



System Automation

Enabling Responsive Government

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ORIGINAL TECHNICAL PROPOSAL

Response to RFP 5960 Z1
State of Nebraska Department of Banking and Finance
Commercial Off the Shelf (COTS)
Financial Licensing and Enforcement Software Solution

Prepared for:

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State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, NE 68508
402-471-6500

Proposal Date:
January 31, 2019



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THANK YOU

FOR THE OPPORTUNITY



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- Attachment 1: RFP Form A
- RFP for Contractual Services Form
- Nebraska State Terms and Conditions
- System Automation Cover Letter and 2017 Financial Statements
- System Automation Project Team Key Resumes
- Draft Project Plan
- Completed Attachment B – Requirements
- MyLicense Platform Specifications
- System Automation Data Conversion Process
- Detailed MyLicense Test Plan
- MyLicense System Administrator Training Plan

Executive Summary

System Automation (SA) is pleased to submit this RFP Response to the Nebraska Department of Banking and Finance (NDBF). We are proposing our market-leading enterprise commercial-off-the-shelf (COTS) regulatory management system, **MyLicense®**, to serve as the key component to meet the needs of NDBF.

Our strategy is based on:

- in-depth understanding of the RFP requirements;
- a “best value to the government” approach that results in NDBF being self-sufficient, **reducing the need for expensive vendor involvement**;
- our capability to integrate with mission-critical NDBF interfaces, **such as the NMLS**;
- strong staff domain knowledge in Banking and Finance regulation, **including banking and finance experience in Utah and New Mexico**;
- and the nation’s most configurable COTS licensing system.

The MyLicense COTS Platform is currently used to manage licensing operations in **22 states** for nearly **800 professions**, including agencies with regulatory oversight of the Banking and Finance industries. A subset of the MyLicense customer community that is similar in size and scope to NDBF is illustrated below:



In addition to serving large scale, enterprise level implementations, SA boasts a vast customer base nationwide, as illustrated in the graphic below:



THE TECHNOLOGY: MYLICENSE PLATFORM

SA is proposing its MyLicense Platform deployed in NDBF's internal data center to meet the agency's requirements. SA offers a FedRAMP-certified data center for its MyLicense Platform, which NDBF can select as a value-added service, but we are proposing to implement an on-premise implementation to minimize time associated with state approval of third-party cloud vendors, **allowing the agency to get live more quickly.**



A Cloud-Friendly Approach

Our approach will ensure that NDBF's registration and licensing system will be highly secure, meet the needs of the State's IT policies, and still provide the future benefits that the cloud offers. In fact, in our experience, the State's internal data center serves as an ideal staging area to prepare the installation for an eventual transition to the cloud. Once MyLicense Office has been fully installed and configured, it is a relatively simple implementation to "pick up" the NDBF instance and deploy it to the MyLicense Cloud.

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The graphic below contains high-level descriptions of each component of SA's MyLicense Platform. Each component is described further below, including designations for which components are included in the base proposal versus those that are available as optional add-ons to be selected as valued-added services in the proposal.



Proposed

BACK OFFICE PROCESS AUTOMATION

MyLicense Office

MYLICENSE OFFICE

MyLicense Office is a comprehensive, rules-based, COTS licensing and certification back office system that will be utilized by NDBF staff and resources. It combines all NDBF's licensing, examination and enforcement tracking functions into one integrated application. The rules that govern the credentialing process are established in the system at the license type level. In operation, this allows a single enterprise application to meet the unique licensure requirements of each profession and license type. MyLicense Office functionality includes:

- Licensing/Registration (Initial and Renewals)
- Enforcement / Case Management
- Reporting (Standard, Custom, and Ad hoc)
- Continuing Education / Audits
- Printing
- Exams
- Accounting
- Workflow Management
- Inspections / Examinations Tracking
- Imports / Exports

Proposed



MYLICENSE EGOV

MyLicense eGov will provide the ability for license applicants and credential holders to securely login and perform online transactions based on NDBF's business rules.

MyLicense eGov provides NDBF the unique ability to define business rules, data elements, workflow, fees, instructions, and the GUI interface at statewide, agency-specific, profession-specific, and license type-specific levels. MyLicense eGov includes the following key online components and functionality:

- Initial Licensing/Registration
- License and Registration Renewal
- Duplicate Requests
- Surveys
- License Lookups/Verifications
- Fee Payments
- Document Upload
- Licensee Maintenance



MYLICENSE VERIFICATION

MyLicense Verification is NDBF's public-facing web application that provides the ability for the public to view information about regulated entities over the Internet as well as submit a complaint about a regulated entity. Standard search criteria include: name, license or registration type, license/permit number, status, city, county, zip code and many other search variables. Because this is an integrated part of the SA solution, the data presented to the public is real time and there is no need to perform nightly batch file updates.

The determination as to what data NDBF wishes to be displayed to the public for each license type is controlled by the administrative features of the system. The NDBF team can configure the content and presentation of the web pages to be consistent with NDBF web sites. In addition, documents stored in the MyLicense Document Handling module and marked as "public" can be displayed within the details of a licensee record.

Verification also allows for the public to use the MyLicense Mobile Verification app which is available for iOS and Android users in the respective app stores.



MYLICENSE DOCUMENT HANDLING

With the MyLicense Document Handling module, NDBF can associate electronic documents with person, facility, license, complaint, and other types of data records in MyLicense Office. The electronic documents can be shared easily among MyLicense Office users and relieve NDBF of the burden of dealing with boxes and boxes of paper files. MyLicense Document Handling supports common electronic file types such as Microsoft Word, PDF, JPG, and TIF images.

Proposed

Documents can be indexed one of two ways:

1. MyLicense eGov users can upload documents as part of their application/renewal process or on an ad hoc basis. All the documents uploaded in MyLicense eGov are automatically indexed into the associated record in MyLicense Office. **This eliminates the need for NDBF staff to receive documents via mail, scan the documents and manually upload to the associated record in MyLicense Office.**
2. With the MyLicense Document Handling module, documents can be flagged as public and are made available for access through the MyLicense Verification website. **This integration between MyLicense Office and Verification eliminates the need for separate document repositories for public documents.**



MYLICENSE REPORTING

MyLicense Reporting allows NDBF to have full visibility of their data using a library of MyLicense standard reports and the ability to create agency custom reports. MyLicense includes over 70 standard reports, from many state implementations, that NDBF can use in support of their reporting requirements.

In addition, MyLicense will allow NDBF to develop additional reports and add them to MyLicense reporting menu for access by authorized users. MyLicense reports can be exported to various file formats and shared with internal and external users as required.

Proposed



MYLICENSE CLOUD

The MyLicense Cloud provides clients with a fully managed MyLicense environment hosted in a FedRAMP Joint Authorization Board (JAB) managed Cloud hosting platform. The MyLicense Cloud blends the cost benefits and scalability of public cloud, with the security, stability, and customization of private cloud.

The MyLicense Cloud platform is hosted in a FedRAMP certified data center, and includes management and security of the entire infrastructure, including delivering a hardened operating system and network components built to DISA STIG standards.

Optional Add-on

The MyLicense Cloud allows an organization to meet FedRAMP, FISMA, HIPAA, NIST 800-53, NIST 800-171 ("DFARS"), and program-specific security requirements.

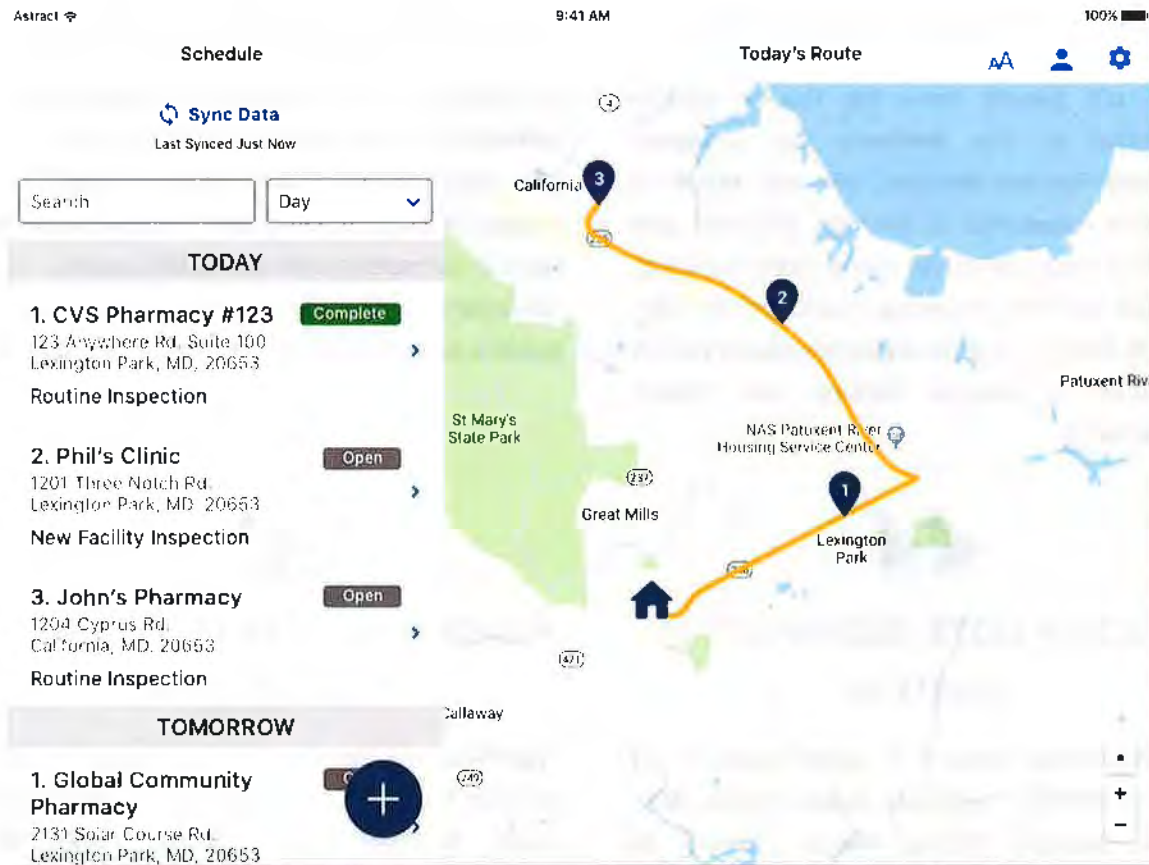
Optional Add-on



MYLICENSE GADGET

MyLicense Gadget is a field-based examination solution that extends the power of MyLicense Office to NDBF examiners and other agency personnel. Using the offerings in mobile technology, MyLicense Gadget can be used offline for a variety of tasks while performing an examination. Utilizing checklists that can be configured uniquely for each examination type, MyLicense Gadget provides everything that is needed in support of an examination or other field-based data collection requirements.

Our next generation MyLicense Mobile application, Inspectors' Gadget, is an optional add-on that will help NDBF handle its examinations. As seen in the screenshot below, our application brings the most usable application design possible promoting accessibility and intuitive features. This is accomplished through our extensive research and usability testing conducted with inspectors working in the field.



This exciting new product release is the culmination of years of experience and validation with our customers top priorities to ensure we're building the best value, best fit solution to meet the needs of NDBF.

MyLicense is a one-stop regulatory management solution. All regulatory processes, from licensing to enforcement to interfaces with other systems of record, are managed within MyLicense. When data from different aspects of regulatory management are centralized, they can be related and reported on together. Our clients have told us that one of the greatest benefits of MyLicense is the insight given to agencies by this immediately reportable data.

We have carefully reviewed the NDBF RFP and its associated requirements. Based on our understanding of the RFP, we believe the following factors uniquely distinguish our proposal to NDBF:



BANKING AND FINANCE REGULATORY KNOWLEDGE

NDBF will benefit from the finance domain knowledge of Jim Andrews, our **proposed Customer Success Manager**, who has honed his extensive knowledge of Banking, Financial, and Securities regulations over a long career providing Financial regulatory software. In addition, we have learned through multiple implementations the ins and outs of specific banking and finance requirements.



BEST VALUE TO THE GOVERNMENT APPROACH

Our implementation methodology **enables self-sufficiency** by engaging the NDBF's system administrators early in the implementation process through Administrator Training. Then, we work in partnership with the NDBF system administrators to implement the MyLicense product suite through joint configuration sprints.



SPEED OF COTS; FLEXIBILITY OF CUSTOM

The MyLicense Platform is battle-tested in the most demanding regulatory environments. With proven success helping clients respond to emergent legislation and/or market disruptions, MyLicense is **designed to allow for maximum configurability** to meet agencies' nuanced business requirements.



EASILY INTEGRATED WITH OTHER SYSTEMS

The MyLicense Platform is a single comprehensive solution for all NDBF registration and licensing needs. Whether **Hyland OnBase, WEB-CRD IARD, NMLS, or BlueExpress**, we have you covered with automated bulk import/export utilities and APIs!

OUR IMPLEMENTATION APPROACH

As we have developed our proposal, we have proposed an approach that ensures the value propositions above are fully realized. This approach, which we call The Best Value to the Government Approach, combines **making NDBF self-sufficient** to reduce unnecessary vendor expenses, **providing configuration support** to make sure NDBF receives a fully-configured system, and **providing ongoing support after go-live**. Our goal is to provide a stellar customer experience by providing a great customer support team capable of everything from supporting NDBF personnel with configuration through providing optional services such as full-time system administration and ad hoc configuration projects.



SA's Best Value to the Government Approach

Based on over two decades of licensing system COTS development, deployment, and implementation, SA has developed a differentiated implementation approach to providing the best value to our government customers.

***Step 1:** At the beginning of the project, we deploy a baseline configuration of the MyLicense solution that provides an example implementation of the functional requirements described in the RFP. The baseline configuration will include example banking and finance license and registration types.*

***Step 2:** Deployment is followed by in-depth system administration training that provides NDBF with the tools they need to modify the baseline configuration to meet the RFP requirements. We also include remote configuration support from our implementation specialists to NDBF administrators.*

***Step 3:** SA's implementation team accelerates the configuration by supplying a dedicated Implementation Specialist for ten (10) two-week configuration sprints. Before starting the sprints, we work with the NDBF project manager to assign the most complex configuration tasks to this resource and we seek to pack as much configuration into the 10 sprints as time allows.*

***Step 4:** NDBF administrators finish the configuration of the system using the skills they have acquired through classroom and on-the-job training. If NDBF needs to accelerate the configuration further, additional two-week configuration sprints may be ordered off our value-added services list found in the cost proposal.*

The assigned SA Project Manager, Liz Wabik, PMP, guides this entire process from project kick off all the way through go-live. Once go-live occurs, our dedicated customer support group provides ongoing technical support and our Customer Success Manager, Jim Andrews, remains on call to ensure NDBF needs are responded to as they arise.

In summary, SA has explained our unique differentiators, proposed the use of a leading licensing and enforcement platform, and proposed an implementation approach proven to ensure timely project completion and address NDBF's key requirements. The remainder of this proposal provides the details of how all of this comes together to provide NDBF with a solution that meets the requirements identified in the RFP.



1. Corporate Overview

A. Bidder Identification and Information

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

Founded in the District of Columbia in 1968, SA has been an industry leader in designing, developing, implementing, and maintaining comprehensive information management applications for 50 years. Our length of time in business demonstrates both our overall ability to successfully satisfy our client's needs and our sound management practices. In 1994, SA launched its first electronic licensing solution for the Maryland Board of Nursing. Since that time, SA has grown its nationwide footprint to more than 400 agencies. Please see the requested administrative information in the table below.

Administrative Information	
Company Name	System Automation Corporation
Headquarters Location	7110 Samuel Morse Drive Suite 100 Columbia, MD 21046
Entity Organization	S Corporation
State Where Incorporated	District of Columbia
Year First Organized To Do Business	1968
Name and Form of Organization Change	N/A

B. Financial Statements

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

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

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

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

SA has attached complete corporate financials and a cover letter from its Controller as attachments.

SA is a privately held S Corporation. Our banking relationship is with BB&T. The account manager is Eric Lewis. His contact information is provided below:

J. Eric Lewis
Market President, Suburban MD
10260 Baltimore Avenue, 2nd Floor
College Park, MD 20740
Direct Line: (301) 513-5848
Eric.Lewis@BBandT.com

SA does not have any judgments, pending or expected litigation, or other real or potential financial reversals, which affect the viability or stability of the organization. No such conditions are known to exist.

C. Change of Ownership

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

No change in ownership or control of the company is anticipated during the twelve months following the proposal due date.

D. Office Location

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

SA conducts all operations out of its corporate headquarters in Columbia, Maryland. All activities that require on-site presence are supported by Implementation Specialists and Project Managers that are available to travel to our client locations. The following is the address of SA headquarters:

System Automation Corporate Headquarters
7110 Samuel Morse Drive, Suite 100
Columbia, MD 21046

E. Relations with The State

The bidder should describe any dealings with the State over the previous five (5) years. If the organization, its predecessor, or any Party named in the bidder's proposal response has contracted with the State, the bidder should identify the contract number(s) and/or any other information available to identify such contract(s). If no such contracts exist, so declare.

The Nebraska Department of Health & Human Services (NE DHHS) is a long-standing client of SA. DHHS purchased SA's original License 2000® Platform in 1997 and has been a client with us ever since. Along with the client support provided through the maintenance contract, SA provides hosting and system administration services to the DHHS.

SA hosts an annual user conference to provide additional training and to share our product roadmap with our clients. NE DHHS attends this conference every year attesting to the great value derived from the program and the great rapport they have with SA.

On January 18, 2018, the NE State Senate passed Bill 18-027 repealing the current "Nurse Licensure Compact" and replacing it with the "Enhanced Nurse Licensure Compact." NE DHHS called upon SA to make the required changes to their software to ensure compliance with this new bill. SA took on the challenge and was able to rapidly make the required changes. SA worked with Becky Wisell from NE DHHS, along with the National Council of State Boards of Nursing (NCSBN), to gather the requirements, understand the intricacies of the new law, and implement software changes accordingly. Ms. Wisell was complimentary of SA's ability to implement these changes on a moment's notice. Becky's information can be found below:

Becky Wisell | Administrator
Division of Public Health, Licensure Unit
Nebraska Department of Health and Human Services
Office Phone: 402-471-0179
Becky.Wisell@nebraska.gov

We understand the need to quickly and easily adapt to new laws that affect our clients' business and have the expertise in house to make those changes happen as quickly as possible.

F. Bidder's Employee Relations to State

If any Party named in the bidder's proposal response is or was an employee of the State within the past twelve (12) months, identify the individual(s) by name, State agency with whom employed, job title or position held with the State, and separation date. If no such relationship exists or has existed, so declare.

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

There are no SA employees who were employed with the state of Nebraska within the past twelve (12) months.

SA does not have any employees or subcontractors from the state of Nebraska.

G. Contract Performance

If the bidder or any proposed Subcontractor has had a contract terminated for default during the past five (5) years, all such instances must be described as required below. Termination for default is defined as a notice to stop performance delivery due to the bidder's non-performance or poor performance, and the issue was either not litigated due to inaction on the part of the bidder or litigated and such litigation determined the bidder to be in default.

It is mandatory that the bidder submit full details of all termination for default experienced during the past five (5) years, including the other Party's name, address, and telephone number. The response to this section must present the bidder's position on the matter. The State will evaluate the facts and will score the bidder's proposal accordingly. If no such termination for default has been experienced by the bidder in the past five (5) years, so declare.

If at any time during the past five (5) years, the bidder has had a contract terminated for convenience, non-performance, non-allocation of funds, or any other reason, describe fully all circumstances surrounding such termination, including the name and address of the other contracting Party.

On November 30, 2016, the State of Missouri terminated a contract with SA. The contract was terminated *for convenience* and was not terminated for performance-related reasons. SA's contact for this contract was:

Mr. Doug Nelson, Commissioner of Administration
Office of Administration
Post Office Box 809
Jefferson City, MO 65102
Phone: 573-571-1851
E-Mail: Doug.Nelson@oa.mo.gov

No other terminations have occurred over the past three (3) years.

H. Summary of Bidder's Corporate Experience

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

The bidder should address the following:

vi. Provide narrative descriptions to highlight the similarities between the bidder's experience and this RFP. These descriptions should include:

a) The time period of the project;

b) The scheduled and actual completion dates;

c) The Contractor's responsibilities;

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

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

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

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

SA understands the importance of a vendor's past experience of not only implementing their product, but truly understanding the business of registration and licensing in the financial regulatory industry. We are proud of our depth and breadth of experience providing professional licensing solutions for State Governments and trust that our expertise in licensing is unmatched in the industry.

With 24 of our more than 40 customers using our licensing products for over 10 years, SA is dedicated to quality, customer service, and expertise in the professional licensing industry.

The table below provides a matrix of three states—New Mexico (NM), Utah (UT), and Indiana (IN)—within which SA supports financial regulatory agencies and other related professions that include nuanced requirements that are commonplace across many licensing implementations.

Qualification	New Mexico	Utah	Indiana
Financial Regulatory solution to address Licensing, Registration, Examinations, and Enforcement	✓	✓	
Robust interface integration (NMLS, state accounting systems, etc.)	✓	✓	✓
Implementation for State Chartered entities including Banks, Credit Unions, Trust Companies	✓	✓	
Implementation for Non-Depositories including Small Loan Lenders, Mortgage Companies and Branches, Money Order Agents, Exempt Agents, Principles, Escrow Agents and Officers, and Collection Agencies	✓	✓	
Transition to self-sufficient agency administration	✓	✓	✓
Industry experience implementation team	✓	✓	✓

While the depth and breadth of our robust licensing system is demonstrated above with the table of our customers who currently utilize our product suite for professional licensing, we offer the following three references as a deep dive into our expertise in not only the financial regulatory industry, but other complex business expertise as well. Please note that New Mexico, Utah, and Indiana are enterprise implementations supporting multiple boards/agencies across their respective states.

NEW MEXICO REGULATION AND LICENSING DEPARTMENT (NM RLD)

SECURITIES AND FINANCIAL INSTITUTIONS DIVISIONS

Kathy Ortiz, Deputy Dir. | Kathy.Ortiz1@state.nm.us

P.O. Box 25101, Santa Fe, NM 87504

Office: (505) 476-4642 | Fax: (505)476-4545



New Mexico supports 193 license types with 216 agency users.

The New Mexico Regulation and Licensing Department (NM RLD) supports the following financial regulatory license types in MyLicense:

- ATM Outside Sources, ATM/Banks, ATM/Credit Unions
- Bank Branch
- Collection Agency, Branch, and Managers
- Credit Union Branch
- Endowed Care Cemetery
- Escrow & Escrow Branch
- Federal Chartered Banks
- Federal Savings and Loans
- Interstate Banks
- Loan Production Office
- Money Order Agent, Exempt Agents, & Principles
- MVSF I/S & MVSF O/S
- NMEFS and SLGC
- Re-possessor
- Savings and Loans and Small Loan Company
- State Chartered Bank & Credit Unions
- Trust Company & Trust Company Branch

NM RLD has been a SA customer since 2000 and is currently working with NM on a strategy to move the on-premise MyLicense implementation to SA's FedRAMP-certified MyLicense Cloud hosting environment. SA's close partnership with NM RLD since 2000 has allowed NM RLD to achieve efficiency with automated licensing and renewals.

Solutions Implemented:

- MyLicense Office
- MyLicense eGov
- MyLicense Verification
- MyLicense Mobile

Performance Objectives Satisfied:

- Automate and streamline licensing and renewals
- Consolidation of disparate systems
- Full system of record
- Online services for licensees
- Online services for public

Type of Contract: On-Premise

Time Period of Contract: 2000 - Present

Customer Since: 2000

Time Period of Project: 2011-2012

Scheduled and Actual Completion Dates:
February 2012 (scheduled); February 2012 (actual)

Industries Served: State-wide enterprise including securities and financial institutions

of Professions: 50

of license types: 193

System Users: 216

UTAH DIVISION OF OCCUPATIONAL AND PROFESSIONAL LICENSING (DOPL)

Karen Duncan | kduncan@utah.gov
160 E 300 S, Salt Lake City, UT 84114
Office: (801) 530-6081 | Fax: (801) 530-6511



Utah currently supports over **3 million licensees** for over **500 license types!**

The UT DOPL, within the Division of Real Estate, supports the following financial regulatory license types in MyLicense:

- Associate Lending Manager
- Branch Lending Manager
- Independent Mortgage Lender Agent
- Mortgage Company Branch Office, Continuing Education Instructor & providers
- Mortgage Lender Company & Company DBA
- Mortgage Lender Owner - Loan Originating & Non-Loan Original
- Mortgage Loan Originator
- Mortgage Pre-License Instructor & Pre-License School
- Principal Lending Manager, Lending Manager

SA began working with Utah DOPL back in 1998 to implement the State's MyLicense enterprise licensing system. This involved configuring MyLicense to support **556 license types for 285 users** from multiple agencies.

The implementation included data conversion from multiple legacy systems, one of which was a mainframe system. The SA data conversion process resulted in one licensee account with one or more licenses from the different agencies. The MyLicense system is maintained and supported by the State of UT administrators for all licensing agencies.

OVER 800,000 LICENSEES CONSOLIDATED INTO ONE SYSTEM!

Solutions Implemented:

- MyLicense Office
- MyLicense eGov
- MyLicense Verification

Performance Objectives Satisfied:

- Consolidation of disparate systems
- Data conversion and deduplication
- NMLS Download Integration

Type of Contract: On-Premise
Time Period of Contract: 1998 - Present
Customer Since: 1998

Time Period of Project: 1998-2000
Scheduled and Actual Completion Dates: January 2000 (Scheduled); January 2000 (Actual)

Role of SA: Prime contractor
Responsibilities: Project Management, Implementation, Software Development, Data migration, Customer Service & Maintenance

Industries Served: Occupational and Professional Licensing, including mortgage brokers and lenders
of Professions: 98
of license types: 556
System Users: 285

INDIANA PROFESSIONAL LICENSING AGENCY (IN PLA)

Greg Fredenburgh | gfredenburgh@pla.in.gov
402 W. Washington Street, Room W072
Indianapolis, IN 46204
Office: (317) 234-5056 | Fax: (317) 233-4236



The IN Center of Licensure Excellence's single enterprise licensing system supports over 400,000 licensees across 16 Divisions – all managed by a state team of four individuals.

IN PLA is a long-time customer of SA, starting with our License 2000 product in April 2000. From December 2011 to June 2013, SA worked with IN PLA to migrate them to MyLicense Office and trained them to support the enterprise in MyLicense. This resulted in the IN Center of Licensure Excellence (IN CLE).

The IN CLE has the knowledge and expertise to make system changes as required by agencies and implements additional state agencies into the state enterprise licensing system, performing system configuration, data conversion, acceptance testing, user training and production roll-out. The IN CLE is self-sufficient but can call on SA whenever necessary to provide support.

INBiz & MyLicense – INBiz is a statewide Business OneStop solution that integrates data and applications across multiple State of Indiana agencies to make doing business with and in the State of Indiana simple and intuitive.

SA, IPLA, and Indiana Secretary of State integrated MyLicense and INBiz. The heart of the integration consists of a REST-ful, extensible API layer that allows INBiz to retrieve MyLicense data in real-time to populate the INBiz Dashboard, displaying key licensing data to Indiana licensees and applicants for licensure. The API layer eliminated the need to store data in both INBiz and MyLicense, avoiding the technical hazards of data synchronization. It also allowed IPLA to retain control of its data, while INBiz received the information it needed to create a cohesive picture of a user's interactions with State regulatory agencies. This resulted in "one pane of glass" to businesses, licensees, and the public.

Solutions Implemented:

- MyLicense Office
- MyLicense eGov
- MyLicense Verification
- MyLicense Mobile

Type of Contract: On-Premise

Customer Since: 1999

Time Period of Contract: December 1999 – Present

Time Period of Project: 1999-2001
Scheduled and Actual Completion Dates: July 2001 (Scheduled/Actual)

Role of SA: Prime contractor
Responsibilities: Project Management, Implementation, Software Development, Data migration, Customer Service & Maintenance

of Professions: 95

of License Types: 576

System Users: 358

Award Recipient by the

CENTER FOR
DIGITAL
GOVERNMENT

I. Summary of Bidder's Proposed Personnel/Management Approach

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

The bidder should identify the specific professionals who will work on the State's project if their company is awarded the contract resulting from this RFP. The names and titles of the team proposed for assignment to the State project should be identified in full, with a description of the team leadership, interface and support functions, and reporting relationships. The primary work assigned to each person should also be identified. Please submit resumes of Account Representative, Project Manager/Lead, and Lead Technical Analyst/Developer to be assigned, if awarded.

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

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

Our management approach combines extensive experience implementing licensing systems with a collaborative approach to COTS deployment; one that involves NDBF administrators in the configuration and testing of the detailed requirements of the NDBF Financial Licensing and Enforcement System.

At the heart of this management approach is an experienced, PMP-certified Project Manager, Liz Wabik, who is charged with ensuring all of the moving parts are coordinated, key resources are on task, and NDBF expectations are met.

As part of our management approach, SA works directly with NDBF to configure the system to meet the specific needs and precisely match business workflows. For example, during our configuration sprints, our implementation specialists will configure (and teach NDBF administrators to configure) the MyLicense bulk import/export utility which can interface to any compatible external system.

Meet Liz Wabik, PMP:
Project Manager

Responsible For:

All communication and project deliverables associated with the NDBF licensing system.

Ms. Wabik is a PMP-certified project manager with over 10+ years of professional experience.

Liz is completing her M.B.A from University of Maryland in May and brings a wealth of experience and education in not only SA implementations but also in business analytics and business strategy.

System Automation

Enabling Responsive Government

It was this functionality that allowed our Utah clients to easily add the automated NMLS interface to their implementation of MyLicense to support their mortgage lender licensing requirements.

Our proposed approach will result in numerous benefits to NDBF. In addition to the benefits illustrated above, NDBF will realize the following:

- **Leadership** – NDBF management will have a highly experienced Project Manager leading the effort and supporting the organizational changes necessary to make the project successful
- **Self Sufficiency** – NDBF Administrators will come to learn the product and its configuration inside and out, enabling self-sufficiency and the ability to innovate to support agency needs using the product
- **Cost Reduction** – NDBF avoids expenses related to paying for implementation services that its own personnel can perform

This approach, called our Best Value to the Government, serves as the basis for our proposal to NDBF and is described further below.



SA'S BEST VALUE TO THE GOVERNMENT APPROACH

Shortly after the kickoff meeting, we deploy a baseline configuration of the MyLicense solution that provides an example implementation of the functional requirements described in the RFP. This deployment is followed by in-depth system administration training to NDBF administrators so that they may configure the system to meet the specific needs of NDBF.

Once NDBF administrators begin configuring, SA provides remote configuration support to NDBF administrators as they complete configuration of the system. In addition, SA also provides an Implementation Specialist to conduct ten (10) two-week configuration sprints to help accelerate the timeline for NDBF. For the duration of the engagement, SA provides a Project Manager to guide the combined SA and NDBF team from kickoff meeting through UAT and go-live.

By empowering NDBF administrators to configure the system for themselves, providing implementation specialists to do ten (10) two-week configuration sprints, and providing ongoing configuration support to NDBF, SA has delivered an approach that successfully balances time, cost, and quality to maximize the value to NDBF.

KEY PERSONNEL AND TEAM MEMBERS

In addition to a great Project Manager, SA has selected a core project team of seasoned management and IT professionals with licensing and implementation experience to provide ongoing pre-go live and post-go live support to NDBF administrators. These personnel are charged with implementing and supporting NDBF while our **Customer Success Manager, Jim Andrews, is charged with providing oversight** and an additional communications channel between NDBF and SA. Our personnel have the depth and breadth of experience and capabilities to support both the known and unforeseen issues that are bound to arise on an effort of this scope.

The key project team members that SA will use to perform this work have:

- **Premium Level of Customer Experience** – Led by our Customer Success Manager, Jim Andrews, our customer support team provides the highest level of customer experience possible.
- **Past Performance** - Direct experience with a total of more than 80 implementation projects similar to the size and scope of NDBF’s implementation. That experience will benefit NDBF in all phases of the project.
- **A Focus on Integrity** - One of SA’s core values is honesty and integrity, and members of our project team are assessed on an annual basis to ensure 100% compliance with our core values.

The following matrix lists SA’s representative personnel and the amount of experience each one has with various aspects of banking and finance implementations. The group of professionals that SA has selected for this project is equipped with a broad range of experience and expertise with financial regulatory implementations and will ensure a smooth implementation for NDBF.

	Integration Experience	Enterprise Interface Experience	Complex Regulatory Systems	Financial Regulatory Expertise
Jim Andrews	●	●	●	●
Liz Wabik	●	●	●	●
Herschel Steiner	●	●	●	●
Bobby White	●	●	●	●
Jeff Cohen	●	●	●	●
Angelique Locknane	●	●	●	●

Our Key Personnel:



The following table provides high-level descriptions and qualifications of SA staff who can provide support to NDBF during the initial implementation and after go-live. Key personnel are denoted as such in the last column of the table.

Team Member	Role	Responsibilities	Background	Key Personnel?
Jim Andrews	Customer Success Manager	Works directly with stakeholders throughout projects to make certain the SA team remains highly responsive to clients' needs.	With close to 40 years of account management experience, Mr. Andrews has focused his career on building and managing strategic relationships with customers, trade groups, and key business partners.	Yes
Liz Wabik	Project Manager	Ensures the overall success of the project in terms of on-time, quality delivery within scope. Ensures team communication and effective work practices. Provides the State with timely reports of progress, status, issues, risks, and mitigation plans. Manages the project team members.	Ms. Wabik is a PMP-certified project manager with over 10 years of professional experience. She has experience successfully coordinating project teams, tasks and budgets and has excellent communication and organizational skills.	Yes
Herschel Steiner	Implementation Specialist	Responsible for understanding the agency business requirements and the configuration and implementation of the MyLicense system. Additionally, the Implementation Specialists provide Administrator Training and User Training to the Agency Administrators and Users.	Mr. Steiner has led the implementation of multiple large projects and is adept at communicating complex technical concepts in a clear and cogent fashion. Mr. Steiner has thorough knowledge of the complete project life cycle, from requirements analysis through the go-live and deployment of systems.	Yes

Team Member	Role	Responsibilities	Background	Key Personnel?
Bobby White	Database Administrator	Performs all Database Administration and database engineering tasks consistent with the requirements, designs, test cases, and project standards.	Mr. White has 25 years' experience as a DBA and has performed numerous data conversions for projects similar in size and scope to the proposed project.	Yes
Jeff Cohen	Senior Business Analyst - Subject Matter Expert	Responsible for leading JAD sessions, contributing to the configuration of the system, documentation, and test plans.	Mr. Cohen has 30 years' experience as a subject matter expert and has assisted clients in capturing business processes and detailed guidance towards the configuration tasks within a project.	No
Angelique Locknane	Senior Systems Analyst	Responsible for managing enhancements and other changes to the core product suite including MyLicense Office, MyLicense Verification, and MyLicense eGov.	Mrs. Locknane has 20 years' experience in product and project management. She has been a resident expert in licensing functionality for over 10 years at SA.	No

The resumes of key personnel are attached at the end of this document (see "Attachments").

TOOLS AND PROCESSES

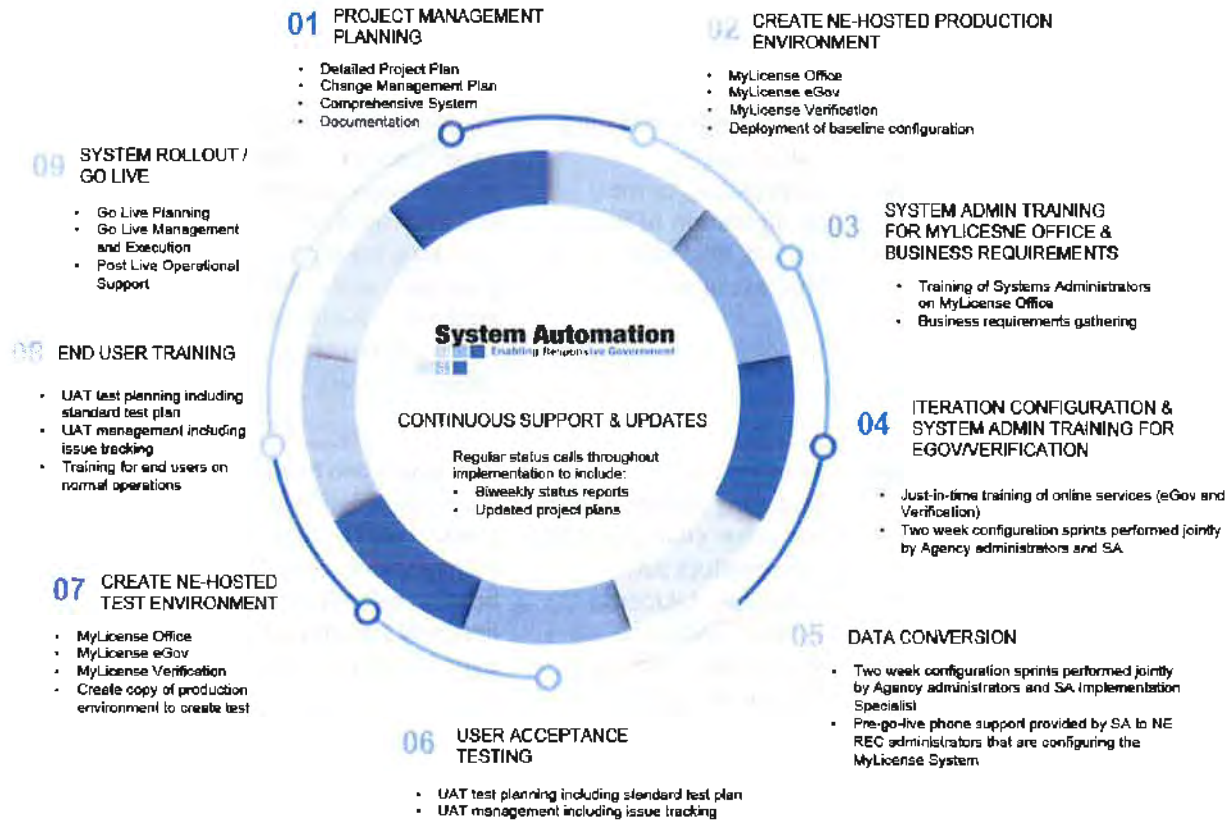
Our team uses several project management tools including Microsoft Project and a project SharePoint site for sharing and storing project data. The approved Project Plan will be continuously monitored to ensure successful completion of the project, on time and within budget.

The SA Project Manager will provide NDBF with semi-monthly Project Status Reports in addition to facilitating regular status meetings, to include:

- Status report review
- Tasks completed and accomplishments since last scheduled meeting
- Risk review and mitigation strategy discussion
- Action Items/issues for discussion by both teams
- Rolling forecast of activities/deliverables for the next two weeks

SA follows a formal process for configuration and release management, based upon the Agile Development methodology. This methodology allows for continuous feedback and engagement with NDBF staff to ensure expectations are met and any issues are identified early in the process.

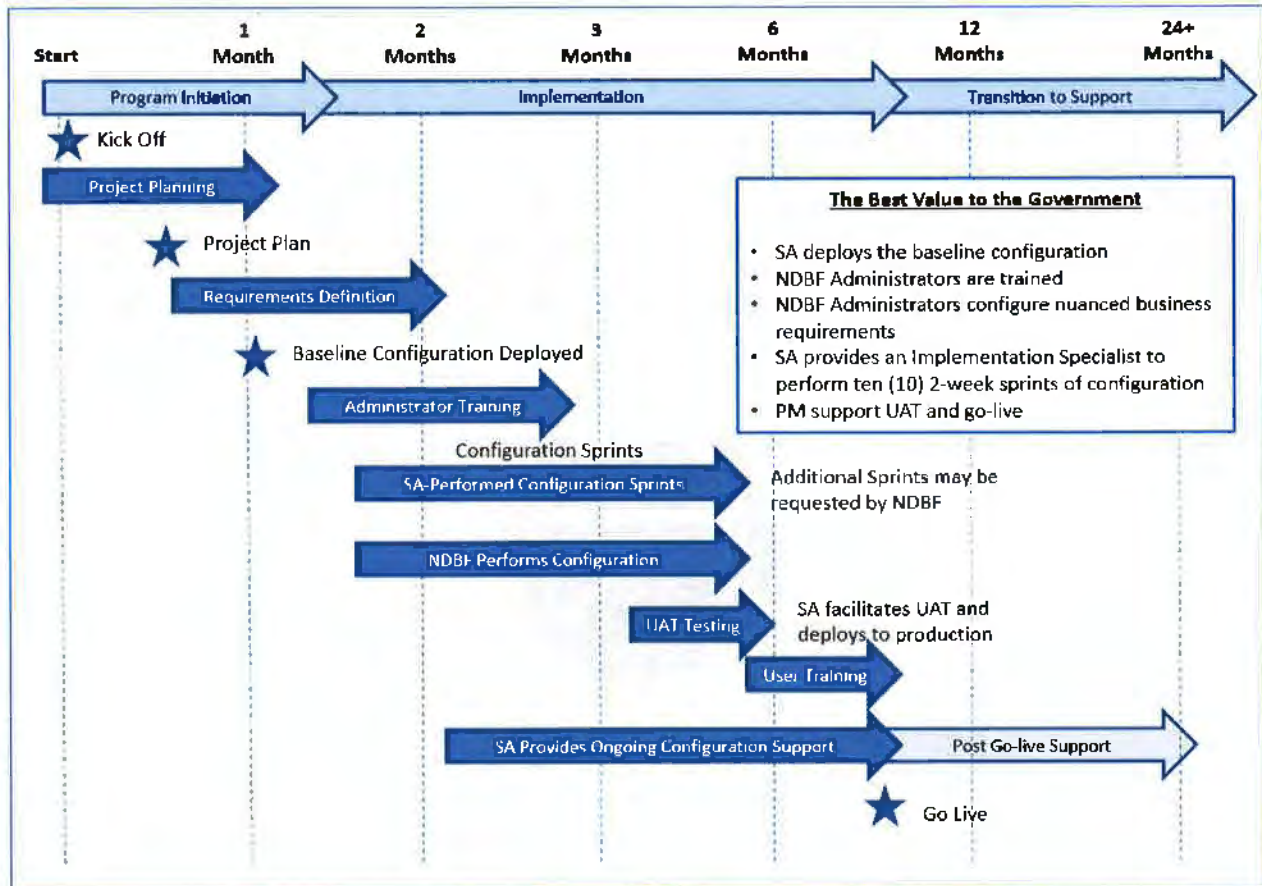
The high-level steps are outlined in the implementation approach graphic below and further detailed in the Implementation Approach below.



By following this simple yet powerful list of organized phases, we have found state agencies to be more than capable of implementing their own licensing systems and becoming truly self-sufficient.

IMPLEMENTATION APPROACH

By following SA's proven implementation approach, we have found state agencies to be more than capable of implementing their own licensing system and becoming truly self-sufficient. In addition to these high-level phases, there are several specific tasks that will need to occur to ensure the system goes live by April 3, 2020.



This graphic exemplifies the Best Value to the Government approach and shows how the distribution of the configuration workload is spread across SA and NDBF resources, resulting in the best possible value to NDBF.

The complete version of this timeline as well as due dates and durations is attached to this proposal in the form of a Project Plan. Additional details around the tasks including hours and responsibility can be found in the Technical Approach, section E (Deliverables and Due Dates).

We've been fine-tuning our implementation methodology for over two decades, not a few years. Our mature implementation approach will provide NDBF with a structured implementation designed to bring NDBF live quickly without sacrificing quality.

At the onset of the project, SA and NDBF management will set governance for the project through project planning. Upon completion of project planning, quality assurance, and test planning, the project will move into the implementation stage. The implementation stage consists of system administrator training, business requirements validation, ten (10) two-week configuration sprints, and data conversion. The iterative configuration cycles are thoroughly planned by SA and NDBF project management members to maximize configuration that will meet NDBF's business needs. Once all the configuration required for go-live is complete, the project will move into the testing and training phase.

With our implementation approach, NDBF system administrators are constantly in the product configuring and testing the product to validate their configuration. The product is continually being evaluated throughout the project; however, there will be concentrated tasks in the project for user acceptance testing. NDBF system administrators will receive formal training at the onset of the project and they continue to build upon this training throughout the project.

Throughout the iterative configuration cycles, end users will be exposed to MyLicense. The exposure the end users receive provide them familiarity that will bolster their understanding and accelerate their learning during the formal end user training sessions. Throughout the implementation and after production go-live, SA's seasoned implementation and support team will be there for the NDBF team providing guidance and support.

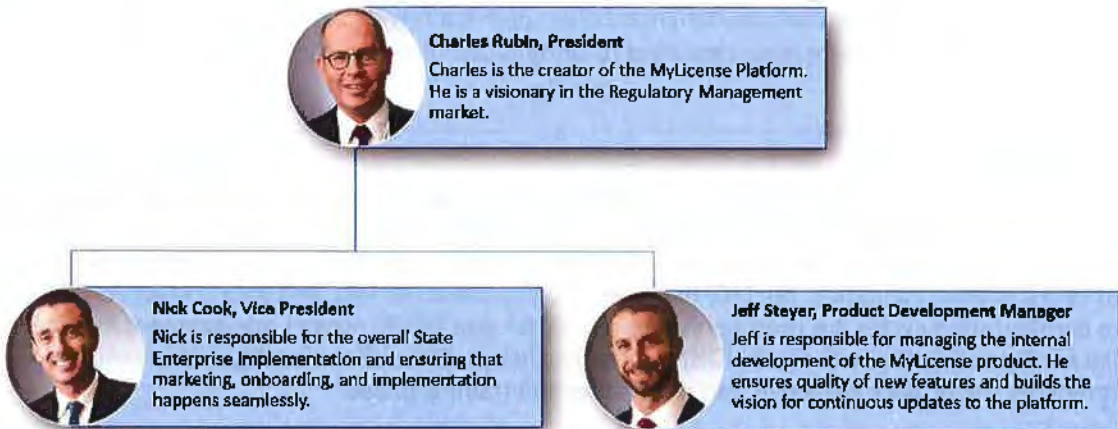


The SA Advantage

Many technology vendors will customize specific software pieces for your individual needs. Our customers reap the benefits of enhancements requested by others as we coordinate a centralized product release, every quarter, including all enhancements built into the platform so that you take advantage of the highest priority requested features as soon as they are available.

SENIOR LEADERSHIP TEAM

The SA Leadership Team provides direction and support to ensure our customers have a successful implementation and extraordinary Customer Experience. They are directly responsible for each customer engagement and are accessible to our entire customer community for escalation support.



We approach customer service holistically and, in total, SA's three internal business units each have a critical role to play in providing a great customer experience.

The **Core Development Team (CDT)** is responsible for the designing, coding, and other activities related to the creation of SA software products. SA's development staff consists of more than a dozen developers with collectively over 75 years of system application design and development experience. The CDT plays a critical role in improving the customer experience by making the software more user friendly and resolving critical issues that prevent NDBF from executing its business process.

The **Application Delivery Team (ADT)** is the group responsible for implementing SA's software solutions. Staff positions include project managers, implementation specialists, and database administrators. They have domain expertise in the areas of licensing and enforcement and are highly skilled at implementing SA's software solutions. The ADT provides stellar customer experience by listening to NDBF and translating high priority requirements into system functionality, within the timelines established between the NDBF and the SA project managers.

The **Customer Support Team (CST)** provides focused "post implementation" support and consists of a team of dedicated support specialists whose sole responsibility is to respond to and resolve NDBF incidents. Additionally, the CST has access to a pool of 10 product specialists that support them on an as-needed basis. The CST is on the "front lines" of providing a great customer experience and are measured on their ability to provide a quick and effective resolution to NDBF incidents.

Each of the business units form one team to support NDBF during the implementation and after go-live.

J. Subcontractors

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

- i. name, address, and telephone number of the Subcontractor(s);
- ix. specific tasks for each Subcontractor(s);
- x. percentage of performance hours intended for each Subcontract; and
- xi. total percentage of Subcontractor(s) performance hours.

SA does not intend to subcontract any part of its performance hereunder.



2. Technical Approach

We understand that NDBF is looking for a COTS Financial Licensing and Enforcement Software Solution that meets their requirements and eases the burden of manual entry to improve efficiency.

SA is proposing our market-leading enterprise COTS regulatory management system, MyLicense®, in conjunction with our proven implementation methodology to provide a time-tested approach for the implementation of licensing systems. With over two decades of experience in COTS licensing system development, deployment, and implementation, SA's approach has proven to be highly successful in providing the best value to our government customers.

The following table provides a summary and timeline for the RFP-specified deliverables.

Deliverable Ref Number	Task Name	Projected Delivery Date
1	Project Plan, including Change Management Plan and Comprehensive System Documentation	6/13/19
2	Create Production Environment	7/5/19
3	Systems Administrator Training (MyLicense Office)	7/17/19
4	Business Requirements Analysis	7/23/19
5	Iterative Configuration (10 Sprints)	12/13/19
6	Systems Administrator Training (eGov & Verification)	8/13/19
7	Data Conversion	2/18/20
8	User Acceptance Testing	3/12/20
9	Create Test Environment	3/20/20
10	End User Training	3/20/20
11	System Rollout and Initial Operational Support	4/9/20
12	Go Live (Project Handoff)	3/23/20
13	Continuing Support and Updates	Continuous

In addition to the RFP-mandated deliverables, the below table provides a summary for the tasks and deliverables for the implementation. We are proposing these deliverables because they are key to our approach and reflect the actual steps that NDBF personnel will perform to implement NDBF's business requirements in MyLicense. Highlighting this specific scope in the project plan will help SA and NDBF align their understanding of the nature of the project.

Detailed descriptions of each deliverable and the responsibilities (both SA and NDBF) are described in detail in at the end of Section E (Deliverables and Due Dates). A high-level description of each deliverable is provided in the table below.

Deliverable	Description
<p>1 - Project Plan, including Change Management Plan & Comprehensive System Documentation</p>	<p>SA will develop a detailed project work plan for this project. The Project Plan itself will include the following components and deliverables:</p> <ul style="list-style-type: none"> • Project Work Plan • Progress Reporting Methodology <p>SA will provide a copy of its standard Change Management Plan describing the methods and procedures that govern the change process during the life cycle of the project.</p> <p>SA will provide access to the latest version of our Comprehensive System Documentation Repository. The documentation is available online for licensed users in a SharePoint document repository.</p>
<p>2 - Create Production Environment</p>	<p>SA will deploy the baseline configuration to the (to-be) production environment for the following MyLicense products:</p> <ul style="list-style-type: none"> • MyLicense Office • MyLicense eGov • MyLicense Verification • MyLicense Document Handling <p>SA will install the MyLicense Office application in the state data center.</p>
<p>3 - System Administrator Training (MyLicense Office)</p>	<p>SA will provide System Administrator training for MyLicense Office. Training will be instructor lead, classroom style training and include a combination of presentation, demonstration, and configuration exercises.</p>
<p>4 - Business Requirements Analysis</p>	<p>SA and the Agency will review the existing applications (both initial and renewal) and use that as a guideline to determine how to optimally configure MyLicense. SA will provide guidance and will apply it knowledge based upon similar projects and license types.</p>

Deliverable	Description
<p>5 - Iterative Configuration (10 Sprints)</p>	<p>SA and the Agency will jointly perform configuration in iterative two-week sprints.</p> <p>During these sprints, the Implementation Specialist (a team member with dozens of MyLicense implementations completed) will accelerate the configuration timeline by quickly doing the bulk of the more challenging MyLicense configuration tasks.</p> <p>The first day of the sprint will include a planning session, outlining the configuration responsibilities for SA and the Agency respectively. The tasks that the Implementation Specialist performs will be decided by the NDBF Project Manager and the SA Project Manager, collaboratively, and documented in the project plan.</p> <p>During the remainder of the sprint, SA will provide NDBF administrators with phone-based configuration support. SA will provide one Implementation Specialist to the project to conduct a total of ten (10) 2-week configurations sprints (to be used for configuration activities across all MyLicense modules).</p>
<p>6 - System Administrator Training (eGov & Verification)</p>	<p>SA will provide System Administrator training for MyLicense eGov & Verification. Training will be instructor led, classroom style training and include a combination of presentation, demonstration, and configuration exercises.</p>
<p>7 - Data Conversion</p>	<p>SA has defined a standard and consistent methodology that allows data to be converted from the current Agency system(s) to MyLicense.</p> <p>This task includes two (2) iterations of initial data conversion for testing.</p> <p>SA will provide the Agency with the data file formats for Entity data to be loaded into the new system. The Agency is responsible for providing SA with data files matching the specified format.</p>

Deliverable	Description
<p>8 - User Acceptance Testing</p>	<p>SA will work with the Agency to perform controlled acceptance testing.</p> <p>All items that will be tested will be included in an acceptance test plan. The test plan will include specific test cases to cover edits, constraints, and licensing restrictions for the license types configured in the system.</p> <p>An SA Implementation Specialist will work with designated Agency testers to develop and complete the acceptance test process. The goal of this acceptance test process is to confirm that all system functions work as required, and that data has been converted successfully from the previous systems to MyLicense. If system issues are found, SA will implement a process to immediately fix the issues or determine the proper course of action. For minor issues, the appropriate course of action will be to continue with the acceptance test process and test the minor fixes as they become available. For more serious issues, the acceptance test process could potentially be placed on hold until the issues are resolved. At that time, the acceptance test process would continue or be restarted, if required.</p>
<p>9 - Create Test Environment</p>	<p>Following successful UAT, SA will create a test environment as a copy of the (to-be) production environment. This will consist of the following MyLicense products:</p> <ul style="list-style-type: none"> • MyLicense Office • MyLicense eGov • MyLicense Verification • MyLicense Document Handling
<p>10 - End User Training</p>	<p>SA will provide User Training as identified within this project. The training will consist of complete and thorough classroom-style instruction. The training curriculum will be a combination of lecture, discussion, and hands-on system use. SA will provide an electronic copy of the standard training materials that the Agency may distribute to other Agency training participants and other agency staff.</p>

Deliverable	Description
11 - System Rollout and Initial Operational Support	<p>This task includes the final data conversion. SA will load and convert the provided data files to the MyLicense Office database. SA will also initiate and monitor the process to replicate data from MyLicense Office to MyLicense eGov.</p> <p>After the production system has been made available to users, SA's implementation support personnel are available and provide immediate feedback regarding any potential minor disruptions in service or software issues.</p>
12 - Go Live (Project Handoff)	<p>After the production system has been made available to users, SA's implementation support personnel are available and provide immediate feedback regarding any potential minor disruptions in service or software issues.</p>
13 - Continuing Support and Updates	<p>Ongoing support will be available from the SA between 7AM and 6PM CT. Training and documentation for the deployment of minor and major releases will also be provided for up to five (5) Department staff, prior to the completion of the project. Updates will be provided to the Department via secure file transfer solutions (Secure File Transfer Protocol, State-provided VPN access or State-provided ShareFile cloud sharing).</p>

In addition to demonstrating our implementation experience, we want to show that we understand the project requirements. The compliance matrix below shows exactly where each of the Product Description and Scope of Work requirements listed in the RFP are addressed within our proposal.

RFP Requirement	Proposal Section	SA Response
Project Description – Project Overview (VI.A)	2. A. 1. Project Overview	✓
Project Description – Project Environment (VI.B)	2. A. 2. Project Environment	✓
Project Description – Project Requirements (VI.C)	2. C. Project Requirements	✓
Project Description – Business Requirements (VI.D)	2. A. 3. Business Requirements	✓
Scope of Work – Implementation Strategy and Project Plan Must Accomplish Installation and Training Prior To 4/3/2020 (VI.E.1)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.1	✓
Scope of Work – Change Management Plan (VI.E.2)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: 5W.2	✓

RFP Requirement	Proposal Section	SA Response
Scope of Work – Comprehensive System Documentation (VI.E.3)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.3	✓
Scope of Work – Migration Planning and Implementation (VI.E.4)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.4	✓
Scope of Work – User Testing and Acceptance Plan Required (VI.E.5)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.5	✓
Scope of Work – Training on The Financial Licensing Software Solution for User Acceptance Testing and Normal Operations (VI.E.6)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.6	✓
Scope of Work – Technical Assistance to Install, Operate and Maintain the Financial Licensing Software Solution (VI.E.7)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.7	✓
Scope of Work – Technical Support in Response to User Acceptance Experience (VI.E.8)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.8	✓
Scope of Work – Project Handoff (VI.E.9)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.9	✓
Scope of Work – Continuing Support and Updates (VI.E.10)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.10	✓
Scope of Work – Project Planning and Management (VI.E.11)	2. A. 4. Scope of Work and Attachment 7 Scope of Work: SW.11	✓
Project Description – Project Deliverables (VI.F)	2. E. Deliverable and Due Dates	✓

A. Understanding of the project requirements

1. PROJECT OVERVIEW

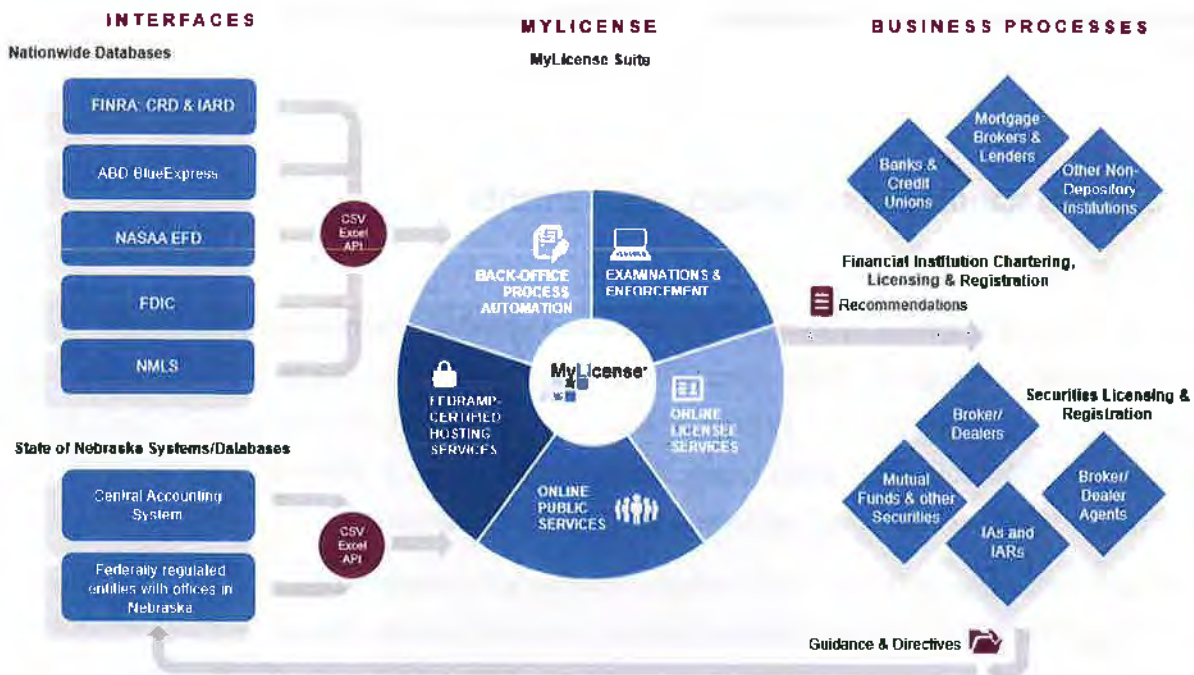
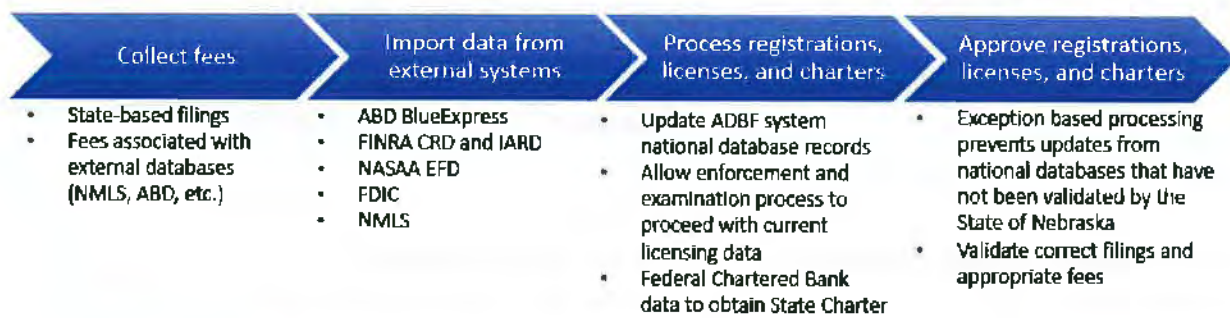
The State of Nebraska intends to select a qualified bidder to provide a Commercial Off the Shelf (COTS) Financial Licensing and Enforcement Software Solution. The solution is to include software, installation, training, configuration assistance, assistance in conversion of existing data to the selected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

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

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

We understand NDBF's desire to have a highly-configurable system to meet current requirements and future needs of NDBF licensing and enforcement operations. Our robust integration tools allow us to support NDBF's current interface requirements and provide the ability to configure new interfaces or update these interfaces as external vendors change specifications. This flexibility allows NDBF to meet any future legislative, regulatory, or business changes both quickly and easily.

The below diagram demonstrates SA's understanding of the end-to-end business process NDBF supports, including the extensive integration requirements with external systems.



Please note that the MyLicense Cloud FedRAMP-certified hosting services and MyLicense Gadget Examinations & Enforcement module are included in the above graphic for a complete description of the MyLicense Platform and are proposed as value-added services for consideration for future implementation.



An Illustrative Example of MyLicense Configurability

SA was working to add a new license type for a Lactation Consultant for the State of Georgia. They were mandated by legislation to go live by May 30th 2017. SA was working on time and under budget, when a hurricane hit Georgia. The client was shut down for a week. SA understood the urgency, worked diligently to meet the deadline, allowing Georgia to go live one day early! MyLicense's ease of configuration makes these changes quick and easy.

For many years, SA's overall strategy has been to make the features in our product configurable by non-programmer staff members. This allows NDBF to quickly respond to routine changes to business requirements through simple software configuration (rather than software customization).

The MyLicense software is built with the understanding that your business needs will continue to change over time and that the MyLicense Platform can be configured and expanded to meet these needs. NDBF will have full control over configuration and the flexibility to adjust all aspects of the application to suit NDBF needs, as they arise.

MyLicense was designed to give authorized board staff the ability to perform routine changes without additional programming expense. **For this reason, SA's MyLicense solution continues to be the most configurable and flexible COTS licensing system on the market.**

2. PROJECT ENVIRONMENT

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

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

paper copies, and periodic secure exchanges of examinations or other regulatory materials with various legal or regulatory parties.

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

The MyLicense Platform has been successfully implemented in numerous states similar in size and scope to NDBF. Specifically, the system supports configuration for multiple boards, professions and license types. The MLO configuration model balances ease of configuration with flexibility, supporting common configuration across multiple license types while at the same time supporting specific configuration by license type where required.

SA's MyLicense suite of products runs on a combination of industry standard database and web/application servers to support both the back-office agency users (MyLicense Office), the online application users (MyLicense eGov) and the online public users (MyLicense Verification) and supporting system services such as document handling and ad hoc reporting.



Our Cloud-Friendly Approach

While we would typically suggest that NDBF consider our MyLicense Cloud solution, we understand and are considerate of the need to implement a new system as quickly and economically as possible. We are therefore proposing the MyLicense platform be deployed in the existing NE State IT infrastructure in order to migrate to a new system as quickly as possible. This will immediately provide NDBF with a robust infrastructure that is easily sustained in the state data center. Once that process is complete and the system is fully operational, we can jointly explore the benefits of migrating the solution to the cloud.

This approach has several benefits including using the duration of the implementation to ensure there are proper responses to each of NE State IT's cloud security policies. While the MyLicense Cloud is FedRAMP-certified, there are verification activities that we and NE State IT will need to do in order to ensure that the NDBF registration and licensing system may be appropriately hosted in the MyLicense Cloud.

The table below describes the function of each component and the supported platform specifications:

MyLicense Platform Specifications		
System Component	Description	Platforms
MyLicense Database Servers	This is the database server that contains all of the system configuration and transaction data in support of MyLicense Office, MyLicense eGov and MyLicense Verification	<ul style="list-style-type: none"> • Microsoft SQL Server • Microsoft Windows Enterprise Server or platform supported by selected database environment
MyLicense Office Application Server	This is the application server for the MyLicense Office products used by Agency users	<ul style="list-style-type: none"> • Microsoft Windows Enterprise Server • Microsoft IIS • WildFly
MyLicense eGov and Verification Application Servers	These are the application servers supporting the MyLicense eGov and Verification products supporting licensees and public users	<ul style="list-style-type: none"> • Microsoft Windows Enterprise Server • Microsoft IIS • Microsoft .NET Framework.
MyLicense Document Handling Application Server	This the application server supporting the Document Handling component of the MyLicense system	<ul style="list-style-type: none"> • Microsoft Windows Enterprise Server • WildFly
MyLicense Reporting Server	This is the application server supporting the Reporting server component of the MyLicense system	<ul style="list-style-type: none"> • Microsoft Windows Enterprise Server • WildFly
MyLicense Web Services Server	This server supports various MyLicense system services in support of the various system components	<ul style="list-style-type: none"> • Microsoft Windows Server • Microsoft IIS

The above recommended platform specifications can be hosted in a virtual server environment to support production, test and development implementations. Additional detail and a system diagram can be found in the attached Platform Specifications.

3. BUSINESS REQUIREMENTS

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

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

MyLicense Office provides the flexibility to configure the system to track all requested information such as approval, denial, renewal and expiration information for licenses, registrations and charters.

MyLicense provides retention of licensure data and history of a license. In addition to capturing the license type, issuance date, expiration dates, renewal dates, status, MyLicense also captures a plethora of history. This includes, but is not limited to, issuance, approvals, status changes, license address changes, continuing education, prerequisites, renewals, etc. as seen in the screenshot below in change history.

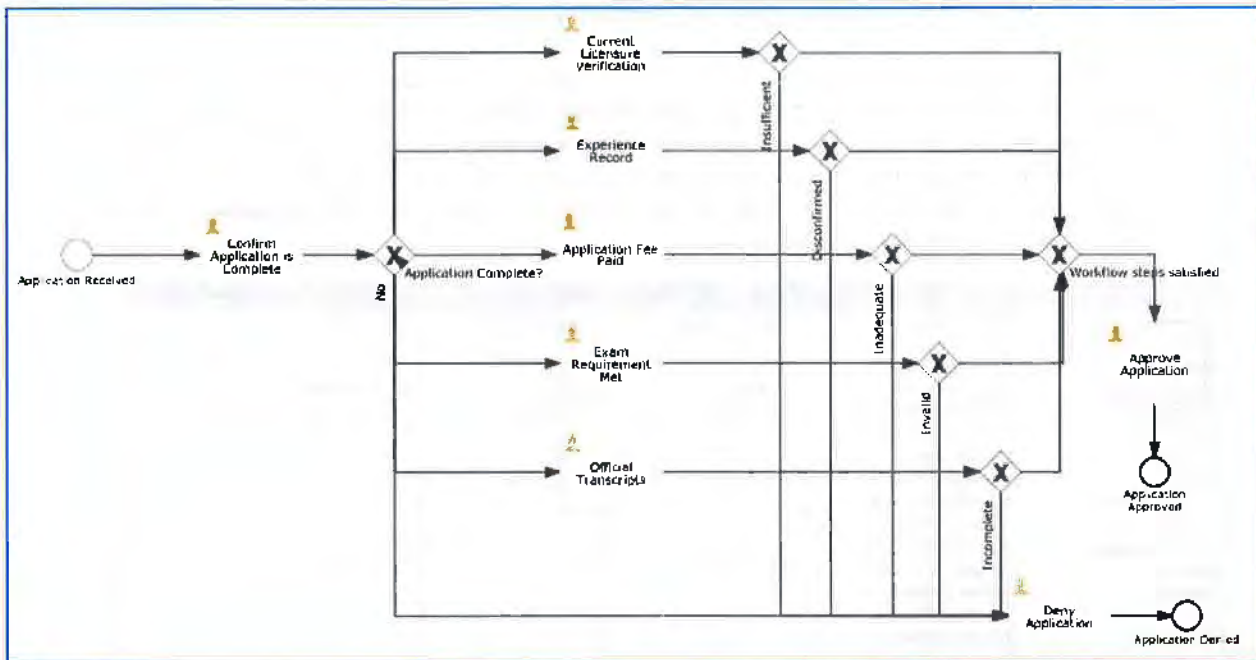
History				
Category	History Status	Last Changed By	Last Changed Date	Last Change Made
Alias	No History Present			
DBA	No History Present			
License Change	Last Transaction	MLObatch	03/20/2014	Renewal Generated
Person Change	Last Transaction	Administrator	03/20/2013	Status Change
Specialties	No History Present			
CE Audit	Audit History			
Checklist	Application Checklist	y(ATC) Nora Feeney	07/25/2013	
License Address	No History Present			
License Bond	No History Present			
License Subtype	No History Present			
Renewal	Renewal Checklist	MLObatch	03/20/2014	Renewal Generated
Prerequisite	No History Present			
License Status	No History Present			
Owner	No History Present			
Person Address	Last Address		09/08/2003	12018 Voltaire Cir Indianapolis IN 46203
Print	License Printed	y(ATC) Nora Feeney	07/25/2013	Printed
E-Mail Merge	No History Present			
Other Address	No History Present			
Question/Answer Action	No History Present			
Related Person Address	No History Present			
Contact Address	No History Present			
Question/Answer General	No History Present			
Driver's License History	No History Present			

Change History			
Transaction	Transaction Date	Reason	Process By
Renewal Generated	03/20/2014		MLObatch
Renewal	07/25/2013		y(ATC) Nora Feeney
Renewal Generated	08/01/2013		MLObatch
Status Change	03/20/2013		Administrator
Renewal	04/20/2012		Administrator
Renewal	03/24/2011		Administrator
Renewal	06/18/2010		Administrator
Renewal	02/24/2009		Administrator
Renewal	05/23/2008		Administrator
Renewal	05/14/2007		Administrator
Renewal	03/18/2006		Administrator
Renewal	05/05/2005		Administrator
Renewal	05/18/2004		Administrator
License Transfer Issued	11/05/2003		Administrator

As illustrated above, SA's MyLicense Platform boasts deep tracking capabilities for approval, denial, renewal, and expiration of licenses, registrations, and charters.

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

The MyLicense Suite's workflow engine facilitates each step of the license approval process, ensuring that the right users complete the right tasks at the right time. Automated approval processes can review records ready for approval, flag records requiring additional review, and send notices and license documents. Below is a screenshot of a workflow that is configurable down to the "obtained by" (i.e., path to licensure) method that outlines the approval process of a specific license type.



MyLicense Office's workflow engine allows the NDBF team to add, remove, and modify workflows for numerous licensing-related processes. Once configured, these workflows route tasks to users' task queues, and send automated notifications triggered by workflow events. Tasks can be flagged as priority tasks by default, based on task type, or manually by authorized end users. The engine offers administrators the flexibility to alter the workflow as requirements change, allowing back office business flows to adjust to new requirements in near real-time.

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

The MyLicense Time Tracking module allows categories of time and expenses to be defined at the department level. Background investigations or examinations can be opened on a license or application record with a background deposit to an expense account. As employees log their time against those investigations, their time is billed at an hourly rate defined for that employee. Travel and other expenses can be debited from the expense account. Once balance thresholds are met, an additional deposit must be made to the expense account before additional time and expenses are logged against the investigation, preventing overruns.

4. Generate billing, track changes based upon trigger events, archive billings and assessments;

MyLicense allows users to generate billing, track changes based upon trigger events, and to archive billings and assessments. Various activity is tracked and/or stored throughout the modules of MyLicense. For example, the Licensing module contains print and email history, status change history, renewal history, etc.

Notifications and incoming documents can be stored as part of the licensing and enforcement modules. MyLicense provides robust history tracking and audit capabilities.

Working in tandem with system security, MyLicense Office has out of the box reports which allows Administrators to have a deeper look into any updates that have been made by a specific user. MyLicense Office also offers table auditing which can be individually activated as required and reports low level information. In addition, MyLicense Office provides extensive record history information within each record to include history of agency defined data fields. The following is an example of some of the history that can be viewed within a license record.

Category	History Status	Last Changed By	Last Changed Date	Last Change Made
Alias	No History Present			
DBA	No History Present			
License Change	Last Transaction	Administrator	12/12/2016	Renewal Generated
Person Change	Last Transaction	Administrator	12/12/2016	Application for Initial Licensure
Specialties	No History Present			
CE Audit	Audit History			
Checklist	Application Checklist	Administrator	12/12/2016	
License Address	No History Present			
License Bond	No History Present			
License Subtype	No History Present			
Renewal	Renewal Checklist	Administrator	12/12/2016	Renewal Generated
Prerequisite	No History Present			
License Status	No History Present			
Owner	No History Present			
Person Address	No History Present			
Print	No History Present			
E-Mail Merge	No History Present			
Other Address	No History Present			
Question/Answer Action	No History Present			
Related Person Address	No History Present			
Contact Address	No History Present			
Question/Answer General	No History Present			
Driver's License History	No History Present			

In addition, MyLicense Office provides various reports of system user activity. The following is an example user activity report available to authorized users within MyLicense Office.

USER ACTIVITY REPORT					Run Date: 09/30/2017
					Page No: 2
Date	User Name	Transaction Type	Reason	License ID	License Name
01/25/2017 12:00:00 AM	Administrator	Renewal Received		POD-0117-000016	Inst. Tail
01/25/2017 11:30:29 AM	Administrator	Application for Initial Licensure		M25071701	Inst. Tail
01/25/2017 12:00:21 PM	Administrator	Application for Initial Licensure		POD-0117-000016	Inst. Tail
01/25/2017 12:05:18 PM	Administrator	Address Change	Address of type Default Changed	Person Last Change	Inst. Tail
01/25/2017 12:05:48 PM	Administrator	Issue License		POD-0117-000016	Inst. Tail
01/25/2017 12:05:08 PM	Administrator	Renewal Generated		POD-0117-000016	Inst. Tail
01/25/2017 12:07:06 PM	Administrator	Renewal		POD-0117-000016	Inst. Tail
01/25/2017 01:35:57 PM	Administrator	Application for Initial Licensure		POD-0117-000017	Inst. Washoe

At any time, licensees can log into MyLicense eGov to view a complete payment history. The payment history is a **history of all transactions** associated with the licensee, granting full visibility into licensee's history of payments to NDBF.

Payment History

Below is a list of Payments. Click on a Payment to see full payment details.

Show entries Search:

Receipt #	Received Date	Payment Status	Amount Received	Payment Balance	Payment Type	Payment Data
4773728	02/06/2016	Accepted	\$80.00	\$0.00	Credit Card	791PNI
4773777	04/18/2016	Accepted	\$25.00	\$0.00	Check	665
4773808	06/10/2016	Accepted	\$300.00	\$0.00	Cash	
4773809	06/10/2016	Accepted	\$300.00	\$0.00	Cash	
4773810	06/10/2016	Accepted	\$200.00	\$200.00	Cash	

Showing 1 to 5 of 5 entries Previous Next

In MyLicense Office, each payment, fee allocation, and modification of a fee or payment is tied to a user, enabling end-to-end auditing and accountability for transactions. A group of payments tied to a user is called an accounting batch. After a group of payments is created, NDBF users verify their accounting batches to reconcile monies received with payments entered into the system.

Batch Number	Receipt Number	Payer	Source	Created By	Payment Status	Check Number	Amount Received
103621	4774202	Test101 Bitman		mylicense	Accepted	791PNI	\$250.00
103623	4774204	Test102 Bitman		mylicense	Accepted	791PNI	\$250.00
103623	4774205	Test103 Bitman		mylicense	Accepted	791PNI	\$250.00
Batch Total Received:							\$500.00
Transaction Count:							2
Grand Total:							\$150.00
Total Count:							3

Each accounting transaction (payment, allocation, refund, return) leaves a record in the history of the batch, creating a **history of all accounting transactions** that can be reported on and audited at any time.

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

MyLicense's document management integration allows for uploading and associating documents to MyLicense records. A document that is associated to a MyLicense record can be viewed from that record, permitting authorized users to view past documents. Another widely used feature of MyLicense's printing and document management integration is the capability to associate a printed or emailed document with the entity record; providing NDBF with an exact copy of a correspondence that was mailed or emailed.

This same stored document can be made available to the applicant or licensee in their MyLicense eGov secure portal.

NEBRASKA
DEPARTMENT OF BANKING AND FINANCE

About Industries Consumers Searches Reports

Menu

- Demographics
- Education
- Employment
- Questions
- Document Upload**
- Finish
- Licensing Home Page
- Logout

Upload a Document

Click the browse button below to begin uploading a document. Then, select the document type from the dropdown that will appear.

Documents are currently configured to be uploaded to the Person Documents panel, meaning that a document uploaded here will appear on the record of ALL licenses held by this person or facility.

Document Name	View	Delete	Type
College Certification pdf	View	Delete	Application File
On Site Supervisor pdf	View	Delete	Application File

As part of an initial application or renewal process, applicants and licensees (person or facilities) can upload documents as part of their online submission. Once the record is submitted, the documents will automatically be indexed in the back office system directly into the applicant or licensee record.

MyLicense eGov users can upload documents as part of their application/renewal process or on an ad hoc basis. All the documents uploaded in MyLicense eGov are automatically indexed into the associated record in MyLicense Office. This eliminates the need for NDBF staff to receive documents via mail, scan the documents and manually upload to the associated record in MyLicense Office, saving time and money.

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

We understand the financial regulatory industry's dedication to compliance. Our robust MyLicense Document Handling module will allow NDBF complete control over document retention policies and includes end-to-end, comprehensive Records Management capabilities. This allows for the definition of record retention policies, including disposition (i.e., document expiration) periods, approval policies, and workflows, including the placement of review holds on documents that require extensions or additional review prior to disposition.

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

SA understands that NDBF wants to provide end users and the public with easy-to-use, powerful search capabilities. This ease of use is particularly important when an NDBF end user is searching in the back office as well as when members of the public (or licensees) are searching in the online services part of the LMS. Our response in this section is going to explain many examples of search mechanisms that are part of the MyLicense suite.

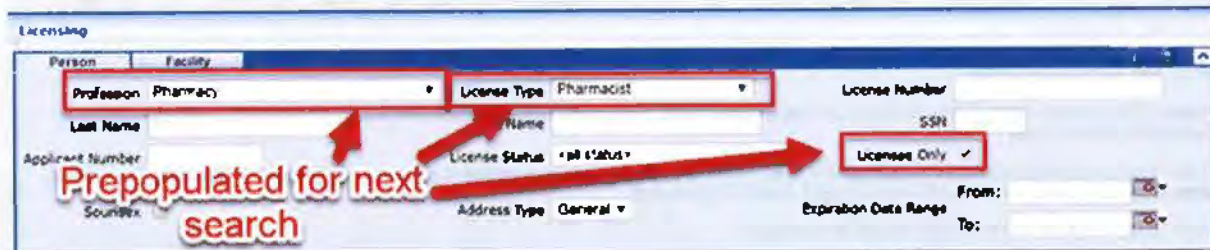
MyLicense Office and MyLicense Verification provide standard search criteria include name, license or registration type, license/permit number, status, city, county, zip code and many other search parameters to meet these needs. In addition to these standard capabilities, MyLicense Office, MyLicense Reporting, and MyLicense Verification all go above and beyond to improve the user experience.

MyLicense Office offers flexible search capabilities:

MyLicense Office search capabilities include exact searches and "like" searches. With **wildcard** and **Soundex searching**, MyLicense provides users with a variety of context searches.



MyLicense Office allows searching with **multiple parameters** and also provides the capability to save "user preferences." User preferences are routine search elements such as profession, license type, and obtained by. This capability aids in user efficiency by preventing the user from having to reselect the same search criteria multiple times.



Throughout MyLicense, column header **sorting** is provided to allow the user to sort display lists.



MyLicense Verification provides the public with added value:

SA understands that public users should be able to quickly and easily get to the information they want, with MyLicense Verification performs wildcard searches by default, **simplifying the search process for public users**. Like MyLicense Office, Verification also includes the option for Soundex searches.

Search Criteria

License Type: Support First/Mid Name:

License Number: Last Name: smi

Results

Name	License #	License Type	Status
Smiejs, Justin Joseph	M61723	Support	Approved
Smilanic-Jones, Keeley Nicole	M61852	Support	Approved
Smiley, Rachel Lillian	M21136	Support	Approved
Smiley, Ian Dennis	M75292	Support	Approved
Smirl, Jeremy Paul	M86381	Support	Approved

Because Verification is an integrated part of the MyLicense Platform, the data presented to the public in **real-time**. There is no need to perform nightly batch file updates. Also, the look-and-feel of each Verification site can be configured by the NDBF team to meet NDBF's website presentation standards, enhancing the public user's experience of the search.

About

Industries

Consumers

Searches

Reports

Search for a License

Welcome to Web Lookup/Verification

- Please enter search criteria below to start your search (enter data in any field- we will search with whatever information you provide to us-remember less is more!)
- If you have partial information, or not sure of the exact name etc., **you may use a wildcard search by placing a "*" following the partial data entered** (example - not sure if Alan or Allen, enter "A*") to search
- Click [here](#) to search for a Facility instead of a person.
- If you would like to submit a complaint against an existing licensee, click [here](#) to search for a licensee and submit a complaint.
- To submit a complaint against a non-licensee, click [here](#)

Search Criteria

Profession: All ▼

License Type: All ▼

Attribute Type: All ▼

License Number:

License Status: All ▼

Doing Business As:

First/Mid Name:

Last Name:

SSN:

City:

State: All ▼

County:

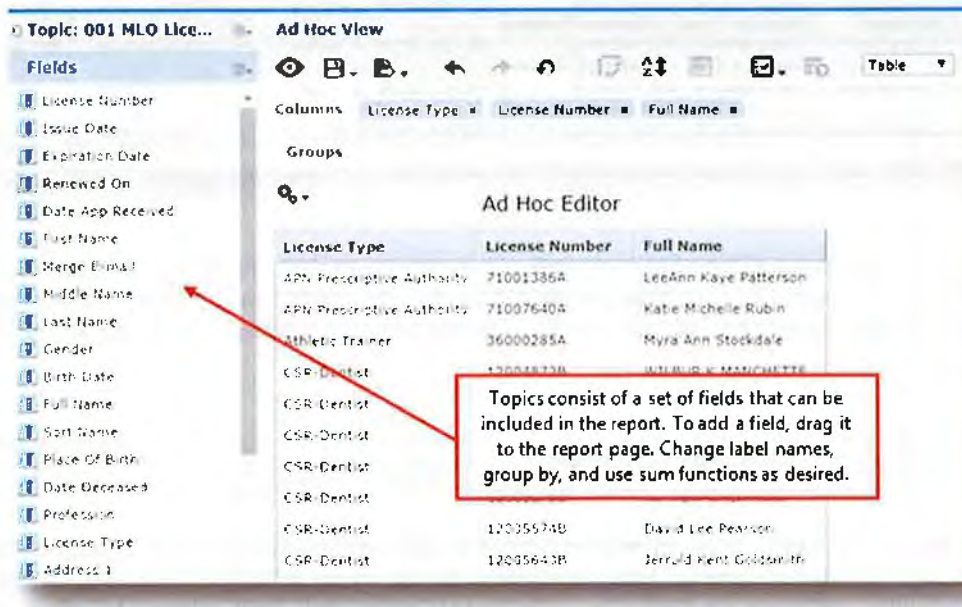
Zipcode:

Proposal for Nebraska Department of Banking and Finance

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MyLicense Reporting allows NDBF to easily access its data:

MyLicense's export and ad hoc reporting/searching functionality provides the capability to **export data**. MyLicense Reporting provides the capability to **query by one or many fields**. If a user is querying the database for all licensees with a mortgage broker license and issued between 01/01/2016 and 12/31/2017, such a query can be conducted using our ad hoc reporting tool.



These features allow NDBF to provide the best experience for back-office and public users. MyLicense offers flexibility throughout to meet changing business needs.

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

The MyLicense Platform's workflow engine facilitates each step of the license approval process, ensuring that the right users complete the right tasks at the right time. Automated approval processes can review records ready for approval, flag records requiring additional review, and send notices and license documents. Mass mailing features allow NDBF to quickly send out letters to licensees on an ad-hoc basis

MyLicense Office fully supports the full lifecycle of a license. From receipt of application to issuance to maintenance changes (e.g., changes in name, address, etc.) to revocations to lapses of licensure to termination.

MyLicense Office users can create and assign Enforcement reminders or tasks that link them (or another user) to Enforcement records. These reminders or tasks appear in the assigned user's task list, and can be sorted, filtered, and prioritized based on criteria available to the user.

Reminders for Administrator						
<input checked="" type="radio"/> All Assigned to Me <input type="radio"/> Only Created by Me <input type="checkbox"/> Include Inactive/Completed			Due within 365 days	Filter		
Reference	Type	Description	Due Date	Status	Primary	Created By
Cas. # \$CAS-28922	Case	To be completed!	04/05/2019	Active	Administrator	Administrator
Cas. # \$CAS-28252	Case	Cas. # \$CAS-28252	02/05/2019	Active	Administrator	Administrator
Respondent: Mark Clamsters	Compliance Schedule	Complaint # : CCC-00019, Sanction Type : Licensure Status	12/05/2019	Active	Administrator	Administrator
Respondent: Mark Clamsters	Compliance Schedule	Complaint # : CCC-00019, Sanction Type : Licensure Status	10/05/2019	Active	Administrator	Administrator
Respondent: Mark Clamsters	Compliance Schedule	Complaint # : CCC-00019, Sanction Type : Licensure Status	08/05/2019	Active	Administrator	Administrator
Respondent:	Compliance	Complaint # : \$CMP-29157,	06/15/2019	Active	Administrator	Administrator

Open Record Edit Delete

The user interface in MyLicense Office Enforcement can be configured to impose an administrator-dictated workflow based on the flow of data panels and fields. The checklists in MyLicense Gadget, which define the sequence of compliance validation steps on an examination (or inspection), are also configurable by an administrator.

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

SA understands NDBF's need to send and receive licensing data with outside providers to give their customers a seamless experience and we have completed this on many different occasions. A key feature enabling interoperability is MyLicense Office's import/export utility. This utility allows data to be imported into MyLicense Office or data to be exported from MyLicense Office to third party systems. The system's Import/Export Setup Wizard will enable NDBF to configure the export format to suit its data needs.

The following are some of the available setup options for the import/export utility:

- Export files can contain multiple occurrences of the same table in one record.
- Export files can contain data from the same table with different selection criteria for each occurrence (for example, person address and license address).
- System users can import/export fixed length or delimited files.
- System users can specify the selection criteria of the import/export.
- Export files can have formatted dates and social security numbers.

The Importer provides the ability to configure import templates that will map, translate, validate, and process data files into the system based upon a licensing business context. The UI allows a file and an import type to be selected, processed, and reports produced. An administrative user setup interface will provide for template creation, editing, and definition. The template will not only specify mapping, translation, and validation rules, but will also allow for selection and configuration of licensing business processes that can be imposed on the importation of the data. Once an import or export is configured, it can be set to run automatically on a predetermined schedule.



An example of how MyLicense's configurable bulk import/export utility makes interfacing with other systems easy.

As an illustrative example, the Georgia Board of Nursing is required to attach transcripts from Georgia educational institutions to application records for review prior to license approval. With SA's help, the Board developed an import, and established a requirement that Georgia colleges and universities send the Board a transcript data file for all graduates. Since instituting this process, lag time and data entry volume for Nursing applications has decreased, reducing the time to licensure by one-third!

The MyLicense bulk import utility is also used to integrate the Utah Department of Technology Services' MyLicense installation to automatically retrieve NMLS data on a predefined schedule.

During the configuration sprints, NDBF system administrators will configure MyLicense Office's import/export utility to meet NDBF interface needs, including to import data from FINRA CRD and IARD, ABD BlueExpress, NASAA EFD, FDIC, and NMLS. Any data desired, and at any required frequency, can be imported into MyLicense. Preconfigured import/exports can be executed on as desired, or ad hoc basis, by a user who is granted the appropriate MyLicense Office access security roles or can be configured to interface with MyLicense Office's job scheduler process to execute automatically on a frequency set by the system administrator.

Our flexible integration options support NDBF's need to exchange data with systems as well as allowing NDBF Administrators to utilize the tools needed to configure the system for requirement changes - this gives them the ability to make quick changes on their own without having to use coding.

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

MyLicense Verification is NDBF's public-facing web application that provides the ability for the public to view information about regulated entities over the Internet as well as submit a complaint about a regulated entity.

A complaint can be submitted directly from the licensee's record on our online verification site after a standard search criterion which can include: name, license or registration type, license/permit number, status, city, county, zip code and many other search variables. The complainant can click the submit complaint button on the record that will allow information to be collected before submitting the complaint.

Individual or Facility Involved in Complaint						
Full Name:	Nathan Moser					
License Number:	BDR000001					
Profession:	Securities					
License Type:	Broker Dealer Reps					
Legal Action Taken? (Y/N):						

Search Results						
Full Name:						
Contact Name:						
Address Line 1:						
Address Line 2:						
City:						
State:						
Zipcode:						
Phone:						
Fax:						
eMail:						

1. For a more detailed view of a licensee's background, click on the licensee name from the alphabetical list below. Results will open in a new window.

2. To return to the Search page, use either the **New Person Search** button or the **New Facility Search** button below. **Do not use your browser's back button.**

Full Name	License Number	Profession	License Type	License Status	City	State
Nathan Moser	BDR000001	Securities	Broker Dealer Reps	Active		

Submit Complaint

Please put an "X" in the box(es) that pertain to your complaint.

Action by Another Board Agency:

Advertising:

Quality of Care:

Unlicensed Practice:

Unprofessional Conduct:

Other:

Detailed Complaint Description

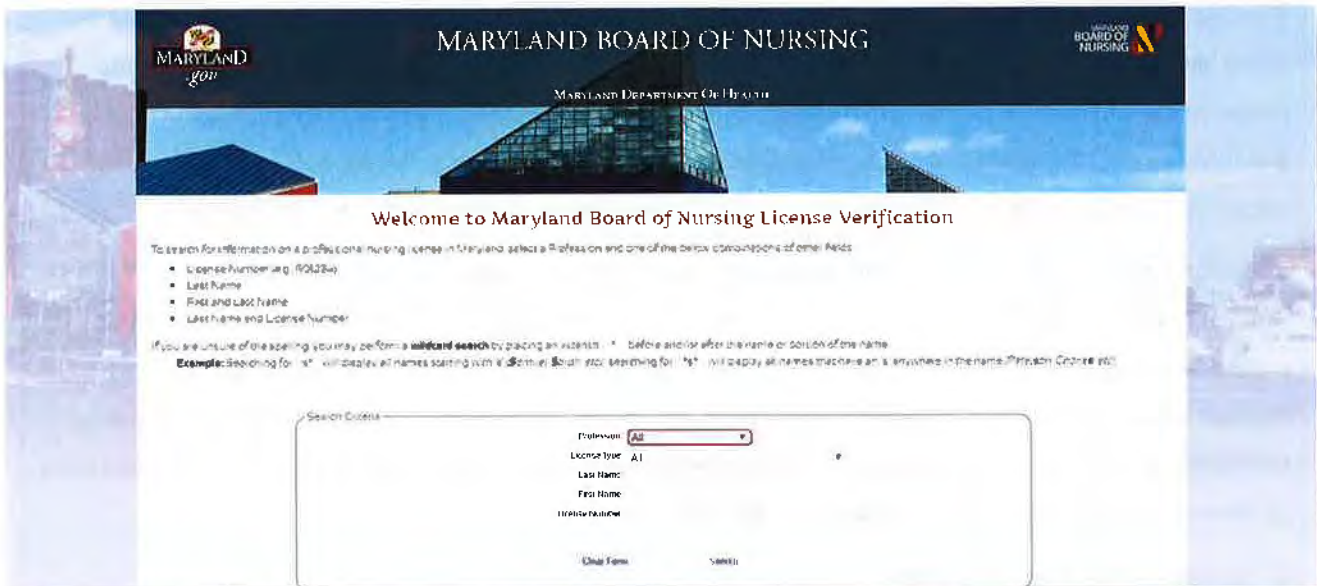
Please provide a detailed explanation of your complaint. Include names, addresses, dates, etc. regarding all parties involved.

Submit Complaint

The look and feel of each implementation can be configured by the NDBF team to meet NDBF's web site presentation standards. Because this is an integrated part of the SA solution, the data presented to the public is real time and there is no need to perform nightly batch file updates.

The determination as to what data NDBF wishes to be displayed to the public for each license type is controlled by the administrative features of the system. The team can configure the content and presentation of the web pages to be consistent with NDBF web sites.

Below is an example of the Maryland Board of Nursing's MyLicense Verification site, which is harmonized with the agency's other website presence:



In addition, documents stored in the MyLicense Document Handling module and marked as “public” can be displayed within the details of a licensee record.

Verification also allows for the public to use the MyLicense Mobile Verification app which is available for iOS and Android users in the respective app stores.

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

MyLicense eGov will provide the ability for applicants and credential holders to securely login and perform online transactions based on NDBF’s business rules. MyLicense eGov is a complete web solution that includes the following key on-line components and functionality:

- Initial Licensing/Credentialing
- Duplicate Requests
- License Lookups/Verifications
- Document Upload
- License Renewal
- Surveys
- Fee Payments
- Licensee Maintenance

MyLicense eGov provides NDBF the unique ability to define business rules, data elements, workflow, fees, instructions, and the GUI interface at statewide, agency-specific, profession-specific, and license type-specific levels. In addition, many attributes can be further defined based on the specific process a user is undertaking. MyLicense eGov provides a single web-based application to meet the unique requirements of a diverse group of regulatory agencies.

4. SCOPE OF WORK

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

a. The Contractor must work with the department to establish a change management process.

Change Management is the formal process for identifying changes that arise in the natural flow of the project and determining the disposition of the requested change or correction. The Change Control Process will span the entire project life cycle and incorporate a formal change request process, including formal department review and approval. After going through the process in Section V.E.2, all changes must go through the Change Order process in Section II-E.

b. Change Control Tracking System

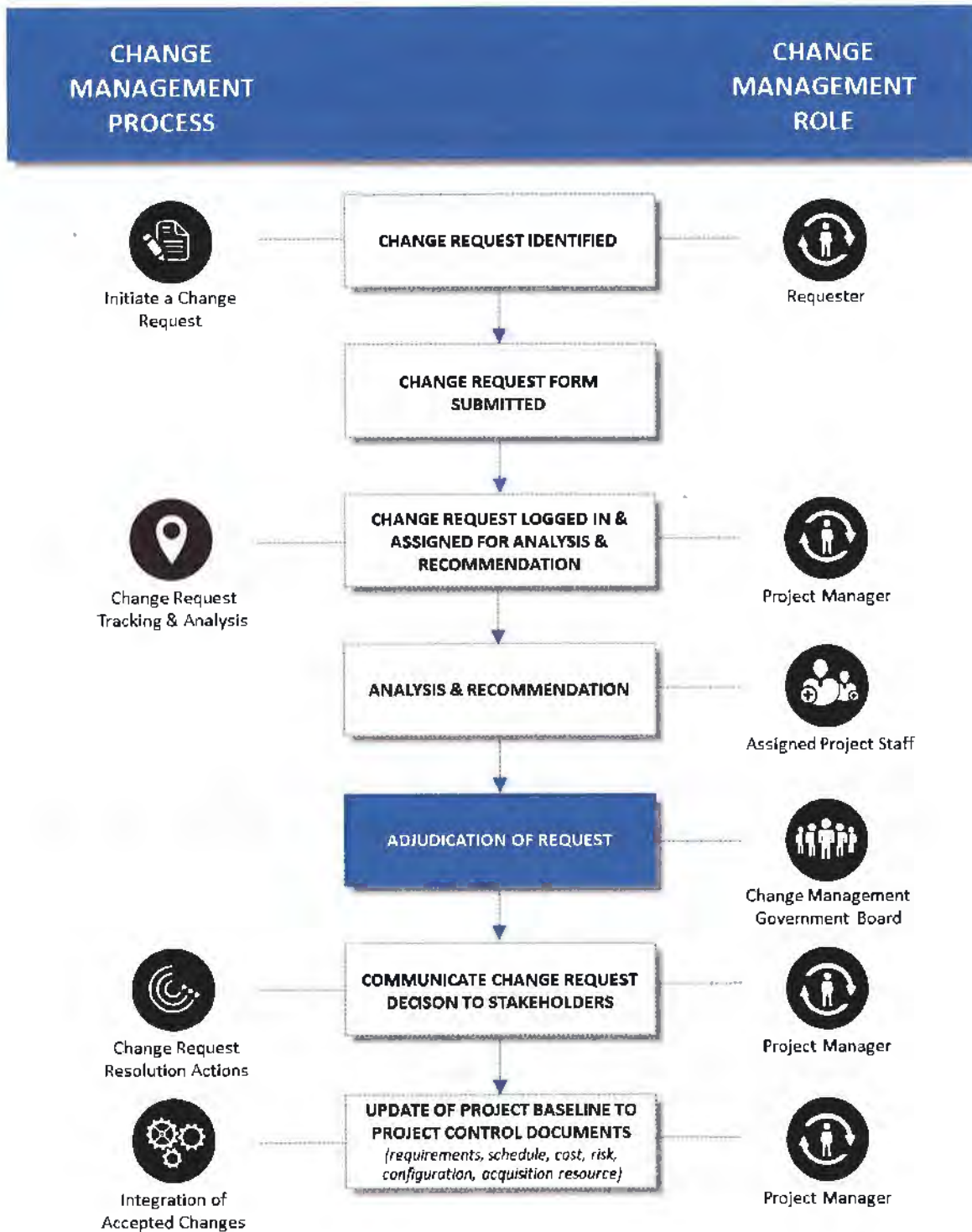
The Contractor must provide a change control tracking system that provides the following minimum requirements:

- i. The means to control and monitor change requests;
- ii. A process for reporting the status of all change requests;
- iii. The ability for the department to set and change priorities on individual change requests;
- iv. A method for the department to determine the estimated and actual hours allocated to each change request and the personnel assigned to each request; and,
- v. A method to schedule a completion date provided by the Department for each change request.

CHANGE MANAGEMENT PLAN

While MyLicense Office is robust, customers do have the ability to submit a change request. We organized and lead an ongoing Change Advisory Board (CAB), which serves as a proxy to the customer community to discuss which changes they would like to see in the Platform.

Upon receipt of a change request, regardless of whether the change is related to contractual scope or to a software change, the requested change is documented and SA's change management process is initiated. The review of a change request will result in a recommended course of action that will be submitted to the originator of the request for approval. The governance model will include Project Managers, the Executive Committee, and the Contract Administrator for both SA and the client agency. The following flow chart reflects SA's Change Management process.



For over ten years, this process has been successfully used to manage the generic as well as individual needs of over 400 agencies across 26 individual states. We involve our customers in enhancement prioritization and we always act in the best interest of the overall MyLicense user community. The SA project manager with work with the NDBF to create a change management plan that documents that following aspects:

- The means to control and monitor change requests;
- A process for reporting the status of all change requests;
- The ability for the department to set and change priorities on individual change requests;
- A method for the department to determine the estimated and actual hours allocated to each change request and the personnel assigned to each request; and,
- A method to schedule a completion date provided by the Department for each change request.

Any change requests will follow the SA change control process along with the approved change management plan.

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

COMPREHENSIVE SYSTEM DOCUMENTATION

Documentation for all Administrative and User Instruction as well as prerequisites and hardware specifics can be found on SA's documentation portal. SA's documentation portal contains a User's Guide and Technical Reference Manual. NDBF will have access to the documentation portal (including User Guides and Technical Reference manuals).

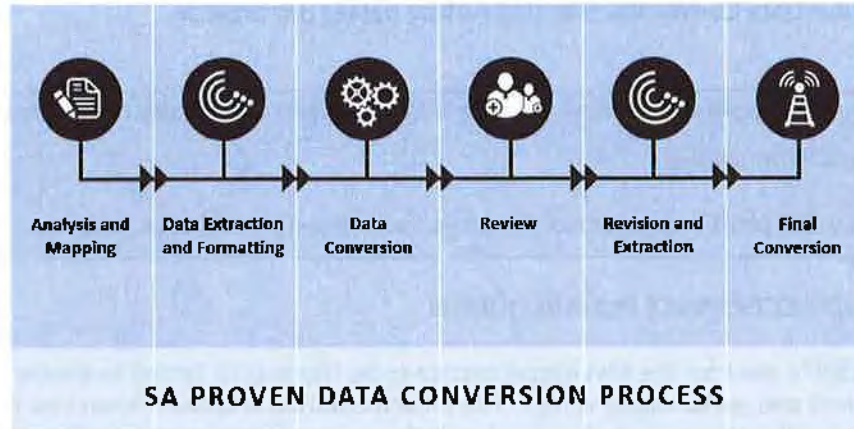
Database design and data flow diagrams, including a data dictionary will be provided to NDBF upon request.

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

MIGRATION PLANNING AND IMPLEMENTATION

Conversion projects will be done using import formats and stored procedures provided by SA. The purpose of the import formats is to provide a target for project completion and to prevent users from having to develop an in-depth knowledge of MyLicense Office to complete the conversion. It is the responsibility of the data conversion specialist to understand and manipulate the data to properly move it to the import formats. It is SA's responsibility to ensure that the data is properly converted to MyLicense Office from the import formats.

Below is an overview of those steps:



1. Analysis – This step involves completing a thorough analysis of the source data to develop an understanding of the relationships between files/tables, the general flow of data in the Legacy system, and the meanings of individual tables and fields. A data dictionary containing definitions of each source table and field is necessary for this step. Additionally, all of the various import formats that will be needed must be identified (see Import Formats below) and all of the source data must be moved to staging tables in the MyLicense Office database. This way both the source and the target are now in the same RDBMS and the source data can easily be queried and Manipulated.

2. Mapping – This step involves mapping all the source tables/fields to the appropriate location in the import formats. It will be necessary to map all of the coded values from the source to the appropriate setup coded values in MyLicense Office and to map all coded values that exist in MyLicense Office back to a correspondence in the Legacy System. Once this is accomplished, the conversion specialist should begin to develop an understanding of MyLicense Office. A spreadsheet will be provided that will contain the mappings from the source to the target, mappings of all coded values, and a section to track all conversion related issues/questions. A list of each coded value relevant to each individual import format will also be provided for reference (see Coded Values for Various Imports below).

3. Conversion – This step involves writing code to convert the source data to the tables representing the import formats. Stored procedures, functions, or some logical method will need to be designed to move the Legacy data to the pre-determined import formats. The import formats will be stored as a table on the MyLicense Office database. All of the steps previously completed involving analysis and mapping should make the transition to this step much easier by eliminating guesswork.

4. Execution – This step involves executing the pre-defined stored procedures (provided by SA) to move the data from the import format tables to the appropriate MyLicense Office application tables. The stored procedures will track the number of records that pass and fail. All failed records will be written to pre-defined error tables.

5. Review – This step involves reviewing all of the converted data as it exists in MyLicense Office, as well as testing certain functionality in MyLicense Office using the converted data. This review may facilitate some changes to the conversion procedures.

6. Revision – This step may involve revising some of the conversion procedures created in Step #3; correcting any records that may have failed in Step #4; and implementing changes discovered in Step #5. Upon completing this step, it may be necessary to return to Step #3 to redo a portion of the conversion, or possibly to redo the entire conversion again. If this is done, it will also be necessary to redo the execution, review, and revision steps again until you are comfortable with the process and the project as a whole.

We have attached our Data Conversion Plan that further details this process.

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

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

USER TESTING AND ACCEPTANCE PLAN REQUIRED

SA understands NDBF's need for the MyLicense system to be thoroughly tested to ensure the functionality is correct and performance is high. The Implementation is broken down into two-week 'sprints'. Each 'sprint' will be comprised of defined tasks for each party to complete. Throughout these sprints, SA, in tandem with NDBF, will work through the assigned tasks of system configuration and testing.

After completion of the 'sprints', the project will transition into User Acceptance Testing (UAT) where NDBF staff will have the opportunity to do full regression testing for three weeks. SA will work with NDBF to perform controlled acceptance testing. All items that will be tested will be included in an acceptance test plan. A sample Detailed Test Plan for UAT has been attached to this proposal. This test plan will include specific test cases to cover edits, constraints, and licensing restrictions for the license types configured in the system. All defects discovered will be documented and addressed throughout that process.

This approach allows discovered defects to be addressed and resolved quickly, as well as the benefit of sharing the responsibilities to get through the implementation quickly and move on to Go Live.

TESTING PHASES



CONFIGURATION SPRINTS

Each configuration Sprint consists of the phases shown in the diagram.

The left is a description illustrates how testing is incorporated into each phase of the Configuration Sprint.

SPRINT PLANNING

During **Sprint Planning**, assignment of responsibility for configuration is determined and agreed upon by each assignee. Each SA Implementation Specialist and NDBF Administrator retains responsibility for performing basic testing of their assigned configuration to ensure that their configuration adheres to recorded business requirements.

Testing assignments are also made during Sprint Planning. Though each implementer is responsible for testing their own configuration, a reviewer is assigned for the **Testing** phase of the Sprint. This reviewer will perform testing of the configured item (such as a license type, examination template, eGov process, or Verification page) to validate that the

configuration is correct. Testing assignments are made based upon such considerations as implementer capacity and familiarity with the business requirements for the configured item.

CONFIGURATION

While performing configuration, it is best practice for an implementer to perform "unit testing" to ensure that assumptions made about the outcome of configuration (e.g., the calculated expiration date for the configured expiration policy) are correct. This entails performing small tests along the way, with the objective of minimizing configuration flaws found in end-to-end testing. Each implementer is responsible for testing their configuration to validate that the configuration meets the gathered business requirements.

After configuration of an item is completed, it will be subjected to a final test by the implementer, to ensure that the item functions as intended from end-to-end. The User Acceptance Testing Plan can be used as a guide for the implementer, allowing for step-by-step review of configuration once complete.

If any technical issues are identified by the implementer that cannot be resolved by that implementer, they should be noted in the **Configuration Issues Log** (example located in the appendix), so that they can be addressed and resolved by the team. Should the issues stem from inaccurate business requirements, the business requirements questionnaires created during Business Requirements Gathering will be modified, and concomitant changes will be made to the configuration.

TESTING

The last two days of each Configuration Sprint prior to the **Feedback Session** should be devoted to testing. Each tester will execute their assignment, testing configuration performed by a different implementation specialist to identify issues and provide feedback. Identified issues will be noted in the Configuration Issues Log. It is the responsibility of the implementation specialist who originally performed the configuration to resolve any identified issues. Should the implementation specialist have difficulty resolving the issue alone, or if the underlying requirements are unclear, the implementation specialist can open the issue up to the team for resolution, or ask another team member for assistance.

During Testing, the tester can use the Detailed Test Plan as a guide. The team should bear in mind that not all items in the test plan may apply to the configured license type. Some items may only apply later, once configuration that is scheduled later in the implementation (such as eGov and Verification) has been performed.

FEEDBACK SESSION

The Feedback Session is a review of the work performed in the previous Sprint. The team assesses whether the objectives in the Sprint Plan were met, and proposes adaptations to overcome various challenges encountered in the Sprint. The feedback obtained from the team informs the Sprint Plan for the following configuration Sprint.



**THE IMPORTANCE OF
A STRONG TEST
PLAN...**

SA has developed a standard test plan and test process over the course of many implementations. The test plan developed is specific to the MyLicense product and allows for a "develop once, use many times" approach. In addition, this saves NDBF countless hours of work in customizing the test plan to fit NDBF-specific needs.

During the Feedback Session, the team will review the Configuration Issues Log, and discuss any items that are **Open** or **In Progress**. Some items may be resolvable within the next Sprint through configuration; these should be assigned to an implementer to review and resolve.

MANAGING THE CONFIGURATION ISSUES LOG

As configuration progresses, items will be added to the Configuration Issues Log. The Log is a spreadsheet consisting of the following fields:

Field	Description
ID	Unique identifier for the issue
Submitted By	Submitter of the issue
Submitted Date	Date the issue was submitted
Type	Type of issue: <ul style="list-style-type: none"> • Bug • Business Requirement • Configuration Issue • Desired Feature
Short Issue Description	A brief description of the issue, for quick reference
Issue Description	Detailed description of the identified issue
Impact	Impact of the issue on the end user or business process
Comments	Recorded discussion about the issue; notes
Status	Current issue status: <ul style="list-style-type: none"> • Open • In Progress • Awaiting Information • Resolved • Reviewing • Closed
Assignee	SA or NDBF resource assigned to the issue
Resolved Date	Date the issue was resolved
Resolution Description	Detailed description of the resolution steps
Attachment Name	The file name of a related attachment

The log serves as a register of issues found during ongoing testing of the configuration. Tracking all identified issues through the log allows transparency regarding these issues for both the SA and NDBF teams, and enables accountability for issue resolution.

ROLES AND RESPONSIBILITIES

The following table displays the responsibilities of each party involved in Functional Testing:

NDBF Administrators	SA Implementation Specialist	SA Project Manager
Perform Testing according to Detailed Test Plan	Provide guidance and assistance to NDBF in executing Detailed Test Plan	Provide Detailed Test Plan
Record identified issues in Functional Testing and UAT Issues Log	Monitor Functional Testing and UAT Issues Log	Assist team in scheduling and prioritizing testing

NDBF Administrators	SA Implementation Specialist	SA Project Manager
Resolve identified issues with configuration performed by NDBF	Advise NDBF on questions that arise during functional testing	Work with NDBF Administrators to prioritize items for resolution
Retest resolved issues	Resolve issues with configuration performed by SA	Manage team to ensure issues get resolved

TESTING PROCEDURES

As stated in the Overview, NDBF administrators will execute the User Acceptance Testing Plan against the configured system. The Detailed Test Plan is a Testing Checklist that walks through functional components of each MyLicense module.

As issues are identified, they are logged and prioritized in the Functional and User Acceptance Testing Issues Log. As testing is completed, identified issues are resolved and retested in order of priority. After testing is complete, there will be a period for resolution of remaining open issues. Responsibility for resolving the identified issues lies with the resource who performed the underlying configuration. If that resource cannot resolve the underlying issue, that resource can appeal to the rest of the team for assistance. After the issue resolution period, additional time is devoted to retesting identified issues. Issues are retested by the resource who identified the issue and closed if the resolution is valid.

If any issues remain unresolved at the end of the retesting period, SA and NDBF will discuss a reasonable timeframe for each issue's resolution based on its priority. Prior to UAT, the team will disclose these issues to the NDBF end users and communicate their potential impact on the UAT process.

The purpose of User Acceptance Testing is to allow trained NDBF end users to perform a full-cycle test of the configured MyLicense Products. This testing should be performed using real-world scenarios. Therefore, NDBF end users should bring real-life examples of business processes (e.g., application forms, payments, examinations, and investigations) to UAT, and will use them to execute the Detailed Test Plan against the configured system.

This will allow NDBF to fully determine if its business processes are implemented in MyLicense, so that it can identify and resolve functional issues and deviations from those processes prior to Go-Live.

Describe training location options (on site or at Contractor site) as well as access to web training.

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

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

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

System Administrator training occurs during the implementation phase, which is thoroughly planned by SA and NDBF project management members, so that NDBF system administrators are constantly in the product configuring and testing the product to validate their configuration. This ensures the training is continually being reinforced throughout the project.

SA will work with NDBF to perform controlled acceptance testing. All items that will be tested will be included in an acceptance test plan. The test plan will include specific test cases to cover edits, constraints, and licensing restrictions for the license types configured in the system. A sample Detailed Test Plan is attached to this proposal.

All training will be onsite in classroom style training with each attendee using a workstation with internet access to allow access to the test MyLicense environment. The training sessions will also require a projector and whiteboard to facilitate the instruction. Training sessions can be recorded for use by NDBF users for reinforcement and training purposes.

SA will provide training in support of NDBF for the following users and areas:

- MyLicense Office System Administration Training
- MyLicense eGov and Verification System Administration Training
- End-user Training

Standard product documentation will also be available for both end users and system administrators as a reference during implementation and after throughout the life of the product.

System Administration Training – Making certain that NDBF system administrators can support the implementation and ongoing system administration is critical. System administrators will be the go-to individuals supporting NDBF end users and interfacing with SA Customer Service for ongoing support.

NDBF system administrators will receive training early in the project, which will be reinforced through joint configuration of the system with SA Implementation Specialists. The SA Project Manager and NDBF Project Manager will determine the best approach to ensure all NDBF users receive the necessary training before the system is put into production.

Initial MyLicense Office system administrator training will consist of five on-site days, and MyLicense eGov and Verification system administrator training will consist of three on-site days. This training will occur after the software installation and immediately before the related configuration. This just-in-time training approach allows users to have the training they need fresh in their mind and helps to reinforce the topics of training with configuration of the system.

The following are some sample tasks performed by MyLicense system administrators:

- Configure license types and business rules
- Generate renewals
- Configure printing/e-mail templates
- Configure/execute batch processes
- Provide Tier-1 agency user support
- Configure users/roles
- Configure user screens and workflow
- Change fees

In addition, system administrators will be trained on all aspects of system support and operational aspects necessary to support this NDBF mission critical system. A sample system administrator training plan agenda is attached to this proposal.

End-User Training – Providing end-user training that covers each user’s respective tasks is paramount to the success of the project. The SA Project Manager and NDBF Manager will determine the best approach to ensure all NDBF users receive the necessary training before the system is put into production.

End user training will take place prior to go live so that end users will have training fresh in their mind to begin use of the system. This training will consist of four on-site days. Attendees will be provided with training materials to include training exercises to make certain the necessary information has been properly conveyed.

Our just-in-time training approach and breadth of training allows end users to be capable of using the system for normal operations and allows system administrators to be self-sufficient and capable of supporting both the system and end users.

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

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

Through our proven data conversion process, NDBF Administrators will gain an understanding of the MyLicense data model and tables and will also have access to the MyLicense data dictionary. Users will be able to use the ad hoc report writer to execute ad hoc queries in MyLicense Office and will have direct access to their database for SQL-based queries as needed.

System administrator training is detailed above, and this training will include instruction on how to customize MyLicense to best support the needs of NDBF. These training topics will include instruction on how to add or remove features, functionality and make custom alterations. These changes can made utilizing both out-of-the-box features as well as create custom fields without additional programming fees.

In the following screenshot, the panels “Demographic Traits” and “Licenses in Other States” were created as custom fields.



Documentation for all Administrative and User Instruction can be found on SA's documentation portal. NDBF will have access to the documentation portal, which contains an End User Guide, System Administrator Guide, and a Technical Reference Manual, among other useful documentation.

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

TECHNICAL SUPPORT IN RESPONSE TO USER ACCEPTANCE EXPERIENCE

Prior to UAT, NDBF Administrators and SA will agree upon a timeframe within which any remaining issues from functional testing will be resolved. If any, this list will be presented to end users, to avoid duplication on the Detailed Test Plans. SA will prepare the agenda for UAT, and NDBF will set up the testing facility, ensuring that users have the resources to perform all portions of testing.

Testing will be executed according to the UAT agenda and the Detailed Test Plan. Users will work through the license types and processes in accordance with their functional role on the agenda, completing the test plans in the order specified.

A solid plan with clear roles is critical to a successful User Acceptance Test and ultimately for NDBF to reach the finish line of Go-Live!

As testing ensues, a UAT Issue Log is generated and reviewed by both the NDBF administrators and the SA Implementation Specialist, ensuring that appropriate priorities are assigned to each issue and that all

issues are clearly understood. As able during testing, SA and NDBF resources will work to resolve identified issues in order of priority.

As the conclusion of UAT nears, NDBF and SA will review the issues list, and determine a **Target Resolution Date** for each issue. Those issues whose resolution dates fall within the UAT period preceding retesting will then be resolved by NDBF and SA. Any unresolved items will be conveyed to the NDBF end users, and the NDBF end users will retest identified items that have been resolved, and mark validated items as **Closed**. Resolution of all issues identified within UAT will be completed by 3/14/2020 as stated in the project plan.

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

PROJECT HANDOFF

Once the UAT issues have been resolved and completed by 3/14/2020, the solution will be implemented and active in the production environment no later than 4/3/2020. After Go-Live, the Operational Support period begins, where SA works to resolve issues, if any remain. Should any Go-Live Issues remain at the end of the Operational Support period, the project team will work with the Customer Support team to resolve these issues after the formal transition to Customer Support.

The attached project plan details the schedule for each deliverable to meet this targeted go-live date. We understand NDBF's desire to meet their targeted go-live date and our proven implementation approach will ensure we work with NDBF to meet this date.

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

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

CONTINUING SUPPORT AND UPDATES

SA understands NDBF's need for stellar customer service and is available for ongoing Support will be available from SA between 7AM and 6PM CT Monday through Friday.

The following table provides standard support hours and describes the channels (phone, email, web, etc.) that can be used to engage Customer Support.

	Extended Business Hours	Non-Business Hours	
Hours	7:00AM - 6:00PM (CST)	6:00PM - 7:00AM (CST)	24 hours
Days	Monday - Friday	Monday - Friday	Saturday - Sunday
Email	helpdesk@systemautomation.com		
Phone	(301) 837-8000 x258 OR (800) 839-4729 x258		
Critical (C1) Issues	1 hour	4 hours	
Non-critical Issues	1 hour	4 hours	

SA will use the following process for managing incoming support issues and managing the escalation of highly technical issues received by NDBF:

Step 1 - Each state agency has a maximum of two dedicated internal representatives that are authorized to contact SA. These NDBF representatives can contact the CST via phone, email, or the web.

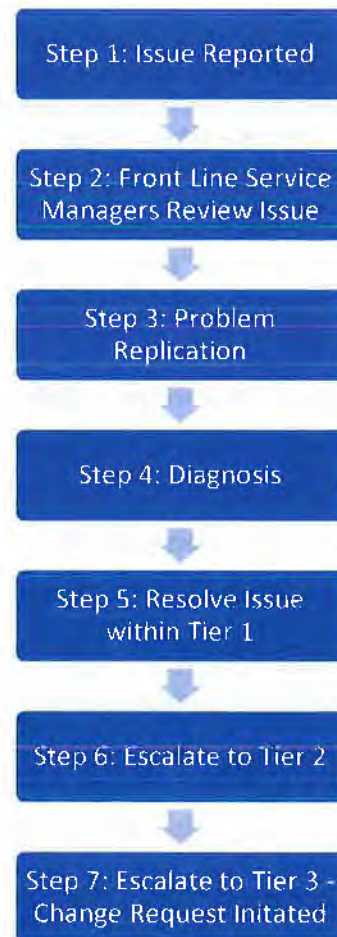
Step 2 - If the incident submitted is a C-1 (critical incident) and is received between the hours of 7 AM – 6 PM, the CST will acknowledge the receipt of the issue within 1 hour and seek to resolve the issue as fast as possible. Lower criticality issues will be acknowledged within 3 hours if submitted during the same timeframe and by the next business day when received outside of normal business hours. The acknowledgement will be either via email or phone.

Step 3 - The CST will attempt to replicate the problem using the client’s data and product version. Should replication of the incident prove difficult the CST will work with NDBF to reproduce and resolve the issue.

Step 4 - The CST will identify if the problem exists within the application, the database, or the network. If the CST determines the problem can be corrected via training, setup, or other non-code related solutions, the CST will work with NDBF to apply the solution.

Step 5 - If the CST cannot determine the source of the problem, or if the problem requires significant time to debug, or if the problem is determined to be code or database related, the issue will be escalated to our Tier 3 support team including implementation specialists and database administrators for further analysis. The CST will still maintain the communication with NDBF and keep the affected parties updated on an hourly basis.

Step 6 - For critical issues that cannot be solved through explanation or training, SA will escalate the incident to our Tier 2 level (product specialists), the acknowledged technical experts on the SA product line. Product Specialists will work with the CST and NDBF to identify the source of the problem and to suggest possible resolutions.



Step 7 - Should the problem require a coding change, the CDT will develop the requirements and work with the CST to assure the prompt resolution of the issue. If the problem were deemed to be a major issue, an emergency patch release would occur that would fix the problem. Otherwise, the defect would be fixed in the next standard quarterly release.

Our relationship with clients begins at the project kickoff meeting and continues throughout our maintenance and support contract period. In delivering this customer service, our emphasis is on extending the close partnership that was developed during the initial implementation. SA's mission is to align our systems and service to the public service missions of the agencies we work with. We believe that we too have a role in protecting the general public.

As part of the implementation, SA provides training and documentation for the deployment of minor and major releases for up to 5 Department staff on all aspects of MyLicense. The SA team will provide in-depth system administrator, end user, and maintenance training, which will include webinar training sessions. A time-and-materials rate plan for the life of the contract for any future enhancements or changes within scope that cannot be performed through the configuration of the system are included in the cost proposal.

Upon software release, the release event consists of several related subtasks:

- **Customer notification:** Clients are notified that a new version is available for download/testing.
- **Publish build to clients' FTP sites:** The software is placed upon the clients' SA FTP site to be downloaded for testing.
- **Documentation:** SA publishes release notes to the SA Documentation site. The release notes will contain a lists of software changes. SA also publishes Functional Enhancement (FE) documents for more significant changes.

Updates of such things will be provided to the Department via secure file transfer solutions (Secure File Transfer Protocol, State-provided VPN access or State-provided ShareFile cloud sharing).

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

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

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

PROJECT PLANNING AND MANAGEMENT

As we have presented in the key personnel section, our Project Manager, Liz Wabik, PMP, has been assigned to be the point of contact for SA. She will work hand-in-hand with the department's assigned Project Manager from NDBF. She is the Implementation Manager and is the primary point of contact throughout the project.

SA's approach is derived from best-of-breed project management methodologies based on Project Management Institute (PMI) principles combined with our extensive experience in implementing similar licensing systems utilizing a collaborative approach to COTS deployment.

Tasks and Methodology. A key prerequisite for successful project execution is making sure that both NDBF and SA have a mutual understanding of what the Agency's functional requirements are and how MyLicense will meet those requirements. To facilitate complying with the requirements of the RFP, SA will lead and manage the project following a waterfall lifecycle consisting of multiple stages, each critical to project success. Each stage of the project includes specific tasks and deliverables. The following summarizes the stages involved in a typical implementation:

- Project Management Plan / Project Management – tasks, activities, and assignments
- Creating the SA Hosted Environments - Development, Test, and Production
- System Administrator Training – including system configuration training
- Baseline MyLicense Office Configuration
- Interfaces (imports and exports)
- Custom Document Merge Templates
- Baseline eGov and Verification Configuration – configured online services
- Planning, Management, and Execution of User Acceptance Testing
- End User Training including use and operation of MyLicense Office
- Planning, Management, and Execution of System Rollout

Please see the Implementation Approach section within the Corporate Overview section, as well as our attached project plan, for more details regarding our proposed implementation approach.

B. Proposed development approach

SA's mission is to be THE model for customer experience in the regulatory management market and we truly believe that; through our support of our state agency clients, we have a positive role to play in protecting the general public. We are dedicated to ensuring agency specific needs are met by leveraging our commercial off the shelf (COTS) MyLicense software. By leveraging our COTS product, NDBF benefits from:

- **Day One Readiness:** At the start of the project you will have access software that has been built over decades of man hours with a focus on giving you control over the application to model the complex rules that represent the needs of NDBF. The MyLicense software has been proven over hundreds of implementations which means that you get the immediate benefit of features built from years of experience to fit your needs.
- **Quicker than Custom:** The MyLicense software will allow you to deliver value to your customers through configuration immediately – which means less time spent custom developing features and specific logic to meet your needs.
- **Enormously Flexible:** The MyLicense software is built with the understanding that your business needs will continue to change over time. NDBF will have full control over business rule development and the flexibility to adjust all aspect of the application to suit needs as they come up.
- **Reduced Maintenance Overhead:** Our powerful platform gives you the tools needed to streamline processes yourself, without the need for software development teams to customize the application and continuously develop necessary modules to support your operations.

INTEGRATED DEVELOPMENT TEAM

Although we expect the MyLicense software to satisfy almost all of NDBF's specific requirements "out of the box," our development team is prepared and able to build enhancements to the software as needed. When needed, CDT essentially becomes an extension of the project team and SA follows a formal process for configuration and release management, based upon the Agile Development methodology. This methodology allows for continuous feedback and engagement with NDBF staff to ensure expectations are met and any issues are identified early in the process.

The high-level steps include:

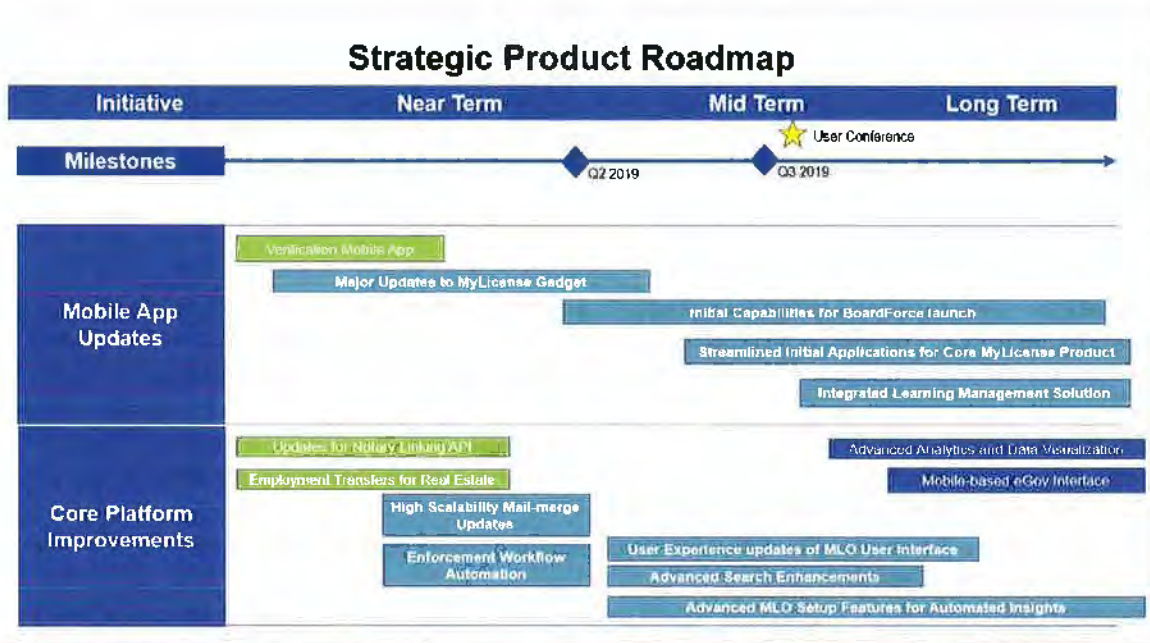
- **Definition** – Any proposed software changes begin with a presentation to the SA Product Review Committee (PRC). The PRC is a standing committee that meets on a weekly basis to discuss any requested software changes. Proposed changes are formally presented to the PRC in the form of a Software Requirement Specification (SRS).
- **Technical Design** – The SA Core Development Team begins the development process by going through a technical design. The entire development team participates in this process. The outcome of this process is a technical design.
- **Coding/Sprint** – SA divides the software development process into "Sprints" which are two week increments of development.
- **Testing/Documentation** – Following development, the software is tested and documentation is compiled.
- **Software Release** – Upon completion of the development/test cycle, the software is ready for release.
- **Installation/Configuration** – The software will be installed into the Agency environment with a baseline configuration aligned with NDBF's functional requirements as described in the RFP. The trained NDBF Administrators will then alter the baseline configuration to support NDBF 's detailed requirements.

PRODUCT ROADMAP

We are constantly evolving the MyLicense platform. As a part of the strategy for new product enhancements, SA promotes the use of a product roadmap that outlines the high-level vision of major enhancements and priorities and when they are expected to be generally available.

SA's Core Development Team (CDT) is continuously enhancing the MyLicense platform to include the highest priority enhancements as requested by our customers. Our Customer Service and Application Delivery Teams work to define enhancements requested by customers so that CDT is best able to enhance MyLicense and release those updates quickly to the system in support of customer needs. This relationship acts as an extended development team supporting the needs of each customer organization in a way that all our customers benefit from enhancements completed by each request through our quarterly updates to the applications.

The following graphic provides a high-level example of our product roadmap as it currently stands:



The timing and priority of these initiatives is determined in conjunction with SA's Customer Advisory Board (CAB).

SUMMARY

Our integrated approach leveraging the CDT for enhancement development reduces the overhead of development projects and ultimately reduces risk for NDBF, allowing your team to focus on delivering value to NDBF constituents. We have been managing this approach for many years and our customers have benefited from continuous updates to the software and the addition of enhancements that have been requested by different customers in the community.

Our development and implementation approaches bring many benefits to NDBF. A few highlights are displayed in the graphic below when considering the differences between our approach and other COTS or custom vendors:

	SYSTEM AUTOMATION	THE OTHERS
IMMEDIATE RESULTS <i>delivered with a baseline configuration and configuration support</i>	✓	✗
FULL CONTROL <i>of product configuration and administrative capabilities</i>	✓	✗
CONTINUED UPDATES TO THE APPLICATION FOR LIFE <i>receive the enhancements that all our customers receive</i>	✓	✗
DECADES OF LICENSING EXPERTISE <i>with dedicated support from our helpdesk and delivery team</i>	✓	✗
EXPENSIVE CUSTOMIZATIONS <i>taking months to realize operational functionality</i>	✗	✓
EXPENSIVE CUSTOMIZATIONS <i>that differ from core software functions</i>	✗	✓
LACK OF FLEXIBILITY <i>for change</i>	✗	✓
REDUCED FUTURE SUPPORTABILITY <i>for customized features</i>	✗	✓
HIGH INTEGRATION FEES <i>for 3rd parties</i>	✗	✓

As noted in the table above, SA's MyLicense Platform offers NDBF the speed and supportability of a proven COTS platform with the flexibility of a custom-developed solution. SA has been developing licensing systems for decades and our pricing model, implementation plan, and team makeup is designed to be what NDBF needs without reinventing the wheel.

C. Project Requirements (Completed Attachment B)

PROJECT REQUIREMENTS

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

SA has provided Attachment B of the RFP as an attachment to this proposal (Attachment 7 in our Proposal). In this attachment, we have provided responses to each requirement requested by the NDBF RFP. We understand that requirements that include "must" are expected to be available in the software and requirements that include the word "should" are not evaluated as part of the proposal scoring. We have provided complete responses for the "should" requirements, as well, and explained how the MyLicense Platform addresses that requirement or can be extended to meet those requirements.

In aggregate, SA meets all the "must" requirements and we look forward to discussing the details during our oral presentation.

D. Detailed project work plan

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

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

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

Based on the RFP, we assume the project will start on or about June 1, 2019. Our attached project plan has a start date of Monday, June 3, 2019. The project plan demonstrates the tasks for the project to go live on or about April 3, 2020. The project plan also includes a descriptive name for each resource that illustrates what that resource does and contributes to the project.

The following tables provide further details for the tasks within the project plan. The project plan includes the SA hours per task and the resources for each task. This table below expands upon the SA and NDBF responsibilities for each task.

Task 1 – Project Plan, including Change Management Plan and Comprehensive System Documentation

<p>SA Tasks / Description</p>	<p>SA will develop a detailed project work plan for this project. The Project Plan itself will include the following components and deliverables:</p> <ul style="list-style-type: none"> • Project Work Plan • Progress Reporting Methodology <p>SA's management approach ensures visibility of risks, quality, schedule, and scope. The approved Project Management Plan will serve as the baseline from which project performance is measured. It will be continuously monitored to ensure successful completion of the project, on time and within budget. Ongoing Project Management including Status Meetings:</p> <ul style="list-style-type: none"> • SA PM and Agency PM review action items on a bi-weekly basis • SA PM sends agenda to Agency that includes: • Tasks completed or accomplishments occurring since last scheduled meeting • Action Items/Issues for discussion by both teams • Rolling forecast of activities/deliverables for the next two weeks <p>SA will provide a copy of its standard Change Management Plan describing the methods and procedures that govern the change process during the life cycle of the project.</p> <p>SA will provide access to the latest version of our Comprehensive System Documentation Repository. The documentation is available online for licensed users in a SharePoint document repository</p>
<p>Agency Tasks</p>	<p>This task requires the Agency PM, and others that the Agency PM deems required, providing input in the process. It is expected that the Agency PM will be heavily involved in the work plan development stage of this project and will review and approved the SA drafted plan. Upon approval, the plan will service as a baseline plan.</p> <p>Agency PM will work with the SA PM in managing and reviewing the bi-weekly status reports and meetings.</p>
<p>Deliverables</p>	<ol style="list-style-type: none"> 1.1 Detailed Project Work Plan and SA Hosted Project Collaboration Site 1.2 Standard SA Change Management Plan 1.3 Access to the SA System Documentation Repository

Task 2 - Create Production Environment

SA Tasks / Description	<p>SA will deploy the baseline configuration to the (to be) production environment for the following MyLicense products:</p> <ul style="list-style-type: none">• MyLicense Office• MyLicense eGov• MyLicense Verification• MyLicense Document Handling <p>SA will install the MyLicense Office application in the state data center. The state must provide SA with a secure connection which will allow them to access the servers upon which the software will be installed.</p> <p>SA will provide a copy of the MyLicense Infrastructure requirements detailing the specifications and quantities for the infrastructure and servers.</p>
Agency Tasks	<p>Provide servers/databases in accordance with the SA Infrastructure Requirements.</p> <p>Provide SA with secure access to the servers including (temporary) full administrative rights to the servers</p>
Deliverables	<p>2.1 Installation of the following modules in the to-be Production environment:</p> <ul style="list-style-type: none">• MyLicense Office• MyLicense eGov• MyLicense Verification• MyLicense Document Handling

Task 3 - System Administrator Training (MyLicense Office)

SA Tasks / Description	<p>SA will provide System Administrator training for MyLicense Office. Training will be instructor lead, classroom style training and include a combination of presentation, demonstration, and configuration exercises. An on-site training day typically consists of morning and afternoon sessions (8:30 AM – 12:00 PM and 1:00 PM – 4:00 PM).</p> <p>The MyLicense Office session will occur in advance of any configuration activities.</p>
Agency Tasks	<p>This task requires that the Agency provide the classroom or conference room facilities with computers and Internet access for participants. A maximum of 5 participants should attend the training session.</p>

Task 3 – System Administrator Training (MyLicense Office)

Deliverable Details 3.1 MyLicense Office System Administrator Training

Task 4 – Business Requirements Analysis

SA and the Agency will review the existing applications (both initial and renewal) and use that as a guideline to determine how to optimally configure MyLicense. SA will provide guidance and will apply its knowledge based upon similar projects and license types. The discussions will cover tasks such as:

SA Tasks /
Description

- Licensing Requirements
- Expiration dates/policies
- Fee schedules
- Validation rules
- Additional data to be collected (as UDOs)
- Enforcement Practices

Agency Tasks

The agency will need to provide current copies of applications (initial and renewals) for all license types.

The agency will fully participate in the analysis sessions to include the appropriate staff that can provide guidance and decisions for any policy questions that arise during these sessions.

Deliverable Details

- 4.1 Configuration Sessions
- 4.2 Meeting notes outlining the configuration to be applied during the configuration sprints. The meeting notes will also record any key decisions that are made during the configuration sessions.

Task 5 – Iterative Configuration (10 Sprints)

**SA Tasks /
Description**

SA and the Agency will jointly perform configuration in iterative two-week sprints. Sprints are NDBF's opportunity to accelerate the implementation timeline by using a dedicated SA Implementation Specialist to augment NDBF Administrators in the configuration of the product. These sprints could be used for any of the configurations required for the project (e.g., license type setup, interface configuration, etc.)

During these sprints, the Implementation Specialist (a team member with dozens of MyLicense implementations completed) will accelerate the configuration timeline by quickly doing the bulk of the more challenging MyLicense configuration tasks.

The first day of the sprint will include a planning session, outlining the configuration responsibilities for SA and the Agency respectively. The tasks that the Implementation Specialist performs will be decided by the NDBF Project Manager and the SA Project Manager, collaboratively, and documented in the project plan.

During the remainder of the sprint, SA will provide NDBF administrators with remote configuration support. SA will provide one Implementation Specialist to the project to conduct a total of ten (10) two-week configurations sprints (to be used for configuration activities across all MyLicense modules).

Agency Tasks

The NDBF PM and functional area experts will be required to configure MyLicense Office, eGov, reports, templates, imports, exports and interfaces in accordance with the assignments agreed upon during the sprint planning session. Agency personnel who will be designated system administrators will work hand in hand with SA support personnel during the system setup process. Upon completion of this task, SA and NDBF will perform a joint review of the MyLicense Office configuration to confirm it is correct before proceeding to the next task.

The Agency PM and functional area experts will be required to have completed the relevant MyLicense administrative training and utilize SA implementation personnel for advice and suggestion to complete this task.

Deliverable Details

- 5.1 Configuration Sprint Planning
- 5.2 MyLicense Configuration performed by SA Implementation Specialist
- 5.3 Configuration Support for Agency staff

Task 6 – System Administrator Training (eGov & Verification)

SA Tasks / Description	<p>SA will provide System Administrator training for MyLicense eGov & Verification. Training will be instructor lead, classroom style training and include a combination of presentation, demonstration, and configuration exercises. An on-site training day typically consists of morning and afternoon sessions (8:30 AM – 12:00 PM and 1:00 PM – 4:00 PM).</p> <p>Separate sessions will be conducted for the following:</p> <ul style="list-style-type: none"> • MyLicense eGov • MyLicense Verification <p>This training will occur on a “just-in-time” format and during the configuration sprints.</p>
Agency Tasks	<p>This task requires that the Agency provide the classroom or conference room facilities with computers and Internet access for participants. A maximum of 5 participants should attend the training session.</p>
Deliverable Details	<p>6.1 MyLicense eGov System Administrator Training 6.2 MyLicense Verification System Administrator Training</p>

Task 7 – Data Conversion

SA Tasks / Description	<p>SA has defined a standard and consistent methodology that allows data to be converted from the current Agency system(s) to MyLicense. The approach to data conversion is defined in detail in the Data Conversion Process document attached to this proposal and includes the following steps:</p> <ul style="list-style-type: none"> • Mapping – Joint task with Agency and SA • Data Extraction & Formatting – Agency Task • Conversion – SA Task • Review – Joint Task with Agency and SA <p>This task includes two (2) iterations of initial data conversion for testing. SA will provide the Agency with the data file formats for Entity data to be loaded into the new system. The Agency is responsible for providing SA with data files matching the specified format.</p> <p>SA will load and convert the provided data files to the MyLicense Office database. SA will also initiate and monitor the process to replicate data from MyLicense Office to MyLicense eGov.</p>
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Task 7 - Data Conversion

Agency staff will be required to contribute to the completion of the mapping document that identifies each field in legacy system by table, column name, data type, number of total records, and number of null values.

Agency Tasks

The agency is responsible for providing copies of the production data bases (if applicable) as well as the data files containing the data to be converted to SA in the format specified by the import format templates. After the data is loaded into the system, the Agency will be responsible for reviewing the data in the MyLicense Office environment.

Deliverable Details

- 7.1 Iteration 1 Data Conversion
- 7.2 Iteration 2 Data Conversion

Task 8 – User Acceptance Testing

SA Tasks / Description

SA will work with the Agency to perform controlled acceptance testing.

All items that will be tested will be included in an acceptance test plan. The test plan will include specific test cases to cover edits, constraints, and licensing restrictions for the license types configured in the system.

SA recommends that clients bring sample records from their existing workload and screenshots of their own system to confirm all data was converted properly and that all business functions have been accounted for in the new system.

An SA Implementation Specialist will work with designated Agency testers to develop and complete the acceptance test process. The Agency is responsible for providing adequate testing facilities. The goal of this acceptance test process is to confirm that all system functions work as required, and that data has been converted successfully from the previous systems to the system. If system abnormalities are found, SA will implement a process to immediately fix the issues or determine the proper course of action. For minor issues, the appropriate course of action will be to continue with the acceptance test process and test the minor fixes as they become available. For more serious issues, the acceptance test process could potentially be placed on hold until the issues are resolved. At that time, the acceptance test process would continue or be restarted, if required.

To help facilitate meeting the scheduled milestones and the go-live date, SA and the agency will work together to categorize issues discovered during testing and UAT stages of the project. UAT issues will be catalogued and prioritized into one of the following categories:

- a) Critical (Level 1) - The identified item affects critical functionality or critical data. It does not have a workaround.
- b) High (Level 2) - The identified item affects major functionality or major data. It has a workaround but is not obvious and is difficult to perform.
- c) Minor (Level 3) - The identified item affects minor functionality or non-critical data. It has an easy workaround.
- d) Low (Level 4) - The identified item does not affect functionality or data. It does not necessitate a workaround. It does not impact productivity or efficiency.

Agency staff that participated in the Installation and Setup phase of this project should be part of the acceptance test group selected by the State to perform the system acceptance test. These individuals are required to have knowledge of the application and should not require additional training before the beginning of the testing process.

Task 8 – User Acceptance Testing

Agency Tasks	<p>The Agency PM is responsible for assembling the acceptance test group and ensuring their dedication to the task. The Agency PM will drive the process to complete testing in accordance with the project plan. The chosen individuals will be responsible for completing the book of test cases.</p>
	<p>The PM is responsible for notifying SA of any system deficiencies resulting from the testing process. SA expects the deficiencies will be reported at the time of discovery. After the receipt of system updates to correct the deficiencies, the Agency acceptance test group is required to retest the system function to confirm proper operation. If the deficiency affects a related functional area, that area should be retested as well.</p>
	<p>The Agency is also responsible for providing the testing facility and required hardware and software to support the test process. The Agency PM will be expected to sign-off on the task completion form.</p>
Deliverable Details	8.1 SA Standard User Acceptance Test Plan 8.2 User Acceptance Testing

Task 9 – Create Test Environment

SA Tasks / Description	<p>Following successful UAT, SA will create a test environment as a copy of the to-be production environment. This will consist of the following MyLicense products:</p> <ul style="list-style-type: none">• MyLicense Office• MyLicense eGov• MyLicense Verification• MyLicense Document Handling
	<p>SA will install the MyLicense Office application in the state data center. The state must provide SA with a secure connection which will allow them to access the servers upon which the software is to be installed.</p>
Agency Tasks	<p>Provide servers/databases in accordance with the SA Infrastructure Requirements.</p>
	<p>Provide SA with secure access to the servers including (temporary) full administrative rights to the servers</p>

Task 9 - Create Test Environment

Deliverables	<p>9.1 Installation of the following modules:</p> <ul style="list-style-type: none"> • MyLicense Office • MyLicense eGov • MyLicense Verification • MyLicense Document Handling
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Task 10 – End User Training

SA Tasks / Description	<p>SA will provide User Training as identified within this project. The training will consist of complete and thorough classroom style instruction. The training curriculum will be a combination of lecture, discussion, and hands-on system use. SA will provide an electronic copy of the standard training materials that the Agency may distribute to other Agency training participants and other agency staff.</p>
Agency Tasks	<p>This phase requires the Agency Project Manager to ensure that training participants are available and prepared for training as detailed in the training plan. The Agency is responsible for the training environment. Each training participant should be provided with a computer. The Agency PM will be expected to sign-off on the task completion form.</p>
Deliverable Details	<p>10.1 SA Standard User Training Plan 10.2 User Training</p>

Task 11 - System Rollout & Initial Operational Support

SA Tasks / Description	<p>At the successful completion of acceptance testing and training, the system will be prepared and deployed to production. Our project plan includes several days of onsite support during this critical period and our implementation team remains available for operational support functions for 2 weeks after system rollout.</p> <p>This task also includes the final data conversion. SA will load and convert the provided data files to the MyLicense Office database. SA will also initiate and monitor the process to replicate data from MyLicense Office to MyLicense eGov.</p> <p>After the production system has been made available to users, SA's implementation support personnel are available and provide immediate feedback regarding any potential minor disruptions in service or software issues.</p>
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Task 11 - System Rollout & Initial Operational Support

In preparation for go live, the agency is responsible for an orderly shutdown of the legacy system and to provide copies of the production database (if applicable) as well as the data to be converted to SA in the same format as in the prior iterations.

Agency Tasks

This phase involves the Agency PM, System Administrator(s), IT Support Staff, and Agency Users. Additionally, the PM and designated Agency personnel will work directly with the SA Implementation Specialist to assist agency staff with the proper use of the system. As the transition to operational status of any system is an important event, this phase will require full-time support from both the Agency PM and System Administrators of the system. The Agency PM will be expected to sign-off on the task completion form.

Deliverable Details

- 11.1 Final Data Conversion
- 11.2 Rollout of the software to Agency users
- 11.3 Initial Operational support by the Implementation Team

Task 12 – Go Live (Project Handoff)**SA Tasks /
Description**

After the production system has been made available to users, SA's implementation support personnel are available to provide immediate feedback regarding any potential minor disruptions in service or software issues.

Agency Tasks

This phase involves the Agency PM, System Administrator(s), IT Support Staff, and Agency Users. Additionally, the PM and designated Agency personnel will work directly with the SA Implementation Specialist to assist agency staff with the proper use of the system. As the transition to operational status of any system is an important event, this phase will require full-time support from both the Agency PM and System Administrators of the system.

Deliverable Details

- 12.1 Rollout of the software to Agency users

Task 13 - Continuing Support and Updates

SA Tasks / Description SA will provide ongoing support to NDBF through its Customer Support Team. Training and documentation for the deployment of minor and major releases will also be provided for up to five (5) Department staff, prior to the completion of the project. Updates will be provided to the Department via secure file transfer solutions (Secure File Transfer Protocol, State-provided VPN access or State-provided ShareFile cloud sharing).

Agency Tasks Designate a maximum of two dedicated internal representatives that are authorized to submit tickets to SA. These representatives should act as Tier 1 support representatives within the agency and can escalate incidents and/or requests to SA by contacting the SA Customer Support Team via phone, email, or the web.

Deliverable Details 13.1 Continuing Support and Access to Updates

The following section includes the project deliverables and the total hours per task that will be required to implement.

E. Deliverables and Due Dates

SA is including a draft project plan that has been prepared for this project as an attachment to the proposal. Deliverables have been identified in that plan and are also summarized in the table below.

The following table provides a summary for the specified deliverables.

Deliverable Ref Number	Task Name	Projected Delivery Date	SA Hours per Task
1	Project Plan, including Change Management Plan and Comprehensive System Documentation	6/13/19	67
2	Create Production Environment	7/5/19	68
3	Systems Administrator Training (MyLicense Office)	7/17/19	70
4	Business Requirements Analysis	7/23/19	88
5	Iterative Configuration (10 Sprints)	12/13/19	680 (68 per sprint)
6	Systems Administrator Training (eGov & Verification)	8/13/19	42
7	Data Conversion	2/18/20	134
8	User Acceptance Testing	3/12/20	116
9	Create Test Environment	3/20/20	68
10	End User Training	3/20/20	60
11	System Rollout and Initial Operational Support	4/9/20	182
12	Go Live (Project Handoff)	3/23/20	
13	Continuing Support and Updates	Continuous	Continuous

Our included project plan is based upon our understanding of the requirements in the RFP together with our experiences in performing similar projects for other agencies. The first step of the project will be to review the plan with NDBF and refine this plan based on NDBF interdependencies. The plan will then serve as the blueprint for the remainder of the project. The plan also indicates the portion of each task that will be performed on-site.

In summary, SA is proposing to offer NDBF its MyLicense Platform, coupled with a first-class project team and a proven implementation plan to usher in the next generation of financial licensing and enforcement at the agency. We are singularly focused on the business of licensing and enforcement—underscored by our decades of experience in the industry—and welcome the opportunity to demonstrate the MyLicense Platform to the agency soon.

Attachments

Form A
Bidder Contact Sheet
Request for Proposal Number 5960 Z1

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

Preparation of Response Contact Information	
Bidder Name:	System Automation Corporation
Bidder Address:	7110 Samuel Morse Drive, Suite 100 Columbia, MD 21046
Contact Person & Title:	Nick Cook, Vice President
E-mail Address:	ncook@systemautomation.com
Telephone Number (Office):	800-839-4729
Telephone Number (Cellular):	410-794-4382
Fax Number:	301-837-8001

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

Communication with the State Contact Information	
Bidder Name:	System Automation Corporation
Bidder Address:	7110 Samuel Morse Drive, Suite 100 Columbia, MD 21046
Contact Person & Title:	Charles Rubin, President
E-mail Address:	crubin@systemautomation.com
Telephone Number (Office):	800-839-4729
Telephone Number (Cellular):	301-662-3252
Fax Number:	301-837-8001

REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM

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

BIDDER MUST COMPLETE THE FOLLOWING

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

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

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

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

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

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

FIRM:	<i>System Automation Corporation</i>
COMPLETE ADDRESS:	<i>7110 Samuel Morse Dr, Columbia, MO 21046</i>
TELEPHONE NUMBER:	<i>800-839-4729</i>
FAX NUMBER:	<i>301-837-8001</i>
DATE:	<i>01/29/2019</i>
SIGNATURE:	<i>Charles</i>
TYPED NAME & TITLE OF SIGNER:	<i>Charles Debin, President</i>

II. TERMS AND CONDITIONS

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

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

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

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

A. GENERAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CD			

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

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

These documents constitute the entirety of the contract.

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

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

B. NOTIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CV			

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

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

Vendor Contract Manager	Elana Glassberg
Vendor	System Automation Corporation
Vendor Street Address	7110 Samuel Morse Dr
Vendor City, State, Zip	Columbia, MD 21046

C. GOVERNING LAW (Statutory)

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

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

D. BEGINNING OF WORK

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CV			

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

E. CHANGE ORDERS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

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

F. NOTICE OF POTENTIAL CONTRACTOR BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

G. BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

H. NON-WAIVER OF BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

I. SEVERABILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

J. INDEMNIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

1. GENERAL

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

2. INTELLECTUAL PROPERTY

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

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

3. PERSONNEL

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

4. SELF-INSURANCE

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

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

K. ATTORNEY'S FEES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

L. RETAINAGE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

M. PERFORMANCE BOND

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ep			

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

N. ASSIGNMENT, SALE, OR MERGER

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ep			

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

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

O. CONTRACTING WITH OTHER NEBRASKA POLITICAL SUB-DIVISIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ep			

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

P. FORCE MAJEURE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

Q. CONFIDENTIALITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

R. EARLY TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.
2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.
3. The State may terminate the contract immediately for the following reasons:
 - a. if directed to do so by statute;
 - b. Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;

- c. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
- d. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
- e. an involuntary proceeding has been commenced by any Party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
- f. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
- g. Contractor intentionally discloses confidential information;
- h. Contractor has or announces it will discontinue support of the deliverable; and,
- i. In the event funding is no longer available.

S. CONTRACT CLOSEOUT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

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

III. CONTRACTOR DUTIES

A. INDEPENDENT CONTRACTOR / OBLIGATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

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

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

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

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

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

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

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

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

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

B. EMPLOYEE WORK ELIGIBILITY STATUS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

1. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at <http://das.nebraska.gov/materiel/purchasing.html>
The completed United States Attestation Form should be submitted with the RFP response.
2. If the Contractor indicates on such attestation form that he or she is a qualified alien, the Contractor agrees to provide the US Citizenship and Immigration Services documentation required to verify the Contractor's lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program.
3. The Contractor understands and agrees that lawful presence in the United States is required and the Contractor may be disqualified or the contract terminated if such lawful presence cannot be verified as required by Neb. Rev. Stat. §4-108.

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

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

D. COOPERATION WITH OTHER CONTRACTORS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

E. PERMITS, REGULATIONS, LAWS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

F. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

G. INSURANCE REQUIREMENTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

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

In the event that any policy written on a claims-made basis terminates or is canceled during the term of the contract or within five (5) years of termination or expiration of the contract, the contractor shall obtain an extended discovery

or reporting period, or a new insurance policy, providing coverage required by this contract for the term of the contract and five (5) years following termination or expiration of the contract.

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

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

1. WORKERS' COMPENSATION INSURANCE

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

2. COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE

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

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

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

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

3. EVIDENCE OF COVERAGE

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

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

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

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

4. DEVIATIONS

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

H. ANTITRUST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

I. CONFLICT OF INTEREST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

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

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

J. STATE PROPERTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

K. SITE RULES AND REGULATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

L. ADVERTISING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

M. NEBRASKA TECHNOLOGY ACCESS STANDARDS (Statutory)

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

N. DISASTER RECOVERY/BACK UP PLAN

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

O. DRUG POLICY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

IV. PAYMENT

A. PROHIBITION AGAINST ADVANCE PAYMENT (Statutory)

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

B. TAXES (Statutory)

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

C. INVOICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

D. INSPECTION AND APPROVAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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

E. PAYMENT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

State will render payment to Contractor when the terms and conditions of the contract and specifications have been satisfactorily completed on the part of the Contractor as solely determined by the State. (Neb. Rev. Stat. Section 73-506(1)) Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2401 through 81-2408). The State may require the Contractor to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any services

provided by the Contractor prior to the Effective Date of the contract, and the Contractor hereby waives any claim or cause of action for any such services.

F. LATE PAYMENT (Statutory)

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

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

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

H. RIGHT TO AUDIT (First Paragraph is Statutory)

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
CR			

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

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



7110 Samuel Morse Drive
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(301) 837-8000
fax (301) 837-8001
www.systemautomation.com

September 20, 2018

System Automation Corporation
Financial Statements
as of December 31, 2017, 2016, and 2015

The undersigned solemnly declares and certifies that the enclosed financial statements are a full, true, and correct statement of the financial conditions as of the dates indicated, and that there have been no material changes adversely affecting the financial condition except as set forth herein.

Should you desire or require any clarifications, please don't hesitate to contact me.

Sincerely,
Elana Glassberg
Controller
System Automation Corporation
301-837-8000 ext. 223
eglassberg@systemautomation.com

Key Position Resume: Jim Andrews

Proposed project position: Senior Account Manager
Number of years' experience in the proposed position: 21
Number of years' experience in this field of work: 39

Degrees/Certificates

BS, Marketing, Auburn University 1975

Work History Overview

Mr. Andrews has close to 40 years of sales experience and over three decades in the state and local regulatory markets. Mr. Andrews has focused his career on building and managing strategic relationships with customers, trade groups, and key business partners.

Some of Mr. Andrews' tasks include:

- Generating qualified leads from new prospects
- Acting as a capture manager for state agency RFPs and procurements
- Analyzing prospective client needs, matching them to firm capabilities, and translating them into proposals which set clear expectations to meet client requirements and protect the company
- Participating in sales events to generate additional prospects

Employment History

System Automation 2017 - Present
Senior Account Manager

Intoprint Technologies, Roanoke, VA 2015 - 2017
Territory Sales Manager

- Responsible for marketing and revenue generation throughout the Gulf South region for print and finishing solutions, representing over 20 manufacturers

Iron Data Solutions, Inc., Arlington, VA 2011 - 2015
National Sales Manager (2012-2015)
Vice-President of Sales, ACO STAR (2001-2012)

- Responsible for marketing and revenue generation throughout the US and Canada for the STAR System, Versa, and CAVU Commercial-off-the-Shelf (COTS) product lines
- Closed over \$17 million in new Versa, CAVU, and STAR System public-sector sales through directed/sole-sourced bids
- Averaged 147% of annual quota
- Contributed to the company's organic growth, which required over 150 new permanent employees throughout North America
- Maintained Iron Data's relationship with the Board of Directors of the North American Securities Administrators Association (NASAA)

ACO Information Services, LLC, Mobile, AL
 Vice President of Sales

2003-2011

- Co-founded ACO Information Services in 2003
- Facilitated the acquisition of ACO Information Services by Iron Data in 2011
- Played a major role in obtaining governmental contracts for all STAR System products at over 35 agencies in 20 states across the US
- Maintained high-level relationships with state government decision-makers throughout the US (including Puerto Rico) and Canada
- Presented executive-level technology briefings to prospective clients and participated in on-site product demonstrations
- Designed and implemented the North American sales and marketing product launch for the STAR System
- Executed comprehensive sales and marketing plans and delivered sales results
- Invited to present STAR PSC at four National Association of Regulatory Utility Commissioners (NARUC) national meetings

ACO Employment & Information Services, LLC, Mobile, AL
 Vice President of Sales

1997-2003

- Responsible for all sales and marketing efforts

NATCOM, Orlando, FL
 Executive Account Manager

1996-1997

XEROX Corporation, Mobile, AL
 Printing Systems Marketing Executive

1995-1996

NCR Corporation, Dayton, OH
 Executive Account Manager

1979 - 1995

- Averaged 135% of annual quota; earning numerous sales awards

References

Name	Title	Agency	Mailing Address	Phone Number
Joseph Borg	Director	Alabama Securities Commission	RSA Dexter Avenue Building 445 Dexter Avenue Suite 12000 Montgomery, AL 36104	(334) 242-2984
Walter Thomas, Jr.	Secretary to the Board	Alabama Public Service Commission	100 North Union Street Suite 950 Montgomery, AL 36104	(334) 242-5218
Barry Glennon	Director	Bureau of Securities Regulation	State House, Room 204 107 North Main Street Concord, NH 03301	(603) 271-1463

Key Position Resume: Herschel Steiner

Proposed project position: Implementation Specialist
Number of years' experience in the proposed position: 5+
Number of years' experience in this field of work: 6+

Degrees / Certificates

Bachelor of Arts, Education June, 1999
Tanenbaum College, Israel

Educator's Certificate July, 1999
Israel Ministry of Education

Work History Overview

As an implementer, Mr. Steiner has led the implementation of multiple large projects, and is adept at communicating complex technical concepts in a clear and cogent fashion. Mr. Steiner has thorough knowledge of the complete project life cycle, from requirements analysis through go-live and deployment of systems. System Automation is proposing Mr. Steiner to work on NE REC because of his experience with implementing the company's full MyLicense suite of products for Kansas Real Estate Commission and for his work on the same in addition to CE tracking for Missouri Department of Professional Registration. Mr. Steiner also has experience as a project manager in his current and previous roles and has a solid understanding of the business's strategic goals. Among Mr. Steiner's specific tasks:

- Acts as a liaison between clients and project staff during training and implementation phases of the project lifecycle
- Works with the client's designated administrator to analyze business rules, licensure requirements, system functions, etc.
- Implemented licensing system based on full understanding of agency business rules and processes
- Provides system administrator and user training to licensing clients
- Possesses excellent communication skills and professional demeanor gained through extensive interaction with state agencies and boards
- Serves as a resource to developers, implementers, project managers, off-site consultants, documenters, DBAs, sales staff, and clients
- Responsible for requirements elicitation, gap analysis and writing of software requirement specification documents for new and existing clients
- Assists developers with design and implementation decisions

Detailed Experience

Implementer – Massachusetts Department of Health – October 2018 - present
Implementer – New Jersey DLPS – October 2017 - present
Implementer – Georgia Board of Accountancy – August 2017 -present
Implementer — Georgia Department of Community Health – July 2017 – present
Implementer – California Registry of Charitable Trusts – July 2017 – present
Implementer — Georgia Secretary of State - April 2017 - present
Implementer – Virginia Board of Accountancy – April 2017 – present
Implementer – California Department of Rehabilitation – August 2017 – September 2017
Implementer, Project Manager – Kansas Board of Cosmetology – May 2016 – September 2016
Implementer – Nevada Board of Medical Examiners – April 2016 – September 2016
Implementer – Missouri Department of Professional Registration – September 2013 – September 2016
Implementer, Project Manager – Kansas Real Estate Commission August 2016 – July 2017

Employment History

System Automation

Implementation Specialist

July 2013 – Present

Prepaid Xperts, Baltimore, MD

Data Analyst

October 2010- June 2013

- Conducted financial analysis, interpreted results and provided recommendations to management for financial plans, future requirements and operating forecasts to increase revenue
- Reported on activation/non-activation, trans-shipping, portal activations and dollars generated by product/model of cell phone lines sales; allocated cell phone products for sales representatives based on complicated statistical formulae
- Ensured compliance through the analysis and a fusion of multiple data sources
- Performed trending and forecasting of the different revenue generating product lines, including predicting the residual income based on churn rates and activation trends

Accountant

February 2007 – October 2010

- Performed full A/P and A/R functions, including legitimacy of bills and payouts, bank reconciliations and deposits; reconciled account totals (A/R) with wholesale company's customers; supervised functionality of A/R to ensure is payment received before providing new services; administered, verified and processed all ACH payments
- Set up and troubleshoot IT infrastructure, calculating commissions for sales representatives
- Maintained payroll records, paid payroll taxes, administered company's benefit plan including computation of appropriate withholdings
- Introduced commission incentive program, resulting in increased productivity
- Increased product activation through data analysis
- Streamlined data-reporting system resulting in reduction of outstanding data from two months to three days
- Ensured and improved dealer compliance based on industry standards

Global Link Communications, Baltimore, MD

Business Manager

January 2006 – February 2007

- Managed weekly and monthly revenue and cost reporting submitted to Global Link investors
- Provided operational oversight for the GL Conferencing Telemarketing Team
- Arranged, structured and monitored overseas office
- Set-up and managed department that generated five-figures on a monthly basis

IDT Global Israel, Israel

Business Manager

December 2004 – January 2006

- Ensured ongoing operation of the IDT Connect conference-calling product
- Managed 20 sales representatives and external vendors
- Monitored upgrades/maintenance of system
- Monitored customer feedback, evaluated needs for improvement, and implemented solutions
- Supervised usage and revenue generated by product, identifying revenue sources (current and future marketing initiatives in terms of revenue earned)

- Turned around faltering company from losing \$20K monthly to earning \$150K monthly
- Increased total revenue by 100% in four months and 300% in one year
- Selected to provide operational oversight for the IDT Connect Telemarketing team
- Served as line manager for floor supervisor, managing hiring, attendance, performance, morale, and technical functionality

Mountain View Systems Ltd., Jerusalem, Israel
Business Manager

September 2002- December 2004

- Oversaw and coordinated information flow among 35 sales agents in international offices
- Oversaw consistent growth of international telesales revenues
- Acted as decision-maker for technical and creative production of company website information
- Managed updates, web statistics and educational marketing efforts

Specialized Expertise

- MS-based servers
- SQL Server Management Studios
- TOAD
- Oracle
- SQL Developer
- Eclipse
- Jasper

References

Name	Title	Agency	Mailing Address	Phone Number
Todd Standeford	Information Technology Director	Kansas Board of Healing Arts	800 SW Jackson St, Topeka, KS 66612	785-296-0960
Cad Griffin	IT Specialist	Kansas Board of Cosmetology and Technical Professions	800 SW Jackson St, Topeka, KS 66612	785-296-7491
Wanda Jaffe	Licensing and Renewal Director	Professional Licensing Boards, Division, Secretary of State	237 Coliseum Drive, Macon, Georgia 31217	478-207-1691

Key Position Resume: Bobby White

Proposed project position: Database Administrator
Number of years' experience in the proposed position: 33
Number of years' experience in this field of work: 38

Degrees / Certificates

B.S., Computer Science 1994
University of Maryland University College

Diploma, Computer Programming and Operations 1988
Control Data Institute

Work History Overview

In his current position with SA as a Senior Database Administrator, Mr. White is responsible for the creation, maintenance, and management of structured databases on multiple platforms. He has 20+ years' experience supporting databases of licensure and regulation information. Some of Mr. White's general duties include:

- Supports database change management and control for multiple software applications.
- Extensive database experience combined with a talent for providing excellent customer service to clients with database issues
- Responsible for the design and development of relational databases
- Implements system data dictionaries and develops and maintains database files
- Monitors system usage and performance through the application of various monitoring tools
- Analyzes, recommends, and implements database enhancements, database optimization, database recovery, DASD, distributed DBMS, and configuration optimization

Detailed Experience

- DBA – Maryland Board of Pharmacy – January 2019 – Present
- DBA - California Emergency Medical Services Authority – November 2018 – Present
- DBA – Massachusetts Division of Professional Licensure – September 2018 - Present
- DBA – Idaho Board of Pharmacy – June 2018 - Present
- DBA – Georgia Combined Medical Board – July 2017 - Present
- DBA – Kansas Real Estate Commission – August 2016 - Present
- DBA - Maryland Occupational Therapy – July 2016 – Present
- DBA – Utah Department of Technical Services – July 2016 - Present
- DBA - Nevada Board of Medical Examiners– November 2014 - Present
- DBA - Georgia Department of Community Health – July 2013 - Present
- DBA - Georgia Board of Accountancy – July 2014-Present
- DBA - New Hampshire Department of Information Technology – November 2014 – Present
- DBA - New Jersey Department of Community Affairs – January 2010 – Present
- DBA - Missouri Division of Professional Registration – October 2014 – March 2017
- DBA – Washington DC Health Regulations and Licensing Administration – September 2014 – October 2015
- DBA – Colorado Department of Revenue – August 2013 – March 2014
- DBA - New Mexico Regulation and Licensing – July 2012 - August 2013

- DBA - Indiana Professional Licensing Agency – July 2012 – December 2012
- DBA – Massachusetts Department of Public Health – December 2010 – June 2012
- DBA – Maryland State Police – April 2010 - March 2011
- DBA – Rhode Island Department of Health – January 2009 - October 2010

Employment History

System Automation Corporation DBA

June 2004 - present

Senior Engineer, Product Lead

July 1999 – June 2004

Senior designer and developer for PowerBuilder-based licensing and regulation management application. Successfully designed and developed several enhancement and efficiency initiatives. Successful projects included integration of third-party tools including Microsoft Word API for mail merge and batch printing; Crystal Reports API for custom reports development and execution; and various software packages for enterprise document management. Other design projects included a successfully implemented process for electronic data imports. Concurrently, as product lead, managed development personnel resources and development processes for the application, using MS Project as an aid; managed assignment of tasks; review and approve design and development; managed and executed release schedules.

Maxim Group Senior Software Developer

January 1998 – July 1999

Participated in the design and development of a Client/ Server Licensing application system using Powerbuilder 5 and 6, Object Cycle 2.0. Technical Lead for team of software developers for multiple application modules. Functional Manager for multiple modules. Technical and managerial leadership of development team for multiple application modules. Database Administrator for Oracle, Microsoft SQL Server 7, Sybase Adaptive Server Enterprise and Sybase Adaptive Server Anywhere DBMS platforms.

Bell Atlantic (now Verizon) Information Systems Programmer / Specialist/Project Lead

May 1980 - December 1998

Client/Server software development for communications provisioning. Provided technical leadership and communications subject matter expertise to the development team on an object-oriented, client/server application for deployment on 900+ desktops in the Windows NT/Windows95 environment. Managed project release from design through deployment phases. Database application and GUI design and development using PowerBuilder, Erwin, Watcom, and Sybase SQL, Anywhere DBMS, ODBC; project planning and estimating; requirements definition and system testing. Development of product installation packages using InstallIt and InstallShield; Novell and Windows NT LAN administration.

Development Platforms

- Eclipse IDE using Java, Struts, JSP, Ibatis
- JBOSS, Oracle Application Server
- UML
- Visual Basic
- PowerBuilder
- Databases: Oracle, MS SQL Server
- MVS (Mainframe technologies) JCL, COBOL, CLIST, Dialog Manager

References

Name	Title	Agency	Mailing Address	Phone Number
Vicki Tinsley	Information Technology Manager, Web Services Division, eGov	Department of Information Technology, State of New Hampshire	64 South St Concord NH 03301	(603) 230-3408
Greg Fredenburgh	Applications System Analyst/Programmer - Specialist	Indiana Professional Licensing Agency	402 W. Washington Street, Room W072 Indianapolis, IN 46038	(317) 234-5056
Brett Stevens	IT Systems Technical Specialist	Maryland State Police, Licensing Division	1201 Reisterstown Road Pikesville, MD 21208	(410) 653-4499

Key Position Resume: Liz Wabik, PMP

Proposed project position: Project Manager
Number of years' experience in the proposed position: <1
Number of years' experience in this field of work: 5

Degrees/Certificates

Program Management Professional (PMP) , Program Management Institute	2018
BA , University of Maryland, College Park	2011
MBA candidate , University of Maryland, College Park	2014- present

Work History Overview

In her position as a project manager, Ms. Wabik is responsible for coordinating project teams, tasks and budgets. Ms. Wabik has contributed to several statewide and agency wide licensing projects, resulting in a detailed understanding of regulatory data requirements. Ms. Wabik has excellent communication skills and a professional demeanor gained through extensive interaction with state agencies and boards.

Some of Ms. Wabik's tasks and skills include:

- Plans, manages and oversees licensing projects for various state government agencies.
- Oversees the entire project to ensure the system meets the requirements and is delivered on schedule.
- Manages project scheduling, deliverables, data conversion analysis, system setup, requirements analysis, testing, training, on-site support for implementation, and ongoing support for post-implementation issues.
- Works with the client's designated administrator to analyze business rules, licensure requirements, system functions, etc.
- Acts as a liaison between clients and project staff during training and implementation phases of the project life cycle.
- Dedicated to client satisfaction, with proven expertise in ensuring compliance with project deliverables
- Has professional demeanor and excellent communication and organizational skills.

Detailed Experience

Project Manager — New Jersey Department of Community Affairs - All initial apps - January 2019 – present
Project Manager — Maryland Board of Pharmacy - MyLicense Cloud migration – December 2018 – present
Project Manager – Massachusetts Department of Fire Services - MyLicense Cloud migration – September 2018 – present
Project Manager – Massachusetts Division of Professional Licensure – MyLicense Cloud migration – September 2018 – present

Employment History

System Automation 2018 - present
Project Manager

Applied Software, Inc. 2014-2018
Senior Project Manager

- Managed the implementation of software in healthcare facilities by applying in-depth application knowledge to configure systems, optimized workflow, trained end-users, and worked with internal development team to create solutions to grow the application.
- Consistently managed over 10 projects simultaneously of varying size and value. Successfully implemented over 45 successful projects, including 25 full systems and over 20 add-on products valued at over \$2.5 million total.
- Trains new hires and participates in new candidate selection process. Works to lead team members to ramp up knowledge by providing training sessions and answering questions.
- Became subject matter expert for new product and created extensive documentation. Also led initiative to create documentation and organize knowledge base company-wide and continues to contribute new and update existing documentation at least monthly.
- Promoted from Project Manager to Senior Project Manager after 3 years. Achieved award for outstanding performance as a project manager in 2016 and outstanding contribution in 2015. Implemented the highest total value for all project managers in 2016 and 2017.

PNC Bank 2013-2014
Financial Sales Consultant

- Recommended products to customers based on financial conversations and provided account services to customers with excellent customer service.
- Promoted at six months from teller to customer service representative and at one year to financial sales consultant.

HealthStream Research 2009 – 2011
Interviewer

- Called clients to complete surveys about hospital experiences. Received commendations for high call completion rate and high call quality.

Private Tutor 2009 – 2015

- Helped students with math, Spanish and general homework help for grades 6-12.

Specialized Expertise

- Microsoft Project
- SQL
- Microsoft Visio
- JIRA
- Confluence
- Spanish language

References

Name	Address	Telephone Number
Lisa Miller	4523 Fait Ave Baltimore, MD 21224	(443) 889-8041
Chris Callaghan	513 Pickwick Village Way Silver Spring, MD 20901	(443) 617-7591
Michelle Hays	229 Bond Ave Reisterstown, MD 21136	(240) 418-0710

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
1	NDBF MyLicense Project		Mon 6/3/19	Fri 4/10/20	218 days			1,655 hrs
2	Project Planning & Startup		Mon 6/3/19	Thu 6/13/19	9 days			67 hrs
3	Develop Project Plan		Mon 6/3/19	Thu 6/13/19	9 days			67 hrs
4	Create Project Plan		Mon 6/3/19	Wed 6/5/19	2.5 days		SA Project Manager	20 hrs
5	Review Project Plan	4	Wed 6/5/19	Mon 6/10/19	3 days		NDBF Project Manager[1]	0 hrs
6	SA Internal Kickoff	5FF	Fri 6/7/19	Mon 6/10/19	0.25 days		SA Database Administrator,SA Implementation Specialist,SA Product Engineer,SA Project Manager	8 hrs
7	Project Planning Acceptance	6	Wed 6/12/19	Wed 6/12/19	0 days		NDBF Project Manager[0]	0 hrs
8	Project Kickoff Meeting	7	Thu 6/13/19	Thu 6/13/19	1 day		SA Project Manager[150%],SA Implementation Specialist[150%],NDBF End Users[1],NDBF Project Manager[1],NDBF System Administrator[1],NDBF IT[1]	8 hrs
9	Develop Change Management Plan	4SS	Mon 6/3/19	Wed 6/5/19	3 days			18 hrs
10	Create Change Management Plan		Mon 6/3/19	Tue 6/4/19	2 days		SA Project Manager	16 hrs
11	Review Change Management Plan	10	Wed 6/5/19	Wed 6/5/19	1 day		SA Project Manager,NDBF Project Manager[1],NDBF System Administrator[1]	2 hrs
12	Change Management Planning Acceptance	11	Wed 6/5/19	Wed 6/5/19	0 days		NDBF Project Manager[0]	0 hrs
13	Deliver Comprehensive System Documentation	4SS	Mon 6/3/19	Tue 6/4/19	2 days			13 hrs
14	Provide System Documentation to NDBF		Mon 6/3/19	Tue 6/4/19	2 days		SA Project Manager,NDBF Project Manager[1]	13 hrs
15	Ongoing Project Management Including Biweekly Status Meetings and Reports	7	Thu 6/13/19	Fri 4/10/20	210 days		NDBF Project Manager[1],SA Project Manager[15%],SA Implementation Specialist,NDBF System Administrator[1]	80 hrs
16	Create the NE On Premises Production Environment	2	Fri 6/14/19	Fri 7/5/19	15 days			68 hrs
17	Provision NE-hosted servers		Fri 6/14/19	Tue 6/18/19	3 days		NDBF IT[1]	0 hrs
18	Provide SA access to NE-hosted servers	17	Wed 6/19/19	Fri 6/21/19	3 days		NDBF IT[1]	0 hrs

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
19	Confirm SA connectivity	18	Mon 6/24/19	Mon 6/24/19	1 day		NDBF IT[1],SA Implementation Specialist,SA Project Manager	6 hrs
20	Create databases	19	Tue 6/25/19	Wed 6/26/19	2 days		SA Database Administrator,SA Project Manager	20 hrs
21	MyLicense Office		Tue 6/25/19	Wed 6/26/19	2 days			0 hrs
22	Restore database containing baseline configuration in hosted environment		Tue 6/25/19	Wed 6/26/19	2 days			0 hrs
23	Verification		Tue 6/25/19	Wed 6/26/19	2 days			0 hrs
24	Refresh database snapshot from MyLicense Office		Tue 6/25/19	Wed 6/26/19	2 days			0 hrs
25	eGov		Tue 6/25/19	Wed 6/26/19	2 days			0 hrs
26	Restore eGov database including Baseline Configuration		Tue 6/25/19	Wed 6/26/19	2 days			0 hrs
27	Install software into Agency environment (Prod)	20	Thu 6/27/19	Fri 7/5/19	6 days		SA Implementation Specialist,SA Project Manager	42 hrs
28	MyLicense Office		Thu 6/27/19	Fri 6/28/19	2 days			0 hrs
29	Verification	28	Mon 7/1/19	Tue 7/2/19	2 days			0 hrs
30	eGov	29	Wed 7/3/19	Fri 7/5/19	2 days			0 hrs
31	Test Component Connectivity		Thu 6/27/19	Thu 6/27/19	1 day			0 hrs
32	Production Environment Acceptance	27	Fri 7/5/19	Fri 7/5/19	0 days		NDBF Project Manager[0]	0 hrs
33	System Administrator Training 1 (MyLicense Office)	27	Mon 7/8/19	Wed 7/17/19	8 days	5		70 hrs
34	Admin Training Prep		Mon 7/8/19	Wed 7/10/19	3 days		SA Implementation Specialist,SA Project Manager	28 hrs
35	MyLicense Office Admin Training	34	Thu 7/11/19	Wed 7/17/19	5 days		SA Implementation Specialist,NDBF System Administrator[1],SA Project Manager,NDBF Project Manager[1],Trips[1],Onsite Days[3]	42 hrs

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
36	Business Requirements Analysis	33	Thu 7/18/19	Tue 7/23/19	4 days	3	NDBF System Administrator[1],NDBF Project Manager[1],SA Implementation Specialist,SA Project Manager,Trips[1],Onsite Days[3]	88 hrs
37	Conduct configuration specifications gathering meetings		Thu 7/18/19	Thu 7/18/19	1 day			0 hrs
38	Develop Configuration Conceptual Design Document		Thu 7/18/19	Thu 7/18/19	1 day			0 hrs
39	Banking/Finance 50 License types		Thu 7/18/19	Thu 7/18/19	1 day			0 hrs
40	Sprint Planning	39	Fri 7/19/19	Tue 7/23/19	3 days		SA Implementation Specialist,SA Project Manager,NDBF System Administrator[1],NDBF Project Manager[1],NDBF End Users[1]	24 hrs
41	License Types Banking/Finance 50 License types		Fri 7/19/19	Fri 7/19/19	1 day			0 hrs
42	Enforcement		Fri 7/19/19	Fri 7/19/19	1 day			0 hrs
43	Sprint Planning	42	Mon 7/22/19	Tue 7/23/19	2 days			0 hrs
44	Iterative Configuration (10 Sprints) - "Just in Time" Admin Training (eGov, Verification)	40	Wed 7/24/19	Fri 12/13/19	100 days			722 hrs
45	Sprint 1		Wed 7/24/19	Tue 8/6/19	10 days		NDBF End Users[1],NDBF System Administrator[1],SA Implementation Specialist[75%],SA Project Manager[15%]	68 hrs
46	Prioritize Tasks for Sprint		Wed 7/24/19	Wed 7/24/19	1 day			0 hrs
47	Perform Joint Configuration	46	Thu 7/25/19	Fri 7/26/19	2 days			0 hrs
48	Perform Independent Configuration	47	Mon 7/29/19	Fri 8/2/19	5 days			0 hrs
49	Feedback Session	48	Mon 8/5/19	Mon 8/5/19	1 day			0 hrs
50	Debrief and Sprint Planning	49	Tue 8/6/19	Tue 8/6/19	1 day			0 hrs

ID	Task Name	Predsr	Start	Finish	Duration	On Site Days	Resource Names	Work
51	System Administrator Training 2 (eGov & Verification)	43	Wed 8/7/19	Tue 8/13/19	5 days	3	NDBF System Administrator[1],SA Implementation Specialist[175%],Onsite Days[3],Trips[1],SA Project Manager	42 hrs
52	Training Preparation	45	Wed 8/7/19	Thu 8/8/19	2 days			0 hrs
53	MyLicense eGov and Verification Training	52	Fri 8/9/19	Tue 8/13/19	3 days			0 hrs
54	Sprint 2	50	Wed 8/7/19	Tue 8/20/19	10 days		NDBF End Users[1],NDBF System Administrator[1],SA Implementation Specialist[75%],SA Project Manager[15%]	68 hrs
55	Prioritize Tasks for Sprint		Wed 8/7/19	Wed 8/7/19	1 day			0 hrs
56	Perform Joint Configuration	55	Thu 8/8/19	Fri 8/9/19	2 days			0 hrs
57	Perform Independent Configuration	56	Mon 8/12/19	Fri 8/16/19	5 days			0 hrs
58	Feedback Session	57	Mon 8/19/19	Mon 8/19/19	1 day			0 hrs
59	Debrief and Sprint Planning	58	Tue 8/20/19	Tue 8/20/19	1 day			0 hrs
60	Sprint 3	59	Wed 8/21/19	Wed 9/4/19	10 days		NDBF End Users[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	68 hrs
61	Prioritize Tasks for Sprint		Wed 8/21/19	Wed 8/21/19	1 day			0 hrs
62	Perform Joint Configuration	61	Thu 8/22/19	Fri 8/23/19	2 days			0 hrs
63	Perform Independent Configuration	62	Mon 8/26/19	Fri 8/30/19	5 days			0 hrs
64	Feedback Session	63	Tue 9/3/19	Tue 9/3/19	1 day			0 hrs
65	Debrief and Sprint Planning	64	Wed 9/4/19	Wed 9/4/19	1 day			0 hrs
66	Sprint 4	65	Thu 9/5/19	Wed 9/18/19	10 days		NDBF End Users[1],NDBF System Administrator[8],SA Implementation Specialist,SA Project Manager	68 hrs
67	Prioritize Tasks for Sprint		Thu 9/5/19	Thu 9/5/19	1 day			0 hrs
68	Perform Joint Configuration	67	Fri 9/6/19	Mon 9/9/19	2 days			0 hrs
69	Perform Independent Configuration	68	Tue 9/10/19	Mon 9/16/19	5 days			0 hrs

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
70	Feedback Session	69	Tue 9/17/19	Tue 9/17/19	1 day			0 hrs
71	Debrief and Sprint Planning	70	Wed 9/18/19	Wed 9/18/19	1 day			0 hrs
72	Sprint 5	71	Thu 9/19/19	Wed 10/2/19	10 days		NDBF End Users[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	68 hrs
73	Prioritize Tasks for Sprint		Thu 9/19/19	Thu 9/19/19	1 day			0 hrs
74	Perform Joint Configuration	73	Fri 9/20/19	Mon 9/23/19	2 days			0 hrs
75	Perform Independent Configuration	74	Tue 9/24/19	Mon 9/30/19	5 days			0 hrs
76	Feedback Session	75	Tue 10/1/19	Tue 10/1/19	1 day			0 hrs
77	Debrief and Sprint Planning	76	Wed 10/2/19	Wed 10/2/19	1 day			0 hrs
78	Sprint 6	77	Thu 10/3/19	Wed 10/16/19	10 days		NDBF End Users[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	68 hrs
79	Prioritize Tasks for Sprint		Thu 10/3/19	Thu 10/3/19	1 day			0 hrs
80	Perform Joint Configuration	79	Fri 10/4/19	Mon 10/7/19	2 days			0 hrs
81	Perform Independent Configuration	80	Tue 10/8/19	Mon 10/14/19	5 days			0 hrs
82	Feedback Session	81	Tue 10/15/19	Tue 10/15/19	1 day			0 hrs
83	Debrief and Sprint Planning	82	Wed 10/16/19	Wed 10/16/19	1 day			0 hrs
84	Sprint 7	83	Thu 10/17/19	Wed 10/30/19	10 days		NDBF End Users[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	68 hrs
85	Prioritize Tasks for Sprint		Thu 10/17/19	Thu 10/17/19	1 day			0 hrs
86	Perform Joint Configuration	85	Fri 10/18/19	Mon 10/21/19	2 days			0 hrs
87	Perform Independent Configuration	86	Tue 10/22/19	Mon 10/28/19	5 days			0 hrs
88	Feedback Session	87	Tue 10/29/19	Tue 10/29/19	1 day			0 hrs
89	Debrief and Sprint Planning	88	Wed 10/30/19	Wed 10/30/19	1 day			0 hrs
90	Sprint 8	89	Thu 10/31/19	Wed 11/13/19	10 days		NDBF End Users[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	68 hrs
91	Prioritize Tasks for Sprint		Thu 10/31/19	Thu 10/31/19	1 day			0 hrs

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
92	Perform Joint Configuration	91	Fri 11/1/19	Mon 11/4/19	2 days			0 hrs
93	Perform Independent Configuration	92	Tue 11/5/19	Mon 11/11/19	5 days			0 hrs
94	Feedback Session	93	Tue 11/12/19	Tue 11/12/19	1 day			0 hrs
95	Debrief and Sprint Planning	94	Wed 11/13/19	Wed 11/13/19	1 day			0 hrs
96	Sprint 9	95	Thu 11/14/19	Wed 11/27/19	10 days		NDBF End Users[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	68 hrs
97	Prioritize Tasks for Sprint		Thu 11/14/19	Thu 11/14/19	1 day			0 hrs
98	Perform Joint Configuration	97	Fri 11/15/19	Mon 11/18/19	2 days			0 hrs
99	Perform Independent Configuration	98	Tue 11/19/19	Mon 11/25/19	5 days			0 hrs
100	Feedback Session	99	Tue 11/26/19	Tue 11/26/19	1 day			0 hrs
101	Debrief and Sprint Planning	100	Wed 11/27/19	Wed 11/27/19	1 day			0 hrs
102	Sprint 10	101	Mon 12/2/19	Fri 12/13/19	10 days		NDBF End Users[1],NDBF System Administrator[8],SA Implementation Specialist,SA Project Manager	68 hrs
103	Prioritize Tasks for Sprint		Mon 12/2/19	Mon 12/2/19	1 day			0 hrs
104	Perform Joint Configuration	103	Tue 12/3/19	Wed 12/4/19	2 days			0 hrs
105	Perform Independent Configuration	104	Thu 12/5/19	Wed 12/11/19	5 days			0 hrs
106	Feedback Session	105	Thu 12/12/19	Thu 12/12/19	1 day			0 hrs
107	Debrief and Sprint Planning	106	Fri 12/13/19	Fri 12/13/19	1 day			0 hrs
108	Agency Additional Independent Configuration (with Sys Admin Support)	43	Wed 7/24/19	Wed 11/6/19	75 days		NDBF System Administrator[1],NDBF Project Manager[1]	0 hrs
109	Data Conversion	102	Mon 12/16/19	Tue 2/18/20	44 days			134 hrs
110	Data Mapping		Mon 12/16/19	Mon 1/13/20	19 days			18 hrs
111	Prepare CNV tables for SA		Mon 12/16/19	Fri 12/20/19	5 days		NDBF System Administrator[40]	0 hrs
112	Map Agency data to MLO Conversion Staging (cnv) tables	111	Mon 12/23/19	Mon 1/13/20	14 days		SA Database Administrator[25%],SA Implementation Specialist[35%],NDBF System Administrator[1]	18 hrs

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
113	Deliver CNV tables to SA	111	Mon 12/23/19	Mon 12/23/19	1 day		NDBF System Administrator[1]	0 hrs
114	First Iteration	110,45,54	Mon 1/13/20	Mon 2/3/20	15 days			74 hrs
115	Deliver Backup Database Files		Mon 1/13/20	Mon 1/13/20	0 days		NDBF System Administrator[0]	0 hrs
116	Move data from Original Database tables to Conversion Tables	115	Tue 1/14/20	Thu 1/16/20	3 days		SA Database Administrator	12 hrs
117	Perform Data Conversion Process	116	Fri 1/17/20	Thu 1/23/20	5 days		SA Database Administrator,SA Implementation Specialist	40 hrs
118	Review Loaded Data and Correct Problems	117	Fri 1/24/20	Thu 1/30/20	5 days		NDBF System Administrator[1],SA Database Administrator	14 hrs
119	Update Mapping Document (if necessary)	118	Fri 1/31/20	Mon 2/3/20	2 days		SA Database Administrator	8 hrs
120	Second Iteration	114	Mon 2/3/20	Fri 2/14/20	9 days			36 hrs
121	Deliver Backup Database Files		Mon 2/3/20	Mon 2/3/20	0 days		NDBF System Administrator[0]	0 hrs
122	Move data from Original Database tables to Conversion Tables	121	Tue 2/4/20	Thu 2/6/20	3 days		SA Database Administrator	12 hrs
123	Perform Data Conversion Process	122	Fri 2/7/20	Tue 2/11/20	3 days		SA Database Administrator,SA Implementation Specialist	16 hrs
124	Review Loaded Data and Correct Problems	123	Wed 2/12/20	Thu 2/13/20	2 days		NDBF System Administrator[1],SA Database Administrator	4 hrs
125	Update Mapping Document (if necessary)	124,118	Fri 2/14/20	Fri 2/14/20	1 day		SA Database Administrator	4 hrs
126	Data Conversion and Load Acceptance	125	Fri 2/14/20	Fri 2/14/20	0 days		NDBF Project Manager[0]	0 hrs
127	Load Transactional Data into eGov Database	126	Mon 2/17/20	Tue 2/18/20	1 day		SA Database Administrator[50%],SA Implementation Specialist[25%]	6 hrs
128	User Acceptance Testing	108,109	Wed 2/19/20	Thu 3/12/20	16.95 days			116 hrs
129	Prepare the UAT Test Plan		Wed 2/19/20	Wed 2/19/20	1 day		SA Project Manager	2 hrs

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
130	Review the Test Plan		Wed 2/19/20	Thu 2/20/20	1 day		SA Project Manager[25%],NDBF Project Manager[1],NDBF System Administrator[1]	2 hrs
131	Perform Functional Test	130	Thu 2/20/20	Thu 3/12/20	15 days			112 hrs
132	Full cycle UAT		Thu 2/20/20	Thu 3/12/20	15 days	5	Trips[1],Onsite Days[5]	112 hrs
133	MyLicense Office with Document Handling	130	Thu 2/20/20	Wed 2/26/20	4 days		NDBF Project Manager[40],NDBF End Users[40],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	36 hrs
134	eGov	133	Wed 2/26/20	Thu 2/27/20	1 day		NDBF Project Manager[40],NDBF End Users[40],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	10 hrs
135	Verification	134	Thu 2/27/20	Fri 2/28/20	1 day		NDBF Project Manager[40],NDBF End Users[40],NDBF System Administrator[1],SA Project Manager,SA Implementation Specialist	10 hrs
136	Resolve Identified Items	133	Wed 2/26/20	Thu 3/5/20	6 days		SA Implementation Specialist,SA Project Manager	52 hrs
137	Retest Resolved Issues	136	Thu 3/5/20	Thu 3/12/20	5 days		NDBF Project Manager[40],NDBF End Users[40],NDBF System Administrator[1],SA Implementation Specialist	4 hrs
138	Functional UAT Acceptance	132	Thu 3/12/20	Thu 3/12/20	0 days		NDBF Project Manager[0]	0 hrs
139	Create Agency Environment (Test)	128	Thu 3/12/20	Mon 3/23/20	7 days			68 hrs
140	Backup databases from production and restore to test		Thu 3/12/20	Tue 3/17/20	3 days		SA Database Administrator	24 hrs

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
141	Install Applications: MyLicense Office, eGov, and Verification	140	Tue 3/17/20	Fri 3/20/20	3 days		SA Implementation Specialist,SA Product Engineer	28 hrs
142	Test Component Connectivity	141	Fri 3/20/20	Mon 3/23/20	1 day		SA Implementation Specialist,SA Project Manager	16 hrs
143	Test Environment Acceptance	142	Mon 3/23/20	Mon 3/23/20	0 days		NDBF Project Manager[0]	0 hrs
144	End User Training	128	Thu 3/12/20	Fri 3/20/20	6 days	4	SA Implementation Specialist,Onsite Days[4],Trips[1],NDBF End Users[1],SA Project Manager	60 hrs
145	End user training prep		Thu 3/12/20	Mon 3/16/20	2 days			0 hrs
146	End user training	145	Mon 3/16/20	Fri 3/20/20	4 days			0 hrs
147	System Rollout and Initial Operational Support	128	Thu 3/12/20	Fri 4/3/20	16 days			182 hrs
148	Data Migration for Production		Thu 3/12/20	Wed 3/18/20	4 days		SA Implementation Specialist[25%],NDBF System Administrator[1],SA Database Administrator[75%],SA Product Engineer	88 hrs
149	Provide notice to go live		Thu 3/12/20	Thu 3/12/20	0 days		NDBF Project Manager[0]	0 hrs
150	Stop processing in Legacy System	149	Thu 3/12/20	Fri 3/13/20	1 day		NDBF System Administrator[1],NDBF End Users[1]	0 hrs
151	Send Production database to SA	150	Fri 3/13/20	Fri 3/13/20	0 days		NDBF System Administrator[0]	0 hrs
152	Perform final data migration process	151	Fri 3/13/20	Wed 3/18/20	3 days		SA Database Administrator	24 hrs
153	Data Migration for Production Acceptance	152	Wed 3/18/20	Wed 3/18/20	0 days		NDBF Project Manager[0]	0 hrs
154	System Rollout	148	Wed 3/18/20	Mon 3/23/20	3 days	5	Trips[2],Onsite Days[6]	50 hrs
155	Restore final converted MLO production database		Wed 3/18/20	Mon 3/23/20	3 days		SA Database Administrator[11%]	2 hrs
156	MyLicense Office Live		Wed 3/18/20	Thu 3/19/20	1 day		NDBF End Users[1],NDBF Project Manager[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	16 hrs

ID	Task Name	Predsrs	Start	Finish	Duration	On Site Days	Resource Names	Work
157	MyLicense Verification Live	156SS	Wed 3/18/20	Thu 3/19/20	1 day		NDBF End Users[1],NDBF Project Manager[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	16 hrs
158	MyLicense eGov Live	157	Thu 3/19/20	Fri 3/20/20	1 day		NDBF End Users[1],NDBF Project Manager[1],NDBF System Administrator[1],SA Implementation Specialist,SA Project Manager	16 hrs
159	Initial Operational Support	158	Fri 3/20/20	Fri 4/3/20	10 days			44 hrs
160	Provide Initial operational support		Fri 3/20/20	Fri 4/3/20	10 days		SA Implementation Specialist,SA Project Manager	44 hrs
161	System Rollout and Support Acceptance	160	Fri 4/3/20	Fri 4/3/20	0 days		NDBF Project Manager[0]	0 hrs

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

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

Licensing (L)		
State Requirements		
Req #	Requirement Description	Bidder Response
L.1 Contact Information		
L.1.1	The system must provide a means to define and maintain configurable business rules for multiple unique license types' workflows.	<p>MyLicense provides the capability to define business rules for each license type. Examples of definable business rules include the expiration policy of a license/registration, license number format and generation, renewal policy, licensure requirements, renewal requirements, continuing education requirements, documents to be generated/sent, and much more.</p> <p>In addition to business rule definitions/configuration, MyLicense also supports licensing workflows for each license type. As applicable in the workflow, a task will be created for each step along the licensing workflow path. For each task in the workflow, MyLicense will create and assign the relevant task to the configured user(s). As tasks are completed, the workflow will proceed to the next workflow task, until the workflow reaches an endpoint.</p>
L.1.2	The system must have ability to create a workflow for creating and maintaining department contact IDs.	MyLicense will provide a unique ID to all person and facility entities entered into MyLicense. An entity must exist in the system to perform any action for the entity (e.g., name change, application creation, license issuance, send notification, link employer, etc.). The product workflow will ensure the entity record is created. In addition, workflow tasks can be created for maintaining a contact.
L.1.3	The contact identification module must have the ability to create and maintain contact information based on configurable data points and fields.	Yes, the contact fields (data points) are configurable. NDBF will have the capability to configure capture of contact information, as well as configure through user security what data/fields as user can view or edit.
L.1.4	The system must provide ability to search for contacts licenses using configurable filters on all data points and fields.	MyLicense provides the capability to search for licenses using configurable data fields. MyLicense provides a wide range of available fields to locate license records. The following are some of the searchable data to retrieve licenses for a contact: first name, last name, middle name, full name (facility records), contact unique id (person id), SSN, FEIN, date of birth, doing business as name, address, city, state, zip code, license expiration date, license issue date, license number, type of license, license status, and more.

Licensing (L)			
State Requirements			
Req #	Requirement Description	Bidder Response	
L.1.5	The system must provide for generating a temporary license number, while an application is in process.	<p>MyLicense issues a unique applicant ID that remains attached to the application request. Upon issuance of the license/registration, a license number is generated based on a configured license number format.</p> <p>License numbers can be generated before issuance; however, they are not considered "temporary". MyLicense supports various license number generation options: before issuance, at issuance, retrieve the same license number from a prerequisite license, and several other options.</p> <p>License numbers are generated based on a defined mask. Each license type can have a uniquely defined mask or you can share masks (if a business cases exists). The following are example masks for a license number: 2018-0006120, 0006120, 6120, BK0006120, or ML 6120. MyLicense supports many more formats.</p>	
L.1.6	The system must have the ability to identify contacts and licenses by other regulatory entities identification numbers in addition to SSN or FEIN.	MyLicense provides the capability to capture other regulated entity identification numbers, such as national provider ids and charter numbers. In addition, MyLicense provides the capability for custom fields to be configured. The custom fields will allow NDBF to capture other regulatory entity identification numbers known today or that may arise in the future.	
L.1.7	The system must have the ability to approve or deny an application based on business rules and workflow.	<p>MyLicense allows NDBF to configure application requirements. If the application requirements are met and all requirement business rules have been met, MyLicense can approve an application. If a requirement is not met, the application will remain in a pending state until all requirements have been met or waived by authorized users.</p> <p>MyLicense provides authorized users with an option to deny an application. When an authorized user denies an application, a denial reason is captured. In addition, MyLicense supports application denial appeals.</p>	
	Future Enhancements	Optional	Any responses to be noted under the Optional tab
L.1.a	Entity		
L.1.a1	The system must have the ability to establish and maintain unique contact information for businesses and individuals.		MyLicense provides the capability to capture contact information for businesses and individuals. For each entity (business or individual), names, aliases, addresses, phone numbers, and email addresses can be captured.

Licensing (L)		
State Requirements		
Req #	Requirement Description	Bidder Response
L.1.a2	The system must have the ability to uniquely identify a contact.	For each entity (business or individual), MyLicense provides the capability to identify each contact. For instance, you can capture physical address, license address, contact address, branch address, employer address, doing business as, unique IDs, and other data. When an entity is created, they are assigned a unique ID in MyLicense.
L.1.a3	The system must provide the ability to view the history of changes to contact and licensee data points and fields.	MyLicense tracks historical changes to contact and licensee data. For contact information, the contact history will identify the original information captured, date when changed, and the user that changed the contact information. The same is true for licensure data. MyLicense will track a history of all information provided, the date in which the information changed, and the user that changed the data.
L.1.a4	The system must have the ability to store multiple identifying numbers for each entity.	MyLicense currently has several identifying numbers that can be tracked for each entity. Such identifying numbers include: SSN, National Provider ID, Federal ID, Charter Number, Retail Merchant ID, driver's license number, applicant number, and license number. In addition, MyLicense has user definable fields. The user definable fields allow NDBF to add custom fields to capture data specific to NDBF.
L.1.a5	The system must have the ability to prevent entry of duplicate contacts and external licenses.	MyLicense will warn users of a duplicate entry of an individual by checking against the provided SSN. If desired, NDBF can disable the ability to override the warning, preventing duplicate entries of individuals entirely.
L.1.a6	The system must provide for 3rd party address standardization, compliant with NITC Standard 3-206	MyLicense provides the capability to connect to an address validation service to ensure addresses meet the USPS standards. When an address entered, MyLicense will perform a validation on the entered address against the address validation service. If the address does not meet the standards, the user is presented with the appropriate format to be used to meet the standards.

Licensing (L)

State Requirements			
Req #	Requirement Description		Bidder Response
L.1.a7	The system must have the ability to support an internationally accepted postal format for both foreign and domestic addresses.		<p>MyLicense supports capturing international address. For all addresses outside of the US or Canada, the end user will enter the foreign address in the acceptable postal format. For all addresses within the US or Canada, the defined postal format will be guided. That is, the user can enter the zip code which will extract the City and State/Province.</p> <p>Furthermore, MyLicense provides a USPS interface that will perform address validations to ensure the entered address exists and the entered format aligns with USPS guidelines.</p>
	Future enhancements	Optional	Any responses to be noted under the Optional tab
L.2 Account Data			
L.2.1	The system must have the ability to create and maintain multiple license types for every contact (business or individual) based on configurable business rules.		MyLicense supports multiple license types per entity (contact). For each entity (contact), MyLicense will list all license types associated with the entity. MyLicense does support the capability to restrict an entity from having the same multiple licenses of the same type; however, that is a configurable business rule.
L.2.2	The system must have the ability to create and maintain multiple renewals within a license type based on configurable business rules.		MyLicense has no restrictions on how many license types can be in renewal at one time. MyLicense will allow a license to be renewed based on NDBF business rules. If an entity holds multiple licenses and the business rules indicate that the license should be in renewal, MyLicense will generate a renewal. The entity can then renew all licenses in renewal.
L.2.3	The system must have the ability to create a new account based on submission processing from a public-facing portal.		MyLicense supports creation of new records submitted from the online (public-facing) website. MyLicense eGov (online, public-facing) provides the option for a new entity to create a login and submit an online request. Upon submission of the application, all entity and request records are created in MyLicense Office.
L.2.4	The system should allow for a hierarchy in the application of business rules.		<p>MyLicense allows system administrators to configure business rules for each type of license. One example of a business rule is that only Active licenses are allowed to renew. The system administrator will configure which type of license can renew, what statuses for the selected license type can renew, the requirements for that renewal combination, etc.</p> <p>In addition, the system provides options to configure some functionality at a global level, then drill down further for functionality at a specific license type level. In this scenario, if the end user went to a license record, they would see the any level and license type specific level configuration.</p>

Licensing (L)			
State Requirements			
Req #	Requirement Description		Bidder Response
L.2.5	The system must have the ability to add and update customizable flags for use with individuals and entities.		<p>Yes, MyLicense provides the capability for NDBF to add and update flags for use with individuals and entities. MyLicense provides the capability to identify a flag as a "hold" or an "alert". If a record has a flag configured as a "hold", this will prevent certain processing from occurring (e.g., license renewal). A flag configured as an "alert" will merely inform the user of the flag but not halt further processing (e.g., allow the license to be renewed).</p> <p>Authorized users can add, update, or release the flags. The flags can also be applied at different levels. For example, NDBF could apply a flag on the individual/entity which would be applicable to all licenses held by the individual/entity. Alternatively, NDBF could have a flag specific to one license held by the individual/entity.</p>
L.2.6	The system should have the ability to set flags in a batch for multiple contacts or licenses based upon data filters.		<p>Yes, MyLicense provides the capability for an authorized NDBF user to apply a flag to multiple contacts or licenses. The authorized user identifies the data elements used to filter the applicable set of contacts/licenses to be flagged, and selects the appropriate flag to apply. With the click of a button, the flag will be applied to all identified contacts/licenses. Releasing a flag in a batch is similarly available to authorized NDBF users.</p>
L.2.7	The system must provide the ability to set the status of a flag based upon business rules (e.g. a bad check flag set automatically based upon a NSF condition for a contact and all related licenses).		<p>MyLicense does provide the capability to set flags based on business rules. For example, if a NDBF user attempts to renew a license from an online request and not all business rules are met, then a flag is set indicating that requirements have not been met. Or, if Continuing Education (CE) has not been met; a "CE not met" flag is applied.</p>
L.2.8	The system must have the ability to flag contacts for enforcement and conditional license mandates.		<p>Yes, flags can be configured for enforcement and conditional license mandates. MyLicense will allow a NDBF authorized user the capability to apply a flag indicating that a record has conditions placed on their license or that the license is currently on probation due to enforcement actions.</p>
	Future Enhancements	Optional	Any responses to be noted under the Optional tab
L.2.a Multiple Address Capture and Maintenance			
L.2.a1	The system must have the ability to differentiate between mailing addresses and location addresses.		<p>Yes, MyLicense provides the capability to capture numerous addresses. NDBF will have the option to identify the address type (e.g., mailing, location, headquarters, home, etc.). The address type is definable by NDBF through configuration.</p>
L.2.a2	The system must have the ability to create and maintain multiple mailing addresses for each entity or individual.		<p>MyLicense provides the capability for NDBF to configure multiple mailing addresses to be captured for an entity/individual. All addresses captured in MyLicense can be maintained by authorized users.</p>

Licensing (L)			
State Requirements		Bidder Response	
Req #	Requirement Description		
L.2.a3	The system must have the ability to create and maintain multiple location addresses for each entity or individual.		MyLicense provides the capability for NDBF to configure multiple location addresses to be captured for an entity/individual. All addresses captured in MyLicense can be maintained by authorized users.
L.2.a4	The system must capture a history of all addresses, with an active flag to identify current records for each physical and mailing types.		MyLicense captures a history of changes made to addresses. The current (or active) addresses display on the address screens. MyLicense captures the address changes in a history window, identifying the previous address as well as who made the change.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
L.2.b	Contact Data		
L.2.b1	The system must have the ability to create and maintain multiple contacts for each license (e.g. officers, owners, phone numbers, email addresses, mailing addresses).		For each contact or entity entered into MyLicense, basic demographic information is captured. In addition, NDBF can capture additional addresses, phone numbers, owners and officers for each license.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
L.2.c	Business Relationships		
L.2.c1	The system must have the ability to create and maintain relationships between contacts or licenses (such as partnerships, parent to subsidiary affiliations, entities to owners, entities to officers, pass-through entities, financially responsible individuals, related persons for incentive applications).		Yes, MyLicense supports capturing and maintaining entity/license relationships. MyLicense can capture personnel (e.g., owners, officers, etc.) for an entity or license. In addition, MyLicense supports capturing, maintaining, and enforcing affiliations/associations with entities. For example, if an entity must have an established relationship with another entity for a license to be valid, MyLicense will capture that relationship as well as enforce that the relationship stays current. Business rules can be configured as to what should happen to a license should the relationship end (e.g., inactivate the license, send a letter).
L.2.c2	The system must have the ability to track predecessor/successor relationships (for example, when businesses are sold and merged).		Yes, MyLicense supports predecessor/successor relationships. If a business is transferred, sold or merged, MyLicense can track the relationship between the old and new business records, and maintains a history of the transaction. MyLicense also supports the business rule that the predecessor is inactivated when it "graduates" to its successor. MyLicense also allows both for a license number to be transferred with a merger, and for a new license number to be generated, as dictated by NDBF business rules.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
L.2.d	Agent Tracking		

Licensing (L)			
State Requirements			
Req #	Requirement Description		Bidder Response
L.2.d1	The system must have the ability to create and maintain third party agents acting for licensees (e.g. brokers, agents, attorneys, tax preparers, payroll services, certified service providers).		Yes, MyLicense provides the capability to track third party agents for a licensee. Third party agents will have an entity record created, and then associated to the licensee they are an agent for. Furthermore, MyLicense allows authorized agents to submit applications and renewals on behalf of the licensee using the Agent Application process.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
L.2.e	Requirements for integration with Delinquency Process		
L.2.e1	The system should have the ability to support delinquency processing by creating filing period entries for all application and renewal cycles for which a licensee is liable at registration.		Yes, MyLicense provides the capability. MyLicense has the ability to generate Periodic Filings. At application and renewal, MyLicense generates filing records for these application and renewal processes. If a licensee is delinquent on a filing, MyLicense Office can create additional filings, and send late/overdue notices to the licensee.
	Future enhancements	Optional	Any responses to be noted under the Optional tab

Department Processing (DP)			
State Requirements		Bidder Response	
Req #	Requirement Description		Bidder Response
DP 1 Standard Processing			
DP.1.1	The system must have the ability to process submissions and related forms for all Nebraska Banking and Securities Act License types.		MyLicense provides the capability to receive and process submissions for all Nebraska Banking and Securities Act License types. All forms received can be processed and associated with a license record in MyLicense.
DP.1.2	The system must have the ability to receive submissions through automated processes.		Yes, MyLicense supports the capability to receive submissions through automated processes, such as online submissions and submissions received through a imported file received from an external entity.
DP.1.3	The system must have the ability to load and post submissions for processing.		Submissions received are uploaded or entered (in case of receipt by USPS) into MyLicense. Once a submission is in MyLicense, the request is ready to be processed.
DP.1.4	The system must have the ability to compute and post/validate fees for submissions processing.		MyLicense provides a robust computation feature for fees. MyLicense can compute the fees based on data provided and algorithms configured. Upon calculation of the fees, MyLicense will post a fee to the entity's record.
DP.1.5	The system must have the ability to process submissions in batch.		MyLicense provides numerous batch processing options. A few examples available are batch printing, processing applications in batch, processing renewals in batch, and sending emails.
DP.1.6	The system must have the ability to correct or capture erroneous submissions received for processing.		All submissions received in MyLicense are captured. Any corrective actions are captured and retained along with history of previous data in the submission.
DP.1.7	The system must have the ability to adjust submissions received for processing.		MyLicense supports the capability to make adjustments to submissions received and/or entered. A user's configured security permissions will determine what (if any) adjustments a user can make.
DP.1.8	The system must have the ability to reverse submissions received for processing.		MyLicense supports reversing submissions received. An example of a submission reversal could be the applicant's withdrawal of an application. The NDBF user will have the capability to withdraw the application from further processing.
DP.1.9	The system must have the ability to transfer submissions received for processing.		MyLicense will transfer online submissions from the online application to the back-office application for processing. MyLicense supports automated transferring and manual transferring. Automated transferring provides a seamless integration for users.
DP.1.10	The system must have the ability to delete submissions received for processing.		MyLicense provides the capability to delete a submission. If a submission has any payment transactions associated, then the submission will remain with a status of deleted. This allows for accurate tracking of NDBF accounting data.

Department Processing (DP)		
State Requirements		
Req #	Requirement Description	Bidder Response
DP.1.11	The system must have the ability to reprocess submissions received for processing.	<p>MyLicense provides the capability to reprocess a submission. If an application fails to be sent from online to the back-office, then the submission can be re-sent. If the application is approved and a license is issued in error, the submission can be reversed and reprocessed.</p> <p>As another example of reprocessing, if an application is denied and the applicant appeals the denial. MyLicense provides the capability to track the denial. If NDBF reverses the denial decision, the previously denied application can be reprocessed.</p>
DP.1.12	The system must have the ability to process an amended submission received for processing.	MyLicense provides the capability to process amended submissions. Amended submissions are generally viewed as a 'new' submission attached to the original request.

Department Processing (DP)		
State Requirements		
Req #	Requirement Description	Bidder Response
DP.1.13	The system must have the ability to view filing history of original submissions and amended submissions.	MyLicense will track filings submitted to the NDBF. Filings submitted are tracked with the original and/or amended submissions. Among other things, MyLicense will track documents, agent information, and pass/fail of NDBF review for filings.
DP.1.14	The system must have the ability to search for applications or other submissions.	MyLicense provides the capability to search for applications and other submissions. Throughout MyLicense, the user's first step is to locate the record for their task through a search. If the user is working on an application, they will enter criteria to locate the entity or the application. If the user is conducting an address change task, they will conduct a search to locate the record.
DP.1.15	The system must have the ability to view processed submissions and adjustments.	MyLicense provides the capability to view and report on submissions that have been processed. When a submission is approved, the action is tracked in history along with any adjustments. If this requirement is referring to processing of payment submissions and adjustments, those too are tracked. A report of collections is produced that contains the transactions processed and adjusted. Additionally, NDBF can elect to have adjustments made to prior submissions tracked separately.
DP.1.16	The system must have the ability to process submissions and adjustments for payments that aren't related to the license process.	Yes, MyLicense's accounting module allows for tracking of all types of payments. Whether the payment is for an application fee, an address change fee, or an enforcement fine, MyLicense will track the receipt of the payment submission as well as any adjustments made.
DP.1.17	The system must have the ability to place a submission on hold.	Yes, a hold can be placed on a record to prevent further processing (e.g., prevent issuance, renewal). If a hold is placed on the record, the hold will have a reason to inform the NDBF user of why there is a hold.
DP.1.18	The system must have the ability to place a group of submissions on hold based upon one or more business rules.	Yes, MyLicense supports the capability to place a hold on a group of records. The reasoning for the hold will be the same for all records in the group.
DP.1.19	The system should have the ability to release a group of submissions on hold based upon one or more business rules.	Yes, MyLicense supports the capability to release a hold on a group of records. The provided release date will be applicable to all records in the group.
DP.1.20	The system should have the ability to suspend submissions with errors pending correction.	Yes, MyLicense supports halting (or suspending) processing of a submission to allow for errors to be corrected. For an initial application that has an error in submission, the hold or validation rule will prevent a license from being issued until configured validations have been satisfied. The same functionality is available for renewals.

Department Processing (DP)			
State Requirements			
Req #	Requirement Description		Bidder Response
DP.1.21	The system should allow applications and payments to be processed independently.		Yes, application and payment processing can be done independently. A fee associated to an application must be processed before the application can be completed; however, the processing of the payment is independent from the application process.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
DP.1.a	Channels		
DP.1.a1	The system must have the ability to process submissions received or data captured through paper applications.		Yes, MyLicense provides the capability to process paper applications. The NDBF user with appropriate permissions will input the information from the paper application into MyLicense.

Department Processing (DP)			
State Requirements			
Req #	Requirement Description		Bidder Response
DP.1.a2	The system must have the ability to process submissions received or data captured through electronic filing. Electronic filing options include but not limited to: web portal or fillable PDF.		Yes, MyLicense eGov provides the capability to receive an electronic submission via a process in a web portal. MyLicense eGov will replicate the online submission into MyLicense Office for NDBF to perform processing of the electronic submission.
DP.1.a3	The system must have the ability to fully capture, store, validate and display all submissions.		Yes, MyLicense has the capability to capture, store, and display submission data. As part of processing in MyLicense, NDBF business rules will be validated.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
DP.1.b	Management		
DP.1.b1	The system should have the ability to automatically route submissions to work queues based on configurable business rules.		MyLicense initial application workflow provides the capability to route tasks to configured work queues based on configured workflow rules. When a task is triggered in the initial application processing workflow, a task is created for the configured user. The assigned user will see the task in the queue. Upon completion of the task, additional tasks are generated, and assigned to the configured users.
DP.1.b2	The system must provide a means to define and maintain configurable submissions processing rules.		Yes, MyLicense provides system administrators the capability to configure and maintain processing rules for submissions. Configuration of process rules ranges from application workflow to expiration policies.
DP.1.b3	The system must provide a means to define and maintain configurable submissions validation rules.		Yes, MyLicense provides the system administrator the capability to configure and maintain validation rules for submissions. Configuration of validation rules ranges from required data to affiliations to eligibility rules.
DP.1.b4	The system should have the ability to establish user-defined tolerances (by dollar amount or percentage) across all exception identification criteria.		MyLicense provides the capability for system administrators to define tolerances using MyLicense's field validation rule functionality. Our field validation rules can evaluate data during an initial application or renewal to assess if an exception should be applied, and determine whether the data falls within user-defined tolerances.
DP.1.b5	The system must provide the ability to view all submissions processed for a particular contact at the license level, or entity level.		Yes, MyLicense will show all submissions/licenses/registrations for a contact. MyLicense conveniently displays license-level and entity-level data associated with the contact on one screen, and allows the user to drill down to see detailed information about each license.
DP.1.b6	The system must provide the ability to format and standardize submissions received from all channels.		Yes, the submissions received will be required to be standardized. The submissions entered directly into MyLicense will all have the same format. If submissions are imported into MyLicense, the import process will ensure the submissions are standardized as they are captured in the database.

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Department Processing (DP)		
State Requirements		
Req #	Requirement Description	Bidder Response
DP.1.b7	The system must have the ability to update Contact Accounting with fees and filing dates at the contact level for each submission processed.	Yes, as payments are entered in MyLicense, the payment is immediately associated with the contact. When a payment is allocated to a fee, the fee is linked to the payment at the contact level. Dates associated with the submission are tracked and all linked at the contact level.

Department Processing (DP)		
State Requirements		
Req #	Requirement Description	Bidder Response
DP.1.b8	The system must have the ability to update Contact Accounting with fees and associated filing dates at the license level for each submission processed.	Yes, MyLicense can associate fees at the license level. Payments are at the contact level. The payment is linked at a license level through the allocation of a payment to a license level fee. Fees are tied directly to filings, and are therefore associated with filing dates for the licensee.
DP.1.b9	The system must have the ability to process submissions for ad hoc fees that do not have a filing or renewal period (e.g., a request to move a branch).	Yes, MyLicense supports ad hoc fees. Ad hoc fees in MyLicense are not required tied to be linked to a license; they can be linked to the contact. MyLicense also supports ad hoc fees at the license level that are not tied to a specific filing or renewal period (e.g., a fee to move a branch).
DP.1.b10	The system must have the ability to process submissions that are not accompanied by payments.	Yes, MyLicense supports submissions that are not accompanied by payments. Submissions and payments are not tightly coupled in MyLicense. Online submission without or with payment is configurable. However, if a fee is configured due to business rules for a submission, then the fee must be satisfied (paid, waived, canceled) before the submission can be finalized by NDBF.
DP.1.b11	The system must have the ability to process submissions that are accompanied by payments.	Yes, MyLicense supports submissions that are accompanied by payments. Online submission with or without payment is configurable.
DP.1.b12	The system must provide ability to search submissions using configurable filters for all fields regardless of status.	MyLicense provides the ability to search submissions using configurable search fields. The system administrator will have the capability to configure the search panels with the available and applicable search fields. If there is a search field that NDBF does not use, the system administrator can remove the search field to declutter the search panel. MyLicense provides the capability to search on majority of fields, regardless of status.
DP.1.b13	The system must have the ability to post multiple submissions for the same filing period based on configurable business rules.	For each filing period, MyLicense provides the capability to send in multiple submissions based on NDBF's business rules as configured in MyLicense Office.
DP.1.b14	The system must provide for payment and submission transfer functionality across entities based on configurable business rules.	MyLicense provides the capability to transfer submissions (applications, license records) and associated payments across entities using its transfer and change payer processes, providing NDBF with the flexibility to quickly create new associations for license records.
DP.1.b15	The system must provide for payment and submission transfer functionality across licensee based on configurable business rules.	MyLicense provides the capability to transfer submissions (applications, license records) and associated payments across licensees using its transfer and change payer processes, providing NDBF with the flexibility to quickly create new associations for license records.

Department Processing (DP)			
State Requirements		Bidder Response	
Req #	Requirement Description		
	Future enhancements	Optional	Any responses to be noted under the Optional tab
DP 2 Exceptions Processing			
DP.2.1	The system must be able to allow for exceptions processing.		Yes, MyLicense provides override functionality (based on security permissions). For example, if SSN is required for issuance, then an authorized user can override the requirement and allow for issuance.
DP.2.2	The system must have the ability to create and maintain validation rules for the identification of submission exceptions.		MyLicense provides system administrators the capability to configure field validation rules. The validation rules are checked upon issuance to ensure that all requirements/validations have been satisfied before issuance.
DP.2.3	The system should have the ability to create and maintain suspense rules for submission exceptions.		MyLicense provides system administrators the capability to configure field validation rules. The validation rules are checked upon issuance to ensure that all requirements/validations have been satisfied before issuance. The validation rules are configurable to account for suspension of rules (such as, a grandfather clause that is only applicable to an application submitted before 2018).
DP.2.4	The system should have the ability to create and maintain error codes for submission exceptions.		MyLicense does not use error codes. Instead, MyLicense provides meaningful messages to the user. This provides a clear understanding to the user immediately without the need to look up a code. As part of validation rules for submissions, the system administrator will configure the message to be displayed.
DP.2.5	The system should provide for form suspense and error correction.		When a requirement, required entry, or validation is not met, the submission will not be allowed until the error is corrected. Upon correction of the error, the submission will then be allowed to be submitted or issued.
DP.2.6	The system should have the ability for users to save submission work in progress.		Yes, MyLicense eGov allows users to initiate a submission and come back at a later time to complete their submission. Information provided will be saved and the user can pick up where they last left off.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
DP.2.a Adjustments			
DP.2.a1	The system should have the ability to facilitate correction of submissions using electronic document images (i.e., side by side display of submission image and submission data screen or coordinated scrolling of submission data and submission image.)		MyLicense provides the capability to view electronic document images. The document will open in the identified program for the file type. For example, a .docx will open in Microsoft Word; a .jpg will open in the browser. The user can compare the document with the data captured in MyLicense. Given that MyLicense is browser-based and the documents are opened in another browser tab or application, the user will have the option to conduct side-by-side comparisons.

Department Processing (DP)			
State Requirements		Bidder Response	
Req #	Requirement Description		
DP.2.a2	The system must have the ability to maintain a history of all user and batch updates for submissions.		Yes, MyLicense maintains a history of all updates made to a submission. The history will identify the user or batch processor that made the change.
DP.2.a3	The system must have the ability to record and display original and revised (system-calculated) data.		MyLicense records the system-calculated data that is saved. Changes made to the calculated data are saved to history, allowing the original and revised data to be available to NDBF. For example, a calculated expiration date will be saved to the database. If an authorized NDBF user changes that expiration date, MyLicense will capture the calculated and saved date to history along with the user ID of the user who made the change.
DP.2.a4	The system must provide the ability to view and change submission processing dates (e.g. received date, in date).		Yes, MyLicense allows for viewing and changes of submission dates, such as received date. The user's ability to make modifications is driven by user security permissions.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
DP.2.b Automatic Flagging			
DP.2.b1	The system must have the ability to hold submissions based on business rules.		Yes, MyLicense will hold submissions based on configure business rules. For example, if an initial application submission is received and the business rule is that an owner affidavit must be received before issuance, then MyLicense will hold the submission until the affidavit is marked received.
DP.2.b2	The system must have the ability to release submissions based on business rules.		MyLicense will allow for continued processing once all configured business rules have been met.
DP.2.b3	The system should have the ability to prioritize submissions based on business rules.		MyLicense provides the capability for the user to sort submissions by numerous criteria, allowing the user to identify the criteria by which to prioritize submissions for review. Additionally, MyLicense workflows for submissions can assign tasks to users with configurable due dates. Users can then prioritize their tasks by status, due date, or other criteria, and filter their task list to focus on the most pressing tasks.
DP.2.b4	The system should have the ability to flag submissions for review based on business rules.		MyLicense provides the capability for the user to apply flags on submissions based on business rules. For example, if the submission indicates some level of fraud, the user can flag the license indicating a reason of 'fraud'. These flags can also apply holds preventing the approval of a submission until the hold is released.
DP.2.b5	The system should have the ability to automatically workflow items based on configurable business rules		Yes, for licensure processes, MyLicense provides the capability to configure workflow tasks based on business rules.

Department Processing (DP)		
State Requirements		
Req #	Requirement Description	Bidder Response
DP.2.b6	The system should have the ability to automatically route worklists based on configurable business rules	Yes, MyLicense workflow can be configured to automatically route tasks to user worklists based on configurable business rules.
DP.2.b7	The system should provide for automated correspondence based on configurable business rules	Yes, MyLicense can be configured to generate correspondence based on configured business rules. For example, if an applicant has deficiencies that they need to provide to NDBF to further process their submission, then MyLicense can queue a correspondence. Another example: When a license is renewed and a document(s) need to be sent, MyLicense will automatically queue the document(s) to be sent to the licensee. This is one of numerous contexts within which MyLicense automates the sending of correspondence to a bulk email or print queue.

Department Processing (DP)			
State Requirements			
Req #	Requirement Description		Bidder Response
DP.2.b8	The system must have the ability to apply a single remittance to multiple items within a submission.		Yes, MyLicense can apply a single remittance (payment) to multiple fees within a submission. For example: if an application has an application fee and a background check fee, the applicant can submit one payment for both fees. Additionally, a single payment can be applied to multiple filing submissions. If a licensee has five applications, and an application fee for each, a single payment (submitted online or applied by a back-office user) can be applied to all five application fees.
DP.2.b9	The system must have the ability to apply multiple remittances to a single submission		Yes, MyLicense can apply multiple remittances (payments) to a single submission. For example: if an application has an application fee and a background check fee, both fees will appear on the same submission, and the applicant can submit two payments to cover both fees. Or, if the application has only one fee, the applicant can remit multiple payments for the single fee.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
DP.2.c	Pass Through Functionality		
DP.2.c1	The system must have the ability for one fee type to be a withholding agent for multiple other fee types and payers. (Pass through entities, branch fees paid by parent entities)		<p>Yes, MyLicense supports component fees as well as fees paid by other entities. For example, you can have a "renewal fee" that is broken into several components (e.g., a renewal fee, a convenience fee, a late fee).</p> <p>In addition, fees can be paid by any payment entity -- the payer does not have to be the applicant/licensee. For example: in a situation where headquarters pays the renewal fee but the branch pays the branch fee, the headquarters entity will send in their payment (headquarters is the payer and their payment gets applied to the fee associated for the branch license). The branch office can send in a separate payment (branch is the payer) and the branch payment gets applied to the fees for the branch license.</p>
	Future enhancements	Optional	Any responses to be noted under the Optional tab
DP.2.d	Other		
DP.2.d1	The system must provide user configurable controls for submissions processing fee rates.		MyLicense fee functionality allows for calculated fees. The calculated fees will be configured by NDBF system administrators; hence, allows NDBF to control the fee rates.

Department Processing (DP)			
State Requirements		Bidder Response	
Req #	Requirement Description		
DP.2.d2	The system should provide user configurable controls for submissions processing error messages and severity levels.		MyLicense provides the capability to place a hold or an alert on a record. If the severity of the control is that a license should not be issued or renewed, then a hold is placed on a record to halt issuance/renewal. If the severity is not enough to halt processing, then an alert is applied to a record. A record that has an alert will be allowed to renew/issue. However, the NDBF user will be alerted and a reason for the alert is provided. In addition, MyLicense provides 'check fields' functionality that allows for configurable rules to check for errors and halt processing (renewal/issuance) if errors are found.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
DP.2.e	Management		
DP.2.e1	The system should provide ability to manually suspend (i.e. over-ride) batch transactions that create processing issues.		MyLicense provides administrators with the ability to immediately halt scheduled batch transactions if those transactions create processing issues, both at the individual job level and at the global (i.e., all scheduled job) level.
	Future enhancements	Optional	Any responses to be noted under the Optional tab

Case Enforcement Management (CM)		
State Requirements		
Req #	Requirement Description	Bidder Response
CM.1 General		
CM.1.1	The system must have user configurable work list prioritization for all case management functions.	MyLicense Office users can create and assign Enforcement reminders or tasks that link them (or another user) to Enforcement records. These reminders or tasks appear in the assigned user's task list, and can be sorted, filtered, and prioritized based on criteria available to the user.
CM.1.2	The system should provide a statute references for all found issue types based upon configurable business rules.	MyLicense Office provides the capability to record, amend, and update regulations and statutes, and associate these regulations and statutes with violations found in investigations and inspections. These regulations and statutes can be mapped to violations entered against a respondent, ensuring that appropriate statutes and regulations are available for each issue or case type.
CM.1.3	The system must have the ability to create and maintain workflows.	The user interface in MyLicense Office Enforcement can be configured to impose an administrator-dictated workflow based on the flow of data panels and fields.
CM.1.4	The system should have the ability to create and maintain an informal appeals case.	MyLicense Office allows administrators to configure an unlimited number of case types, including informal appeals cases.
CM.1.5	The system should have the ability to create and maintain a field audit case.	MyLicense Office allows administrators to configure an unlimited number of case types, including field audit cases.
CM.1.6	The system should have the ability to create and maintain an office audit case.	MyLicense Office allows administrators to configure an unlimited number of case types, including office audit cases.
CM.1.7	The system should have the ability to create and maintain a class action case.	MyLicense Office allows administrators to configure an unlimited number of case types, including class action cases.
CM.1.8	The system must have the ability to create and maintain a case against a non-licensed contact.	MyLicense Office allows the creation and maintenance of cases against licensed and non-licensed contacts, and allows the user to retrieve information about past complaints based on a search for a licensed or unlicensed respondent.
CM.1.9	The system must have the ability to create and maintain a case where NDBF is one of multiple complainants.	Cases in MyLicense Office allow an unlimited number of participants (including NDBF) to be listed, as well as complainants, respondents, and any other participant type defined by NDBF.
CM.1.10	The system must have the ability to create and maintain a case, generated from an examination finding.	MyLicense Office enforcement has the ability to create and maintain case records from an investigation or examination record when findings are entered.

Case Enforcement Management (CM)		
State Requirements		
Req #	Requirement Description	Bidder Response
CM.1.11	The system must have the ability to create and maintain all case types with configurable data elements.	All native data elements in MyLicense Office, including case-related data elements, are housed in Panels. The contents of the panels, including the labels of the fields, are configurable to meet NDBF's requirements. Should the native data elements not meet NDBF's data gathering requirements, User Defined Objects (UDOs) can be quickly configured by a NDBF administrator to gather new data.

Case Enforcement Management (CM)			
State Requirements			
Req #	Requirement Description		Bidder Response
CM.1.12	The system must provide a means to define and maintain configurable business rules for handling all case types.		MyLicense Office administrators can configure (i.e., define and maintain) the business rules by which cases are maintained, ensuring that appropriate information is tracked for each case type.
CM.1.13	The system must have the ability to establish work flow for case types.		MyLicense Office allows administrators to define the activities available to be tracked at each stage of a case, ensuring that only activities appropriate to the given stage are selected.

Case Enforcement Management (CM)			
State Requirements			
Req #	Requirement Description		Bidder Response
CM.1.14	The system should have the ability to track time spent working on a case, by activity type and location of work (on-site, alternate work-site or in-office) completed.		MyLicense Office allows Enforcement users to track time, mileage, and expenses for each activity in the case. Activity types can be quickly configured, so that more activity types can be added as needed.
CM.1.15	The system must have the ability to consolidate all eligible contact fees owed into a single case.		Enforcement allows for the administration of sanctions to respondents found in violation of statutes or regulations, including the assessment of monetary penalties. All monetary penalties for all respondents can be viewed under a single case.
CM.1.16	The system must provide a means to define and maintain configurable case statuses.		MyLicense Office Enforcement allows administrators to define and configure case statuses, which can be updated and end-dated as requirements change.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
CM 2 Search			
CM.2.a	General		
CM.2.a1	The system must provide ability to search cases using configurable filters on all data points and fields.		MyLicense Office Enforcement provides the capability to search on a comprehensive set of over 30 distinct fields.
CM.2.a2	The system must have the ability to maintain a full history for all cases.		The full history of case status, dispositions, sanctions, violations, and assigned personnel are tracked within MyLicense Enforcement.
CM.2.a3	The system must have the ability to maintain a full internal audit trail for all cases.		MyLicense Office uses audit tables to retain a full internal audit trail of changes to complaints (case records), activities, participants, respondents, and enforcement correspondence.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
CM.2.b	Administration and Search		
CM.2.b1	The system should have the ability to provide for automatic or manual case creation.		MyLicense Office users can manually create cases. Additionally, MyLicense Office administrators can develop a Process Rule to automatically generate cases when a set of administrator-defined criteria are met. Triggers can also be set to create cases on the basis of an NDBF-defined data condition.
CM.2.b2	The system must provide the ability to add and view notes for any case based on assignable security roles.		Authorized users (i.e., those with appropriate security roles) can add notes and remarks to Cases and Complaints, as well as to the following additional areas in Enforcement: Activities, Participants, Violations, Sanctions, Orders, Allegations, Complaint Documents, Correspondence In/Out, and Incidents.

Case Enforcement Management (CM)		
State Requirements		
Req #	Requirement Description	Bidder Response
CM.2.b3	The system should allow users to manually assign all case types based on security roles.	Personnel can be assigned to a case, and their role in a case can be indicated upon assignment, and updated as necessary over the course of the case. Users updating case data in MyLicense Office Enforcement can assign tasks to other users, and only see the fields and panels they are authorized to see based on their assigned security roles.

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Case Enforcement Management (CM)			
State Requirements		Bidder Response	
Req #	Requirement Description		
CM.2.b4	The system must provide manual ability to move or reverse a case through the work flow.		Users have the manual ability to change both the status of a case, and the assigned department. These changes dictate the availability of activities, ensuring that appropriate activities occur within the appropriate stages of the case workflow.

Case Enforcement Management (CM)			
State Requirements			
Req #	Requirement Description		Bidder Response
CM.2.b5	The system should provide for automated movement of a case through the process flow based on aging and workflow controls.		MyLicense Office Enforcement allows users to automatically generate letters to complaint participants when an activity is entered, and can create tasks for themselves and for internal staff members. These tasks' status can change over time as they approach their due date, so that users can sort and prioritize Enforcement-related tasks.
CM.2.b6	The system must have the ability to automatically or manually create correspondence.		Correspondence can be manually or automatically created. The Activity Letters feature of Enforcement can automatically send correspondence to a print or email queue based on the selected activity.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
CM.3 Enforcement Processing			
CM.3.a	General		
CM.3.a1	The system must provide ability to create a complaint or other "initiating report" by a member of the public or internal staff member.		Members of the public can use MyLicense Verification to submit complaints against both unlicensed and licensed entities. Complaint forms are transmitted by email to intake officers in MyLicense Office, who then use the report from the member of the public (or NDBF-internal staff member) to evaluate whether and how to initiate the complaint in MyLicense Office. If the staff member has cause to proceed, that user enters the complaint record into MyLicense Office Enforcement.
CM.3.a2	The system must provide ability to create a investigation off a initiating report to be worked by the department.		MyLicense Office Enforcement users can record initial information about a complaint, including the allegations made, the participants in the complaint, and initial correspondence, then can open an investigation. From there, investigation personnel can proceed with the investigative process, and record relevant data in the Investigation module.
CM.3.a3	The system must provide ability to create an Order off an investigation to be issued by the department.		Once investigations are complete and a final disposition reached, a MyLicense Office Enforcement user can create an Order containing all violations found and sanctions applied pursuant to the Order. With the order record created, an Order document can be generated containing recorded information from the case. NDBF can then either modify the order document to incorporate additional narrative, or merge in the narrative directly as recorded on records within MyLicense Office Enforcement.
CM.3.a4	The system must provide ability to create a follow up order to either vacate or amend a prior order.		Orders in MyLicense Office Enforcement can be amended or vacated at any time, and additional orders can be created on the same case, should a follow-up order be required.

Contact Accounting (CA)		
State Requirements		
Req #	Requirement Description	Bidder Response
CA.1 General		
CA.1.1	The system must maintain contact balances for each fee type.	<p>MyLicense Office will track the balances of fees and payments assessed by the agency per contact for administrator-defined fee types, whether paid by credit card, cash, check, money order, or otherwise.</p> <p>MyLicense Office can be configured to track records of as many additional payment methods as are needed.</p>
CA.1.2	The system must have the ability for all functions of contact accounting to work without a filing period (e.g. ad hoc fees).	MyLicense Office allows administrators to configure which administrator-defined system-user roles can assess ad hoc fees based on configurable business rules. Ad hoc fees can be assessed without an associated filing period.
CA.1.3	The system must create and maintain a full history of all transaction detail affecting contact balances.	<p>Whether a transaction has been submitted online or by paper, MyLicense Office will track the full history of fees assessed by the agency and payments made by licensees, whether payment is made by credit card, cash, check, ACH, money order, or another payment type.</p> <p>Additionally, licensees and licensed entities can log into MyLicense eGov to see a full history of transaction details affecting their account balances, allowing for full transparency between the agency and licensees.</p>

Contact Accounting (CA)		
State Requirements		
Req #	Requirement Description	Bidder Response
CA.1.4	The system must use information from posted submissions to update accounts and contact obligations based on configurable business rules	Whether a transaction has been submitted online or by paper, MyLicense will track the fees and payments assessed by the agency, and will ensure that information from the posted submissions updates contact and account information according to the business rules defined by NDBF.
CA.1.5	The system must allow users to manually create financial transactions based on security permissions and configurable business rules.	MyLicense Office allows administrators to configure which administrator-defined system-user roles can manually create financial transactions based on security permissions and configurable business rules.
CA.1.6	The system must allow users to manually reverse or undo financial transactions based on security permissions and configurable business rules.	MyLicense Office allows administrators to configure which administrator-defined system-user roles can manually reverse or undo financial transactions based on security permissions and configurable business rules.
CA.1.7	The system must allow users to manually move and correct submissions and payments between contacts or licenses based on configurable business rules.	MyLicense Office allows administrators to configure which administrator-defined system-user roles can manually move and correct submissions and payments between contacts or licenses based on configurable business rules.
CA.1.8	The system must automatically recalculate fee balances based on any transaction or adjustment.	MyLicense will automatically recalculate any administrator-defined fee balance on any transaction or adjustment. Additionally, fees may be configured in MyLicense to either be a specified flat amount or to be determined by a configurable calculated rule taking multiple factors into account (e.g., sales volume, expiration date).

Contact Accounting (CA)		
State Requirements		
Req #	Requirement Description	Bidder Response
CA.1.9	The system must allow users to initiate a recalculation of obligation balances at any time.	MyLicense Office allows administrators to configure which administrator-defined system-user roles can initiate a recalculation of obligation balances at any time.
	Future enhancement	Optional Any responses to be noted under the Optional tab
CA.2 Payments		
CA.2.1	The system must have the ability to accept and process payments for all submission types.	MyLicense eGov is integrated with over a dozen payment processors, which can process credit card and eCheck payments. All types of submissions through MyLicense eGov can be paid for through these payment processors. Payment processor integration separates accounting reconciliation data from the online user's entry of sensitive data such as credit card number, ensuring PCI compliance. MyLicense Office can be configured to capture the record of the receipt of any native or administrator-defined payment type.
CA.2.2	The system must provide all functions relating to the processing of payments.	MyLicense Office accounting allows authorized users to create, allocate, refund, and return payments, and allows authorized accounting administrators to perform reporting and reconciliation according to NDBF's accounting business rules. MyLicense eGov allows users to pay for submissions online, and integrates with numerous payment processors to allow for online payment through NDBF's desired channel. Along with payment records created in MyLicense Office, online payments made in eGov can be reported on and reconciled, ensuring that payments for all submissions and ad-hoc fees are accounted for.
CA.2.3	The system must accept payments from all existing NDBF payment channels, primarily check and ACH.	Payments can be received by manual check, cash, credit card, ACH, or any administrator-defined payment type. Alternatively, these payments can be received online through MyLicense eGov which provides administrators the ability to integrate with their preferred electronic payment processor to provide online ACH payment. Once received, payments can be allocated to one or more fees. As payments are made and allocations occur, the history of payments and fees is updated, and displayed within each account.
CA.2.4	The system must apply payments to all fee types and periods based on user-configurable business rules.	MyLicense Office allows administrator-defined fee types and fee payment periods to be satisfied by manual check, cash, credit card, ACH, or any administrator-defined payment type

Contact Accounting (CA)			
State Requirements			
Req #	Requirement Description		Bidder Response
CA.2.5	The system must have the ability to maintain all submission and payment information.		Once received, payments can be allocated to one or more fees. As payments are submitted and allocations occur, the history of payment details and fees is stored, updated, and displayed within each account.
CA.2.6	The system must have the ability to allocate payments to penalties, fees, and other agreements based on user-configurable business rules.		MyLicense Office has the ability for payments to be allocated to one or more fees, penalties and other agreements based on user-configurable business rules. As payments are made and allocations occur, the history of payments and fees is updated, and displayed within each account.
CA.2.7	The system must be able to apply a payment to a configurable set of fees.		MyLicense Office Accounting module handles allocating payments to various fees and account codes as configured by an NDBF administrator. Once received, payments can be allocated to one or more configurable fees. As payments are made and allocations occur, the history of payment allocations is updated, and displayed within each account.
CA.2.8	The system must be able to record, process, and report on all payment types.		When payments are made and allocations occur, the history of payments and fees is updated and displayed within each account. MyLicense Office can be configured to track records of and report on as many payment methods as are needed. Each MyLicense Office user authorized to enter, allocate, and alter payments and fees must reconcile their accounting actions within an administrator-defined timeframe. For each administrator-defined timeframe, a Report of Collections is generated for administrator verification of accounting actions.
CA.2.9	The system must be able to accept a payment from a third party on behalf of one or more contacts' fees/balances.		MyLicense Office Accounting module handles allocating payments to various fees and account codes. Once received, payments can be allocated to one or more configurable fees. MyLicense Office allows third party payments on behalf of one or more contacts' fees/balances. Two other features simplify the process of third-party payment: 1) Online invoicing. A third party can create a MyLicense eGov account, search for an invoice using an invoice number or licensee name, and pay the invoice on behalf of that licensee. 2) Agent application. Agents authorized to submit an initial application or renewal on behalf of a licensee may do so using the Agent Application process.
	Future enhancement	Optional	Any responses to be noted under the Optional tab
CA.3 Payment Management/Credit Management			

Contact Accounting (CA)			
State Requirements		Bidder Response	
Req #	Requirement Description		
CA.3.a	General		
CA.3.a1	The system must provide the ability to configure payment allocation and application rules.		All fees are configured by business account or license type, and are associated with revenue codes corresponding to codes in the State accounting system. In MyLicense Office, the status of a license is a common key determinant of the associated fee type and amount. Administrators can configure the fee schedule to assess fees of differing amounts based on differing statuses. Fees can also be calculated based upon any combination of native or user-defined data elements, such as expiration date or sales volume.
	Future enhancement	Optional	Any responses to be noted under the Optional tab
CA.3.b	History, View and Reporting		
CA.3.b1	The system must create and maintain payment history files.		MyLicense tracks a wide range of transactions, everything from actions on payments to applications to inspection to enforcement. When payments are made and allocations occur, the history of payments and fees is updated, and displayed within each account.
CA.3.b2	The system must have the ability to search payments by configurable data filters.		MyLicense Office's Payment History search allows authorized users to search payments based on user-selected criteria. Furthermore, MyLicense Reporting allows authorized users to drill down more deeply into payments, enabling filtering, search, and selection of data based on a wide swath of configurable fields.

Contact Accounting (CA)			
State Requirements			
Req #	Requirement Description		Bidder Response
	Future enhancement	Optional	Any responses to be noted under the Optional tab
CA.3.c Payment - Other			
CA.3.c1	The system should have the ability to suspend payment based upon the status of contact or license flags.		<p>MyLicense Office allows administrators to configure restrictions on the progression of identified license lifecycle events based on the status of contact or license flags, including suspending the opportunity to initiate payment.</p> <p>MyLicense eGov allows administrators to configure restrictions on eGov user's ability to initiate payment through eGov based upon the status of contact or license flags.</p>
CA.3.c2	The system should have the ability to distinguish and prioritize multiple liability types within a given liability based on user-configurable business rules.		MyLicense Office allows administrators to configure different liability types within a specified context. These liabilities are comprised of administrator-defined component liabilities. Administrators define how the system will distinguish and prioritize between the component liabilities within a given liability.
	Future enhancement	Optional	Any responses to be noted under the Optional tab
CA.4 Billing Notices and Mail			
CA.4.1	The system must have the ability to create and maintain both manual and automatic licensee billing.		<p>MyLicense Office stores user-configurable document and email templates in the form of bills, invoices, notices or statements to be manually generated, printed, and initiated by administrator-sanctioned users. Alternatively, these documents can be automatically generated by a triggering event, such as the start of a billing cycle.</p> <p>MyLicense eGov provides administrators the ability to integrate their preferred electronic payment processor to automatically enforce a successful payment requirement to allow an application or registration submission.</p>
CA.4.2	The system must include controls to suppress billings based on configurable business rules.		MyLicense Office allows administrators to allow or suppress the generation of user-designed document and email templates in the form of bills, invoices, and notices based on configurable business rules.
CA.4.3	The system must allow different billing cycles for each fee type.		MyLicense Office allows bills, invoices, notices or statements to be generated, printed, or initiated by the system on different billing cycles for each fee type.

Contact Accounting (CA)		
State Requirements		
Req #	Requirement Description	Bidder Response
CA.4.4	The system must allow designated contacts or licenses to be billed out of cycle.	MyLicense Office allows bills, invoices, notices or statements to be generated, printed, or initiated by the system for administrator-defined fee types during any user-defined billing cycle. Fees in MyLicense Office, and bills for these fees, may be created outside of any given billing cycle.

Contact Accounting (CA)			
State Requirements			
Req #	Requirement Description		Bidder Response
CA.4.5	The system must have an ability to configure consolidated or single licensee bills.		MyLicense Office stores user-configurable document and email templates in the form of bills, invoices, notices or statements to be generated, printed, or initiated by the system for consolidated or single-licensee bills.
CA.4.6	The system should be able to generate automatic notices for unpaid or underpaid liabilities.		MyLicense allows for the bulk generation of notices for incomplete filings that identify deficiencies, such as unpaid or underpaid liabilities, that must be satisfied prior to approval of a submitted filing.
CA.4.7	The system should be able to generate custom notices for unpaid or underpaid liabilities.		MyLicense Office stores custom document and email templates in the form of bills, invoices, notices or statements to be generated, printed, or initiated by the system for unpaid or underpaid liabilities on a custom, user defined basis. NDBF administrators will be able to add new notices, or modify existing notices at any time to meet emergent NDBF business requirements.
CA.4.8	The system must have the ability to add a fee to a bill based on configurable business rules.		MyLicense Office allows administrators to configure which administrator-defined system-user roles can add a fee to bills, invoices, notices or statements based on configurable business rules.
CA.4.9	The system must have the ability to adjust accounts in accordance with Generally Accepted Accounting Principles.		MyLicense supports the ability to adjust revenue account assignments in accordance with GAAP.
	Future enhancement	Optional	Any responses to be noted under the Optional tab
CA 5 Institution Assessments			
CA.5.1	The system should have the ability to manually create and maintain assessments.		MyLicense Office allows administrators to configure which administrator-defined system-user roles can manually create and maintain assessments.
CA.5.2	The system should be able to create and maintain assessments by batch process.		MyLicense Office allows administrators to automate the process of generating and maintaining assessments through batch generation processes that automatically assess the appropriate fees to each account.
CA.5.3	Assessments should be configurable for either fixed dollar and tiered amounts.		Within MyLicense Office, assessment fees can be defined on a flat (i.e., fixed) or calculated basis. Calculated fee rules can be configured to implement tiered fee amounts based on sales volume or some other combination of data elements.
CA.5.4	The system should have the ability to manually create and release automated and manual holds.		MyLicense Office allows administrators to configure which administrator-defined system-user roles can manually create and release automated and manual holds and/or alerts.
CA.5.5	The system should have the ability for users to move payments and portions of payments to and from different fees assigned to the payee.		MyLicense Office allows administrators to configure exactly which administrator-defined system-user roles can move payments and portions of payments to and from different fees assigned to the payee.
CA.5.6	The system should have the ability for users to manually cancel and/or adjust assessments.		MyLicense Office allows administrators to configure which administrator-defined system-user roles can manually cancel and/or adjust assessments.

Contact Accounting (CA)			
State Requirements			
Req #	Requirement Description		Bidder Response
	Future enhancement	Optional	Any responses to be noted under the Optional tab
CA.6 Offsets			
CA.6.a	Refunds		
CA.6.a1	The system must have the ability to create, maintain and monitor refunds for erroneous payments.		MyLicense Office allows users with appropriate authorization to create a refund for an erroneous payment (such as an overpayment). MyLicense Office also detects whether a fee has been overpaid, and prompts the user to refund the overpayment at the time the payment is entered. When entering a refund, users can record the status of the refund, and monitor and update that status as the refund is received and processed by the payer. Additionally, an address can be tied to a refund record, allowing a refund letter to be quickly generated, and sent to the proper address.
CA.6.a2	The system should provide for controls that limit the number and dollar amount of refunds issued in a particular cycle.		MyLicense Office allows administrators to define the number and dollar amounts of refunds for any particular user's administrator-defined minimum timeframe for which accounting action reconciliation is required.
CA.6.a3	The system should provide the ability to group multiple overpayments for one contact into one refund.		MyLicense Office tracks refund requests on a per-contact basis, allowing multiple overpayments to be grouped into a single refund. MyLicense Office allows administrators to generate detailed reports to facilitate the request of a state accounting system to show the grouping of multiple refund requests into a single refund payment.
CA.6.a4	The system should provide a workflow for refunds.		MyLicense Office provides the capability to refund a payment. A refunded payment creates a refund record which is tracked in our Accounting module. The status (initiated, sent, received) of the refund is tracked, as well as the refund amount, refund reason, and refund check number.
CA.6.a5	The system should provide a workflow for underpayments.		When a fee is underpaid, MyLicense will set the fee status to partially paid. An invoice is generated to notify the applicant/licensee that their fee was underpaid and the amount still owed. The applicant/licensee can remit the remaining payment online or mail in a payment. The received payment is allocated to the fee. Once the fee is fully paid, then the fee status will reflect paid in full. In addition to the flow mentioned, there are also accounting reports that supervisors/accounting users can execute to monitor underpayments.
	Future enhancement	Optional	Any responses to be noted under the Optional tab

Department Accounting (RA)			
State Requirements			
Req #	Requirement Description	Optional/ Additional	Bidder Response
RA.1 General			
RA.1.1	The system must have the ability to allocate and distribute funds across the entire range of department General Ledger accounts		MyLicense Office offers the capability to generate invoices for outstanding fees, such as license application fees, renewal fees and monetary penalties. Invoices can be accessed on the web and paid with one payment.
RA.1.2	The system must have the ability to account for fund distributions across all fiscal periods and reporting periods according to business rules.		Dates of payment receipts, payment allocations, unallocations, and reallocations are recorded so that fiscal period reporting can be extracted via reporting tool according to any business requirement.
RA.1.3	The system must allow a user to manually distribute funds.		MyLicense Office's payment allocation feature fully support the need for an authorized user to distribute funds to unpaid fees.
RA.1.4	The system must have the ability to allow for correction or redistribution of funds to different accounts and/or fiscal periods.		Any allocation to funds/fees can be reversed and re-allocated by an authorized user at any time, regardless of account or fiscal period.
RA.1.5	The system must provide a means to create and maintain configurable business rules for handling all revenue accounting processes.		Business rules for accounting include fee types, fee amounts, and revenue/accounting codes associated with the fees. MyLicense Office's fee schedule is built to handle fees of an unlimited number of fee types and changing dollar amounts and account codes.
RA.1.6	The system must have the ability to accept a user defined fiscal year.		Dates of payment receipts, payment allocations, unallocations, and reallocations are recorded so that fiscal period reporting can be extracted via reporting tool according to any business requirement. The fiscal year is defined by the user when targeting the dates of transactions desired for reporting or extract.
RA.1.7	The system must have the ability to accept a user defined fiscal period.		Dates of payment receipts, payment allocations, unallocations, and reallocations are recorded so that fiscal period reporting can be extracted via reporting tool according to any business requirement. The fiscal year is defined by the user when targeting the dates of transactions desired for reporting or extract.
RA.1.8	The system must have the ability to maintain summary revenue accounts automatically as a result of liability and payment postings to department and contact accounts.		MyLicense Office's fee schedule is populated at the license type/fee type level of data granularity. When the fee schedule is populate initially or modified at any time, revenue account codes be entered as part of the fee schedule. MyLicense Office's payment verification process includes the Report of Collections process that includes an automatic display of payment allocations summed by revenue codes.

Department Accounting (RA)			
State Requirements			
Req #	Requirement Description	Optional/ Additional	Bidder Response
RA.1.9	The system should have the ability to maintain and report revenue accounting including distributions which will interface with the state's current financial accounting system.		All accounting transactions, including payments, payment allocations, payment allocation adjustments, etc. are recorded in MyLicense Office in accounting batch transactions. Once batches are verified and a deposit number is generated via the Report of Collections process, MyLicense Office guards against any changes made against those transactions. A Report of Collections generated and printed today for a any specific deposit number will have the same accounting code data generated and printed at any date in the future, regardless of any changes or adjustments made in the future to payments entered and allocated in the original account batch. All future changes are recorded and tracked in their own accounting batch. This enables MyLicense Office to maintain and report revenue accounting distributions that were recorded in the state's financial accounting system.
RA.1.10	The system must have the ability to provide access to and views of the underlying transaction data for all revenue accounting entries.		MyLicense Office's Revenue Report and the Report of Collections Detail Report contain all individual underlying transaction details by revenue accounting codes. Any report generation utility can also be used to extract/report underlying transaction detail data.
RA.1.11	The system must have the ability to adjust distribution amounts based upon user defined business and security rules.		MyLicense Office includes a system user security module at every level of access, including specific activities defined as Tasks or Navigation Menu items. All buttons, including those used to adjust distribution amount (e.g, allocate, unallocation, adjust payment amount, adjust fee amount) are only available to individual users as determined by the System Administrator.
RA.1.12	The system should provide reports to support reconciliation of receipts from multiple sources for all fiscal periods on a daily/monthly/annually basis.		MyLicense Office has a series of reports available for the display of payments and allocations, by whom the payments were process, and for whom (i.e. the licensee). These include the Payment Report, the Revenue Report, Payment Report, Batch Verification Report, the Report of Collections Summary Report, and the Report of Collections Detail Report. Any reporting tool can be used to supplement the reports available in MyLicense Office.
RA.1.13	The system should provide for an adjustments and transfers report that shows impacts at the license type account level.		Adjustments will enter in their own adjustment account batches. Verifying and reporting via MyLicense Office's Report of Collections feature will show impacts at the revenue code account level.

Department Accounting (RA)			
State Requirements			
Req #	Requirement Description	Optional/ Additional	Bidder Response
RA.1.14	The system should have the ability to maintain the revenue accounts (e.g. Journal Vouchers).		All accounting transactions, including payments, payment allocations, payment allocation adjustments, etc. are recorded in MyLicense Office in accounting batch transactions. Once batches are verified and a deposit number is generated via the Report of Collections process, MyLicense Office guards against any changes made against those transactions. A Report of Collections generated and printed today for any specific deposit number will have the same accounting code data generated and printed at any date in the future, regardless of any changes or adjustments made in the future to payments entered and allocated in the original account batch. All future changes are recorded and tracked in their own accounting batch. This enables MyLicense Office to maintain and report revenue accounting distributions that were recorded in the state's financial accounting system.
RA.1.15	The system must have the ability to make automatic/real time changes at the revenue accounting level whenever there is a change made at the contact accounting level.		All accounting transactions made in MyLicense Office are by definition considered automatic or real time. Transactions are not fed into a delayed posting process.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
RA.2 External Inputs			
RA.2.1	The system must have the ability to record revenue accounting entries for payments not processed in the system (e.g. federal partners and/or accounting entries from other state agencies or external systems).		Any payment and allocation transaction can be recorded in MyLicense Office regardless of its source, e.g. checks, cash, and money orders received, credit card payments made via the web, transfers from other government agencies or private concerns. Any number of payment sources can be configured in the accounting module and referenced when recording payments.

Department Accounting (RA)			
State Requirements			
Req #	Requirement Description	Optional/ Additional	Bidder Response
RA.2.2	The system must maintain a full history of all accounting transactions.		All accounting transactions, including payments, payment allocations, payment allocation adjustments, etc. are recorded in MyLicense Office in accounting batch transactions. Once batches are verified and a deposit number is generated via the Report of Collections process, MyLicense Office guards against any changes made against those transactions. A Report of Collections generated and printed today for a any specific deposit number will have the same accounting code data generated and printed at any date in the future, regardless of any changes or adjustments made in the future to payments entered and allocated in the original account batch. All future payment allocation changes are recorded and tracked in their own accounting batch. This enables MyLicense Office to maintain and report revenue accounting distributions that were recorded in the state's financial accounting system.
RA.2.3	The system must maintain a full internal audit trail of all accounting transactions.		All accounting transactions, including payments, payment allocations, payment allocation adjustments, etc. are recorded in MyLicense Office in accounting batch transactions. Once batches are verified and a deposit number is generated via the Report of Collections process, MyLicense Office guards against any changes made against those transactions. A Report of Collections generated and printed today for a any specific deposit number will have the same accounting code data generated and printed at any date in the future, regardless of any changes or adjustments made in the future to payments entered and allocated in the original account batch. All future payment allocation changes are recorded and tracked in their own accounting batch. This enables MyLicense Office to maintain and report revenue accounting distributions that were recorded in the state's financial accounting system.
	Future enhancements	Optional	Any responses to be noted under the Optional tab

Technical (TR)			
State Requirements			
Req #	Requirement Description		Bidder Response
TR.1 Reporting Database			
TR.1.1	The system may provide a reporting database for the software.	Optional	Any responses to be noted under the Optional tab
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.2 RDBMS			
TR.2.1	The Bidder must identify the preferred RDBMS and provide a quote for the licenses. State reserves the rights to acquire the licenses for RDBMS off of current enterprise agreements.		Our preferred RDBMS is Microsoft SQL Server. Since SA is recommending an on-premise deployment of the software, the State is responsible for acquiring the necessary MS SQL Server license for running the database in the OCIO data center.
TR.2.2	The RDBMS for the software may be Oracle, Microsoft SQL Server (preferred), or DB2-UDB.		MyLicense is supported on Microsoft SQL Server or Oracle and our preferred RDBMS is Microsoft SQL Server.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.3 Scalability, Performance and Availability			
TR.3.a	General		
TR.3.a1	The software and hardware must be scalable to accommodate 100 concurrent internal users and 500 external users.		MyLicense will accommodate 100 concurrent internal users and 500 external users.
TR.3.a2	State of Nebraska will host this application at OCIO. State of Nebraska prefers this to be in a virtual environment, which may be cloud-based within the State's existing enterprise cloud subscription. Any bidder that will be using their cloud provider, and it is not on the States' pre-approved cloud provider list, will need to be certified by the Office of the CIO before contract award. At this time the pre-approved cloud providers are AWS and Azure. The bidder must specify the hardware requirements.		The MyLicense Platform requires several VM components in order to run effectively in the OCIO environment. These components have been identified in our platform specifications, which are Attachment 8 to this proposal.

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.3.a3	The system must have the ability to transfer operation from a failed database or application server to a similar, redundant component to ensure uninterrupted data flow and operability (i.e., database server and application server failover capability).	<p>MyLicense does not restrict the ability to transfer operations shall a database or application server fail. We can assist NDBF in architecting a disaster recovery plan.</p> <p>If the environment is housed in the MyLicense Cloud, then these measures are included in the environment configuration.</p>

Technical (TR)			
State Requirements			
Req #	Requirement Description		Bidder Response
TR.3.a4	The system must have the ability to create and maintain new license types for uses across all system functions.		MyLicense provides the capability for a system administrator to create and maintain new license types, and deploy all system functions for those license types.
TR.3.a5	The bidder must provide hardware/software recommendations that allow the State to allow a 99.9% up-time rate.		Our platform specifications can be seen in Attachment 8. Our recommendations will allow the State to allow a 99.9% up-time rate and will ensure the best performance of the application suite.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.3.b Compatibility with Department's Current Technical Environment			
TR.3.b1	The system must be compatible with the current TCP/IP, ethernet network.		MyLicense is compatible with TCP/IP.
TR.3.b2	The system must be compatible with Windows 10 Intel PCs.		MyLicense components are compatible with Windows 10 Intel PCs.
TR.3.b3	The system must be compatible with Active Directory and Azure Active Directory Hybrid Security.		The MyLicense system will be compatible and capable of integrating with the Azure Active Directory Hybrid security model.
TR.3.b4	System must be compatible with the current Enterprise Content Management System, Hyland OnBase 17.		Our team has integrated with several document management systems and the MyLicense system will be compatible and capable of integrating with the State's Hyland Onbase 17 content management system.
TR.3.b5	The bidder's software must be able to use the state's enterprise storage SAN.		MyLicense can be configured to use any storage location that can be mapped over a TCP/IP network.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.3.c Technical Environments			
TR.3.c1	The bidder needs to define all products, licenses, and setup for technical environments needed to support a testing full size performance environment. The State reserves the right to purchase required products off of the State's enterprise agreement.		Platform specifications can be seen in the attached Platform Specifications document, which includes the detail of all products, licenses, and setup for technical environments needed to support a testing full size performance environment.
TR.3.c2	The bidder needs to define all products, licenses, and setup for technical environments needed to support a production environment. The State reserves the right to purchase required products off of the State's enterprise agreement.		Platform specifications can be seen in the attached Platform Specifications document, which includes the detail of all products, licenses, and setup for technical environments needed to support a production environment.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.3.d Maintenance, Configurability and Upgradeability			

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.3.d1	The proposed software must provide documented user customization that allows the functionality of the system to be extended without modifying the base application.	NDBF will be provided access to System Automation's documentation portal. The product documentation provides explanation of product functionality, including how to configure product functionality. MyLicense's Config and Setup Utility allow NDBF system administrators complete flexibility to modify the system to meet new and changing business rules without requiring custom development.
TR.3.d2	The bidder must provide support for the timely and coordinated installation of application, updates, other licensed software, or security patches.	Infrastructure and security updates will be the responsibility of the OCIO's office and servers that are hosted within the State. System Automation will work directly with the OCIO administration team to provide software updates that resolve technical issues or updates related to any of the application infrastructure as needed throughout the contract duration. If the environment is hosted in MyLicense Cloud, all releases for the environment (MyLicense, server, database, etc.) will be timely and coordinated.
TR.3.d3	The proposed software must provide the ability to promote a new tested version of the application into the production environment.	Newly provided MyLicense releases will be placed in a test environment for review by NDBF prior to promoting the newer release into a production environment.
TR.3.d4	The proposed software must provide version control, testing, change control, and staging capabilities.	System Automation provides version control, testing, change control, and staging for our implementations.
TR.3.d5	The proposed solution must have an ongoing maintenance contract.	System Automation conforms to ongoing maintenance contracts with every customer. We have a standard maintenance contract that we can share and discuss with NDBF upon request.
TR.3.d6	The proposed solution must have a warranty.	SA warrants the system for the life of the contract. This warranty, in conjunction with the maintenance plan, provides the State the ability to receive maintenance patches and releases as they are made available.

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.3.d7	The bidder must describe the help desk and technical support options available.	System Automation is available via the Customer First support portal where customers are able to open tickets and request information from our customer service team. Our customer service team is also available via phone support to help with any technical issues NDBF administrators may be facing.

Technical (TR)			
State Requirements			
Req #	Requirement Description		Bidder Response
TR.3.d8	The bidder must describe technical and functional problem resolution processes.		<p>Once the system is live, our customer service team is empowered to work with our customers directly to enable success. Once an issue is reported, the team reviews the incident and contacts the customer directly to begin the process of resolving the issue. At each step in the process, they update the status of the incident to create a real-time accounting of the issue and steps to resolution. As the team works to resolve the issue, the incident tracking system continues to execute the workflow and escalation rules as identified in the maintenance agreement.</p> <p>Once the incident has been resolved, it is updated to reflect the final resolution and disposition. Within five business days, a root cause analysis is performed to identify the cause of the issue. Based on the outcome of the analysis, appropriate action is taken to ensure the root cause is addressed. This action could result in a code change, data change, process change, or a variety of other actions. A final report is shared with the customer to ensure that the loop is closed.</p>
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.3.e	Configurability		
TR.3.e1	The system must conform to ADA, Section 508 standards and NITC standards.		MyLicense is ADA 508 Compliant, and we will comply with NITC standards.
TR.3.e2	Labels and on-screen text must be configured or configurable to align with common department terminology.		MyLicense provides the capability for system administrators to configure labels/drop downs/templates to align with NDBF terminology.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.4 Document and template management			
TR.4.a	Forms Definition		
TR.4.a1	The system must allow staff to define and maintain forms and configurable forms business rules.		MyLicense provides the capability for system administrators to define, create, and maintain forms and business process rules. Business process rules (such as expiration policies, requirements for issuance, etc.) are configurable. The system administrator will also have the capability to configure the online submission pages/forms. In addition, NDBF will have the capability to create and maintain the templates for correspondence.

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.4.a2	The system must have the ability for programmer supplementation to deal with complexities of forms that cannot be handled by forms configuration.	The MyLicense platform is highly configurable to solve the needs of many different form types and requirements. While programmers are not able to directly write code that impacts the MyLicense functionality, customers are able to implement a variety of highly complex business rules and implementations to support the requirements. This includes Java-based rules for business rules processing on the backend, SQL rules that can be executed, as well as the ability to insert javascript on the front-end screens of MyLicense eGov. (However, custom eGov Javascript is not supported when upgrades to the platform are configured).
TR.4.a3	The system must allow for editing of forms (e.g. intra-form math) business rules on forms.	MyLicense allows for the editing (configuration) of forms, and allows the application of business rules to those forms.
TR.4.a4	The system must have the ability to define and maintain business rules for multiple time periods for the same form.	Business rules and forms are not required to have a one-to-one relationship, so the same form can be used with multiple rule setups.
TR.4.a5	The system should have the ability to associate forms that may be filed together as part of a single submission.	User menu items for submissions are fully configurable, allowing for the inclusion of multiple different forms, either optional or required, in a single submission
TR.4.a6	The system must have the ability to allow definition of range checks, tolerances, numeric/alpha, and other validations typically performed on submission form data.	The MyLicense platform enables users to add validation rules satisfying the requirement types listed. This is configurable through business rules executed in MyLicense Office and eGov when applications are processed.

Technical (TR)			
State Requirements			
Req #	Requirement Description		Bidder Response
TR.4.a7	The system should have the ability to allow for a hierarchy of form business rules.		Business rules configured in MyLicense Office are applied hierarchically, so that form rules can be defined at a global level, profession level, or license type level. In MyLicense eGov, this hierarchy extends to the agency level and the process type level.
TR.4.a8	The facility should provide for a copy and paste function, so form administrators do not have to start from scratch in defining the form for a new year.	Optional	Any responses to be noted under the Optional tab
TR.4.a11	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.5 Operations and Operational Flexibility			
TR.5a	General		
TR.5.a1	The system must have the ability to support batch processing and daily operations concurrently including internal and external user operations.		MyLicense supports concurrent processing of batch and daily operations, so that internal users, external users, and automated processes can operate harmoniously, with no performance or operational impact.
TR.5.a2	The system should have the ability for batch cycle-configured client accounting functions of the system to be user-initiated.		Available batch operations impacting client accounting can be scheduled in the job scheduler, or initiated manually by an authorized user.
TR.5.a3	The system should have the ability for batch cycle-configured submission processing functions of the system to be user-initiated.		Available batch operations impacting submission processing can be scheduled in the job scheduler, or initiated manually by an authorized user.

Technical (TR)			
State Requirements			
Req #	Requirement Description		Bidder Response
TR.5.a4	The system should have the ability for batch cycle-configured case management functions of the system to be user-initiated.		Batch-configured functions associated with case management can be scheduled or run manually.
TR.5.a5	The system should have the ability for batch cycle-configured correspondence functions of the system to be user-initiated.		Batch generation of correspondence associated with licensing and submission cycles can be either scheduled or run manually.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.5.b Batch Processing			
TR.5.b1	The system must have the ability to support and manage batch workflows.		License Documents, Invoicing, Mass General Mailer Creation, Enforcement Notifications, Document Migrations, Document Indexing, Bulk Status Changes, Bulk Address Changes, Voucher Generation, and Bulk Hold/Alert creation, Bulk Application Processing Assignment, are all managed via batch workflow.
TR.5.b2	The system must have the ability to create and maintain batch processing business rules.		MyLicense provides configurable secured access to the creation and scheduling of batch processes.
TR.5.b3	The system must have the ability for bulk batch processing reversals (i.e., if the system has a glitch and large volumes of bad data hit the posting system, the system must be able to strip those records (as a bulk reversal) from the system).		Large-scale data corrections are handled by technical support. The high level of configuration of business rules and processes requires hands-on intervention. However, bulk processes that modify or insert data, such as bulk imports, can be configured with validation rules that allow for the reversal of all or part of an import transaction if administrator-configured validation criteria are not met by imported records.
TR.5.b4	The system must have full backup and recovery capabilities for data and application components.		The MyLicense data and application backups are possible as a part of standard backup procedures and configurations. The OCIO will be able to perform backups as a part of their infrastructure deployment plan. If this was a MyLicense Cloud deployment, System Automation would take care of this.
TR.5.b5	The system must have the ability to archive data that is over a specified age, to be determined based on business rules, and to purge this archive based upon a user-defined schedule.		MyLicense users have the ability to flag license records as archived, individually or in bulk, based on user-defined business rules. Process jobs can be run to purge archived records on a user-defined schedule.
TR.5.b6	The system must have the ability to provide condition codes and other status information on batches.		The MyLicense Scheduled Jobs utility provides for status of current jobs and history of previous runs.

VDT ITS Functional and Technical Requirements

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.5.b7	The system must provide versioned business rules tables and data with effective and expiration dates.	Expiring business rules are offered where practical. Many business rules have an associated "apply date" and "expire date" allowing those rules to be phased in and out. For example, prerequisite relationship types and application requirement checklists can be assigned a phase-in and phase-out date. In some areas, full expiration of business rules and policy requires manual intervention.

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

Technical (TR)			
State Requirements			
Req #	Requirement Description		Bidder Response
TR 5.c	Job Scheduler		
TR.5.c1	The system must have a job scheduling capability that covers all batch operations for the system (e.g. batch load, batch update, reports, and correspondence generation). Manual override capability must be available.		MyLicense provides a Scheduled Jobs utility that provides for the configuration of schedules for batch jobs and manual override of those schedules.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.5.d	Maintenance, Configurability and Upgradeability		
TR.5.d1	The system must support extracts, exports, and downloads.		MyLicense supports exports/extracts/downloads of data via the Export Utility, which allows the export of any configured dataset in a delimited flat file. Additionally, data can be extracted, exported, or downloaded in any desired format from MyLicense Reporting, which allows data file templates to be produced by NDBF administrators using both using a detailed Report Designer and a robust ad hoc reporting tool.
TR.5.d2	The bidder must describe their Service Level Agreement options for their products.		System Automation has published service levels for our maintenance contracts. These service levels are described in the Scope of Work section of our Technical Proposal, under the header, "Continuing Support and Updates." System Automation conforms to ongoing maintenance contracts with every customer. We have a standard maintenance contract that we can share and discuss with NDBF upon request.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.6 Security			
TR.6.1	PII Rules must be manually configurable to match state rules (Nebraska, for example, says PII an example of PII is both a name and one of a DOB or address).		NDBF administrators can configure MyLicense to ensure that there is no channel for PII to exit the system in an uncontrolled fashion. For example, the public-facing MyLicense Verification allows for the configuration of displayed information allowing for custom adherence to PII rules.
TR.6.2	PCI data must be highlighted in the system, segregated from other data and encrypted.		MyLicense eGov integrates with externally-hosted payment processors that are responsible for securing and housing PCI data, so that no PCI data is ever transmitted by or to MyLicense. The payment processing vendor, subject to NDBF's selection, is responsible for the encryption of PCI data. This separation of duties between MyLicense and the payment processor ensures the proper segregation of PCI data from licensing and accounting data in the integrated system.

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.6.3	<p>The system must adhere to security standards and policies that are required by the State of Nebraska as defined by the NITC. For specifics, see:</p> <p>NITC 8-101: Information Security Policy http://nitc.nebraska.gov/standards/8-101.html</p> <p>NITC 8-102: Data Security Standard http://nitc.nebraska.gov/standards/8-102.html</p> <p>NITC 8-301: Password Standard http://nitc.nebraska.gov/standards/8-301.html</p> <p>NITC 8-302: Identity and Access Management Standard for State Government Agencies http://nitc.nebraska.gov/standards/8-302.html</p>	<p>System Automation subscribes and adheres to the NIST 800-53 standards. MyLicense has a System Security Plan (SSP) describing our adherence to these standards, which largely align with the NITC information security standards. Our product and the SSP undergo annual reviews; as emergent vulnerabilities are identified, SA enters them into the backlog, and prioritizes their resolution.</p>

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.6.4	The system must adhere to all security standards prescribed by the NIST Publication 800-53.	System Automation has performed an NIST 800-53 assessment and established a baseline System Security Plan (SSP) to perform incremental updates to the system to achieve full NIST 800-53 compliance as a part of the plan of actions and milestones. These findings are planned to be resolved in 2019 and confirmed as a part of our annual security assessment.
TR.6.5	The system must provide a security administrator function that allows for, at a minimum, separate controls for view, add, change, and delete,	MyLicense allows authorized administrators to define user roles based on the functional roles within NDBF. As appropriate, these roles can then be associated with elements of the user interface, including Navigation Menu items, Task Menu items, Buttons, Panels, and Fields, ensuring that users can only view, add, change, and delete data as allowed by their functional role within NDBF. This highly granular form of role-based security allows NDBF administrators instant and minute control over who gets to see and change data in MyLicense.
TR.6.6	The system must provide for role and permission based security.	MyLicense allows authorized administrators to define user roles based on the functional roles within NDBF. As appropriate, these roles can then be associated with elements of the user interface, including Navigation Menu items, Task Menu items, Buttons, Panels, and Fields. This highly granular form of role-based security allows NDBF administrators instant and minute control over who gets to see and change data in MyLicense, and ensures that each user's role adheres to the Principle of Least Access.
TR.6.7	The system must provide for access and update controls by page, license type, and user action.	MyLicense allows authorized administrators to define user roles based on the functional roles within NDBF. As appropriate, these roles can then be associated with elements of the user interface, including Navigation Menu items, Task Menu items, Buttons, Panels, and Fields. Furthermore, the controls (panels and fields) that appear on licensing pages can be controlled down to the license type level, allowing administrators to tailor the user experience to one appropriate for the selected license type.
TR.6.8	The system must have security that integrates with automated workflow components for establishing access and update privileges for work lists.	Role security is respected by workflow and reminder assignments, ensuring that users' work lists only receive workflow tasks and reminders pertinent to records they can access.
TR.6.9	The system must have security that establishes page and element level access.	MyLicense's highly granular role-based security provides security both at the menu navigation level and at the individual control level.

Technical (TR)			
State Requirements			
Req #	Requirement Description		Bidder Response
TR.6.10	The system must have security that integrates with automated workflow components for establishing access and update privileges for definition of which users are included in particular workgroups.		Group role assignability, as defined by the NDBF administrator, is respected by workflow and reminder security.

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.6.11	The system should support multi-factor authentication using Microsoft's Azure MFA capabilities.	The MyLicense Platform does not currently support multi-factor authentication via Microsoft Azure MFA. However, this enhancement can be made available in a future software release of the platform. Our team has experience working with several Azure capabilities including a recent integration with our portal to work with Azure B2C authentication, so this is definitely something that is possible to be integrated.
TR.6.12	The system should provide a single sign-on for all internal functions.	<p>The MyLicense platform does not currently support single-sign on for all internal applications. Standard users are able to access MyLicense Office whereas only a subset of administrative users are able to access the other configuration tools related to setup of eGov and MLO.</p> <p>Single sign-on support is an enhancement that could be added into a future software release of MyLicense and is on the roadmap where our team has been working towards the OAuth standard for authentication.</p>

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.6.13	The system should support single sign-on capabilities via integration with Active Directory.	The MyLicense platform will support the needs for Active Directory integration. However, the platform does not currently support single sign-on for internal functions. This support is an enhancement that could be added into a future software release of MyLicense.
TR.6.14	The system must maintain an audit trail of user activity that includes user ID and time/date stamp and IP address.	Auditing of database tables can be optionally enabled to track user changes to data with time stamps. MyLicense Server logs capture user IP address information
TR.6.15	The system must provide an audit trail of system administrators activities including user ID and time/date stamp and IP address.	System administrators are tracked in the same fashion as other MyLicense internal users, via audit tables and server logs.

Technical (TR)			
State Requirements			
Req.#	Requirement Description		Bidder Response
TR.6.16	The system must encrypt both in the production system, test system, reporting database, and in backups any personally identifiable client data including data stored as part of the error log.		MyLicense supports MSSQL Server Transparent Database Encryption (TDE), ensuring encryption at rest of all MyLicense data.
TR.6.17	The system must encrypt all personally identifiable data in transit for all environments.		MyLicense supports communication over HTTPS using TLS 1.2. When enabled by NDBF, TLS 1.2 ensures strong encryption in transit.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
TR.7 USER INTERFACE			
TR.7.a	General		
TR.7.a1	The user interface must be browser-based, compatible with Microsoft Internet Explorer or Edge. Bidder will notify which versions are compatible.		MyLicense is browser based, and is compatible with the latest version of Microsoft Internet Explorer, but does not support Edge.
TR.7.a2	The system must have online help at the screen or page level that includes internal and external users.		MyLicense offers configurable instruction text at the page level for public-facing forms. MyLicense robo-help provides for configurable help instructions for internal users, in addition to a complement of native helptext.
TR.7.a3	The system must have the ability to carry forward header information when navigating from one screen (or page) to another.		MyLicense provides breadcrumb navigation information in page headers to ensure that the user is provided with the appropriate context when navigating through a multi-page process.
TR.7.a4	The system must have the ability to restrict or eliminate menu selections that the user is not authorized to use based on security settings.		MyLicense's highly granular role-based security provides security both at the menu navigation level and at the individual control level, ensuring that users can only access what their functional role authorizes them to access, as determined by NDBF administrators.
TR.7.a5	The system must display both client submitted and department calculated values on filing amounts for internal users.		Client submitted and department calculated values on filing amounts are both displayable to internal (i.e., MyLicense Office) users.
TR.7.a6	The system must have formatted printing of selected pages.		MyLicense eGov allows users to print any page (such as a receipt page) for storage and later retrieval. MyLicense Office allows for the printing of pages to allow the translation of digital to physical records.
TR.7.a7	The system should have a time and date stamp on formatted printing.		Forms printed from read-only printable views will have a timestamp. Templates created for correspondence can be configured to include a timestamp.
	Future enhancements	Optional	Any responses to be noted under the Optional tab

Technical (TR)		
State Requirements		
Req #	Requirement Description	Bidder Response
TR.7.c	Interfaces	
TR.7.c1	The system must have the ability for information from internal and external interfaces to update client information based on business rules.	MyLicense allows for information to be updated from internal and external interfaces according to business rules.
TR.7.c2	The system must support internal interfaces with existing State of Nebraska systems as necessary during and after system implementation.	MyLicense provides broad interface configurability with third-party systems (such as State of Nebraska systems) through our import and export utilities, and can work with NDBF administrators to identify and implement integration requirements for these systems during and after system implementation.
TR.7.c3	The system must have the ability to interface with the State of Nebraska's central accounting system JD Edwards E1 Payroll Financial Center or Fuzion, depending on project completion.	MyLicense will interface with JD Edwards E1 Payroll Financial Center or Fuzion. MyLicense Office can accept imports in any delimited or fixed-length file format, and can generate exports in either delimited or fixed-length formats. Imports can be re-configured at any time to adapt to external system changes.
TR.7.c4	The system must have the ability to import information from the Nationwide Mortgage Licensing System, including capabilities to re-configure as their system changes.	MyLicense will import information from NMLS, as is currently performed in Utah. MyLicense Office can accept imports in any delimited or fixed-length file format. Imports can be re-configured at any time to adapt to external system changes. MyLicense Office can also generate exports in either delimited or fixed-length formats.
TR.7.c5	The system must have the ability to import Call Report, Uniform Bank Performance Report (UBPR) and Statistical CAMELS Off-site Rating (SCOR) information from the FDIC Extranet, including capabilities to re-configure as their system changes.	MyLicense will import Call Report, UBPR, SCOR, and FDIC extranet data. MyLicense Office can accept imports in any delimited or fixed-length file format. Imports can be re-configured at any time to adapt to external system changes.
TR.7.c6	The system should have the ability to import CSV information from the Financial Industry Regulatory Authority (FINRA) Central Registration Depository (CRD)/Investment Advisor Registration Depository (IARD), or the "State Data Download" XML package, including capabilities to re-configure as their system changes.	MyLicense Office can accept imports in any delimited or fixed-length file format. Imports can be re-configured at any time to adapt to external system changes. MyLicense Office will also be able to import the State Data Download XML package.
TR.7.c7	The system must have the ability to import information from the ABD BlueExpress System (XML files on FTP), including capabilities to re-configure as their system changes.	MyLicense Office can accept imports in any delimited or fixed-length file format. Imports can be re-configured at any time to adapt to external system changes. MyLicense Office will also be able to import information from BlueExpress in XML format.

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Technical (TR)			
State Requirements			
Req #	Requirement Description		Bidder Response
TR.7.c8	The system must have the ability to import information from the North American Securities Administrators Association (NASAA) Electronic Filing Depository (EFD), including capabilities to re-configure as their system changes.		MyLicense supports the import of information from NASAA and EFD. MyLicense Office can accept imports in any delimited or fixed-length file format. Imports can be re-configured at any time to adapt to external system changes.
TR.7.c9	The system should import license and enforcement information for Federally regulated entities that have offices in Nebraska from bulk delimited, Excel or XML-based (including XBRL) files or via API call.		MyLicense supports the import of license and enforcement information for Federally regulated entities. MyLicense Office can accept imports in any delimited or fixed-length file format.
TR.7.c10	Capture digital signature information from a e-signature provider, preferably DocuSign.	Optional	Any responses to be noted under the Optional tab
	Future enhancements	Optional	Any responses to be noted under the Optional tab

Common Services Requirements (CO)			
State Requirements			
Req #	Requirement Description		Bidder Response
CO.1 Correspondence			
CO.1.a General			
CO.1.a1	The system must be able to establish and maintain a library of correspondence templates that will be used for system generated correspondences, notices, and bills.		MyLicense Office uses Microsoft Word templates to create a correspondence template. For each correspondence template, MyLicense Office allows system administrators to establish and maintain the correspondence library. Correspondences produced within MyLicense Office will use the configured NDBF template.
CO.1.a2	The system must be able to provide a means to define and maintain configurable business rules for handling correspondence.		MyLicense Office provides the capability to define and maintain when correspondences should be created (e.g., when a license is issued, send a license document). In addition, MyLicense Office allows for configuration to identify if a correspondence can be sent for a license of a specified status.
CO.1.a3	The system must be able to save a read only copy of all correspondence generated or created on an ad hoc basis for online retrieval and viewing.		MyLicense Office supports retaining a read-only copy of generated correspondence. A read-only version of generated correspondence will be attached the MyLicense Office record and viewable by authorized NDBF users, as well as can be marked as viewable online.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
CO.1.b Paper Stock, Formats and Printing			
CO.1.b1	The system must be able to route correspondence to multiple printers, including the DAS Print Shop.		Correspondence can be individually assigned to specific printers. The desired printer(s) must be visible on the network to MyLicense Print.
CO.1.b2	The system must be able to queue correspondence for batch printing based on configurable business rules.		MyLicense Office supports both immediate and batched printing. Batch printing respects the business rules applied for the profession and licensure status.
CO.1.b3	The system should be able to batch print jobs to a merged .pdf based on configurable business rules.		MyLicense Office batch types can be configured to be generated as pdf documents.
CO.1.b4	The system must be able to provide variable text formatting both within and across different correspondence types.		MyLicense Batch Templates are based on Microsoft Word documents, and can contain any formatting supported by that platform.
CO.1.b5	The system must be able to automatically maintain a correspondence log.		MyLicense Office automatically maintains print and email correspondence history.
CO.1.b6	The system must be able to print an exact duplicate of a previously generated notice, bill, or other correspondence.		MyLicense Office provides the capability to create a read-only version of a correspondence, which can be printed to produce an exact duplicate of the previously generated correspondence. MyLicense Office also provides the capability to requeue previously generated documents to be resent.
CO.1.b7	The system should be able to re-send submitted mail items to a secondary address in a pre-defined hierarchy of addresses.		MyLicense Office supports re-sending of previously sent correspondence. System administrators can create a custom field (without coding changes) to define the hierarchy of addresses and track failure of delivery to an address.

VDT ITS Functional and Technical Requirements

Common Services Requirements (CO)			
State Requirements			
Req #	Requirement Description		Bidder Response
CO.1.b8	The system must be able to suppress mailings to "bad addresses".		MyLicense Office supports identification of "bad addresses". Through the use of merge codes, the use of a bad address could be prevented.

Common Services Requirements (CO)			
State Requirements			
Req #	Requirement Description		Bidder Response
CO.1.b9	The system should be able to define ongoing and/or unique sending of correspondence based on a set of pre-identified parameters (e.g., a one time exception set of processes, or natural disasters).		MyLicense Office provides the capability to configure the sending mechanism for correspondence. One can configure a correspondence to be sent via a specified method for special circumstances, which is not the routine method of delivery.
CO.1.b10	The system must be able to generate and support the mailing process for correspondence, including the DAS Print Shop.		MyLicense Office can support the generation of any kind of document that could be created using Microsoft Word. This includes envelope printing, wallet cards, wall certificates, and more. A template can be created to handle any paper size or printing method.
CO.1.b11	The system must be able to rerun print jobs.		MyLicense Office includes the capability to requeue a print job.
CO.1.b12	The system must be able to restrict the printing of SSN, TPID, or FEIN on correspondence according to business rules.		NDBF will design the template for all correspondence. The template will include merge codes that identify the data to be included in the correspondence template. Therefore, NDBF has control over the data that is printed on correspondence and can exclude sensitive data (such as, SSN, TPID, or FEIN).
CO.1.b13	The system should be able to generate unlimited correspondence templates.		Yes, MyLicense Office has no limit to the number of correspondence templates.
CO.1.b14	The system should be able to insert bar codes or QR codes on correspondence.	Optional	Any responses to be noted under the Optional tab
CO.1.b15	The system should be able to read bar codes on submitted mail and automatically update status of the correspondence and update address status to 'bad address'.	Optional	Any responses to be noted under the Optional tab
CO.1.b16	The system should be able to allow users to review, edit, or delete individual correspondences or an entire correspondence batch job before batch printing.		The print batch management interface allows for the review and modification of batched print jobs. Individual records within a batch can be previewed before printing, and removed from the batch. An entire batch can be deleted without printing.
CO.1.b17	The system should be able to support overnight delivery of certified and registered mail.	Optional	Any responses to be noted under the Optional tab
CO.1.b18	The system should be able to support certified delivery of mail.	Optional	Any responses to be noted under the Optional tab
CO.1.b19	The system should be able to support registered delivery of mail.	Optional	Any responses to be noted under the Optional tab

Common Services Requirements (CO)			
State Requirements			
Req #	Requirement Description		Bidder Response
CO.1.b20	The system should be able to automatically associate various documents that are to be mailed together based on profile addresses (excluding assessments).	Optional	Any responses to be noted under the Optional tab
CO.1.b21	The system should be able to assemble ad hoc correspondence from a library of standard paragraphs that are maintained in the system.	Optional	Any responses to be noted under the Optional tab
CO.1.b22	The system should be able to generate a cover letter to be attached to an exact copy of a letter.		NDBF will design the template for all correspondence. Templates can be created for cover letters and these can be part of another template or separate templates.

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

Common Services Requirements (CO)		
State Requirements		
Req #	Requirement Description	Bidder Response
CO.2a	General	
CO.2.a1	The system must be able to provide a 'reports' library that contains all scheduled, as needed, and previously created ad hoc reports from both the production and reporting databases.	MyLicense Office provides a reports library. MyLicense comes with a stock of standard reports. In addition to the stock reports, NDBF can upload custom Crystal Reports or JasperSoft reports into the report repository. Access to reports in the report library is restricted by user security.
CO.2.a2	The system must allow users to define and maintain configurable business rules for handling reports.	MyLicense Office supports security restrictions on report access so that only authorized persons can access reports. In addition, MyLicense Office's profession driven-security is also applied to the reported data displayable to a user.
CO.2.a3	The system must allow users to report on all data elements maintained in the system. (e.g. within contact information, submissions processing, revenue accounting, enforcement, audit, security and contact accounting).	MyLicense Office Reports can be created to retrieve any data in the database. However, MyLicense Office's profession driven-security is also applied to the data that a user has permissions to view.
CO.2.a4	The system must allow users to select reports to run from a reports library.	When an authenticated user access the reports library within MyLicense Office, they will select the report to be executed. The report will open to the user for selection of any applicable parameters, and then the report will execute. The listing of reports available to the user is controlled through system administrator defined user security.
CO.2.a5	The system must be able to provide user-configurable management reports.	MyLicense Office supports NDBF defined management reports.
CO.2.a6	The system must allow users to configure, schedule and execute recurring batch reports.	MyLicense Office and Jaspersoft Studio provide users the capability to create custom batch reports for recurring scheduled use.
CO.2.a7	The system must be able to save and maintain a history of all recurring batch reports.	Jaspersoft Studio maintains a history of the last run time of scheduled reports.

Common Services Requirements (CO)			
State Requirements			
Req #	Requirement Description		Bidder Response
CO.2.a8	The system must allow system admins to create or modify user functionality security rules.		MyLicense Office provides extensively configurable user access security. Users configured as system administrators have permissions to create new users and assign applicable security rules. In addition, system administrators can modify existing user's security rules.
CO.2.a9	The system must support parameter driven queries.		MyLicense Report queries accept parameters.
CO.2.a10	The system must allow users to perform drill-down inquiries from related summary line items to the transaction detail level.		Report details can be searched for in MyLicense, allowing the user to obtain relevant context of summary items.
CO.2.a11	The system must be able to send output reports from the production application or the reporting database to offline printing at DAS print shop.		Reports can be printed from any printer that is available over network to the MyLicense Office reporting tool. Also, correspondance templates can be configured to use any printer available to the system, allowing different kinds of print jobs to automatically route to different devices.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
CO.2.b Reporting Database and Ad Hoc Reporting			
CO.2.b1	The system should be able to automatically update and maintain data synchronization between the production database for the system and any reporting or other databases.		Reporting is done from the production database, so there is never any disparity in data.
CO.2.b2	The system should be able to create and maintain an unlimited number of ad hoc reports.		MyLicense Office does not have a restriction on how many reports can be in the report library.
CO.2.b3	The system must be able to create ad hoc reports with configurable time parameters.		Creation of ad-hoc reports includes the capability for a wide variety of input parameters, including time and date.
CO.2.b4	The system must be able to use ad hoc reporting facility to create an extract.		Yes, report data can be exported as CSV files or in many other importable format. MyLicense Office includes additional capabilities for data extraction (such as, data exports).
CO.2.b5	The system must be able to report on aging of all business parameters (e.g. workflow, cases, submissions, refunds)		MyLicense includes some stock reports that provide aging information. In addition, specific NDBF reports can be created to report on any data and parameters.
	Future enhancements	Optional	Any responses to be noted under the Optional tab

Common Services Requirements (CO)		
State Requirements		
Req #	Requirement Description	Bidder Response
CO.3 General Workflow		
CO.3.a	General	
CO.3.a1	The system must be able to provide an automated work flow function that provides for setup and maintenance of work lists by a workflow administrator.	MyLicense Reminders maintains a list of work tasks for users and is system administrator configurable. Workflow setup and maintenance is available to user with administrator permissions.
CO.3.a2	The system should be able to provide an automated work flow function that provides for setup and maintenance of routing rules by a workflow administrator.	MyLicense Office provides the capability to setup and maintain administrator defined work flow.
CO.3.a3	The system must be able to provide an automated work flow function that provides for setup and maintenance of work groups by a workflow administrator.	System administrators can configure and maintain MyLicense users NDBF definable groups.
CO.3.a4	The system should be able to provide an automated work flow function that provides for setup and maintenance of prioritization rules by a workflow administrator.	MyLicense Reminders provides a listing of work items. Users will be able to see their task assignments. Reminders panel provides the capability to sort their listing by type, due date, status, and other fields.
CO.3.a5	The system must be able to provide an automated work flow function that provides for monitoring of backlog at the work list and process levels.	MyLicense Office users with security access can search work lists by assignment or by creating user, type (process), due and critical dates, and status, allowing several viewpoints into the current work list backlog.
CO.3.a6	The system must be able to provide an automated work flow function that provides for monitoring of throughput at the work list and process levels.	The MyLicense Transaction Log (TranLog) retains data on transaction processing by users, which can be used to populate a custom report on user throughput.

Common Services Requirements (CO)			
State Requirements			
Req #	Requirement Description		Bidder Response
CO.3.a7	The system must be able to provide an automated work flow function that provides for monitoring of aging at the work list and process levels.		MyLicense Reminders allows for task items to have a due date. The task listing can be sorted by an items status regarding it's due date.
CO.3.a8	The system must be able to provide an automated work flow function that provides for monitoring of assignments at the work list and process levels.		Administrators with security access can search reminders by assignment, creating user, type (process), due and critical dates, and status.
CO.3.a9	The system must be able to provide an automated work flow function that provides for re-assignment tools.		MyLicense Office provides the capability for tasks to be re-assigned.
CO.3.a10	The system must be able to provide a means to define and maintain configurable business rules for worklists.		Work list item assignability and processing access are governed by user and user group security, assignment rules, and process business rules configurations.
CO.3.a11	The system should be able to create data for and create diagrams for performance metrics.		The MyLicense Transaction Log (TranLog) retains data on transaction processing by users, which can be used to populate a custom report on user throughput. A custom report can be optionally created with charts and graphics in addition to or instead of tabular results.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
CO.3.b Workflow Balancing/Work Management Capabilities/Worklists			
CO.3.b1	The system must be able to search and sort work lists based on configurable filters.		MyLicense Reminders provides a listing of work items. Users will be able to see their task assignments. Reminders panel provides the capability to sort their listing by type, due date, status, and other fields. In addition, users have the capability to search for reminders of whom they're assigned to, the type of task, due date, critical date, who created the task, and status of the task.
CO.3.b2	The system should be able to temporarily assign employees to other work groups.		Employees can be assigned to a group and given an expiration date for that assignment resulting in temporary assignment.
CO.3.b3	The system must be able to manage and maintain worklists.		The MyLicense Reminders interface allows for the creation and management of work items.
CO.3.b4	The system must be able to maintain a history for each work list.		The MyLicense Reminders interface allows for searching completed (historical) tasks.

Common Services Requirements (CO)			
State Requirements			
Req #	Requirement Description		Bidder Response
CO.3.b5	The system must have configurable views and functionality to support usage and navigation of worklists.		MyLicense provides the capability to configure various types of tasks. The type of task identifies the navigation path from the task. For example, if the task is for a licensing function, then the user will be able to select the task to navigate into the licensing module directly to the license record for which the task was created. Users will only see their assigned tasks with the exception of system administrators that have the permission to see all tasks. Users can sort the tasks by date or by function to set up a preferred view.
CO.3.b6	The system should be able to automatically direct the user to the work list to select another item once they have completed the current one.		The work item (reminder) list automatically updates as items are completed, directing the user to the next prioritized item within the current work list
CO.3.b7	The system should be able to allow a user to skip a work item in a worklist and go to the next item.		The user is permitted to select any reminder work item in their listing.
CO.3.b8	The system should be able to show items in suspense and items in work lists as part of an online consolidated view of the contact.	Optional	Any responses to be noted under the Optional tab

Common Services Requirements (CO)			
State Requirements			
Req #	Requirement Description		Bidder Response
CO.3.b9	The system should be able to receive items into workflow from external interfaces (e.g. external systems, audits from data warehouse).		Workflows can be created based on externally imported data.
	Future enhancements	Optional	Any responses to be noted under the Optional tab
CO.4 Common Service Other			
CO.4.1	The system must be able to provide a dashboard or view that displays all contact activity regardless of application or enforcement type.		Custom reporting allows for the creation of real-time dashboard charts, diagrams, and tables based upon any data within the system. Configurable permissions allow system administrators to limit access to data.
CO.4.2	The system must have a notes and comments functionality at all account, case and application levels.		MyLicense Office allows for Comments/Remarks in Accounting, Enforcement (case/complaint/investigation/litigation management) and Licensing management modules.
CO.4.3	The system must be able to implement exceptions for special provisions in statute. (e.g. existing licensure may simplify application processes)		All business rules are configurable. For instance, application requirements can be configured to be waiveable when processed. In addition, MyLicense Office supports grandfathering requirements for application received prior to change in regulations.
CO.4.4	Documents in the system must be able to be secured by the user to multiple levels: confidential (to the item they're attached to), department-wide visibility or publicly available.		Department-level processing security along with configurable profession access allows for restriction of document access. Documents can also be made fully non-public.
	Future enhancements	Optional	Any responses to be noted under the Optional tab

Web Self-Services (OS)		
State Requirements		
Req #	Requirement Description	Bidder Response
OS.1 Web Self-Service		
OS.1.1	The system must provide a self-service, publically accessible Internet portal.	MyLicense eGov is a publically accessible internet portal where prospective or existing licensees, applicants, and related entities can register themselves a profile.
OS.1.2	The system's self service Internet portal must have the ability to register a prospective or existing licensee for appropriate licenses. These applications may include attachments and require a fee to be paid electronically.	MyLicense eGov allows prospective or existing licensees to register, apply for, update, and/or renew appropriate licenses. If a submission requires payment of applicable fees, then eGov will require payment before submission of the request. MyLicense eGov allows system administrators to configure a submission to include file attachment(s), including the capability to identify if a document is required for upload.
OS.1.3	The system's self service Internet portal must have the ability for a licensee to request a change of their recorded address.	MyLicense eGov allows registered licensees to directly change or request to change addresses related to their profile, including their recorded address. If supporting documents are required for address changes, eGov can be configured to receive uploaded documents.
OS.1.4	The system's self service Internet portal must have the ability to lookup their balances owed.	MyLicense eGov can interact with MyLicense Office in real-time and can post invoice balances to a registered prospective or existing licensee's profile, including balances owed.
OS.1.5	The system's self service Internet portal must have the ability to lookup their amount paid.	At any time, eGov users can log into MyLicense eGov to view a complete payment history. The payment history is a history of all transactions associated with the licensee, granting full visibility into licensee's history of payments.
OS.1.6	The system's self service Internet portal must have the ability to lookup and edit their profile.	MyLicense eGov allows registered prospective or existing licensees to lookup and edit their profile.
OS.1.7	The system's self service Internet portal must have the ability for applicants or complainants to submit forms.	MyLicense eGov allows applicants to step through checklist-driven pages to enter relevant and/or required information as an online-form to initiate an application. MyLicense Verification allows complainants to enter relevant and/or required information as an online-form to initiate a complaint. Both MyLicense eGov and MyLicense Verification allow system administrators to configure the opportunity for or requirement of electronic submissions.

OS.1.8	The system's self service Internet portal must have the ability to lookup the status of an application.		MyLicense eGov allows registered prospective or existing licensees to lookup the status of an appropriate application. If desired, MyLicense Verification can be configured to allow the public to see pending licenses.
OS.1.9	The system's self service Internet portal must have the ability to cancel or withdraw licenses.		MyLicense eGov allows registered prospective or existing licensees to withdraw a license/registration application or renewal before final submission.
OS.1.10	The system's self service Internet portal must have a help wizard.		MyLicense eGov allows administrators to configure instructional text, example text, and pre-filled fields when appropriate. Documentation can be posted, uploaded, or linked to guide a user through various processes.
OS.1.11	The system's self service Internet portal must have forms request.		MyLicense eGov allows administrators to configure a Document Request or Order Documents module where registered prospective or existing licensees can request various documents or forms.
OS.1.12	The system's self service Internet portal must be able to publish department documents, based on configurable business rules.		MyLicense eGov allows administrators to configure links to download department documents, based on configurable business rules. Such links can reference documents hosted with the MyLicense eGov application or can reference any publically accessible link or document.
OS.1.13	The system's self service portal should allow other State of Nebraska agencies or departments to make inquiries based on configurable business rules.		MyLicense Office allows administrators to configure the security of MyLicense Office modules. This security is role, user, and group based and administrators can allow or restrict the viewability, editability, searchability, and actionability of system data/records to certain user groups of other State of Nebraska agencies or departments, based on configurable business rules. MyLicense Verification is a publically available internet portal that allows administrators to configure exactly what system data/record details are searchable and publically available as results of searches, based on configurable business rules.
OS.1.14	The system's self service Internet portal may have the ability for applicants to submit payments.	Optional/ Additional	MyLicense eGov provides administrators the ability to integrate their preferred electronic payment processor to allow applicants to submit various payments.
	Future enhancements	Optional	Any responses to be noted under the Optional tab

Statement of Work (SW)		
State Requirements		
Req #	Requirement Description	Bidder Response
SW 1 IMPLEMENTATION STRATEGY		
SW.1.1	IMPLEMENTATION STRATEGY AND PROJECT PLAN MUST ACCOMPLISH INSTALLATION AND TRAINING PRIOR TO 4/3/2020	<p>Once the UAT issues have been resolved and completed by 3/14/2020, the solution will be implemented and active in the production environment no later than 4/3/2020. After Go-Live, the Operational Support period begins, where SA works to resolve issues, if any remain. Should any Go-Live issues remain at the end of the Operational Support period, the project team will work with the Customer Support team to resolve these issues after the formal transition to Customer Support.</p> <p>System administrator training will occur early on in the project to provide the necessary training to configure the system, and end user training will occur prior to go live to keep training fresh in end user's mind so that they can perform normal operations in the MyLicense system at go live.</p> <p>The attached project plan details the schedule for each deliverable to support this targeted go live date. This includes the initial data migration from NDBF's current system to MyLicense, a data migration iteration for go live, end user training, system administrator training, configuration, and all other necessary tasks for implementation.</p> <p>The project plan also includes the estimated timeframe per task including estimated start and finish dates along with the SA hours per task. Our task tables within the Technical Approach section of our proposal identify who is responsible for leading the task, (SA or the State) and the State skill set required to perform those tasks.</p>
SW 2 CHANGE MANAGEMENT PLAN		
SW.2.1	DESCRIPTION OF PLANNED AND UNPLANNED CHANGE DEPLOYMENT	<p>While MyLicense Office is robust, customers do have the ability to submit a change request. Having a Change Advisory Board "CAB" in place will allow customers to agree on which changes they would like to submit to SA and go through our change process.</p> <p>Upon receipt of a change request, regardless of whether the change is related to contractual scope or to a software change, the requested change is documented and SA's change management process is initiated. The review of a change request will result in a recommended course of action that will be submitted to the originator of the request for approval. The governance model will include Project Managers, the Executive Committee, and the Contract Administrator for both SA and the client agency.</p>
SW 3 COMPREHENSIVE SYSTEM DOCUMENTATION		
SW.3.1	DOCUMENTATION FOR ALL ADMINISTRATIVE AND USER INSTRUCTION AS WELL AS PRE-REQUISITES AND THIRD-PARTY COMPONENTS	<p>Documentation for all Administrative and User Instruction as well as prerequisites and hardware specifics can be found on SA's documentation portal. SA's documentation portal contains a User's Guide and Technical Reference Manual. NDBF will have access to the documentation portal (including User Guides and Technical Reference manuals).</p>
SW 4 MIGRATION PLANNING AND IMPLEMENTATION		
SW.4.1	MIGRATION PLAN OF ALL EXISTING DEPARTMENT RECORDS, DOCUMENTS AND TEMPLATES THROUGH EXISTING SYSTEM SHUT DOWN	<p>Conversion projects will be done using import formats and stored procedures. The purpose of the import format is to provide a target for project completion and prevent users from having to develop an in-depth knowledge of MyLicense Office to complete the conversion.</p> <p>This process is further aligned in the Technical Approach section of the proposal, and we have attached our data conversion plan that review this process in more detail.</p>
SW 5 USER TESTING AND ACCEPTANCE PLAN REQUIRED		

SW.5.1	TEST PLANS AND SCHEDULE OF NO LESS THAN THREE (3) WEEKS	<p>SA understands NDBF's need for the MyLicense system to be thoroughly tested to ensure the functionality is correct and performance is high. The implementation is broken down into two-week 'sprints'. Each 'sprint' will be comprised of defined tasks for each party to complete. Throughout these sprints, SA in tandem with NDBF will work through the assigned tasks of system configuration and testing.</p> <p>After completion of the 'sprints', the project will transition into User Acceptance Testing (UAT) where NDBF staff will have the opportunity to do full regression testing for three weeks. SA will work with NDBF to perform controlled acceptance testing. All items that will be tested will be included in an acceptance test plan. A sample Detailed Test Plan for UAT has been attached to this proposal. This test plan will include specific test cases to cover edits, constraints, and licensing restrictions for the license types configured in the system. All defects discovered will be documented and addressed throughout that process.</p> <p>This approach allows discovered defects to be addressed and resolved quickly, as well as the benefit of sharing the responsibilities to get through the implementation quickly and move on to Go Live.</p> <p>Further detail is outlined in the Technical Approach of our proposal.</p>
SW 6 TRAINING		
SW.6.1	INITIAL TRAINING FOR UP TO FIVE INDIVIDUALS FOR TESTING	<p>SA will provide training in support to NDBF for the following users and areas:</p> <ul style="list-style-type: none"> •MyLicense Office System Administration Training •MyLicense eGov and Verification System Administration Training •End-user Training <p>System administrator training will take place early on in the project, which will be reinforced through joint configuration of the system with SA Implementation Specialists. The SA Project Manager and NDBF Project Manager will determine the best approach to ensure all NDBF users receive the necessary training before the system is put into production.</p> <p>Initial MyLicense Office system administrator training will consist of five on-site days, and MyLicense eGov and Verification system administrator training will consist of three on-site days. This training will occur after the software installation and immediately before the related configuration. This just-in-time training approach allows users to have the training they need fresh in their mind and helps to reinforce the topics of training with configuration of the system. In addition, system administrators will be trained on all aspects of system support and operational aspects necessary to support this NDBF mission critical system.</p> <p>End user training will take place prior to go live so that end users will have training fresh in their mind to begin use of the system. This training will consist of four on-site days. Attendees will be provided with training materials to include training exercises to make certain the necessary information has been properly conveyed.</p> <p>Our just-in-time training approach and breadth of training allows end users to be capable of using the system for normal operations, and allows system administrators to be self-sufficient and capable of supporting both the system and end users.</p>
SW : TECHNICAL ASSISTANCE		
SW.7.1	TRAINING FOR UP TO FIVE INDIVIDUALS	<p>System administrator training is described above. These users will gain an understanding of tables through the data conversion process and will also have access to the data dictionary. Users will be able to utilize the ad-hoc report writer for queries on front end, and will have access to their database on premises.</p> <p>The SA Project Manager and NDBF Project Manager will determine the best approach to ensure all NDBF users receive the necessary training before the system is put into production.</p> <p>Training will include instruction on how customize MyLicense to best support the needs of NDBF. These training topics will include instruction on how to add or remove features, functionality and make custom alterations. These changes can made utilizing both out-of-the-box features as well as create custom fields without additional programming fees.</p>

SW.7.2	INSTRUCTION MANUALS		Documentation for all Administrative and User Instruction can be found on SA's documentation portal. SA's documentation portal contains a User's Guide and Technical Reference Manual. NDBF will have access to the documentation portal (including User Guides and Technical Reference manuals).
SW.8 TECHNICAL ASSISTANCE FOR USER ACCEPTANCE REVIEW			
SW.1.8	TECHNICAL SUPPORT IN RESPONSE TO USER ACCEPTANCE EXPERIENCE BY 3/14/2020		<p>Prior to UAT, NDBF Administrators and SA will agree upon a timeframe within which any remaining issues from functional testing will be resolved. If any, this list will be presented to end users, to avoid duplication on the Detailed Test Plans. SA will prepare the agenda for UAT, and NDBF will set up the testing facility, ensuring that users have the resources to perform all portions of testing.</p> <p>Testing will be executed according to the UAT agenda and the Detailed Test Plan. Users will work through the license types and processes in accordance with their functional role on the agenda, completing the test plans in the order specified.</p> <p>A solid plan with clear roles is critical to a successful User Acceptance Test and ultimately for NDBF to reach the finish line of Go-Live!</p> <p>As testing ensues, a UAT Issue Log is generated and reviewed by both the NDBF administrators and the SA Implementer, ensuring that appropriate priorities are assigned to each issue and that all issues are clearly understood. As able during testing, SA and NDBF resources will work to resolve identified issues in order of priority.</p> <p>As the conclusion of UAT nears, NDBF and SA will review the issues list, and determine a Target Resolution Date for each issue. Those issues whose resolution dates fall within the UAT period preceding retesting will then be resolved by NDBF and SA. Any unresolved items will be conveyed to the NDBF end users, and the NDBF end users will retest identified items that have been resolved, and mark validated items as Closed. Resolution of all issues identified within UAT will be completed by 3/14/2020 as stated in the project plan.</p>
SW.9 PROJECT HANDOFF			
SW.1.9	PROJECT HANDOFF BY 6/26/2020		Once the UAT issues have been resolved and completed by 3/14/2020, the solution will be implemented and active in the production environment no later than 4/3/2020. After Go-Live, the Operational Support period begins, where SA works to resolve issues, if any remain. Should any Go-Live Issues remain at the end of the Operational Support period, the project team will work with the Customer Support team to resolve these issues after the formal transition to Customer Support.
SW.10 CONTINUING SUPPORT AND UPDATES			
SW.10.1	SUPPORT HOURS BETWEEN 7AM AND 6PM CT MONDAY-FRIDAY		<p>SA understands NDBF's need for stellar customer service and is available for ongoing Support will be available from SA between 7AM and 6PM CT Monday through Friday. SA understands NDBF's need for stellar customer service. Our relationship with clients begins at the project kickoff meeting and continues throughout our maintenance and support contract period. In delivering this customer service, our emphasis is on extending the close partnership that was developed during the initial implementation. SA's mission is to align our systems and service to the public service missions of the agencies we work with. We believe that we too have a role in protecting the general public.</p> <p>As part of the implementation, SA provides training and documentation for the deployment of minor and major releases for up to 5 Department staff on all aspects of MyLicense. The SA team will provide in-depth system administrator, end user, and maintenance training, which will include webinar training sessions. A time-and-materials rate plan for the life of the contract for any future enhancements or changes within scope that cannot be performed through the configuration of the system are included in the cost proposal.</p>

SW.10.2	RELEASE DEPLOYMENT INSTRUCTIONS	<p>Upon software release, the release event consists of several related subtasks:</p> <ul style="list-style-type: none"> - Customer notification: Clients are notified that a new version is available for download/testing. - Publish build to clients' FTP sites: The software is placed upon the clients' SA FTP site to be downloaded for testing. - Documentation – SA publishes release notes to the SA Documentation site. The release notes will contain a lists of software changes. SA also publishes Functional Enhancement (FE) documents for more significant changes. <p>Updates of such things will be provided to the Department via secure file transfer solutions (Secure File Transfer Protocol, State-provided VPN access or State-provided ShareFile cloud sharing).</p>
SW.11 PROJECT PLANNING		
SW.1.11	PROJECT PLANNING AND MANAGEMENT	<p>As we have presented in the key personnel section, our Project Manager, Liz Wabik, has been assigned to be the point of contact for System Automation. She will work hand-in-hand with the department's assigned Project Manager from the Government side. She is the Implementation Manager and is the primary point of contact throughout the project.</p> <p>SA's approach is derived from best-of-breed project management methodologies based on Project Management Institute (PMI) principles combined with our extensive experience in implementing similar licensing systems utilizing a collaborative approach to COTS deployment.</p> <p>A key prerequisite for successful project execution is making sure that both NDBF and SA have a mutual understanding of what the Agency's functional requirements are and how MyLicense will meet those requirements. To facilitate complying with the requirements of the RFP, SA will lead and manage the project following a waterfall lifecycle consisting of multiple stages, each critical to project success. Each stage of the project includes specific tasks and deliverables.</p> <p>The following summarizes the stages involved in a typical implementation:</p> <ul style="list-style-type: none"> •Project Management Plan / Project Management – tasks, activities, and assignments •Creating the SA Hosted Environments - Development, Test, and Production •System Administrator Training – including system configuration training •Baseline MyLicense Office Configuration •Interfaces (imports and exports) •Custom Document Merge Templates •Baseline eGov and Verification Configuration – configured online services •Planning, Management, and Execution of User Acceptance Testing •End User Training including use and operation of MyLicense Office •Planning, Management, and Execution of System Rollout <p>Please see the Implementation Approach section of the proposal, as well as our</p>

Licensing (L)			
Req #			Bidder Response
L 1 Contact Information			
L.1.a	Entity		
	Future enhancements	Optional	
L 2 Account Data			
	Future enhancements	Optional	
L.2.a	Multiple Address Capture and Maintenance		
	Future enhancements	Optional	
L.2.b	Contact Data		
	Future enhancements	Optional	
L.2.c	Business Relationships		
	Future enhancements	Optional	
L.2.d	Agent Tracking		
	Future enhancements	Optional	
L.2.e	Requirements for integration with Delinquency Process		
	Future enhancements	Optional	
Department Processing (DP)			
DP 1 Standard Processing			
	Future enhancements	Optional	
DP.1.a	Channels		
	Future enhancements	Optional	
DP.1.b	Management		
	Future enhancements	Optional	
DP.2 Exceptions Processing			
	Future enhancements	Optional	
DP.2.a	Adjustments		
	Future enhancements	Optional	
DP.2.b	Automatic Flagging		
	Future enhancements	Optional	
DP.2.c	Pass Through Functionality		
	Future enhancements	Optional	
Other			
	Future enhancements	Optional	
DP.2.e	Management		
	Future enhancements	Optional	
Case Enforcement Management (CM)			
CM 1 General			
	Future enhancements	Optional	
CM.2 Search			
CM.2.a	General		
	Future enhancements	Optional	
CM.2.b	Administration and Search		
	Future enhancements	Optional	
Contact Accounting (CA)			
CA 1 General			
	Future enhancements	Optional	
CA 2 Payments			
	Future enhancements	Optional	
CA 3 Payment Management/Credit Management			
CA.3.a	General		
	Future enhancements	Optional	
CA.3.b	History, View and Reporting		
	Future enhancements	Optional	
CA.3.c	Payment - Other		
	Future enhancements	Optional	
CA.4 Billing, Notices and Mail			
	Future enhancements	Optional	

CA 5 Institution Assessments			
	Future enhancements	Optional	
CA 6 Offsets			
CA.6.a Refunds			
	Future enhancements	Optional	
CA.6.b Provide Payment Processing for Bonds			
	Future enhancements	Optional	
Department Accounting (RA)			
RA 1 General			
	Future enhancements	Optional	
RA 2 External Inputs			
	Future enhancements	Optional	
Technical (TR)			
TR 1 Reporting Database			
	Future enhancements	Optional	
TR 2 RDBMS			
	Future enhancements	Optional	
TR 3 Scalability, Performance and Availability			
TR.3.a General			
	Future enhancements	Optional	
TR.3.b Compatibility with Department's Current Technical Environment			
	Future enhancements	Optional	
TR.3.c Technical Environments			
	Future enhancements	Optional	
TR.3.d Maintenance, Configurability and Upgradability			
	Future enhancements	Optional	
TR.3.e Configurability			
	Future enhancements	Optional	
TR.4 Document and template management			
TR.4.a Form Definition			
TR.4.a10	The facility should provide for a copy and paste function, so form administrators do not have to start from scratch in defining the form for a new year.	Optional	
TR.4.a11	Future enhancements	Optional	
TR.5 Operations and Operational Flexibility			
	Future enhancements	Optional	
TR.5.b Batch Processing			
	Future enhancements	Optional	
TR.5.c Job Scheduler			
	Future enhancements	Optional	
TR.5.d Maintenance, Configurability and Upgradability			
	Future enhancements	Optional	
TR 6 Security			
	Future enhancements	Optional	
TR 7 USFR INTERFACE			
TR.7.a General			
	Future enhancements	Optional	
TR.7.c Interfaces			
TR.7.c10	Capture digital signature information from a e-signature provider, preferably DocuSign.	Optional	
	Future enhancements	Optional	
Services Requirements (CO)			
CO.1 Correspondence			
CO.1.a General			
	Future enhancements	Optional	
CO.1.b Paper Stock, Formats and Printing			
CO.1.b14	The system should be able to insert bar codes or QR codes on correspondence.	Optional	MyLicense Office templates support all fonts supported by Microsoft Word. This includes bar and QR codes.
CO.1.b15	The system should be able to read bar codes on submitted mail and automatically update status of the correspondence and update address status to "bad address".	Optional	

CO.1.b17	The system should be able to support overnight delivery of certified and registered mail.	Optional	
CO.1.b18	The system should be able to support certified delivery of mail.	Optional	
CO.1.b19	The system should be able to support registered delivery of mail.	Optional	
CO.1.b20	The system should be able to automatically associate various documents that are to be mailed together based on profile addresses (excluding assessments).	Optional	
CO.1.b21	The system should be able to assemble ad hoc correspondence from a library of standard paragraphs that are maintained in the system.	Optional	MyLicense Office can be configured to allow users to assemble and send ad hoc correspondence from a library of defined templates.
	Future enhancements	Optional	
CO.1.c	Contact Management		
CO.1.c1	The system should be able to track emails to contacts and associate the emails with the contact or license's account.	Optional	
CO.1.c2	The system should be able to track correspondence to contacts or licensees and associate the correspondence with the account record.	Optional	
	Future enhancements	Optional	
CO.2 Reporting			
CO.2a	General		
	Future enhancements	Optional	
CO.2.b	Reporting Database and Ad Hoc Reporting		
	Future enhancements	Optional	
CO.3 General Workflow			
CO.3.a	General		
	Future enhancements	Optional	
CO.3.b	Workflow Balancing/Work Management Capabilities/Worklists		
CO.3.b8	The system should be able to show items in suspense and items in work lists as part of an online consolidated view of the contact.	Optional	
	Future enhancements	Optional	
CO.4 Common Service Other			
	Future enhancements	Optional	
Web Self-Services (OS)			
OS.1 Web Self-Service			
OS.1.14	The system's self service Internet portal may have the ability for applicants to submit payments.	Optional	
	Future enhancements	Optional	

MyLicense Platform Specifications

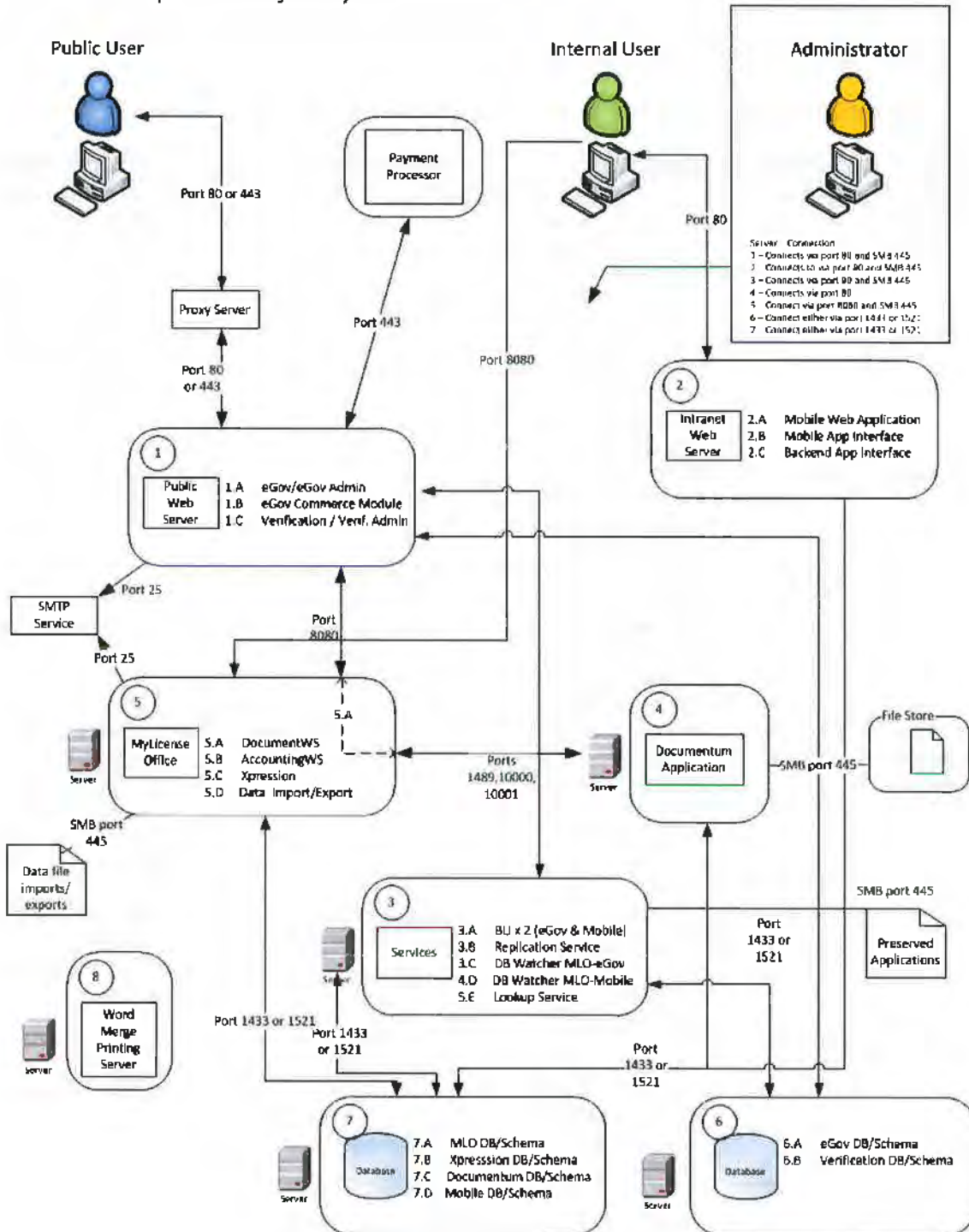
System Automation's MyLicense® suite of products requires a combination of database and web/application servers to support both the back office agency users (MyLicense Office), the online application users (MyLicense eGov) and the online public users (MyLicense Verification) and supporting system services such as document handling and ad-hoc reporting.

The table below describes the function of each component and the supported platform specifications.

System Component	Description	Platforms	Recommended Specifications
MyLicense Database Servers	This is the database server that contains all of the system configuration and transaction data in support of MyLicense Office, MyLicense eGov and MyLicense Verification	<ul style="list-style-type: none"> Microsoft SQL Server Oracle Microsoft Windows Enterprise Server or platform supported by selected database environment	<ul style="list-style-type: none"> Dual Core/Quad CPU 16GB RAM 500GB Usable storage Note: Average storage estimate is 2GB per 50,000 license records
MyLicense Office Application Server	This is the application server for the MyLicense Office products used by Agency users	<ul style="list-style-type: none"> Microsoft Windows Enterprise Server JBoss Java Application Server 	<ul style="list-style-type: none"> Dual Core/Quad CPU 16GB RAM 100GB Usable storage
MyLicense eGov and Verification Web Server	This is the web server supporting the MyLicense eGov and Verification products supporting licensees and public users	<ul style="list-style-type: none"> Microsoft Windows Enterprise Server Microsoft IIS Microsoft .NET Framework 	<ul style="list-style-type: none"> Dual Core/Quad CPU 16GB RAM 100GB Usable storage
MyLicense Document Handling Application Server	This the application server supporting the Document Handling component of the MyLicense system	<ul style="list-style-type: none"> Microsoft Windows Enterprise Server 	<ul style="list-style-type: none"> Dual Core/Quad CPU 16GB RAM 1TB Usable storage (dependent on number documents to be stored)
MyLicense Reporting Server	This is the application server supporting the Reporting Server component of the MyLicense system	<ul style="list-style-type: none"> Microsoft Windows Enterprise Server Tomcat 	<ul style="list-style-type: none"> Dual Core/Quad CPU 16GB RAM 100GB Usable storage
MyLicense eGov and Verification Services Server	This server provides services to the MyLicense eGov and Verification Web Server in support of their operation.	<ul style="list-style-type: none"> Microsoft Windows Enterprise Server Microsoft IIS Microsoft .NET Framework 	<ul style="list-style-type: none"> Dual Core CPU 16GB RAM 100GB Usable storage

The above recommended platform specifications can be hosted in a virtual server environment to support production, test and development implementations.

The figure below represents a logical network diagram illustrating the various application components and communication ports used by the system.



Architecture Diagram Detail

- 1.A – eGov/eGov Admin Sites: Connects to eGov DB (6.A) via port 1433 or 1521. Also connects to the Document Web Service (5.A) and Account Service (5.B) via port 8080, and the BLI via port 80. It can also send email messages to an SMTP service via port 25. These are all real time interactions.
- 1.B – eGov Commerce Module: Connects to the agency payment processor via port 443 for online credit card payments. These are real time interactions.
- 1.C – Verification/Verif. Admin Sites: Connects to the Lookup Service (3.E) via port 80. Also makes calls to the Document Web Service (5.A) via port 8080. These are real time interactions.
- 3.A - BLI 2 (eGov only): Each BLI is called by either eGov (1.A) or Mobile (2.A) and the BLI connect to the MLO DB (7.A) via port 1433 or 1521 to insert or update records. These are real time interactions.
- 3.B - Replication Service: Connects via either port 1433 or 1521 to the eGov DB (6.A) to insert or update changes originated from MLO. These transactions are real time interactions.
- 3.C - DB Watcher MLO-eGov – Connects to the MLO DB (7.A) via port 1433 or 1521. The frequency at which it monitors the MLO DB is configurable in milliseconds, but typically it is set in the range of 15-30 seconds.
- 3.D - DB Watcher MLO-Mobile - Connects to the MLO DB (7.A) via port 1433 or 1521. The frequency at which it monitors the MLO DB is configurable in milliseconds, but typically it is set in the range of 15-30 seconds.
- 3.E - Lookup Service: Connects to the Verification DB via either port 1433 or 1521. Interactions are real-time.
- 4 – Document Module /Repository – Is called by MLO (5) via Ports 1489,10000,10001 and it connects to file storage via SMB port 445 and the Document DB (7.C) via either port 1433 or 1521. Interactions are real-time.
- 5 – MLO Application – Is accessed by internal users via port 8080. It connects to the MLO DB via port 1433 or 1521. It can also send email messages to an SMTP service via port 25. Interactions are real-time.
- 5.A - MLO Document Web Service: called by applications via port 8080 and connects to Document module via ports 1489, 10000, and 10001. Interactions are real-time.
- 5. B – MLO Accounting Web Service is called by applications via port 8080. Interactions are real-time.
- 5.C – Word Merge Printing Service
- 6.A – MLO Database – Stores license information used by MLO (5). A database replication service replicates data from the MLO DB to the Verification DB (6.B) in real-time.
- 6.B – Documentum Database – Stored document metadata used by Documentum (4).
- 6.C – Mobile Database – Stores inspection data used by the Mobile application (2.A)
- 7. A - eGov Database – Stores license information that is available to eGov (1.A) for online transactions.
- 7.B – Verification Database – Stores public license information available to Verification site (1.C)



MyLicense Data Conversion Approach

Basic Data Conversion Guidelines

This document outlines the basic steps necessary to perform a project converting data from a Legacy system to MyLicense® Office.

Conversion projects will be done using import formats and stored procedures provided by System Automation Corporation (SA). The purpose of the import formats is to provide a target for project completion and to prevent users from having to develop an in-depth knowledge of MyLicense Office to complete the conversion. It is the responsibility of the data conversion specialist to understand and manipulate the data to properly move it to the import formats. It is SA's responsibility to ensure that the data is properly converted to MyLicense Office from the import formats.

Overview of Steps

- 1. Analysis** — This step involves completing a thorough analysis of the source data to develop an understanding of the relationships between files/tables, the general flow of data in the Legacy system, and the meanings of individual tables and fields. A data dictionary containing definitions of each source table and field is necessary for this step. Additionally, all of the various import formats that will be needed must be identified (see *Import Formats* below) and all of the source data must be moved to staging tables in the MyLicense Office database. This way both the source and the target are now in the same RDBMS and the source data can easily be queried and manipulated.
- 2. Mapping** — This step involves mapping all the source tables/fields to the appropriate location in the import formats. It will be necessary to map all of the coded values from the source to the appropriate setup coded values in MyLicense Office and to map all coded values that exist in MyLicense Office back to a correspondence in the Legacy System. Once this is accomplished, the conversion specialist should begin to develop an understanding of MyLicense Office. A spreadsheet will be provided that will contain the mappings from the source to the target, mappings of all coded values, and a section to track all conversion related issues/questions. A list of each coded value relevant to each individual import format will also be provided for reference (see *Coded Values for Various Imports* below).
- 3. Conversion** — This step involves writing code to convert the source data to the tables representing the import formats. Stored procedures, functions, or some logical method will need to be designed to move the Legacy data to the pre-determined import formats. The import formats will be stored as a table on the MyLicense Office database. All of the steps previously completed involving analysis and mapping should make the transition to this step much easier by eliminating guesswork.
- 4. Execution** — This step involves executing the pre-defined stored procedures (provided by SA) to move the data from the import format tables to the appropriate MyLicense Office application tables. The stored procedures will track the number of records that pass and fail. All failed records will be written to pre-defined error tables.

5. **Review** — This step involves reviewing all of the converted data as it exists in MyLicense Office, as well as testing certain functionality in MyLicense Office using the converted data. This review may facilitate some changes to the conversion procedures.
6. **Revision** — This step may involve revising some of the conversion procedures created in Step #3; correcting any records that may have failed in Step #4; and implementing changes discovered in Step #5. Upon completing this step, it may be necessary to return to Step #3 to redo a portion of the conversion, or possibly to redo the entire conversion again. If this is done, it will also be necessary to redo the execution, review, and revision steps again until you are comfortable with the process and the project as a whole.

Import Formats

The following table lists each import format.

Import Format Name	Description	Links (click to open)
cnv_addr_lic_relate_rec	Related license address import.	cnv_addr_lic_relate_rec.xls
cnv_ce_course	CE courses import (Oracle only).	cnv_ce_course.xls
cnv_corporate_personnel	Corporate personnel import.	cnv_corporate_personnel.xls
cnv_education	Education import.	cnv_education.xls
cnv_employment	Employment import.	cnv_employment.xls
cnv_exams	Exam date import.	cnv_exams.xls
cnv_expiration_date_history	Expiration date history import.	cnv_expiration_date_history.xls
cnv_facilities	Facilities import.	cnv_facilities.xls
cnv_fees	Fees import.	cnv_fees.xls
cnv_holds_alerts	Hold/Alert import.	cnv_holds_alerts.xls
cnv_inspections	Basic inspection data import.	cnv_inspections.xls
cnv_license_specialties	Specialties import.	cnv_license_specialties.xls
cnv_license_status_history	License status history import.	cnv_license_status_history.xls
cnv_license_supp_entity_values	License Related UDO import.	cnv_license_supp_entity_values.xls
cnv_licenses	License record import.	cnv_licenses.xls
cnv_mlo_case	Case Import.	cnv_mlo_case.xls
cnv_mlo_case_activity	Case Activity Import.	cnv_mlo_case_activity.xls
cnv_mlo_case_personnel	Case Personnel Import.	cnv_mlo_case_personnel.xls
cnv_mlo_cmplnt_participant	Complaint Participant Import.	cnv_mlo_cmplnt_participant.xls

Import Format Name	Description	Links (click to open)
cnv_mlo_complaint	Complaint Import.	cnv_mlo_complaint.xls
cnv_mlo_complaint_activity	Complaint Activity Import.	cnv_mlo_complaint_activity.xls
cnv_mlo_inv_personnel	Investigation Personnel Import.	cnv_mlo_inv_personnel.xls
cnv_mlo_investigation	Investigation Import.	cnv_mlo_investigation.xls
cnv_mlo_violation	Violations Import.	cnv_mlo_violation.xls
cnv_payments	Payments import.	cnv_payments.xls
cnv_person_address_history	Person address history import.	cnv_person_address_history.xls
cnv_person_alias	Person alias import.	cnv_person_alias.xls
cnv_person_supp_entity_values	Person Related UDO Import.	cnv_person_supp_entity_values.xls
cnv_persons	Person record import.	cnv_persons.xls
cnv_prerequisites	Predicate relationships import.	cnv_prerequisites.xls
cnv_previous_licenses	Previous license import.	cnv_previous_licenses.xls
cnv_rehab	Rehabilitation import.	cnv_rehab.xls
cnv_schools	Schools setup import.	cnv_schools.xls

Coded Values for Various Imports

Many of the columns in the MyLicense Office database contain “coded values” that have a data type of either integer or string. All integer codes are looked up in the table **c_i_itemval**; all string codes are looked up in the table **c_s_itemval**. All coded values are grouped together by the column *item_type* and can be tracked for all professions (0) or for specific profession codes. Profession is the one unique coded value that is not in **c_i_itemval** or **c_s_itemval**. Instead, profession coded values are looked up in the table **c_profession**. The following table lists the coded values that are relevant to specific import formats.

Coded Value	Table	Item_type value
Person Record Import		
Person_country	c_i_itemval	item type = 'country'
Person_citizenship_status	c_i_itemval	item type = 'citizenship status'
Person_home_state	c_i_itemval	item_type = 'Home State'
License Record Import		
Lic_profession_id	c_profession	n/a
Lic_license_type	c_i_itemval	item_type = 'license type'

Coded Value	Table	Item_type value
Lic_secondary_license_type	c_i_itemval	item_type = 'secondary license type'
Lic_obtained_by_method	c_i_itemval	item_type = 'obtained by'
Lic_secondary_license_status	c_i_itemval	item_type = 'license status'
Lic_status_change_reason	c_i_itemval	item_type = 'status change reason'
Lic_country	c_i_itemval	item type = 'country'
Person/Alias Import		
Alias_type	c_i_itemval	item_type = 'alias type'
Person Address History Import		
Per_addr_hist_address_type	c_s_itemval	item type = 'Address Types'
Per_addr_hist_country	c_i_itemval	item type = 'country'
Exam Data Import		
Exam_profession_id	c_profession	n/a
Exam_type	c_i_itemval	item type = 'Exam Types'
Exam_battery	c_i_itemval	item type = 'exam battery'
Exam_result_code	c_i_itemval	item type = 'exam result'
Hold/Alert Import		
Hold_reason	c_i_itemval	item type = 'hold alert reason'
Hold_profession_id	c_profession	n/a
License Status History Import		
Secondary_license_status	c_i_itemval	item type = 'license status'
Status_change_reason	c_i_itemval	item type = 'status change reason'
Predicate Relationship Import		
Lic_relationship	c_i_itemval	item type = 'predicate license relationship'
Specialties Import		
Specialty_code	c_s_itemval	item_type = 'specialty code'



Detailed Test Plan for Nebraska Department of Banking and Finance

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MyLicense® Office

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MyLicense® User Acceptance Testing Checklist

1.0 INITIAL APPLICATION/LICENSE ISSUANCE:

(Applicant module)

Tester's Name: _____

Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
1.1	Can search for pending/existing application.		
1.2	Create an application for licensure.		
1.2.1	Check that application exists in MyLicense Verification®.		
1.2.2	Search for existing person/facility – or – create new person/facility. (Test both scenarios.)		
1.2.3	Proper fields/labels listed and appropriate ones marked as required.		
1.3	Check Fields validates against preset rules.		
1.4	Able to deny application.		
1.4.1	Able to appeal denial and continue application.		
1.5	Can delete application (if security allows).		
1.6	Able to withdraw application.		
1.7	Able to add attribute(s) (if applicable).		
1.7.1	Can view list of attributes.		
1.8	Appropriate mini-panels, fields, and labels appear on the page (per security settings).		
1.8.1	Verify essential data for licensure is able to be added, edited, or deleted (e.g. Education, Exams, Employment, Specialties, etc.).		
1.9	Checklist requirements are accurate.		
1.9.1	Can modify status of checklist item(s) to Complete.		

MyLicense® User Acceptance Testing Checklist

1.9.2	Can modify status of checklist item(s) to Incomplete.		
1.9.3	Can modify status of checklist item(s) to Not Applicable.		
1.9.4	Able to Waive specific checklist item(s).		
1.9.5	Can view list of applicable fee(s).		
1.9.5.1	Proper fee(s) appear.		
1.9.5.2	Fee amount(s) are correct.		
1.9.5.3	Able to Waive select fee(s).		
1.9.5.4	Able to Create Payment for fee(s).		
1.9.5.4.1	Can Change Payer (if necessary).		
1.9.5.4.2	Appropriate methods of payment are listed.		
1.9.5.4.3	Payment can be generated.		
1.9.5.4.4	Unique Receipt Number is created.		
1.9.5.4.5	Monies can be allocated to appropriate fee(s), resulting in correct balance(s).		
1.9.5.4.6	Able to Unpay Fee (if necessary).		
1.10	Make application Complete.		
1.10.1	Make application Incomplete (if necessary).		
1.11	Can Approve license.		
1.11.1	If any Prerequisite relationships exist, an override/acknowledgment is required.		
1.11.2	If any Holds or Alerts exist, an override/acknowledgment is required.		
1.11.4	Issue date and expiration date are modifiable (if security allows).		
1.11.5	Verify expiration date is correct.		
1.12	License is issued with correct license number mask formatting.		
1.12.1	New License status is reflected in Verification.		
1.12.2	Any documents created upon approval are sent to the print or email queue.		
eGov			
1.13	An applicant can register for an eGov account.		
1.13.1	A registered applicant can log into eGov.		

MyLicense® User Acceptance Testing Checklist

.13.2	The applicant can select the correct profession, license type, and obtained by method for the application.		
1.13.3	The applicant's demographic information appears as entered during initial registration.		
1.13.4	The applicant can enter any additional required or optional address information.		
1.13.5	The applicant can indicate any prerequisite relationships.		
1.13.6	The applicant can enter Employment.		
1.13.7	All required Questions appear, and are answerable by the applicant.		
1.13.8	All additional License information (such as information in UDOs) can be entered by the applicant.		
1.13.9	All required Education information can be added by the applicant.		
1.13.10	The applicant can indicate which Specialties they hold.		
.13.11	The applicant can upload any required documents.		
1.13.12	The applicant can see the information they have entered on the Summary page.		
1.13.13	At Checkout, the user sees the correct fee amount.		
1.13.14	The user is successfully transferred to the Access Idaho payment page.		
1.13.15	After completing payment in Access Idaho, the user is transferred back to the eGov Receipt page.		
1.13.16	The receipt page displays the correct information, and allows the user to print it.		
1.13.17	On the Home page, the user can see their pending application, and view the associated checklist items.		
1.14.1	The application successfully transfers from eGov to MLO.		
1.14.2	The payment record successfully transfers from eGov to MLO.		

MyLicense® User Acceptance Testing Checklist

1.14.3	The MLO application record contains all data entered in eGov.		
1.14.4	Any question actions (e.g., holds/alerts, checklist item completions, batched documents) are executed properly.		
1.14.5	Steps 1.10 to 1.12.3 can be completed.		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

2.0 RETRIEVING/UPDATING RECORDS:

(Licensee module)

Tester's Name: _____

Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
2.1	Can retrieve a list of licensee search results.		
2.1.1	Perform a search of hy name.		
2.1.2	Perform a search by address.		
2.1.3	Perform a search by license number.		
2.1.4	Perform a search by profession/license type.		
2.1.5	Perform a search by unique identifier (e.g. SSN, Applicant Number, DOB, etc.).		
.1.6	Perform a search by license status.		
2.2	All licenses held by licensee are shown.		
2.3	Can Archive license selected (if applicable).		
2.4	Can Rescind license selected.		
2.4.1	Rescinded license can be reactivated.		
2.5	Able to Transfer license selected (if applicable).		
2.6	Services are accessible (from the license taskbar).		
2.6.1	Can access Reminders → Create.		
2.7	Tasks are accessible (from the license taskbar).		
2.8	Accounting is accessible (from the license taskbar).		
2.9	Able to view, add, modify, or delete data within mini-panels on license record.		

MyLicense® User Acceptance Testing Checklist

2.9.1	Able to verify that updated information is reflected in Verification.		
eGov			
2.10	Verify that MLO changes are replicated to eGov		
2.10.1	Address changes		
2.10.2	Name changes		
2.10.3	Auto expire/terminate (Renewal removed from eGov)		
2.10.4	Adding new License record		
2.10.5	Updating Employment Information		
2.10.6	Updating Education Information		
2.10.7	Updating Specialties		
2.10.8	New Person record		
2.11	Verify that eGov changes are replicated to MLO		
2.11.1	Address changes		
2.11.2	Name changes		
2.11.3	Auto expire/terminate (Renewal removed from eGov)		
2.11.4	Adding new License record		
2.11.5	Updating Employment Information		
2.11.6	Updating Education Information		
2.11.7	Updating Specialties		
2.11.8	New Person record		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

3.0 GENERATING/PROCESSING RENEWALS: (Renewals module)

Tester's Name: _____ Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
3.1	Perform a search of licenses eligible for renewal, by license status.		
3.2	Perform a search of licenses eligible for renewal, by license number.		
3.2	Can Generate renewals for list of selected licenses.		
3.2.1	Verify renewal fee(s) appear on renewable license record(s).		
3.2.1.1	Verify fee(s) associated with renewal are accurate.		
3.2.2	Verify checklist requirements, for renewal, appear on license record(s).		
3.2.2.1	Verify checklist requirements, for renewal, are accurate.		
3.3	Able to batch 2 nd notices for select date range (Expire/Terminate).		
3.4	Able to batch 3 rd notices for select date range (Expire/Terminate).		
3.5	Able to expire/terminate licenses that fall within expiration/termination cutoff date range selected.		
3.6	Can Search for batches sitting in Lockbox.		
3.7	Can Find a specific license number sitting in Lockbox.		
3.8	Able to Renew selected license(s) in Full Execution Mode.		

MyLicense® User Acceptance Testing Checklist

3.8.1	Verify corresponding license record(s) have been renewed.		
3.8.1.1	Verify expiration date of renewed license(s).		
3.9	Able to Renew selected license(s) in Process Payments & Fees Only Mode.		
3.9.1	Verify fee(s) on corresponding license record(s) have been paid.		
3.9.2	Verify corresponding license record(s) have not yet been renewed.		
3.9.3	Able to Renew eligible corresponding license record(s) via Licensee module.		
3.9.3.1	Able to verify that License Status has been updated in Verification.		
3.10	Able to Bulk Insert license records into Lockbox.		
3.11	Able to Insert Individual license record into Lockbox.		
3.12	Can Verify Receipt via batch search or receipt number search.		
3.12.1	Can Change Receipt payment information.		
3.13	Able to Delete license record(s) in Lockbox (if security allows).		
3.14	Able to Waive Late Fee, for 1 st and/or 2 nd late fee, on selected license record(s) in Lockbox.		
3.15	Able to retrieve single license record to Remove Renewal		
3.15.1	Can Remove the renewal for corresponding license record.		
3.16	Able to retrieve list of multiple license records to Remove Renewal.		
3.16.1	Can Remove the renewal for corresponding license records.		
3.17	Able to Re-batch select Action Log.		
3.18	Able to Merge select Action Log.		

MyLicense® User Acceptance Testing Checklist

3.19	Able to retrieve list of select license record(s) to Block/Unblock Termination.		
3.19.1	Can Block termination for select license record(s) by pressing OK.		
3.19.2	Can Block All selected license record(s) from termination.		
3.19.3	Can Unblock All selected license record(s) from termination.		
3.20	Able to Update Grace Period for select license record(s) within specified expiration dates.		
eGov			
3.21	After generating Renewal in MLO, search for License in eGov.		
3.21.1	Change Person Address		
3.21.2	Change CE Information		
3.21.3	Add, Edit and Delete Employees		
3.21.4	Add, Edit and Delete Employment Information		
3.21.5	Pay Renewal Fees		
3.21.6	Renew License		
3.21.7	Verify that License is removed from list of Renewable Licenses		
3.21.7.1	Verify that License Status has changed in Verification.		
3.21.8	Process License through Lockbox		
3.21.9	Verify in MLO that License has been renewed (if License Type in question has been configured to auto-renew in MLO upon completion of eGov Renewal. Otherwise, renew License in MLO)		
3.21.9.1	Check new Expiration Date in both eGov and MLO.		
3.21.9.2	Verify that documents go to the print and email queues, as applicable.		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

4.0 REINSTATEMENTS: (Licensee/Applicant module)

Tester's Name: _____ Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
4.1	Perform Search for license record(s) which are in a status that is eligible for reinstatement.		
4.2	Can Reinstates the inactive license record(s).		
4.2.1	Verify that License Status is updated in Verification.		
4.2.2	Verify Obtained By Method.		
4.2.3	Verify license status of reinstated application pending.		
4.3	Checklist Requirements are correct.		
4.3.1	Proper fee(s) appear.		
4.3.1.1	Fee amount(s) are correct.		
4.4	Able to issue license for reinstated application.		
4.4.1	License number mask formatting is correct.		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

5.0 Enforcement: (Enforcement Module)

Tester's Name: _____ Date Tested: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies/Issues
CASE MODULE:			
5.1	Able to Search for existing Case by various search criteria.		
5.1.1	Able to create a New Case.		
5.1.1.1	Can Generate unique case number.		
5.1.1.1.1	Case number mask formatting is correct.		
5.1.2	Can Add a Case Narrative.		
5.2.1	Verify mini-panels/fields, relevant to case, appear on the page.		
5.2.1.1	Able to edit Case Details.		
5.2.1.1.1	Changes in Case Details save and update correctly.		
5.2.1.2	Able to create a New Complaint/Issue (<i>inside Case module</i>).		
5.2.1.3	Can Edit an existing Complaint/Issue (<i>inside Case module</i>).		
5.2.1.3.1	Can add remarks associated with the complaint(s)/issues(s).		
5.2.1.3.2	Changes in Complaint/Issue Details save and update correctly.		
5.2.1.4	Able to Search for and Assign appropriate Case Personnel.		
COMPLAINT/ISSUE MODULE:			

MyLicense® User Acceptance Testing Checklist

5.3	Able to Search for existing Complaint/Issue by various search criteria).		
5.3.1	Able to create a new Complaint/Issue (inside Complaint/Issue module).		
5.3.1.1	Can Generate unique Complaint/Issue number.		
5.3.1.1.1	Complaint/Issue number mask formatting is correct.		
5.4.1	Verify mini-panels/fields, relevant to complaint/issue, appear on the page.		
5.4.1.1	Ahle to Add/Edit Complaint/Issue Details.		
5.4.1.2	Ahle to Search for and Assign appropriate Complaint/Issue Personnel.		
5.4.1.3	Ahle to Add new Participant(s).		
5.4.1.3.1	Can Associate Checked License(s) with Respondent(s).		
5.4.1.3.2	Can Edit existing Participant(s).		
5.4.1.3.3	Can Delete existing Participant(s) (if security allows).		
5.4.1.3.4	Can enter, update, delete Allegations		
5.4.1.3.5	Can add additional complaint types and subtypes.		
5.4.1.3.6	Can Add New Notification(s) for Participant(s).		
5.4.1.4	Able to create a New Investigation (inside Complaint/Issue module).		
5.4.1.4.1	Can Add existing investigation(s) (inside Complaint/Issue module).		
5.4.1.4.2	Can add remarks associated with the investigation(s).		
5.4.1.5	Able to Add an Order (inside Complaint/Issue module).		

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5.4.1.5.1	Can Edit existing order(s).		
5.4.1.5.2	Can Save a Final Disposition for each Respondent.		
5.4.1.5.3	Appeal can be added.		
5.4.1.5.4	All data corresponding to the order saves and updates correctly.		
5.4.1.6	Able to Add Violation(s) (inside Complaints/Issue module).		
5.4.1.6.1	Able to view Violation for Licensee in Verification.		
5.4.1.6.2	Link to Lookup Regulation retrieves the correct violation code.		
5.4.1.6.3	All data corresponding to the violation(s) saves and updates correctly.		
5.4.1.7	Able to Add Sanction(s) (inside Complaint/Issue module).		
5.4.1.7.1	If sanction(s) affect status of associated license(s) (e.g. probation, revocation), verify that license status has been changed on corresponding license record(s) in both MLO and Verification.		
5.4.1.7.2	Can assign Monetary Penalty Sanctions		
5.4.1.7.2.1	Can create an account fee for the monetary penalty (fine, cost, restitution)		
5.4.1.7.2.2	Verify in licensee's account that appropriate fine(s) were levied against corresponding license record(s).		
5.4.1.7.3	Able to create sanction type of 'Limits' for a disciplined license.		
5.4.1.7.4	Able to create terms/conditions to be monitored for any sanction, including probation.		

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5.4.1.7.4.1	Able to create monitoring schedule.		
5.4.1.7.4.2	Able to update compliance with each scheduled date.		
5.4.1.8	Able to Add new Complaint/Issue Activity		
5.4.1.8.1	Can Edit existing Complaint/Issue Activity.		
5.4.1.8.2	Can Delete existing Activity (if security allows).		
5.4.1.9	Able to Assign/Unassign Board Attorney(s).		
5.4.1.10	Able to Add new Correspondence Out.		
5.4.1.10.1	Can Edit existing Correspondence Out.		
5.4.1.10.2	Can Delete Correspondence Out (if security allows).		
5.4.1.11	Able to Add new Correspondence In		
5.4.1.11.1	Can Edit existing Correspondence In.		
5.4.1.11.2	Can Delete existing Correspondence In (if security allows).		
5.4.1.12	Able to Create, view Reminders for a Complaint/Issue		
<u>INVESTIGATION MODULE:</u>			
5.5	Able to Search for existing Investigation by various search criteria		
5.5.1	Able to create a New Investigation		
5.5.1.1	Can Generate unique investigation number.		
5.5.1.1.1	Investigation number mask formatting is correct.		

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5.6.1	Verify mini-panels/fields, including related complaint – if any, appear on the page.		
5.6.1.1	Able to Add/Edit Investigation Details.		
5.6.1.2	Able to enter, update, or delete) Investigation Participants		
5.6.1.3	Able to copy Participants from the related Complaint/Issue.		
5.6.1.4	Able to Create New Complaint/Issue for the Investigation (inside Investigation module).		
5.6.1.4.1	Can Edit existing Complaint(s)/Issue(s) (inside Investigation module).		
5.6.1.4.2	Can Add, Update, Delete Investigation Activities		
5.6.1.5	Able to view Investigation Checklist Details.		
5.6.1.6	Able to Search for and Assign appropriate Investigation Personnel.		
5.6.1.7	Able to Add Investigation Finding(s).		
5.6.1.7.1	Can Edit existing Investigation Finding(s).		
5.6.1.7.2	Can Delete existing Investigation Finding(s) (if security allows).		
5.6.1.8	Able to Add Investigation Recommendation(s).		
5.6.1.8.1	Can Edit existing Investigation Recommendation(s).		
5.6.1.8.2	Can Delete existing Investigation Recommendation(s) (if security allows).		
5.6.1.9	Able to Create & View Reminders for an Investigation.		
LITIGATION MODULE:			

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5.7	Able to Search for existing Litigation(s) by various search criteria.		
5.7.1	Able to update Litigation details		
5.7.2	Able to add Litigation Personnel		
5.7.3	Able to add Litigation Activities		
REGULATION MODULE:			
5.8	Able to Search for existing Regulation(s) by various search criteria.		
5.8.1	Can create New Regulation(s).		
5.8.2	Can create New Statute(s).		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

6.0 CASHIERING/FISCAL ACTIVITIES:

(Accounting module)

Tester's Name: _____

Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
6.1	Able to search for existing Accounts by various search criteria.		
6.1.1	Can view summary of all Fees and Payments associated with corresponding account.		
6.2	Able to search specific license record(s) for Fee information (Record Fees).		
6.2.1	Can view all fees paid and/or pending for corresponding license record.		
6.2.2	Can Add new fee for corresponding license record (if necessary, verify against a license record).		
6.3	Able to search specific license record(s) for Payment information (Receive Payments).		
6.3.1	Can Create Person if adding a new payer.		
6.3.2	Can view a list of all previous Receipts associated with corresponding license record.		
6.3.2.1	Clicking on specific Receipt Numbers shows Payment Details.		
6.3.3	Can Add new Payment Receipt information (if necessary, verify against a license record).		
6.4	Able to search license record(s) to Bulk Pay Fees.		

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6.4.1	Can Allocate existing Receipt Number(s) to fee(s) (if necessary, verify against a license record).		
6.4.2	Can Pay by manually entering Receipt Number (if necessary, verify against a license record).		
6.5	Able to retrieve previous Batch Transaction(s) by various Search criteria.		
6.5.1	Able to retrieve previous Batch Transaction(s) by Payer		
6.6	Able to Verify Adjustments, previously made, using various search criteria.		
6.7	Able to view Treasurer ROC Number.		
6.8	Able to Calculate Fee(s) by specific License Selection Search criteria.		
6.8.1	Can Search for list of license record(s) containing corresponding fee(s).		
6.9	Able to Search for list of license record(s) containing Refunds.		
6.9.1	Clicking a Receipt Number gives further options.		
6.9.1.1	Can Cancel Refund (if necessary, verify against a license record).		
6.9.1.2	Can Save modifications to editable fields.		
6.9.1.3	Can leave Comments.		
6.10	Able to perform ROC Searches.		
6.11	Able to Search Payment History by various search criteria.		
6.11.1	Clicking on Receipt Number gives further options and shows Payment Details.		
6.11.1.1	Can create New Payment (if necessary, verify against a license record).		
6.11.1.2	Can view specific Fee Details of selected Receipt Number.		

MyLicense® User Acceptance Testing Checklist

6.11.1.3	Can Allocate payment from selected Receipt Number to fee(s) (if necessary, verify against a license record).		
6.11.1.4	Can Refund Payment on selected Receipt Number (if necessary, verify against a license record).		
6.11.1.5	Can Return Payment on selected Receipt Number (if necessary, verify against a license record).		
6.11.1.6	Can Change Payer on selected Receipt Number.		
6.11.1.7	Can Merge Payments (submit a document).		
6.11.1.8	Clicking on Receipt Number (in Payment Details) gives further options.		
6.11.1.8.1	Can Adjust Payment(s) on selected Receipt Number (if necessary, verify against a license record).		
6.11.1.8.2	Can Change Profile for Accounting Batch User Profile.		
6.11.1.8.3	Can leave Remarks for selected Receipt Number.		
6.11.1.8.4	Can Delete selected Receipt Number (if security allows – also, if necessary, verify against a license record).		
6.12	Able to Search Payment History by Payer.		
6.13	Able to Search for list of records to Adjust Fee(s).		
6.13.1	Can leave Remarks for selected record(s).		
6.13.2	Can Adjust fee amount for selected record(s) (if necessary, verify against a license record).		
6.14	Able to select Payment Method for Express Payment.		
6.14.1	Able to Find Payer using Last Name and other option search criteria.		
6.14.1.1	Can Use Selected payer to associate payment with (if necessary, verify against a license record).		

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6.14.1.2	Can create New payer to associate payment with (if necessary, verify against a license record).		
6.14.2	Can Clear Payment information for Express Payment Entry (if necessary, verify against a license record).		
6.14.3	Can Clear Payer information for Express Payment Entry (if necessary, verify against a license record).		
6.14.4	Can Clear all information for Express Payment Information.		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

7.0 CONTINUING EDUCATION/EXAM INFORMATION: (CE module)

Tester's Name: _____ Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
7.1	Verify you can generate CE audits for the given license type.		
7.2	Verify you can retrieve the list of CE auditees.		
7.3	Verify you can process an audit, and indicate the success or failure of the audit.		
7.4	Verify you can change the status of a license from the CE audit module.		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

8.0 REPORTING INFORMATION:

(Reports module)

Tester's Name: _____

Date Tested: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
8.1	Verify all "canned" MLO Reports run successfully (note specific testing issues below).		
8.1.1	Verify parameters on MLO Reports filter data appropriately.		
8.2	Verify all Custom Reports run successfully (note specific testing issues below).		

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Name of Report:

Issue(s):

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

9.0 PRINTING/TEMPLATES: *(Print Batch Control module)*

Tester's Name: _____

Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
9.1	Verify correct batch types sent to print or email queues, for each batch category.		
9.2	Verify all templates printed correctly (note specific testing issues below).		
9.3	Test one-off printing of single documents (Merge License), in each context.		

Name of Template:

Context:

Issue(s):

Name of Template:

Context:

Issue(s):

Name of Template:

Context:

Issue(s):

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

10.0 LICENSEEALICENSE LOOKUP:

(Quick Lookup module)

Tester's Name: _____

Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
10.1	Verify you can search and select a record.		
10.2	Able to view data within mini-panels.		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

11.0 Reminders:

(Reminders module)

Tester's Name: _____

Date Tested: _____

License Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
11.1	Able to see reminders assigned to you and created by you.		
11.2	Able to Search for existing reminders.		
11.3	Able to edit and process a reminder.		
11.4	Able to open the record associate with the reminder.		
11.5	Able to delete a reminder.		

Notes/Comments: _____

MyLicense® User Acceptance Testing Checklist

12.0 Inspections:

(Inspections module and MyLicense Mobile)

Tester's Name: _____ Date Tested: _____

License Type: _____ Inspection Type: _____

NOTE: Some of the functions throughout this checklist may not be applicable to your specific role. In these instances, please mark "N/A" under the column titled "Accurate?".

Item	Function	Accurate?	Please Specify Discrepancies
12.1	You can navigate to an existing inspection record in MLO.		
12.1.1	You can create a new inspection record for a facility in MLO.		
12.1.2	You can add Inspection Personnel to an existing inspection.		
12.1.3	You can add Inspection Activities to an existing inspection.		
12.1.4	You can add Inspection Documents to an existing inspection.		
12.1.5	You can add Pre and Post-Inspection Remarks to an existing inspection.		
12.1.6	You can add Inspection Violations to an existing inspection.		
12.1.7	All necessary dropdown values appear in the Inspection panels in MLO.		
Mobile			
12.2	By creating an inspection with a scheduled date and an inspector, you can send an inspection to that inspector in Mobile.		
12.3	As an inspector, you can log into MyLicense Mobile with my username and password.		
12.3.1	You can successfully synchronize your inspections to acquire new inspections.		
12.3.2	You can download your license list to reflect newly-created licenses.		
12.3.2	You can download inspection history to see past inspections for a given license.		

MyLicense® User Acceptance Testing Checklist












12.3.4	You can create a new inspection in MyLicense Mobile.		
12.3.5	You can see basic information about the facility to be inspected on the Facility tab.		
12.3.6	You can modify basic information about the inspection on the Inspection tab.		
12.3.7	On the Checklist tab, the checklist items in the checklist are accurate.		
12.3.8	You can complete the inspection checklist.		
12.3.9	You can generate Violations from the checklist.		
12.3.10	You can add Violations on an ad-hoc basis from the list of available violations.		
12.3.11	You can add Activities, as well as information about the Hours, Cost, and Mileage for each Activity.		
12.3.12	You can upload Documents to the inspection.		
12.3.13	If this license has been inspected before, you can view its inspection History.		
12.3.14	You can retrieve documents already attached to the inspection in MLO using Get Backend Documents.		
12.3.15	You can collect a signature on the inspection for both the authorized person and the inspector.		
12.3.16	You can generate both the Summary and Detail Inspection Reports.		
12.3.17	Accurate information and signatures appear on the Summary and Detail Inspection Reports.		
12.3.18	You can successfully synchronize a Completed inspection to MyLicense Office.		
12.4	All Inspection data, Inspection Violations, Inspection Remarks, Inspection Activities, and Inspection Documents appear in MyLicense Office.		
12.4.1	If generated, the Summary and Detail Inspection Reports containing the inspection checklist appear in the Inspection Documents panel.		

MyLicense® User Acceptance Testing Checklist

Notes/Comments: _____

MyLicense Office Administrative Training Agenda – Day 1

Objective: By the end of Day One, users will have had the opportunity to create their own basic license type that has an automatically generated License Number, has a predefined expiration date, has an application fee, and has several checklist items to complete before license approval.

Date:		
Time (Central)	Reference Material	Topic
8:30 – 9:00	Product Overview	
9:00 – 10:00		MyLicense Office Walkthrough <ul style="list-style-type: none"> <input type="checkbox"/> Create a new application <input type="checkbox"/> Complete Checklist Items <input type="checkbox"/> Approve Application <input type="checkbox"/> Lookup Approved License
10:00 – 10:15	Break	
10:15 – 12:00	Administrator's Guide <ul style="list-style-type: none">  Chapter 1  Chapter 2  Appendix E  Appendix G 	Core License Type Setup <ul style="list-style-type: none"> <input type="checkbox"/> Professions <input type="checkbox"/> Coded Values <input type="checkbox"/> General Setup <input type="checkbox"/> License # Masks
12:00 – 1:00	Lunch Break	
1:00 – 2:00	Administrator's Guide <ul style="list-style-type: none">  Chapter 2  Appendix E  Appendix F 	Core License Type Setup <ul style="list-style-type: none"> <input type="checkbox"/> Secondary / Subtypes <input type="checkbox"/> Specialties <input type="checkbox"/> Expiration Policies
2:00 – 2:15	Break	
2:15 – 3:00	Administrator's Guide <ul style="list-style-type: none">  Chapter 2  Chapter 4  Chapter 9  Appendix E 	License Type Setup <ul style="list-style-type: none"> <input type="checkbox"/> Fees (Flat) <input type="checkbox"/> Checklist Templates <input type="checkbox"/> Check Fields under Field Requirements
3:00 – 3:30		Wrap Up / Q & A <ul style="list-style-type: none"> <input type="checkbox"/> Review <input type="checkbox"/> Questions and Answers

MyLicense Office Administrative Training Agenda – Day 2

By the end of Day two, users should have an understanding of MyLicense Office.

Date:		
Time (Central)	Reference Material	Topic
8:30 – 9:00	Administrator's Guide <ul style="list-style-type: none"> ☞ Chapter 1 ☞ Chapter 2 ☞ Chapter 4 ☞ Appendix E 	Review/Q&A of Prior Day <ul style="list-style-type: none"> <input type="checkbox"/> Coded Values <input type="checkbox"/> General Setup <input type="checkbox"/> Checklist Items
9:00 – 10:00	Administrator's Guide <ul style="list-style-type: none"> ☞ Chapter 1, 2, 4 ☞ Appendix E 	Advanced License Type Setup <ul style="list-style-type: none"> <input type="checkbox"/> Prerequisites <input type="checkbox"/> Attribute Licenses
10:00 – 10:15	Break	
10:15 – 12:00	Administrator's Guide <ul style="list-style-type: none"> ☞ Chapter 1, 2, 4 ☞ Appendix E 	Advanced License Type Setup <ul style="list-style-type: none"> <input type="checkbox"/> Fees (Calculated and Components) <input type="checkbox"/> Expiration Policies (Advanced) <input type="checkbox"/> Checklist Templates (Advanced)
12:00 – 1:00	Lunch	
1:00 – 2:30	Administrator's Guide <ul style="list-style-type: none"> ☞ Chapter 2 ☞ Chapter 3 ☞ Appendix F 	Status Setup <ul style="list-style-type: none"> <input type="checkbox"/> Transferring, Reinstating, Superseding <input type="checkbox"/> License Status <input type="checkbox"/> Expiration Status
2:30 – 3:00	Administrator's Guide <ul style="list-style-type: none"> ☞ Chapter 9 	Accounting Setup <ul style="list-style-type: none"> <input type="checkbox"/> Fee Schedule <input type="checkbox"/> Account Codes <input type="checkbox"/> User Profiles
3:00 – 3:15	Break	
3:15 – 3:30		Wrap Up / Q & A <ul style="list-style-type: none"> <input type="checkbox"/> Review <input type="checkbox"/> Questions and Answers

MyLicense Office Administrative Training Agenda – Day 3

Objective: By the end of Day three, users should have an understanding of MyLicense Office Renewal Processing and Configuration Utility.

Date:		
Time (Central)	Reference Material	Topic
8:30 – 9:30	Administrator's Guide ☞ Appendix B	Misc & Security <ul style="list-style-type: none"> <input type="checkbox"/> Reports <ul style="list-style-type: none"> ○ Importing Custom Reports <input type="checkbox"/> Data Dictionary <input type="checkbox"/> Word Merge Codes
9:30-10:00	Administrator's Guide ☞ Chapter 5 ☞ Chapter 8	License Renewal <ul style="list-style-type: none"> <input type="checkbox"/> Renewal Status Maintenance <input type="checkbox"/> Expiration / Termination
10:00 – 10:15	Break	
10:15 – 12:00		License Renewal <ul style="list-style-type: none"> <input type="checkbox"/> Renewal Template Creation Cont Ed-Education Setup <ul style="list-style-type: none"> <input type="checkbox"/> Setup Menus Setup <ul style="list-style-type: none"> <input type="checkbox"/> Agency <input type="checkbox"/> Professions <input type="checkbox"/> Questions <input type="checkbox"/> Notification Items Application Codes <ul style="list-style-type: none"> <input type="checkbox"/> Enforcement
12:00 – 1:00	Lunch Break	
1:00 – 2:30	MyLicense Office Configuration Utility Guide ☞ Chapter 1, 2, 3, 4	Labels <ul style="list-style-type: none"> <input type="checkbox"/> Navigation Menu <input type="checkbox"/> Task Menus <input type="checkbox"/> Mini Panel <input type="checkbox"/> Add/Edit Panel <input type="checkbox"/> Buttons/Links <input type="checkbox"/> Fields <input type="checkbox"/> Search Panel Fields <input type="checkbox"/> Bread Crumbs
2:30 – 2:45	Break	
2:45 – 3:15	MyLicense Office Configuration Utility Guide ☞ Chapter 1 ☞ Chapter 2	Mini Panel Display <ul style="list-style-type: none"> <input type="checkbox"/> Page Layout <input type="checkbox"/> Field Layout <input type="checkbox"/> Add/Edit Layout <input type="checkbox"/> Field Labels

3:15 – 4:30		Wrap Up / Q & A <input type="checkbox"/> Review <input type="checkbox"/> Questions and Answers
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MyLicense Office Administrative Training Agenda – Day 4

Objective: By the end of Day four, users should have an understanding of the Configuration Utility components.

Date:		
Time (Central)	Reference Material	Topic
8:30 – 10:00	MyLicense Office Configuration Utility Guide <ul style="list-style-type: none"> ☞ Chapter 3 ☞ Chapter 4 ☞ Chapter 6 ☞ Chapter 7 	Security <ul style="list-style-type: none"> <input type="checkbox"/> Role Maintenance <input type="checkbox"/> User Maintenance <input type="checkbox"/> Navigation Menu <input type="checkbox"/> Buttons, Panels, Fields <input type="checkbox"/> Task Menus User Defined Objects <ul style="list-style-type: none"> <input type="checkbox"/> Creating UDO's Task Menu Search <ul style="list-style-type: none"> <input type="checkbox"/> Standard Search <input type="checkbox"/> Advanced Search
10:00 – 10:15	Break	
10:15 – 11:00		Exercise/Working Session <ul style="list-style-type: none"> <input type="checkbox"/> Page Layouts <input type="checkbox"/> Administrator Exercise
11:00 – 12:00	MyLicense Office Configuration Utility Guide <ul style="list-style-type: none"> ☞ Chapter 7 ☞ Appendix A ☞ Appendix B 	Scheduler <ul style="list-style-type: none"> <input type="checkbox"/> Start/Stop, Job, Calendar Printing Queues <ul style="list-style-type: none"> <input type="checkbox"/> Batch Categories and Batch Types <input type="checkbox"/> Batch / Print Queue Overview Parameters <ul style="list-style-type: none"> <input type="checkbox"/> General Types Setup
12:00 – 1:00	Lunch Break	
1:00 – 2:00	Instructor Notes	Review <ul style="list-style-type: none"> <input type="checkbox"/> MLO Configuration Challenge/Questionnaire <input type="checkbox"/> Questions and Answers
2:00 – 2:15	Break	
2:15 – 3:30	Instructor Notes	Review/Working Session <ul style="list-style-type: none"> <input type="checkbox"/> Business Processes <input type="checkbox"/> License Types Setup <input type="checkbox"/> Page Layouts

MyLicense Office Administrative Training Agenda – Day 5

Objective: By the end of Day five, users should have an understanding of table structure, Word Merge template creation and administration.

Date:		
Time (Central)	Reference Material	Topic
8:30 – 10:00	Instructor Notes and MyLicense Office Configuration Utility Guide <ul style="list-style-type: none"> ☞ Chapter 7 ☞ Appendix A ☞ Appendix B 	Word Merge Template Training <ul style="list-style-type: none"> <input type="checkbox"/> Word Merge Codes <input type="checkbox"/> Data Source Creation <input type="checkbox"/> Template Creation <input type="checkbox"/> Word Merge Server Administration
10:00 – 10:15	Break	
10:15-12:00	MyLicense Office Configuration Utility Guide <ul style="list-style-type: none"> ☞ Chapter 3 ☞ Chapter 4 	Exercise for creating Templates <ul style="list-style-type: none"> <input type="checkbox"/> Create <input type="checkbox"/> Upload <input type="checkbox"/> Test
12:00 – 1:00	Lunch Break	
1:00 – 2:00	Instructor Notes	<ul style="list-style-type: none"> <input type="checkbox"/> Review Issues from the Week's Training <input type="checkbox"/> Question & Answers <input type="checkbox"/> Complete Administrator Training Survey/Evaluation

MyLicense eGov/Verification Training Agenda – Day 1

Objective: By the end of Day One, users should understand data flows from eGov to MLO, essential files for managing eGov, the basic concepts of configuring processes in eGov, administration through the eGov Admin site, and accepting records in the Import Utility.

Date:		
Time	Reference Material	Topic
8:00 – 10:00	eGov and Verification Guides ☞ System Administration	eGov Overview <ul style="list-style-type: none"> <input type="checkbox"/> Overview of eGov infrastructure <ul style="list-style-type: none"> ○ eGov website ○ eGov Admin site ○ BLI ○ Database Watcher ○ Replication Service ○ Import Utility <input type="checkbox"/> Overview of configuring eGov sites
10:00 – 10:15	Break	
10:30 – 12:00	eGov and Verification Guides ☞ System Administration	Essential eGov Files <ul style="list-style-type: none"> <input type="checkbox"/> Registry XMLs <input type="checkbox"/> AgencyInfo.xml <input type="checkbox"/> Web.config <input type="checkbox"/> AppSettings.config <input type="checkbox"/> ProcessorData.xml <input type="checkbox"/> Resource Files <input type="checkbox"/> Stylesheet <input type="checkbox"/> eGov Setup Utility
12:00 – 1:00	Lunch Break	
1:00 – 2:45	eGov and Verification Guides ☞ eGov Setup Utility	eGov Setup Utility <ul style="list-style-type: none"> <input type="checkbox"/> Configuring: <ul style="list-style-type: none"> ☞ License Types ☞ License Statuses ☞ Obtained by Methods ☞ Fees ☞ Schools ☞ Duplicate Types ☞ Questions ☞ Processes ☞ Checklist Items
2:00-2:45	eGov and Verification Guides ☞ System Administration	eGov Admin Site <ul style="list-style-type: none"> <input type="checkbox"/> Row Filters <input type="checkbox"/> Refreshing Coded Values <input type="checkbox"/> Validation Rules
2:45 – 3:00	Break	

3:00 - 4:00	eGov and Verification Guides eGov Import Utility	Import Utility <input type="checkbox"/> Accepting records with the Import Utility


MyLicense eGov/Verification Training Agenda – Day 2

Objective: By the end of Day Two, users should understand how to use the Presentation Utility to configure pages and modules in eGov and Verification, use the Verification Admin site to manage Verification, and

Date:		
Time	Reference Material	Topic
8:00 – 10:00	eGov and Verification Guides <ul style="list-style-type: none"> ☞ eGov Presentation Utility ☞ Chapters 1-10 in Configuring eGov Processes 	eGov and Verification Presentation Utility <ul style="list-style-type: none"> <input type="checkbox"/> Configuring eGov XMLs through the Presentation Utility, including: <ul style="list-style-type: none"> ☞ Pages ☞ Modules ☞ Controls ☞ Control Attributes ☞ Control Properties
10:00 – 10:15	Break	
10:30 – 12:00	eGov and Verification Guides <ul style="list-style-type: none"> ☞ eGov Presentation Utility ☞ Chapters 1-10 in Configuring eGov Processes 	eGov and Verification Presentation Utility <ul style="list-style-type: none"> <input type="checkbox"/> Configuring Verification XMLs through eGov Presentation Utility, including: <ul style="list-style-type: none"> ☞ Pages ☞ Modules ☞ Controls ☞ Control Attributes ☞ Control Properties
12:00 – 1:00	Lunch Break	
1:00 – 2:00	eGov and Verification Guides <ul style="list-style-type: none"> ☞ System Administration 	Verification Admin Site <ul style="list-style-type: none"> <input type="checkbox"/> Row Filters <input type="checkbox"/> Verification-Linked Documents
2:00 – 2:45	eGov and Verification Guides <ul style="list-style-type: none"> ☞ System Administration 	Essential Verification files <ul style="list-style-type: none"> <input type="checkbox"/> Registry XMLs <input type="checkbox"/> Web.config <input type="checkbox"/> Resource Files <input type="checkbox"/> Stylesheet
2:45 – 3:00	Break	
3:00 – 4:00	eGov and Verification Guides <ul style="list-style-type: none"> ☞ System Administration 	Miscellaneous Topics <ul style="list-style-type: none"> <input type="checkbox"/> UDO Management <input type="checkbox"/> Troubleshooting Tips

MyLicense eGov/Verification Training Agenda – Day 3

Objective: By the end of Day Three, users should have successfully used the eGov Setup Utility to configure business and validation rules for a single license type in eGov.

Date:		
Time	Reference Material	Topic
9:00 – 4:00	eGov Guides  eGov Setup Utility	Team Configuration of eGov Business Rules <ul style="list-style-type: none"> <input type="checkbox"/> Set up license type for replication <input type="checkbox"/> Send license data to training eGov environment <input type="checkbox"/> Configure for a single license type: <ul style="list-style-type: none"> <input type="checkbox"/> License Type <input type="checkbox"/> License Statuses <input type="checkbox"/> Obtained by Methods <input type="checkbox"/> Fees <input type="checkbox"/> Schools <input type="checkbox"/> Duplicate Types <input type="checkbox"/> Questions <input type="checkbox"/> Processes <input type="checkbox"/> Checklist Items <input type="checkbox"/> Configure Row Filters <input type="checkbox"/> Configure SQL Pool Validation Rules