engineering Intern**                                    06/2021 – 12/2021

- Developed a web app using **WordPress** and **PHP** that provided financial planning advice to users
- Leveraged project management software **JIRA** to track the progress of the project and **Git** for version control
- Used **PostgreSQL** to manage user financial data

## Education

**B.S. Computer Science**                                    12/2021

Arizona State University, Tempe, AZ

**B.A. Philosophy**                                    05/2013

Stony Brook University, Stony Brook, NY

## Professional Certifications

N/A

## Understanding of The Process

**Civil Registry Implementation US Virgin Islands, USA**

2023

- Development of workflows in VITA application
- Life Event Registration rules and validations

**Civil Registry Implementation Mississippi, USA**

2023

- Development of workflows in VITA application
- Screen design and layout
- Interoperability

**Civil Registry Implementation Puerto Rico, USA**

2022

- Development of workflows in VITA application
- Development of Certificate designs
- Statistical Report Design and Creation

## References (3 references with name, address, and telephone number)

Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada

Name: Patrick McGinnis; Number: (514) 402-7456; Address: Ontario, Canada

Name: Jonathan Fontaine; Number: (416) 540-8321; Address: Montreal, Canada

# Paul O'Doherty

**Work experience**

**Axiell ALM Inc. | Melbourne, Australia**

**Product Integration Backend Specialist**

**2007 – Present**

Development of tools to interface with the EMu and Vitalware product suite which includes data migrations, data exports, report development and client customisations. Provide specialised advice and assistance to long-term customers.

Duties:

- Data & Server Migrations for EMu and Vitalware installations.
- Development of Vitalware Window's Clients using Borland C++ Builder.
- Development of import tools to load images into Vitalware and EMu.
- Development of Perl reports to extract and collate data to send to other agencies.
- Developing interfaces to exchange data with 3rd party systems.
- Maintenance and bug fixing of existing applications.

Achievements:

- Development of Witness Protection mechanism for Registry of Births, Deaths and Marriages (New Zealand).

- Development of XML Import Tool for Registry of Births, Deaths and Marriages (Queensland) to generate and link registration records with scanned documents.

- Development of print routines to convert tiff / jpg files to PCL format for UNIX print spoolers.

- Assistance with integration of French Canadian bi-lingual language support for Vitalware software and Canadian clients.

- Assisted in the development of same sex relationship databases for the Registries of Births, Deaths and Marriages in Queensland and New Zealand.

**KE Solftware | Melbourne, Australia**

**Support / Programmer**

**March 1996 – 2007**

Resolution of customer problems such as corrupt databases, determining software bugs and liaising with relevant staff as required. Some on-site work, server migrations and maintenance and bug fixing

Duties / Achievements:

- Help Desk Support.

- Maintenance of customer software, bug fixes and supporting programs.
- Configuration and migration of client applications to new UNIX servers.
- On-site support for major clients, such as the Registry of Births, Deaths and Marriages in Victoria.
- Assistance in training and mentoring of new staff.
- Digitisation Project for the Registry of Births, Deaths and Marriages in Victoria, which involved loading four million images onto Tower System and then migrating these onto Lifedata II several years later.
- Setup of initial version of CVS, a national Australian portal for verifying identities used by passports, banks and other agencies.

**Melhawk Computer Solutions**

**Support / Programmer**

October 1994 – March 1996

Support for Point-of-Sale system, which involved troubleshooting ledger, balancing tills, printer issues and software patching.

Duties / Achievements:

- Discuss problems with customer and attempt to resolve problem over phone, often talking them through the steps to fix it.
- Remote login to fix problems as required.
- Resolve any end of day balancing issues.
- Fix database corruptions and software bugs.
- Setup of barcode scanners & EFT software.
- Setup and configuration of report and receipt printers.
- Configuration of modems and remote login software.
- Configuration and setup of PCs for distribution to clients.
- Development of programs to upgrade software between versions of Visual Basic.

**Education**

Bachelor of Science (Computer Science Major), University of Melbourne (1993)

**Professional Certifications**

• Certificate of distinction in Data Communications at Pearcey Centre for Computing, Monash University (1994)

• Certificate of credit, Introduction to Java, from Pearcey Centre for Computing, Monash University (1999)

**Understanding of The Process**

**BDMNZ**

Upgraded the Lifedata system to support Citizenship by Birth and Civil Unions (2006), Same-Sex Marriages (2013), Gender Changes (2023), and Death Notifications (2024).

**BDM Samoa Implementation (2002)**

Implemented enhancements for the incoming Lifedata system, including certificate templates and data entry screens.

**BDM Queensland Implementation (2007)**

Conducted a full data migration from Lifedata into the Vitalware system. Supported the digitization of images for back-capture projects.

**BDM CASK Implementation (2010)**

Developed back-end reports and certificate generation functionalities to address operational requirements.

**BDM CANB Implementation (2013)**

Created a bilingual subsystem to enable seamless operation in both French and English languages.

**BDM CAYT Implementation (2014)**

Executed a full data migration from a legacy system into Vitalware, ensuring data accuracy and compatibility.

**BDM CAPE Implementation (2020–2023)**

Collaborated with the client to analyze data structures and delivered a full data migration from a legacy system into Vitalware.

**BDM CANS Implementation (2021–2023)**

Oversaw the migration of financial, certificate, and stock data into Vitalware's Point of Sale, Issuance, and Certificate Modules.

**BDM USMS Implementation (2023–2024)**

Led the migration of vital records data from the Vitalware system to the VITA platform.

| References (3 references with name, address, and telephone number) |
| --- |
| Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada |
| Name: Patrick McGinnis; Number: (514) 402-7456; Address: Ontario, Canada |
| Name: Jonathan Fontaine; Number: (416) 540-8321; Address: Montreal, Canada |

# Vibha Singh

## Work experience

**Axiell ALM Inc. | Melbourne, Australia**

**Core Development Manager**                                    **2024 – Present**

- Oversee a team of developers, providing guidance, support, and performance feedback.

- Hire new team members and ensure ongoing professional development for the team.

- Help assign tasks based on team members' strengths and project needs.

- Plan, prioritize, and manage the development of core system components and features.
- Create and adhere to project timelines, ensuring milestones are met.
- Identify potential risks and develop mitigation strategies.

- Address and manage technical debt to maintain the health of the codebase.

- Communicate with stakeholders to gather requirements, provide updates, and manage expectations.

- Work closely with other teams (e.g., product management, QA, operations) to ensure alignment and integration.

- Implement and refine development methodologies and processes to enhance productivity and efficiency.

- Promote and implement best practices and continuous improvement initiatives within the team.

- Ensure robust testing strategies are in place for core components, including unit testing, integration testing, and performance testing.

- Forecast and plan for resource needs, including staffing and technology.

- Stay informed about industry trends and emerging technologies to drive innovation within the team.
- Contribute to the strategic direction of the core components and ensure alignment with broader organizational goals.

**Global Project Delivery Manager**                            **2022 - 2024**

- Planning and scheduling the delivery process.

- Managing the resources for the delivery, including allocating tasks to team members.

- Identifying and managing risks to the delivery, including developing contingency plans to mitigate potential issues.

- Communicating with stakeholders, including team members, clients, and other stakeholders, to ensure that everyone is informed about the progress of the delivery.

- Providing guidance and mentorship to team members to ensure that they have the skills and support they need to complete their tasks.

- Working with clients or other stakeholders to meet their needs and expectations.

**Senior Account Manager**                                               **2021- Present**

- Discussing and reviewing contracts and variations for new and existing customers.

- Engaging with customers, understanding their current and prospective plans.

- Establishing channels for frequent communication to foster customer relationships.

- Identifying hiring needs within the business area and participating in the recruitment strategy and process.

- As part of the management team,

- understand business financials and identify revenues of growth.
  make suggestions to improve the business practices.

- brainstorm ideas to improve team morale & productivity.

- identify current/potential issues and follow them through to resolution.


**Senior Consultant**                                             **2011 - Present**

Responsibilities and experience include:

- Engaging with existing and prospective customers to understand their business requirements and translate them to technical specifications.

- Proposing, designing and documenting full stack solutions.
  Effectively interacting with and designing/developing solutions for cross-country/continent customers.

- Developing core features/improvements including core bug fixes.
  Product / feature documentation.

- Managing small/medium sized development projects, setting timelines and ensuring delivery within budget and time-frame.

- Coordinating and collaborating with cross-country/continent teams for software delivery, training and knowledge sharing.

- Mentoring and guiding less experienced colleagues as required.

- Identifying and making recommendations to improve work processes (project delivery / system upgrades) as applicable.

**Senior Consultant**                                             **2007 - 2010**

- Liaising with customers to understand their business requirements.

- Designing / developing solutions.

- Performing software upgrades.

- Support and issue resolution post system / feature install.

**Education**

Master's in computer application (Distinction)                              2005

| Kamla Nehru Institute of Technology, UP Technical University, India |
|---|
| **Bachelor of Science, Computer Application (Honours with Distinction)**    **2001** |
| Ranchi University, India |

| **Professional Certifications** | |
|---|---|
| PMI-ACP prep course | 2017 |

**Understanding of The Process**

1. Requirement analysis and solution design.

2. Implementation of vital events (Births, Deaths, Marriages etc.) registration workflows.

3. Design and implementation of sensitive processes like Adoption, Parentage orders etc.

4. Implementation of Point of Sale subsystem.

5. Implementation of certificate printing subsystem.

6. Security stock management and financial reporting subsystems.

7. Implementation of online applications to interface with Vitalware subsystems.

8. Frontend screen design.

9. Configuration rules for Vitalware application.

10. Data dictionaries and other reports.

**References (3 references with name, address, and telephone number)**

Name: Amit Sinha, Phone: +44 7450 271967, Address: Milton Keynes, England, United Kingdom

Name: Smriti Singh, Phone: +91 9168460606, Address: Pune, Maharashtra, India

Name: Priyanka Misra, Phone: +1 (224) 538-1350, Address: Greater Chicago Area, United States

# Alexander Orellana

**Work experience**

**Axiell ALM Inc. | Brooklyn, NY**

**Product Integration Engineer**

**Jan. 2023 – Present**

- Designed, developed, and implemented new software features to meet customer and business needs.
- Identified, diagnosed, and resolved software bugs, improving the overall stability and performance of the application.
- Collaborated with stakeholders to gather and analyze requirements, ensuring that solutions met both technical and business objectives.
- Participated in peer code reviews, ensuring code quality and adherence to best practices.
- Executed integration and regression testing to ensure functionality and reliability.
- Created and maintained technical documentation for new features and systems.

**Junior Support Engineer**
**Sept. 2021 – Jan. 2023**

- Maintained and supported vital records software for Canadian and US government agencies.
- Diagnosed and resolved both minor and critical software issues.
- Designed and developed new system functionalities, improving overall efficiency.
- Deployed regular software updates to maintain and enhance system performance.
- Ensured the data integrity of millions of vital records.
- Conducted monthly client meetings to address and prioritize technical issues and projects.

**Education**

**Hofstra University**                         **Hempstead, NY | Sept. 2017 – Dec. 2020**
Bachelor of Science | Computer Science

**Professional Certifications**

N/A

**Understanding of The Process**

**Vitalware 3.0 - 5.0**, **Mississippi State Department of Health Vital Records**

- Integrated and streamlined processes, closing critical software gaps and enhancing system performance.
- Redesigned legacy systems to improve efficiency and modernize operations.
- Maintained a clean and efficient codebase to maximize development productivity and ensure high-quality output.

**Vitalware 5.0**, **Quebec, Canada**

- Analyzed and implemented requirements that served as a catalyst for the comprehensive enhancement of the entire application.

**Vitalware 5.0 Core Application**

- Identified and resolved performance issues and recommended improvements to system architecture.
- Implemented core features to meet diverse client requirements and enhance application functionality
- Promoted best coding practices, emphasizing the importance of maintainable code to improve project outcomes and streamline codebase integration.

**References (3 references with name, address, and telephone number)**

Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada

Name: Patrick McGinnis; Number: (514) 402-7456; Address: Ontario, Canada

Name: Jonathan Fontaine; Number: (416) 540-8321; Address: Montreal, Canada

# Christopher Entereso

## Work experience

**Axiell ALM Inc. | Toronto, ON**

**Product Integration Engineer**
**2011 – Present**
Technical Skills

- Work with clients to assess the task required and implement the best solution for their needs
- Improve and add functionality to current software suites
- Troubleshoot and debug software issues
- Ensure that software implementations are release worthy by testing and detailing all possible procedures
- Manage software releases in a timely manner that does not affect clients' daily operations

Communication Skills

- Consult with clients to develop functionality required in software.
- Communicate with clients through phone, email and ticketing system with regards to software bugs and procedural issues.
- Write easy to understand procedures of software functionality for end-client users.
- Detail step-by-step procedures for reproducing bugs and errors.

Leadership Skills

- Assist new team members with task procedures and development practices
- Provide and consult ideas and solutions with team members
- Train users in use of software

## Education

2008-2010
Seneca College
Computer Engineering Technology

## Professional Certifications

N/A

## Understanding of The Process

**Civil Registry Implementation for Prince Edward Island, CA**

- Development of workflows in VW application
- Screen design and layout
- Development of Certificate designs

- Interoperability with other government agencies and jurisdictions
- Statistical Report Design and Creation
- Provide user support and training

**Civil Registry Implementation for Nova Scotia, CA**

- Development of workflows in VW application
- Screen design and layout
- Development of Certificate designs
- Interoperability with other government agencies and jurisdictions
- Statistical Report Design and Creation
- Provide user support and training

**Civil Registry Implementation for Saint Lucia**
- Development of workflows in VW application
- Screen design and layout
- Development of Certificate designs
- Interoperability with other agencies
- Statistical Report Design and Creation
- Provide user support and training

**Support for Washington DC, USA Civil Registry**
- Provide user and client support on VITA application

**Civil Registry Implementation for New Brunswick, CA**
- Development of workflows in VW application
- Database maintenance and troubleshooting
- Support and troubleshoot web application
- Screen design and layout
- Interoperability with other government agencies and jurisdictions
- Development of Certificate designs
- Statistical Report Design and Creation
- Provide user support and training

**Civil Registry Implementation for Newfoundland and Labrador, CA**
- Development of workflows in VW application
- Screen design and layout
- Database maintenance and troubleshooting
- Support and troubleshoot web application
- Interoperability with other government agencies and jurisdictions
- Development of Certificate designs
- Statistical Report Design and Creation
- Provide user support and training

**Civil Registry Implementation for Saskatchewan, CA**
- Development of workflows in VW application
- Screen design and layout
- Database maintenance and troubleshooting
- Support and troubleshoot web application
- Interoperability with other government agencies and jurisdictions

- Development of Certificate designs
- Statistical Report Design and Creation
- Provide user support and training

**Support and Development for Trinidad and Tobago Civil Registry**
- Development of workflows in VW application
- Database maintenance and troubleshooting
- Support and troubleshoot web application
- Provide user support and training

**Support and Development for Mississippi, USA Civil Registry**
- Development of workflows in VW application
- Screen design and layout
- Database maintenance and troubleshooting
- Interoperability with other government agencies and jurisdictions
- Support and troubleshoot web application
- Provide user support and training

**Support and Development for Manitoba, CA Civil Registry**
- Development of workflows in VW application
- Database maintenance and troubleshooting
- Support and troubleshoot web application
- Statistical Report Design and Creation
- Interoperability with other government agencies and jurisdictions
- Provide user support and training

| References (3 references with name, address, and telephone number) |
| --- |
| Name: Chris Fincham; Number: (416) 587-6776; Address: British Columbia, Canada |
| Name: Lawrence Esporlas; Number: 416-450-6133; Address: Ontario, Canada |
| Name: Adryan Duque; Number: 416-662-3500; Address: Ontario, Canada |

# j. SUBCONTRACTORS

Axiell does **not** intend to subcontract any part of its performance.

# CONFIRMATION OF HAVING READ, UNDERSTOOD AND MET THE MINIMUM QUALIFICATIONS

Axiell confirms that we have read, understood and met the minimum essential qualifications, experience and capabilities is to be included in your proposal submission.

1. Axiell has a minimum of five years' experience in the design, testing, implementation, support and maintenance of a cloud-based system similar to the scope of this RFP.

2. Axiell has a minimum of three clients utilizing similar support, operation and maintenance of a cloud-based system similar to the scope of this RFP.

3. Axiell confirms that all data, systems, and cloud hosting environments associated with this RFP will be located, stored, and managed within the United States. No data shall be transferred, processed, or stored outside the U.S. jurisdiction.

4. Axiell has an existing system that at a minimum contains modules i. through vii. listed in Table 1: Essential Modules. Meanwhile, Axiell has reviewed Attachment 1 - Functional Specifications to make a sound determination of the Axiell's full range of capabilities necessary to meet said requirement. (and "form")

**Table 1: Essential Modules**

> The system, at a minimum, must include the following modules:
> i. Birth;
> ii. Death;
> iii. Marriage;
> iv. Dissolution of Marriage;
> v. Fetal Death;
> vi. Induced Termination of Pregnancy (ITOP);
> vii. Order Management

# PROJECT DESCRIPTION AND SCOPE OF WORK (TECHNICAL RESPONSE Part I)

## A. PROJECT REQUIREMENTS AND INFORMATION (Understanding of the project requirements)

### A.A Functional Specifications

Please see 120277 O3 REBID Axiell ALM INC File 2 of 6 Functional Specifications submitted in separate file.

### A.B Technical Specifications

Please see 120277 O3 REBID Axiell ALM INC File 3 of 6 Technical Specifications submitted in separate file.

### A.C Project Initiation

**i Kick-off Event, Documentation, Review and Approval**

*All key vendor's staff and Unit staff to be in attendance. Introductions, review the project scope, goals, and pre-agreed upon established timeline, and discuss roles and responsibilities for project resources. Establish communication channels and discuss access or technology that will be needed for the project. Create documentation for review and approval by the Unit.*

*Attendance of Key Vendor Staff*

- **We will ensure the presence of all key vendor staff required for successful project initiation, including:**
    - Project Manager
    - Technical Lead
    - Business Analyst
    - Key Development Personnel
- **Each team member will be introduced with a brief overview of their role in the project during the kick-off meeting, ensuring clear visibility of expertise and responsibilities.**

*Review of Project Scope, Goals, and Timeline*

- **Interactive Review**: During the kick-off meeting:
  - Present the agreed project scope and goals to ensure clarity and alignment.
  - Reconfirm the project timeline milestones, incorporating input from Unit staff to ensure feasibility and mutual understanding.
- **Documentation**: All discussed items, feedback, and adjustments will be captured in a structured format based on the provided project plan template.

*Discussion of Roles and Responsibilities for Project Resources*

- **Resource Mapping:**
  - We will present a resource map identifying roles for both vendor and Unit staff, clarifying individual responsibilities and points of contact.
- **Collaboration Agreements**: Establish agreed communication protocols for Unit and vendor teams to align expectations.

*Establishing Communication Channels*

- **Tool Selection:**
  - Microsoft Teams is our preferred tool for meetings and virtual collaboration. It ensures seamless communication between vendor and Unit staff and offers features like screen sharing, meeting recording, and chat functionalities to enhance coordination.
  - Azure DevOps will serve as the central tool for project tracking, task management, and issue resolution, providing full visibility into project progress.
- **Communication Plan:**
  - Define communication cadence (e.g., weekly status meetings, daily stand-ups as needed).
  - Assign owners for managing communication channels and responding to queries.
- **Documentation:**
  - Share a structured communication plan for approval, covering frequency, method, and audience for each type of update.

*Discussion of Development System and Azure DevOps Access*

- **Azure DevOps:**
  - Provide an overview of workflows for task management, issue resolution, and project progress tracking.
  - Schedule account setup for Unit staff to ensure timely access to the platform.
  - Schedule training sessions for Unit staff to familiarize them with Azure DevOps features and best practices.
- **Overview of Development Systems:**

  o Demonstrate access protocols to our development systems during the kick-off meeting. Provide clear documentation on accessing environments such as staging or testing platforms.

***Discussion of Access Needs for Sample Data Extracts***

- **Data Access Plan:**
    - o Outline the types of sample data extracts required (e.g., anonymized birth or death records).
    - o Share a secure transfer protocol (e.g., SFTP or encrypted file-sharing) for exchanging data.
- **Collaboration on Data Review:**
    - o Propose a joint data review session with Unit staff to validate extract formats and ensure usability in our systems.

***Final Steps***

- Summarize key outcomes from the meeting, including agreed timelines, defined roles, communication protocols, and data exchange requirements.

Seek formal sign-off from the Unit stakeholder on the documented outcomes to confirm mutual agreement

**ii Develop a Detailed Project Plan**

*The detailed project plan will outline the project goals, tasks, scope, deadlines, and deliverables, including the discussion of key project elements and finalization of details. A comprehensive, detailed project plan will be developed, maintained, and followed by the vendor throughout the project lifecycle. If a change is made to the plan following the initial signature, the plan must be reviewed and electronically signed by the selected Unit stakeholder.*

We will develop a comprehensive project plan that outlines the project goals, tasks, scope, deadlines, and deliverables to guide the project through its lifecycle. The plan will ensure that all project elements are finalized in collaboration with the Unit and maintained with any changes reviewed and signed off by the designated Unit stakeholder.

*a) Project Tasks*

The project tasks will be broken down into clear, manageable activities that ensure both the vendor and the Unit have defined roles and responsibilities.

- Tasks will be segmented into phases or stages (e.g., initiation, development, testing, deployment).
- Each task will have a designated owner, time commitment, and clear deliverables.
- Unit involvement will be outlined for resource planning, ensuring alignment and efficiency.

### b) Project Timeline

The project timeline will establish a structured schedule for all tasks and deliverables, ensuring adherence to pre-established deadlines.

- Start and end dates will be assigned to each task to promote accountability.
- Major milestones and dependencies will be clearly identified to track progress and avoid delays.
- Adjustments to the timeline, if needed, will be subject to formal review and approval.

### c) Project Resources

Resources will be allocated to ensure that the project is adequately supported by the right personnel, tools, and materials at each stage.

- Resource needs will be identified for each task, including personnel, training, and technical inputs.
- Both vendor and Unit responsibilities for resource allocation will be clearly defined.
- Training events and documentation, such as user manuals, will be integrated into the resource plan to support effective implementation.

### d) Regular Reviews and Assessments

Weekly reviews will be conducted to assess progress, address challenges, and incorporate stakeholder feedback to refine the project direction.

- Reviews will be scheduled using Microsoft Teams, fostering transparent communication with the Unit.
- Progress against the plan will be assessed, and corrective actions will be implemented as needed.
- Updates to the plan will follow a formal governance process to ensure transparency.

### e) Sign-Off Process

A structured sign-off process will formalize the acceptance of project deliverables and milestones to ensure mutual agreement at each stage.

- Criteria for sign-off will be mutually established during the planning phase.
- Deliverables will be reviewed by the Unit, with necessary adjustments completed before approval.

- Documentation of approvals will be maintained to provide an audit trail and ensure accountability.

**iii Develop a Risk Management Plan**

*The risk management plan will identify, evaluate, and plan for possible risks that may arise within the project so that risk-handling activities are prepared in advance mitigating adverse impacts on achieving objectives. The comprehensive risk management plan will be developed, maintained, and followed by the vendor throughout the project lifecycle. If a change is made to the plan or a risk is added following the initial signature, the plan must be reviewed, and the Unit must agree to risk mitigation efforts and the selected Unit stakeholder must electronically sign their agreement.*

We will develop a comprehensive risk management plan to proactively identify, assess, and mitigate potential risks throughout the project lifecycle. This plan will serve as a dynamic tool to ensure risks are systematically managed, protecting the project from adverse impacts. Any changes or additions to the plan after the initial approval will be reviewed collaboratively with the Unit and require electronic sign-off from the designated stakeholder.

*a) Risk Management Methodology*

Our methodology will employ industry-standard tools and approaches to ensure comprehensive risk management.

- Risk Identification: We will systematically identify potential risks through workshops, stakeholder consultations, and analysis of project dependencies.
- Risk Assessment: Each identified risk will undergo qualitative and quantitative evaluation to determine its potential impact and likelihood.
- Risk Mitigation: We will develop proactive strategies to address identified risks, including avoidance, reduction, and contingency planning, to minimize their impact on project outcomes.
- Risk Monitoring and Review: Scheduled meetings will provide opportunities to monitor risks, assess changes, and ensure mitigation responses remain effective.

*b) Risk Register*

A detailed risk register will be maintained as the central repository for documenting all identified risks.

- **The register will include comprehensive information for each risk, such as:**
  - Description: Clear articulation of the risk.
  - Likelihood: Probability of occurrence.

- o Impact: Potential effect on the project.
- o Category: Classification (e.g., technical, operational).
- o Owner: Assigned individual responsible for monitoring and mitigation.
- o Mitigation Strategies: Planned actions to address the risk.
- **The risk register will be regularly updated to reflect any changes in the project's context or the emergence of new risks.**
- **It will be accessible to all stakeholders to ensure visibility and facilitate collaboration on mitigation actions.**

*c) Risk Breakdown Structure*

We will create a hierarchical risk breakdown structure to organize and prioritize risks effectively.

- Risks will be grouped into categories, such as technical, operational, financial, and schedule-related risks, providing a clear overview.
- Each category will be analyzed and ranked to highlight high-priority risks that require immediate attention.
- The hierarchical structure will help in managing risks by focusing efforts on critical areas while maintaining a comprehensive view of the risk landscape.

*d) Risk Matrix*

A risk matrix will be developed to prioritize risks based on their likelihood and impact.

- The matrix will use a grid format to visually map risks, helping stakeholders quickly identify high-severity risks.
- Each risk will be assigned a score based on its probability and potential impact on the project's scope, timeline, and deliverables.
- The matrix will guide the allocation of resources and efforts to address the most critical risks first, ensuring project stability.

*Risk Plan Review and Maintenance*

To ensure the risk management plan remains actionable, it will be actively reviewed and updated throughout the project.

- Scheduled meetings will provide opportunities to discuss updates to the risk register and matrix.
- Any changes or newly identified risks will undergo a formal review and sign-off process to ensure accountability and transparency.

- The risk management plan will be integrated with the project plan, ensuring alignment and continuity in managing project objectives.

**iv Develop a Communication Plan**

*The communication plan will outline how important information will be communicated to stakeholders throughout the project. Determine who will be receiving the communication, how those people will receive it, when they will receive it, and how often they should expect to receive that information. The comprehensive communication plan will be developed, maintained, and followed by the selected Vendor throughout the project lifecycle. If a change is made to the plan following the initial signature, the plan must be reviewed and electronically signed by the selected Unit stakeholder.*

We will develop a comprehensive communication plan to ensure that important project information is effectively communicated to all stakeholders throughout the project lifecycle. This plan will detail who will receive communications, how and when they will be delivered, and how frequently stakeholders can expect updates. The communication plan will be actively maintained and updated as needed, with any changes requiring formal review and electronic sign-off by the designated Unit stakeholder.

*a) Target Audiences*

The communication plan will identify all relevant stakeholder groups and their specific communication needs.

- Stakeholders will be categorized into groups such as project team members, Unit staff, sponsors, clients, and external stakeholders.
- For each group, the type of information they need to receive (e.g., status updates, approvals, or risk assessments) will be outlined.
- A stakeholder directory will include contact details and roles to ensure efficient and targeted communication.

*b) Communication Objectives*

Each communication will have a clear objective aligned with the project's goals and stakeholder expectations.

- Objectives will include informing stakeholders of project progress, soliciting feedback, addressing risks or issues, and ensuring alignment with milestones.
- Communications will be designed to foster transparency, prompt action when needed, and keep all parties engaged.

- Specific goals, such as achieving sign-offs, resolving concerns, or updating timelines, will be documented for each communication.

## c) Communication Channels

Appropriate communication channels will be identified based on the target audience and the type of information being shared.

- Microsoft Teams is our preferred platform for virtual meetings, team collaboration, and discussions, offering features like screen sharing, chat, and recording capabilities.
- Email will be used for formal communications, such as progress reports, milestone updates, and approvals.
- Dashboards, presentations, and visual reports will be employed for sharing project metrics and summaries in a clear and concise manner.

## d) Communication Schedule

A structured schedule will determine the frequency and timing of communications for each audience.

- Regularly scheduled meetings (e.g., weekly or monthly) will keep stakeholders informed of ongoing progress and upcoming tasks.
- Timely updates will be provided at key milestones or whenever critical changes occur.
- A communication calendar will outline the timing for different communication types, ensuring consistent and predictable updates for stakeholders.

## e) Communication Responsibilities

Clear roles will be assigned to ensure accountability for delivering and receiving communications.

- The project manager will oversee the communication plan, ensuring it is followed and updated as needed.
- Team leads will be responsible for providing updates specific to their functional areas.
- Designated Unit staff will act as liaisons, facilitating feedback and approvals from their respective groups.

## f) Feedback Mechanisms

Feedback channels will be established to promote two-way communication and ensure stakeholder concerns are addressed.

- Surveys, virtual meetings, and feedback forms will allow stakeholders to share their perspectives and concerns.

- Regular review sessions will be held to discuss stakeholder input and incorporate changes into the project plan.
- A centralized tracking system will document feedback and actions taken, ensuring transparency and continuous improvement.

**v Develop a Staffing Management Plan**

*The staffing management plan will outline the human resource needs of the project and how those needs will be met. The comprehensive staffing plan will be developed, maintained, and followed by the selected vendor throughout the project lifecycle. If a change is made to the plan following the initial signature, the plan must be reviewed and electronically signed by the selected Unit stakeholder.*

We will develop a comprehensive staffing management plan to ensure that the project is supported by qualified personnel who can adapt to changes in workload and deliver project objectives effectively. This plan will detail the staffing process, roles and responsibilities, resource calendars, and performance management, ensuring clear alignment between vendor and Unit expectations. The plan will be actively maintained throughout the project lifecycle, with any changes requiring formal review and electronic sign-off by the designated Unit stakeholder.

*a) Staffing Process*

The staffing process will define how personnel needs will be met to maintain optimal service levels, even when changes in work volume occur.

- A proactive approach will be taken to ensure adequate staffing levels are maintained throughout the project lifecycle.
- Temporary and permanent staffing needs will be addressed promptly to avoid disruptions, with replacements for key personnel provided within ten business days if required.
- The process will include contingencies for handling urgent staffing gaps or critical vacancies to ensure continuity of services.

*b) Roles and Responsibilities*

The staffing management plan will clearly define the roles and responsibilities for all personnel involved in the project.

- Key and non-key personnel will be identified, with specific roles assigned to vendor staff, subcontractors (if applicable), and Unit staff.

- Responsibilities will be outlined for each role to ensure accountability and alignment with project tasks.
- Vendor team members will collaborate with Unit personnel to foster an integrated project environment.

### c) Resource Calendars

Resource calendars will provide a detailed view of the total hours and resource allocation required for each phase of the project.

- The calendars will specify the hours allocated to both vendor and Unit staff for each phase and the overall project.
- Updates to the calendars will reflect real-time project needs, ensuring resources are efficiently utilized without overloading personnel.
- Resource planning will incorporate considerations for training events, deliverables, and other critical activities.

### d) Background Checks

The plan will ensure that all personnel assigned to the project meet the highest standards of security and integrity.

- Written confirmation will be provided that all vendor staff have passed background checks before being assigned to the project.
- Background checks will also apply to any new staff members assigned during the contract, ensuring compliance with Unit requirements.

### e) Performance Issues

The plan will address how performance issues will be managed to maintain the highest standards of project delivery.

- The Unit will retain the right to raise concerns regarding the performance of vendor representatives.
- Vendor replacements will be identified and onboarded promptly to maintain project continuity.
- A structured performance evaluation process will be in place to address any issues collaboratively and minimize disruption to the project.

### f) Staffing Plan Changes

Procedures for managing changes to the staffing plan will ensure continuity and compliance with Unit expectations.

- The Unit will be informed of key personnel changes, with sufficient lead time provided to minimize impact on the project.
- In the case of a vacancy, replacements will be identified and onboarded quickly, ensuring they meet the requirements necessary for project success.
- We will work collaboratively with the Unit to select replacements that best meet the needs of the project and maintain alignment with its goals.

**vi Develop a Change Management Plan**

*The change management plan will outline the process for change management throughout the project lifecycle, such as how to submit a change request or how those requests are assessed. The comprehensive change management plan will be developed, maintained, and followed by the vendor throughout the project lifecycle. If a change is made to the plan following the initial signature, the plan must be reviewed and electronically signed by the selected Unit stakeholder.*

We will develop a comprehensive change management plan to effectively manage and control changes throughout the project lifecycle. This plan will outline how change requests are submitted, evaluated, authorized, managed, and documented to ensure transparency and alignment with project goals. Any changes to the plan following the initial approval will be reviewed collaboratively with the Unit and require electronic sign-off by the designated stakeholder.

*a) Change Management Process*

The process for managing changes will be structured to ensure every change is carefully evaluated and implemented efficiently.

- **Change Request Submission**: Change requests will be submitted using a standardized form to capture essential details, such as the reason for the change and its potential impact.
- **Impact Assessment**: Each request will be evaluated for its effect on project scope, timeline, resources, and deliverables.
- **Approval and Authorization**: Approved changes will be incorporated into the project plan and communicated to all relevant stakeholders to ensure alignment.
- **Implementation and Monitoring**: Once approved, changes will be implemented systematically, with ongoing monitoring to assess effectiveness and address any issues promptly.

*b) Roles and Responsibilities*

Clear roles will be assigned to ensure accountability throughout the change management process.

- **Change Manager**: Oversees the overall process and ensures that all requests are logged, reviewed, and acted upon in a timely manner.
- **Stakeholders and Subject Matter Experts**: Evaluate the impact of proposed changes and provide recommendations.
- **Decision-Makers**: Have final approval authority to ensure changes align with project goals and priorities.

### c) Change Request Form Template

We will provide a standardized template for submitting change requests to ensure consistency and clarity.

- The form will capture key details, including a description of the requested change, justification, impact analysis, and suggested mitigation strategies.
- A tracking ID will be assigned to each change request to facilitate tracking and reporting.

### d) Change Log Template

A change log will be maintained to document all submitted requests and their status.

- The log will record key information, such as the request date, description, status (e.g., pending, approved, rejected), and implementation timeline.
- This document will provide stakeholders with a clear overview of all changes and their impact on the project.

### e) Communication and Training

Effective communication and training are essential to ensure that all stakeholders understand and support the changes.

- **Stakeholder Communication**: Regular updates will be provided to inform stakeholders of upcoming changes, their purpose, and expected outcomes.
- **Training Programs**: Tailored training sessions will be conducted to equip team members with the necessary skills and knowledge to adapt to changes.
- **Feedback Channels**: Mechanisms will be established to gather stakeholder feedback, allowing for continuous improvement and addressing concerns promptly.

### f) Risk Management

Identifying and mitigating risks associated with changes is crucial to maintain project stability.

- **Risk Assessment**: Potential risks introduced by proposed changes will be evaluated, considering factors such as complexity, resource requirements, and impact on existing systems.

- **Mitigation Strategies**: Plans will be developed to address identified risks, including contingency measures to minimize potential disruptions.
- **Monitoring and Review**: Ongoing monitoring will ensure that risks are managed effectively, with regular reviews to assess the success of mitigation efforts.

## g) Post-Implementation Review

After implementing changes, a review will be conducted to evaluate their effectiveness and identify lessons learned.

- **Performance Evaluation**: Assess whether the change has achieved its intended objectives and its impact on project performance.
- **Stakeholder Feedback**: Collect input from stakeholders to understand their perspectives and experiences with the change.
- **Continuous Improvement**: Use insights gained to refine the change management process, enhancing its efficiency and effectiveness for future changes.

## vii Develop an Issue Management Plan

*The issue management plan will outline the process of identifying, tracking, and resolving issues that arise throughout the project lifecycle. The comprehensive issue management plan will be developed, maintained, and followed by the vendor throughout the project lifecycle. If a change is made or an issue is added to the plan following the initial signature, the plan must be reviewed and electronically signed by the selected Unit stakeholder.*

We will develop a comprehensive issue management plan to ensure that all project-related issues are identified, tracked, and resolved efficiently throughout the project lifecycle. The plan will outline processes for prioritizing, escalating, and communicating issues to maintain project momentum and quality. Any changes to the plan following the initial approval will be reviewed collaboratively with the Unit and require electronic sign-off by the designated stakeholder.

## a) Issue Management Process

A structured process will be implemented to prioritize, track, and resolve issues effectively.

- **Issue Identification**: Issues will be logged as they arise, with a detailed description of their origin, potential impact, and associated task or deliverable.

- **Issue Tracking**: Each issue will be assigned a unique identifier and tracked in a centralized system, such as Azure DevOps, for real-time visibility and updates.

- **Prioritization and Escalation**: Issues will be categorized and prioritized based on severity and urgency, with clear escalation procedures to ensure timely resolution.

- **Resolution and Closure**: Resolutions will be documented, and issues will be formally closed once resolved, ensuring accountability and learning for future reference.

## b) Roles and Responsibilities

Clearly defined roles will ensure accountability and efficiency in managing issues.

- **Issue Manager:** Responsible for overseeing the issue management process, ensuring all issues are logged and addressed promptly.

- **Team Members**: Assigned specific issues to investigate and resolve based on their expertise.

- **Stakeholders**: Involved in providing input and approvals for high-priority issues that impact project scope or deliverables.

## c) Impact Matrix

An impact matrix will be used to assess and prioritize issues based on their effect on project objectives.

- The matrix will categorize issues by their likelihood of occurrence and severity of impact on scope, schedule, resources, or quality.

- High-priority issues will be flagged for immediate attention, while lower-priority issues will be addressed in a controlled timeframe.

- The impact matrix will guide decision-making and resource allocation to ensure efficient resolution of critical issues.

## d) Communication and Escalation Pathways

Effective communication pathways will be established to keep stakeholders informed and involved in issue resolution.

- Scheduled Updates: Regular meetings will include discussions on current issues, their status, and plans for resolution.

- Escalation Protocols: Defined pathways will ensure that unresolved or critical issues are escalated to higher management or relevant stakeholders for prompt action.

- Transparency: Stakeholders will have access to issue logs and impact assessments to understand their role in the resolution process.

*e) Issue Log Template*

A standardized template will ensure consistent documentation and tracking of issues.

- The log will include fields for issue ID, description, category, priority, status, assigned owner, resolution, and closure date.

- Regular updates will keep the log current, providing stakeholders with visibility into the status of all issues.

- Historical logs will be maintained for auditing and lessons learned purposes.

*f) Risk and Issue Interconnection*

The issue management plan will align closely with the risk management plan to ensure a seamless approach to potential disruptions.

- Issues arising from identified risks will be cross-referenced in the risk register for holistic management.

- Trends in recurring issues will be analyzed to identify underlying risks and inform mitigation strategies.

- Collaborative reviews of both issues and risks will ensure alignment and proactive problem-solving.

*g) Post-Resolution Review*

Each resolved issue will be reviewed to evaluate the resolution process and identify opportunities for improvement.

- Lessons Learned: Insights from issue resolution will be documented and shared with the team to prevent similar issues in the future.

- Stakeholder Feedback: Input from stakeholders will help refine the issue management process for enhanced efficiency and transparency.

Continuous Improvement: The process will be updated based on lessons learned to enhance the plan's effectiveness.


# A.D Design and Configuration

*Please explain your company's approach to each of the following as it relates to design and configuration:*
- *System design;*
- *System design alignment with requirements;*
- *System configuration;*
- *Data warehousing capabilities; and*
- *How workflow, if available, is integrated into your solution. Ideally used throughout the solution to help guide users through the proper processes.*


### System Design

Our approach to system design prioritizes scalability, usability, and compliance with industry standards, employing a User-Centered Design (UCD) process to ensure the system meets the needs of its end-users effectively. By incorporating user feedback and adhering to best practices, we deliver solutions that align with user requirements, improve usability, and support long-term operational goals.

### User-Centered Design (UCD) Approach

- **User Research:**

  - We conduct extensive user research through interviews, surveys, and workshops to understand user goals, behaviors, and pain points. This ensures the system is tailored to address real-world challenges faced by its end-users.

- o User personas and use cases are developed to guide design decisions and ensure alignment with the target audience's needs.

- **Iterative Design:**

  - o Our design process includes iterative cycles of prototyping, testing, and refinement. Early design concepts, such as wireframes or mockups, are tested with users to gather feedback and ensure usability.

  - o Adjustments are made based on testing results, ensuring the system evolves with user input at each stage.

- **Collaboration with Stakeholders:**

  - o Regular workshops and design sessions are held with Unit staff and other stakeholders to validate design concepts and ensure they align with organizational goals.

*System Modularity and Scalability*

- **Modular Design:**

  - o The system architecture is designed with modularity in mind, allowing for seamless integration of additional components or third-party systems in the future.

  - o This flexibility supports system scalability, making it adaptable to evolving business needs without significant redevelopment.

- **Scalability:**

  - o The design considers scalability to handle increasing data volumes, user loads, and functional demands over time.

  - o Cloud-compatible architecture and load balancing mechanisms are incorporated to ensure the system remains performant under varying usage conditions.

*Focus on Usability and Accessibility*

- **Intuitive Interfaces:**

- We design user interfaces that are intuitive and easy to navigate, reducing the learning curve for new users and increasing productivity for experienced users.

- Visual workflows and step-by-step guidance are integrated to ensure users can complete tasks efficiently and accurately.

- **Accessibility Standards:**

  - The system adheres to accessibility guidelines (e.g., WCAG standards) to ensure inclusivity for all users, including those with disabilities.

  - Features such as screen reader compatibility, keyboard navigation, and adjustable font sizes are incorporated into the design.

*Compliance and Security*

- **Industry Standards:**

  - The system design aligns with relevant regulatory requirements and industry standards for security, data protection, and operational compliance.

  - Secure design principles, such as encryption, role-based access, and audit trails, are built into the system to protect sensitive information.

- **Integration Capabilities:**

  - APIs and middleware solutions are included to facilitate integration with existing systems, ensuring smooth data exchange and operational continuity.

*System Design Alignment with Requirements*

To ensure the system design aligns seamlessly with project requirements, we adopt a User-Centered Design (UCD) methodology, supported by a robust requirements tracking process using Azure DevOps. This approach ensures the design not only meets functional and technical specifications but also evolves effectively through agile/hybrid development cycles.

*Requirements Mapping and Validation*

- **Traceability in Azure DevOps:**

- Each requirement is mapped to user stories and tasks within Azure DevOps, ensuring comprehensive traceability from initial design through implementation and testing.

- User stories are linked to specific requirements, while tasks break down actionable steps needed to deliver functionality aligned with those requirements.

- Real-time tracking in Azure DevOps provides stakeholders with visibility into the status and evolution of requirements, ensuring alignment at every stage.

- **Stakeholder Engagement:**

  - Regular workshops and review sessions are held with Unit stakeholders to validate the alignment of design decisions with operational priorities.

  - Stakeholders are actively involved in reviewing user stories and prototypes, offering early feedback to refine requirements and ensure they remain relevant as the system evolves.

*Iterative and Agile/Hybrid Approach*

- **Prototyping and Testing:**

  - Low- and high-fidelity prototypes are developed and shared with stakeholders to evaluate how well the design addresses user stories derived from requirements.

  - User testing sessions are conducted to confirm that functional requirements are met and identify opportunities for improvement, reducing the risk of misalignment.

- **Task-Based Iterative Development:**

  - Development cycles follow an agile/hybrid approach, combining iterative deliveries with flexibility to accommodate formal documentation or review requirements.

  - Tasks in Azure DevOps are updated as requirements evolve, ensuring each iteration reflects stakeholder input and project goals.

  - Completed user stories and tasks are reviewed and validated during sprint reviews or milestone check-ins, ensuring alignment with requirements throughout the project lifecycle.

*System Configuration*

Our approach to system configuration ensures the system is tailored to meet the Unit's unique operational needs while maintaining scalability, usability, and alignment with design specifications. Leveraging a user-centered methodology and Azure DevOps, we provide a structured, collaborative, and efficient process that emphasizes flexibility and transparency.

*Configuration Process*

We employ a structured configuration process to customize system functionalities, including user interfaces, workflows, permissions, and reporting tools, to align with organizational requirements.

- **Customization:**

    o Configuration activities are designed to adapt to the Unit's specific operational needs without extensive coding.

    o Customization includes fine-tuning system settings, creating role-based access controls, and tailoring reporting and workflow functionalities to match organizational processes.

- **Task Management:**

    o All configuration activities are tracked in Azure DevOps, ensuring transparency and providing real-time updates on progress.

    o Tasks are broken into manageable components, documented with clear dependencies, and aligned with overall project milestones.

*Iterative and Collaborative Approach*

Our configuration process involves continuous collaboration and feedback to ensure outcomes align with user needs and project objectives.

- **Stakeholder Engagement:**

    o Interactive design sessions and walkthroughs with stakeholders are conducted to gather input, validate configurations, and refine settings.

- o Early prototypes of configurations are shared for review, providing opportunities for iterative feedback and incremental improvements.

- **Testing and Validation:**

  - o Configurations are rigorously tested in a staging environment to validate functionality, performance, and usability.

  - o Feedback cycles are integrated into the testing process, allowing for adjustments before deployment into production.

### *Data Warehousing Capabilities*

Axiell's Vital Records Management solution offers data warehousing capabilities, designed to support the secure and efficient storage, retrieval, and analysis of large volumes of vital records data. By leveraging cutting-edge tools like Azure Data Factory, our system ensures seamless integration, transformation, and management of data to meet the demanding needs of modern vital records management.

### *Seamless Data Integration*

- Our solution consolidates data from diverse sources, including on-premises systems, cloud platforms, and third-party applications, into a centralized and unified data warehouse.

- With the integration power of Azure Data Factory, we enable smooth and efficient data ingestion processes, ensuring all relevant data is accurately captured and available for reporting and analysis.

### *Data Transformation and Organization*

- Using advanced ETL (Extract, Transform, Load) processes, our system structures raw data into meaningful formats tailored for vital records workflows.

- Built-in automation ensures that data is cleansed, validated, and organized, enabling high-quality datasets that support accurate reporting and compliance requirements.

### *Scalability and High Performance*

- Our data warehousing solution is built to scale with your needs, accommodating growing datasets and increasing demands without compromising performance.

- Azure Data Factory's serverless architecture ensures that data processing adapts dynamically to workload changes, keeping the system responsive and efficient.

*Optimized for Advanced Analytics*

- Axiell's solution enables advanced reporting and analytics through integration with tools such as Azure Synapse Analytics, supporting actionable insights and data-driven decision-making.

- Whether generating trend analyses, compliance reports, or operational dashboards, our system provides the foundation for meaningful analytics to enhance vital records management.

*Reliable Workflow and Orchestration*

- Workflows powered by Azure Data Factory allow for seamless automation of data processes, from extraction and transformation to secure storage.

- Configurable scheduling ensures that critical processes like data synchronization and reporting run reliably and on time, supporting operational efficiency.

By combining Axiell's expertise in vital records management with the power of Azure Data Factory, our solution delivers a secure, scalable, and efficient data warehousing platform tailored to the unique needs of vital records systems.

*Workflow Integration*

Axiell's Vital Records Management solution incorporates robust workflow integration capabilities designed to streamline processes and enhance user productivity. Our workflows are thoughtfully embedded throughout the solution to ensure that users are guided seamlessly through critical tasks, fostering efficiency, accuracy, and consistency across the organization.

*Streamlined User Processes*

- Workflows are available throughout the system, accessible based on user roles and designed to account for the state of the record at any given time. Example workflows include, but are not limited to:
    - Regular certificate registrations
    - Amendments
    - Acknowledgment of Paternity (AOP) processing
    - Late registrations

- o Data checks on statistical outliers
- o Funeral home disposition approvals
- o Referrals to forensics
- o Cause of death certification
- o Permit issuance, including burial, cremation, or transit permits
- These workflows are designed to ensure users complete tasks efficiently and accurately while adhering to operational and regulatory requirements.

*Automation for Efficiency*

- Automated workflows trigger predefined actions and alerts, reducing the need for manual intervention and improving efficiency.
- Notifications and reminders ensure users stay on track, meet deadlines, and complete processes promptly.

*Enhanced User Experience*

- Workflows provide intuitive, step-by-step guidance, helping users navigate complex processes with confidence.
- Visual indicators, notifications, and progress tracking ensure users always know their next steps, creating a seamless and productive experience.

*Operational Visibility and Control*

- Built-in tracking and reporting tools allow managers to monitor workflow progress, identify bottlenecks, and optimize operational performance.
- Role-based access ensures users see workflows relevant to their responsibilities, enhancing focus and safeguarding sensitive information.

By embedding comprehensive, user-friendly workflows into Axiell's Vital Records Management solution, we empower your organization to streamline operations, maintain consistency, and improve user satisfaction. Our workflows are designed to adapt as your needs grow, ensuring that your processes remain efficient and aligned with organizational objectives.

**i Establish Review and Acceptance Process**

*Establish and utilize a deliverable review and acceptance process agreed upon by the Unit that incorporates the following:*

*a)      Review cycles, which will be conducted and scaled to size and complexity of the deliverables.*

*b)        Deliverables will need to reflect coordination with the overall modular system and will follow agreed upon change control processes.*

*c)        The vendor will be responsible for facilitating the change control process, which will allow the appropriate audience to determine priorities using a structured business value assessment process to measure both the effort to implement in hours and the benefits.*

*d)        Informal reviews and walkthroughs of draft and final deliverables are encouraged.*

*e)        Queueing up excessive deliverables for simultaneous review is unacceptable to the Unit.*

Our methodology to establish and execute a deliverable review and acceptance process is built on collaboration, structured evaluation, and transparency. Below is our detailed approach to each task outlined.

### *a) Review Cycles*

- **Scalable Cycles:**
    - Review cycles will be scaled to match the complexity and scope of each deliverable. Larger, more intricate deliverables will have extended cycles, including iterative feedback and refinement.
    - Shorter cycles will be applied for smaller, less complex deliverables to ensure efficient progression.
- **Structured Process:**
    - Each cycle will include key phases: initial draft submission, stakeholder feedback sessions, revisions, and final approval.

### *b) Coordination with the Modular System*

- **Alignment with Modular Design:**
    - All deliverables will be reviewed to ensure they align with the overall modular system design and meet integration and consistency requirements.
- **Pre-Agreed Change Control:**
    - Any changes required to maintain alignment with the modular system will follow a structured, pre-agreed change control process to minimize disruptions and ensure traceability.

### *c) Change Control Process*

- **Facilitating Change Control:**

- o As the vendor, we will manage the change control process, ensuring clear documentation and prioritization of change requests.

- **Structured Assessment:**
  - o Changes will be evaluated using a structured business value assessment that measures both the effort to implement (in hours) and the expected benefits.
  - o This structured approach allows stakeholders to make informed decisions and focus on high-priority items.

### d) Informal Reviews and Walkthroughs

- Encouraging Collaboration:
  - o Informal reviews and walkthroughs of draft and final deliverables will be encouraged to promote early feedback and collaborative refinement.
  - o These sessions provide stakeholders the opportunity to identify potential issues or propose adjustments before formal submission, reducing rework and enhancing quality.

### e) Avoidance of Excessive Queueing

- Balanced Submission Schedule:
  - o Deliverables will be submitted for review in manageable batches, respecting the Unit's capacity to provide timely feedback.
- Coordinated Approach:
  - o The submission schedule will be pre-coordinated with the Unit to ensure alignment with their review capacity and priorities, avoiding bottlenecks and maintaining project momentum.

**ii Develop a Requirements Traceability Matrix (RTM)**

*Provide accountability to project requirements by mapping out the relationship between requirements and project work. Prove that project requirements are met, provide a record of testing, issues, and completed items. Ensure that test cases are aligned with the needs of the project. The requirements traceability matrix shall be developed, maintained, and followed by the vendor throughout the project lifecycle. If a change is made to the matrix following the initial signature, the matrix must be reviewed and electronically signed by the selected Unit stakeholder.*

Our approach to developing and maintaining a Requirements Traceability Matrix (RTM) ensures accountability and alignment between project requirements and deliverables. The RTM will be a living

document, updated throughout the project lifecycle, and changes will be reviewed and signed electronically by the Unit's designated stakeholder to maintain consistency and traceability.

*Mapping Requirements to Work*

The RTM will map each requirement to specific project tasks, deliverables, and outcomes, ensuring clear visibility into how requirements are being addressed.

*Proving Requirements Are Met*

The RTM will serve as evidence that all project requirements have been fulfilled. It will include links to testing results, identified issues, resolutions, and sign-off documentation to demonstrate compliance with agreed-upon specifications.

*Testing and Alignment with Needs*

Test cases will be directly linked to the requirements within the RTM to ensure that all project testing is aligned with stakeholder needs. This alignment confirms that all deliverables meet functional and performance expectations, reducing the risk of overlooked requirements.

*Continuous Updates and Reviews*

As the project progresses, the RTM will be updated to reflect changes, additions, or refinements to requirements. Each update will go through a review process to verify its accuracy and relevance. Stakeholders will electronically sign off on these updates.


**iii Coordinate and Facilitate On-Site Requirements Gathering Session(s)**
*Discuss, clarify, and better understand the project's objectives, scope, and requirements. This meeting should be with the vendor's representatives and all relevant Unit project staff. Vendor to document requirements and provide to Unit for review and approval. Once the requirements are reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

Our approach to coordinating and facilitating on-site requirements gathering sessions ensures a collaborative environment for defining and validating the project's objectives, scope, and requirements. These sessions will include the vendor's representatives and all relevant Unit project staff to ensure alignment and clarity.

Objectives of the Requirements Gathering Session

*a) Requirements*

- Gather Detailed Information:
  - We will conduct structured discussions and workshops to gather comprehensive details for each system module.
  - Requirements will include functional, technical, and performance specifications tailored to the Unit's operational needs.

- **Documentation:**
  - All requirements will be meticulously documented using Azure DevOps, ensuring traceability and alignment throughout the project lifecycle.
  - The documented requirements will serve as the foundation for design, configuration, and deliverables.

*b) Feedback*

- **Stakeholder Engagement:**
  - Stakeholders' feedback will be actively solicited during the sessions to ensure the requirements reflect their needs and priorities.
  - This engagement includes open discussions, Q&A sessions, and reviews of draft requirements to refine and validate project objectives.

- **Continuous Refinement:**
  - Feedback collected during the sessions will be integrated into the documented requirements, ensuring accuracy and alignment with the Unit's expectations.

*c) Review and Approval*

- **Draft Submission:**
  - The documented requirements will be shared with the Unit for review and input.

- **Iterative Adjustments:**
  - Based on the Unit's feedback, adjustments will be made to refine the requirements before finalization.

- **Sign-Off Process:**
  - Once reviewed and confirmed, the finalized requirements will be submitted to the designated Unit stakeholder for formal approval, ensuring mutual agreement before moving to the next project phase.

**iv Develop and Submit an Application Configuration and Maintenance Plan to the Unit Prior to Beginning Configuration Activities**

*The key aspects of the plan should include the following:*

a)      *Approach to conduct design sessions or walkthroughs.*

b)      *Approach to conduct sprints or iterations.*

c)      *Configuration management.*

d)      *Release cycle.*

e)      *Tasks, timelines, and responsible parties for design and configure/build tasks.*

f)      *Approach to system enhancements.*

g)      *Programming and coding standards.*

We will develop a comprehensive Application Configuration and Maintenance Plan that addresses all aspects of system design, configuration, and maintenance. The plan will be submitted to the Unit for review and approval prior to beginning configuration activities, ensuring alignment with project objectives and operational needs.

*a) Approach to Conduct Design Sessions or Walkthroughs*

- **Collaborative Sessions:**
  - We will facilitate interactive design sessions with Unit stakeholders to gather detailed requirements for configuration. These sessions will focus on defining workflows, user roles, and permissions.
  - Walkthroughs of proposed configurations will allow stakeholders to validate design decisions and provide feedback prior to implementation.
- **Documentation:**
  - Each session will be documented in Azure DevOps to ensure traceability of decisions and requirements throughout the project lifecycle.

*b) Approach to Conduct Sprints or Iterations*

- **Sprint-Based Configuration:**
  - Configuration activities will be organized into sprints, each focusing on specific system modules or functionalities.
  - At the end of each sprint, stakeholders will review and validate configurations, ensuring incremental progress and alignment with project requirements.

- **Hybrid Approach:**
  - While leveraging agile principles, our approach remains adaptable to accommodate formal documentation or review processes required by the Unit.

## c) Configuration Management

- **Centralized Control:**
  - Configuration changes will be documented and tracked in Azure DevOps, ensuring transparency and accountability.
  - Version control will be implemented to maintain a detailed history of all configuration changes, supporting consistency across environments.
- **Testing and Validation:**
  - All configurations will undergo comprehensive testing in a staging environment to validate their functionality, performance, and alignment with requirements.

## d) Release Cycle

- **Phased Deployment:**
  - The configuration plan will outline a phased release cycle, ensuring minimal disruption during the transition from development to production.
  - Releases will follow structured phases: staging, validation, stakeholder review, and final deployment.
- **Regular Updates:**
  - Scheduled updates will ensure that the system remains aligned with evolving requirements and operational priorities.

## e) Tasks, Timelines, and Responsible Parties for Design and Configure/Build Tasks

- **Detailed Task Breakdown:**
  - The plan will include a comprehensive breakdown of tasks for design and configuration activities, clearly aligned with project milestones.
- **Accountability:**
  - Each task will be assigned to a specific owner, whether vendor team members, subcontractors, or Unit staff, ensuring accountability and clarity.
- **Timelines:**

- Realistic timelines will be established for each task, and progress will be monitored using Azure DevOps for transparency.

## f) Approach to System Enhancements

- **Structured Process:**
  - Future system enhancements will be handled through a structured change management process, ensuring alignment with project goals and minimal disruption.
  - Enhancement requests will be evaluated based on business value and feasibility, and approved changes will be integrated into subsequent sprints or releases.
- **Stakeholder Involvement:**
  - Stakeholders will be engaged throughout the process to prioritize enhancements and ensure they align with organizational needs.

## g) Programming and Coding Standards

- **Industry Best Practices:**
  - The plan will adhere to industry-standard programming and coding practices, ensuring maintainability, scalability, and security.
  - Standards will include modular coding, proper documentation, and compliance with data protection regulations.
- **Quality Assurance:**
  - Coding standards will be validated through code reviews and automated testing, ensuring reliability and consistency.

**v Establish and Utilize a Deliverable Review and Acceptance Process Agreed Upon by the Unit**

*The key aspects of the process should include the following:*

*a) Review cycles, which will be conducted and scaled to size and complexity of the deliverables.*

*b) Deliverables will need to reflect coordination with the overall modular system and will follow agreed upon change control processes. The vendor will be responsible for facilitating the change control process,*

*which will allow the appropriate audience to determine priorities using a structured business value assessment process to measure both the effort to implement in hours and the benefits.*

*c) Informal reviews and walkthroughs of draft and final deliverables are encouraged.*

*d) Queueing up excessive deliverables for simultaneous review is unacceptable to the Unit.*

Our deliverable review and acceptance process ensures transparency, collaboration, and alignment with the Unit's expectations. This structured approach includes the following key aspects:

*a) Review Cycles*

- **Tailored to Complexity:**
  - Review cycles will be scaled based on the size and complexity of each deliverable. Larger, more intricate deliverables will involve multiple iterative reviews to allow for detailed feedback and refinements.
  - Simpler deliverables will follow streamlined cycles to maintain efficiency and avoid unnecessary delays.
- **Structured Phases:**
  - Each cycle will include an initial submission phase, stakeholder feedback, iterative revisions, and final approval.

*b) Coordination with the Modular System and Change Control*

- **Alignment with the Modular System:**
  - Deliverables will be reviewed to ensure they integrate seamlessly with the overall modular system, meeting both design and operational requirements.
- **Facilitating Change Control:**
  - As the vendor, we will manage the change control process, prioritizing requests using a structured business value assessment. This will measure the effort to implement changes (in hours) against their expected benefits.
  - The structured approach ensures informed decision-making and alignment with project goals.

*c) Informal Reviews and Walkthroughs*

- **Encouraging Early Feedback:**
  - Informal reviews and walkthroughs will be conducted for draft and final deliverables to encourage early stakeholder feedback.
  - These sessions allow for collaborative refinement, minimizing the likelihood of substantial changes during formal review stages and improving the overall quality of deliverables.

*d) Avoiding Excessive Queueing*

- **Manageable Submission Batches:**
  - Deliverables will be submitted in manageable batches to prevent overwhelming the Unit's review capacity.
  - This approach ensures that each deliverable receives the necessary attention for thorough evaluation.
- **Coordinated Submission Schedule:**
  - Submission schedules will be planned in advance in collaboration with the Unit, ensuring alignment with their capacity and priorities.

**vi Configure Environments for Development, Testing, Training, and Production**

*Establish four (4) environments (development, testing, training, and production), ensuring that the development, testing, and training environments do not have access to live data. Establish each environment based on its specific needs. Establish strategies for managing data across environments. Employ automated deployment and configuration management tools and maintain consistent configurations across environments.*

Axiell's Vital Records Management System is designed to provide six distinct environments, operating concurrently, to support all phases of the system lifecycle. These environments ensure seamless operations for live use, development, testing, and training. Each environment is independently configured to prevent interference and maintain data integrity. The six environments are described below:

*1. Production Environment*

This environment is optimized for live operations, providing high availability, performance, and data integrity. It is the primary environment for end-users, supporting daily vital records management tasks, real-time transactions, and integrations with external systems.

*2. Release Environment*

The release environment is used to stage upcoming software releases and updates prior to deployment into production. It mirrors the production setup, allowing for final validations and readiness assessments of new features or enhancements.

*3. Hotfix Environment*

Dedicated to urgent bug fixes or minor updates that require quick validation before deployment. This environment allows for expedited testing and troubleshooting without impacting other development or production workflows.

*4. Validation Environment (Testing)*

This environment supports comprehensive testing, including integration testing, user acceptance testing (UAT), and regression testing. It mimics the production setup as closely as possible to ensure accurate validation of changes, updates, or new configurations.

*5. Alpha Environment (Development)*

The alpha environment is dedicated to initial development and experimentation with new features or configurations. It serves as a sandbox for developers to design, build, and refine system enhancements or customizations specific to project requirements.

*6. Training Environment*

This isolated environment is designed specifically for user training without affecting production or testing workflows. It enables users to gain hands-on experience with system functionality in a controlled setting.


*Strategies for Managing Data Across Environments*

Data isolation ensures that development, testing, and training environments are fully segregated from live data to maintain security and compliance. Anonymized or synthetic data is used in non-production environments to protect sensitive information. Controlled synchronization processes keep environments up-to-date with relevant configurations and settings from production, ensuring consistency while safeguarding sensitive data.


**vii. Complete Standard System Configuration**
*Implement the user interface design and enable all the designed functionality necessary to ensure that the system is configured and functioning properly. Conduct all necessary functions to achieve completion of standard configuration and administer testing to certify that all outcomes perform as intended. Once reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

We will complete the standard system configuration by implementing the user interface design and enabling all required functionality to ensure the system is fully operational and aligned with project requirements. Our team will execute all configuration activities necessary to achieve a functional system, including customizing features, workflows, and access controls as per the approved design specifications. Comprehensive testing will be conducted to validate that all outcomes meet performance expectations, covering functionality, usability, and integration within the system. The configured system will then be reviewed collaboratively with the Unit, incorporating any feedback to ensure it meets their expectations. Upon successful confirmation, the Unit's designated stakeholder will provide sign-off, marking the completion of the standard configuration phase.

**viii. Assist the Unit with Configuration of System**

*Provide documentation, training, support, and expertise to ensure that the system is configured and functioning properly. The completed system configuration must be tested by the vendor and perform as intended. Once reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

Our approach to assisting the Unit with the system configuration ensures a collaborative, transparent process where Unit staff are equipped with the tools, training, and support needed to complete their configuration tasks effectively. The system configuration will be tested thoroughly by the vendor to confirm functionality before being reviewed and signed off by the Unit.

*a) Identify All System Configuration Tasks for Unit Staff*

- **Responsibility Identification:**
  - We will identify and outline all configuration tasks that the Unit staff must complete, ensuring clarity on their responsibilities.
- **Documentation:**
  - A detailed list of tasks will be prepared and provided to the Unit in advance of configuration training, ensuring staff are fully informed and prepared.

*b) Provide Detailed System Configuration Instructions*

- **Step-by-Step Guidance:**
  - Comprehensive system configuration instructions will be delivered, detailing every aspect of the tasks assigned to the Unit staff.
- **Tailored Documentation:**

o The instructions will be customized to align with the Unit's specific system setup and operational requirements, ensuring usability and accuracy.

## c) Provide Training to Unit Staff

- **Hands-On Training:**
  o Training sessions will be conducted to equip Unit staff with the skills and knowledge needed to perform their assigned configuration tasks confidently.

- **Interactive Format:**
  o Sessions will include demonstrations, guided exercises, and opportunities for Q&A to address any questions or concerns.

- **Focus on Practical Skills:**
  o Training will emphasize hands-on application to ensure staff are comfortable with the configuration process.

## d) Assist the Unit with Configuration Tasks

- **Direct Support:**
  o Our team will provide direct assistance to Unit staff during the configuration process, as needed.

- **Problem-Solving:**
  o Assistance may include helping with software installation, setting up network configurations, or troubleshooting any issues that arise.

- **Collaboration:**
  o We will work closely with the Unit to ensure that tasks are completed accurately and efficiently.

## e) Complete a Quality Review

- **Thorough Validation:**
  o After configuration tasks are completed, we will perform a comprehensive quality review to verify the accuracy, completeness, and functionality of the setup.

- **Feedback and Adjustments:**
  o If necessary changes are identified, we will provide clear feedback and guidance to the Unit to implement adjustments.

- **Final Sign-Off:**
  o Once all adjustments have been made and the configuration is confirmed to meet requirements, the designated Unit stakeholder will provide formal sign-off, signifying readiness for the next phase.

**ix. Assist the Unit with User Role Determination**

*Ensure that users have the appropriate level of access to perform their tasks, while also safeguarding sensitive data and system functionality. Complete the user role determination and configuration. Vendor to review and confirm this functionality performs as intended. The necessary user role documentation must be provided to the Unit. Once reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

Our approach ensures the Unit receives comprehensive support in defining, assessing, and implementing user roles within the system. This process safeguards sensitive data while ensuring users have the appropriate level of access to perform their duties effectively. Once user roles are configured, their functionality will be thoroughly reviewed, and necessary documentation provided for ongoing management.

*a) Assist the Unit in Defining the Different User Roles*

- **Role Identification:**
    - o   We will assist the Unit in identifying distinct user roles within the system, ensuring that each role is tailored to specific responsibilities and operational needs.
- **Permission Design:**
    - o   Each user role will be configured with a defined set of permissions and access levels, aligned with its responsibilities, to prevent unnecessary or excessive access.

*b) Assist the Unit in Assessing the Needs and Requirements of Each User*

- **Needs Assessment:**
    - o   We will work closely with the Unit to evaluate the requirements of each user based on their job duties, responsibilities, and the information they need to perform their tasks.
- **Customized Access:**
    - o   This assessment will inform the design of permissions, ensuring that access levels are appropriate and consistent with organizational and security requirements.

*c) Assist the Unit in Determining User Assignments to Roles*

- **Guided Assignments:**
    - o   Using the defined roles and assessed user needs, we will guide the Unit in assigning users to their appropriate roles.
- **Safeguarding Security:**

o We will ensure that each user has sufficient access to perform their duties while safeguarding sensitive data and system functionality from unauthorized access.

### d) Provide the Unit with a User Role and Access Guide

- **Comprehensive Documentation:**
  - o A detailed user role and access guide will be provided, outlining the configuration, management, and adjustment of user roles and permissions.

- **Ongoing Support:**
  - o This guide will serve as a reference for maintaining accurate access control over time, enabling the Unit to adapt roles as operational needs evolve.

### x. Obtain Acceptance from the Unit on Design and System Configuration

*Engage the Unit throughout the design and configuration process, address any concerns or questions raised by the Unit, and gain their formal approval to proceed with the project's next phase. This includes providing configuration and role documentation, addressing concerns, demonstrating responsiveness to those concerns, obtaining formal sign-off, and documenting the next steps. Once all design and initial system configuration concerns have been mitigated and resolved and have been properly documented by the vendor, the selected Unit stakeholder will provide final sign-off.*

We will actively engage the Unit throughout the design and configuration process to ensure alignment, clarity, and satisfaction at every step. This will include providing comprehensive configuration and role documentation, addressing any concerns or questions raised, and demonstrating responsiveness through timely resolutions and transparent communication. All concerns and resolutions will be thoroughly documented to maintain a clear record of progress and decisions. Once all design and system configuration issues have been mitigated and resolved to the Unit's satisfaction, we will obtain formal sign-off from the designated Unit stakeholder, confirming readiness to proceed to the next phase of the project. Documented next steps will be shared to ensure all parties are aligned on the path forward.

# A.E Development and Testing

*Please explain your company's approach to each of the following as it relates to development and testing:*

*Testing;*

*Quality management;*

*Collaboration and acceptance process;*

*Release and known issue documentation; and*

*Any tool(s) used for testing and defect tracking.*

### Development and Testing

Below is our detailed response to each of the requested aspects.

### Testing

We adopt a comprehensive, multi-phase testing strategy to validate the system's functionality, performance, security, and usability.

- Unit Testing: Conducted during development to validate that individual components work as intended.
- Integration Testing: Ensures seamless interaction between modules, verifying that combined functionalities align with requirements.
- System Testing: Performed in a controlled environment to validate end-to-end workflows and identify issues in the overall system.
- User Acceptance Testing (UAT): Engages the Unit to confirm the system meets business needs. Test cases are executed collaboratively, and feedback is incorporated into final adjustments.
- Regression Testing: Conducted during iterations to ensure changes do not adversely affect existing functionality.

### Quality Management

Quality management is embedded at every stage to ensure compliance with project requirements and industry standards.

- Coding Standards: Development adheres to established coding best practices, ensuring maintainability and scalability.

- Peer Code Reviews: Regular reviews are conducted to identify and address potential issues early.
- Test Case Traceability: Test cases are derived directly from project requirements, ensuring full coverage and traceability.
- Automated and Manual Quality Checks: Automated tools and manual processes are used to verify system integrity, usability, and performance.
- Defect Management: Defects are prioritized by severity and resolved before progressing to the next phase.

### *Collaboration and Acceptance Process*

Collaboration with the Unit is integral to our methodology, ensuring alignment and stakeholder confidence.

- Iterative Feedback: Stakeholders are engaged early through design walkthroughs and iterative review sessions to validate functionality and gather input.
- User Acceptance Testing (UAT): UAT is conducted collaboratively with the Unit, executing test cases and documenting results. Discrepancies are addressed promptly to ensure stakeholder satisfaction.
- Structured Sign-Offs: At each milestone, a structured sign-off process ensures stakeholders have full visibility into the system's readiness before proceeding.

### *Release and Known Issue Documentation*

Clear and comprehensive documentation is prepared for each release to ensure transparency and alignment with the Unit.

- Release Notes: Document new features, resolved issues, and known issues with categorization by severity and impact.
- Known Issue Management: Timelines and resolution plans for known issues are clearly communicated, providing visibility and setting expectations.

### *Tools Used for Testing and Defect Tracking*

We leverage Azure DevOps as our central platform for managing testing and defect tracking. This tool provides a unified and transparent environment for tracking test cases, logging defects, and managing their resolution efficiently.

- Test Case Management: Azure DevOps enables the creation, execution, and monitoring of test cases, ensuring comprehensive coverage of all functional, integration, and regression tests.
- Defect Tracking: Defects are logged and tracked in Azure DevOps, with detailed descriptions, severity levels, and associated test cases. The platform provides real-time visibility into defect status, prioritization, and resolution progress.
- Collaboration and Communication: Azure DevOps facilitates seamless collaboration between development and testing teams, with automated notifications and updates on defect status. Stakeholders can access dashboards for real-time insights into testing progress and defect resolution.
- Integration with Development: Defects logged in Azure DevOps are directly linked to development tasks, ensuring that issues are addressed within the relevant context.

**i Complete all Necessary Custom Development**

*Complete custom development on all requirements that require custom development. Once the custom development is complete, has been tested by the vendor, and performs as intended it will be tested by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

Our methodology for completing custom development ensures alignment with the project requirements:

*Requirement Analysis*

- **Initial Assessment:**
  - We begin by analyzing the specific custom development needs in collaboration with the Unit, ensuring that all requirements are fully understood and documented.
- **Requirements Mapping:**
  - Each requirement is mapped to development tasks in Azure DevOps, providing traceability and transparency throughout the development lifecycle.

*Custom Development*

- **Design and Implementation:**
  - Custom development activities are designed using modular, secure, and scalable practices to ensure future adaptability and maintainability.
- **Collaboration with Stakeholders:**
  - Regular check-ins and demonstrations are conducted to validate that the development aligns with stakeholder expectations and project objectives.

*Internal Testing*

- **Multi-Phase Testing:**
    - Development undergoes rigorous internal testing, including unit testing to validate individual components, integration testing to ensure seamless module interaction, and system testing to confirm end-to-end functionality.
- **Defect Resolution:**
    - Any identified defects are logged and resolved promptly, with progress tracked in Azure DevOps to ensure accountability.

*User Acceptance Testing (UAT)*

- **Engaging the Unit:**
    - Once internal testing is complete, the deliverables are presented to the Unit for user acceptance testing.
    - The Unit executes predefined test cases to validate that the customizations meet functional and operational requirements.
- **Feedback Incorporation:**
    - Feedback from UAT is addressed iteratively, ensuring the final solution aligns with the Unit's needs and expectations.

*Sign-Off and Deployment Readiness*

- **Stakeholder Review:**
    - Following successful completion of all testing phases, the finalized customizations are reviewed collaboratively with the Unit.
- **Formal Approval:**
    - The designated Unit stakeholder provides formal sign-off, confirming readiness for deployment and integration into the production environment.

**ii Complete all Necessary Reports**

*Ensure all reports that are necessary and not created or adjusted by the Unit using the report builder tool, are completed, and tested by the vendor prior to go-live. The necessary reports will be completed and tested by the vendor and perform as intended. Once the reports are tested by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

Our approach ensures that all necessary reports are developed, tested, and ready for use prior to go-live. This process is designed to align with the Unit's requirements and operational needs while ensuring accuracy and functionality.

*Requirements Gathering*

- **Collaborative Design:**
  - We will work closely with the Unit to gather and document the requirements for all necessary reports that cannot be created or adjusted using the report builder tool.
  - Requirements will include data fields, formatting, filters, and other specifications to ensure the reports meet operational needs.

*Report Development*

- **Custom Report Creation:**
  - Reports requiring vendor creation or adjustment will be designed and developed using industry-standard best practices to ensure accuracy and usability.
  - Configurations will focus on aligning with the Unit's specific operational processes and compliance standards.

*Internal Testing*

- **Rigorous Testing:**
  - Each report will undergo internal testing for functionality, accuracy, and performance in a staging environment.
  - Data outputs will be validated against source data to ensure correctness, and usability testing will confirm the reports meet the intended use cases.

*User Acceptance Testing (UAT)*

- **Stakeholder Collaboration:**
  - Reports will be presented to the Unit for user acceptance testing, allowing stakeholders to validate their functionality and alignment with requirements.
  - Feedback will be collected during UAT and addressed iteratively to refine the reports as needed.

*Sign-Off and Deployment Readiness*

- **Final Review:**
  - After addressing feedback and completing all testing phases, the finalized reports will be reviewed with the Unit for confirmation.
- **Formal Approval:**
  - The designated Unit stakeholder will provide sign-off, confirming the reports are ready for deployment and operational use.

**iii Complete all Necessary Integrations (Interfaces, Imports, and Exports)**

*Establish connections, data exchange mechanisms, and protocols to ensure efficient and reliable information flow between the new system and all required external systems and services.*

*The system must support both current and future integrations, including ongoing batch imports of digitized records and images from the current and ongoing Vital Records Digitization Project. As new records are scanned, they must be automatically indexed and imported into the system for seamless access and archival utilization.*

*Convert all existing interfaces, imports and exports with changes as needed to integrate with the new system. The necessary interfaces, imports, and exports will be completed and tested by the vendor and perform as intended. Once the interfaces, imports, and exports are tested by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

*The system must support the ability to import and export data using common file types such as XML, JSON, CSV, XLSX, TXT, and PDF. These formats are specified in the technical specifications and functional requirements and must be supported for both standard and ad hoc data transfers, which may include complete or partial records. Additionally, the system must support FHIR messaging as required by CDC standards and interoperability guidelines*

Our approach ensures that all necessary integrations, including interfaces, imports, and exports, are established to facilitate efficient and reliable information flow. This process involves analyzing, converting, and validating existing integrations to align with the new system while adhering to best practices for secure and accurate data exchange.

*Requirements Analysis and Design*

- **Integration Requirements:**
  - We will collaborate with the Unit to gather and document requirements for all necessary interfaces, imports, and exports.

- o Each integration will be designed to ensure compatibility with the new system, aligning with the Unit's operational and compliance standards.
- **Existing Integration Analysis:**
  - o Integrations (current & future). We routinely build and maintain interfaces in JSON, XML, CSV, and IJE via REST/SOAP, aligned with HL7/FHIR as needed. This gives a flexible path for present and future partner systems.
    - ▪ Digitization / back-capture pattern. Our standard intake loads image files and ingests an accompanying index (from OCR/barcodes/flat files) to link images to the correct registrations. Where no registration exists, we can create a skeletal record from the index; where one exists, we augment the record (e.g., attach newly scanned documents). This pattern is supported by built-in scanning, image association to simple indexes or fully keyed records, and attaching new images to existing registrations.
  - o Existing interfaces, imports, and exports will be thoroughly analyzed to identify changes needed for alignment with the new system.
  - o Modifications will be documented and incorporated into the integration design to ensure a seamless transition.
  - o Our platform supports import and export in XML, JSON, CSV, XLSX (Excel), fixed-width TXT, and PDF for both standard and ad-hoc transfers. Agencies can choose complete datasets or select specific fields for partial extracts/imports as needed . For PDFs, we handle two cases:
    - ▪ Authored/text-layer PDFs become full-text searchable when saved as attachments.
    - ▪ Image-only (scanned) PDFs are treated as images; we load the file and ingest an accompanying index (e.g., from OCR/barcodes/flat files) to link pages to the correct registration, including association to a simple index or a fully keyed record.
  - Interoperability is delivered via HL7/FHIR where available, including FHIR messaging aligned with CDC/NCHS guidance (e.g., STEVE/VRDR use cases); we have production FHIR integrations in multiple jurisdictions (at the time of writing this applies to Death registrations, Births and Fetal Deaths are in progress).

*Implementation*

- **Secure and Standardized Protocols:**
  - All integrations will be implemented using secure, standardized protocols to ensure data accuracy, consistency, and security.
  - These protocols will support real-time or scheduled data exchange, depending on the Unit's operational needs.
- **Alignment with System Architecture:**
  - Integrations will be built to fit seamlessly within the new system's modular architecture, ensuring scalability and maintainability.

*Internal Testing*

- **Functional Testing:**
  - Each integration will undergo rigorous internal testing to validate its functionality, accuracy, and reliability.
  - Test scenarios will cover edge cases and stress conditions to ensure robust performance.
- **Data Validation:**
  - Data transferred through interfaces, imports, and exports will be cross-checked to confirm integrity and alignment with source and destination systems.

*User Acceptance Testing (UAT)*

- **Stakeholder Collaboration:**
  - After internal testing, integrations will be presented to the Unit for UAT to validate functionality under real-world conditions.
  - Feedback will be collected during UAT and addressed promptly to refine the integrations and ensure satisfaction.

*Sign-Off and Deployment*

- **Final Review:**
  - After addressing feedback and completing all testing phases, the finalized integrations will be reviewed with the Unit to confirm they meet all requirements.
- **Formal Approval:**
  - The designated Unit stakeholder will provide final sign-off, confirming the integrations are ready for deployment and operational use.

**iv Develop a Testing Plan**

*a) Outline the plan for testing the system's functionality, performance, compatibility, and integrations; including high-level tasks and timelines.*

*b) Develop, in collaboration with the Unit, a System Test Plan that describes the vendor's system testing approach and includes at a minimum each of the following:*

*c) Gather the Unit's feedback on content and functionality and make all necessary changes as requested to meet the needs of the Unit's requirements of the RFP on an agreed upon timeline.*

*d) The testing plan will be developed, maintained, and followed by the vendor. If a change is made to the plan following the initial signature, the plan must be reviewed and electronically signed by the selected Unit stakeholder.*

### a) System Functionality, Performance, Compatibility, and Integrations

Our testing plan will provide a comprehensive framework to validate the system's functionality, performance, compatibility, and integrations. High-level tasks and timelines will be outlined to align all testing phases with the project schedule. This includes:

- **Functionality**: Testing specific system functionalities to ensure they meet defined requirements.
- **Performance**: Validating system behavior under expected and peak loads to confirm reliability and scalability.
- **Compatibility**: Ensuring cross-platform compatibility and proper operation across different devices, browsers, and operating systems.
- **Integrations**: Confirming seamless operation of all interfaces, imports, and exports to maintain efficient information flow.

Each test phase will be mapped to deliverables to maintain focus, ensure traceability, and track progress throughout the lifecycle.

### b) System Test Plan

In collaboration with the Unit, we will develop a detailed System Test Plan that includes all required elements:

- **Test Coverage**: Comprehensive testing to ensure all functional, technical, and business requirements are addressed.
- **Walkthroughs and Inspections**: Regular reviews of test cases, scenarios, and outcomes to validate completeness and accuracy.
- **Entrance and Exit Criteria**: Clearly defined conditions for initiating and completing each test phase, ensuring readiness and success.

- **Configuration Management**: Tracking and maintaining system versions and changes during testing to ensure consistency and reliability.

- **Testing Documentation**: Detailed records of test cases, outcomes, and defect resolutions for traceability.

- **Process Steps**: Sequential steps for executing test cases systematically and efficiently.

- **Inputs and Outputs**: Defining the data required for testing and the expected outcomes to validate functionality.

- **Metrics and Pass/Fail Criteria**: Establishing measurable success criteria and strict thresholds for passing or failing test cases.

- **Suspension and Resumption Criteria**: Specifying conditions for pausing and resuming testing activities in case of issues.

- **Testing Deliverables**: Providing comprehensive test reports, defect logs, and validated configurations.

- **Testing Activities and Resource Role**s: Assigning responsibilities for all testing activities to ensure efficient execution.

- **Testing Tools**: Utilizing automated and manual testing tools to streamline processes and enhance accuracy.

- **Acceptance Criteria**: Ensuring no high or critical defects in production releases and a defect rate below 5% for open requirements.

*c) Unit Collaboration and Feedback*

- **Active Engagement**: We will work closely with the Unit to gather feedback on the testing plan's content and functionality.

- **Incorporating Feedback**: All requested changes will be integrated into the plan within an agreed timeline, ensuring alignment with Unit expectations and RFP requirements.

- **Validation**: Collaborative reviews will ensure the final plan meets all operational and compliance needs.

*d) Plan Maintenance and Approval*

- **Ongoing Updates**: The testing plan will be maintained and updated throughout the project to address any evolving requirements or project changes.

- **Approval Process**: Any updates to the plan will be reviewed collaboratively with the Unit and require electronic sign-off from the designated Unit stakeholder, ensuring transparency and alignment with project goals.

**v Execute and Evaluate Testing**

*Complete all necessary vendor led testing efforts. Conduct testing according to the defined plan and record results. Analyze test results to identify issues, defects, and areas that require improvement. Collaborate with developers to fix issues and address performance issues. The Unit reserves the right to conduct independent testing of the system at any time. The vendor must cooperate with the Unit or its designee, and provide environments, data, and technical support for independent testing. Once the necessary vendor led testing is complete, has been evaluated by the vendor, and performs as intended the Unit will review and confirm and the selected Unit stakeholder will provide sign-off.*

Our approach ensures that all necessary vendor-led testing is executed and evaluated in alignment with the defined testing plan. Throughout the process, we provide environments, data, and technical support for independent testing by the Unit or its designee. Once vendor testing is complete and validated, the Unit will review and confirm, culminating in sign-off by the designated stakeholder.

*a) Functionality*

- **System Validation:**
  - Comprehensive functionality testing will confirm that the system meets all Unit requirements and operates as intended.
  - Regression testing will verify that upgrades and changes do not adversely affect existing functionality.
- **Reliability Testing:**
  - Reliability testing will identify potential system weaknesses to minimize failures during deployment and operational use.

*b) Performance*

- **Module Testing:**
  - Each system module will be tested to ensure it meets expected performance standards under normal and high-demand conditions.
- **Load and Stress Testing:**
  - Load testing will simulate real-world traffic to confirm system stability, while stress testing will evaluate the system's ability to handle peak loads.
- **Failure and Recovery Testing:**

o Testing will include failure scenarios to identify breaking points and recovery testing to ensure the system can return to normal operation after disruptions.

*c) Compatibility*

- **Cross-Platform Validation:**
  - o Compatibility testing will ensure seamless operation across all required browsers, devices, platforms, and operating systems, including kiosks, card scanners, printers, mobile devices, and desktops.

- **Integration Testing:**
  - o Inbound and outbound interfaces will be tested to confirm accurate and secure data transmission.
  - o Coordination with the Unit and system component vendors will ensure all components are thoroughly tested and integrated.

*d) Security*

- **Penetration Testing:**
  - o Regular penetration testing will identify vulnerabilities and ensure the system remains secure against potential threats.

- **Security Audits:**
  - o Comprehensive audits will be conducted to validate compliance with data protection and cybersecurity standards.

*e) Accessibility*

- **Transparency and Collaboration:**
  - o We will provide the Unit with access to test cases, results, and defect tracking via an online tool, ensuring visibility and collaboration throughout the testing process.
  - o All testing artifacts and results will be available for inspection by the Unit at any time.

- **System Integration Testing (SIT):**
  - o The SIT environment will be fully operational before User Acceptance Testing (UAT) begins, enabling interface testing with the Unit as outlined in the Project Work Plan.

**vi Document Testing Results**

*Document testing results: summarize testing activities, testing results, and identify defects.*

*A detailed testing results report will be developed by the vendor. Once reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

Testing results will be tracked and recorded in Azure DevOps, ensuring real-time visibility, traceability, and seamless collaboration with the Unit.

*Testing Activities*

- **Comprehensive Reporting:**
  - All testing activities, including the scope of testing, methodologies used, and test cases executed, will be documented in detail within Azure DevOps.
  - The testing results report will summarize the objectives and scope of each phase, including functionality, performance, compatibility, security, and accessibility testing.

*Testing Results*

- **Clear Summaries:**
  - Testing results will include a breakdown of test case outcomes, with metrics such as pass/fail rates and test coverage percentages.
  - Results will highlight areas where the system meets expectations and identify any discrepancies for further evaluation.
- **Defect Tracking:**
  - All identified defects will be logged, prioritized, and tracked within Azure DevOps, with details on severity, status, and resolution progress.

*Defect Identification*

- **Categorization and Prioritization:**
  - Defects will be categorized by severity (e.g., high, medium, low) and linked to specific test cases or functionalities.
  - Prioritized resolution timelines will be included to ensure critical issues are addressed promptly.
- **Collaboration:**
  - Stakeholders will have access to Azure DevOps dashboards to view testing results and defect statuses in real-time.

*Review and Sign-Off*

- **Sharing Results:**
  - The testing results report, generated from Azure DevOps, will be shared with the Unit for review.

- **Feedback and Adjustments:**
  - Any necessary adjustments based on Unit feedback will be addressed collaboratively to ensure satisfaction with the testing outcomes.
- **Final Approval:**
  - Once the testing results meet expectations, the designated Unit stakeholder will provide formal sign-off, confirming the testing phase is complete.

**vii Assist the Unit with User Acceptance Testing (UAT)**

*The system must have a User Acceptance Testing (UAT) environment completed and fully accessible to users no later than twelve (12) consecutive months after the Kick-off meeting.*

*Assist the Unit with their User Acceptance Testing (UAT) efforts, from planning to execution to post-UAT support. The UAT will be completed, and all defects should be captured by the vendor. Once defects and mitigation plans are reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

We guarantee the UAT environment will be completed and fully accessible to users within twelve months of the kick-off meeting. All identified defects will be documented, prioritized, and resolved collaboratively, and once mitigation plans are reviewed and confirmed by the Unit, the designated stakeholder will provide sign-off.

*a) Assist the Unit in Executing the UAT Plan*

- **Guidance and Support:**
  - We will assist the Unit in executing the UAT plan by providing technical guidance, answering questions, and resolving any issues promptly.
  - Our team will ensure smooth testing activities, helping Unit staff navigate the system and address challenges as they arise.
- **Real-Time Assistance:**
  - Dedicated support will be available throughout the UAT phase to ensure minimal disruptions and successful test execution.

*b) Collaborate with the Unit to Capture and Document Identified Defects*

- **Comprehensive Documentation:**

- o Defects will be documented in collaboration with the Unit, including detailed descriptions, steps to reproduce the issue, and severity levels.
- o Each defect will be logged in Azure DevOps, ensuring transparency and real-time tracking of progress.

- **Validation:**
  - o All documented defects will be validated to ensure they accurately capture the issues identified during testing.

## c) Work with the Development Team to Prioritize and Resolve Defects

- **Defect Prioritization:**
  - o Defects will be prioritized based on their severity and impact, ensuring critical issues are addressed first.

- **Collaborative Resolution:**
  - o We will work closely with the development team to resolve defects efficiently, providing timely fixes and updates to maintain the project timeline.

- **Tester Feedback:**
  - o Continuous feedback will be provided to testers to confirm that fixes meet expectations before final resolutions are implemented.

## d) Provide the Unit with Defect Resolution Status

- **Regular Updates:**
  - o The Unit will receive regular updates on defect resolution status, including detailed reports outlining resolved issues, issues in progress, and pending resolutions.

- **Transparency:**
  - o Stakeholders will have access to Azure DevOps dashboards to monitor defect statuses and track progress in real time.

## e) Ensure the UAT Environment is Available Before UAT Scheduled Start Date

- **Environment Preparation:**
  - o The UAT environment will be fully configured, tested, and accessible prior to the scheduled start date, as specified in the Project Work Plan.

- **Validation:**
  - o The environment will be validated to ensure it meets operational requirements and provides a reliable platform for UAT activities.

**viii Obtain Acceptance from the Unit on Testing Results**

*Present the testing findings, address any concerns or questions raised by the Unit, and gain their formal approval to proceed with the project's next phase. This includes preparing and presenting a comprehensive testing report, addressing concerns, and demonstrating responsiveness to those concerns, obtaining formal sign-off, and documenting the next steps. All testing concerns must be mitigated and resolved and be properly documented by the vendor, the selected Unit stakeholder will provide final sign-off.*

A comprehensive testing report will summarize results, document defect resolution, and outline next steps. All critical concerns will be mitigated, and sign-off from the designated Unit stakeholder will signify readiness to move forward.

*a) Critical and High Defects*

- **Resolution Prior to Go-Live:**
    - All critical and high-severity defects identified during testing will be corrected before the system goes live, ensuring operational reliability and security.
- **Collaborative Remediation for Other Defects:**
    - For lower-priority defects, we will work collaboratively with the Unit to establish an agreed-upon remediation plan. This plan will document timelines and steps to address these issues post-go-live, ensuring they are resolved in a timely manner.

*b) Ensure the SIT and UAT Environments Are Available at Least Ninety-Nine Percent (99%) of the Time During the Project Testing Phase*

- **Environment Uptime:**
    - Both the System Integration Testing (SIT) and User Acceptance Testing (UAT) environments will be maintained with at least 99% availability throughout the testing phase.
- **Proactive Monitoring:**
    - Continuous monitoring and proactive issue resolution will ensure these environments remain accessible and operational, minimizing disruptions to testing activities.

*Presenting Testing Results*

- **Comprehensive Testing Report:**

- o A detailed report will summarize all testing activities, including test results, identified defects, resolutions, and outstanding issues.
- o Defects and resolutions will be logged in Azure DevOps, providing transparency and traceability for all stakeholders.
- **Stakeholder Collaboration:**
  - o We will present the findings to the Unit in a collaborative session, addressing any questions and concerns raised during the review.

*Mitigating and Documenting Concerns*

- **Responsive Resolution:**
  - o Any concerns raised by the Unit during the review of testing results will be addressed promptly, with mitigation strategies implemented to ensure satisfaction.
- **Documentation:**
  - o All testing concerns and their resolutions will be thoroughly documented, providing a clear record for future reference.

*Formal Sign-Off and Next Steps*

- **Stakeholder Approval:**
  - o After confirming that all concerns have been resolved or addressed, we will obtain formal sign-off from the designated Unit stakeholder.
- **Next Steps:**
  - o The next steps for the project will be clearly documented and shared with the Unit to maintain alignment and project momentum.

# A.F Data/File Migration

**i Develop a Data/File Conversion and Migration Plan**

*Provide details regarding how the vendor will conduct the data/file conversion and migration, such conversions and migration should include image and document file types as well. The comprehensive data/file conversion and migration plan will be developed, maintained, and followed by the vendor. If a change is made to the plan following the initial signature, the plan must be reviewed and electronically signed by the selected Unit stakeholder. Once the plans are reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

Our data/file conversion and migration methodology ensures a seamless transition from the current system to the new system while preserving data integrity, accessibility, and security. The comprehensive plan will cover all data, including image and document file types, and will be developed collaboratively with the Unit. Any changes to the plan will undergo review and electronic approval by the designated Unit stakeholder, ensuring alignment with project requirements. Final sign-off will confirm readiness to proceed.

### a) Data/File Conversion Process

- **Transformation Methodology:**
  - Data and files will be transformed from their existing formats or architectures to those required by the new system.
  - Automated tools and scripts will be utilized to ensure precision and consistency in data and file transformation.

- **Validation and Reconciliation:**
  - After transformation, validation steps will confirm the accuracy and completeness of all data types, including images and documents, ensuring alignment with system requirements.

### b) Data/File Migration Process

- **Secure Data Transfer:**
  - Converted data and files will be securely transferred from the current system to the new system in stages to minimize risks.

- **Incremental Validation:**
  - Each migration phase will include thorough testing and validation to confirm the integrity and completeness of the transferred data.
  - Post-migration verification processes will ensure that all data is operational and accessible in the new environment.

### c) Roles and Responsibilities

- **Defined Responsibilities:**
  - Clear roles will be assigned to vendor team members, subcontractors, and Unit staff for all conversion and migration tasks.
  - The vendor will oversee the technical aspects, including data transformation and migration, while Unit staff will assist with data validation and provide domain expertise.

- **Coordination:**
  - A centralized communication plan will ensure streamlined coordination and accountability among all involved parties.

### d) Tasks and Timeline

- **Detailed Task Plan:**
  - A comprehensive task list will outline all necessary activities, such as data extraction, transformation, validation, and migration.
  - Each task will have an assigned owner and a due date, ensuring accountability and adherence to the project timeline.
- **Milestones:**
  - Key milestones, such as data readiness, validation checkpoints, and final migration completion, will be tracked to ensure progress and alignment with project goals.

### e) Contingency

- **Obstacle Mitigation:**
  - Potential obstacles, such as data incompatibilities or interruptions during migration, will be anticipated and addressed proactively.
- **Rollback and Alternative Strategies:**
  - In the event of an unsuccessful cutover, rollback procedures will restore the original system state, and alternative migration strategies will be implemented to minimize downtime and maintain data integrity.
- **Continuous Monitoring:**
  - The migration process will include real-time monitoring to detect and address any issues promptly.

### ii Develop a Conversion Mapping Guide

*Develop a guide for the data/file conversion to transform data and files from one format or architecture to another, ensuring compatibility with the target system. Provide data layout documentation to the Unit. The detailed conversion and mapping guide shall be developed and followed by the vendor. Once the Guide has been reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

The guide will document every step, mapping, and process required for a successful conversion, ensuring alignment with the Unit's requirements. Once reviewed and approved by the Unit, the guide will serve as

the foundation for the data conversion process, with sign-off from the designated Unit stakeholder confirming its accuracy and readiness for implementation.

*a) Data Inventory*

- **Comprehensive Inventory:**
    - We will compile a detailed inventory of all data sources, file types, and formats involved in the conversion.
    - The inventory will describe data structures, field definitions, and relationships, ensuring every data element is accounted for.
- **Complex Elements:**
    - Unique or complex data elements requiring special handling will be identified and flagged for additional validation and attention.

*b) Data Mapping*

- **Detailed Mapping Strategy:**
    - The guide will include detailed maps showing how data elements in the old system correspond to fields in the new system.
    - Differences in data structures, field names, data types, and coding schemes will be addressed comprehensively.
- **Transformations and Calculations:**
    - Any required data transformations or calculations during conversion will be outlined, ensuring transparency and consistency in execution.
        c) Conversion Logic

- **Process Workflow:**
    - The guide will outline all steps in the conversion process, including data extraction from source systems, cleaning and validation, transformation and mapping, and loading into the new system.
- **Tools and Scripts:**
    - Tools, scripts, and software to be used for conversion will be documented, ensuring efficiency and traceability in the conversion workflow.
        d) Testing and Validation

- **Testing Procedures:**
    - Thorough testing procedures will ensure data accuracy and completeness post-conversion. Acceptance criteria for successful conversion will be clearly defined.

- **Error Handling and Reconciliation:**
  - Processes for identifying, handling, and resolving errors will be documented. Data reconciliation procedures will ensure alignment between source and target systems.

*e) Documentation*

- **Team Instructions:**
  - The guide will include detailed instructions for the conversion team, supported by screenshots, examples, and decision trees for complex mappings.
- **Assumptions and Known Issues:**
  - Assumptions, limitations, and known issues will be documented to provide clarity and ensure awareness among all stakeholders.

### iii Perform the Data/File Conversion and Migration

*Transform data and files from one format or architecture to another following the mapping guide so that it is compatible with the target system. Move all data and files to the new database(s).*
*Once the necessary data/file conversion and migration are complete, have been tested by the vendor, and perform as intended, and the Unit has tested and confirmed, the selected Unit stakeholder will provide sign-off.*

We will execute the data and file conversion and migration process with precision, following the detailed mapping guide to ensure compatibility with the target system. Using proven methodologies and tools, data and files will be transformed from their original format or architecture to meet the requirements of the new system. Once converted, all data and files will be securely migrated to the designated database(s). Comprehensive vendor-led testing will validate the accuracy, completeness, and performance of the migrated data. Following this, the Unit will conduct their own testing to confirm the data meets all requirements. Upon successful validation by the Unit, the designated Unit stakeholder will provide final sign-off, ensuring a seamless transition to the new system.

### iv Provide a Data/File Conversion and Migration Results Report

*Present key conversion metrics to the Unit and stakeholders using tables, charts, and graphs to visually represent the results. Highlight any potential concerns regarding the conversion process. Once a detailed conversion results report is developed, maintained, and followed by the vendor throughout the completion*

*of the Burn-in period, the report must be reviewed and confirmed, the selected Unit stakeholder will provide sign-off.*

This report will summarize the results of the conversion process, highlight any concerns, and provide detailed insights into the data migration. The report will be maintained throughout the Burn-in period, with updates provided as necessary. Once reviewed and confirmed by the Unit, the designated stakeholder will provide final sign-off.

### a) Number of Records Successfully Converted

- **Summary of Records:**
  - The report will document the total number of records successfully converted during the process, categorized by type, such as data entries, images, and documents.
- **Verification:**
  - The successful conversion will be cross-verified against the total number of records targeted for migration.

### b) Number of Records with Errors or Inconsistencies

- **Error Reporting:**
  - A detailed count of records with errors or inconsistencies will be included in the report.
- **Categorization:**
  - Errors will be categorized to identify the root causes and prioritize resolution efforts.

### c) Details of Data Discrepancies

- **Analysis and Documentation:**
  - Any data discrepancies encountered during the conversion process will be described, including their nature, causes, and the actions taken to resolve them.
- **Resolution Efforts:**
  - Steps for addressing discrepancies will be included, ensuring transparency and accountability.

### d) Performance Statistics of the Conversion Process

- **Efficiency Metrics:**
  - Performance statistics, such as processing time and resource utilization, will be documented to assess the efficiency of the conversion process.
- **Operational Insights:**

- o These metrics will offer insights into the performance of the tools and processes used during conversion.

### e) Additional Details or Supporting Documentation

- **Documentation:**
  - o Supporting materials will include:
    - Detailed data mapping tables showing the transformation of data elements.
    - Error logs with explanations of identified issues and their resolutions.
    - Summaries of the results for clarity.
    - System configuration logs to track the settings used during the migration.

## v Obtain Acceptance from the Unit on Data/File Conversion and Migration Results

*Present the final data migration results, address any concerns or questions raised by the Unit, and gain their formal approval to proceed with the project's next phase. This includes addressing concerns, demonstrating responsiveness to those concerns, obtaining formal sign-off, and documenting the next steps.*

### Obtain Acceptance from the Unit on Data/File Conversion and Migration Results

### Present Final Results

- **Comprehensive Presentation:**
  - o We will present the final data/file conversion and migration results in a clear and detailed format, summarizing all key metrics and findings from the process.
- **Transparency:**
  - o Detailed documentation will include summaries of records successfully converted, discrepancies resolved, and performance statistics to provide a complete view of the migration outcomes.

### Address Concerns and Questions

- **Responsive Communication:**
  - o Any concerns or questions raised by the Unit will be addressed promptly, with detailed explanations provided to ensure clarity and confidence.
- **Collaborative Resolution:**

- o   We will work closely with the Unit to resolve any issues identified, ensuring alignment with their expectations and project requirements.

*Obtain Formal Sign-Off*

- **Resolution and Documentation:**
  - o   All concerns and issues will be mitigated, resolved, and properly documented in alignment with the project requirements.

- **Stakeholder Approval:**
  - o   Once the results meet the Unit's expectations, the designated Unit stakeholder will provide formal sign-off, confirming acceptance of the migration outcomes.

*Document Next Steps*

- **Clear Transition Plan:**
  - o   The next steps for the project will be clearly documented, outlining tasks, timelines, and responsibilities for the subsequent phase.

- **Alignment and Momentum:**
  - o   This documentation will ensure all stakeholders are aligned and prepared for a smooth transition to the next stage of the project.

# A.G Testing

**i Coordinate and Facilitate On-Site Training Instruction**

*NOTE: On-site training to be provided one to two months prior to go-live.*

*Provide users and administrators with train-the-trainer system training on-site, including general use, reporting, report writing, database administration and modification, descriptions/definitions of all database tables and fields (including possible field values), record management and modification, and other key topics requested by the Unit.*

*Vendor shall plan to have all key staff on-site throughout the duration of the vendor-led training session. All corresponding training materials and notes will be provided to the Unit for internal, external, and system admin users.*

*The vendor will inform the Unit of any equipment needed to implement hands-on training.  Vendor should utilize a variety of delivery methods including online self-paced training presentations, in-person classroom instruction, written material, and demonstrations.*

To ensure the Unit is well-prepared for go-live, we will deliver on-site training one to two months prior to launch, focusing on both user and administrative functions.

- **Train-the-Trainer Model:**
  - Our training will emphasize a train-the-trainer approach, equipping key Unit personnel with the knowledge to train their teams effectively.
  - Key vendor staff will be on-site throughout the sessions to provide hands-on instruction, answer real-time questions, and ensure smooth delivery of materials.

- **Delivery Methods:**
  - A combination of in-person classroom instruction, written materials, and hands-on demonstrations will cater to diverse learning preferences.
  - The Unit will be informed of any equipment needs in advance to facilitate effective hands-on training.

- **Training Materials:**
  - Comprehensive training materials, including written guides, notes, and instructional presentations, will be provided for internal, external, and system administrator users.

*a) Overview and Navigation of the Selected System*

- Training will include a detailed overview of the system, ensuring users understand its structure, workflows, and key navigation elements.

*b) End-to-End Role-Based Training*

- Role-based instruction will cover end-to-end processes, including system administration tools and any potential third-party functionality, ensuring all users understand their specific responsibilities and capabilities.

*c) Vendor Support Channel Processes*

- Users will be trained on how to engage vendor support channels for assistance with troubleshooting, feature requests, or ongoing questions.
  d) System Upgrade Training

- System upgrade training will be provided whenever new functionality is introduced, ensuring users remain informed and capable of leveraging system enhancements effectively.

*d) Feedback and Supplemental Training*

- **Survey and Feedback:**
    - We will await the results of the Unit-conducted feedback survey, which will assess the effectiveness of the training sessions.
    - Should the survey indicate any shortfalls, we will promptly provide supplemental training—on-site or remote—at no additional cost to address identified gaps.
- **Formal Sign-Off:**
    - Once the survey confirms the training meets the required standard and any supplemental needs have been addressed, the Unit stakeholder will provide formal sign-off, marking the successful completion of the training phase.

**ii Provide Online Reference Training Materials for Administrator and User Manuals**

*Vendor to provide users with training documentation including system features, feature definitions, functionality, configuration, options, and step-by-step instructions describing how to implement changes to the current configuration. The Unit should have 24x7 access to all reference materials (e.g., Requirements Matrices, Manuals, System Documentation, System Design Documentation, User Documentation, Business Rules Catalog, and Training Materials) and the vendor will update all project documentation as necessary throughout all phases of the project. Training materials for DHHS-led training must be received by the Unit for review and approval in accordance with the appropriate date as agreed upon in the Project Plan and within a timeframe that corresponds with scheduled training. Changes to previous version must be identified for ease of review of the changes.*

*A complete set of training materials and documentation will be developed and maintained by the vendor. The materials and documentation must be reviewed by the Unit and electronically signed by the selected Unit stakeholder.*

We will deliver a comprehensive set of training materials and user manuals designed to empower administrators and users to effectively operate and manage the system. All training materials and documentation will be placed online, ensuring 24/7 accessibility for the Unit throughout the project lifecycle and into the maintenance period. Below is our detailed approach to each aspect of the **documentation.**

*a) Operations Manuals*

- **Comprehensive Guidelines:**
  - Provide guidelines for the operation and use of the system, including policies, processes, and workflows for all system components.
  - Ensure clarity for both routine and advanced system functionalities.

*b) Data Dictionary*

- **Detailed Definitions:**
  - Include definitions for field formats, database names, descriptions, table structures, field types and lengths, valid values, and their corresponding descriptions.
  - Provide clarity on database relationships and dependencies to assist users and administrators.

*c) Step-by-Step Procedures*

- **Clear Instructions:**
  - Offer detailed, step-by-step procedures for completing key system functions.
  - Focus on accessibility for users of varying technical skill levels to ensure ease of use.

*d) System Documentation*

- **Technical Specifications:**
  - Document the specifications for each system environment, including development, testing, and production setups.
  - Provide process details for system upgrades and other relevant technical operations.

*e) User Manuals*

- **Functional Guidance:**
  - Explain the purpose and operation of the system and its components for each major program, business process, or functional area.
  - Include instructions that address both routine and advanced operations.

*f) Acronyms*

- **Consistency Across Documentation:**
  - Ensure acronyms are consistent across user instructions, windows, screens, reports, and the data element dictionary.

*g) System Navigation and Policies*

- **Navigation Guidance:**

> o   Include clear instructions for navigating the system and understanding policies and procedures.

## h) Online Access

- **24/7 Availability:**
    - o   Ensure all documentation is placed online and remains accessible to the Unit throughout the project lifecycle and into the maintenance period.

## i) Printable Manuals

- **Optional Print Format:**
    - o   Provide the ability to produce printable versions of the training manuals upon request for those who prefer hard copy references.

## j) Version Control

- **Document Management:**
    - o   Maintain historical versions of all documentation using version control.
    - o   Clearly identify revisions to facilitate easy tracking and review of changes.

## k) User-Friendly Materials

- **Designed for Novices:**
    - o   Write and organize materials so that novice users can learn how to access online windows/screens, read reports, and perform all other user functions effectively.

## l) Table of Contents and Index

- **Navigation Aids:**
    - o   Include a detailed table of contents and an index in all user manuals for easy navigation and quick access to relevant sections.

## m) Error Messages

- **Corrective Guidance:**
    - o   Document all error messages with clear descriptions and step-by-step instructions for resolution.

## n) Consistent Abbreviations

- **Standardization:**
    - o   Ensure all abbreviations are consistent throughout the documentation for clarity and ease of understanding.

## o) Report Descriptions

- **Comprehensive Report Details:**
  - Include a section for system-generated reports, detailing:
    - A narrative description of each report.
    - The purpose and functionality of each report.
    - Definitions of all fields, calculations, subtotals, and totals.
    - Definitions of user-defined, report-specific codes.
    - Sample pages of representative reports.
    - Instructions for requesting reports, including examples of input documents/screens.
    - Clear instructions for making online updates and detailing which data and files are being modified.

### iii Obtain Acceptance from the Unit on Training Results

*Vendor to present training results, address any concerns or questions raised by the Unit, and gain their formal approval to proceed with the project's next phase. Once all training concerns are mitigated and resolved and properly documented by the vendor, the selected Unit stakeholder will provide final sign-off.* Our approach ensures that training results are presented transparently, concerns raised by the Unit are promptly addressed, and formal approval is secured to proceed with the next project phase. Below is our detailed response to each aspect.

### Present Training Results

- **Comprehensive Summary:**
  - We will present a detailed summary of training outcomes, including key accomplishments, feedback from participants, and the effectiveness of the sessions.
  - The summary will cover all topics addressed during the training to ensure alignment with the Unit's expectations.
- **Feedback Incorporation:**
  - Participant feedback collected during and after training will be summarized to highlight successes and areas requiring additional attention.

### Address Concerns and Questions

- **Engagement with the Unit:**
  - We will engage directly with the Unit to address any concerns or questions raised during or after the training sessions.

- **Mitigation and Resolution:**
  - Any gaps or issues identified will be promptly mitigated, and resolutions will be thoroughly documented for transparency and accountability.

- **Supplemental Training:**
  - If necessary, additional training sessions or materials will be provided to ensure all participants are confident and prepared to utilize the system effectively.

*Formal Sign-Off*

- **Stakeholder Approval:**
  - Once all concerns have been addressed and documented to the satisfaction of the Unit, formal approval will be obtained from the designated stakeholder.

- **Confirmation of Readiness:**
  - This sign-off will confirm that the training phase has met its objectives and that the project is ready to advance to the next phase.

# A.H Implementation

*The system must have a production environment completed and fully accessible to users no later than fifteen (15) consecutive months after the Kick-off meeting.*

Our implementation approach ensures the system is fully operational and accessible to users no later than fifteen months after the kick-off meeting. The process is structured to ensure transparency, efficiency, and alignment with the Unit's requirements. Below is our methodology for addressing each key aspect of implementation.

*Change Management*

Structured Change Control Process: Changes during the implementation phase will be managed using a structured process that includes submitting change requests, evaluating impacts, and gaining stakeholder approval. All changes will be logged and tracked using Azure DevOps, ensuring transparency and accountability.

Categorization and Risk Assessment: Changes will be categorized as standard, normal, or emergency to streamline prioritization and resource allocation. A thorough risk assessment will be conducted for each

change to understand potential impacts and develop mitigation strategies.

Stakeholder Engagement: Regular updates will be provided to the Unit to ensure they are informed of all changes, their status, and associated impacts, ensuring effective communication and collaboration.

Documentation: Comprehensive documentation will be maintained for all changes, facilitating clear communication and accountability among all stakeholders.

### *Issue Management*

Proactive Issue Tracking: Issues identified during implementation will be logged, categorized, and prioritized in Azure DevOps, providing real-time visibility to stakeholders.

Root Cause Analysis: For each issue, we will perform a detailed root cause analysis to identify underlying problems, preventing recurrence and improving overall system stability.

Resolution Process: Each issue will be assigned an owner responsible for resolution, with clear timelines for addressing high-priority and critical issues. Collaboration with stakeholders will ensure efficient resolution and alignment with project goals.

Regular Review: Regular meetings with the Unit will review open issues, discuss their resolutions, and evaluate potential risks to the implementation schedule.

### *Defect Management*

Comprehensive Defect Tracking: Defects identified during testing and implementation will be tracked in Azure DevOps, including detailed descriptions, severity levels, and resolution timelines. The defect lifecycle will be managed systematically, from identification to closure.

Prioritization and Prevention: High and critical defects will be prioritized and resolved before go-live to ensure system stability. Preventive measures, such as code reviews and automated testing, will reduce the introduction of defects.

Continuous Feedback and Metrics: The Unit will receive regular updates on defect resolution progress. Metrics will monitor defect trends and measure the effectiveness of resolutions, enabling continuous improvement and transparency.

### *Process for Monitoring Initial Operation of the Implemented System*

Burn-In Period Monitoring: A formal burn-in period will follow implementation, during which the system's performance and reliability will be closely monitored. This will include automated tools for real-time monitoring of performance metrics and system health.

Real-Time Alerts and Feedback Mechanisms: Automated alerts will be configured to flag anomalies early, while user feedback mechanisms will allow end-users to report issues or provide suggestions for

improvement.

Post-Implementation Review: At the conclusion of the burn-in period, a detailed review will be conducted to evaluate system performance, identify lessons learned, and plan for future enhancements.

Dedicated Support: A dedicated support team will be available to address any issues promptly, ensuring operational continuity and stakeholder satisfaction.

*Implementation*

Single Deployment Strategy: Implementation will involve a direct deployment of the production environment, ensuring all components are fully configured and operational before the go-live date.

Readiness Validation: Rigorous testing in the production environment will confirm system readiness, ensuring all components function as expected.

Collaboration and Transparency: Regular updates and meetings will ensure the Unit is informed and engaged throughout the implementation process.

Timely Delivery: By adhering to a structured project timeline and proactively addressing risks, we ensure implementation is completed within the required fifteen months.

By addressing all aspects of implementation—change management, issue management, defect management, initial operations monitoring, and the implementation process itself—we deliver a reliable and user-friendly system that meets the Unit's requirements and deadlines.

**i Perform and Complete all Aspects of the Implementation.**

*This is a comprehensive function encompassing the entire process of bringing the system online and operational.*

*After the system is implemented and delivers the desired functionalities, all concerns are mitigated and resolved, it is fully operational, and has been properly documented by the vendor, the selected unit stakeholder will provide final sign-off. As such, there shall be a transition to the system being officially and formally available in the production environment for all internal and external users.*

To perform and complete all aspects of the implementation, we follow a comprehensive and structured approach to ensure the system is fully operational, meets all specified requirements, and is ready for use by internal and external users. This process ensures a successful transition to the production environment with stakeholder satisfaction and formal approval.

*Planning and Preparation*

- **Detailed Implementation Plan:**
  - Develop a step-by-step plan outlining all activities required for implementation, including timelines, responsibilities, and dependencies.
- **Resource Alignment:**
  - Ensure all necessary resources, including technical personnel, tools, and documentation, are in place to support a smooth implementation.
- **Stakeholder Engagement:**
  - Regular updates and communication with the Unit ensure alignment on goals, expectations, and readiness for implementation.

System Deployment and Configuration

- **Production Environment Setup:**
  - Deploy and configure the system in the production environment to align with agreed functional and technical specifications.
- **Validation:**
  - Perform rigorous testing in the production environment to confirm all system components function as intended.

Testing and Validation

- **System Testing:**
  - Comprehensive system testing validates the functionality, performance, and security of the system.
- **User Acceptance Testing (UAT):**
  - Collaborate with the Unit to conduct UAT, ensuring the system meets business needs and user expectations.
- **Issue Resolution:**
  - Address any concerns or defects identified during testing to ensure the system operates seamlessly.

*Mitigation of Concerns*

- **Proactive Issue Management:**
  - Use Azure DevOps to track, prioritize, and resolve any issues that arise during implementation.
- **Final Validation:**

- o Ensure all concerns are mitigated and resolved before transitioning the system to the live environment.

**Documentation and Training**

- **Comprehensive Documentation:**
  - o Provide user guides, technical manuals, and configuration details to support ongoing system use and maintenance.

- **Training Support:**
  - o Ensure all internal and external users are equipped to use the system effectively through thorough training.

*Transition to Production*

- **Stakeholder Approval:**
  - o Coordinate with the Unit to finalize the implementation process, including obtaining formal sign-off from the designated stakeholder.

- **Go-Live:**
  - o Officially transition the system to the production environment, making it fully available to all internal and external users.

**ii Go-Live**

*Preparation for Go-Live*

- **Thorough Testing and Validation:**
  - o All system functionalities are rigorously tested and validated prior to Go-Live to ensure they meet functional and technical specifications.

- **Issue Resolution:**
  - o All identified issues and defects are tracked in Azure DevOps and resolved prior to the transition to production.

- **Strategic Cutover Planning:**
  - o A strategic date for the cutover will be identified in collaboration with the Unit to minimize disruption. For example, planning Go-Live over a long weekend can provide additional time to address any initial operational issues.

*Support During Go-Live*

- **Real-Time Monitoring:**
  - Our team monitors system performance in real-time during the transition to promptly identify and address any emerging issues.
- **On-Site Support:**
  - Key members of our team will be on-site during the Go-Live phase to provide hands-on assistance, address any last-minute challenges, and ensure the system transitions smoothly into full production.
- **Assisting the Operations Team:**
  - We will assist the operations team in preparing for the system cutover, including validating readiness, supporting final checks, and ensuring all necessary resources are in place for a successful transition.
- **Stakeholder Engagement:**
  - Regular communication keeps stakeholders informed and engaged throughout the Go-Live process.

*Immediate Post-Go-Live Support*

- **On-Site Assistance:**
  - Key members of our team will remain on-site following Go-Live to provide immediate support, address any post-deployment issues, and assist users as they adapt to the new system.
- **Proactive Monitoring:**
  - Real-time monitoring tools will continue to track system performance, quickly identifying and addressing any anomalies or concerns.
- **Feedback and Adjustments:**
  - Feedback from users and stakeholders will be actively solicited and incorporated into ongoing improvements during the initial post-Go-Live period.

*Finalization*

- **Validation of Operational Stability:**
  - Once the system is fully operational and stable in the production environment, its readiness is validated against agreed-upon criteria.

**iii Assist the Unit with On-Site Implementation Assistance for Go-Live Week.**

*Provide the Unit with on-site implementation assistance for go-live week with hands-on support during the critical period when the system transitions into full operation.*

Our approach ensures that the Unit receives comprehensive on-site support during Go-Live Week to facilitate a seamless transition to full system operation. By providing real-time assistance, issue resolution, and collaboration with stakeholders, we ensure the system remains functional, stable, and ready for long-term use.

### a) Go-Live Week Support

- **System Monitoring and Technical Issue Resolution:**

    - Our team will actively monitor system performance during Go-Live Week, promptly identifying and resolving any technical issues that arise.

    - Critical system metrics will be tracked to ensure stability and performance.

- **User Assistance:**

    - Hands-on support will be provided to users, assisting them with system navigation, troubleshooting, and any immediate concerns.

    - Common user challenges will be addressed in real time to ensure productivity during the transition.

- **Feedback and Escalation:**

    - Feedback and questions from users will be systematically documented to inform post-launch analysis and improvement efforts.

    - Any significant issues will be escalated to relevant teams for rapid resolution to minimize disruption.

### b) Vendor On-Site Presence

- **Key Staff Availability:**

- o Key vendor staff will remain on-site throughout the entire Go-Live Week, providing immediate support for any issues or concerns.

- o This hands-on presence ensures operational continuity and fosters user confidence during the transition.

- **Commitment to Additional Assistance:**

  - o In the event of substantial unresolved issues, such as those affecting DHHS business operations, we are committed to extending on-site assistance at no additional cost to the State.

  - o This ensures that all critical operational needs are fully addressed.

*c) Final Sign-Off*

- **Resolution Documentation:**

  - o Once all concerns identified during Go-Live Week have been mitigated, resolved, and properly documented, a comprehensive report will be presented to the Unit for review.

- **Stakeholder Approval:**

  - o Upon confirmation that all issues have been addressed to the Unit's satisfaction, the designated Unit stakeholder will provide formal sign-off.

  - o This sign-off marks the successful completion of the Go-Live Week and the system's readiness for stable, full operational use.

**iv Obtain Acceptance from the Unit on Implementation Results.**
*Present implementation results, address any concerns or questions raised by the Unit, and gain their formal approval to proceed with the project's next phase. This includes gathering feedback, demonstrating the achieved benefits, and addressing any remaining concerns.*
*Once the system has been successfully implemented, all concerns are mitigated and resolved and have been properly documented by the vendor, the selected Unit stakeholder will provide final sign-off.*

Below is our detailed methodology for achieving acceptance.

*Present Implementation Results*

- **Comprehensive Summary:**
  - A detailed summary of the system's performance will be presented, highlighting how all agreed-upon objectives and deliverables have been achieved.
  - The summary will include clear demonstrations of the system's functionality and alignment with the Unit's operational needs.
- **Showcase Achieved Benefits:**
  - We will highlight the benefits realized through implementation, emphasizing improvements in functionality, efficiency, and user satisfaction.

*Address Concerns and Questions*

- **Active Engagement:**
  - During the review, we will actively engage with the Unit to address any concerns or questions raised about the implementation process or outcomes.
- **Mitigation and Documentation:**
  - All concerns will be fully mitigated, with resolutions properly documented for transparency and traceability.

*Feedback Gathering*

- **Stakeholder Input:**
  - Feedback will be gathered from stakeholders to confirm satisfaction with the implementation and identify any areas for further refinement or support.
- **Incorporation of Feedback:**
  - Any actionable insights will be incorporated into ongoing support or follow-up activities to ensure continuous improvement.

*Formal Sign-Off*

- **Stakeholder Approval:**
  - Once all concerns are resolved and the system is validated as fully operational, formal approval will be obtained from the designated Unit stakeholder.
- **Acknowledgment of Completion:**
  - The sign-off will signify the successful completion of implementation and readiness to proceed to the next phase of the project.

**v Additional Information**

*Work performed by the Vital Records Unit is subject to State and Federal statutes that may not be within the system's capabilities. This may necessitate a change order initiated by DHHS. Vendor would be expected to be responsive to making prescribed modifications timely and in accordance with the change order process to achieve timely compliance and avoid service disruption.*

We understand the critical importance of ensuring the system complies with State and Federal statutes governing the work of the Vital Records Unit. In the event that these requirements necessitate system modifications beyond its current capabilities, Axiell is committed to responding promptly and effectively to change orders initiated by DHHS.

With over 20 vital records jurisdictions as our clients, Axiell brings extensive experience in addressing statutory compliance needs. We are well-equipped to handle these types of change orders and have a proven track record of delivering timely and effective modifications to meet evolving requirements.

*Our Approach*

- **Requirement Review and Scope Definition:**
  - Upon receipt of a change order, we will work closely with DHHS to review the statutory requirements and define a clear scope of work for the necessary modifications.
  - This process ensures that all statutory obligations are fully understood and incorporated into the system.
- **Timely Execution:**
  - Changes will be executed promptly, following a structured change order process to ensure compliance is achieved without delay.
  - Our team will prioritize avoiding any service disruptions while implementing modifications in a timely manner.
- **Collaborative Process:**
  - We will maintain open communication with DHHS throughout the process, providing regular updates on progress and ensuring alignment with the Unit's needs and expectations.
- **Minimizing Impact:**

       o   Efforts will be made to integrate changes seamlessly into the existing system, minimizing operational impact and ensuring a smooth transition to compliance.

By leveraging our expertise with vital records jurisdictions and adhering to a structured and responsive change order process, Axiell ensures that the Vital Records Unit can maintain uninterrupted operations while meeting all statutory obligations.

# A.I Post-Implementation

*The vendor shall perform each of the following tasks as indicated in i. through v. below. Note: If other tasks and/or functions are necessary to accomplish the requirement to maintain full functionality, bidder must integrate such tasks and/or functions into their solution to be perform accordingly.*

Our approach to post-implementation focuses on ensuring the long-term stability, scalability, and reliability of the system while providing comprehensive support to address any issues or enhancements. Below is our detailed methodology for addressing each post-implementation aspect.

*Steady State*

- **Operational Stability**:

    o   After the burn-in period, the system will transition into a steady operational state, where it is monitored to ensure ongoing functionality and reliability.

- **Proactive Monitoring**:

    o   Automated monitoring tools will track system performance metrics to quickly identify and address potential issues before they impact operations.

- **Routine Maintenance**:

    o   Scheduled maintenance activities will ensure optimal system performance and compliance with evolving requirements.

*System Maintenance*

- **Regular Updates**:

- o Updates will include patches, minor enhancements, and bug fixes to ensure the system remains secure and efficient.

- **Preventive Maintenance**:

- o Routine inspections and diagnostics will be conducted to identify and address potential issues proactively, minimizing unplanned downtime.

- **Documentation**:

- o Comprehensive records of all maintenance activities will be maintained, ensuring transparency and accountability.

*Proposed Evolution, Planned Releases, and Development Philosophy*

- **Core Product Evolution**:

- o Axiell's system follows a continuous improvement philosophy, incorporating feedback from our 20+ vital records clients to ensure the solution evolves to meet emerging needs and industry standards.

- **Planned Releases**:

- o We operate on a structured release cycle that includes major upgrades, feature enhancements, and compliance updates. These are communicated to the Unit in advance, allowing time for preparation and review.

- **Development Philosophy**:

- o Our development prioritizes user-centric improvements, scalability, and adaptability, ensuring the system grows alongside the Unit's operational needs.

*System Improvements, Change Requests, and Bug Fixes*

- **Prioritization**:

- o System improvements, change requests, and bug fixes are prioritized based on severity, impact, and urgency. Critical and high-priority items are addressed immediately, while minor issues are included in scheduled releases.

- **Client Collaboration**:

- Change requests from the Unit are handled collaboratively to ensure alignment with operational goals. Feedback from other jurisdictions is reviewed to assess potential relevance and applicability to the Unit's system.

- **Transparent Process**:

- All improvements and fixes are tracked in **Azure DevOps**, providing real-time visibility into the status of requests and progress updates.

### *Support Process and Escalation*

- **Response Times**:

- Response times for support requests vary from customer to customer and are defined in the Service Level Agreement (SLA). Typical categories include:

  - **Critical Issues**: Responded to within X hours, with a resolution plan initiated immediately.

  - **High Issues**: Responded to within X hours, with resolution expedited.

  - **Medium Issues**: Responded to within X business days, resolved within the next available release or patch.

  - **Low Issues**: Responded to within X business days, addressed during scheduled updates.

- **Escalation Matrix**:

- An escalation matrix ensures issues are elevated to appropriate levels for rapid resolution, with designated contacts at each escalation stage, as agreed upon in the SLA.

- **Support Tracking**:

- Support requests are managed in **Azure DevOps**, enabling detailed tracking, prioritization, and resolution transparency.

### *Support Options*

- **Available Channels**:

- Support is available via phone, email, and support tickets, ensuring stakeholders have multiple ways to reach our team.

- **Dedicated Support Team**:

o   A dedicated team of specialists provides technical assistance, ensuring quick and effective issue resolution.

*Warranty Provisions*

- **No Hardware Provision**:

o   No hardware provision is included in this proposed solution.


**i Burn-in Period**

*a This is a technique used to increase the quality of components and systems by operating the item under normal or accelerated environmental conditions.  Vendor to provide on-site, post go-live support if deemed necessary by the Unit.  Adhere to a Burn-In Period which will begin upon completion of system go-live and will continue for ninety (90) calendar days thereafter completion of the Burn-In Period. Once reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off, unless one of the Critical Incidents listed directly below occurs:*


Our approach to the Burn-In Period ensures system stability and operational reliability during the critical post-go-live phase. This period, lasting ninety (90) calendar days after system go-live, provides a structured framework to validate system performance, address any issues, and ensure uninterrupted business operations. Below is our methodology for accomplishing this task.

*Post Go-Live Monitoring and Support*

- **On-Site Support**:

o   If deemed necessary by the Unit, key vendor staff will be available on-site during the Burn-In Period to provide immediate assistance and resolve any emerging issues.

- **Active Monitoring**:

o   Automated tools will be used to monitor system performance, identifying and addressing anomalies or inefficiencies proactively.

- **Operational Validation**:

o   System functionality will be continually assessed under normal environmental conditions to validate its reliability and stability.

*Critical Incident Management*

- **Definition and Response**:

  o Critical Incidents are categorized into three main areas:

  ▪ **Out of Business**: The system is completely down, rendering the Unit unable to conduct business.

  ▪ **Time Sensitive**: Key functions, such as recording vital events or processing payments, are disrupted.

  ▪ **Data Movement**: Interfaces with required systems, such as SSA or NCHS, fail to function.

  o Incidents will be logged and prioritized in **Azure DevOps** for transparency and accountability, ensuring prompt resolution.

- **Proactive Resolution**:

  o High-priority incidents will be escalated to senior technical staff for immediate resolution, minimizing impact on operations.

*Addressing Liquidated Damages Risks*

- **Prevention Measures**:

  o A structured incident management process will minimize the occurrence of Critical Incidents, reducing the risk of liquidated damages.

- **Rapid Resolution**:

  o Any Critical Incident during the Burn-In Period will be addressed as a priority, with clear communication and documented resolutions provided to the Unit.

*Stakeholder Engagement and Sign-Off*

- **Regular Updates**:

  o Weekly reports summarizing system performance and incident management will be shared with the Unit to ensure transparency and alignment.

- **Final Review**:

  o At the conclusion of the Burn-In Period, all performance metrics, resolved issues, and validated functionalities will be presented to the Unit for review.

- **Formal Approval**:

  o Once the Unit confirms the system's operational stability and all concerns have been addressed, formal sign-off will be obtained from the designated Unit stakeholder.

*b If Critical Incident occurs, the Burn-in Period will be stopped, and the vendor will complete all necessary work to correct the problem. The Critical Incident will be considered resolved when both parties agree that the vendor has provided a permanent solution to the software issue. When both parties agree the Critical Incident has been resolved, the State will notify the vendor in writing whether the Burn-in Period will be continued, extended past the initial ninety (90) calendar days, or be reset back to day zero to begin again.*

### Critical Incident Management During the Burn-In Period

If a Critical Incident occurs during the Burn-In Period, we are fully committed to addressing and resolving the issue promptly and comprehensively. Our methodology ensures that the issue is escalated, resolved permanently, and that the Burn-In Period is managed in alignment with the State's expectations and requirements.

### Immediate Response

- **Incident Escalation**:

  o Upon identification of a Critical Incident, the issue will be immediately escalated to our dedicated support team, ensuring priority attention.

  o Key vendor staff will work closely with the Unit to assess the impact, identify the root cause, and document the issue in **Azure DevOps** for transparency and tracking.

- **Open Communication**:

  o Regular updates will be provided to the State throughout the resolution process, ensuring alignment on progress, actions taken, and next steps.

### Corrective Actions

- **Root Cause Analysis**:

  o A thorough analysis will be conducted to determine the underlying cause of the Critical Incident.

- **Permanent Solution Implementation**:

o Corrective actions will focus on delivering a permanent solution to the software issue, ensuring the problem does not recur.

- **Validation**:

o The solution will be validated through testing and collaboration with the Unit to confirm the system is functioning as expected.

*Pause and Adjustment of the Burn-In Period*

- **Pause During Resolution**:

o The Burn-In Period will be paused while corrective actions are implemented, ensuring the timeline accurately reflects a fully operational system.

- **Post-Resolution Agreement**:

o Once both parties agree that the issue has been permanently resolved, written confirmation will be sought from the State regarding the status of the Burn-In Period.

o The State will determine whether the Burn-In Period will:

▪ **Continue** as originally planned.

▪ **Extend** past the initial ninety (90) calendar days.

▪ **Reset** back to day zero and begin again.

*Continued Support*

- **Compliance with State Decisions**:

o We will fully comply with the State's decision on the continuation, extension, or reset of the Burn-In Period, ensuring all contractual obligations are met.

- **Ongoing Stability Efforts**:

o Our team will remain actively engaged to ensure the system maintains stability and aligns with operational requirements.

*Minimizing Disruptions*

Our goal during such incidents is to ensure swift resolution, restore system functionality, and minimize any disruptions to the State's critical operations.

*c Following a successful burn-in period and sign-off, the project will immediately transition into the Support, Maintenance, and Operations phase*

### Transition to Support, Maintenance, and Operations Phase

Following the successful completion of the Burn-In Period and receipt of formal sign-off from the Unit, the project will seamlessly transition into the Support, Maintenance, and Operations phase. This phase focuses on sustaining optimal system performance, addressing user inquiries, and resolving any issues that may arise to ensure ongoing alignment with the Unit's needs.

### Proactive System Monitoring and Maintenance

- **Continuous Monitoring**:
  - Automated tools will monitor system performance to identify and address potential issues before they impact operations.

- **Scheduled Maintenance**:
  - Regular maintenance activities, including updates and system checks, will be conducted to ensure security, performance, and compliance with evolving requirements.

- **Optimization**:
  - Feedback from users and stakeholders will inform enhancements and optimizations to maintain system efficiency.

### Support and Issue Resolution

- **Responsive Support**:
  - Our team will provide responsive support to address user inquiries and resolve system issues efficiently.

- **Issue Tracking**:

- o All reported issues will be logged and managed through **Azure DevOps**, providing real-time visibility into resolution progress.

- • **Escalation Process**:

- o Complex issues will be escalated appropriately to ensure timely and effective resolution in alignment with agreed response times.

*Scheduled Updates and Enhancements*

- • **Regular Updates**:

- o Scheduled updates will include system patches, minor enhancements, and compliance updates to ensure the system remains secure and efficient.

- • **Alignment with Needs**:

- o Updates and enhancements will align with the Unit's evolving operational requirements and industry best practices.

*Collaboration and Communication*

- • **Ongoing Engagement**:

- o We will maintain consistent communication with the Unit, providing updates on system performance, planned maintenance, and any resolved or pending issues.

- • **Stakeholder Partnership**:

- o Collaboration will continue to reinforce the partnership established throughout the project lifecycle, ensuring the system supports the Unit's goals effectively.

*d Issue Notification, Resolution, and Procedural Information:*

- • *Complete the action only after new versions or software updates have been fully tested, found critical error-free, and agreed upon with the Unit.*

- • *Provide timely system fixes and resolution of issues deemed critical by the Unit. Resolutions should be applied or installed after appropriate testing by the vendor and acceptance of the Unit.*

- • *Provide proper notification and details regarding when the system is or will be unavailable to users.*

- *Provide the process for the Unit to identify and improve the system based on defects, feature enhancements, or needed adjustments.*

### *Issue Notification, Resolution, and Procedural Information*

Our approach to issue notification, resolution, and procedural information ensures transparency, collaboration, and reliability. By adhering to structured processes, we address critical issues promptly, keep the Unit informed, and support ongoing system improvement.

### Issue Notification and System Availability

- **Planned Downtime**:

o For scheduled maintenance or updates, we provide advance notice to the Unit, detailing the maintenance schedule, affected services, and expected resolution times.

- **Unplanned Outages**:

o In the event of unplanned system unavailability, we notify the Unit promptly and provide regular updates until the issue is resolved, ensuring they remain informed at every stage.

### *Resolution of Critical Issues*

- **Immediate Attention**:

o For issues deemed critical by the Unit, we prioritize immediate attention and resolution to minimize disruptions.

- **Rigorous Testing**:

o All fixes are thoroughly tested in a controlled environment to ensure their effectiveness and that they are free of critical errors before being applied to the production environment.

- **Coordination with the Unit**:

o We coordinate with the Unit to review and accept resolutions before deployment, ensuring confidence in the solution and alignment with operational needs.

### *Process for System Improvements*

- **Structured Reporting**:

- The Unit can report defects, request feature enhancements, or propose adjustments through a clear and structured process managed in **Azure DevOps**.

- **Prioritization**:

- Requests are reviewed and prioritized based on urgency, impact, and alignment with the Unit's operational goals.

- **Incorporation into Development Roadmap**:

- Approved requests are integrated into our development roadmap, ensuring continuous system improvement and responsiveness to the Unit's evolving needs.

**ii Coordinate and Facilitate a Post-Implementation Review Teleconference Meeting**

*Evaluate whether project objectives were met, determine how effectively the project was run, learn lessons for the future, and ensure that the Unit gets the greatest possible benefit from the project. This should occur within two (2) weeks following the acceptance of the Burn-In Period.*

*Once a formal project performance assessment is completed by the vendor and is reviewed by the Unit and confirmed, the selected Unit stakeholder will provide sign-off.*

***Coordinate and Facilitate a Post-Implementation Review Teleconference Meeting***

Within two weeks following the successful completion and acceptance of the Burn-In Period, we will coordinate and facilitate a comprehensive Post-Implementation Review teleconference meeting.

***Evaluation of Project Objectives***

- **Achievement Assessment**:

- The meeting will focus on evaluating the extent to which the project's objectives and deliverables were achieved, highlighting both successes and areas for potential improvement.

- **Effectiveness Review**:

- Discussions will include how effectively the project was managed, reviewing adherence to timelines, quality standards, and stakeholder collaboration.

***Lessons Learned***

- **Challenges and Resolutions**:

  o Challenges encountered during the project and the resolutions implemented to address them will be reviewed.

- **Recommendations**:

  o The session will capture insights and recommendations to guide best practices for future initiatives, fostering continuous improvement.

*Feedback Gathering*

- **Unit Collaboration**:

  o Feedback will be actively gathered from the Unit to ensure their expectations were met and to address any additional needs or concerns.

- **Maximizing Benefits**:

  o Discussions will include any further actions required to ensure the Unit derives maximum benefit from the system.

*Sign-Off*

- **Formal Project Performance Assessment**:

  o Axiell will complete a formal project performance assessment to document how the project objectives were met and to provide a comprehensive review of implementation outcomes.

  o This assessment will be reviewed and confirmed by the Unit as part of the final approval process.

- **Stakeholder Approval**:

  o Upon confirmation that the project objectives have been achieved and all concerns addressed, the designated Unit stakeholder will provide formal sign-off, marking the successful conclusion of the implementation phase.

**iii Provide a Plan for Enhancement Requests**

*Outline the vendor's approach, expected timelines, cost estimates, and pricing model for Unit change requests that are not federally required, and that qualify as enhancements rather than defects.*

*Once an enhancement request plan is developed, maintained, and followed by the selected vendor it will be reviewed by the Unit and confirmed, and the selected Unit stakeholder will provide sign-off.*

### *Provide a Plan for Enhancement Requests*

Our approach to handling enhancement requests ensures transparency, efficiency, and alignment with the Unit's needs. Below is our methodology for developing, maintaining, and executing enhancement plans, which are reviewed and confirmed by the Unit before proceeding.

### *Evaluation and Planning*

- **Scope and Feasibility Assessment**:

  o Upon receiving an enhancement request, we evaluate its scope, technical feasibility, and potential impact on the existing system and operations.

- **Objective Setting**:

  o The request is analyzed to clearly define objectives and expected outcomes, ensuring alignment with the Unit's operational priorities and goals.

### *Timeline and Cost Estimation*

- **Detailed Planning**:

  o A timeline is established for each enhancement, outlining milestones, dependencies, and resource allocation.

- **Cost Estimates and Pricing Model**:

  o Costs are calculated based on the request's complexity and resource requirements, adhering to our established pricing model.

  o Cost estimates are itemized for transparency, allowing the Unit to understand the financial implications of the request.

### *Review and Approval*

- **Collaboration with the Unit**:

  o A detailed enhancement plan, including objectives, timelines, and cost estimates, is presented to the Unit for review.

- o Feedback is incorporated to refine the plan and ensure alignment with the Unit's expectations and operational requirements.

- **Formal Sign-Off**:

- o Once the plan is finalized and confirmed by the Unit, the designated stakeholder provides formal approval to proceed.

### *Implementation and Delivery*

- **Execution**:

- o The enhancement is implemented according to the approved plan, ensuring minimal disruption to existing operations.

- **Quality Assurance**:

- o Rigorous testing is conducted to validate that the enhancement meets the specified objectives and integrates seamlessly into the system.

- **Completion and Review**:

- o Upon completion, the enhancement is reviewed with the Unit to confirm it delivers the intended value and meets their expectations.

### iv Provide a Transition Plan from Implementation to Support, Maintenance, and Operations.

*Outline the steps and activities for transitioning from the implementation of system to maintenance and operation. Define transition goals, transition activities, identify support resources, assign support responsibilities, and identify support communication channels.*

*Designate an account manager whose role is to ensure business specifications/requirements are being fulfilled and be an escalation point for questions and support.*

*Once a comprehensive transition plan is developed and followed by the vendor, it will be reviewed by the Unit and confirmed, and the selected Unit stakeholder will provide sign-off.*

### *Provide a Transition Plan from Implementation to Support, Maintenance, and Operations*

Below is a detailed outline of the transition process.

*Transition Goals*

- **Ensure System Stability**:

o Validate that the system is fully operational and meeting all performance metrics established during implementation.

- **Maintain Uninterrupted Operations**:

o Ensure all business functions supported by the system remain unaffected during the transition.

- **Fulfill Business Requirements**:

o Confirm that the system fulfills all business specifications and requirements as defined during the project lifecycle.

*Transition Activities*

- **Finalize Implementation Deliverables**:

o Complete and validate all implementation deliverables to ensure readiness for transition.

- **Knowledge Transfer**:

o Conduct detailed knowledge transfer sessions with Unit staff to prepare them for system operations, maintenance, and support procedures.

- **Operational Protocols**:

o Establish operational protocols, including standard operating procedures for ongoing maintenance, support escalation, and issue resolution.

*Support Resources and Responsibilities*

- **Dedicated Support Team**:

o Assign support resources with clearly defined responsibilities, ensuring accountability for system performance and user assistance.

- **Account Manager**:

o A designated account manager will oversee the transition process, ensuring business requirements are fulfilled and serving as the primary escalation point for questions or concerns.

*Support Communication Channels*

- **Defined Channels**:

  o Communication channels, including phone, email, and ticketing systems, will be established to provide stakeholders with multiple options for reaching the support team.

- **Issue Escalation**:

  o An escalation matrix will ensure timely resolution of issues, with defined points of contact for various levels of support.

*Review and Sign-Off*

- **Unit Collaboration**:

  o The comprehensive transition plan will be reviewed with the Unit, and adjustments will be made based on feedback to ensure alignment with operational needs.

- **Formal Approval**:

  o Upon sign-off by the designated Unit stakeholder, the project will officially transition to steady-state operations, marking the successful completion of the transition phase.

**v Obtain Final Sign-Off**

*Present post-implementation results, address any concerns or questions raised by the Unit, and gain their formal approval to proceed with the project's next phase. The vendor must ensure that all objectives have been met satisfactorily and prepare final sign-off documents, which include, at a minimum, the following: project summary, list of deliverables, acceptance criteria, statement of satisfaction, and signature fields for stakeholders. Final sign-off documents must be prepared and provided to the Unit for review. All concerns must be mitigated and resolved and be properly documented by the vendor. Once complete, the selected Unit and State of Nebraska stakeholders will provide final sign-off approval of the system.*

*Obtain Final Sign-Off*

To obtain final sign-off, we will conduct a comprehensive review of post-implementation results to confirm that all project objectives have been met satisfactorily.

*Present Post-Implementation Results*

- **Comprehensive Review**:

  o We will present a detailed summary of post-implementation outcomes, including performance metrics, deliverables achieved, and project milestones met.

- **Addressing Concerns**:

  o Any questions or concerns raised by the Unit will be addressed, with resolutions documented to provide full transparency.

*Preparation of Final Sign-Off Documents*

- **Required Components**:

  o The final sign-off documents will include:

  ▪ **Project Summary**: A concise overview of the project's scope, objectives, and outcomes.

  ▪ **List of Deliverables**: A detailed record of all deliverables completed and approved.

  ▪ **Acceptance Criteria**: Documentation confirming that each deliverable meets the agreed-upon criteria.

  ▪ **Statement of Satisfaction**: A declaration that the Unit is satisfied with the project's results.

  ▪ **Signature Fields**: Designated areas for signatures from all relevant stakeholders to formalize approval.

- **Submission for Review**:

  o These documents will be submitted to the Unit for review and confirmation, ensuring all requirements have been met.

*Mitigation of Concerns*

- **Proactive Resolution**:

  o Any outstanding concerns identified during the review process will be mitigated promptly, with resolutions documented to provide a complete record.

- **Collaboration with Stakeholders**:

- o The vendor will work closely with the Unit to ensure all issues are resolved to their satisfaction before final approval.

***Formal Approval and Sign-Off***

- **Stakeholder Confirmation**:

- o Once all concerns have been addressed and documented, and the Unit confirms that all objectives have been met, formal approval will be obtained.


# A.J Support, Maintenance, and Operations


*The vendor shall perform each of the following tasks as indicated in i. through vii. below. Note: If other tasks and/or functions are necessary to accomplish the requirement to maintain full functionality, bidder must integrate those tasks and/or functions into their solution to be performed accordingly.*


Our comprehensive methodology ensures the system remains reliable, secure, and aligned with the Unit's requirements during the Support, Maintenance, and Operations phase. Below is our detailed approach to each task listed.

***i Complete the action only after new versions or software updates have been fully tested, found critical error-free, and agreed upon with the Unit.***

- **Testing and Validation:**
- o All new versions or updates are deployed into a controlled testing environment where their functionality, compatibility, and security are rigorously validated.
- o Updates undergo multiple testing phases, including unit testing, integration testing, and system testing, to confirm they are free of critical errors.
- **Collaboration and Agreement:**
- o We collaborate with the Unit to review test results, address any concerns, and gain formal approval before deploying updates.
- **Deployment Planning:**

o   Updates are scheduled for deployment at mutually agreed times to minimize disruptions, ensuring a smooth transition to the production environment.

*ii Provide timely system fixes and resolution of issues deemed critical by the Unit.*

- **Immediate Response:**
o   Critical issues are prioritized and promptly addressed by deploying fixes to the testing environment for validation.
- **Collaborative Review:**
o   Resolutions are reviewed and approved by the Unit before deployment to ensure alignment with their expectations.
- **Swift Implementation:**
o   Once validated, fixes are implemented in the production environment with minimal disruption, restoring system functionality promptly.

*iii Have a regular maintenance schedule established with the Unit; regular maintenance should only be performed outside normal business hours.*

- **Collaborative Scheduling:**
o   Maintenance schedules are established in collaboration with the Unit to align with their operational needs and priorities.
- **After-Hours Maintenance:**
o   All regular maintenance activities are conducted outside normal business hours to minimize impact on users and maintain uninterrupted system availability.
- **Transparency and Notification:**
o   Advance notification is provided for all scheduled maintenance, detailing the scope, timing, and expected duration of activities.

*iv Provide proper notification and details regarding when the system is or will be unavailable to users.*

- **Planned Downtime Notifications:**
o   For scheduled downtime, detailed notifications are provided to the Unit in advance, including the maintenance schedule, expected duration, and impacted services.
- **Unplanned Outage Communication:**

- In the event of unplanned outages, immediate alerts are issued, followed by regular updates on status, progress, and estimated resolution timelines.

***v Provide a process for the Unit to identify and improve the system based on defects, feature enhancements, or needed adjustments.***

- **Centralized Reporting:**
  - The Unit can report defects, request feature enhancements, or propose adjustments through a centralized support portal or designated communication channels.
- **Review and Prioritization:**
  - All requests are reviewed and prioritized based on their impact and urgency, ensuring critical needs are addressed promptly.
- **Implementation and Feedback:**
  - Approved changes are incorporated into our development and testing process, with regular updates provided to the Unit to ensure alignment with their requirements.

***vi Designate an account manager for the life of the contract whose role is to ensure business specifications/requirements are being fulfilled and be an escalation point for questions and support.***

- **Dedicated Account Manager:**
  - A dedicated account manager will be assigned for the life of the contract, serving as the primary escalation point for questions and support needs.
  - The account manager will oversee the fulfillment of business specifications and requirements, ensuring the Unit's expectations are consistently met.
- **Collaboration and Communication:**
  - The account manager will facilitate regular communication with the Unit to address concerns, provide updates, and ensure alignment with project goals.

***vii Help Desk Support***

**a) Staffing and Operation:**
We will staff and operate a Help Desk during normal business hours, providing comprehensive support throughout the first year following system implementation.
**b) 24x7x365 Critical Support:**

For critical system failures or issues, we provide 24x7x365 support to ensure minimal disruption and swift resolution.

**c) Training for Transition:**

Before transitioning Help Desk responsibilities, we will deliver training to designated Unit staff, equipping them to manage ongoing support needs effectively.

# B. PROPOSED DEVELOPMENT APPROACH (Proposed development approach)

## 1. Proposed Resolution

Our proposed resolution for delivering the Vital Records Management System (VRMS) is a comprehensive, modular, and scalable solution tailored to meet and exceed the objectives and requirements outlined in the RFP. This approach ensures the system delivers seamless functionality, robust performance, and an intuitive user experience while aligning with the Unit's operational goals and regulatory compliance needs.

**a.**      *Comprehensive Analysis and Design*

- **Detailed Requirement Alignment:**
  - We begin by conducting a thorough analysis of the Unit's objectives and requirements, ensuring the system is designed to support operational goals effectively.
  - Regulatory standards are embedded into the system's architecture to ensure compliance with state and federal statutes governing vital records management.
- **Modular Architecture:**
  - The system is built on a modular framework, allowing flexibility and scalability to accommodate future growth and evolving requirements.

**b.**      *Core System Features*

- **Automated Workflows:**
  - Integrated workflows streamline administrative processes, ensuring consistency, reducing errors, and improving efficiency.
- **Advanced Data Validation:**
  - Built-in validation ensures data accuracy at every stage, maintaining compliance with operational standards and minimizing discrepancies.
- **Secure Data Management:**
  - Robust security protocols, including encryption, role-based access, and audit trails, safeguard sensitive data while maintaining usability.

**c.**      *Performance Capabilities*

- **Load Handling and Scalability:**
  - The system is designed to handle high transaction volumes and scale seamlessly to support increased demand or additional functionality.

- **Reliability:**
  - High availability is achieved through redundancy and failover mechanisms, minimizing downtime and ensuring business continuity.
- **Real-World Validation:**
  - Rigorous testing under real-world conditions ensures system reliability, validating performance metrics such as load times, responsiveness, and data integrity.

d. *Integration with External Entities*

- **Seamless Data Sharing:**
  - The system integrates with healthcare providers, government agencies, and other stakeholders, enabling efficient data exchange and interoperability.
- **API-Driven Interfaces:**
  - APIs support real-time data sharing and ensure compatibility with third-party systems, enhancing operational flexibility.

e. *User-Centric Functionality*

- **Role-Based Access and Permissions:**
  - Access controls are finely tuned to match user roles, ensuring sensitive data is protected while maintaining operational efficiency.
- **Intuitive User Experience:**
  - The system's design prioritizes usability, empowering users with tools and features that enhance productivity.

f. *Training and Ongoing Support*

- **Empowering Unit Staff:**
  - Comprehensive training programs and ongoing support ensure users are fully equipped to maximize the system's capabilities.
- **Detailed Documentation:**
  - User manuals, troubleshooting guides, and best practice documents are provided to support system use and maintenance.

By leveraging a proven methodology, our approach ensures the successful design, configuration, and implementation of a robust Vital Records Management System. This solution meets all specified requirements while exceeding expectations in performance, usability, and compliance.

*2. Innovation and Creativity*

Axiell takes pride in its continuous innovation, driven by collaboration with our extensive vital records client base. By incorporating feedback and initiatives from multiple jurisdictions, we consistently deliver new features and enhancements that align with evolving client needs and industry standards. These client-inspired innovations ensure that our solutions stay at the forefront of vital records management, delivering unparalleled value and flexibility.

Examples of Recent and Ongoing Innovations

- **SSA Child Ethnicity Capture:**

  o Axiell has developed the capability to capture and transmit child ethnicity data to the Social Security Administration (SSA), aligning with updated reporting standards and enhancing data granularity for demographic analysis.

- **Special Calculation for Transaction-Based Invoicing:**

  o To support transaction-based customers such as SSA, NCHS, and FBI, we have introduced specialized invoicing features that streamline billing and ensure accuracy. These calculations accommodate the unique needs of each agency, reducing administrative effort and errors.

- **FHIR for Births and Fetal Deaths:**

  o We are actively working on integrating Fast Healthcare Interoperability Resources (FHIR) standards for births and fetal deaths. This enhances interoperability, allowing seamless data exchange between vital records systems and healthcare providers.

- **Automated PRAMS and PRAMS Contact File Export:**

  o Axiell's system now supports automated file exports for the Pregnancy Risk Assessment Monitoring System (PRAMS) and PRAMS Contact files, simplifying data submission processes and ensuring compliance with reporting requirements.

- **Iterative VIEWS II Error Correction and Acknowledgment Interface:**

  o We have enhanced our VIEWS II interface with iterative error correction and acknowledgment capabilities, streamlining the process for identifying and resolving data inconsistencies in vital event records.

- **Non-PII IJE Export Without STEVE:**

- o Axiell has developed a solution for exporting non-Personally Identifiable Information (PII) records in the Inter-Jurisdictional Exchange (IJE) format without requiring the use of STEVE, enabling more secure and efficient data exchanges.

- **MDILog Interface Under Development:**

- o Axiell is actively developing an interface with MDILog, enabling seamless data exchange with medical examiner systems and enhancing the accuracy and completeness of death records.

- **Halcyon Interface in Design Phase:**

- o Axiell is designing an interface with Halcyon, further extending system interoperability and improving data integration with healthcare and reporting systems.

*Commitment to Continuous Improvement*

Through these innovations and ongoing collaboration with our clients, Axiell ensures that our solutions remain responsive to client needs while adhering to the highest industry standards. These enhancements not only meet current requirements but also anticipate future challenges, empowering the Unit to operate more efficiently and effectively.

By consistently introducing features inspired by our clients' operational challenges and priorities, Axiell delivers a solution that grows and evolves alongside its users, fostering long-term success and satisfaction.

# C. TECHNICAL CONSIDERATIONS (Technical considerations)

Axiell has not identified any potential challenges and/or technical considerations.

# D. PROJECT WORK PLAN, MANAGEMENT, AND IMPLEMENTATION (Project work plan, management, and implementation)

Below are detailed responses to the project requirements for Proposed Development Approach. Please also refer to the project plan example below the narrative response for further detail on our phased approach, milestones, and deliverables.

*1. Work Plan*

Our work plan ensures a systematic and phased approach to meet the requirements outlined in Section VI, providing transparency, accountability, and alignment with the Unit's expectations.

- **Kick-Off and Project Initiation**:
  o The project begins with a detailed kick-off meeting to establish roles, responsibilities, and project objectives, as outlined in the project initiation requirements.
  o Documentation of project scope, goals, communication protocols, and access requirements will be finalized and signed off to align expectations.
- **Collaborative Requirements Gathering**:
  o In-depth workshops with Unit stakeholders will identify specific needs and define deliverables.
  o Documentation of requirements and validation sessions will ensure mutual agreement.
- **Phased Design and Implementation**:
  o The project progresses through clear phases: requirements analysis, iterative design, development, and testing.
  o Milestones and deliverables are tied to each phase, with regular stakeholder reviews to confirm alignment and resolve issues proactively.
- **Risk Mitigation and Contingency Planning**:
  o A comprehensive risk management plan, including a risk register and mitigation strategies, will address potential delays or challenges.
- **Regular Reviews and Transparency**:
  o Weekly project updates, monthly status reports, and executive reviews ensure all stakeholders remain informed of progress and any emerging risks.

*2. Project Timeline*

Our project timeline is structured to meet the required Go-live date within 15 months of the Kick-off meeting, adhering to the requirements of Section VI(E)(2). Refer to the **attached project plan example** for detailed milestones and timelines.

- **Key Milestones**:
  o **Kick-Off Meeting**: Day 0.
  o **Requirements Gathering**: Month 1–3.
  o **Design and Configuration**: Month 3–6.
  o **Development and Testing**: Month 6–12.
  o **User Acceptance Testing (UAT)**: Month 12.
  o **On-Site Training**: Month 13–14.
  o **Go-Live**: Month 15.
- **Burn-In Period**:
  o Begins immediately after Go-live and continues for 90 days, ensuring system stability and operational reliability.
- **Assurance of Timelines**:
  o Regular updates, stakeholder reviews, and a dedicated project manager will ensure adherence to the timeline and timely resolution of any issues.

### 3. Project Management

Below is our detailed approach to project management, addressing each of the required components to ensure successful execution and alignment with the Unit's expectations.

- **Project Management**:
  o A designated project manager will oversee all aspects of the project, ensuring tasks are completed on schedule, resources are allocated effectively, and progress is tracked against milestones.
  o The project will follow a phased methodology with clearly defined deliverables, milestones, and quality checkpoints to ensure alignment with the project's scope.
  o Weekly updates and monthly status reports will ensure transparency, providing stakeholders with real-time insights into progress and challenges.
- **Risk Management**:
  o A comprehensive risk management plan will identify, evaluate, and mitigate potential risks to minimize project disruptions.

- A risk register will document potential risks, assign ownership, and prioritize mitigation strategies.
- Contingency plans will address potential delays, resource shortages, or technical obstacles, ensuring the project stays on track.

- **Communication Management**:

- A communication plan will outline the cadence, methods, and audiences for all project-related updates.
- Weekly teleconferences via **Microsoft Teams** will serve as the primary platform for real-time updates and collaboration.
- Email will be used for formal communications, such as milestone approvals and status reporting.
- Dashboards and regular updates will keep stakeholders informed and engaged throughout the project lifecycle.

- **Staffing Plan**:

- Key personnel will be assigned to tasks based on their expertise, ensuring effective execution and avoiding bottlenecks.
- Temporary or permanent replacements for key personnel will be managed promptly to avoid disruptions.
- The staffing plan will clearly define roles and responsibilities for vendor staff, subcontractors (if applicable), and Unit personnel to ensure seamless integration.

- **Background Checks**:

- All vendor personnel accessing sensitive or confidential information will undergo thorough background checks, including verification of identity, employment history, and criminal records.
- New hires assigned during the project will also complete background checks before being granted access.

- **Tools for Project Management, Document Management, Status Reporting, and Collaboration**:

- **Azure DevOps** will be used for tracking tasks, managing issues, and monitoring progress to ensure real-time visibility into the project.
- **Microsoft Teams** will facilitate virtual meetings and collaboration, ensuring seamless communication between vendor and Unit staff.
- Email will be the primary channel for formal communications such as status updates, approvals, and documentation sharing.

*Methodology for Accomplishing Project Management Tasks*

Below is our detailed methodology for addressing each task outlined in the RFP.

**a. Designate a Project Manager**

We will assign a dedicated and experienced project manager to oversee all aspects of the project, ensuring efficient coordination and timely delivery of implementation, configuration, and associated deliverables.

- Responsibilities:
o Act as the primary point of contact for the Unit.
o Manage task scheduling, resource allocation, and progress tracking.
o Ensure that deliverables meet agreed-upon timelines and quality standards.
- **Alignment:**
o The project manager will work closely with Unit stakeholders to ensure alignment with objectives and expectations throughout the project lifecycle.

**b. Employ a Comprehensive Project Management Approach**

Our project management approach ensures that all activities described in the RFP are completed effectively, meeting all requirements while maintaining transparency and accountability.

- **End-to-End Management:**
o The project will be managed holistically from initiation to completion, with clearly outlined deliverables and timelines.
- **Integrated Tools:**
o Tools such as Azure DevOps will be used for tracking progress, managing risks, and **maintaining visibility.**
- **Core Elements:**
o Risk Management: A risk register will document and prioritize potential risks with clear **mitigation strategies.**
o Communication: Regular updates, meetings, and dashboards will ensure stakeholders are informed and engaged.
o Stakeholder Engagement: Collaboration with Unit staff will ensure decisions align with organizational priorities.

**c. Participate in Weekly Project Update Meetings**

The project manager will lead weekly teleconference meetings with Unit resources to ensure clear and consistent communication.

- **Purpose:**

- o   Review project progress, address concerns, and discuss upcoming activities.
- o   Provide real-time updates on milestones, risks, and deliverables.
- **Additional Resources:**
- o   Other vendor project team members will join these meetings as needed to address specific technical or functional topics.

## d. Submit Monthly Status Reports

We will provide detailed monthly status reports to ensure transparency and accountability.

- **Content:**
- o   Updates on milestones, tasks, and deliverables.
- o   A summary of identified risks and mitigation efforts.
- o   Progress on defect resolution and overall project health.
- **Alignment with Metrics:**
- o   Reports will align with agreed-upon performance metrics to provide actionable insights into project progress.

## e. Facilitate Executive-Level Review Meetings

Executive-level review meetings will be conducted at key milestones to provide high-level updates and ensure alignment with strategic objectives.

- **Content:**
- o   Status of project progress, risks, and deliverables.
- o   Review of any necessary changes to the project plan.
- **Formalization of Changes:**
- o   Discussions during these meetings will serve to formalize any agreed-upon changes, ensuring the project remains aligned with the Unit's priorities.

By implementing this structured and collaborative methodology, we ensure that all project management tasks are executed efficiently.

## *4. Perform Implementation*

We are fully committed to completing the system implementation within the required 15-month timeframe, as outlined in the project plan. The implementation process is structured with clearly defined milestones to ensure all activities—including design, configuration, testing, and training—are executed

efficiently and align with the Unit's operational requirements. Regular progress reviews and collaborative updates will maintain transparency and accountability throughout the implementation, ensuring any potential risks are identified and mitigated promptly. Comprehensive testing, including User Acceptance Testing (UAT), will validate the system's functionality, ensuring all components perform as intended prior to Go-live.

In preparation for Go-live, final validation activities, data migration, and readiness assessments will confirm system stability and operational reliability. On-site training will ensure that Unit staff are fully prepared to operate the system effectively, with training dates scheduled to incorporate UAT feedback. Following the Go-live date, a 90-day Burn-In Period will provide additional assurance of system stability, with real-time monitoring and issue resolution as needed.

| ID | Task Mode | Task Name | Duration | Predecessors | Notes |
|----|-----------|-----------|----------|--------------|-------|
| 1 | | **Nebraska Registry Information Software** | **465.25 days** | | |
| 2 | | **Project Initiation** | **10.13 days** | | |
| 3 | | Infrastructure Setup | 10 days | | |
| 4 | | Project Kick Off | 1 hr | 3 | |
| 5 | | **Project Set-Up and Management** | **54.63 days** | | **The number of days not added to project plan since they would inflate the hours disproportionately. This work includes meeting minutes, IAD Logs and overall monitoring and control...** |
| 6 | | General Project Governance and Overall Management Meeting | 1 hr | 3SS+5 days | |
| 7 | | Weekly Core Meetings | 0 days | 4FS+6 days | Project team meetings weekly over the course of the project |
| 8 | | Adhoc Planning Meeting | 0 days | 7SS+11 days | Schedule meetings as required over the course of the project |
| 9 | | **Initial Requirements Gathering** | **0.25 days** | | |
| 10 | | Review of Requirements per contract | 2 hrs | 4FS+6 days | |
| 11 | | **Project Plan** | **54.13 days** | | |
| 12 | | Update Project Plan | 5 days | | Build off of project plan submitted with contract to fine tume initial details. Will need to be continuously updated as requirements are further refined |
| 13 | | Project Plan Review | 1 hr | 12 | |
| 14 | | Project Plan Updates | 10 days | 13 | |
| 15 | | Project Plan Sign off | 3 days | 14 | |
| 16 | | **Overall Process Design & Development** | **39.13 days** | | |
| 17 | | Review and Acceptance Process | 5 days | 15 | This will be used to inform who and how sign-off is provided for each work package outlined in the project plan |
| 18 | | Requirements Traceability Matrix | 10 days | | |
| 19 | | Establish an Application Configuration and Maintenance Plan | 5 days | 18 | |
| 20 | | Establish Roles and Users | 3 days | 18 | This will be part of complenting the standard system configuration |
| 21 | | Evaluation of Test Results | 5 days | 20 | |
| 22 | | Transition Plan | 3 days | 21 | |
| 23 | | **Management Plans** | **15 days** | **16** | |
| 24 | | Communication Plan | 15 days | | |
| 25 | | Staffing Management | 15 days | | |

| ID | Task Mode | Task Name | Duration | Predecessors | Notes |
|---|---|---|---|---|---|
| 26 | | Change Management Plan | 15 days | | |
| 27 | | Risk Management Plan | 15 days | | |
| 28 | | Review Management Plans | 15 days | | |
| 29 | | Issue Management Plan | 15 days | | |
| 30 | | Management Plans Sign-Off | 1 day | | |
| 31 | | **BIRTHS MODULE** | **70.5 days** | | |
| 32 | | Birth Gap Analysis | 15 days | 10FS+6 days | RTM will indicate the stakeholders participating in requirements gathering that will allow for gap analysis to be performed |
| 33 | | Birth Configuration | 30 days | 32SS+5 days | |
| 34 | | **Birth Certificate Creation** | **4.25 days** | | |
| 35 | | Design Certificate | 2 hrs | 32 | |
| 36 | | Develop Print Format | 3 days | 35 | |
| 37 | | Setup Electronic Signatures (if required) | 1 day | 36 | |
| 38 | | **Birth Data Migration** | **32 days** | **37** | |
| 39 | | Determine Data Source | 3 days | 32 | Data and file migration may require different approaches to migration |
| 40 | | Develop Mapping Document | 15 days | 39 | Mapping source files and date to destination table structures |
| 41 | | Data Migration Dry Run | 5 days | 40 | |
| 42 | | Data Migration Defect Resolution | 5 days | 41 | |
| 43 | | Data Migration Dry Run 2 | 3 days | 42 | |
| 44 | | Data Migration Sign-Off | 1 day | 43 | |
| 45 | | **Statistical and Operational Reports** | **2.25 days** | | |
| 46 | | Design Reports | 2 hrs | 40 | |
| 47 | | Create Reports | 2 days | 46 | |
| 48 | | Birth UAT 1 | 15 days | 45 | |
| 49 | | Birth Defect Resolution | 10 days | 48 | |
| 50 | | Birth UAT 2 | 5 days | 49 | |
| 51 | | Birth Sign off | 1 day | 50 | |
| 52 | | **ORDER MANAGEMENT MODULE** | **76 days** | | |
| 53 | | Order Management Gap Analysis | 15 days | 51 | RTM will indicate the stakeholders participating in requirements gathering that will allow for gap analysis to be performed |
| 54 | | Order Management Configuration | 30 days | 53SS+5 days | |
| 55 | | Order Management Data Migration | 30 days | 54 | |
| 56 | | Order Management UAT 1 | 15 days | 54 | |
| 57 | | Order Management Defect Resolution | 10 days | 56 | |
| 58 | | Order Management UAT 2 | 5 days | 57 | |
| 59 | | Regression Testing | 10 days | 58 | Ensure that each module continues to work as designed |

| ID | Task Mode | Task Name | Duration | Predecessors | Notes |
|---|---|---|---|---|---|
| 60 | ➥ | Order Management Sign off | 1 day | 59 | |
| 61 | 📌 | **FETAL DEATH AND ITOP MODULE** | **129.5 days** | | |
| 62 | ➥ | Fetal Death and IITOP Gap Analysis | 15 days | 34 | RTM will indicate the stakeholders participating in requirements gathering that will allow for gap analysis to be performed |
| 63 | ➥ | Fetal Death and ITOP Configuration | 30 days | 62 | |
| 64 | ➥ | **Fetal Death and ITOP Addendum Creation** | **4.25 days** | | |
| 68 | ➥ | **Fetal Death and ITOP Data Migration** | **32 days** | **64** | |
| 75 | ➥ | **Statistical and Operational Reports** | **2.25 days** | | |
| 78 | ➥ | Fetal Death and ITOP UAT 1 | 15 days | 75 | |
| 79 | ➥ | Fetal Death and ITOP Defect Resolution | 10 days | 78 | |
| 80 | ➥ | Fetal Death and ITOP UAT 2 | 5 days | 79 | |
| 81 | ➥ | Fetal Death and ITOP Sign off | 1 day | 80 | |
| 82 | ➥ | **Order Management Update - Post Fetal Death and ITOP Module** | **46 days** | | Review requirements for Order Management based on the introduction of the Death Module |
| 83 | ➥ | Order Management Gap Analysis | 15 days | 81 | RTM will indicate the stakeholders participating in requirements gathering that will allow for gap analysis to be performed |
| 84 | ➥ | Order Management Configuration | 10 days | 83 | |
| 85 | ➥ | Order Management/Payment Gateway Interoperability | 5 days | 84 | |
| 86 | ➥ | Order Management UAT | 5 days | 85 | |
| 87 | ➥ | Regression Testing | 10 days | 86 | Ensure that each module continues to work as designed |
| 88 | ➥ | Order Management Sign off | 1 day | 87 | |
| 89 | ➥ | **DEATH MODULE** | **163 days** | | |
| 90 | ➥ | **Death Module Configuration** | **163 days** | | |
| 91 | ➥ | Death Gap analysis | 5 days | 146 | RTM will indicate the stakeholders participating in requirements gathering that will allow for gap analysis to be performed |
| 92 | ➥ | Death Configuration | 25 days | 91 | |
| 93 | ➥ | **Death Certificate Creation** | **3.25 days** | | |
| 97 | ➥ | **Death Data Migration** | **32 days** | **91** | |
| 104 | ➥ | **Statistical and Operational Reports** | **2.25 days** | | |
| 107 | ➥ | Death UAT 1 | 15 days | 92 | |
| 108 | ➥ | Death Defect Resolution | 10 days | 107 | |
| 109 | ➥ | Death UAT 2 | 5 days | 108 | |
| 110 | ➥ | Death Sign off | 1 day | 109 | |
| 111 | ➥ | **Order Management Update - Post Death Module** | **31 days** | | Review requirements for Order Management based on the introduction of the Death Module |

| ID | Task Mode | Task Name | Duration | Predecessors | Notes |
|---|---|---|---|---|---|
| 116 | ➥ | Regression Testing | 10 days | 111 | Ensure that each module continues to work as designed |
| 117 | 📌 | **MARRIAGE MODULE** | **154 days** | | |
| 118 | 📌 | **Marriage Configuration** | **144 days** | | |
| 119 | ➥ | Marriage Gap analysis | 15 days | 89 | RTM will indicate the stakeholders participating in requirements gathering that will allow for gap analysis to be performed |
| 120 | ➥ | Marriage Configuration | 25 days | 119 | |
| 121 | ➥ | **Marriage Certificate Creation** | **2.75 days** | | |
| 125 | ➥ | **Marriage Data Migration** | **32 days** | **121** | |
| 132 | ➥ | **Statistical and Operational Reports** | **2.25 days** | | |
| 135 | ➥ | Marriage UAT 1 | 15 days | 120 | |
| 136 | ➥ | Marriage Defect Resolution | 10 days | 135 | |
| 137 | ➥ | Marriage UAT 2 | 5 days | 136 | |
| 138 | ➥ | Marriage Sign off | 1 day | 137 | |
| 139 | ➥ | **Order Management Update - Post Marriage Module** | **36 days** | | Review requirements for Order Management based on the introduction of the Marriage Module |
| 145 | ➥ | Regression Testing | 10 days | 139 | Ensure that each module continues to work as designed |
| 146 | ➥ | **DISSOLUTION OF MARRIAGE MODULE** | **102 days** | | |
| 147 | ➥ | Dissolution of Marriage Gap Analysis | 15 days | | |
| 148 | ➥ | Dissolution of Marriage Configuration | 15 days | 147 | |
| 149 | ➥ | **Dissolution of Marriage Addendum Creation** | **4.25 days** | | |
| 153 | ➥ | **Dissolution of Marriage Data Migration** | **32 days** | **149** | |
| 160 | ➥ | **Statistical and Operational Reports** | **2.25 days** | | |
| 163 | ➥ | Dissolution of Marriage UAT 1 | 15 days | 147 | |
| 164 | ➥ | Dissolution of Marriage Defect Resolution | 15 days | 163 | |
| 165 | ➥ | Dissolution of Marriage UAT 2 | 5 days | 164 | |
| 166 | ➥ | Regression Testing | 10 days | 165 | Ensure that each module continues to work as designed |
| 167 | ➥ | Dissolution of Marriage Sign off | 1 day | 166 | |
| 168 | ➥ | **Order Management Update - Post Dissolution of Marriage Module** | **41 days** | | Review requirements for Order Management based on the introduction of the Death Module |
| 169 | ➥ | Order Management Gap Analysis | 15 days | 167 | RTM will indicate the stakeholders participating in requirements gathering that will allow for gap analysis to be performed |
| 170 | ➥ | Order Management Configuration | 10 days | 169 | |
| 171 | ➥ | Order Management UAT | 5 days | 170 | |

| ID | Task Mode | Task Name | Duration | Predecessors | Notes |
|---|---|---|---|---|---|
| 172 | | Regression Testing | 10 days | 171 | Ensure that each module continues to work as designed |
| 173 | | Order Management Sign off | 1 day | 172 | |
| 174 | | **Data Warehouse** | **40 days** | | |
| 175 | | Gap Analysis | 10 days | 117 | RTM will indicate the stakeholders participating in requirements gathering that will allow for gap analysis to be performed |
| 176 | | **Statistical and Operational Reports** | **20 days** | | |
| 177 | | Data Warehouse Configuration | 20 days | 175 | |
| 178 | | Design Reports | 2 hrs | 175 | |
| 179 | | Create Reports | 2 days | 178 | |
| 180 | | Additional Data Partner Needs | 10 days | 177 | |
| 181 | | **Interoperability** | **30 days** | | |
| 182 | | Other Third Party Integrations | 30 days | | Other integrations such as the single sign on to be explored and potentially expanded for the project |
| 183 | | **Training** | **100 days** | | |
| 184 | | **Data Migration Documentation** | **5 days** | | |
| 187 | | **Training Material** | **31 days** | | |
| 195 | | **System Administrator Training** | **14 days** | | |
| 201 | | **Stakeholder Training** | **30 days** | | |
| 205 | | Onsite Support | 20 days | 201SS | 20 days or as required |
| 206 | | **Final Project Rollout** | **22 days** | | |
| 207 | | Full System Integration | 10 days | 195 | |
| 208 | | Final Data Run | 5 days | 207 | |
| 209 | | Go Live | 1 day | 208 | |
| 210 | | Soft Launch | 5 days | 209 | |
| 211 | | PIR Meeting | 1 day | 210 | |
| 212 | | Post Go Live Support | 20 days | 206 | |
| 213 | | Project Close | 0 days | 212 | |

# E. DELIVERABLES AND DUE DATES (Deliverables and due dates)

*1. Deliverables*

Below is a confirmation of our ability to meet the required deliverables as specified in the RFP. Detailed responses for each deliverable are provided throughout this proposal; please refer to the relevant sections for comprehensive explanations.

**a. Functional Specifications**

- Axiell confirms that we will execute and comply with each Functional Specification as we have indicated in Attachment 2 – Functional Specifications.
- Axiell confirms that we will review, test, and document each specification to ensure alignment with project requirements and stakeholder expectations.

**b. Technical Specifications**

- Axiell confirms that we will execute and comply with all Capabilities and Requirements as we have outlined in Attachment 3 – Technical Specifications.
- Axiell confirms that we will develop a traceability matrix to ensure each specification is addressed, tested, and tracked to completion.

**c. Project Initiation**

- **Kick-Off Event, Documentation, Review, and Approval:**
    - Axiell confirms that we will conduct a comprehensive kick-off meeting, document objectives and deliverables, and obtain formal stakeholder approval.
- **Plans to Be Developed:**
    - Axiell confirms that we will develop and submit the following plans for stakeholder review and approval:
        - Project Plan
        - Risk Management Plan
        - Communication Plan
        - Staffing Management Plan
        - Change Management Plan
        - Issue Management Plan

**d. Design and Configuration**

- **Processes and Documentation:**

- Axiell confirms that we will establish a clear Review and Acceptance Process and develop a Requirements Traceability Matrix (RTM).

- **Requirements Gathering:**
  - Axiell confirms that we will facilitate on-site requirements gathering sessions to refine system needs and confirm alignment.

- **Configuration and Environments:**
  - Axiell confirms that we will configure and establish environments for Development, Testing, Training, and Production.
  - Axiell confirms that we will submit an Application Configuration and Maintenance Plan.

- **System Design and Configuration:**
  - Axiell confirms that we will complete standard system configuration, assist with user role determination, and obtain formal acceptance from the Unit on the design and system configuration.

### e. Development and Testing

- **Custom Development and Integrations:**
  - Axiell confirms that we will complete all necessary custom development, reports, and integrations (interfaces, imports, and exports).

- **Testing:**
  - Axiell confirms that we will develop a Testing Plan, execute and evaluate testing, and document results.
  - Axiell confirms that we will assist the Unit with User Acceptance Testing (UAT).

- **Acceptance:**
  - Axiell confirms that we will obtain formal approval from the Unit on testing results.

### f. Data/File Migration

- **Planning and Execution:**
  - Axiell confirms that we will develop a Data/File Conversion and Migration Plan and a Conversion Mapping Guide.
  - Axiell confirms that we will perform the data/file conversion and migration, and provide a detailed results report.

- **Acceptance:**
  - Axiell confirms that we will obtain final sign-off from the Unit on Data/File Conversion and Migration Results.

### g. Training

- **On-Site Training:**

- o Axiell confirms that we will coordinate and facilitate on-site training sessions for Unit staff.

- **Reference Materials:**
  - o Axiell confirms that we will provide online reference training materials, including administrator and user manuals.

- **Acceptance:**
  - o Axiell confirms that we will obtain formal approval from the Unit on training results.

## h. Implementation

- **Go-Live Execution:**
  - o Axiell confirms that we will perform and complete all aspects of the implementation, ensuring system readiness for Go-live.

- **Support During Go-Live Week:**
  - o Axiell confirms that we will provide on-site implementation assistance during the Go-live week to address any emerging issues.

- **Acceptance:**
  - o Axiell confirms that we will obtain formal sign-off from the Unit on implementation results.

## i. Post-Implementation

- **Burn-In Period:**
  - o Axiell confirms that we will support the system during the Burn-In Period to address immediate post-Go-live issues.

- **Review and Transition:**
  - o Axiell confirms that we will facilitate a Post-Implementation Review meeting and provide plans for enhancement requests.
  - o Axiell confirms that we will deliver a Transition Plan for ongoing support, maintenance, and operations.

- **Final Sign-Off:**
  - o Axiell confirms that we will obtain formal approval from the Unit, marking the conclusion of the implementation phase.

## j. Support, Maintenance, and Operations

- **Timely Updates and Fixes:**
  - o Axiell confirms that we will provide new versions and timely resolution of issues deemed critical by the Unit.

- **Maintenance Schedule:**

- Axiell confirms that we will establish and perform a regular maintenance schedule in collaboration with the Unit.

- **Notification of Availability:**
  - Axiell confirms that we will provide proper notification and details regarding when the system is or will be unavailable to users.

- **System Improvement Process:**
  - Axiell confirms that we will establish a process for the Unit to report defects, request feature enhancements, or propose adjustments.

- **Account Management:**
  - Axiell confirms that we will designate a dedicated account manager to oversee compliance with business requirements and serve as the primary escalation point.

- **Help Desk Support:**
  - Axiell confirms that we will provide comprehensive Help Desk support for issue resolution, ensuring operational continuity throughout the contract period.

*2. Due Dates and/or Completion*

Below is a confirmation of our ability to meet the specified timeframes as outlined in the RFP. Detailed responses for each deliverable and corresponding timeline are included throughout this proposal; please refer to the relevant sections for further information.

**a. Kick-Off**

- Axiell confirms that we will conduct the Kick-off teleconference meeting no later than two (2) weeks after contract execution.

- The meeting will establish roles, responsibilities, objectives, and communication protocols to ensure a successful project start.

**b. User Acceptance Testing (UAT) Environment**

- Axiell confirms that we will complete and provide full access to the UAT Environment no later than twelve (12) consecutive months after the Kick-off meeting.

- The UAT environment will be fully tested and prepared for users to validate system functionality and compliance with requirements.

## c. Go-Live

- Axiell confirms that we will perform and complete all tasks outlined in Section VI and the related attachments, ensuring the system is fully operational and accessible in the production environment no later than fifteen (15) consecutive months after the Kick-off meeting.

- While adhering to the 15-month timeline, we will make every effort to meet the State's desired completion within twelve (12) consecutive months.

## e. Go-Live Week On-Site Support

- Axiell confirms that we will provide on-site support during Go-live week to ensure a smooth transition into full production.

- Our team will address any issues that arise, assist users, and ensure operational continuity during this critical period.

## f. Burn-In Period

- Axiell confirms that we will support a 90-day Burn-In Period following Go-live, during which the system must operate without a critical incident as defined in Section (II)(Z).

- During this time, our team will actively monitor performance, address issues, and ensure system stability.

## g. Post-Implementation Review Teleconference Meeting

- Axiell confirms that we will coordinate and facilitate a Post-Implementation Review teleconference meeting within two (2) weeks following the acceptance of the Burn-In Period.

- The meeting will evaluate project outcomes, identify lessons learned, and ensure that the Unit's objectives have been achieved.

## e. Post-Implementation Plans

- Axiell confirms that we will provide all Post-Implementation plans as outlined in Section (VI)(4)(i) within four (4) weeks following the Post-Implementation Review teleconference meeting.

- These plans will include enhancement requests, transition plans, and other documentation necessary to support ongoing system operations.

**f. Support, Maintenance, and Operations**

- Axiell confirms that Support, Maintenance, and Operations will begin immediately upon sign-off of the Burn-In Period.

- This support will continue throughout the duration of the contract, including any optional renewals and extensions, ensuring uninterrupted system reliability and operational support.

**Attachment 1 - Functional Specifications**
**RFP#: 120277 O3**
Vital Records Management System
State of Nebraska, Department of Health and Human Services

### Important Scoring Dynamic

*Attachment 1 - Functional Specifications shall be subject to a "Pass" or "Fail" assessment.  Bidder to review Section (I)(P)(2) of the Request for Proposal (RFP) document for understanding the methodology that will be applied. The Items highlighted in*
*with an asterisk* GOLD* *document  represent the capability and/or requirement that will be subject to the "Pass" or "Fail" assessment, as these are "must" requirements.*

### No Additional Costs - All related Costs are to be captured in the Cost Sheet (In the prescribed format)

*Please note: All associated costs must be captured in the Cost Sheet in the prescribed format and NOT within Attachment 2. Failure to adhere to these instructions shall result in the bidder's proposal as being deemed*
*a "Non-Responsive Solicitation Response".*

### General Instructions

*To accurately complete this document, the bidder is to respond to each functional specification listed on the "Functional Specifications" tab.   All functional specifications  are listed within the "Functional Specifications" tab; each functional specification has a corresponding business set in Section (VI)(A)(3) of the RFP document.*

*The bidder must complete this document, "Attachment 2 - Functional Specifications," and submit as a part of the bidder's Solicitation Response in an Excel format only - See Section (VII)(A)(2) of the RFP for submittal instructions.*
*DO NOT ALTER THE FORMAT OF THIS DOCUMENT OR ANY OF THE EXISTING CONTENT WITHIN THE TABS (ROWS, COLUMNS, SPECIFICATIONS, ETC.).  Bidder may expand the row heights within the "Functional Specifications" tab to enter entire Vendor Response.*
*The only content that the bidder may enter in this Excel spreadsheet is within the "Functional Specifications" tab.  Do not add information to the "Instructions" tab or add any additional tabs.*

### Specific instructions to complete Functional  Specifications tab:

*Bidders must complete both Column D and Column E for every item listed under System Modules and Functional Specifications using the instructions below.*

*Column D - Vendor Selection.  The bidder to use the dropdown box in "Vendor Selection" to confirm how their solution proposes to meet each specification.*
*Drop-down options:*
- *YES = Met and supported*
- *CONFIG = Met with configuration (activate, arrange, or adjust functionality without changing the system's core code in order to meet the Specifications)*
- *CUS = Met with customization (change the system's core code in order to meet the Specifications)*
- *TPS = Met via third-party software*
- *NA = Not available*

*Column E - Vendor Response.  For each respective System Module and Functional Specification and depending on which dropdown option is chosen from Column D - Vendor Selection, the bidder will provide the corresponding response to include the information listed as shown below.*

*If YES is selected, the bidder should describe how their system will address the specification.*

*If CONFIG is selected, the bidder should describe how they will address the specification, the level of effort, the target time frame of delivery, and how much input from the Unit will be needed in order to satisfy the specification prior to go-live.*

*If CUS is selected, the bidder should describe how they will address the specification, the level of effort, the target time frame of delivery, and how much input from the Unit will be needed in order to satisfy the specification prior to go-live.*

*If TPS is selected, the bidder should:*
*•Provide the vendor's name and name of the third-party software;*
*•Describe how they will address the specification;*
*•Describe how the third-party would handle licensing, maintenance, and first-time installation;*
*•Describe how the third-party software would get stored (e.g.: At the state level or would individual users need to download?).*

**Attachment 1 - Functional Specifications**
**RFP: 120277 O3 REBID**
*Vital Records Management System*

State of Nebraska, Department of Health and Human Services

Bidders are to follow

*Instructions given on the first tab, "Instructions" for directions regarding how to respond.*

The items highlighted in gold and notated with an asterisk (*) within this document represent the capability and/or requirement that will be subject to the "Pass" or "Fail" assessment, as these are "must" requirements.

**Bidder Name:** *Axiell ALM, INC..*

| Ref | System Modules and Specifications | Vendor Selection | Vendor Response |
|---|---|---|---|
| 1 | GENERAL | | |
| 1.1 | COMPONENT | | |
| 1.1.1 | *The system must include the following modules:* | | |
| 1.1.1.1* | Birth; | YES | Axiell's system includes the following fully integrated modules, each designed to handle the complete lifecycle of record management: The Birth module is designed to manage the entire birth registration process efficiently. It facilitates data entry from hospitals, midwives, and birth registrars, ensuring compliance with state and federal standards. The module supports workflows for recording birth details and handling amendments or corrections. It also includes features for automated validation and integration with child support and health services, streamlining communication and data exchange. |
| 1.1.1.2* | Death; | YES | The Death module provides a comprehensive electronic death registration system (EDRS) that supports the collaboration between medical certifiers, funeral homes, and vital records offices. It manages workflows for registering death events, certifying causes of death, and issuing death certificates. The module is equipped with tools for secure electronic signatures and real-time data validation, ensuring accuracy and compliance with reporting standards like those of the National Center for Health Statistics (NCHS) and the Social Security Administration (SSA). |
| 1.1.1.3* | Marriage; | YES | The Marriage module enables the efficient registration of marriage events, from the initial application to the issuance of marriage certificates. It supports the scheduling of marriage ceremonies, automatic verification of applicant information, and compliance with state-specific legal requirements. The module integrates seamlessly with the issuance system to manage payments and generate official documentation, ensuring a streamlined and secure process for all users. |
| 1.1.1.4* | Dissolution of Marriage; | YES | The Dissolution of Marriage module handles the registration of divorce and annulment records. It includes workflows for entering case details, validating data, and issuing certified records. This module ensures that all dissolution records are managed securely and efficiently, with automated updates and compliance checks to align with legal standards. |
| 1.1.1.5* | Fetal Death; | YES | The Fetal Death module provides full support for registering and managing fetal death events. It includes workflows for hospitals, medical examiners, and vital records staff, ensuring the sensitive and accurate handling of these records. The module is designed to meet legal and procedural requirements, facilitating timely reporting and data sharing with relevant health authorities while maintaining high security and data integrity. |
| 1.1.1.6* | Induced Termination of Pregnancy (ITOP); | YES | The ITOP module is a secure and compliant system for recording details of induced terminations of pregnancy. It captures essential information such as the time, place, and registration number of the procedure, while protecting patient confidentiality. The module includes strict access controls and audit logging, ensuring that sensitive data is managed in accordance with state and federal privacy regulations. |

| | | | |
|---|---|---|---|
| 1.1.1.7* | Order Management. | | The Order Management module streamlines the process of ordering vital records, such as birth and death certificates. It includes features for tracking requests, managing payments, and generating certificates on security paper. The module maintains a complete audit trail of all transactions, ensuring accountability and efficiency in document issuance. Additionally, it supports integration with payment gateways and offers flexible options for in-person and online orders. |
| | | YES | |
| 1.1.2* | The system must contain a report builder tool or associated utility. | | Our solution features a comprehensive data warehouse that integrates seamlessly with external data visualization tools like Power BI and Tableau, empowering users to design and generate reports that meet a wide array of operational and analytical needs. This integration consolidates and organizes key data for optimized reporting and analysis, ensuring that stakeholders can make data-driven decisions with ease. For instance, users can easily create reports on vital records data, assess departmental productivity, or compile data summaries for reporting. |
| | | YES | |
| **1.2** | **SYSTEM** | | |
| 1.2.1* | The system must not require the purchase of any additional proprietary applications. | | Our solution is a fully self-sufficient Commercial-Off-The-Shelf (COTS) product. It is designed to deliver all core functionalities, including registration workflows, document issuance, and data management, without the need for any additional proprietary applications. |
| | | YES | |
| 1.2.2* | The system must support multiple environments, specifically, System Integration Testing (SIT), User Acceptance Testing (UAT), Training, Development, and Production. | | Our system is built to support a comprehensive suite of environments. For example, the Validation (System Integration Testing) and Release (User Acceptance Testing) environments are fully equipped to facilitate testing and user validation. We also provide distinct environments for alpha (Development), training, hotfix, and production to ensure seamless deployment and maintenance of the solution. (See example of environment landing page for DC below) |
| | | |  |
| | | YES | |
| 1.2.3 | The system should be configurable to present module fields in the order listed on its corresponding form. | | Our solution offers high configurability, allowing fields within modules to be arranged in the order required by the client. For example, if a birth registration form needs fields presented in a specific sequence to adhere to local legislative guidelines, our system can be adjusted to reflect that exact order, ensuring intuitive, compliant data entry and workflow. |
| | | CONFIG | |

| | | | |
|---|---|---|---|
| 1.2.4* | The system must have images be seamlessly accessible within the application. | | Axiell's system ensures images are easily accessible within the application by integrating them directly into the user interface. Images and scanned documents, such as affidavits of parentage and court orders, are stored in a centralized repository and linked to relevant records for contextual access. Users can view images within the application without needing external tools, ensuring smooth workflow integration. The system supports a wide range of formats and displays images dynamically across devices, maintaining high performance and usability. |
| | | |  |
| | | YES | |
| 1.2.5 | The system should provide functionality to disallow any other screen shot tool, such as the "Snipping Tool" or the like. | | While we recognize the importance of safeguarding sensitive data and preventing unauthorized screen captures, it is technologically challenging to fully disallow the use of all screenshot tools, particularly in web-based applications accessed via browsers. This difficulty arises due to several factors: **1. Browser Environment Limitations:** Web browsers prioritize user accessibility and often lack the ability to restrict operating system-level actions such as capturing screen content using tools like "Snipping Tool," third-party software, or even basic screen capture shortcuts. Modern browsers adhere to security and privacy principles that may prevent applications from controlling or interfering with user actions outside the browser window. **2. Emerging Technologies:** New screenshot tools and methods are continually developed, including AI-powered tools and hardware-independent solutions, which can bypass traditional blocking mechanisms. This makes it an ongoing challenge to ensure the effectiveness of any such restrictions. Given the above challenges, we propose an alternative approach to achieve a similar level of security without attempting to block screenshots directly: · Audit Trails: Maintain a comprehensive audit trail of user activity, including file views and session details, to identify potential misuse. · Session Security: Use session-based encryption to ensure that data cannot be easily extracted or captured outside the authorized session. · Dynamic Watermarking: Apply dynamic, user-specific watermarks (e.g., with user ID and timestamp) on sensitive content. This approach discourages unauthorized distribution by tying any captured content back to the source. · User Training and Agreements: Educate users on the importance of maintaining data confidentiality and implement user agreements that clearly outline the consequences of policy violations. |
| | | NA | |

| 1.2.6 | The system should provide a managed print function. | | Our managed print functionality allows for secure and efficient printing of certificates (long and short copies), permits (burial, cremation, transfer), worksheets (mother's, informant), and receipts, whether on demand or batch printing. We provide a managed print function by integrating secure and flexible paper provisioning tools. The solution supports centralized control over printer access and usage, enabling administrators to allocate print jobs based on user roles, locations, or specific workflows. It tracks and audits all printing activities, including security paper usage for certificates, ensuring compliance and accountability. Advanced features such as tray and printer management allow seamless switching between different types of paper (e.g., plain and security stock), while configurable workflows streamline print queue management across multiple facilities. This ensures efficient facility-wide print operations with minimal waste and enhanced security. |
|---|---|---|---|
| | | YES | |
| 1.2.7 | The system should capture an audit log when the print function is used. | | Our solution maintains a detailed audit log for all print actions. This log captures information such as the identity of the user, the date and time of printing, and the specific documents printed.  |
| | | YES | |
| 1.2.8* | The system's implementation and functionality must adhere to the technical specifications outlined in the accompanying Technical Specifications-Attachment 3. | | Our system's implementation and functionality adhere to the technical specifications outlined in the accompanying attachment. The complete response to the technical specifications can be found in Attachment 3. |
| | | YES | |
| 1.2.9* | The system must support a minimum of 5,000 internal and external users. | | Axiell's system is designed to support large-scale user bases, accommodating well over 5,000 internal and external users. |
| | | YES | |
| 1.2.10* | The system must support a minimum of 1,000 concurrent users regardless of user role and/or location. | | Our architecture is designed to efficiently handle over 1,000 concurrent users without performance degradation. Axiell's vital records systems maintain service quality, even with simultaneous users accessing from different geographical locations and roles. |
| | | YES | |

| 1.2.11 | The system should provide online help connected to the relevant routine, field, or report being used. | | The system must provide online help connected to the relevant workflow, field, or report being used. |
|---|---|---|---|
| | | | Axiell's system offers a field-level, context-sensitive help system designed to enhance user efficiency and accuracy. This feature provides real-time, field-specific assistance through embedded prompts and tooltips, allowing users to access relevant instructions without disrupting their workflow. Additionally, Axiell provides training resources, including searchable manuals and video tutorials, to deliver step-by-step guidance tailored to user roles, ensuring stakeholders can effectively navigate the system. |
| | | | Furthermore, the help system is configurable, allowing administrators to present different help messages to various users or groups for the same fields. This ensures that the guidance provided is relevant to the context and expertise level of the user group. *While this feature is currently implemented for our on-premises solutions, we are actively working to make it available for cloud-based systems, with a target release date of Q2 2025. |
| | | CONFIG | |
| 1.2.12* | The system must have the ability to connect to local or network printers. | | Our platform supports dynamic print routing with features that allow administrators to tailor printing workflows to specific needs. For example, certificates can be routed to printers equipped with security paper, receipts can be directed to dedicated receipt printers, and print jobs can be automatically assigned based on geographical location, such as issuance from county offices. These capabilities, among others, ensure flexible management of printing tasks across various operational scenarios. |
| | | YES | |
| 1.2.13* | The system must have the ability to connect to local or network scanners. | | Our system enables direct integration with scanners, allowing users to digitize and attach documents such as supporting documents and legal affidavits. Scanning happens directly within the application (No moving files around) and can be placed in the workflow to ensure the scanned document has context with the underlying certificate record. For example, a scan initiated during the AOP workflow would imply that the scanned document is the signed affidavit. |
| | | |  |
| | | YES | |
| **1.3** | **DATA** | | |

| | | | |
|---|---|---|---|
| 1.3.1* | The system must have the ability to complete a data conversion of all existing data, including images and files. | YES | We have extensive experience in data migration and conversion, ensuring that legacy data, including images and documents, are transferred into our system. In previous projects, we have successfully migrated millions of vital records, including scanned images and associated metadata, while preserving data integrity and ensuring minimal downtime. Our structured data migration process includes thorough mapping, data cleansing, and validation testing to ensure accuracy and integrity. |
| 1.3.2* | The system must have configurable data retention rules. | YES | Axiell's system includes configurable data retention rules, allowing agencies to tailor retention policies to meet specific legal, operational, and archival requirements. Administrators can define retention Order Management Records<br>For financial records associated with orders, the system supports traditional data retention rules but with flexibility for vital records offices:<br>•Retention Period Configuration: Administrators can define specific retention periods for financial and transactional data.<br>•Audit and Access Logs: The system maintains detailed logs for the creation, modification, and deletion of records, ensuring accountability.<br>Note: Data retention on order management records is typically disabled because most vital records offices prioritize retaining the entire order history linked back to the original certificate.<br>Registration Records<br>The system provides configurable embargo and unembargo options for registration records, including births, deaths, marriages, and other vital events:<br>•Embargo Configuration: Administrators can set specific embargo periods for records, restricting access during legally mandated timeframes.<br>•Automatic Unembargo: Records are unembargoed automatically based on predefined criteria aligned with state legislation.<br>•Legislation Compliance: Configurations are customizable to meet state-specific laws and policies.<br>•Granular Control: Embargo settings can be applied to individual records or categories of records, ensuring precision and flexibility.<br>•Audit Trails: All actions related to embargo and unembargo are logged for transparency and accountability. |
| 1.3.3* | The system must provide immediate validation and error messaging needed for data interfaces. | | Validation occurs in real-time, and any discrepancies are highlighted with clear, context-sensitive error messages. When an error is detected during data entry, users can click on the validation message, which will navigate them directly to the relevant page and/or field requiring correction. Within our vital records system, we include a comprehensive validations page which indicates all active validation errors, as well as a collapsable validations window which highlights page specific validation errors. Additionally, validations can be customized based on specific business rules, ensuring they align with the unique requirements of the agency and the data interface in use. |

YES

| 1.3.4* | The system must have the ability to use field-level data integrity checks and data validation (e.g., numeric fields, verify a number is entered, date fields, verify a date is entered, etc.). | | Axiell's system ensures field-level data integrity and validation through a combination of real-time checks and structured validation rules, including but not limited to NCHS validation rules. Each field is evaluated against predefined criteria, such as format, range, and completeness, to ensure accurate and reliable data entry. Below are a couple examples of real-time field-level integrity checks in our system (One when cremation is selected as the method of disposition on a coroner case, and the other when the date of death is set to a date before the date of birth) |
|--------|---|---|---|

| | | YES | |
|---|---|---|---|
| 1.3.5* | The system must provide an integrated full-featured word processing function (including superscript, subscript, and scientific notations, cut and paste, and word wrap) to allow a user to enter data into large text fields. | YES | Yes, our system can embed word processor controls directly within the browser application. This feature is currently primarily used for creating and managing communication letter templates within order management. However, it can be easily adapted for other purposes, providing flexibility to meet a variety of user needs. The embedded word processor supports functionality required for large text fields, including advanced text formatting options such as superscripts, subscripts, bullet points, numbered lists, tables, and more. |
| 1.3.6* | The system must validate against an integrated medical dictionary for medical related fields. | YES | Axiell's system integrates with VIEWS II to validate medical-related fields against the CDC-defined medical dictionary, ensuring compliance and accuracy. For cause-of-death entries, the system performs simultaneous validation across multiple fields, checking input against the standardized dictionary in real time. If discrepancies or invalid entries are detected, the system provides users with immediate feedback through a popup, detailing errors across all relevant fields and offering clear guidance for corrective actions. This ensures medical data is both accurate and consistent. |
| 1.3.7* | The system must have real-time processing of data. | YES | The system processes data in real-time, ensuring that all updates and changes are instantly reflected across the platform. For example, while a medical certifier enters and updates the cause of death on a record, a funeral director can simultaneously provide disposition information without delays or conflicts. |
| 1.3.8* | The system must align with State of Nebraska and Federal guidelines to collect vital statistic data and other data points needed for federal reporting and evaluation purposes. | CONFIG | Our system incorporates the National Center for Health Statistics (NCHS) standards, ensuring immediate compliance with federal requirements. Additionally, the system's configurable architecture allows customization of data fields, workflows, and validation rules to meet Nebraska's specific state-level standards. |
| 1.3.9* | The system must have graphical control elements to assist with data entry (e.g., checkbox, drop-down box, etc.). | | Our system leverages graphical control elements to enhance data entry efficiency and accuracy. Key features include auto-populated fields and drop-down menus to minimize manual input, dynamic field management to streamline workflows, and data validation to ensure inputs meet predefined criteria. Interactive dashboards enable real-time monitoring of data entry progress, while calendar tools and template management simplify date selection and document generation. Please see an example of our Interactive dashboard for the Deaths module below: |

| | | | YES | |
|---|---|---|---|---|
| **1.4** | **FUNCTIONALITY** | | | |
| 1.4.1* | The system must have the ability to scan directly into the system. | | | Our solution supports direct scanning functionality, allowing documents to be scanned and immediately linked to the relevant records within the system. This feature simplifies the document digitization process, which is critical for managing supporting materials such as birth certificates, identification documents, or affidavits. |
| | | | YES |  |
| 1.4.2* | The system must have the ability to attach a file with a minimum of the following file types (.pdf, .doc, .jpeg, .png, .tiff). | | | Our system fully supports attaching or directly scanning files in a wide variety of formats, including but not limited to .pdf, .doc, .jpeg, .png, and .tiff. Users can easily upload and link these files directly to relevant records within the system, ensuring that all necessary documentation is accessible and securely stored. The attachment feature is designed to handle evidentiary and supplementary documents, maintaining them in perpetuity as part of the registration or record lifecycle. |
| | | | YES | |
| **1.5** | **CONFIGURATION** | | | |
| 1.5.1* | The system must have configurable field level warning notifications. | | | Our system provides configurable field-level warning notifications through its validation framework. Field-level warnings are triggered based on predefined rules, such as out-of-range values, missing data, format inconsistencies, or cross-edits. These warnings can be configured as either soft validations, allowing the user to proceed after acknowledgment, or hard validations, requiring corrective action before moving forward. |
| | | | YES | |

| | | | |
|---|---|---|---|
| 1.5.2 | The system should auto advance a user from process start through process completion. | | The system is designed to guide each user from the start to the completion of their specific workflow. This design ensures that once a step is completed, the system dynamically transitions to the next. For example, a funeral director entering initial death registration details will be automatically guided to subsequent sections, such as uploading required documents or verifying informant information, ensuring a smooth and efficient process flow. |
| | | YES | |
| 1.5.3 | The system should have task list or work queue functionality. | | The proposed system includes task list and work queue functionality designed to streamline workflows and improve user productivity. This functionality supports the following key features: <br> 1. User-Specific Task Lists <br> · Tasks are dynamically assigned to individual users based on roles, permissions, or specific criteria. <br> · Users can view their prioritized task list upon login, ensuring they address high-priority items first. <br> 2. Work Queue Management <br> · Tasks can be organized into shared work queues to facilitate collaboration among teams or departments. <br> · The system supports automatic and manual task assignment within queues, with the ability to reassign tasks as needed. <br> 3. Customizable Task Attributes <br> · Tasks can include detailed metadata such as due dates, priority levels, and status indicators (e.g., "New," "In Progress," "Completed"). <br> · Users can sort and filter tasks based on these attributes for efficient task management. <br> 4. Notifications and Alerts <br> · Automatic notifications alert users of new tasks, approaching deadlines, or status changes. <br> · Alerts can be configured for specific conditions, such as overdue tasks or critical updates. <br> 5. Integration with Workflow Automation <br> · The task list/work queue integrates seamlessly with automated workflows, ensuring tasks are generated and updated based on predefined business rules. <br> · Dependencies between tasks are tracked, allowing for conditional task execution (e.g., Task B begins only when Task A is completed). <br> 6. Real-Time Updates and Monitoring <br> · Tasks and queues are updated in real-time, ensuring users always have access to the latest information. <br> · Managers can monitor queue activity, reallocate resources, or adjust priorities as necessary. <br> 7. Audit Trails and Reporting <br> · All task-related actions are logged for transparency and audit purposes. <br> · Comprehensive reports provide insights into task completion rates, average handling times, and workload distribution. |
| | | YES | |
| 1.5.4* | The system must have the ability to configure workflows. | | Axiell's Vital Records Management system includes workflow configuration capabilities designed to meet diverse organizational needs. Administrators can define, customize, and manage workflows to align with specific business processes or operational requirements. Key features include: <br> 1. Configurable Workflow Options: The system provides a range of configurable options, such as the ability to enable auto-filing of a record once it reaches the appropriate level of completion or direct it to an approval or review queue. Another example of a configurable workflow is the requirement for electronic signatures for specific tasks like cause of death certification or pronouncement. These are examples and not limited to the many possibilities available, ensuring workflows can be tailored to meet specific operational or regulatory requirements. <br> 2. Multi-Step Workflows: Support for complex, multi-step workflows that include automated approvals, notifications, task assignments, and escalations. <br> 3. Role-Based Access: Configurable permissions allow workflows to be tailored by user roles, ensuring appropriate access and task visibility for different team members. <br> These capabilities ensure Axiell's Vital Records Management system can adapt to current and future requirements, improving efficiency and alignment with organizational goals. |
| | | YES | |
| 2 | USERS | | |
| 2.1 | GENERAL | | |
| 2.1.1* | The system must allow a user with necessary access to create a record, image, or attachment. | | Our system enables users with the appropriate access to create records, images, and attachments directly within the application. This functionality is supported by configurable permissions to ensure secure access and integrates across all modules. Additionally, all actions are logged in detailed audit trails to ensure compliance and accountability. |
| | | YES | |

| | | | |
|---|---|---|---|
| 2.1.2* | The system must allow a user with necessary access to view a record, image, or attachment. | YES | Our system allows users with the necessary access to view records, images, and attachments within the application. This functionality is supported by configurable permissions, ensuring access is restricted to authorized users, and integrates across all modules. Comprehensive audit logging tracks all viewing activities to maintain compliance and accountability. |
| 2.1.3* | The system must allow a user with necessary access to search a record, image, or attachment. | YES | With configurable access controls, our system empowers authorized users to efficiently search for records, images, and attachments. Advanced search functionalities enable quick retrieval in each module. Each search action is logged in detailed audit trails, ensuring compliance and transparency throughout the process. |
| 2.1.4* | The system must allow a user with necessary access to update a record, image, or attachment. | YES | Our system provides authorized users with the capability to update records, images, and attachments securely and efficiently. Role-based permissions ensure only those with appropriate access can make modifications, maintaining the integrity of all updates. Additionally, every update is tracked in a detailed audit log to ensure accountability and compliance. |
| 2.1.5* | The system must allow a user with necessary access to save a record, image, or attachment. | YES | The system enables authorized users to securely save records, images, and attachments with ease. Role-based controls ensure that only users with appropriate permissions can perform this action, safeguarding data integrity. Each save operation is recorded in audit logs to support transparency. |
| 2.1.6* | The system must allow a user with necessary access to delete or purge a record, image, or attachment. | YES | Our system allows authorized users to delete or purge records, images, and attachments securely. Strict access controls ensure only users with the appropriate permissions can perform these actions, protecting system integrity. All deletion and purging activities are thoroughly logged in audit trails, promoting traceability and ensuring data oversight. |
| 2.1.7* | The system must allow a user with necessary access to deactivate a record, image, or attachment. | YES | The system empowers users with the proper permissions to deactivate records, images, or attachments efficiently and securely. Role-based access ensures this functionality is restricted to authorized individuals, preserving system integrity. Every deactivation action is fully documented in audit logs. |
| 2.1.8* | The system must have the ability to register a user for system access based on role and location. | YES | Our system provides user registration capabilities, enabling administrators to register users for system access tailored to their roles and locations. Through our user and facility management system, administrators can create, approve, and configure users, facilities, roles, and permissions to align with organizational requirements. This ensures that each user's access is securely defined and limited to their specific operational needs. |
| **2.2** | **ACCESS** | | |
| 2.2.1* | The system must allow access to both internal (State of Nebraska employees) and external users (e.g., funeral directors, hospital staff, and county clerks). | YES | Our system provides secure access for both internal users, such as State of Nebraska employees, and external stakeholders, including but not limited to funeral directors, hospital staff, and county clerks. It supports this diverse user base through a configurable user management framework that allows for the creation and approval of roles and permissions tailored to each group's responsibilities. Internal users benefit from streamlined workflows and state-defined data access, while external users gain efficient, role-specific access to perform vital tasks like record data entry. |
| 2.2.2* | The system must have role-based security for application and administrative functions including views for all user roles across all modules. | YES | Our system incorporates a role and permission management framework that enforces role-based security across all application and administrative functions. This ensures that users can only access views and perform actions aligned with their assigned roles, whether they are general users or system administrators. Role-based permissions are configurable and extend across all modules, providing precise control over what each user can view and do, while maintaining secure and efficient system operations. |
| 2.2.3* | The system must provide a location selection prompt for users who have access to multiple locations. | YES | Our system allows users with access to multiple facilities or roles to easily switch between them using a role and location selector prominently displayed in the top-right corner of every page. This feature ensures that users can quickly select the appropriate location or role without disrupting their workflow. |
| 2.2.5 | The system should have the ability for a new user to complete a registration form. | YES | Our system includes a comprehensive new user registration form that allows prospective users to input all necessary information directly into the system. Once submitted, the request undergoes an approval process managed by administrators, ensuring secure and appropriate access. Users can optionally be presented with terms of use, confidentiality agreements, or other required documents for review and acceptance before being granted access to the system. |
| 2.2.6* | The system must have the ability for a user to complete self-service password changes and/or resets. | YES | Our system includes a self-service password management feature, enabling users to securely change or reset their passwords without administrative assistance. |
| 2.2.7* | The system must have the ability for a user to update their own user profile demographics once logged in (non-system security). | YES | Our system allows users to update their own profile demographics, such as contact information and other non-security-related details, through a dedicated self-service interface. Once logged in, users can easily make these updates, ensuring their information remains accurate without requiring administrative intervention. |

| 2.2.8* | The system must provide a warning message after user login based on a configurable time period when a password is expiring. | | Our system proactively manages password expirations by providing users with a warning message upon login as their password approaches expiration, based on a configurable time period. Additionally, the system is configured to automatically prompt users to set a new password after the expiration date. |
| | | YES | |
| 2.2.9* | The system must perform an automatic logoff for session inactivity based on a configurable length of time. | | Our system enhances security and ensures compliance with HIPAA regulations by automatically logging off users after a period of inactivity, with the timeout duration and warning configurations fully customizable. |
| | | YES | |
| 2.2.10* | The system must provide a warning message prior to automatic logoff for session inactivity based on a configurable length of time. | | Prior to logoff, a warning popup alerts users a configurable amount of time in advance, allowing them to extend their session if needed. This feature supports HIPAA compliance by minimizing the risk of unauthorized access to sensitive data, ensuring that sessions are securely terminated after periods of inactivity. |
| | | YES | |
| **2.3** | **SEARCH** | | |
| 2.3.1* | The system must allow a user with necessary access the ability to use a real-time search and filter function whereas all vital event records, requests, orders, payments, and invoices can be viewed, searched, and filtered by one or more data fields or variables in each record, and wildcards or partial entry of a field can be used. | | Our system provides a real-time search and filter function, enabling users with the necessary access to view, search, and filter all vital event records, requests, orders, payments, and invoices. Users can search by one or more data fields or variables within each record and utilize partial entries for efficient results. In addition to our traditional search feature, below is our dashboard view that can quickly filter results by parameters such as queue, user assignment, facility assignment, and/or time.<br> |
| | | YES | |
| 2.3.2* | The system must allow a user with necessary access to export search results. | | The system provides users with necessary access the ability to export search results directly from the interface. Exported data can be saved in commonly used formats such as CSV or Excel, allowing users to utilize the data outside of the system as needed (sreenshot in E85).<br>Additionally, some commonly used exports are available, as seen screenshot in E86.<br> |

| | | | |
|---|---|---|---|
| | | |  |
| | | YES | |
| 2.3.3* | The system must allow a user with necessary access to print search results. | | The system allows users with the necessary access to print search results by first exporting the data to an Excel spreadsheet, which can then be printed. Additionally, the system can be customized to include a direct print button on the search page, eliminating the need for an intermediary export step and streamlining the printing process. |
| | | |  |
| | | YES | |
| 2.3.4* | The system must have the ability to limit the number search result count by user. | | The system currently limits the number of search results by module to maintain performance and usability. However, this functionality can be customized to apply limits based on user roles. |
| | | CUS | |
| **2.4** | **FUNCTIONALITY** | | |
| 2.4.1* | The system must have the ability for a user with the necessary access to create a new user and associate that user to specific user role(s). | | The system allows users with the necessary access to create new user accounts and assign specific roles during the setup process. This functionality includes associating the user with one or more predefined roles, ensuring their access and permissions align with organizational requirements. Role assignments can be configured to reflect job functions, locations, and/or other criteria to maintain secure and efficient system use. |
| | | YES | |
| 2.4.2* | The system must have the ability for a user with the necessary access to delete a user. | | The system enables users with the necessary access to delete user accounts securely. This process ensures that all associated permissions and roles are revoked, and the deletion action is logged in the system's audit trail to maintain transparency and support compliance requirements. |
| | | YES | |
| 2.4.3* | The system must have the ability to search the system for a user, including a filter to search for an expired user. | | The system provides a search feature allowing users with the necessary access to locate user accounts, including those that have expired. Filters can be applied to refine the search by criteria such as account status, role, associated facility, or other user attributes, enabling quick identification of expired users within the system. |
| | | YES | |
| 2.4.4* | The system must have the ability for a user with the necessary access to deactivate a user. | | The system allows users with the necessary access to deactivate user accounts. Deactivation immediately revokes the user's access while preserving their account information for audit purposes. This action is logged in the system's audit trail to ensure accountability and maintain a comprehensive record of administrative activities. |
| | | YES | |
| 2.4.5* | The system must allow a user with necessary access to bypass security and update any entry when needed. | | The system permits users with the necessary access to bypass standard security controls and update any entry when required. This functionality is restricted to authorized roles, ensuring it is used only in exceptional circumstances. All bypass actions are logged in the audit trail, capturing details such as the user, timestamp, and specific changes made. |
| | | YES | |

| | | | |
|---|---|---|---|
| 2.4.6 | The system should allow a user with necessary access the ability to view more detailed information on any field when appropriate. | | The system allows users with the necessary access to view more detailed information on any field through configurable tooltips. These tooltips can be customized to provide additional context, definitions, or instructions based on the State of Nebraska's specifications. When users hover over or click on a field, the system displays the relevant tooltip content, ensuring clarity and guidance where needed. This flexibility allows the tooltips to be tailored to the unique requirements of each field or workflow. |
| | | YES | |
| 2.4.7* | The system must allow a user with necessary access to attach, link, and view any supporting document of any file format to a record or order. | | The system enables users with the necessary access to attach and link supporting documents of any file format directly to records or orders. Once attached, these documents can be easily viewed within the system, ensuring access to all associated information. This functionality supports a wide range of file types, maintaining compatibility with diverse documentation needs. |
| | | |  |
| | | YES | |
| 2.5 | CONFIGURATION | | |
| 2.5.1* | The system must have the ability to edit validation data through a front-end utility. | | The system does not currently allow front-end users to edit validation data, as this functionality requires customization. At present, making changes to validation data is tied to re-compiling the application. This enhancement is on our product roadmap to address in the future, enabling direct access to this functionality through a front-end utility once implemented. Should we be the successful proponent we would accelerate it into the roadmap to match the go-live date for Nebraska. |
| | | YES | |
| 3 | SYSTEM ADMIN | | |
| 3.1 | ACCESS | | |
| 3.1.1* | The system must have a user role with elevated security access to the system (e.g., System Administrator). | | The system includes two default types of elevated security roles to address administrative needs. The first role is tailored for day-to-day administrative tasks in the vital records office, such as managing user accounts, overseeing workflows, and handling data corrections. The second role is designed for system and technical administration, granting access to configure system settings, manage databases, and perform technical maintenance. Both roles are carefully restricted to authorized personnel, with all actions logged in the audit trail to ensure accountability and security. |
| | | YES | |
| 3.1.2 | The system should have system-level access to exports (create, configure). | | The system provides system-level access to create and configure exports, which can be executed directly against the system or through the accompanying data warehouse. Users with the necessary permissions can define export parameters, select data fields, and customize formats to meet organizational needs. |
| | | YES | |
| 3.1.3 | The system should have system-level access to imports (create, configure). | | The system offers system-level access for authorized users to create and configure data imports. Users can define import parameters, map data fields, and upload files in supported formats such as CSV or Excel. |

| | | | YES | |
|---|---|---|---|---|
| 3.1.4 | The system should have system-level access to reports (create, configure). | | YES | The system provides system-level access to create and configure reports, which can be executed directly against the system or through the accompanying data warehouse. Users with the necessary permissions can define report parameters, select data fields, and customize formats to meet organizational needs. |
| 3.1.5 | The system should have system-level access to documents (create, configure). | | | The system allows authorized users with system-level access to create and configure documents. This includes defining document templates, customizing layouts, and configuring content fields to ensure alignment with organizational requirements. See example below with our insufficient letter template editor. |



| | | | YES | |
|---|---|---|---|---|
| **3.2** | **DATA** | | | |
| 3.2.1* | The system must use a centralized data dictionary that fully describes table structure and appropriate levels of metadata. | | YES | Axiell's system uses Entity Framework; therefore, it inherently uses a centralized data dictionary. The entity classes and their configurations act as the data dictionary, describing table structures, data types, constraints, relationships, and validation rules in a centralized and accessible manner. |
| 3.2.2* | The system must allow a user with necessary access to have read-only access to the system's database(s). | | YES | The system provides authorized users with the ability to view the system's database(s) in a read-only mode. This access ensures that users can review data without the risk of making modifications, preserving database integrity. |
| 3.2.3 | The system should allow a user with necessary access to have full access to the system's database(s). | | YES | The system allows users with the necessary access to have full access to the system's database(s), including the ability to view, edit, and manage data. This level of access is restricted to highly authorized roles, such as database administrators, to ensure system security and data integrity. All activities performed with full database access are meticulously logged in the audit trail to maintain transparency and accountability. |

| 3.3 | FUNCTIONALITY | | |
|---|---|---|---|
| 3.3.1 | The system should have the ability to edit (e.g., checkbox, drop-down box, etc.). | YES | The system provides the ability to edit fields using intuitive interfaces such as checkboxes, drop-down menus, text fields, and other input types. All edits are tracked in the audit trail. |
| 3.3.2 | The system should have the ability for the system administrators to create user roles. | YES | The system provides system administrators with the ability to create user roles through a roles and permissions management system. Administrators can define roles to match specific job functions, assigning granular permissions to control access to modules, data fields, and system functionalities. |
| 3.3.3 | The system should have the ability for the system administrators to modify user roles. | YES | The system enables system administrators to modify user roles using a flexible roles and permissions management interface. Administrators can adjust existing roles by updating permissions, adding or removing access to specific modules or functions, and aligning roles with evolving organizational needs. These modifications are tracked in the audit trail to ensure transparency and maintain accountability for all role changes. |
| 3.3.4 | The system should have the ability for the system administrators to delete user roles. | YES | The system allows system administrators to delete user roles through the roles and permissions management interface. Deletion of a role ensures that all associated permissions are revoked, and the action is logged in the audit trail. |
| 3.3.5 | The system should have the ability for system administrators to terminate a user connection and/or session remotely. | YES | The system provides system administrators with the ability to remotely terminate a user connection or session. All session termination actions are logged in the audit trail, capturing details such as the administrator performing the action, the user affected, and the timestamp, to maintain accountability and system security. |
| 3.3.6 | The system should have the ability to maintain a directory of all personnel currently active in the system. | YES | The system includes a centralized directory that maintains an up-to-date list of all personnel currently active in the system. This directory provides detailed information such as user roles, permissions, and activity status, enabling administrators to monitor system usage effectively. All updates to the directory are logged. |
| 3.3.7* | The system must have the ability to produce a system access log (in/out history) by user with time stamp in seconds. | YES | The system generates detailed action logs that capture the login and logout history for each user, complete with timestamps recorded to the second. These logs include user-specific details such as session start and end times, ensuring precise tracking of system access. The access log is available for review by authorized personnel. |
| 3.3.8 | The system should allow the system administrator to make batch updates to data on admin-specified criteria (i.e., system-wide find/change functionality). | YES | The system provides system administrators with a batch update functionality, allowing them to make bulk changes to data based on admin-specified criteria. This system-wide find-and-change feature enables administrators to efficiently update records across multiple modules while applying precise filters to target specific data sets. All batch update actions are logged in the audit trail, capturing the criteria, changes made, and the administrator performing the action. |
| 3.3.9 | The system should allow the system administrator to schedule batch updates to data on admin-specified criteria (i.e., system-wide find/change functionality). | YES | The system allows system administrators to schedule batch updates to data based on admin-specified criteria using a system-wide find-and-change functionality. Administrators can define the criteria, set the desired changes, and schedule the updates to run at a specified time, ensuring minimal disruption to system operations. All scheduled batch update activities, including criteria and execution details, are logged in the audit trail for transparency and accountability. |
| 4 | AUDIT LOGS | | |
| 4.1 | GENERAL | | |
| 4.1.1 | *The system must have action history logs to view modifications, deletions, data loading actions, reports, printing, and user log-ins/outs. At a minimum the log must contain the following:* | | |
| 4.1.1.1* | User; | YES | Each action in the system is logged with the associated user's unique identifier. |
| 4.1.1.2* | Date; | YES | The log records the exact date of each action, enabling administrators to establish a clear timeline of events. |
| 4.1.1.3* | Time; | YES | Action timestamps, accurate to the second, are captured alongside each log entry. |
| | | |  |
| 4.1.1.4* | Data Prior to Edit; | YES | Before any modification, the system captures and logs the data as it existed prior to the edit. |
| 4.1.1.5* | Data After Edit. | | The system also logs the data after an edit is made, providing a clear record of the change. This enables a comparison of pre- and post-edit states, supporting audits and compliance reviews. |

| Work Task | Login | Facility Name | Field Name | |
|---|---|---|---|---|
| Event Type | User Name | Facility Type | Previous Value | New Value |
| Date | Assignment | | | |
| **Birth Data Entry** | cfincham | State Vital Records Office | *Child's First Name* atif | John |
| Edit | Chris Fincham | Central Vital Records Office | *Child's Last Name* asdf | Smith |
| 12/03/2024 02:26 PM | Central Office Administrators | | *Child's SSN Requested* False | True |
| | | | *Delivery Date* 05/11/2024 05:05 Unknown Actual | 05/12/2024 07:07 Military Actual |
| | | | *Sex* Male | Female |
| | | | + less | |

YES

| # | Requirement | Y/N | Response |
|---|---|---|---|
| 4.1.2 | *The system must have audit history logs to view user activities, such as logging in and out of the system. At a minimum the log must contain the following:* | | |
| 4.1.2.1* | User; | YES | Each log entry includes the unique identifier of the user who performed the activity. |
| 4.1.2.2* | Date; | YES | The log records the specific date of each user activity, establishing a chronological record of access events for monitoring and audit purposes. |
| 4.1.2.3* | Time. | YES | Timestamps, accurate to the second, are captured for each activity. |
| 4.1.3* | The system must track changes made to all data, keeping the integrity of the original document, data, and image with associated changes. | YES | The system meticulously tracks all changes made to data while maintaining the integrity of the original documents, data, and images. Every modification is logged with detailed information, including the user responsible for the change, the date and time, and the specific data altered. Both the original and updated states are preserved, ensuring transparency and enabling comparisons or rollbacks as needed. |
| 4.1.4* | The system must provide the ability to create, save, and export an audit log of the tracked changes made throughout the system. | YES | The system offers the capability to create, save, and export comprehensive audit logs of all tracked changes made within the system. These logs capture detailed information, including user activities, timestamps, and the specific changes performed, ensuring a complete record of system interactions. Export functionality allows the logs to be shared in standard formats for external review or reporting, while saving options ensure they are securely stored for future reference. |
| 4.1.5* | The system must maintain a history of all data. | YES | The system maintains a comprehensive history of all data, capturing every modification, addition, and deletion throughout its lifecycle. This history includes detailed records of changes, such as timestamps, the user responsible, and both the original and updated data states. |
| **4.2** | **ORDER MANAGEMENT** | | |
| 4.2.1* | The system must track the data associated with serialized forms used within each order. | YES | The system tracks all data associated with serialized forms used within each order, ensuring a detailed and transparent record of their usage. This includes capturing the form's unique serial number, its association with specific orders, and any updates or modifications made during the process. The tracking mechanism preserves a complete history. |
| 4.2.2* | The system must be able to store a user-defined, customizable volume of sales transactions, categorized by transaction date, for a minimum of five years. | YES | The system is designed to store a user-defined, customizable volume of sales transactions, organized by transaction date, for a configurable retention period. Users can categorize and retrieve transactions efficiently, ensuring compliance with record-keeping requirements while maintaining flexibility to adapt storage parameters to organizational needs. |
| 4.2.3* | The system must contain reporting capabilities to assist with audit of document control number/certificate paper to the associated receipt and order, including by registrar and date. | YES | The system includes reporting capabilities that link document control numbers or certificate paper to the corresponding receipts and orders. These reports can be filtered and categorized by registrar, date, or other relevant criteria, providing a clear audit trail for document issuance. Examples of this include the void and missing stock reports. Additionally, at the end of each order that results in a certificate print, the clerk must scan or key the stock number into the system which permanently ties the event to the stock it was printed on. This enables auditing to be accurate and is also an anti-fraud mechanism and opens up opportunities for for automated stock verification services. |
| **4.3** | **CERTIFIED PAPER** | | |
| 4.3.1* | The system must track the number of certificates printed by vital event record and certificate type. | YES | The system tracks the number of certificates printed for each vital event record, maintaining a detailed record of all print activities associated with specific records. Additionally, the system categorizes and tracks certificates by type, ensuring a clear and organized breakdown of printing activity across various certificate formats. |

| 4.3.2* | The system must track the serial number of issuance in chronological order within a print log. | | The system includes a print management system that tracks the serial numbers of issued certificates in chronological order within a comprehensive print log. Each issuance is recorded with its serial number, ensuring an organized and transparent record of printing activities. |
|---|---|---|---|
| | | YES | |
| **4.4** | **FUNCTIONALITY** | | |
| 4.4.1* | The system must capture an audit of all imports. | | The system captures a detailed audit log of all data imports, recording essential information such as the date and time of the import, the user responsible, the source of the data, and the specific records affected. This audit trail ensures transparency and accountability by documenting each import action, enabling administrators to review, validate, and troubleshoot import activities as needed. The system also tracks any errors or exceptions encountered during the import process, providing a complete and reliable record for compliance and operational oversight. |
| | | YES | |
| 4.4.2* | The system must capture an audit of all exports. | | The system captures a comprehensive audit log of all data exports, documenting key details such as the date and time of the export, the user initiating the action, the data fields or records selected, and the format of the exported file. This audit trail ensures accountability and transparency, allowing administrators to monitor export activities and ensure compliance with data governance policies. Additionally, the system logs any errors or anomalies during the export process, providing a complete record for review and troubleshooting. |
| | | YES | |
| 4.4.3* | The system must allow a user with necessary access to search the audit log. | | The system enables users with the necessary access to search the audit log, providing a flexible interface to locate specific entries. Users can apply filters such as date range, user, action type, or affected data to refine search results, ensuring efficient access to relevant audit information. |
| | |  | |
| | | YES | |
| 4.4.4* | The system must track the creating, viewing, printing, and deleting of attachments. | | The system tracks all actions related to attachments, including creating, viewing, printing, and deleting, with each activity recorded in the audit log. These actions are documented within the history tab of the associated vital event record, ensuring a clear and accessible trail of attachment-related activities. |

| | | |
|---|---|---|
| | | YES |

| 4.5 | CONFIGURATION | | |
|---|---|---|---|
| 4.5.1* | The system must track and maintain an audit log of when configuration changes are made (e.g., changes to fees for certification types). | | The system includes auditing features to track and maintain a detailed log of configuration changes, capturing critical details such as the user who made the change, the date and time, and the specific configuration modified. However, applying these auditing capabilities to fee schedules, such as changes to fees for certification types, will require customization. This enhancement is not currently available but can be implemented to ensure a complete and transparent history of adjustments to fee-related configurations. |
| | | YES | |

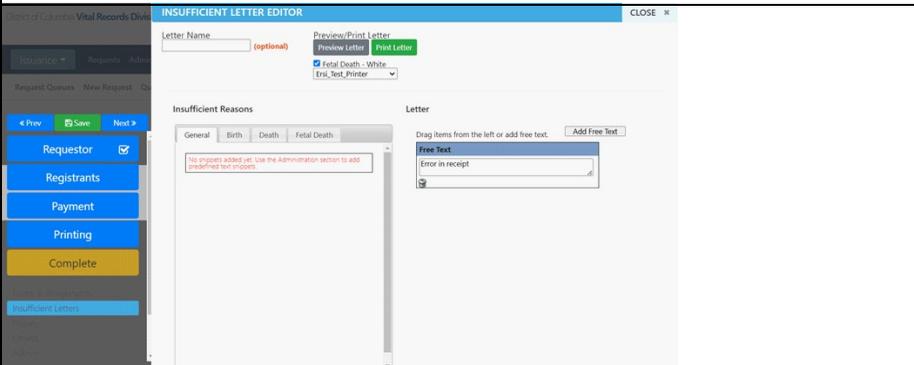| 5 | ALL MODULES | | |
|---|---|---|---|
| 5.1 | GENERAL | | |
| 5.1.1* | The system must contain all existing and future records or orders with any associated images and/or attachments synchronously. | | The system maintains all existing and future records or orders along with their associated images and attachments in a synchronized manner. This ensures that any updates or modifications to records are reflected in real time across all related data and files. Users with the necessary access can view and manage records, images, and attachments without delays or discrepancies. |
| | | YES | |
| 5.1.2* | The system must incorporate all previously available records or orders with any associated data or attachments from the current system. | | The system incorporates all previously available records or orders, along with their associated data and attachments, through a comprehensive migration process from the current system. This ensures that historical records and their linked information are fully preserved and accessible in the new environment. Users can seamlessly interact with legacy data as part of the integrated system. |
| | | YES | |
| 5.1.3* | The system must allow a user with necessary access the ability to print an attachment. | | The system enables users with the necessary access to print attachments directly from the interface. This functionality ensures that users can easily access and produce hard copies of relevant documents associated with records or orders. |
| | | YES | |
| 5.1.4* | The system must allow input of a partial record or order without forcing a user to complete a process. | | The system allows users to input partial records or orders without requiring the process to be completed in a single session. Users can save their progress and return later to finalize the entry, enabling flexibility and accommodating interruptions in workflow. |
| | | YES | |
| 5.1.5* | The system must validate and issue vital event records. | | The system validates vital event records by checking all required fields and data points against predefined rules (including NCHS Validation rules) to ensure accuracy and compliance. Once validation is complete, the system allows for users to securely issue the vital event record, ensuring it is properly recorded and accessible while maintaining a detailed log of the issuance process. |
| | | YES | |

| | | | |
|---|---|---|---|
| 5.1.6* | The system must allow a user with necessary access to view, change, and submit a record or order. | YES | The system enables users with the necessary access to view, edit, and submit records or orders. Users can review details, make modifications as required, and submit the updated information within the interface. Each action is also tracked in the audit log. |
| 5.1.7* | The system must allow a user with necessary access to view, print, store, attach and scan documents or images into a record or order. | YES | The system enables users with the necessary access to view, print, store, attach, and scan documents or images directly into a record or order. This functionality integrates seamlessly within the interface, allowing users to manage all associated files efficiently. |
| 5.1.8* | The system must allow a user to save a record or order regardless of completed data except for fields that are flagged as required by the State of Nebraska. | YES | The system will be configured to allow users to save a record or order regardless of completed data, ensuring flexibility in workflows. Fields flagged as required by the State of Nebraska will remain mandatory, preventing the record from being saved until those specific fields are completed. This configuration can be tailored to align precisely with the state's requirements, supporting compliance while maintaining user efficiency. |
| 5.1.9* | The system must have administrative tools to be customizable to meet specific user needs. | YES | The system includes a suite of administrative tools that allow for extensive customization to align with specific user needs. Administrators can configure user roles, permissions, workflows, and data validation rules directly through the interface. These tools also enable customization of system fields, forms, and reports, ensuring that the system adapts to unique operational requirements without the need for significant technical support. |
| 5.1.10 | The system should save user data entry progress automatically upon moving to the next field on the form. | CUS | The system ensures data is saved when users navigate between pages using the previous or next buttons, capturing all changes made up to that point. Navigating between fields on the same page does not trigger a save action, allowing users to make multiple edits without committing changes until they move to a new page.<br><br>However, the system's configuration functions, including user and facility management, save data entry progress automatically as the user moves from one field to the next. This ensures that changes are immediately preserved without requiring manual saves. |
| 5.1.11 | The system should allow the saving and pausing activity on one record or order and moving to a different record or order for processing. | YES | The system allows users to save and pause activity on one record or order and move to another for processing. For records, the transition between them is seamless, preserving any changes made before leaving. For orders, the system provides warning prompts to inform users of their current assignment to the order and any active assignments by other users. This ensures that transitions are intentional and minimizes the risk of conflicts or incomplete processing. |
| 5.2 | **SEARCH** | | |
| 5.2.1* | The system must allow a user the ability to group, sort and count search result data. | YES | The system enables users to group, sort, and count search result data directly within the interface. Users can apply grouping by fields such as record type, status, or date, sort results in ascending or descending order, and generate counts for specific categories or filters. |
| 5.2.2* | The system must allow a user with necessary access to search for a record or order using various metadata fields. | YES | The system allows users with the necessary access to perform detailed searches for records or orders using a wide range of metadata fields. Users can search by criteria such as record ID, order number, creation date, status, associated names, or other custom fields specific to the data type. The search functionality supports exact matches, partial entries, and wildcards, ensuring flexibility in locating information. Additionally, users can combine multiple metadata fields to refine their search, enabling precise retrieval of records or orders. All searches are performed in real time, ensuring up-to-date results without delays. |
| 5.2.3* | The system must provide a real-time search and filter function whereas all vital event records, requests, orders, payments, and invoices can be electronically viewed, searched, and filtered by one or more data fields or variables in each record, and wildcards or partial entry of a field can be used. | YES | The system offers a real-time search and filter function that allows users to electronically view, search, and filter all vital event records, requests, orders, payments, and invoices. Users can search by one or more data fields or variables, such as record type, status, associated names, or date ranges, enabling highly targeted results. The system supports the use of wildcards and partial field entries for greater flexibility in retrieving information. Additionally, the search interface integrates seamlessly with filters for quick sorting and categorization, allowing users to further narrow down results based on queue, user assignment, facility assignment, or time. |
| 5.2.4* | The system must allow a user with necessary access to manipulate search parameters. | YES | The system allows users with the necessary access to manipulate search parameters through an intuitive interface. Users can adjust criteria such as field filters, date ranges, record types, and statuses to refine their search results dynamically. The interface supports adding or removing parameters, modifying values, and applying multiple criteria simultaneously to tailor searches to specific needs. |

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| 5.2.5* | The system must allow a user with necessary access to save search parameters individually or to a group. | | The system has functionality which enables users with the necessary access to save search parameters either individually or within a group. This functionality allows users to define and store specific search criteria for individual use or share them with designated groups within the organization. Saved group parameters can be accessed by all members of the group, ensuring consistency in searches and facilitating collaboration. This feature streamlines repetitive tasks and enhances operational efficiency by providing quick access to predefined search configurations. |
| | | YES | |
| 5.2.6* | The system must allow a user with necessary access to export (to Excel) search results. | | The system provides users with necessary access the ability to export search results directly from the interface. Exported data can be saved in commonly used formats such as CSV or Excel, allowing users to utilize the data outside of the system as needed. |
| | | |  |
| | | YES | |
| 5.2.7* | The system must allow a user with necessary access to print search results. | | The system allows users with the necessary access to print search results by first exporting the data to an Excel spreadsheet, which can then be printed. Additionally, the system can be customized to include a direct print button on the search page, eliminating the need for an intermediary export step and streamlining the printing process. |
| | | YES | |
| 5.2.8* | The search feature must have the ability to manipulate the number of records captured in a search by the user. | | The system currently limits the number of search results by module to maintain performance and usability. However, this functionality can be customized to apply limits based on user roles. |
| | | CUS | |
| 5.2.9* | The system must allow a user to render searches of over 1,000 vital events at a time. | | The system is optimized to handle searches that return at least 1,000 vital events at a time. Results are efficiently processed and displayed in a format that supports easy navigation, such as pagination or infinite scrolling. Users can further refine these large datasets using filters and sorting criteria, ensuring that even high-volume searches remain manageable and responsive. |
| | | YES | |
| 5.3 | CORRESPONDENCE | | |
| 5.3.1* | The system must have the ability to generate letters for customer correspondence. | | The system includes a letter generator, such as the one used for creating insufficient letters, to support customer correspondence. This tool allows users to draft letters based on predefined templates or customize the content as needed, pulling relevant data directly from associated records. The generated letters are tied to the specific customer or case, ensuring accuracy and maintaining a complete communication history. Users can print, save, or send the letters, streamlining the correspondence process and enhancing customer service efficiency. |
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| | | YES | |

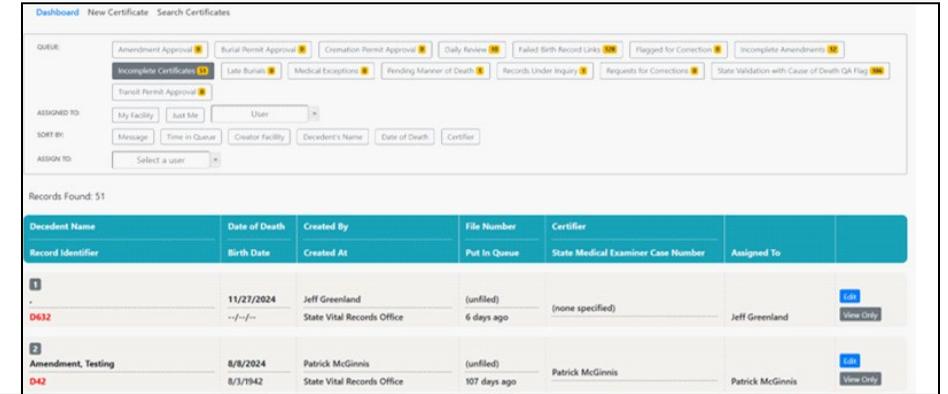| | | | |
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| 5.3.2* | The system must have the ability to view previously generated and/or sent customer correspondence. | | The system allows users to view previously generated and/or sent customer correspondence. The user is provided access to a detailed history of all communications, including the content of letters, the date they were created or sent, and the recipient information. Each piece of correspondence is directly tied to the associated record, ensuring that users can quickly retrieve and review past communications for reference or follow-up actions. |
| | | YES | |
| 5.3.3* | The system must have the ability to edit and send customer correspondence. | | The system allows users to edit and send customer correspondence directly within the platform. Users can modify letter templates or create custom messages tailored to the specific needs of the recipient. Once finalized, the correspondence can be sent electronically or prepared for printing, with all actions logged for tracking purposes. This functionality ensures that customer communications remain accurate, relevant, and efficiently managed. |
| | | YES | |
| 5.3.4* | The system must have the ability to resend previously sent customer correspondence. | | The system enables users to resend previously sent customer correspondence with ease. By accessing the correspondence history linked to the associated record, users can select the desired communication, review its content, and resend it. The system also tracks the number of resends and the dates they occurred, providing a clear log of all reissued communications for transparency and accountability. |
| | | YES | |
| **5.4** | **DOCUMENTATION** | | |
| 5.4.1* | The system must have standard forms, permits, and worksheets that are accessible for a user with necessary access. | | The system can be populated with Nebraska's library of standard forms, permits, and worksheets, accessible to users with the necessary permissions. Access is managed through configurable user roles, ensuring documents are tailored to specific needs; for example, certain forms may be restricted to users at specific facilities. These documents are available in two formats: blank templates for general use and pre-populated forms generated from event records, with data filled in based on the completion status of the record. Users can retrieve, complete, save, and print these documents as required, supporting both digital workflows and drop-to-paper processes. The system also tracks access and usage, maintaining a detailed log for accountability and operational transparency. |
| | | YES | |
| 5.4.2* | The system must have the ability to propagate data onto documents, forms, permits, and worksheets. | | The system is designed to automatically propagate relevant data onto documents, forms, permits, and worksheets. When generating these items, the system pulls information directly from associated records, ensuring accuracy and reducing manual entry. This functionality supports dynamic field population, enabling seamless integration of vital event details, user data, and other pertinent information into the required templates. By streamlining document preparation, the system enhances efficiency and minimizes errors while maintaining a complete audit trail of generated materials. |
| | | YES | |
| 5.4.3* | The system must have document management storage to house all certificates and associated supporting documents to be tied to the original records (e.g., adoptions). | | The system includes a comprehensive document management storage feature accessible through the assets page, designed to securely house all certificates and associated supporting documents tied to their original records. For example, adoption records and their related documents, such as court orders or amended certificates, are centrally stored and linked to the corresponding vital event. The assets page allows users with appropriate access to view, manage, and retrieve these documents efficiently, ensuring they remain organized and perpetually associated with the correct record. |
| | | YES | |
| **5.5** | **FIELDS** | | |
| 5.5.1 | The system should provide real-time validation for an entered address and prompt if not valid. | | The system includes a validation framework for all address fields, ensuring that entered data meets the required format and completeness standards in real time. The integrated address verification system cross-checks the provided address against an authoritative database of your choice to confirm its existence. If the address is invalid or unverified, the system immediately prompts the user with a notification, offering suggestions or requesting corrections. |
| | | YES | |

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| 5.5.2 | The system should be able to populate validated country, state, county, city, and zip code based on selected address. | CONFIG | The system can populate validated fields for country, state, county, city, and zip code based on the selected address by cross-referencing it against an integrated address verification system. This system checks the entered address against an authoritative database of the State of Nebraska's choosing to ensure accuracy and completeness, reducing errors and maintaining consistency across all modules. |
| 5.5.3 | The system should prompt if a suite number is appropriate. | CONFIG | This functionality is powered by the authoritative database referenced earlier, which contains comprehensive and up-to-date address information. By cross-referencing entered data with this trusted resource, the system can identify when additional details, such as a suite or unit number, are required. |
| 5.5.4 | The system should prompt with any suggested address alternative. | CONFIG | The system provides prompts with suggested address alternatives by utilizing the authoritative database referenced earlier, which ensures access to validated and standardized address information. When an entered address is incomplete or does not fully match known data, the system cross-references it with the database and offers corrected or standardized alternatives. These suggestions appear dynamically, allowing users to select the most appropriate address. |
| 5.5.5* | The system must have a consistent data input and display format for time across all modules. | YES | The system has a consistent data input and display format for time across all modules, ensuring uniformity in how time is recorded and presented. Users input time using a standardized format, such as HH:MM AM/PM or 24-hour notation, as configured by the organization. This consistency eliminates confusion, supports accurate data interpretation, and maintains reliability across various workflows and reports. All time entries are displayed uniformly in records, reports, and user interfaces. |
| 5.5.6* | The system must have a consistent data input and display format for phone numbers across all modules. | YES | The system employs a consistent free text box format for entering and displaying phone numbers across all modules, ensuring uniformity in data handling. The input can be configured to enforce specific rules, such as allowing only numeric characters, limiting the number of digits, or requiring specific formats like area codes or country codes. |
| 5.5.7* | The system must have a consistent data input and display format for zip codes across all modules. | YES | The system ensures a consistent data input and display format for zip codes across all modules by defaulting to a field limited to five numeric characters. This setup provides a standardized approach to recording zip codes. However, the field configuration is fully customizable, allowing organizations to adjust character limits or formatting to accommodate extended zip code formats or specific regional requirements. |
| 5.5.8* | The system must have a consistent data input and display format for dates across all modules. | YES | The system maintains a consistent data input and display format for dates across all modules. This standard format ensures uniformity in how dates are recorded and displayed. The format is configurable to accommodate any organizational or regional preferences. |
| 5.5.9* | The system must have a consistent data input and display format for whole numbers, decimals, and amounts across all modules. | YES | The system enforces a consistent data input and display format for whole numbers, decimals, and amounts across all modules. Numeric fields are configured to handle defined formats, such as limiting decimal places, standardizing the placement of commas for thousands, and ensuring amounts include currency symbols where applicable. These formats are consistent by default but can be configured to meet specific organizational or regional requirements, providing clarity and precision in numerical data entry and display. |
| 5.5.10* | The system must have the proper data input and display format for social security numbers "000-00-0000" across all modules. | YES | The system ensures a consistent data input and display format for Social Security numbers (SSNs) across all modules by dividing the SSN into three distinct fields: one for the first three digits (000), one for the next two digits (00), and one for the final four digits (0000). To streamline data entry, the system automatically advances between fields as the user types, allowing the entire number to be entered seamlessly without needing to click or manually tab between fields. The fields are displayed and exported together in the standard "000-00-0000" format, ensuring uniformity and clarity throughout the system. |
| 5.5.11* | The system must provide spell check functionality for freeform text entry fields as designated by the State of Nebraska. | CUS | The system is configurable to integrate a spell checker selected by the State of Nebraska, ensuring it meets their specific requirements. |
| 5.5.12* | The system must have the ability for a user to accept or ignore spell check suggestions. | CUS | The system is configurable to integrate a spell checker selected by the State of Nebraska, ensuring it meets their specific requirements. |
| 5.5.13* | The system must have the ability to customize (e.g., add to dictionary) the spell check functionality by user with necessary access. | CUS | The system is configurable to integrate a spell checker selected by the State of Nebraska, ensuring it meets their specific requirements. |
| 5.5.14* | The system must have the ability to configure any data field (user-defined and standard) to be "required" during data entry. | YES | The system's validation framework supports the configuration of any data field, whether user-defined or standard, to be marked as "required" during data entry. This is achieved through the application of soft or hard edits, which can be tailored to organizational needs. Soft edits prompt the user to address missing data but allow the process to continue, while hard edits prevent progress until the required field is completed. These rules are fully configurable, enabling precise control over data entry requirements to align with operational and regulatory standards. |

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| 5.5.15* | The system must populate data entered into a field throughout the record or order if data is associated. | | The system populates data entered into a field throughout the record or order if the data is associated with multiple sections. For example, when a record is initiated by a specific funeral facility or hospital, the system automatically populates relevant facility information into corresponding fields, such as disposition facility details for funeral homes or place of birth/death for hospitals. The "Copy Residential to Mailing Address" button similarly allows users to replicate address details with a single click for efficiency. Additionally, the system calculates and displays the decedent's age in real-time based on the entered date of birth and date of death, ensuring accuracy and minimizing manual calculations. Furthermore, the time of death entered in the decedent information section is automatically carried over to the cause of death page, maintaining consistency and reducing redundant data entry. |
| | | YES | |
| 5.5.16* | The system must ensure that a record is not complete until all required fields pass validity checks. | | The system ensures that a record cannot be completed or registered until all required fields pass validity checks. If validations remain unresolved, the "Complete Record" button is replaced by a "Validations (x)" button, where "x" indicates the number of outstanding validations. Users must address each validation before the record can proceed to completion, ensuring that all required fields meet the necessary criteria and data integrity is maintained. |
| | | YES | |
| **5.6** | **ALERTS** | | |
| 5.6.1* | The system must have prompts tied to various data fields to alert the user of questionable or incorrect data. | | The system includes prompts tied to various data fields that alert users to statistically anomalous or incorrect data during entry. These alerts are triggered by validation rules configured for each field and appear as contextual messages, highlighting the issue and providing guidance for correction. For instance, if a user enters a date of death that precedes the date of birth, the system displays a prompt indicating the discrepancy. Similarly, a validation warning notifies the user of values outside of statistically normal parameters and suggests verification. These real-time prompts ensure that errors or anomalies are addressed immediately, maintaining data accuracy and integrity. |
| | | YES | |
| 5.6.2* | The system must, at a minimum, follow the requirements for collecting and editing data as specified by National Vital Statistics System (NVSS), provided here: https://www.cdc.gov/nchs/nvss/revisions-of-the-us-standard-certificates-and-reports.htm | | The system adheres to the data collection and editing requirements specified by the National Vital Statistics System (NVSS). It incorporates validation rules, field structures, and data standards consistent with the latest NVSS guidelines. These standards ensure compliance with federal regulations for vital statistics, including the proper formatting of demographic and medical data, as well as validation protocols to maintain accuracy and consistency. The system also supports updates to remain aligned with any revisions or changes to the NVSS requirements. |
| | | YES | |
| 5.6.3* | The system must have configurable alerts which notifies the user of the status of the record they are accessing (e.g., OVS return status, child is deceased). | | The system provides configurable alerts to notify users of the status of a record both before and during access. On the queue or query page, the record's status is prominently displayed, allowing users to identify key details at a glance. Within the record itself, the status is clearly shown in the header, ensuring that critical information is always visible while the user navigates or edits the record. These alerts are fully configurable to align with organizational needs. |
| | | YES | |
| **5.7** | **QUEUE** | | |
| 5.7.1* | The system must provide a user with a view that highlights important information, notifications, and warnings (e.g., incomplete vital event records sorted by queue). | | The system provides a user-friendly view that highlights important information, notifications, and warnings directly attached to the record entries displayed on the queues or query page. For example, there is a default queue for incomplete vital event records, with each entry showing associated alerts such as missing required fields, pending validations, or other warnings. These notifications are visible at a glance, enabling users to quickly assess and prioritize their tasks without needing to open individual records. |
| | | YES | |
| 5.7.2* | The system must queue an incomplete record or order. | | The system automatically queues incomplete records and orders, organizing them into designated queues based on their status or type. These queues provide users with an overview of all pending items requiring attention, such as missing required fields or unresolved validations. Records and orders remain in the queue until they are completed or otherwise resolved, ensuring that no incomplete item is overlooked during processing. |

| | | | YES | |
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| 5.8 | | WORKFLOW | | |
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| 5.8.1* | The system must have configurable workflows. | | YES | The system supports configurable workflows, allowing administrators to define and customize processes to meet specific organizational needs. Workflows can be tailored for various tasks, such as record approvals, order processing, and data validation, with steps, roles, and permissions configurable to align with operational requirements. |
| 5.8.2* | The system must have automated workflow process for the electronic signature or completion of a record or order. | | YES | The system incorporates automated workflows for the electronic signature and completion of records and orders, including (but not limited to) specialized processes for medical certifiers, funeral directors, birth attendants, and pronouncers of death. |
| 5.8.3* | The system must have the ability to automatically route a record or order to different users involved in the completion, registration and certification process of the record or order. | | YES | The system is designed to automatically route records and orders to the appropriate users involved in the completion, registration, and certification process. Based on configurable workflows and user roles, the system ensures that tasks are assigned to the correct individual or group at each stage. For example, a record may be routed from hospital staff to a medical certifier for cause-of-death validation, then to a funeral facility for additional demographic and disposition data entry, to a registrar for approval, then finally to the issuance clerk (in the case that the funeral home intended to purchase death certificates on behalf of the family). This automated routing minimizes manual intervention, ensures timely processing, and maintains an organized flow of responsibilities throughout the record or order lifecycle. |
| 5.8.4* | The system must have the ability to automatically transfer a record or order to different users involved in the completion, registration and certification process of the record or order. | | YES | The system includes built-in processes for automatically transferring records or orders to different users involved in their completion, registration, and certification. Features like the "Assign to Certifier" and "Notify Funeral Home" options allow seamless handoff of the record to the appropriate party based on the workflow stage. Additionally, within the Validations page, convenient "Transfer Back to Facility" buttons enable records to be reassigned when corrections or additional input are needed. These automated transfer mechanisms ensure an efficient flow of responsibilities while maintaining clear accountability throughout the record or order lifecycle. |

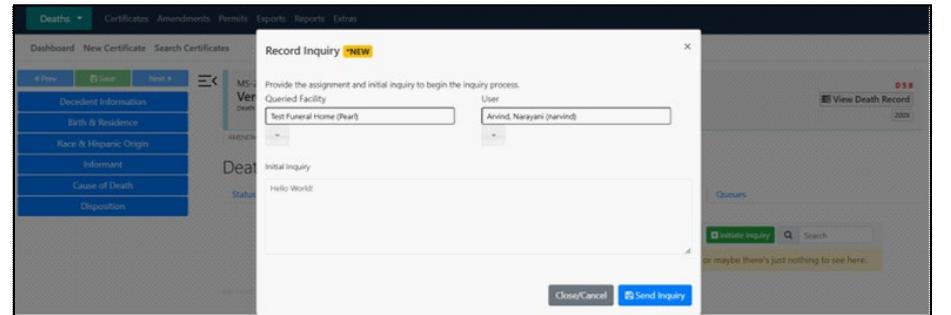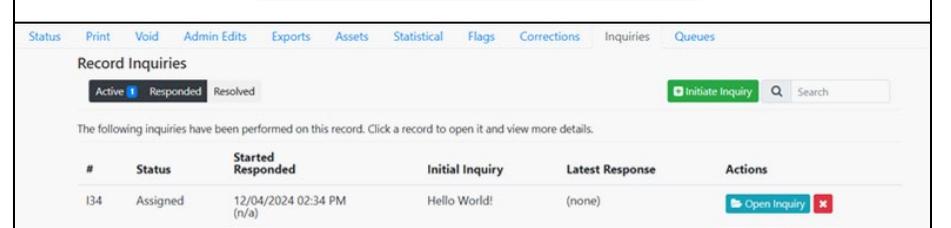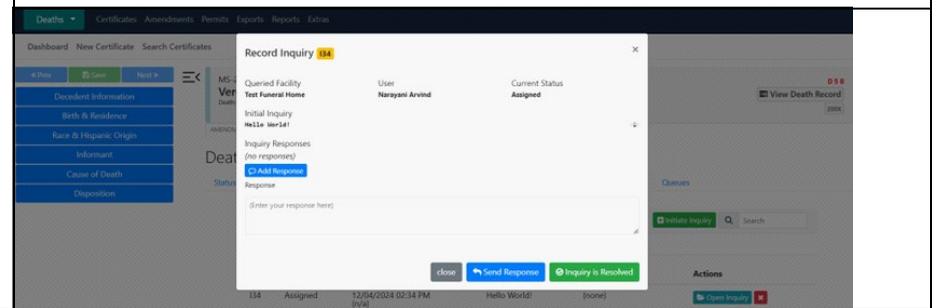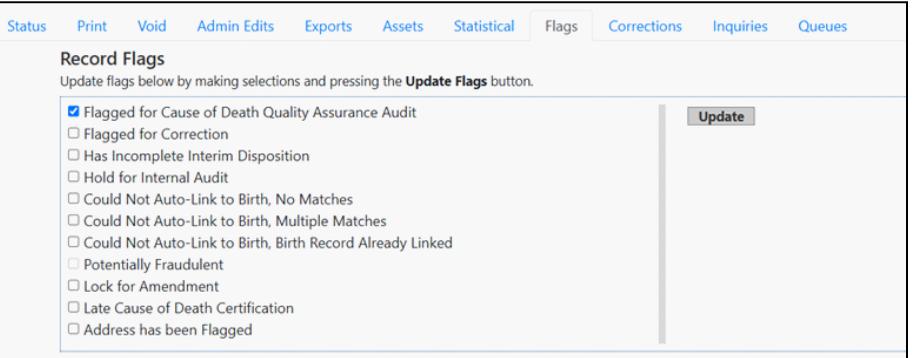| 5.9 | | FUNCTIONALITY | | |
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| 5.9.1* | The system must allow a user with necessary access the ability to query, override, or bypass defined fields. | | YES | The system provides users with the necessary access the ability to query, override, or bypass defined fields as needed. Users can search for specific fields using the query function, make authorized overrides to update or correct data, and bypass validations for certain fields when permitted by workflow rules. For example, registrars can use the "Submit Record" button on the validation page to force filing a record, even if certain non-critical validations remain unresolved. All such actions are logged in the audit trail, capturing details such as the user, timestamp, and changes made. |
| 5.9.2 | The system should have the ability to send secure messages to any user within the respective module. | | | The system's inquiries feature allows users to send secure messages to any user within the respective module, ensuring efficient and protected communication. This feature enables users to compose and send messages directly tied to a specific record or order, keeping all communication contextually relevant and perpetually attached to the associated record. Users can select recipients based on roles, facilities, or individual user profiles, ensuring messages are directed appropriately.<br>Notifications for new inquiries are sent via email, alerting recipients to check the system for communication. Additionally, the inquiries feature supports message tracking, allowing users to view sent and received messages and maintain a complete communication history. This integrated, secure messaging capability enhances collaboration while maintaining the confidentiality and integrity of sensitive data. |

| | | YES | |
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| 5.9.3 | The system should have the ability to create and track timelines based on actual calendar or business days. | | The system leverages its data warehouse and dashboards to create and track timelines based on actual calendar days or business days, depending on the requirements of the task or workflow. The data warehouse centralizes information, enabling comprehensive tracking of due dates, milestones, and progress for processes such as record completion, certification issuance, and order fulfillment. Dashboards provide users with a clear, real-time view of timelines, reflecting both the number of workdays and actual days elapsed. |
| | | YES | |
| 5.9.4* | The system must ensure that when a record or order is completed by an end user the record or order can no longer be manipulated by end user. | | The system ensures that once a record or order is completed by an end user, it is locked to prevent further manipulation by that user. This lock applies to all fields and associated data within the record or order, maintaining the integrity of the completed entry. Any subsequent modifications can only be made by authorized personnel, such as administrators or users with elevated permissions, and all actions are recorded in the audit trail for accountability. |
| | | YES | |
| 5.9.5* | The system must have the ability to place or remove a record from an administrative hold or alert, which is only put in place by a user with necessary access. This hold would disallow the printing of legal certified copies of a certificate. | | The system includes the ability for authorized users to place administrative holds on records, with one example being the "printing prohibited" flag that can be applied or removed by users with the necessary access to place a record under administrative hold or alert. This flag is automatically triggered under certain conditions, such as when a pending amendment is associated with the record, or it can be manually toggled by an authorized user. While the hold is active, the printing of legal certified copies of the certificate is disallowed. This ensures compliance with administrative requirements and prevents the issuance of documents under review or ineligible for release. The hold status is clearly displayed within the record, and any changes to the flag are logged in the audit trail. |

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| | | Status  Print  Void  Admin Edits  Exports  Assets  Statistical  Flags  Corrections  Inquiries  Queues **Record Flags** Update flags below by making selections and pressing the **Update Flags** button. ☑ Flagged for Cause of Death Quality Assurance Audit ☐ Flagged for Correction ☐ Has Incomplete Interim Disposition ☐ Hold for Internal Audit ☐ Could Not Auto-Link to Birth, No Matches ☐ Could Not Auto-Link to Birth, Multiple Matches ☐ Could Not Auto-Link to Birth, Birth Record Already Linked ☐ Potentially Fraudulent ☐ Lock for Amendment ☐ Late Cause of Death Certification ☐ Address has been Flagged     [Update] | |
| | | YES | |
| 5.9.6* | The system must allow a user with necessary access to view, print, crop, rotate and resize a vital event certificate image. | CUS | By default, images open in a browser window, providing basic functionality for resizing and viewing. For users requiring more advanced manipulation, the system supports opening images in the desktop tool of their choice, leveraging their local configuration for greater flexibility. Additionally, with customization, the system can be configured to include a simple, integrated image viewing tool, eliminating reliance on external software while enhancing functionality. |
| 5.9.7* | The system must allow a user with the necessary access the ability to print attachments. | YES | The system enables users with the necessary access to print attachments directly from the associated record or order. Printing within the system is controlled by access privileges, ensuring that only authorized users can perform this action. Once the document is exported to another piece of software, however, the system's ability to control printing is limited, as it cannot manage actions taken outside its environment |
| 5.9.8* | The system must provide the ability to print a blank form. | YES | The system provides users with the ability to print blank forms through the availability of downloadable blank templates placed wherever relevant within the system. These templates are preformatted and accessible at key points in the workflow, ensuring users can quickly retrieve and print necessary forms without entering data. |
| **6** | **ALL VITAL EVENT REGISTRATION MODULES** | | |
| **6.1** | **GENERAL** | | |
| 6.1.1* | The system must be able to accommodate rejected vital event records, including queues for viewing the rejected records. | YES | Axiell's system provides functionality to manage rejected vital event records. The system includes dedicated queues for viewing and managing rejected records, allowing authorized users to review, update, and resubmit them as necessary.  Rejected records can also be treated as cases, enabling them to be sent back to the point of origin, such as the originating hospital, for corrections or verifications. Rejection reasons are clearly logged and displayed, providing users with actionable insights to address issues efficiently. This streamlined process ensures rejected records can be accurately resolved and reintegrated into workflows while maintaining a complete audit trail. |
| 6.1.2* | The system must have the ability to manipulate and retain the original vital event record in the case of processing an amendment. | YES | The system ensures compliance by implementing an amendment processing module. This module retains the original vital event record while allowing for amendments, preserving the complete change history. Amendments can be placed in a pending or approved state, providing an additional layer of review and control. Pending amendments can be configured to prevent the issuance of certificates, ensuring that only finalized records are used for official purposes.  Furthermore, sufficiently privileged users can reverse amendments, restoring the record to its original state if required. All changes, including reversals, are logged in the system's audit trail to maintain full traceability and compliance with legal and operational requirements. |
| **6.2** | **REGISTER** | | |
| 6.2.1 | *The system must encompass the end-to-end process of registering the following vital events:* | | |

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| 6.2.1.1* | Birth; | | Axiell's system includes a dedicated Birth Registration module that supports the entire registration process. The module features specific interfaces designed for hospitals and midwives, enabling seamless data submission and integration. The system adheres to federal standards and is configured to align with state-specific standards during implementation, ensuring compliance with jurisdictional requirements. |
| | | YES | |
| 6.2.1.2* | Death; | | The system provides a comprehensive Death Registration module that supports the end-to-end registration process. This module features specific interfaces for medical certifiers, funeral directors, coroners, forensic investigators, and other authorized entities. The system adheres to federal standards, including NCHS and SSA reporting requirements, and is configured during implementation to align with Nebraska's specific state standards.<br><br>The Death Registration module supports secure electronic submission of medical certifications, validation of the cause of death, and automated workflows to streamline processing. Additionally, the system integrates with the Online Verification System (OVS) for real-time verification of Social Security numbers and other essential validations. The system also supports both FHIR and legacy IJE export formats, ensuring compatibility with modern and legacy data exchange protocols. |
| | | YES | |
| 6.2.1.3* | Marriage; | | The system includes a Marriage Registration module designed to handle the end-to-end registration process. Specific interfaces are provided for county clerks, celebrants, officiants, and other authorized entities, enabling efficient data entry and validation. The system is configured during implementation to meet Nebraska's unique state standards.<br><br>This module supports the electronic submission of marriage records, including validations for legal requirements such as age, prior marital status, and residency when applicable. |
| | | YES | |
| 6.2.1.4* | Dissolution of Marriage; | | The system includes a Dissolution of Marriage Registration module designed to manage the entire registration process efficiently. Specific interfaces are available for county clerks, court officials, and other authorized entities, ensuring accurate and secure data submission. The system is configured during implementation to align with Nebraska's specific state standards.<br><br>This module supports the electronic submission of dissolution records, incorporating validations for key legal requirements such as case numbers, court jurisdictions, and decree dates. |
| | | YES | |
| 6.2.1.5* | Fetal Death; | | The system includes a Fetal Death Registration module designed to handle the sensitive nature of these records with privacy and security as key priorities. Specific interfaces are provided for medical certifiers, hospital staff, and other authorized entities, ensuring accurate data submission. The system is configured during implementation to align with Nebraska's state-specific standards.<br><br>This module supports the electronic submission of fetal death records, including validations for medical and legal data such as gestational age, cause of death, and reporting timelines. It integrates with external systems for data exchange and statistical reporting while maintaining full compliance with privacy regulations. Comprehensive audit logs and role-based access controls ensure secure handling of these sensitive records throughout the registration process. |
| | | YES | |
| 6.2.1.6* | Induced Termination of Pregnancy (ITOP). | | The system includes a dedicated Induced Termination of Pregnancy (ITOP) Registration module, designed to handle sensitive data securely and confidentially. Specific interfaces are available for medical providers, hospital administrators, and other authorized entities to ensure accurate and timely submission of ITOP records. The system is configured during implementation to align with Nebraska's state-specific reporting standards.<br><br>This module supports validations for required medical and legal data, including procedure dates, gestational age, and certification details. It ensures compliance with privacy, confidentiality, and anonymity regulations. |
| | | YES | |
| 6.3 | **FUNCTIONALITY** | | |

| 6.3.1* | The system must allow the collection of all vital record data with both data rules and field validations, based on the NCHS (National Center for Health Statistics) Standard Record layout or the Inter-Jurisdictional Exchange (IJE) file layout. | | Axiell's system ensures compliance with data standards by implementing NCHS hard, soft, and cross-edits to validate and enhance the quality of vital record data. These edits ensure that data entries are consistent, accurate, and complete, aligning with both federal and state reporting requirements.<br><br>During implementation, the system is configured to align with Nebraska's specific requirements while also accommodating the use of custom fields tailored to local needs. Additionally, the Death Registration module has been updated to support the ELC, VRDR Library FHIR standard message for modern interoperability while still maintaining support for legacy mortality IJE export formats. Updates to the Birth Registration and Fetal Death Registration modules to support FHIR standards are currently in progress, ensuring the system remains future-ready while continuing to support existing workflows. |
|---|---|---|---|
| | | YES | |
| 6.3.2* | The system must have a process to void a vital event record. | | The system includes a secure and auditable process to void vital event records. Authorized users with sufficient privileges can void records when necessary, ensuring that invalid or duplicate entries are effectively removed from active use. Voided records are clearly marked as such and retained within the system to preserve a complete audit trail, supporting compliance and historical reference needs.<br><br>The system also features an un-void capability, allowing sufficiently privileged users to restore voided records if necessary, ensuring flexibility in record management. The voiding and un-voiding processes can be configured to include additional checks, such as managerial approval, to ensure accountability and accuracy. Furthermore, voided records are excluded from certification and reporting workflows, preventing unintended use while maintaining transparency in data management. |
| | | YES | |
| 6.3.3* | The system must automatically route a vital event record through the predefined workflow, advancing it from one user to the next in the appropriate sequence until the record is completed and finalized. | | The system uses configurable workflows to automatically route vital event records through predefined sequences, ensuring efficient and accurate processing. The routing logic is both role-based and record data- and type-based, allowing the system to dynamically determine the next steps in the workflow based on user roles, the type of vital event record (e.g., birth, death, marriage), and specific data within the record itself. For example, records related to forensic cases, causes of death under public health surveillance, or statistical outliers in medical data can be routed to specialized users or departments for additional review.<br><br>Workflows are tailored to align with Nebraska's specific operational requirements and accommodate variations for different types of vital records. Notifications and reminders are integrated into the workflow to alert users of pending tasks, preventing delays. |
| | | YES | |
| 6.3.4* | The system must generate and assign a unique and sequential State File Number for each vital event record. | | The system automatically generates and assigns a unique, sequential State File Number (SFN) to each vital event record at the point of filing.<br><br>The State File Number follows a configurable format that can be adjusted to meet jurisdictional or reporting needs. For example, numeric state codes could be included in the IJE export for interoperability, while two-character state letter codes might be used in displays or reports to enhance readability in local workflows. Additionally, sufficiently privileged users have the capability to override the sequential numbering system in unique circumstances where adjustments are necessary. This flexibility allows for seamless integration with other systems and alignment with evolving standards. The numbering process is safeguarded to prevent duplication, ensuring data integrity across the system. |
| | | YES | |
| 6.3.5* | The system must allow a user with necessary access the ability to change a State File Number. | | The system provides authorized users with sufficient privileges the ability to modify a State File Number under specific circumstances. This feature is designed to accommodate unique situations, such as correcting errors or aligning records with external systems, while maintaining compliance with state policies and operational standards.<br><br>All changes to the State File Number are logged in the system's comprehensive audit trail, capturing details such as the user, timestamp, and reason for the change. |
| | | YES | |

| | | | |
|---|---|---|---|
| 6.3.6* | The system must automatically search for duplicate vital event records and, if found, alert user. | | The system includes an automated duplicate detection feature that searches for matching vital event records during data entry and throughout the record's lifecycle. The detection process is based on configurable criteria such as name, date of event, and other state-defined fields, ensuring a comprehensive review of potential duplicates.<br><br>When a potential duplicate is identified, the system alerts the user in real-time, providing details of the matching record to facilitate review and resolution. |
| | | CONFIG | |
| 6.3.7* | The system must be designed so that no duplicate vital event record can be entered. The system must use fields designated by the State of Nebraska for duplicate checks. | | The system is designed to prevent the entry of duplicate vital event records by implementing real-time validation checks based on fields designated by the State of Nebraska during the configuration phase of the implementation. These fields, such as name, date of event, and other key identifiers, are tailored to Nebraska's specific requirements.<br><br>If a match is detected, the system prevents the creation of a new record and prompts the user to review the existing data. |
| | | YES | |
| 6.3.8* | The system must allow a vital event record to be corrected with the assignment of correction indicators (e.g., affidavit/correction number, "amendment" notation, and amended date). | | The system includes a comprehensive correction functionality that allows authorized users to update vital event records while maintaining transparency and compliance. When a record is corrected, the system automatically assigns correction indicators, such as an affidavit or correction number, "amendment" notation, and the amended date.<br><br>All corrections are documented in both the correction and amendment history as well as the system's audit trail. Additionally, the system supports workflows that require approval for corrections, ensuring that all updates are verified and compliant with Nebraska's state-specific standards. |
| | | YES | |
| **7** | **COMBINED MODULES** | | |
| **7.1** | **BIRTH & DEATH** | | |
| 7.1.1* | The system must have the ability to identify records where birth and death record data does not match (e.g., when a death record does not have a corresponding birth record). | | When a death record is filed, the system automatically attempts to locate a corresponding birth record within the state if it exists. If desired, death records without an associated birth record can be flagged. |
| | | YES | |
| 7.1.2* | The system must have the ability to match and link birth and death records together. | | The system automatically matches and links birth and death records using state-defined criteria such as name, date of birth, and other configurable data elements. |
| | | YES | |
| **7.2** | **DEATH & FETAL DEATH** | | |
| 7.2.1* | The system must provide spell check functionality for the cause of death or medically related fields. | | The system integrates with VIEWS II to provide advanced real-time spell check functionality for medically related fields, such as the cause of death. This integration enhances data quality by identifying spelling errors, acronyms, rare causes of death, surveillance terms, and statistical anomalies. Additionally, VIEWS II enforces cross-field validation rules, detecting logical inconsistencies such as biological females being associated with conditions like prostate cancer. |
| | | YES | |
| 7.2.2* | The system must allow for querying a medical certifier after a vital event record has been filed with a State File Number. | | The system allows authorized users to query medical certifiers after a vital event record has been filed with a State File Number. Queries can be directed to individual certifiers or to specific facilities as needed. |
| | | YES | |
| **7.3** | **BIRTH, DEATH, & FETAL DEATH** | | |
| 7.3.1* | The system must validate based on the Inter-Jurisdictional Exchange (IJE) standard. | | The system performs validations in accordance with the Inter-Jurisdictional Exchange (IJE) standard to ensure compatibility with interstate data reporting and sharing requirements. These validations include format checks, field-level rules, and cross-field logic to maintain data consistency and integrity. |
| | | YES | |
| 7.3.2* | The system must allow for local registration by counties as specified by the State of Nebraska before registration at the state-level. | | The system supports local registration workflows, enabling counties to register vital events before forwarding validated records to the state level. This functionality will be configured during implementation to ensure compliance with Nebraska's specific regulations. Local registrars can review and verify records before submission, maintaining a clear audit trail throughout the process. |
| | | YES | |
| **7.4** | **BIRTH, DEATH, FETAL DEATH, MARRIAGE, & DISSOLUTION OF MARRIAGE** | | |
| 7.4.1* | The system must have the ability to print non-certified copies of certificates from the Birth, Death, Fetal Death, Marriage, and Dissolution of Marriage Modules. | | The system allows authorized users to generate and print non-certified copies of certificates directly from the Birth, Death, Fetal Death, Marriage, and Dissolution of Marriage modules. These copies are clearly marked as "non-certified" to prevent misuse and are formatted according to Nebraska's specific requirements. |
| | | YES | |
| 7.4.2* | The system must store the State and Local Registrar's information that is to be added based on the file date on validated state vital event records. | | The system securely stores State and Local Registrar information and automatically appends this data to validated vital event records based on the file date. |
| | | YES | |

| 7.5 | MARRIAGE & DISSOLUTION OF MARRIAGE | | |
|---|---|---|---|
| 7.5.1* | The system must have document forms, licenses, and worksheets that are accessible to a user with necessary access. | YES | The system provides authorized users with access to document forms, licenses, and worksheets related to marriage and dissolution of marriage records. These documents are available in two formats: blank forms with no context to an event and forms generated from an event record with data populated to the extent that the event record is completed. This functionality supports flexible workflows, including drop-to-paper processes. |
| 8 | BIRTH MODULE | | |
| 8.1 | BIRTH MODULE | | |
| 8.1.1* | The system must have the ability to enter a delayed birth record, new adoption record, and a foreign-born birth record. | YES | The system provides functionality for managing various specialized birth record scenarios, including delayed birth records, new adoption records, and foreign-born birth records. For delayed birth records, the workflow is automatically adjusted as soon as the date of birth is entered, guiding users through the process of collecting and attaching the required supporting documentation, such as affidavits and notarized statements, as well as collecting related fees, if applicable. For adoption records, the system applies the updated data as a sealed amendment by default, ensuring confidentiality, or as an open record amendment if permitted by local legislation. For foreign-born birth records, the system incorporates the state's specific rules and processes, such as generating an alternative number in place of a SFN and applying custom or relaxed record validation rules instead of standard 200X validation criteria. Configurable fields allow for capturing additional data, such as the country of birth, consular certifications, and other required supporting documents. |
| 8.1.2* | The system must have the ability to flag and unflag a birth record as deceased. | YES | When both the birth and death events occur within the same state, the system automatically links the two records upon the creation of the death record, maintaining seamless integration between related events. Additionally, birth records can be flagged as deceased by receiving notifications from other states via STEVE (or other notification mechanism, automated or manual), supporting cross-state data integration for out-of-state deaths. For birth records marked as deceased, a configurable "Deceased" watermark can be applied to any birth certificates printed, providing a clear visual indicator while allowing customization to meet the state's specific requirements. |
| 8.1.3* | The system must pre-load data flagged by the State of Nebraska for multiples birth records (e.g., twins, triplets). | YES | Axiell's system supports the efficient management of multiple birth records. The system allows facilities to input shared data (e.g., parental information, place of birth) once for multiple records. Plurality and Birth Order fields are used to ensure the proper number of registrations, and that they are registered in the correct sequence. |
| 8.1.4 | The system should auto-fill stored birth attendant information maintained by the facility. | YES | The system incorporates auto-fill functionality to streamline record creation:<br><br>· Stored Information: Birth attendant details, such as name, title, and credentials, are securely stored within the system.<br>· Auto-Fill: When creating a new birth record, users can select an attendant from a pre-loaded list, and the system auto-fills relevant fields, reducing data entry time and errors.<br>· Configurable Updates: Facilities can manage and update stored attendant information, ensuring accuracy and up-to-date data availability. |
| 9 | DEATH MODULE | | |
| 9.1 | DEATH MODULE | | |
| 9.1.1* | The system must allow a user with necessary access the ability to save a death record without the cause of death indicated, as a pending investigation record. | YES | The system allows authorized users to save death records without specifying the cause of death by marking them as "Pending." The cause of death is set to "Pending" by the user during data entry, and the record is/can still be filed even if the cause of death remains in this status. This designation ensures the record is clearly flagged for follow-up until the necessary information becomes available. All actions related to pending records, including creation, filing, and updates, are recorded in the audit trail to maintain transparency and compliance with state standards. Additionally, configurable notifications can remind users to revisit pending records. |

| 9.1.2* | The system must provide a connection to Validations and Interactive Edits Web Service (VIEWS) to review medically related fields. | | The system integrates with the Validations and Interactive Edits Web Service (VIEWS 2) to ensure accuracy in medically related fields. Through this integration, the system provides real-time validation of critical fields, such as the cause of death and contributing factors, ensuring data is accurate and complete. Users receive immediate feedback through interactive edits, with suggestions to address discrepancies and enhance data quality before cause of death coding.  Additional features including, being able to ignore a warning from views and having the system remember this.  Also, any corrections made within the VIEWS window resubmits the data for re-verification allowing the user to iteratively improve the record. This connection to VIEWS 2 assists users with improving the quality of medical data on death certificates.
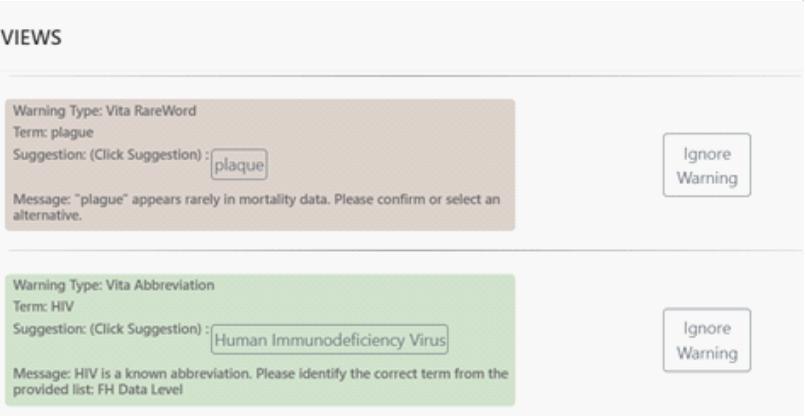
 |
| | | YES | |
| 9.1.3* | The system must allow a user with necessary access to sign permits. | | The system enables users with the necessary access to securely and efficiently issue permits. For instance, when a funeral facility applies for a disposition permit, such as for burial or cremation, the permit is issued immediately upon approval by an authorized user. While the system can be configured to include eSignature functionality if desired, the current approach prioritizes efficiency by removing unnecessary steps. All actions related to permit issuance are logged in the audit trail, capturing details such as the user, timestamp, and permit type. |
| | | YES | |
| **10** | **MARRIAGE MODULE** | | |
| **10.1** | **MARRIAGE MODULE** | | |
| 10.1.1* | The system must automatically file a marriage record that has fulfilled State of Nebraska specific criteria. | | The system supports automated workflows to facilitate the filing of marriage records once they fulfill the necessary criteria. It can be configured to meet the State of Nebraska's specific requirements, ensuring that records with validated signatures, complete documentation, and paid fees can be automatically moved to "Filed" status. Real-time validation checks confirm that all mandatory fields and conditions have been satisfied, minimizing errors and reducing administrative workload. Additionally, the system maintains a detailed audit trail of all automatic filings, and notifications can be set up to inform users or relevant agencies of the record's filing status. |
| | | YES | |
| 10.1.2* | The system must auto-fill county clerk and fee information. | | The system streamlines data entry with auto-fill capabilities for county clerk and fee information. When creating or updating a marriage record, selecting the county automatically populates the corresponding county clerk's details based on the jurisdiction. Fee amounts are configured by county and clerk, and auto-filled according to the state's fee schedule, ensuring accuracy and efficiency. To maintain up-to-date information, administrators can easily update county clerk details and fee structures. |
| | | YES | |
| **11** | **DISSOLUTION OF MARRIAGE MODULE** | | |
| **11.1** | **DISSOLUTION OF MARRIAGE MODULE** | | |

| | | | |
|---|---|---|---|
| 11.1.1* | The system must automatically file a dissolution of marriage record that has fulfilled State of Nebraska specific criteria. | | The system supports automated processes to streamline the filing of dissolution of marriage records, which will be configured to meet the State of Nebraska's specific requirements. Once a record fulfills all necessary criteria, such as validated court approvals, complete documentation, and required fee payments, the system can automatically update the record status to "Filed." Validation rules perform real-time checks to ensure all mandatory fields and criteria are met before filing, reducing manual errors and administrative workload. Additionally, the system maintains a detailed audit trail of all filing actions, recording user activity and timestamps for transparency. Configurable notifications can also alert users or stakeholders when a record has been successfully filed. |
| | | YES | |
| **12** | **FETAL DEATH MODULE** | | |
| **12.1** | **FETAL DEATH MODULE** | | |
| 12.1.1* | The system must automatically search for associated birth events upon record entry, in the event a fetal death occurs, an error message must display for the affected user. | | The system supports fetal death as a distinct registration type, fully compliant with NCHS standards for fetal death certificates, capturing all required fields for accurate reporting. Once completed, the fetal death record is submitted as a single IJE record to NCHS, ensuring adherence to national reporting requirements. By default, fetal deaths and births are treated as separate registration types to maintain clarity and compliance. However, the system can be customized to link related records upon request. This approach is uncommon and would result in both a birth registration and a fetal death registration for the same individual. |
| | | YES | |
| **13** | **ORDER MANAGEMENT MODULE** | | |
| **13.1** | **GENERAL** | | |
| 13.1.1* | The system must allow a user with necessary access to issue certified copies of an individual certificate. | | The system enables users with the necessary access to issue certified copies of individual certificates securely. Users can select the desired certificate, verify its details, and generate a certified copy for issuance. The system applies all required security features, such as unique identifiers, to ensure authenticity. Each issuance action is logged in the audit trail, capturing the user, timestamp, and certificate details. |
| | | YES | |
| 13.1.2* | The system must support the ordering and purchase of a commemorative certificate for a nonviable birth event. | | The system supports the ordering and purchase of commemorative certificates for nonviable birth events, providing an option for families to obtain a meaningful keepsake. All transactions are logged in the audit trail, ensuring transparency and compliance. This functionality is customizable to align with the State of Nebraska's requirements for commemorative certificates. |
| | | YES | |
| 13.1.3* | The system must provide a user with necessary access the ability to manage all transactions. | | The system provides users with the necessary access the ability to manage all transactions. Authorized users can review, edit, and process transactions, including payments, refunds, and adjustments, directly within the system. Detailed transaction histories are accessible, displaying information such as transaction type, date, amount, and associated records or orders. All actions taken on transactions are logged in the audit trail, capturing user details and timestamps to ensure accountability and compliance with financial and operational policies. Configurable permissions ensure that only authorized personnel can manage transactions, safeguarding data integrity and security. |
| | | YES | |
| 13.1.4* | The system must link the order to vital event record. | | The system links an order to its corresponding vital event record as soon as the registrant is selected during the ordering process. This ensures a seamless connection between the record and any associated orders, consolidating all relevant data for easy access. Additionally, all orders are logged within the audit trail of the corresponding record, providing a transparent and comprehensive history for auditing and accountability. |
| | | YES | |
| 13.1.5* | The system must link the order to an invoice and payment. | | The system automatically links each order to its corresponding invoice and payment. When an order is created, the system generates an associated invoice that details the charges and fees. Once payment is made, the system updates the invoice to reflect the transaction and links the payment record to both the invoice and the order. |
| | | YES | |
| 13.1.6 | The system should connect all issued controlled documents (serialized certificate paper) to a receipt and to an order. | | The system ensures that all issued controlled documents, such as those printed on serialized certificate paper, are connected to both a receipt and an order. Each document is tracked using its unique serial number, which is automatically linked to the corresponding order upon issuance. The receipt for the transaction is also tied to the order, creating a complete and auditable chain of custody for the document. |
| | | YES | |
| 13.1.7 | *The system must support the ordering, purchase, and printing of legal certified copies of certificates on security paper for the following vital events:* | | |
| 13.1.7.1* | Birth; | | The system allows authorized users to issue certified copies of birth certificates, securely linking each certificate to the corresponding record and tracking issuance through unique serial numbers. |
| | | YES | |
| 13.1.7.2* | Death; | | Certified copies of death certificates can be ordered and printed on security paper, with the system validating the record and managing all related financial and audit trail details. |
| | | YES | |

| 13.1.7.3* | Marriage; | | YES | The system facilitates the issuance of certified marriage certificates, linking them to the appropriate record and license, ensuring secure handling of serialized certificate paper. |
|---|---|---|---|---|
| 13.1.7.4* | Dissolution of Marriage; | | YES | Certified copies of dissolution of marriage records are ordered and printed with full traceability, including linkage to payments, receipts, and the associated record. |
| 13.1.7.5* | Fetal Death; | | YES | Certified copies of fetal death certificates can be printed on security paper. |
| 13.1.7.6* | Birth Resulting in Stillbirth. | | YES | The system supports the issuance of certificates for births resulting in stillbirth, linking each certificate to its corresponding record and securely managing the order, payment, and printing process.<br>For all vital events, the system integrates payment processing, receipt generation, and serialized document tracking. |
| **13.2** | **SYSTEM** | | | |
| 13.2.1* | The system must generate and assign a unique and sequential transaction number for each sales transaction. | | YES | The system automatically generates and assigns a unique and sequential transaction number for every sales transaction. The sequential numbering maintains order consistency, while the unique identifier supports efficient auditing and reconciliation processes. All transaction numbers are logged in the system's audit trail alongside the associated details. |
| 13.2.2* | The system must generate and assign a unique and sequential invoice number for each invoice. | | YES | The system generates and assigns a unique and sequential invoice number for every invoice created. The unique invoice number is linked to the associated order, payment, and financial records, providing a clear audit trail. |
| 13.2.3* | The system must allow a user with necessary access to flag returned certificates on the order. | | YES | The system enables users with the necessary access to flag returned certificates directly on the associated order. This functionality allows users to update the order status to reflect the return, providing a clear record of the action. Details such as the reason for the return, the date it was flagged, and any follow-up actions can also be recorded. |
| 13.2.4* | The system must generate and assign a unique and sequential number for each print transaction of a legal certified copy a of certificate. | | YES | The system generates and assigns a unique and sequential number for every print transaction of a legal certified copy of a certificate. The sequential numbering maintains an organized history of all printed documents, while the unique identifier links the print transaction to the associated order, user, and record. |
| 13.2.5* | The system must allow a user with necessary access to print a legal certified copy of a certificate from an altered (cropped, rotated, resized) vital event certificate image. | | YES | The system allows users with the necessary access to print a legal certified copy of a certificate using an altered vital event certificate image, such as one that has been cropped, rotated, or resized. The printed certified copy maintains all required security features and complies with legal standards. |
| 13.2.6* | The system must have a process to link, safeguard, and store serialized security paper identifiers. | | YES | Each serialized identifier is linked to its associated vital event record or order upon use, creating a traceable connection for auditing purposes. The system safeguards these identifiers by restricting access to authorized users and maintaining detailed logs of all actions, including issuance, voiding, or replacement. Serialized identifiers are securely stored in the system's database. |
| **13.3** | **ORDERS** | | | |
| 13.3.1* | The system must have the ability to process regular mail orders. | | YES | The system includes functionality to process orders received through regular mail as part of its comprehensive order management capabilities. Authorized users can manually input the details of mail orders into the system, associating them with the relevant vital event record and tracking them through the workflow. Payment information, if included, is recorded and linked to the order, ensuring complete traceability. |
| 13.3.2* | The system must have the ability to add internal notes to an order without restricting the length. | | YES | The system provides a designated "Notes" section for each order, allowing users to add internal notes without restrictions on length. All notes are stored within the order and can be reviewed by authorized users. |
| 13.3.3* | The system must enter and save shipping information, including shipping method and address. | | YES | The system allows users to enter and save detailed shipping information, including the shipping method and address, as part of the order management process. Users can select from pre-configured shipping methods, such as standard or expedited delivery, and input the recipient's address. The entered shipping information is stored within the order record and linked to its corresponding transaction, ensuring accurate tracking and fulfillment. All updates or changes to shipping details are logged in the audit trail. |
| 13.3.4* | The system must have the ability to post by line item and fee. | | YES | The system provides the ability to post transactions by individual line items and associated fees, offering detailed financial tracking and reconciliation. Users can input and manage line items separately, ensuring that each fee or charge is accurately recorded and linked to its corresponding order or service. This functionality supports precise accounting by breaking down total amounts into their components, making it easier to track, audit, and report financial activities. All postings are logged in the system's audit trail and ledger, capturing user actions and timestamps. |

| | | | |
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| 13.3.5* | The system must have the ability to calculate accurate charges based on quantity of documents requested. | YES | The system features a comprehensive fee schedule configuration section, allowing authorized users to manage precise pricing for each type of document. This includes the ability to set distinct charges for the first document and subsequent copies requested in the same order. When a user processes an order, the system automatically calculates the total charges based on the quantity of documents requested, applying the configured pricing rules. |
| 13.3.6* | The system must have the ability to set up a fee schedule by vital record document type, including effective and termination dates to the fees. | YES | The system provides the capability to configure a detailed fee schedule by vital record document type, allowing for precise management of charges. Authorized users can define fees for each document type, such as birth, death, marriage, or dissolution certificates, and specify effective and termination dates for each fee. This ensures that pricing changes can be scheduled in advance and applied automatically when the dates take effect, reducing manual intervention. The fee schedule is fully customizable to meet organizational and regulatory requirements, ensuring accurate and consistent billing across all document types. |
| 13.3.7* | The system must have the ability to set multiple fees for each vital record document type. | YES | The system allows authorized users to configure multiple fees for each vital record document type through a comprehensive fee schedule management feature. Users can set different pricing tiers, such as separate charges for the first document and additional copies requested within the same order. Each fee can be tailored by document type, including birth, death, marriage, or dissolution certificates, and tied to specific effective and termination dates for seamless implementation of pricing updates. This flexibility ensures that the fee structure can accommodate various organizational needs and regulatory requirements. |
| **13.4** | **DATA** | | |
| 13.4.1* | The system must be able to track the certificate type. | YES | The system tracks the certificate type for each document within every order, ensuring accurate categorization and management. This information is stored alongside the order and linked to all related records, enabling precise tracking for auditing, reporting, and operational purposes. |
| 13.4.2* | The system must be able to track the method of certificate delivery. | YES | The system tracks the method of certificate delivery for each order. Users can select the delivery method during the order process, such as mail or in-person pickup, and this information is stored alongside the order record. |
| **13.5** | **DOCUMENTS** | | |
| 13.5.1* | The system must maintain a record of all printed certificates that are destroyed, including method and reason for destruction. | YES | The system maintains a detailed record of all printed certificates that are destroyed. For each destroyed certificate, the system captures key details, including the certificate's unique serial number and the method and reason for destruction (e.g., misprint, returned, customer cancellation). |
| 13.5.2* | The system must have the ability to attach files with a minimum of the following file types (PDF, .doc, .jpeg, .png, .tiff) to an order. | YES | The system allows users to attach files to an order, supporting a variety of file types, including PDF, .doc, .jpeg, .png, and .tiff (including multi-page .tiff) formats. This functionality enables users to upload supporting documentation directly to the associated order, ensuring all relevant materials are stored in one centralized location. |
| 13.5.3* | The system must have the ability to mark a document control number as "destroyed" with a reason for discarding (e.g., poor print quality, printing error, etc.). | YES | The system enables users to mark a document control number as "destroyed" and specify a reason for discarding it, including but not limited to print quality and printing errors. This functionality ensures that each document control number is properly accounted for, even when it is no longer in use. The destruction details, including the reason and the user who performed the action, are recorded in the system's audit trail. |
| **13.6** | **QUEUE** | | |
| 13.6.1* | The system must have the ability to queue orders based on status. | | The system's issuance module is designed to queue orders based on their status, ensuring efficient processing and workflow management. Orders are automatically categorized into queues such as "Pending Payment," "Ready for Issuance," or "Completed," allowing users to prioritize tasks and track progress with ease. This functionality ensures that each order's status is clearly visible and accessible, streamlining order management and reducing the risk of overlooked or delayed tasks. The system also allows for customized status categories to align with specific organizational needs. |

| | | | YES | |
|---|---|---|---|---|
| **13.7** | **PAYMENTS** | | | |
| 13.7.1 | *The system must have the ability to support the following payment types:* | | | |
| 13.7.1.1* | Debit Card; | | YES | The system integrates with PCI DSS-compliant payment processing platforms to securely accept debit card transactions. This ensures the safeguarding of cardholder data throughout the transaction process, from entry to authorization. All payments are processed in real-time, with successful transactions linked directly to the associated order in the system. PCI Compliance Considerations: • What Is Recorded: o The transaction's unique identifier. o Date and time of the transaction. o Amount paid. o Payment status (e.g., successful, failed, or refunded). o The order or service associated with the payment. • What Is Not Recorded: o Primary Account Number (PAN): Only the first six and last four digits of the PAN are retained for identification purposes, per PCI DSS guidelines. o Sensitive Authentication Data: Information such as the full magnetic stripe, CVC/CVV codes, or PINs are never stored in the system, even temporarily. o Full Cardholder Data: All card data is tokenized or encrypted during transmission and is not accessible within the system. Additional Features: • Encryption and Tokenization: All cardholder data transmitted to the payment processor is encrypted, ensuring it remains unreadable if intercepted. • Audit Trail: Each transaction is logged in an audit trail that includes non-sensitive details such as timestamps, user IDs, and associated records for compliance and traceability. • Refunds: The system allows authorized users to initiate partial or full refunds, with all activities linked to the original transaction for reconciliation. |

| 13.7.1.2* | Credit Card; | | The system integrates seamlessly with PCI DSS-compliant payment processing platforms to securely accept credit card transactions. This ensures that sensitive cardholder data is protected at every stage of the transaction process, from entry to authorization. PCI Compliance Considerations:<br>•What Is Recorded:<br>oThe transaction's unique identifier.<br>oTransaction amount and payment status (e.g., approved, declined, refunded).<br>oThe date and time of the transaction.<br>oThe order or service associated with the transaction.<br>•What Is Not Recorded:<br>oPrimary Account Number (PAN): The system only displays the first six and last four digits of the PAN for identification purposes.<br>oSensitive Authentication Data: The system does not store CVC/CVV codes, magnetic stripe data, or PINs, in compliance with PCI DSS requirements.<br>oFull Cardholder Data: All credit card data is tokenized or encrypted during transmission to ensure it is never stored within the system.<br>Key Features and Functionality:<br>•Encryption and Tokenization: Credit card data is encrypted during transmission using strong cryptographic protocols. Tokenization ensures sensitive cardholder data is replaced with a token, minimizing risk.<br>•Real-Time Payment Processing: Payments are processed in real time, with instant feedback provided on the success or failure of the transaction.<br>•Audit Logging: A detailed audit trail captures all non-sensitive transaction details, including timestamps, user actions, and associated order information, ensuring compliance and accountability.<br>•Refund and Adjustment Capabilities: The system allows authorized users to initiate refunds or adjustments, with all activities tracked and linked to the original transaction. |
| | | YES | |
| 13.7.1.3* | Money order; | | The system provides functionality to support the recording and management of money order payments for vital record orders.<br>Key Features and Functionality:<br>•Manual Recording of Payments: Authorized users can manually log money order payments into the system. Each money order is linked to the associated order and includes:<br>oPayer details (e.g., name and contact information).<br>oMoney order number or reference number.<br>oPayment amount and date.<br>•Audit Trail: The system logs all payment details and user actions in the audit trail, ensuring a clear history of every money order transaction for compliance and reporting purposes.<br>•Verification Workflow: The system allows users to update the payment status after verifying the money order. This ensures the payment is accurately recorded before the order is processed.<br>•Refund Management: Refunds for money orders are supported within the system. Authorized users can initiate a refund request, and the system tracks the refund status and reason for reconciliation. |
| | | YES | |

| 13.7.1.4* | Check; | | The system provides functionality to support the recording and management of check payments for vital record orders. |
|---|---|---|---|
| | | | Key Features and Functionality: |
| | | | •Manual Recording of Payments: |
| | | | oAuthorized users can manually log check payments into the system. |
| | | | oEach check is linked to the associated order and includes: |
| | | | oPayer details (e.g., name, address, and contact information). |
| | | | oCheck number. |
| | | | oPayment amount and date. |
| | | | •Verification Workflow: |
| | | | oThe system allows users to update the payment status after verifying the check. |
| | | | oA workflow ensures that orders linked to unverified or returned checks remain in a pending status until verification is completed. |
| | | | •Audit Trail: |
| | | | oAll payment details and user actions are logged in the system's audit trail. |
| | | | oThe audit trail records the user performing the action, timestamps, and any changes made, ensuring traceability and compliance. |
| | | | •Refund Management: |
| | | | oRefunds for check payments are supported, with the system logging refund details, including the reason and status. |
| | | | oRefund actions are tracked to ensure consistency and compliance with financial policies. |
| | | YES | |
| 13.7.1.5* | Cash. | | The system provides robust functionality to record and manage cash payments for vital record orders. |
| | | | Key Features and Functionality: |
| | | | •Manual Recording of Payments: |
| | | | oAuthorized users can log cash payments directly into the system. |
| | | | oEach cash payment is linked to the associated order and includes: |
| | | | oPayer details (e.g., name and contact information, if required). |
| | | | oPayment amount and date. |
| | | | •Cash Drawer Management: |
| | | | oFloat Handling: The system supports tracking the initial float amount allocated to each cashier station at the start of a shift. This ensures that opening balances are accurately recorded for reconciliation. |
| | | | oOpening/Closing Tills: Authorized users can record the opening and closing of tills, logging: |
| | | | oOpening float amount. |
| | | | oTotal cash collected during the shift. |
| | | | oReconciled closing balance. |
| | | | oAny discrepancies flagged for investigation. |
| | | | oShift Management: The system allows supervisors to assign tills to individual users, ensuring accountability for cash handling during a specific shift. |
| | | | •Cash Drawer Reconciliation: |
| | | | oThe system supports reconciliation of cash transactions for each cashier station at the end of a shift or day. |
| | | | oCash drawer reports summarize all recorded transactions, discrepancies, and total cash collected. These reports include opening balances, transaction totals, and closing amounts. |
| | | | •Audit Trail: |
| | | | oAll cash transactions, including float allocations, recorded payments, and reconciliations, are logged in the system's audit trail. |
| | | | oThe audit trail captures the user performing the action, timestamps, and any adjustments made, ensuring full accountability. |
| | | | •Refund Management: |
| | | | oRefunds for cash payments are supported and logged within the system. |
| | | | oAuthorized users can issue and document cash refunds, with details such as the reason for the refund and associated order. |
| | | YES | |

| 13.7.2* | The system must enforce mandatory field validation to prevent payment processing before all required fields are populated, as mandated by the State of Nebraska. | | The system will be configured to enforce mandatory field validation to align with the State of Nebraska's requirements, ensuring that payment processing is blocked until all required fields are populated. This configuration will include predefined rules that prevent the submission of payments unless critical fields are completed, reducing errors and ensuring compliance. |
| | | YES | |
| 13.7.3* | The system must have the ability to track payment status (i.e., refund, payment, discounted/free, or no payment). | | The system provides comprehensive functionality to track payment status, capturing key details such as refunds, completed payments, discounts, free transactions, or instances of no payment. Each order includes a payment status field that updates dynamically based on the transaction type. For refunds, the system records the amount, reason, and user who processed the refund. Discounted or free transactions are flagged and logged, ensuring clarity and accountability. Payment history is fully integrated into the order record and linked to the audit trail. |
| | | YES | |
| 13.7.4* | The system must have cash handling capabilities for each cashier station. | | The system provides cash handling capabilities for cashier stations, ensuring secure, accurate, and efficient management of cash transactions. Tills are assigned to cashier stations, and authorized users are associated with tills, providing clear accountability and streamlined workflows. Additionally, mailrooms can be configured to act as cashier stations and, by virtue of this configuration, have access to all the same features. Key Features and Functionality: •Till Assignment and User Association: oTills are physically and digitally assigned to cashier stations, ensuring each station has a dedicated cash handling mechanism. oAuthorized users are associated with specific tills during their shifts, enabling the system to track all transactions and actions performed by that user. oOptional Shared Tills: The system can optionally support shared tills where multiple users can access the same till during overlapping shifts. However, this practice is not recommended as it may reduce accountability and increase the complexity of reconciliation. •Mailroom Configuration: oMailrooms can be set up as cashier stations, inheriting all the features available to standard cashier stations. This includes transaction recording, audit trails, and cash drawer management, ensuring consistent functionality across departments. •Opening and Closing Tills: oFloat Management: The system records the initial float amount assigned to each till at the beginning of the day or shift. oClosing Reconciliation: At the end of the shift, the system facilitates till reconciliation, comparing recorded transactions against the final cash total in the drawer. oDiscrepancies, if any, are flagged and logged for review by supervisors. •Transaction Recording: oAll cash transactions, including payments, refunds, and adjustments, are logged in real-time and linked to the associated order or service. oOverages or shortages in cash are recorded during reconciliation and assigned to the user associated with the till at the time. •Cash Drawer Security: oThe system electronically secures cash drawers, ensuring they can only be opened for valid transactions or with supervisor override. oEmergency manual openings are logged, including details such as the user, timestamp, and reason for access. •Audit Trail and Reporting: oEvery action related to cash handling, including till assignments, transactions, and reconciliations, is recorded in the audit trail. oReports provide a detailed breakdown of cash transactions, user actions, discrepancies, and balances for each cashier station and till. Enhanced Security Features: •Discrepancy Alerts: The system automatically alerts supervisors to any discrepancies between recorded and actual cash totals during reconciliation. •User-Based Permissions: Only authorized users can manage cash transactions and access assigned tills, ensuring compliance with organizational policies. |
| | | YES | |
| **13.8** | **PRINT** | | |

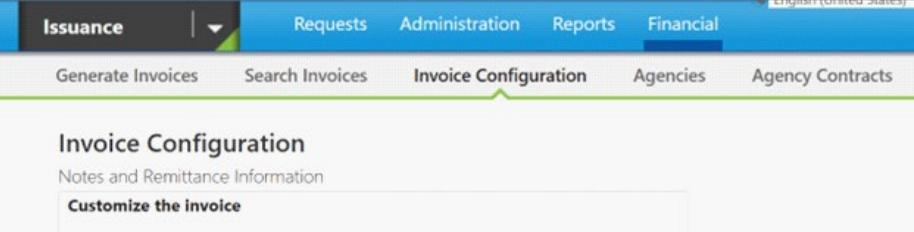| | | | |
|---|---|---|---|
| 13.8.1* | The print queue must list pending document print jobs, including approval status. Document Control Numbers must be assigned at print time and recorded in the database. | YES | The system includes a print queue that incorporates the Document Control Number (DCN) for efficient review and approval workflows. Each document in the queue is displayed with its unique DCN, along with its current status, such as "Pending Approval" or "Ready for Printing." Authorized users can review the details of each document, approve or deny printing requests, and track the status of documents throughout the process. The system logs all actions related to the print queue, including approvals, rejections, and print completions. |
| 13.8.2* | The system must allow a user with necessary access the ability to print a replacement of a legal certified copy of a certificate. | YES | The system allows users with the necessary access to print a replacement for a legal certified copy of a certificate while maintaining strict accountability and traceability. Users can select the original order or record associated with the certificate and initiate the replacement process, ensuring it is properly linked to the existing documentation. The system tracks the replacement action, assigning a unique print transaction number and updating the audit trail with details such as the user, timestamp, and reason for replacement. |
| 13.8.3* | The system must provide the ability to print a certificate with amendments. | YES | The system prints the current legal version of the certificate that must included applied amendments, ensuring the document reflects the most up-to-date and accurate information. |
| 13.8.4 | The system should print labels of various sizes, as needed for mailings, etc. | YES | The system supports the printing of labels in various sizes to accommodate mailing and other operational needs. |
| 13.8.5* | The system must have the ability to print a batch of documents. | YES | The system provides the capability to print batches of certificates (or other documents). Key Features and Functionality: •Queue Management: oThe system can queue up batches of print jobs by default and configure them based on certificate or order type. This functionality can be turned on or off as needed, providing flexibility to accommodate different operational workflows. •Audit Logging: oAll batch printing actions are logged in the system's audit trail, capturing user details, timestamps, and the list of certificates or documents included in the batch. This ensures full traceability and supports auditing requirements. •Error Handling and Notifications: oIf an error occurs during the batch printing process, the system identifies the issue and provides detailed error messages to the user. Partial completions are logged, and users can reinitiate the process for failed items without reprinting the entire batch. |
| 13.8.6* | The system must have the ability to reprint a batch of documents. | YES | The system allows authorized users to reprint batches of certificates (or other documents) efficiently by retrieving batch records with details such as the original print date, initiating user, and included items. Users can choose to reprint entire batches or select specific items, providing flexibility for operational needs. All reprint actions are logged in the system's audit trail, capturing user details, timestamps, and batch information for full traceability. This functionality supports quick recovery from errors such as incomplete print runs or printer malfunctions, ensuring operational efficiency and compliance. |
| 13.8.7 | The system should have the ability to print common correspondence letters. | YES | The system enables users to print common correspondence letters directly from the interface. Users can select pre-configured templates for common letter types, such as notification letters, follow-ups, or acknowledgments, and customize them as needed. The system dynamically populates relevant information, such as recipient details or order references, ensuring accuracy and efficiency. All letter printing actions are logged in the system, capturing details like the user, timestamp, and associated record. |
| 13.8.8* | The system must not allow a record with a specific status to be printed. | YES | The system enforces restrictions to prevent the printing of records with specific statuses. For example, records marked as "Potentially Fraudulent" or "Lock for Amendment" cannot be printed until their status changes to an approved or finalized state. If a user attempts to print a restricted record, the system displays a notification indicating the reason for the restriction. These restrictions are fully configurable to align with the State of Nebraska's policies. |
| 13.8.9* | The system must have the ability to print and reprint an invoice. | YES | The system provides authorized users with the ability to print and reprint invoices. When an invoice is generated, it can be printed immediately, with all relevant details. Users can also access the invoice history to reprint invoices as needed, ensuring flexibility for customer requests or administrative purposes. |
| 13.8.10* | The system must have the ability to print and reprint a receipt. | YES | The system enables authorized users to print and reprint receipts. Receipts are generated with complete transaction details and can be printed immediately upon payment processing. Users can also access receipt history to reprint copies as needed for customer requests or auditing purposes. |

| 13.9 | SHIP | | |
|------|------|---|---|
| 13.9.1 | The system should have the ability to ship orders via UPS or USPS. | CUS | The system can be customized to support shipping orders through integration with carriers such as UPS and USPS. This would be done as part of the implementation process. |
| 13.9.2 | The system should have the ability to generate shipping labels to be printed, or blank labels that need to be handwritten. | CUS | The system can be customized to generate shipping labels through integration with carriers such as UPS and USPS. This would be done as part of the implementation process. |
| 13.9.3 | The system should have the ability to void a shipping label. | CUS | The system can be customized to void shipping labels through integration with carriers such as UPS and USPS. This would be done as part of the implementation process. |
| 13.9.4 | The system should have the ability to view and access shipping functions. | CUS | The system can be customized to view and access shipping functions based on available functionality through integration with carriers such as UPS and USPS. This would be done as part of the implementation process. |
| 13.9.5 | The system should have the ability to generate a detailed report with an existing or previous shipping vendor manifest (e.g., when a manifest is created, an email is sent, notifying the customer their order has been shipped). | CUS | The system can be customized to generate a detailed report with shipping vendor manifest through integration with carriers such as UPS and USPS. This would be done as part of the implementation process. |
| 13.10 | FUNCTIONALITY | | |
| 13.10.1 | The system should provide a kiosk provided and maintained by the Vendor for the processing of vital record order requests and process payments for customers. | CUS | Axiell's proposed solution does not have the capability to offer a kiosk or credit card machines as part of this bid. However, we can assist Nebraska in selecting appropriate kiosk hardware to meet its specific needs. As part of this bid, Axiell would be willing to partner with or directly subcontract a hardware provider to deliver a complete solution. While Axiell does not currently offer such a service to its other customers, we are prepared to customize our approach to meet Nebraska's requirements. Regardless of how the kiosk hardware is procured, Axiell will provide the interface to run on the selected kiosks, which is a customized variation of the online ordering and cashier counter interfaces combined with public user interface elements.<br>Key Features and Functionality:<br>•Self-Service Ordering: The kiosk interface enables customers to independently place orders for vital records, providing a streamlined and accessible ordering experience.<br>•Integrated Payment Processing: The kiosk interface supports secure payment processing, allowing customers to pay for orders using supported payment methods such as credit and debit cards.<br>•User-Friendly Design: The interface is designed with simplicity and accessibility in mind, ensuring it is intuitive for users with varying levels of technical expertise.<br>By providing a tailored kiosk interface and supporting the hardware selection process, Axiell ensures that Nebraska benefits from a functional, efficient, and customer-friendly kiosk solution. |
| 13.10.2 | The system should provide credit card machines provided and maintained by the Vendor for the processing of payments for customers. | | |
| 13.10.3* | The system must track requests and accept payment for all transactions. | YES | The system tracks all customer requests and ensures accurate payment processing for every transaction. Each request, whether for vital record orders, amendments, or other services, is logged in the system and linked to the corresponding order or record. Payments are securely processed and associated with the relevant transaction, with details such as payment method, amount, and date recorded. The system supports various payment types, including credit/debit cards, cash, checks, and money orders, providing flexibility for customers. |
| 13.10.4* | The system must have the ability to calculate order fees automatically. | YES | The system automatically calculates order fees based on the configured fee schedule, ensuring accurate and consistent billing for all transactions. Fees are dynamically applied according to the type of vital record requested, the quantity of documents, and any additional services such as expedited processing or shipping. |
| 13.10.5* | The system must allow manual processing of checks, money orders, or cash payments for orders including the requestor, request reason, amount, and request type. | YES | The system enables the manual processing of checks, money orders, or cash payments for orders. Authorized users can input payment details directly into the system, including the requester's name, reason for the request, payment amount, and request type. Each transaction is securely linked to the associated order, providing a complete record of the payment. The system logs all manual payment activities, capturing user actions, timestamps, and associated details. |
| 13.10.6* | The system must have the ability to close orders. | YES | The system provides authorized users with the ability to close orders. Once an order is fulfilled, the status is updated to "Closed," indicating that all associated tasks, have been completed. |

| | | | |
|---|---|---|---|
| 13.10.7* | The system must allow a user with necessary access to void an order that has been paid in full. | YES | The system allows users with the necessary access to void an order that has been paid in full while maintaining transparency and accountability. When an order is voided, the system automatically updates the status to "Voided" and records the reason for the action, such as an error in processing or a customer cancellation. Any associated payments are flagged for reconciliation, and refund actions, if applicable, can be initiated directly within the system. |
| 13.10.8* | The system must allow a user with necessary access to void an order before it is closed. | YES | The system allows users with the necessary access to void an order before it is closed. When an order is voided, the system automatically updates the status to "Voided" and records the reason for the action, such as an error in processing or a customer cancellation. Any associated payments are flagged for reconciliation, and refund actions, if applicable, can be initiated directly within the system. |
| 13.10.9* | The system must allow a user with necessary access to make updates to a completed order. | YES | The system allows users with the necessary access to make updates to a completed order. Authorized users can modify specific aspects of the order, such as updating customer information or correcting payment details, based on permissions and workflow rules. All changes to completed orders are logged in the system's audit trail. |
| 13.10.10* | The system must allow a user with necessary access to cancel an unpaid order. | YES | The system allows authorized users to cancel unpaid orders. Users can cancel an order directly from its record, providing a reason for the cancellation, such as customer withdrawal or an input error. Once canceled, the system updates the order's status to "Canceled" and halts any associated workflows. The cancellation action, along with details such as the user, timestamp, and reason, is logged in the audit trail. |
| 13.10.11* | The system must allow a user with necessary access to process individual orders. | YES | The system enables users with the necessary access to process individual orders. Authorized users can review the details of an order, verify associated information such as payment status and requested documents, and complete the necessary steps for fulfillment. |
| 13.10.12* | The system must have a specific status for certificates that are waiting on verification. | YES | The system provides a specific status for certificates that are pending verification. When a certificate requires additional verification before issuance, it is assigned a status such as "Waiting on Verification." |
| 13.10.13* | The system must have an automated workflow to assign a specific status to certificates waiting on verification, this status would disallow the issuance of the certificate. | YES | The system includes an automated workflow that assigns a specific status, such as "Waiting on Verification," to certificates requiring additional validation. This status is applied automatically based on predefined conditions, such as missing information or pending approvals, and it prevents the issuance of the certificate until verification is complete. |
| 13.10.14* | The system must have the ability to process refunds. | YES | The system provides the ability to process refunds. Authorized users can initiate a refund directly from the associated order, specifying the reason and refund amount. The system updates the payment status to reflect the refunded amount and links the transaction to the corresponding record for traceability. |
| 13.10.15* | The system must have the ability to generate order slips. | YES | The system allows users to generate order slips, providing a clear summary of order details for processing and fulfillment. Each order slip includes key information such as the customer name, order number, requested items, payment status, and shipping details. Order slips can be customized to meet organizational requirements and printed or saved electronically for use in workflows such as document issuance or shipping. |
| 13.10.16* | The system must be able to track how staff validated identity and eligibility of the person requesting the certificate. | YES | The system provides the capability to track how staff validated the identity and eligibility of individuals requesting certificates. For example, authorized users can record the validation method, such as reviewing government-issued identification or verifying supporting documents, directly within the associated order. These details are stored as part of the order record and include information about the validation type, the user performing the validation, and the date and time of the action. |
| 13.10.17* | The system must produce a receipt for each order transaction based on fields that are stipulated by the State of Nebraska. | YES | The system generates a detailed receipt for each order transaction, and the format and content of the receipt will be configured to align with Nebraska's requirements. Receipts can include key information such as the order number, customer name, itemized charges, payment method, transaction date, and any applicable taxes or fees. All receipts can be printed, emailed, or saved electronically, providing flexibility for both customers and administrative workflows. |

| 13.10.18* | The State maintains its own credit card processor. The vendor must ensure compatibility with this system. The vendor is not responsible for payment processing. | | Axiell will interface directly with the State's existing credit-card processor and will ensure full technical compatibility with your chosen gateway or payment broker. Our solution does not perform payment processing itself and does not store cardholder data; instead, our COTS solution passes the required order and amount information to your processor, redirects the customer to the State-hosted payment page, and consumes the payment result to update the order, issue receipts, and move the transaction into POS for fulfillment.<br><br>This architecture which implements online ordering tightly coupled to a State or whole-of-government payment broker with no middle-man processor provided by Axiell—is our standard deployment pattern outside the United States. For example, in Tasmania (Australia) our AFS web application for Births, Deaths and Marriages redirects users to the State's Westpac PayWay gateway, retrieves the payment result, and then transfers the completed, paid orders into Vitalware POS for processing.  In Newfoundland & Labrador (Canada), AFS integrates with the provincial ePayment Broker, passing transaction data to the broker, redirecting the public to the broker's hosted payment page, and then reading back an XML receipt to update the web order while leaving the payment data owned and controlled by the provincial broker. Payment data coming from ePayment Broker is treated as read-only in POS and is reconciled against broker reports, again keeping the processor as the system of record.<br><br>Similarly, in New Brunswick (Canada) our internal AFS solution is designed to work with the province's existing receipting system: at checkout, staff obtain payment through the government's receipting service (A2G) and simply record the AFS order reference, reinforcing the pattern that the government's own systems handle payment processing while AFS manages orders and fulfillment. Based on this international experience in Canada, Australia and other jurisdictions, the State's requirement that the vendor "ensure compatibility with the State's credit card processor" while not being responsible for payment processing aligns precisely with how our AFS/Order Management module is designed and implemented in practice. |
| | | YES | |
| **13.11** | **CONFIGURATION** | | |
| 13.11.1* | The system must have the ability to add, update, or configure custom fees with a date parameter. | | The fee schedule is fully customizable to meet organizational and regulatory requirements, ensuring accurate and consistent billing across all document types and configurable by location (e.g. county and state level offices). The system can also specify effective and termination dates for each fee. This ensures that pricing changes can be scheduled in advance and applied automatically when the dates take effect, reducing manual intervention. |
| | | YES | |
| 13.11.2* | The system must allow a user with necessary access to configure the invoice template. | | The system enables users with the necessary access to configure the invoice template to meet organizational or regulatory requirements. Authorized users can modify the template elements.<br><br> |
| | | YES | |
| 13.11.3* | The system must allow a user with necessary access to configure the order slip template. | | The system can be customized to enable users with the necessary access to configure the order slip template to meet organizational or regulatory requirements. Authorized users can modify the template elements. |
| | | YES | |
| **14** | **REPORTS** | | |
| **14.1** | **GENERAL** | | |

| 14.1.1* | The system must have the ability to create or modify reports. | | Axiell's system provides comprehensive reporting capabilities that enable users to create and modify reports tailored to specific operational and compliance requirements. Leveraging the system's integration with a data warehouse, users can access a centralized repository of structured data, ensuring that reports are accurate, detailed, and reflective of the latest information.<br><br>The system supports a variety of popular reporting and visualization tools, offering flexibility for users to work with their preferred platforms. Commonly used tools include Tableau, Power BI, and Crystal Reports, which provide user-friendly interfaces for generating detailed reports, visualizations, and summaries. Additionally, the system is compatible with other reporting solutions, ensuring it can adapt to the organization's existing workflows and technical preferences. |
|---|---|---|---|
| | | YES | |
| **14.2** | **FUNCTIONALITY** | | |
| 14.2.1* | The system must allow a user with necessary access to generate a report of detailed and/or summary financial reports by user, terminal, or submission source and current status. | | Axiell's system allows users with appropriate access permissions to generate detailed and summary financial reports. These reports can be categorized by user activity, terminal usage, submission source, and current status, ensuring alignment with Nebraska's reporting and accountability needs. |
| | | YES | |
| 14.2.2* | The system must allow a user with necessary access to view custom, on-demand, or ad-hoc reports of any data, orders, payments, or records in the system. | | Axiell's system provides users with the necessary access permissions the ability to view custom, on-demand, or ad-hoc reports. This feature ensures that users can access relevant data, including orders, payments, or records, in real time to meet Nebraska's operational and compliance requirements. |
| | | YES | |
| 14.2.3* | The system must allow a user with necessary access to create custom, on-demand, or ad-hoc reports of any data, orders, payments, or records in the system. | | Axiell's system allows authorized users to create custom, on-demand, or ad-hoc reports. Users can design these reports to include specific data, orders, payments, or records, providing flexibility to address a wide range of administrative needs in line with Nebraska's standards. |
| | | YES | |
| 14.2.4* | The system must allow a user with necessary access to copy custom, on-demand, or ad-hoc reports of any data, orders, payments, or records in the system. | | Axiell's system includes functionality for users with appropriate permissions to copy custom, on-demand, or ad-hoc reports. This capability facilitates the replication of reports for consistent use while supporting Nebraska's operational workflows. |
| | | YES | |
| 14.2.5* | The system must allow a user with necessary access to update custom, on-demand, or ad-hoc reports of any data, orders, payments, or records in the system. | | Axiell's system enables users with the necessary access permissions to update custom, on-demand, or ad-hoc reports. This feature allows for modifications to reflect the latest data, ensuring that reports remain accurate and aligned with Nebraska's needs. |
| | | YES | |
| 14.2.6* | The system must allow a user with necessary access to delete custom, on-demand, or ad-hoc reports of any data, orders, payments, or records in the system. | | Axiell's system supports the ability for authorized users to delete custom, on-demand, or ad-hoc reports. This ensures efficient management of report inventories in compliance with Nebraska's guidelines. |
| | | YES | |
| 14.2.7* | The system must allow a user with necessary access to schedule and deliver custom, on-demand, or ad-hoc reports of any data, orders, payments, or records in the system. | | Axiell's system provides functionality for scheduling and delivering custom, on-demand, or ad-hoc reports. Users can define delivery schedules and parameters, ensuring that reports are distributed as needed to meet Nebraska's operational requirements. |
| | | YES | |
| 14.2.8 | The system should allow a user with necessary access to export or download custom, on-demand, or ad-hoc reports of any data, orders, payments, or records in the system. | | Axiell's system allows users with the required permissions to export or download custom, on-demand, or ad-hoc reports. This feature supports efficient access to and utilization of critical data, orders, payments, or records as needed by Nebraska's standards. |
| | | YES | |
| 14.2.9* | The system must allow a user with necessary access to print or reprint custom, on-demand, or ad-hoc reports of any data, orders, payments, or records in the system. | | Axiell's system includes the capability for users to print or reprint custom, on-demand, or ad-hoc reports. This ensures that physical copies of reports are available when required, meeting Nebraska's operational expectations. |
| | | YES | |
| **14.3** | **CONFIGURATION** | | |
| 14.3.1 | The system should allow a user with necessary access to configure letter templates. | | Axiell's system provides the capability for users with appropriate access to configure letter templates. This functionality supports Nebraska's requirements for customizable correspondence to reflect state-specific standards. |
| | | YES | |
| 14.3.2 | The system should have the ability to customize template letterhead. | | Axiell's system includes the ability to customize template letterhead, enabling users to adjust designs and formats to align with Nebraska's branding and professional guidelines. |
| | | YES | |
| **15** | **INTEGRATION** | | |
| **15.1** | **INTERFACE** | | |

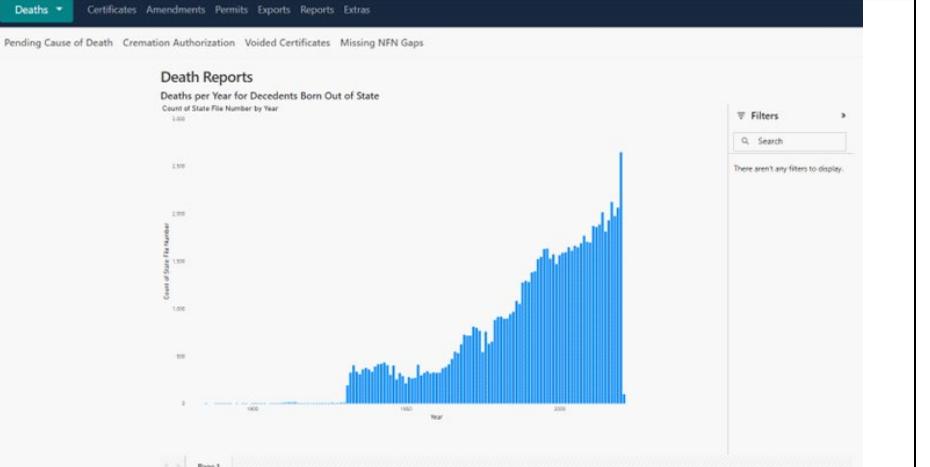| | | | | |
|---|---|---|---|---|
| 15.1.1* | The system must integrate with the State and Territorial Electronic Vital Event (STEVE), Social Security Administration (SSA), Electronic Verification of Vital Events (EVVE), and internal state agencies for data collection and reporting purposes. | | | Axiell's system integrates with the State and Territorial Electronic Vital Event (STEVE) system, the Social Security Administration (SSA), the Electronic Verification of Vital Events (EVVE), and internal state agencies to fulfill the requirements outlined in section 15.1.1.<br><br>The integration with STEVE complies with NAPHSIS standards, supporting the structured exchange of vital event data between state and territorial systems. The system uses FHIR standards, including VRDR (Vital Records Death Reporting) for deaths, as well as FHIR-based protocols for births and fetal deaths, which are currently under development. In addition to FHIR, the system supports existing Inter-Jurisdictional Exchange (IJE) standards and state-to-state formats, ensuring compatibility with current data exchange practices and requirements. This comprehensive support enables timely and accurate transmission of vital records across systems. For the Social Security Administration, Axiell's system facilitates electronic verification processes and data reporting, ensuring full compliance with SSA standards. It supports Online Verification Services (OVS), Enumeration at Birth (EAB), Fact of Death reporting, and the newer, voluntary Child Ethnicity data collection and reporting initiative in conjunction with EAB. These features ensure that the system not only meets existing SSA requirements but also aligns with evolving data collection practices for more comprehensive reporting.<br><br>Axiell's system supports data exchanges with internal state agencies, enabling efficient workflows for data collection and reporting. As part of our implementations, we routinely develop and add interoperability with state-level and local systems. The specifics of these integrations typically take shape during the implementation process, as each state uses its own set of applications and tools, which often do not conform to any federal standards. These integrations are designed with stringent security measures to protect sensitive information and ensure compliance with all relevant regulations.<br><br>Axiell routinely participates in relevant industry subgroups to ensure we remain informed about emerging interoperability mechanisms and are positioned to implement them early. A recent example of this proactive approach is our involvement with the CDC Mortality Surveillance initiative (separate from NCHS), which consumes non-PII versions of the legacy Mortality IJE files. Axiell's system performs PII cleansing at the system level, ensuring that sensitive data is removed before transmission, rather than relying on STEVE (or the CDC) to scrub the data. This approach not only enhances data security but also enables the non-PII IJE format to be repurposed for many other potential uses, including data recipients that do not participate in STEVE. Other examples of our commitment to advancing interoperability include our automated PRAMS export and the PRAMS Contact File export, which streamline reporting and enhance data usability across systems. |
| | | | YES | |
| 15.1.2* | The system must securely integrate with various state agency systems for sharing HIPAA related data. | | | Axiell's system ensures secure integration with state agency systems to facilitate the sharing of HIPAA-related data in compliance with federal and state regulations. The system employs industry-standard encryption protocols, both in transit and at rest, to safeguard sensitive information during exchanges with state agency applications. Role-based access controls are implemented to ensure that only authorized personnel can access protected health information, maintaining strict adherence to HIPAA's privacy and security rules. |
| | | | CUS | |

| 15.1.3* | The system must integrate with the State of Nebraska's Vital Records unit's online order management application. | | Axiell offers a flexible approach to address the State of Nebraska's needs for online order management integration. If Nebraska selects Axiell's online order management system alongside our Vital Records Management System (VRMS), the two components will operate as a single, unified solution, eliminating the need for separate integration and streamlining the overall process.<br><br>If Nebraska chooses Axiell's VRMS but decides to retain its existing online order management application or use a different vendor's system, Axiell can seamlessly integrate with the selected system during implementation. Our team has extensive experience in similar integrations, including successful connections to VitalChek's online ordering platform in several U.S. jurisdictions. These integrations are designed to ensure secure and efficient communication between systems while accommodating Nebraska's specific technical and workflow requirements.<br><br>Axiell also brings significant experience in providing online order management solutions internationally. Our online ordering system has been successfully implemented in seven Canadian provinces and two Australian states, showcasing its adaptability and effectiveness in diverse regulatory and operational environments.<br><br>Whether Nebraska opts for a fully unified Axiell solution or requires integration with an external online order management system, Axiell is equipped to deliver a secure, efficient, and tailored solution to meet the State's needs. |
| | | CUS | |
| 15.1.4 | The system should integrate with the State of Nebraska's financial system for all collected revenue. | | Axiell will develop and implement the necessary interoperability to integrate the system with the State of Nebraska's financial platform during the implementation process.<br><br>This process includes a thorough assessment of the State's financial systems to design secure and efficient integrations. Whether through APIs, secure file transfers, or other methods, the integration is built with stringent security measures to protect sensitive financial data. |
| | | CUS | |
| **15.2** | **IMPORT** | | |
| 15.2.1* | The system must provide the ability to import files including but not limited to the Inter-Jurisdictional Exchange (IJE) standard. | | Axiell's system includes comprehensive capabilities for importing files, supporting a variety of data formats, including the Inter-Jurisdictional Exchange (IJE) standard. The system is designed to handle large volumes of data efficiently and accurately, ensuring reliable integration of vital records data from external sources.<br><br>During the implementation process, Axiell works closely with the State of Nebraska to configure the import functionality to align with its specific requirements. This involves analyzing the types of files used, establishing validation rules, and mapping data fields to ensure compatibility. The system can also accommodate additional file formats as needed, offering the flexibility to adapt to Nebraska's data exchange needs.<br><br>The import process incorporates features such as automatic validation, error detection, and detailed logging to maintain data integrity and provide transparency. With extensive experience in similar projects, Axiell ensures the import functionality is tailored to Nebraska's operational requirements. |
| | | YES | |
| 15.2.2* | The system must generate error files identifying import failures. | | Axiell's system provides functionality to generate error files that identify import failures, ensuring issues can be promptly identified and resolved. The system automatically validates imported data against predefined rules and generates detailed error files when discrepancies or issues are detected. These files include specific information about the records and the nature of the errors encountered during the import process. |
| | | YES | |
| 15.2.3* | The system must generate error prompt boxes identifying any manual import failures. | | Axiell's system generates error prompt boxes as a summary of the import task, ensuring that any issues detected during a manual import are clearly communicated to the user upon task completion. This approach ensures that errors do not interrupt or delay the import process, and a retry function is easily accessible to the user for addressing failed or partially failed imports. |
| | | YES | |
| 15.2.4* | The system must have the ability to electronically schedule imports. | | Axiell's system includes a built-in task scheduler that enables users to electronically schedule imports. Typical examples of this functionality include scheduling imports for death record cause-of-death coding (TRX/TRP files) or processing online orders from VitalChek. This scheduler allows users to automate recurring imports, ensuring efficient and consistent data processing. |
| | | YES | |

| | | | |
|---|---|---|---|
| 15.2.5* | The system must have the ability to cancel or reverse a data import which would automatically remove the imported record and/or associated data. | YES | Implementing the ability to cancel or reverse a data import requires customization to define the specific criteria for what constitutes a successful reversal. This could include reversing only failed records, undoing the entire import, or implementing a two-step process to maintain proper history—one process to document the failure and another to execute the reversal. Axiell will work closely with the State of Nebraska during the implementation phase to determine the appropriate approach and ensure it aligns with the State's operational and audit requirements. |
| 15.2.6* | The system must have an import process; as the data file is imported, values on the file should be able to be validated or decoded. | YES | Axiell's system applies validation and decoding "on the fly" during the import process. As data files are processed, the system checks values against predefined rules and performs decoding operations in real time. |
| 15.2.7* | The system must have the ability to decode or populate import data based on missing or incomplete values (e.g., table validation, stored procedure, or default values). | YES | Axiell's system is equipped to decode or populate missing or incomplete data during the import process. To configure this correctly, Axiell would require input from the State of Nebraska to define assumptions on mapping or decoding incomplete and coded data. These configurations are tailored during implementation to align with Nebraska's specific data rules and operational requirements, supporting efficient and accurate data handling. |
| 15.2.8* | The system must import dissolution of marriage events from the State of Nebraska's Justice System data daily (format fixed width). | YES | Axiell's system supports data exchanges with state-level systems for importing dissolution of marriage events. As part of our implementations, we routinely develop and add interoperability with state and local systems, tailoring the solution to meet the specific requirements of each jurisdiction. The specifics of this integration, including handling the fixed-width file format, will be defined during the implementation process to align with the State of Nebraska's Justice System data and operational needs. |
| 15.2.9* | The system must provide the ability to import or lookup coded files from the National Center for Health Statistics (NCHS) in accordance with their reporting requirements, and once uploaded have the ability to insert these imported files (codes) and place them in to the appropriate fields attached to the applicable records. This includes International Classification of Diseases (ICD)-10 codes and bridge-race codes.<br>See www.cdc.gov/nchs/nvss/revisions-of-the-us-standard-certificates-and-reports.htm | YES | Axiell's system supports the import and processing of coded files from the National Center for Health Statistics (NCHS) out of the box, including formats such as TRP/TRX and MRE files. Once uploaded, the system automatically maps and inserts these imported codes, such as ICD-10 and bridge-race codes, into the appropriate fields of the relevant records. |
| **15.3** | **EXPORT** | | |
| 15.3.1* | The system must provide the functionality to transmit from all death records the decedent's data to the Social Security Administration (SSA). This functionality meets the terms and conditions under which SSA will verify SSN's (social security numbers) for the State of Nebraska. | YES | Axiell's system supports transmitting decedent data from death records to the Social Security Administration (SSA) for both Fact of Death reporting and SSN verification.<br><br>The system includes configurable options for managing the number of OVS attempts and allocating those attempts to different users. For example, the configuration can allocate two attempts to a funeral home and three additional attempts to the state vital records office. |
| 15.3.2* | The system must generate error files identifying export failures. | YES | Axiell's system generates detailed error files to identify export failures, ensuring users have the information needed to address issues effectively. These files include specific details about the nature of the failure and the records affected. |
| 15.3.3* | The system must generate error prompt boxes identifying any manual export failures. | YES | Axiell's system generates error prompt boxes as a summary of manual export tasks, notifying users of any failures after the task is completed. These prompts provide specific details about the errors encountered, helping users identify and resolve issues without interrupting or delaying the export process. |
| 15.3.4* | The system must have the ability to electronically schedule exports. | YES | Axiell's system includes a built-in task scheduler that enables users to electronically schedule exports, similar to the functionality provided for electronically scheduled imports (refer to 15.2.4). Typical examples of scheduled exports include IJE files for birth, death, and fetal death records; PRAMS; Fact of Death transmissions; and other required exports. |
| 15.3.5* | The system must have an export process; as the data file is produced, values on the file should be able to be validated or decoded. | YES | Axiell's system validates and decodes (or encodes) values as data files are produced during the export process. The system applies validation rules and decoding or encoding mechanisms in alignment with the specifications defined during the implementation phase, ensuring compatibility with Nebraska's workflows and data requirements. |
| 15.3.6* | The system must have the ability to produce standard or ad hoc data exports with a file type (.xlsx, .csv, .txt, .pdf) of complete or partial information and/or records. | YES | Axiell's system includes a data warehouse that supports the production of standard and ad hoc data exports in various file formats, such as .xlsx, .csv, .txt, and .pdf. This allows users to export complete or partial datasets tailored to specific operational or analytical requirements.<br><br>The data warehouse integrates with tools such as PowerBI and Tableau, enabling advanced data visualization and reporting. |

| 15.3.7* | The system must have a way for the State of Nebraska to automate control of when a record needs to be sent or resent. | | Axiell's system includes functionality to automate the control of when a record needs to be sent or resent. This capability allows users to schedule or manually trigger the transmission of specific records based on predefined criteria or as part of a correction or update process.<br><br>The system can track the status of transmitted records, identify those requiring resending, and ensure that only the necessary updates or corrections are transmitted. During implementation, Axiell will work with the State of Nebraska to configure this feature to align with its workflows and operational requirements. |
| | | YES | |
| **16** | **ANALYTICS TOOL** | | |
| **16.1** | **ANALYTICS TOOL** | | |
| 16.1.1 | The system should have an analytics tool within the system to identify data duplication, discrepancies, and outliers. | | This analytics capability is available with the system's data warehouse, which allows administrators to configure criteria for detecting duplicate entries, mismatched data fields, or statistically unusual values. |
| | | CONFIG | |
| 16.1.2 | The system should have the ability to apply data visualizations such as charts, graphs, and dashboards, which can be drilled into for more granular information. | | The system integrates with Power BI to provide dynamic data visualizations, including charts, graphs, and dashboards, offering actionable insights into operational data. These visualizations present aggregated information at a high level, such as order trends, payment summaries, or certificate issuance metrics, and can be configured to meet specific organizational needs. Users can drill down into individual data points for more granular details, such as viewing specific orders or transaction histories behind a trend. This functionality enhances decision-making by presenting data in an intuitive and accessible format. Below is an example of a configured death report used to display deaths per year for decedents born out of state:<br><br> |
| | | CONFIG | |
| **17** | **HELP** | | |
| **17.1** | **HELP** | | |
| 17.1.1* | The system must provide online help connected to the relevant workflow, field, or report being used. | | The system must provide online help connected to the relevant workflow, field, or report being used.<br>Axiell's system offers a field-level, context-sensitive help system designed to enhance user efficiency and accuracy. This feature provides real-time, field-specific assistance through embedded prompts and tooltips, allowing users to access relevant instructions without disrupting their workflow. Additionally, Axiell provides training resources, including searchable manuals and video tutorials, to deliver step-by-step guidance tailored to user roles, ensuring stakeholders can effectively navigate the system.<br>Furthermore, the help system is configurable, allowing administrators to present different help messages to various users or groups for the same fields. This ensures that the guidance provided is relevant to the context and expertise level of the user group. *While this feature is currently implemented for our on-premises solutions, we are actively working to make it available for cloud-based systems, with a target release date of Q2 2025. |
| | | YES | |

| | | | |
|---|---|---|---|
| 17.1.2 | The system should provide an overall up-to-date online tutorial to assist users learning the software as well as online help tool with glossary, index, and search capabilities. | CUS | Axiell's system does not include pre-built Nebraska-specific tutorials. However, as part of the implementation process, Axiell works closely with Nebraska to develop customized online tutorials and training materials tailored to the state's workflows, operational needs, and compliance standards. |
| 17.1.3 | The system should provide online documentation for all modules. | YES | Axiell's system includes generic module documentation to provide baseline guidance and reference materials for users. Additionally, as part of the implementation process, Axiell collaborates with Nebraska to develop comprehensive online documentation tailored to the state's specific requirements and operational workflows. This combined approach ensures that users have access to both general and Nebraska-specific guidance to effectively utilize the system's functionalities. |

# ATTACHMENT 2
## Technical Specifications
## Vital Records Management System
## Request for Proposal Number 120277 O3 REBID

# Bidder Name: <u>Axiell ALM, INC.</u>

***Important Scoring Dynamic:*** Attachment 2 – Technical Specifications shall be subject to a "Pass" or "Fail" assessment. Bidder to review Section (I)(P)(2) of the Request for Proposal (RFP) document for understanding the methodology that will be applied. The items highlighted in <mark>gold</mark> and notated with an asterisk (*) within this document represent the capability and/or requirement that will be subject to the "Pass" or "Fail" assessment, as these are "must" requirements.

***Instructions:*** Bidders shall review the tables below to understand the structure of this document and how to effectively complete this attachment for inclusion with the RFP submission. Use the format provided to complete this attachment in its entirety. DO <u>NOT</u> ALTER THE COLOR CODING, CONTENT, OR FORMAT OF THIS ATTACHMENT.

Failure to include this completed attachment shall result in the bidder's Solicitation Response being deemed "Non-Responsive." Bidder may increase the size of the response box to provide the necessary information. If the response includes other attachments, bidder must indicate that information in the response box. Such attachments must be included with the completed "Attachment 2 – Technical Specifications".

This document is comprised of four (4) separate categories that are expressed in the table directly below. Each category is identified by the following initial characters:

| Category | Description |
|---|---|
| ARCH | Architecture Capabilities and/or Requirements |
| SPC | Security and Compliance Capabilities and/or Requirements |
| DM | Database/Data Management Capabilities and/or Requirements |
| OM | Operations Management Capabilities and/or Requirements |

Each category above contains multiple sub-categories. The table directly below describes the functionality of each column:

| Column Description | Bidder Responsibility |
|---|---|
| Req # | The unique identifier for the item as assigned by the State of Nebraska. |
| Capability and/or Requirement | The description of the item to which the Bidder shall respond. |

## CAPABILITIES AND/OR REQUIREMENTS
<u>How to complete the Capabilities and/or Requirements:</u> Bidders shall provide information in each respective "Response" box provided. Each individual response shall include the information as indicated. Such responses shall include specific details, characteristics and key aspects to demonstrate the bidder's proposed solution and how it meets the conformance specification outlined in relation to the project

*Architecture Capabilities and/or Requirements*

| Req # | Capabilities and/or Requirements |
|---|---|
| ARCH-1 | Describe the bidder solution to addressing the following architectural details:<br><br>**Technology Architecture**: Describe the software components, including third-party software products, open-source libraries, and utilities that complete the platform for running a service or supporting an application.  This section should document any technical requirements for accessing the software, including but not limited to client desktop installs, etc.  Further, the section should clearly outline any State required infrastructure, such as setting up VPN, SFTP, etc., to implement or operate the system.<br><br>**Network Architecture**: Describe the means of communication, the method of sending and receiving information, between the assets in the Technology Architecture.<br><br>**Application Architecture**: Describe how the solution components are assembled and interact to meet the business needs. Describe the solution's ability to manage and store documents and attachments.<br><br>**Data Flow Architecture**: Describe the data flows into and out of the system boundary, include transmission and storage, along with ports, protocols, and services of all inbound and outbound traffic. |

Response:

The proposed solution is designed for flexibility, scalability, and compliance with the State of Nebraska's specific requirements. It integrates proprietary and open-source components, including web servers, application frameworks, and API management tools. The architecture is configured during implementation to meet Nebraska's technical and operational standards. Key details are provided below:

- **Technology Architecture**:
  - **Application Layer**: A modern, web-based application running on widely supported browsers (e.g., Chrome, Edge), eliminating the need for client-side installations.
  - **Database Options**: Backend support for multiple databases, including Microsoft SQL Server and Oracle. The solution leverages **Entity Framework**, an object-relational mapping (ORM) tool, to facilitate seamless interactions with multiple database types, ensuring compatibility with Nebraska's existing infrastructure and adaptability for future requirements.
  - **Integration Tools**: Built-in APIs and middleware are ready to be configured to meet any Nebraska-specific data exchange protocols. These tools enable seamless connectivity with third-party systems and adherence to federal standards such as NCHS and SSA, ensuring smooth and secure data interoperability.
- **Network Architecture**:
  - **Secure Communication Channels**:
    - **HTTPS (Port 443)**: For secure web traffic.
    - **SFTP or FTPS (Ports 22 or 990)**: For secure file transfers.
    - **SMTP or SMTPS (Ports 25, 465, or 587)**: For secure email transmission.
    - **IPSec Protocol**: Required by SSA for secure VPN communication, utilizing Ports 500 (IKE) and 4500 (NAT-T).
  - **Configurable Ports**: Inbound and outbound ports are configurable during implementation to meet Nebraska's specific security and network policies.
  - **Collaboration with Nebraska**:
    - The system is designed to ensure compliance with local port usage restrictions and policies.
    - We work closely with Nebraska's IT and security teams to implement tailored configurations.
  - **VPN Requirements**:

- Beyond mandatory SSA VPN requirements, the system supports any additional jurisdiction-mandated VPN configurations to ensure secure and reliable operations.
- **Application Architecture**:
  - **Modular Design**:
    - Key functionalities, such as birth and death registrations, order management, and reporting, are organized into distinct modules that interact via a unified interface.
    - This modular structure promotes maintainability and scalability.
  - **Document and Attachment Management**:
    - The system includes robust features for managing and storing documents and attachments.
    - All documents and attachments are stored in encrypted and backed-up storage space within the **Azure cloud infrastructure**, ensuring data security and redundancy for disaster recovery and continuity of operations.
  - **Role-Based Access Control**: Security is enhanced through role-based access, allowing granular control over user permissions in accordance with Nebraska's operational policies.
- **Data Flow Architecture**:
  - **Secure Data Transmission**:
    - Inbound and outbound data flows are secured through encrypted protocols such as HTTPS and SFTP.
    - Configurable port options include:
    - **HTTPS (Port 443)**: For secure web-based communication.
    - **SFTP or FTPS (Ports 22 or 990)**: For secure file transfers.
    - **SMTP or SMTPS (Ports 25, 465, or 587)**: For secure email transmission.
    - **IPSec (Ports 500 and 4500)**: For secure VPN communication.
  - **Logging and Monitoring**: Comprehensive logging and monitoring are implemented to track data exchanges, ensuring compliance with Nebraska's IT security policies and readiness for audits.
  - **Data Storage**: Sensitive information is encrypted both at rest and in transit, meeting state and federal compliance requirements. Document and attachment storage is fully integrated into Azure's cloud infrastructure, leveraging its high-availability and robust backup capabilities.

| Req # | Capabilities and/or Requirements |
|---|---|
| ARCH-2* | The bidder solution must be a cloud-based hosted environment with all components and data residing in the United States and consisting of ready-made software products that do not require major modifications but support customization to meet the functional specifications as outlined in Attachment 2 – Functional Specifications. Bidder must describe how their approach will meet these requirements. |

Response:

Axiell's Vital Records Management System is a cloud-based hosted environment with all components and data securely residing within the United States, fully aligning with the requirements. The system employs a ready-made software platform specifically designed for vital records management, eliminating the need for major modifications. Instead, the platform supports customization to address Nebraska's functional specifications, as detailed in Attachment 2.

Customization is achieved through configurable modules that adapt to Nebraska's specific needs without altering the core software. This includes workflow adjustments for state-defined processes, flexible data field configurations for unique reporting requirements, and integration interfaces for communication with external systems such as the Social Security Administration (SSA) and other federal platforms. Role-based access control ensures that permissions are precisely aligned with user responsibilities, safeguarding sensitive data while supporting usability.

The cloud infrastructure is hosted entirely within U.S.-based data centers and complies with federal standards, including FedRAMP, ensuring data security, integrity, and availability. Encryption protocols protect data both at rest and in transit, while redundant systems and disaster recovery plans guarantee continuous operations. The system's modular nature allows Nebraska to implement functionality immediately while retaining the flexibility to adjust to future needs, delivering a scalable and secure solution tailored to the state's operational and compliance requirements.

| | |
|---|---|
| ARCH-3 | Describe the bidder solution to address the following:<br>• Type of Software – SaaS, PaaS or, IaaS<br>• Licensing Model- Perpetual or Subscription based licenses<br>• Single or Multi-Tenant architecture |

| Req # | Capabilities and/or Requirements |
|---|---|
| | Response: |

**Type of Software**

Axiell's Vital Records Management System is delivered as a **Software-as-a-Service (SaaS)** solution. This fully managed, cloud-hosted platform provides Nebraska with a tailored system for vital records management, ensuring ease of maintenance, scalability, and access to continuous updates.

**Licensing Model**

- The system operates primarily on a **subscription-based licensing model**, offering predictable costs and access to ongoing updates, maintenance, security patches, and technical support. This model reduces operational complexity while ensuring Nebraska always benefits from the latest features and compliance updates.

- An **optional perpetual, royalty-free license** is available, typically reserved for on-premises installations. This option grants Nebraska indefinite use of the software under agreed-upon terms, with separate agreements for updates, support, and maintenance as needed.

**Single or Multi-Tenant Architecture**

    The system uses a **single-tenant architecture**, meaning Nebraska's data and system configurations are fully isolated from those of other clients. This approach enhances data security, ensures dedicated resources, and allows for greater flexibility in customizing workflows and configurations to meet Nebraska's unique requirements.

| Req # | Capabilities and/or Requirements |
|---|---|
| ARCH-4* | The bidder solution must provide multiple environments concurrently to support functions including production, testing, and training. Bidder must describe how their approach will meet these requirements. |

Response:

Axiell's Vital Records Management System is designed to provide six distinct environments, operating concurrently, to support all phases of the system lifecycle. These environments ensure seamless operations for live use, development, testing, and training. Each environment is independently configured to prevent interference and maintain data integrity. The six environments are described below:

1. **Production Environment**

   o This environment is optimized for live operations, providing high availability, performance, and data integrity. It is the primary environment for end-users, supporting daily vital records management tasks, real-time transactions, and integrations with external systems.

2. **Release Environment**

   o The release environment is used to stage upcoming software releases and updates prior to deployment into production. It mirrors the production setup, allowing for final validations and readiness assessments of new features or enhancements.

3. **Hotfix Environment**

   o Dedicated to urgent bug fixes or minor updates that require quick validation before deployment. This environment allows for expedited testing and troubleshooting without impacting other development or production workflows.

4. **Validation Environment**

   o This environment supports comprehensive testing, including integration testing, user acceptance testing (UAT), and regression testing. It mimics the production setup as closely as possible to ensure accurate validation of changes, updates, or new configurations.

5. **Alpha Environment**

   o The alpha environment is dedicated to initial development and experimentation with new features or configurations. It serves as a sandbox for developers to design, build, and refine system enhancements or customizations specific to Nebraska's requirements.

6. **Training Environment**

| Req # | Capabilities and/or Requirements |
|---|---|
| | o   This isolated environment is designed specifically for user training without affecting production or testing workflows. It enables users to gain hands-on experience with system functionality in a controlled setting. |
| ARCH-5* | Review the accessibility requirements described in the following:<br>• Section 508 compliance standards (https://www.section508.gov/manage/laws-and-policies/)<br>• 45 CFR Part 85 (https://www.ecfr.gov/current/title-45/subtitle-A/subchapter-A/part-85)<br>• State of Nebraska Accessibility requirements (https://nitc.nebraska.gov/standards/index.html#2).<br><br>Bidder must confirm that your company has read, understands, and can meet all the capabilities and/or requirements as outlined for each of the items and indicate how your solution will meet such requirements as they relate to the accessibility requirements. |

| Req # | Capabilities and/or Requirements |
|---|---|

Response:

Axiell's Vital Records Management System has been designed and implemented to meet all relevant accessibility requirements, ensuring compliance with federal and state standards. The system adheres to the following standards to guarantee equitable access for all users, including individuals with disabilities:

- **Section 508 Compliance**: Axiell's Vital Records Management System fully complies with Section 508 standards by ensuring that the software is accessible to users with disabilities, including those relying on assistive technologies. The interface is designed to support screen readers, keyboard navigation, and other accessibility tools. Testing and validation processes are conducted to ensure conformance with WCAG 2.1 guidelines, as required under Section 508.

- **45 CFR Part 85 Compliance**: Axiell's Vital Records Management System aligns with 45 CFR Part 85, ensuring nondiscrimination on the basis of disability in programs or activities conducted by the Department of Health and Human Services (HHS). The system adheres to Section 508 of the Rehabilitation Act to provide accessible electronic and information technology, ensuring full inclusion of individuals with disabilities. Key features include screen reader compatibility, full keyboard navigation, text alternatives for non-text elements such as images and icons, and proper color contrast and scalability for readability.

- **State of Nebraska Accessibility Requirements**: Axiell's system will also be configured to comply with the State of Nebraska Accessibility Requirements, adhering to standards and guidelines outlined by the Nebraska Information Technology Commission (NITC).

*Security and Compliance Capabilites and Requirements*

| Req # | Capabilities and/or Requirements |
|---|---|
| SPC-1* | Review the standards and policies described in the following:<br>• DHHS Information Technology (IT) Security Policies and Standards (http://dhhs.ne.gov/ITSecurity).<br>• Nebraska Information Technology Commission (NITC) Standards and Guidelines (https://nitc.nebraska.gov/standards/index.html).<br>• Health Insurance Portability and Accountability Act (HIPAA) of 1996.<br><br>Bidder must confirm that your company has read, understands, and can meet all the capabilities and/or requirements as outlined for each of the items <u>and</u> indicate how your solution will meet such requirements as they relate to the standards and policies described above. |
| Response:<br><br>We confirm that our organization has reviewed and understands the DHHS Information Technology (IT) Security Policies and Standards, the Nebraska Information Technology Commission (NITC) Standards and Guidelines, and the requirements of the Health Insurance Portability and Accountability Act (HIPAA) of 1996. Our solution will be configured to be fully compliant with these standards and policies, incorporating the necessary technical, administrative, and procedural measures to meet all outlined capabilities and requirements. ||
| SPC-2* | The bidder must agree to conduct an independent, third-party penetration test for the solution in which they are offering within one year prior to the anticipated go-live date, that includes, at a minimum, the Open Web Application Security Project (OWASP) Top 10.  Identified risks must be classified by severity and additional information must be provided for any risks identified as medium and above.  This must be conducted at no additional charge to the State.  Bidder must confirm their intent to conduct this test at the appropriate time and describe how their approach will meet these requirements. |
| Response:<br><br>We confirm our intent to conduct an independent, third-party penetration test for the proposed solution within one year prior to the anticipated go-live date. This test will align with the Open Web Application Security Project (OWASP) Top 10 guidelines and will include a comprehensive assessment of identified risks, classified by severity. Detailed documentation will be provided for all risks categorized as medium or above. This test will be performed at no additional charge to the State, and our approach ensures full compliance with the stated requirements to safeguard the system's security and integrity. ||

| Req # | Capabilities and/or Requirements |
|---|---|
| SPC-3* | The bidder must agree to conduct an annual independent third-party penetration test of the solution that includes the Open Web Application Security Project (OWASP) Top 10. The report must provide details of the critical, high, and medium findings and associated risks. This must be conducted at no additional charge to the State. Bidder must confirm their intent to conduct this test at the appropriate time and describe how their approach will meet these requirements. |
|  |  |

Response:

We confirm our intent to conduct an annual independent, third-party penetration test for the solution, aligned with the Open Web Application Security Project (OWASP) Top 10. These tests will include detailed reports identifying critical, high, and medium findings, along with associated risks. This service will be provided at no additional charge to the State, and our approach ensures the thorough identification and mitigation of vulnerabilities, maintaining the system's security and compliance standards.

| Req # | Capabilities and/or Requirements |
|---|---|
| SPC-4* | The bidder must agree to conduct an independent, third-party security and privacy controls assessment that aligns with the National Institute for Standards and Technology (NIST) SP 800-53 moderate standard, within one year prior to the go-live date. Identified security gaps must be classified by severity and additional information must be provided for any gap identified as medium and above. This must be conducted at no additional charge to the State. Bidder must confirm their intent to conduct this assessment at the appropriate time and describe how their approach will meet these requirements. |

Response:

We confirm our intent to conduct an independent, third-party security and privacy controls assessment in alignment with the National Institute for Standards and Technology (NIST) SP 800-53 moderate standard within one year prior to the go-live date. This assessment will include the classification of identified security gaps by severity, with detailed information provided for any gaps classified as medium or above. This service will be performed at no additional charge to the State, ensuring the solution meets all security and privacy requirements effectively and comprehensively.

| Req # | Capabilities and/or Requirements |
|---|---|
| SPC-5* | The bidder must agree to conduct an annual independent third-party security controls assessment that meets the National Institute for Standards and Technology (NIST) SP 800-53 moderate standard. The report must provide details of the critical, high, and medium findings and associated risks. This must be conducted at no additional charge to the State. Bidder must confirm their intent to conduct this assessment at the appropriate time and describe how their approach will meet these requirements. |

| Req # | Capabilities and/or Requirements |
|---|---|
| | Response: |
| | We confirm our intent to conduct an annual independent, third-party security controls assessment aligned with the National Institute for Standards and Technology (NIST) SP 800-53 moderate standard. The assessment will include a detailed report of critical, high, and medium findings, along with associated risks. This service will be provided at no additional charge to the State, ensuring ongoing compliance with required security standards and the effective identification and mitigation of vulnerabilities. |
| SPC-6 | Describe the bidder solution for the following:<br>• Support for self-service password activities.<br>• Automatic log-off procedures after determined time of session inactivity.<br>• Automatic account disablement after 120 days of inactivity.<br>• Administrators' ability to lockout user(s).<br>• Support and approach for single sign-on<br>• Support and approach for Multi-Factor Authentication<br>• Automatic locking of account after determined number of failed logon attempts. |

Response:

In alignment with the HIPAA Security Rule's technical safeguards, our solution incorporates the following features to ensure the confidentiality, integrity, and security of electronic protected health information (e-PHI):

**1. Support for Self-Service Password Activities**

Our system enables users to securely reset, update, or recover their passwords through an intuitive interface. This approach aligns with the HIPAA Security Rule's emphasis on implementing procedures for verifying that a person or entity seeking access to e-PHI is the one claimed.

**2. Automatic Log-Off Procedures After a Determined Time of Session Inactivity**

We implement automatic log-off mechanisms that terminate user sessions after a predetermined period of inactivity. This measure complies with the HIPAA Security Rule's requirement to implement electronic procedures that terminate an electronic session after a predetermined time of inactivity.

**3. Automatic Account Disablement After 120 Days of Inactivity**

Our solution automatically disables user accounts after 120 days of inactivity, reducing risks associated with dormant accounts. While the HIPAA Security Rule does not specify exact time frames, this practice supports the overall requirement to protect e-PHI by implementing reasonable and appropriate security measures.

**4. Administrators' Ability to Lock Out User(s)**

Administrators have the capability to manually lock out users when necessary, providing immediate response to potential security threats. This aligns with the HIPAA Security Rule's requirement for access control mechanisms to prevent unauthorized access to e-PHI.

**5. Support and Approach for Single Sign-On (SSO)**

Our system supports Single Sign-On (SSO) through standard protocols such as SAML and OAuth, allowing users to access multiple integrated applications securely. This approach facilitates efficient access management while maintaining compliance with the HIPAA Security Rule's technical safeguards.

**6. Support and Approach for Multi-Factor Authentication (MFA)**

We implement Multi-Factor Authentication (MFA), requiring users to verify their identity using multiple factors, such as passwords and mobile authenticator apps. This practice enhances security and aligns with the HIPAA Security Rule's requirements for verifying the identity of individuals accessing e-PHI.

| Req # | Capabilities and/or Requirements |
|---|---|
| **7. Automatic Locking of Account After a Determined Number of Failed Logon Attempts** |
| Our system automatically locks user accounts after a specified number of failed login attempts, mitigating the risk of unauthorized access. This measure supports the HIPAA Security Rule's mandate to implement security measures that guard against unauthorized access to e-PHI. |
| SPC-7* | The bidder solution must use role-based security. Bidder must describe how their approach will meet this requirement. |
| Response: Our solution employs a role-based security model that ensures users only have access to system features and data necessary for their roles and responsibilities. Roles are defined based on job functions, with each role granted specific permissions to access, modify, or view data and perform actions within the system. Role-based permissions are easily configurable by system administrators to adapt to changes in organizational needs, and the system supports multiple roles for users performing diverse functions. All role assignments and modifications are logged for auditing purposes, providing transparency and accountability in access management. |
| SPC-8 | Describe the bidder solution for the following:<br>• How user accounts are assigned and managed.<br>• How the system provides usage reports, such as a listing of all users and their last usage date.<br>• How the system supports authorization at an attribute/field level (e.g., edit, view). |

| Req # | Capabilities and/or Requirements |
|---|---|
| | Response:<br><br>Our solution ensures that user accounts are assigned and managed through a centralized administrative interface, where administrators can create accounts, assign roles, and manage account lifecycles, including activation, modification, and deactivation. Users are granted access based on predefined roles and permissions, which align with their responsibilities. The system also supports self-service tools for password management and automatically disables inactive accounts after a specified period to enhance security.<br><br>The system provides detailed usage reports that include a listing of all users and their last login or usage date. Administrators can generate these reports to identify inactive accounts and ensure proper account management. Additionally, the system maintains audit logs of user activities, such as login attempts and data access, and offers customizable reporting tools for specific organizational needs.<br><br>Our solution supports authorization at an attribute/field level by allowing administrators to define permissions for specific data fields.<br><br>Permissions can include view-only, edit, or delete access and are assigned based on user roles. This ensures that users only have access to the data necessary for their role, enhancing security and reducing the risk of unauthorized modifications. All actions performed at the field level are tracked and logged for auditing and compliance purposes. |
| SPC-9* | Review the State DHHS Information Technology (IT) Audit Standards located at: (https://www.dhhs.ne.gov/ITSecurity). Bidder must confirm that your company has read, understands, and can meet all the capabilities and/or requirements as outlined and indicate how your solution will meet such requirements. As a part of the bidder's response, at minimum, the State desires specific information regarding the following elements:<br>• Detail the data elements that are audited.<br>• Outline the level of audit tracking being maintained.<br>• Provide a sample of their audit reports.<br>• Capabilities for automated audit log evaluation to identify security issues.<br>• How the bidder monitors, identifies, and reports on events impacting the system, such as attacks and other unauthorized use of the system. |

| Req # | Capabilities and/or Requirements |
|---|---|
| Response:<br><br>Our solution audits a wide range of critical data elements, including user login and logout times, data access and modifications, failed login attempts, administrative actions, and system configuration changes.<br><br>The level of audit tracking maintained is comprehensive and granular, capturing not only what actions occurred but also when, where, and by whom. This tracking includes timestamps, user identifiers, affected data fields, and system responses, providing a detailed log of all system activities for forensic and compliance purposes.<br><br>Our system generates detailed audit reports that include summaries and specific logs of activities. These reports are customizable to meet organizational needs and regulatory requirements.<br><br>Capabilities for automated audit log evaluation are embedded within the system, leveraging advanced analytics and alerting mechanisms. The system automatically scans logs for unusual patterns or behaviors, such as repeated failed login attempts or unauthorized data access. To monitor, identify, and report on events impacting the system, such as attacks and unauthorized use, we deploy real-time monitoring tools integrated into the solution. These tools detect anomalies, log system events, and send alerts to designated administrators. | |

*Database/Data Management Capabilities and/or Requirements*

| Req # | Capabilities and/or Requirements |
|---|---|
| DM-1* | The bidder solution must use industry standard cryptographic modules such as those certified to meet FIPS 140-2/-3 for encrypting data at rest and in transit. Bidder must describe how their approach will meet this requirement. |

Response:

Axiell's solution ensures the security of sensitive data by employing industry-standard cryptographic protocols certified to meet FIPS 140-2 and FIPS 140-3 requirements, providing proper protection for data at rest and in transit. The system leverages Microsoft's Azure SQL Database, which uses advanced encryption technologies to protect data.

- **Data at Rest**: Azure SQL Database employs **Transparent Data Encryption (TDE)** by default to safeguard data at rest. TDE performs real-time encryption and decryption of the database, associated backups, and transaction log files without requiring changes to applications. A symmetric key, known as the Database Encryption Key (DEK), encrypts the storage of the database, and the DEK is protected by a TDE protector, which can either be a service-managed certificate or a customer-managed key stored in Azure Key Vault. This ensures compliance with FIPS standards and provides robust protection against unauthorized access. Axiell relies on this built-in Azure SQL Database functionality to ensure the integrity and security of all stored data, including database records and backups.

- **Data in Transit**: Our solution uses **Transport Layer Security (TLS) 1.3** protocols, utilizing FIPS-certified cryptographic modules to encrypt communications between all system components. This approach protects transmitted data from interception and tampering while supporting mutual authentication to validate the identity of communicating parties.

Axiell's use of Microsoft's Azure SQL Database provides additional options for enhanced security, such as Always Encrypted, which protects highly sensitive data by keeping it encrypted throughout its lifecycle, including during processing. The encryption methods and key management strategies implemented in Azure SQL Database are fully aligned with industry standards and compliance requirements.

We rely on certified libraries and modules, such as OpenSSL in FIPS mode or Microsoft Cryptographic API (CAPI), to implement encryption processes. These components undergo regular updates and audits to maintain compliance with evolving security standards.

Our extensive experience in deploying secure systems for vital records management ensures that every aspect of our solution aligns with federal and state requirements, providing end-to-end encryption that safeguards sensitive information.

| Req # | Capabilities and/or Requirements |
|---|---|
| DM-2* | The bidder solution must securely dispose of State data from its systems upon request and in accordance with the National Institute for Standards and Technology (NIST) Special Publication 800-88 revision 1 (https://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-88r1.pdf) and must provide to the State of Nebraska a certificate of data destruction. Bidder must describe how their approach will meet this requirement. |

Response:

Axiell's solution adheres to the data disposal requirements outlined in NIST Special Publication 800-88 Revision 1, ensuring the secure destruction of State data upon request. This process involves thorough identification, sanitization, and verification to guarantee that no recoverable traces of data remain on any storage media, whether physical or virtual.

To meet this requirement, we utilize methods aligned with the NIST 800-88r1 guidance, including clearing, purging, or destroying data based on the sensitivity of the information and the type of storage media. Clearing involves overwriting data with a secure pattern to prevent its retrieval, while purging may leverage cryptographic erasure, rendering the encryption keys irretrievable. For physical destruction, we ensure complete deconstruction of the media, including shredding, pulverizing, or degaussing, to make the data inaccessible.

Upon completion of the data destruction process, we will provide the State of Nebraska with a formal certificate of data destruction. This certificate details the methods used, the specific data or media destroyed, and the date of destruction, ensuring full transparency and accountability. The destruction process is meticulously documented and performed by trained personnel, following strict protocols to comply with all applicable standards and contractual obligations.

In addition to our internal processes, we leverage Microsoft's Azure infrastructure, which follows stringent data destruction protocols. Microsoft uses best practice procedures and a wiping solution that is NIST 800-88 compliant. For hard drives that can't be wiped, they employ a destruction process that renders data recovery infeasible using state-of-the-art laboratory techniques, ensuring that data is irretrievable. Records are kept of the erasure and destruction of assets, providing an additional layer of assurance regarding data disposal.

By combining our rigorous data sanitization procedures with Azure's compliant infrastructure, we ensure that all data destruction requests are handled with the highest level of security and in full compliance with NIST 800-88r1 guidelines.

| Req # | Capabilities and/or Requirements |
|---|---|
| DM-3 | Describe the bidder's technical approach for supporting data conversion and data migration. |

Response:

Our approach to data conversion and migration is designed to ensure an accurate and secure transition of data into the new system while maintaining the integrity, usability, and confidentiality of the information.

- **Assessment**: The data migration process begins with a comprehensive assessment of the existing data. This phase includes the following key activities:
  - Identifying all data sources to ensure a complete understanding of the migration scope.
  - Analyzing data formats, structures, and volumes to determine compatibility with the new system.
  - Identifying dependencies, inconsistencies, or potential anomalies that may affect migration.
  - Assessing data from different time periods to account for varying validation rules, standard operating practices, and quality of data collection over time.
  - Collaborating with stakeholders to confirm data requirements, priorities, and any special considerations for legacy systems.
- **Data Mapping and Transformation**: Following this analysis, we develop a data mapping and transformation plan to align legacy data structures with the new system's requirements. This plan defines the rules and logic for converting data into the appropriate formats and structures while ensuring compliance with regulatory and business standards.
- **Iterative Migration Approach**: To execute the migration, we employ an iterative approach. Initial test migrations are conducted in a controlled environment to validate the accuracy of data mappings and transformations. These iterations identify potential issues early and allow for adjustments before full-scale migration. During each iteration, validation tools are used to compare migrated data against the source to ensure fidelity and consistency. Any anomalies or discrepancies are documented and resolved in collaboration with stakeholders.
- **Automated Tools**: Our solution employs automated tools and scripts for the migration process, reducing the risk of human error and ensuring efficiency. Throughout the migration, data is protected using industry-standard encryption and secure transfer protocols to maintain confidentiality and integrity.
- **Post-Migration Validation**: Once the migration is complete, comprehensive post-migration validation is performed. This includes cross-checking data counts, verifying relationships, and ensuring accessibility and functionality within the new system. Stakeholders are involved in user acceptance testing to confirm that migrated data meets all operational and reporting requirements.

| Req # | Capabilities and/or Requirements |
|---|---|
| DM-4* | The bidder's solution must support data integration.  The bidder must confirm and describe how their solution will meet this requirement. In addition to confirmation on the ability to meet the requirement, the response must include the following, at a minimum the following details:<br>:• Ability to import and export data using these file types (XML, JSON, CSV).<br>• Support for integration using industry standards approaches and principles for REST APIs and Webservices.<br>• Support for industry integration data standards for Health Level 7 (HL7), Fast Healthcare Interoperability Resources (FHIR), X-12, HIPAA. |

Response:

Axiell's solution is fully equipped to support seamless data integration, ensuring interoperability with external systems while adhering to industry standards.

- **Data Formats**: The system can import and export data in various formats, including but not limited to XML, JSON, CSV, and IJE. These examples demonstrate the system's flexibility in supporting a range of data exchange needs.

- **Integration Approaches**: To enable integration with diverse systems, the solution includes a comprehensive suite of RESTful APIs designed following industry best practices. These APIs allow for real-time, bidirectional data exchange and are well-documented, secure, and scalable to meet current and future needs. Additionally, the system supports SOAP-based web services, ensuring compatibility with legacy systems where necessary.

- **Standards Compliance**:

  o Our platform adheres to key industry integration standards, including Health Level 7 (HL7), Fast Healthcare Interoperability Resources (FHIR), and HIPAA, facilitating the secure exchange of healthcare data.

  o While we do not currently have a prebuilt X-12 interface, we are prepared to create one if required for this project. Our preference is to utilize FHIR for integration whenever possible, given its alignment with modern healthcare interoperability practices.

| DM-5 | Describe bidder solution for the following:<br>• Documentation to support testing and collaboration with integrating systems.<br>• Documentation of the system's data dictionary which includes user-defined fields and tables. |

| Req # | Capabilities and/or Requirements |
|---|---|
| | Response:<br><br>Axiell provides detailed support for both testing and collaboration during system integrations, as well as a comprehensive data dictionary that includes descriptions of all data elements.<br><br>• **Testing and Collaboration Documentation**: When a new data integration interface is created, Axiell works closely with the jurisdiction and, if applicable, another vendor of the target system to detail the nature of the integration. This collaborative process is essential in the absence of documentation for a standardized interface, such as those used between states and the National Center for Health Statistics (NCHS). The resulting documentation not only facilitates the initial implementation but also provides a clear reference for future support or enhancements of the interface.<br>• **Data Dictionary**: The system's data dictionary is meticulously documented and includes comprehensive descriptions of all data elements. Axiell leverages Entity Framework to support the creation and maintenance of the data dictionary. Entity Framework provides a structured way to document the database schema, extracting details such as table and field names, data types, relationships, and constraints. To enhance usability and accessibility, the data dictionary can be exported into formats such as Word or CSV, making it easier to share and reference during implementation and operational phases. This approach ensures the data dictionary is accurate, well-organized, and remains up-to-date, providing administrators and technical teams with the information they need to effectively manage and understand the system's database. |
| DM-6* | Review the data retention requirements described in the following:<br>• 45 CFR Part 164.316 (https://www.ecfr.gov/current/title-45/subtitle-A/subchapter-C/part-164/subpart-C/section-164.316)<br>• DHHS Vital Records retention schedule is to retain information permanently.<br><br>Bidder must confirm that your company has read, understands, and can meet all the capabilities and/or requirements as outlined for each of the items <u>and</u> indicate how your solution will meet such requirements as they relate to the data retention requirements. |

| Req # | Capabilities and/or Requirements |
|---|---|
| Response:<br><br>We confirm that we have read, understand, and will fully meet the data retention requirements outlined in 45 CFR Part 164.316 and the DHHS Vital Records retention schedule for the permanent retention of information. Our solution is designed to ensure compliance through robust data management capabilities, advanced security measures, and scalable storage architecture.<br><br>• **Regulatory Compliance**: Implements safeguards to protect electronic protected health information (ePHI), including retention policies, strict access controls, and audit trails that document every interaction with the data, ensuring both security and compliance.<br>• **Permanent Retention**: Ensures records remain accessible and intact indefinitely through scalable storage infrastructure, data validation protocols, and checksum verification. Mechanisms to ensure integrity and authenticity safeguard against corruption, ensuring records' reliability over time.<br>• **Backup and Recovery**: Incorporates robust replication, offsite storage, and disaster recovery mechanisms to prevent data loss or damage. These measures ensure data continuity and availability, even in the event of system failures or disasters. | |

*Operations Management Capabilities and/or Requirements*

| Req # | Capabilities and/or Requirement |
|---|---|
| OM-1 | Describe the Business Continuity and Disaster Recovery (BCDR) plan for the solution they are offering. Bidder's response must describe, at a minimum, their plan to include the following information:<br>• Procedures for data backup, restoration, communication to the State of Nebraska, and emergency mode operations in the event of:<br>    a. Hardware or Software Failures.<br>    b. Human Error.<br>    c. Natural Disaster; and/or<br>    d. Other unforeseeable emergencies. |

Response:

**Business Continuity and Disaster Recovery (BCDR) Plan**

Our BCDR plan ensures the solution remains operational and data is protected in the event of hardware or software failures, human error, natural disasters, or other emergencies. Below is our detailed approach to each scenario:

**a. Hardware or Software Failures**

We implement automated data backup procedures with backups performed daily to prevent data loss. In case of software failures, a rollback strategy allows the system to revert to the last stable version while the issue is resolved. We maintain open communication with the State of Nebraska, providing real-time updates on progress and estimated restoration times.

**b. Human Error**

To address human error, our plan includes access controls, user training, and detailed audit trails to track and monitor actions within the system. Regular backups ensure that any data affected by user error can be restored quickly. Incident response teams are on standby to evaluate the extent of errors and apply corrective measures promptly. The State of Nebraska will be notified immediately in the event of significant errors, and mitigation steps will be communicated clearly.

**c. Natural Disaster**

Our solution leverages Azure servers with their built-in geographic redundancy feature, ensuring data and system continuity even during regional disasters. Data is replicated in real-time to multiple geographically distributed locations, minimizing the risk of loss and enabling rapid failover to unaffected regions. These Azure data centers are equipped with physical and environmental protections, such as power backups and fire suppression systems. In the event of a disaster, emergency operations will prioritize restoration of critical services, with continuous communication to the State of Nebraska regarding the disaster's impact and recovery progress.

**d. Other Unforeseeable Emergencies**

For other emergencies, such as cyberattacks or network outages, our BCDR plan includes incident detection, containment, and response protocols. Advanced monitoring tools are in place to identify and mitigate threats in real-time. Emergency communication protocols will keep the State of Nebraska informed about the situation and progress toward resolution.

| Req # | Capabilities and/or Requirement |
|---|---|
| OM-2* | The bidder must agree to conduct a full disaster recovery test for the solution in which they are offering prior to the anticipated go-live date. The most recent test must be within one year prior to the go-live date. This must be conducted at no additional charge to the State. Bidder must confirm their intent to conduct this test at the appropriate time and describe how their approach will meet these requirements. |

Response:

We confirm our intent to conduct a full disaster recovery test for the proposed solution prior to the anticipated Go-live date, ensuring the most recent test occurs within one year before Go-live. This test will be conducted at no additional charge to the State and will validate the solution's ability to recover from potential disasters, ensuring readiness for operational deployment.

Our approach includes simulating various disaster scenarios, such as regional disruptions, to test the robustness of our disaster recovery plan. We will validate data backups, failover mechanisms, and restoration processes to ensure minimal downtime and data integrity. The test will leverage Azure's geographic redundancy features to demonstrate the system's ability to recover and operate from alternate data centers.

We will provide a detailed disaster recovery test plan in advance, including specific objectives, timelines, and success criteria. Following the test, a comprehensive report will be shared with the State, summarizing the results, highlighting any findings, and detailing corrective actions taken if necessary.

| | |
|---|---|
| OM-3* | The bidder must agree to conduct an annual disaster recovery test for the solution and submit the annual results to the designated individual for the State of Nebraska. This must be conducted at no additional charge to the State. Bidder must confirm their intent to conduct this test at the appropriate time and describe how their approach will meet these requirements. |

| Req # | Capabilities and/or Requirement |
|---|---|
| | Response:<br><br>We confirm our intent to conduct an annual disaster recovery test for the solution and to submit the results to the designated individual for the State of Nebraska. This test will be conducted at no additional charge to the State and will validate the ongoing effectiveness of our disaster recovery plan.<br><br>Our approach involves executing a comprehensive test each year, simulating various potential disaster scenarios. The test will include validating data backups, ensuring failover capabilities, and verifying the restoration of system operations using Azure's geographic redundancy features.<br><br>A detailed disaster recovery test plan will outline objectives, testing procedures, and success criteria. After each test, a thorough report will be provided to the designated State representative, summarizing results, documenting any identified issues, and detailing corrective actions taken to enhance the system's resilience. |
| OM-4 | Describe the bidder solution for ability to meet the following:<br>• Compliance with the Recovery Time Objective (RTO) of within twelve (12) hours when the system outage is declared as a disaster.<br>• Compliance with the Recovery Point Objective (RPO) of fifteen (15) minutes of data lost before the disaster event. |

| Req # | Capabilities and/or Requirement |
|---|---|
| | Response:<br><br>Our solution is designed to meet the Recovery Time Objective (RTO) of within 12 hours and the Recovery Point Objective (RPO) of no more than 15 minutes of data loss, ensuring continuity and minimal disruption in the event of a disaster.<br><br>To meet the RTO, the system leverages Azure's disaster recovery capabilities, including geographic redundancy and automated failover mechanisms. In the event of a declared disaster, services will be restored within 12 hours through the use of pre-configured recovery protocols and replicated data centers. Regular disaster recovery drills will be conducted to ensure readiness and to validate the ability to meet this objective under real-world conditions.<br><br>For the RPO, the solution uses continuous data replication to ensure that data is synchronized in near real-time across multiple geographic locations. Azure's advanced data replication capabilities allow for a maximum of 15 minutes of potential data loss, safeguarding critical records and transactions. |
| OM-5 | Describe the bidder solution for the following:<br>• Overall testing strategy and support for the following testing types: unit testing, system testing, integration testing, regression testing, user acceptance testing (UAT), parallel testing, performance and load testing, manual and automated and/or scripted testing, and end-to-end integration testing.<br>• Approach to planning and preparing the test/staging environment.<br>• Approach to conducting each test level.<br>• Approach for testing nonfunctional requirements (security, performance, etc.)<br>• Approach to test documentation (e.g., test cases, test scripts, test case matrices added as the design configuration progresses).<br>• Approach to quality control/quality assurance.<br>• Approach to test results reporting, traceability, and metrics. |

Response:

**1. Overall Testing Strategy and Support for Various Testing Types**

Our testing strategy ensures a comprehensive validation of the system's functionality, reliability, and performance through the following types:

- **Unit Testing**: Conducted at the component level to validate that individual modules perform as expected.
- **System Testing**: Verifies the entire system's compliance with functional and technical specifications.
- **Integration Testing**: Ensures seamless data exchange and interaction between system components and external interfaces.
- **Regression Testing**: Confirms that updates or enhancements do not disrupt existing functionality.
- **User Acceptance Testing (UAT)**: Involves stakeholders to validate that the system meets business requirements and is deployment-ready.
- **Parallel Testing**: Verifies consistency by running the new system alongside the legacy system for critical transactions.
- **Performance and Load Testing**: Assesses system behavior under varying load conditions, ensuring adherence to performance benchmarks.
- **Manual and Automated Testing**: Combines human expertise for exploratory testing with automated tools for efficiency in repetitive tasks.
- **End-to-End Integration Testing**: Confirms seamless operation of workflows across all modules and external systems.

**2. Approach to Planning and Preparing the Test/Staging Environment**

The test/staging environment will be designed to closely mirror the production environment. Representative datasets will be used to validate system functionality under realistic conditions. This environment will be secured and isolated to prevent interference with live operations and ensure the integrity of sensitive data.

**3. Approach to Conducting Each Test Level**

A structured approach will be adopted for all test levels:

Planning: Develop detailed test plans, outlining objectives, scope, and success criteria.

Execution: Prioritize and execute tests systematically, logging issues in Azure DevOps for centralized defect tracking.

Resolution and Retesting: Address identified defects and conduct retesting to ensure resolution.

## 4. Approach for Testing Nonfunctional Requirements

Security Testing: Includes penetration testing, vulnerability scans, and access control validations to protect against unauthorized access.

Performance Testing: Simulates high-traffic conditions to evaluate system scalability, load capacity, and response times.

Usability Testing: Ensures the system is intuitive, user-friendly, and accessible to all stakeholders.

## 5. Approach to Test Documentation

- Test documentation will be maintained throughout the testing lifecycle, including:
- Test Cases and Scripts: Detailed and linked to requirements for traceability, managed within Azure DevOps.
- Test Case Matrices: Tracks progress, coverage, and identifies gaps.
- Dynamic Updates: Regular updates to reflect changes in system design and configuration.

## 6. Approach to Quality Control/Quality Assurance (QC/QA)

Our QC/QA processes embed quality checkpoints at every stage. Peer reviews and predefined acceptance criteria ensure deliverables adhere to the highest standards. QA oversight ensures consistent adherence to processes and methods.

## 7. Approach to Test Results Reporting, Traceability, and Metrics

Test results will be documented, tracked, and reported in Azure DevOps, leveraging its robust capabilities for centralized storage, real-time

| Req # | Capabilities and/or Requirement |
|---|---|
| dashboards, and traceability. Stakeholders will have direct access to test progress, defect statuses, and metrics via Azure DevOps. A requirements traceability matrix will link all test cases to their corresponding specifications, ensuring comprehensive coverage and accountability. | |

| Req # | Capabilities and/or Requirement |
|---|---|
| OM-6 | Describe the bidder solution for software maintenance processes that address the following:<br>• Approach to managing software versions to ensure bidder support.<br>• Approach to Change Management, including defects and enhancements.<br>• Approach to testing and release management.<br>• Approach to maintaining integrations with external and internal trading partners. |

Response:

**Managing Software Versions**

Our approach to managing software versions ensures consistent support and system stability. Version control processes include maintaining clear documentation for each version, including features, fixes, and changes. Updates are categorized as minor (hotfixes) or major (enhancements), with structured release cycles to minimize disruption. Each version is thoroughly tested and tracked, ensuring alignment with the State's operational needs and seamless integration into the existing environment.

**Change Management for Defects and Enhancements**

For defect resolution, our change management process begins with identifying and documenting the issue, followed by scheduling development work to address the problem. Code changes are first deployed to a hotfix environment for internal testing to validate the fix. Once validated, the fix is sent to the State for User Acceptance Testing (UAT). After receiving final approval, the changes are pushed to the production environment.

Enhancement requests follow a structured process starting with gathering and prioritizing requirements in collaboration with stakeholders. Development work is organized and completed, with changes pushed to a release environment for internal verification. Once verified, the changes proceed to UAT for feedback and final approval before being implemented in production.

**Testing and Release Management**

Our testing and release management processes ensure that all updates—whether defect fixes or enhancements—are rigorously validated. Internal testing environments include functional, regression, and performance testing to confirm quality and compatibility. Releases are scheduled during low-impact windows to minimize disruption. Clear communication with the State ensures transparency in the testing and release process.

**Maintaining Integrations**

We prioritize the stability and performance of integrations with both internal and external trading partners. Regular monitoring and validation processes ensure that interfaces continue to function as expected after updates. Any changes to partner systems are promptly assessed for impact, and adjustments are coordinated to maintain seamless data exchange.

| Req # | Capabilities and/or Requirement |
|---|---|
| OM-7 | Describe the incident management process that will be used to report business and security incidents (such as any unauthorized access to, or incidents where, data may have been compromised). |

Response:

Our incident management process ensures prompt and effective handling of business and security incidents, prioritizing data integrity and regulatory compliance. Incidents are identified through monitoring systems, user reports, or regular audits. Upon identification, the incident response team assesses the severity and scope of the issue, implementing containment measures such as isolating affected systems or suspending compromised accounts to prevent further impact. A thorough investigation follows, identifying root causes and implementing corrective actions, including system patches or process enhancements. Throughout the process, we maintain clear communication with the State of Nebraska, providing an initial report, regular updates, and a comprehensive final report detailing findings, actions taken, and recommendations for future prevention.

| OM-8* | The bidder's solution must be responsive to mobile technology devices such as smartphones or tablets. Bidder must describe how their approach will meet this requirement. |

| Req # | Capabilities and/or Requirement |
|---|---|

Response:

Our solution provides fully responsive functionality on mobile technology devices, including but not limited to smartphones, tablets, and kiosks. Users can seamlessly access and interact with the system, ensuring efficiency and usability across various devices. The system's interface leverages responsive web design principles to adapt automatically to different screen sizes and resolutions.

Key features include:

- **Optimized Layouts:** Navigation menus, input fields, and action buttons are tailored for both standard and touch-based interactions, ensuring ease of use.
- **Dynamic Adjustments:** The application automatically adjusts to the screen size and orientation of the device, reconfiguring pages for optimal visibility and navigation.
- **Device-Friendly Features:** Collapsible menus and resizable forms ensure that all interface elements remain accessible and functional, even on smaller screens or kiosk interfaces.

This responsive design approach guarantees that users have a consistent and effective experience, regardless of whether they are using a smartphone, tablet, or kiosk.

| OM-9* | The bidder's solution must provide Scalability and High Availability Architecture. The bidder must confirm and describe how their solution will meet this requirement. In addition to confirmation on the ability to meet the requirement, the response must include the following, at a minimum the following details:<br>• The system architecture must support scaling with increased load.<br>• The system must provide high availability to support minimum disruptions to the business operations.<br>• The system must handle notifications when a component or interface endpoint is unavailable.<br>• The system must handle performance functionality and monitoring tools.<br>• The system must handle recovery of failed transactions because of a component failure.<br>• The system must be available online 24 hours a day and 7 days a week, 99.9% of the time each month excluding scheduled downtime. |

| Req # | Capabilities and/or Requirement |
|---|---|
| | Response:<br><br>Our solution is designed to provide scalability and high availability, ensuring reliable performance and minimal disruptions to business operations. Below is a detailed description of how our architecture meets these requirements.<br><br>**Scalability with Increased Load**<br><br>The system is built on a cloud-based platform that automatically scales to handle increased load, ensuring consistent performance during peak usage periods. Horizontal scaling allows the addition of resources as demand grows, while load balancing ensures even distribution of traffic across servers to maintain optimal response times.<br><br>**High Availability and Minimal Disruptions**<br><br>Our solution guarantees high availability through redundancy and failover mechanisms. In case of network issues, the system automatically reroutes traffic to standby resources, minimizing downtime and maintaining business continuity.<br><br>**Notification Handling for Unavailable Components**<br><br>The system includes real-time monitoring so we can detect when a component or interface endpoint becomes unavailable. Notifications are sent to system administrators, and failover procedures are initiated to ensure seamless operation.<br><br>**Performance Functionality and Monitoring Tools**<br><br>Our monitoring tools continuously track system performance metrics, such as response times, resource utilization, and transaction volumes.<br><br>**Recovery of Failed Transactions**<br><br>The system is equipped with transaction recovery mechanisms that detect and retry failed transactions caused by component failures. Our logging system ensures no data is lost, and recovery processes restore interrupted workflows automatically, minimizing user impact.<br><br>**Availability and Uptime**<br><br>Our solution ensures 24/7 online availability with a guaranteed uptime of 99.9% per month, excluding scheduled maintenance windows. Scheduled downtime is minimized and communicated well in advance to users to avoid disruptions. |

**Technical Specifications**

## CONTRACTUAL AGREEMENT FORM

**BIDDER MUST COMPLETE THE FOLLOWING**

By signing this Contractual Agreement Form, the bidder guarantees compliance with the provisions stated in this solicitation and agrees to the terms and conditions unless otherwise indicated in writing and certifies that bidder is not owned by the Chinese Communist Party.

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 Vendors. This information is for statistical purposes only and will not be considered for contract award purposes.

_____ NEBRASKA VENDOR AFFIDAVIT: Bidder hereby attests that bidder is a Nebraska Vendor. "Nebraska Vendor" 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 Solicitation. All vendors who are not a Nebraska Vendor are considered Foreign Vendors under Neb. Rev Stat § 73-603 (c).

_____ 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.

### THIS FORM MUST BE SIGNED MANUALLY IN INK OR BY DOCUSIGN

| | |
|---|---|
| COMPANY: | Axiell ALM, INC. |
| ADDRESS: | 195 Montague, Floor 14, Brooklyn, New York, USA 11201 |
| PHONE: | 8883537638 |
| EMAIL: | admin-na@axiell.com |
| BIDDER NAME & TITLE: | Christopher Fincham, Director |
| SIGNATURE: | Signed by: *Chris Fincham* B93BE536FE5644A... |
| DATE: | 2025-11-20 |

| VENDOR COMMUNICATION WITH THE STATE CONTACT INFORMATION (IF DIFFERENT FROM ABOVE) | |
|---|---|
| NAME: | |
| TITLE: | |
| PHONE: | |
| EMAIL: | |

# Appendix c. Responses to sections II through IV

## Section II. TERMS AND CONDITIONS

Bidder should read the Terms and Conditions within this section and must initial either "Accept All Terms and Conditions Within Section as Written" or "Exceptions Taken to Terms and Conditions Within Section as Written" in the table below. The state will only consider exceptions that are expressly noted. Any exceptions not taken to a provision shall be deemed accepted as stated. If the bidder takes any exceptions, they must provide the following within the "Exceptions" field of the table below (Bidder may provide responses in separate attachment if multiple exceptions are taken):

1. The specific clause, including section reference, to which an exception has been taken;
2. An explanation of why the bidder took exception to the clause; and
3. Provide alternative language to the specific clause within the solicitation response.

By signing the solicitation, bidder agrees to be legally bound by all the accepted terms and conditions, and any proposed alternative terms and conditions submitted with the solicitation response. 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 solicitation response. The State reserves the right to reject solicitation responses that attempt to substitute the bidder's commercial contracts and/or documents for this solicitation.

| Accept All Terms and Conditions Within Section as Written (Initial) | Exceptions Taken to Terms and Conditions Within Section as Written (Initial) | Exceptions: (Bidder must note the specific clause, including section reference, to which an exception has been taken, an explanation of why the bidder took exception to the clause, and provide alternative language to the specific clause within the solicitation response.) | |
|---|---|---|---|
| Section II (A) to (Y) | Section II (Z)(1) | **Results Prior to Go-live** | **Liquidated Damages** |
| | | The system must have a user acceptance testing (UAT) environment completed and fully accessible to users no later than twelve (12) consecutive months after the "Kick-off" meeting. **Delays caused by the State or external third parties (e.g., SSA, NCHS, NAPHSIS) will be reviewed and may be exempted from liquidated damages.**<br><br>*RFP, Section (VI)(A)(4)(e) Development and Testing.* | Five hundred dollars ($500.00) per business day for any failure to provide a UAT environment within the prescribed timeframe, with these liquidated damages continuing each business day until the UAT environment is completed and fully accessible to users. |
| | | The system must have the production environment completed and fully accessible to users no later than fifteen (15) consecutive months after the "Kick-off" meeting. **Delays caused by the State or external third parties (e.g., SSA, NCHS, NAPHSIS) will be reviewed and may be exempted from liquidated damages.**<br><br>*RFP, Section (VI)(A)(4)(h) Implementation.* | Five hundred dollars ($500.00) per business day for any failure to provide the production environment within the prescribed timeframe, with these liquidated damages continuing each business day until a production environment has been achieved that is fully functional and accessible to users. |

| | | The liquidated damages provision in Sections VI(A)(4)(e) and VI(A)(4)(h) of RFP 120277 O3 REBID assesses $500 per business day for delays in delivering the UAT and production environments within 12 and 15 months, respectively, following the kickoff meeting. We appreciate the need for timely deliverables and request clarification on how delay responsibility will be allocated between the contractor and the State. To ensure fairness, the clause should expressly state that liquidated damages will not apply where delays are outside the contractor's control, such as delayed State approvals, late provision of data, or unresolved critical issues necessary to advance the project. Delays caused by external third parties (e.g., SSA, NCHS, NAPHSIS) or the State will be reviewed and may be exempted from liquidated damages. We recommend incorporating clear definitions and procedures for attributing delay responsibility and specifying exemptions when delays are attributable to the State or qualifying third parties, fostering a balanced and collaborative approach to meeting project timelines. |
|---|---|---|
| | Section II (Z)(2) | |

| Critical Incidents:<br><br>Post-Implementation, Burn-in Period*<br>Support, Maintenance, and Operations** | Liquidated Damages |
|---|---|
| Out of Business:<br>The Critical Incident causes the system to be completely down, and the State of Nebraska is unable to conduct business with the system at any point following system implementation.<br><br>*Burn-in Period - RFP, SECTION (VI)(A)(4)(i)(i)<br>**Support, Maintenance, and Operations - RFP, SECTION (VI)(A)(4)(j) | Out of Business<br>The vendor will provide a viable workaround or a permanent solution to the problem within two (2) business days of the Critical Incident. If a viable workaround is not provided within two (2) consecutive calendar days, damages of one thousand dollars ($1,000.00) will be assessed on the third (3rd) consecutive calendar day and on each consecutive calendar day thereafter that the system is still down.<br><br>If a permanent solution is not provided within thirty (30) consecutive calendar days of the Critical Incident, damages of two thousand five hundred dollars ($2,500.00) will be assessed on the thirty-first (31st) consecutive calendar day and on each calendar day thereafter until the permanent solution is implemented, and both parties agree that the vendor has provided a permanent solution to the software problem. |

| | | | Time Sensitive: The Critical Incident pertains to time-sensitive functions, such as recording vital events, processing payments, and issuing or amending certified copies of certificates, preventing the use of such functions at any point following system implementation. <br><br> *Burn-in Period - RFP, SECTION (VI)(A)(4)(i)(i)* <br> **Support, Maintenance, and Operations - RFP, SECTION (VI)(A)(4)(j)** <br> _____ <br><br> Data Movement: The Critical Incident pertains to any interfaces required by the Vital Records Unit, such as the interface with the Online Verification System (OVS) or Fast Healthcare Interoperability Resources (FHIR) messaging at any point following system implementation. <br><br> *Burn-in Period - RFP, SECTION (VI)(A)(4)(i)(i)* <br> **Support, Maintenance, and Operations - RFP, SECTION (VI)(A)(4)(j)** | Time Sensitive and Data Movement The vendor will provide a viable workaround or a permanent solution within three (3) consecutive calendar days of the Critical Incident. If a viable workaround is not provided within three (3) consecutive calendar days, damages of five hundred dollars ($500.00) will be assessed on the fourth (4th) consecutive calendar day and on each consecutive calendar day thereafter that no viable workaround is provided. <br><br> If a permanent solution is not provided within thirty (30) consecutive calendar days of the Critical Incident, damages of five hundred dollars ($500.00) will be assessed on the thirty-first (31st) consecutive calendar day and on each calendar day thereafter until the permanent solution is implemented, and both parties agree that the vendor has provided a permanent solution to the software problem. |
| | | The liquidated damages clauses in Sections VI(A)(4)(i)(i) and VI(A)(4)(j) impose significant penalties for Critical Incidents affecting the system—such as complete outages, time-sensitive functions, and data movement issues. We recognize the need for prompt resolution, but request clarification on how responsibility will be assigned when delays stem from factors outside the vendor's control. Examples include incidents or service degradations at the cloud hosting provider (e.g., AWS or Azure, including regional outages or managed-service failures), dependencies on State actions, delayed feedback on proposed fixes, or broader integration issues with external interfaces. We recommend a clear, documented process for allocating responsibility and a mechanism to account for contributory delays by the cloud provider or the State, ensuring penalties are applied fairly and encouraging a collaborative approach to resolving Critical Incidents. | | |

## Section III. VENDOR DUTIES

Bidder should read the Terms and Conditions within this section and must initial either "Accept All Terms and Conditions Within Section as Written" or "Exceptions Taken to Terms and Conditions Within Section as Written" in the table below. The state will only consider exceptions that are expressly noted. Any exceptions not taken to a provision shall be deemed accepted as stated. If the bidder takes any exceptions, they must provide the following within the "Exceptions" field of the table below (Bidder may provide responses in separate attachment if multiple exceptions are taken):

1. The specific clause, including section reference, to which an exception has been taken;

2. An explanation of why the bidder took exception to the clause; and
3. Provide alternative language to the specific clause within the solicitation response.

By signing the solicitation, bidder agrees to be legally bound by all the accepted terms and conditions, and any proposed alternative terms and conditions submitted with the solicitation response. 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 solicitation response. The State reserves the right to reject solicitation responses that attempt to substitute the bidder's commercial contracts and/or documents for this solicitation.

| Accept All Vendor Duties Within Section as Written (Initial) | Exceptions Taken to Vendor Duties Within Section as Written (Initial) | Exceptions: (Bidder must note the specific clause, including section reference, to which an exception has been taken, an explanation of why the bidder took exception to the clause, and provide alternative language to the specific clause within the solicitation response.) |
|---|---|---|
| All Section | None | None |

## Section IV. PAYMENT

Bidder should read the Terms and Conditions within this section and must initial either "Accept All Terms and Conditions Within Section as Written" or "Exceptions Taken to Terms and Conditions Within Section as Written" in the table below. The state will only consider exceptions that are expressly noted. Any exceptions not taken to a provision shall be deemed accepted as stated. If the bidder takes any exceptions, they must provide the following within the "Exceptions" field of the table below (Bidder may provide responses in separate attachment if multiple exceptions are taken):
1. The specific clause, including section reference, to which an exception has been taken;
2. An explanation of why the bidder took exception to the clause; and
3. Provide alternative language to the specific clause within the solicitation response.

By signing the solicitation, bidder agrees to be legally bound by all the accepted terms and conditions, and any proposed alternative terms and conditions submitted with the solicitation response. 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 solicitation response. The State reserves the right to reject solicitation responses that attempt to substitute the bidder's commercial contracts and/or documents for this solicitation.

| Accept All Payment Clauses Within Section as Written (Initial) | Exceptions Taken to Payment Clauses Within Section as Written (Initial) | Exceptions: (Bidder must note the specific clause, including section reference, to which an exception has been taken, an explanation of why the bidder took exception to the clause, and provide alternative language to the specific clause within the solicitation response.) |
|---|---|---|
| All Section | None | None |

**Appendix c. Any license, user agreement, service level agreement, or similar documents that the bidder desires to have reviewed and considered.**

Axiell confirms that we do not have any license, user agreement, service level agreement, or similar documents that require review or consideration as part of this proposal. Our proposed solution is fully compliant with the requirements outlined in the solicitation and does not impose additional terms or conditions outside of those specified in the RFP.

# Cost Sheet
# RFP 120277 O3 REBID
# Vital Records Management System

Bidder Name: <mark>Axiell ALM, INC.</mark>

**Important Instructions:** Bidders are to complete all fields highlighted in yellow.

Do not alter existing format or content within the Cost Sheet. However, if Bidder identifies that other items are essential in **Part I** and/or **Part II** to create full functionality, and meet the requirements as outlined in the RFP document and any related attachments, then additional lines may be inserted as needed. Such additional lines must be included in **Part I and Part II** pricing and be reflected in the Total Overall Cost. Any inclusion of additional lines must still conform within the stated percentages as outlined in **Part I** and follow the prescribed format as shown. **Important:** In case of a mathematical error in extension of price, unit price shall govern.

Please indicate the "Total Overall Cost" for the Vital Records Management System $ <mark>2,463,813</mark>
This amount shall equal the sum of the <u>Total</u> for both **Part I** and **Part II**. Do <u>not</u> include any costs for **Part III** and **Part IV** in the **"Total Overall Cost"**, as these sections are <u>not</u> included in the cost evaluation.

<u>Part I</u>: Project section requirements as outlined in Section (VI)(A) of the Request for Proposal (RFP) document and any related attachments. Bidder to provide pricing for each of the project deliverable categories listed. The sum of all projects deliverable categories listed directly below constitutes the **Part I – Total**. Important: Bidders are to ensure that allocation of their percentages are based on the % provided for each category and that the total of all categories within **Part I** does not exceed 100%.

| Description | % Breakdown by Category for Part I | Number of Units | Unit of Measure (UOM) | Cost (Unit Price) |
|---|---|---|---|---|
| **Project Initiation:** Includes creation, review, and acceptance of each of the following items. The total cost for this category shall be **5%** of the total for Part I. **Reference section VI.A.4.c** <br> i. Kick-off Event, Documentation, Review and Approval <br> ii. Develop a Detailed Project Plan <br> iii. Develop a Risk Management Plan <br> iv. Develop a Communication Plan <br> v. Develop a Staffing Management Plan <br> vi. Develop a Change Management Plan <br> vii. Develop an Issue Management Plan | **Project Initiation:** Items i. through vii. shall <u>equal</u> **5%** of the total cost for Part I | 1 | Each | <mark>$83,598</mark> |
| **Design and Configuration:** The total cost for this category shall be **10%** of the total for Part I. **Reference section VI.A.4.d.** <br> i. Establish Review and Acceptance Process <br> ii. Develop a Requirements Traceability Matrix (RTM) <br> iii. Coordinate and Facilitate On-Site Requirements Gathering Session(s) <br> iv. Develop and Submit an Application for Configuration and Maintenance Plan <br> v. Establish and Utilize a Deliverable Review and Acceptance Process <br> vi. Configure Environments for Development, Testing, Training and Production <br> vii. Complete Standard System Configuration <br> viii. Assist the Unit with Configuration of System <br> ix. Assist the Unit with User Role Determination <br> x. Obtain Acceptance from Unit on Design and System Configuration | **Design and Configuration:** Items i. through x. shall <u>equal</u> **10%** of the total cost for Part I | 1 | Each | <mark>$167,196</mark> |
| **Development and Testing:** The total cost for this category shall be **20%** of the total for Part I. **Reference section VI.A.4.f.** <br> i. Complete all Necessary Custom Development <br> ii. Complete all Necessary Reports <br> iii. Complete all Necessary Integrations (Interfaces, Imports, and Exports) <br> iv. Develop a Testing Plan <br> v. Execute and Evaluate Testing <br> vi. Document Testing Results <br> vii. Assist the Unit with User Acceptance Testing (UAT) <br> viii. Obtain Acceptance from the Unit on Testing Results | **Development and Testing:** Items i. through viii. shall equal **20%** of the total cost for Part I | 1 | Each | <mark>$334,391</mark> |
| **Part I – Categories are continued on the next page** | | | | |
| **Data/File Migration:** The total cost for this category shall be **10%** of the total for Part I. **Reference section VI.A.4.f.** | **Data/File Migration:** | 1 | Each | <mark>$167,196</mark> |

| | | | | | |
|---|---|---|---|---|---|
| i. Develop a Data/File Conversion and Migration Plan<br>ii. Develop a Conversion Mapping Guide<br>iii. Perform the Data/File Conversion and Migration<br>iv. Provide a Data/File Conversion and Migration Results Report<br>v. Obtain Acceptance from the Unit on Data/File Conversion and Migration Results | Items i. through v. shall equal **10%** of the total cost for Part I | | | | |
| **Training:** The total cost for this category shall be **5%** of the total for Part I. **Reference section VI.A.4.g.**<br>i. Coordinate and facilitate On-site Training Instruction<br>ii. Provide Online Reference Training Materials for Administrator and User Manuals<br>iii. Obtain Acceptance from the Unit on Training Results | **Training:** Items i. through iii. shall equal **5%** of the total cost for Part I | 1 | Each | $83,598 | |
| **Implementation:** The total cost for this category shall be **40%** of the total for Part I. **Reference section VI.A.4.h.**<br>i. Perform and Complete all Aspects of the Implementation<br>ii. Go-live<br>iii. Assist the Unit with On-site Implementation Assistance for Go-Live Week<br>iv. Obtain Acceptance from the Unit on Implementation Results | **Implementation:** Items i. through iv. shall equal **40%** of the total cost for Part I | 1 | Each | $668,782 | |
| **Post-Implementation:** The total cost for this category shall be **10%** of the total for Part I. **Reference section VI.A.4.i.**<br>i. Burn-in Period (90 calendar days)<br>ii. Coordinate and Facilitate Post-Implementation Review Teleconference Meeting<br>iii. Provide a Plan for Enhancement Requests<br>iv. Provide a Transition Plan from Implementation to Support, Maintenance, and Operations<br>v. Obtain Final Sign-off | **Post-Implementation:** Items i. through v. shall equal **10%** of the total cost for Part I | 1 | Each | $167,196 | |
| | | | **Part I – Total** | **$1,671,957** | |

**Part II** – Support, Maintenance, and Operations -reference Section VI.A.4.j.
(Note: These items would be paid on a quarterly basis)

Bidder's price for Support, Maintenance, and Operations shall include <u>all</u> associated costs or fees (including but not limited to subscriptions costs). **Important:** Do not include statements in the RFP proposal submittals, attachments, etc. indicating that there will be additional fees which are not included in the table below. The sum of the extended cost (Number of Units x Unit Price) constitutes the **Part II – Total**.

| Description | Contract Term | Unit of Measure (UOM) | Number of Units | Cost (Unit Price) | Extended Cost |
|---|---|---|---|---|---|
| Support, Maintenance, Operations, and any additional costs or fees (including but not limited to subscriptions) - Post Burn-in period (90 calendar days) | Year Two of the Initial Term* | Monthly | 12 | $16,010 | $192,120 |
| Support, Maintenance, Operations, and any additional costs or fees (including but not limited to subscriptions) | Year Three of the Initial Term | Monthly | 12 | $16,331 | $195,972 |
| Support, Maintenance, Operations, and any additional costs or fees (including but not limited to subscriptions) | Year Four of the Initial Term | Monthly | 12 | $16,657 | $199,884 |
| Support, Maintenance, Operations, and any additional costs or fees (including but not limited to subscriptions) | Year Five of the Initial Term | Monthly | 12 | $16,990 | $203,880 |
| | | | **Part II - Total** | | $791,856 |

*No Support, Maintenance, and Operations compensation shall be paid <u>until</u> all requirements of the Burn-In Period have been satisfied.*

**Optional Services**

# Cost Sheet
## RFP 120277 O3 REBID
## Vital Records Management System

**Part III** – Optional Renewal for Support, Maintenance, and Operations **Reference section VI.A.4.k**
(Note:  These items would be paid on an annual basis)

(Do **not** include these amounts in the Total Overall Cost associated with Part I and Part II)

| Optional Five (5) Year Renewal Period | | | | | |
|---|---|---|---|---|---|
| **Description** | **Contract Term** | **Unit of Measure (UOM)** | **Number of Units** | **Cost (Unit Price)** | **Extended Cost** |
| Support, Maintenance, Operations and any additional costs or fees (including but not limited to subscriptions) | Renewal Year One (1) | Monthly | 12 | $17,330 | $207,960 |
| Support, Maintenance, Operations, and any additional costs or fees (including but not limited to subscriptions) | Renewal Year Two (2) | Monthly | 12 | $17,677 | $212,124 |
| Support, Maintenance, Operations, and any additional costs or fees (including but not limited to subscriptions) | Renewal Year Three (3) | Monthly | 12 | $18,031 | $216,372 |
| Support, Maintenance, Operations, and any additional costs or fees (including but not limited to subscriptions) | Renewal Year Four (4) | Monthly | 12 | $18,392 | $220,704 |
| Support, Maintenance, aOperations, and any additional costs or fees (including but not limited to subscriptions) | Renewal Year Five (5) | Monthly | 12 | $18,760 | $225,120 |
| Part III - Total Cost for Optional Five (5) Year Renewal Period | | | | | $1,082,280 |

**Part IV** – Optional Services Miscellaneous Enhancements
(Do **not** include these amounts in the Total Overall Cost associated with Part I and Part II)

Custom Programming and Additional Features
Work may be needed that was not originally delineated in this RFP but considered within the scope of work (i.e., Custom Programming). This additional work may stem from legislative mandates, emerging technologies, secondary research and/or data integration solutions not otherwise addressed in this RFP or known at the time this RFP was issued. If additional work is needed, the Contractor must submit a detailed Scope of Work and detailed pricing to include items such as, but not limited to, Title/Role(s), number of hours, unit of measure, and due dates/deliverables for DHHS review and approval.  The bidder shall provide hourly pricing for any current and future custom programming needs to meet specific requirements for the Vital Records Management System as requested and mutually agreed upon by the bidder and DHHS.

Hourly Rates for Miscellaneous Support/Maintenance (beyond RFP/Contract requirements)
The Bidder should provide the Title/Role with each respective hourly rate to perform additional services*.

| Title / Role such as, but not limited to: | Hourly Rate |
|---|---|
| Software Engineer | $ 180.00 |
| IT Business Analyst | $ 180.00 |
| Project Manager | $ 180.00 |
| | $ |
| | $ |
| | $ |

*Bidder may add additional lines as needed.*