

# STATE OF NEBRASKA SERVICE CONTRACT AWARD

PAGE 1 of 3	ORDER DATE 10/18/22
BUSINESS UNIT 35101770	BUYER PRANGE, LEANNA
VENDOR NUMBER: 2761966	
VENDOR ADDRESS:  COMPUTRONIX INC 3900 S WADSWORTH BLVD STE 150 LAKEWOOD CO 80235-2203	

**CONTRACT NUMBER**  
**101867 04**

AN AWARD HAS BEEN MADE TO THE VENDOR/CONTRACTOR NAMED ABOVE FOR THE SERVICES AS LISTED BELOW FOR THE PERIOD:

**NOVEMBER 01, 2022 THROUGH OCTOBER 31, 2027**

THIS CONTRACT IS NOT AN EXCLUSIVE CONTRACT TO FURNISH THE SERVICES SHOWN BELOW, AND DOES NOT PRECLUDE THE PURCHASE OF SIMILAR SERVICES FROM OTHER SOURCES.

THE STATE RESERVES THE RIGHT TO EXTEND THE PERIOD OF THIS CONTRACT BEYOND THE TERMINATION DATE WHEN MUTUALLY AGREEABLE TO THE VENDOR/CONTRACTOR AND THE STATE OF NEBRASKA.

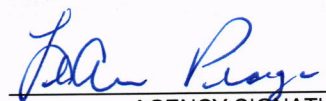
Original/Bid Document 6677 Z1

Contract to supply and deliver a Centralized Alcohol Management Project (CAMP) to the State of Nebraska as per the attached specifications for the period November 1, 2022 through October 31, 2027. The contract may be renewed for five (5) additional three (3) year periods when mutually agreeable to the vendor and the State of Nebraska.

Vendor Contact: Keith Burgess, Business Development Manager  
Phone: 587-525-5362  
E-Mail: keith.burgess@computronix.com

(10/20/22 ls)

Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
1	PROJECT KICKOFF PRESENTATION	17,133.0000	\$	1.0000	17,133.00
2	PROJECT SCHEDULE	17,133.0000	\$	1.0000	17,133.00
3	PROJECT MANAGEMENT PLAN	17,133.0000	\$	1.0000	17,133.00
4	REQUIREMENTS ANALYSIS DOCUMENT	152,650.0000	\$	1.0000	152,650.00
5	SOLUTION IMPLEMENTATION PLAN	66,400.0000	\$	1.0000	66,400.00
6	SYSTEM ARCHITECTURE DOCUMENT	66,400.0000	\$	1.0000	66,400.00
7	FUNCTIONAL DESIGN DOCUMENT	66,400.0000	\$	1.0000	66,400.00
8	REQUIREMENTS TRACEABILITY MATRIX	152,650.0000	\$	1.0000	152,650.00
9	TECHNICAL DESIGN DOCUMENT	66,400.0000	\$	1.0000	66,400.00



AGENCY SIGNATURE

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Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
10	DATA CONVERSION PLAN	77,900.0000	\$	1.0000	77,900.00
11	INTERFACE SPECIFICATION DOCUMENT	104,400.0000	\$	1.0000	104,400.00
12	ONLINE PORTAL SPECIFICATION DOCUMENT	66,400.0000	\$	1.0000	66,400.00
13	REPORT SPECIFICATION DOCUMENT	21,200.0000	\$	1.0000	21,200.00
14	DATA MAPPING & CONVERSION	77,900.0000	\$	1.0000	77,900.00
15	SYSTEM CONFIGURATION	385,800.0000	\$	1.0000	385,800.00
16	INTERFACE DEVELOPMENT	104,400.0000	\$	1.0000	104,400.00
17	REPORT DEVELOPMENT	21,200.0000	\$	1.0000	21,200.00
18	SYSTEM TESTING	108,200.0000	\$	1.0000	108,200.00
19	USER ACCEPTANCE TESTING	77,900.0000	\$	1.0000	77,900.00
20	END USER TRAINING	124,300.0000	\$	1.0000	124,300.00
21	GO LIVE	40,600.0000	\$	1.0000	40,600.00
22	SYSTEM SUPPORT & WARRANTY	44,100.0000	\$	1.0000	44,100.00
23	ENVIRONMENT SETUP AND SOFTWARE INSTALLATION	72,700.0000	\$	1.0000	72,700.00
24	POSSE WORK MANAGEMENT BASE PLATFORM LICENSE	75,000.0000	\$	1.0000	75,000.00
25	POSSE ABC MODULES (5)	65,000.0000	\$	1.0000	65,000.00
26	POSSE MOBILE MODULE	20,000.0000	\$	1.0000	20,000.00
27	POSSE GIS ADD-ON	15,000.0000	\$	1.0000	15,000.00
28	POSSE AD HOC REPORTING MODULE	20,000.0000	\$	1.0000	20,000.00
29	POSSE NAMED USERS	50.0000	EA	1,050.0000	52,500.00
30	POSSE MOBILE USERS LICENSES	5.0000	EA	750.0000	3,750.00

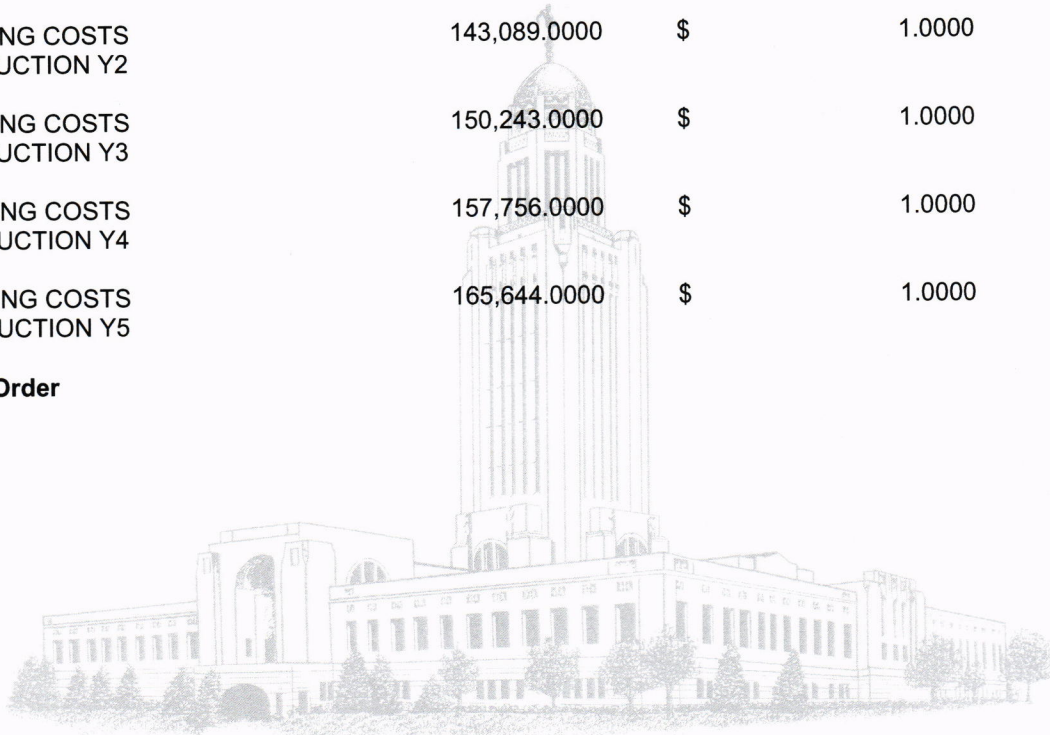
*LP*  
INITIALS

# STATE OF NEBRASKA SERVICE CONTRACT AWARD

PAGE 3 of 3	ORDER DATE 10/18/22
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VENDOR NUMBER: 2761966	

**CONTRACT NUMBER  
101867 04**

Line	Description	Quantity	Unit of Measure	Unit Price	Extended Price
31	HOSTING COSTS IMPLEMENTATION PERIOD Y1	118,055.0000	\$	1.0000	118,055.00
32	HOSTING COSTS IMPLEMENTATION PERIOD Y2	136,275.0000	\$	1.0000	136,275.00
33	HOSTING COSTS PRODUCTION Y2	143,089.0000	\$	1.0000	143,089.00
34	HOSTING COSTS PRODUCTION Y3	150,243.0000	\$	1.0000	150,243.00
35	HOSTING COSTS PRODUCTION Y4	157,756.0000	\$	1.0000	157,756.00
36	HOSTING COSTS PRODUCTION Y5	165,644.0000	\$	1.0000	165,644.00
<b>Total Order</b>					<b>3,071,611.00</b>



*LP*  
INITIALS

<b>AMENDMENT ONE TO CONTRACT AWARD</b>
<b>CONTRACT NUMBER 101867 O4</b>
CENTRALIZED ALCOHOL MANAGEMENT PROGRAM FOR THE STATE OF NEBRASKA LIQUOR CONTROL COMMISSION
Between The State of Nebraska and Computronix, Inc.

This Amendment (the "Amendment") is made by the State of Nebraska and Computronix, Inc., parties to Contract 101867 O4 (the "Contract"), and upon mutual agreement and other valuable consideration the parties agree to and hereby amend the contract (RFP) as follows:

Terms and Conditions Item IIA, General:

Computronix' proposal shall be moved to Number 3 in the precedence hierarchy.

Terms and Conditions Item IJJ, Breach: After the sentence "Notwithstanding any clause to the contrary, the State may also recover the contract price together with any incidental or consequential damages defined in UCC Section 2-71, but less expenses saved in consequence of Contractor's breach," add the following paragraphs:

"The total liability of the Contractor, its partners, principals, and employees for any actions, damages, claims, liabilities, costs, expenses, or losses in any way arising out of or relating to the delivery of the services provided hereunder shall not be more than the greater of (a) one and a half times the total value of this Contract or (b) the amount recoverable under the Contractor's insurance."

"In no event shall the State or Contractor, its partners, principals, or employees be liable for indirect, incidental, consequential, special, punitive, or exemplary damages, costs, expenses or losses. The provisions of this paragraph shall apply regardless of the form of action, whether in contract, statute, tort or otherwise."

"See Addendum to Amendment One"

Substitute the language "The State's failure to make payment shall not be a breach, and the Contractor shall retain all available statutory remedies and protections" with "The State's failure to meet the agreed-upon payment requirements for three consecutive billing cycles, unrelated to a good-faith performance dispute, may be deemed a breach, as determined by Vendor. In such event, the Vendor retains all remedies available pursuant to law and this Contract."

Terms and Conditions Item IIM1, Indemnification: Add the following paragraphs at the end of this Section:

"The total liability of the Contractor, its partners, principals, and employees for any actions, damages, claims, liabilities, costs, expenses, or losses in any way arising out of or relating to the delivery of the services provided hereunder shall not be more than the greater of (a) one and a half times the total value of this Contract or (b) the amount recoverable under the Contractor's insurance."

“In no event shall the State or Contractor, its partners, principals, or employees be liable for indirect, incidental, consequential, special, punitive, or exemplary damages, costs, expenses or losses. The provisions of this paragraph shall apply regardless of the form of action, whether in contract, statute, tort or otherwise.”

“See Addendum to Amendment One.”

Terms and Conditions Item IIO, Liquidated Damages: Strike Liquidated Damages provisions

Terms and Conditions Item IIP, Performance Requirements: Replace “Failure to meet the agreed-upon performance requirements may be deemed a breach, as determined by the State” with “Failure to meet the agreed-upon performance requirements in three consecutive months, for similar cause, may be deemed a breach, as determined by the State. In such event, the State retains all remedies available pursuant to law and this Contract.”

Contractor Duties Item IIIH, Ownership of Information:

The following Paragraph is added at the end of this section:

“State grants Contractor a non-exclusive, perpetual, irrevocable, royalty-free, worldwide license to use, reproduce, sublicense, modify, and sell any deliverables developed pursuant to this Agreement without compensation to the State.”

Contractor Duties Item IIII, Insurance Requirements:

- The requirement of \$25,000.00 for Medical Payments under “Commercial General Liability” is reduced to \$10,000.00
- The requirement of “Umbrella/Excess Liability” Insurance Coverage is removed
- The required amount for “Cyber Liability” is reduced to \$5,000,000.
- Required coverage for owned vehicles under “Commercial Automobile Liability” is removed with the understanding that Contractor does not own any vehicles at the time of the contract

Contractor Duties Item IIIM, Site Rules and Regulations

Substitute the phrase “best efforts” with the phrase “commercially reasonable efforts.”

Addendum re State Sovereignty

See attached “Addendum to Amendment One”

This amendment and any attachments hereto will become part of the Contract. Except as set forth in this Amendment, the Contract is unaffected and shall continue in full force and effect in accordance with its terms. If there is conflict between this amendment and the Contract or any earlier amendment, the terms of this amendment will prevail.

IN WITNESS WHEREOF, the parties have executed this Amendment as of the date of execution by both parties below.

State of Nebraska

  
(Signature)

Name:

Herbert B. Rupp  
(Printed)

Title:


Executive Director

Date:

10-28-2022

Contractor: COMPUTRONIX, INC.

By:

  
(Signature)

Name:

DAVID DEN OTTER  
(Printed)

Title:

PRESIDENT

Date:

10/26/2022

**Addendum to Amendment One, Contract of Computronix Inc. and the Nebraska Liquor Control Commission**

Notwithstanding any other provision of this agreement, Computronix understands and agrees that (1) the State of Nebraska is a sovereign state and its authority to contract is therefore subject to limitations by constitution, statute and common law, (2) this contract will be interpreted under the laws of the State of Nebraska and it is enforceable only to the extent that it does not violate the constitution and the laws of the State of Nebraska, (3) the person signing this agreement on behalf of the State does not have the authority to waive the State's sovereign immunity or other State rights.

**POSSE Software License Agreement**

**between:**

State of Nebraska (hereinafter referred to as “**Client**”)

and

Computronix (U.S.A.), Inc. (hereinafter referred to as “**Vendor**”)

**RECITALS**

WHEREAS Client has requested to purchase a modular web-based software solution for managing regulatory activities.

AND WHEREAS Vendor represents that it has an available software solution that meets Client’s requirements and is able to provide it to Client in accordance with the terms and conditions set out in this Agreement.

THEREFORE, in consideration of the mutual covenants and obligations contained herein and subject to the terms and conditions hereinafter set out, Vendor and the Client hereto agree as follows:

**1. DEFINITIONS**

- 1.1 **Add-On Module** – additional functionality that extends core POSSE features. Add-On Modules may be added to POSSE to permit additional functionality. Each Add-On Module is fully supported and has its own release cycle separate from the POSSE product release cycle. Examples of Add-On Modules include POSSE Ad-Hoc, POSSE Archival Document Datastore and POSSE Mobile.
- 1.2 **Agent** – another party (e.g. a private inspection or enforcement agency) under contract to Client and authorized by Client to act on its behalf to use POSSE in delivering services within the legal jurisdictional boundaries of Client. Agents authorized by Client must agree in writing to Client to adhere to all terms and conditions of this Agreement.
- 1.3 **Agreement** – this POSSE Software License Agreement, which provides the terms and conditions under which the right to use POSSE is provided to Client and all schedules attached or incorporated by reference, and any subsequent addendums or amendments made in accordance with the provisions hereof.
- 1.4 **Business Module** - a pre-existing set of Configurations that extends POSSE by providing functionality specific to a business area. Examples of Business Modules include POSSE ABC – Licensing, POSSE ABC – Enforcement, POSSE LMS – Planning, POSSE LMS – Permitting & Inspections, etc.
- 1.5 **Client Site** – the location where the POSSE system is installed for the benefit of the Client. This may be a site on the Client’s premises, a Client hosting facility, at the Vendor’s hosting facility or at an approved third-party hosting facility.
- 1.6 **Configuration** – all work required to configure data definitions and/or process definitions to reflect the business rules, workflow, security and data requirements of Client, together with the resulting set of configured POSSE business processes. For greater certainty, Configuration includes both basic Configuration using the POSSE Stage point and click subsystem, as well as advanced Configuration using PL/SQL, .NET and/or Python code to enable advanced POSSE capabilities.
- 1.7 **Effective Date** - means the date upon which the last Party to sign this Agreement has executed it.
- 1.8 **Enhancement** - any work requested by Client to alter existing POSSE features, or to add any new features or functions to POSSE software.
- 1.9 **External User** - an individual external to Client and served by Client who is provided access to the POSSE Production Database via the Internet. External Users are typically customers of Client.



## POSSE® Software License Agreement

- 1.10 **Intellectual Property** – property that derives from the work of the mind or intellect, specifically, an idea, invention, trade secret, process, program, data, formula, patent, copyright, or trademark or application, right, or registration. Intellectual Property includes: a) POSSE pre-existing software, or pre-existing software Configurations (including reports) of Vendor; b) Vendor methodologies, processes, tools, and general knowledge of the matters under consideration; and c) any pre-existing material provided by Vendor under separate license.
- 1.11 **Legal Jurisdictional Boundary** – the geographic boundary applicable to Client's specific jurisdiction.
- 1.12 **Named User** - an individual internal to Client or representing Client or an Agent who has access to the POSSE Production Database. A Named User can access the POSSE Production Database from any workstation on Client's network or intranet, or via POSSE Mobile, or via the Internet.
- 1.13 **POSSE®** – refers to a modular, web-based regulatory workflow management system that combines configurable workflow, mapping, electronic documents, and mobile computing technologies into a single integrated database. POSSE® includes “toolbox” stored procedures and documentation that comes with the POSSE software.
- 1.14 **POSSE Alcoholic Beverage Control System (may also be referred to as “POSSE ABC”)** – A functioning, commercially available “out of the box” system that utilizes pre-existing Configurations, reports and/or other Add-On Modules operating within POSSE software. All POSSE ABC Configurations and reports are considered Vendor Intellectual Property.
- 1.15 **POSSE Enterprise Licensing System (may also be referred to as “POSSE ELS”)** – A functioning, commercially available “out of the box” system that utilizes pre-existing Configurations, reports and/or other Add-On Modules operating within POSSE software. All POSSE ELS Configurations and reports are considered Vendor Intellectual Property.
- 1.16 **POSSE Land Management System (may also be referred to as “POSSE LMS”)** – A functioning, commercially available “out of the box” system that utilizes pre-existing Configurations, reports and/or other Add-On Modules operating within POSSE software. All POSSE LMS Configurations and reports are considered Vendor Intellectual Property.
- 1.17 **Release** – any version, point, maintenance or patch release to POSSE issued by Vendor.
- 1.18 **Site-Specific Configuration** – any software deliverables, including but not limited to Configuration, reports, interfaces, data conversion scripts, and custom code, developed solely and specifically for Client.
- 1.19 **Source Code** – Any and all program code or database definitions developed by Vendor using a formal programming language and used by POSSE software.

## 2. **SCOPE OF AGREEMENT**

- 2.1 This Agreement provides Client with either subscription or perpetual license terms; or a combination of both, when applicable. The specific licensing terms for subscription licenses can be found in Attachment 1. The specific licensing terms for perpetual licenses can be found in Attachment 2.
- 2.2 Client is permitted to establish any number of development, testing or training POSSE databases, plus one (1) POSSE production POSSE database at Client Site. Client is also entitled to make back-up copies of POSSE for use in accordance with the provisions of this Agreement.
- 2.3 Client is permitted to use POSSE only for processing transactions in relation to services provided by Client within its Legal Jurisdictional Boundaries. For clarity, Client may not use POSSE to process transactions for another jurisdiction.
- 2.4 The current Release of POSSE software will be provided to Client. This Release will only be provided in compiled form and consists of executable code, database schemas, documentation and online help.
- 2.5 The Vendor reserves the right to conduct periodic audits of the number of Client Named Users and the Client's use of the POSSE software, the frequency of such audits to occur on no more than a quarterly basis. If any discrepancies are found between the number of Named Users from the audit, and the licensed number of Named Users identified in Attachments 1 and 2, the Client agrees to pay any license fees associated with additional Named Users.

## **POSSE® Software License Agreement**

### **3. SOURCE CODE**

- 3.1 This license will provide Client with run-time (compiled code) only capability for POSSE as described in Section 2 of this Agreement.
- 3.2 A copy of POSSE Source Code will be held in escrow for Client by Lincoln-Parry SoftEscrow at no cost to Client. The source code held in escrow will be refreshed at a minimum of two times per year.
- 3.3 Source code (metadata) to Site-Specific Configurations, PL/SQL, reports, and specialized code developed specifically for Client will be installed at Client Site.

### **4. WARRANTIES**

- 4.1 Vendor warrants that it has full power and authority to grant this POSSE license and that as of the Effective Date of this Agreement, the POSSE software does not infringe on any existing Intellectual Property rights of any third party. If a claim of infringement is made by any third party, Vendor may, at its sole option either:
  - a) secure for Client the right to continue using the POSSE software; or
  - b) modify the POSSE software so that it does not infringe.The foregoing constitutes Client's sole and exclusive remedy and Vendor's entire liability with respect to infringement.
- 4.2 Vendor has no obligation for any claim of infringement based on a modified version of the POSSE software or based on the combination of the POSSE software with any third party product not provided by Vendor. Vendor provides no warranty whatsoever for any third party software or hardware products.
- 4.3 Except as expressly set forth herein, Vendor disclaims any and all express and implied warranties, including but not necessarily limited to warranties of merchantability and fitness for a particular purpose.

### **5. OWNERSHIP OF SOFTWARE AND DATA**

- 5.1 Vendor has exclusive licensing and distribution rights for POSSE software (Copyright © 1997 – 2022, all rights reserved), including POSSE, POSSE LMS, POSSE ABC, POSSE ELS, Add-On Modules and Business Modules within the United States of America. Client will not remove any ownership or copyright notices from POSSE software or documentation. Reproduction, disassembly, decompilation, transfer, reverse engineering, or disclosure to others, in whole or in part, of POSSE is strictly prohibited.
- 5.2 Vendor is, and will remain, the exclusive owner, or is the authorized agent of the owner of POSSE proprietary information, and all patent, copyright, trade secret, trademark, and other Intellectual Property rights remain solely with Vendor. No license or conveyance of any such rights to Client is granted or implied under this Agreement.
- 5.3 Vendor will retain ownership of the Intellectual Property associated with Enhancements, Business Modules, and Add-On Modules developed by Vendor for Client.
- 5.4 Client is deemed to own any Site-Specific Configuration for their POSSE installation. Client grants Vendor a non-exclusive, perpetual, irrevocable, royalty-free, worldwide license to use, reproduce, sublicense, modify, and sell the Site-Specific Configuration developed pursuant to this Agreement without compensation to Client.
- 5.5 Client may not sell, rent, lease, give, distribute, assign, pledge, sublicense, loan, timeshare, or otherwise transfer POSSE software to any other party. Client will not copy, resell or give POSSE Configurations or documentation to any other party. Client agrees not to distribute POSSE as part of any other software product, commercial or otherwise, without the prior written approval of Vendor.
- 5.6 Client will retain sole and complete ownership of its data at all times, regardless of the location of the data, and Vendor may not make any use of Client data other than for testing purposes, without the prior written consent of Client.

## POSSE® Software License Agreement

### 6. CONFIDENTIAL AND PROPRIETARY INFORMATION

- 6.1 Each party will hold in confidence, and will not disclose to any unauthorized personnel, any confidential or proprietary information of the other party. Each party will use such confidential or proprietary information only for the purpose for which it was disclosed.
- 6.2 As used in this Agreement, the term “confidential or proprietary information” means all trade secrets or proprietary information designated as such in writing by one party to the other. All software code in source or object format shall be deemed to be proprietary information whether it is marked as such or not. Information which is orally or visually disclosed by one party to the other, or is disclosed in writing without an appropriate letter, proprietary stamp or legend, will constitute proprietary information of the releasing party if:
  - a) it would be apparent to a reasonable person, familiar with the business of the releasing party and the industry in which it operates, that such information is of a confidential or proprietary nature; or
  - b) The releasing party, within thirty (30) calendar days after such disclosure, delivers to the receiving party a written document describing such information and referencing the place and date of such oral, visual, or written disclosure, and the names of receiving party personnel to whom such disclosure was made.
- 6.3 Each party will only disclose confidential or proprietary information received by it under this Agreement to personnel who have a need to know such confidential or proprietary information for the performance of its duties and who are bound by an agreement to protect the confidentiality of such confidential or proprietary information.
- 6.4 Each party will adopt and maintain programs and procedures which are reasonably calculated to protect confidential or proprietary information, and will be responsible to the other party for any disclosure or misuse of confidential or proprietary information which results from a failure to comply with this provision. Each party will promptly report to the other party any actual or suspected violation of the terms of this Agreement and will take all reasonable further steps requested by the offended party to prevent, control, or remedy any such violation.
- 6.5 The obligations of each party specified above will not apply with respect to any confidential or proprietary information, if the receiving party can demonstrate, by reasonable evidence, that such confidential or proprietary information:
  - a) was generally known to the public at the time of disclosure or becomes generally known through no wrongful act on the part of the receiving party;
  - b) was already in the possession of the receiving party at the time of disclosure;
  - c) becomes known to the receiving party through disclosure by sources having the legal right to disclose such confidential information;
  - d) was independently developed by the receiving party without reference to, or reliance upon, the confidential information; or
  - e) was required to be disclosed by the receiving party to comply with applicable laws or governmental regulations, provided that the receiving party provides prompt written notice of such disclosure to the offended party and takes reasonable and lawful actions to avoid and/or minimize the extent of such disclosure.
- 6.6 If Client is subject to freedom of information legislation Vendor agrees to adhere to the standards outlined in such legislation regarding protection of privacy and disclosure of records with respect to all work done for Client pursuant to this Agreement.
- 6.7 Upon termination of this Agreement, each party will make all reasonable efforts to return to the other party all tangible manifestations, and all copies thereof, of confidential or proprietary information received by the other party under this Agreement, if requested to do so by the disclosing party.

### 7. LIMITATIONS OF LIABILITY AND INDEMNITY

- 7.1 The liability of Vendor to Client for any losses or damages arising from the use of POSSE or from any other services covered under this Agreement will be as set out in the applicable attachment.

## POSSE® Software License Agreement

- 7.2 Client SPECIFICALLY ACKNOWLEDGES AND CONFIRMS THAT UNDER NO CIRCUMSTANCES WHATSOEVER WILL Vendor BE LIABLE FOR ANY INCIDENTAL, INDIRECT, EXEMPLARY, SPECIAL OR CONSEQUENTIAL DAMAGES OF ANY NATURE OR KIND, OR ANY LOSS RESULTING FROM BUSINESS DISRUPTION ARISING FROM THE USE OF POSSE, OR FROM ANY SERVICES COVERED UNDER THE TERMS OF THIS AGREEMENT, REGARDLESS OF THE FORM OF ACTION, WHETHER IN CONTRACT, TORT (INCLUDING NEGLIGENCE), STRICT PRODUCT LIABILITY OR OTHERWISE, EVEN IN THE EVENT THAT Vendor HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.
- 7.3 Subject to the limitation as set out in this Agreement, Vendor agrees to indemnify and save Client harmless from any liability, damage, expense, or cost including, but not limited to, legal fees of a solicitor regarding any acts, duties, obligations, or omissions of the Vendor.
- 7.4 Subject to the limitations as set out in this Agreement, Vendor will assume the defense and the cost of any demand, claim, action, suit or proceeding of any nature brought against Client by reason of the error, action, or omission of the Vendor. Further, Vendor will pay any damages, awards, judgments, costs, or other amounts assessed against, or otherwise payable by Client as the result of the disposition of any such demand, claim, action, suit, or proceeding. Notwithstanding the foregoing, Client is entitled to be represented in any such action, suit, or proceeding at its own expense and by counsel of its choice and at its own expense.

## 8. TERMINATION AND DEFAULT CONDITIONS

- 8.1 Vendor may terminate this Agreement if: Client fails to make required payments, Client materially fails to fulfill its obligations and responsibilities or breaches any material term of this Agreement, Client becomes bankrupt or insolvent, or if a receiver is appointed to manage the property and assets of Client. If any of the above conditions are encountered, Vendor will provide written notice to Client and provide 30 calendar days for Client to remedy the default. If the default is not rectified within 30 calendar days, Vendor will have cause to terminate this Agreement.
- 8.2 Client may terminate this Agreement if: Vendor materially fails to fulfill its obligations and responsibilities or breaches any material term of this Agreement, Vendor becomes bankrupt or insolvent, or if a receiver is appointed to manage the property and assets of Vendor. If any of the above conditions are encountered, Client will provide written notice to Vendor and provide 30 calendar days for Vendor to remedy the default. If the default is not rectified within 30 calendar days, Client will have cause to terminate this Agreement.
- 8.3 Upon termination of this Agreement for cause, Client shall cease use of the POSSE license. Client will destroy the POSSE license within thirty (30) days of such termination and certify in writing to Vendor, signed by an office of Vendor, that it has complied with the requirements of this Section 8.
- 8.4 At the time that the obligations of each of the parties have otherwise concluded, it is understood and agreed that the provisions of Section 5 (OWNERSHIP OF SOFTWARE AND DATA) and Section 6 (CONFIDENTIAL AND PROPRIETARY INFORMATION) will continue in full force and effect.

## 9. RIGHTS AND OBLIGATIONS

- 9.1 If this Agreement is terminated for any reason,;
- a) Vendor will retain all fees for products delivered to Client up to the date of termination.
  - b) Such termination will not in any way operate to deny any right or remedy of either party, either at law or in equity, or to relieve a party of any obligation to pay the sums due under this Agreement, or of any other obligation accrued prior to the effective date of termination.
  - c) POSSE is subject to the export control laws of the United States and other countries. Client may not export or re-export POSSE software without the appropriate United States and foreign government licenses. Client must comply with all applicable export control laws and will defend, indemnify and hold Vendor harmless from any claims arising from Client's violation of such export control laws

## **POSSE® Software License Agreement**

### **10. DISPUTES**

- 10.1 Vendor and Client will both separately and jointly use diligent efforts to establish positive and ongoing communications both within and between their respective organizations. Key personnel within Vendor and Client will communicate regularly in order to review the status and priorities for the provision of services by Vendor and Client.
- 10.2 In the event of any dispute arising between Vendor and Client with respect to their rights and obligations under this Agreement, the party feeling itself aggrieved will notify the other party of the substance in writing of such grievance. Both parties agree to work in good faith and make all reasonable efforts to resolve the dispute, including, if necessary, escalating the dispute to:
  - a) First level: the VP, Operations of Vendor and the Project Sponsor for Client; and
  - b) Second level: the President/CEO of Vendor and the Chief Executive for Client.
- 10.3 In the event the grievance cannot be resolved to the mutual satisfaction of the parties within 30 calendar days, the party feeling itself aggrieved may request mediation, based on the then-current commercial mediation rules of the American Arbitration Association. The award of the mediation body will be non-binding upon Vendor and Client.

### **11. WAIVER**

- 11.1 No failure or delay on the part of either party to exercise any right or remedy hereunder will operate as a waiver of such right or remedy.

### **12. SUCCESSION**

- 12.1 This Agreement will be binding on the legal successors or representatives of Vendor and Client. It will also be binding on any party that receives licensing and distribution rights to POSSE from Vendor.
- 12.2 Any rights granted to either party under this Agreement may not be assigned by that party, or the successor to that party, without the prior written approval of the other party, which will not be unreasonably withheld.

### **13. SEVERENCE**

- 13.1 If any provision of this Agreement is declared by a court of competent jurisdiction to be invalid, illegal, or unenforceable, such provision can be severed from this Agreement and all other provisions will remain in full force and effect.

### **14. GOVERNING LAW**

- 14.1 This Agreement will be governed by, construed, and enforced in accordance with the laws of the State of Nebraska. The parties irrevocably attorn to the jurisdiction of the courts of the State of Nebraska.

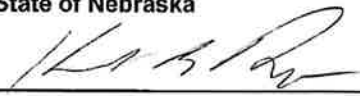
15. ACCEPTANCE OF AGREEMENT

15.1 This Agreement comprises the entire and sole POSSE Software License Agreement between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist for the licensing of POSSE. Vendor and Client agree not to change this Agreement except by written agreement.

Computronix (U.S.A.), Inc.

State of Nebraska

  
\_\_\_\_\_  
Signature

  
\_\_\_\_\_  
Signature

DAVID DEN OTTER  
Name

Robert B Rypa  
Name

PRESIDENT  
Title

Executive Director  
Title

10/26/2022  
Date

10 / 28 / 2022  
Date



**ATTACHMENT 1  
SUBSCRIPTION LICENSE TERMS**

**1) RIGHTS GRANTED**

This Agreement provides Client with a non-exclusive subscription software license for the POSSE modules and the number of POSSE Named Users as identified below in Section 2 of this Attachment 1. This subscription license is in effect so long as the Client pays the annual subscription license fee as identified in Section 2 of this Attachment 1.

**2) LICENSED SOFTWARE AND FEES**

Client agrees to pay Vendor an annual subscription license fee upon execution of this Agreement, and annually thereafter, unless otherwise terminated according to the terms of Section 8 of this Agreement.

License and all other fees quoted in this Agreement are in US dollars and exclude any applicable taxes.

**Modules provided under subscription software license:**

Module	Quantity	Unit Price	Total Price
<b>Total Annual Subscription License Fees</b>			

Prices in the above tables are based on the license fees in place at the time of execution of this Agreement. Such license fees are subject to annual review by the Vendor, provided that the Client is provided at least 90 days' notice of any changes to fees specified herein.

**3) LIMITATION OF LIABILITY**

The liability of Vendor to Client for any losses or damages arising from the use of POSSE or from any other services covered under this subscription license will be limited to the fees paid to Vendor under this subscription license in the six (6) months prior to the event giving rise to the claim.

This Attachment comprises the sole POSSE Software Subscription License Agreement between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist for the subscription licensing of POSSE.

**ATTACHMENT 2  
PERPETUAL LICENSE TERMS**

**1) RIGHTS GRANTED**

This Agreement provides Client with a non-exclusive and non-revocable perpetual software license for POSSE including the POSSE modules and the number of POSSE Named Users as identified in Section 2 of this Attachment 2. The POSSE perpetual license includes an unlimited number of External Users.

**2) LICENSED SOFTWARE AND FEES**

Client agrees to pay Vendor a one-time license fee as identified in the table below. All POSSE license fees are payable upon signing of this Agreement.

License and all other fees quoted in this Agreement are in US dollars and exclude any applicable taxes.

**Modules provided under perpetual software license:**

<b>Module</b>	<b>Quantity</b>	<b>Unit Price</b>	<b>Total Price</b>
POSSE Work Management Base Edition Platform License	1	\$75,000	\$75,000
POSSE ABC Modules (5 modules): Licensing, Enforcement, Brand Registration, Education, Regulatory Reporting	1	\$65,000	\$65,000
POSSE Mobile Module	1	\$20,000	\$20,000
POSSE GIS Add-on	1	\$15,000	\$15,000
POSSE Ad Hoc Reporting Module	1	\$20,000	\$20,000
POSSE Named Users	50	\$1,050	\$52,500
POSSE Mobile Users	5	\$750	\$3,750
		<b>Total One-Time License Fees</b>	\$251,250

Prices in the above table are based on the license fees in place at the time of execution of this Agreement. Such license fees are subject to annual review by the Vendor, provided that the Client is provided at least 90 days' notice of any changes to fees specified herein

**3) LIMITATION OF LIABILITY**

The liability of Vendor to Client for any losses or damages arising from the use of POSSE or from any other services covered under this perpetual license will be limited to the return of the POSSE license fee paid less any good and valuable time of performance as amortized over a ten (10) year life of the license.

This Attachment comprises the sole POSSE Software Perpetual License Agreement between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist for the perpetual licensing of POSSE.



## **POSSE Hosting Service Level Agreement**

**between:**

State of Nebraska (hereinafter referred to as “**Client**”)

and

Computronix (U.S.A.), Inc. (hereinafter referred to as “**Vendor**”)

### **RECITALS**

WHEREAS Client has identified a requirement for a third party to provide hosting services for their POSSE software solution,

AND WHEREAS Vendor represents that it has available hosting services that meets Client’s requirements and is able to provide said hosting services to Client in accordance with the terms and conditions set out in this Agreement.

THEREFORE, in consideration of the mutual covenants and obligations contained herein and subject to the terms and conditions hereinafter set out, Vendor and the Client hereto agree as follows:

### **1. DEFINITIONS**

- 1.1. **Hosting SLA** – this Hosting Service Level Agreement, and any subsequent addendums or amendments made in accordance with the provisions herein.
- 1.2. **Hosting Services** – the services described in Section 4 of this Agreement that are provided by Vendor to Client in accordance with the terms and conditions of this Hosting SLA.
- 1.3. **Hosting Services Site** – the hosting facility at which servers and related equipment are located.
- 1.4. **Production** – systems and services that are used for ongoing Client operations.
- 1.5. **Non-Production** – systems and services used for any purpose other than Production Client operations, including development, user acceptance testing (UAT), and training.
- 1.6. **Recovery Point Objective** – the maximum targeted period in which data for Hosted Services may be lost due to a catastrophic failure at the primary Hosting Services Site.
- 1.7. **Recovery Time Objective** – the targeted duration of time within which Hosting Services must be restored after Vendor has identified a catastrophic failure at the primary Hosting Services Site.
- 1.8. **Client Business Hours** – Monday through Friday, 8:00 AM to 5:00 PM Central Standard Time.
- 1.9. **Hosting Service Fees** – the fees payable by Client to Vendor for the Hosting Services provided under this Hosting SLA as defined in Schedule A.

### **2. TERM OF HOSTING SLA**

- 2.1. This Hosting SLA will commence upon signing of this Agreement. This Hosting SLA will remain in effect for a term of one (1) year and will be automatically renewed annually thereafter upon payment by Client of the annual Hosting Services Fees.

### **3. OWNERSHIP OF DATA**

- 3.1. Client will retain sole and complete, legal and beneficial ownership of its data stored on the hosting site by Vendor.
- 3.2. Vendor’s responsibilities and rights regarding Client data are solely restricted to the provision of services described in this Hosting SLA. Vendor may not make any other uses of Client data for any reason whatsoever, without the express written consent of Client, unless ordered to release such data by a court of competent jurisdiction.



### Hosting Service Level Agreement (SLA)

3.3. Client may request return of any or all of its data at any time, for any reason, and Vendor will provide such data within a reasonable period of time, in native format.

#### 4. OVERVIEW OF HOSTING SERVICES

4.1. Vendor is committed to providing secure, reliable, and dedicated Hosting Services to Client. In return for monthly Hosting Service Fees from Client, Vendor will provide the following services to Client:

Item	Service	Description
4.1.1.	Secure Hosting Site	Vendor will contract with a third-party for provision of a primary Hosting Services Site of Vendor's choice that adheres to the NIST 800-53 Moderate standard for data centers and is located in the same country as the Client's primary premises.
4.1.2.	Disaster Recovery	In the event of a catastrophic failure at the primary Hosting Services Site, as identified by the Vendor, Vendor will ensure availability of Production Hosting Services in a secondary Hosting Services Site with a Recovery Time Objective of two (2) business days and a Recovery Point Objective of four (4) hours, and coordinate efforts with the Client to promptly reroute Client access and networking for primary system interfaces to the secondary Site.  The secondary Hosting Services Site will be provided by a third-party of Vendor's choice, will be located within the same country a minimum of 150 miles from the primary Hosting Services Site, and will adhere to the NIST 800-53 Moderate standard for data centers.  Vendor will independently conduct disaster recovery testing once per year.
4.1.3.	Included Software	Vendor will provide the following software for all systems at the Hosting Services Site: <ul style="list-style-type: none"> <li>• Operating Systems</li> <li>• Oracle Database Software</li> <li>• Performance Monitoring Software</li> <li>• Backup Software</li> <li>• Virus Protection Software</li> </ul> Vendor will maintain system security by keeping this software up to date on security patches and security audits, with critical third-party updates being applied within three (3) business days of third-party vendor notification.
4.1.4.	Vendor Application Support	Vendor will keep the POSSE system current and secure by installing POSSE point and maintenance releases on at least a 24 month frequency, and by installing applicable emergency bug fixes. Installation and testing of any new version releases of POSSE are not included and will be implemented under a separate agreement between Vendor and Client.
4.1.5.	Other Software	Client will be responsible for the licensing, installation, and maintenance of all other software loaded onto Client servers, workstations, or other Client equipment not at the Hosting Services Site.
4.1.6.	Database Administration	Vendor will be responsible for installing, configuring, and maintaining the databases supporting the POSSE application, including all Production and Non-Production environments.

		Vendor will be responsible for database tuning.
4.1.7.	System Security	Vendor will provide software and/or services for automated vulnerability scanning and real-time threat detection and mitigation. Vendor will provide current virus scanning software to ensure that any files uploaded to the Hosting Services Site are scanned for viruses prior to loading into the system.
4.1.8.	Monitoring and Performance	Vendor will monitor availability and performance of application services in production and provide a monthly report including uptime and response time. Vendor will also monitor the performance of systems and services at the Hosting Services Site, including CPU, RAM, disk, network connectivity, and network traffic, and provide patch management, event log management, and system tuning to maintain system stability and performance.
4.1.9.	Data Backups	Vendor will be responsible for securing Client data against physical loss. Vendor will ensure that Production data is backed up a minimum of every two (2) hours, with a daily restore point being retained for at least two (2) weeks and a weekly restore point being retained for at least six (6) weeks at the primary Hosting Services Site and at a secondary Hosting Services Site provided by a third-party of Vendor's choice, located within the same country a minimum of 150 miles from the primary Hosting Services Site, and adhering to the NIST 800-53 Moderate standard for data centers.
4.1.10.	Data Storage	Vendor will provide up to 1 (one) TB of storage for Client data. Additional storage can be purchased at any time at current Vendor rates.

- 4.2. Vendor will provide an issue reporting and tracking system for Client-specified users to report and track issues 24 hours, 7 days a week, except for scheduled issue tracking system maintenance.
- 4.3. Except for emergencies, Vendor will schedule maintenance activities requiring outages outside of Client Business Hours and will provide communication via e-mail to Client-specified contacts at least 5 business days in advance of any scheduled outage.

**5. AVAILABILITY COMMITMENT, ISSUE TRACKING, AND REMEDIES**

- 5.1. The commitment of Vendor is to provide Production Hosting Services availability for 99.9% uptime or better in a calendar month, except for scheduled maintenance.
- 5.2. Subject to Sections 5.1, 5.3, 5.4 and 5.5, if Vendor fails to meet the Production Hosting Services availability commitment in any given calendar month, Vendor will issue a credit towards future Hosting Service Fees, in accordance with the following schedule:

Hosting Services Availability	Credit Percentage (of monthly fee)
99.5% to 100%	0%
97.5% to 99.5%	5%
95.0% to 97.5%	10%
90.0% to 95.0%	20%
85.0% to 90.0%	30%
80.0% to 85.0%	40%
Below 80.0%	50%

- 5.3. In order to receive a credit, Client must make a request through the issue tracking system provided by Vendor. Each credit request must reference the reported Hosting Services availability for the specified calendar month and must be received by Vendor within ten (10) working days after monthly uptime report has been provided by Vendor to the Client. Vendor shall confirm Hosting Services availability and applicable credit and apply the credit to the next billing cycle.
- 5.4. The total amount credited to Client for any given month under this Hosting SLA will not exceed the total Hosting Service Fee paid by Client for such month for the affected service. Except in cases of gross negligence, Client specifically acknowledges and confirms that under no circumstances whatsoever will Vendor be liable for any incidental, indirect, exemplary, special, or consequential damages of any nature or kind, or any loss resulting from business disruption arising from any services covered under the terms of this agreement, regardless of the form of action, whether in contract, tort (including negligence), strict product liability, or otherwise, even in the event that Vendor has been advised of the possibility of such damages.
- 5.5. Client will not receive any credits under this Agreement in connection with any failure or deficiency of Vendor Hosting Services caused by or associated with:
  - 5.5.1. Scheduled Maintenance – As identified in Section 4.3 of this Agreement.
  - 5.5.2. Client Equipment – Client is solely responsible for maintaining all Client equipment and for ensuring that such equipment is in proper working order, has the correct software installed, and has the ability to connect to the Vendor Hosting Services for the exchange of data.
  - 5.5.3. Client Connectivity – Client is solely responsible for maintaining all Client connections with local Internet Service Providers (ISPs) and Client configurations for Virtual Private Network (VPN) connections used to access Hosting Services, and for resolving any problems that might arise with these connections.
  - 5.5.4. Internet Outages – Vendor is not responsible for Internet outages (including but not limited to ISP peering) that may make Vendor Hosting Services appear inaccessible to some users while it can still be accessed by other users.



## Hosting Service Level Agreement (SLA)

5.5.5. Client Changes to System Configuration – Vendor is not responsible for any failure or deficiency of Vendor Hosting Services that is demonstrated to be the result of Client changes to system configuration, including, without limitation, changes to application code, databases, web files, and infrastructure components. Client is solely responsible for all costs associated with resolving any failure or deficiency resulting from such changes.

5.5.6. Client Acts or Omissions – including acts or omissions of others engaged or authorized by Client, including, without limitation, any negligence, willful misconduct, or use of the Hosting Services in breach of the terms and conditions of this Agreement.

5.5.7. Force Majeure – Circumstances beyond Vendor's reasonable control, including, without limitation, acts of any governmental body, war, insurrection, sabotage, armed conflict, embargo, fire, flood, unavailability or interruption in telecommunications or Third-Party services, virus attacks or hackers, failure of Third-Party software, or inability to obtain power used in or equipment needed for provision of this Hosting SLA.

## 6. HOSTING SERVICE FEES

- 6.1. Client agrees to pay Vendor a hosting service fee (see **Schedule A – Services Fees**) for Hosting Services described in Section 4 of this Hosting SLA. Hosting Service Fees will be invoiced on an annual basis in advance, covering services to be provided for the subsequent 12 months of the Agreement. For partial months of service, Hosting Service fees will be pro-rated based on the number of full or partial calendar days of Hosting Services provided to Client. Client agrees to remit payment to Vendor within 30 calendar days of receipt of the invoice.
- 6.2. Hosting Service Fees are subject to review and adjustment on each renewal of this Agreement. Hosting Service Fees may be adjusted to a reasonable rate to be negotiated between Vendor and Client.
- 6.3. The hourly rate for support services not covered in this Hosting SLA is as noted in **Schedule A**. After the first year, the rate is subject to annual adjustment by Vendor, but limited to a maximum increase of five per cent (5%) per year, compounded annually since the last increase.
- 6.4. Help Desk services from 8:00 a.m. to 5:00 p.m. Mountain Time Monday to Friday, excluding statutory holidays observed by Computronix (U.S.A.), Inc., are included in the monthly Hosting Service Fees. On-call coverage outside of these working hours can be provided. All calls outside of Vendor hours noted in this Section will be billed at then-current rates, with a one-hour minimum charge per incident.
- 6.5. Client is permitted to use hosting services for processing in relation to services provided by Client within its legal jurisdictional boundaries. Client may not use hosting services for processing for another jurisdiction or organization. Requests for processing for other jurisdictions or organizations must be reviewed by the Vendor and is subject to additional fees.

## 7. DISPUTES

- 7.1. Both parties agree to work in good faith and make all reasonable efforts to resolve any dispute, including, if necessary, escalating the dispute to:
  - a) First level: the VP, Operations of Vendor and the Director for Client; and
  - b) Second level: the CEO of Vendor and the chief executive for Client.
- 7.2. In the event a dispute cannot be resolved to the mutual satisfaction of the parties within 30 calendar days, the party feeling itself aggrieved may request mediation, based on the then-current commercial mediation rules of the American Arbitration Association. The award of the mediation body will be non-binding upon Vendor and Client.

## 8. EARLY TERMINATION

- 8.1. Client may terminate this Hosting SLA, without cause, by giving Vendor 180 calendar days' notice of termination.

## Hosting Service Level Agreement (SLA)

- 8.2. Vendor may terminate this Hosting SLA, without cause, by giving Client one year's notice of termination. If Vendor elects to terminate this Hosting SLA, without cause, after the first 90 days but within the year term of the Hosting Services, an additional six months of Hosting Service Fees will be credited to the Client.
- 8.3. If either Client or Vendor terminates this Hosting SLA with cause, then no penalty for early termination will apply.

Hosting Service Level Agreement (SLA)

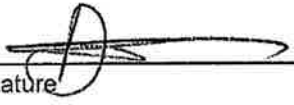



9. ACCEPTANCE OF HOSTING SLA

9.1. This Agreement comprises the entire and sole Hosting SLA between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist. Vendor and Client agree not to change this Agreement except by written agreement.

Computronix (U.S.A.), Inc.

State Of Nebraska

  
\_\_\_\_\_  
Signature  
DAVID DEVOTTER  
\_\_\_\_\_  
Name  
PRESIDENT  
\_\_\_\_\_  
Title  
10/26/2022  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Signature  
Robert B. Repe  
\_\_\_\_\_  
Name  
Executive Director  
\_\_\_\_\_  
Title  
10/28/2022  
\_\_\_\_\_  
Date

**SCHEDULE A – HOSTING SERVICE FEES**

All prices are in US dollars and exclude applicable taxes.

<b>Time Period</b>	<b>Fee</b>
Nov. 01, 2022 – Oct. 31, 2023 – Implementation Period	\$62,780
Nov. 01, 2023 – Oct. 31, 2024 – Implementation Period	\$81,000
Nov. 01, 2024 – Oct. 31, 2025 – Production (Year 2)	\$85,050
Nov. 01, 2025 – Oct. 31, 2026 – Production (Year 3)	\$89,302
Nov. 01, 2026 – Oct. 31, 2027 – Production (Year 4)	\$93,768
Nov. 01, 2027 – Oct. 31, 2028 – Production (Year 5)	\$98,457



## **POSSE Product Support Agreement**

### **between:**

State of Nebraska (hereinafter referred to as “**Client**”)

and

Computronix (U.S.A.), Inc. (hereinafter referred to as “**Vendor**”)

### **RECITALS**

WHEREAS Client requires ongoing support & maintenance services for their POSSE software solution,

AND WHEREAS Vendor represents that it has the required skills and abilities to provide said POSSE support and maintenance services to Client in accordance with the terms and conditions set out in this Agreement.

THEREFORE, in consideration of the mutual covenants and obligations contained herein and subject to the terms and conditions hereinafter set out, Vendor and the Client hereto agree as follows:

### **1. DEFINITIONS**

- 1.1 **Add-On Module** – additional functionality that extends core POSSE features. Add-On Modules may be added to POSSE to permit additional functionality. Each Add-On Module is fully supported and has its own release cycle separate from the POSSE product release cycle. Examples of Add-On Modules include POSSE Ad hoc, POSSE Archival Document Database and POSSE Mobile.
- 1.2 **Agreement** – this document and all schedules attached or incorporated by reference, and any subsequent addendums or amendments made in accordance with the provisions hereof.
- 1.3 **Annual Support Services Fee** – the annual fee payable by Client to Vendor for the support services provided by the Vendor under Section 3 of this Agreement.
- 1.4 **Annual Support Services Fee Percentage** – the percentage of the one-time perpetual POSSE software license fee used to determine the amount of the initial Annual Support Services Fee for all licensed POSSE software.
- 1.5 **Business Module** - a pre-existing set of Configurations that extends POSSE by providing functionality specific to a business area. Examples of Business Modules include POSSE ABC – Licensing, POSSE ABC – Enforcement, POSSE LMS – Planning, POSSE LMS – Permitting & Inspections, etc.
- 1.6 **Configuration(s)** – all work required to configure data definitions and/or process definitions to reflect the business rules, workflow, security and data requirements of Client, together with the resulting set of configured POSSE business processes. For greater certainty, Configuration includes both basic Configuration using the POSSE Stage point and click subsystem, as well as advanced Configuration using PL/SQL, .NET and/or Python code to enable advanced POSSE capabilities.
- 1.7 **Defect** - a program error that will cause POSSE to crash, or program algorithms or logic that produce incorrect results. Defects pertain to the intended operation of POSSE as delivered to Client, but do not pertain to subsequent errors brought about by Infrastructure changes made by Client or any other Third-Party. Defects do not include changing user preferences, report or screen aesthetics, presentation standards, or validity of converted data. Defects do not pertain to problems arising from Third-Party Software interfaced to POSSE, or to problems arising from POSSE Configurations not developed by Vendor.
- 1.8 **Infrastructure** – the physical wiring, network, hardware and software necessary to deploy and operate POSSE. Infrastructure also includes any workstation/notebook/tablet hardware and software, web or applications servers, wireless service providers, and other peripheral hardware or software used by POSSE, including Third-Party Software.
- 1.9 **Named User** - an individual internal to Client or representing Client or an Agent who has access to the POSSE Production Database. A Named User can access the POSSE Production Database from any workstation on Client's network or intranet, or via the Internet.

## POSSE Product Support Agreement

- 1.10 **POSSE®** – refers to a modular, web-based regulatory workflow management system that combines configurable workflow, mapping, electronic documents, and remote computing technologies into a single integrated database. POSSE includes “Toolbox” stored procedures and documentation that comes with the POSSE software.
- 1.11 **Release** – any version, point, or maintenance release to POSSE issued by Vendor.
- 1.12 **Site-Specific Configuration** – any software deliverables, including but not limited to Configuration, reports, interfaces, data conversion scripts, and custom code, developed solely and specifically for Client.
- 1.13 **Statement of Work (SOW)** – a document that describes the implementation services, software products, and other deliverables to be provided by Vendor (including its subcontractors if applicable) to Client.
- 1.14 **Third-Party** – a person, corporation, organization or entity other than Client or Vendor.
- 1.15 **Third-Party Software** – any identifiable product embedded in and/or linked to POSSE software at Client’s site, but to which the proprietary rights belong to a Third-Party.

## 2. **TERM OF AGREEMENT**

- 2.1 This Agreement is effective upon signing and will remain in effect for an initial period of one (1) year. This Agreement will be renewed annually thereafter upon payment by Client of the Annual Support Services Fee, unless otherwise revised or terminated under the provisions of this Agreement.
- 2.2 Client may elect to terminate annual support services described in this Agreement at any time, at its sole discretion, by providing 180 calendar days advance written notice to Vendor. In the event that Client terminates annual support services and wishes to reactivate annual support services at a future date, all Annual Support Services Fees back to the date of termination will be payable before annual support services are reactivated.

## 3. **SERVICE AND SUPPORT FEES**

- 3.1 The Annual Support Services Fee for the services specified in Section 4 of this Agreement is identified in Exhibit A and is based on the current POSSE software (including Named Users, Add-On Modules and Business Modules) licensed by Client. If additional POSSE software licenses are purchased, the Annual Support Services Fee will be adjusted to include the support fees for such additional licenses, based on the current prevailing Annual Support Services Fee Percentage in place at the time of such purchase.
- 3.2 The Annual Support Services Fee for the initial term is due and payable upon signing of this agreement. Support service fees are payable for each full or partial calendar month in which support services are provided to Client. Vendor will invoice Client approximately one month prior to the expiration of this Agreement and Client agrees to pay Vendor in advance for the Annual Support Services Fee.
- 3.3 Client agrees to remit payment to Vendor within 30 calendar days of receipt of the invoice.

## 4. **Vendor SUPPORT SERVICES**

- 4.1 Vendor agrees, during the term of this Agreement, to provide POSSE support services in a timely and professional manner. Vendor will provide unlimited technical support for Client’s POSSE support personnel described in Section 5.2 of this Agreement. Support pertains to POSSE, POSSE Business Modules and/or POSSE Add-On Modules (if licensed).
- 4.2 The POSSE Support Web site (<http://posse.computronix.com>) will be available 24 x 7 for submitting Client support requests. The POSSE support desk will be staffed from 7:00 a.m. to 6:00 p.m. Mountain Time, Monday to Friday, excluding statutory holidays. Extended hours of coverage or on-call coverage outside of these working hours can be provided at additional rates to be negotiated between the Parties.
- 4.3 When Client submits a support request through the POSSE Support Web site (<http://posse.computronix.com>) during normal Computronix hours for support, as specified in Section 4.2 of this Agreement, Vendor and Client will categorize, and Vendor will escalate as appropriate, the support request according to the following criteria:

Severity	Definition	Response Time	Response Process
<b>Critical</b>	Client site is down. Major impact to operations of Client site.	< 15 min	Immediate and ongoing effort, with continuous reporting to Client until a work-around or fix has been provided.
<b>High</b>	Major impairment of at least one important function at Client site. Operations at Client site are impacted. All important Client functions are working albeit with extra work.	< 1 hour	Proceed with fix as high priority work with reporting to Client as necessary until a work-around or fix has been provided.
<b>Medium</b>	Client Operations not significantly impacted. One or more minor Client functions not working. Major usability irritations impacting many staff at Client.	< 4 hours	Proceed with fix as medium priority work, according to schedule set by Vendor.
<b>Low</b>	Minor usability irritations. Work-around exists.	< 2 working days	Proceed with fix as low priority work, according to schedule set by Vendor.

- 4.4 The Annual Support Services Fee does NOT include technical support for Site-Specific Configurations and Third-Party Software not embedded within POSSE, such as operating system software and Microsoft Office products. Technical support for POSSE related Third-Party hardware that may be used by Client, including field inspection notebook computers, tablets, smartphones, digital cameras, scanners, printers, digital signature pads, and other hardware peripherals is not included.
- 4.5 In the event that Vendor has sold Third-Party licenses to the Client, Vendor will be responsible for researching and diagnosing the issue and, if proven to be a POSSE product issue, for fixing it, or if proven to be a Third-Party product issue, for submitting the issue to the Third-Party.
- 4.6 Vendor will not begin charging Client for resolution of a non-POSSE related problem until Vendor demonstrates to Client that the source of the problem is not related to a POSSE Defect and Client has authorized work to resolve the issue. No time will be charged to Client for POSSE Defects reported to Vendor.
- 4.7 Vendor will provide notice of all new POSSE software Releases or releases to an Add-on Module to Client. A new Release may include POSSE executable code, Release notes, updated documentation and/or online help, and database conversion routines, as needed. Vendor will retain full ownership rights to any POSSE software Release or Add-on Module release delivered to Client. If requested by Client, Vendor may provide services to implement a new POSSE Release or Add-on Module release under the terms and conditions contained in Section 6 AVAILABLE Vendor PROFESSIONAL SERVICES.
- 4.8 Unless otherwise specified, POSSE product warranty and support activities will be conducted at and deployed from Vendor offices. Travel and living expenses to provide on-site services deemed by Vendor as required to repair a POSSE Defect will not be charged to Client.

**5. CLIENT OBLIGATIONS AND RESPONSIBILITIES**

Unless otherwise stated in a separate agreement between the parties or in a Schedule of this Agreement, the following tasks will be the sole responsibility of Client:

- 5.1 Infrastructure Support – Client is responsible for installing, testing, and supporting its Infrastructure, and for ensuring a stable operating environment documented as compatible with POSSE software. Client is responsible to ensure that maintenance and support is contracted with applicable Third-Party hardware and



## POSSE Product Support Agreement

software vendors. Responsibilities include: maintaining current virus protection software and installing all “critical” operating system upgrades; managing Third-Party Software products on infrastructure not related to POSSE that may interfere with the operation of POSSE; managing the local Internet Service Provider (ISP) providing Client its Internet connection and/or its wireless service; managing its own networks; and implementing its own security policies and procedures.

- 5.2 POSSE Support – Client is responsible for providing first-line POSSE support to Client staff. First-line POSSE support is responsible for researching issues and assessing if they are the result of a POSSE Defect. Client will identify a limited number of Client staff entitled to submit POSSE support requests.
- 5.3 Installation and Deployment – Client is responsible for installing and testing new POSSE Releases at Client’s site, for communicating POSSE changes to Client staff and external internet users, and for providing required training and support to Client staff and external internet users.
- 5.4 Database Operations – Client is responsible for on-site operational support of the POSSE database server(s) and for providing POSSE database administration. Tasks include performing POSSE system backups, system restarts, and providing on-site troubleshooting assistance for Vendor staff.
- 5.5 Third-Party Software Licenses – Client is responsible for acquiring software licenses and upgrades for any Third-Party Software required by Vendor to complete its responsibilities under this Agreement. Client will be responsible to ensure that software maintenance and support is contracted with the respective Third-Party vendors.
- 5.6 Future Releases – Client acknowledges that future Releases of POSSE software may require different or additional equipment and/or software in order to function properly. Vendor is required to provide Client with sufficient notification of such requirements. Client will be responsible to fund, acquire, install, and maintain such different or additional equipment and/or software.
- 5.7 Remote Access – Client will provide Vendor with the means to electronically connect to the Client’s POSSE environment, including production, test and development databases, to enable software transfers and remote troubleshooting. At a minimum, remote access provided by the Client shall support web conferences hosted by Vendor. Remote VPN access should be available to Vendor at the time of the initial POSSE installation at Client site.

## 6. AVAILABLE VENDOR PROFESSIONAL SERVICES

- 6.1 At the request of Client, Vendor may provide any or all of the following professional services: installation of new POSSE Releases, development of Site-Specific Configuration, report development, infrastructure support, training, Site-Specific warranty, first line POSSE support, database monitoring and management, and any other consulting activity. Vendor professional services may be purchased for an all-inclusive fixed-cost or on a time-and-materials basis. All terms, conditions and costs for Vendor professional services will be specified in a separate agreement (SOW or work order) between the Client and Vendor.
- 6.2 At the request of Client, Vendor may assist Client in its fulfillment of the obligations and responsibilities specified in Section 4 of this Agreement. All terms, conditions and costs for these services will be specified in a separate agreement (SOW or work order) between the Client and Vendor.
- 6.3 Reasonable travel and living expenses incurred by Vendor in the delivery of on-site Vendor professional services will be billed at cost to Client or at a rate to be negotiated between Vendor and Client. When traveling to Client, Vendor one-way travel time will be charged to the Client site.

## 7. WARRANTY

- 7.1 All POSSE Releases delivered to Client have a 24 month warranty from the general availability date of the Release. Client will have 24 months from the date of general availability of a Release to install an upgrade. If Client elects not to upgrade to the newer Release within 24 months, support services described in Sections 4 of this Agreement may be provided at additional cost.
- 7.2 Unless otherwise specified in Vendor’s Statement of Work, the warranty on all Vendor-developed Site-Specific Configuration is 60 calendar days from the date of implementation.



## POSSE Product Support Agreement

- 7.3 Vendor will repair POSSE Defects reported by Client while this Agreement is in effect at no additional cost to Client. Vendor will make all reasonable efforts to resolve Defects quickly, via a patch Release if necessary. Client will have to upgrade to the current Release of POSSE, as corrections are only applied to the current production Release of POSSE.
- 7.4 Vendor does not provide warranty for any Site-Specific Configuration, or custom code not developed by Vendor, or developed by Vendor and subsequently altered by Client or any other Third-Party.

### **8. LIMITATIONS OF LIABILITY AND INDEMNITY**

- 8.1 Both Vendor and Client agree to defend, indemnify and hold harmless the infringing party and its officials, agents and employees from and against any and all claims, actions, suits or proceedings of any kind brought against said parties because of any injury or damage received or sustained by any person, persons or property arising out of or resulting from the services performed by either party under this Agreement or by reason of any asserted act or omission, neglect or misconduct by a party or a party's agents or employees or any subcontractor or its agents or employees.
- 8.2 The liability of Vendor to Client for any losses or damages arising from the use of POSSE or from any other services covered under this Agreement will be limited to, at the discretion of Vendor, either the return of the current-year Annual Support Services Fee, or the repair of POSSE so that it will perform without Defect.
- 8.3 Client SPECIFICALLY ACKNOWLEDGES AND CONFIRMS THAT UNDER NO CIRCUMSTANCES WHATSOEVER WILL Vendor BE LIABLE FOR ANY INCIDENTAL, INDIRECT, EXEMPLARY, SPECIAL OR CONSEQUENTIAL DAMAGES OF ANY NATURE OR KIND, OR ANY LOSS RESULTING FROM BUSINESS DISRUPTION ARISING FROM THE USE OF POSSE, OR FROM ANY SERVICES COVERED UNDER THE TERMS OF THIS AGREEMENT, REGARDLESS OF THE FORM OF ACTION, WHETHER IN CONTRACT, TORT (INCLUDING NEGLIGENCE), STRICT PRODUCT LIABILITY OR OTHERWISE, EVEN IN THE EVENT THAT Vendor HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.
- 8.4 Subject to the provisions of Section 8.1, 8.2 and 8.3 above, Vendor agrees to indemnify and save Client harmless from any liability, damage, expense, or cost including, but not limited to, legal fees of a solicitor regarding any acts, duties, obligations, or omissions of the Vendor.
- 8.5 Subject to the provisions of Section 8.1, 8.2 and 8.3 above, Vendor will, at the request of the Client, assume the defense and the cost of any demand, claim, action, suit or proceeding of any nature brought against Client by reason of the error, action, or omission of the Vendor. Further, Vendor will pay any damages, awards, judgments, costs, or other amounts assessed against, or otherwise payable by Client as the result of the disposition of any such demand, claim, action, suit, or proceeding. Notwithstanding the foregoing, Client is entitled to be represented in any such action, suit, or proceeding at its own expense and by counsel of its choice.

### **9. TERMINATION AND DEFAULT CONDITIONS**

- 9.1 Vendor may terminate this Agreement if: Client fails to make required payments, Client materially fails to fulfill its obligations and responsibilities or breaches any material term of this Agreement, Client becomes bankrupt or insolvent, or if a receiver is appointed to manage the property and assets of Client. If any of the above conditions are encountered, Vendor will provide written notice to Client and provide 30 calendar days for Client to remedy the default. If the default is not rectified within 30 calendar days, Vendor will have cause to terminate this Agreement.
- 9.2 Client may terminate this Agreement if: Vendor materially fails to fulfill its obligations and responsibilities or breaches any material term of this Agreement, Vendor becomes bankrupt or insolvent, or if a receiver is appointed to manage the property and assets of Vendor. If any of the above conditions are encountered, Client will provide written notice to Vendor and provide 30 calendar days for Vendor to remedy the default. If the default is not rectified within 30 calendar days, Client will have cause to terminate this Agreement.

### **10. RIGHTS AND OBLIGATIONS**

- 10.1 If either Vendor or Client terminates this Agreement, Vendor will retain all fees for products or services delivered to Client up to the date of termination. Vendor will refund a pro-rated portion of the Annual Support



## POSSE Product Support Agreement

Services Fee to Client, based on the number of full or partial calendar months of service provided under the Agreement since the last annual renewal date.

10.2 Any termination by Vendor as provided in this Agreement will not in any way operate to deny any right or remedy of Vendor, either at law or in equity, or to relieve Client of any obligation to pay the sums due under this Agreement, or of any other obligation accrued prior to the effective date of termination.

10.3 Any termination by Client as provided in this Agreement will not in any way operate to deny any right or remedy of Client, either at law or in equity, or to relieve Vendor of any obligation to pay the sum due under this Agreement, or of any other obligation accrued prior to the effective date of termination.

## 11. DISPUTES

11.1 Vendor and Client will both separately and jointly use diligent efforts to establish positive and ongoing communications both within and between their respective organizations. Key personnel within Vendor and Client will communicate regularly in order to review the status and priorities for the provision of services by Vendor and Client.

11.2 In the event of any dispute arising between Vendor and Client with respect to their rights and obligations under this Agreement, the party feeling itself aggrieved will notify the other party of the substance in writing of such grievance. Both parties agree to work in good faith and make all reasonable efforts to resolve the dispute, including, if necessary, escalating the dispute to:

- a) First level: the VP, Operations of Vendor and the Project Sponsor for Client; and
- b) Second level: the President/CEO of Vendor and the Chief Executive for Client.

11.3 In the event the grievance cannot be resolved to the mutual satisfaction of the parties within 30 calendar days, the party feeling itself aggrieved may request mediation, based on the then-current commercial mediation rules of the American Arbitration Association. The award of the mediation body will be non-binding upon Vendor and Client.

## 12. WAIVER

12.1 No failure or delay on the part of either party to exercise any right or remedy hereunder will operate as a waiver of such right or remedy.

## 13. SUCCESSION

13.1 This Agreement will be binding on the legal successors or representatives of Vendor and Client. It will also be binding on any party that receives licensing and distribution rights to POSSE from Vendor.

13.2 Any rights granted to either party under this Agreement may not be assigned by that party or the successor to that party, without the prior written approval of the other party, which will not be unreasonably withheld.

## 14. FORCE MAJEURE

14.1 A delay in, or total or partial failure of, performance of either party in this Agreement will not constitute a default or termination or give rise to any claim for damages if such delay or failure is caused by any force majeure occurrence demonstrably beyond the reasonable control of the party.

14.2 Force majeure categories include acts of God; acts or inaction on the part of governmental authority; acts of war or the public enemy; or any other acts beyond the reasonable control of either party that result in either party being unable to carry on normal business operations for a period of one week or longer.

## 15. SEVERANCE

15.1 If any provision of this Agreement is declared by a court of competent jurisdiction to be invalid, illegal, or unenforceable, such provision can be severed from this Agreement and all other provisions will remain in full force and effect.



**POSSE Product Support Agreement**

**16. GOVERNING LAW**

16.1 This Agreement will be governed by, construed, and enforced in accordance with the laws of the State of Nebraska. The parties irrevocably attorn to the jurisdiction of the courts of the State of Nebraska.

**17. TIME OF THE ESSENCE**


17.1 Time is of the essence in this Agreement and in the performance of each provision of this Agreement.

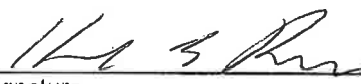
**18. ACCEPTANCE OF AGREEMENT**

18.1 This Agreement comprises the entire and sole POSSE Annual Support Agreement between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist for the support of POSSE. Vendor and Client agree not to change this Agreement except by written agreement.

**Computronix (U.S.A.), Inc.**

**State of Nebraska**

  
 Signature  
DAVID DEN OTTER  
 Name  
PRESIDENT  
 Title  
10/26/2022  
 Date

  
 Signature  
Robert B. Ryan  
 Name  
Executive Director  
 Title  
10/28/2022  
 Date

**Exhibit A – Annual Support Services Fees**

All fees referred to in this Agreement are in US dollars and exclude any applicable taxes.

<b>Time Period</b>	<b>Fee</b>
Nov. 01, 2022 – Oct. 31, 2023 – Implementation Period	\$55,275
Nov. 01, 2023 – Oct. 31, 2024 – Implementation Period	\$55,275
Nov. 01, 2024 – Oct. 31, 2025 – Production (Year 2)	\$58,039
Nov. 01, 2025 – Oct. 31, 2026 – Production (Year 3)	\$60,941
Nov. 01, 2026 – Oct. 31, 2027 – Production (Year 4)	\$63,988
Nov. 01, 2027 – Oct. 31, 2028 – Production (Year 5)	\$67,187

Prices in the above tables are based on the Annual Support Services Fees agreed at the time of execution of this Agreement. Upon renewal, such Annual Support Services Fees are subject to annual review by the Vendor, provided that the Client is provided at least 90 days' notice of any changes to fees specified herein.





July 21, 2022

Mr. Hobart Rupe, Executive Director  
Nebraska Liquor Control Commission (NLCC)  
301 Centennial Mall  
Lincoln, NE 68509

Dear Mr. Rupe,

RE: Request for Best and Final Offer for RFP Number 6677 Z1, Centralized Alcohol Management Project (CAMP) for the Nebraska Liquor Control Commission (NLCC)

Computronix appreciates the opportunity to participate in the NLCC procurement process and has submitted the provided BAFO Revised CAMP Cost Workbook without alteration to the non-cost portions of our bid as instructed by the NLCC letter dated July 14, 2022.

Computronix carefully reviewed our initial proposed pricing in light of potential opportunities to provide further cost savings to NLCC. We do note that our original offer already took into account the competitive nature of the RFP process, and as such we had already worked diligently to provide an aggressively-priced option for NLCC's consideration. As such, we are able to provide only limited additional cost savings as follows:

- A reduced overall total cost of the project by \$102,421. This is accomplished by reducing Implementation Services costs by \$84,201 and Year One Hosting Costs by \$18,220.
- Computronix's cost proposal is based on meeting the requirements as presented in the RFP; however, Computronix believes there are opportunities for further cost savings if NLCC is open to alternate approaches to achieving the requirements or adjusting requirements as appropriate.
- We have presented a cost well within the \$3.8M budget indicated in RFP Q&A Addendum #3. If Computronix is fortunate enough to become your selected vendor, Computronix would welcome further discussions through the contracting phase to adjust system requirements as needed to meet NLCC's CAMP objectives and to maximize value to the agency.

Computronix is excited about the potential opportunity to work with NLCC in the successful implementation and completion of the CAMP project!

Kind regards,

A handwritten signature in black ink, appearing to read 'Gord Meeberg', with a stylized flourish at the end.

Gord Meeberg  
Vice President, Business Development  
[gord.meeburg@computronix.com](mailto:gord.meeburg@computronix.com)  
780.903.2255

# 6677 Z1 BAFO Revsied CAMP Cost Workbook

**6677 Z1 BAFO Revised CAMP Cost Workbook**  
**Table of Contents**

Bidder: **COMPUTRONIX (USA) Inc.**

**Insert Bidder Name here**

Worksheet Title / Hyperlink	Description
<a href="#">Instructions</a>	Instructions for completing CAMP Cost Workbook
<a href="#">1. Total Cost Summary</a>	Worksheet to display a summary of the total proposed costs. THIS WILL AUTOPOPULATE FROM OTHER TABS. No changes needed.
<a href="#">2. Labor Rates</a>	Worksheet for itemizing hourly rate structures for proposed project personnel.
<a href="#">3. Implementation Services</a>	Worksheet for one-time implementation project costs. Assumption: Implementation services will be the same for hosted or on-premise solution.
<a href="#">4. Software - One Time Costs</a>	Worksheet for initial software licensing costs
<a href="#">5. Software - Ongoing Costs</a>	Worksheet for ongoing (maintenance / hosting) costs on an annual basis
<a href="#">6. Optional</a>	Worksheet for optional services

**PLEASE NOTE:**

1. The Bidder Name in the space provided in light-green highlight will populate across all other worksheets.
2. Cells requiring Bidder data entry are marked in light-green highlight to clearly indicate which cells are available for data entry as indicated above left.
3. Cells that contain titles and formulas are marked in gray highlight.
4. Cells that are not applicable are marked in black highlight.
5. It is the Bidder's responsibility to ensure the integrity of the Cost Workbook formulas and links.

## 6677 Z1 BAFO Revised CAMP Cost Workbook

### Instructions

Insert Bidder Name

<b>Please refer to RFP for details describing the services and scope of the system implementation services, and maintenance support and operations services to be provided and priced in accordance with this Cost Workbook.</b>	
1.	This workbook contains multiple worksheets designed to provide an understanding of the costing model used by the bidder. Use of this Cost Workbook is essential to the Proposal evaluation, and it is essential that the bidder use this form in preparing a pricing response to this RFP. Each worksheet within the workbook is designed to elicit specific pricing information related to the requirements of this RFP. <b>Notes on completing each worksheet can be found at the bottom of the tables.</b>
2.	The worksheet labeled TOC (Table of Contents) contains brief descriptions of each spreadsheet, as well as convenient one-click navigation of the Cost Workbook. Bidders must enter the bidder name in the green highlighted areas on the TOC worksheet; this will populate the title of the remaining worksheets. The numbered worksheets are described below:
3.	Tab 1. <b>Total Cost Summary</b> worksheet calculates total costs based on the data entered into worksheets 2 through 5. Bidders do not need to enter data into this worksheet. Costs for deliverables listed in Tab 3 Implementation Services are shown as one-time costs totaled by deliverable grouping and are not calculated by year.
4.	Tab 2. <b>Labor Rates</b> worksheet contains tables corresponding to each grouping of deliverables. The tables list the titles of personnel that could be assigned responsibilities in completing the deliverables for the grouping (e.g., Project Management deliverables).
5.	Tab 3. <b>Implementation Services</b> worksheet provides a table listing the deliverables. The bidder will enter the cost each deliverable in that deliverable group. Bidders may add additional deliverables as deemed necessary by inserting rows into the worksheet at the bottom of the list currently in each table. In this case, the associated formulas must be copied into columns D and E for that deliverable. Payments will be made using a deliverables-based approach and the deliverable review and approval process described in RFP "Deliverables" Section.
6.	Tab 5. <b>Software - Ongoing Costs</b> worksheet is designed to elicit the pricing of ongoing maintenance support and operations throughout the implementation of the project. The worksheet is structured so that maintenance and operations support costs can be itemized on a monthly basis, with costs varying depending on what phase functionality has already been released to production.
7.	Tab 4. <b>Software - One Time Costs</b> worksheet is designed to elicit software licensing pricing.
8.	Additional notes and instructions may be provided at the bottom of each worksheet tab.
	<b>This Cost Workbook shall be completed and be provided separately from the rest of the bidder's proposal.</b>

**6677 Z1 BAFO Revised CAMP Cost Workbook  
Total Cost Summary**

**Appendix D: Pricing Workbook  
Total Cost Summary**

THESE CELLS WILL AUTOPOPULATE - DO NOT MAKE CHANGES

Insert Bidder Name

Total Cost Summary: Current CAMP Project			
On-Premise		Hosted	
Description	Total One-time Costs	Description	Total One-time Costs
Implementation Services	\$1,949,299.00	Implementation Services	\$1,949,299.00
Software - One Time Costs	#REF!	Software - One Time Costs	\$251,250.00
Software - Ongoing Costs (5 Years)	#REF!	Software - Ongoing Costs (5 Years)	\$871,062.00
<b>Subtotal</b>	<b>#REF!</b>	<b>Subtotal</b>	<b>\$3,071,611.00</b>

## 6677 Z1 BAFO Revsied CAMP Cost Workbook

### Labor Rates

#### COMPUTRONIX (USA) Inc.

Work may be needed that was not originally delineated in this RFP, but considered within the scope of work. This additional work may stem from Legislative mandates, emerging technologies, secondary research, and/or Regulations and Orders not otherwise addressed in this RFP or known at the time this RFP was issued. If additional work is needed, the Contractor must submit a detailed Scope of Work, Title/Role(s), number of hours, and due dates/deliverables for NLCC review and approval.

The bidder must list each role/title and provide an hourly rate. There is no guarantee regarding the number of hours that will be used. These rates are fixed for the initial term of the contract. At renewal time, rates may increase by no more than 5% with supporting justification to justify increase.

The bidder should provide the hourly rate for each Title/Role used to complete optional services.

Staff Position	Hourly Rate	Respondent or Subcontractor Name
Lead Solution Architect	\$185	Note: Computronix uses a single blended hourly rate for all roles
Business Analyst/Funct. Lead	\$185	
Change Management Lead	\$185	
Comm./Network Specialist	\$185	
Database Administrator	\$185	
Database Designer	\$185	
Help Desk Specialist	\$185	
Hardware Specialist	\$185	
Operations Lead/Manager	\$185	
Project Director	\$185	
Project Manager	\$185	
Programmer	\$185	
Quality Assurance Manager	\$185	
Security Systems Engineer	\$185	
Systems Administrator	\$185	
Information Security Manager	\$185	
Technical Lead	\$185	
Technical Writer	\$185	
Test Lead/Manager	\$185	
Tester	\$185	
Training Lead/Manager	\$185	
Training Specialist	\$185	
Developer	\$185	
Data Conversion Specialist	\$185	
System Integration Specialist	\$185	
Managed Hosting Services Support	\$185	
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
<b>Composite Rate</b>		

6677 Z1 BAFO Revised CAMP Cost Workbook

Implementation Services

COMPUTRONIX (USA) Inc.

NLCC Solution Implementation				
ID	Description	Quantity	Phase(s)	Total One-time Costs
1	Project Kickoff Presentation	1	1	\$17,133
2	Project Schedule	1	1	\$17,133
3	Project Management Plan	1	1	\$17,133
4	Requirements Analysis Document	1	1	\$152,650
5	Solution Implementation Plan	1	1	\$66,400
6	System Architecture Document	1	1	\$66,400
7	Functional Design Document	1	1	\$66,400
8	Requirements Traceability Matrix (Optional)	1	1	\$152,650
9	Technical Design Document	1	1	\$66,400
10	Prototypes	1	1	\$0
11	Data Conversion Plan	1	1	\$77,900
12	Interface Specification Document	1	1	\$104,400
13	Online Portal Specification Document	1	1	\$66,400
14	Report Specification Document	1	1	\$21,200
15	Data Mapping & Conversion	1	1	\$77,900
16	System Configuration	1	1	\$385,800
17	Interface Development	1	1	\$104,400
18	Report Development	1	1	\$21,200
19	System Testing	1	1	\$108,200
20	User Acceptance Testing	1	1	\$77,900
21	End User Training	1	1	\$124,300
22	Go Live	1	1	\$40,600
23	System Support & Warranty	1	1	\$44,100
24	Environment Setup and Software Installation	1	1	\$72,700
	<b>Total Deliverables Cost for Phase</b>	<b>24</b>	<b>24</b>	<b>\$1,949,299</b>

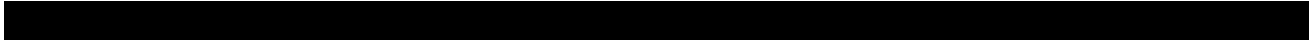
Instructions	
1	Weekly Status Reports are project management deliverables that will not be invoiced separately. Project management costs should be built in to deliverable costs.
2	Bidders may insert additional rows for deliverables based on best practices and proposal. For example, if the Bidder is proposing multiple iterations of the solution to be implemented, then there will be multiple versions of the relevant deliverables. It is the responsibility of the Bidder to ensure that spreadsheet calculations are correct.
3	Quantity is used to indicate if the deliverable will be provided to the Agency multiple times. For example, if the Bidder is proposing an iterative implementation plan and will system test once per phase - and is proposing three phases - then the quantity would be "3". In the Phase(s) column, please indicate which phase(s) the deliverable will be provided (e.g. 1 for Phase 1) that corresponds to the implementation plan described in the Bidder's response.

6677 Z1 BAFO Revised CAMP Cost Workbook

Software

COMPUTRONIX (USA) Inc.

HOSTED - One Time Costs				
NLCC Solution Implementation (assume 50 users)				
ID	Description	Quantity (Use '1' for unlimited users)	Unit Price	Price
1	POSSE Work Management Base Platform License	1	\$75,000	\$75,000
2	POSSE ABC Modules (all 5 modules): Licensing, Enforcement, Brand Registration, Education, Regulatory Reporting	1	\$65,000	\$65,000
3	POSSE Mobile Module	1	\$20,000	\$20,000
4	POSSE GIS Add-on	1	\$15,000	\$15,000
5	POSSE Ad Hoc Reporting Module	1	\$20,000	\$20,000
6	POSSE Named Users	50	\$1,050	\$52,500
	Other (specify): POSSE Mobile Users Licenses	5	\$750	\$3,750
<b>System Software Licensing Cost Subtotal</b>				<b>\$251,250</b>





6677 Z1 BAFO Revised CAMP Cost Workbook

Software

COMPUTRONIX (USA) Inc.

HOSTED - Annual/Ongoing Costs				
NLCC Solution Implementation (assume 50 users)				
ID	Description	Year (YYYY)	Unit Price	Price
1	Hosting Costs - Implementation Period (Y1)	2023	\$118,055	\$118,055
2	Hosting Costs - Implementation Period (Y2)	2024	\$136,275	\$136,275
3	Hosting Costs - Implementation Period (Y3) - if applicable. If not, leave blank.	not applicable		\$0
4	Hosting Costs - Production Y1	2024		\$0
5	Hosting Costs - Production Y2	2025	\$143,089	\$143,089
6	Hosting Costs - Production Y3	2026	\$150,243	\$150,243
7	Hosting Costs - Production Y4	2027	\$157,756	\$157,756
8	Hosting Costs - Production Y5	2028	\$165,644	\$165,644
	Other (specify) - insert rows as needed			\$0
	System Software Licensing Cost Subtotal			\$871,062





**COMPUTRONIX®**

3900 S. Wadsworth Blvd Suite 510  
Lakewood, CO 80235

# Proposal for State of Nebraska

**RFP 6677 Z1**  
Centralized Alcohol  
Management Project (CAMP)  
for the  
Nebraska Liquor  
Control Commission (NLCC)

May 2, 2022

## **Keith Burgess**

Business Development Manager  
keith.burgess@computronix.com  
Office: 587.525.5362  
Mobile: 780.238.0255





May 2, 2022

Mr. Hobert Rupe  
Executive Director  
Nebraska Liquor Control Commission (NLCC)  
301 Centennial Mall, 1<sup>st</sup> Floor,  
Lincoln, Nebraska 68509

Dear Mr. Rupe:

RE: RFP # 6677 Z1 Centralized Alcohol Management Project (CAMP)

Computronix (USA) Inc. (Computronix) is pleased to submit our proposal to the Nebraska Liquor Control Commission (NLCC) in response to the above referenced RFP.

As the sole contractor, Computronix will supply and implement our market leading Commercial Off the Shelf (COTS) POSSE<sup>®</sup> Alcoholic Beverage Control System (POSSE ABC) to support internal office users, mobile users, and the NLCC's external customers (licensees, participating stakeholders, general public), enabling the NLCC to achieve its goals as listed in the RFP.

POSSE ABC offers all of the integrated system components, interfaces, and integration required for an efficient, modern ABC system that includes licensing, enforcement, brand registration, education/operator training, regulatory reporting, GIS, and ad-hoc management reporting. Leveraging the product's out-of-the-box functionality, Computronix experts will further apply site-specific configuration to deliver an optimized, streamlined, 100% fit for NLCC's CAMP solution in a timely fashion.

Once the system has been fully delivered and is in production in Computronix's hardened, highly secured POSSE Cloud (Microsoft Azure) infrastructure, our POSSE support team will continue to sustain the System with proven warranty services and support including help desk and online issue reporting, ticketing, and tracking, as well as POSSE software updates installed regularly by Computronix Support staff, and ongoing site-specific support and development services to further streamline and optimize the new System as desired by NLCC decision-makers.

The proposed solution includes the training, data conversion, project management/project administration, and strategic organizational change management (OCM) consulting/advising services necessary to successfully achieve the NLCC's envisioned business transformation and modernization objectives.

Computronix is the best-qualified vendor partner to deliver an outstanding CAMP solution to NLCC because of the key differentiators that we bring to the table:

- ✓ Computronix is the established market leader for ABC-oriented regulatory solutions. POSSE ABC is currently in production or implementation underway at seven U.S. liquor control agencies (Arizona, Kansas, Louisiana, Missouri, New Jersey, Oregon, Pennsylvania) and two Canadian provinces (Ontario, Newfoundland-Labrador). No other vendor has the experience we have in this regulatory domain. The NLCC can trust that its important and significant CAMP project will be in very capable hands with Computronix experts.
- ✓ Computronix has extensive experience supporting hosted solutions with our POSSE Cloud services -- using gold-standard Microsoft Azure products -- across North America. Our single-tenant POSSE cloud hosted solutions provide system security architecture and round-the-clock automated system monitoring that ensures 99.9% uptime.

NLCC's CAMP Project is important to Computronix. Our selection as NLCC's partner in this endeavor would further solidify our position as the leading provider of Alcoholic Beverage Controls solutions across North America.

The individual authorized to represent Computronix in all matters related to our proposal is:

Keith Burgess, Business Development Manager  
Office: 587.525.5362  
Mobile: 780.238.0255  
Email : [keith.burgess@computronix.com](mailto:keith.burgess@computronix.com)

My signature below certifies that our proposal meets or exceeds all RFP and proposal requirements. Our cost proposal remains valid for 120 days and may be extended upon written request.

Computronix welcomes the opportunity to provide NLCC with a demonstration of our POSSE ABC solution.

We look forward to being your trusted vendor-partner for this project!

Respectfully,



David den Otter  
Vice President of Operations  
3900 S. Wadsworth Ave., Suite 510  
Lakewood, CO 80235  
[dave.denotter@computronix.com](mailto:dave.denotter@computronix.com)

*Computronix acknowledges the receipt of Addendum 1 (dated 04/11/22); Addendum 2 (dated 04/21/22); and Addendum 3 (dated 04/21/22)*

# Section 3: Table of Contents

## Proposal

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**Form A**  
**Bidder Proposal Point of Contact**  
**Request for Proposal Number 6677 Z1**

Form A should be completed and submitted with each response to this solicitation. 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.

<b>Preparation of Response Contact Information</b>	
Bidder Name:	Computronix (USA) Inc.
Bidder Address:	3900 S. Wadsworth Ave, Suite 510 Lakewood, CO 80235
Contact Person & Title:	Victoria Lindsay, Proposal Manager 2
E-mail Address:	victoria.lindsay@computronix.com
Telephone Number (Office):	720.453.1666
Telephone Number (Cellular):	720.601.6198
Fax Number:	N/A

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.

<b>Communication with the State Contact Information</b>	
Bidder Name:	Computronix (USA) Inc.
Bidder Address:	3900 S. Wadsworth Ave., Suite 510 Lakewood, CO 80235
Contact Person & Title:	Keith Burgess, Business Development Manager
E-mail Address:	keith.burgess@computronix.com
Telephone Number (Office):	587.525.5362
Telephone Number (Cellular):	780.238.0255
Fax Number:	N/A



REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM

**BIDDER MUST COMPLETE THE FOLLOWING**

By signing this Request for Proposal for Contractual Services form, the Bidder guarantees compliance with the procedures stated in this Solicitation, 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 Solicitation.

\_\_\_\_\_ 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 IN INK OR VIA DOCUSIGN**

FIRM:	Computronix (USA) Inc.
COMPLETE ADDRESS:	3900 S. Wadsworth Ave., Suite 510, Lakewood, CO 80235
TELEPHONE NUMBER:	866.962.6300
FAX NUMBER:	N/A
DATE:	May 2, 2022
SIGNATURE:	
TYPED NAME & TITLE OF SIGNER:	David den Otter, Vice President - Operations

# Section 4: Company Background and Experience

## 4.A. Company Profile

**Provide a brief overview of your company, describing the history, size, mission, primary line of business, how it is organized, and how its available products and resources will be used to meet this RFP’s requirements.**

**Computronix Response:**

Computronix is a privately-owned corporation with a record of profitable, organic growth without mergers, acquisitions, or restructuring over our 40+ year history. Our corporate headquarters is in Edmonton, Alberta, with our U.S. office in Lakewood, Colorado. We currently employ nearly 200 total staff.

Computronix develops and provides regulatory business process software that enables clients to streamline workflows and maximize data reuse. The company stays in the vanguard of technology through continual enhancement of design, usability, and mobile experience available with Computronix’s COTS POSSE platform.

We initially developed and implemented the Public One-Stop Service system (POSSE) for the City of Edmonton, Alberta. Since 1998, POSSE software has been available as a COTS software product. U.S. and Canadian government regulatory organizations use POSSE to support a wide range of regulatory business processes (i.e., permitting, licensing, inspections/enforcement). Pre-configured best-practice templates are packaged into modules for licensing, inspections-enforcement, brand registration, etc. to provide out-of-the-box sample standardized workflows easily modified to meet each client’s unique business requirements.

POSSE has a proven track record supporting the following regulatory business processes and services:

- Alcohol Beverage Control
- Brand/Label/Product Registrations
- Worker Service Education and Permitting
- Commercial and Charitable Gaming Permits, Control, and Regulatory Functions
- Gaming Equipment Regulation
- Horse Racing Permitting and Regulation
- Cannabis Permitting and Regulation
- Compliance Inspections
- Administrative and Criminal Violations

- Hearing Scheduling and Management
- Planning and Development, Development Tracking and Management
- Local Construction-related Building Permitting
- Local Construction-related Building Inspections
- Neighborhood Code Enforcement / By-law Enforcement
- Land Development / Real Estate Acquisitions and Dispositions, Land Tenures
- Land Titles, Addressing
- Business Licensing, Professional/Occupational Licensing
- Building Trades Certification, Safety Training Management, and Accreditation
- Public Works
- Engineering
- Transportation
- Complaints/Issues Case Management, Remediation, and Resolution
- Asset and Infrastructure Management and Development
- Technical Safety (elevators, boiler and pressure vessels, nuclear facilities, fuel safety, amusement devices)
- Environmental Management
- Environmental Compliance (Permitting, Licensing)
- Environmental Health / Public Health
- Vital Statistics Registrations and Management
- Housing Revitalization / HUD

## **POSSE Alcoholic Beverage Control (POSSE ABC) System**

Computronix proposes a state-of-the-art solution that meets current NLCC requirements, provides tools for enhanced operations, and facilitates product upgrades in the future. Our pre-configured POSSE ABC solution offers applications for State-level ABC agency office personnel as well as community users, business leaders, and license holders. The seamless integration between the components of POSSE ABC drastically reduces redundant tasks and essentially eliminates the opportunity for error. Office workers and field inspectors have access to license and person records as well as State databases to track and consolidate people, inspections, and licenses.

## **Interfaces**

POSSE ABC is an open licensing solution using common standards-based approaches to interface with third-party systems. The proposed solution includes interfaces to all the mandatory systems identified in the RFP as well as several of the desirable systems. Computronix has already created interfaces to several of the identified systems.

## Technology

The POSSE work management platform is a powerful workflow engine that automates, integrates, monitors, and enforces business process rules.

The proposed solution will be deployed on POSSE Cloud, leveraging Microsoft's global Azure platform to deliver 99.9% uptime with performance scaling and redundant load-balancing.

## Services and Support

Computronix provides our clients with all of the services required to implement and maintain the proposed/recommended solution. Our project implementation methodology has proven to be 100% successful in hundreds of deployments and follows the Project Management Institute's (PMI's) guidelines for project management to deliver a high quality, cost-effective process that ensures successful implementation of the systems. Our training approach maximizes the use of hands-on training; students receive detailed instructions on a field-by-field, screen-by-screen basis.

Computronix provides software support services from our Denver and Edmonton offices where our knowledgeable, trained staff can handle peak periods and serve as a backup to product line support teams that ensure day-in and day-out uninterrupted support. Updates and version upgrades for the NLCC-licensed Computronix software applications are provided as part of the licensing agreement.

Computronix's Customer Service/POSSE User website ([posse.computronix.com](http://posse.computronix.com)) provides our clients with a comprehensive knowledge base, up-to-the-minute status on all service requests, and all Computronix software documentation, including user guides, white papers, and notices designed to enhance productivity with POSSE ABC.

## Computronix's Commitment

Computronix is proud of our deployments for some of the most complex and demanding land management, licensing, and inspection agencies throughout North America.

Our commitment to our clients means Computronix will provide the products and services necessary to equip the NLCC as it supports its business communities and citizenry. Our commitment to new technologies and open standards means we will be here for the NLCC far into the future.

Computronix welcomes the opportunity to meet with the NLCC's project team to explore this solution in more detail and to collaborate on the most effective mix of products and services to meet the NLCC's business goals today and for many years to come. We are confident that our ability to understand and fulfill the NLCC's licensing requirements will be apparent throughout this proposal.

**Complete Table 7 to provide NLCC with an overview of the Bidder’s organization. If Bidder will be using multiple vendors to provide any system/service component items, Bidder must complete the following table for each vendor that will be actively participating in the project. Duplicate the table as needed.**

**Computronix Response:**

Computronix has completed Table 7 as directed by the RFP. No subcontractors are included in the proposed solution.

**Table 7. Organization Overview**

Information Requested	Response
<b>Full Company Name or Corporate Name</b>	Computronix (USA), Inc.
<b>U.S. Corporate Headquarters Address</b>	3900 S. Wadsworth Ave. Suite 510 Lakewood, CO 80235
<b>Office location responsible for performance pursuant to an award of a contract with the State of Nebraska</b>	3900 S. Wadsworth Ave. Suite 510 Lakewood, CO 80235
<b>Telephone Number</b>	1.866.962.6300 (toll-free)
<b>Website Address</b>	<a href="http://www.computronix.com">www.computronix.com</a>
<b>Parent Company</b>	N/A
<b>Subsidiaries or Affiliated Companies</b>	N/A
<b>Year in which the Bidder first organized to do business (i.e., year company was founded)</b>	1979
<b>State in which the Bidder is incorporated or otherwise organized to do business</b>	Colorado
<b>Number of years Company has been providing the Product or Service specified in this RFO</b>	28
<b>Most recent three (3) Fiscal Years’ revenue and net income in USD</b>	As a privately held corporation, Computronix has provided financial documentation for 2018 through 2020 with the understanding that confidential and proprietary information will be used solely for evaluation of this procurement and not released as public information.

Information Requested	Response
<b>Type of entity organization (e.g., corporation, partnership, proprietorship)</b>	Corporation
<b>Company Ownership Structure (e.g., public, private, joint venture)</b>	Private
<b>Stock Exchange and Symbol (if publicly traded)</b>	N/A
<b>List the name and form of organization if it has changed since first organized</b>	No changes
<b>Locations in the U.S., and total number of staff in each location</b>	Lakewood, Colorado – 43 (including remote sales staff)

## 4.B. Company Background

### a) Recent Contracts

**1. Identify all contracts for similar solutions and/or services which the Bidder has entered into within the past three (3) years, specifically related to state alcohol licensing and regulations. If client confidentiality is necessary, provide descriptive information to allow NLCC to understand the type and size of client served (e.g., identify the number of jurisdiction or users which have or will be served by the new system(s)).**

**Computronix Response:**

Client 1	State of Louisiana Office of Alcohol and Tobacco Control (LA ATC)
<b>Scope</b>	POSSE Base Platform POSSE ABC Licensing Module POSSE ABC Enforcement Module POSSE ABC Education Module POSSE Ad-Hoc reporting Module POSSE Mobile, POSSE Archival Document Datastore (PADD) On Premise Installation, One-Time Implementation and Training Services, Ongoing System Maintenance and Support Services
<b>Number of Users</b>	75 internal Named Users 50 Mobile Users
<b>Project Status</b>	Completed
<b>Contact Name and Title</b>	Ernest Legier, Commissioner
<b>Phone Number</b>	504.568.7028
<b>Email Address</b>	<a href="mailto:ernest.legier@atc.la.gov">ernest.legier@atc.la.gov</a>

Client 2	State of Missouri Office of Alcohol and Tobacco Control (MO ATC)
<b>Scope</b>	POSSE Core System License POSSE ABC Licensing Module POSSE ABC Enforcement Module POSSE ABC Brand Registration Module POSSE ABC Education Module POSSE Regulatory Reporting (Excise Tax) POSSE Mobile POSSE Ad-Hoc Reporting Enterprise Licensing and Enforcement Solution. POSSE ABC software hosted in POSSE Cloud (Azure) data center), One-Time Implementation and Training Services, Ongoing System Maintenance and Support Services.
<b>Number of Users</b>	50 POSSE SaaS Users 27 POSSE Mobile Users
<b>Project Status</b>	Project still in process
<b>Contact Name and Title</b>	Dottie Taylor, State Supervisor
<b>Phone Number</b>	573.751.4092
<b>Email Address</b>	<a href="mailto:dorothy.taylor@dps.mo.gov">dorothy.taylor@dps.mo.gov</a>



Client 3	State of Oregon Liquor and Cannabis Commission (OR LCC)
<b>Scope</b>	POSSE Core System License (upgrade to V8 required during project) POSSE ABC Licensing Module POSSE ABC Enforcement Module POSSE ABC Brand Registration Module POSSE ABC Education Module POSSE GIS Add-on Module POSSE Mobile for iOS and Android (i.e., mobile two platforms) POSSE Ad-Hoc Reporting Enterprise Licensing and Enforcement Solution. POSSE ABC software hosted in POSSE Cloud (Azure) data center, One-Time Implementation and Training Services, Ongoing System Maintenance and Support Services.
<b>Number of Users</b>	275 POSSE SaaS Users 100 POSSE Mobile Users
<b>Project Status</b>	Project still in process
<b>Contact Name and Title</b>	Christie Scott, Enterprise Program Portfolio Manager
<b>Phone Number</b>	971.291.3572
<b>Email Address</b>	<a href="mailto:Christie.Scott@oregon.gov">Christie.Scott@oregon.gov</a>

**2. Indicate if these projects were completed on schedule and within budget. NLCC reserves the right to reach out to any customers mentioned by the Bidder for additional information. If no recent contracts have been entered into, state "None." Indicate if these projects were completed on schedule and within budget. NLCC reserves the right to reach out to any customers mentioned by the Bidder for additional information. If no recent contracts have been entered into, state "None."**

**Computronix Response:**

As of the date of this proposal, MO ATC and OR LCC are only just now underway.

The Louisiana ATC project was completed within budget and slightly over schedule. Ernest Legier, Louisiana’s principal sponsor provided this recap of the project:

*“Louisiana Alcohol and Tobacco Control engaged Computronix to provide, configure and implement the POSSE ABC solution for our Phoenix Rising system.”*

*The project included:*

- *Confirming requirements with the Subject Matter Experts and defining the gap areas*
- *Configuring the POSSE ABC system to address the defined gaps*
- *Updating metadata in the POSSE ABC Administrator portal*
- *Complete end-user training*
- *Production deployment and warranty*

*The out-of-the-box (POSSE ABC) software solution addresses most needs immediately. The challenge is 'fit-gap,' and the constant pressure to force the base solution to meet existing organizational processes.*

*Additional services included:*

- *Standard Operation Procedure development*
- *Data Conversion, which was started by a different vendor but was completed by Computronix*
- *Replacing the legacy Responsible Vendor Card training management functionality*

*The final cost matched the original proposed cost. We had two additional change requests for the Standard Operation Procedure development and additional Data Conversion, which were not in scope at the project outset.*

*The installation was done over a slightly extended timeline due to our request to change the scope and approach for data conversion. Computronix took over (the data conversion) from another third-party vendor, as the pace and quality of output was not acceptable. Computronix secured resources to restart this process late in the project which caused the implementation to be delayed by 4 months. The schedule changes were approved by us. These were also done within budget.*

*We went into production on May 12, 2021.*

*Computronix has been very responsive to addressing our system issues and their team is knowledgeable of our installation. I would recommend the Computronix team without reservation."*

## b) Contract Terminations

**1. If the contractor 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.**

### Computronix Response:

Computronix has never had a contract terminated for default in its 43-year history and has never been subject to litigation regarding any of its contracts. No subcontractors have been proposed for this project.

**2. 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 (number) (##) years, so declare.**

### Computronix Response:

Not applicable.

**3. 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.**

### Computronix Response:

Computronix has not had a contract terminated during its 43-year history.

**4. If no recent contract terminations, state "None."**

### Computronix Response:

None.

### c) Business Disputes and Outstanding Litigation

**1. Disclose any judgments that have occurred within the past five (5) years and any current pending litigation. If the Bidder has partnered with other organizations for this project, any judgments or litigation of the partner organizations must be provided.**

**Computronix Response:**

Computronix has not had any judgments during its 43-year history and there is no pending litigation against the company. Computronix is not proposing any other organizations for this project.

**2. If none are known to exist for any organization included in this response, state "None."**

**Computronix Response:**

None.

### d) Change of Ownership

**1. 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 bidder(s) will require notification to the State.**

**Computronix Response:**

Computronix remains privately owned by its original owners and does not anticipate any change in ownership or control of the company.

### e) Mergers and Acquisitions

**1. Disclose any announced or planned sale, merger, or acquisition of any participating organization or its products relevant to the scope of CAMP. Disclose any mergers or acquisitions that have occurred during the past eighteen (18) months and describe the impact to the organization or products.**

**Computronix Response:**

Computronix has not planned and does not have any sale, merger, or acquisition to disclose, nor has it had any such activity in its 43-year history.

## f) Conflicts of Interest

**1. Identify any potential conflicts of interest with NLCC or stakeholders listed in Section Error! Reference source not found.: Error! Reference source not found. of this RFP by any organization proposed to participate in this project.**

### Computronix Response:

Computronix submitted a question to clarify the error message in the requirement and confirms that Computronix has no conflicts of interest that would preclude our ability to support this project.

## g) Relationships with the State

**1. The bidder should describe any dealings with the State over the previous three (3) 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.**

### Computronix Response:

Computronix has no previous contracts or business dealings with the State of Nebraska or with any local government Nebraska entities. No such contracts exist.

## h) Bidder's Employee Relations to the State

**1. If any Party named in the bidder's proposal response is or was an employee of the State within the past three (3) 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.**

### Computronix Response:

No party named in this proposal has any previous employment relationship with the State of Nebraska. No such relationships exist or have existed.

**2. 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.**

**Computronix Response:**

Not applicable. Computronix has not employed any employee(s) of the State of Nebraska or its agencies.

**i) Financial Solvency and Insurance Information**

**1. Provide proof of liability insurance and workers compensation coverage.**

**Computronix Response:**

Computronix has provided a Certificate of Insurance at the end of this section.

**2. 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.**

**Computronix Response:**

Computronix is a privately held corporation. Please see response to Requirement 3 below.

**3. 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.**

**Computronix Response:**

Computronix has provided proof of financial stability and our banking reference in Exhibit A for consideration in connection with this procurement opportunity. Computronix considers Exhibit A to be confidential and proprietary information not to be disclosed to the public.

**4. 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.**

**Computronix Response:**

Computronix is not the subject of any judgments or litigation, past, pending, or expected.

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

**Computronix Response:**

Understood.



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

09/14/2021

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

<b>PRODUCER</b> Security First Insurance Agency an ISU Network Member 7851 S. Elati St., Ste. 100 Littleton CO 80120	<b>CONTACT NAME:</b> Pam Horan <b>PHONE (A/C, No, Ext):</b> (303) 730-2327 <b>E-MAIL ADDRESS:</b> phoran@securityfirstia.com	<b>FAX (A/C, No):</b> (303) 730-2930
	<b>INSURER(S) AFFORDING COVERAGE</b>	
<b>INSURED</b> Computronix USA Inc 3900 S Wadsworth Blvd Ste 510 Denver CO 80235	<b>INSURER A:</b> Sentinel Insurance Company, Ltd NAIC # 11000	
	<b>INSURER B:</b> Pinnacol Assurance NAIC # 41190	
	<b>INSURER C:</b>	
	<b>INSURER D:</b>	
	<b>INSURER E:</b>	
	<b>INSURER F:</b>	

**COVERAGES**

CERTIFICATE NUMBER: CL2191423690


REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:			34SBAPP0370	09/20/2021	09/20/2022	EACH OCCURRENCE \$ 2,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000 MED EXP (Any one person) \$ 10,000 PERSONAL & ADV INJURY \$ 2,000,000 GENERAL AGGREGATE \$ 4,000,000 PRODUCTS - COMP/OP AGG \$ 4,000,000 Non-owned \$ 2,000,000
A	<b>AUTOMOBILE LIABILITY</b> <input type="checkbox"/> ANY AUTO <input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY			34SBAPP0370	09/20/2021	09/20/2022	COMBINED SINGLE LIMIT (Ea accident) \$ 2,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
	<b>UMBRELLA LIAB</b> <input type="checkbox"/> OCCUR <b>EXCESS LIAB</b> <input type="checkbox"/> CLAIMS-MADE DED RETENTION \$						EACH OCCURRENCE \$ AGGREGATE \$ \$
B	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N Y	N/A	4131028	05/01/2021	05/01/2022	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

**CERTIFICATE HOLDER****CANCELLATION**

Computronix USA Inc 3900 S Wadsworth Blvd Ste 510 Lakewood CO 80235	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. AUTHORIZED REPRESENTATIVE 
---	--

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## 4.C. Bidder Experience

### a) Experience Providing Similar Services

**Describe the Bidder’s experience providing similar services as detailed in this RFP. This section should include the following information:**

**1. The total number of years of experience serving the public sector and the size of these projects**

#### Computronix Response:

Computronix has provided regulatory business process software to public sector agencies across North America for over 40 years.

**2. A brief summary of the Bidder’s experience with the service/product or functional area**

#### Computronix Response:

POSSE ABC is the North American leading solution for Alcoholic Beverage Control systems, with systems operational in Arizona, Kansas, Louisiana, New Jersey, Pennsylvania, Ontario, and Newfoundland, with projects underway in Missouri and Oregon.

POSSE ABC provides an excellent solution to meet NLCC’s requirements based on Computronix’s comprehensive review of the RFP. To accommodate the required functionality, POSSE ABC provides pre-configured business processes and entities specific to the use cases of this RFP, and each with its unique set of attributes and features.

**3. Identification of the Bidder’s significant differentiators – how does your company stand out from the competition**

#### Computronix Response:

POSSE has been inducted into the Smithsonian Institution as an innovative IT solution. To date, POSSE systems have won 19 national and international awards for driving business transformation, improving customer and public service, and supporting best practices in online business applications, e-government initiatives, and mobile and web-based integration.



Computronix has a 43-year track record of 100% success in project implementations. We take pride in the quality of our solutions and the attention given to the implementation and support process. All of our clients are referenceable and would be happy to share their experience with their POSSE system.

**4. Indicate how compliance with the minimum qualifications (identified in Section Error! Reference source not found. - Error! Reference source not found.) of this RFP are addressed in this proposal.**

**Computronix Response:**

Computronix has addressed the Section I.Q Requirements as follows:

**Section I.Q – Evaluation of Proposals**

**1. All proposals that are responsive to the solicitation will be evaluated. Each evaluation category will have a maximum point potential. The State will conduct a fair, impartial, and comprehensive evaluation of all proposals in accordance with the criteria set forth below.**

**Areas that will be addressed and scored during the evaluation include:**

**a. Corporate Overview should include but is not limited to:**

- i. the ability, capacity, and skill of the Bidder to deliver and implement the system or project that meets the requirements of the solicitation;**
- ii. the character, integrity, reputation, judgment, experience, and efficiency of the Bidder;**
- iii. whether the Bidder can perform the contract within the specified time frame;**
- iv. the quality of vendor performance on prior contracts;**
- v. such other information that may be secured and that has a bearing on the decision to award the contract;**

**Computronix Response:**

Computronix has provided point-by-point responses to Section 4 and welcomes the opportunity to partner with NLCC in the successful delivery and implementation of our proposed POSSE ABC solution.

**b. Technical Approach; and,**

**Computronix Response:**

Computronix has provided details of our technical approach in Section 7 of the proposal as well as the completion of Appendix A – CAMP Functional Requirements and Appendix B – CAMP Technical Requirements.

**c. Cost Proposal.**

**Computronix Response:**

Computronix has completed Appendix C and uploaded it as a separate file.

**2. To be eligible for consideration of contract award, the bidder must meet all minimum qualification requirements as outlined in the Solicitation, including requirements stated within any part of this RFP.**

**Computronix Response:**

Understood.

**A proposal must clearly demonstrate that the Bidder meets the following minimum qualifications:**

- a. Bidder must have experience with implementing an alcohol licensing solution in one (1) state minimum of similar size and/or complexity within the last five (5) years.**
- b. Bidder must have experience providing first-line support (technical and functional help/service desk) for an alcohol licensing and regulatory system.**
- c. Bidder Project Manager must have one (1) year of experience implementing the proposed solution and been through at least one (1) full lifecycle deployment with the proposed software solution.**

**Computronix Response:**

- a. Computronix has implemented several alcohol licensing solutions in the U.S. and Canada during the past five years. Three in-production clients that most resemble the Nebraska LCC CAMP project are the Louisiana ATC, the State of Arizona Department of Liquor Licensing and Control, and the Kansas Department of Revenue/Division of Alcoholic Beverage Control. A fourth project, now underway with the State of Missouri Division of Alcohol and Tobacco Control, also strongly resembles the Nebraska LCC CAMP project as it also requires integrated regulatory reporting functionality. All four projects are similar in the required licensing functionality and scope, number of internal users, and numbers of licensees.
- b. Computronix's POSSE Support desk has provided domestic-based first-line support services, including warranty services, in-person help desk (access by phone and email), online 24 x 7 x 365 issues tracking and reporting, and software updates and releases, for over 25 years. This includes support for those POSSE ABC clients implemented within the past five years. POSSE ABC has been a fully supported Computronix product since its inception in 2012.
- c. The Computronix Project Manager selected to lead this project has more than one year experience in implementing POSSE ABC (Alcohol and Beverage Control) projects and has completed at least one POSSE ABC project through the project lifecycle.

**Failure to meet these minimum qualifications shall result in disqualification of the response and the response shall receive no further consideration.**

**Computronix Response:**

Understood.

**Neb. Rev. Stat. §81-161 allows the quality of performance of previous contracts to be considered when evaluating responses to competitively bid solicitations in determining the lowest responsible Bidder.**

**Computronix Response:**

Understood.

**Neb. Rev. Stat. §73-107 allows for a preference for a resident disabled veteran or business located in a designated enterprise zone.**

**Computronix Response:**

Understood. Computronix is not a DBE or VBE.

## Section 5: Product Overview

### 5.A. Product Overview

Complete Table 8 to provide a high-level overview of all in-scope products and components to be provided. Bidder should also clearly identify any component that is not included in this solution that NLCC would need to procure separately.

**Computronix Response:**

Computronix has completed Table 8 as directed by the RFP.

**Table 8. Bidder Services Overview**

Vendor	Product / Service Provided
Computronix	(1) POSSE Work Management Platform
Computronix	(1) POSSE ABC Licensing Module
Computronix	(1) POSSE ABC Enforcement Module
Computronix	(1) POSSE ABC Education Module
Computronix	(1) POSSE ABC Brand Registration Module
Computronix	(1) POSSE ABC Regulatory Reporting Module (supporting Excise Tax reporting and other reporting)
Computronix	(1) POSSE GIS
Computronix	(1) POSSE Ad-Hoc Reporting Module
Computronix	(1) POSSE Mobile
Computronix	(50) POSSE Named Users
Computronix	(5) POSSE Mobile Users (Further discussion with OLCC required on whether additional Mobile users may be required)

**1. Additionally, the Bidder must identify any unique aspects of the solution components and overall functionality that differentiate it from other market offerings. Response to this section is limited to five (5) pages (excluding responses to requirements in Appendix A: CAMP Functional Requirements)**

**Computronix Response:**

POSSE ABC is unique in the marketplace because it was designed and architected specifically for the Alcoholic Beverage Control business domain; It does not leverage generic permitting or licensing solutions. Some of the key product differentiators include:

- **WCAG 2.0 Level AA compliant Customer Portal:** Built using the latest responsive design technologies, POSSE ABC can be accessed on NLCC's device of choice. The POSSE ABC Customer Portal also includes built-in support for multilingual service delivery.
- **Complete Legal Entity Corporate Structure tracking:** Is critical for identifying individuals involved in ownership of licenses of different types/tiers.
- **Regulatory Reporting:** NLCC can establish set schedules for specific types of regulatory submissions (e.g., excise tax) using this latest module of the POSSE ABC solution. The system will automatically manage the required submissions and data submitted by Licensees can be reported on for timeliness, validity, and accuracy.
- **Integrated Licensing and Enforcement modules:** NLCC staff can access the information necessary to efficiently preform their responsibilities in a single system.
- **POSSE ABC Administrator Portal:** As legislation changes, staff can easily update many business rules without technical or vendor support (e.g., new license types, fee changes, etc.).

**2. Should Bidders have a knowledge management capability in their current solution or as part of their product portfolio, Bidders can optionally provide information about these capabilities and associated pricing for NLCC's future reference.**

**Computronix Response:**

The POSSE ABC Education module allows internal or third-party trainers to create course offerings and upload electronic documents to be associated with specific course offerings.

Computronix welcomes further discussion with NLCC to clarify the scope of knowledge management functionality beyond what is currently provided. POSSE ABC can interface with other systems and could be configured to provide additional desired knowledge management functionality without the need to interface with another system.

**3. Should Bidders have a cannabis regulation capability in their current solution or as part of their product portfolio, Bidders can optionally provide information about these capabilities and associated pricing for NLCC's future reference.**

**Computronix Response:**

POSSE ABC can support cannabis regulation by adding additional license type(s) and leveraging the pre-configured best-practice license management workflows within the system. Additional configuration is available through POSSE ABC to support cannabis regulation based on business rules. Computronix welcomes the opportunity to scope and price cannabis support for NLCC upon the provision/clarification of specific functional and technical requirements.

**If multiple vendors will be providing any system/service component item, identify each vendor separately. Vendors of products licensed by the Bidder that are a significant part of the solution are to be included, even if those vendors are not actively participating in the project. Add additional lines as needed.**

**Computronix Response:**

Not applicable. Computronix is the sole vendor proposed for this solution.

## Section 6: Functional Solution

### 6.A. Modules

**Provide an overview of the modules recommended for NLCC to support its functional needs.**

**Computronix Response:**

**POSSE ABC LICENSING**

POSSE ABC Licensing serves as a one-stop management solution for all license-related NLCC activity. The module supports an unlimited amount of license types, based on NLCC’s business rules.

POSSE ABC Licensing tracks the license through the entire lifecycle, from application intake to approval. The system’s powerful, configurable workflow guides the license to the appropriate parties, such as clerks or supervisors, to navigate the license through necessary processes for both new, change/transfer, and renewal applications. Approved licenses are generated automatically and electronically to licensees that have agreed to receive via email. Paper Licenses can be printed for mail delivery. Renewal notifications and renewal licensees, once approved, are also generated automatically. These processes are all industry standard pre-configured workflows within the POSSE ABC product. License application approvers and reviewers will have access to all applicant submitted documentation and related records, providing electronic access to necessary details and electronic approval of the relevant information.

The POSSE ABC Licensing module includes amendment applications and processing. Licensees can submit amendment applications to changes existing licenses (e.g., new ownership, new location, etc.).

**POSSE ABC BRAND REGISTRATION**

The POSSE ABC Brand Registration module enables brand owners or their authorized agents to submit applications to register their products for multiple classifications, (e.g., wine, beer, distilled spirits, etc.). Brand owners or authorized agents can identify who is authorized to act as the State's distributors for their registered brands. Changes to authorized distributors for specific registered brands, products, and/or packaging are supported through amendment applications. For every brand or product, licensees can upload images of the actual label being registered with NLCC as well as specific vintages (if applicable).

Tightly integrated with the POSSE ABC Licensing module, only previously licensed entities may apply for brand registration (based on License Type business rules). Fees for brand/label registrations can be paid online via the POSSE ABC Customer Portal and through the included integration with NLCC’s payment processor.



Renewal notifications alert Brand Owners of expiring labels. Renewal applications can be easily initiated from the Customer Portal and then processed by NLCC Staff in the staff portal. Managing brand labels is also included in this workflow.

### **POSSE ABC ENFORCEMENT**

POSSE ABC's integrated solution for compliance enforcement activities relevant to licensed and unlicensed establishments will provide NLCC in-depth case management functionality. The POSSE ABC Enforcement module is tightly coupled with the POSSE ABC Licensing module, so all activities and information relating to a licensee or establishment (such as floorplans, license conditions, history) are linked within the system and available to enforcement staff.

Several Workflows make up the POSSE ABC Enforcement module including the Complaint Workflow, Case Workflow, Inspection Workflow, and the Hearings Workflow.

### **POSSE ABC REGULATORY REPORTING**

The POSSE ABC Regulatory Reporting module allows licensees to submit the required NLCC reports. NLCC can define the timing requirements (e.g., monthly, quarterly, annually) via the Administrator Portal. Regulatory submissions are tracked to determine if the submission is timely, late, or missing. A submission may have specific document attachments and/or data entry, as NLCC requires.

### **POSSE ABC FINANCE**

The POSSE Finance module is integrated to all other modules to provide fee schedule setup, maintenance, and reporting for financial activity across all modules.

### **POSSE ABC EDUCATION**

The POSSE ABC Education module includes both Student Management and Course Management. The module is available through the Customer Portal and the Staff Portal. The POSSE ABC Education module provides a comprehensive suite of tools for managing all aspects of the NLCC's education and training activities. The Education module lets NLCC agency set and monitor course syllabi, as well as establish and maintain training schedules. This module can be used for server/seller training as well as education/prevention programs.

### **POSSE AD HOC REPORTING**

To visualize performance and operational efficiency data, POSSE ABC includes the POSSE Ad Hoc reporting tool. POSSE Ad Hoc is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance data visualization. Dashboard widgets can use drill-down and direct-linking linking features to connect NLCC reporting data directly to the corresponding item in the POSSE system. NLCC staff can create reports, save them for future reference, and even schedule them to run at specific times.

### **POSSE ABC CUSTOMER PORTAL**

The POSSE ABC Customer Portal allows licensees to file and pay for the appropriate regulatory submissions.

Users can submit a new license or permit application and monitor progress via the Application step tracker and dashboard. New License or New Permit Types are available via a selection dropdown to the applicant. For Licenses or Permits that are renewable, once the renewal time frame is open, applicants can initiate the renewal application by selecting the available record(s).

The POSSE ABC Customer Portal also supports submissions for Label Registrations and Label Registration Renewals.

The POSSE ABC Customer Portal provides approved NLCC users with specific access to approve and upload approval documentation regarding License/Permit Applications. Computronix assumes the approval process will continue external to the system.

POSSE ABC Customer Portal users have access to search for licensee information through the Search feature.

### **POSSE ABC STAFF PORTAL**

The POSSE ABC Staff Portal manages the workflow associated with licensing, brand registration, regulatory reporting, and enforcement workflows. NLCC can assign role-based access to data and task management using the system's business menus. Users can manage their assigned tasks using the To Do List feature. Through pre-configured searches, authorized NLCC staff can research applicant/license history of applicants or licenses. More detail is provided about the POSSE ABC Staff Portal in Section 6.B Unique Capabilities.

### **POSSE ABC ADMINISTRATOR PORTAL**

The POSSE ABC Administrator Portal allows NLCC staff to modify data elements and business rules, as well as update maintenance tables including, but not limited to: License Types, Expirations, Required Documents, Default Assignments, Inspection Types, etc.

### **POSSE MOBILE**

POSSE Mobile provides access to critical data, allowing personnel to conducting inspections in the field as part of the application and enforcement workflows. Background network connections are seamlessly managed, enabling field inspectors to synch to-do lists, search for information, as well as view and complete tasks including checklists, deficiencies, and attach photos in the field.

POSSE Mobile can be used while disconnected and will automatically sync when the app returns to a connected state. Inspectors can attach photos to the inspection record using POSSE Mobile.

## POSSE GIS

Computronix has over 20 years' experience successfully integrating our solutions to GIS systems. There are several ways that GIS spatial information can be used within POSSE ABC. The POSSE Map Viewer is easily configured to consume specific GIS map layers. Using standard map viewer capability, leveraging Esri technologies, a user (on the Customer Portal or Staff Portal) can identify GIS spatial data as the location for a record/license. GIS Points are saved with relevant POSSE ABC business records (e.g., Licenses, Complaints).

Within the POSSE Map Viewer, any number of links can be configured to allow record/permit entry/creation directly and visually from the POSSE Map Viewer. Additionally, within the Staff Portal, the tight integration between POSSE and Esri ArcGIS spatial data allows users to query for a specific address (or other location feature services) when entering a record/application.

GIS editing is also supported within the POSSE Map Viewer, depending on specific NLCC Business Use Cases per the requirements (Appendix A and Appendix B). For example, this can include dropping a pin on a map to identify the location of a License or Complaint which can also be defaulted using a locator service. Additionally, new areas of interest can be created on the map and tracked and within POSSE ABC (e.g., territory agreements).

GIS layers can be queried with the POSSE GIS Listener. This provides the ability to overlay data referenced in POSSE ABC against GIS layers that are configured for display. For example, if NLCC has access to layers containing school or hospitals, these layers can be compared to the license location when reviewing an application to determine if it complies with any proximity requirements for the specific license type. Additionally, specific fields can be configured to be used in defining conditional logic for various business rules based on the GIS data.

POSSE ABC can also integrate with GIS for address lookups, not requiring use of a map, to verify address values against a GIS Locator/Geocoding service.

## 6.B. Unique Capabilities

In addition to completing the Appendix A: CAMP Functional Requirements, the Bidder should provide a narrative overview that: (1) demonstrates an understanding of NLCC’s needs, and

### Computronix Response:

Computronix acknowledges the State’s emphasis on the V.B.2 – Project Objectives during the pre-bid conference, as well as the supporting information provided in V.C.2.iv, and has proposed a solution that will meet those objectives as follows:

### Increase efficiency of NLCC processes and allow staff to do more work with less effort

The POSSE ABC Staff Portal provides several tools for managing a user's workload and improving staff and process efficiencies.

- **To Do Lists:** Staff and field inspectors can view tasks upon log in and can rearrange them as needed to manage their list of responsibilities. Sorting, pinning, prioritizing, categorizing, and delegating are all available from the To Do List.
- **Proactive Renewal Processes:** NLCC staff can automatically generate template-based email or letter reminders to license holders with instructions on how to renew via the public website– streamlining the process for both licensees and NLCC.
- **Streamlined Action:** Staff input/actions in one area of the system automatically update all related areas in the system, eliminating redundant data entry or staff action
- **Reporting Capabilities:** using POSSE AD Hoc, Staff can build their own reports and report on specific fields, ranges and categories of data through a number of report displays, including dashboards.



### Enable complete and accurate auditability of liquor licenses and excise tax collection

The proposed solution Includes audit workflow configuration based on specific NLCC requirements. Best business practice workflows such as Hearings, Enforcement Case Files, and POSSE Mobile investigations can be included in the audit capabilities.

The POSSE ABC Regulatory Reporting module allows licensees to submit required NLCC reports. A submission can have specific document attachments and/or data entry, as the NLCC requires.



## Allow NLCC to Increase services offered with existing staff

POSSE ABC provides increased public access to application and license information in an intuitive website, reducing application/license status inquiry loads on NLCC staff.

With a single system for tracking licensing and enforcement activities, NLCC will be able to expand usage to additional user groups (e.g., Attorney General's office, law enforcement) with role-based security.

This quick and easy access to necessary the information will enable NLCC to support these business groups without increasing staff requirements.

Data entered in the respective Staff and Customer Portals is available in the system, eliminating the need for manual data entry and review associated with existing antiquated liquor licensing submission, renewal, and brand registration processes. Similarly, the proposed solution allows NLCC to configure risk-based business rules for auto-approval of most special events permits, improving staff efficiencies.



## Replace legacy systems with a single modern solution

The POSSE ABC System is a fully integrated COTS web-based system and single point of interface which delivers best practices and modules for the management of all regulatory activities related to alcoholic beverage control.

POSSE ABC is a browser-based application, supported on all modern web browsers (Chrome, Firefox, Safari, IE/Edge). POSSE ABC includes modern user interface elements such as toolbars, buttons, scroll bars, progress indicators, menus, lists, and date pickers, filters.

POSSE ABC is a single database consisting of Core Objects shared between all proposed modules. Core Objects across the system include License, Legal Entity, Premises, and Address. Due to the nature of objects and related records in the system, changing one object will update that object for all records to which that object is related. Several integration points are included in the product, providing a seamless end user experience without redundant data entry. The system includes integration points to multiple Microsoft Office products and reporting tools, including POSSE Ad Hoc Reporting.



## Facilitate all licenses activities through a single portal

The POSSE ABC Customer Portal is built using responsive design motifs that scale based on the user's device.

Features include:

- **Around-the-Clock Access:** Businesses can apply for, renew, pay fees, and manage their licenses online through the 24/7 Public Portal.
- **Electronic Payments:** Integration to a third-party payment processor has been included in this proposal for processing these payments
- **User Dashboard:** Allows users to monitor license application progress
- **Transaction Tracking:** Users can access the transaction record for details including current status, file type, file number, location, description, and created date.
- **Communication Tracking:** Requests for additional information as well as communication between Staff and Applicants can be tracked and accessed by applicants
- **License Availability:** Licenses can be reprinted, downloaded, or emailed.
- **Image and Document Upload:** is available to support licensing applications
- **Brand Registration:** Brand owners or their authorized agents can submit applications to register their products for multiple classifications, including wine, beer, and distilled spirits.
- **Special Designated Licenses:** Can be handled within the same user account/login and area as other license/permit types instead of through a separate website
- **Education Access:** Servers and sellers can access NLCC training as well as education/prevention programs developed using the POSSE ABC Education module



## Provide a better user experience to licensees and NLCC staff

POSSE ABC Licensing tracks the license through the entire lifecycle, from application intake to approval. The system's powerful, configurable workflow guides the license to the appropriate parties, such as clerks or supervisors, to navigate the license through necessary processes for both new, change/transfer, and renewal applications.



### User Experience

The POSSE ABC Customer Portal is designed to be easy to use with self-guided screens. This includes application content necessary for submittal with instruction text to guide users through the data entry and document/file upload as required.

## NLCC Staff Experience

The POSSE ABC Staff Portal is developed with a consistent design pattern, ensuring that trained staff can use all areas of the system.

Each license record in POSSE ABC includes all license history, current license status (active, expired, closed, suspended, revoked), license holder information and history (including corporate ownership details to any level, for background check purposes), locations related to the license or licensees, and other connected information. The relational nature of POSSE ABC gives NLCC a holistic picture of all interconnections between the people and properties in NLCC's purview.

**(2) describes how the proposed solution will meet functional requirements for the four areas identified as particularly unique to NLCC in Section V.C.2.b.iii.a)2) -**

**Computronix Response:**

**Computronix recognized the importance placed on these areas during the pre-bid conference and has addressed them on a point-by-point basis as they appear in the RFP:**

**2) Unique NLCC Business Capabilities to be Supported above.**

- 1. License Holder Reporting and Verification**
- 2. Alcohol Brand Registration**
- 3. Mandated Training, Monitoring and Tracking**
- 4. Local Jurisdiction Review of Applications and Release of Renewals**

### Computronix Response:

Computronix recognized the importance placed on these areas during the pre-bid conference and has addressed them on a point-by-point basis as they appear in the RFP:

## 2) Unique NLCC Business Capabilities to be Supported

**The sections below provide an overview of the unique business capabilities that the future solution is required to support. The needed solution capabilities are described in Appendix D: User Stories and Appendix A: CAMP Functional Requirements.'**

### Computronix Response:

Computronix has reviewed and considered Appendix D: User Stories in our responses to Appendix A: CAMP Functional Requirements.

**I. License Holder Reporting and Verification.** License Holders are required to submit reports (samples of which are included in Appendix E: CAMP Reports Inventory) to NLCC on a periodic basis (monthly, quarterly, annually). License holders are required to provide data and supporting documentation based on the type of license they have. License holders (specifically, wholesalers, producers and shippers) must report sales, out of state shipments, and internal usage activity. These reports are sometimes verified to ensure activity aligns across reporting groups.

In some cases, the solution must be able to run a query that compares data across various reports and flags any discrepancies for NLCC review. Staff may also review and verify reports manually. Additionally, the solution should be able to flag any reported brands that are not registered in the State (see alcohol brand registration below).

#### **Computronix Response:**

The POSSE ABC Regulatory Reporting module allows licensees to submit the reports NLCC requires. NLCC can define the timing requirements (e.g., monthly, quarterly, annually) via the Administrator Portal by License Type. Regulatory submissions are tracked to determine if the submission is timely, late, or missing. A submission may have specific document attachments and/or data entry, as NLCC requires. Verification, while not currently automated, can be configured based on business rules per our included business rule configuration allowances, if NLCC desires. NLCC staff have access to the Regulatory Reporting data through searches and NLCC developed POSSE Ad Hoc reports for manual verification.

Data captured via the POSSE ABC Regulatory Reporting module will be available for searches and reporting. NLCC staff may search and query regulatory reporting data to determine necessary verification and follow-up steps. Computronix has not included automation for verification in our proposal.



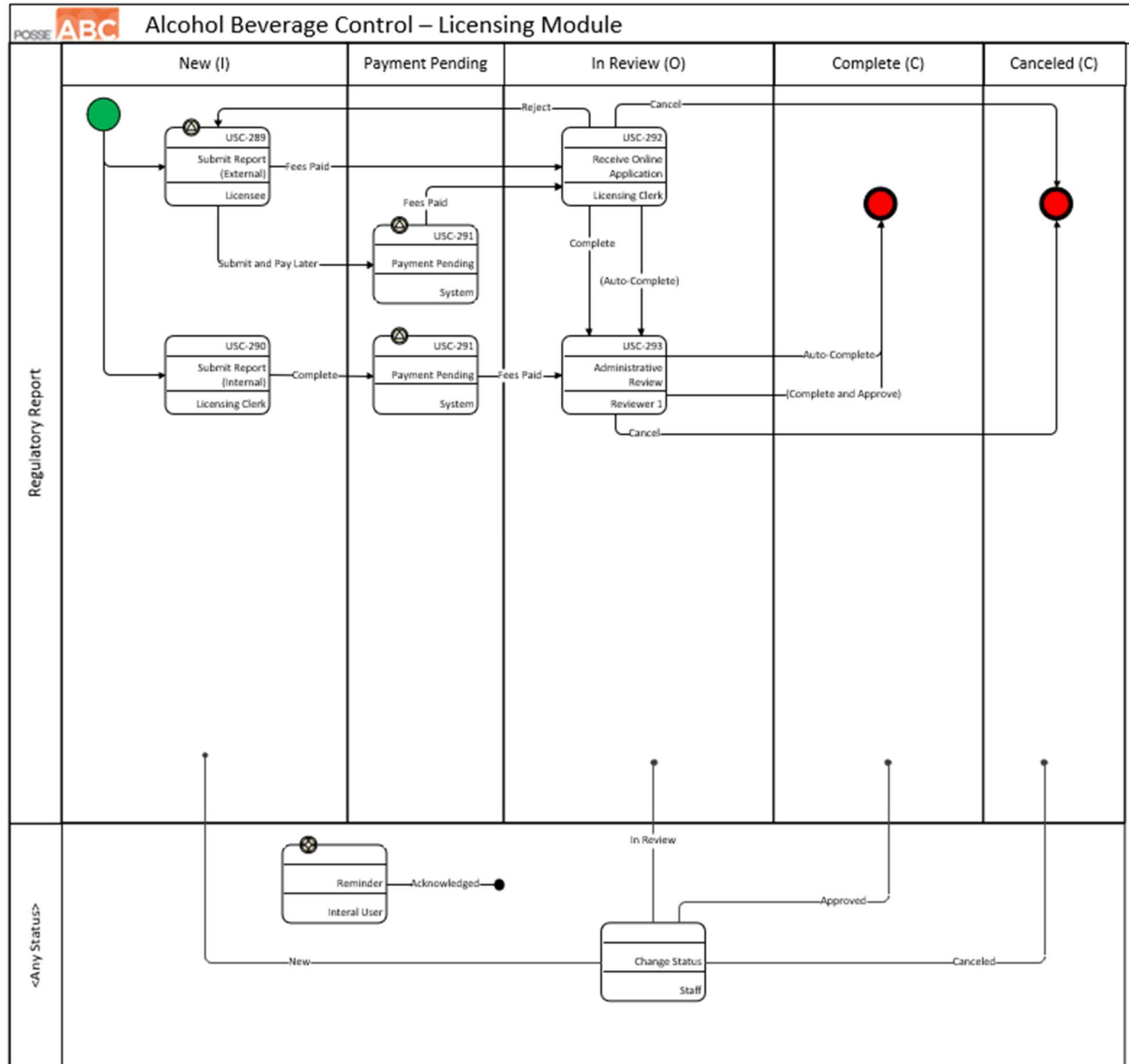


Figure 1. Proposed Workflow for Regulatory Submissions POSSE ABC product enhancement.

**II. Mandated Training Monitoring and Tracking. Applicant(s) may be required to complete NLCC-approved training programs. This is typically the case when the applicant(s) have insufficient experience selling alcohol in Nebraska. Training may also be mandated as a result of the imposition of a disciplinary action. NLCC staff verify that approved training courses have been completed and issue certificates. The new solution must allow for submittal of training documentation and issuance of training certificates.**

**Computronix Response:**

As stated in our response to Functional Requirements H.5 and H.6, the POSSE ABC Education module will be further configured during implementation to allow NLCC staff to mandate training for specific licenses and generate email notifications to licensees. Students who take training through POSSE ABC can be associated with a license record via the License Roster, allowing NLCC staff to confirm the mandated training has been completed.

**In the future, NLCC may implement a Knowledge Management System to develop and manage NLCC-required training. A system has not been selected at this time. Bidders should identify their ability to integrate with such a system and any experience doing so. Knowledge management capabilities are not required at this time, but the Bidder may optionally propose any features that come “out-of-the-box” with the solution that may benefit NLCC. Further, should Bidders have a knowledge management capability in their current solution or as part of their product portfolio that would be an additional cost, Bidders can optionally provide information about these capabilities and associated pricing for NLCC's future reference. Please see Sections V.C.3.v. - Error! Reference source not found. and V.C.3.vii.d) – 7.D. Integration for additional response requirements regarding the Knowledge Management System.**

**Computronix Response:**

The POSSE ABC Education module allows internal or third-party trainers to create and upload course offerings with associated documents. POSSE ABC can interface with other systems and could be configured to provide the desired functionality without the need to interface with another system; however, Computronix requires additional information and discussion with NLCC to clarify the scope and price this functionality.

Additionally, please see Computronix’s response to 5.A. Product Overview under Section 5 and 7.D. Integration under Section 7.

**III. Alcohol Brand Registration. Alcohol Brand Registrations delineate what products are available in regions throughout the State by a certain supplier (i.e., wholesaler) – beer brands may be limited to specific geographic areas whereas wine/spirits are registered statewide. This allows NLCC to regulate regions of distribution for beer brands as well as understand the distribution of wine/spirit brands across the State. A retailer is only able to sell products supplied by a wholesaler. In regard to beer brand registration, specifically, based on the physical location of the retailer, a beer brand can only be supplied by the wholesaler that is registered as responsible for the region containing that location.**

**The supplier is responsible for submitting this information to NLCC. Suppliers can be one of three groups: shippers that are registered as the agent for out-of-state suppliers, self-represented out-of-state suppliers, or in-state producers that are responsible for their own brands (they do not use shippers in-state and thus cannot have a shipper agent). Suppliers must delineate geographic territories as part of their application process and the classification of the product (i.e. beer, wine, spirits, spirit-based ready to drink cocktails, hard cider). Subcontractors can be added to a primary beer brand territory agreement.**

**The new solution must process, track, and manage alcohol brand registrations and associated subcontractors to be displayed via GIS mapping (specifically for beer brand territories) and enforce compliance with excise tax reporting rules (See Section V.C.2.b.iii.a)2) I. - License Holder Reporting and Verification above)**

#### **Computronix Response:**

The POSSE ABC Brand Registration module supports the relationship between Brand Registrants (licensees) and Distributors (also licensees). This information is submitted by the Brand Registrant applicant and is reviewed and verified by NLCC staff prior to the approval of the Brand Registration. Documents—including territory agreements—can be uploaded with the Brand Registration application. As Brand Registrant and Distributor relationships/agreements change over time, this information can be updated via a Brand Registration Amendment application. During the implementation project, GIS integration for geocoding of license locations will be configured. If NLCC maintains a GIS layer/feature service for distribution areas, this can be verified through map overlay functions with the license location.

Excise Tax reporting rules will be managed via the POSSE ABC Regulatory Reporting module.

**IV. Local Jurisdiction Review of Applications and Release of Renewals. Licensing application packages are sent to the City/County Clerk for the jurisdiction where the applicant property is located. Each City/County clerk then manages a local hearing process within 45 days of receipt of the application package and sends a recommendation sheet to NLCC that communicates if the application was recommended for approval or denial by the local governing body. City/County Clerks may also participate in NLCC hearings in the case of denials.**

**When a license is renewed, NLCC sends the renewed license to the City/County clerk for the local jurisdiction where the subject property is located. The clerk retains the license until a license holder pays local taxes and fees for the license, which is then released. Local City/County clerks may also be involved in processes related to updating license information (i.e., manager changes).**

**The new solution should allow City/County clerks to access application information (to include renewals), upload recommendation sheets, and receive notifications. The solution shall also allow NLCC to send digital licenses issued to clerks for distribution once local fees and taxes are paid. Bidders must discuss their approach to providing access to these clerks and any implications for software licensing (See Section V.C.2.b.iii.a)2) - Error! Reference source not found. above).**

#### **Computronix Response:**

During the implementation, the POSSE ABC application workflows will be enhanced to support a task assignment to City/County clerks, when applicable by license type, for their approval. Special access to this task assignment will be configured in the POSSE ABC Customer Portal. NLCC staff will be responsible for flagging registered users as clerks and verifying association to a specific City or County.

POSSE ABC will be configured during the implementation project to manage the process for City/County approval. The POSSE ABC Customer Portal will provide approved City/County users with specific access to approve and upload approval documentation regarding License/Permit Applications. Computronix assumes the approval process for City/County clerk access will continue external to the system. City/County clerks will not require licenses as they will use the POSSE ABC Customer Portal.

Additionally, please see Computronix's response to 6.B. Unique Capabilities.

**Bidders should also indicate the ability to utilize NEGIS as a repository, specifically related to the GIS layers outlined in Section V.C.2.b.iv.d) - GIS above).**

#### **Computronix Response:**

Computronix has addressed GIS layers on a point-by-point basis on the following pages.

## d) GIS

The solution is expected to integrate with NEGIS to provide geographical information to support the application submittal, validation, and processing activities, including determining application requirements, reviews required based on location, inspection scheduling and routing, etc. Potential GIS layers include:

- 1) Parcels (not to be publicly available)
- 2) Churches
- 3) Hospitals
- 4) Homeless Shelters
- 5) Health Districts
- 6) Jurisdictional Boundaries
- 7) Fire Marshall Districts
- 8) Accredited Schools/College Campuses
- 9) Nebraska State Patrol Boundaries
- 10) Alcohol Brand Territories
- 11) Licensing Information/History by Location

GIS integration shall provide a comprehensive view of activity and history of a location in a GIS view.

### Computronix Response:

The POSSE Map Viewer can consume any number of layers for display within the viewer. Licensed locations are expected to store a point location with the record in POSSE ABC to be used to display licenses in the POSSE Map Viewer. Historical license records can also store this point location and be viewable in a map view.

**Bidders should provide any relevant examples of similar solutions provided to other clients. Screenshots or mock-ups of proposed features are encouraged.**

**Computronix Response:**




# Complaint

## Details

Please describe the grievance in detail.

Complaint Description \*



Complaint Type \*

If you choose to remain anonymous, your ID will not be associated with this complaint. You will not be able to search for this complaint once it is submitted.

I wish to remain anonymous

## Location

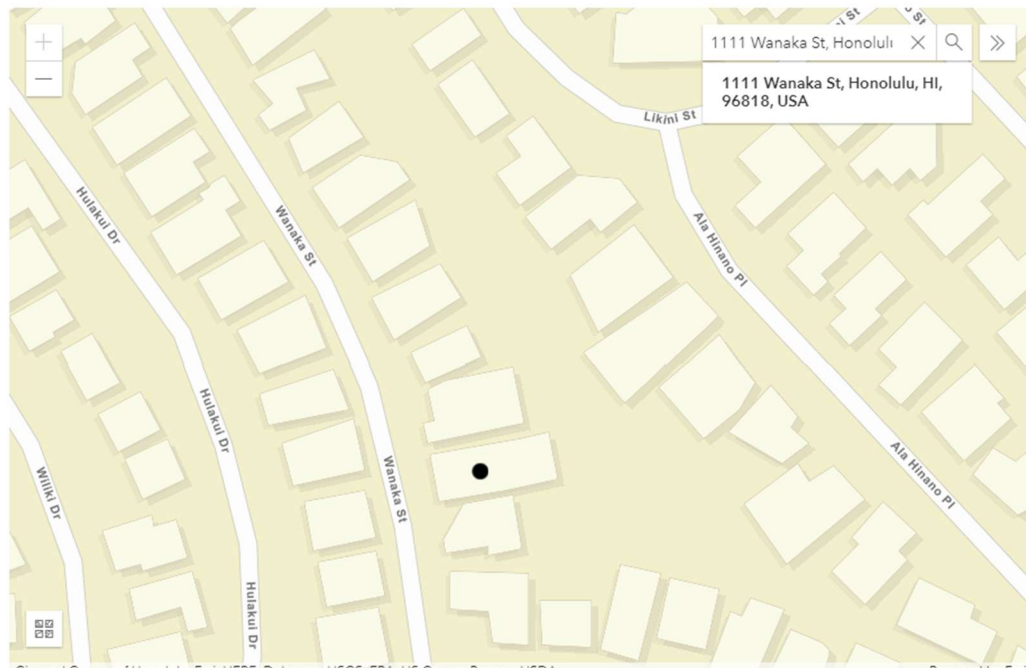
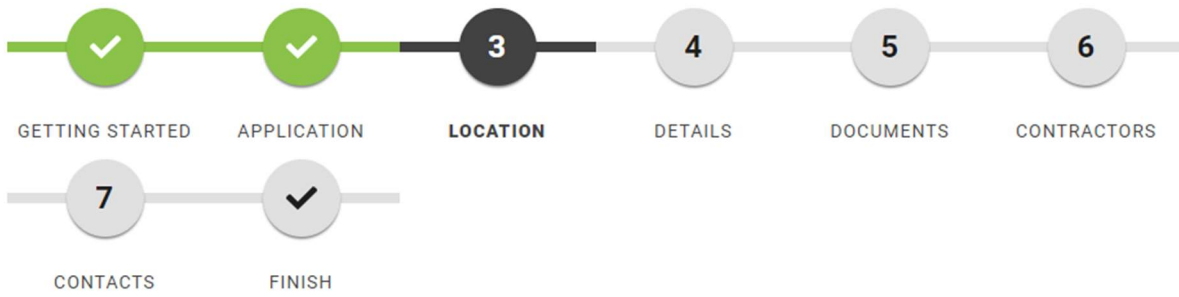


Figure 2. The POSSE Map Viewer integrated with a Complaint Submission on the Customer Portal including Address Search and point selection/edit.



## Location

Step 3 of 7

Use the interactive map below to find the location for the work you're proposing to do.

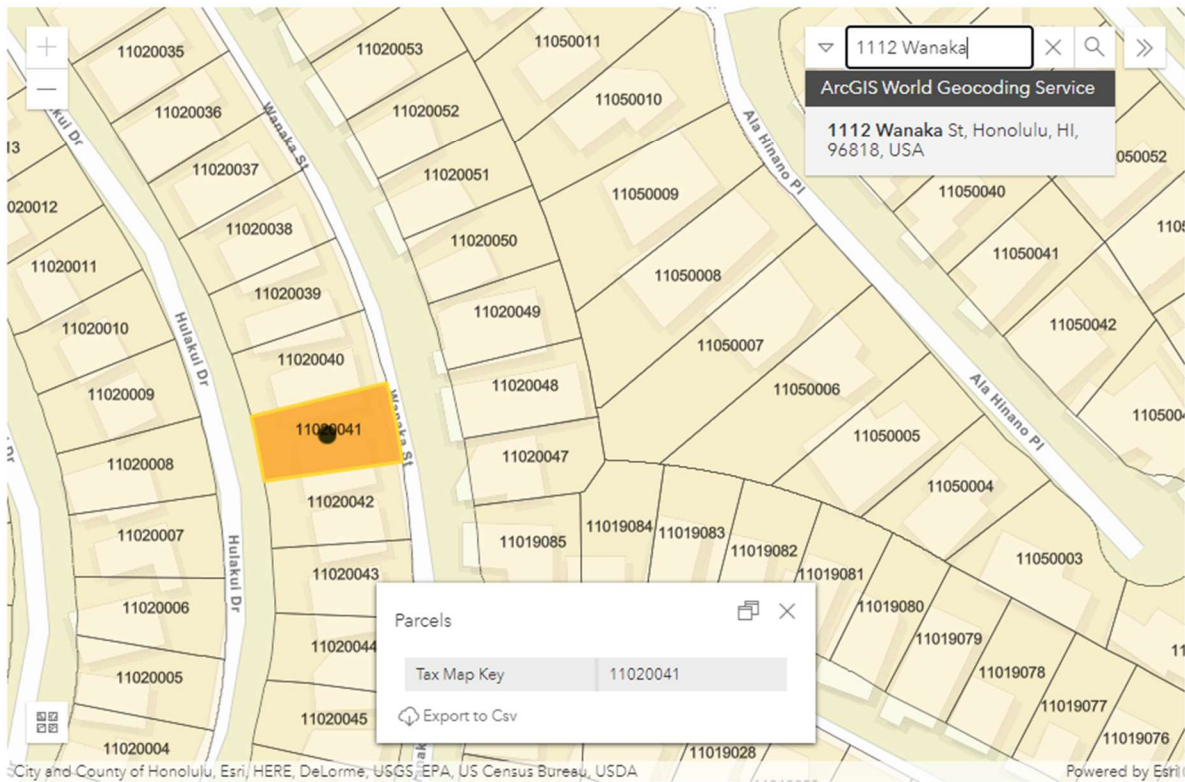


Figure 3. The POSSE Map Viewer integrated within an Application Wizard on the Customer Portal showing Address location and property/parcel selection and popup identify.

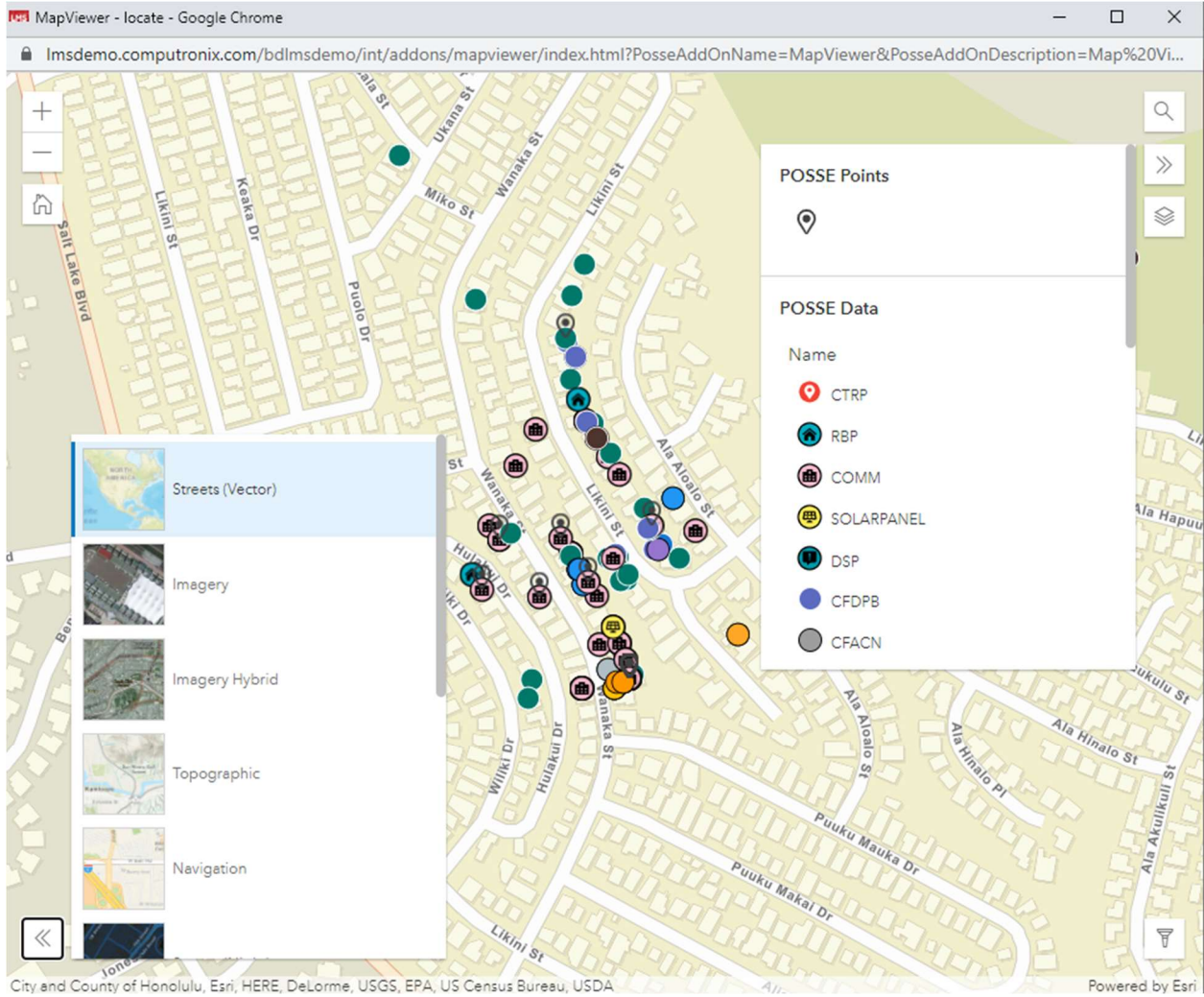


Figure 4. The POSSE Map Viewer integrated within the Staff Portal displaying points with base map and layer selection.



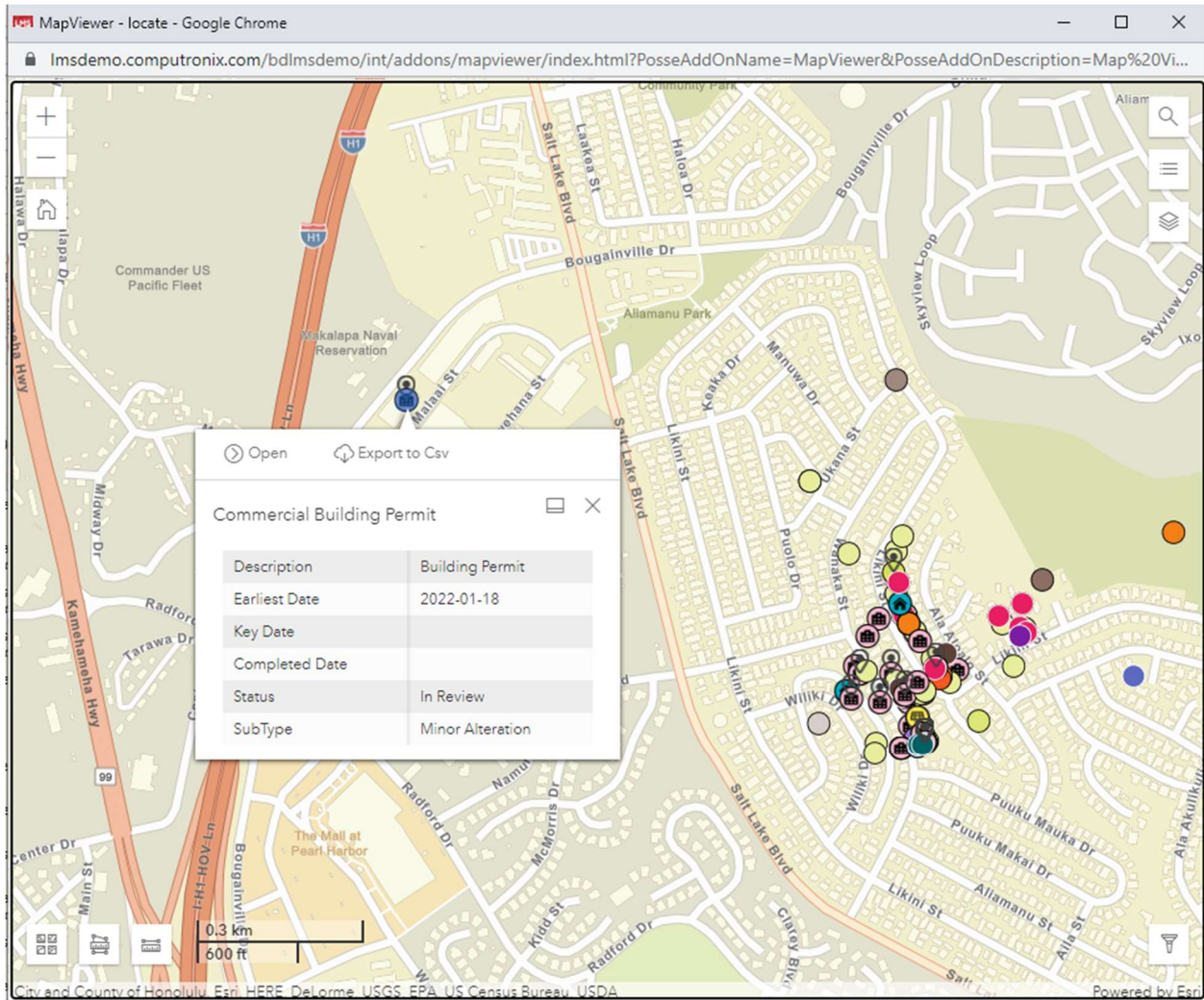


Figure 5. The POSSE Map Viewer integrated in the Staff Portal displaying the identify pop-up for a selected feature.

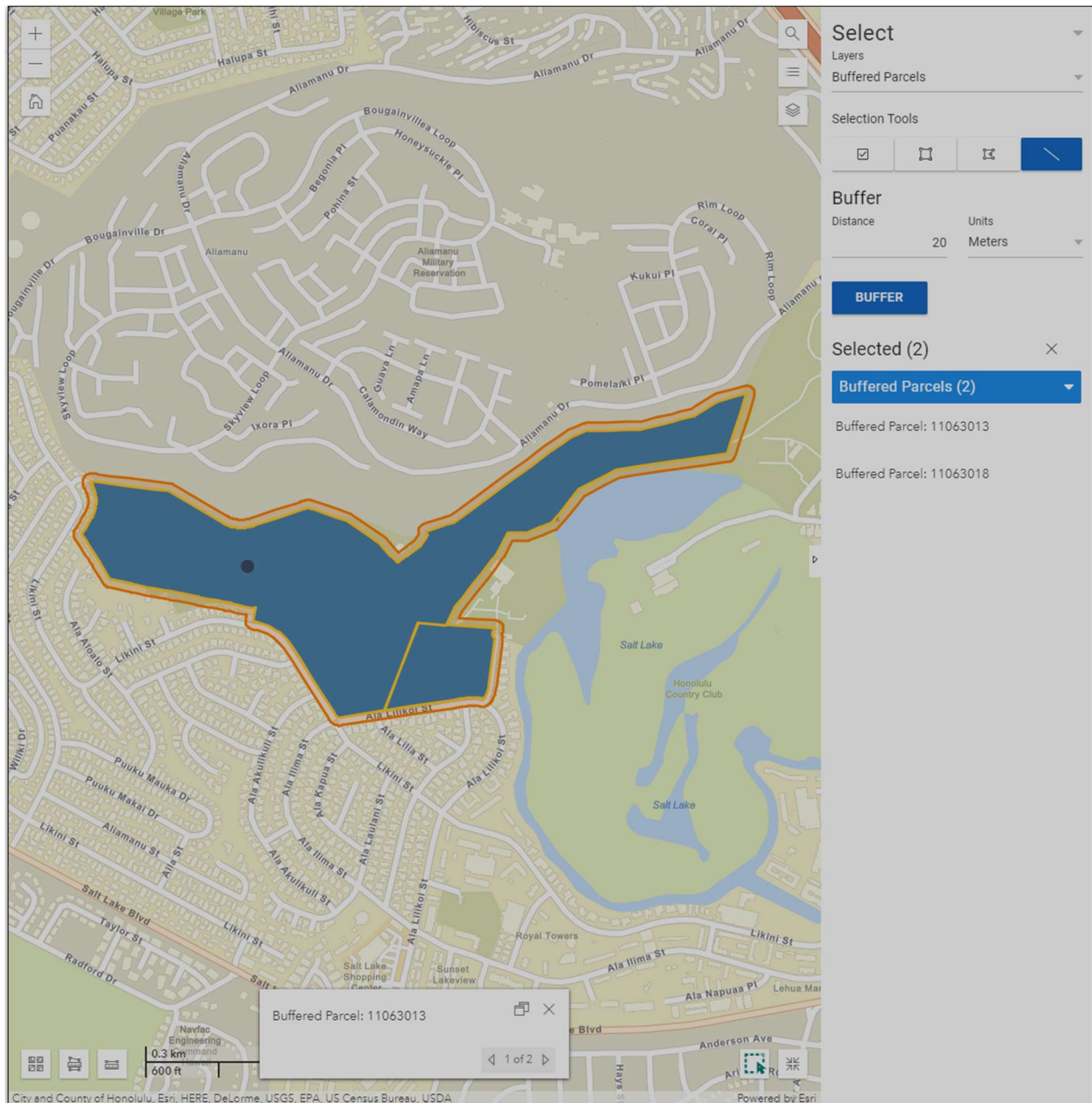


Figure 6. The POSSE Map Viewer integrated in the Staff Portal showing feature selection and buffering features.

## 6.C. Appendix A: CAMP Functional Requirements

Complete and submit Appendix A: CAMP Functional Requirements according to the instructions provided in the matrix.

### Computronix Response:

Computronix has completed and submitted Appendix A as instructed by the RFP.

## Section 7: Technical Solution

Provide an overview of all the technology components (software and hardware) that are included in the response, including a high-level architecture overview. Clearly identify any components (software and hardware) that are not included and must be procured by NLCC separately.

### Computronix Response:

Computronix has provided this overview in response to the following Sections 7.A and 7.B.

### 7.A. Conceptual Architecture

Provide a high-level conceptual design diagram that articulates the Bidder's vision for the new solution that is easy to understand. The diagram should provide an overview of the proposed solution components including but not limited to applications, integration, data repository(s), and analytics tool(s). If appropriate, the diagram can also demonstrate how the new solution will expand and evolve over time to meet NLCC's needs.

### Computronix Response:

A high-level architecture diagram of POSSE v7 is included on the following page.

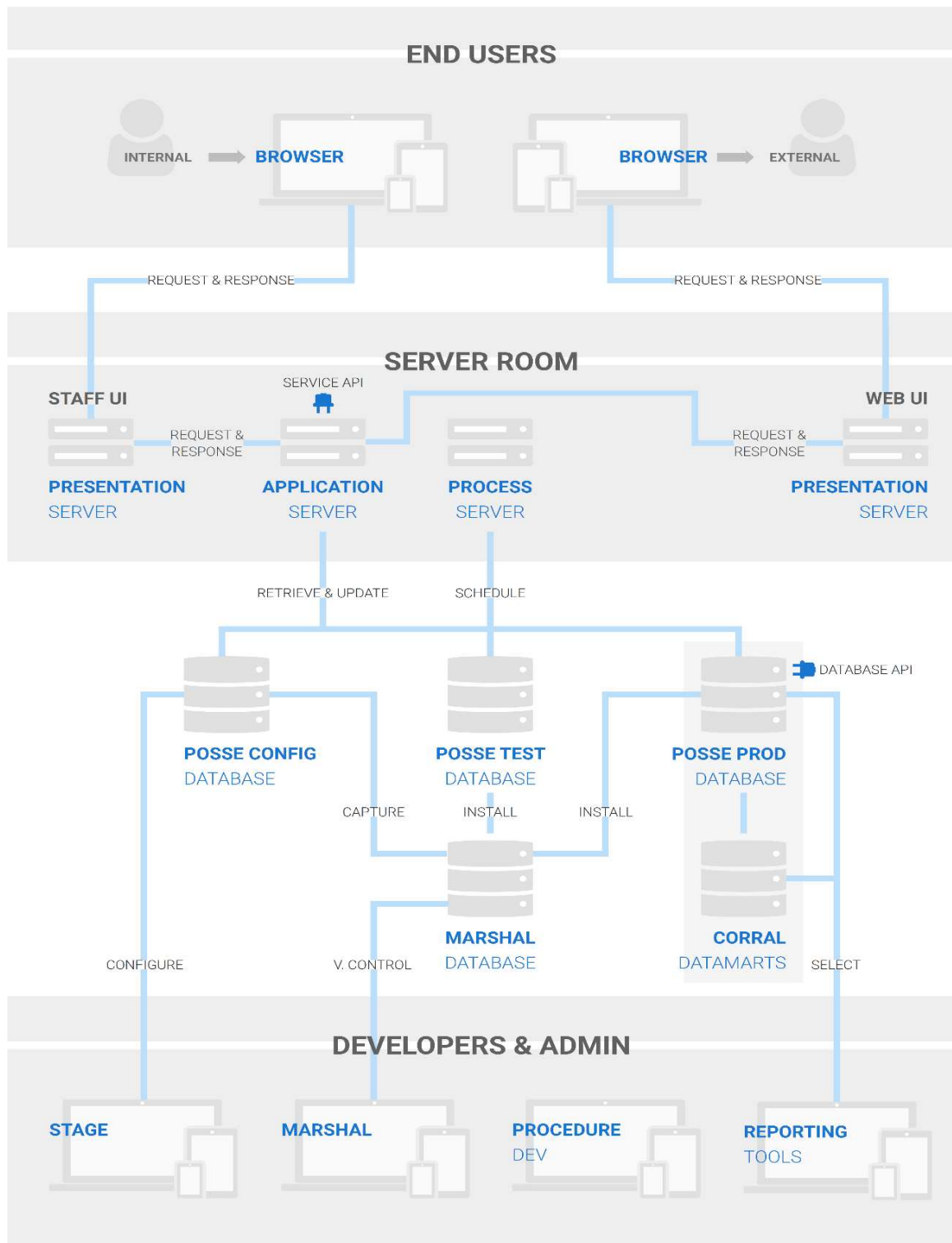


Figure 7: POSSE v7 High-level Architecture

## 7.B. System Architecture

**Describe the overall system architecture of the proposed solution. This should include information about the underlying platform and software on which the core components are built and supported, and how it will support security considerations.**

### Computronix Response:

Computronix has developed POSSE ABC with an N-Tier Architecture. The Database Tier is implemented using the Oracle database platform. The POSSE ABC Customer Portal Application Server is developed with a .Net wrapper on Python. The POSSE ABC Staff Portal application is implemented with the Presentation Server developed in C# with Service ABC Portal Application Server runs as a Python Windows Service. Application/Web Servers are supported on Windows Server 2012 through Windows Server 2019.

POSSE ABC's application tiers consist of the following:

- **Presentation Layer:** .NET, ExtJS, JavaScript, HTML5, CSS
- **Application Layer:** .NET, Python, ZeroMQ
- **Database Layer:** Oracle, PL/SQL

The new WebUI Customer Portal also makes use of technologies such as:

- **React JS:** JS Framework
- **Material Design/Material UI:** Web accessibility, multilingual capacity.

POSSE ABC is architected to ensure the highest degree of security in processing regulatory workflows. Computronix has provided our POSSE Security Whitepaper in Section 10.

**Describe the benefits of this architecture for NLCC, as well as any constraints or risks that will need to be addressed to ensure the success of the architectural approach.**

**This section should also include the following information:**

- 1. Product Solution and Software Development Tools and**
- 2. Languages**
- 3. Database Type and Structure**
- 4. Proposed Third Party Software Components (if applicable)**
- 5. Proposed Middleware and Frameworks**
- 6. Identification of all supported technology platforms (including supporter version numbers) using the Table 9**

#### **Computronix Response:**

Computronix has provided feedback on a point-by-point basis as follows and has completed Table 9 as directed by the RFP.

#### **1. Product Solution and Software Development Tools**

POSSE ABC's configuration tool, Stage, allow the configuration of workflows, data fields, and screens. Typically, the tool makes these changes in a standalone development environment. Stage groups configuration changes together in changesets. When changesets are ready for migration from the development environment into a testing or production environment, the changes are captured into a standalone configuration management database using POSSE ABC's configuration migration tool, Marshal. Marshal is another point-and-click tool that drives straightforward migration of changesets either individually or in groups. Once changes are captured, Marshal is used to install the changes into any of the other connected POSSE ABC environments (e.g., UAT, Training, Production).

Changes made to metadata using the POSSE ABC Administrator Portal can be migrated using the Admin Data Import Export Utility. Metadata information is exported into a flat file, and that file can be imported into other environments using a drag-and-drop interface.

#### **2. Languages**

See above response to 7.B System Architecture.

#### **3. Database Type and Structure**

POSSE ABC is architected to run on the Oracle relational database platform. Within POSSE ABC, data is stored in an optimized format which allows it to be interpreted in real-time; thus, supporting the inherent "configurability on the fly" capability of the POSSE platform. For reporting purposes, POSSE operational data is synched with the POSSE Reporting Datamart, which provides a standard third normal form relational database structure.

This data can be queried by any of the POSSE reporting tools, as well as any industry-standard reporting tool. As part of the project deliverables, Computronix will provide NLCC with a complete data model for the POSSE ABC Reporting Datamart.

**4. Proposed Third-Party Software Components (if applicable)**

Not applicable. Computronix has not included any third-party software in our proposal.

**5. Proposed Middleware and Frameworks**

See above response to 7.B System Architecture.

**6. Table 9. Support Technology Platforms**

Technology	Platforms (including version numbers)
<p><b>Server Operating Systems</b></p>	<p><b>POSSE Application Server</b></p> <ul style="list-style-type: none"> <li>• Windows Server 2012 – Foundation, Essentials, Standard, or DataCenter</li> <li>• Windows Server 2012 R2 – Foundation, Essentials, Standard, or DataCenter</li> <li>• Windows Server 2016 –Standard, or DataCenter</li> <li>• Windows Server 2019 – Standard, or DataCenter</li> </ul> <p><b>Database Server – per Oracle’s requirements</b></p> <ul style="list-style-type: none"> <li>• Windows Server, Linux, Solaris, HP/UX</li> </ul>
<p><b>Desktop Operating Systems</b></p>	<p>POSSE ABC is a browser deployed solution. Please refer to Web Browsers below.</p>
<p><b>Databases</b></p>	<ul style="list-style-type: none"> <li>• Oracle 12.1.0.2 Standard Edition 2 (SE2) or Enterprise Edition</li> <li>• Oracle 12.2.0.1 Standard Edition 2 (SE2) or Enterprise Edition</li> <li>• Oracle 19c Standard Edition or Enterprise Edition</li> </ul>
<p><b>Web Browsers</b></p>	<p>The current versions of the following:</p> <ul style="list-style-type: none"> <li>• Chrome on Windows, macOS, and Android</li> <li>• Firefox on Windows and macOS</li> <li>• Microsoft Edge (Chromium) on Windows</li> <li>• Safari on macOS, iOS, and iPadOS</li> </ul>
<p><b>Reporting</b></p>	<p>POSSE Xtra Reports, POSSE Ad Hoc</p>



Technology	Platforms (including version numbers)		
<b>Mobile Devices</b>	See Mobile Operating Systems		
<b>Mobile Operating Systems</b>	<b>iOS/iPadOS</b>	12.x, 14.x, 15.x	Since most devices that supported iOS 13 are also supported by iOS 14, we have not tested on iOS 13.
	<b>Android</b>	9.x, 10.x, 11.x, 12.x	Testing has been completed against Android 10 and 11.

## 7.C. Security

**Describe how information within the Bidder's solution is secured. This section should also include the following information:**

### **1. Security Architecture**

#### **Computronix Response:**

POSSE ABC's powerful security features enforce security at the individual user or group level. POSSE security restricts or permits access to information and enforces rule-based security (access permissions and restrictions based on business rules) down to an individual item. Depending on security levels, different users see different menus, screens, tabs, reports, documents, etc. All updates to the database are performed by procedures rather than direct table updates, enabling another layer of security verification prior to allowing updates.

Since POSSE ABC can be integrated with AD or an LDAP-compliant facility, it also supports single-sign on.

Each user is assigned a set of roles in POSSE ABC. These roles have access groups and permissions that is configured down to the screen, field and as needed the record level. Workflow and assignment is also configured for each role. This security is enforced in the database, the middle-tier app server, and the web client. POSSE ABC can be secured so only certain roles can see sensitive information.

### **2. Security Level Management - role-based access, including data access rights by user roles and permissions, and the ability to configure a Global Administrator (e.g., system-wide capabilities)**

#### **Computronix Response:**

Access privileges are granted and revoked using POSSE ABC's role-based security which manages both data access and documents (e.g., files, templates, etc.). Users can have multiple roles. Roles are used to determine users' group membership (i.e., whether a user is a Reviewer or a Clerk) and which business areas a user belongs to, thus which areas the users can access.

Computronix has included integration with NLCC's Active Directory in this proposal for authentication and authorization of Staff Portal users.

### **3. Security Procedures and Protocols**

#### **Computronix Response:**

Computronix internal security policies and procedures are based on NIST 800-53 Rev. 4 and Computronix will ensure security incidents are handled in accordance with NIST 800-53 IR-1 through IR-9 as documented in the Computronix Security Incident Response Procedure.

## 7.D. Integration

**Describe the level of interoperability between the different components of the solution and how that will be achieved, and any industry standards that will be followed, and the approach to testing the integration.**

### Computronix Response:

The level of interoperability varies based on the specifics of systems being integrated.

Computronix has more than 20 years of experience integrating our POSSE solution into the overall systems architectures of cities across North America, including two-way interfaces, real-time integrations, one-way real-time integrations, batch uploads, and overnight uploads, interfaces to enterprise document management systems, and “external object” mapping to data stored in other systems. POSSE ABC can seamlessly interface with other systems, including financial, AR/AP, point-of-sale/cashiering, GIS, IVR, and e-payment, etc.

Computronix proposes to use the same project process discussed elsewhere, such that each in-scope interface is analyzed, designed, developed, reviewed, and ultimately delivered successfully in conjunction with the other system components that are dependent on the information supplied by the interface (or that supply other systems with data).

Every interface in this project will have two sides to it: POSSE ABC and the legacy system currently in production at NLCC. Computronix expects to work closely with the vendor or NLCC staff responsible for the maintenance of the other impacted legacy systems to ensure that the correct information is being transmitted, new interfaces are thoroughly tested, and impacts to other operational systems are minimized. NLCC should expect that—in some cases—the legacy system of the interface may need to be changed to accept new data, accept data in a different format, or provide new data fields or data fields in a different format. The analysis of each interface will end with an agreed-upon approach to the completion of each interface.

POSSE ABC has built-in APIs—including a .NET Service API, a JavaScript Add-on API, a Python Scripting API, and a Database API—to enable the delivery and acceptance of data in any format, enabling seamless real-time or batch interfacing to other systems. POSSE ABC’s APIs are natively integrated with POSSE ABC business rules and security, ensuring consistent and seamless behavior across all interfaces. All interfaces to and from POSSE ABC use these APIs, ensuring that POSSE ABC source code is never modified.

**Describe Bidder’s previous experience integrating with the systems described in Section V.C.2.b.ii.a) - Error! Reference source not found. above. Describe the proposed solution’s ability to integrate with a Knowledge Management System, as well as any experience the Bidder has integrating with a Knowledge Management System.**

**Computronix Response:**

Computronix has provided a point-by-point response to the applications listed in RFP Table 6 as follows:

System Name	Computronix Solution
<b>OnBase Enterprise Content Management System (ECM)</b>	<p>Requirement H.3. - Integration with OnBase is included in our proposal. POSSE ABC will push documents uploaded into the system to OnBase on a scheduled basis, maintaining a pointer to the document. End Users will not be aware of where the file is physically located.</p> <p>Computronix has previously integrated with OnBase.</p>
<b>PayPort</b>	<p>Requirement H.5. - Integration with PayPort and the POSSE ABC Customer Portal is included in our proposal.</p> <p>While Computronix has not previously integrated with PayPort, payment processing integration is standard on all POSSE implementation projects.</p>
<b>Nebraska Interactive</b>	<p>Requirement H.6. - Integration with Nebraska Interactive and the POSSE ABC Customer Portal is included in our proposal.</p> <p>While Computronix has not previously integrated with Nebraska Interactive, payment processing integration is standard on all POSSE implementation projects.</p>
<b>Civix</b>	<p>Requirement H.7. - Integration with Civix via webservice from the POSSE ABC Staff Portal during the Application review workflow tasks is included in our proposal.</p> <p>While Computronix has not previously integrated with Civix, Computronix has extensive experience integrating data validation interfaces via web service calls.</p>
<b>JD Edwards (E1)</b>	<p>Requirement H.4. - Nightly and Monthly flat files will be created from POSSE ABC for integration with JD Edwards.</p> <p>Producing flat files from POSSE ABC is a common method for financial system integration and is an approach Computronix has used for integrating with many financial systems.</p>

System Name	Computronix Solution
<p><b>Nebraska Enterprise GIS (NEGIS)</b></p>	<p>Requirement H.8. - Integration with Esri ArcGIS is included using the POSSE Map Viewer integrated into the POSSE ABC Staff Portal. License locations will be geocoded using NLCCs locator service.</p> <p>Integration with Esri ArcGIS is something that Computronix has done at numerous client sites.</p>
<p><b>Knowledge Management System</b></p>	<p>Integration with a Knowledge Management system has not been included in our proposal.</p> <p>If an external Knowledge Management system is selected, POSSE ABC can support integration through the extensive suite of published APIs.</p>

## 7.E. Data Conversion and Migration

**Describe the strategy and level of involvement for migrating data from the legacy system into the proposed solution.**

### Computronix Response:

Based on the NLCC’s stated intent to convert only active license information, Computronix has included in our fixed price for data conversion is the POSSE ABC Tier 1 – Basic Data Conversion. This includes collaboration on the data mapping exercise as well as reporting any data quality issues the Computronix data conversion process or tool identifies to NLCC. Optionally, Tier 2 – Enhanced Data Conversion can be included at additional cost.

#### POSSE ABC Tier 1 – Basic Data Conversion

- **Core Objects:** Premises, Address, Legal Entities with Corporate Structure
- **Licensing Objects:** Licenses, Brands, Warnings, License Conditions
- **Completed Jobs:** Application Case, Complaint, Inspections with Violations, Case with Violations/Charges
- **Completed permits/approvals/case files:** Migrated to their equivalent in POSSE ABC (e.g., completed applications are converted as a License record).
- **Other data:** Converted as File Notes related to the above record types.
- **Work-in-progress records:** Completed prior to conversion to POSSE ABC or will be manually entered by Agency staff in POSSE ABC.
- **Fees:** Will not auto calculate on converted jobs.

#### POSSE ABC Tier 2 – Enhanced Data Conversion (Optional – not included)

- POSSE ABC Tier 1 – Basic Data Conversion plus
- Work-in-progress records may be converted to a predefined set of workflow states and processes as follows:

Work In Progress Record	Conversion State (POSSE ABC Workflow Status and Task)
License Application	In Review Administrative Review
License Amendment Application	In Review Administrative Review
License Renewal Application	In Review Administrative Review
Reinstatement Application	In Review Administrative Review
Complaint	New Submit Complaint

Work In Progress Record	Conversion State (POSSE ABC Workflow Status and Task)
Inspection	New Assign Inspection
Case	New Enter Case Details In Progress Manage Case
Brand Registration Application	In Review Administrative Review
Brand Registration Renewal	In Review Administrative Review
Brand Registration Amendment	In Review Administrative Review

Computronix has considered the information provided in V.C.2.b.ii – Scope of Data Conversion in the development of the proposed solution.

**This section should also include the following information:**

**1. Description of the methodology to be used in developing migration specifications and the identification of any potential issues**

**Computronix Response:**

Data conversion is a Computronix corporate core competency. Our data conversion experts use several automated tools and techniques that aid in data identification and categorization. Computronix and NLCC will share responsibility for all facets of data conversion including creating a Data Conversion Plan and Data Conversion Mapping document, as well as the transformation of data from the source structures into the destination POSSE ABC structure as defined by the Data Conversion Mapping document.

The following graphic illustrates Computronix’s data conversion process with high-level description of each step provided in the following table.

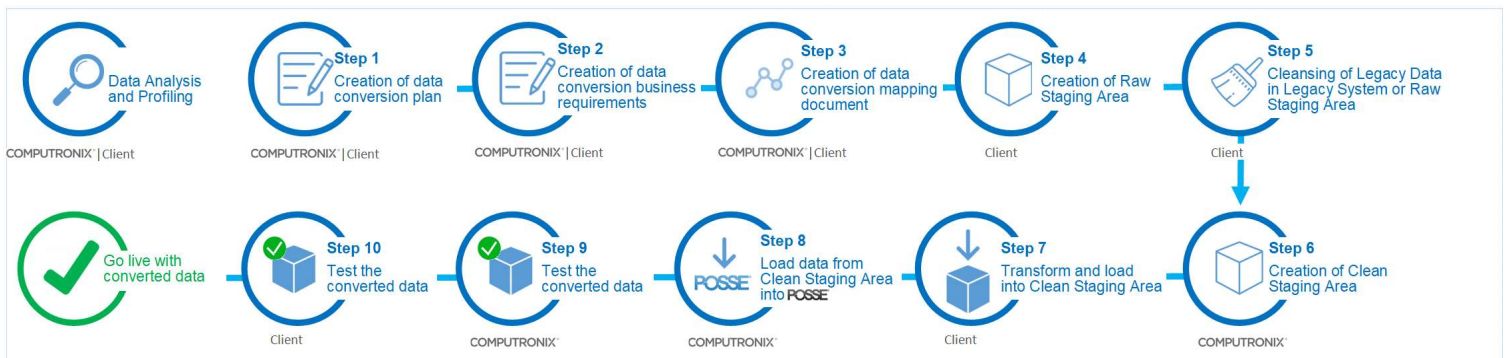


Figure 8. Computronix Data Conversion Process

**Data Conversion Tasks and Responsibilities**

Step	Activity, Task, or Deliverable	Responsibility
n/a	<p><b>Data Analysis/Profiling</b></p> <p>NLCC will perform data analysis/profiling using scripts and/or third-party tools—with support from Computronix—to understand the data in the raw staging area in correspondence with the data conversion mapping. This includes source tables, data volumes, data characteristics to validate what is documented in the data conversion mapping, assessment of unique data values, and what data cleanup may be required. This activity will occur in conjunction with various steps that follow.</p> <ul style="list-style-type: none"> <li>• Data analysis/profiling can be done at various stages of the project as follows:               <ul style="list-style-type: none"> <li>○ by NLCC in the legacy system as they prepare for the project.</li> <li>○ by the NLCC in the legacy system during the fit/gap (e.g., Step 2) as the client is determining what data is going to be converted and during the design (e.g., Step 3) when the mapping document is filled out by the NLCC.</li> <li>○ by NLCC or Computronix in the legacy system or in the Raw Staging Environment while performing data cleansing (e.g., Step 5).</li> <li>○ by Computronix in the Raw Staging Environment or in the Clean Staging Environment while transforming and loading the data (e.g. Steps 5, 7, or 8).</li> </ul> </li> </ul>	NLCC with Computronix support
1	<p><b>Creation of Data Conversion Plan</b></p> <p>The first step in creating the Data Conversion Plan will be a detailed data analysis activity to scope the conversion and cleansing effort. A high-level determination will be made as to which data sources will be relevant to the conversion. The findings will be compiled into the Data Conversion Plan, which Computronix will submit to NLCC for review and approval. Data Conversion Planning is a Computronix responsibility but will require significant NLCC resources familiar with the source systems and data.</p>	Computronix with NLCC support



Step	Activity, Task, or Deliverable	Responsibility
2	<p><b>Creation of Data Conversion Business Requirements document</b></p> <p>The Data Conversion Business Requirements document is prepared and built out by the CX BA during the onsite Requirements/Fit Gap Analysis sessions. It is a document of screenshots from POSSE ABC and the legacy system and fields are mapped from old to new. This makes it much easier to identify fields that are either missing in POSSE ABC or are required in POSSE ABC but not in the legacy system. Some initial data analysis and data mining must occur on the legacy system before and during this time to confirm the assumptions being made regarding the data quality, data types, etc.</p>	Computronix and NLCC
3	<p><b>Data Conversion Mapping</b></p> <p>Creation of a Data Conversion Mapping document that specifies the mapping and transformation between source systems and the new system. Creation of the mapping document is a Computronix responsibility but will require significant input from NLCC resources familiar with the source systems and data. Computronix will supply data conversion mapping templates that include the data fields that are part of the POSSE system with sections NLCC will fill in the necessary legacy fields. Necessary legacy fields are required for display on reports and forms, are needed for interfaces, decision making processes, fee calculations, KPIs or other mission critical business rules. Fields that are in the legacy data that do not meet these criteria will be unnecessary in the future POSSE ABC system and will not be converted.</p>	Computronix with NLCC support
4	<p><b>Creation of Raw Staging Area</b></p> <p>The raw staging area will contain structures designed to contain the data extracted from the source system(s) as defined by the Data Conversion Mapping document. The Raw Staging Area will aid NLCC in creating a clean, consistent copy of the source data all consolidated in one area prior to transformation into the Clean Staging Area. The creation and maintenance of this staging area is NLCC's responsibility.</p>	NLCC
5	<p><b>Cleansing Legacy Data in Legacy System or Raw Staging Area</b></p> <p>Data will be extracted from the various source systems and loaded into the Raw Staging Area. Some data cleansing may occur as part of this step. Extracting source data, cleansing, and loading into the Raw Staging Area is an NLCC responsibility.</p>	NLCC

Step	Activity, Task, or Deliverable	Responsibility
6	<p><b>Creation of Clean Staging Area</b></p> <p>This clean staging area is a set of tables representing the POSSE ABC system. It is generated by the Computronix POSSE Data Conversion tool. The tables in the staging area will have a number of defined integrity constraints that will aid in data cleansing. Upon successful data loading, this staging area will contain cleansed data ready to be loaded into POSSE ABC. The creation and maintenance of this staging area is a Computronix responsibility.</p>	Computronix
7	<p><b>Transform and Load into Clean Staging Area</b></p> <p>This is performed using scripts, commands, and other techniques that transform data stored in the Raw Staging Area into the Clean Staging Area, as documented in the Data Conversion Mapping document. Any errors that result from problems with the scripts or data cleanliness are resolved by NLCC and the transformation re-run.</p>	NLCC with Computronix support
8	<p><b>Load Data from Clean Staging Area to POSSE ABC</b></p> <p>Data will be loaded from the Clean Staging Area into POSSE ABC using the POSSE Data Conversion tool. The execution of the POSSE Data Conversion to move data from the Clean Staging Area into POSSE ABC is a Computronix responsibility.</p> <ul style="list-style-type: none"> <li>• Any errors that result from problems with data cleanliness or correctness will be communicated to and resolved by NLCC.</li> <li>• Any errors that result from problems with the Data Load itself will be resolved by Computronix and the load re-run.</li> <li>• Any errors that result from problems with the validity or cleanliness of the data will be resolved by NLCC.</li> </ul>	Computronix
9	<p><b>Test the Converted Data</b></p> <p>Computronix will test the validity of the converted data within POSSE ABC, focusing on ensuring that invalid or non-conforming data does not impact the correct functioning of the system. Any issues found will be traced back to the step where the issue was introduced and resolved as appropriate by the responsible party.</p>	Computronix
10	<p><b>Test the Converted Data</b></p> <p>NLCC will test the quality of the converted data within POSSE ABC and validate the system meets the requirements using converted data. Any issues found will be traced back to the step where the issue was introduced and resolved as appropriate.</p>	NLCC

Step	Activity, Task, or Deliverable	Responsibility
11	<p><b>Go-Live with the Converted Data</b></p> <p>Upon successful completion of Step 11, data is loaded from the Clean Staging Area into POSSE ABC with the POSSE Data Conversion tool.</p> <ul style="list-style-type: none"> <li>Any errors resulting from problems with data cleanliness or correctness are communicated to and resolved by NLCC.</li> <li>Any errors that result from problems with the Data Load itself are resolved by Computronix and the load re-run.</li> <li>Any errors resulting from problems with validity or cleanliness of data are resolved by NLCC.</li> </ul>	Computronix

All the steps listed are highly iterative throughout each phase of the project with data analysis and profiling conducted throughout the process as warranted based on data quality issues identified through each step. At various stages of each project phase, the full process will be conducted from Step 5 through Step 10 to provide data within the application relevant to the stage of the project phase. The proposed project schedule refers to these activities as Data Conversion Runs. These runs typically are done during Stage 2: Initial Configuration, Installation, & Orientation, Stage 4: Configuration/Gap Closure, Stage 5: Pre-UAT Training & UAT, and of course as part of the phase go-live activities in Stage 6: End User Training & Implementation. At each stage in each project phase, data quality is assessed and incorporated into the process for the next iteration.

**2. Description of any constraints and risks associated with data migration for this project and how the Bidder will address these to ensure a successful migration**

**Computronix Response:**

See Computronix response to Question 1.

**3. Technology and tools to be used**

**Computronix Response:**

Computronix uses our own time-saving POSSE data conversion tool that performs the following functions:

- Oracle table generation that matches the configuration layout/data model in the POSSE ABC configuration. This creates a staging area to load data from other sources.
- Standard Oracle tools and scripts are used to convert data into these tables.
- The data conversion tool then converts the data into POSSE ABC.

The data can be manipulated either before or after loading into the clean staging area. The clean staging tables include a number of constraints that ensure data and relationship (i.e., referential) integrity. The constraints can be disabled during loading and manipulation; however, they must be enabled before loading into POSSE ABC. Once the data is loaded into the staging tables and all constraints are satisfied, the process starts to load all the data into POSSE ABC's underlying data structure.

Computronix is also evaluating the use of an industry standard ETL tool in another project which will likely be leveraged for use during the NLCC implementation project.

#### **4. Roles and responsibilities of Bidder vs. NLCC**

##### **Computronix Response:**

See Computronix response to Question 1.

#### **5. Any iterative data migration proposed, including proposed number of mock runs for data migration**

##### **Computronix Response:**

See Computronix response to Question 1.

#### **6. Bidder should describe anticipated work sessions with NLCC staff to validate and test the migration**

##### **Computronix Response:**

See Computronix response to Question 1.

#### **7. Describe Bidder's experience migrating data from mainframe sources, including identifying any proposed staff that has experience in this area.**

##### **Computronix Response:**

Computronix has identified Kudzai Mboko as the Technical Lead for the proposed implementation project. All our technical leads are well versed in the Computronix Data Conversion Methodology as described in response to Question 1. Many of our past implementation projects have migrated data from mainframe sources, and Computronix expects to work collaboratively with NLCC through the data conversion responsibilities as outlined in response to Question 1.

## 7.F. Reporting

**Describe the reporting solution to support NLCC reporting requirements, data analysis, and business intelligence.**

### Computronix Response:

Reporting capabilities allow users to integrate a wide variety of reports in POSSE ABC, from simple fixed-information reports such as forms and form letters, or permits and licenses, to more complex reports such as reports for tracking business process completion and making revenue projections. Reports can include standard headers, footers, logos, and other template information. Reports can summarize and/or compare data that resides both internally and externally in the system. POSSE ABC features the concept of a user-maintained list of Regions via the Administration website. Each License is identified to exist in a specific region and this can then be used for reporting on licensing and compliance trends.

Embedded operational reports (licenses, notification letters, receipts, etc.) are developed and integrated with POSSE ABC job types using POSSE's embedded reporting tool (POSSE Xtra Reports). Embedded reports can be seamlessly integrated with the POSSE reporting menus and security structure.

POSSE ABC includes a data dictionary for the POSSE ABC Reporting Datamart structure that is provided with the solution. This is provided in Excel format and is maintained through the implementation project with any NLCC specific configuration changes.

POSSE ABC includes several pre-configured reports including:

- Brand Registration Reports
  - Brands Registered Summary (product report – not modified)
  - Batch Renewal Notification Total Brands (product report – not modified)
  - Batch Renewal Brand Notification Letter (configured for NLCC)
- Licensing Reports
  - License Certificate (configured for NLCC)
  - Batch Renewal Notification Letter (configured for NLCC)
  - Batch Renewal Second Notification Letter (configured for NLCC)
  - Batch Renewal Notification Email List (product report – not modified)

- Management Reports
  - Average Inspections By Month (product report – not modified)
  - Licenses By Region (product report – not modified)
  - Total Inspections (product report – not modified)
  - Workload (product report – not modified)
- Finance Management Reports
  - Daily Close (product report – not modified)
  - Deposit Disbursement (product report – not modified)
  - G/L Detail (product report – not modified)
  - Revenue (product report – not modified)
- Common Finance Reports
  - Receipt (configured for NLCC)
  - Deposit Slip (configured for NLCC)
- NLCC Specific Reports
  - Show Cause Letter (configured for NLCC based on Appendix A.G. 29, 30, 53)

Computronix has considered the information provided in V.A.1. – Introduction and V.B.1 – Current State Overview in the development of the proposed solution.

**This section should also include the following information:**

**1. Design approach and methodology for reporting and analysis**

**2. Development approach and methodology for reporting and analysis**

#### **Computronix Response:**

For those reports which are configured for NLCC during the implementation project, reporting requirements are discussed and taken into consideration for the layout and data sources for fields required on these reports and system-generated documents during the Fit/Gap analysis stage of the implementation project. Reporting requirements are discussed relating to any in-scope functionality being implemented. Where applicable new data elements configured for NLCC will be documented and determination made on if the fields are to be included in the POSSE ABC Reporting Datamart.

**3. Relevant technology, tools, and capabilities of proposed solution**

**Computronix Response:**

POSSE ABC offers a variety of ways to generate reports, letters, and other printed output:

- POSSE XtraReports:** Using the award-winning DevXpress XtraReports technology, POSSE XtraReports offers the capability to create detailed, highly customizable reports based on the NLCC’s reporting requirements. It includes a stand-alone report designer and allows for reports to be integrated with the end user application by registering them in Stage (POSSE Configuration tool).

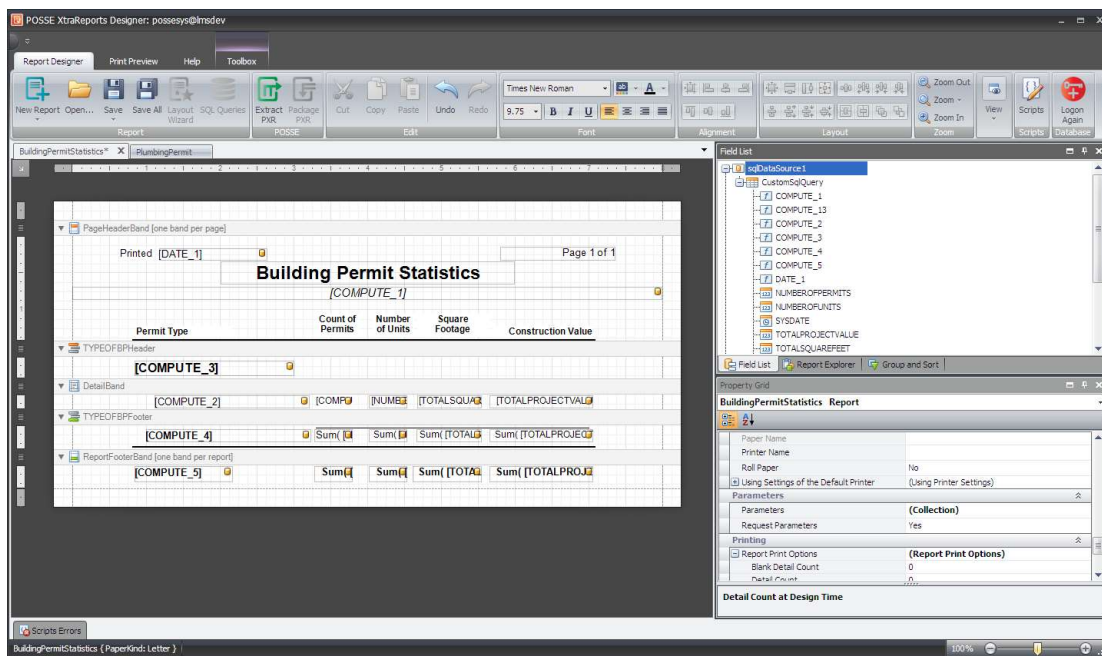


Figure 9. POSSE XtraReports enables easy, customizable report creation

- Microsoft Word:** NLCC can leverage existing Microsoft Word letters and document templates easily using POSSE ABC’s Microsoft Word Merge functions. POSSE will populate required fields and apply stored, secured electronic signatures if required. Documents are fully editable, as per standard Word features and functions.
- POSSE Ad Hoc:** The POSSE Ad Hoc Reporting Tool enables business users to easily create reports on the fly. POSSE Ad Hoc is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance reporting visualization. Dashboard widgets can use drill-down and direct-linking linking features to connect your reporting data directly to the corresponding item in the POSSE system.

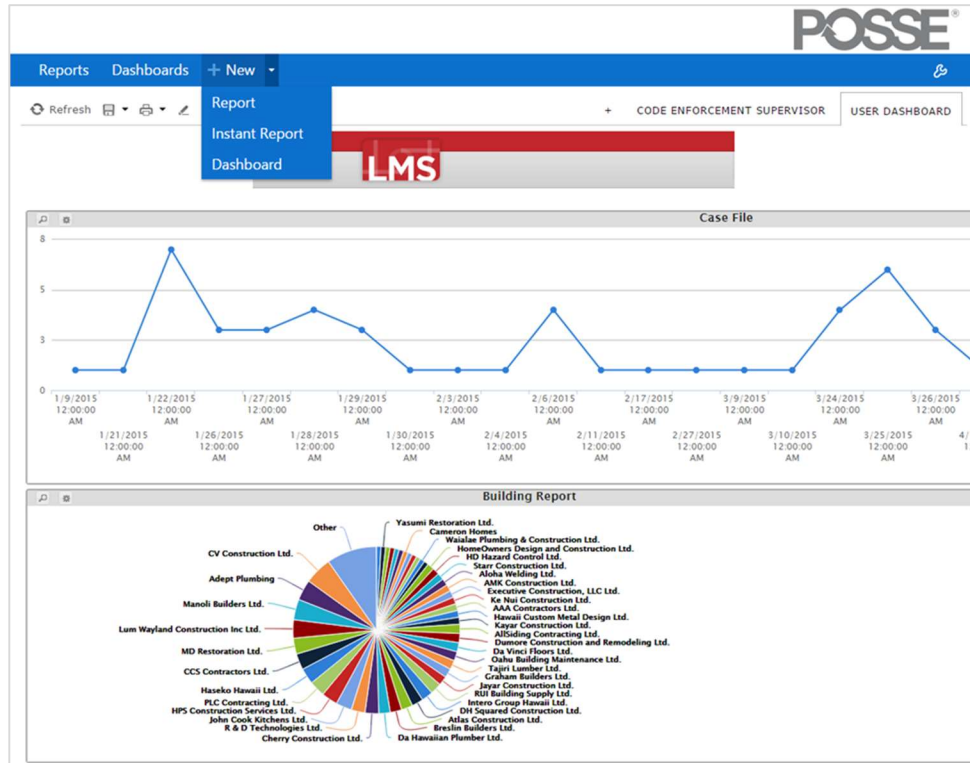


Figure 10. POSSE Ad-Hoc enables rapid report creation through intuitive tools

- **Export to Excel:** The POSSE ABC Staff Portal offers an Export to Excel function to move data or search results quickly into this standard desktop spreadsheet tool.

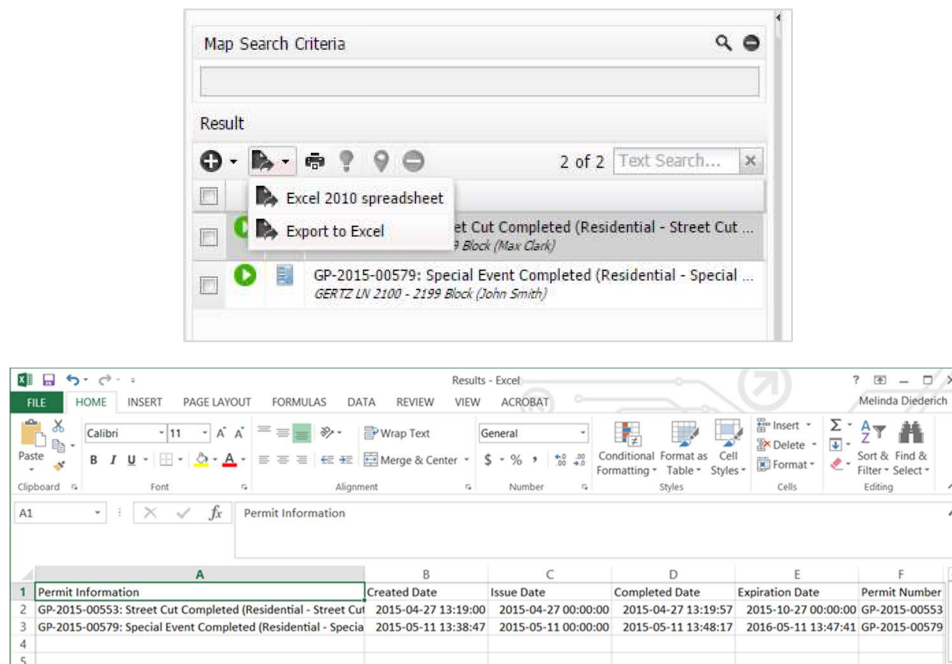


Figure 11. "Save as Excel" creates an Excel document with the search results.



**4. Methodology for estimating level of effort for reports of low, medium and high complexity and how that will inform project implementation planning decisions****Computronix Response:**

Computronix has years of experience in estimating and developing various complexities of reports. Here are the report complexity definitions:

Simple complexity for Operational Report (examples):

- Up to 10 fields populated from the database.
- No embedded tables or Lists.
- Values populated on the reports must already exist either on the job or related object.

Standard complexity for Operational Report (examples):

- 10 to 20 fields populated from the database.
- No embedded tables or Lists.
- Values populated on the reports must already exist either on the job or related object.

High complexity for Operational Report (examples):

- 20+ fields populated from the database.
- Contains an embedded table (1) or list (1).
- Each additional embedded table or lists will increase the overall cost of a report.

Simple complexity for Data Delivery for Word Templates (examples):

- Up to 10 fields populated from the database.

Standard complexity for Data Delivery for Word Templates (examples):

- 10 to 20 fields populated from the database.

High complexity for Data Delivery for Word Templates (examples):

- 20+ fields populated from the database.

**5. Ability to support ad-hoc reporting and for non-technical personnel to easily create reports as needed****Computronix Response:**

As stated in Computronix response to Question 3, the POSSE Ad Hoc Reporting tool is included in our proposal to allow for comprehensive ad-hoc reporting for NLCC.

**6. Ability to make public data available through the online portal for searching**

**Computronix Response:**

The POSSE ABC Customer Portal includes pre-configured searches for Licenses and registered Brands. Additional searches can be configured as applicable to specific online search requirements and our responses in Appendix A – CAMP Functional Requirements.

## 7.G. Hosting

**Describe the proposed hosting environment, including experience hosting other customers in that environment.**

### Computronix Response:

Computronix offers single-tenant Cloud solutions with hosting, infrastructure, data centers, and servers located in the United States. Our Computronix Managed Services (hosting) rely on an established, proven relationship with Microsoft Azure.

For many years Computronix has been a certified a Microsoft Gold Partner. Computronix maintains competencies in the following:

- Cloud Platform
- DevOps
- Application Development

Computronix has two ways to secure support from Azure:

- **Gold Partner Support:** Through our partnership, we have access to access to direct Microsoft support:
- **CSP Partner Ingram Micro:** We purchase our customer Azure resources through Ingram Micro's CSP program. Through this program we have access to Ingram Micro's dedicated Azure support resources. Ingram Micro also can escalate to Microsoft.

We further articulate the System Hosting and Infrastructure services Computronix will provide in the Hosting Service Level Agreement (SLA) template. A copy of this Agreement template has been provided in Exhibit B – Hosting Service Level Agreement and POSSE Software License Agreement. The SLA incorporates established Microsoft Azure compliance commitments and methodologies with numerous federal data security and data privacy standards. More information about Azure is available at: <https://azure.microsoft.com/en-us/overview/>.

Computronix has provided cloud hosting services for several years and is currently hosting POSSE systems for many of our clients in our POSSE Cloud infrastructure.

**The Bidder must propose a Cloud (Hosted / Software-as-a-Service) deployment model. The Bidder is required to partner with the necessary suppliers as part of this RFP to support the Cloud deployment model. Similarly, the Bidder shall clearly identify all of the recommended hardware and software requirements, including hardware sizing and software versions. The Bidder's proposal must provide information that can be used by NLCC to evaluate the Bidder's knowledge of and intended approach to provide Hosting services.**

#### **Computronix Response:**

Computronix is a Microsoft Gold Partner and relies on Microsoft Azure data centers and infrastructure for delivery of a cloud hosted solution for NLCC.

Microsoft Azure is fully compliant with government hosting standards and offers the broadest portfolio of certifications in the industry. Azure has received FedRAMP P-ATO at the High Impact Level and ISO 27001-2013 certification. It is audited under the SSAE 16/ISAE 3402 SOC 1 and SOC 2 standards. Azure Cloud services adopt the uniform international code of practice for cloud privacy and data protection, ISO/IEC 27018, which provides guidelines for protection of personally identifiable information.

Computronix has sensors and workflows in place to detect system issues as they occur (with 24 x 7 x 365 availability) and to automatically notify Computronix staff to respond immediately. Once NLCC's Hosting services are activated in a production environment, Computronix provides Monthly Uptime reports detailing System performance.

In architecting the POSSE Cloud environments, we recognize the potential for systems to be impacted by a variety of factors and clients must be able to continue working when this happens. To address this, POSSE Cloud environments have been designed with redundancy for data and servers. This is further supplemented by running client systems on Highly Available virtual clusters where loads can be dynamically moved to different hosts within the cluster with no impact to active client activities. Further, each cluster is built with enough excess capacity so that any host can be down, and the remaining hosts have enough reserve to continue operating without client impact.

**This information must include, but is not limited to the following:**

**1. Describe the method for continuous monitoring and management to optimize performance and system availability.**

#### **Computronix Response:**

Computronix utilizes an automated SIEM system that actively monitors all logs and provides alerting to technical staff when issues are encountered. The Computronix SIEM system actively and heuristically monitors all logs and provides alerts to technical staff when security issues (e.g., large occurrences of failed logins, login attempts from off-shore IPs) are encountered.

Computronix also includes extensive logging of over 1,000 different data points relative to server and application performance using a third-party monitoring tool such as PTRG (i.e., <https://www.paessler.com/prtg>). This monitoring includes, but is not limited to, network traffic, disk IO, disk free space, memory usage and CPU usage. When an abnormality is detected, Computronix technical support staff are alerted, and actions are taken to resolve the alert/issue relative to the alert being raised.

Performance benchmarking is done with every major release and a white paper on this benchmarking can be provided during the implementation project.

## 2. Describe how the bidder defines and calculates system and support availability.

### Computronix Response:

Per the Computronix Hosting Service Level Agreement, Computronix is committed to providing Production Hosting Services availability for 99.9% uptime, excluding scheduled maintenance windows.

Computronix support is available 24x7x365 via portal or email. We offer 24x7 support for Critical Issues. For all other issues, our Help Desk is staffed to provide coverage within SLA-specified response times during core business hours.

Computronix proposes a four-tier Help Desk structure to fulfill the system requirements and to ensure the overall solution continues to run smoothly:

- **Tier 1 Help Desk:** Computronix will train designated NLCC support staff in system administration and support. We expect your trained support staff to provide front-line Tier 1 support to end-users.
- **Tier 2–Tier 3 Product Support:** As a result of an issue reported by NLCC’s Tier 1 Help Desk, a new incident will be created in our online Product Support Issues tracking system, recording time, date, caller, issue, and related details. A priority is assigned to each incident. The incident is assigned a unique identifier, which we communicate to the caller, either during the call or electronically. Each incident is routed to appropriate Computronix Product Support staff for resolution, based on training, experience, and level of severity. The logging system will automatically track the status of outstanding incidents to ensure assigned resources remain focused and properly prioritized. Status reporting is maintained with the person who originally logged the incident, either by phone or electronically. Once the issue is resolved, the closing details and outcome are recorded.
- **Tier 4 Product Support:** The highest tier represents the assistance of Computronix Product Development and/or Product Support teams. In the rare event additional assistance is required for issue resolution, the software developers themselves are brought in to assist.

As described in Exhibit C – POSSE Annual Product Support Agreement, support issues are categorized as in the table below, with corresponding response times.

SEVERITY	DEFINITION	RESPONSE TIME	RESOLUTION PROCESS
<b>Critical</b>	Client site is down. Major impact to operations of client site.	< 15 min.	Immediate and ongoing effort, with daily reporting to client until the correcting release is issued or a work-around is provided.
<b>High</b>	Major impairment of at least one important function at client site. Operations at client site are impacted.	< 1 hour	Proceed with fix as high priority work (with client informed of identified target date for release as well as regular progress reports) until the new release is issued or a workaround is provided.
<b>Medium</b>	Client Operations not significantly impacted. One or more minor client functions not working.	< 4 hours	Proceed with fix as medium priority work, with client informed of identified target date for release.
<b>Low</b>	Minor usability irritations.	< 2 working days	Proceed with fix as low priority work.

**3. The system availability requirement is to achieve 99.9% (or higher) availability. Include information on uptime validation and system restores.**

**Computronix Response:**

Computronix Hosting SLA commits to system availability of 99.9% or higher as stated in response to Question 2. Production system uptime is reported by Computronix on a monthly basis.

In the event of a catastrophic failure at the primary Hosting Services Site, as identified by the Computronix, Computronix will ensure availability of Production Hosting Services in a secondary Hosting Services Site with a Recovery Time Objective of two (2) business days and a Recovery Point Objective of four (4) hours, and coordinate efforts with NLCC to promptly reroute NLCC access and networking for primary system interfaces to the secondary Site.

The secondary Hosting Services Site will be at a Microsoft Azure data center located within the same country a minimum of 150 miles from the primary Hosting Services Site and will adhere to the NIST 800-53 Moderate standard for data centers.

Computronix will independently conduct disaster recovery testing once per year.

**4. Based on experience with hosted systems for regulatory agencies similar to NLCC, propose a range of severity levels and commensurate response times related to performance issues, incidents and loss of service.**

**Computronix Response:**

Please refer to Computronix response to Question 2.

**5. Describe the options available for NLCC to monitor uptime of the system.**

**Computronix Response:**

As Computronix is providing the hosting services, Computronix is responsible for monitoring system uptime as described in response to question 1. Computronix will provide a monthly report of the system uptime to NLCC.

**6. Describe physical and data security practices for hosted systems and data.**

**Computronix Response:**

Computronix internal security policies and procedures are based on NIST 800-53 Rev. 4 and Computronix will ensure security incidents are handled in accordance with NIST 800-53 IR-1 through IR-9 as documented in the Computronix Security Incident Response Procedure.

**PHYSICAL SECURITY**

Microsoft Azure implements this requirement on behalf of customers. Access to an Azure datacenter must be approved by a datacenter management team through the datacenter access tool. On a quarterly basis, the datacenter management team for each datacenter is required to perform an appropriateness review of the personnel with authorized access to their datacenter. The team determines the access changes to be made and communicates a request to security to have the changes performed. In between quarterly access reviews, procedures support the least privileges principle by requiring access assignments to require an end date. After the end date is reached, access is automatically removed. Additionally, when access is no longer required, it is the standard procedure for security officers at the datacenter or the datacenter management team to manually request the termination of access.

Microsoft Azure datacenters use an authoritative source listing all personnel with authorized access to a specific datacenter. This is linked with the datacenter's physical security access control devices and authorizes access based on access levels that are approved by a datacenter management team. Access levels are assigned to either a user's Microsoft issued badge or a temporary access badge that is assigned at the datacenter. Besides credentials assigned to physical badges, some areas of datacenter require two-factor authentication employing the user's biometric data (hand geometry or fingerprint) as well as badge authentication to gain authorized entry.

The physical security team and datacenter management team conducts a quarterly access review of the access control list in order to remove/update individual access as necessary. Terminations are handled immediately through the termination process.

Microsoft Azure's physical security team and data center team conduct a quarterly review of the access control list in order to remove/update individual access as necessary. Terminations are handled immediately through a standardized termination process.

Microsoft Azure enforces physical access authorizations for all physical access points to Azure datacenters. The exteriors of the datacenter buildings are non-descript and do not advertise that they are Microsoft datacenters. Microsoft Azure enforces physical access authorizations for all physical access points to Azure datacenters using 24x7 staffing, alarms, video surveillance, multifactor authentication, and man-trap portal devices.

- All accesses to Azure datacenter facilities are logged and audited.
- Azure datacenters do not contain areas that are designated as publicly accessible.
- All visitors that have approved access to the datacenter are designated as “Escort Only” on their badges or through other visual cue (e.g., colored badges) and are required to remain with their escorts at all times. Escorted visitors do not have any access levels granted to them and can only travel on the access of their escorts. Escorts monitor all activities of their visitor while in the datacenter.
- Physical keys and temporary access badges are secured within the security operations center (SOC). Temporary access badges are stored within the access-controlled SOC and inventoried at the beginning and end of each shift. Security officers are staffed 24x7. Physical keys are stored in an electronic key management system. Keys are checked out to specific personnel by matching the person’s access badge to the physical key. A person must have the appropriate access level to check out specific keys. Key inventories are conducted during each shift and keys are not allowed to be taken offsite.
- Physical access devices within Azure datacenters are inventoried on at least an annual basis. Keys and temporary access badges are inventoried multiple times a day at the beginning of each shift. Access badge readers and similar access devices are linked to the physical security system where status is continuously represented.
- Microsoft Azure datacenters have procedures to implement in cases when an access badge or key is lost, or a person is terminated or transferred. In the event of a termination or transfer, the person’s access is immediately removed from the system and their access badge removed. This removes any datacenter access the person may have had. Quarterly access reviews validate the appropriateness of the datacenter access list.



- Microsoft Azure has implemented access control for transmission medium through the design and building of the Main Distribution Frame (MDF) rooms and colocations to protect information system distribution and transmission lines from accidental damage, disruption, and physical tampering. Access to MDF rooms and colocations require two factor authentication (access badge and biometrics). This ensures that access is restricted to only authorized personnel. Within the MDF, transmission and distribution lines are protected from accidental damage, disruption, and physical tampering through the use of metal conduits, locked racks, cages, or cable trays.
- Microsoft Azure datacenters do not have output devices (monitors, printers, audio devices, etc.) permanently connected to Azure assets or Azure shared assets. In addition to not having output devices, security officers perform physical walkthroughs of the facility multiple times per shift checking for items like doors being locked and racks being secured. Datacenter access is limited to people who have approved access authorizations. Colocations require two-factor authentication (access badge and biometrics) to gain access.
- Physical access is monitored by implementing security devices and processes at the datacenters. Examples include 24x7 electronic monitoring of access control, alarm and video systems as well as 24x7 on site security patrols of the facility and grounds. A Control Room Supervisor is located in the SOC at all times to provide monitoring of physical access in the datacenter.
- Physical access logs are reviewed continuously and maintained for subsequent investigative review.
- Security events that occur within the datacenter are documented by a Microsoft Azure security team in a report. Reports capture the details of a security event and are required to be documented after an event occurs in order to capture details as accurately as possible.
- In the event an incident impacts Microsoft Azure assets or services, procedures are in place to respond to such incidents. For incidents requiring government notification, Microsoft Azure will coordinate with the major application team (e.g., O365) to notify the government agency customer, US CERT, and FedRAMP within US-CERT guidelines.
- In addition to the 24x7 onsite security, Azure datacenters (leased and fully-managed) also utilize alarm monitoring systems. This provides real-time alarm and video monitoring. Alarms are monitored and responded to by the Control Room Supervisor stationed 24x7 in the SOC. During a response situation, the Control Room Supervisor utilizes cameras in the area of the incident being investigated to give the responder real-time information.

- Visitor datacenter access records are maintained in a tool with the forms of approved requests. Requests can only be approved by the appropriate team. All visitor access requests to Azure datacenters is recorded in the tool and is available for future possible investigations. Visitors are required to be escorted at all times and are not granted any access to Azure datacenters. The escort's access within the datacenter is logged and if necessary can be correlated to the visitor for future review.
- Visitors with an approved access request will have their access request reviewed at the time their identification is verified against a form of government issued ID or Microsoft issued badge. Visitors are escorted at all times while at the datacenter. Visitors approved for escorted access are issued a self-expiring sticky badge. Additionally, when a visitor concludes their visit by returning their sticky badge to the CRS, the CRS terminates the visitor's access record during a final review.
- Microsoft Azure provides protective spaces and appropriate labeling for cables. Azure infrastructure equipment—for example, cables, electrical lines, and backup generators—must be placed in environments which have been engineered to be protected from environmental risks such as theft, fire, explosives, smoke, water, dust, vibration, earthquake, harmful chemicals, electrical interference, power outages, electrical disturbances (spikes). All portable online services' assets (e.g., racks, servers, network devices) must be locked or fastened in place in order to provide protection against theft or movement damage.
- Power and information system cables within any Azure environment are labeled appropriately and protected against interception or damage. Power and information system cables are separated from each other at all points within an environment to avoid interference.
- Microsoft Azure has installed Emergency Power Off (EPO) Buttons in locations within the datacenter as required by local fire code. In some Azure-managed datacenters, the datacenter design no longer requires EPO buttons.
- EPO buttons are strategically placed to allow for activation in emergency situations. EPO buttons can be placed in the colocations, manned Facilities Operation Centers (FOCs), or as required by local fire code. In some Azure datacenters, the datacenter design no longer requires EPO buttons.
- To prevent accidental activation, EPO buttons may have a protective enclosure, require dual activation, or utilize an audible alarm as a warning before activation. Additionally, EPO buttons are under video surveillance. In some Azure datacenters, the datacenter design no longer requires EPO buttons.
- Microsoft Azure has implemented emergency power by protecting datacenter equipment and circuits with an Uninterruptable Power Supply (UPS) system which provides a short-term power supply to provide power until generators are able to come online.

- Microsoft Azure datacenters (leased and fully managed) implement emergency lighting in the form of overhead emergency lighting on dedicated circuits backed up by UPS and generator systems (See PE-11). Automatic emergency lighting is implemented along all evacuation routes, emergency exits, and inside the colocations in accordance with the National Fire and Protection Association (NFPA) Life Safety Code. In the event that utility power is lost, the emergency lighting will automatically switch to power provided by the UPS and generator systems. The emergency lighting systems within Microsoft Azure datacenters undergo routine maintenance to ensure that they remain in proper working order.
- Microsoft Azure has implemented fire protection by installing fire detection and fire suppression systems at the Azure datacenters. Azure datacenters implement robust fire detection mechanisms. Fire detection/suppression and emergency lighting systems are wired into the datacenter UPS and generator systems providing for a redundant power source.
- In the event that one of the fire suppression systems is activated at the datacenter, the local fire department is automatically notified through the fire alarm system. In addition, the fire protection and fire detection systems are tied into the security system notifying the local facility and security staff.
- Microsoft Azure maintains the temperature and humidity levels in accordance with American Society of Heating, Refrigerating and Air-conditioning Engineers (ASHRAE) guidelines. The temperature and humidity levels are monitored continuously by the datacenter's Building Management System (BMS).
- Microsoft Azure datacenters implement temperature and humidity level continuous monitoring through building monitoring systems. CE team members monitor the systems from an operations center, so that they can manage the temperature and humidity within the datacenter before any alarm points are exceeded. The system is configured with a number of notification points.
- Microsoft Azure provides water/leak detection in areas with a risk of water leakage (e.g. Air Handlers Units). Fire suppression systems also have leak detection alarms that are monitored. The water/leak detection system is integrated with the facility alarm and notification system. The sprinkler systems in the datacenters are zoned. The CE team and datacenter teams are familiar with emergency procedures requiring the use of the water shutoff valves and their locations. The sprinkler risers have the ability to be shut off individually or as a group via gate valves. All sprinklers in the critical space are double interlock pre-action type sprinklers that require two forms of activation before flow is initiated. The pressure of the sprinkler system is monitored and alarmed against water leakage.

- Azure implements strict enforcement of what is allowed to enter and exit the datacenter. All system components/assets are tracked in the asset management tool database. Digital media within Azure Government is not allowed to be transported from the Azure Government colocation unless it is being destroyed.

**7. Based on experience, describe recommended schedules for regular back-up of standard file systems including but not limited to:**

**8. Weekly full back-ups**

**9. Daily incremental back-ups**

**10. Off-site storage**

### Computronix Response:

#### Redundancy

In architecting the POSSE Cloud environments, Computronix recognized that systems may fail due to a variety of factors and clients must be able to continue working when this happens. To deal with this reality, POSSE Cloud environments have been designed with redundancy for data and servers. This is further supplemented by running client systems on Highly Available virtual clusters where loads can be dynamically moved to different hosts within the cluster with no impact to active client activities. Further, each cluster is built with enough excess capacity so that any host can be down, and the remaining hosts have sufficient reserve to continue operating without client impact.

#### Data Backup

Data stored as part of POSSE Cloud agreements belongs to NLCC and safekeeping of that data is critical to NLCC's operation. The backup architecture implemented by Computronix for this purpose aligns with the industry standard 3-2-1 backup strategy: at least three distinct copies of the data, two of which are on different local devices, and at least one copy in a remote disaster recovery site.

The following is a summary of how Computronix has implemented data backup:

1. The POSSE Oracle database is at the heart of the POSSE ABC solution and contains all of the non-document data and all of the configuration metadata. Backing up the POSSE database will secure all of the non-document business data and all of the configuration metadata.
  - a. All completed update operations on the database (inserting data, changing data, deleting data) are logged to the Oracle log. Note, to reduce the risk of data loss, three independent copies on separate disks of the logs are used.
  - b. At least once every 60 minutes, this log is archived to disk and replicated to the disaster recovery environment. Note, to reduce the risk of data loss, two independent copies on separate disks are made.

- c. At least daily, the industry standard utility for backing up Oracle (RMAN) is used to create backups on a separate disk on the client dedicated Oracle server.
  - d. In addition, Computronix performs a file level backup of the Oracle server several times per day to capture the archived logs and the RMAN backups into the local backup system.
2. The POSSE Alternate Document Datastore (PADD) is a repository for older, less frequently accessed documents. In addition to being backed up locally at the same frequency as production Oracle database, it is replicated to the disaster recovery environment with the same frequency as the production Oracle database.
  3. As the other client specific servers do not store data, they are backed up at least daily.
  4. As it is critical that backups are tested on a regular basis, Computronix does at least a yearly check of the data in the disaster recovery environment.
  5. In recognition of the potential for system failure, Computronix has two independent groups (Infrastructure and DBA Services) do at least daily review of backups to provide critical early detection and remediation of any backup issues.

The following diagram depicts the architecture for data backup:

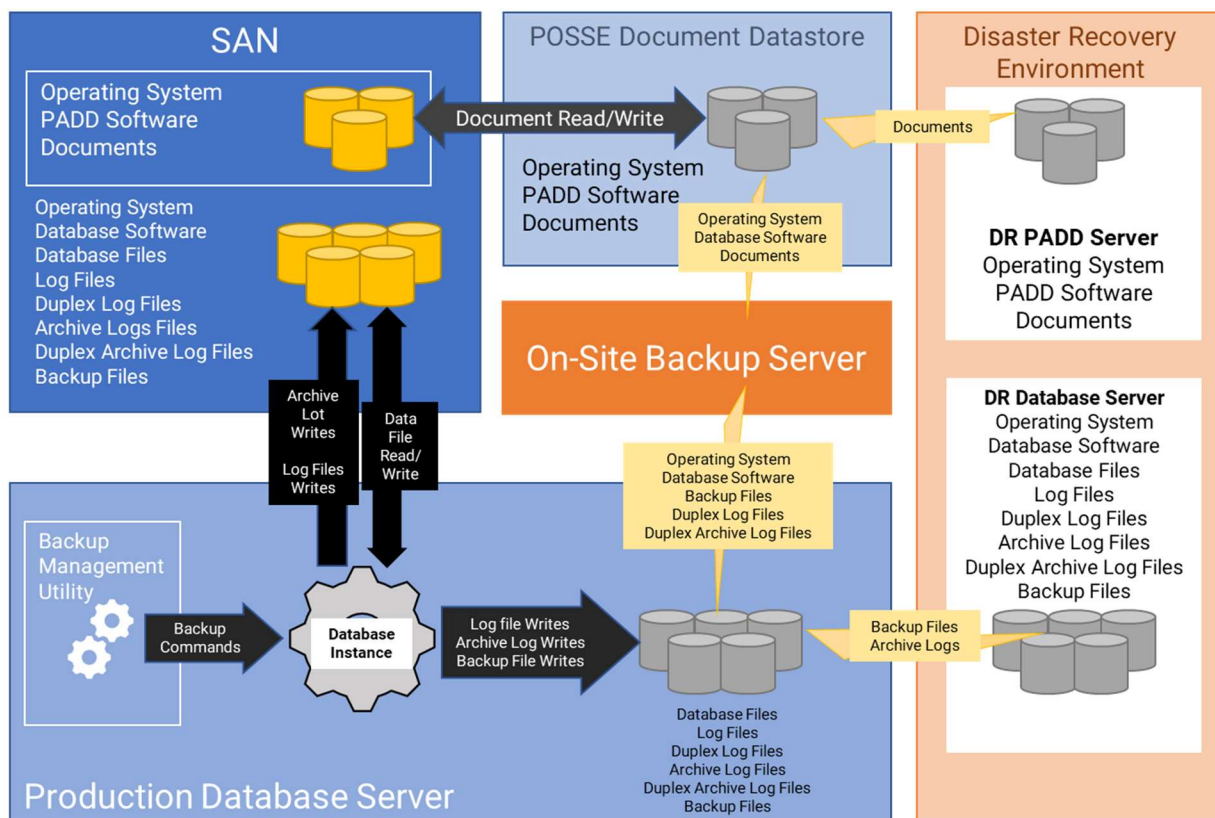


Figure 12. POSSE Data Backup Architecture

**11. Describe redundancy strategy and restoral procedures, including process to transfer to secondary location.****Computronix Response:**

Ensuring continuity in client operations in the event of the loss of the primary hosting site is a key provision within POSSE Cloud agreements. Each client is provided with a geographically distinct disaster recovery environment in a Microsoft Azure data center located at least 150 miles from the primary hosting site. Computronix currently maintains critical infrastructure and application configuration in both the primary and recovery environments and replicates all production data stored in the primary environment to the recovery environment on a daily basis (actual replication occurs many times per day to ensure that the recovery point for client data does not exceed four hours).

In the event of a catastrophic failure at the primary hosting site, Computronix would coordinate efforts with the client's staff to reroute client access and networking for primary system interfaces to the disaster recovery environment. In this process, Computronix would ensure that all security compliance and system performance requirements are maintained in the disaster recovery environment so that the client can maintain continuity in conducting its business functions following the recovery process. Computronix also conducts periodic testing (yearly at minimum) to ensure that production data in the disaster recovery environment can effectively be recovered in a timely manner were a disaster to occur.

**12. Describe communication and escalation procedures related to incident identification and resolution.****Computronix Response:**

- As part of the Security Awareness Training for all Computronix staff accessing the POSSE Cloud environments, training is provided on Incident Response Procedure.
- Incident Response is tested at least annually.
- Web Application Firewalls will block suspicious traffic into the hosting environment.
- SIEM utilizes Machine Learning to categorize and analyze log information with automatic alerting.
- Incident handling is coordinated with contingency planning.
- All incidents are recorded in our Issue Tracking system.
- Per our Incident Response procedure, the Security Office is notified of all incidents. If customer data is involved, notification is provided to the customer with the expectation that they will work cooperatively with Computronix and ensure that their Incident Response Procedures are followed.

- In the case of customer data, customer participation is expected in the Incident Response procedure.
- Direct cooperative relation established and procedures in place including participation from Microsoft Azure, and, if customer data is suspected of being accessed, the customer's incident response team.
- Computronix has a standard incident response plan that is followed for all environments. This plan is shared with customers.
- All systems within the POSSE Cloud environment are architected and implemented to support confidential information. All data spillage is treated as a Security Incident and Incident Response Procedure is followed.

**NLCC Responsibilities:**

- Creation and maintenance of Incident Response procedure and participation in Computronix Incident Response when called upon.

**13. Describe the approach to applications management in areas including, but not limited to:**

**I. Service package management**

**Computronix Response:**

Please refer to Computronix response to question 14.

**II. Application server management**

**Computronix Response:**

Please refer to Computronix response to question 20.

**III. Monitoring and reporting on application processes**

**Computronix Response:**

Please refer to Computronix response to question 1.

**14. Provide information on frequency of upgrades and point releases and the process by which they are tested and rolled out with no, or minimal, disruption to the client.**

**Computronix Response:**

Computronix includes installation of all POSSE ABC point, maintenance, and patch releases for the NLCC (see definitions below) as part of our POSSE ABC Cloud offering. Major version releases typically occur every five to seven years and are coordinated separately with the client.

POSSE ABC software upgrades follow commercial software industry protocols and standards and utilize a well-defined major/minor numbering scheme, which also defines the types of software releases.

For example, for POSSE ABC Version 7.4.2.1:

7 = Version number: Versions will be released with an expected frequency of once every five to seven years. A site must be able to upgrade their Production database over a long weekend and may require the installation of a new release of third-party products.

4 = Release number: Releases are expected to occur with a frequency of once every 12 to 18 months. A site must be able to upgrade their Production database over a weekend and may require the installation of a new release of third-party products.

2 = Maintenance number: Maintenance releases are expected to occur at a frequency of once every three to six months. A site must be able to upgrade their Production database overnight. Every attempt will be made to not require changes in third party products. A new Maintenance release collects together all the Patch releases developed since the last Maintenance release.

1 = Patch number: Patch releases are expected to occur at a frequency of once every two to eight weeks. A site must be able to upgrade their Production database in less than one hour. No changes are required in third party products. The installation of a Patch release includes all prior Patch releases for the current Maintenance release.

**15. Describe the process for upgrading your system software (e.g., annual upgrades, etc.).**

**Computronix Response:**

Included in our proposed annual SaaS Hosting subscription is a commitment that Computronix staff will install and apply POSSE and Oracle software updates (exception: major POSSE and/or Oracle releases) on a 24-month upgrade cycle. This includes the installation of quarterly Oracle security updates and patches for worry-free security administration of the System.

The timing of POSSE upgrades will be coordinated with NLCC.

**16. Describe each of bidder's change management, upgrade and patch management policies.**

**Computronix Response:**

Computronix expects changes to occur throughout the natural course of any project, and NLCC's project is no exception. Therefore, Computronix employs a well-defined change control process to efficiently handle project changes, modifications, and new workflows NLCC requires. Computronix has provided further detail regarding change management and organizational change management under sections 8E. and 8H respectively of this proposal.

Please refer to Computronix response to Questions 14 and 15 for upgrade and patch management.



**17. Describe bidder's identity management and help desk procedures for authenticating callers and resetting access controls, as well as establishing and deleting accounts (if that is part of its service).**

**Computronix Response:**

For Computronix help desk and POSSE ABC User Group website access, client contacts are confirmed by the dedicated Account Manager for account creation and deletion and issue reporting access.

NLCC staff will be trained in how to establish and delete NLCC accounts on POSSE ABC.

**18. Describe how bidder solution allows NLCC to export data in an open format (e.g., XML, Text, CSV, etc.).**

**Computronix Response:**

The POSSE ABC Staff Portal supports the export of all search results to Microsoft Excel. POSSE Ad Hoc supports data exports to several file types including Word, Excel, PDF, CSV, and XML.

POSSE APIs also support data export capabilities; such exports are normally defined as interfaces. Please refer to Appendix B, tab H. Systems-interfaces for the interfaces included in our proposal.

**19. Describe intrusion detection and prevention capabilities and approaches.**

**Computronix Response:**

With all traffic running through an inline third-party monitored and managed Intrusion Detection System, normal attacks (brute-forcing, fuzzing, etc.) are identified and mitigated. Further, alerting from our SIEM on unusual activity provides a second layer, to augment the security design and implementation of the application.

**20. Describe procedures for installing security patches for all applications.**

**Computronix Response:**

Computronix will provide the following software for all systems at the Hosting Services Site:

- Operating Systems
- Oracle Database Software
- Performance Monitoring Software
- Backup Software
- Virus Protection Software

Computronix will maintain system security by keeping this software up to date on security patches and security audits, with critical third-party updates being applied within three (3) business days of third-party vendor notification.

Scheduled maintenance windows are from 12:15 AM to 5:00 AM (client-time), once a month. This maintenance window is always scheduled for the Wednesday evening/Thursday morning after the second Tuesday of the month.

**21. Describe how bidder systematically enforces access controls.**

**Computronix Response:**

Each user is assigned a set of roles in POSSE ABC. These roles have access groups and permissions that are configured down to the screen, field, and as needed the record level. Through this scalable security model, access can be restricted by the type of data (e.g., screen/field) but also restrictions which include references to data (e.g., Customer “A” cannot see Customer “B” applications/licenses through the Customer Portal). This security is enforced in the database, the middle-tier app server, and the web client. POSSE ABC can be secured so only certain roles can see sensitive information.

All end-user accounts are managed via integration with Azure AD (for internal user accounts) and Open ID connect/OAuth 2.0 standards (for external user accounts).

**22. Describe how Agency’s data is separated and maintained as separate from other customers’ data.**

**Computronix Response:**

Single-tenant hosting for all clients is a key differentiation of our POSSE Cloud offering and helps ensure the highest degree of security and segregation of customer data.

**23. Describe how confidential Agency data will be hosted internally.**

**Computronix Response:**

POSSE ABC does not store any sensitive or confidential data by default. If required/desired by the NLCC, field-level encryption is possible within POSSE at an additional cost per field. This encryption prevents unauthorized attempts to access encrypted data. Data classification (e.g., public, private, sensitive/confidential) is assumed to be the responsibility of the NLCC.

**24. Describe bidder's ability to prevent, identify and report on unauthorized releases of Agency data.**

**Computronix Response:**

With all traffic running through an inline third party monitored and managed Intrusion Detection System, normal attacks (brute forcing, fuzzing, etc.) are identified and mitigated. Further, alerting from our SIEM on unusual activity provides a second layer, to augment the security design and implementation of the application.

**25. Describe how bidder implements virus protection and ensures all communication between the hosted environment and NLCC is virus free, including files uploaded by customers.**

**Computronix Response:**

Per NIST 800-53 rev. 4 Security Controls: SC-3, SI-2, SI-3, and SI-4, Computronix maintains active anti-virus and anti-malware software on all systems. All system logs are forwarded to a central SIEM that has behavioral detection and alerting. Further, all systems are scanned daily for known vulnerabilities. All network traffic is explicitly defined and any traffic that is not in this definition is denied. This complements the active monitoring and automatic filter that occurs on all web traffic into solution.

As well, all files uploaded to the system are scanned for viruses as part of the upload process.

**26. Describe the network design, including all protocols, port requirements and transports between the hosted environment and NLCC.**

**Computronix Response:**

Interaction with end-users is via HTTPS (TLS protocol) using an SSL certificate provided by NLCC. The solution shall only use TCP port 443 for inbound users and application-level connectivity. Port 80 is not available for use. A PKI certificate of at least 2048-bits provided NLCC. Interfaces to existing NLCC systems are via a site-to-site VPN tunnel utilizing AES256. Data Transfers are via FIPS 140-2 certified SFTP.

**27. If any of the Agency-located clients are not HTTP(S) based, describe the network mechanisms between those clients and the hosted environment.**

**Computronix Response:**

All access into the Computronix hosting environment is encrypted with a mechanism specific to the access:

- Customer access is via HTTPS.
- Customer or customer required 3rd party vendor site connected is via Site-to-Site VPN.

- Preferred method of data transfer with third parties (as per customer interface design) is authenticated HTTPS or authenticated storage account transfers. Note: depending on what is being interfaced to, this may not always be possible; however, if the communication is not encrypted, then initiation is to be from the customer hosted environment and not the third-party.

**28. Bug fixes: bidder must provide a procedure for reporting, tracking, fixing, and user acceptance of bug fixes.**

**Computronix Response:**

Please refer to our response to Section 8.G. Test Strategy, Question 10. Issue Management.

**29. Describe the testing environments where users or administrators may test pre-release versions of new software to ascertain which features may be valuable to share with their users, or to understand what training might be needed.**

**Computronix Response:**

Standard deployment of POSSE ABC includes several environments including testing, training, production support, production, and conversion (the latter available only during the conversion activities of the implementation project). The testing environment is primarily used during the implementation project for User Acceptance Testing prior to promotion of configuration to the training or production environments. This holds true for any future POSSE ABC upgrade activities.

**30. Describe NLCC's options for choosing when to implement a new version.**

**Computronix Response:**

As the POSSE ABC solution hosted offering is a single-tenant environment, NLCC will not be forced to upgrade to a new version because other clients are upgrading. Computronix works with NLCC, through a dedicated Account Manager, to determine the best timing for upgrading the POSSE system.

**31. Bidder must demonstrate or show proof of comparable controls and processes needed to meet FedRAMP certified requirements as well as comply with State Security Requirements.**

**Computronix Response:**

Computronix adheres to FedRAMP MODERATE security standards which are currently based on NIST 800-53 revision 4. When FedRAMP supports NIST 800-53 revision 5, Computronix is committed to updating our Security Controls to comply with NIST 800-53 revision 5.

**32. Describe security provisions for the data, network, and applications; and**

**Computronix Response:**

Computronix adheres to FedRAMP MODERATE security standards which are currently based on NIST 800-53 revision 4. When FedRAMP supports NIST 800-53 revision 5, Computronix is committed to updating our Security Controls to comply with NIST 800-53 revision 5.

**33. Describe disaster recovery and network monitoring.**

**Computronix Response:**

Please refer to Computronix responses to Question 11 (disaster recovery) and Question 5 (network monitoring).

## 7.H. Appendix B: CAMP Technical Requirements

Complete the technical requirement tab provided in Appendix B: CAMP Technical Requirements according to the instructions provided in the workbook.

### Computronix Response:

Computronix has completed and submitted Appendix B as directed by the RFP.

# Section 8: Implementation Approach and Understanding

## 8.A. Schedule and Work Plan

**Provide an implementation schedule and high-level work plan to meet the requirements and deliverables of this RFP. The schedule should identify an overall timeline, with key start dates and end dates for major project milestones, including any phased deployments proposed that correspond to the section below: V.C.3.viii.e) Implementation Approach / Deployment Strategy.**

### Computronix Response:

Computronix has considered the information provided in V.C.1.a – Implementation Services in the development of the proposed solution and has provided a sample project schedule snapshot at the end of this section.

Computronix’s Project Plan is comprised of the following:

- **Statement of Work (SOW):** Computronix uses the information gathered during Phase 1 to develop the applicable contract documents and SOW. The Computronix SOW is primarily a process document that outlines the project implementation tasks and the responsibilities of Computronix and the NLCC personnel assigned to the project team. It includes the operational definitions for applicable product customizations and non-standard interfaces. The SOW is organized by project phases and the system/subsystems to be delivered. It will be important that the NLCC perform a detailed review of the SOW as part of the pre-contract, Project Initiation phase. Exhibit D – Statement of Work Template contains details on the implementation processes, methodologies, and tasks.
- **Project Schedule:** The sample project schedule provided at the end of this section is based on Computronix’s template and shows project events from contract signing to completion of UAT. Computronix has a well-established system implementation plan that is based on project information entered into a Microsoft Project template. Computronix’s project managers modify this template to develop detailed project plans for each client, including the applications, interfaces, and modules specific to each client’s solution. The implementation timelines are contingent upon the mutual availability of the NLCC and Computronix teams. Adjustments to the project schedule may be required during the implementation process based on changes in NLCC requirements, as well as scheduling conflicts, or other factors. Each project is implemented according to a unique schedule based on the products, services, resources, and task elements for each of the applications that comprise the contracted solution.

- Requirements Traceability Matrix (RTM):** The RTM is a collaborative log in which NLCC and Computronix identify and catalogue each contractual requirement and document the means by which the requirement’s completion/delivery will be demonstrated. The initial RTM is an output of the project Planning stage and is expected to become an attachment to the contract.

The implementation approach is a single phase, iterative waterfall-based development consisting of 6 stages as presented on the following pages.

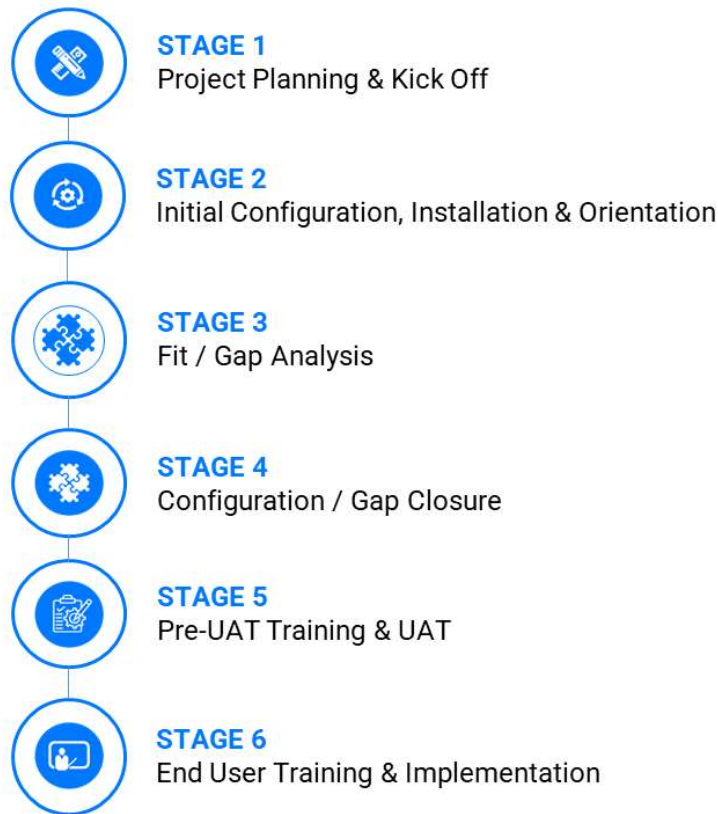



Figure 13. CX Way: 6-Stage Approach to Implementation



**STAGE 1 – PROJECT PLANNING**

- Project kick-off meetings
- Project management plan discussions
- Working demo
- Create draft of data conversion plan



The Project Planning and Kick-off Stage focuses on building project management plan consensus, and identifying the specific processes, procedures, stakeholder analysis, schedule updates, etc. necessary to ensure success. This initial project management plan draft becomes the basis for a multi-day Project Kick-Off meeting.

The Project Kick-off meeting brings the project team together (NLCC business and IT stakeholders and Computronix) to engage in discussion and project management plan fine tuning while detailing many aspects of the project.

### **Project Management Plan Development**

At the kick-off meeting, Computronix provides a POSSE ABC demonstration to ensure NLCC staff members who were not part of the procurement process can see and understand the software. We conduct collaborative sessions detailing areas, such as risk identification and analysis, data conversion approach, fit/gap analysis, and interfaces. Clarification and roll-out of the technical environments are also determined during this session. A critical Project Kick-off meeting outcome is a final, realistic, and specific Project Management Plan the project team has thoroughly vetted.

NLCC key contributors and Computronix also jointly develop a project schedule for project team review at the kick-off meeting. Computronix updates this living project schedule as the project progresses.

### **Setup of Collaborative Environment**

Concurrently, Computronix completes behind-the-scenes activities necessary to smoothly run the project, such as setting up NLCC team members in the POSSE support system, completing Computronix resource plans, establishing internal environments, and creating a shared project documents repository. A Computronix internal quality gate must be cleared before the project kick-off.

### **Initiation of Data Conversion Activities**

Data Conversion activities also start in the Project Kick-off Stage and continue for the duration of the Phase, culminating in the final production data conversion run. In our experience, data conversion activities and tasks are often on the project's critical path. Defining the Data Conversion Plan immediately helps to improve data quality and to mitigate the schedule risk inherent in data conversion. The Data Conversion Plan defines the data conversion scope, approach, limitations, responsibilities, and data conversion effort timeline within the overall project.

**STAGE 2 – INITIAL CONFIGURATION, INSTALLATION, ORIENTATION**

- Install and configure POSSE
- Hold POSSE orientation session

Stage 2 begins with POSSE ABC software installation into some of the NLCC POSSE environments (Delivery, Test, Training, and Data Conversion). Parallel to these installation processes, Computronix begins configuring POSSE in its development environment. The configuration effort provides a representative and high-leverage subset of the phase's in-scope business processes to help Computronix demonstrate how POSSE ABC meets project requirements.

**Orientation Session**

Computronix installs the configured product and delivers an Orientation to introduce and further solidify the NLCC's understanding of POSSE language and terminology and the base/inherent POSSE ABC functionality and features relevant to the phase. This orientation facilitates the subsequent Fit/Gap Analysis discussions (Stage 3). The orientation is designed for NLCC SMEs, core project team members, and decision makers. During this session, we review POSSE terminology, demonstrate the POSSE product, and introduce the Fit/Gap Analysis process and expectations. A further Computronix internal quality gate must be cleared before the Orientation is delivered.

**Initial Configuration**

Stage 2 provides the initial infrastructure configuration and orientation needed for the rest of the project. Computronix brands the POSSE product according to NLCC requirements and delivers some initial configuration based on RFP requirements. During the Orientation, the NLCC team should be able to easily conceptualize how POSSE ABC will meet its needs.



### STAGE 3 – FIT / GAP ANALYSIS

- Project team identifies gaps
- Focus group sessions conducted
- Project team builds requirements traceability matrix
- Identify issues to be addressed during data conversion
- Conduct POSSE administration training

### Consensus Building

In Stage 3, the collective project team reaches an understanding of how POSSE functionality meets the project requirements and documents any gaps between POSSE ABC and the in-scope project requirements. The Fit/Gap Analysis uses the pre-configured POSSE ABC as the baseline functionality and involves remote focus group sessions with NLCC SMEs, IT specialists, and analysts. Early in the Fit/Gap Analysis Stage, the RTM is created. This matrix includes the business requirements (BRQs) and acceptance criteria (ACCs). In the Fit/Gap Analysis Stage, the RTM undergoes a detailed NLCC team review.

As part of the Fit/Gap Analysis, Computronix works with the NLCC to compile the Data Conversion Business Requirements documentation. The Data Conversion Business Requirements pick up where the Data Conversion Plan leaves off and are key for the success of the project's data conversion. This detailed document defines what data will be converted and how the legacy data will be transformed into POSSE.

The Fit/Gap Analysis clarifies which NLCC requirements are "Fit" items, or items POSSE functionality meets in the pre-configured system, and which requirements are "Gap" items, or items additional configuration meets as the project scope defines.

At the Fit/Gap Analysis stage's end, Computronix prepares the deliverables to identify:

- A high-level business description of the module(s) being implemented
- Decisions and sign offs related to each in-scope RFP requirement
- For requirements yet to be met (i.e., Gaps), the high-level approach, and further, determining if technical configuration or administrative configuration data will close the gap
- In-scope gap items as "in scope"
- Report requirements, including report mock-ups or samples
- Interface requirements
- Security and assignment role mapping

- Applicant communication/notification requirements
- New requirements the NLCC team may request, clearly identified as “out of scope”

The NLCC can request Computronix provide a new requirement estimate and move these items into scope through the change request process.

Also, within Stage 3, Computronix ensures designated NLCC staff receive POSSE Administration Site Training. This hands-on training for designated business users or IT staff focuses on the Admin Site and learning how to enter and manage their own administrative configuration data. The training prepares the NLCC for Administrative configuration data creation and management to meet the administrative configuration data and administrative configuration data management required for the rest of the project.

When all is complete, the NLCC is asked to review and accept the Fit/Gap Analysis Report (including the Requirements Traceability Matrix). This is the phase’s scope baseline as it clearly identifies the requirements POSSE ABC met out of the box, all requirements Gap closure meets, and the acceptance criteria, which will show, during later testing, that the requirement is met. A third Computronix quality gate must be cleared before the Computronix project team begins Design.



#### STAGE 4 – GAP CLOSURE

- Configure in-scope requirements
- Develop and test design
- Perform system demo for client team
- Perform data conversion mapping

When the Fit/Gap Analysis is complete, Stage 4 addresses the in-scope requirements identified in the Fit/Gap Analysis process. The gap closure process follows Computronix Software Development Methodology (SDM). Computronix development and test environments are used to design and configure each requirement for Computronix staff to achieve. In parallel, NLCC staff create Administrative Configuration Data to meet requirements marked to be met through this process. Throughout this Stage, Computronix communicates with SMEs and other POSSE team members as necessary to ensure Design and Configuration are meeting the requirements.

#### High-Level Design Documentation

The Computronix Technical Lead and Designer document the high-level design that addresses the gap items and provides a cohesive and comprehensive system overview. The high-level Design documentation is delivered in advance, then reviewed with the NLCC project team to verify the System modifications envisioned meet the project requirements.

Following NLCC leadership Design approval, Computronix commences technical configuration and report and interface development. During this time, the NLCC will commence/continue administrative configuration data entry.

During the design and configuration timeframe, joint ad hoc meetings and web conferences are held as needed with the technical team, NLCC SMEs, and IT specialists to clarify any outstanding questions or concerns.

### **Data Conversion Mapping**

Work on a Data Conversion Mapping Document begins after the Data Conversion Business Requirements are approved. The Mapping document defines, at an object and attribute level, what data will be converted, and how the legacy data will be transformed into POSSE. This document includes detailed transformation and cleansing logic at the attribute level.

Creation of a Raw Staging Area for data conversion occurs during this stage. Advanced and more thorough data analysis and profiling occurs on the legacy data in the Raw Staging Area. The goal is to identify any data errors and problems and provide feedback to the NLCC SMEs, so they can correct and clean the data in the legacy system where possible. Computronix also creates an environment, known as the “Clean Staging Area.”

This area is the source for all data loaded into POSSE via our POSSE-Loader tool. The Clean Staging Area holds cleansed, transformed data from the Raw Staging Environment.

A data conversion run is performed multiple times during the project. It begins when product configuration is complete enough to define final (target) data structures. Typically, we create this environment initially, and then recreate it when the new or gap configuration is available.

Data in the legacy system is corrected to minimize data conversion and transformation effort. Cleansing and correcting data as close to the original source as possible facilitates reliable future extracts. Collaborative and cyclical, this process occurs multiple times throughout the project. As issues are identified, they are corrected. Analysis for additional problems continues until the data is considered ready for conversion.

Throughout the configuration and development activities, Computronix and the NLCC will provide demonstrations of Computronix configurations, administrative configuration and converted data to the NLCC Project Team and other key internal stakeholders. Raised issues or concerns are addressed and after the final demonstration, Computronix and NLCC migrate all System components and converted data into the user acceptance testing and training environments in preparation for Stage 5.



### STAGE 5 – PRE-UAT TRAINING AND USER ACCEPTANCE TESTING

- Update standard product documentation
- Create go-live checklist
- Test converted data

#### **Pre-UAT Training Launch**

When Stage 4 is complete, Computronix begins our standard product training documentation and updates this documentation to reflect Gap Closure and Configuration changes. This training documentation forms the training manual for the Pre-UAT Training. Pre-UAT Training is for NLCC trainers conducting end-user training and for NLCC testers performing UAT. NLCC Project Team members identified as testers would also be expected to take this training, enabling them to efficiently and effectively conduct UAT.

Pre-UAT Training ensures an understanding of each POSSE business process. NLCC staff members composed of testers, end user trainers, and core team members, typically attend. The NLCC UAT Manager and this individual's back up (potentially the NLCC Project Manager) also receive training in the issue tracking system to enable accurate and comprehensive reporting for efficient resolution of any issues identified during UAT.

#### **Data Accuracy Confirmation**

During Stage 5, the NLCC tests converted data to validate that data meets the specifications defined in the Data Conversion Business Requirements and the Data Mapping Document. The NLCC's primary focus is on confirming the data accuracy and system functionality using the converted data. A sign-off is required to verify testing has been done, and data quality is as expected.

Computronix will install all configuration updates, converted data, and system modifications applicable to the current phase to the UAT environment, which the POSSE team will test. Project SMEs, under the NLCC UAT Manager's oversight, report all defects found. Computronix and NLCC administrative configuration data creation staff and data conversion staff then work to resolve any defects and provide further configuration updates and system modifications for NLCC retesting.

#### **User Acceptance Testing (UAT)**

UAT scenarios and plans, along with organizational staffing changes, are the NLCC team's responsibility. Trained NLCC testers have the best perspective on how to test the system to ensure it meets the documented requirements. These scenarios also give the NLCC the opportunity to gauge the impact of new System changes and business processes staff will experience.

During the UAT process, the Computronix team remains committed to the project to rapidly resolve defects and migrate fixes to the test environment. The NLCC UAT environment will receive scheduled issue fixes. These fixes include issues the NLCC finds and possibly others Computronix identifies.

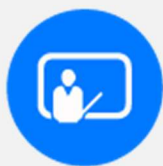
The UAT schedule is determined upfront and includes clear release dates throughout the UAT period. If critical defects are found and logged, the NLCC timeframe for UAT may be renegotiated and a new baseline set based on the expected timeframe for Computronix to resolve the defects.

Testing is considered complete when the designated time-period has elapsed or all documented test cases have been completed, and all defects with a severity of Critical and High have been addressed. Defects with Medium severity are agreed on mutually for disposition prior to UAT completion.

### **Go-Live Checklist**

The final output from this Stage is the Go-Live Checklist. The Go-Live Checklist is a set of tasks required for a successful Go-Live event, including responsible individual(s). A Go-Live event requires significant teamwork and coordination of many moving parts. Having a central list of Go-Live activities is critical to ensuring all required steps occur.

A further Computronix quality gate must be cleared before system component migration to the production environment occurs. Stage 5 ends with the successful completion of the UAT and acceptance of the System.



### **STAGE 6 – END-USER TRAINING AND IMPLEMENTATION**

- Update production, test, and training environments
- Deploy fully tested system to production environment
- Ensure Computronix resources are onsite
- Load converted data into Production environment

The Production, Test, and Training environments are updated with the final POSSE version to prepare for end user training, the final data conversion, and the Go-Live event. This Stage includes deployment of the fully tested system, including interface and data conversion tool execution, etc., to the production environment. Senior Computronix resources are on standby just before, during and after the Go-Live event to ensure a smooth transition. Data conversion is carefully scheduled to align with the project schedule and the Go-Live event. Once data is loaded, a final series of tests is performed to validate a successful conversion run.

After Go-Live, Computronix seeks information from the NLCC and Computronix project team members, NLCC staff using the System, management, and other stakeholders to develop the Project or Phase Review Report. This Report summarizes the phase’s activities, deliverables, budget expenditures, scope changes, and other relevant information, and focuses on lessons applicable to future phases or projects.

Upon successful POSSE implementation, maintenance for that business functionality group will begin. Defect reporting and resolution discovered during Go-Live, and the maintenance period follow a consistent issues resolution process.

Following Stage 6 is the Post Implementation support (Warranty) period.

**Contents should include elaboration of, and details related to, the following:**

**1. Method used to estimate the project level of effort and schedule. Include tools and techniques used to obtain the estimates. Identify the source or basis of the estimates used to develop the Bidder’s response and the level of uncertainty and risk associated with the estimates;**

**Computronix Response:**

Computronix currently has eight POSSE ABC (Alcohol and Beverage Control) clients and has successfully completed three new POSSE ABC implementations for clients in the past five years.

Two additional POSSE ABC implementations are currently underway for Computronix clients. Computronix has used our extensive experience in implementing ABC systems very similar to the requirements listed in this document, to define the scope and effort needed for this project. The schedule was developed based on our internal estimates of the effort required to complete this implementation. The level of risk and uncertainty for our estimate is low.

**2. Bidder must submit an implementation schedule and high-level work plan to meet the requirements and deliverables of this solicitation;**

**Computronix Response:**

Computronix has provided a sample copy of our Statement of Work (SOW) as Exhibit D. A proposed project schedule that shows the deliverables (shown in Bold Blue Lettering) for Table 12. has been included at the end of this section.



**3. The schedule should identify an overall timeline, with key start dates and end dates for major project milestones, including any phased deployments proposed that correspond to the Deployment Plan identified in the response Table 12 Minimum List of Deliverables below; and,**

**Computronix Response:**

The proposed project schedule has been included at the end of this section. Start and end dates for the project, the project stages and task groupings as part of the WBS are shown in the Gantt chart.

Additionally, Computronix has provided a point-by-point response to Table 12 in Section 9 of the proposal.

**4. The work plan must provide tasks, durations, key deliverables, and key milestones that correspond to the project schedule, deployment approach proposed, and deliverables proposed, as detailed in other sections of the RFP.**

**Computronix Response:**

Computronix's Project Plan is comprised of the following:

- **Statement of Work (SOW):** Computronix uses the information gathered during Phase 1 to develop the applicable contract documents and SOW. The Computronix SOW is primarily a process document that outlines the project implementation tasks and the responsibilities of Computronix and the NLCC personnel assigned to the project team. It includes the operational definitions for applicable product customizations and non-standard interfaces. The SOW is organized by project phases and the system/subsystems to be delivered. It will be important that the NLCC perform a detailed review of the SOW as part of the pre-contract, Project Initiation phase. Exhibit D – Statement of Work Template contains details on the implementation processes, methodologies, and tasks.
- **Project Schedule:** The sample project schedule provided at the end of this section is based on Computronix's template and shows project events from contract signing to completion of UAT. Computronix has a well-established system implementation plan that is based on project information entered into a Microsoft Project template. Computronix's project managers modify this template to develop detailed project plans for each client, including the applications, interfaces, and modules specific to each client's solution. The implementation timelines are contingent upon the mutual availability of the NLCC and Computronix teams. Adjustments to the project schedule may be required during the implementation process based on changes in NLCC requirements, as well as scheduling conflicts, or other factors. Each project is implemented according to a unique schedule based on the products, services, resources, and task elements for each of the applications that comprise the contracted solution.

- **Requirements Traceability Matrix (RTM):** The RTM is a collaborative log in which NLCC and Computronix identify and catalogue each contractual requirement and document the means by which the requirement's completion/delivery will be demonstrated. The initial RTM is an output of the project Planning stage and is expected to become an attachment to the contract.

## Key Schedule / Work Plan considerations:

**1. Provide an integrated, milestone-level and detailed (level 2 Work Breakdown Structure (WBS) minimum) work plan, including Gantt chart of the Proposed Project Schedule that includes all services requested in this RFP;**

### Computronix Response:

A project schedule Gantt Chart that contains a WBS has been provided at the end of this section.

**2. Schedule milestones should correspond with the deliverables required in this RFP**

### Computronix Response:

The proposed project schedule that shows the deliverables (shown in Bold Blue Lettering) that correspond to the deliverables listed in Table 12 has been included at the end of this section. There are six project stages and the completion of each stage is a project Milestone. Deliverables are listed in the appropriate order and stage of the project schedule.

**3. Bidder must include reasonable and incremental review periods for Deliverable Expectations Document (DED) (see Section V.C.3.ix.a) - 9A Deliverable Format below for more information) and deliverables that allow sufficient time for both NLCC review and Bidder to update deliverables based on NLCC review feedback; and**

### Computronix Response:

Each deliverable will have an associated Computronix Deliverable Acceptance Form (DAF) for review and approval. A two-week period (10 business days) is allowed for the review of each deliverable. After the 10-day period, each deliverable is considered accepted unless Computronix is informed in writing as to specific reasons a deliverable is not considered to be acceptable.

**4. Bidder must clearly plan for and indicate slack/contingency in the project schedule to account for potential delays or issues. Overly aggressive or unrealistic schedules are not acceptable.**

**Computronix Response:**

The project level Gantt chart is derived and developed based on the completed/final project schedules for Client projects with similar scope. Additional slack/contingency can be added to the project schedule based on the Client's need date for this project to be in Production. The Gantt chart provided is representative of what is considered realistic by Computronix.

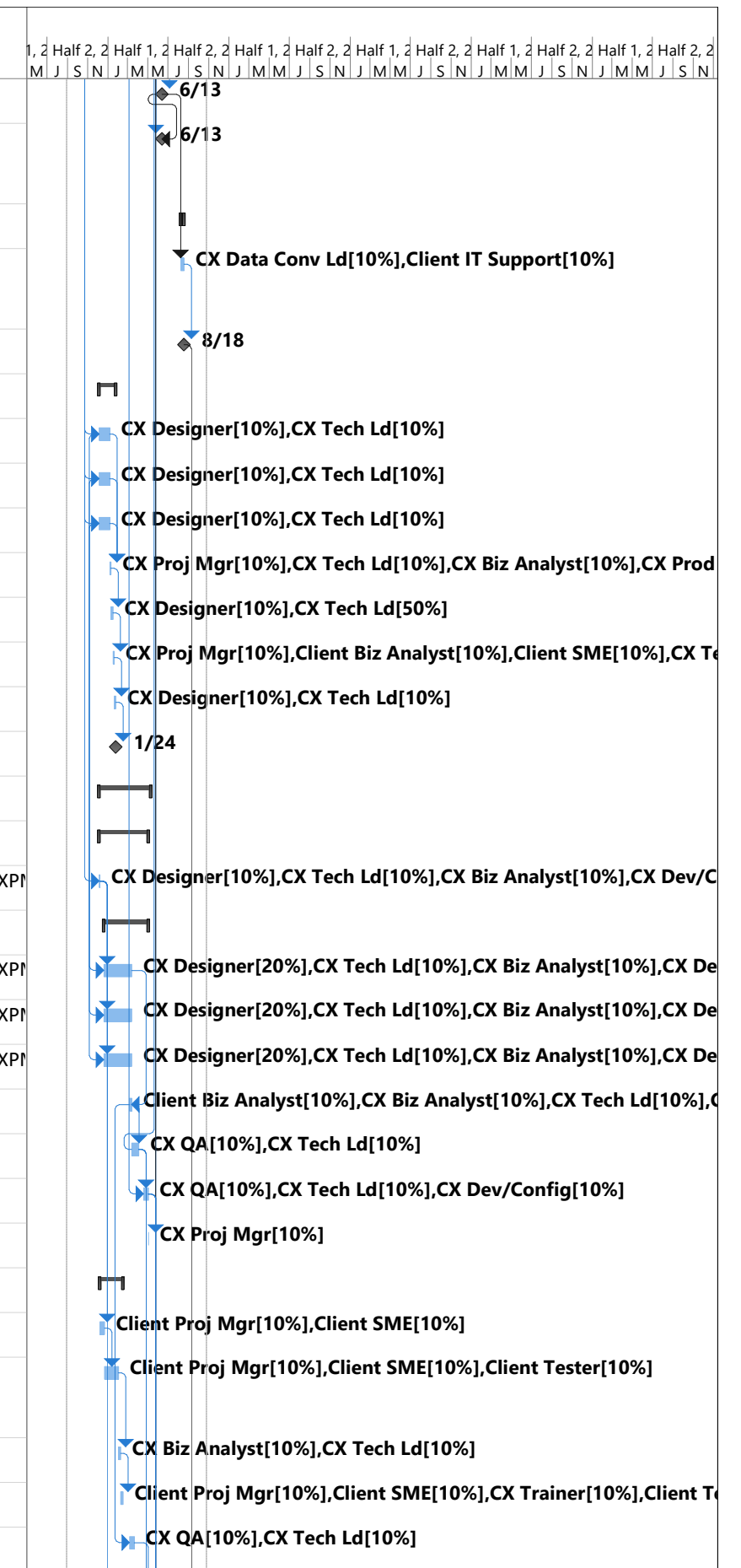
Based on the extensive experience Computronix has in providing solutions very similar to this one, the project schedule provided is both realistic and low risk but it subject to modification during the life cycle of the project based on client availability, changes to priorities, or other potential events.

ID	Task Mode	Task Name	% Work Completed	Duration	Start	Finish	Predecessors	Successors	Resource Initials	
1	🚀	<b>Nebraska ABC</b>	0%	301 days	Mon 8/29/22	Mon 10/23/23				
2	🚀	<b>Phase 1 - System, Workflow and Interfaces</b>	0%	274 days	Mon 8/29/22	Thu 9/14/23				
3	👉	Project Start	0%	0 days	Mon 8/29/22	Mon 8/29/22		14,15,7,12,5	CXPM	8/29
4	🚀	<b>Stage 1 - Project Planning and Kick-off</b>	0%	35 days	Mon 8/29/22	Fri 10/14/22				
5	👉	Set up initial project hierarchy and tasks in PSS	0%	1 day	Mon 8/29/22	Mon 8/29/22	3		CXPM	CX Proj Mgr[25%]
6	👉	<b>Dev/Test/Demo Environment Setup</b>	0%	15 days	Mon 8/29/22	Mon 9/19/22				
7	👉	Provision CX Dev/Test/Demo Environments	0%	10 days	Mon 8/29/22	Fri 9/9/22	3	11,8,9,10	CXTL,CXINFRA	CX Tech Ld[25%],CX Infra[25%]
8	👉	Setup CX Dev Environment	0%	5 days	Mon 9/12/22	Fri 9/16/22	7	11	CXTL,CXINFRA,CXDBA	CX Tech Ld[25%],CX Infra[25%],CX DBA[25%]
9	👉	Setup CX Test Environment	0%	5 days	Mon 9/12/22	Fri 9/16/22	7	11	CXTL,CXINFRA,CXDBA	CX Tech Ld[25%],CX Infra[25%],CX DBA[25%]
10	👉	Setup CX Demo Environment	0%	5 days	Mon 9/12/22	Fri 9/16/22	7	11	CXTL,CXINFRA,CXDBA	CX Tech Ld[25%],CX Infra[25%],CX DBA[25%]
11	👉	<b>Install POSSE on CX Infrastructure</b>	0%	0 days	Mon 9/19/22	Mon 9/19/22	7,8,9,10	13	CXTL,CXINFRA	9/19
12	👉	Obtain Initial Data Mapping Document (from Product Team)	0%	15 days	Mon 8/29/22	Fri 9/16/22	3		CXTL	CX Tech Ld[10%]
13	👉	Perform Project Ramp Up Activities and Initial Configuration	0%	5 days	Mon 9/19/22	Mon 9/26/22	11	19	PM,CXPM	Client Proj Mgr[10%],CX Proj Mgr[10%]
14	👉	Create Project Schedule	0%	15 days	Mon 8/29/22	Fri 9/16/22	3	16	PM,CXPM	Client Proj Mgr[20%],CX Proj Mgr[20%]
15	👉	Develop Draft Project Management Plan (including Risk Mgmt, Quality Mgmt)	0%	15 days	Mon 8/29/22	Fri 9/16/22	3	18FS-5 days,16	PM,CXPM	Client Proj Mgr[10%],CX Proj Mgr[10%]
16	👉	<b>Delivery of Draft Project Management Plan (including Risk Mgmt, Quality Mgmt)</b>	0%	0 days	Mon 9/19/22	Mon 9/19/22	14,15	17	CXPM	9/19
17	👉	Client Reviews Draft Project Management Plan and Provides Feedback	0%	3 days	Mon 9/19/22	Thu 9/22/22	16	30,19	PM	Client Proj Mgr[10%]
18	👉	<b>Create Project Kick-off Presentation, Conduct Internal and External Reviews and incorporate feedback</b>	0%	5 days	Mon 9/12/22	Fri 9/16/22	15FS-5 days	19	PM,CXPM	Client Proj Mgr[10%],CX Proj Mgr[10%]
19	👉	<b>CX GATE 1 - Pre-Kick-off Tasks Complete?</b>	0%	1 day	Mon 9/26/22	Tue 9/27/22	13,17,18	21,20FF	CXPM	CX Proj Mgr[10%]
20	👉	Compile Project Kick-off Meeting Agenda/Schedule	0%	3 days	Thu 9/22/22	Tue 9/27/22	19FF	21	CXPM,PM	CX Proj Mgr[10%],Client Proj Mgr[10%]
21	👉	Conduct Project Kick-off*	0%	4 days	Tue 9/27/22	Mon 10/3/22	19,20	35,24,23,22	BA,PM,TL,CXBA,CXPM,CXTL	Client Biz Analyst[10%],Client Proj Mgr[10%],Client Tech Ld[10%],CX
22	👉	<b>Project Kick-Off Complete</b>	0%	0 days	Mon 10/3/22	Mon 10/3/22	21	37	PM	10/3
23	👉	Refine Project Schedule	0%	2 days	Mon 10/3/22	Wed 10/5/22	21	25	PM,CXPM	Client Proj Mgr[10%],CX Proj Mgr[10%]
24	👉	Finalize Project Management Plan	0%	5 days	Mon 10/3/22	Mon 10/10/22	21	25	PM,CXPM	Client Proj Mgr[10%],CX Proj Mgr[10%]
25	👉	<b>Provide Final Project Management Plan to Client</b>	0%	0 days	Mon 10/10/22	Mon 10/10/22	24,23	26,37	CXPM	10/10
26	👉	Client Reviews Final Project Management Plan	0%	5 days	Mon 10/10/22	Mon 10/17/22	25	27	PM	Client Proj Mgr[10%]
27	👉	<b>Client provides sign off of Final Project Management Plan</b>	0%	0 days	Mon 10/17/22	Mon 10/17/22	26	43,47	PM	10/17

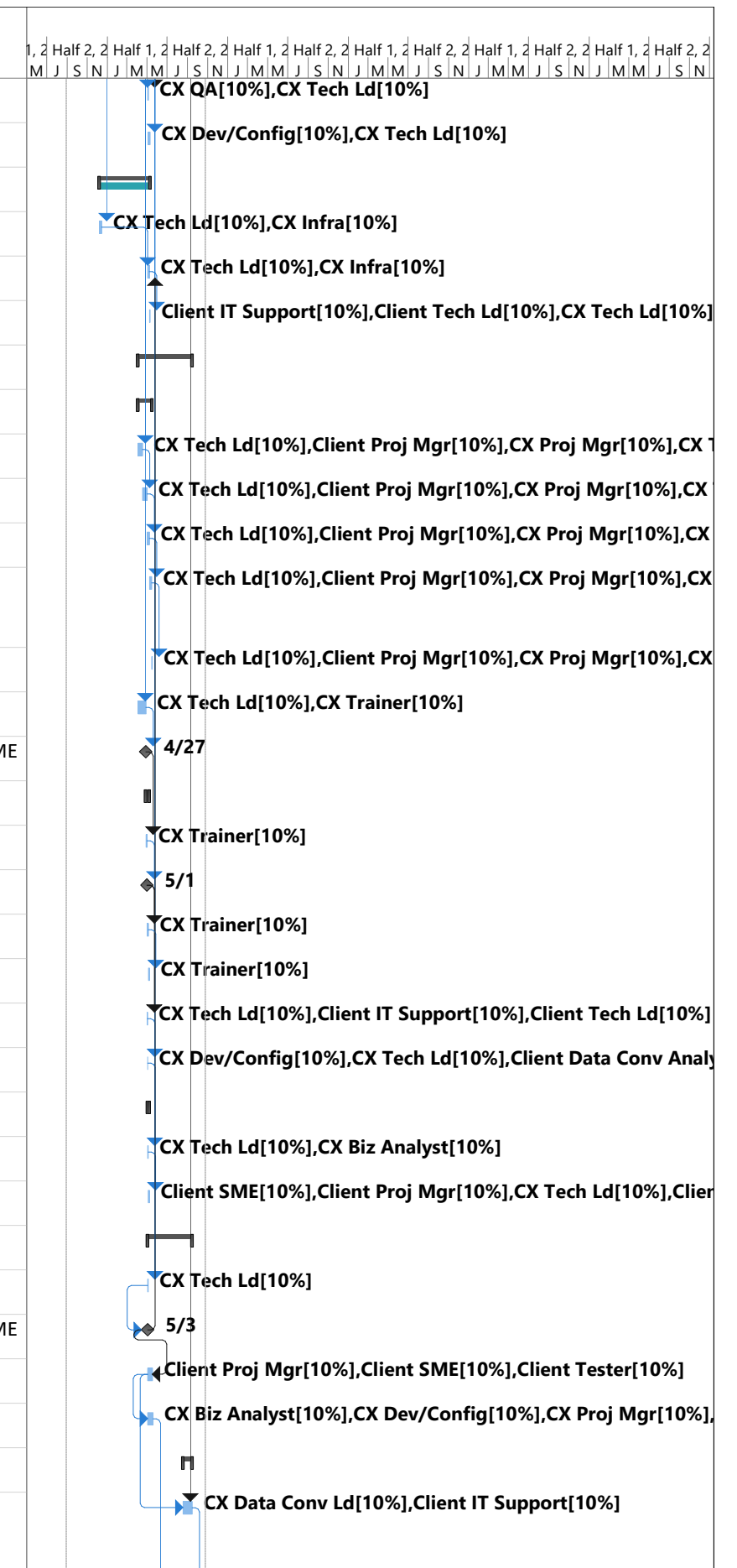
ID	Task Mode	Task Name	% Work Completed	Duration	Start	Finish	Predecessors	Successors	Resource Initials	
28		<b>Stage 2 - Initial Configuration, Installation &amp; Orientation</b>	0%	25 days	Thu 9/22/22	Thu 10/27/22				
29		<b>Initial Configuration</b>	0%	11 days	Thu 9/22/22	Fri 10/7/22				
30		Identify Initial Configuration and Setup Items	0%	1 day	Thu 9/22/22	Fri 9/23/22	17	31,32,33	CXTL,CXBA,CXPM	CX Tech Ld[10%],CX Biz Analyst[10%],CX Proj Mgr[10%]
31		Add Branding to Orientation Environment	0%	1 day	Fri 9/23/22	Mon 9/26/22	30		CXTL	CX Tech Ld[10%]
32		Initial Configuration	0%	10 days	Fri 9/23/22	Fri 10/7/22	30		CXBA	CX Biz Analyst[10%]
33		Setup Default Users	0%	10 days	Fri 9/23/22	Fri 10/7/22	30	43,40	CXBA	CX Biz Analyst[10%]
34		<b>Setup New Client</b>	0%	1 day	Mon 10/3/22	Tue 10/4/22				
35		Establish Shared Project Repository (e.g. SharePoint)	0%	1 day	Mon 10/3/22	Tue 10/4/22	21		CXPM,CXTL,PM	CX Proj Mgr[10%],CX Tech Ld[10%],Client Proj Mgr[10%]
36		<b>Provision Client Pre-production Environments</b>	0%	13 days	Mon 10/10/22	Thu 10/27/22				
37		Provision Pre-production Environments (Delivery/DC/UAT/Train) and Connectivity	0%	10 days	Mon 10/10/22	Mon 10/24/22	22,25	38	CXTL,CXINFRA	CX Tech Ld[10%],CX Infra[10%]
38		Install POSSE ABC on Pre-production Infrastructure	0%	3 days	Mon 10/24/22	Thu 10/27/22	37	60	CXTL,CXINFRA	CX Tech Ld[10%],CX Infra[10%]
39		<b>Orientation Session</b>	0%	8 days	Fri 10/7/22	Wed 10/19/22				
40		Prepare for Orientation Session	0%	7 days	Fri 10/7/22	Tue 10/18/22	33	41	CXTL,CXTRAIN,CXBA	CX Tech Ld[10%],CX Trainer[10%],CX Biz Analyst[20%]
41		<b>CX GATE 2 - Pre-Orientation Tasks Complete?</b>	0%	1 day	Tue 10/18/22	Wed 10/19/22	40	62FS+5 days	CXPM	CX Proj Mgr[10%]
42		<b>Fit/Gap Preparation</b>	0%	6 days	Mon 10/17/22	Tue 10/25/22				
43		Schedule Fit/Gap Sessions	0%	1 day	Mon 10/17/22	Tue 10/18/22	27,33	44FS+2 days	CXBA,CXPM	CX Biz Analyst[10%],CX Proj Mgr[10%]
44		Provide Agendas for Fit/Gap Sessions	0%	3 days	Thu 10/20/22	Tue 10/25/22	43FS+2 days		CXBA	CX Biz Analyst[10%]
45		<b>Stage 3 - Fit/Gap Analysis</b>	0%	95 days	Mon 10/17/22	Mon 2/27/23				
46		<b>Legacy Data Review and mapping</b>	0%	45 days	Mon 10/17/22	Mon 12/19/22				
47		Create Data Conversion Plan	0%	4 days	Mon 10/17/22	Fri 10/21/22	27	48	CXDATA,CXTL	CX Data Conv Ld[10%],CX Tech Ld[10%]
48		Deliver Data Conversion Plan	0%	1 day	Fri 10/21/22	Mon 10/24/22	47	49	CXTL	CX Tech Ld[10%]
49		Client review of Data Conversion Plan	0%	5 days	Mon 10/24/22	Mon 10/31/22	48	50	DATA,IT,PM,SME	Client Data Conv Analyst[10%],Client IT Support[10%],Client Proj M
50		Incorporate Client Feedback	0%	5 days	Mon 10/31/22	Mon 11/7/22	49	51	CXTL	CX Tech Ld[10%]
51		Deliver Final Data Conversion Plan	0%	0 days	Mon 11/7/22	Mon 11/7/22	50	52	DATA,IT,CXDATA	11/7
52		Review of Legacy Data and Screens	0%	10 days	Mon 11/7/22	Mon 11/21/22	63,51	53	DATA,IT,CXDATA,SME,CXTL,TL	Client Data Conv Analyst[10%],Client IT Support[10%],CX Data Con
53		Deliver Draft Data Conversion Mapping Documentation	0%	10 days	Mon 11/21/22	Mon 12/5/22	52	54	CXDATA,CXTL,CXDBA	CX Data Conv Ld[10%],CX Tech Ld[10%],CX DBA[10%]
54		Client Review of Data Conversion Plan and Draft Mapping Documentation*	0%	5 days	Mon 12/5/22	Mon 12/12/22	53	57FS-5 days,55	DATA,PM	Client Data Conv Analyst[10%],Client Proj Mgr[10%]
55		Incorporate Client Feedback	0%	5 days	Mon 12/12/22	Mon 12/19/22	54	84	CXTL	CX Tech Ld[10%]
56		<b>Legacy Data Cleansing and Profiling</b>	0%	60 days	Mon 12/5/22	Mon 2/27/23				

ID	Task Mode	Task Name	% Work Completed	Duration	Start	Finish	Predecessors	Successors	Resource Initials	
57		Data Analysis and Profiling on raw data	0%	60 days	Mon 12/5/22	Mon 2/27/23	54FS-5 days	58SS+15 days	CXDATA,IT,SME	CX Data Conv Ld[10%],Client IT Support[10%],Client SME[10%]
58		Creation of raw environment and migrate from legacy to raw	0%	3 days	Mon 12/26/22	Thu 12/29/22	57SS+15 days	59FS-5 days	CXDATA,IT,SME	CX Data Conv Ld[10%],Client IT Support[10%],Client SME[10%]
59		Creation and testing of cleansing scripts	0%	20 days	Thu 12/22/22	Thu 1/19/23	58FS-5 days	60	CXDATA,IT,SME	CX Data Conv Ld[10%],Client IT Support[10%],Client SME[10%]
60		Create and set the Clean environment (POSSE Staging)	0%	3 days	Thu 1/19/23	Tue 1/24/23	38,59	77	IT	Client IT Support[10%]
61		<b>Perform Fit/Gap Analysis</b>	<b>0%</b>	<b>71 days</b>	<b>Wed 10/26/22</b>	<b>Thu 2/2/23</b>				
62		Conduct Intensive Orientation Session*	0%	2 days	Wed 10/26/22	Fri 10/28/22	41FS+5 days	63	CXTRAIN,BA,PM,SME,CXDBA	CX Trainer[10%],Client Biz Analyst[10%],Client Proj Mgr[10%],Client
63		Conduct Fit/Gap Workshop 1* - Review Functional Requirements (Appendix A)	0%	3 days	Fri 10/28/22	Wed 11/2/22	62	64FS+10 days,67SS,52	CXBA,CXTL,SME,PM,CXPM,BA	CX Biz Analyst[10%],CX Tech Ld[10%],Client SME[10%],Client Proj M
64		Conduct Fit/Gap Workshop 2* - Review Technical Requirements (Appendix B)	0%	3 days	Wed 11/16/22	Mon 11/21/22	63FS+10 days	65FS+10 days	CXBA,CXTL,SME,BA,PM,CXPM	CX Biz Analyst[10%],CX Tech Ld[10%],Client SME[10%],Client Biz A
65		Conduct Fit/Gap Workshop 3* - Review User Stories (Appendix D)	0%	3 days	Mon 12/5/22	Thu 12/8/22	64FS+10 days	66FS+12 days,99SS,89SS,90SS,91SS	CXBA,CXTL,SME,PM,CXPM,BA	CX Biz Analyst[10%],CX Tech Ld[10%],Client SME[10%],Client Proj
66		Conduct Workshop 4 with Data Conversion Scope	0%	3 days	Mon 12/26/22	Thu 12/29/22	65FS+12 days	67FF+10 days	CXBA,CXTL,SME,PM,CXPM,BA	CX Biz Analyst[10%],CX Tech Ld[10%],Client SME[10%],Client Proj
67		Develop Draft Fit/Gap Analysis Report, including RTM with ACCs	0%	44 days	Fri 11/11/22	Thu 1/12/23	63SS,66FF+10	68FS+3 days	CXBA,CXTL	CX Biz Analyst[10%],CX Tech Ld[10%]
68		Deliver Draft Fit/Gap Analysis Report	0%	1 day	Tue 1/17/23	Wed 1/18/23	67FS+3 days	69	CXBA	CX Biz Analyst[10%]
69		Client Review Fit/Gap Analysis Report	0%	5 days	Wed 1/18/23	Wed 1/25/23	68	70	PM,SME,BA	Client Proj Mgr[10%],Client SME[10%],Client Biz Analyst[10%]
70		Incorporate Client Feedback into Fit/Gap Report	0%	5 days	Wed 1/25/23	Wed 2/1/23	69	71,72SS	CXBA	CX Biz Analyst[10%]
71		<b>Deliver Final Fit/Gap Analysis Report</b>	0%	0 days	Wed 2/1/23	Wed 2/1/23	70		CXBA	2/1
72		Perform Post-Analysis Estimation	0%	5 days	Wed 1/25/23	Wed 2/1/23	70SS	73	CXBA,CXTL	CX Biz Analyst[10%],CX Tech Ld[10%]
73		<b>CX GATE 3 - Pre-Design Tasks Complete?</b>	0%	1 day	Wed 2/1/23	Thu 2/2/23	72	75	CXPM	CX Proj Mgr[10%]
74		<b>Stage 4 - Configuration/Gap Closure</b>	<b>0%</b>	<b>184 days</b>	<b>Mon 12/5/22</b>	<b>Fri 8/18/23</b>				
75		Develop System Test Plan	0%	5 days	Thu 2/2/23	Thu 2/9/23	73	76	CXQA	CX QA[10%]
76		Develop System Test Scripts	0%	40 days	Thu 2/9/23	Thu 4/6/23	105SF,75		CXQA	CX QA[10%]
77		Migration from Raw to Clean (including Transformation Scripts)	0%	60 days	Tue 1/24/23	Tue 4/18/23	60	79	CXTL	CX Tech Ld[10%]
78		<b>Data Conversion Test Run 1</b>	<b>0%</b>	<b>10 days</b>	<b>Tue 4/18/23</b>	<b>Tue 5/2/23</b>				
79		Execute Test Run 1 (Cleansing, Updates to Load and Transformation Scripts)	0%	10 days	Tue 4/18/23	Tue 5/2/23	77	80,106SS,140	TL,CXDATA,DATA	Client Tech Ld[10%],CX Data Conv Ld[10%],Client Data Conv
80		<b>Data Conversion Test Run 1 Complete</b>	0%	0 days	Tue 5/2/23	Tue 5/2/23	79	82FS+20 days,114	CXPM	5/2
81		<b>Data Conversion Test Run 2</b>	<b>0%</b>	<b>10 days</b>	<b>Tue 5/30/23</b>	<b>Tue 6/13/23</b>				
82		Execute Test Run 2 (Cleansing, Updates to Load and Transformation Scripts)	0%	10 days	Tue 5/30/23	Tue 6/13/23	80FS+20 days	83	CXDATA,IT	CX Data Conv Ld[10%],Client IT Support[10%]

ID	Task Mode	Task Name	% Work Completed	Duration	Start	Finish	Predecessors	Successors	Resource Initials	
83	☞	Data Conversion Test Run 2 Complete	0%	0 days	Tue 6/13/23	Tue 6/13/23	82	84SF,86FS+40 days	CXPM	
84	☞	Deliver Final Data Conversion Mapping Documentation	0%	0 days	Tue 6/13/23	Tue 6/13/23	55,83SF		DATA,IT,CXDATA	
85	☞	Data Conversion Test Run 3	0%	8 days	Tue 8/8/23	Fri 8/18/23				
86	☞	Execute Test Run 3 (Cleansing, Updates to Load and Transformation Scripts)	0%	8 days	Tue 8/8/23	Fri 8/18/23	83FS+40 days	87	CXDATA,IT	
87	☞	Data Conversion Test Run 3 Complete	0%	0 days	Fri 8/18/23	Fri 8/18/23	86	145	CXPM	
88	☞	System Design	0%	36 days	Mon 12/5/22	Tue 1/24/23				
89	☞	Design Business Processes	0%	24 days	Mon 12/5/22	Fri 1/6/23	65SS	92,101SS+10 days	CXDSN,CXTL	
90	☞	Design Management Reports	0%	24 days	Mon 12/5/22	Fri 1/6/23	65SS	92,102SS+10 days	CXDSN,CXTL	
91	☞	Design Interfaces	0%	24 days	Mon 12/5/22	Fri 1/6/23	65SS	92,103SS+10 days	CXDSN,CXTL	
92	☞	Conduct CX Peer Review of Design	0%	1 day	Fri 1/6/23	Mon 1/9/23	89,90,91	93	CXPM,CXTL,CXBA,CXPROD	
93	☞	Incorporate CX Peer Design Review Feedback	0%	5 days	Mon 1/9/23	Mon 1/16/23	92	94	CXDSN,CXTL	
94	☞	Conduct Design Review with Client*	0%	3 days	Mon 1/16/23	Thu 1/19/23	93	95	CXPM,BA,SME,CXTL,PM	
95	☞	Incorporate Client Design Review Feedback	0%	3 days	Thu 1/19/23	Tue 1/24/23	94	96	CXDSN,CXTL	
96	☞	Deliver Final Design Documentation to Client	0%	0 days	Tue 1/24/23	Tue 1/24/23	95		CXDSN,CXTL	
97	☞	System Development	0%	112 days	Mon 12/5/22	Wed 5/10/23				
98	☞	Gap Closure	0%	107 days	Mon 12/5/22	Wed 5/3/23				
99	☞	Internal Development Kick Off	0%	2 days	Mon 12/5/22	Wed 12/7/22	65SS	109,117,101,102,103	CXDSN,CXTL,CXBA,CXDEV,CXPM	
100	☞	Configuration	0%	97 days	Mon 12/19/22	Wed 5/3/23			CXDSN,CXTL	
101	☞	Configure Business Processes	0%	60 days	Mon 12/19/22	Mon 3/13/23	99,89SS+10 d	104FF	CXDSN,CXTL,CXBA,CXDEV,CXPM	
102	☞	Develop Management Reports	0%	60 days	Mon 12/19/22	Mon 3/13/23	99,90SS+10 d		CXDSN,CXTL,CXBA,CXDEV,CXPM	
103	☞	Develop Interfaces	0%	60 days	Mon 12/19/22	Mon 3/13/23	99,91SS+10 d		CXDSN,CXTL,CXBA,CXDEV,CXPM	
104	☞	Perform Metadata Setup	0%	4 days	Tue 3/7/23	Mon 3/13/23	101FF	105,113SS	BA,CXBA,CXTL,TL	
105	☞	Execute System Test / Resolve Issues	0%	15 days	Mon 3/13/23	Mon 4/3/23	104	122,76SF,127,106	CXQA,CXTL	
106	☞	Execute Regression Test / Resolve Issues	0%	10 days	Tue 4/18/23	Tue 5/2/23	79SS,105	137,115FS+2 days,107	CXQA,CXTL,CXDEV	
107	☞	GATE 4 - Pre-UAT Tasks Complete?	0%	1 day	Tue 5/2/23	Wed 5/3/23	106		CXPM	
108	☞	Prepare for UAT	0%	50 days	Wed 12/7/22	Wed 2/15/23				
109	☞	Identify and Prepare UAT Team (Client)	0%	10 days	Wed 12/7/22	Wed 12/21/22	99	110	PM,SME	
110	☞	Document UAT Test Plans and Scripts (Client)	0%	30 days	Wed 12/21/22	Wed 2/1/23	109	111	PM,SME,TEST	
111	☞	Review Client UAT Test Plans, If Needed	0%	5 days	Wed 2/1/23	Wed 2/8/23	110	112	CXBA,CXTL	
112	☞	Incorporate Feedback (Client)	0%	5 days	Wed 2/8/23	Wed 2/15/23	111		PM,SME,CXTRAIN,TEST	
113	☞	Develop Load & Performance Plan	0%	10 days	Tue 3/7/23	Tue 3/21/23	104SS	114	CXQA,CXTL	

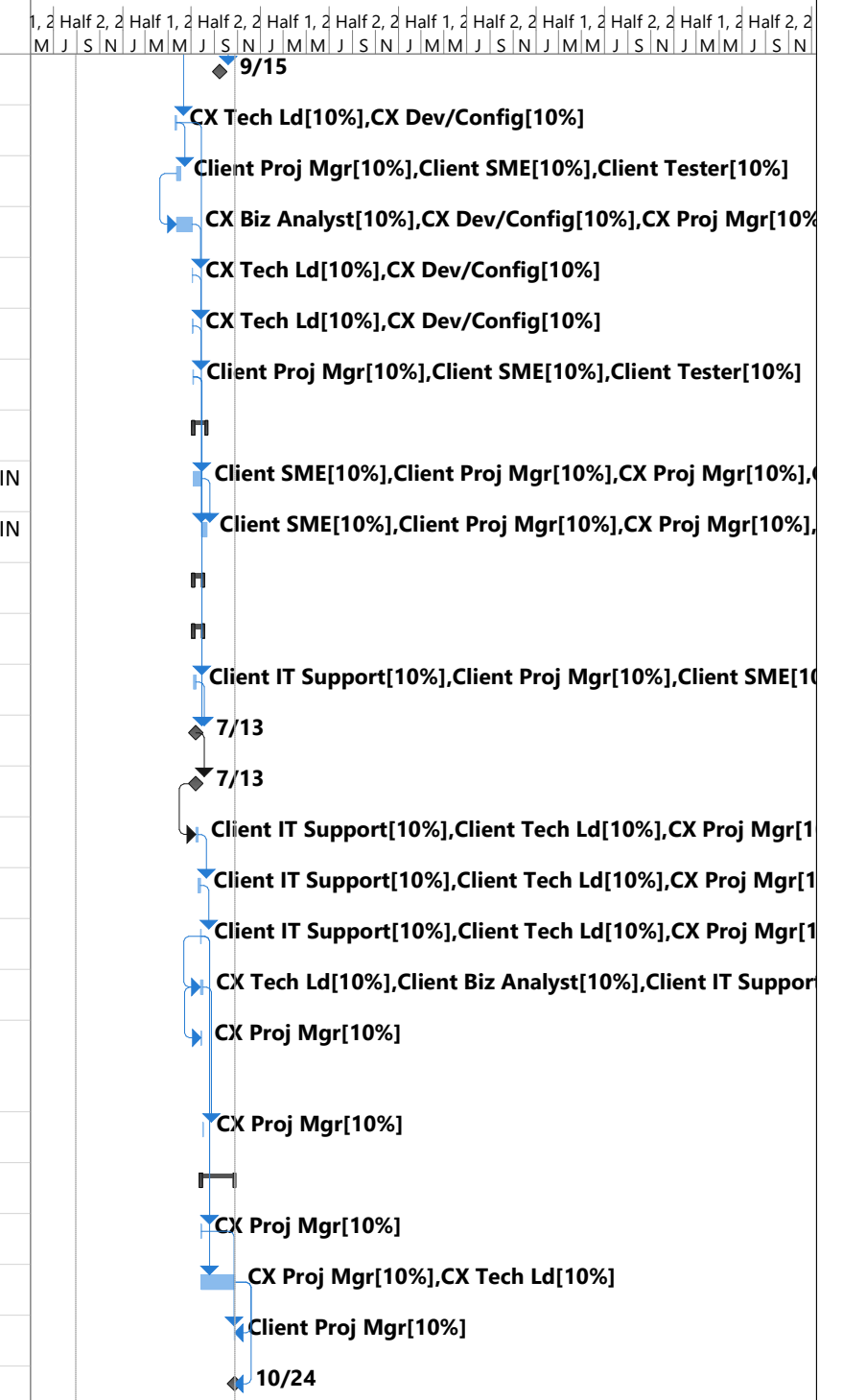


ID	Task Mode	Task Name	% Work Completed	Duration	Start	Finish	Predecessors	Successors	Resource Initials	
114		Execute Load & Performance Plan	0%	3 days	Tue 5/2/23	Fri 5/5/23	113,80		CXQA,CXTL	
115		Deliver to Delivery/DC/Train	0%	4 days	Thu 5/4/23	Wed 5/10/23	106FS+2 days		CXDEV,CXTL	
116		Provision Production Environment	0%	110 days	Wed 12/7/22	Wed 5/10/23				
117		Request set-up of Production Environment	0%	5 days	Wed 12/7/22	Wed 12/14/22	99	118	CXTL,CXINFRA	
118		Install POSSE ABC on Production Infrastructure	0%	3 days	Wed 5/3/23	Mon 5/8/23	117,141	119	CXTL,CXINFRA	
119		Validate PROD environment	0%	2 days	Mon 5/8/23	Wed 5/10/23	118		IT,TL,CXTL	
120		Stage 5 - Pre-UAT Training and UAT	0%	119 days	Mon 4/3/23	Fri 9/15/23				
121		Prepare for Training	0%	31 days	Mon 4/3/23	Tue 5/16/23				
122		Create Training Plan	0%	10 days	Mon 4/3/23	Mon 4/17/23	105	123	CXTL,PM,CXPM,CXTRAIN	
123		Deliver Training Plan to client	0%	10 days	Mon 4/17/23	Mon 5/1/23	122	124	CXTL,PM,CXPM,CXTRAIN	
124		Client Reviews Training Plan	0%	5 days	Mon 5/1/23	Mon 5/8/23	123	125	CXTL,PM,CXPM,CXTRAIN	
125		Incorporate Any Client Changes into Training Plan	0%	5 days	Mon 5/8/23	Mon 5/15/23	124	126	CXTL,PM,CXPM,CXTRAIN	
126		Deliver Final Training Plan to client	0%	1 day	Mon 5/15/23	Tue 5/16/23	125		CXTL,PM,CXPM,CXTRAIN	
127		Develop Training Materials	0%	18 days	Mon 4/3/23	Thu 4/27/23	105	128	CXTL,CXTRAIN	
128		Training Readiness Review Performed	0%	0 days	Thu 4/27/23	Thu 4/27/23	127	130	PM,CXPM,CXTL,CXTRAIN,SME	
129		Deliver Site-specific Pre-UAT Training	0%	7 days	Thu 4/27/23	Mon 5/8/23				
130		Deliver Site-specific Pre-UAT Training*	0%	2 days	Thu 4/27/23	Mon 5/1/23	128	131	CXTRAIN	
131		Deliver Site-specific Pre-UAT Training Survey	0%	0 days	Mon 5/1/23	Mon 5/1/23	130	132,134	CXTRAIN	
132		Prepare Training Delivery Report	0%	4 days	Mon 5/1/23	Fri 5/5/23	131	133	CXTRAIN	
133		Deliver Training Delivery Report	0%	1 day	Fri 5/5/23	Mon 5/8/23	132		CXTRAIN	
134		Deploy software to UAT environment	0%	1 day	Mon 5/1/23	Tue 5/2/23	131	135	CXTL,IT,TL	
135		Validate UAT environment and data	0%	1 day	Tue 5/2/23	Wed 5/3/23	134	140	CXDEV,CXTL,DATA,IT,SME	
136		Administration Portal Training	0%	4 days	Tue 5/2/23	Mon 5/8/23				
137		Prepare for Administration Portal Training	0%	2 days	Tue 5/2/23	Thu 5/4/23	106	138	CXTL,CXBA	
138		Deliver Administration Portal Training*	0%	2 days	Thu 5/4/23	Mon 5/8/23	137		SME,PM,CXTL,IT,CXTRAIN	
139		Perform UAT	0%	97 days	Wed 5/3/23	Fri 9/15/23				
140		Provide Computronix JIRA Issue System Training	0%	1 day	Wed 5/3/23	Thu 5/4/23	79,135	141SS	CXTL	
141		UAT Readiness Review Performed	0%	0 days	Wed 5/3/23	Wed 5/3/23	140SS	142SF+10 days,118	PM,CXPM,CXTL,CXTRAIN,SME	
142		Execute Iteration 1 UAT (Client)	0%	10 days	Wed 5/3/23	Wed 5/17/23	141SF+10 days	143SS,145SS	PM,SME,TEST	
143		Provide Remote Iteration 1 UAT Support	0%	12 days	Wed 5/3/23	Fri 5/19/23	142SS	147	CXBA,CXDEV,CXPM,CXTL	
144		Data Conversion Test Run 4 (UAT)	0%	20 days	Fri 8/18/23	Fri 9/15/23				
145		Execute Test Run 4 (Updates to Load and Transformation Scripts)	0%	20 days	Fri 8/18/23	Fri 9/15/23	87,142SS	146	CXDATA,IT	





ID	Task Mode	Task Name	% Work Complet	Duration	Start	Finish	Predecessors	Successors	Resource Initials	
146		<b>Data Conversion Test Run 4 Complete</b>	0%	0 days	Fri 9/15/23	Fri 9/15/23	145		CXPM	
147		Deliver UAT Fixes	0%	2 days	Fri 5/19/23	Tue 5/23/23	143	148,155FS+5 days	CXTL,CXDEV	
148		<b>Execute Iteration 2 UAT (Client)</b>	0%	8 days	Tue 5/23/23	Fri 6/2/23	147	149SS	PM,SME,TEST	
149		Provide Remote Iteration 2 UAT Support	0%	29 days	Tue 5/23/23	Mon 7/3/23	148SS	150	CXBA,CXDEV,CXPM,CXTL	
150		Deliver UAT Fixes	0%	1 day	Mon 7/3/23	Tue 7/4/23	149	151	CXTL,CXDEV	
151		Final Data Conversion Run	0%	1 day	Tue 7/4/23	Wed 7/5/23	150	152	CXTL,CXDEV	
152		<b>Final validation of UAT Fixes (Client)</b>	0%	2 days	Wed 7/5/23	Fri 7/7/23	151	159,158,154	PM,SME,TEST	
153		<b>Perform End User Training</b>	<b>0%</b>	<b>25 days</b>	<b>Fri 7/7/23</b>	<b>Fri 8/11/23</b>				
154		<b>Prepare for End User Training (Joint)</b>	0%	15 days	Fri 7/7/23	Fri 7/28/23	152	155	SME,PM,CXPM,CXTL,CXTRAIN	
155		<b>Conduct End User Training (Joint)</b>	0%	10 days	Fri 7/28/23	Fri 8/11/23	154,147FS+5		SME,PM,CXPM,CXTL,CXTRAIN	
156		<b>Stage 6 - Implementation</b>	<b>0%</b>	<b>18 days</b>	<b>Fri 7/7/23</b>	<b>Wed 8/2/23</b>				
157		<b>Go Live</b>	<b>0%</b>	<b>18 days</b>	<b>Fri 7/7/23</b>	<b>Wed 8/2/23</b>				
158		<b>Create Go Live Checklist</b>	0%	4 days	Fri 7/7/23	Thu 7/13/23	152	159	IT,PM,SME,TL,CXPM,CXTL	
159		<b>Provide System Acceptance</b>	0%	0 days	Thu 7/13/23	Thu 7/13/23	158,152	160	PM	
160		<b>GATE 5 - Pre-Go Live Tasks Complete?</b>	0%	0 days	Thu 7/13/23	Thu 7/13/23	159	161SS	CXPM	
161		<b>Go Live Dry Run</b>	0%	4 days	Thu 7/13/23	Wed 7/19/23	160SS	162	IT,TL,CXPM,CXTL,PM	
162		<b>Execute Go Live Checklist</b>	0%	4 days	Wed 7/19/23	Tue 7/25/23	161	163	IT,TL,CXPM,CXTL,PM,SME	
163		<b>Go Live</b>	0%	2 days	Tue 7/25/23	Thu 7/27/23	162	164SS,169,168	IT,TL,CXPM,CXTL,PM,SME	
164		<b>Go Live Support*</b>	0%	5 days	Tue 7/25/23	Tue 8/1/23	163SS	166,165SS+2 days	CXTL,BA,IT,TL	
165		Provide Client with Warranty Period Timeline (90d)	0%	1 day	Thu 7/27/23	Fri 7/28/23	164SS+2 days		CXPM	
166		Add Client to Escrow	0%	1 day	Tue 8/1/23	Wed 8/2/23	164		CXPM	
167		<b>Post Implementation support</b>	<b>0%</b>	<b>63 days</b>	<b>Thu 7/27/23</b>	<b>Tue 10/24/23</b>				
168		Deliver Project Completion Form to Client	0%	1 day	Thu 7/27/23	Fri 7/28/23	163	170	CXPM	
169		Warranty period	0%	63 days	Thu 7/27/23	Tue 10/24/23	163	171FF,170FF	CXPM,CXTL	
170		<b>Provide signed Project Completion Form (Client)</b>	0%	1 day	Mon 10/23/23	Tue 10/24/23	169FF,168		PM	
171		Warranty Expires - Last day to report Warranty Issues	0%	0 days	Tue 10/24/23	Tue 10/24/23	169FF		IT,TL,CXPM,CXTL,PM,SME	



## 8.B. Staffing Requirements

### 8.B.1 Key Implementation Services Team Members

**Provide a summary of all proposed key personnel. The Bidder will be responsible for providing all staff persons required to design, develop, and implement the new solution, and must possess the relevant background and experience to undertake this effort.**

#### Computronix Response:

Following is a high-level description of the Computronix team.

#### Computronix Project Team

Each position in the above structure has a distinct role to play in the project:

- During the initiation stage, the Project Manager plays an important role for defining the project schedule, stakeholder communications, agreeing upon the reporting cadence etc.
- During the Fit/Gap assessment stage, the Business Analysts take the lead role.
- During the Gap closure and data conversion stages, the Technical Lead will take the lead role, while the QA lead will take the lead to ensuring quality.
- Overseeing all of these, the operations managers review the charter and project execution effectiveness at pre-designated stage gates to ensure that the vision and charter objectives are being met throughout the project.

While the specific roles take the lead in various stages, the rest of the team will play a supportive role, bringing their own expertise to the project.

#### COMPUTRONIX PROJECT ROLES AND RESPONSIBILITIES

Role	Responsibilities
<b>Computronix Operations Manager</b> <b>Jeremy Harder</b>	<ul style="list-style-type: none"> <li>• Project steering committee participant</li> <li>• Helps manage client relationships for all projects</li> <li>• Responsible for project oversight</li> </ul>

Role	Responsibilities
<p><b>Computronix Project Manager</b> <b>Laura Fairchild</b></p>	<ul style="list-style-type: none"> <li>• Provides project oversight, detailed planning, and project execution</li> <li>• Organizes, mobilizes Computronix resources to fulfill project commitments</li> <li>• Ensures project is fulfilling objectives and meeting success criteria</li> <li>• Communicates project status to Computronix team, Steering Committee, the NLCC Project Manager, and other NLCC stakeholders (as identified)</li> <li>• Manages Computronix deliverables and interactions with the NLCC</li> <li>• Responsible for risk management</li> <li>• Responsible for quality management</li> </ul>
<p><b>Computronix Trainer</b> <b>To be assigned during project planning.</b></p>	<ul style="list-style-type: none"> <li>• Provide POSSE, Site Specific End User Training and System Administration training to the NLCC team members</li> </ul>
<p><b>Computronix Project Consultant/Strategic Advisor</b> <b>Peter Huizinga</b></p>	<ul style="list-style-type: none"> <li>• Responsible to advise Computronix team on POSSE best practice</li> <li>• Responsible to consult with COTS+ Architect on gap closure configuration</li> <li>• Computronix OCM Advisor</li> <li>• Initial Deliverable: Complete an On-Site Organizational Readiness and Change Management Capability Assessment, deliver assessment report to first Project Steering Committee meeting.</li> <li>• OPTIONAL: Responsible to advise BABLO team on OCM activities on an ad hoc basis as desired by BABLO</li> </ul>
<p>Computronix COTS+ Architect/Senior Technical Lead <b>Kudzai Mboko</b></p>	<ul style="list-style-type: none"> <li>• Responsible for technical aspects of the project</li> <li>• Provide oversight to Computronix technical resources</li> <li>• Design and oversees Administration Module setup and data conversion activities</li> <li>• Design and oversees gap closure configuration</li> <li>• Responsible for system quality</li> </ul>

Role	Responsibilities
<b>Computronix Business Analyst</b> <b>Ray Martin</b>	<ul style="list-style-type: none"> <li>• Assist with Project Planning</li> <li>• Support Initial Assessment, Fit/Gap, Data Conversion Activities and Testing</li> </ul>
<b>Computronix Database Analyst (DBA)</b> <b>To be assigned during project planning.</b>	<ul style="list-style-type: none"> <li>• Initial POSSE ABC installation and performance tuning</li> <li>• Prepare environments prior to each use for the project</li> <li>• Apply POSSE ABC and/or Oracle upgrades as specified with the POSSE Software License Agreement (Exhibit B)</li> </ul>
<b>Computronix Configuration/Implementation Specialist</b> <b>To be assigned during project planning.</b>	<ul style="list-style-type: none"> <li>• Configure modifications to POSSE ABC base system for implementation</li> <li>• Support for integration of the NLCC-specific requirements through the existing POSSE ABC system features and functions.</li> </ul>
<b>Computronix QA Lead</b> <b>To be assigned during project planning.</b>	<ul style="list-style-type: none"> <li>• Creates system test plans and scripts</li> <li>• Oversees the successful completion of system testing</li> </ul>

Provide the names, titles, locations, and brief background/biography summaries for personnel that NLCC would work with throughout the course of the implementation and post-implementation periods. Bidder shall name the following in their proposal:

**I. Senior Executive – Responsible for executive oversight with NLCC; has P&L responsibility for the product and services being offered.**

**II. Account Executive – Responsible for managing entire relationship with NLCC.**

**III. Project Manager – Responsible for leading the project team, will be the primary interface with NLCC project manager, and is responsible for day-to-day management of the project, including overall performance and contract compliance.**

**IV. Solution Architect – Responsible for ensuring the solution integrates with all applicable modules (Software Vendor modules as well as required third-party or legacy components), that overall security and data architectures are following best practices and that technical performance is stable and scalable.**

**V. Technical Architect – Responsible for technical aspects of the implementation and system architecture development, and to provide direct access to product release or development issues and opportunities.**

**VI. Functional Lead – Responsible for managing all functional aspects of the implementation such as the analysis, design, configuration, and associated testing activities.**

**VII. Service Manager – Responsible for all post-implementation service support, including release/patch management, call center/trouble ticket processes, escalation processes, and access to required support personnel as needed.**

**Computronix Response:**

Computronix will have the following people involved in this project:

Title	Computronix Team Member	Location
Senior Executive	Dave den Otter	Lakewood, CO
Supervising Operations Manager	Jeremy Harder	Lakewood, CO
Account Executive	Rob de Vries	Lakewood, CO
Project Manager	Laura Fairchild	Lakewood, CO
Solution/Technical Architect	Kudzai Mboko	Edmonton, Alberta, CAN
Functional Lead/Business Analyst	Ray Martin	Lakewood, CO
OCM Advisor/Strategic Advisor	Peter Huizinga	Edmonton, Alberts, CAN
Service Manager	Rich Isaac	Edmonton, Alberta, CAN

**Provide a staffing plan for Key Implementation Services Team Members for NLCC review and approval. Note: Key personnel are expected to lead key portions of the presentations and vendor finalist activities.**

**Computronix Response:**

For a description of the Computronix project roles and responsibilities please refer to Computronix response to 8.B.1 Key Implementation Services Team Members.

Please refer to the table on the following page for a high-level staffing plan for the project based on the proposed project schedule.

While the specific roles take the lead in various stages, the rest of the team will play a supportive role, bringing their own expertise to the project. It is expected that during the period from December through May the Computronix Tech Lead will be assisted by an Assistant Tech Lead to manage all of the required tasks. Also, during the project, additional staff will be added to complete the Computronix configuration tasks.



Activity	Planning	Planning/ GAP	GAP/Design	Gap/Design/ Config	Gap/Design/ Config	Config	Config	Config	Config/Sys Test	Train/UAT	UAT	Go Live	Warranty	Warranty	Warranty/ Close
Role – Name	Sep-22	Oct-22	Nov-22	Dec-22	Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-23	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23
<b>Project Manager</b> Laura Fairchild	80	80	80	80	80	80	80	80	80	80	80	80	40	40	40
<b>BA / Trainer</b> Ray Martin	120	120	120	120	80	80	80	80	80	80	80	20	20	20	
<b>Tech Lead / Des</b> Kudzai Mboko	120	120	120	120	80	80	80	80	80	80	80	80	20	20	40
<b>Sr Dev / DC – TBD</b>	80	80	160	160	160	160	160	160	80	40	80	20	20	20	40
<b>Int Dev / Des – TBD</b>			160	160	160	160	160	160	80	40	40				
<b>Int Dev / Des – TBD</b>			160	160	160	160	160	160	80	40					
<b>Int Dev / Des – TBD</b>					160	160	160	160	80	40					
<b>Int Dev / Des – TBD</b>					160	160	160	160	40	40					
<b>Jr Dev</b>					160	160	160	160	40	40					
<b>QA</b>	40	40	40	40	80	80	160	160	160	40	40	40	20		

**Provide a staffing plan detailing the number of personnel, level, roles and responsibilities, and team reporting relationships. The staffing plan should include elaboration of, and details related to, the following:**

**I. Organization chart/ diagram showing the proposed project team positions and reporting relationships.**

**Computronix Response:**

The Resource Loading Chart on the preceding page when tasks for each resource are expected to occur.

The following organizational illustrates the proposed team positions and reporting relationships.

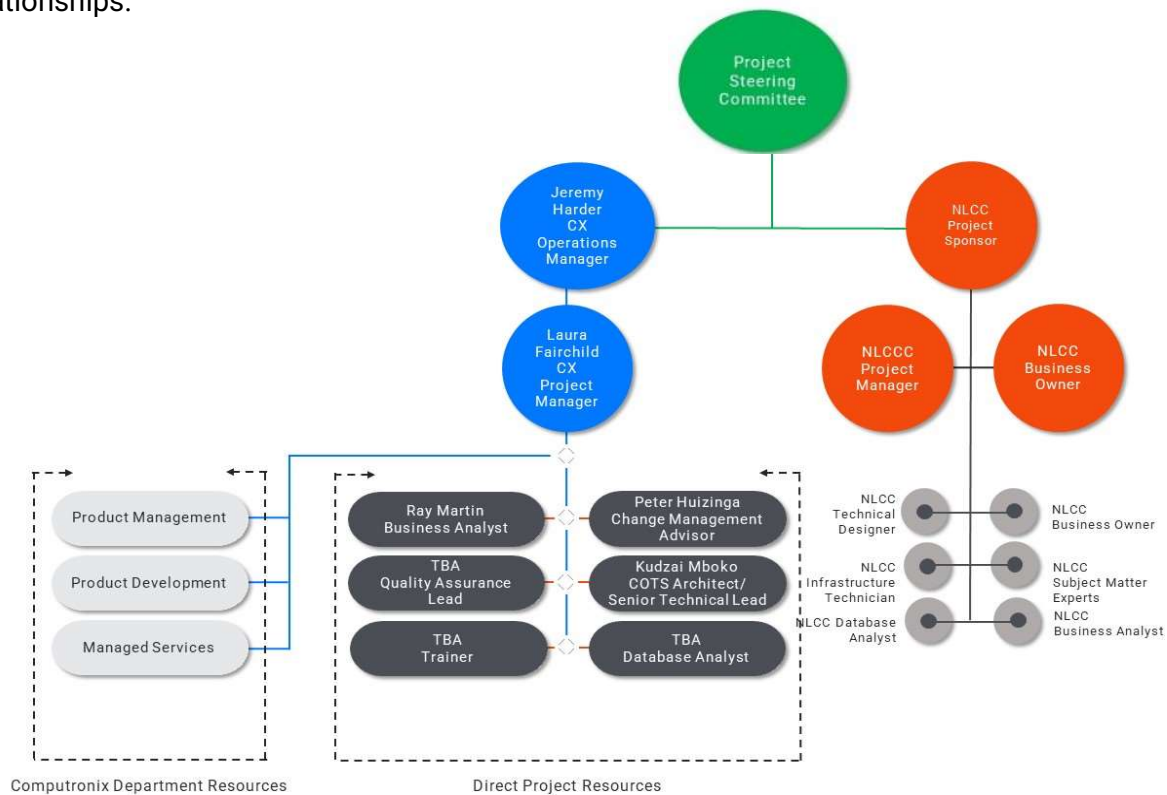


Figure 13. Proposed Organizational Chart



**II. Staff resource loaded chart for each major phase and each major work stream of the proposed plan and percent allocation.**

**Computronix Response:**

Please see the Staffing Chart provided in response to Requirement I. above.

**III. The chart should delineate between Bidder and NLCC staff and should reflect the estimated staff count by project phase, staff level and role for both teams.**

**Computronix Response:**

The project Gantt chart lists all tasks having NLCC involvement/responsibility with the Task Name column highlighted in Orange.

The Resource Loading Chart shows when tasks for each resource are expected to occur

**IV. Governance structure for Prime and Subcontractor Relationship, if applicable**

**Computronix Response:**

Not applicable.

**V. Proposed governance structure for Bidder and NLCC team**

**Computronix Response:**

The project will be governed by the Project Steering committee as shown in the Org. Chart Above in answer to question 1.

At a minimum, the Steering Committee shall be made up of the Client Project Sponsor, Computronix Operations Manager, Client Project Manager and the Computronix Project Manager. It is strongly recommended that senior representatives of the NLCC IT Staff and impacted business units also sit on the Steering Committee. The project managers and business analysts will advise the steering committee as appropriate and as requested. A typical Steering Committee is made up of 6 to 8 members.

The Project Steering Committee will:

- Attend steering committee meetings
- Provide overall direction to the project
- Ensure adequate project resourcing
- Support organizational change management
- Deliver corporate communications as required
- Authorize project scope, budget, and resources
- Approve Change Requests
- Sign off Deliverables and Project

**VI. Approach for integration and interaction with NLCC project team, including estimated percentage of time to be onsite. If percentage of onsite time will fluctuate based on phase or types of activity taking place, Bidder should identify how percentage of onsite time may be affected. Please also describe any company COVID-19 travel restrictions that may impact onsite presence.**

**Computronix Response:**

Over the duration of this project a total of 12 on-site visits are planned. On-site visit details are below and are referenced to corresponding line items in the project Gantt Chart. Computronix will comply with all state and federal Covid-19 travel restrictions in place at the time of each planned visit.

Project Kick-off – 3 days (Reference Gantt Chart line #21)

Data Conversion Mapping & Mentoring – 2 days (Reference Gantt Chart line #54)

Orientation Session – 2 days (Reference Gantt Chart line #62)

Fit/Gap Session #1 – 3 days (Reference Gantt Chart line #63)

Fit/Gap Session #2 – 3 days (Reference Gantt Chart line #64)

Fit/Gap Session #3 – 3 days (Reference Gantt Chart line #65)

Design Review – 3 days (Reference Gantt Chart line #94)

In Progress Demo – 3 days (During Configuration - Reference Gantt Chart line #100)

Pre-UAT Training #1 – 2 days (Reference Gantt Chart line #130)

Administration Training – 2 days (Reference Gantt Chart line #138)

Go Live Support – 5 days (Reference Gantt Chart line #163)

Client Support Trip – 2 days (TBD)

Our approach to travel planning is based on our decades long track record of what works best based in supporting our clients during the implementation of similar projects. Computronix will be onsite depending on the Stage of development:

Stage 1 – Project Planning and Kick-off - Percentage of time onsite = 11%

Stage 2 – Initial Configuration, Installation & Orientation - Percentage of time onsite = 0%

Stage 3 – Requirements/Fit Gap Analysis - Percentage of time onsite = 13%

Stage 4 – Configuration/Gap Closure - Percentage of time onsite = 4%

Stage 5 – Pre-UAT and UAT - Percentage of time onsite = 3%

Stage 6 – End User Training and Implementation - Percentage of time onsite = 28%

**Using the tables below as templates, Bidder should provide an overview of the experience of proposed Key Implementation Services Team Members and résumés.**

**Computronix Response:**

Computronix has completed Table 10 in the following section. Resumes have been provided following 8.B.2.

### 8.B.2. Key Implementation Services Team Member Experience

**Provide an overview of the experience of each Key Implementation Services Team Members identified in Table 10 below (repeat the table below for each key team member):**

**Key Implementation Services Team Members include the Project Manager, Project Executive, Project Manager, Solution Architect, Technical Architect, Functional Lead, and Service Manager.**

**Bidder may insert additional tables to identify other roles that the Bidder considers to be a Key Implementation Services Team Member.**

**Computronix Response:**

Computronix has completed the following table as directed by the RFP.

**Table 10. Key Implementation Services Team Member Experience**

Information Requested	Response
<b>Team Member Name</b>	Jeremy Harder
<b>Team Member Role</b>	Operations Manager
<b>Team Member Years of Experience in Role</b>	3
<b>Summary Qualifications and Experience of Team Member</b>	<ul style="list-style-type: none"> <li>■ Environment development</li> <li>■ Data structure, process, and user interface design</li> <li>■ Experience with key software/languages as well as hardware/operating systems</li> </ul>
<b>Team Member Professional Certification(s)</b>	N/A

Information Requested	Response
<b>Team Member Name</b>	Laura Fairchild
<b>Team Member Role</b>	Project Manager
<b>Team Member Years of Experience in Role</b>	7
<b>Summary Qualifications and Experience of Team Member</b>	<p>Project management including:</p> <ul style="list-style-type: none"> <li>○ Integration</li> <li>○ Data conversion</li> <li>○ Third-party software integration/interfaces</li> <li>○ Multi-phase implementation</li> <li>○ Schedule management</li> <li>○ Budget oversight</li> </ul>
<b>Team Member Professional Certification(s)</b>	<ul style="list-style-type: none"> <li>● Project Management Professional Designation – Project Management Institute</li> <li>● Certified Scrum Product Owner</li> <li>● Six Sigma Black Belt</li> </ul>

Information Requested	Response
<b>Team Member Name</b>	Kudzai Mboko
<b>Team Member Role</b>	Solution Architect/Technical Lead
<b>Team Member Years of Experience in Role</b>	5
<b>Summary Qualifications and Experience of Team Member</b>	<p>Knowledge catalogue for software languages and hardware systems.</p> <p>Support on recent ABC projects.</p>
<b>Team Member Professional Certification(s)</b>	Oracle PL/SQL Developer Certified Associate

Information Requested	Response
<b>Team Member Name</b>	Ray Martin
<b>Team Member Role</b>	Business Analyst
<b>Team Member Years of Experience in Role</b>	4
<b>Summary Qualifications and Experience of Team Member</b>	<ul style="list-style-type: none"> <li>■ Conducts Fit-Gap requirements and analysis sessions</li> <li>■ Creates final requirements document</li> <li>■ Demonstrates standard product functionality to clients</li> <li>■ Works with development teams and clients to ensure designs meet required functionality</li> <li>■ Creates training materials</li> </ul>
<b>Team Member Professional Certification(s)</b>	Certificate – Pragmatic Marketing Memberships: <ul style="list-style-type: none"> <li>○ International Institute of Business Analysis (IIBA)</li> <li>○ Institute of Electrical and Electronics Engineers (IEEE)</li> </ul>

Information Requested	Response
<b>Team Member Name</b>	Peter Huizinga
<b>Team Member Role</b>	OCM Consultant
<b>Team Member Years of Experience in Role</b>	28+
<b>Summary Qualifications and Experience of Team Member</b>	<ul style="list-style-type: none"> <li>■ Implementing project governance and delegation of authority structures</li> <li>■ Facilitating senior management reporting and meetings</li> <li>■ Supporting organizational and project change management</li> <li>■ Business process reengineering, business analysis</li> <li>■ Software project management and oversight</li> <li>■ Solution design and development</li> <li>■ Software development and data conversion oversight</li> <li>■ Leadership development</li> <li>■ Corporate assessments and surveys</li> <li>■ Conducting 1:1 leadership consulting</li> </ul>
<b>Team Member Professional Certification(s)</b>	PROSCI Change Management Practitioner (CMP) Project Management Professional Designation – Project Management Institute

### 8.B.3. Key Implementation Services Team Member Resumes

The Bidder should provide resumes for all personnel proposed by the Bidder to work on the project, including all Key Implementation Services Team Members. NLCC 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 solicitation 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 that may be relevant to the delivery of the services requested in this RFP, 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 NLCC.

**Computronix Response:**

Computronix has provided resumes of the following key members of the proposed project team. Computronix does not provide team member references in public facing documents but can provide this information upon request of NLCC, with appropriate confidentiality restrictions.

Title	Computronix Team Member
Supervising Operations Manager	Jeremy Harder
Project Manager	Laura Fairchild
Solution/Technical Architect	Kudzai Mboko
Functional Lead/Business Analyst	Ray Martin
OCM Advisor/Strategic Advisor	Peter Huizinga



**JEREMY HARDER**  
**OPERATIONS MANAGER**  
Denver, Colorado



IT expert with over 15 years of leadership, software development and technical lead experience with Computronix.

## SKILLS

- Manages services including but not limited to project management, implementation, support, and maintenance
- Responsible for oversight of all services projects run out of the Denver office. These responsibilities include ensuring our project teams have the resources they need to be successful, engaging with client leadership and management of the budget of the Denver Operations group.

## EXPERIENCE

### **OPERATIONS MANAGER • COMPUTRONIX • 2019 – PRESENT**

Jeremy has been serving as the Operations Manager for the Denver office since 2019. As Operations Manager, he has had oversight over Computronix's engagements with the following clients:

- City of Riverside, California
- City of Dallas, Texas
- Broward County, Florida
- Hamilton County, Indiana
- City and County of Honolulu, Hawaii
- Douglas County, Colorado
- Henrico County, Virginia
- Madera County, California
- Mecklenburg County, North Carolina
- State of New Jersey Division of Alcoholic Beverage Control
- State of Arizona Department of Liquor Licenses and Control
- State of Kansas Division of Alcoholic Beverage Control
- State of Pennsylvania Liquor Control Board
- State of Missouri Division of Alcohol and Tobacco Control

### **TECHNICAL LEAD • COMPUTRONIX • 2005 – 2019**

Jeremy served as a Technical Lead at Computronix for 14 years, overseeing teams of Developers, being the primary point of contact for technical questions for our clients, and being responsible for the solution implemented for our clients. At times he was also responsible for project management and project administration for a number of these clients, in addition his technical leadership responsibilities.



**JEREMY HARDER**  
**OPERATIONS MANAGER**  
Denver, Colorado



Jeremy served as a Technical Lead for the following Computronix clients:

- BC Safety Authority
- Alberta Environment
- BC Ministry of Environment
- City of Surrey
- City of Calgary
- BC Liquor and Cannabis Regulation Branch
- State of New Jersey Division of Alcoholic Beverage Control
- State of Arizona Department of Liquor Licenses and Control
- State of Kansas Division of Alcoholic Beverage Control
- State of Pennsylvania Liquor Control Board
- State of Missouri Division of Alcohol and Tobacco Control

**DEVELOPER • COMPUTRONIX • 2002 – 2005**

## EDUCATION

- BACHELOR OF SCIENCE – COMPUTING SCIENCE WITH MINOR IN BUSINESS, UNIVERSITY OF ALBERTA





**LAURA FAIRCHILD**  
**PROJECT MANAGER**  
Denver, Colorado



PMI-certified project manager with more than 20 years' experience with software development and enterprises software projects

## SKILLS

- Project management including:
  - Integration
  - Data conversion
  - Third-party software integration/interfaces
  - Multi-phase implementation
  - Schedule management
  - Budget oversight

## EXPERIENCE

### PROJECT MANAGER • COMPUTRONIX • 2015 – PRESENT

Recent projects where Laura Fairchild has provided project management leadership include:

- Halifax Regional Municipality
- City and County Honolulu Department of Planning and Permitting, Hawaii
- Arizona Department of Liquor Licensing and Control
- Pennsylvania Liquor Control Board
- California Department of Alcoholic Beverage Control

### 3M • 2011 – 2014

- Product Manager
- Project Management Office/Risk Manager, 2007 - 2014

### ARCHON TECHNOLOGIES • 2005 – 2011

- Implementation/Project Manager, 2005 – 2007
- Business Analyst, 2002 - 2005

## EDUCATION AND CERTIFICATIONS

- BACHELOR OF ARTS, COMPUTER APPLCATIONS IN CHEMISTRY, UNIVERSITY OF COLORADO
- PROJECT MANAGEMENT PROFESSIONAL DESIGNATION, PROJECT MANAGEMENT INSTITUTE
- CERTIFIED SCRUM PRODUCT OWNER
- SIX SIGMA BLACK BELT



**RAY MARTIN**  
**BUSINESS ANALYST**  
Denver, Colorado



Business Analyst with 20+ years' experience working with large government clients, providing software product requirements development and management

## SKILLS

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- Conducts Fit-Gap requirements and analysis sessions
- Creates final requirements document
- Demonstrates standard product functionality to clients
- Works with development teams and clients to ensure designs meet required functionality
- Creates training materials

## EXPERIENCE

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### **BUSINESS ANALYST • COMPUTRONIX • 2018 – PRESENT**

Ray has managed key projects for the following Computronix clients:

- Alcohol and Gaming Commission of Ontario
- Louisiana Department of Alcohol and Tobacco Control
- Henrico County, VA
- Madera County, CA

### **PRODUCT MANAGER • TRIMBLE INC • 2016 – 2018**

### **SENIOR PRODUCT MANAGER • XILINX INC • 2008 – 2016**

## EDUCATION, CERTIFICATIONS, AND MEMBERSHIPS

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- BACHELOR OF SCIENCE – ELECTRICAL ENGINEERING, SAN DIEGO STATE UNIVERSITY, SAN DIEGO, CA
- CERTIFICATION – PRAGMATIC MARKETING
- MEMBERSHIPS – INTERNATIONAL INSTITUTE OF BUSINESS ANALYSIS (IIBA), INSTITUTE OF ELECTRICAL AND ELECTRONICS ENGINEERS (IEEE)



**KUDZAI MBOKO**  
**TECHNICAL LEAD**  
Edmonton, Canada



Experienced solution architect/technical lead with over 12 years' experience with software development, programming, system analysis, and technical leadership with focus on alcohol beverage control software

## SKILLS

### ■ Hardware Skills:

- Microsoft Windows (98, ME, 2000, XP, Vista, Windows 7, Windows 8)
- Basic Computer Hardware Upgrade and repair

### ■ Software Skills:

- Crystal Reports
- Visual Studio 2005, 2008, 2010, 2012
- Oracle Reports
- Informatica ETL
- Business Objects

### ■ Software Languages:

- VB.Net
- C#.Net
- Java, JavaEE
- ADO.Net
- ASP.net
- PHP
- Python
- Perl
- DevExpress Suite
- HTML, HTML5, XML, XHTML
- CSS, CSS2, CSS3
- Javascript
- Ajax
- JQuery,
- SQL, MySql, Linq to SQL, PL/SQL
- Oracle,
- Apache, IIS 7

## EXPERIENCE

### **SOLUTIONS ARCHITECT/TECHNICAL LEAD • COMPUTRONIX • JAN. 2017 – PRESENT**

Kudzai has supported business analysis projects for the following Computronix clients:

- Henrico County, VA – Land Management System (LMS)
- Louisiana State – Alcohol and Beverage Control (ABC)
- Pittsburgh, PA – Land Management System (LMS)
- PLCB – Alcohol and Beverage Control (ABC)

### **DEVELOPER • 2009 – 2017**

## EDUCATION AND CERTIFICATIONS

- COMPUTER SYSTEMS TECHNOLOGY – NORTHERN ALBERTA INSTITUTE OF TECHNOLOGY
- ORACLE PL/SQL DEVELOPER CERTIFIED ASSOCIATE



**PETER HUIZINGA**  
**OCM CONSULTANT**  
Edmonton, Alberta



- Senior management consultant with 28+ years of experience in the information systems industry experience with Computronix.
- OCM consultant with 10 years specializing in leadership development, corporate culture and change management.

## SKILLS

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- Implementing project governance and delegation of authority structures
- Facilitating senior management reporting and meetings
- Supporting organizational and project change management
- Business process reengineering, business analysis
- Software project management and oversight
- Solution design and development
- Software development and data conversion oversight
- Leadership development
- Corporate assessments and surveys
- Conducting 1:1 leadership consulting

## EXPERIENCE

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**CORPORATE MANAGEMENT CONSULTANT/ORGANIZATIONAL CHANGE MANAGEMENT (OCM) ADVISOR/BUSINESS ANALYST • COMPUTRONIX • JAN 2016 – PRESENT**

**MANAGER, BHO (BUILDING HEALTHY ORGANIZATIONS) GROUP • COMPUTRONIX • JAN 2012 – PRESENT**

**PROJECT/ACCOUNT MANAGER • COMPUTRONIX • DEC 2003 – JAN 2012**

**BUSINESS ANALYST • COMPUTRONIX • FEB 1995 – FEB 2010**

**SOFTWARE DEVELOPER / DATABASE DESIGNER • COMPUTRONIX • JUL 1993 – JUN 1997**

## DESIGNATIONS

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- M.A. (GLOBAL LEADERSHIP)
- CHARTERED DIRECTOR (C.DIR)
- PROSCI CHANGE MANAGEMENT PRACTITIONER (CMP)
- PROJECT MANAGEMENT CERTIFICATE

## 8.C. Bidder References

Using the Table 11 Corporate Reference Template below, provide references for three (3) projects completed within the last five (5) years that showcase the Bidder's experience in defining, developing, and deploying a solution similar to NLCC's business and technical requirements as described in this RFP and the scope and complexity of the CAMP initiative.

Identify roles on any included reference projects that were performed by Key Implementation Services Team Member Experience (as listed in Table 10: Key Implementation Services Team Member Experience) proposed for the implementation. In describing the reference projects, the Bidder must refer to the Bidder's experience as well as applicable involvement of any subcontractors. If the work was performed as a subcontractor, the narrative description should identify the same information as requested for the contractors.

If the Bidder intends to subcontract any part of its performance hereunder, the Bidder should provide:

1. Name, address, and telephone number of the subcontractor(s)
2. Specific tasks for each subcontractor(s)
3. Percentage of performance hours intended for each Subcontract
4. Total percentage of subcontractor(s) performance hours.

References where the Bidder has previously worked with the identified partner or subcontractor should be noted and are preferred. Additionally, provide a description of how the corporate relationship with your proposed partners or subcontractors has contributed to the success of past projects.

### Computronix Response:

Computronix has completed Table 11 for three references as directed by the RFP. Computronix has not proposed the use of any subcontractors in our proposed solution.

## Table 11. Corporate Reference Template

### REFERENCE 1

Information Requested	Response
<b>Reference Organization Name</b>	State of Louisiana Office of Alcohol and Tobacco Control (LA ATC)  Website: <a href="https://atc.louisiana.gov/">https://atc.louisiana.gov/</a>
<b>Reference Organization Primary Function</b>	Alcohol and tobacco control licensing and enforcement
<b>Reference Contact Name and Title</b>	Ernest Legier, Commissioner
<b>Reference Contact Telephone Number</b>	504.568.7028
<b>Reference Contact Email Address</b>	<a href="mailto:ernest.legier@atc.la.gov">ernest.legier@atc.la.gov</a>
<b>Project Name</b>	Alcohol and tobacco control licensing permit solution  (System name: Phoenix Rising)
<b>Number of Users Involved</b>	75
<b>Contract Size (approximate total cost)</b>	\$2.5 million USD
<b>Project Start Date</b>	October 1, 2019
<b>Project End Date (Planned, Actual)</b>	Planned: December 2020; Actual: May 2021
<b>Narrative Description of the Solution Implemented / Scope of Services Provided</b>	Alcohol and Tobacco Permitting and Licensing with Mobile Enforcement. This included the provision of POSSE ABC software, and all required Implementation and Training Services, including project planning and management, Fit-Gap Analysis and System Design, System interfaces and integration, data conversion (taken over from previous contractor and completed).  Please see Commissioner Ernest Legier’s personal project recap in Section 4.B, Question 2.

Information Requested	Response
<p><b>Implementation Challenges and How Bidder Addressed these Challenges</b></p>	<p><b>Challenge 1: Potential schedule slip due to Mardi Gras</b></p> <p>Requirement analysis sessions were at risk for completion because they would need to be completed prior to the event or postponed for a month.</p> <p><b>Addressed:</b> The client, and our Business Analyst and Technical Lead agreed to accelerate meetings to be finished in early March.</p> <p><b>Challenge 2: Additional scope, additional cost</b></p> <p>The Commissioner agreed to allow us to update the Office of ATC’s Standard Operating Procedures (SOP) manual with information and screen shots of the new POSSE ABC system.</p> <p>Addressed: While this added cost to the project, it provided immediate benefit for training and reference material. In addition, new staff onboarding became much easier and the staff involved in reviewing the documentation stayed engaged in the project and became educated testers.</p> <p>Any ROI calculation on this type of work should consider Stakeholder Engagement value, Pre-UAT Training value, UAT Time and Quality, and End User Training value.</p> <p><b>Challenge 3: Subcontractor management</b></p> <p>The third party initially engaged by ATC to perform data conversion was unable to fulfill their commitment.</p> <p><b>Addressed:</b> Computronix scoped and priced data conversion. leading to additional costs and schedule delays on the project.</p> <p>Data conversion is a risky undertaking, requiring senior resources and deep knowledge of the systems on both the product and customer’s side. Significant time is needed to review and understand the source and destination data, so that the new system functions as expected.</p>
<p><b>Bidder’s Project Manager</b></p>	<p>David Vroon</p>

Information Requested	Response
<b>Bidder's proposed Key Implementation Services Team Members and their roles on this project, including subcontractors / partners</b>	<ul style="list-style-type: none"> <li>• Yitzik Csillag – Technical Lead</li> <li>• Kudzai Mkobo – Assistant Technical Lead (proposed as Technical Lead for Nebraska CAMP project)</li> <li>• Ray Martin - Business Analyst (proposed as Functional Lead/BA for Nebraska CAMP project)</li> </ul>
<b>Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully</b>	N/A
<b>Indicate whether the work was performed as the prime contractor or as a subcontractor.</b>	Computronix delivered all software and performed all services as the sole contractor.

**REFERENCE 2**

Information Requested	Response
<b>Reference Organization Name</b>	State of Arizona Department of Liquor Licensing and Control (AZ DLLC)  Website: <a href="https://azliquor.gov/index.cfm">https://azliquor.gov/index.cfm</a>
<b>Reference Organization Primary Function</b>	Alcohol control licensing and enforcement
<b>Reference Contact Name and Title</b>	Wes Kuhl, Sergeant-Supervisor
<b>Reference Contact Telephone Number</b>	602.542.9072
<b>Reference Contact Email Address</b>	<a href="mailto:wes.kuhl@azliquor.gov">wes.kuhl@azliquor.gov</a>
<b>Project Name</b>	E-Licensing and Imaging System Replacement  (System name: Electronic Liquor License and Investigations (ELLI))
<b>Number of Users Involved</b>	50
<b>Contract Size (approximate total cost)</b>	\$1.7 million USD
<b>Project Start Date</b>	June 2016
<b>Project End Date (Planned, Actual)</b>	February 2018



Information Requested	Response
<p><b>Narrative Description of the Solution Implemented / Scope of Services Provided</b></p>	<p>The Arizona System contains the Staff Portal (back office system) for licensing and enforcement processes, and the Customer Portal to support online services components. Additionally, Arizona operates in a Computronix-hosted deployment under a multi-year SaaS licensing agreement.</p> <p>Arizona DLLC chose Computronix to implement its POSSE ABC-powered ELLI.</p> <p>ELLI went live in February 2018, averaging 250 new licenses and 600 renewals per month. More than 25 different license types provide for the legal production, sale and/or service of liquor at locations, which include airplanes, trains, watercraft, restaurants, liquor stores and other retailers, hotels, bars, distillers, distributors, and special events. Computronix was responsible for all elements of the project, including project management, requirements definition, data conversion, and final system implementation.</p> <p>Fifty State users utilize the ELLI system, leveraging the powerful capabilities of the POSSE ABC Licensing and Enforcement modules. The system is hosted in Computronix's POSSE Cloud hosting service.</p>
<p><b>Implementation Challenges and How Bidder Addressed these Challenges.</b></p>	<p><b>Challenge 1: Budget</b>  <b>The client had a very constrained project budget.</b></p> <p><b>Addressed:</b> Budget expenses had to be managed very carefully, with virtually no freedom to approve Change Requests for scope additions/changes through the initial project.</p> <p><b>Challenge 2:</b>  <b>DLLC's data conversion contractor was unfamiliar with Oracle.</b></p> <p><b>Addressed:</b> Computronix created a SQL Server environment for the subcontractor to work in effectively and then exported the data from the SQL Server database into an Oracle database.</p>
<p><b>Bidder's Project Manager</b></p>	<p>Laura Fairchild</p>

Information Requested	Response
<b>Bidder's proposed Key Implementation Services Team Members and their roles on this project, including subcontractors / partners</b>	Jeremy Harder, Technical Lead
<b>Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully</b>	N/A
<b>Indicate whether the work was performed as the prime contractor or as a subcontractor.</b>	Computronix delivered all software and performed all services as the Primary and Sole Contractor

### REFERENCE 3

Information Requested	Response
<b>Reference Organization Name</b>	Alcohol and Gaming Commission of Ontario (AGCO) Website: <a href="https://www.agco.ca/">https://www.agco.ca/</a>
<b>Reference Organization Primary Function</b>	Alcohol, cannabis, and gaming/gambling control licensing and enforcement
<b>Reference Contact Name and Title</b>	Susan Mainella, Director, Project Management Office
<b>Reference Contact Telephone Number</b>	647.933.1851 (office) 416.518.9564 (cell)
<b>Reference Contact Email Address</b>	<a href="mailto:Susan.Mainella@agco.ca">Susan.Mainella@agco.ca</a>
<b>Project Name</b>	Regulatory Assurance System (RAS) project (System name: iAGCO)
<b>Number of Users Involved</b>	600
<b>Contract Size (approximate total cost)</b>	\$6 million USD
<b>Project Start Date</b>	Requirements Finalization: March 2015 – March 2016 Implementation Project Start: March 2016
<b>Project End Date (Planned, Actual)</b>	October 2020

Information Requested	Response
<p><b>Narrative Description of the Solution Implemented / Scope of Services Provided</b></p>	<p>AGCO serves the Province of Ontario, Canada (Population: 14.57 million). The scope of business regulated by the AGCO includes liquor, recreational cannabis, gaming/gambling, and horseracing. Beginning in 2015 and concluding in October 2020, AGCO undertook a sweeping enterprise-wide business transformation and modernization program, called its Regulatory Assurance Solution” (RAS) initiative, to update and migrate the corporation’s operating model to a consolidated, risk-based/risk-centric program and new streamlined go-forward licensing and enforcement business processes.</p> <p>Computronix used its POSSE ABC software system to provide the corporation with it new iAGCO Customer Portal, a new Staff Portal (back-office system), an integrated, iPhone-based Mobile Enforcement component, and extensive, integrated ad-hoc reporting, real-time dashboarding, and business intelligence services. Computronix provided all software, implementation and training services, including project management, business analysis, system configuration, system integration, training, data conversion, knowledge transfer and support. The system includes interfaces to on-line payment and address validation systems. Over 600 AGCO internal staff users are supported.</p>
<p><b>Implementation Challenges and How Bidder Addressed these Challenges</b></p>	<p><b>Challenge 1:</b>  <b>Client Consensus Culture Delays in Approvals</b>  <b>Addressed:</b> Computronix used a combination of procedural improvements, escalation to management, and instituting group design reviews. In addition, more time was allotted in subsequent phases for realistic design approval cycles.</p> <p><b>Challenge 2:</b>  <b>Initial phase did not allow enough time for a thorough analysis and documentation of the source data.</b>  <b>Addressed:</b> Subsequent phases re-assigned the conversion work to more senior individuals, allowed more time for data conversion effort, and aligned dates so that the conversion plan and converted data were ready in time for review and acceptance testing.</p>
<p><b>Bidder’s Project Manager</b></p>	<p>David Vroon</p>

Information Requested	Response
<p><b>Bidder's proposed Key Implementation Services Team Members and their roles on this project, including subcontractors / partners</b></p>	<ul style="list-style-type: none"> <li>• Brad Veenstra, Technical Lead</li> <li>• Eric Hoogendorn, Business Analyst</li> <li>• Peter Huizinga, Change Management Advisor / Strategic Advisor (proposed as Organizational Change Management Advisor / Strategic Advisor for the Nebraska CAMP project)</li> </ul>
<p><b>Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully</b></p>	<p>N/A</p>
<p><b>Indicate whether the work was performed as the prime contractor or as a subcontractor.</b></p>	<p>Computronix delivered all software and performed all services as the sole contractor.</p>

## 8.D. Project Management Approach

**Describe the approach to overall project management and integration of all activities required by the RFP. This section must include:**

**1. Project Management Methodology (and compliance with Project Management Institute (PMI) standards);**

### Computronix Response:

The Computronix Project Management Best Practices are consistent with the Project Management Framework and best practices described in the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK).

To ensure project success and a high quality of deliverables, the project will put in place two Project Managers – a Computronix Project Manager and NLCC Project Manager. The Computronix Project Manager is responsible for the success of the software delivery portion of the project while the NLCC Project Manager is responsible with support from the client Business Owner and client Project Sponsor for the overall project including client organizational change management, internal and external stakeholder communication, marketing and onboarding, potentially required changes and amendments to legislation, regulations, processes and procedures.

The Nebraska CAMP project will be delivered using a single phased iterative waterfall-based approach allowing for adjustments and learning as the project progresses. The project approach hinges on the expectation that ABC product inherently meets the requirements of the CAMP project. The implementation will be divided into six stages that will allow all stakeholders to clearly understand project progress. Please see Computronix's response to Section 8.A. for a detailed description of our Stage approach.

**2. Communications Management Approach;**

### Computronix Response:

The Computronix Communications Plan captures communications requirements at several levels. First, it identifies communications between NLCC and its relevant external stakeholders and customers. Additionally, there are typically internal reporting requirements including reporting to senior levels of management, related and interested departments and divisions, and within the divisions that are specifically impacted by the implementation of POSSE ABC. There is also a need to keep staff accurately informed on the progress and key decisions within the project. The communication plan is not intended to replace Organizational Change Management or an OCM plan but is in support of that effort. Computronix believes NLCC is responsible for OCM.

Second, the Communications Plan addresses the communications within the structure of decision making and responsibility for the successful implementation of the Project. These communications support the link between the Client and Computronix.

Within both of these networks of communications there are a number of documents and tools such as SharePoint and a common project folder already defined that will support the successful implementation of the Project. The existing and proposed documents and tools are identified in this document along with the intended applications of them.

### **3. Issue Resolution Methodology; and**

#### **Computronix Response:**

Computronix will supply an Issue Tracking system for use on the project. This Issue Tracking system will be used to document and manage all system related issues during the UAT and warranty periods. Computronix will provide training to NLCC staff in the usage of the Issue Tracking System and the method for reporting issues prior to the need to use the system.

All issues raised as defects are assigned to the NLCC Project Manager for review prior to submission to Computronix. The NLCC Project Manager will determine if the defect is valid, based on the scope baseline. If it is determined that the defect raised is not a valid defect as defined above, (i.e., it is determined that the System component is performing as specified), then NLCC will take no further action, other than to withdraw the defect and/or raise a request for an enhancement. The NLCC Project Manager will assign valid defects to Computronix for investigation and resolution.

Defects will be added to a queue of other Defects, which is sorted by severity. Severity will be confirmed during regularly scheduled review meetings between the Computronix and NLCC Project Managers. Defects will be resolved in order of severity and prepared for testing or re-testing in the Test environment. Every effort will be made to assign the resolution of Defects to the original resource to ensure the context relevant to the Defect is understood.

### **4. Risk Management Methodology.**

#### **Computronix Response:**

Every project inherently contains risks. An effective risk management process provides a method to identify new risk during the project, allowing NLCC to:

- Identify, describe, and evaluate potential project risks
- Define mitigation strategies as needed
- Monitor the identified risks throughout the project

The Risk Management Plan documents the processes, roles, responsibilities, and management technique to be utilized by NLCC to manage and control risks. A project specific Risk Management Plan will be developed, delivered, reviewed, and approved as part of the Stage 1 – Project Planning and Kick-off deliverables at the start of the project.

**Identify key implementation risks and risk mitigation strategies of the solution based on Bidder experience.**

**Computronix Response:**

A project specific Risk Management Plan will be developed, delivered, reviewed, and approved as part of the Stage 1 – Project Planning and Kick-off deliverables at the start of the project.

**Provide a sample risk register that will be used throughout project implementation to identify, monitor and control risks and issues.**

**Computronix Response:**

Computronix uses a combination of Risk Register, Action Item tracker, Issues, and Decisions (RAID) log. A sample of the Computronix RAID log template is provided at the end of this section.

**Describe quality management approach and methodology.**

**Computronix Response:**

The Quality Plan identifies the procedures, resources, and activities that will check for and ensure quality in the administration of the project and in the software system that Computronix delivers to NLCC. A project specific Quality Management Plan will be developed, delivered, reviewed and approved as part of the Stage 1 – Project Planning and Kick-off deliverables at the start of the project.

**Describe Configuration Management Methodology.**

**Computronix Response:**

Configuration Management is the process of determining and tracking the state of the system and any changes to the system. The project scope baseline will be the “future state” of the system configuration. During implementation of the proposed system solution, Computronix uses our built-in software tools that track and manage change sets.

Change sets provide tracking and traceability to know what changes were implemented and when. This allows the current state of the configuration to be known during implementation. Computronix uses the following environments during the project implementation to manage and control configuration: a development environment, a test environment, a client test environment, and a production environment.

Specific testing requirements must be completed before any software changes from the development can be moved in the test, then client test, and finally production environment. Throughout the project lifecycle Computronix maintains control of the configuration.

**Describe Change Control Methodology.**

**Computronix Response:**

Scope Management is a joint responsibility of the Computronix Project Manager and the NLCC Project Manager. The project team naturally plays a significant role in the management of scope and ultimately the success of the project.

The scope of the project is defined in the SOW.

The change control process is initiated when Computronix and/or NLCC determine that a change is required to the current scope or schedule baseline at the time the change is identified. Changes to the project scope, schedule and costs will be managed as follows:

- The Computronix Project Manager documents the change on behalf of NLCC, or NLCC creates the change, using the agreed-to change request form.
- The NLCC Project Manager, with support from business champions, the steering committee and others, evaluates the change request for completeness and validity, suggesting changes as needed.
- The change request is forwarded to the Computronix Project Manager to be added to the Change Log.
- Computronix will determine the feasibility of the change request, and if the work is feasible Computronix will estimate effort and cost and document the impact to the project if the change were to proceed. The Computronix Project Manager then sends the change request to the NLCC Project Manager.
- The NLCC reviews the Change Request and if reasonable and complete, presents the change request to the Steering Committee for review. If approved, the change request form is signed and dated. If the change request is not approved, the NLCC Project Manager will inform the Computronix Project Manager of this, and the change request will be marked as declined and no further effort will be put into it.
- The Change Log will be updated with the status of the Change Request.
- If a statement of work or contract amendment is required, the Computronix Project Manager will forward to the NLCC Project Manager.

The NLCC Project Manager sends the approved change request form and other documentation to the Computronix Project Manager who will acknowledge receipt via email. At this point, the project plan documentation and/or the Fit/Gap Requirements Report are updated.



## RAID LOG TEMPLATE

<Project Name> – Action Items								
ID #	Status	Opened Date	Target Date	Closed Date	Priority	Owner	Action	Comments

<Project Name> – Computronix Action Items							
ID #	Status	Opened Date	Target Date	Closed Date	Owner	Action	Comments

<Project Name> – Project Risk Assessment Log																
ID #	Identified By	Status	Risk Category	Description of Risk	Probability	Prob calc	Impact	Impact calc	Exposure	Owner	Analysis of Cause of Risk	Trigger	Timeframe	Response	Mitigation Options,	Response Plan

<Project Name> – Project Issues Log									
ID #	Identified by	Status	Priority	Reported Date	Due Date	Closed Date	Owner	Description	Resolution

<Project Name> – Project Decision Log					
ID #	Status	Decision Date	Description	Resources Involved	Comments

<Project Name> – Project Assumption Log							
ID #	Identified By	Status	Validation Date Due	Owner	Area Impacted	Description	Comments

<Project Name> – Project Constraint Log							
ID #	Identified By	Status	Validation Date Due	Owner	Area Impacted	Description	Comments

<b>Constraint Status</b>	<b>Definition</b>
Open	
Validated	
<b>Assumption Status</b>	<b>Definition</b>
Open	
Validated	
Canceled	
<b>Decision Status</b>	<b>Definition</b>
Approved	
Canceled	
Declined	
Pending	
<b>Issue Status</b>	<b>Definition</b>
Open	
Closed	
Deferred	

Issue Priority	Definition
High	
Medium	
Low	
Risk Categories	
Communications	
Management	
Procurement	
Resources	
Technical	
Testing	
Training	

Risk Probability	Definition
High	71% to 99%
Medium	26% to 70%
Low	1% to 25%

Risk Impact	Definition
High	One or more of the following: <ul style="list-style-type: none"> <li>• Project cost increase of 5% or more</li> <li>• Project schedule increase of 5% or more</li> <li>• Failure to meet required performance</li> <li>• - Failure to provide required functionality</li> </ul>
Medium	None of the above High criteria, one or more of the following: <ul style="list-style-type: none"> <li>• Project cost increase of 2% to 5%</li> <li>• Project schedule increase of 2% to 5%</li> <li>• Significant discrepancies in desired performance</li> <li>• Significant discrepancies in desired functionality</li> </ul>
Low	None of the above High or Medium criteria, one or more of the following: <ul style="list-style-type: none"> <li>• Project cost increase of less than 2%</li> <li>• Project schedule increase of less than 2%</li> <li>• Minor discrepancies in desired performance</li> <li>• Minor discrepancies in desired functionality</li> </ul>

Risk Responses	Definition
Research	Additional research will be taken prior to determining the appropriate risk response
Accept	If the project can continue and be successful with the anticipated impact of the risk, or if there is no practical way to avoid or mitigate the risk, the project may choose to accept the risk and expend no further resources managing it other than tracking the risk status.
Avoid	Risk avoidance involves enacting changes to the project, the planning or processes to eliminate a risk from the project.
Mitigate	Risk mitigation involves taking steps to reduce the impact of the risk. These steps can include actions to be taken immediately, and/or contingency plans to be implemented if a risk event occurs.
Transfer	Risk transference involves taking steps to move or transfer the risk and the potential impact of the risk to another party. Risk transference as a response is relatively rare, as typically the impacts of project risks cannot be moved outside the project.

Risk Status	Definition
Open	Statement is still a potential risk and must be monitored or action steps taken.
Closed	Risk action plan has been completed and/or statement is no longer a risk or risk has turned into an issue.

Exposure (Calculated based on Probability and Impact)				
		Probability		
Impact	High	High	High	Medium
	Medium	High	Medium	Low
	Low	Medium	Low	Low

Escalation Matrix				
		Risk Exposure		
		High	Medium	Low
Escalation	Steering Committee	X		
	Project Sponsor	X	X	
	Project Managers	X	X	X

## 8.E. Implementation Approach / Deployment Strategy

The Bidder should demonstrate a clear understanding of the project and clarify concisely any major issues or concerns. This section should include a narrative overview of how the proposed solution will be implemented to optimally meet and/or exceed NLCC's requirements. Bidder's approach should demonstrate Bidder's experience, expertise, and ability to plan and complete all work required under a contract arising from this RFP.

### Computronix Response:

A cross functional team of Computronix staff reviewed this proposal and analyzed the requirements carefully. The requirements were compared and contrasted to other projects Computronix has delivered for our clients to determine the Level of Effort involved to meet these requirements. Using our database on comparable projects in this field of Information Technology Computronix was able to extrapolate our effort and duration estimates. Our estimation techniques have proven to be an accurate predictor for new projects of similar scope.

No areas of major issues or concerns were identified.

### Provide the following information:

1. A narrative that identifies the implementation lifecycle approach that the Bidder will apply to the project (appropriate to the scope, magnitude, and complexity of the solution).

### Computronix Response:

CX Way is an internal quality assurance framework that comprises a comprehensive and regularly updated documentation set codifying the way Computronix conducts business:

- **Best Practices Repository:** CX Way is a repository of best practice techniques proven to minimize risk, guarantee dependable results, and maximize project quality and the likelihood of project success.
- **SOP Definition:** CX Way defines Standard Operating Procedures (SOPs) and documents the activities and detailed practices Computronix staff utilize to implement our methodologies (Software Development Methodology and Implementation Best Practices). Where the methodologies provide the high-level process for ensuring success, the SOPs provide details on how to implement the methodologies most efficiently and effectively.
- **Continuous Improvement:** CX Way's continuous improvement emphasis allows our staff to learn quickly and efficiently. It is an active source of project team support, and ensures new staff are properly oriented, well trained, and consistently follow best practice standards during all stages of NLCC's implementation.



- **Documentation and More:** CX Way includes an extensive list of documentation, sample project management materials and FAQs, analysis, design, technical leadership, construction, data conversion, quality assurance, training, estimating, and sustainment.

The CX Way methodology determines the following:

- **What** must happen as part of a software development or product implementation project
- **Why** various activities must happen, including the intention and purpose behind the activities
- **When** certain activities must take place, and the steps that must be complete before a project may pass certain gates or control points
- **Who** is responsible for the various activities and for ensuring the activities have been completed correctly

Computronix Subject Matter Experts (SMEs) and Practice Leads continually update and maintain CX Way documentation.

### PMBOK BEST PRACTICES

For all POSSE implementations, our Operations teams incorporate standard Project Management Body of Knowledge (PMBOK) best practices in the knowledge areas listed below:

- Integration Management
- Scope Management
- Schedule Management
- Cost Management
- Quality Management
- Resource Management
- Communications Management
- Risk Management
- Procurement Management
- Stakeholder Management



### PROJECT MANAGEMENT

The Computronix Project Management Best Practice includes recommended templates for project implementations reflecting past learning and continuous improvement. The core elements listed below are emphasized as best practice focus areas in the Project Management Plan:

- |                       |                             |
|-----------------------|-----------------------------|
| • Scope Management    | • Quality Management        |
| • Change Management   | • Communications Management |
| • Schedule Management |                             |
| • Issue Management    |                             |
| • Risk Management     |                             |

## **Scope Management**

Scope Management is a joint Computronix Project Manager and NLCC Project Manager responsibility. The project team naturally plays a significant role in scope management, and ultimately, project success. A SOW originally defines project scope, which is defined further through the Fit/Gap Analysis Stage. The Change Control process manages ongoing scope concerns.

## **Change Management**

Computronix expects changes to occur throughout the natural course of any project, and NLCC's project is no exception. Therefore, Computronix employs a well-defined change control process to efficiently handle project changes, modifications, and new workflows NLCC requires.

## **Schedule Management**

Through the course of the project, one of the most critical project management tools is the Project Schedule. The Project Schedule enables project managers to understand if the project is on track at critical points. Computronix has included a sample Project Schedule at the end of Section 8.A.

Project scheduling utilizes an iterative approach, which means that with each deliverable or milestone's completion, the information available to the project management team is better than it was previously, so updates to the schedule, course correction, and realistic expectation setting are necessary at these points. The Project Schedule is a living document that can be changed and restated as necessary through the change control process.

The information needed to proactively manage the schedule is derived primarily from task completion and the estimated completion percentages of tasks in progress. Based on the percentage complete of tasks planned to start at a specified point in time, the project managers can accurately assess whether the project is on schedule.

Computronix is responsible to manage the Project Schedule and update task completion percentages. Information about deliverables related to the scheduled start and completion dates is delivered with the regular status report.

Beginning in Stage 1, Computronix will generate Status Reports at a pre-agreed cadence. The Status Report gives the NLCC Project Manager an up-to-date record of progress on active deliverable tasks. NLCC's Project Manager provides project status data to the Computronix Project Manager, who maintains the overall project status data. Computronix expects to provide Status Reports in our standard template format. Based on our implementation experience, Computronix proposes that the report should be developed by the NLCC and Computronix project managers. Joint reporting encourages combined project status ownership while providing an accurate and single view of the status to all stakeholders.

To effectively communicate status, we conduct a status meeting to discuss the Status Report. These status meetings include key project leadership staff and possibly the Steering Committee. The Computronix Project Manager advises the attendees of project status.

### **Issues Management**

To manage Issues identified during NLCC's Project, we utilize the following definitions, tools, and processes.

Over the course of a project, accurately recording, proactively managing, and communicating issues is critical. Issues typically fall into the following categories:

- Defect
- Information request
- Enhancement (which may become a Change Request)

### **Escalating Issues**

The NLCC Project Manager has ready access to the Computronix Project Manager for relating concerns about individual issues and project quality. In addition, the NLCC Project Sponsor and NLCC Project Manager have further recourse to the Computronix Operations Manager, the Computronix VP of Operations, and our CTO and President/CEO. Likewise, the Computronix Project Manager may request to discuss an Issue at the monthly Steering Committee meetings to reach a decision or resolve an issue.

### **Risk Management**

Every project inherently contains risks. Therefore, an effective risk management process is essential to identify, describe, and evaluate potential project risks, define mitigation strategies (as needed), monitor the identified risks throughout the project, and provide a method to identify new risks.

The Risk Management Plan documents the processes, roles, responsibilities, and general management technique to be utilized in the NLCC project to manage and control risks.

### **Quality Management**

The Quality Plan identifies the procedures, resources, and activities that monitor and ensure project administration quality in Computronix software system delivery.

### **Communications Management**

The Computronix Communications Plan captures communications requirements at several levels. First, it identifies communications between NLCC and its relevant external stakeholders and customers. Additionally, there are typically internal reporting requirements including reporting to senior levels of management, related and interested departments and divisions, and within the divisions that are specifically impacted by the implementation of POSSE ABC. There is also a need to keep staff accurately informed on the progress and key decisions within the project.

The communication plan is not intended to replace Organizational Change Management or an OCM plan but is in support of that effort. Computronix believes NLCC is responsible for OCM.

Second, the Communications Plan addresses communications with the NLCC Project Manager and closes all Defects a NLCC tester deems “fixed” after testing. Defects not completely fixed are sent back to Computronix with supporting detail. These Defects will remain “open” and are subject to the same testing and approval process.

### **PHASED APPROACH – PROVEN 6 STAGE PROCESS**

Computronix has successfully utilized our CX Way best practice methodology to deliver digital transformation projects to many large government clients. We propose a phased or sprint approach, facilitating adjustments and learning as the project progresses. As is illustrated on the following page, each phase is further divided into six stages that allow all stakeholders to clearly understand project and phase or sprint progress. Please see our response to question 3 below for details.

**2. Confirm whether the development approach will be Iterative Waterfall, Agile, or other hybrid, and detail each stage of development and major activities.**

#### **Computronix Response:**

The development approach use a six stage, iterative waterfall approach.

**3. A well-articulated and concise narrative for each phase or work stream that fully describes Bidder’s methods, tools, accelerators, and frameworks associated with the Bidder’s proposed approach to fulfill the roles and responsibilities described.**

#### **Computronix Response:**

Computronix proposes an iterative waterfall-based project implementation approach, in which Stages 1 through 6 are completed as part of a single-phase implementation. Computronix has restated our response to Section 8.A. as follows.

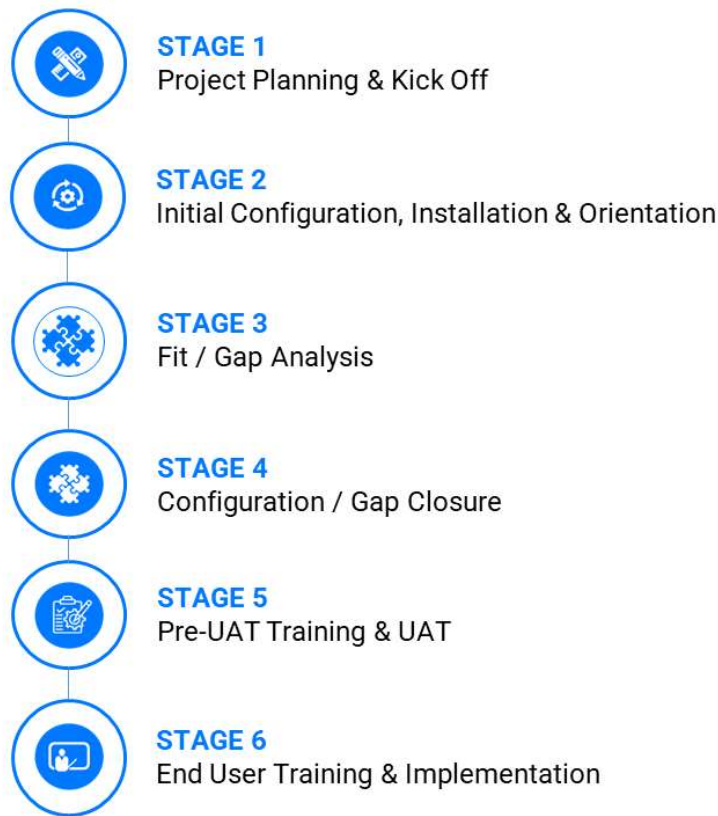


Figure 14. CX Way: 6-Stage Approach to Implementation



**STAGE 1 – PROJECT PLANNING**

- Project kick-off meetings
- Project management plan discussions
- Working demo
- Create draft of data conversion plan

The Project Planning and Kick-off Stage focuses on building project management plan consensus, and identifying the specific processes, procedures, stakeholder analysis, schedule updates, etc. necessary to ensure success. This initial project management plan draft becomes the basis for a multi-day Project Kick-Off meeting.

The Project Kick-off meeting brings the project team together (NLCC business and IT stakeholders and Computronix) to engage in discussion and project management plan fine tuning while detailing many aspects of the project.

## Project Management Plan Development

At the kick-off meeting, Computronix provides a POSSE ABC demonstration to ensure NLCC staff members who were not part of the procurement process can see and understand the software. We conduct collaborative sessions detailing areas, such as risk identification and analysis, data conversion approach, fit/gap analysis, and interfaces. Clarification and roll-out of the technical environments are also determined during this session. A critical Project Kick-off meeting outcome is a final, realistic, and specific Project Management Plan the project team has thoroughly vetted.

NLCC key contributors and Computronix also jointly develop a project schedule for project team review at the kick-off meeting. Computronix updates this living project schedule as the project progresses.

## Setup of Collaborative Environment

Concurrently, Computronix completes behind-the-scenes activities necessary to smoothly run the project, such as setting up NLCC team members in the POSSE support system, completing Computronix resource plans, establishing internal environments, and creating a shared project documents repository. A Computronix internal quality gate must be cleared before the project kick-off.

## Initiation of Data Conversion Activities

Data Conversion activities also start in the Project Kick-off Stage and continue for the duration of the Phase, culminating in the final production data conversion run. In our experience, data conversion activities and tasks are often on the project's critical path. Defining the Data Conversion Plan immediately helps to improve data quality and to mitigate the schedule risk inherent in data conversion. The Data Conversion Plan defines the data conversion scope, approach, limitations, responsibilities, and data conversion effort timeline within the overall project.



### STAGE 2 – INITIAL CONFIGURATION, INSTALLATION, ORIENTATION

- Install and configure POSSE
- Hold POSSE orientation session

Stage 2 begins with POSSE ABC software installation into some of the NLCC POSSE environments (Delivery, Test, Training, and Data Conversion). Parallel to these installation processes, Computronix begins configuring POSSE in its development environment. The configuration effort provides a representative and high-leverage subset of the phase's in-scope business processes to help Computronix demonstrate how POSSE ABC meets project requirements.

## Orientation Session

Computronix installs the configured product and delivers an Orientation to introduce and further solidify the NLCC's understanding of POSSE language and terminology and the base/inherent POSSE ABC functionality and features relevant to the phase. This orientation facilitates the subsequent Fit/Gap Analysis discussions (Stage 3). The orientation is designed for NLCC SMEs, core project team members, and decision makers. During this session, we review POSSE terminology, demonstrate the POSSE product, and introduce the Fit/Gap Analysis process and expectations. A further Computronix internal quality gate must be cleared before the Orientation is delivered.

## Initial Configuration

Stage 2 provides the initial infrastructure configuration and orientation needed for the rest of the project. Computronix brands the POSSE product according to NLCC requirements and delivers some initial configuration based on RFP requirements. During the Orientation, the NLCC team should be able to easily conceptualize how POSSE ABC will meet its needs.



### STAGE 3 – FIT / GAP ANALYSIS

- Project team identifies gaps
- Focus group sessions conducted
- Project team builds requirements traceability matrix
- Identify issues to be addressed during data conversion
- Conduct POSSE administration training

## Consensus Building

In Stage 3, the collective project team reaches an understanding of how POSSE functionality meets the project requirements and documents any gaps between POSSE ABC and the in-scope project requirements. The Fit/Gap Analysis uses the pre-configured POSSE ABC as the baseline functionality and involves remote focus group sessions with NLCC SMEs, IT specialists, and analysts. Early in the Fit/Gap Analysis Stage, the RTM is created. This matrix includes the business requirements (BRQs) and acceptance criteria (ACCs). In the Fit/Gap Analysis Stage, the RTM undergoes a detailed NLCC team review.

As part of the Fit/Gap Analysis, Computronix works with the NLCC to compile the Data Conversion Business Requirements documentation. The Data Conversion Business Requirements pick up where the Data Conversion Plan leaves off and are key for the success of the project's data conversion. This detailed document defines what data will be converted and how the legacy data will be transformed into POSSE.

The Fit/Gap Analysis clarifies which NLCC requirements are “Fit” items, or items POSSE functionality meets in the pre-configured system, and which requirements are “Gap” items, or items additional configuration meets as the project scope defines.

At the Fit/Gap Analysis stage’s end, Computronix prepares the deliverables to identify:

- A high-level business description of the module(s) being implemented
- Decisions and sign offs related to each in-scope RFP requirement
- For requirements yet to be met (i.e., Gaps), the high-level approach, and further, determining if technical configuration or administrative configuration data will close the gap
- In-scope gap items as “in scope”
- Report requirements, including report mock-ups or samples
- Interface requirements
- Security and assignment role mapping
- Applicant communication/notification requirements
- New requirements the NLCC team may request, clearly identified as “out of scope”

The NLCC can request Computronix provide a new requirement estimate and move these items into scope through the change request process.

Also, within Stage 3, Computronix ensures designated NLCC staff receive POSSE Administration Site Training. This hands-on training for designated business users or IT staff focuses on the Admin Site and learning how to enter and manage their own administrative configuration data. The training prepares the NLCC for Administrative configuration data creation and management to meet the administrative configuration data and administrative configuration data management required for the rest of the project.

When all is complete, the NLCC is asked to review and accept the Fit/Gap Analysis Report (including the Requirements Traceability Matrix). This is the phase’s scope baseline as it clearly identifies the requirements POSSE ABC met out of the box, all requirements Gap closure meets, and the acceptance criteria, which will show, during later testing, that the requirement is met. A third Computronix quality gate must be cleared before the Computronix project team begins Design.





#### STAGE 4 – GAP CLOSURE

- Configure in-scope requirements
- Develop and test design
- Perform system demo for client team
- Perform data conversion mapping

When the Fit/Gap Analysis is complete, Stage 4 addresses the in-scope requirements identified in the Fit/Gap Analysis process. The gap closure process follows Computronix Software Development Methodology (SDM). Computronix development and test environments are used to design and configure each requirement for Computronix staff to achieve. In parallel, NLCC staff create Administrative Configuration Data to meet requirements marked to be met through this process. Throughout this Stage, Computronix communicates with SMEs and other POSSE team members as necessary to ensure Design and Configuration are meeting the requirements.

#### **High-Level Design Documentation**

The Computronix Technical Lead and Designer document the high-level design that addresses the gap items and provides a cohesive and comprehensive system overview. The high-level Design documentation is delivered in advance, then reviewed with the NLCC project team to verify the System modifications envisioned meet the project requirements.

Following NLCC leadership Design approval, Computronix commences technical configuration and report and interface development. During this time, the NLCC will commence/continue administrative configuration data entry.

During the design and configuration timeframe, joint ad hoc meetings and web conferences are held as needed with the technical team, NLCC SMEs, and IT specialists to clarify any outstanding questions or concerns.

#### **Data Conversion Mapping**

Work on a Data Conversion Mapping Document begins after the Data Conversion Business Requirements are approved. The Mapping document defines, at an object and attribute level, what data will be converted, and how the legacy data will be transformed into POSSE. This document includes detailed transformation and cleansing logic at the attribute level.

Creation of a Raw Staging Area for data conversion occurs during this stage. Advanced and more thorough data analysis and profiling occurs on the legacy data in the Raw Staging Area. The goal is to identify any data errors and problems and provide feedback to the NLCC SMEs, so they can correct and clean the data in the legacy system where possible. Computronix also creates an environment, known as the “Clean Staging Area.”

This area is the source for all data loaded into POSSE via our POSSE-Loader tool. The Clean Staging Area holds cleansed, transformed data from the Raw Staging Environment.

A data conversion run is performed multiple times during the project. It begins when product configuration is complete enough to define final (target) data structures. Typically, we create this environment initially, and then recreate it when the new or gap configuration is available.

Data in the legacy system is corrected to minimize data conversion and transformation effort. Cleansing and correcting data as close to the original source as possible facilitates reliable future extracts. Collaborative and cyclical, this process occurs multiple times throughout the project. As issues are identified, they are corrected. Analysis for additional problems continues until the data is considered ready for conversion.

Throughout the configuration and development activities, Computronix and the NLCC will provide demonstrations of Computronix configurations, administrative configuration and converted data to the NLCC Project Team and other key internal stakeholders. Raised issues or concerns are addressed and after the final demonstration, Computronix and NLCC migrate all System components and converted data into the user acceptance testing and training environments in preparation for Stage 5.



#### STAGE 5 – PRE-UAT TRAINING AND USER ACCEPTANCE TESTING

- Update standard product documentation
- Create go-live checklist
- Test converted data

#### Pre-UAT Training Launch

When Stage 4 is complete, Computronix begins our standard product training documentation and updates this documentation to reflect Gap Closure and Configuration changes. This training documentation forms the training manual for the Pre-UAT Training. Pre-UAT Training is for NLCC trainers conducting end-user training and for NLCC testers performing UAT. NLCC Project Team members identified as testers would also be expected to take this training, enabling them to efficiently and effectively conduct UAT.

Pre-UAT Training ensures an understanding of each POSSE business process. NLCC staff members composed of testers, end user trainers, and core team members, typically attend. The NLCC UAT Manager and this individual's back up (potentially the NLCC Project Manager) also receive training in the issue tracking system to enable accurate and comprehensive reporting for efficient resolution of any issues identified during UAT.

### **Data Accuracy Confirmation**

During Stage 5, the NLCC tests converted data to validate that data meets the specifications defined in the Data Conversion Business Requirements and the Data Mapping Document. The NLCC's primary focus is on confirming the data accuracy and system functionality using the converted data. A sign-off is required to verify testing has been done, and data quality is as expected.

Computronix will install all configuration updates, converted data, and system modifications applicable to the current phase to the UAT environment, which the POSSE team will test. Project SMEs, under the NLCC UAT Manager's oversight, report all defects found. Computronix and NLCC administrative configuration data creation staff and data conversion staff then work to resolve any defects and provide further configuration updates and system modifications for NLCC retesting.

### **User Acceptance Testing (UAT)**

UAT scenarios and plans, along with organizational staffing changes, are the NLCC team's responsibility. Trained NLCC testers have the best perspective on how to test the system to ensure it meets the documented requirements. These scenarios also give the NLCC the opportunity to gauge the impact of new System changes and business processes staff will experience.

During the UAT process, the Computronix team remains committed to the project to rapidly resolve defects and migrate fixes to the test environment. The NLCC UAT environment will receive scheduled issue fixes. These fixes include issues the NLCC finds and possibly others Computronix identifies.

The UAT schedule is determined upfront and includes clear release dates throughout the UAT period. If critical defects are found and logged, the NLCC timeframe for UAT may be renegotiated and a new baseline set based on the expected timeframe for Computronix to resolve the defects.

Testing is considered complete when the designated time-period has elapsed or all documented test cases have been completed, and all defects with a severity of Critical and High have been addressed. Defects with Medium severity are agreed on mutually for disposition prior to UAT completion.

### **Go-Live Checklist**

The final output from this Stage is the Go-Live Checklist. The Go-Live Checklist is a set of tasks required for a successful Go-Live event, including responsible individual(s). A Go-Live event requires significant teamwork and coordination of many moving parts. Having a central list of Go-Live activities is critical to ensuring all required steps occur.

A further Computronix quality gate must be cleared before system component migration to the production environment occurs. Stage 5 ends with the successful completion of the UAT and acceptance of the System.



#### STAGE 6 – END-USER TRAINING AND IMPLEMENTATION

- Update production, test, and training environments
- Deploy fully tested system to production environment
- Ensure Computronix resources are onsite
- Load converted data into Production environment

The Production, Test, and Training environments are updated with the final POSSE version to prepare for end user training, the final data conversion, and the Go-Live event. This Stage includes deployment of the fully tested system, including interface and data conversion tool execution, etc., to the production environment. Senior Computronix resources are on standby just before, during and after the Go-Live event to ensure a smooth transition. Data conversion is carefully scheduled to align with the project schedule and the Go-Live event. Once data is loaded, a final series of tests is performed to validate a successful conversion run.

After Go-Live, Computronix seeks information from the NLCC and Computronix project team members, NLCC staff using the System, management, and other stakeholders to develop the Project or Phase Review Report. This Report summarizes the phase's activities, deliverables, budget expenditures, scope changes, and other relevant information, and focuses on lessons applicable to future phases or projects.

Upon successful POSSE implementation, maintenance for that business functionality group will begin. Defect reporting and resolution discovered during Go-Live, and the maintenance period follow a consistent issues resolution process.

Following Stage 6 is the Post Implementation support (Warranty) period.

**4. Describe how the Bidder proposes to execute a phased approach with NLCC's project teams to seamlessly transition to the new solution and processes with minimal business disruption.**

#### Computronix Response:

Computronix will develop the proposed solution in a period of approximately 14 months (reference the Project Gantt Chart provided). This solution is planned as a single Phased development cycle with 6 specific stages. During this project Computronix will work with the NLCC project staff to review and refine requirements to ensure the functionality needed is properly designed, developed and delivered.

The Computronix project management methodology has been developed and refined over more than 40 years of successful project implementations. This Computronix methodology has proven to be a reliable and efficient process for the development and delivery of software solutions to our client. The system will be thoroughly tested by Computronix before UAT. Delivery of the solution will occur after hours on a weekend to ensure a seamless transition with minimal business interruption.

**5. Describe how the Bidder proposes to continue to implement subsequent phases while simultaneously providing the necessary support and maintenance for sprints that are already in/have just gone into production.**

**Computronix Response:**

This is a single phased implementation with one Go-Live event so this does not apply.

## 8.F. Design and Development Strategy

**Describe the proposed requirements analysis and design approach for the implementation. This information should include the Bidder's approach to meeting the following activities. This section should include the following information:**

### Computronix Response:

Computronix has provided point-by-point information for the following sections.

### Requirements Analysis Approach:

**1. Review of current-state artifacts, such as existing forms, screens, and reports to ensure accurate inputs and outputs are accounted for in the design of the Solution.**

### Computronix Response:

Computronix will work with the NLCC to translate the business requirements into high-level system requirements that can be used by the configuration and development technical team to design, construct and demonstrate system components.

During the analysis process, Computronix will use the pre-configured POSSE ABC system to illustrate functionality and facilitate understanding during remote focus group sessions with NLCC's SMEs, IT specialists, and analysts.

During the Analysis Stage, the Requirements Traceability Matrix (RTM) is updated, refined, and maintained. This matrix includes the business requirements (BRQs) and acceptance criteria (ACCs). The RTM is a collaborative log in which the NLCC and Computronix identify and catalog each contractual requirement and document the means by which the requirement's completion/delivery will be demonstrated. The initial RTM is an output of the project Planning stage and is expected to become an attachment to the contract.

POSSE ABC provides a cost-effective solution that is built on a single, integrated database that can be maintained by designated super users to keep the system current with changing regulations. The POSSE ABC Administrator Portal allows for point-and-click administration for business super users. These users are empowered with decision-making responsibilities to have full control of the routine, day-to-day administration of metadata (i.e., most common modifications to license types, license fees, user administration, etc.). Business leaders will be able to administer system changes autonomously, without any need for assistance from Computronix.

For more involved workflow and field changes, POSSE's Stage configuration environment is designed to develop end-user applications in a fraction (one-third to one-half) of the time it would take to develop in a traditional source-code programming language. Computronix uses the Stage application to configure new business processes, workflows, and screens as described in the responses to requirements, Computronix can provide this deeper level of system configuration on an as-needed basis, though such training has not been included in our proposal.

**2. Approach to conducting joint application design sessions with NLCC and other stakeholders, any prototyping that will occur, and how stakeholders will be exposed early on and throughout the design / development process to how the system will look and function.**

**Computronix Response:**

Analysis deliverables are intended to be detailed enough that design of system components can occur in conjunction with the analysis. This process allows the NLCC and Computronix to validate with mocked-up system components that the requirements are clear and well understood. Throughout the process, Computronix will seek and incorporate the NLCC's feedback into the design, and anticipates some refinement of the requirements as a result. The analysis and design document set fully identifies the phase's scope and includes the acceptance criteria that will show—during later testing—that the requirements have been met.

**3. Approach to documenting conceptual design-level requirements. If the Bidder intends to propose an Agile approach or similar implementation methodology that does not rely on formal design documentation, Bidder should provide examples of how design requirements are managed (e.g., user stories or backlog).**

**Computronix Response:**

Computronix uses an iterative waterfall approach. During analysis Computronix prepares documentation deliverables to identify:

- A high-level business description of the module(s) being implemented
- Decisions and sign offs related to each in-scope RFP requirement
- Detailed description and discussion of each in-scope requirement including approach to meeting the requirement
- Report requirements, including report mock-ups or samples
- Interface requirements
- Security and assignment role mapping
- Communication/notification requirements

- New requirements the NLCC team may request, clearly identified as out of scope
- The NLCC can request Computronix provide a new requirement estimate and move these items into scope through the change request process.

**4. Approach to validating and finalizing design specifications as a prerequisite to the Execute Phase, or if proposing an Agile approach or similar, describe how the design/prototyping/sprint process shall work.**

**Computronix Response:**

As shown in the Project Gantt Chart provided, in Stage 4 – “Configuration/Gap Closure” of the Computronix project methodology, three days of detailed design review with the NLCC team is planned as part of the System Design process.

**Development Approach:**

**5. Describe configuration methodology and approach to configuration.**

**6. Describe any development approaches and tools used to script, code, or otherwise “develop” the solution (outside of configuration) that may be necessary to meet NLCC’s requirements.**

**7. Describe any major components of the solution that may require customization of the proposed base product.**

**Computronix Response:**

POSSE ABC offers an intuitive layout and design for ease of configuration with a minimum of training. POSSE ABC enables seamless management of workflow, data, projects, and documents across all departments, divisions, and branches of an organization, as well as extending processing and data to outside agencies and stakeholders. As processes change over time, trained organization staff (or Computronix experts) can modify business processes configured in POSSE ABC to reflect new business needs, without changing POSSE source code. This capability makes POSSE ABC ideally suited to organizations undergoing continuous improvement, process optimization, or business process re-engineering.

The POSSE ABC Administration Portal allows non-IT staff (typically business super-users) easy access to the core system administration functions required to keep the application up to date. Through the POSSE ABC Administration Portal authorized users can manage a variety of configuration elements ensuring the application is always current. Checklists can be modified, Word Merge templates changed, and many more aspects managed. Data defined via this portal is then updated in the various environments (e.g., Test to Training to Production) using tools within the POSSE ABC product suite to ensure consistency across environments.



The POSSE work management platform delivers business versatility and agility, superior data integration, and interfacing capabilities to provide maximum leverage of the software and training investment across the enterprise, not just within one department. The one-time software license includes unlimited system configuration and development rights to support any number of other NLCC business processes.

Computronix's Stage configuration environment includes version control and configuration management that allows NLCC to expand the solution to other divisions as time progresses. Stage provides the ability to make a change in a development environment, efficiently promote it to a Test/UAT environment, and finally on to the production environment. At any time up to the time the configuration set is approved and closed, changes can be made to correct errors and then redeployed to the Test/UAT environment. This functionality is unique to POSSE ABC and provides many advantages to process and quality goals.

POSSE Stage provides a single one-stop configuration subsystem that allows for fully configurable:

- Data fields and screen layouts (mandatory and optional fields, freeform, and pre-formatted text, including checklists, radio buttons, pick lists, numeric fields, drop-down lists, dates and date ranges selected from a pop-up calendar, calculations, screen wizards, and much more)
- Data, Object, and Process (workflow) models
- Entity (object) relationships: one-to-one, one-to-many, many-to-many, parent-child, child-child
- Security models

All the above configuration is accomplished without any need to write code and such configuration never takes a client off the POSSE product upgrade path. No customization to the POSSE product is ever done in an implementation project.

All responses to requirements in the requirements matrix with a code of "(C)onfiguration" or "(A)Business Rule" will be met through configuration using the POSSE Stage application or POSSE ABC Administrator Portal or through the development of interfaces using POSSE APIs. There will be no customization required.

## Configuration Management:

**8. Describe the configuration management process and any actions that will be required of the NLCC staff. Identify any specific skills that would be needed by those staff performing configuration changes.**

**9. Describe the tools, environment, and infrastructure required for the execution of configuration management activities to be completed by NLCC**

**10. Describe the methods for conducting configuration audits and reviews to be held during the project.**

### Computronix Response:

During the implementation project, Computronix will provide training on the POSSE ABC Administrator Portal, giving NLCC Subject Matter Experts the information necessary to configure the metadata for the administrative components of the POSSE ABC solution.

Specific configuration audits/reviews are not standard in the Computronix CX Way implementation methodology. Rather, Computronix provides NLCC staff training on the POSSE ABC Administrator Portal functionality, giving NLCC SMEs the information necessary to configure the administrative components of the POSSE ABC solution. Computronix project staff are available throughout the implementation project to answer questions that NLCC staff would have. POSSE ABC Administrator Portal training, if conducted virtually, is typically recorded, allowing NLCC staff to revisit the initial training content. Additionally, a POSSE ABC Administrator Portal Reference Guide is provided to NLCC staff for ongoing reference.

**11. Describe the methods for configuration release management controls between environments.**

### Computronix Response:

POSSE's configuration tool, Stage, performs configuration of workflows, data fields, and screens. Typically, the tool makes these changes in a standalone development environment. Stage groups configuration changes together in change sets. When a change set is ready for migration from the development environment into a testing or production environment, the changes are captured into a standalone configuration management database using Marshal, POSSE's configuration migration tool. Marshal is another point-and-click tool that drives straightforward migration of change sets, either individually or in groups. Marshal is used to install captured changes into any of the other connected POSSE environments (e.g., UAT, Training, Production).

Changes made to metadata using the POSSE ABC Administrator Portal can be migrated using the Admin Data Import Export Utility. Metadata information is exported into a flat file, and that file can be imported into other environments using a drag-and-drop interface.

Any other modifications, such as database stored procedures or web file changes, are promoted using standard techniques. Automation for the promotion of configuration and metadata changes between environments is implemented using tools developed specifically for deployment to a POSSE environment (e.g., CX Database Tools, CX Web Deploy).

## 8.G. Test Strategy

**Define the approach and methodology to testing in order to accomplish the required activities and objectives.**

**This section should include the following information:**

### Computronix Response:

Computronix has provided point-by-point responses for the following sections.

## Testing Methodology

**1. Describe the approach and ability to test and validate the functionality of the implemented solution against the documented requirements and use cases.**

### Computronix Response:

The proposed system will undergo the following tests during the project lifecycle:

- Unit Testing
- Cross Testing
- System Testing
- Business Scenario Testing
- Regression Testing
- Integration Testing
- Data Conversion Testing
- Performance Testing
- User Acceptance Testing
- Security Testing

Details of these tests are provided in response to the requirements below. NLCC staff will conduct these tests again as part of the User Acceptance Testing Stage.

**This section should address:**

**2. Unit Testing (including providing unit test results to NLCC)**

### Computronix Response:

Developers conduct Unit Testing once their development has been completed.

**3. System Testing**

### Computronix Response:

- **Cross Testing:** A developer other than the individual that developed a piece of code/functionality conducts a cross-testing. This serves as a peer review of the code, design, implementation, and overall data used. Both unit testing and cross-testing must be completed before the project moves out of the development phase.

- **System Testing:** Testing the software application to check if the system is compliant with the user requirements. It is an end-to-end user perspective testing intended to find defects in the software system.
- **Integration Testing:** Conducted when one project will interact with another. It tests the touchpoints between two applications, environments, or solutions.
- **Security Testing:** The application security tests will include tests such as role-based testing aiding the segregation of duties. Computronix QA team would have tested these aspects as part of the prior test phases before handing this over to NLCC staff for their User Acceptance Testing.

#### 4. Performance and Reliability Testing (including stress testing)

##### Computronix Response:

Computronix's performance testing gauges the actual performance of the system using a measurable metric. Computronix has industry standard tools and practices to test the platform for performance. Our QA lead will work with the NLCC staff to understand the concurrent user requirements. Computronix uses industry standard performance testing tool (JMeter) to carry out the testing and will share the outcomes with the NLCC.

##### **JMeter – Performance Testing**

The code reviews of system components built for the project identify any obvious performance problems, and the System Test and UAT with converted data should identify any remaining issues.

If areas of the system are identified as requiring attention due to the performance of the system, Computronix may use JMeter to do a deep dive on the offending page. The NLCC will not need to replicate these tests but will receive reports of the output.

##### **Load Testing**

POSSE ABC comes already load tested to transactions/second far in excess of NLCC's daily load. The proposed implementation project does not include extra load testing. The NLCC can opt to use industry-standard load testing and user simulation tools to confirm that the system will perform adequately under load.

## 5. Functional and User Acceptance Testing

### Computronix Response:

- **Business Scenario Testing:** Based upon the business requirements outlined by the Business Analyst along with clients. This testing takes reasonable care to include testing to the customer's expectations. It includes any customizations developed to the solution as well as the testing of the core components in the solution. For this project, the QA team will reuse the default tests developed as a part of the product and focus only on developing tests for the Gap-related changes and customizations.
- **User Acceptance Testing:** The NLCC Business staff/Quality Assurance (QA) team will conduct this testing. The NLCC team will execute the baselined user acceptance cases to confirm the conformance of the system to the envisioned project requirements. Computronix staff will provide any assistance necessary such as clarifications, data set up, etc., during this test phase.

## 6. Regression Testing

### Computronix Response:

Computronix does not conduct Regression Testing on single-phase implementations

## 7. Data Conversion Testing (including testing converted data as part of system testing and UAT)

### Computronix Response:

In addition to testing the functionality of the software, data is the other most important component of the solution. The correctness and completeness of the data being available in the new system is essential for a successful Go Live. The data conversion mock runs test for the accuracy and completeness of the data.

## 8. Test Plans

### Computronix Response:

The following will be developed on the project and made available to the NLCC for their review, approval and/or use:

- Testing Approach Document Plan
- Performance Testing Approach Document Plan
- Testing Scripts
- Testing Results Report

**9. Test Scripts (including approach to test script development and requirements traceability to ensure end-to-end and comprehensive testing of entire solution prior to Go Live)**

**Computronix Response:**

Test scripts will be developed on the project and made available to the NLCC for review, approval, and/or use.

**10. Issue Management and Resolution (to include Bidder definition of a “defect” and an “enhancement”)**

**Computronix Response:**

To manage Issues identified during the NLCC project, Computronix will utilize the definitions, tools, and processes on the following page.

Over the course of a project, accurately recording, proactively managing, and communicating issues is critical.

An issue may be incorrectly logged as an Issue when it is an enhancement request. In such cases, the issue will be re-classified to Enhancement and sent to the NLCC Project Manager to advise on the next steps.

Computronix defines a Defect as “a development or configuration error that causes the System to crash, or program algorithms or logic that produce incorrect results when compared to the scope baseline. Defects pertain to the intended operation of the System as delivered to the NLCC. Defects do not include changing user preferences, report or screen aesthetics, presentation standards, or non-conforming converted data. Defects do not pertain to problems arising from third-party software interfaced to the system.”

Issues that are defects from testing are to be resolved as documented below:

**Issue Tracking System:** Computronix will supply an Issue Tracking system for the project. This Issue Tracking System documents and manages all system-related issues during the UAT and warranty periods. Computronix trains NLCC staff on the Issue Tracking System usage and the method for reporting issues prior to System use.

**Defect Reporting:** All issues raised as defects are assigned to the NLCC Project Manager for review prior to submission to Computronix. The NLCC Project Manager determines if the defect is valid based on the scope baseline. If the defect raised is determined not valid as defined above, (i.e., the System component is performing as specified), the NLCC will take no further action, other than to withdraw the defect and/or raise a request for an enhancement. The NLCC Project Manager will assign valid defects to Computronix for investigation and resolution.

Defects are submitted using the Issue Tracking System, noting the following:

- Description of the defect
- The business scenario relevant to the defect
- Description of the unmet requirement
- Description of the action taken that created the defect
- Description of the expected results
- Supporting information: screenshots, error messages received, test case information (e.g., license number and process name where error occurred)

Initial severity assignment:

- **Critical:** Stops testing or operation in a critical area and there is no workaround
- **High:** Stops testing or operation in a non-critical area with no workaround
- **Medium:** Workaround available, will allow testing and operation to continue, but not ready for acceptance
- **Low:** Not working according to specification but is acceptable as it does not impede system functionality

### Defect Resolution

Defects are added to a queue of other Defects, which are sorted by severity. Severity is confirmed during regularly scheduled Computronix and NLCC Project Manager review meetings. Defects are resolved in order of severity and prepared for testing or re-testing in the Test environment. Every effort is made to assign the Defects resolution to the original resource to ensure understanding of the context relevant to the Defect. Computronix resolves Defects according to the following schedule:

- **Critical:** Within one business day of being reported
- **High:** Within three business days of being reported
- **Medium:** Within five business days of being reported
- **Low:** May not be resolved at all as the defect does not impede system functioning

Defect resolution follows the same QA path as the original development. The project team's Issue Resolution test process involves developer unit testing of the fix, a separate developer's configuration (or code) review and cross-testing, testing in the context of a System test, and finally, confirmation that the fix is compiled in the release.



The NLCC Project Manager and the Computronix Project Manager coordinate Defect resolution and closure so time is effectively used. As needed, the POSSE Project Sponsor or the IT Project Manager may discuss Defects with the Computronix Analyst and/or Technical Lead(s).

**11. Describe and outline the entrance and exit criteria for each test phase (e.g., Development/Unit Test, System Test, UAT, Performance Test, etc.).**

**Computronix Response:**

In Stage 4 – Configuration/Gap Closure of the Computronix project management methodology developers cross test every development task that is part of a deliverable to NLCC. At the end of this stage System Testing, Performance Testing are performed and any issues found are fixed and retested in preparation for beginning Stage 5.

In Stage 5 – Pre-UAT Training and UAT of the Computronix project management methodology, Computronix deploys the developed and tested software in the User’s Test Environment. NLCC’s trainers are trained on the software in a train-the-trainer model who, in turn, will train the UAT testers, supported by Computronix.

Computronix supports UAT and rapidly triages any issues found. Issues are logged, investigated and prioritized. Fixes are applied to the Test Environment to ensure the issue has been addressed before being moved to Production.

**12. Describe the role(s) Bidder expects NLCC or other stakeholders to perform during each test phase. In this description, Bidders should clearly identify the activities NLCC or other stakeholders will be responsible for performing and avoid generic terms, such as “jointly” and “collaborate.”**

**Computronix Response:**

Computronix will designate a Quality Assurance lead and tester to work with the team. The following table identifies the typical points in a project at which QA resources would engage as well as when NLCC staff will be required.

PROJECT POINT	NLCC	QA LEAD	QA TESTER
<b>POST DESIGN</b>		✓	
<b>SUB SYSTEM TESTING</b>			
<b>Structure Test Plan to accommodate sub-system testing scripts.</b>		✓	
<b>Work with Tech Lead to identify completed subsystems ready for testing</b>		✓	
<b>Hand-off testing of sub-systems to QA Tester.</b>		✓	

PROJECT POINT	NLCC	QA LEAD	QA TESTER
As sub-systems or iterations of the phase are completed, QA testing should begin for these items. This allows the QA tester to find issues before the time crunch of pre- user acceptance testing is underway.			✓
Reading and understanding the test plan			✓
Executing the test scripts			✓
Logging found issues			✓
Working with development team to replicate issues			✓
Retesting fixed issues			✓
<b>PRE-USER ACCEPTANCE TESTING</b>			
Validate test scripts against actual build, which may have deviated from designs.		✓	
An integration end-to-end system test to ensure that all interfaces behave as expected.		✓	
Reading and understanding the test plan			✓
Executing the test scripts			✓
Logging found issues in Issue Tracker			✓
Working with development team to replicate issues.			✓
Retesting fixed issues			✓
Recommendation to Project Manager when system is ready for UAT			✓
Identifying the NLCC Staff that will conduct the UAT testing	✓		
Conducting the Pre-UAT training	✓		
<b>USER ACCEPTANCE TESTING</b>			
Executing the test scripts to test fixes to issues raised by client in UAT	✓		
Logging found issues in Issue Tracker	✓		
Working with development team to replicate issues.	✓		
	✓		

PROJECT POINT	NLCC	QA LEAD	QA TESTER
<b>POST USER ACCEPTANCE TESTING</b>			
Re-executing the test scripts to test fixes to issues raised by client in UAT			✓
Logging found issues			✓
Working with development team to replicate issues			✓
Retesting fixed issues			✓
Recommendation to Project Manager when fixes are ready to be moved into UAT			✓
<b>WARRANTY TESTING</b>			
Re-executing the test scripts to test fixes to issues raised by client in warranty			✓
Working with development team to replicate issues.			✓
Retesting fixed issues			✓

## Training

**13. Describe the anticipated trainings and work sessions with project stakeholders to test the solution.**

### Computronix Response:

Please see the response to question 11 above.

## 8.H. Organization Change Management

For IT projects that highly depend on rapid user adoption for success, as the new system will, organizational change management practices should be embedded in the project life cycle. Failure to do so will delay project adoption, impede the realization of benefits, and diminish success.

1. Provide an overview of the Bidder’s organizational change management philosophy.

### Computronix Response:

Latest research of over 327 companies by PROSCI ® Inc. indicates that the NUMBER ONE obstacle to success for major change projects is individual resistance and the ineffective management of people. Latest PROSCI ® benchmarking data shows that projects that use excellent change management processes are six (6) times more likely to achieve project objects than those that poorly executed the change.

### Cooperation with Project Management

While our POSSE implementation projects highlight the technical side of change, increasingly Computronix understands the organizational need to ensure that the people side of change is monitored and addressed, helping the organization prepare, manage, and reinforce the change.

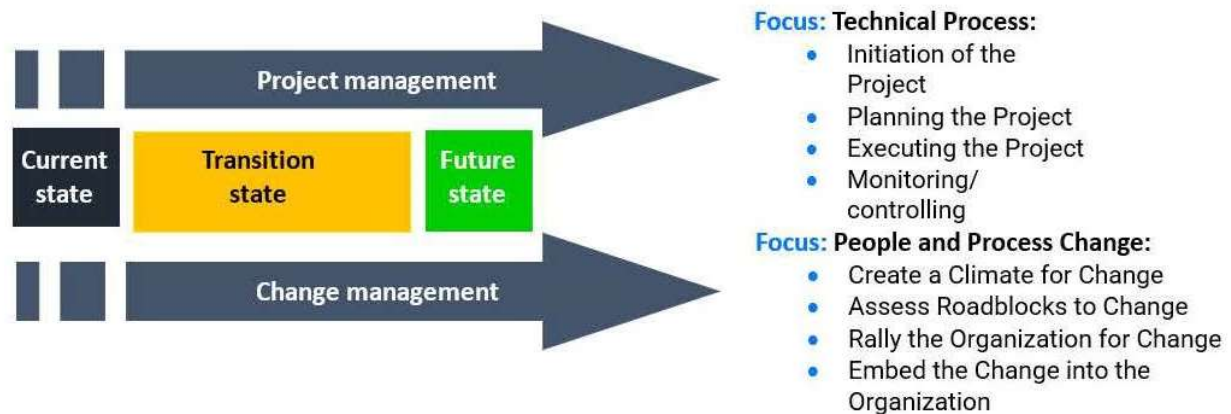


Figure 15. Computronix Approach to Organizational Change Management

Computronix recognizes the challenges of software implementations and the impact on staff and leadership. Working with standard project management ROI (return on investment) measurements of meeting project objectives, meeting project budget, and meeting project schedule, change management services focus on ensuring that our clients can also meet the people related ROI.

**2. Provide an overview of how the Bidder will support Organizational Change Management activities conducted by NLCC.**

**Computronix Response:**

Computronix recommends the use of Prosci® Inc assessments, John Kotter materials, human resource industry materials, and internally developed methods (e.g., workshops, assessments, and processes) to identify, mitigate, or address risk on the people side of change. As part of the project preparation activities, Computronix will first complete an organizational assessment, which will inform early planning activities and give the NLCC OCM Manager a starting point when they join the project.

Organizational Change Management Framework	
<b>Create a Climate for Change</b>	<ul style="list-style-type: none"> <li>Solidifying the Change Management governance structure.</li> <li>Confirming project vision and mission (Documenting the drivers for change)</li> <li>Creating a high-level change management strategy (Determining Success Criteria)</li> </ul>
<b>Assess the Roadblocks and Build Mitigations</b>	<ul style="list-style-type: none"> <li>Who is affected and how? (Stakeholder Mapping)</li> <li>Is my Organization ready for change? (Organizational Assessments)</li> <li>Is my Leadership ready for change? (Sponsor Assessments and Interviews)</li> <li>Are my Customers ready for change? (Customer Assessments and Interviews)</li> </ul>

Organizational Change Management Framework	
<b>Rally the Organization for Change</b>	<ul style="list-style-type: none"> <li>• Executive Communication (Receiving Project Updates and Risk Escalation)</li> <li>• Providing Project Team Communication and change workshop(s) as required.</li> <li>• Facilitating BPR workshops</li> <li>• Develop support strategies (Coaching and training)</li> <li>• Monitoring Stakeholder and Organizational Acceptance of Change</li> </ul>
<b>Embed the Change into the Organization</b>	<ul style="list-style-type: none"> <li>• Conduct follow-up change workshop(s) as required with staff.</li> <li>• Implementing Incentive Systems</li> <li>• Go-Live support</li> <li>• Follow-up Assessments (Staff, process, and customer)</li> <li>• Close-out Communications and Presentations</li> <li>• Ensure skills training and roles definitions are in place</li> </ul>

**Initial Computronix OCM Deliverable, Optional Ongoing OCM Advisor Role**

Computronix does not use a “one-size-fits-all” approach to change. The communication, training, coaching, resistance management, and reinforcement plans are all based on the unique organizational attributes and change characteristics. Early in the CAMP project, Peter Huizinga, Computronix OCM Advisor, will perform an Organizational Readiness Assessment (ORA) at no-cost. A readiness assessment is a gauge of how prepared and able employees are for change, whether you can expect high or low employee resistance, and the reasons behind the resistance.

The ORA consists of a questionnaire filled out by project leadership and an open survey to all staff affected by the incoming project. From executive leaders to front line staff, all levels of the organization are encouraged to participate in providing feedback for the project. A report will be compiled detailing the overall results and thematic results from any comments. The OCM Advisor will present the report to the NLCC CAMP project leadership team and recommend any follow-up action.

Note: Individual Response data that could potentially identify an individual in the organization will not be released. This is to ensure the confidentiality of the responses and to allow for an open and honest assessment of the project environment.

### **Expected NLCC Participation**

As an organization, change cannot happen without active and visible support from NLCC. One of the main expectations Computronix has of NLCC stakeholders is that the project leadership will make dedicated staff available for Change Management support. Some of the activities needing support are Project Leadership and Governance, Project Communication, Administrative Activities, Legislative / Rules Changes, Human Resources Support, Technology (Hardware and Software) support, and Training support. These activities need visible and active support to ensure project success.

### **Anticipated Cost**

Computronix anticipates that NLCC will contract a certified OCM Manager and require their services at about 1/3 FTE for the duration of the project. In addition to this resource there is also internal costs as staff work on change management deliverables as directed by the OCM Manager. Typically, this requires roughly another 1/3 FTE's worth of time (from various staff) for the duration of the project.

Computronix has not included OCM services beyond the initial no-cost assessment in our proposal. NLCC can retain Peter Huizinga on an "as needed" basis for an additional cost to advise NLCC's designated OCM Lead about successful, proven change management strategies, tactics, approaches, and execution on other POSSE projects.

Computronix's welcomes further discussion with NLCC regarding how we can best support the required OCM activities.

## 8.I. Training and Knowledge Transfer

This section should also include the following information:

**1. Identify the types of training proposed, such as**

**i. Initial Product Training**

**ii. End User Training and Train the Trainer Training**

**iii. Configuration Training sessions**

### Computronix Response:

Computronix provides project-related and ongoing POSSE product training to customers across North America. We offer a wide variety of courses and training options that enable clients to use, configure, and administer their POSSE environments.

Historically, Computronix has offered clients on-site as well as in-house training at either our Denver, CO or Edmonton, AB offices. Since 2019, we have successfully offered the option of remote and virtual training to best support our clients in this changing COVID business environment and can utilize the virtual meeting tools clients use (e.g., MS Teams, Zoom, WebEx, etc.) to provide training programs, ad hoc training, and mentoring sessions to address specific business problems or learning challenges.

In addition, Computronix has the capability to develop and deliver YouTube-based training videos for the public or for internal trainees. While this is not included in the proposal, it can be discussed during the project as an additional post-project or late-project deliverable.

### ROLE-BASED TRAINING DELIVERABLES

All training preparations and deliverables, including the total required number of in-class training days, are documented in a Knowledge Transfer/Training Plan developed in consultation with the NLCC.

All training programs are typically oriented to role-based knowledge transfer needs within the organization. Computronix has identified the following roles that will require POSSE ABC training for the NLCC project:

- **Project Team Leaders:** These individuals need to understand all system aspects to the system at a high level and have an excellent understanding of the base out-of-the-box POSSE ABC System features, functions, and capabilities. As the site-specific system is configured and implemented for the NLCC, these leaders will need to have an excellent understanding of the final, delivered System features, functions, and capabilities.



- **Organizational Change Management (OCM) Leaders:** These NLCC staff members will need to understand the system at a high level, including POSSE ABC System features, functions, and capabilities. As the site-specific system is configured and implemented for the NLCC, these leaders will need to have an excellent understanding of the final product and how it will mesh with the NLCC users and their work procedures. OCM leaders also identify and make recommendations on any organizational changes or additional training needed to streamline the organization’s work.
- **Subject Matter Experts (SMEs):** These NLCC staff members will need to understand all aspects to the system at a high level and have a sufficient orientation to the base out-of-the-box POSSE ABC System features, functions, and capabilities that they can participate effectively in Fit-Gap Analysis sessions, progressive Iteration Reviews (as the final system is configured), and (likely) UAT Test Plan development and testing.
- **Data Conversion Leaders:** These NLCC staff members will be responsible for understanding POSSE architecture and Computronix data conversion processes and methodology to complete the NLCC data conversion/data migration responsibilities within the overall data conversion initiative. Please see “Data Conversion Methodology” elsewhere in our proposal for an explanation of this training, as it is part of our Data Conversion deliverables.
- **UAT Testers:** These NLCC staff members will need to have a sufficient orientation to the final, configured end user functionality such that they can complete User Acceptance Testing according to a final, approved UAT Test Plan.
- **End User Trainers / End Users:** These NLCC staff members will need to have an excellent understanding of the final, delivered System features, end user functions and capabilities as it relates to their own particular areas of business. Within the end user training role category, we have identified the following distinct sub-roles:
  - **Office users:** These NLCC staff members will need training in aspects of the internal office system, the external-facing customer portal, and the management/reporting capabilities that relate t their areas of business
  - **Mobile users:** These NLCC staff members will need additional training for using mobile inspections applications on smartphones, tablets, etc., in the field. Usually these are inspectors and code enforcement officers.
- **System Administrators:** These NLCC staff members will be responsible for the majority of day-to-day System administration (security administration, changes to business metadata) using the POSSE ABC Administration website. These super users are often designated business users empowered to make business rule changes on behalf of their areas of business. These super users can also include designated IT support staff members, if desired, to administer user and access group management.

- **Configuration Technicians / Developers:** These NLCC staff members, usually IT staff members with some training in programming / contemporary programming languages, will assume responsibility for ongoing in-house system development, creating new configurations (workflows) other configurable system components using POSSE ABC's base point-and-click configuration environment, called Stage, as well as new interfaces, background activities, custom programming to extend functionality, as desired.
- **Report Writers:** These NLCC staff members will be responsible to creating and implementing operational (reports generated as part of workflow, such as permits, notifications, receipts, etc.) as well as standalone management reports, performance and KPI-oriented dashboard gauges and reports, etc., using the POSSE XtraReports, POSSE Ad-Hoc Reporting, POSSE Word Merge, as well as the POSSE Reporting Datamart repository.
- **IT Technical Support:** These NLCC staff members will provide back-end system and network and server support, database administration services, routine Oracle back-ups and maintenance for the System.

Our POSSE ABC training approach and deliverables will be comprehensive in order to successfully train the large number of various user groups participating in the System implementation through the project, and to provide the NLCC with options for system sustainment and expansion/ongoing development using trained in-house NLCC staff.

## Summary of Training Deliverables, Number of Sessions

Computronix will deliver a single session of each course, as follows, to train up to eight (8) NLCC Trainers, Testers, or IT Technical staff. A summary description of Computronix's standard training courses is provided in the table on the following page.

Training Class/Description	Recommended Number of Participants	Location and Method of Delivery (e.g., classroom, online)	Personnel Expected to Attend Training	Hours
<b>POSSE ABC Orientation Training</b> Walk-through of pre-configured POSSE ABC end-user functions. Prepare designated Client project team staff with the tools to participate in Fit/Gap Analysis and Data Conversion	Up to 8	Online	Designated SMEs, Project Team leaders, OCM leaders, and/or other Client staff per course.	16
<b>Site-Specific Pre-UAT Training</b> Full scope of POSSE ABC implementation project.	Up to 8	Online	Designated end-user trainers, SMEs, UAT Testers, and/or other Client project staff.	40
<b>System Administration (POSSE ABC Administration)/POSSE IT Support Training</b> <ul style="list-style-type: none"> <li>• POSSE ABC Administrator Portal</li> <li>• StaffUI Admin</li> <li>• POSSE Admin</li> </ul>	Up to 8	Online	Designated end-user trainers, SMEs, Administrators, and/or other Client project staff.	16
<b>Ad Hoc Report Writing</b>	Up to 8	Online	Designated end-user trainers, SMEs, Report Writers, Administrators, and/or other Client project staff.	8
<b>Totals:</b>				<b>80</b>

**2. Describe the types of documentation that the bidder has that can be leveraged for training and knowledge transfer activities. The bidder should include pricing for the development of training documentation customized to NLCC’s needs on the Cost Proposal.**

**Computronix Response:**

Electronic and printed versions of the training manuals will be provided to NLCC. The proposal provided includes this documentation customized based on the client’s specific implementation.

**3. For pricing purposes, bidder should assume that it will be responsible for direct training of all NLCC and partner agency end users. This includes 20 NLCC staff and 30 users from external agencies (Department of Agriculture, Office of the Attorney General, Nebraska State Patrol, etc.).**

**Computronix Response:**

Computronix has taken this information into consideration when developing our pricing.

**4. Describe any constraints and risks that can be a barrier to the success of the training effort, along with the actions that can be taken to address these constraints and risks.**

**Computronix Response:**

Computronix has identified the following risks to successful training and how we address them as follows:

- **Staff are not available to attend the training.**  
Computronix will work with the NLCC to develop a training schedule that optimizes staff attendance.
- **Staff do not communicate if they are not clearly understanding the material being covered.**  
Computronix includes worksheets and exercises using the NLCC workflows during training. These provide the trainer with check points to gauge the understanding of the material for each participant. Computronix encourages Staff to request clarifications if needed during training.

## 8.J. Production Transition and Hosting & Production

**Provide the following information that NLCC can use to evaluate the Bidder's knowledge of, and intended approach to, provide production support and transition services.**

**This section should also include the following information:**

### **Computronix Response:**

Computronix has provided point-by-point responses for the following sections.

### **Production Support and Transition Approach**

**1. Describe the Production Release approach for production cutover and activities required to begin production use of the new Solution. The approach must include the following, at a minimum:**

- i. Key activities**
- ii. Critical success factors**
- iii. Roles and responsibilities (for both the Bidder and NLCC)**
- iv. Acceptance criteria**

### **Computronix Response:**

The following steps precede the proposed solution being released into Production:

- A review will be following UAT to ensure all required fixes to issues identified during UAT have been delivered and validated.
- NLCC will provide Computronix with a signed System Acceptance form which states the system developed by Computronix and tested by NLCC meets all requirements and is acceptable to go into Production.
- A Go-Live check list is developed by Computronix and reviewed with NLCC staff. The check list includes a step-by-step process and identifies all individuals and their roles during Go Live.

Support staff will be notified well in advance that they will need to be on call during Go-Live in case their support is needed. A software backout plan will be in place in case an issue is encountered that cannot be resolved in real-time

- NLCC staff will test the system as part of Go Live to ensure it is functioning as expected and designed.
- Computronix will continue to be available onsite for the week following Go-Live.
- Warranty begins upon Go Live.

**2. List and describe documentation that will be provided, including the formats in which the documentation will be made available. Additionally, describe how the Bidder plans to provide ongoing updates to documentation throughout the life of the contract to ensure relevance of the documentation following implementation and system upgrades.**

**Computronix Response:**

Computronix documentation includes:

- POSSE ABC Administrator Portal reference manual
- Requirements Management Plan including:
- Requirements Traceability Matrix
- Customization List
  - Workflow Diagrams
  - Entity Relationship Diagrams
  - Reporting Datamart Data Dictionary
  - Pre-UAT System Overview Training Manual

This documentation is for the current release of POSSE ABC that the NLCC will receive and will be updated to reflect configurations made during the implementation project for the NLCC.

The POSSE ABC Staff Portal supports the integration of online help files (e.g., Help & Manual). Computronix assumes the NLCC is responsible for documenting the online help if desired.

Computronix can develop and deliver YouTube-based training videos for the public or for internal trainees. While this is not included in the proposal, it can be discussed during the project as an additional post-project or late-project deliverable.

**3. Describe how as-built documents will be updated over time.**

**Computronix Response:**

Computronix will update product documentation for any NLCC specific configurations made during the implementation project. These documents will be provided to NLCC in editable electronic format.

**4. Describe the approach to provide ongoing training for users as the new Solution is updated and new users are onboarded.**

**Computronix Response:**

Computronix provides comprehensive POSSE ABC training and training documentation to successfully prepare the various user groups participating in the System implementation through the project, and to provide the NLCC with options for system sustainment and expansion/ongoing development using trained in-house NLCC staff. After initial project implementation, NLCC will be given copies of all training materials and will be able to provide these as guides for onboarding new staff.

**5. Describe the transition approach and methodology proposed, including how the bidder will manage working software in production while also continuing to develop new technology for future deployment.**

**Computronix Response:**

One of the strengths of the POSSE platform is the ability to provide continuous upgrades with respect to underlying technology, while ensuring that all configurations continue to work post-upgrade. Due to the breadth of the POSSE product, staying current with third-party software requires constant diligence. This includes updates and testing for new versions of browsers, web servers, operating systems, databases, programming languages, and add-on integrations. As POSSE upgrades are made available, they will be deployed to the NLCC hosted environment, in coordination with NLCC staff.

**6. Describe the production services to be provided to NLCC for the provision of services. Describe system monitoring capabilities and how performance will be measured and tracked against service levels, including how real-time deviations are communicated to NLCC. Bidder must describe root cause analysis approach and how corrective / preventative measures are taken. Provide sample reports related to service level management.**

**Computronix Response:**

Computronix logs over 1,000 different data points relative to server and application performance using a third-party monitoring tool (i.e., <https://www.paessler.com/prtg>). This monitoring includes, but is not limited to, network traffic, disk IO, disk free space, memory usage and CPU usage. When an abnormality is detected, Computronix technical support staff are alerted, and actions are taken to resolve the alert/issue relative to the alert being raised.

Performance benchmarking is done with every major release and a white paper on this benchmarking can be provided during the implementation project.

As part of the monthly reporting provided to NLCC, Computronix not only includes overall system availability, but also system responsiveness based on a regular “ping” test of each server. A sample of our standard monthly service level report is included as Exhibit E – Sample System Uptime Report.

**7. Describe the bidder’s overall release and deployment management approach for minor and major application releases and how NLCC’s input as to the overall product roadmap is incorporated.**

**Computronix Response:**

Computronix includes installation of all POSSE point, maintenance, and patch releases for the client (see definitions below) as part of our POSSE ABC Cloud offering. Major version releases typically occur every five to seven years and are coordinated separately with the client.

POSSE software upgrades follow commercial software industry protocols and standards and utilize a well-defined major/minor numbering scheme, which also defines the types of software releases.

For example, for POSSE ABC Version 7.4.2.1:

- 7 = Version number:** Versions will be released with an expected frequency of once every five to seven years. A site must be able to upgrade their Production database over a long weekend and may require the installation of a new release of third-party products.
- 4 = Release number:** Releases are expected to occur with a frequency of once every 12 to 18 months. A site must be able to upgrade their Production database over a weekend and may require the installation of a new release of third-party products.
- 2 = Maintenance number:** Maintenance releases are expected to occur at a frequency of once every three to six months. A site must be able to upgrade their Production database overnight. Every attempt will be made to not require changes in third party products. A new Maintenance release collects together all the Patch releases developed since the last Maintenance release.
- 1 = Patch number:** Patch releases are expected to occur at a frequency of once every two to eight weeks. A site must be able to upgrade their Production database in less than one hour. No changes are required in third party products. The installation of a Patch release includes all prior Patch releases for the current Maintenance release.

Computronix welcomes customer input to the POSSE product roadmap. The POSSE Software Product Roadmap, updated every 12 to 18 months, articulates POSSE product development plans. POSSE software product development is guided, in part, by a POSSE Advisory Council, which meets semi-annually. NLCC’s Computronix Account Manager will represent NLCC product enhancement requests and suggested product directions through the POSSE Advisory Council’s Business Development representative.



**8. bidder's approach for maintaining technical currency and anticipated major releases for the next one-two years and how those releases will impact the implementation.**

**Computronix Response:**

Due to the breadth of the POSSE product, staying current with third-party software requires constant diligence. This includes updates and testing for new versions of browsers, web servers, operating systems, databases, programming languages, and add-on integrations.

The current release of the POSSE platform is 7.4.2.1. During the proposed project timeline, it is anticipated that POSSE 8.X will be made generally available. As part of the project implementation, Computronix will ensure that the NLCC system goes live with POSSE 8.X, so that NLCC will benefit from the most current major version release of POSSE ABC.

## **Maintenance & Operations and Support**

**9. Describe the approach and methodology to application management, technical support, system enhancements, and other related support activities.**

**Computronix Response:**

Computronix has proposed the POSSE ABC system to be delivered in a security-hardened, secure Microsoft Azure cloud hosting environment which includes POSSE and POSSE database upgrade installations performed by Computronix to simplify the NLCC's role in system sustainment.

Ongoing application management and technical support will be provided by our trained Computronix support personnel. For any future NLCC-requested system enhancements (outside of core system upgrades), the designated Computronix Account Manager will work with NLCC to properly scope and plan for those activities.

## **Patch/Upgrade Support**

**10. Clearly and succinctly describe relevant patch and upgrade support services and service levels to ensure that a high-quality release management strategy can be executed during and after implementation. Also provide patch/upgrade support service cost and rate information in the Cost Proposal.**

**Computronix Response:**

Comprehensive upgrade services, (excluding future major POSSE version upgrades), as well as all point and patch releases shall be provided to the NLCC by Computronix and is included in our cost proposal.

**11. Describe release strategy and typical schedule (e.g., quarterly, annually) with respect to patches, point upgrades, and major release upgrades. As part of this response, describe your position on version compliance to maintain/support and options clients may have to defer patches/upgrades.**

**Computronix Response:**

Computronix applies POSSE Application and POSSE Database upgrades to ensure that NLCC stays within no more than 24 months of the latest POSSE release (excluding major version upgrades). Upgrades are conducted upon client approval and schedule coordination.

**12. Describe what tools and documentation are provided to facilitate a high-quality patch or upgrade effort.**

**Computronix Response:**

Release notes are available on the POSSE support site for every patch and upgrade. Computronix has proposed a hosted solution with Computronix applying the patch or upgrade to the virtual system which is available to NLCC upon restart.

**13. Describe any differences in patch/upgrade support options and services for client hosted vs. single tenant SaaS vs. multi-tenant SaaS support vs. any other models offered.**

**Computronix Response:**

Computronix has proposed a single-tenant SaaS solution. Computronix does not offer multi-tenant SaaS. On-Premises installations are supported, with some clients conducting their own POSSE upgrades while others engage Computronix to perform upgrades.

**14. Describe any continuous improvement efforts underway or planned to improve the quality of patch/upgrade support services.**

**Computronix Response:**

Computronix has recently established an Upgrade Best Practice Team to bring additional consistency and efficiency to POSSE product upgrades. Computronix continues to invest in improvements which will reduce the complexity, effort, and associated costs of upgrades. Effort is currently underway to release a containerized version of POSSE with automated Oracle and infrastructure deployment and upgrades. This initiative is currently planned for completion in 2022 and includes automated pre-upgrade checks for hosted clients.

## Enhancements

**15. Describe the management approach to application enhancements, such as assessment of change impact, estimation of required effort to implement the change, and change approval requirements.**

### Computronix Response:

The change control process is initiated when Computronix and/or NLCC determine that a change is required to the current scope or schedule baseline at the time the change is identified. Changes to the project scope, schedule and costs will be managed as follows:

The change control process is initiated when Computronix and/or NLCC determine that a change is required to the current scope or schedule baseline at the time the change is identified. Changes to the project scope, schedule and costs will be managed as follows:

- The Computronix Project Manager documents the change on behalf of NLCC, or NLCC creates the change, using the agreed-to change request form.
- The NLCC Project Manager, with support from business champions, the steering committee, and others evaluate the change request for completeness and validity, suggesting changes as needed.
- The change request is forwarded to the Computronix Project Manager to be added to the Change Log.
- Computronix will determine the feasibility of the change request, and if the work is feasible Computronix will estimate effort and cost and document the impact to the project if the change were to proceed. The Computronix Project Manager then sends the change request to the NLCC Project Manager.
- The NLCC reviews the Change Request and if reasonable and complete, presents the change request to the Steering Committee for review. If approved, the change request form is signed and dated. If the change request is not approved, the NLCC Project Manager will inform the Computronix Project Manager of this, and the change request will be marked as declined and no further effort will be put into it.
- The Change Log will be updated with the status of the Change Request.
- If a statement of work or contract amendment is required, the Computronix Project Manager will forward to the NLCC Project Manager.
- The NLCC Project Manager sends the approved change request form and other documentation to the Computronix Project Manager who will acknowledge receipt via email. At this point, the project plan documentation and/or the Fit/Gap Requirements Report are updated.

**16. Describe the technical approach to enhancements, such as configuration management, documentation requirements, integration testing, regression testing, acceptance testing, and deployment.**

**Computronix Response:**

The POSSE Product Teams have full time product managers and are supported by a Product Council comprised of different roles. Enhancement requests, new product features, and fixes are prioritized and weighted based on feedback from existing customers. Existing customers can request fixes or enhancements via the product support website, directly through implementation project team members, or via the client dedicated Computronix Account Manager (AM).

The AM is assigned at contract signing and manage the business relationship with each client. This role is a key element in helping clients maximize the value of POSSE ABC. The AM communicates product and company updates, schedules quarterly onsite visits, is available to participate in strategic planning, provides options and recommendations, and serves as the main contact for collaborating with the client on enhancement requests or product upgrades. The AM will be NLCC's single point of contact for coordinating estimates, quotations, or access to other Computronix resources.

**17. Describe approach to process future enhancement requests, including methodology for pricing (e.g., function point analysis) and future available resources to fulfil enhancement requests.**

**Computronix Response:**

NLCC can request enhancements to their POSSE ABC system at any time. In coordination with NLCC's Computronix AM, each request will be reviewed and an estimate will be provided using our comprehensive estimating template which calculates effort based on the complexity of the requested enhancement. This estimate will be reviewed in detail with NLCC, and any tradeoffs or alternatives discussed. If NLCC desires to proceed with the enhancement, a resource team will be assigned to complete the work within mutually agreeable timeframes.

## **Call Center/Problem Ticket Support**

**18. Provide information regarding Bidder call center and problem ticket support services and service levels to ensure responsive, reliable, and knowledgeable support is provided during and after implementation.**

**Computronix Response:**

Computronix support is available 24x7x365 via portal or email. We offer 24x7 support for Critical Issues. For all other issues, our Help Desk is staffed to provide coverage within SLA-specified response times during core business hours.

Computronix proposes a four-tier Help Desk structure to fulfill the system requirements and to ensure the overall solution continues to run smoothly:

- **Tier 1 Help Desk:** Computronix will train designated NLCC support staff in system administration and support. We expect your trained support staff to provide front-line Tier 1 support to end-users.
- **Tier 2–Tier 3 Product Support:** As a result of an issue reported by NLCC’s Tier 1 Help Desk, a new incident will be created in our online Product Support Issues tracking system, recording time, date, caller, issue, and related details. A priority is assigned to each incident. The incident is assigned a unique identifier, which we communicate to the caller, either during the call or electronically. Each incident is routed to appropriate Computronix Product Support staff for resolution, based on training, experience, and level of severity. The logging system will automatically track the status of outstanding incidents to ensure assigned resources remain focused and properly prioritized. Status reporting is maintained with the person who originally logged the incident, either by phone or electronically. Once the issue is resolved, the closing details and outcome are recorded.
- **Tier 4 Product Support:** The highest tier represents the assistance of Computronix Product Development and/or Product Support teams. In the rare event additional assistance is required for issue resolution, the software developers themselves are brought in to assist.

As described in the POSSE Software as a Service Agreement, support issues are categorized as in the table below, with corresponding response times and resolution process.

SEVERITY	DEFINITION	RESPONSE TIME	RESOLUTION PROCESS
<b>Critical</b>	Client site is down. Major impact to operations of client site.	< 15 min.	Immediate and ongoing effort, with daily reporting to client until the correcting release is issued or a work-around is provided.
<b>High</b>	Major impairment of at least one important function at client site. Operations at client site are impacted.	< 1 hour	Proceed with fix as high priority work (with client informed of identified target date for release as well as regular progress reports) until the new release is issued or a workaround is provided.
<b>Medium</b>	Client Operations not significantly impacted. One or more minor client functions not working.	< 4 hours	Proceed with fix as medium priority work, with client informed of identified target date for release.
<b>Low</b>	Minor usability irritations.	< 2 working days	Proceed with fix as low priority work.

**19. Describe the size and structure of call center services team and the hours of operation.****Computronix Response:**

The POSSE Support team is composed of six dedicated staff members, along with 20 members of the POSSE Product teams that assist with support issue resolution as required. The hours of operations are 7 AM – 6 PM MST. The structure of the call center is to provide Tier 2/Tier 3 level of support with the client responsible for Tier 1 support services. Contact to the call center is normally done by designated contact individual(s) from the client.

**20. Describe any support tools or techniques used to more quickly diagnose and resolve critical or escalated problems. The escalation process should also be described.****Computronix Response:**

During the implementation project the NLCC Project Manager will have ready access to the Computronix Project Manager for relating concerns about individual issues and the quality of the project in general. In addition, the NLCC Project Sponsor and NLCC Project Manager have further recourse to the Computronix Operations Manager, the VP, Operations and ultimately to the Computronix President/CEO. Likewise, the Computronix Project Manager may request to discuss an Issue at the monthly Steering Committee meetings to reach a decision or resolve a particular Issue.

For production issues, NLCC will report these through the POSSE Help Desk with appropriate severity levels. For any critical issues, senior staff (including managers and executives) are automatically notified. When warranted based on issue severity, Computronix utilizes a multi-disciplinary team which communicates over a dedicated Microsoft Teams Channel which provides real-time communication for the response team during an incident. In the event of a service disruption incident, Computronix Managed Services begins an incident response procedure that includes, but is not limited to:

- Computronix Service Manager notifying NLCC of service disruption
- Depending on the severity of the incident, updates are sent every 30 minutes
- On-call member notifies Computronix Project Operations team of incident in the Microsoft Teams channel
- Computronix Managed Services creates a Jira Incident within their Service Desk for tracking details, official downtime duration, and root cause analysis
- Collection of root cause analysis (with support from Computronix Project Operations, Database Administrators, and POSSE Support if necessary) and delivery to NLCC

**21. Describe any differences in call center support for client hosted vs. single tenant SaaS vs. multi-tenant SaaS support vs. any other models offered.**

**Computronix Response:**

Our Computronix POSSE Cloud/SaaS single-tenant solution offers NLCC two key advantages for successful ongoing system sustainment and support:

- For all POSSE Cloud-hosted SaaS solutions, we employ 24-hour automated monitoring of the client's single-tenant SaaS site within the Microsoft Azure data center to ensure our commitment to 99.9% uptime. Designated Computronix Managed Services staff are on call on a 24-hour cycle (in addition to regular in-office hours) to respond to any system alerts created by this monitoring automation. This service is included as part of our Cloud Hosting Service Level Agreement.
- Included in our proposed annual SaaS Hosting subscription is a commitment that Computronix staff will install and apply POSSE software updates (exception: major POSSE version upgrades) to keep the system within 24 months of the current release. This includes the installation of quarterly Oracle security updates and patches for worry-free security administration of the System.

For on-premise solutions, POSSE Support staff are available during regular office hours Monday-Friday, with an option to extend call center hours coverage for additional cost.

Computronix also provides 24 x 7 x 365 issues reporting and tracking for POSSE software issues through our Jira-based tracking system so that designated NLCC staff can report and pull support tickets at any time.

**22. Describe any continuous improvement efforts underway or planned to improve the quality of call center support services.**

**Computronix Response:**

There is currently a continuous improvement effort under way to adopt and use Jira Service Desk for the logging and tracking of all client issues.

**23. Describe the availability of an online knowledge base that can be accessed directly by end-users and technical staff to obtain answers to frequently asked questions or perform research on symptoms to identify resolutions to known issues. Additionally, describe any interactive services (e.g., online chat) that will be available to system users.**

**Computronix Response:**

Computronix has a POSSE Users Group website. This provides a searchable database for all known POSSE issues. This website is available to registered users only. This website also has a number of business and technical white papers that are a great resource. There is a FAQ section and search capabilities as well.

Computronix also provides a POSSE Online User Community which allows clients to interact and share ideas and explore best practices.

**24. Describe any continuous improvement efforts underway or planned to improve the quality of user group collaboration.**

**Computronix Response:**

With the planned move to use the Jira Service Desk, Computronix will have the ability to use Confluence which will provide improvements in our knowledge base and article delivery to user.



## Section 9: Deliverables

### 9.A. Deliverable Format

**The bidder should outline in their response their approach to develop Project Deliverables in the form and format agreed to by NLCC**

**Computronix Response:**

As part of the Computronix Project Development Methodology in Stage 3 – “Fit/Gap Analysis” Computronix works with NLCC to define acceptance criteria for each deliverable. As part of the Acceptance Criteria, Computronix can provide the NLCC’s DED requirements listed in Question 3 below.

**Identify the approach to using a Deliverables Expectations Document (DED). Bidders should address the following when describing their approach to DED development:**

- 1. No work will be performed on any deliverable associated with a payment milestone until the DED has been approved in writing by NLCC.**

**Computronix Response:**

See the previous response above.

- 2. Bidders are expected to include realistic timeframes for NLCC to review the DED that correspond with the appropriate dependencies for deliverable development activities in the project schedule.**

**Computronix Response:**

Understood.

**3. The objective of the DED is to ensure that deliverables meet or exceed the contractual obligations and expectations and deliver the expected outcomes. In order to accomplish this objective, the DED must contain enough information to provide an accurate representation of the planned format and content of the deliverable. At a minimum, DED's must contain the following components:**

- i. Sample Table of Contents of the deliverable**
- ii. Short description of all sections and sub-sections planned to be included in the deliverable**
- iii. Samples of any diagrams or reports planned to be included as part of the deliverable**
- iv. Clear indication of how the deliverable will meet and/or exceed the deliverable requirements as defined in the RFP.**

**Computronix Response:**

Understood.

No work will be performed on any deliverable associated with a payment milestone until the Acceptance Criteria which will include the DED is accepted and approved in writing by NLCC.

**4. The bidder must make all deliverables available electronically in software versions that are PC compatible with the software being utilized at NLCC (e.g., Microsoft Word, Project, PDF, PowerPoint, Windows operating system, etc.).**

**Computronix Response:**

Understood.

## 9.B. Mandatory Deliverables

Table 12 provides a listing of deliverables that should be provided at a minimum as part of the CAMP implementation. As part of the Bidder's response, Bidder should submit a (1) a deliverables list similar to the table below and (2) a detailed description of how the Bidder will meet each of the deliverables proposed similar to the table below.

It should be clear which deliverables are associated with which project phase (i.e., Project Preparation, Analysis, Design, Development, etc.). If Bidder is proposing a phased implementation, bidder must clearly indicate which deliverables occur in which phase(s).

Include, at a minimum, the criteria of each deliverable described below. However, Bidders are encouraged to provide a response that elaborates on each deliverable and detail how it coincides with their overall solution response. Acceptance criteria is required for each proposed deliverable.

The Bidder may add additional deliverables to the list provided below in alignment with its proposed methodology and work plan, but shall not modify existing deliverable names, split apart any deliverables, or otherwise modify the requirements of the named deliverables. Any additional deliverables added by the Bidder shall be clearly identified in the response.

### Computronix Response:

Computronix has addressed the list of deliverables of Table 12 on the following pages.

**Table 12. Minimum List of Deliverables**

#	Deliverable Name	Computronix Solution
<b>Milestone 0 – Project Monitoring and Status Reporting</b>		
<b>A</b>	<b>Project Status Reporting</b>	<p>Weekly status meetings will be held between the NLCC Project Management Team and Computronix via Microsoft Teams.</p> <p>Monthly project update meetings will be held for the Executive Steering Committee by the NLCC Project Management Team and Computronix via Microsoft Teams.</p> <p>Bi-weekly status reports will be emailed to the NLCC Project Management Team. The status report will:</p> <ul style="list-style-type: none"> <li>• Provide percentage complete for the project and provide details on deliverables in progress.</li> <li>• List recently completed and upcoming activities about to begin.</li> <li>• Project a list of Risks and Issues with mitigation strategies.</li> <li>• A project budget update.</li> </ul> <p>Key Decisions will be tracked in the Risks, Action, Items, Issues and Decision (RAID) log described below. A separate schedule update can be included with the status report. A 4-to-6-week calendar will be maintained on the SharePoint site and will be accessible to the NLCC and Computronix Project Team members.</p> <p>An issues list will be created, shared, and maintained on the Computronix JIRA issue tracking system.</p> <p>A project risk log will be part of a RAID log created, shared, reviewed and maintained on a project SharePoint site. This project SharePoint site will contain the Project Library for this project.</p>

#	Deliverable Name	Computronix Solution
<b>B</b>	<b>Meeting Minutes</b>	<p>Remote meetings will utilize Microsoft Teams or equivalent software. A written high-level summary of key meetings, as identified by Computronix, will be created and stored on the project SharePoint site. The summary will include:</p> <ul style="list-style-type: none"> <li>• Date, time, duration and purpose of the meeting.</li> <li>• Attendees and invitees.</li> <li>• Key strategic decisions made.</li> <li>• Action Items (Decision, assignee, due date).</li> <li>• Issues and/or risks identified or triggered.</li> </ul>
<b>Milestone 1 – Project Initiation and Planning</b>		
<b>1</b>	<b>Project Kickoff Presentation</b>	This is associated with the Stage 1 – “Project Planning and Kick-off”. All project deliverables are shown as <b>Blue lettered text</b> in the Project Schedule Gantt Chart provided. All of the requested areas of information requested will be included in the presentation.
<b>2</b>	<b>Project Schedule</b>	Understood. Computronix will provide this deliverable.
<b>3</b>	<b>Project Management Plan</b>	Computronix will provide a Project Management Plan with all of the required pieces as a Stage 1 – “Project Planning and Kick-off” deliverable before the Project Kick-off meeting.
<b>Milestone 2 – Analysis</b>		
<b>4</b>	<b>Requirements Analysis Document</b>	There are 4 Fit/Gap working sessions planned during Stage 3 – “Fit/Gap Analysis” of the project schedule to review all of the Functional and Technical Requirements as well as User Stories. The Fit/Gap working sessions can be seen in the Project Schedule Gantt Chart
<b>5</b>	<b>Solution Implementation Plan</b>	<p>Computronix will document the designs in two specific documents for any in-scope gap requirements. A Client Facing Design is for client review and confirmation that the functionality meets the stated requirements. A second Technical Design Document is created which builds on the Client Facing Design and is for Computronix developers to build from.</p> <p>Computronix conducts internal system testing prior to handing the solution over to NLCC for User Acceptance Testing.</p> <p>A Training Plan is part of the standard Computronix Project Plan deliverable.</p>

#	Deliverable Name	Computronix Solution
<b>Milestone 3 – System Design</b>		
6	<b>System Architecture Document</b>	Computronix will provide a System Architecture Document during the implementation project.
7	<b>Functional Design Document</b>	As stated in our response to Deliverable #5, The Client Facing Design document will meet the Functional Design Document deliverable during the implementation project.
8	<b>Requirements Traceability Matrix (Optional)</b>	For requirements specified by NLCC (Appendix A and Appendix B), the Requirements Traceability Matrix (RTM) and subsequent design documents will describe how POSSE ABC will be configured during the implementation project.
9	<b>Technical Design Document</b>	As stated in our response to Deliverable #5, Computronix will deliver a Technical Design Document during the implementation project. As Computronix hosting the solution, this will not include installation and configuration processes (other than the POSSE ABC Administrator Portal functionality).
10	<b>Prototypes</b>	Computronix does not intent to complete prototypes (typically resulting in “throw-away” configuration). Rather, Computronix will provide in-progress demonstrations at several points through the development stages of the implementation project, showing how Computronix is progressing through the in-scope gap configuration based on the previously approved requirements and designs.
11	<b>Data Conversion Plan</b>	Computronix will define a Data Conversion Plan deliverable during the implementation project.
12	<b>Interface Specification Document</b>	Each in-scope interface, per responses to Appendix B, Tab H. Systems-Interfaces, requirements, will have an Interface Specification Document created during the Analysis/Design stage of the interface development.
13	<b>Online Portal Specification Document</b>	As the POSSE ABC Customer Portal is already pre-configured, Computronix will provide an Online Portal Specification Document for any new in-scope gap functionality per our responses to requirements in Appendix A and Appendix B.
14	<b>Report Specification Document</b>	Computronix will provide a Report Specification Document during the design stage of any in-scope product configurable or NLCC specific reports.

#	Deliverable Name	Computronix Solution
<b>Milestone 4 – System Development</b>		
15	<b>Data Mapping &amp; Conversion</b>	In Stage 3 - "Fit/Gap Analysis" one of the task groups in the project Gantt chart provided is "Legacy Data Review and Mapping". In this task group is Creation of the Data Conversion Plan and review this with the NLCC team. The plan is then finalized. Legacy Data and Screens are then reviewed, and a Draft Data Conversion Mapping document is created. The Mapping document is reviewed, edited and finalized with Acceptance Criteria defined during those meetings.
16	<b>System Configuration</b>	In Stage 4 - "Configuration/Gap Closure" one of the task groups in the project Gantt chart provided is "System Development". In this task group is sub-task group named "Configuration". Within this sub-group are all of the tasks associated with this work.
17	<b>Interface Development</b>	As part of the "System Configuration" deliverable in the line above, in the Gantt chart under the sub-task group named "Configuration" in a task named "Develop Interfaces". The work required for each interface will be broken down further during project planning as part of Stage 1.
18	<b>Report Development</b>	As part of the "System Configuration" deliverable in the line above (#16), in the Gantt chart under the sub-task group named "Configuration" in a task named "Develop Management Reports". The work required for each report will be broken down further during project planning as part of Stage 1.
<b>Milestone 5 – Testing &amp; Readiness</b>		
19	<b>System Testing</b>	As part of the "System Configuration" deliverable in the line above (#16), in the Gantt chart under the sub-task group named "Configuration" in a task named "Execute System Test / Resolve Issues". There is also the task named "Execute Regression Test / Resolve issues". Both are planned in the project schedule.
20	<b>User Acceptance Testing</b>	As part of the Stage 4 - "Configuration/Gap Closure" one of the task groups in the project Gantt chart provided is "Prepare for UAT" and Stage 5 - "Pre-UAT Training and UAT" tasks, all requirements listed are met.

#	Deliverable Name	Computronix Solution
21	<b>Training</b>	Orientation, Admin Portal and Pre-UAT training are all listed in the project schedule Gantt chart.  User guides will be provided during the Pre-UAT training.
<b>Milestone 6 – Deployment</b>		
22	<b>Go-Live</b>	As part of the Stage 6 - "Implementation", the tasks listed in this section will meet all requirements listed.
23	<b>System Support and Warranty</b>	The warranty period is listed in the project schedule Gantt chart under "Post Implementation support".



## 9.C. Deliverable Reviews and Approvals

Deliverables prepared by Contractor shall be subject to the review and approval of NLCC project manager, and/or his or her designee. Contractor should be prepared to provide walkthroughs of deliverables in order to facilitate the Agency deliverable reviews. NLCC may review, approve, or require modification to Contractor’s deliverables. There is no limit to the number of review cycles that may be required to resolve issues.

In addition to abiding by the review timelines outlined below in Table 13, NLCC requires a partnership with the Contractor and flexibility whereas if a submission of a large deliverable occurs during periods of high activity for NLCC or during holiday times deliverable review timeframes may be negotiated on a case-by-case basis to mitigate instances of staff unavailability. The following table describes deliverable review timelines by the parties:

**Table 13. Deliverable Review Timelines**

Deliverable Size	Agency Review – Round 1	Bidder Response	Agency Comment Close-out Review
Less than 20 Pages	6 Days	2 Days	2 Days
Less than 50 Pages	8 Days	2 Days	2 Days
More than 50 Pages	12 Days	3 Days	5 Days

**Computronix Response:**

Computronix will work with the NLCC in the delivery and review of deliverables as provided in the RFP.

**In the event Contractor submits more than one deliverable for review, the page counts of each deliverable will be added together to determine the number of days for review. Days for review will be NLCC's Business Days.**

**For selected deliverables, inflight and post submission deliverable review meetings will be held. The purpose of the meetings will be to collaboratively review deliverables, review comments and mitigations, and reach agreement on deliverable concepts and content. Deliverables review meetings will be called for at the discretion of the Contractor and Agency Project Manager. The number of deliverable review meetings will vary based on the complexity and collaboration requirements of the deliverable.**

**NLCC reserves the right to waive the review and approval of Contractor's work products. NLCC approval of Contractor's work product will not relieve Contractor from liability for defects, errors or omissions in the work product that may be discovered after such approval.**

#### **Computronix Response:**

Computronix provides a Deliverable Acceptance Form (DAF) for each deliverable that is considered ready for acceptance. The Client normally has 10 business days to review the deliverable and either sign the form, accepting the deliverable or to provide details in writing as to why the deliverable is not acceptable. Computronix will then work to remedy any deficiency, in a timely manner. If neither a signed DAF, nor a detailed list of deficiencies is delivered within 10 business days, Computronix will consider the deliverable accepted by the Client, as is. If a deliverable is considered especially large Computronix will consider extending this period on a case-by-case basis.

Any discovered defects, errors or omissions will be covered through the stated warranty period.

## 9.D. Scoping Comments

**Bidder should explicitly set forth any scoping comments regarding any part of this RFP, including all attachments, referencing the specific RFP section number in Table 14 Scoping Comments below.**

**Bidder should state all scoping comments upon which the proposal is being submitted. Insert as many lines as necessary to ensure all scoping comments are accurately expressed. Scoping Comments shall not conflict with the Terms and Conditions or Requirements of this SOW.**

### Computronix Response:

Computronix has completed Table 14 as directed by the RFP.

### Table 14 Scoping Comments

Section	Section Title	Comment
Appendix A	F. Enforcement	<p>POSSE Mobile - The proposed implementation includes a single compile of the POSSE Mobile app for inspections. iOS and Android both support the app, and Computronix assumes NLCC will deploy on a single operating system/device for each platform; for example, a single version of Android (e.g., Android 12 is considered a single operating system).</p> <p>While the NLCC is responsible for deployment of the app, they can have mobile users independently download the app from the Apple App store or Google Play Store.</p> <p>The NLCC would be responsible to acquire and setup their own MDM to manage the application deployment / install or any other aspect of the mobile device management. Computronix does not provide or recommend MDM tools.</p>

Section	Section Title	Comment
<b>Appendix A</b>	ALL	<p>Computronix has documented the following assumptions made to provide the price for this proposal with the understanding that additional data elements and business rule modifications may be discovered during the project’s Scope Finalization</p> <p>The table on the following page shows the number of apportioned configuration modifications, and our assumption of which business processes are included in our proposal’s scope.</p> <p>* Field Changes: A field change is any addition, removal, or change to a simple data entry or display field. These changes exclude fields that automatically perform calculations or display information from related entities.</p> <p>** Business Rules: These are defined as any addition or modification to the procedures, scripts, and configuration that enforce the system’s business rules. These additions/ modifications include the addition of new business rules to the system. Please note: Computronix implements most simple business rules with Checklists configured on the Administration website, and there is no limit to the number of checklist items.</p>
<b>Appendix C</b>	3. Implementation Services	<p>Computronix has provided pricing breakout per the line-items listed for Implementation Services. Computronix expects that a final payment milestone breakout will be defined during contract negotiations</p>

BUSINESS PROCESSES	CONFIGURATION MODIFICATIONS TO EXISTING WORKFLOWS
<ul style="list-style-type: none"> <li>• <b>POSSE ABC New/Amendment/Renewal/Reinstatement License Applications</b> <ul style="list-style-type: none"> <li>○ Including SDL, Auction Permits, an Special Event Licenses</li> </ul> </li> <li>• <b>POSSE ABC Batch Renewal Notifications</b></li> <li>• <b>POSSE ABC Application Case</b></li> <li>• <b>POSSE ABC License Expiration</b></li> <li>• <b>POSSE ABC Mass Emails</b></li> <li>• <b>POSSE ABC Complaint</b></li> <li>• <b>POSSE ABC Inspection</b></li> <li>• <b>POSSE ABC Case</b></li> <li>• <b>POSSE ABC Hearing</b></li> <li>• <b>POSSE ABC Information Request</b></li> <li>• <b>POSSE ABC Brand Registration New/Amendment Application</b></li> <li>• <b>POSSE ABC Brand Registration Renewal Application</b></li> <li>• <b>POSSE ABC Brand Registration Non-Renewal Application</b></li> <li>• <b>POSSE ABC Regulatory Reporting</b> <ul style="list-style-type: none"> <li>○ Shipping Reports</li> <li>○ Excise Reports</li> <li>○ Inventory Reports</li> <li>○ Sales Reports</li> <li>○ Out of State Shipments</li> <li>○ Internal Usage</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Up to 75 fields*</li> <li>• Up to 6 business rules**</li> </ul>
<ul style="list-style-type: none"> <li>• <b>NLCC specific business processes</b> <ul style="list-style-type: none"> <li>○ Temporary License / Storage / Temporary Operating Permits</li> <li>○ Debtor Tracking/Status</li> <li>○ Keg Tag Tracking</li> <li>○ Audit</li> <li>○ Process Alcohol Transfers</li> <li>○ City / County Approval Process (embedded in the POSSE ABC New / Amendment / Renewal / Reinstatement License Applications Workflows)</li> <li>○ City/County Approval Process</li> </ul> </li> </ul>	<p>N/A</p>

## Section 10: Additional Materials Bidder Wishes to Include

**Bidder should include any additional information they wish to provide in this section. Should not exceed 10 pages.**

### Computronix Response:

Computronix has provided our white paper on POSSE Security in this section.

As directed by the RFP, Computronix has provided the following Exhibits as a two separate files:

- **Exhibit A:** Financial Statements and Banking Information (Section 4.B.i.3.)  
Computronix considers this to be proprietary information per Nebraska Revised Statute 84-712.05(3) as this information would disclose the financial dealings of a privately held corporation.

The balance of the exhibits are as follows:

- **Exhibit B:** POSSE Software License Agreement and Hosting Service Level Agreement (Section 7.G)
- **Exhibit C:** POSSE Annual Product Support Agreement (Section 8.J)
- **Exhibit D:** Sample Statement of Work (Section 8.A)
- **Exhibit E:** Sample System Uptime Report (Section 8.J.6)
- **Exhibit F:** RFP Terms and Conditions  
Computronix submitted a question regarding the RFP Terms and Conditions and their inclusion in the proposal.

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## OVERVIEW

Security of browser-based applications is a serious concern for all of us. Even an application like StaffUI, which is intended for internal use, must be secure from attacks.

Security is a shared responsibility between three groups:

- The POSSE platform (including the modules that make up the user interface).
- Implementation (including POSSE configuration, coding, and integration through APIs and add-ons).
- Client IT infrastructure (including server, operating system, network software implementation, keeping current with versions of all products installed, and monitoring all servers for signs of attacks).

Each of us must fulfill our responsibilities to ensure that attacks against your business and information fail.

The analysis in this paper is based on the work of the Open Web Application Security Project (<https://www.owasp.org>).

This white paper assumes an implementation of POSSE that uses SLL (HTTPS) security. This is important even for internal sites, since otherwise anyone with access to any part of the network can “sniff” network traffic to obtain information they should not have access to.

The first section of this paper deals with the “OWASP Top Ten” threats for 2017, which is the most recent compilation by that organization. After that, we discuss other threats identified by OWASP. We briefly describe each threat. Then, we describe the methods we use in the POSSE platform to counter the threat. Last, we describe your responsibilities as Implementation and Client Infrastructure.

## OWASP TOP TEN

You can download the OWASP top ten security risks paper at [https://www.owasp.org/images/7/72/OWASP\\_Top\\_10-2017\\_%28en%29.pdf.pdf](https://www.owasp.org/images/7/72/OWASP_Top_10-2017_%28en%29.pdf.pdf). In this document, they have detailed descriptions and assessments for each of the risks in the list.

## A1 - INJECTION

Injection attacks happen when untrusted data is interpreted as a command somewhere in the application. This is normally caused by not validating data, and then fabricating commands using string concatenation rather than by using parameters (bind variables).

The most reliable way to protect yourself is to ensure that end-user data strings are never incorporated directly into commands. You should always pass data in bind variables; where that is impossible, you must parse it to ensure that it does not contain commands. If you find a suspicious character string, you must either reject it or escape it in a way that renders it innocuous. If you change your programming language, you must recheck everything to ensure that you are escaping everything properly for that language.

Note that even if you escape a string, you must ensure that downstream applications you are responsible for are not vulnerable to “A8 – Insecure deserialization”.

### *POSSE platform*

We prevent injection attacks by doing the following:

- We segregate runtime data from trusted metadata (configuration), so that it cannot be used as a set of direct commands.
- We never incorporate data from the browser into code; we always use bindings to bind variables. Therefore, an attacker cannot inject a malicious statement into code.
- We update POSSE data via stored procedures, and not as fabricated SQL insert, update, or delete statements.
- We escape all data being displayed, so that it cannot be interpreted by the browser as HTML or script.
- We check all XML coming from the browser to ensure that the actions it controls don’t violate configured security.

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## Implementation

Because of the nature of POSSE, we cannot know in advance everything you might need runtime data for. Therefore, POSSE must accept and store data that could be harmful to some custom code or third-party application that is fed POSSE data. Therefore, your custom code or configuration must prevent injection using the following methods:

- You must pass runtime data into all expressions, scripts, and Registered Statements via bind variables; you must never fabricate statements by concatenating runtime data with statement syntax. Your code must not assume that, just because the runtime data was accepted into the database, it is safe to incorporate into any statement syntax.
- When you create Outrider renderings or text widgets using the "raw value" property, you must escape all user-entered character data, regardless of where it comes from.
- If you put POSSE data into an e-mail, you must escape it based on the format of the e-mail to ensure that data is not interpreted as HTML or any other markup or scripts.
- Whenever you call out to services, you must use parameters to pass user data. Note that those services are responsible to protect their own integrity.

## IT infrastructure

You must supply and maintain scanning software that checks uploaded content (documents) for viruses and harmful macros.

If you wish to prevent certain forms of data from being stored in the POSSE database, you must implement sanitization routines.

## A2 – BROKEN AUTHENTICATION

Authentication and session management routines must ensure that it is very difficult for an attacker to determine valid UserId/Password combinations or active session tokens. If an attacker can do so, they can impersonate a valid user.

## POSSE platform

We prevent passwords from being compromised using the following methods:

- POSSE contains mechanisms to tie into third-party authentication (e.g. Active Directory or, Active Directory Federated Services). We strongly encourage you to use these mechanisms, since by doing so you reduce the number of places where passwords must be securely managed.
- POSSE can also support multi-factor authentication.
- Our sample Internet User Management Scheme allows a limited number of logon attempts before locking down a user's account for a period of time. That scheme sends the same error message to the user regardless of whether the account is locked or not, so there is no way for an attacker to "brute-force" a password. For example, if you configure the scheme to allow 20 tries (far more than a real user would do before calling for help) and then lock the account for 10 minutes, an automated mechanism would exhaust the 20 tries in about a tenth of a second, followed by 6,000 tries that would generate the same "Invalid user/password" error, even if they happened to hit the correct combination.
- We never send passwords out of the database back to the Application Server. Instead, the Application Server always sends the password being typed in to the database, which performs the comparison. Thus, a POSSE user can't retrieve a password – they can't even retrieve the hash or encrypted version of a password.
- StaffUI sends authentication information from the Presentation Server to the Application Server using a shared encryption key. The Application Server sends the password to the database using Oracle's mechanisms, which can also be encrypted. Therefore, the clear text password is never sent across the network.



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We prevent session tokens from being compromised using the following methods:

- The session token is a 40-character encrypted random string, with a total of  $5 \times 10^{71}$  possible combinations.
- We only generate a session token after a successful logon occurs, and we do so in the database, not in the browser.
- We ensure that any generated session token has not been previously used – this is extremely unlikely, but we still check.
- We expire session tokens when users log off, or when they have been inactive for a configured length of time. We provide you with an API method to expire all sessions for a user whenever you wish to.

## Implementation

We recommend that you use external authentication, so that you store passwords in one application that is carefully controlled. If you choose to manage passwords in POSSE, we recommend the following:

- Implement multi-factor authentication.
- If you start with one of our sample User Management Schemes, customize it to ensure that it isn't identical to other sites' schemes.
- Encrypt or hash passwords before storage, using salting and other state of the art techniques.
- Store the encrypted/hashed passwords in tables that are only readable by the program that is doing the password comparisons, and do not store the encryption/hash key in the same database. Do not store the passwords in POSSE objects; use an Oracle table.
- Never send a password from the database back to the Application Server; always compare in the database.
- Regularly review your scheme to ensure that it is protected from newly invented attacks.

## Session Token Security

If you must make a Web Service call that passes the session token, the service must either be on the same server

(localhost) or it must use SSL (HTTPS), so that the session token is never openly put onto the network.

## IT infrastructure

By far the most vulnerable part of the security chain occurs outside the network; that is, vulnerabilities caused by human error. To guard against human error, you must do the following:

- Ensure and enforce that users lock their computers when they are away from them. Fix operating system and browser settings to limit vulnerabilities.
- If you put a Web site on any browser that is in a public place (e.g. in a kiosk), you must design the site to only provide information and functions that are publicly available, and to make the browser difficult to view by an unauthorized bystander. One serious problem with these functions is that users do not log out when they are finished what they are doing, so the next user has access to everything the first user did. You must incorporate third-party devices that automatically log off the application (close the browser and clear all caches and browser history) whenever the user steps off a pressure pad or leaves a cubicle.
- Ensure that shared internal computers have a short operating system timeout in case a user forgets to sign out when they complete their work.
- Run all Web sites using SSL (HTTPS), so that session tokens will not be sent over networks in easily-recognizable forms.

## Bad Passwords

If you must manage your own passwords, make sure you don't fall into the trap of creating a password standard that is "technically secure" but results in your users following a pattern for their passwords or writing them down somewhere. The worst case is when the system generates random passwords that users can't remember – you are forcing them to write them down.

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Note that requiring every password to contain at least one number and at least one special character gives a false sense of security, for two reasons:

1. You have reduced the number of combinations a hacker needs to check, since they only need to check passwords that follow the standard.
2. Users will make common substitutions to meet your standards – “i” becomes 1 or !, “o” becomes 0 (zero), etc. Hackers know these patterns.

## Good Passwords

The best kind of password is long; the more characters, the more combinations a hacker needs to try.

Your passwords should allow (but not require) the greatest variety of characters, thereby increasing the number of possible combinations. Make sure your passwords can include spaces, so that users can use a long phrase that they can easily remember.

Encourage your users to use a password manager. That way, they need to remember only one (very secure) password.

## A3 – SENSITIVE DATA EXPOSURE

In recent years, data breaches have been repeatedly in the news. While some breaches were deliberate – released by people mistakenly trusted with the information – others were due to flaws in read-level security, either directly in the main storage or in other data repositories.

### *POSSE platform*

We implement detailed read-level security at the level of individual objects. This prevents users from seeing more information than they should.

We regularly review and update cryptographic mechanisms to ensure that they are secure.

### *Implementation*

The analysis and design phase is the most important time to be protecting against sensitive data exposure:

- Do not store sensitive data unless it is absolutely required. For example, do not store credit card numbers in the system; contract a third-party payment provider to manage electronic payments.
- Identify the sensitive information that must be stored. Ensure that it is placed in separate related objects that have independent read access.
- Protect sensitive information from being read by DBAs by encrypting and decrypting it in the Application Server using a key that is obtained from a secure repository. Note that encrypting the entire database and backups may have some value in preventing casual “I couldn’t help but notice” access, but DBAs must have access to the encryption key to perform many of their duties. Encrypting sensitive data in the Application Server allows you to use a key that is accessible by a different group of people, thereby enforcing separation of duties.
- Ensure that if sensitive data is included in outward-facing interfaces to other data repositories (including Corral datamarts), those repositories enforce proper security. Be aware that the more locations store the data, the harder it is to monitor and control access.

### *IT infrastructure*

Ensure that all transmission of data across networks, especially outside the organization, uses secure encrypted mechanisms. Besides SSL for browser traffic, this includes securing FTP sites and automatic emails and text messages.

Ensure that all infrastructure is kept up to date – quickly install the latest patches and releases of firmware, operating systems and software – including POSSE. Most security breaches exploit vulnerabilities that were addressed long before the breach, but the patch was never applied.

Pay special attention to “one-time” access needs. For example, when doing a data conversion, it may be necessary to decrypt sensitive data in the legacy system and then encrypt it in the new system. Can decrypting and encrypting be done in a single program step, so that the clear-text data is never stored anywhere? Can you eliminate the possibility

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that the clear-text data ends up in a log file or error report? How will you ensure that the encryption keys (for both the legacy system and the new system) are protected?

As with authentication passwords, by far the most vulnerable part of the security chain occurs outside the network; that is, vulnerabilities caused by human error. You must ensure that anyone with access to sensitive data is trained in protecting it, and that policies and procedures are independently monitored.

## A4 – XML EXTERNAL ENTITIES (XXE)

XML is vulnerable to attacks, especially when processed using older insecure mechanisms. SOAP-based Web Services using SOAP versions prior to 1.2 and `<!ENTITY>` tags are very vulnerable to injection and denial-of-service attacks.

### *POSSE platform*

POSSE natively supports only one inbound XML mechanism for run-time data. We validate it using a secure parser against a DTD that does not come in with the XML. The DTD does not allow `<!ENTITY>` tags.

### *Implementation*

Whenever possible, design systems so that data coming into POSSE uses formats other than XML. When XML must be used:

- Use a secure parser for validation.
- Validate against a schema or DTD that is separately obtained (at a different time, using a different mechanism). Never accept a schema or DTD that is part of the incoming XML.
- If `<!ENTITY>` tags must be supported, you must independently check file sizes, circular references, etc.

Even when passing XML to POSSE's built-in methods, check the size of the XML document to avoid a denial-of-service attack caused by flooding POSSE with a large amount of data.

### *IT infrastructure*

Ensure that secure transport mechanisms are used for all inbound interfaces.

## A5 – BROKEN ACCESS CONTROL

Never trust anything coming from a browser. A user can view and manipulate the JavaScript, form data, etc. on any page displayed in their browser. Therefore, they can make internal changes to the code and data in the browser, and transmit the changed data to the server.

### *POSSE platform*

When receiving data or commands from the browser, we validate that the user has the authority to submit that data and execute those commands, that the data is in the correct format, and that all applicable business rules are satisfied.

For trusted data that must be communicated from one browser hit to the next one, we encrypt it in the Application Server and send it to the browser. This encrypted information is received back unchanged, and only decrypted in the Application Server; thus, it cannot be tampered with in the browser.

If fields are disabled or hidden, we do not send the data for those fields to the browser. Thus, a user cannot inspect browser contents to see unauthorized data.

### *Implementation*

Take special care to ensure that security is properly configured for all objects and relationships. This is the primary defense against attacks that try to perform unauthorized functions, since the security is configured at the data level, regardless of how it is accessed. If possible, do not rely only on hiding or disabling unauthorized data; a slight inconsistency in hiding items can result in a data breach.

### *IT infrastructure*

Use standard Web site hygiene:

- Disable directory browsing.
- Remove any unnecessary files (e.g. control files from source control systems).
- Monitor logs of attack attempts, using lockouts to limit automated attacks.
- Harden your production POSSE database and any test databases that contain unaltered copies of production data. See the *Hardening your POSSE Installation* white paper for more information.

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## A6 – SECURITY MISCONFIGURATION

If you have not properly configured the overall security of a Web site (firewalls, virus checkers, presentation servers, application servers, and database), attackers have an easy time getting into the site. The two most critical situations are:

- You have not changed default settings for configured values (especially passwords). Attackers know what those default values are, and will try them before trying anything else.
- You have not kept software up to date, so that security vulnerabilities existing in earlier releases still exist in the Web site. This includes both POSSE software and all infrastructure (Windows, IIS, anti-virus software, firewalls, or Oracle).

Failing to address these items may make you vulnerable to a class of attacks known as “Setting Manipulation”.

### *POSSE platform*

We use different technologies for the client, presentation server, application server, and database, and for each of the internal interfaces between them. Thus, an attacker must use a different attack vector at each point. This increases the amount of work and time required by the attack, and the probability that the attack will be detected.

We regularly review the POSSE architecture to ensure that it is secure against known attacks.

### *Implementation*

When creating or using third-party software (e.g. Python libraries and add-ons), ensure that the software is secure. If you are no longer using a piece of third-party software, ensure that it is fully removed from your servers.

### *IT infrastructure*

You can harden your POSSE production databases to reduce their vulnerability to attack. See the *Hardening your POSSE Installation* white paper for details.

You must ensure that your environment is properly configured. For example, ensure that your production environment is set to not display call stacks of errors. Ensure that all software is kept up to date. We will inform you via Release Notes and Patch Notes when security vulnerabilities

have been addressed, but it is your responsibility to apply those patches as soon as possible.

To protect those sites that have not yet applied a patch, we do not provide the details of the vulnerabilities that have been fixed. We simply indicate that some potential vulnerabilities have been fixed.

When installing any software, ensure that default accounts are removed, and default passwords are changed. For example, Oracle uses “scott/tiger” in its examples; if that account exists in the database for any reason, it must be removed, since it will grant a hacker their first “toehold” into the database.

Note that there is an inverse relationship between security and ease of use. Therefore, a tightly secured environment will be somewhat annoying to those who maintain it. You must determine the level of security you wish to maintain, and then monitor the site to ensure that controls have not been temporarily relaxed and then never tightened up again.

## A7 – CROSS-SITE SCRIPTING

Cross-site scripting attacks rely on applications that accept user data without sanitizing it and then display that data without escaping it. Therefore, an attacker can submit “data” that includes HTML tags that run JavaScript or modify what the user sees. If the data is stored, any user that displays that data unescaped becomes a further victim of the attack. Alternatively, the JavaScript reads sensitive information and submits it to its own database via a Web service call.

### *POSSE platform*

We prevent cross-site scripting attacks by ensuring that all data processed or displayed by the browser is escaped, so that data cannot be interpreted by the browser as commands. We host third-party add-ons in sandboxed iframes.

### *Implementation*

If you create add-ons or Outrider custom renderings, you must escape everything that you display. Likewise, you must sanitize user data shown in any Outrider Text widget with the “raw value” property set.

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## *IT infrastructure*

If you have interfaces from POSSE to applications that do not reliably escape the data before displaying it, you must filter or modify the data as it goes across the interface.

## **A8 – INSECURE DESERIALIZATION**

If an inbound interface allows entire objects to be serialized (i.e. not just the object's data, but also the class definition and code), and the application recreates the object in its own environment, an attacker can send an object whose class definition contains malicious code. While this attack is rare due to the sophistication required to mount it, it can be utterly devastating when it occurs. The only sure defence is to never accept serialized class definitions.

Another vulnerability can exist when a JavaScript variable or cookie on your site contains a string that an attacker can see is a serialization of some data (e.g. user credentials or a list of Y/N flags). The attacker can modify the string to try to alter security or controlling parameters, thereby compromising the site.

## *POSSE platform*

We never accept serialized objects that include their class definitions, even from trusted sources. We only transmit and receive data; both the sending and receiving program have a copy of the class definitions.

We do not round-trip security credentials to the browser; instead, we use data-less tokens. We encrypt data and controlling information that must be round-tripped. We fully validate input from the browser before we accept it.

## *Implementation*

When you design and write add-ons, interfaces, and calls to Web Services, you must follow secure practices.

## *IT infrastructure*

You must ensure that all interfaces between POSSE and legacy systems are secure. If a legacy system only supports an interface mechanism that has known vulnerabilities, you must sanitize the data in the interface so that it does not contain exploits of those vulnerabilities.

## **A9 – USING COMPONENTS WITH KNOWN VULNERABILITIES**

An application's own code could be immune from various attacks, but it could use third-party software that has vulnerabilities. If an attacker can determine that the third-party software is being used, he can exploit the vulnerabilities.

Attackers discover about the use of third-party software by deliberately introducing errors and seeing if call stacks are generated. If so, they can detect the presence of third-party software by the names of files in the call stack.

## *POSSE platform*

We regularly check all third-party software for known vulnerabilities, and update to latest versions when those vulnerabilities have the potential to affect the product.

We have configuration flags that cause call stacks to be displayed when errors occur. You should only turn on these flags in development environments to aid in debugging. Leave them off in production, so that attackers are denied any information about the internal workings of the application. We always log the full call stacks, so you can find them when supporting a production client.

When we use third-party software, we treat their security vulnerabilities like security issues in POSSE itself. When they are fixed, we notify you via Release or Patch Notes.

## *Implementation*

If you make use of third-party software in any add-ons or Outrider sites, you are responsible to ensure that the software has no vulnerabilities or that those issues are addressed (e.g. data given to that software is sanitized). Note that there are Web sites like <https://www.cvedetails.com/> that report vulnerabilities.

## *IT infrastructure*

You are responsible to ensure that POSSE software is kept up to date.

You must ensure that all interfaces between POSSE and legacy systems are secure. If a legacy system only supports an interface mechanism that has known vulnerabilities, you must sanitize the data in the interface so that it does not contain exploits of those vulnerabilities.

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## A10 – INSUFFICIENT LOGGING & MONITORING

Circumventing an attack depends on making it take long enough that it can be detected and thwarted before it achieves its goals. By eliminating known vulnerabilities (as described above), you ensure that attacks cannot use known vectors; this slows them down as they attempt to find vulnerabilities. Then, you must log possible attacks, and monitor to ensure that you become aware of an attack in time to stop it.

Monitoring depends on keeping logs in locations where a successful attack cannot also modify the log to cover its tracks.

### *POSSE platform*

When a logon attempt fails, we ensure that the message given back to the user does not reveal any information about the reason for the failure (e.g. bad user name vs. bad password vs. timeout). We log the failure details.

We also provide many places where scripts can be written to log information.

### *Implementation*

If you write (or adapt) a User Management Scheme, you must include logging for failed logon attempts. Note that even if attempts are made during a timeout period, they should be logged. Your design should consider that subtle attacks can ensure that a given user's credentials are only attempted once in a significant timespan; design the logging in a way that monitoring tools can develop statistics on the aggregate set of failed attempts in a time period.

When you design permits or licenses that are issued "hands-free", especially to unauthenticated "guest" users, implement a method of detecting "bots" (e.g. Captcha). Consider whether some kind of "high-value" or "frequency" threshold should trigger a manual review.

### *IT infrastructure*

Ensure that log files cannot be modified after they are written.

Monitor log files to detect attacks. This includes IIS and event logs as well as POSSE logs. You can test this by, without announcing it, running a penetration testing tool against the site. If it does not trip any alarms, monitoring is not effective.

## OTHER VULNERABILITIES

Here is a list of vulnerabilities that are not part of the "top ten" but are considered significant.

### **CROSS-SITE REQUEST FORGERY**

If attackers can modify the HTML and/or JavaScript in a victim's browser (via a cross-site scripting vulnerability), they can send forged HTTP requests to the application that will be interpreted as being from the authenticated user. Thus, the application receives correct authentication information with a request to perform something that is valid for the authenticated user to perform, but the request didn't come from that user.

### *POSSE platform*

We prevent cross-site request forgery by not displaying embedded content from other sites. Thus, requests can't be made from embedded content as if it is part of the StaffUI site.

The one exception to this is that add-ons are part of the StaffUI site if their URL is from the same domain as the StaffUI site. Thus, communication between StaffUI and the add-on is not considered to be "cross-site". It is specifically intended that the add-on is running as the StaffUI user, and that the add-on shares the authentication of the StaffUI user. The add-on should be considered a "custom StaffUI widget".

### *Implementation*

When you develop add-ons, you must ensure that your code is not vulnerable to cross-site request forgery by ensuring that it is immune to injection and cross-site scripting attacks.

Because Outrider is intended to blend seamlessly with client Web sites, it allows more customization than StaffUI does. Therefore, you are responsible to ensure that you do not embed images or other content from external sites without first validating that those sites are themselves safe.

### **UNCONTROLLED RESOURCE CONSUMPTION**

Denial of Service attacks succeed by consuming all the resources available to the system. In general, one resource is the most constrained, and therefore the attack succeeds if it consumes that resource.

POSSE systems are most frequently database-constrained, followed by the application server, and then the presentation

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server. Presentation and application servers are easily scaled (farmed), but databases are more difficult to scale. Likewise, presentation and application servers service a single system, but the POSSE database is used by all systems. Thus, if an attack can consume all database resources, it will deny access to all POSSE systems, not just the one the attack is coming through.

Note that a specific type of this attack is called “Improper control of interaction frequency (anti-automation)”.

## *POSSE platform*

POSSE contains numerous places where scripts can be written to detect the creation of many spurious license or permit applications, or the execution of many searches with broad criteria.

## *Implementation*

Your B2C and B2B systems must contain protective code that limits the number of submissions by a single user in a time period. If your system allows online registration of new users, the registration process should require unique emails, and should introduce a delay in the registration process (e.g. by a global restriction in the number of registration confirmation emails that are sent in each time period). Ensure that you get an alert if the backlog in registration confirmation emails exceeds a threshold.

Searches should contain validation to ensure that their criteria are reasonable, and should restrict the number of rows returned from the search.

For data submitted by unauthenticated (guest) users, implement mechanisms (e.g. Captcha) to detect attacks by “bots”. Consider restricting the number of submissions allowed per time period.

## *IT infrastructure*

Since databases are the most vulnerable to DOS attacks, put a policy on the database connections from Outrider and the POSSE Application Server to limit in the amount of resources they can consume. This ensures that an attack mounted from one system has little impact on other systems.

Implement document upload size restrictions to block documents that are larger than is reasonable for the business.

## **UNRESTRICTED UPLOAD OF FILE WITH DANGEROUS TYPE**

If attackers can upload files with certain extensions, either the system itself may be able to be induced to run the file, or the file may be downloaded and run by another user.

## *POSSE platform*

We allow you to restrict the allowed extensions for your configured document types. POSSE never “runs” document files that are uploaded by an end user.

## *Implementation*

Restrict all document types to file extensions that are appropriate for the purpose of the document type.

## *IT infrastructure*

If you store documents in the file system rather than in the database (using a document management scheme), make sure that the location where the documents are stored is not directly accessible via an URL. This ensures that an attacker cannot upload an executable (e.g. ASPX) file, and then run it via an URL.

## **USER INTERFACE (UI) MISREPRESENTATION OF CRITICAL INFORMATION (CLICKJACKING AND OTHERS)**

If attackers can alter aspects of the user interface, they can mask warning indicators or redirect links. A typical tactic is to alter an URL in a link by using a different character set that looks similar to the normal one, but sends the user to a different Web site.

## *POSSE platform*

We escape all displayed user data.

## *Implementation*

If you configure an external link URL to include user data, you must sanitize that data, including ensuring that only printable ASCII characters are used.

If add-ons host untrusted content (e.g. advertisements from third-party providers), you must sandbox that content in a way that prevents it from reading or altering the hosting HTML. Note that POSSE partially sandboxes add-ons in iframes to avoid accidental alterations, but must allow API access between POSSE and the add-on. Therefore, you must

# POSSE Security

October 2019

further sandbox any untrusted content so that it performs only the functions that you allow.

## **UNVALIDATED FORWARD AND REDIRECTS (URL REDIRECTION TO UNTRUSTED SITE – “OPEN REDIRECT”)**

If a site does an automatic redirect to an URL that is constructed from user data, an attacker can use this to hijack the site.

### *POSSE platform*

We do not allow you to configure StaffUI to automatically redirect to URLs constructed from user data.

### *Implementation*

If you design Outrider configuration that automatically redirects to an URL constructed from user data, you must ensure that the user data is thoroughly sanitized.

## **SERVER-SIDE REQUEST FORGERY (SSRF)**

If a server port is normally used only for requests from a trusted source (e.g. another server in the same local network), but is not properly constrained, an attacker can send requests to that port that will be trusted by the recipient.

### *POSSE platform*

POSSE only trusts data that it has previously encrypted. It validates all other data ensure that the user could have entered it on the Web page.

### *Implementation*

If you are calling the Service API, you must validate the call, and ensure that your code is secure.

### *IT infrastructure*

Ensure that all ports are restricted to accept requests only from predetermined sources.

## **CONCLUSION**

The POSSE platform is very secure when installed in a properly-configured environment. We are committed to addressing security vulnerabilities quickly when they are identified.

You are responsible to ensure that your POSSE configuration does not create vulnerabilities.

You must ensure that your environments are properly set up, and that the latest versions and patches of all software (from the operating systems through to POSSE itself) are being used.

When these responsibilities are met, business applications implemented using POSSE are secure.



## **Section 11: Appendix C: CAMP Cost Workbook**

Computronix has uploaded Section 11 as a separate file as directed by the RFP.



**COMPUTRONIX®**

3900 S. Wadsworth Blvd Suite 510  
Lakewood, CO 80235

## Proposal Exhibits for State of Nebraska

**RFP 6677 Z1**  
Centralized Alcohol  
Management Project (CAMP)  
for the  
Nebraska Liquor  
Control Commission (NLCC)

May 2, 2022

### **Keith Burgess**

Business Development Manager  
keith.burgess@computronix.com  
Office: 587.525.5362  
Mobile: 780.238.0255



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**Exhibit B:**

**POSSE Software License Agreement and  
Hosting Service Level Agreement**

**POSSE Software License Agreement**

**between:**

\_\_\_\_\_ State of Nebraska (hereinafter referred to as “**Client**”)

and

Computronix (U.S.A.), Inc. (hereinafter referred to as “**Vendor**”)

**RECITALS**

WHEREAS Client has requested to purchase a modular web-based software solution for managing regulatory activities.

AND WHEREAS Vendor represents that it has an available software solution that meets Client’s requirements and is able to provide it to Client in accordance with the terms and conditions set out in this Agreement.

THEREFORE, in consideration of the mutual covenants and obligations contained herein and subject to the terms and conditions hereinafter set out, Vendor and the Client hereto agree as follows:

**1. DEFINITIONS**

- 1.1 **Add-On Module** – additional functionality that extends core POSSE features. Add-On Modules may be added to POSSE to permit additional functionality. Each Add-On Module is fully supported and has its own release cycle separate from the POSSE product release cycle. Examples of Add-On Modules include POSSE Ad-Hoc, POSSE Archival Document Datastore and POSSE Mobile.
- 1.2 **Agent** – another party (e.g. a private inspection or enforcement agency) under contract to Client and authorized by Client to act on its behalf to use POSSE in delivering services within the legal jurisdictional boundaries of Client. Agents authorized by Client must agree in writing to Client to adhere to all terms and conditions of this Agreement.
- 1.3 **Agreement** – this POSSE Software License Agreement, which provides the terms and conditions under which the right to use POSSE is provided to Client and all schedules attached or incorporated by reference, and any subsequent addendums or amendments made in accordance with the provisions hereof.
- 1.4 **Business Module** - a pre-existing set of Configurations that extends POSSE by providing functionality specific to a business area. Examples of Business Modules include POSSE ABC – Licensing, POSSE ABC – Enforcement, POSSE LMS – Planning, POSSE LMS – Permitting & Inspections, etc.
- 1.5 **Client Site** – the location where the POSSE system is installed for the benefit of the Client. This may be a site on the Client’s premises, a Client hosting facility, at the Vendor’s hosting facility or at an approved third-party hosting facility.
- 1.6 **Configuration** – all work required to configure data definitions and/or process definitions to reflect the business rules, workflow, security and data requirements of Client, together with the resulting set of configured POSSE business processes. For greater certainty, Configuration includes both basic Configuration using the POSSE Stage point and click subsystem, as well as advanced Configuration using PL/SQL, .NET and/or Python code to enable advanced POSSE capabilities.
- 1.7 **Effective Date** - means the date upon which the last Party to sign this Agreement has executed it.
- 1.8 **Enhancement** - any work requested by Client to alter existing POSSE features, or to add any new features or functions to POSSE software.
- 1.9 **External User** - an individual external to Client and served by Client who is provided access to the POSSE Production Database via the Internet. External Users are typically customers of Client.

## POSSE® Software License Agreement

- 1.10 **Intellectual Property** – property that derives from the work of the mind or intellect, specifically, an idea, invention, trade secret, process, program, data, formula, patent, copyright, or trademark or application, right, or registration. Intellectual Property includes: a) POSSE pre-existing software, or pre-existing software Configurations (including reports) of Vendor; b) Vendor methodologies, processes, tools, and general knowledge of the matters under consideration; and c) any pre-existing material provided by Vendor under separate license.
- 1.11 **Legal Jurisdictional Boundary** – the geographic boundary applicable to Client's specific jurisdiction.
- 1.12 **Named User** - an individual internal to Client or representing Client or an Agent who has access to the POSSE Production Database. A Named User can access the POSSE Production Database from any workstation on Client's network or intranet, or via POSSE Mobile, or via the Internet.
- 1.13 **POSSE®** – refers to a modular, web-based regulatory workflow management system that combines configurable workflow, mapping, electronic documents, and mobile computing technologies into a single integrated database. POSSE® includes “toolbox” stored procedures and documentation that comes with the POSSE software.
- 1.14 **POSSE Alcoholic Beverage Control System (may also be referred to as “POSSE ABC”)** – A functioning, commercially available “out of the box” system that utilizes pre-existing Configurations, reports and/or other Add-On Modules operating within POSSE software. All POSSE ABC Configurations and reports are considered Vendor Intellectual Property.
- 1.15 **POSSE Enterprise Licensing System (may also be referred to as “POSSE ELS”)** – A functioning, commercially available “out of the box” system that utilizes pre-existing Configurations, reports and/or other Add-On Modules operating within POSSE software. All POSSE ELS Configurations and reports are considered Vendor Intellectual Property.
- 1.16 **POSSE Land Management System (may also be referred to as “POSSE LMS”)** – A functioning, commercially available “out of the box” system that utilizes pre-existing Configurations, reports and/or other Add-On Modules operating within POSSE software. All POSSE LMS Configurations and reports are considered Vendor Intellectual Property.
- 1.17 **Release** – any version, point, maintenance or patch release to POSSE issued by Vendor.
- 1.18 **Site-Specific Configuration** – any software deliverables, including but not limited to Configuration, reports, interfaces, data conversion scripts, and custom code, developed solely and specifically for Client.
- 1.19 **Source Code** – Any and all program code or database definitions developed by Vendor using a formal programming language and used by POSSE software.

## 2. **SCOPE OF AGREEMENT**

- 2.1 This Agreement provides Client with either subscription or perpetual license terms; or a combination of both, when applicable. The specific licensing terms for subscription licenses can be found in Attachment 1. The specific licensing terms for perpetual licenses can be found in Attachment 2.
- 2.2 Client is permitted to establish any number of development, testing or training POSSE databases, plus one (1) POSSE production POSSE database at Client Site. Client is also entitled to make back-up copies of POSSE for use in accordance with the provisions of this Agreement.
- 2.3 Client is permitted to use POSSE only for processing transactions in relation to services provided by Client within its Legal Jurisdictional Boundaries. For clarity, Client may not use POSSE to process transactions for another jurisdiction.
- 2.4 The current Release of POSSE software will be provided to Client. This Release will only be provided in compiled form and consists of executable code, database schemas, documentation and online help.
- 2.5 The Vendor reserves the right to conduct periodic audits of the number of Client Named Users and the Client's use of the POSSE software, the frequency of such audits to occur on no more than a quarterly basis. If any discrepancies are found between the number of Named Users from the audit, and the licensed number of Named Users identified in Attachments 1 and 2, the Client agrees to pay any license fees associated with additional Named Users.

## POSSE® Software License Agreement

### 3. SOURCE CODE

- 3.1 This license will provide Client with run-time (compiled code) only capability for POSSE as described in Section 2 of this Agreement.
- 3.2 A copy of POSSE Source Code will be held in escrow for Client by Lincoln-Parry SoftEscrow at no cost to Client. The source code held in escrow will be refreshed at a minimum of two times per year.
- 3.3 Source code (metadata) to Site-Specific Configurations, PL/SQL, reports, and specialized code developed specifically for Client will be installed at Client Site.

### 4. WARRANTIES

- 4.1 Vendor warrants that it has full power and authority to grant this POSSE license and that as of the Effective Date of this Agreement, the POSSE software does not infringe on any existing Intellectual Property rights of any third party. If a claim of infringement is made by any third party, Vendor may, at its sole option either:
  - a) secure for Client the right to continue using the POSSE software; or
  - b) modify the POSSE software so that it does not infringe.

The foregoing constitutes Client's sole and exclusive remedy and Vendor's entire liability with respect to infringement.

- 4.2 Vendor has no obligation for any claim of infringement based on a modified version of the POSSE software or based on the combination of the POSSE software with any third party product not provided by Vendor. Vendor provides no warranty whatsoever for any third party software or hardware products.
- 4.3 Except as expressly set forth herein, Vendor disclaims any and all express and implied warranties, including but not necessarily limited to warranties of merchantability and fitness for a particular purpose.

### 5. OWNERSHIP OF SOFTWARE AND DATA

- 5.1 Vendor has exclusive licensing and distribution rights for POSSE software (Copyright © 1997 – 2022, all rights reserved), including POSSE, POSSE LMS, POSSE ABC, POSSE ELS, Add-On Modules and Business Modules within the United States of America. Client will not remove any ownership or copyright notices from POSSE software or documentation. Reproduction, disassembly, decompilation, transfer, reverse engineering, or disclosure to others, in whole or in part, of POSSE is strictly prohibited.
- 5.2 Vendor is, and will remain, the exclusive owner, or is the authorized agent of the owner of POSSE proprietary information, and all patent, copyright, trade secret, trademark, and other Intellectual Property rights remain solely with Vendor. No license or conveyance of any such rights to Client is granted or implied under this Agreement.
- 5.3 Vendor will retain ownership of the Intellectual Property associated with Enhancements, Business Modules, and Add-On Modules developed by Vendor for Client.
- 5.4 Client is deemed to own any Site-Specific Configuration for their POSSE installation. Client grants Vendor a non-exclusive, perpetual, irrevocable, royalty-free, worldwide license to use, reproduce, sublicense, modify, and sell the Site-Specific Configuration developed pursuant to this Agreement without compensation to Client.
- 5.5 Client may not sell, rent, lease, give, distribute, assign, pledge, sublicense, loan, timeshare, or otherwise transfer POSSE software to any other party. Client will not copy, resell or give POSSE Configurations or documentation to any other party. Client agrees not to distribute POSSE as part of any other software product, commercial or otherwise, without the prior written approval of Vendor.
- 5.6 Client will retain sole and complete ownership of its data at all times, regardless of the location of the data, and Vendor may not make any use of Client data other than for testing purposes, without the prior written consent of Client.

**POSSE® Software License Agreement****6. CONFIDENTIAL AND PROPRIETARY INFORMATION**

- 6.1 Each party will hold in confidence, and will not disclose to any unauthorized personnel, any confidential or proprietary information of the other party. Each party will use such confidential or proprietary information only for the purpose for which it was disclosed.
- 6.2 As used in this Agreement, the term “confidential or proprietary information” means all trade secrets or proprietary information designated as such in writing by one party to the other. All software code in source or object format shall be deemed to be proprietary information whether it is marked as such or not. Information which is orally or visually disclosed by one party to the other, or is disclosed in writing without an appropriate letter, proprietary stamp or legend, will constitute proprietary information of the releasing party if:
- a) it would be apparent to a reasonable person, familiar with the business of the releasing party and the industry in which it operates, that such information is of a confidential or proprietary nature; or
  - b) The releasing party, within thirty (30) calendar days after such disclosure, delivers to the receiving party a written document describing such information and referencing the place and date of such oral, visual, or written disclosure, and the names of receiving party personnel to whom such disclosure was made.
- 6.3 Each party will only disclose confidential or proprietary information received by it under this Agreement to personnel who have a need to know such confidential or proprietary information for the performance of its duties and who are bound by an agreement to protect the confidentiality of such confidential or proprietary information.
- 6.4 Each party will adopt and maintain programs and procedures which are reasonably calculated to protect confidential or proprietary information, and will be responsible to the other party for any disclosure or misuse of confidential or proprietary information which results from a failure to comply with this provision. Each party will promptly report to the other party any actual or suspected violation of the terms of this Agreement and will take all reasonable further steps requested by the offended party to prevent, control, or remedy any such violation.
- 6.5 The obligations of each party specified above will not apply with respect to any confidential or proprietary information, if the receiving party can demonstrate, by reasonable evidence, that such confidential or proprietary information:
- a) was generally known to the public at the time of disclosure or becomes generally known through no wrongful act on the part of the receiving party;
  - b) was already in the possession of the receiving party at the time of disclosure;
  - c) becomes known to the receiving party through disclosure by sources having the legal right to disclose such confidential information;
  - d) was independently developed by the receiving party without reference to, or reliance upon, the confidential information; or
  - e) was required to be disclosed by the receiving party to comply with applicable laws or governmental regulations, provided that the receiving party provides prompt written notice of such disclosure to the offended party and takes reasonable and lawful actions to avoid and/or minimize the extent of such disclosure.
- 6.6 If Client is subject to freedom of information legislation Vendor agrees to adhere to the standards outlined in such legislation regarding protection of privacy and disclosure of records with respect to all work done for Client pursuant to this Agreement.
- 6.7 Upon termination of this Agreement, each party will make all reasonable efforts to return to the other party all tangible manifestations, and all copies thereof, of confidential or proprietary information received by the other party under this Agreement, if requested to do so by the disclosing party.



**POSSE® Software License Agreement****7. LIMITATIONS OF LIABILITY AND INDEMNITY**

- 7.1 The liability of Vendor to Client for any losses or damages arising from the use of POSSE or from any other services covered under this Agreement will be as set out in the applicable attachment.
- 7.2 Client SPECIFICALLY ACKNOWLEDGES AND CONFIRMS THAT UNDER NO CIRCUMSTANCES WHATSOEVER WILL Vendor BE LIABLE FOR ANY INCIDENTAL, INDIRECT, EXEMPLARY, SPECIAL OR CONSEQUENTIAL DAMAGES OF ANY NATURE OR KIND, OR ANY LOSS RESULTING FROM BUSINESS DISRUPTION ARISING FROM THE USE OF POSSE, OR FROM ANY SERVICES COVERED UNDER THE TERMS OF THIS AGREEMENT, REGARDLESS OF THE FORM OF ACTION, WHETHER IN CONTRACT, TORT (INCLUDING NEGLIGENCE), STRICT PRODUCT LIABILITY OR OTHERWISE, EVEN IN THE EVENT THAT Vendor HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.
- 7.3 Subject to the limitation as set out in this Agreement, Vendor agrees to indemnify and save Client harmless from any liability, damage, expense, or cost including, but not limited to, legal fees of a solicitor regarding any acts, duties, obligations, or omissions of the Vendor.
- 7.4 Subject to the limitations as set out in this Agreement, Vendor will assume the defense and the cost of any demand, claim, action, suit or proceeding of any nature brought against Client by reason of the error, action, or omission of the Vendor. Further, Vendor will pay any damages, awards, judgments, costs, or other amounts assessed against, or otherwise payable by Client as the result of the disposition of any such demand, claim, action, suit, or proceeding. Notwithstanding the foregoing, Client is entitled to be represented in any such action, suit, or proceeding at its own expense and by counsel of its choice and at its own expense.

**8. TERMINATION AND DEFAULT CONDITIONS**

- 8.1 Vendor may terminate this Agreement if: Client fails to make required payments, Client materially fails to fulfill its obligations and responsibilities or breaches any material term of this Agreement, Client becomes bankrupt or insolvent, or if a receiver is appointed to manage the property and assets of Client. If any of the above conditions are encountered, Vendor will provide written notice to Client and provide 30 calendar days for Client to remedy the default. If the default is not rectified within 30 calendar days, Vendor will have cause to terminate this Agreement.
- 8.2 Client may terminate this Agreement if: Vendor materially fails to fulfill its obligations and responsibilities or breaches any material term of this Agreement, Vendor becomes bankrupt or insolvent, or if a receiver is appointed to manage the property and assets of Vendor. If any of the above conditions are encountered, Client will provide written notice to Vendor and provide 30 calendar days for Vendor to remedy the default. If the default is not rectified within 30 calendar days, Client will have cause to terminate this Agreement.
- 8.3 Upon termination of this Agreement for cause, Client shall cease use of the POSSE license. Client will destroy the POSSE license within thirty (30) days of such termination and certify in writing to Vendor, signed by an office of Vendor, that it has complied with the requirements of this Section 8.
- 8.4 At the time that the obligations of each of the parties have otherwise concluded, it is understood and agreed that the provisions of Section 5 (OWNERSHIP OF SOFTWARE AND DATA) and Section 6 (CONFIDENTIAL AND PROPRIETARY INFORMATION) will continue in full force and effect.

**9. RIGHTS AND OBLIGATIONS**

- 9.1 If this Agreement is terminated for any reason;
- a) Vendor will retain all fees for products delivered to Client up to the date of termination.
  - b) Such termination will not in any way operate to deny any right or remedy of either party, either at law or in equity, or to relieve a party of any obligation to pay the sums due under this Agreement, or of any other obligation accrued prior to the effective date of termination.

- c) POSSE is subject to the export control laws of the United States and other countries. Client may not export or re-export POSSE software without the appropriate United States and foreign government licenses. Client must comply with all applicable export control laws and will defend, indemnify and hold Vendor harmless from any claims arising from Client's violation of such export control laws

## **10. DISPUTES**

- 10.1 Vendor and Client will both separately and jointly use diligent efforts to establish positive and ongoing communications both within and between their respective organizations. Key personnel within Vendor and Client will communicate regularly in order to review the status and priorities for the provision of services by Vendor and Client.
- 10.2 In the event of any dispute arising between Vendor and Client with respect to their rights and obligations under this Agreement, the party feeling itself aggrieved will notify the other party of the substance in writing of such grievance. Both parties agree to work in good faith and make all reasonable efforts to resolve the dispute, including, if necessary, escalating the dispute to:
  - a) First level: the VP, Operations of Vendor and the Project Sponsor for Client; and
  - b) Second level: the President/CEO of Vendor and the Chief Executive for Client.
- 10.3 In the event the grievance cannot be resolved to the mutual satisfaction of the parties within 30 calendar days, the party feeling itself aggrieved may request mediation, based on the then-current commercial mediation rules of the American Arbitration Association. The award of the mediation body will be non-binding upon Vendor and Client.

## **11. WAIVER**

- 11.1 No failure or delay on the part of either party to exercise any right or remedy hereunder will operate as a waiver of such right or remedy.

## **12. SUCCESSION**

- 12.1 This Agreement will be binding on the legal successors or representatives of Vendor and Client. It will also be binding on any party that receives licensing and distribution rights to POSSE from Vendor.
- 12.2 Any rights granted to either party under this Agreement may not be assigned by that party, or the successor to that party, without the prior written approval of the other party, which will not be unreasonably withheld.

## **13. SEVERENCE**

- 13.1 If any provision of this Agreement is declared by a court of competent jurisdiction to be invalid, illegal, or unenforceable, such provision can be severed from this Agreement and all other provisions will remain in full force and effect.

## **14. GOVERNING LAW**

- 14.1 This Agreement will be governed by, construed, and enforced in accordance with the laws of the State of Colorado. The parties irrevocably attorn to the jurisdiction of the courts of the State of Colorado.

**POSSE® Software License Agreement****15. ACCEPTANCE OF AGREEMENT**

15.1 This Agreement comprises the entire and sole POSSE Software License Agreement between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist for the licensing of POSSE. Vendor and Client agree not to change this Agreement except by written agreement.

**Computronix (U.S.A.), Inc.****State of Nebraska**\_\_\_\_\_  
Signature\_\_\_\_\_  
Signature\_\_\_\_\_  
Name\_\_\_\_\_  
Name\_\_\_\_\_  
Title\_\_\_\_\_  
Title\_\_\_\_\_  
Date\_\_\_\_\_  
Date

**ATTACHMENT 1  
SUBSCRIPTION LICENSE TERMS**

**1) RIGHTS GRANTED**

This Agreement provides Client with a non-exclusive subscription software license for the POSSE modules and the number of POSSE Named Users as identified below in Section 2 of this Attachment 1. This subscription license is in effect so long as the Client pays the annual subscription license fee as identified in Section 2 of this Attachment 1.

**2) LICENSED SOFTWARE AND FEES**

Client agrees to pay Vendor an annual subscription license fee upon execution of this Agreement, and annually thereafter, unless otherwise terminated according to the terms of Section 8 of this Agreement.

License and all other fees quoted in this Agreement are in US dollars and exclude any applicable taxes.

**Modules provided under subscription software license:**

Module	Quantity	Unit Price	Total Price
Total Annual Subscription License Fees			

Prices in the above tables are based on the license fees in place at the time of execution of this Agreement. Such license fees are subject to annual review by the Vendor, provided that the Client is provided at least 90 days' notice of any changes to fees specified herein.

**3) LIMITATION OF LIABILITY**

The liability of Vendor to Client for any losses or damages arising from the use of POSSE or from any other services covered under this subscription license will be limited to the fees paid to Vendor under this subscription license in the six (6) months prior to the event giving rise to the claim.

This Attachment comprises the sole POSSE Software Subscription License Agreement between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist for the subscription licensing of POSSE.

**ATTACHMENT 2**

**PERPETUAL LICENSE TERMS**

**1) RIGHTS GRANTED**

This Agreement provides Client with a non-exclusive and non-revocable perpetual software license for POSSE including the POSSE modules and the number of POSSE Named Users as identified in Section 2 of this Attachment 2. The POSSE perpetual license includes an unlimited number of External Users.

**2) LICENSED SOFTWARE AND FEES**

Client agrees to pay Vendor a one-time license fee as identified in the table below. All POSSE license fees are payable upon signing of this Agreement.

License and all other fees quoted in this Agreement are in US dollars and exclude any applicable taxes.

**Modules provided under perpetual software license:**

Module	Quantity	Unit Price	Total Price
		<b>Total One-Time License Fees</b>	

Prices in the above table are based on the license fees in place at the time of execution of this Agreement. Such license fees are subject to annual review by the Vendor, provided that the Client is provided at least 90 days’ notice of any changes to fees specified herein

**3) LIMITATION OF LIABILITY**

The liability of Vendor to Client for any losses or damages arising from the use of POSSE or from any other services covered under this perpetual license will be limited to the return of the POSSE license fee paid less any good and valuable time of performance as amortized over a ten (10) year life of the license.

This Attachment comprises the sole POSSE Software Perpetual License Agreement between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist for the perpetual licensing of POSSE.

## POSSE Hosting Service Level Agreement

between:

\_\_\_\_\_ State of Nebraska (hereinafter referred to as “Client”)

and

Computronix (U.S.A.), Inc. (hereinafter referred to as “Vendor”)

### RECITALS

WHEREAS Client has identified a requirement for a third party to provide hosting services for their POSSE software solution,

AND WHEREAS Vendor represents that it has available hosting services that meets Client’s requirements and is able to provide said hosting services to Client in accordance with the terms and conditions set out in this Agreement.

THEREFORE, in consideration of the mutual covenants and obligations contained herein and subject to the terms and conditions hereinafter set out, Vendor and the Client hereto agree as follows:

### 1. DEFINITIONS

- 1.1. **Hosting SLA** – this Hosting Service Level Agreement, and any subsequent addendums or amendments made in accordance with the provisions herein.
- 1.2. **Hosting Services** – the services described in Section 4 of this Agreement that are provided by Vendor to Client in accordance with the terms and conditions of this Hosting SLA.
- 1.3. **Hosting Services Site** – the hosting facility at which servers and related equipment are located.
- 1.4. **Production** – systems and services that are used for ongoing Client operations.
- 1.5. **Non-Production** – systems and services used for any purpose other than Production Client operations, including development, user acceptance testing (UAT), and training.
- 1.6. **Recovery Point Objective** – the maximum targeted period in which data for Hosted Services may be lost due to a catastrophic failure at the primary Hosting Services Site.
- 1.7. **Recovery Time Objective** – the targeted duration of time within which Hosting Services must be restored after Vendor has identified a catastrophic failure at the primary Hosting Services Site.
- 1.8. **Client Business Hours** – Monday through Friday, 8:00 AM to 5:00 PM Central Standard Time.
- 1.9. **Hosting Service Fees** – the fees payable by Client to Vendor for the Hosting Services provided under this Hosting SLA as defined in Schedule A.

### 2. TERM OF HOSTING SLA

- 2.1. This Hosting SLA will commence upon signing of this Agreement. This Hosting SLA will remain in effect for a term of one (1) year and will be automatically renewed annually thereafter upon payment by Client of the annual Hosting Services Fees.

### 3. OWNERSHIP OF DATA

- 3.1. Client will retain sole and complete, legal and beneficial ownership of its data stored on the hosting site by Vendor.
- 3.2. Vendor’s responsibilities and rights regarding Client data are solely restricted to the provision of services described in this Hosting SLA. Vendor may not make any other uses of Client data for any reason whatsoever, without the express written consent of Client, unless ordered to release such data by a court of competent jurisdiction.

## Hosting Service Level Agreement (SLA)

3.3. Client may request return of any or all of its data at any time, for any reason, and Vendor will provide such data within a reasonable period of time, in native format.

### 4. OVERVIEW OF HOSTING SERVICES

4.1. Vendor is committed to providing secure, reliable, and dedicated Hosting Services to Client. In return for monthly Hosting Service Fees from Client, Vendor will provide the following services to Client:

Item	Service	Description
4.1.1.	Secure Hosting Site	Vendor will contract with a third-party for provision of a primary Hosting Services Site of Vendor's choice that adheres to the NIST 800-53 Moderate standard for data centers and is located in the same country as the Client's primary premises.
4.1.2.	Disaster Recovery	<p>In the event of a catastrophic failure at the primary Hosting Services Site, as identified by the Vendor, Vendor will ensure availability of Production Hosting Services in a secondary Hosting Services Site with a Recovery Time Objective of two (2) business days and a Recovery Point Objective of four (4) hours, and coordinate efforts with the Client to promptly reroute Client access and networking for primary system interfaces to the secondary Site.</p> <p>The secondary Hosting Services Site will be provided by a third-party of Vendor's choice, will be located within the same country a minimum of 150 miles from the primary Hosting Services Site, and will adhere to the NIST 800-53 Moderate standard for data centers.</p> <p>Vendor will independently conduct disaster recovery testing once per year.</p>
4.1.3.	Included Software	<p>Vendor will provide the following software for all systems at the Hosting Services Site:</p> <ul style="list-style-type: none"> <li>• Operating Systems</li> <li>• Oracle Database Software</li> <li>• Performance Monitoring Software</li> <li>• Backup Software</li> <li>• Virus Protection Software</li> </ul> <p>Vendor will maintain system security by keeping this software up to date on security patches and security audits, with critical third-party updates being applied within three (3) business days of third-party vendor notification.</p>
4.1.4.	Vendor Application Support	Vendor will keep the POSSE system current and secure by installing POSSE point and maintenance releases on at least a 24 month frequency, and by installing applicable emergency bug fixes. Installation and testing of any new version releases of POSSE are not included and will be implemented under a separate agreement between Vendor and Client.
4.1.5.	Other Software	Client will be responsible for the licensing, installation, and maintenance of all other software loaded onto Client servers, workstations, or other Client equipment not at the Hosting Services Site.

4.1.6.	Database Administration	Vendor will be responsible for installing, configuring, and maintaining the databases supporting the POSSE application, including all Production and Non-Production environments. Vendor will be responsible for database tuning.
4.1.7.	System Security	Vendor will provide software and/or services for automated vulnerability scanning and real-time threat detection and mitigation. Vendor will provide current virus scanning software to ensure that any files uploaded to the Hosting Services Site are scanned for viruses prior to loading into the system.
4.1.8.	Monitoring and Performance	Vendor will monitor availability and performance of application services in production and provide a monthly report including uptime and response time. Vendor will also monitor the performance of systems and services at the Hosting Services Site, including CPU, RAM, disk, network connectivity, and network traffic, and provide patch management, event log management, and system tuning to maintain system stability and performance.
4.1.9.	Data Backups	Vendor will be responsible for securing Client data against physical loss. Vendor will ensure that Production data is backed up a minimum of every two (2) hours, with a daily restore point being retained for at least two (2) weeks and a weekly restore point being retained for at least six (6) weeks at the primary Hosting Services Site and at a secondary Hosting Services Site provided by a third-party of Vendor's choice, located within the same country a minimum of 150 miles from the primary Hosting Services Site, and adhering to the NIST 800-53 Moderate standard for data centers.
4.1.10.	Data Storage	Vendor will provide up to 1 (one) TB of storage for Client data. Additional storage can be purchased at any time at current Vendor rates.

- 4.2. Vendor will provide an issue reporting and tracking system for Client-specified users to report and track issues 24 hours, 7 days a week, except for scheduled issue tracking system maintenance.
- 4.3. Except for emergencies, Vendor will schedule maintenance activities requiring outages outside of Client Business Hours and will provide communication via e-mail to Client-specified contacts at least 5 business days in advance of any scheduled outage.



## Hosting Service Level Agreement (SLA)

### 5. AVAILABILITY COMMITMENT, ISSUE TRACKING, AND REMEDIES

- 5.1. The commitment of Vendor is to provide Production Hosting Services availability for 99.9% uptime or better in a calendar month, except for scheduled maintenance.
- 5.2. Subject to Sections 5.1, 5.3, 5.4 and 5.5, if Vendor fails to meet the Production Hosting Services availability commitment in any given calendar month, Vendor will issue a credit towards future Hosting Service Fees, in accordance with the following schedule:

Hosting Services Availability	Credit Percentage (of monthly fee)
99.5% to 100%	0%
97.5% to 99.5%	5%
95.0% to 97.5%	10%
90.0% to 95.0%	20%
85.0% to 90.0%	30%
80.0% to 85.0%	40%
Below 80.0%	50%

- 5.3. In order to receive a credit, Client must make a request through the issue tracking system provided by Vendor. Each credit request must reference the reported Hosting Services availability for the specified calendar month and must be received by Vendor within ten (10) working days after monthly uptime report has been provided by Vendor to the Client. Vendor shall confirm Hosting Services availability and applicable credit and apply the credit to the next billing cycle.
- 5.4. The total amount credited to Client for any given month under this Hosting SLA will not exceed the total Hosting Service Fee paid by Client for such month for the affected service. Except in cases of gross negligence, Client specifically acknowledges and confirms that under no circumstances whatsoever will Vendor be liable for any incidental, indirect, exemplary, special, or consequential damages of any nature or kind, or any loss resulting from business disruption arising from any services covered under the terms of this agreement, regardless of the form of action, whether in contract, tort (including negligence), strict product liability, or otherwise, even in the event that Vendor has been advised of the possibility of such damages.
- 5.5. Client will not receive any credits under this Agreement in connection with any failure or deficiency of Vendor Hosting Services caused by or associated with:
- 5.5.1. Scheduled Maintenance – As identified in Section 4.3 of this Agreement.
- 5.5.2. Client Equipment – Client is solely responsible for maintaining all Client equipment and for ensuring that such equipment is in proper working order, has the correct software installed, and has the ability to connect to the Vendor Hosting Services for the exchange of data.
- 5.5.3. Client Connectivity – Client is solely responsible for maintaining all Client connections with local Internet Service Providers (ISPs) and Client configurations for Virtual Private Network (VPN) connections used to access Hosting Services, and for resolving any problems that might arise with these connections.
- 5.5.4. Internet Outages – Vendor is not responsible for Internet outages (including but not limited to ISP peering) that may make Vendor Hosting Services appear inaccessible to some users while it can still be accessed by other users.

## Hosting Service Level Agreement (SLA)

- 5.5.5. Client Changes to System Configuration – Vendor is not responsible for any failure or deficiency of Vendor Hosting Services that is demonstrated to be the result of Client changes to system configuration, including, without limitation, changes to application code, databases, web files, and infrastructure components. Client is solely responsible for all costs associated with resolving any failure or deficiency resulting from such changes.
- 5.5.6. Client Acts or Omissions – including acts or omissions of others engaged or authorized by Client, including, without limitation, any negligence, willful misconduct, or use of the Hosting Services in breach of the terms and conditions of this Agreement.
- 5.5.7. Force Majeure – Circumstances beyond Vendor’s reasonable control, including, without limitation, acts of any governmental body, war, insurrection, sabotage, armed conflict, embargo, fire, flood, unavailability or interruption in telecommunications or Third-Party services, virus attacks or hackers, failure of Third-Party software, or inability to obtain power used in or equipment needed for provision of this Hosting SLA.

## 6. HOSTING SERVICE FEES

- 6.1. Client agrees to pay Vendor a hosting service fee (see **Schedule A – Services Fees**) for Hosting Services described in Section 4 of this Hosting SLA. Hosting Service Fees will be invoiced on an annual basis in advance, covering services to be provided for the subsequent 12 months of the Agreement. For partial months of service, Hosting Service fees will be pro-rated based on the number of full or partial calendar days of Hosting Services provided to Client. Client agrees to remit payment to Vendor within 30 calendar days of receipt of the invoice.
- 6.2. Hosting Service Fees are subject to review and adjustment on each renewal of this Agreement. Hosting Service Fees may be adjusted to a reasonable rate to be negotiated between Vendor and Client.
- 6.3. The hourly rate for support services not covered in this Hosting SLA is as noted in **Schedule A**. After the first year, the rate is subject to annual adjustment by Vendor, but limited to a maximum increase of five per cent (5%) per year, compounded annually since the last increase.
- 6.4. Help Desk services from 8:00 a.m. to 5:00 p.m. Mountain Time Monday to Friday, excluding statutory holidays observed by Computronix (U.S.A.), Inc., are included in the monthly Hosting Service Fees. On-call coverage outside of these working hours can be provided. All calls outside of Vendor hours noted in this Section will be billed at then-current rates, with a one-hour minimum charge per incident.
- 6.5. Client is permitted to use hosting services for processing in relation to services provided by Client within its legal jurisdictional boundaries. Client may not use hosting services for processing for another jurisdiction or organization. Requests for processing for other jurisdictions or organizations must be reviewed by the Vendor and is subject to additional fees.

## 7. DISPUTES

- 7.1. Both parties agree to work in good faith and make all reasonable efforts to resolve any dispute, including, if necessary, escalating the dispute to:
- a) First level: the VP, Operations of Vendor and the Director for Client; and
  - b) Second level: the CEO of Vendor and the chief executive for Client.
- 7.2. In the event a dispute cannot be resolved to the mutual satisfaction of the parties within 30 calendar days, the party feeling itself aggrieved may request mediation, based on the then-current commercial mediation rules of the American Arbitration Association. The award of the mediation body will be non-binding upon Vendor and Client.

## 8. EARLY TERMINATION

- 8.1. Client may terminate this Hosting SLA, without cause, by giving Vendor 180 calendar days’ notice of termination.

## Hosting Service Level Agreement (SLA)

- 8.2. Vendor may terminate this Hosting SLA, without cause, by giving Client one year's notice of termination. If Vendor elects to terminate this Hosting SLA, without cause, after the first 90 days but within the year term of the Hosting Services, an additional six months of Hosting Service Fees will be credited to the Client.
- 8.3. If either Client or Vendor terminates this Hosting SLA with cause, then no penalty for early termination will apply.

**Hosting Service Level Agreement (SLA)****9. ACCEPTANCE OF HOSTING SLA**

9.1. This Agreement comprises the entire and sole Hosting SLA between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist. Vendor and Client agree not to change this Agreement except by written agreement.

**Computronix (U.S.A.), Inc.****State of Nebraska**\_\_\_\_\_  
Signature\_\_\_\_\_  
Signature\_\_\_\_\_  
Name\_\_\_\_\_  
Name\_\_\_\_\_  
Title\_\_\_\_\_  
Title\_\_\_\_\_  
Date\_\_\_\_\_  
Date

**SCHEDULE A – HOSTING SERVICE FEES**

All prices are in US dollars and exclude applicable taxes.

<b>Time Period</b>	<b>Fee</b>
Year 1	
Year 2	
Year 3	
Year 4	
Year 5	

**Exhibit C:**  
**POSSE Annual Product Support Agreement**

## POSSE Product Support Agreement

between:

\_\_\_\_\_ State of Nebraska (hereinafter referred to as “Client”)

and

Computronix (U..S.A.), Inc. (hereinafter referred to as “Vendor”)

### RECITALS

WHEREAS Client requires ongoing support & maintenance services for their POSSE software solution,

AND WHEREAS Vendor represents that it has the required skills and abilities to provide said POSSE support and maintenance services to Client in accordance with the terms and conditions set out in this Agreement.

THEREFORE, in consideration of the mutual covenants and obligations contained herein and subject to the terms and conditions hereinafter set out, Vendor and the Client hereto agree as follows:

### 1. DEFINITIONS

- 1.1 **Add-On Module** – additional functionality that extends core POSSE features. Add-On Modules may be added to POSSE to permit additional functionality. Each Add-On Module is fully supported and has its own release cycle separate from the POSSE product release cycle. Examples of Add-On Modules include POSSE Ad hoc, POSSE Archival Document Database and POSSE Mobile.
- 1.2 **Agreement** – this document and all schedules attached or incorporated by reference, and any subsequent addendums or amendments made in accordance with the provisions hereof.
- 1.3 **Annual Support Services Fee** – the annual fee payable by Client to Vendor for the support services provided by the Vendor under Section 3 of this Agreement.
- 1.4 **Annual Support Services Fee Percentage** – the percentage of the one-time perpetual POSSE software license fee used to determine the amount of the initial Annual Support Services Fee for all licensed POSSE software.
- 1.5 **Business Module** - a pre-existing set of Configurations that extends POSSE by providing functionality specific to a business area. Examples of Business Modules include POSSE ABC – Licensing, POSSE ABC – Enforcement, POSSE LMS – Planning, POSSE LMS – Permitting & Inspections, etc.
- 1.6 **Configuration(s)** – all work required to configure data definitions and/or process definitions to reflect the business rules, workflow, security and data requirements of Client, together with the resulting set of configured POSSE business processes. For greater certainty, Configuration includes both basic Configuration using the POSSE Stage point and click subsystem, as well as advanced Configuration using PL/SQL, .NET and/or Python code to enable advanced POSSE capabilities.
- 1.7 **Defect** - a program error that will cause POSSE to crash, or program algorithms or logic that produce incorrect results. Defects pertain to the intended operation of POSSE as delivered to Client, but do not pertain to subsequent errors brought about by Infrastructure changes made by Client or any other Third-Party. Defects do not include changing user preferences, report or screen aesthetics, presentation standards, or validity of converted data. Defects do not pertain to problems arising from Third-Party Software interfaced to POSSE, or to problems arising from POSSE Configurations not developed by Vendor.
- 1.8 **Infrastructure** – the physical wiring, network, hardware and software necessary to deploy and operate POSSE. Infrastructure also includes any workstation/notebook/tablet hardware and software, web or applications servers, wireless service providers, and other peripheral hardware or software used by POSSE, including Third-Party Software.
- 1.9 **Named User** - an individual internal to Client or representing Client or an Agent who has access to the POSSE Production Database. A Named User can access the POSSE Production Database from any workstation on Client's network or intranet, or via the Internet.

## POSSE Product Support Agreement

- 1.10 **POSSE®** – refers to a modular, web-based regulatory workflow management system that combines configurable workflow, mapping, electronic documents, and remote computing technologies into a single integrated database. POSSE includes “Toolbox” stored procedures and documentation that comes with the POSSE software.
- 1.11 **Release** – any version, point, or maintenance release to POSSE issued by Vendor.
- 1.12 **Site-Specific Configuration** – any software deliverables, including but not limited to Configuration, reports, interfaces, data conversion scripts, and custom code, developed solely and specifically for Client.
- 1.13 **Statement of Work (SOW)** – a document that describes the implementation services, software products, and other deliverables to be provided by Vendor (including its subcontractors if applicable) to Client.
- 1.14 **Third-Party** – a person, corporation, organization or entity other than Client or Vendor.
- 1.15 **Third-Party Software** – any identifiable product embedded in and/or linked to POSSE software at Client’s site, but to which the proprietary rights belong to a Third-Party.

## 2. **TERM OF AGREEMENT**

- 2.1 This Agreement is effective upon signing and will remain in effect for an initial period of one (1) year. This Agreement will be renewed annually thereafter upon payment by Client of the Annual Support Services Fee, unless otherwise revised or terminated under the provisions of this Agreement.
- 2.2 Client may elect to terminate annual support services described in this Agreement at any time, at its sole discretion, by providing 180 calendar days advance written notice to Vendor. In the event that Client terminates annual support services and wishes to reactivate annual support services at a future date, all Annual Support Services Fees back to the date of termination will be payable before annual support services are reactivated.

## 3. **SERVICE AND SUPPORT FEES**

- 3.1 The Annual Support Services Fee for the services specified in Section 4 of this Agreement is identified in Exhibit A and is based on the current POSSE software (including Named Users, Add-On Modules and Business Modules) licensed by Client. If additional POSSE software licenses are purchased, the Annual Support Services Fee will be adjusted to include the support fees for such additional licenses, based on the current prevailing Annual Support Services Fee Percentage in place at the time of such purchase.
- 3.2 The Annual Support Services Fee for the initial term is due and payable upon signing of this agreement. Support service fees are payable for each full or partial calendar month in which support services are provided to Client. Vendor will invoice Client approximately one month prior to the expiration of this Agreement and Client agrees to pay Vendor in advance for the Annual Support Services Fee.
- 3.3 Client agrees to remit payment to Vendor within 30 calendar days of receipt of the invoice.

## 4. **Vendor SUPPORT SERVICES**

- 4.1 Vendor agrees, during the term of this Agreement, to provide POSSE support services in a timely and professional manner. Vendor will provide unlimited technical support for Client’s POSSE support personnel described in Section 5.2 of this Agreement. Support pertains to POSSE, POSSE Business Modules and/or POSSE Add-On Modules (if licensed).
- 4.2 The POSSE Support Web site (<http://posse.computronix.com>) will be available 24 x 7 for submitting Client support requests. The POSSE support desk will be staffed from 7:00 a.m. to 6:00 p.m. Mountain Time, Monday to Friday, excluding statutory holidays. Extended hours of coverage or on-call coverage outside of these working hours can be provided at additional rates to be negotiated between the Parties.
- 4.3 When Client submits a support request through the POSSE Support Web site (<http://posse.computronix.com>) during normal Computronix hours for support, as specified in Section 4.2 of this Agreement, Vendor and Client will categorize, and Vendor will escalate as appropriate, the support request according to the following criteria:



Severity	Definition	Response Time	Response Process
<b>Critical</b>	Client site is down. Major impact to operations of Client site.	< 15 min	Immediate and ongoing effort, with continuous reporting to Client until a work-around or fix has been provided.
<b>High</b>	Major impairment of at least one important function at Client site. Operations at Client site are impacted. All important Client functions are working albeit with extra work.	< 1 hour	Proceed with fix as high priority work with reporting to Client as necessary until a work-around or fix has been provided.
<b>Medium</b>	Client Operations not significantly impacted. One or more minor Client functions not working. Major usability irritations impacting many staff at Client.	< 4 hours	Proceed with fix as medium priority work, according to schedule set by Vendor.
<b>Low</b>	Minor usability irritations. Work-around exists.	< 2 working days	Proceed with fix as low priority work, according to schedule set by Vendor.

- 4.4 The Annual Support Services Fee does NOT include technical support for Site-Specific Configurations and Third-Party Software not embedded within POSSE, such as operating system software and Microsoft Office products. Technical support for POSSE related Third-Party hardware that may be used by Client, including field inspection notebook computers, tablets, smartphones, digital cameras, scanners, printers, digital signature pads, and other hardware peripherals is not included.
- 4.5 In the event that Vendor has sold Third-Party licenses to the Client, Vendor will be responsible for researching and diagnosing the issue and, if proven to be a POSSE product issue, for fixing it, or if proven to be a Third-Party product issue, for submitting the issue to the Third-Party.
- 4.6 Vendor will not begin charging Client for resolution of a non-POSSE related problem until Vendor demonstrates to Client that the source of the problem is not related to a POSSE Defect and Client has authorized work to resolve the issue. No time will be charged to Client for POSSE Defects reported to Vendor.
- 4.7 Vendor will provide notice of all new POSSE software Releases or releases to an Add-on Module to Client. A new Release may include POSSE executable code, Release notes, updated documentation and/or online help, and database conversion routines, as needed. Vendor will retain full ownership rights to any POSSE software Release or Add-on Module release delivered to Client. If requested by Client, Vendor may provide services to implement a new POSSE Release or Add-on Module release under the terms and conditions contained in Section 6 AVAILABLE Vendor PROFESSIONAL SERVICES.
- 4.8 Unless otherwise specified, POSSE product warranty and support activities will be conducted at and deployed from Vendor offices. Travel and living expenses to provide on-site services deemed by Vendor as required to repair a POSSE Defect will not be charged to Client.

**5. CLIENT OBLIGATIONS AND RESPONSIBILITIES**

Unless otherwise stated in a separate agreement between the parties or in a Schedule of this Agreement, the following tasks will be the sole responsibility of Client:

- 5.1 Infrastructure Support – Client is responsible for installing, testing, and supporting its Infrastructure, and for ensuring a stable operating environment documented as compatible with POSSE software. Client is responsible to ensure that maintenance and support is contracted with applicable Third-Party hardware and

## POSSE Product Support Agreement

- software vendors. Responsibilities include: maintaining current virus protection software and installing all “critical” operating system upgrades; managing Third-Party Software products on infrastructure not related to POSSE that may interfere with the operation of POSSE; managing the local Internet Service Provider (ISP) providing Client its Internet connection and/or its wireless service; managing its own networks; and implementing its own security policies and procedures.
- 5.2 POSSE Support – Client is responsible for providing first-line POSSE support to Client staff. First-line POSSE support is responsible for researching issues and assessing if they are the result of a POSSE Defect. Client will identify a limited number of Client staff entitled to submit POSSE support requests.
  - 5.3 Installation and Deployment – Client is responsible for installing and testing new POSSE Releases at Client’s site, for communicating POSSE changes to Client staff and external internet users, and for providing required training and support to Client staff and external internet users.
  - 5.4 Database Operations – Client is responsible for on-site operational support of the POSSE database server(s) and for providing POSSE database administration. Tasks include performing POSSE system backups, system restarts, and providing on-site troubleshooting assistance for Vendor staff.
  - 5.5 Third-Party Software Licenses – Client is responsible for acquiring software licenses and upgrades for any Third-Party Software required by Vendor to complete its responsibilities under this Agreement. Client will be responsible to ensure that software maintenance and support is contracted with the respective Third-Party vendors.
  - 5.6 Future Releases – Client acknowledges that future Releases of POSSE software may require different or additional equipment and/or software in order to function properly. Vendor is required to provide Client with sufficient notification of such requirements. Client will be responsible to fund, acquire, install, and maintain such different or additional equipment and/or software.
  - 5.7 Remote Access – Client will provide Vendor with the means to electronically connect to the Client’s POSSE environment, including production, test and development databases, to enable software transfers and remote troubleshooting. At a minimum, remote access provided by the Client shall support web conferences hosted by Vendor. Remote VPN access should be available to Vendor at the time of the initial POSSE installation at Client site.

## 6. AVAILABLE VENDOR PROFESSIONAL SERVICES

- 6.1 At the request of Client, Vendor may provide any or all of the following professional services: installation of new POSSE Releases, development of Site-Specific Configuration, report development, infrastructure support, training, Site-Specific warranty, first line POSSE support, database monitoring and management, and any other consulting activity. Vendor professional services may be purchased for an all-inclusive fixed-cost or on a time-and-materials basis. All terms, conditions and costs for Vendor professional services will be specified in a separate agreement (SOW or work order) between the Client and Vendor.
- 6.2 At the request of Client, Vendor may assist Client in its fulfillment of the obligations and responsibilities specified in Section 4 of this Agreement. All terms, conditions and costs for these services will be specified in a separate agreement (SOW or work order) between the Client and Vendor.
- 6.3 Reasonable travel and living expenses incurred by Vendor in the delivery of on-site Vendor professional services will be billed at cost to Client or at a rate to be negotiated between Vendor and Client. When traveling to Client, Vendor one-way travel time will be charged to the Client site.

## 7. WARRANTY

- 7.1 All POSSE Releases delivered to Client have a 24 month warranty from the general availability date of the Release. Client will have 24 months from the date of general availability of a Release to install an upgrade. If Client elects not to upgrade to the newer Release within 24 months, support services described in Sections 4 of this Agreement may be provided at additional cost.
- 7.2 Unless otherwise specified in Vendor’s Statement of Work, the warranty on all Vendor-developed Site-Specific Configuration is 60 calendar days from the date of implementation.

## POSSE Product Support Agreement

- 7.3 Vendor will repair POSSE Defects reported by Client while this Agreement is in effect at no additional cost to Client. Vendor will make all reasonable efforts to resolve Defects quickly, via a patch Release if necessary. Client will have to upgrade to the current Release of POSSE, as corrections are only applied to the current production Release of POSSE.
- 7.4 Vendor does not provide warranty for any Site-Specific Configuration, or custom code not developed by Vendor, or developed by Vendor and subsequently altered by Client or any other Third-Party.

### **8. LIMITATIONS OF LIABILITY AND INDEMNITY**

- 8.1 Both Vendor and Client agree to defend, indemnify and hold harmless the infringing party and its officials, agents and employees from and against any and all claims, actions, suits or proceedings of any kind brought against said parties because of any injury or damage received or sustained by any person, persons or property arising out of or resulting from the services performed by either party under this Agreement or by reason of any asserted act or omission, neglect or misconduct by a party or a party's agents or employees or any subcontractor or its agents or employees.
- 8.2 The liability of Vendor to Client for any losses or damages arising from the use of POSSE or from any other services covered under this Agreement will be limited to, at the discretion of Vendor, either the return of the current-year Annual Support Services Fee, or the repair of POSSE so that it will perform without Defect.
- 8.3 Client SPECIFICALLY ACKNOWLEDGES AND CONFIRMS THAT UNDER NO CIRCUMSTANCES WHATSOEVER WILL Vendor BE LIABLE FOR ANY INCIDENTAL, INDIRECT, EXEMPLARY, SPECIAL OR CONSEQUENTIAL DAMAGES OF ANY NATURE OR KIND, OR ANY LOSS RESULTING FROM BUSINESS DISRUPTION ARISING FROM THE USE OF POSSE, OR FROM ANY SERVICES COVERED UNDER THE TERMS OF THIS AGREEMENT, REGARDLESS OF THE FORM OF ACTION, WHETHER IN CONTRACT, TORT (INCLUDING NEGLIGENCE), STRICT PRODUCT LIABILITY OR OTHERWISE, EVEN IN THE EVENT THAT Vendor HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.
- 8.4 Subject to the provisions of Section 8.1, 8.2 and 8.3 above, Vendor agrees to indemnify and save Client harmless from any liability, damage, expense, or cost including, but not limited to, legal fees of a solicitor regarding any acts, duties, obligations, or omissions of the Vendor.
- 8.5 Subject to the provisions of Section 8.1, 8.2 and 8.3 above, Vendor will, at the request of the Client, assume the defense and the cost of any demand, claim, action, suit or proceeding of any nature brought against Client by reason of the error, action, or omission of the Vendor. Further, Vendor will pay any damages, awards, judgments, costs, or other amounts assessed against, or otherwise payable by Client as the result of the disposition of any such demand, claim, action, suit, or proceeding. Notwithstanding the foregoing, Client is entitled to be represented in any such action, suit, or proceeding at its own expense and by counsel of its choice.

### **9. TERMINATION AND DEFAULT CONDITIONS**

- 9.1 Vendor may terminate this Agreement if: Client fails to make required payments, Client materially fails to fulfill its obligations and responsibilities or breaches any material term of this Agreement, Client becomes bankrupt or insolvent, or if a receiver is appointed to manage the property and assets of Client. If any of the above conditions are encountered, Vendor will provide written notice to Client and provide 30 calendar days for Client to remedy the default. If the default is not rectified within 30 calendar days, Vendor will have cause to terminate this Agreement.
- 9.2 Client may terminate this Agreement if: Vendor materially fails to fulfill its obligations and responsibilities or breaches any material term of this Agreement, Vendor becomes bankrupt or insolvent, or if a receiver is appointed to manage the property and assets of Vendor. If any of the above conditions are encountered, Client will provide written notice to Vendor and provide 30 calendar days for Vendor to remedy the default. If the default is not rectified within 30 calendar days, Client will have cause to terminate this Agreement.

### **10. RIGHTS AND OBLIGATIONS**

- 10.1 If either Vendor or Client terminates this Agreement, Vendor will retain all fees for products or services delivered to Client up to the date of termination. Vendor will refund a pro-rated portion of the Annual Support

## POSSE Product Support Agreement

Services Fee to Client, based on the number of full or partial calendar months of service provided under the Agreement since the last annual renewal date.

10.2 Any termination by Vendor as provided in this Agreement will not in any way operate to deny any right or remedy of Vendor, either at law or in equity, or to relieve Client of any obligation to pay the sums due under this Agreement, or of any other obligation accrued prior to the effective date of termination.

10.3 Any termination by Client as provided in this Agreement will not in any way operate to deny any right or remedy of Client, either at law or in equity, or to relieve Vendor of any obligation to pay the sum due under this Agreement, or of any other obligation accrued prior to the effective date of termination.

## 11. DISPUTES

11.1 Vendor and Client will both separately and jointly use diligent efforts to establish positive and ongoing communications both within and between their respective organizations. Key personnel within Vendor and Client will communicate regularly in order to review the status and priorities for the provision of services by Vendor and Client.

11.2 In the event of any dispute arising between Vendor and Client with respect to their rights and obligations under this Agreement, the party feeling itself aggrieved will notify the other party of the substance in writing of such grievance. Both parties agree to work in good faith and make all reasonable efforts to resolve the dispute, including, if necessary, escalating the dispute to:

- a) First level: the VP, Operations of Vendor and the Project Sponsor for Client; and
- b) Second level: the President/CEO of Vendor and the Chief Executive for Client.

11.3 In the event the grievance cannot be resolved to the mutual satisfaction of the parties within 30 calendar days, the party feeling itself aggrieved may request mediation, based on the then-current commercial mediation rules of the American Arbitration Association. The award of the mediation body will be non-binding upon Vendor and Client.

## 12. WAIVER

12.1 No failure or delay on the part of either party to exercise any right or remedy hereunder will operate as a waiver of such right or remedy.

## 13. SUCCESSION

13.1 This Agreement will be binding on the legal successors or representatives of Vendor and Client. It will also be binding on any party that receives licensing and distribution rights to POSSE from Vendor.

13.2 Any rights granted to either party under this Agreement may not be assigned by that party or the successor to that party, without the prior written approval of the other party, which will not be unreasonably withheld.

## 14. FORCE MAJEURE

14.1 A delay in, or total or partial failure of, performance of either party in this Agreement will not constitute a default or termination or give rise to any claim for damages if such delay or failure is caused by any force majeure occurrence demonstrably beyond the reasonable control of the party.

14.2 Force majeure categories include acts of God; acts or inaction on the part of governmental authority; acts of war or the public enemy; or any other acts beyond the reasonable control of either party that result in either party being unable to carry on normal business operations for a period of one week or longer.

## 15. SEVERANCE

15.1 If any provision of this Agreement is declared by a court of competent jurisdiction to be invalid, illegal, or unenforceable, such provision can be severed from this Agreement and all other provisions will remain in full force and effect.

**POSSE Product Support Agreement****16. GOVERNING LAW**

16.1 This Agreement will be governed by, construed, and enforced in accordance with the laws of the State of Colorado. The parties irrevocably attorn to the jurisdiction of the courts of the State of Colorado.

**17. TIME OF THE ESSENCE**

17.1 Time is of the essence in this Agreement and in the performance of each provision of this Agreement.

**18. ACCEPTANCE OF AGREEMENT**

18.1 This Agreement comprises the entire and sole POSSE Annual Support Agreement between Vendor and Client. No other understandings or agreements, verbal or otherwise, exist for the support of POSSE. Vendor and Client agree not to change this Agreement except by written agreement.

**Computronix (U.S.A.), Inc.****State of Nebraska**\_\_\_\_\_  
Signature\_\_\_\_\_  
Signature\_\_\_\_\_  
Name\_\_\_\_\_  
Name\_\_\_\_\_  
Title\_\_\_\_\_  
Title\_\_\_\_\_  
Date\_\_\_\_\_  
Date

**Exhibit A – Annual Support Services Fees**

All fees referred to in this Agreement are in US dollars and exclude any applicable taxes.

<b>Time Period</b>	<b>Fee</b>
Year 1	
Year 2	
Year 3	
Year 4	
Year 5	

Prices in the above tables are based on the Annual Support Services Fees agreed at the time of execution of this Agreement. Upon renewal, such Annual Support Services Fees are subject to annual review by the Vendor, provided that the Client is provided at least 90 days' notice of any changes to fees specified herein.

**Exhibit D:**  
**Sample Statement of Work**



**COMPUTRONIX<sup>®</sup>**

## **Statement of Work**

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**<Client Name> / Organization Name>**

**<Project Name>**



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Version	Author	Date
Initial draft/Document Steward	<Name>	<Date>

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## Section 1.0 General Statement and Agreement

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*Instructions (to be deleted from final version of the document):*

*In this section the text should remain unchanged, other than changing the data in the brackets.*

This Statement of Work (SOW) is issued as part of the Computronix Master Services Agreement (the "Agreement") between the <Client Name> and Computronix (U.S.A.) Inc. ("Computronix"), effective <date>. This SOW is subject to the terms and conditions contained in the Agreement. In the event of any conflict or inconsistency between the terms of this SOW and the terms of the Agreement, the terms of the Agreement shall take precedence.

## Section 2.0 Computronix Contact Information

---

*Instructions (to be deleted from final version of the document):*

*In this section modify the text to match your project.*

---

**Computronix Account Manager:**

<Name>, Phone: <Office Phone>, Cell: <Cell number>

Email: <email>

---

**Computronix Operations Manager:**

<Name>, Phone: <Office Phone>, Cell: <Cell number>

Email: <email>

---

**Computronix Project Manager:**

<Name>, Phone: <Office Phone>, Cell: <Cell number>

Email: <email>

---

**Computronix Contact Information:**

Mailing Address:

<Computronix (U.S.A.) Inc.  
3900 S. Wadsworth Blvd., Suite 510  
Lakewood, CO 80235

Switchboard:

866-962-6300 – Toll Free  
720-962-6300 – Local  
888-712-6657 – Fax >

---

## Section 3.0 Background

---

*Instructions (to be deleted from final version of the document):*

*In this section the text should remain unchanged for COTS+ project, other than changing the data in the brackets. For other types of projects this may take more modification.*

### **Project Overview**

The <CLIENT NAME> is procuring (POSSE ABC) for its <Project Name> (“the System” and “the Project”).

This project will result in the implementation of the pre-configured POSSE ABE system (manufactured and supplied by Computronix), a web-based system which will manage the <Functional Area>, <Functional Area>, <Functional Area>, and <Functional Area> processes of the <CLIENT NAME>.

This Project is a < Fixed Price, FP + T&M, T&M, etc.> contract and will be for the duration of <months> months. These costs are payable as per the Payment Milestones in this document. This Statement of Work does not include Annual Support and Maintenance Costs or other consulting or customization services except as defined with this Statement of Work.

The proposed schedule will be discussed with the <CLIENT NAME> project team and fine-tuned during Project Kick-off before a final baseline schedule is established and will be contingent on several factors including <CLIENT NAME> staff availability and resources. The project schedule may be updated and modified throughout the life of the project.

## Section 5.0 Project Scope

---

*Instructions (to be deleted from final version of the document):*

*In this section you should include all items that make this project unique. Please consider:*

- Which POSSE modules are included?
- COTS+ or custom
- Who's hardware/Who's responsibility
- Public website/Internal website/Admin website
- Reports
- Data Warehouse included or not
- Interfaces
- Data Conversion
- Dashboards

*Review the assumptions and remove the ones that don't apply to your project.*

### Project Scope Statement

This project scope will result in the implementation of <Project Description>.

<Section One>

<Section One text>

<Section Two>

<Section Two text>

### Assumptions

*Instructions (to be deleted from final version of the document):*

*The following is an extensive list of assumptions. For any given SOW, the team will want to determine what is appropriate and what is not.*

- Computronix assumes that the <CLIENT NAME> will change their business practice to fit POSSE ABC whenever it can be shown that the product meets the underlying business requirement.
- <CLIENT NAME> is solely responsible for their Organizational Change Management.
- Trained <CLIENT NAME> staff will be responsible to input administrative data needed to prepare the POSSE <ABC> system via the POSSE <ABC> Administrator Portal.
- <CLIENT NAME> will want to engage the external user community prior to the customer portal going live. This engagement can include:
  - Choosing early adopters to validate and test the portal and generate positive excitement in the community.

- Communication/Media campaigns to let the broader customer community that a customer portal will soon be released.
  - Help desk support for Customer Portal Usage.
  - Individual communication around a PIN created to link the customer with their licenses and permits.
- <CLIENT NAME> is responsible for deployment of the mobile application to the individual user's mobile devices. Computronix has made the POSSE Mobile application available in both the Apple store and the Google Play store. Any cost associated with the purchase or deployment of a Mobile Device Management solution is outside of this SOW.
- It is <CLIENT NAME>'s responsibility to setup the Word Merge layout and placement of the dynamically populated fields. Computronix will work with <CLIENT NAME> to define the fields which will become part of this data delivery set to be used when creating Word Merge templates.
- The <CLIENT NAME> will provide the appropriate access to stakeholders, technical/systems and business subject matter experts, functional owners, and decision makers in a timely manner in order to meet the goals, strategy and deliverable dates described in this SOW. If this access is not provided there will be impacts to cost and schedule that will be addressed, including modifications to the period of performance and this SOW.

*Instructions (to be deleted from final version of the document):*

*The following two assumptions are generally covered in the contract documentation already, so check to be sure they aren't covered already before you include these.*

- The <CLIENT NAME> will provide all Hardware, Oracle Licensing, and Oracle Support necessary for the services proposed in this document.
- The <CLIENT NAME> will provide remote access to the POSSE infrastructure as required by Computronix that may include workstations, web sites, and databases.

*Instructions (to be deleted from final version of the document):*

*The following is a fairly standard list of Data conversion assumptions that you can include some or all of.*

- Aside from the data conversion analysis taking place within the creation of the Data Conversion Plan and Data Conversion Mapping document, Computronix will make no further attempts to understand, to interpret, or to map data within the <CLIENT NAME>'s existing legacy systems or data silos.
- Appropriate <CLIENT NAME> staff, with knowledge of legacy system(s) structure and data, will be available to assist with planning and mapping. These activities will require significant time and attention from the assigned staff.
- <CLIENT NAME> staff will assume full responsibility for deciding what data to extract, as well as what data it will not extract, from existing legacy systems. This includes: all data transformation,

data merging, data scrubbing, data parsing, interpretation of legacy data, and any unloading of data from existing systems.

- <CLIENT NAME> staff will perform all data corrections related to data conversion.
- <CLIENT NAME> staff will be responsible for completing all other desired data conversions, including conversion from paper-based systems.

**Out of Scope**

- Work to cover POSSE version upgrades or infrastructure upgrades.
- ...

**Deliverables**

*Instructions (to be deleted from final version of the document):*

*This section should remain largely unchanged. These are our basic deliverables and unless called out differently in the RFP should be what we commit to. If it is different in the RFP please rework this section to match.*

The following table provides the deliverables and acceptance criteria required to successfully deliver the project.

Project Stage	Deliverable	Work Description
1. Project Planning and Kick-off	Project Management Plan	Delivery of Project Management planning documentation that may include: <ul style="list-style-type: none"> <li>• Project Schedule</li> <li>• Communication Plan</li> <li>• Risk Management Plan</li> <li>• Issues Management Plan</li> <li>• Change Control Process</li> <li>• Status Reporting Process</li> <li>• Quality Management Plan</li> <li>• Data Conversion Plan</li> </ul> The Project Management Plan is delivered to the <CLIENT NAME> Project Manager in electronic format.
	Project Kick-off	An on-site Project Kick-off Meeting is conducted that presents to the <CLIENT NAME> project team the anticipated project scope, schedule review, roles and responsibilities, and in general provides stakeholders with information and gathers input that sets the correct project expectations. Initial data conversion planning may take place at the Kick-off as well as an identification of interfaces.

Project Stage	Deliverable	Work Description
2. Initial Configuration, Installation and Orientation	Initial Test/Train Installation	POSSE ABC is installed in the Test and Training environments.
	Orientation	Computronix provides on-site POSSE Product Orientation for the <CLIENT NAME>'s project team members and SME's on the functionality of the base POSSE system. The System is usually branded for the <CLIENT NAME> and includes initial metadata set up to the <CLIENT NAME>'s unique data.
3. Requirements/Fit Gap Analysis	Requirements Traceability Matrix	A matrix showing the fit and gaps relationships to the contracted requirements.
	Analysis Sessions	Computronix will lead a series of Fit/Gap sessions reviewing each <CLIENT NAME> requirement and the acceptance criteria for each. The System will be used to demonstrate fit and gaps will be mutually identified and documented in the Fit/Gap Report.
	Fit/Gap Report	A Fit/Gap Report, applicable to the functionality included in the project, is delivered to the <CLIENT NAME> Project Manager in electronic format and contains: <ul style="list-style-type: none"> <li>• Description of requirements</li> <li>• Description of reports</li> <li>• Description of interfaces</li> <li>• List of Gap items</li> </ul>
	Admin Training	Training on the Administration portal of POSSE is provided to <CLIENT NAME> System Administrators. The POSSE Administration Training Manual is provided electronically.
4. Gap Closure	Design Document	Design documentation is delivered to the <CLIENT NAME> Project Manager in electronic format.  Design will be communicated using various methods including: <ul style="list-style-type: none"> <li>• Wireframes</li> <li>• Object models</li> <li>• Workflow diagrams</li> <li>• Security matrix</li> </ul> The Design documentation is reviewed with the <CLIENT NAME> team and feedback incorporated.
	Progress Demonstrations	Demonstrations of built functionality. The <CLIENT NAME> audience should include SME's, trainers and any other project team members that can benefit from the demo. These demos are done remote using video conferencing equipment if available, or audio and screen sharing if not.



Project Stage	Deliverable	Work Description
	System Configuration	System configurations applicable to this implementation are installed in the Test and Training environments in preparation for UAT.
5. Pre-UAT Training and UAT	Pre-UAT Training	Training Materials delivered to the <CLIENT NAME> in electronic format. Computronix provides training to <CLIENT NAME> trainers.
	UAT Support	Computronix provides remote support during User Acceptance Testing. All defects identified during User Acceptance Testing with a severity of Critical, High or Medium have been addressed.
6. Implementation	Implementation Plan	An Implementation Plan document, also known as a Go-Live Checklist, is delivered to the <CLIENT NAME> Project Manager in electronic format and contains details and responsibilities jointly developed with the <CLIENT NAME> team.
	POSSE System Configuration moved to Production environments	The final System Configuration applicable to the Implementation Phase have been installed in the Production environment.
	Approved Data Conversion	Data applicable to the Implementation Phase has been migrated, and the <CLIENT NAME> is able to access the functionality implemented and view converted data.
	Go-Live	Successful transition from Test environment to the production environment.
	Project Review Report	This report will summarize the activities, deliverables, budget expenditures, scope changes, and other relevant information for the project and focus on lessons that can be applied to future phases or projects.

## Deliverable Acceptance

*Instructions (to be deleted from final version of the document):*

*This section should remain unchanged.*

Upon completion of a deliverable in accordance with the Deliverable Acceptance Criteria, documented above, Computronix will request formal acceptance of the deliverable from the <CLIENT NAME> Project Sponsor and <CLIENT NAME> Project Manager (see **Appendix C – Deliverable Acceptance Form**).

The process of deliverable acceptance allows the project teams and other project stakeholders to confidently move the project forward knowing that key deliverables have been completed to the satisfaction of both parties.

In the event that the <CLIENT NAME> Project Sponsor and the <CLIENT NAME> Project Manager do not sign off on a deliverable following a Deliverable Acceptance Request from Computronix, the <CLIENT NAME> agrees it will deliver to Computronix a comprehensive and specific list of reasons for the withholding of deliverable acceptance. The list will be delivered within five (5) business days. Computronix will work to resolve the issues holding up acceptance. The <CLIENT NAME> agrees not to unreasonably withhold deliverable acceptance. No additional costs shall accrue to the <CLIENT NAME> for any reasonably withheld acceptance.

If after five (5) business days have elapsed and Computronix has not received the signed Deliverable Acceptance form from the <CLIENT NAME>, the deliverable will be deemed Accepted.

## Project Acceptance

*Instructions (to be deleted from final version of the document):*

*This section should remain unchanged.*

When all the deliverables listed above have been accepted, Computronix will request project acceptance in the form of a signed document from the <CLIENT NAME> Project Sponsor and <CLIENT NAME> Project Manager (see **Appendix D – Project Acceptance Form**).

In the event that the <CLIENT NAME> Project Sponsor and <CLIENT NAME> Project Manager will not sign off the project following a project acceptance request from Computronix, the <CLIENT NAME> agrees it will deliver to Computronix a comprehensive and specific list detailing reasons for the withholding of project acceptance. The list will be delivered within five (5) business days. Computronix will work to resolve the issues holding up acceptance. The <CLIENT NAME> agrees not to unreasonably withhold project acceptance. No additional costs shall accrue to the <CLIENT NAME> for any reasonably withheld acceptance.

If after five (5) business days have elapsed and Computronix has not received the signed Project Acceptance form from the <CLIENT NAME>, the project will be deemed Accepted.

## Section 6.0 Project Approach

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*Instructions (to be deleted from final version of the document):*

*If this project is a COTS+ implementation project, this section should remain mostly unchanged, other than changing the data in the brackets. The phase information could potentially change also if the phased approach for your project is different from what is specified below.*

*Replace this section with the correct project approach if this is not a COTS+ implementation project.*

Computronix will use a phased approach for the <Project Name> project, allowing for adjustments and learning as the project progresses. The project approach hinges on the expectation that <Product Name> inherently meets the requirements of the <project name>.

Each phase will be further divided into six stages that will allow all stakeholders to clearly understand project progress:

- Stage 1— Project Planning and Kick-off
- Stage 2—Initial Configuration, Installation and Orientation
- Stage 3—Requirements/Fit Gap Analysis
- Stage 4—Gap Closure
- Stage 5—Pre-UAT Training and User Acceptance Testing (UAT)
- Stage 6 – End User Training and Implementation

Computronix recommends a phased project implementation approach, in which Stages 1 through 6 are repeated for each business block (phase) of the project being proposed. The specific business functions to be included in each of these project phases will be determined and agreed upon jointly by Computronix and the <CLIENT NAME> during the Project Planning and Kick-off stage of the project.

### Stage 1 – Project Planning and Kick-off

The Project Planning and Kick-off stage will focus on updating the Computronix project management plan template to identify the specific processes, procedures, stakeholder analysis, schedule updates, etc. necessary to ensure a successful phase. This initial draft of the project management plan becomes the basis for a multi-day project kick-off meeting in which the project team is engaged in discussion, fine tuning, and general input. As part of the project kick-off meeting Computronix plans to work with the <CLIENT NAME> to clarify the technical environment and plan the roll out and delivery of the technical environment. The result of the project kick-off meeting is a final Project Management Plan that is specific to the project, realistic and has project team buy-in. This leads to a final accepted Project Management Plan that can now be executed.

A project schedule is produced that includes all tasks known at this time. The project schedule will be updated as the project progresses.

In the same time period, Computronix will complete behind the scenes activities that are necessary for the project to run smoothly such as setting up the <CLIENT NAME> in the POSSE support system, creating Computronix staffing plans and securing project resources, setting up a shared repository for project documents.

Data conversion activities start in the Project Planning and Kick-off stage and will continue for the duration of the Phase, culminating in the final production data conversion run. It is Computronix experience that data conversion activities and tasks are often on the project's critical path. These activities start by defining the Data Conversion Plan and continue with subsequent data conversion documentation and activities. This helps mitigate the schedule risk inherent in data conversion.

<PLACEHOLDER – IF THIS SOW IS BEING USED A CONTRACTUAL DOCUMENT IT MAY BE NECESSARY TO COPY/PASTE IN VERBIAGE/CONTENT FROM ADDITIONAL CX DATA CONVERSION DOCUMENTATION>

## Stage 2 – Initial Configuration, Installation, and Orientation

Stage 2 begins with installation of POSSE ABC into the <CLIENT NAME> <environments specific for this project>. In parallel with these installation processes, Computronix will begin configuring POSSE ABC in its development environment. The configuration effort will provide a representative and high leverage subset of the business processes “In Scope” for the phase to enable Computronix to demonstrate how we expect POSSE ABC will meet the UI, workflow and data requirements of this project. The configured product will be installed and an on-site Orientation session will be delivered to introduce and further solidify the <CLIENT NAME>'s understanding of POSSE ABC language and terminology, and the base/inherent POSSE ABC functionality and features relevant to the phase. This orientation will aid in the following Fit/Gap discussions (Stage 3). The on-site Orientation session is designed for <CLIENT NAME> SMEs, core project team members and decision makers.

Stage 2 provides the initial configuration and orientation that provides the infrastructure needed for the rest of the project.

Computronix will brand the POSSE ABC product as well as some initial configuration based on requirements from the RFP. During the on-site Orientation session the <CLIENT NAME> should be able to easily conceptualize how POSSE ABC will meet their needs.

This is not training but an orientation to the POSSE product to aid in the following Fit/Gap discussions (Stage 3). We will review POSSE language, demonstrate the POSSE product that was purchased and introduce Fit/Gap process and expectations.

### Stage 3 – Requirements/Fit Gap Analysis

In stage 3 the project team will come to a common understanding of how the <CLIENT NAME> requirements are met by POSSE ABC functionality and document any existing gaps between POSSE ABC and the requirements deemed to be “In Scope” for the project. The Fit/Gap will use the pre-configured as the baseline functionality and will involve focus group sessions with the <CLIENT NAME>’s team of SMEs, IT specialists and analysts. The Fit/Gap will clarify which of the set of the <CLIENT NAME>’s requirements are “Fit” Items; items met by POSSE ABC functionality in the pre-configured system, and which requirements are “Gap” items; items met by additional configuration as defined by the scope of the project.

A Computronix trainer will provide on-site POSSE ABC Administration Training, enabling <CLIENT NAME> super users or IT staff to review, modify, update and create new administrative data supporting the business requirements for the all “In Scope” business processes including ones not pre-configured by Computronix in Stage 2.

At the conclusion of the Fit/Gap stage Computronix will prepare documentation (the “Fit/Gap Report”) to identify:

- A high-level business description of the module(s) being implemented.
- Decisions and sign offs related to each “In Scope” RFP requirement.
- For requirements which are yet to be met, documentation detailing the approach to be followed in configuring a solution that meets <<Client Name> Name>’s business requirement.
- “In Scope” gap items will be clearly identified as “In Scope”.
- Report requirements including report mockups or samples.
- Interface requirements.
- Security and assignment role mapping.
- Applicant communication/notification requirements.
- New requirements if requested by the <CLIENT NAME> team will be clearly identified as “Out of Scope”.
- The data mapping spreadsheets as completed by the <CLIENT NAME>’s team will be included in the document.

The <CLIENT NAME> may request that Computronix provide an estimate for “Out of Scope” Gap items and may request that these items be moved “In Scope” through the change request process.

The Data Conversion Business Requirements document will be created as part of this stage.

When all of this is complete, the <CLIENT NAME> will formally accept the Fit/Gap Report as the Phase’s scope baseline as it will clearly identify all requirements that have been met as well as all requirements that have yet to be met and the agreed-to acceptance criteria which will show that the requirement is met.

## Stage 4 – Gap Closure

When the Fit/Gap is complete, the requirements that are “In Scope” and are not deemed to be met will require the gap closure process. The gap closure process follows the Computronix Software Development Methodology (SDM). Each gap closure requirement will be designed and configured by Computronix in its development and test environments. Throughout this stage, Computronix will be in communication with SMEs and other team members as necessary to ensure that the design and configuration is meeting the requirements.

The Computronix Technical Lead (TL) and Designer will document the high-level design that will address the gap items and provide a cohesive and comprehensive overview of the System. The high-level design documentation will be reviewed with the <CLIENT NAME> project team in order to verify that the System modifications envisioned meet the requirements.

Following approval of the design by the <CLIENT NAME>, Computronix will commence technical configuration, report, and interface development and the <CLIENT NAME> will commence/continue administrative data modification, update and creation. During the design and configuration timeframe, ad hoc meetings and web conferences will be held as necessary between the technical team and the <CLIENT NAME> SMEs and IT specialists to clarify any outstanding questions or concerns.

When technical configuration, development and the <CLIENT NAME>’s administrative data entry are complete, Computronix resources will provide a comprehensive System demonstration to the <CLIENT NAME> project team. After any final issues or concerns that have arisen from the demonstration process have been dealt with, Computronix will migrate all the System components into the <user acceptance testing and training environments> in preparation for Stage 5.

Computronix will compile data conversion mapping documentation with input and validation from the <CLIENT NAME>. Additional data conversion activities in this stage are the cleansing, transformation and testing of converted data.

## Stage 5 – Pre-UAT Training and User Acceptance Testing

When Stage 4 is complete, Computronix will update the Site Specific POSSE ABC End User Training documentation, as necessary. This training documentation will form the training manual for the Pre-UAT training. Pre-UAT training is delivered for the purpose of training the trainers that will be performing end-user training as well as the UAT testers that will be performing User Acceptance Testing (UAT). It is expected that <CLIENT NAME> project team members that are identified as testers will use this training to efficiently and effectively conduct User Acceptance Testing (UAT). The training will ensure that each business process is adequately covered and may be attended by up to <number of attendees> <CLIENT NAME> testers, end user trainers and Core Team members. Remote training in the Issues Tracking System will also be provided to the <CLIENT NAME> UAT manager and their back up in order to enable any issues identified during UAT to be accurately and comprehensively reported for efficient resolution.

During each phase, when Stage 4 is complete, Computronix will install all configuration updates and System modifications applicable to the current phase to the User Acceptance Testing (UAT) environment, which the <CLIENT NAME> will then test. <CLIENT NAME> SMEs, under the oversight of the <CLIENT NAME> Project Manager, will report all defects found, and Computronix will work to resolve defects and then provide further configuration updates and System modifications to be retested by the <CLIENT NAME>. Reporting and resolving defects discovered during the UAT period will follow the same issue resolution process documented in Project Methodologies section of this document.

User acceptance testing scenarios and plans, along with organizational staffing changes, are the responsibility of the <CLIENT NAME>. [This testing needs to include testing of the converted data.](#) The end users will have the best perspective on how they will test that the System meets the documented requirements, as well as the impact of System changes and business processes to the <CLIENT NAME> staff.

Once Computronix provides notice that all deliverables are ready for UAT, the <CLIENT NAME> will work to complete UAT within <number of days> business days. This anticipated timeframe is required to fully test the System prior to implementation. This also assumes that the quality of the delivered System is high such that the number of reported defects is low and does not impact UAT progress.

During the UAT process, the Computronix team will remain committed to the project in order to resolve defects and migrate fixes to the test environment in a timely manner, as per the Issues Management Plan. Stage 5 ends with the successful completion of the UAT and acceptance of the System. UAT assumptions include:

- The <CLIENT NAME> will designate a testing lead or empower the project manager to lead the UAT effort.

- The <CLIENT NAME> is responsible for all user acceptance testing including: test planning, test script authoring, testing, recording of results, determining the veracity of test results, and logging defects into the Issue Tracking System.
- Defects should be verified by the <CLIENT NAME> testing lead before they are logged into the Computronix Issue Tracking System for review by Computronix.

In the event that critical defects are found and logged, the <CLIENT NAME>'s timeframe for UAT will be renegotiated and a new baseline set, based on expected timeframe for Computronix to resolve the defects.

Testing is considered completed when all documented test cases have been completed and all defects with a severity of Critical and High, have been addressed. Defects with severity of Medium will be mutually agreed on for disposition prior to completion of UAT.

### Stage 6 – End User Training and Implementation

During this stage the Production, Test, and Train environments will be updated with the final version of POSSE ABC, in preparation for end user training, data migration, and the Go-Live event. All activities in Stage 6 will be documented by Computronix with significant support from the <CLIENT NAME> in a phase transition or implementation plan.

Typically, senior Computronix resources will be on-site during the Go-Live event to ensure that a smooth transition is achieved. For this project, Computronix has included <number of on-site support days> total days of on-site support time for each phase.

Computronix is open to discussion of the best use of on-site time around the Go-Live events for the phases to ensure that the <CLIENT NAME> receives the maximum benefit from this service. Regardless of the number of days of on-site support for each Phase, the Computronix team will be available remotely both before and after implementation to ensure that issues are resolved quickly and efficiently and the <CLIENT NAME> feels well supported.

Following Go-Live, Computronix will seek information from the <CLIENT NAME> and Computronix project team members, <CLIENT NAME> staff using the System, management, and other stakeholders in order to provide input into the Project Review Report. This report will summarize the activities, deliverables, budget expenditures, scope changes, and other relevant information for the phase and focus on lessons that can be applied to future phases or projects.

Upon successful implementation of POSSE ABC, maintenance for that business functionality group will begin. Reporting and resolution of defects discovered during Go-Live and the maintenance period will follow the same Issues resolution process documented in Section 9 – Project Methodologies of this document.



## Section 7.0 Project Resourcing and Organizational Structure

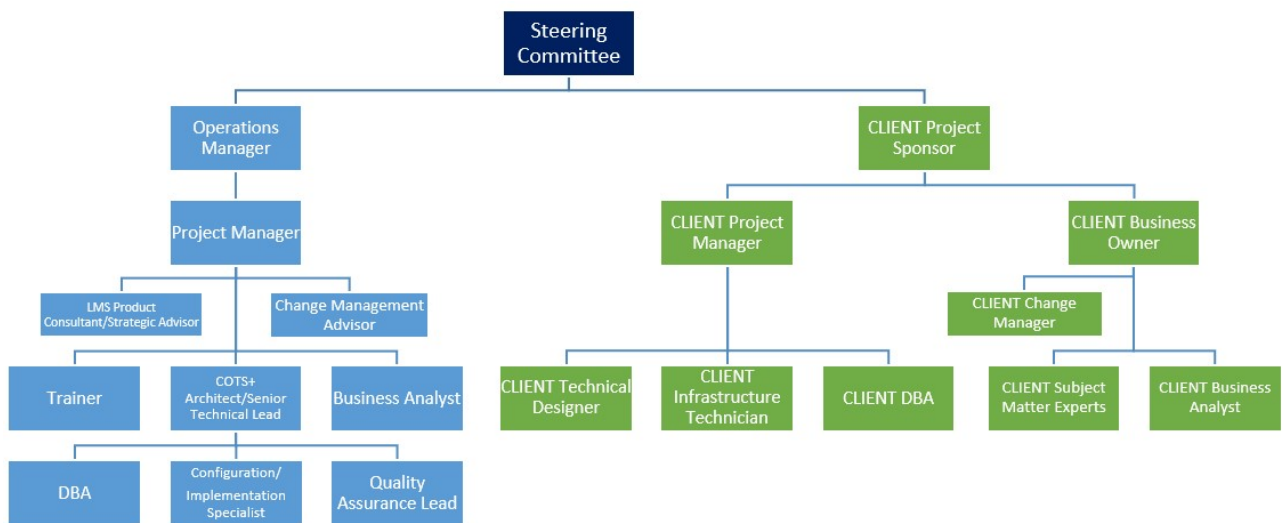
*Instructions (to be deleted from final version of the document):*

*In this section the text should remain unchanged, other than changing the data in the brackets. If the organization chart needs to be modified, use the PPTX in this same folder and modify accordingly. Add as a .jpg below and remove org chart below.*

*Pay special attention to the Computronix Trainer role explanation and make sure it is consistent with what was proposed in the RFP response.*

### POSSE Project Organization Structure

The following organizational structure depicts the reporting structure and an overview of the anticipated reporting structure for the project.



### Project Resourcing Overview

In addition to the information on the organization structure, the following should be noted:

We recommend that the Steering Committee be made up at a minimum of the <CLIENT NAME> Project Sponsor, <CLIENT NAME> Project Manager, Computronix Project Sponsor and the Computronix Project Manager. It is strongly recommended that senior representatives of <CLIENT NAME> Staff also sit on the Steering Committee. The project managers and business analysts will advise the Steering Committee as appropriate and as requested.

The <CLIENT NAME> team will be identified prior to Project Kick-off meeting but in general will be made up of Subject Matter Experts (SMEs) from all business areas. The SMEs will be experienced in their roles, but final decision making around business process will rest with the business project manager.

## **Project Roles and Responsibilities**

### Project Steering Committee

- Attend Steering Committee meetings
- Provide overall direction to the project
- Ensure adequate project resourcing
- Support Organizational Change Management (OCM)
- Deliver corporate communications as required

### <CLIENT NAME> Sponsor

- Authorize project scope, budget, and resources
- Attend Steering Committee meetings
- Provide vision for the project team to use “out of the box” functionality
- Empowered and capable of making timely decisions
- Escalation point above the <CLIENT NAME> Project Manager
- Ensure <CLIENT NAME> business resources are available to the project when needed, resolve conflicts as necessary
- Ensure <CLIENT NAME> SMEs are adequately trained
- Balance the needs of the project with the SMEs other workload
- Provide input into project planning
- Review/report project progress/status
- Facilitate sign off on deliverables

### <CLIENT NAME> Project Manager

- Provide project oversight
- Ensure project is fulfilling objectives and meeting success criteria
- Attend Steering Committee meetings
- Manage <CLIENT NAME> resources
- Support <CLIENT NAME> involvement and interaction with Computronix and business
- Escalation point for issues and risks as needed
- Contract management
- Management and oversight of Financials and Project Budget, including Contingency
- Provide input into project planning and project execution
- Manage <CLIENT NAME> deliverables for project
- Deal with issues and risks and responsible for their resolutions
- Review/report project progress/status

- Empowered to make timely project decisions
- Single point of contact (so we avoid a management by committee scenario)
- Approve Change Requests
- Sign off of Deliverables and Project
- Responsible for stakeholder management
- Responsible for business process change and final signoff on business decisions, including encouraging the business to utilize “out of the box” functionality whenever possible
- Supports Organizational Change Management

<CLIENT NAME> Business Analyst

- Assist with project planning
- Has an excellent working knowledge of the business’ current processes and practices
- Support initial assessment, data conversion activities, testing
- Provide support, mentoring and expertise to project team members
- Answer or find answers to business questions
- Support updates to operating procedures and business processes
- Document Standard Operating Procedures (SOPs)
- Support Organizational Change Management and communication as required
- Able to quickly ramp up on new System and technology

<CLIENT NAME> SMEs

- Provide knowledge for input into Fit/Gap
- Provide input into Gap design and review gap solutions when configured
- Business Experts who speak for specific business areas, representing the input of their business colleagues
- Authorized by the project sponsor and the managers of their respective business areas to make decisions about business processes change necessary to fit the processes supported by POSSE ABC
- One SME is identified as the authorized decision maker for each business area
- Responsible to communicate project decisions to their respective business area and business colleagues
- Responsible for entry and maintenance of configuration data at the direction of the Computronix Technical Team Lead
- Support Organizational Change Management and communication as required

<CLIENT NAME> Technical Designer

- Support Administration Module setup, data conversion, ad hoc reporting tools, etc.

<CLIENT NAME> Infrastructure Technicians

- Install servers within the <CLIENT NAME> infrastructure
- Ensure servers are ready for Oracle, POSSE, and web site installation
- Ongoing server and infrastructure management and support

<CLIENT NAME> UAT Manager

- Coordinates and organizes testers and the testing effort
- Develops test plans and coordinates the creation of test scripts
- Leads others to execute the test scripts with attention to detail and focus
- Able to clearly and concisely document issues with associated context

<CLIENT NAME> Organizational Change Manager

- Support Organizational Change Management
- Deliver corporate communications, as required
- Facilitates and encourages the project team to use “out of the box” functionality of the product
- Provide input into project planning
- Ensure project is fulfilling objectives and meeting success criteria
- Deal with issues and risks, responsible for resolutions
- Takes ownership of stakeholder management
- Leads business process change and final signoff on business decisions
- Assist with project planning
- Provide support, mentoring and expertise to project team members
- Support updates to operating procedures and business processes
- Document Standard Operating Procedures (SOPs)
- Communicates project decisions to their respective business area and business colleagues
- Coordinates the creation of training materials, help text, transition plans
- Coordinates the end user training effort

<CLIENT NAME> Data Conversion Lead

- Support initial assessment, data conversion activities, testing
- Has a very good working knowledge of existing data sources, their structure, and purpose of data fields and other legacy system rules

<CLIENT NAME> DBA

- Prepare environments (Test, Training, Production, etc.) prior to each use for the project
- Apply POSSE and/or Oracle upgrades as specified with the POSSE Software License Agreement (SLA)

Computronix Operations Manager

- Participate on the Project Steering Committee
- Help manage <Client Name> relationships for all projects
- Responsible for project oversight
- Responsible for project resourcing

Computronix Project Manager

- Provide project oversight, detailed planning, and project execution
- Organize, mobilize Computronix resources to fulfill project commitments
- Ensure project is fulfilling objectives and meeting success criteria
- Communicate project status and other relevant project information to Computronix team, Project Steering Committee, <CLIENT NAME> Project Manager, and other <CLIENT NAME> stakeholders (as identified)
- Manage Computronix deliverables and interactions with the <CLIENT NAME>
- Responsible for risk management
- Responsible for quality management

Computronix Project Consultant/Strategic Advisor

- Responsible to advise Computronix team on POSSE best practice
- Responsible to consult with COTS+ Architect on gap closure configuration

Computronix Trainer

- Provide POSSE, Site Specific End User Training and System Administration training to <CLIENT NAME> team members

Computronix COTS+ Architect/Senior Technical Lead

- Responsible for technical aspects of the project
- Provide oversight to Computronix technical resources
- Design and oversees Administration Module setup and data conversion activities
- Design and oversees gap closure configuration
- Responsible for System quality

Computronix Business Analyst

- Assist with project planning
- Support initial assessment, Fit/Gap, data conversion activities and testing

Computronix DBA

- Initial POSSE installation and performance tuning
- Prepare environments (Development, Test, Training, Production, etc.) prior to each use for the project
- Apply POSSE and/or Oracle upgrades as specified with the POSSE Software License Agreement (SLA)

Computronix Configuration/Implementation Specialist

- Configure modifications to POSSE base System for implementation
- Support for integration of <CLIENT NAME> specific requirements through the existing POSSE System features and functions

**Project RACI**

*Instructions (to be deleted from final version of the document):*

*A template has been created and should be stored in the same folder as this template. Update the RACI for your specific project and add it here if it is needed for your project. Use Excel for the update then copy and paste as a JPEG to this document. Size to fit.*

## Section 8.0 Project Methodologies

---

*Instructions (to be deleted from final version of the document):*

*In this section the text should remain largely unchanged but there could be modifications needed*

### Project Management Overview

The Computronix Project Management Best Practices are consistent with the Project Management Framework and best practices described in the Project Management Institute (PMI) Project Management Body of Knowledge.

To ensure project success and a high quality of deliverables, the project will put in place two Project Managers – a Computronix Project Manager and a <CLIENT NAME> Project Manager. The Computronix Project Manager is responsible for the overall success of the project team. The <CLIENT NAME> Project Manager, <CLIENT NAME> Business Owner, and <CLIENT NAME> Project Sponsor have significant supporting roles to play in the areas of Organizational Change Management, organizing and mobilizing the <CLIENT NAME> project team members, and communications within the organization.

The Computronix Project Manager’s activities will include:

- Participating in Project Kick-off meeting
- Drafting and finalizing project plans and the overall project schedule
- Team leadership and problem solving
- Creating and maintaining project procedures
- Managing change control procedures
- Participation in defining acceptance criteria
- Development of project signoff criteria
- Periodic on-site presence to ensure smooth running of the project
- Completion of status reporting
- Delivery of a project review and recommendations document
- Participation in project meetings

### Project Status Reporting

A <semi-monthly or weekly> Status Report will be generated by Computronix, which will provide the <CLIENT NAME> Project Manager with an up-to-date record of progress on active deliverable tasks. The <CLIENT NAME> Project Manager will provide <CLIENT NAME> project status data to the Computronix Project Manager, who will maintain the overall project status data. Status Reports will be provided in Computronix’ standard template format see **Appendix A – Status Report** for the template Status Report document.

To effectively communicate status, a status meeting will be held to discuss the Status Report. These status meetings can include key Computronix leadership staff and possibly the Project Steering Committee. The Computronix Project Manager will advise the attendees of the status of the project. The location of these meetings will be determined by the two project managers, most likely they will be via telephone or video conference call.

### Scope Management

Scope Management is a joint responsibility of the Computronix Project Manager and the <CLIENT NAME> Project Manager. The project team plays a significant role in the management of scope and ultimately the success of the project.

The change control process is initiated when Computronix and/or the <CLIENT NAME> determine that a change is required to the current **scope** or **schedule** baseline at the time the change is identified. Changes to the project scope, schedule and costs will be managed as follows:

- The Computronix Project Manager documents the change on behalf of the <CLIENT NAME>, or the <CLIENT NAME> creates the change, using the agreed-to Change Request form (see Appendix B).
- The <CLIENT NAME> Project Manager, with support from business champions, the Project Steering Committee and others, evaluates the Change Request for completeness and validity, suggesting changes as needed.
- The Change Request is forwarded to the Computronix Project Manager.
- Computronix will determine the feasibility of the Change Request, and if the work is feasible Computronix will estimate effort and cost and document the impact to the project if the change were to proceed. The Computronix Project Manager then forwards the Change Request to the <CLIENT NAME> Project Manager.
- The <CLIENT NAME> Project Manager reviews the Change Request and if reasonable and complete, presents the Change Request to the Project Steering Committee for review. If approved, the Change Request form is signed and dated.
- If a Statement of Work (SOW) or Contract Amendment is required, the Computronix Project Manager will forward to the <CLIENT NAME> Project Manager.
- The <CLIENT NAME> Project Manager sends the approved Change Request form and other documentation to the Computronix Project Manager who will acknowledge receipt via email. At this point, the project plan documentation and/or the Fit/Gap Requirements Report are updated accordingly.

### Location of Project Activities

*Instructions (to be deleted from final version of the document):*

*In this section the locations of the project activities should be carefully reviewed and documented. These will be different for every project. Ensure that any travel referred to here has been accounted for in any project estimating. There is also an assumption above on travel – make sure it is in synch with the text below.*



Computronix will conduct project activities both on-site at the <CLIENT NAME> offices and remotely from our offices in the US. All activities that the <CLIENT NAME> has primary responsibility for (such as data cleansing and testing) will be conducted from the <CLIENT NAME>'s offices. Computronix strongly recommends that a project office/testing site be created within the <CLIENT NAME>'s offices for the duration of the project, in order to remove project team members from the distractions of their day-to-day activities in order to focus more completely on project activities. All data required for the performance of this project will be stored in the United States.

Activities that Computronix envisions conducting on-site\* include:

- Project Kick-off meetings
- Product Orientation training
- Fit/Gap
- Design Reviews (possibly)
- Administration training
- Pre-UAT training
- Go-Live support

\*On-site meeting planning is subject to potential travel restrictions, i.e. COVID-19.

The following activities will be primarily conducted remotely:

- Project planning
- Steering Committee status meetings (most)
- System modifications
- Installation of hardware and software
- Initial configuration
- Data conversion planning and mapping
- Creation of data transformation scripts
- User Acceptance Testing (UAT) support
- Data loading into POSSE
- Training preparation
- Implementation planning

### **Issues Management Plan**

The following definitions, tools and processes will be followed to manage Issues that are identified during the project.

#### Definition of Issues

Over the course of a project, there is a need to accurately record, proactively manage and communicate about issues. Issues typically fall into the following categories:

- Defect
- Information request
- Enhancement (which may become a Change Request)

An issue may be incorrectly logged as an issue when it is actually an enhancement request. In such cases, the issue will be re-classified to enhancement and sent to the <CLIENT NAME> PM to advise as to next steps.

#### Defects

A Defect is defined as:

“A development or configuration error that causes the System to crash, or program algorithms or logic that produces incorrect results when compared to the scope baseline. Defects pertain to the intended operation of the System as delivered to the <<Client Name> Name>. Defects do not include changing user preferences, report or screen aesthetics, presentation standards, or non-conforming converted data. Defects do not pertain to problems arising from Third-Party Software interfaced to the System.”

Issues which are defects from testing are to be resolved as documented below.

#### Issue Tracking System

Computronix will supply an Issue Tracking System for use on the project. This Issue Tracking System will be used to document and manage all System related issues during the UAT and warranty periods. Computronix will provide training to <CLIENT NAME> staff in the usage of the Issue Tracking System and the method for reporting issues prior to the need to use the Issue Tracking System.

#### Defect Reporting

All issues raised as defects are assigned to the <CLIENT NAME> Project Manager for review prior to submission to Computronix. The <CLIENT NAME> Project Manager will determine if the defect is valid, based on the scope baseline. If it is determined that the defect raised is not a valid defect as defined above, (i.e. it is determined that the System component is performing as specified), then the <CLIENT NAME> will take no further action, other than to withdraw the defect and/or raise a request for an enhancement . The <CLIENT NAME> Project Manager will assign valid defects to Computronix for investigation and resolution.

All Defects will be submitted using the Issue Tracking System, noting the following:

- Description of the defect
- The business scenario relevant to the defect
- Description of the requirement that is not being met
- Description of the action taken that created the defect
- Description of the expected results
- Supporting information: screenshots, error messages received, test case information (e.g. License number and process name where error occurred)
- Initial severity assignment:
  - **Critical**—Stops testing or operation in a critical area and there is no workaround.

- **High**—Stops testing or operation in a non-critical area and there is no workaround.
- **Medium**—Workaround available, will allow testing and operation to continue, but not ready for acceptance.
- **Low**—Not working according to specification but is acceptable as it does not impede System functionality.

#### Resolving Defects

Defects will be added to a queue of other Defects, which is sorted by severity. Severity will be confirmed during regularly scheduled review meetings between Computronix and <CLIENT NAME> Project Managers. Defects will be resolved in order of severity and prepared for testing or re-testing in the Test environment. Every effort will be made to assign the resolution of defects to the original resource to ensure the context relevant to the defect is understood. Computronix will strive to resolve defects according to the following schedule:

- **Critical**—Within 1 business days of being reported
- **High**—Within 3 business days of being reported
- **Medium**—Within 5 business days of being reported
- **Low** – May not be resolved at all as they do not impede the functioning of the System

Defect resolution follows the same quality assurance path as the original development. The project team’s Issue Resolution test process involves unit testing of the fix by the developer, configuration (or code) review and cross-testing by a separate developer not involved in the development of the fix, testing in the context of a System test and, finally, confirmation that the fix is compiled in the release.

The <CLIENT NAME> Project Manager and the Computronix Project Manager will coordinate the resolution and closure of defects so that time is effectively used. As needed, the <CLIENT NAME> Project Sponsor or the IT Project Manager may discuss defects with the Computronix Analyst and/or Technical Lead(s).

All defects that are deemed “fixed” by a <CLIENT NAME> tester as a result of testing will be closed by the <CLIENT NAME> Project Manager. Defects that are not completely fixed will be sent back to Computronix with supporting detail. They will remain “open” and will be subject to the same testing and approval process.

#### Escalating Issues

The <CLIENT NAME> Project Manager has ready access to the Computronix Project Manager for relating concerns about individual issues and the quality of the project in general. In addition, the <CLIENT NAME> Project Sponsor and <CLIENT NAME> Project Manager have further recourse to the Computronix Operations Manager, and ultimately to the Computronix President/CEO. Likewise, the Computronix Project Manager may request to discuss an Issue at the monthly Project Steering Committee meetings in order to reach a decision or resolve a particular Issue.

## Section 9.0 Project Schedule

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*Instructions (to be deleted from final version of the document):*

*In this section the text should remain unchanged other than the highlighted field.*

The period of performance of this project is <months> months from signature of the SOW.

Our proposed Project Schedule has been included in **Appendix E – Project Schedule**.

If a <CLIENT NAME>-based delay puts the project on hold more than one (1) month, Computronix reserves the right to charge project carrying fees. This may incur an additional cost which will be managed through the change order process which will define the scope change, additional cost, and schedule changes.

### Schedule Delays

A <CLIENT NAME>-based project delay may occur based on unforeseen events. Computronix offers two methods to handle a project delay when a <CLIENT NAME>-based delay puts the project on hold for more than one (1) month. The <CLIENT NAME> will request Computronix change the project status to “On-Hold” or “Oversight”:

- On-Hold: Computronix will pause the project and release the currently assigned team. Project cost will be impacted based on the duration of the delay and the process to reinitiate a project team.
- Oversight: Computronix will provide project support from the Project Manager, Business Analyst and Technical Lead. The <CLIENT NAME> and Computronix will determine the level of support resources the <CLIENT NAME> will require. Computronix recommends a minimum of two (2) person-weeks per month for each resource type during the Oversight period. Computronix reserves the right to release the remaining support staff.

In the case where a project is delayed, Computronix has found it beneficial to the <CLIENT NAME> for Computronix to provide Oversight during a delay, therefore helping the <CLIENT NAME> maintain project momentum, providing guidance, as well as providing support to help bring the project back to an “Active” status. Computronix reserves the right to charge project costs incurred to keep the requested project oversight running while the project is in an Oversight status. This additional cost will be managed through the change order process which will define the scope change, additional cost, and schedule changes.

If the Project status is put On-Hold or in Oversight by the <Client Name> for at least two (2) calendar months the <CLIENT NAME> agrees to the following:

- All work in progress toward incomplete deliverables will be invoiced and the Computronix will be paid based on the percentage complete of the deliverable as evaluated by Computronix up to the full value of all deliverables in development at the time the project was put on hold delayed.
- Since the project team will need to be reassembled and the project reinitiated, costs will be incurred by Computronix. Computronix will charge the <CLIENT NAME> for all reasonable costs incurred to reinitiate the project.

**Note:** Computronix strives to improve and communicate project goals during the Project Planning and Kick-off stage of the effort at the Project Kick-off meeting and through the duration of the project. The Computronix team will review this schedule in detail with the <CLIENT NAME>, before and during the Project Kick-off meeting, with the perspective to improve and fine-tune timelines and tasks based on possible greater efficiencies and/or alternate task dependencies. This project schedule is a living document and will be modified throughout the project.

## Section 10.0 Project and Payment Milestones and Payments

*Instructions (to be deleted from final version of the document):*

*In this section the Milestone table should be filled out with payment milestones.*

### Project and Payment Milestones

Payment Milestones for the POSSE software modules, services and project have been identified in the table below. Month 1, by example is the month in which the contract is finalized. Milestone payment months will be adjusted once an approved project timeline is completed.

Payment milestones will be aligned with Deliverables defined in Section 5.0 Project Scope.

MILESTONE	ESTIMATED MONTH OF COMPLETION	PAYMENT AMOUNT
<Milestone Name>	<Month>	\$ XX,XXX.XX
<Milestone Name>	<Month>	\$ XX,XXX.XX
<Milestone Name>	<Month>	\$ XX,XXX.XX
<Milestone Name>	<Month>	\$ XX,XXX.XX
<Milestone Name>	<Month>	\$ XX,XXX.XX
<Milestone Name>	<Month>	\$ XX,XXX.XX

Computronix will provide an invoice of all services as they are rendered. All payments are due within 30 days of receipt of an invoice from Computronix.

### Warranty

The warranty on all Computronix-developed site-specific configuration is 60 calendar days from the date of implementation.

### Validity, Currency and Shipping

The provided prices and quotation details are subject to change if the <CLIENT NAME> does not provide response within six (6) months of the delivered quotation. The <CLIENT NAME> will provide a signed copy of the Statement of Work. All quoted prices are in US dollars.



## Section 11.0 Acceptance of SOW

*Instructions (to be deleted from final version of the document):*

*In this section the text should remain unchanged, other than changing the data in the brackets.*

This comprises the entire and sole Statement of Work between Computronix (U.S.A.) Inc. and the <CLIENT NAME> for the delivery of the project. No other understandings or agreements, verbal or otherwise, exist for the delivery of the project. Computronix (U.S.A.) Inc and the <CLIENT NAME> agree not to change this SOW except by written agreement.

Computronix (U.S.A.) Inc.

<<Client Name> Name>

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date



**Appendix A - Status Report**

Status Report <Client Name> Name For the Period - < Start Date > to < End Date >			
<<Client Name> Name> Project Manager			
Computronix Project Manager			
Schedule	Cost	Scope	Risk
GREEN	YELLOW	RED	GREEN

**1. Past Week Activities**

- 
- 

**2. Planned Activities for the Week**

- 
- 

**3. Other Notes**

- 
- 

**4. Upcoming Milestones**

Milestone	Date

**5. Management of Issues**

Key Outstanding Issues	Assigned to	Response / Due Date

**6. Risk Management**

Key Risks	Assigned to	Response / Due Date

**7. Action Items**

Description	Assigned to	Response / Due Date



Appendix B - Change Request

Project Change Request			
Requestor Name		CR Number	CR
Requestor Phone		Reference Number	
Date Created		Attachments	
Date Required		Priority	Medium
Description of proposed change			
Scope of Change	Task	Responsibility	Date
	Change Detail	Fixed Cost	T&M Estimate
Implications and Notes			
Contract	Non-chargeable		Chargeable
			Time & Materials Estimate
			Fixed Price Quotation
	Total Estimated Hours		Total Estimated
	Proceed	Yes <input type="checkbox"/> No <input type="checkbox"/>	
	Date		
	<<Client Name> Name> Approval, Signature, and Date		
	Computronix Approval, Signature, and Date		
Project Plan Documents Require Updating	Yes <input type="checkbox"/> No <input type="checkbox"/>		

## Appendix C – Deliverable Acceptance Form

### Deliverable Acceptance Form

**Project Name:** <Project (or Phase) Name>

**Deliverable:** <Deliverable Name>

**Completion Date:** <Date>

#### Disposition of Deliverable:

Accept deliverable without modification.

Reject deliverable, resolution of attached issues required, re-submit for approval.

#### Comments and Notes

<Enter Comments/Notes here>

#### Deliverable Acceptance

This document serves to formally indicate that the deliverable specified above is now complete and signed off. By signing this form, the <<Client Name> Name> agrees that Computronix has completed the deliverable as described in the Statement of Work and that Computronix can proceed with next steps.

#### Project Sponsor

Name	Signature	Date Signed

#### IT Project Manager

Name	Signature	Date Signed



## Appendix D – Project (or Phase) Completion Form

### Project (or Phase) Completion Form

Project Name: <Project (or Phase) Name>

Project Completion Date: <date>

### Project (or Phase) Overview

#### Deliverables Produced

Project Deliverable	Acceptance Criteria	Acceptance Date

#### Work Packages Completed

Name	Date Completed	Comments

#### Project (or Phase) Acceptance

This document serves to formally indicate that <Project (or Phase) Name> is now complete. By signing this form <<Client Name> Name> agrees that Computronix has fulfilled its project obligations as documented in the contract and agrees that any project holdback will now be released.

#### Steering Committee

Name	Signature	Date Signed

#### Project Manager

Name	Signature	Date Signed



## Appendix E – Project Schedule

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See attached documents.

**Exhibit E:**  
**Sample System Uptime Report**



**COMPUTRONIX<sup>®</sup>**

Client

---

**System Uptime Report**

**February 2021**

# System Uptime Report

## Period of Review: February 2021

This report is a monthly review of the hosted environment for Client application. It includes loading and uptime statistics for the period observed, as well as a list of downtimes. Computronix committed to providing a minimum of 99% uptime during business hours (Monday to Friday, 7:00 AM to 6:00 PM Mountain Time) for this hosted environment.

## Results of System Uptime Review

See attached graphs for loading and uptime statistics, as well as downtimes.

Period	Planned Maintenance (hrs)	Unplanned Downtime (hrs)	Total Uptime*	Outage Notes
Feb 2021	0	0.00	100%	

\*Total uptime excluding planned maintenance.

## Contact Information

Questions regarding this report or any other matter related to the hosting services provided by Computronix may be addressed to the contact below. Thank you for choosing Computronix as your managed services provider!

Jacob Harman

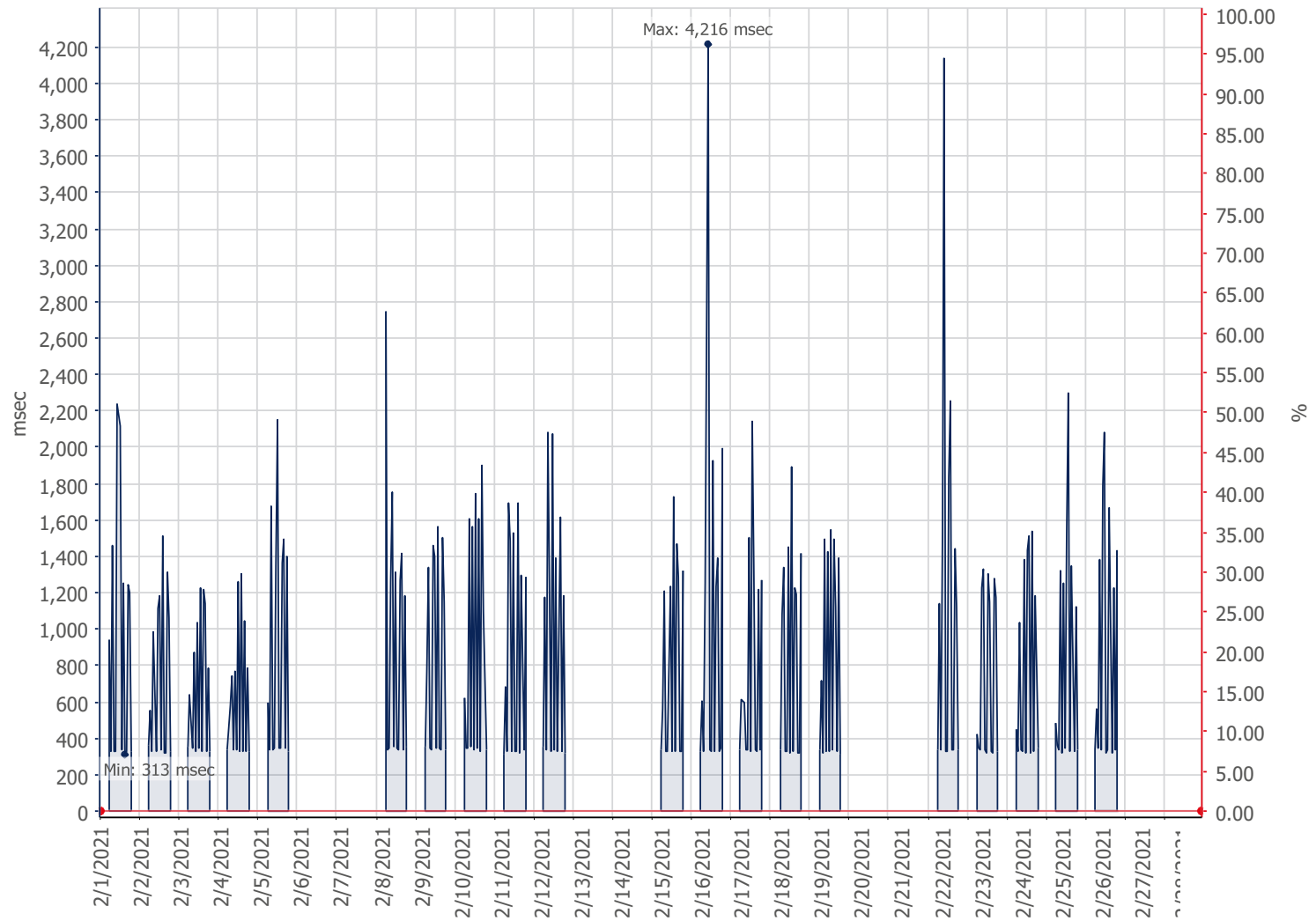
---

3900 Wadsworth Blvd  
Suite 510  
Lakewood, CO 80235  
780-962-6300 ext 1147  
[jacob.harman@computronix.com](mailto:jacob.harman@computronix.com)

### Den Co-Lo: Client Monthly Uptime: Client- Customer Portal - Load Balanced

Report Time Span:	2/1/2021 12:00:00 AM - 3/1/2021 12:00:00 AM		
Report Hours:	SLA - Client M-F 7AM - 6PM MOUNTAIN		
Sensor Type:	HTTP Advanced (60 s Interval)		
Probe, Group, Device:	PRTGPROBE3 - DenColo > DenColoClient > Public		
Uptime Stats:	Up:	100 % [09d 03h 45m 23s]	Down: 0 % [00s]
Request Stats:	Good:	100 % [13200]	Failed: 0 % [0]
Average (Loading time):	495 msec		

Client - Customer Portal - Load Balanced  
Public



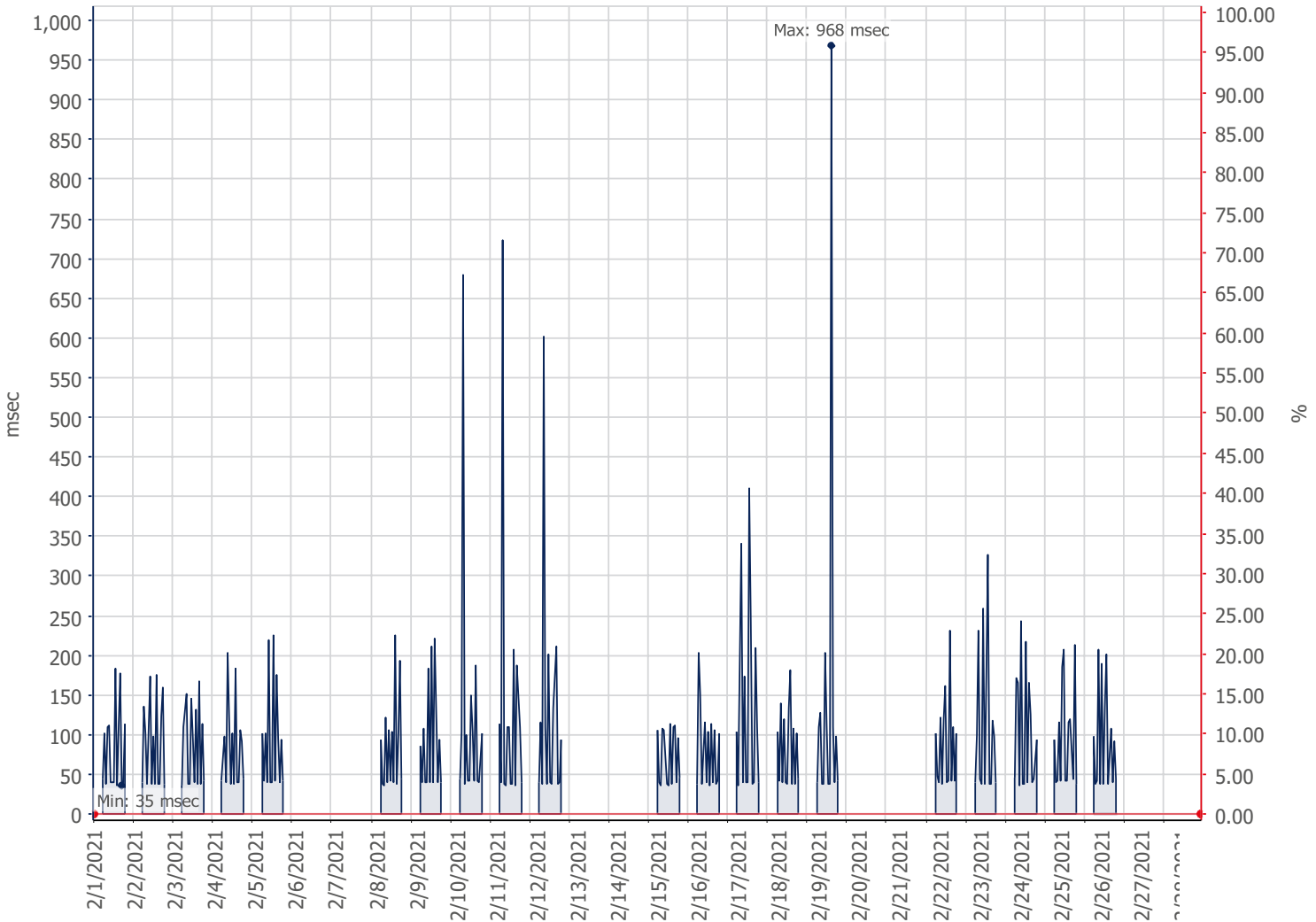
■ Downtime (%) ■ Loading time (msec)



# Den Co-Lo: Client Monthly Uptime: Client - Staff Portal - Load Balanced

Report Time Span:	2/1/2021 12:00:00 AM - 3/1/2021 12:00:00 AM		
Report Hours:	SLA – Client M-F 7AM - 6PM MOUNTAIN		
Sensor Type:	HTTP Advanced (60 s Interval)		
Probe, Group, Device:	PRTGPROBE3 - DenColo > Internal > Winchester		
Uptime Stats:	Up:	100 % [09d 03h 57m 11s]	Down: 0 % [00s]
Request Stats:	Good:	100 % [13200]	Failed: 0 % [0]
Average (Loading time):	65 msec		

Client - Staff Portal - Load Balanced  
Winchester



■ Downtime (%) ■ Loading time (msec)

**Exhibit F:**  
**RFP Terms and Conditions**

## II. TERMS AND CONDITIONS

**Bidder should complete Sections II through IV 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 solicitation, 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 solicitation. The State of Nebraska reserves the right to reject proposals that attempt to substitute the Bidder's commercial contracts and/or documents for this solicitation.

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 Solicitation Response (Initial)	NOTES/COMMENTS:
		GM	Computronix request that the Bidder's proposal be elevated to "3" in the precedence hierarchy. Failure to do so would result in any case where the Bidder had an exception or alternative to a solicitation requirement to be mooted by the original solicitation.

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

1. Request for Proposal and Addenda;
2. Amendments to the solicitation;
3. Questions and Answers;
4. Bidder's proposal (Solicitation 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 solicitation and any Questions and Answers, 4) the original solicitation document and any Addenda, and 5) the Bidder'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 Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

Bidder 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 electronically or personally or mailed. All notices, requests, or communications shall be deemed effective upon receipt.

Either party may change its address for notification purposes by giving notice of the change and setting forth the new address and an effective date.

**C. BUYER’S REPRESENTATIVE**

The State reserves the right to appoint a Buyer’s Representative to manage [or assist the Buyer in managing] the contract on behalf of the State. The Buyer’s Representative will be appointed in writing, and the appointment document will specify the extent of the Buyer’s Representative authority and responsibilities. If a Buyer’s Representative is appointed, the Contractor will be provided a copy of the appointment document and is required to cooperate accordingly with the Buyer’s Representative. The Buyer’s Representative has no authority to bind the State to a contract, amendment, addendum, or other change or addition to the contract.

**D. 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.

**E. BEGINNING OF WORK**

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

**F. AMENDMENT**

This Contract may be amended in writing, within scope, upon the agreement of both parties.

**G. CHANGE ORDERS OR SUBSTITUTIONS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

The State and the Contractor, upon the written agreement, may make changes to the contract within the general scope of the solicitation. 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.

The Contractor shall prepare a written description of the work required due to the change and an itemized cost sheet for the change. 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.

In the event any product is discontinued or replaced upon mutual consent during the contract period or prior to delivery, the State reserves the right to amend the contract or purchase order to include the alternate product at the same price.

\*\*\*Contractor will not substitute any item that has been awarded without prior written approval of SPB\*\*\*

**H. VENDOR PERFORMANCE REPORT(S)**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

The State may document any instance(s) of products or services delivered or performed which exceed or fail to meet the terms of the purchase order, contract, and/or solicitation specifications. The State Purchasing Bureau may contact the Vendor regarding any such report. Vendor performance report(s) will become a part of the permanent record of the Vendor.

**I. NOTICE OF POTENTIAL CONTRACTOR BREACH**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.

**J. BREACH**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		GM	<p>Computronix does not agree to be held liable for incidental or consequential damages as a result of a Contractor breach.</p> <p>If the State's failure to make payment is repeated and ongoing, the same shall then be constituted as a breach by the State.</p>

Either Party may terminate the contract, in whole or in part, if the other Party breaches its duty to perform its obligations under the contract in a timely and proper manner. Termination requires written notice of default and a thirty (30) calendar day (or longer at the non-breaching Party's discretion considering the gravity and nature of the default) cure period. Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing time to cure a failure or breach of contract does not waive the right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby. OR In case of breach by the Contractor, the State may, without unreasonable delay, make a good faith effort to make a reasonable purchase or contract to purchased goods in substitution of those due from the contractor. The State may recover from the Contractor as damages the difference between the costs of covering the breach. Notwithstanding any clause to the contrary, the State may also recover the contract price together with any incidental or consequential damages defined in UCC Section 2-715, but less expenses saved in consequence of Contractor's breach.

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

**K. NON-WAIVER OF BREACH**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.

**L. SEVERABILITY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.

**M. INDEMNIFICATION**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		GM	<p>Computronix requests an additional limitation of liability clause in the following form be added to this section of the contract:</p> <p><i>“Neither the State nor Contractor, its partners, principals, and employees shall be liable for more than the total value of this Contract for any actions, damages, claims, liabilities, costs, expenses, or losses in any way arising out of or relating to the delivery of the services provided hereunder.</i></p> <p><i>In no event shall the State or Contractor, its partners, principals, or employees be liable for indirect, incidental, consequential, special, punitive, or exemplary damages, costs, expenses or losses. The provisions of this paragraph shall apply regardless of the form of action, whether in contract, statute, tort or otherwise.”</i></p>



**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 solicitation.

**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. ATTORNEY GENERAL**

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.

**N. ATTORNEY'S FEES**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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 ordered by the court, including attorney's fees and costs, if the other Party prevails.

**O. LIQUIDATED DAMAGES**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
	GM		<p>Based on over 40 years of delivering software solutions for governments, Computronix does not believe that a liquidated damages clause in the form contemplated here is in the best interest of either party. This is due to several reasons:</p> <ol style="list-style-type: none"> <li>1. A delay in a deliverable date is rarely solely the responsibility of a single party. Rather, it is our experience that both parties share some of the responsibility when a deliverable date is not met. Accordingly, punishment should not be meted out solely to the Contractor for a delay for which it likely has only partial responsibility.</li> <li>2. Punitive clauses tied to deliverable dates can create an incentive for the Contractor to push poor quality, inadequately tested, or incomplete deliverables over to the state in order to meet a rigid deadline and avoid penalties. This results in extra wasted effort and inefficiencies for both parties, which could have been avoided if the Contractor was afforded the extra time need to ensure a high quality deliverable.</li> <li>3. Clauses of this nature create an inherent adversarial relationship between the State and Contractor, which is counter to the productive working relationship necessary for a successful project. A productive relationship requires transparency and honesty by both parties, with a willingness to engage in give and take to arrive at a mutually agreeable outcome.</li> </ol>

Contractor understands and agrees that the failure to meet the dates for the deliverables would cause the State to suffer damages that are difficult to ascertain. As such, Contractor agrees that Contractor's failure to meet the dates for the deliverables as agreed upon by the parties may result in an assessment of liquidated

damages in the amount of \$500.00 per day to NLCC, until the deliverables are submitted and finally approved by NLCC. Contractor will be notified in writing when liquidated damaged will commence. Damages will be assessed against Contractor’s subsequent submitted invoice(s). In the event that no further invoices are submitted, Contractor will submit payments with any remaining damages to NLCC.

**P. Performance Requirements**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		GM	<p>Computronix should not be deemed to be in breach based on a single failure to meet a stated performance SLA measure.</p> <p>Computronix requests that the words “on an ongoing basis” be added in the last sentence as follows:</p> <p><i>“Failure to meet the agreed-upon performance requirements <u>on an ongoing basis</u> may be deemed a breach, as determined by the State. In such event, the State retains all remedies available pursuant to law and this Contract.”</i></p>

The Contractor must provide a system to track issues with the Web-Based Permit/Licensing system. Such issues must be classified into severity levels based on the requirements of the awarded Contract. The time to repair commences when the issue is entered into the tracking system. The Contractor shall monitor and track each issue, the Incident Time of each issue, and the time the issue was fully resolved. The Contractor shall deliver to the State a detailed and accurate summary of such information for the previous month.

Based on experience with hosted systems for regulatory agencies similar to NLCC, propose a range of severity levels and commensurate response times related to performance issues, incidents and loss of service. Failure to meet the agreed-upon performance requirements may be deemed a breach, as determined by the State. In such event, the State retains all remedies available pursuant to law and this Contract.

Severity Levels

<p>Bidder Response</p> <p>Computronix will use the JIRA issue tracking system from Atlassian. Computronix will provide NLCC with a list of open issues on a monthly basis which will be reviewed and discussed in a regularly scheduled monthly meeting for this purpose.</p>
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**Q. ASSIGNMENT, SALE, OR MERGER**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.

**R. CONTRACTING WITH OTHER NEBRASKA POLITICAL SUB-DIVISIONS OF THE STATE OR ANOTHER STATE**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.

The Contractor may, but shall not be required to, allow other states, agencies or divisions of other states, or political subdivisions of other states to use this contract. The terms and conditions, including price, of this contract shall apply to any such contract, but may be amended upon mutual consent of the Parties. The State of Nebraska shall not be contractually or otherwise obligated or liable under any contract entered into pursuant to this clause. The State shall be notified if a contract is executed based upon this contract.

**S. FORCE MAJEURE**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.

**T. CONFIDENTIALITY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.

**U. EARLY TERMINATION**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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:
4. if directed to do so by statute;
5. 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;
6. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
7. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
8. 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;
9. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
10. Contractor intentionally discloses confidential information;
11. Contractor has or announces it will discontinue support of the deliverable; and,
12. In the event funding is no longer available.

**V. CONTRACT CLOSEOUT**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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 Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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;
5. Determining the hours to be worked and the duties to be performed by the Contractor's employees; and,
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 contractor's proposal. The Contractor shall agree that it will not utilize any subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State.



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 Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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>
2. The completed United States Attestation Form should be submitted with the solicitation response.
3. 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.
4. 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 goods and services to be covered by any contract resulting from this solicitation.

**D. COOPERATION WITH OTHER CONTRACTORS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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. DISCOUNTS**

Prices quoted shall be inclusive of ALL trade discounts. Cash discount terms of less than thirty (30) days will not be considered as part of the proposal. Cash discount periods will be computed from the date of receipt of a properly executed claim voucher or the date of completion of delivery of all items in a satisfactory condition, whichever is later.

**F. PRICES**

Prices quoted shall be net, including transportation and delivery charges fully prepaid by the contractor, F.O.B. destination named in the solicitation. No additional charges will be allowed for packing, packages, or partial delivery costs. When an arithmetic error has been made in the extended total, the unit price will govern

All prices, costs, and terms and conditions submitted in the proposal shall remain fixed and valid commencing on the opening date of the proposal until the contract terminates or expires.

The State reserves the right to deny any requested price increase. No price increases are to be billed to any State Agencies prior to written amendment of the contract by the parties.

The State will be given full proportionate benefit of any decreases for the term of the contract.

**G. PERMITS, REGULATIONS, LAWS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.

**H. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		<b>GM</b>	<p>Computronix requests an additional clause in the following format be added to this section:</p> <p><i>“State grants Contractor a non-exclusive, perpetual, irrevocable, royalty-free, worldwide license to use, reproduce, sublicense, modify, and sell any deliverables developed pursuant to this Agreement without compensation to the State.”</i></p>

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.

**I. INSURANCE REQUIREMENTS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		GM	<p>Computronix understands that the requirements are subject to limited negotiation (J) and notes the following exceptions:</p> <ul style="list-style-type: none"> <li>• Our Commercial General Liability insurance limits Medical Payments to \$10,000 for any one person. All other CGL coverage requirements are met by our current insurance.</li> <li>• Our Commercial Automobile Liability insurance only includes coverage for Hired automobiles, as Computronix does not own any automobiles</li> <li>• Computronix does not currently carry umbrella/excess liability coverage, as such coverage has never been required for any of our many government contracts over the past 40+ years.</li> <li>• Our Cyber Liability insurance policy is currently limited to \$5,000,000. Given the nature of the data being stored in the proposed solution (which is largely not privacy sensitive or protected), it is our assertion that \$5,000,000 is more than adequate to cover any cyber incidents which may occur.</li> </ul>

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 cancelled during the term of the contract or within one (1) year 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 one (1) year 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 contactors' employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. **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.

<b>REQUIRED INSURANCE COVERAGE</b>	
<b>COMMERCIAL GENERAL LIABILITY</b>	
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	\$25,000 any one person
Damage to Rented Premises (Fire)	\$300,000 each occurrence
Contractual	Included
Independent Contractors	Included
<i>If higher limits are required, the Umbrella/Excess Liability limits are allowed to satisfy the higher limit.</i>	
<b>WORKER'S COMPENSATION</b>	
Employers Liability Limits	\$500K/\$500K/\$500K
Statutory Limits- All States	Statutory - State of Nebraska
USL&H Endorsement	Statutory
Voluntary Compensation	Statutory
<b>COMMERCIAL AUTOMOBILE LIABILITY</b>	
Bodily Injury/Property Damage	\$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
<b>UMBRELLA/EXCESS LIABILITY</b>	
Over Primary Insurance	\$5,000,000 per occurrence
<b>PROFESSIONAL LIABILITY</b>	
All Other Professional Liability (Errors & Omissions)	\$1,000,000 Per Claim / Aggregate
<b>COMMERCIAL CRIME</b>	
Crime/Employee Dishonesty Including 3rd Party Fidelity	\$1,000,000
<b>CYBER LIABILITY</b>	
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties	\$10,000,000
<b>MANDATORY COI SUBROGATION WAIVER LANGUAGE</b>	
"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.”

**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:

State Purchasing Bureau  
 Attn: Joy Fischer  
 joy.fischer@nebraska.gov

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.

**J. ANTITRUST**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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

**K. CONFLICT OF INTEREST**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

By submitting a proposal, Bidder certifies that no relationship exists between the Bidder and any person or entity which either is, or gives the appearance of, a conflict of interest related to this Request for Proposal or project.

Bidder further certifies that Bidder will not employ any individual known by Bidder to have a conflict of interest nor shall Bidder take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its contractual obligations hereunder or which creates an actual or appearance of conflict of interest.

If there is an actual or perceived conflict of interest, Bidder shall provide with its proposal a full disclosure of the facts describing such actual or perceived conflict of interest and a proposed mitigation plan for consideration. The State will then consider such disclosure and proposed mitigation plan and either approve or reject as part of the overall bid evaluation.

**L. STATE PROPERTY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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.



**M. SITE RULES AND REGULATIONS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		GM	Computronix proposes "best efforts" be replaced with "commercially reasonable efforts."

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.

**N. ADVERTISING**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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 goods or 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.

**O. 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.

**P. DISASTER RECOVERY/BACK UP PLAN**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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 delivery of goods and services as specified under the specifications in the contract in the event of a disaster.

**Q. DRUG POLICY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

Contractor certifies it maintains a drug free workplace 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.

**R. WARRANTY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

Despite any clause to the contrary, the Contractor represents and warrants that its services hereunder shall be performed by competent personnel and shall be of professional quality consistent with generally accepted industry standards for the performance of such services and shall comply in all respects with the requirements of this Agreement. For any breach of this warranty, the Contractor shall, for a period of ninety (90) days from performance of the service, perform the services again, at no cost to the State, or if Contractor is unable to perform the services as warranted, Contractor shall reimburse the State all fees paid to Contractor for the unsatisfactory services. The rights and remedies of the parties under this warranty are in addition to any other rights and remedies of the parties provided by law or equity, including, without limitation actual damages, and, as applicable and awarded under the law, to a prevailing party, reasonable attorneys' fees and costs.

**IV. PAYMENT**

**A. PROHIBITION AGAINST ADVANCE PAYMENT (Statutory)**

Neb. Rev. Stat. §81-2403 states, “[n]o goods or services shall be deemed to be received by an agency until all such goods or services are completely delivered and finally accepted by the agency.”

**B. TAXES (Statutory)**

The State is not required to pay taxes and assumes no such liability as a result of this solicitation. The Contractor may request a copy of the Nebraska Department of Revenue, Nebraska Resale or Exempt Sale Certificate for Sales Tax Exemption, Form 13 for their records. 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 Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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

Invoices can be mailed to:

Nebraska Liquor Control Commission  
 PO Box 95046  
 Lincoln NE 68509

**Invoices can be sent electronically** to [lcc.frontdesk@nebraska.gov](mailto:lcc.frontdesk@nebraska.gov)

Invoices must reference an invoice number, date, type of work or description, contract number, and dollar amount.

**D. INSPECTION AND APPROVAL**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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 (Statutory)**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2403). 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 goods and 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 (Statutory)**

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)**

The State shall have the right to audit the Contractor's performance of this contract upon a thirty (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 to enable the State to audit the contract. (Neb. Rev. Stat. §84-304 et seq.) 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.

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
GM			

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 percent (1%) 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 (90) days of written notice of the claim. The Contractor agrees to correct any material weaknesses or condition found as a result of the audit.



**COMPUTRONIX®**

3900 S. Wadsworth Blvd Suite 510  
Lakewood, CO 80235

**EXHIBIT A:  
PROPRIETARY INFORMATION**

**Proposal for  
State of Nebraska**

**RFP 6677 Z1**  
Centralized Alcohol  
Management Project (CAMP)  
for the  
Nebraska Liquor  
Control Commission (NLCC)

May 2, 2022

**Keith Burgess**

Business Development Manager  
keith.burgess@computronix.com  
Office: 587.525.5362  
Mobile: 780.238.0255



**THE FOLLOWING 44 PAGES ARE REDACTED  
DUE TO CONTAINING PROPRIETARY  
INFORMATION.**

**Nebraska Liquor Control Commission (NLCC)**  
**Centralized Alcohol Management Project**  
*Functional Requirements*

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## Nebraska Liquor Control Commission (NLCC) Centralized Alcohol Management Project (CAMP)

### *Instructions*

Bidder should complete and submit this Appendix A CAMP Functional Requirements with the proposal response.

For each requirement, bidder should indicate which of the following three options will be used to meet the requirement:

1. **Production Configuration, Business Rule Automation, Both, or None (C, A, B, N)** - Use this column to indicate that the requirement is met by the proposed solution through (C)onfiguration, (A)utomation, (B)oth, or (N)one. If None is selected, indicate if the requirement can be met with the other remaining options.
2. **Product Customization (Y, N)** - Use this column to indicate that the requirement is met by the proposed solution through product customization and/or custom developed code. Provide additional details on your response under the Explanation or Comments column.
3. **Integration with 3rd Party Product (Y, N)** - Use this column to indicate that the requirement can only be met through the use and integration with a 3rd party product or solution. Identify the proposed 3rd party product under the Explanation or Comments column.

Note:

1. Bidder must address all requirements included in Appendix A, including those marked as (R)quired or (O)ptional.
2. Bidder must return the document to NLCC in excel format.

**Nebraska Liquor Control Commission (NLCC)  
Centralized Alcohol Management Project (CAMP)**

*Table of Contents*

Category (Tab)	# of Requirements		
	Required	Optional	Total
<a href="#">A. Application Processing</a>	123	8	131
<a href="#">B. License Management</a>	74	0	74
<a href="#">C. License Holder Management</a>	63	4	67
<a href="#">D. Reporting</a>	49	0	49
<a href="#">E. Auditing</a>	73	4	77
<a href="#">F. Enforcement</a>	78	3	81
<a href="#">G. Legal</a>	54	5	59
<a href="#">H. Training &amp; Education</a>	9	0	9
<a href="#">I. Revenue</a>	72	1	73
<a href="#">J. General Operations</a>	117	2	119
<a href="#">K. System Administration</a>	69	0	69
<b>Totals</b>	781	27	808

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomation, (B)usiness Rule Customization (Y/N) Integration w/ 3rd Party Product (Y/N)			Explanation or Comments	
				R	C	Y/N		
A	1	Submit Application	Submit Application	The system shall prompt the user to log in to the system when initiating the application process.	R	C		Customer Portal users must login to access the Submit Application action button.
A	2	Submit Application	Submit Application	The system shall provide a robust online portal capable of processing all online application types and the associated workflow and business rules.	R	C		POSSE ABC includes the POSSE ABC Customer Portal for authenticated users to submit applications from available application types. Application types are made available to Customer Portal users via POSSE Administrator Portal settings per license/permit type.
A	3	Submit Application	Submit Application	The system shall have the ability to configure all necessary application content (data entry fields, help text, submittal requirements, etc.) on all screens.	R	C		Customer Portal application content such as required application questions, required and optional document/file types, online messages, declaration text, etc. is set up via the Administrator Portal.
A	4	Submit Application	Submit Application	The system shall be able to clearly indicate which fields were completed by a Customer as part of the application process and which fields were completed by Staff as part of the review process in the System.	R	C		Information to be entered or uploaded by the applicant via the POSSE ABC Customer Portal is clearly indicated via the Staff Portal license/permit application tab of Online Application Details.
A	5	Submit Application	Submit Application	The system shall clearly indicate if an application was data entered by staff.	R	C		License/permit application entered on the Staff Portal do not include an Online Application Details tab on the application record.
A	6	Submit Application	Submit Application	The system shall clearly indicate which fields must be completed before the user can advance to the next screen (e.g., required fields).	R	C		Required fields are indicated with an asterisk (*).
A	7	Submit Application	Submit Application	The system shall have the ability to enforce the creation of a user account prior to specific transactions being performed online.	R	C		The POSSE ABC Customer Portal enforces the creation of a user account prior to specific types of transactions being performed online.
A	8	Submit Application	Submit Application	The system shall have the ability to prompt a user to respond to a series of questions to guide an applicant through the application process (e.g., Online Wizard to assist with application completion and submission).	R	C		The POSSE ABC Customer Portal includes an application step wizard to guide users through the application process.
A	9	Submit Application	Submit Application	The system should allow a user (e.g., advanced users such as repeat users, etc.) to proceed directly to the application submission process without using the wizard (e.g., in no case shall the structured process hinder an advanced user to directly and quickly interact with the Agency).	O	C		Applications such as amendments or renewals include fewer steps as the process uses pre-existing information/data for completion.
A	10	Submit Application	Submit Application	The system shall be able to automatically recommend/identify what license(s), permit(s), waiver(s) etc. types are likely needed based on the application information provided by the applicant during the application submission process.	R	N		The POSSE ABC Customer Portal application process requires the user to select the license/permit for which they are applying. Once selected, the POSSE ABC Customer Portal will recommend/identify the requirements such as documents/files, questions answered, fees, etc.
A	11	Submit Application	Submit Application	The system shall dynamically respond to information entered by the Applicant according to pre-defined configuration in the System (e.g., fields on the application may expand or be disabled depending on selections made or data entered by the Applicant).	R	C		Application questions (established via the POSSE ABC Administrator Portal by license/permit type) dynamically respond to information entered by the applicant.
A	12	Submit Application	Submit Application	The system shall have the capability to allow applicants to submit applications online through the customer portal.	R	C		The POSSE ABC Customer Portal provides the ability for authenticated users to submit applications online.
A	13	Submit Application	Submit Application	The system shall support the submission and intake of a variety of application types, including permit applications, license applications, etc. that may be owned, reviewed, and processed by different Agency divisions according to business rules.	R	C		POSSE ABC includes the ability to accept and process a wide variety of application/permit types with specific business rules and application reviewers by application/permit type.
A	14	Submit Application	Submit Application	The system shall have the ability to configure all necessary application content (e.g., data entry fields, help text, submittal requirements, etc.) in the online forms by application type.	R	C		POSSE ABC Customer Portal application content such as required application questions, required and optional document/file types, declaration text, etc. is set up via the Administrator Portal by application type.
A	15	Submit Application	Submit Application	The system shall have the ability to configure the submission requirements for each application type (e.g., supporting documentation that must be submitted).	R	C		POSSE ABC Customer Portal application content such as required application questions, required and optional document/file types, declaration text, etc., is set up via the Administrator Portal by license type.
A	16	Submit Application	Submit Application	The system shall have the ability to configure required and optional fields on the online application forms.	R	C		POSSE ABC Customer Portal provides the ability to configure required and optional fields. Included in this proposal are a number of data field configurations. Please refer to the Scoping Comments in Table 14.

A	17	Submit Application	Submit Application	The system shall alert the applicant to complete any required missing data in mandatory fields and/or if required documentation has not been uploaded.	R	C		The POSSE ABC will alert the user with a message if required data has not been completed or required documents/files have not been uploaded.
A	18	Submit Application	Submit Application	The system shall prevent submission of the application until all prerequisites for submission are met according to the criteria configured for that application type.	R	C		POSSE ABC will not allow the application to be submitted until all required data, documents/files, fee payment has been included (by application type).
A	19	Submit Application	Submit Application	The system shall allow the user to select to populate information into the online application form based on preexisting data in the system associated with that user account (e.g., contact information, previously entered license information, previously associated locations, etc.).	R	C		POSSE ABC provides the ability to use pre-existing information such as contact information and legal entity information already established to populate a new application.
A	20	Submit Application	Submit Application	The system shall support the configuration of the numbering scheme for ID generation according to the Agency's preference.	R	C		The system supports a unique, consecutive numbering scheme for ID generation.
A	21	Submit Application	Submit Application	The System should support the generation of a temporary, configurable, unique ID number for a draft application, which would be replaced with a permanent ID upon submission.	O	C		The system supports a unique, consecutive numbering scheme for ID generation. The unique number will be assigned upon application initiation and will be maintained throughout the customer and staff portal application processing for that specific record.
A	22	Submit Application	Submit Application	The system shall have the ability for user to save incomplete/un-submitted applications (i.e., "draft").	R	C		POSSE ABC Customer Portal users can save an incomplete application. The status will be considered "New" and will have an action required of Submit Application.
A	23	Submit Application	Submit Application	The system shall have the ability to delete draft applications that have been inactive for a configurable length of time.	R	C		POSSE ABC supports a setting for expiring inactive applications on the Administrator Portal. The Customer Portal provides display of actions including "Expiring soon - Submit Application", "Expiring soon - Pay Fees", and "Expiring soon - Provide Information". Once an application has expired, it is no longer visible on the Customer Portal.
A	24	Submit Application	Submit Application	The system shall prompt the user to save the application if the user attempts to navigate away from the application form.	R	C		The user will receive an "Unsaved Changes" message if the user attempts to navigate away from the application form that has not yet been saved.
A	25	Submit Application	Submit Application	The system shall have the ability to automatically save the application at defined intervals to prevent loss of data if the user loses connectivity or otherwise navigates away from the application form.	R	C		POSSE ABC Customer Portal users may manually save applications at any time prior to submission.
A	26	Submit Application	Submit Application	The system shall have the ability to allow an incomplete application to be retained for a configurable designated time period.	R	C		POSSE ABC supports a setting for expiring inactive applications on the Administrator Portal. The Customer Portal provides display of actions including "Expiring soon - Submit Application", "Expiring soon - Pay Fees", and "Expiring soon - Provide Information". Once an application has expired, it is no longer visible on the Customer Portal.
A	27	Submit Application	Submit Application	The system shall be able to automatically send a notification to the user that the application is going to expire due to inactivity (see Notifications requirements on the License Holder Management Tab) for applications that are saved and not submitted.	R	C		POSSE ABC supports a setting for expiring inactive applications on the Administrator Portal. The Customer Portal provides display of actions including "Expiring soon - Submit Application", "Expiring soon - Pay Fees", and "Expiring soon - Provide Information". Once an application has expired, it is no longer visible on the Customer Portal.
A	28	Submit Application	Submit Application	The system shall allow staff to be able to view draft applications that are in progress (e.g., Staff needs to look up a draft application to assist a Customer who has called in for help because they are having trouble completing the application online; Customer could provide the temporary ID for reference).	R	C		POSSE ABC Staff Portal users can view in progress/new/draft Customer Portal in progress applications from the Staff Portal.
A	29	Submit Application	Submit Application	The system shall support validating the address against any central addressing repository maintained by the Agency (see Manage Address requirements in General Operations), but submission should still be allowed when the address is not able to be validated or if there is not an address.	R	C		POSSE ABC can validate addresses using a GIS locator service.
A	30	Submit Application	Submit Application	The system shall be able to automatically generate a workflow task for an Address Review by appropriate staff if the system cannot validate the address during online application submission (according to business rules).	R	C		The POSSE ABC Staff Portal Receive Online Application process includes a checklist. This checklist can be setup to incorporate an Address Review as a mandatory checklist item, necessary before the Receive Online Application process can be completed.
A	31	Submit Application	Submit Application	The system shall allow the user to search for any information in the system that could potentially inform the application process (i.e., search for information on various license types and requirements) without having to navigate away from the application form.	R	C		POSSE ABC Customer Portal users can open multiple browser tabs to provide the ability to use the Search feature without navigating away from the application.
A	32	Submit Application	Submit Application	The system shall have the ability for a user to copy/clone certain information fields from a previously submitted application and then modify it (e.g., the user should be able to reuse and then modify a previous application so that information that is common to both applications can be easily reused, such as owner data, addresses, etc.).	R	C		POSSE ABC provides the ability to use pre-existing information such as contact information and legal entity information already established to populate a new application.
A	33	Submit Application	Submit Application	The system shall perform a check for completeness prior to submittal of the application (e.g., ensure all mandatory fields, document types, and any other required data has been provided by the user) and notify the user of any issues that must be resolved.	R	C		POSSE ABC will not allow the application to be submitted until all required data, documents/files, fee payment has been included. Users will receive a message regarding the missing information.

A	34	Submit Application	Submit Application	The system shall have the ability for the user to designate a point of contact(s) for an application other than the applicant and provide associated contact information and role.	R	C		An additional point of contact, the operator, and their contact information can be entered during the application process.
A	35	Submit Application	Submit Application	The system shall have the ability to associate multiple contacts with an application other than the applicant who shall be able to log in to the system, view related information, and perform authorized transactions.	R	C		POSSE ABC Customer Portal users can use an Online Access code to associate Legal Entities to their Customer Portal user account.
A	36	Submit Application	Submit Application	The system shall allow a user to utilize previously entered contact information associated (and stored) with the user account to add to the online application.	R	C		POSSE ABC provides the ability to use pre-existing information such as contact information and legal entity information already established to populate a new application.
A	37	Submit Application	Submit Application	The system shall allow part of an application package to be submitted online, but may require signed and/or original at a later point in the process that should be tracked as a workflow task that must be satisfied by the applicant.	R	C		Checklists may be used in POSSE ABC processes such as reviews to verify completion of required tasks before completing a workflow step.
A	38	Submit Application	Submit Application	The system shall allow an applicant to provide information that may trigger a unique processing of that application (i.e., additional departmental review) and associated workflow path.	R	C		The POSSE ABC pre-configured application workflow includes optional escalations based on outcome driven workflow. If additional workflow steps are needed, POSSE ABC supports that but that additional effort has not been included in this proposal.
A	39	Submit Application	Submit Application	The system shall be able to track prerequisites for submittal that may include prior approval from external agencies / jurisdictions and require the applicant to address these prerequisites (provide proof of fulfillment) as part of the application.	R	C		Pre-requisite approval can be addressed through the use of mandatory Document Types defined per license/permit type. Additional business rules can be defined for specific agencies/jurisdictions. Configuration for a number of business rules have been included in this proposal. Please refer to the Scoping Comments in Table 14.
A	40	Submit Application	Submit Application	The system shall be able to conduct an automated compliance check (e.g., pending enforcement violations) prior to submission of the application for compliance with Agency business rules and policies for the application type the user is submitting.	R	C		POSSE ABC will automatically check, per application type, that required data fields are completed, required document/file types uploaded, and required payments made
A	41	Submit Application	Submit Application	The system shall be able to perform a compliance check for any administrative holds or other flags based on the Applicant and/or parcel/address location that prevents application submission according to the Agency's business rules.	R	C		POSSE ABC supports the creation of warning flags by Agency staff which can be visual indicators for manual checks per Agency business rules.
A	42	Submit Application	Submit Application	The system shall be able to perform a compliance check for existing enforcement cases or other violations that are unresolved and display that information to the user.	R	C		POSSE ABC tracks related workflows for License and Legal Entity records, providing Agency staff the ability to perform a compliance check on a licensee/applicant when reviewing an application.
A	43	Submit Application	Submit Application	The system shall notify the user of any issues that have been identified as a result of the compliance check (e.g., any required next steps or actions that must be taken by the Applicant, prior to submission).	R	C		POSSE ABC application workflows provide Agency staff an opportunity to "Request More Information" from the applicant to make corrections to their application submission before proceeding with further review.
A	44	Submit Application	Submit Application	The system should be configured to prompt the applicant to contact the appropriate Agency if a potential compliance issue is detected.	O	C		See Response to A.43.
A	45	Submit Application	Submit Application	The system should be configured to provide configurable messaging to the Applicant based on the compliance issue type detected by the System.	O	C		See Response to A.43.
A	46	Submit Application	Submit Application	The system shall be configured to provide to the applicant relevant contact information for the appropriate Agency/jurisdiction (i.e. local governing body).	R	C		POSSE ABC will be configured to provide a notification to City/County staff to provide approval/denial decisions for applications within their jurisdiction. These users will have assigned tasks on the Customer Portal Dashboard. Agency staff will need to grant specific privileges for authorized City/County users.
A	47	Submit Application	Submit Application	The system shall allow the user to review the application before final submission with the option to drill-down and/or modify each section of the application as needed.	R	C		The POSSE ABC Customer Portal user can review each section/step of the application and modify as needed before final submission.
A	48	Submit Application	Submit Application	The system shall save a copy of the information submitted by the customer in the application for review by staff.	R	C		The applicant information entered and uploaded into the POSSE ABC Customer Portal is available via the Staff Portal license/permit application tab of Online Application Details.
A	49	Submit Supporting Documentation	Submit Supporting Documentation	The system shall allow documentation to be uploaded as part of an application.	R	C		Documentation can be uploaded as part of the Customer Portal or Staff Portal submitted application.
A	50	Submit Supporting Documentation	Submit Supporting Documentation	The system shall require supporting documentation to be uploaded for selected application types (i.e., documents).	R	C		Required application document and file types can be established by application/permit type based on Administrator Portal setup.
A	51	Submit Supporting Documentation	Submit Supporting Documentation	The system shall have the ability to define specific categories of documents (i.e., document types) to be submitted / required for particular application types that an applicant must provide during submission.	R	C		Required application document and file types can be established by application/permit type based on Administrator Portal setup.
A	52	Submit Supporting Documentation	Submit Supporting Documentation	The system shall allow individuals other than the applicant to upload documents to the application according to the authorized transactions the role is allowed to perform.	R	C		Licenses are associated to online accounts through the use of an online access code. Once associated, a Customer Portal user account has access to the licensee information such as new/draft applications in which documents/files can be uploaded.

A	53	Submit Supporting Documentation	Submit Supporting Documentation	The system shall support the upload of any documents that are required for the Customer to submit that need to be part of the Hearing Package for review at the Hearing.	R	C		POSSE ABC includes an Application Case workflow which can be created specifically for an application and can be added to a Hearing within POSSE ABC. A Hearing Type can be defined by the Agency for Commissioner's Review via the Administrator Portal.
A	54	Submit Supporting Documentation	Submit Supporting Documentation	The system shall support the upload of any documents that are required for the Customer to submit that need to be part of an Audit.	R	C		Document/File upload is included as part of the Audit workflow.
A	55	Check Application Status	Check Application Status	The system shall allow a user to view the status of all transactions associated with the account via the online portal.	R	C		Customer Portal users can view the status of their applications via their Customer Portal Dashboard.
A	56	Check Application Status	Check Application Status	The system shall send or display any notifications to an applicant regarding issues with the application (i.e., hold on the account due to outstanding payments).	R	C		Customer Portal users can view the status of their applications via their Customer Portal Dashboard. Users performing the Receive Online Application process and Reviewers that are requesting additional information/payments can submit an "Additional Information Requested" notification back to the applicant with instructions during their review process.
A	57	Check Application Status	Check Application Status	The system shall display relevant application information to the applicant about active applications, including but not limited to the following: pending application list, application ageing metrics (e.g., date of submission, days in current review phase, etc.), remaining steps to completion.	R	C		The POSSE ABC Customer Portal includes a Dashboard with application details such as the application status, any additional actions requested, and date submitted.
A	58	Check Application Status	Check Application Status	The system shall provide the applicant with all relevant information, and clearly indicate when any action is needed from the customer.	R	C		The Customer Portal Dashboard clearly indicates when the applicant needs to do something in the Actions Required area of the Dashboard, the specific application, and the Action Required column.
A	59	Check Application Status	Check Application Status	The system shall be able to track an application's unique identifier (i.e., Application ID) that can be used to query and tie licenses / permits together (i.e., multiple licenses for one company) and have a linkage through the process and potentially multiple applications for multiple permits / licenses.	R	C		Applications are assigned a unique identifier and are linked to other related records (such as legal entity, address, premises) which may be accessed from each related record.
A	60	Update Application	Update Application	The system shall allow or prevent the modification of an existing application by the applicant via the online portal according to business rules (e.g., each submittal is archived, submitted applications could be modified after Staff rejects at completeness review, some applications may never be modified after Staff completeness review, etc.).	R	C		After application submission, further edits are not allowed via the Customer Portal. Agency staff may initiate a request for more information which allows the applicant to respond to questions or upload documents. Data provided by the applicant via the Customer Portal is snapshot on the Application in the Staff Portal to maintain a record of the initial submission.
A	61	Update Application	Update Application	The system shall allow a user to upload new or revised documentation associated with an application.	R	C		See response to A.60.
A	62	Update Application	Update Application	The system shall prompt a user according to business rules to enter any information about the modification, such as the reason(s) for the modification or cancellation.	R	C		POSSE ABC does provide prompts for mandatory fields depending on specific outcomes. For example, when completing a task with "Request More Information," the comments field with the request must have a value.
A	63	Update Application	Update Application	The system shall allow a user to request for an existing application to be cancelled (i.e., withdrawn) that is then reviewed and approved by staff who then can cancel the application in the system.	R	C		Applications can be withdrawn by the applicant via the Customer Portal, then staff would be notified via their To Do List and can review and complete the Withdrawal task.
A	64	Update Application	Update Application	The system shall alert relevant staff assigned to an application that a modification has been performed or has been cancelled.	R	N		POSSE ABC provides notifications through task assignments. For data modifications, POSSE Audit tracks changes but does not notify staff. Notifications can be configured based on specific business rules per our configuration allowance. Please refer to the Scoping Comments in Table 14.
A	65	Update Application	Update Application	The system shall automatically cancel outstanding review tasks or other workflow tasks associated with an application that has been cancelled.	R	C		When an application is cancelled the status is updated to Cancelled and no outstanding reviews can be completed on the application.
A	66	Update Application	Update Application	The system shall have the ability to trigger a review staff for relevant staff to determine if any additional investigations are required based on changes to application.	R	C		POSSE ABC application workflow includes three levels of review (which NLCC can choose to use or bypass). Inspections can be manually assigned related to an Application by Agency staff.
A	67	Intake Applications	Intake Applications	The system shall provide a mechanism to allow Staff to log phone calls and walk-ins and associated information (e.g., property or location, license / permit number, application number, requestor information).	R	C		Case Notes can be included on application records, premises/location records, license/permit records, or Legal Entities.
A	68	Intake Applications	Intake Applications	The system shall have the capability for intake staff to data-enter applications submitted via paper (in person, mail, etc.).	R	C		POSSE ABC Staff Portal users can enter data for new applications.
A	69	Intake Applications	Intake Applications	The system shall provide an online version of the paper application form for intake staff to easily data-enter information handwritten by an applicant.	R	C		POSSE ABC Staff Portal users can enter data for new applications via the Create a New License Application process.
A	70	Intake Applications	Intake Applications	The system shall have the ability for staff to designate a point of contact for an application other than the applicant.	R	C		The POSSE ABC staff portal application entry includes the ability to update the associated Premises information with the Operator contact details. Additionally, the related legal entity record can be updated with contact details associated with the ownership structure.

A	71	Intake Applications	Intake Applications	The system shall have the ability for a customer or staff to associate multiple contacts with an application (e.g. co-applicants) and the contact information and role, in order for the contacts to be able to access application information and perform authorized transactions in the system.	R	C		POSSE ABC includes the ability for Customer or Staff Portal users to include or associate Operator contact information with the Premises. Additionally, the related legal entity record can include contact details associated with the ownership structure. Access to an application and licensee details is based on an Online Access Code. POSSE ABC Customer Portal users can use the appropriate Online Access code to associate Legal Entities to their Customer Portal user account. Once associated to the Legal Entity, that online user then has access to applications and licenses associated with that legal entity.
A	72	Intake Applications	Intake Applications	The system shall allow an individual to request to be added to an application as a contact with an associated role that allows him or her to be able to access application information and perform authorized transactions in the system.	R	C		POSSE ABC Customer Portal users can use an Online Access code to associate Legal Entities to their Customer Portal user account. Once associated to the Legal Entity, the online user then has access to applications associated with the legal entity.
A	73	Intake Applications	Intake Applications	The system shall allow staff to identify the required licenses, investigations, fees and conditions based on the completed application that will drive the workflow for that application.	R	C		POSSE ABC Staff Portal users can select the required licenses. The pre-configured best business practice workflow and license/permit types setup will drive the license/permit requirements; however, staff portal users with appropriate permissions can include investigations, additional fees, and additional conditions as needed.
A	74	Intake Applications	Intake Applications	The system shall have the capability to automatically generate the required licenses, investigations, fees and conditions based on the completed application that will drive the workflow for that application.	R	C		POSSE ABC Customer or Staff Portal users can select the required licenses. The pre-configured best business practice workflow and license/permit types setup will drive the required license/permit fees, conditions, and approvers. Staff Portal users with appropriate permissions can include investigations, additional fees, and additional conditions as needed.
A	75	Intake Applications	Intake Applications	The system shall automatically link any submitted application to any associated permits or licenses that have already been obtained by the applicant.	R	C		Submitted applications will automatically be linked to any related records already associated with the premises or legal entity.
A	76	Intake Applications	Intake Applications	The system shall allow staff to manually link any submitted application to any associated permits or licenses that have already been obtained by the applicant.	R	C		Submitted applications will be linked to any related records already associated with the premises or legal entity. If the application was entered by staff, staff can specify that the application is for a secondary license/permit to a pre-existing license/permit.
A	77	Intake Applications	Intake Applications	The system shall be able to notify an applicant that there is an active application(s)/ permit(s)/ licenses(s) associated with the location, and ask them if they want to link the in-progress application.	R	C		Applicants will be able to view all related in progress applications via their Customer Portal Dashboard for the legal entities in which they have associated with their online customer portal account.
A	78	Intake Applications	Intake Applications	The system shall have the ability to configure the required staff approvals and approval conditions for different application types based on agency business rules.	R	C		The standard approvals are Receive Online Application (for Customer Portal Submitted applications), Administrative Review, Review Application, and Approve/Reject Application; and can be configured per license type for assigned user via the Administrator Portal. Inspections/Investigations can also be performed. Checklists for each of these tasks can be established via the Administrator Portal based on application type.
A	79	Intake Applications	Intake Applications	The system shall support manual and condition-based routing of applications for review by designated staff according to business rules for that application type.	R	C		Administrator Portal setup per license/permit type establishes approvers. Staff Portal users with appropriate permissions can also manually route/assign reviews to specific reviewers. Additionally, a number of business rules configuration has been included in this proposal. Please refer to Scoping Comments in Table 14.
A	80	Intake Applications	Intake Applications	The system shall support the manual or automatic prioritization or escalation of applications according to business rules (e.g., accelerate the application's standard review timeframe).	R	C		Staff Portal users can flag jobs or processes with High or Extreme Importance. The POSSE ABC pre-configured application workflow includes optional escalations based on outcome driven workflow. In addition, a number of configured business rule allocations have been included in this proposal. Please refer to Table 14. Scoping Comments.
A	81	Intake Applications	Intake Applications	The system shall have the ability to capture and track application metrics against pre-defined metrics.	R	C		POSSE ABC includes POSSE Ad Hoc which allows Agency staff to create reports against their own metrics for application processing.
A	82	Intake Applications	Intake Applications	The system shall allow NLCC staff to flag application responses to trigger an internal warning for additional review.	R	C		POSSE ABC Staff Portal users with appropriate security can include additional reviews as needed.
A	83	Intake Applications	Intake Applications	The system shall be able to easily copy/ recreate all record information including workflow, such as reviews, investigations, comments and document tracking data, etc. when an application, permit or license needs to be cancelled and replaced with a new application, permit or license per business rules to reduce need for Staff to populate all information again in the System.	R	C		POSSE ABC allows Agency staff to specify if issuance of an amendment application results in a new License number or keeps the existing license number. This setting is configurable by Amendment Type.

A	84	Intake Applications	Intake Applications	The system shall have the ability to allow staff to verify that supplied information meets the requirements of application (e.g., business type, filing status, etc.) through configurable checklists for application types that staff can complete.	R	C		POSSE ABC Administrator Portal includes the ability to setup checklists for each review/process and each application type.
A	85	Intake Applications	Intake Applications	The system shall have the ability to support multiple methods of notation (e.g., free text fields, drop-downs) for staff to record compliance with the submittal requirements for that application type.	R	C		The Staff Portal includes multiple methods of notation to record compliance such as answers to application questions. This can be setup via the Administrator Portal based on application type.
A	86	Intake Applications	Intake Applications	The system shall support approval activity for an application (task or document is approved for completeness, rejected for ineligibility, need more information, etc.).	R	C		POSSE ABC supports approval activity for an application.
A	87	Intake Applications	Intake Applications	The system shall support the ability to auto-approve application packages based on business logic and parameters, bypassing a completeness review, and advancing straight to the detailed/technical review stage.	R	C		POSSE ABC can be configured to auto-approve licenses based on Agency business rules. A number of business rule configurations have been included in our proposal. Please refer to the Scoping Comments in Table 14.
A	88	Intake Applications	Intake Applications	The system shall support the ability to partially, or conditionally, pass an application according to pre-defined business rules, allowing downstream workflow tasks to be initiated while also monitoring the outstanding pieces of the application.	R	C		License application investigations can be ongoing while awaiting reviews to be completed. In addition, checklists can be added to the POSSE ABC application workflow processes to provide the ability to have required or optional tasks within the workflow processes as needed.
A	89	Intake Applications	Intake Applications	The system shall have the ability to allow required items to be satisfied at various stages of the workflow (e.g., as late as possible - prior to approval, prior to issuance, etc.) according to business rules.	R	C		Checklists can be added to the POSSE ABC application workflow processes to provide the ability to have required or optional tasks within the workflow processes as needed.
A	90	Intake Applications	Intake Applications	The system shall support staff logging Freedom of Information Act (FOIA) requests that is supported through configurable workflow and business rules for processing by staff in the system.	R	C		POSSE ABC includes a Public Information Request workflow which can be initiated via the Customer Portal or the Staff Portal.
A	91	Perform Completeness Review	Perform Completeness Review	The System initiates any downstream workflow tasks related to the status of the completeness review (e.g., application is automatically advanced to the technical review step once completeness review is completed).	R	C		POSSE ABC outcome driven workflow automatically advances to the next workflow task once previous tasks are completed.
A	92	Perform Completeness Review	Perform Completeness Review	The system shall provide a template to document comments or requests for additional information from the applicant, that include but are not limited to: Comments section, Standard Agency rejection reason code(s) that can be selected by the reviewer, Steps applicant must take to resolve application package, Marked-up application, Contact information for reviewer (Name, Department, Email, Phone Number).	R	C		MS Word document templates can be used to communicate additional information required from the applicant.
A	93	Perform Completeness Review	Perform Completeness Review	The system shall allow the reviewer to assign tasks to the applicant in the system.	R	C		Reviewers can return the application to the applicant with the Enter Additional Information task.
A	94	Perform Completeness Review	Perform Completeness Review	The system shall have the ability to associate rejection and requests for additional information/clarification with application ID and uploaded documentation.	R	C		The Enter Additional Information task will be associated with the application submitted including that application's unique ID and all of the included original data and documents/files submitted.
A	95	Perform Completeness Review	Perform Completeness Review	The system shall have the ability to associate requests for permits and previous permits within an overall License Application ID such that the system can track multiple permits (e.g., for Temporary Operating Permits associated with pending license application).	R	C		Configuration for temporary permits has been included in this proposal.
A	96	Perform Completeness Review	Perform Completeness Review	The system shall have the ability to put a hold on an application until the deficiency is resolved.	R	C		The Receive Online Application process includes the ability to complete the workflow step with an outcome of Request More Information. This will move the application into a status of Waiting On Information. In addition, the Review Application workflow step includes the ability to complete the workflow step with an outcome of Hold which will move the application into a status of Hold until the reviewer completes the Monitor Hold step.
A	97	Perform Completeness Review	Perform Completeness Review	The system shall allow staff the ability to manually modify or add submission requirements to an application as necessary.	R	C		POSSE ABC Staff Portal users can request additional submission requirements on individual applications as necessary via the Request More Information workflow outcome.
A	98	Perform Completeness Review	Perform Completeness Review	The system shall allow or prevent the modification of an existing application by staff (e.g., customer requests modification in person and staff processes).	R	C		POSSE ABC Customer Portal submitted applications include an Online Application Details Tab which displays the exact data (snapshot) entered by the applicant. Staff Portal users can perform additional edits on the application; however, this will not affect the snapshot of initial data entered by the applicant.
A	99	Perform Completeness Review	Perform Completeness Review	The system shall publish any results of the completeness review to the customer portal.	R	C		The applicant can view the application status via the POSSE ABC Customer Portal Dashboard. Applications that have been returned for additional information will include the entered "Information to be Requested from Applicant" comment entered by staff.
A	100	Perform Completeness Review	Perform Completeness Review	The system shall allow staff to record any informal interaction with the customer as part of the completeness review (e.g., Intake Staff may reach out informally to the Applicant to clarify information in the application package, without formally requesting additional information).	R	C		The Receive Online Application process includes a Comments field where Staff can enter additional comments as needed.



A	101	Perform Completeness Review	Perform Completeness Review	The System shall allow Intake Staff from different business areas to defer pre-approval conditions to post approval for some applications according to pre-defined business rules, allowing for downstream workflow tasks to be initiated.	R	C		Checklists can be added to the POSSE ABC application workflow processes to provide the ability to have required or optional tasks within the workflow processes as needed.
A	102	Perform Completeness Review	Perform Completeness Review	The system shall require payment to be completed (based on application type or other business rules) prior to finalizing the completeness review and routing for detailed review.	R	C		Payment can be required at a configured point in the workflow as needed per application type or other business rules. A number of business rules have been included in this proposal. Please refer to the Scoping Comments in Table 14.
A	103	Verify Payment	Verify Payment	The system shall automatically verify all fees have been paid prior to issuance of the license /permit.	R	C		POSSE ABC will verify all fees have been paid prior to license/permit issuance.
A	104	Verify Background Check	Verify Background Check	The system shall be able to include a verification step to ensure an applicant has successfully completed a background check prior to issuance of the license /permit.	R	C		A mandatory checklist item can be included in an application workflow process for a completed background check. Additional Configuration has been included in this proposal for background check fields.
A	105	Verify Background Check	Verify Background Check	The system shall document the results of an applicant's background check as pass / fail.	R	C		Additional Configuration has been included in this proposal for background check fields.
A	106	Assign Application for Detailed Technical Review	Assign Application for Detailed Technical Review	The system shall be able to support configurable workflow and business rules to support assignment processes.	R	C		POSSE ABC supports configurable Workflow based on Administrator Portal setup and business rules configuration. A number of business rules have been included in this proposal. Please refer to Scoping Comments in Table 14.
A	107	Assign Application for Detailed Technical Review	Assign Application for Detailed Technical Review	The system shall have the ability to assign an estimated duration or other weighting criteria to different application types, document types, etc. indicating difficulty or complexity to assist with scheduling and workload management.	R	N		Agency staff can manually set due dates on any task assignments created in the system.
A	108	Manage Review Lifecycle	Manage Review Lifecycle	The system shall have the ability to provide a configurable checklist to staff to verify that supplied information by the applicant meets the requirements of application (e.g., background check).	R	C		The standard approvals are Receive Online Application (for Customer Portal Submitted applications), Administrative Review, Review Application, and Approve/Reject Application and can be configured per license type for assigned user via the Administrator Portal. Inspections/Investigations can also be performed. Checklists for each of these tasks can be established via the Administrator Portal based on application type.
A	109	Manage Review Lifecycle	Manage Review Lifecycle	The system shall be able to include a completeness review to ensure all reviews have been satisfied prior to issuance of the license /permit.	R	C		The standard approvals are Receive Online Application (for Customer Portal Submitted applications), Administrative Review, Review Application, and Approve/Reject Application and can be configured per license type for assigned user via the Administrator Portal. Inspections/Investigations can also be performed. All reviews must be satisfied prior to issuance of the license/permit. Note: this does not mean that all of the above listed reviews must be completed. Outcome driven workflow provides the ability for some approvals to be bypassed if not required.
A	110	Manage Review Lifecycle	Manage Review Lifecycle	The system should be able to trigger deadlines or notifications based on workflow status changes such as a completed pre-license investigation triggering notification for final review to issue license.	O	C		Staff Portal users can manually enter task/process due dates. Also, a number of additional business rule configurations have been included in this proposal. Please refer to the Scoping Comments in Table 14.
A	111	Manage Review Lifecycle	Manage Review Lifecycle	The system shall be able to require a meeting/ appointment/ case or audit after a configurable number of extensions, and shall allow user to enter comments and recommendations regarding the case.	R	C		Requirements for a meeting/appointment/case can be managed through the included Application Case Workflow.
A	112	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall provide configurable templates by application type to capture staff's technical, detailed evaluation of an application package that can eventually result in the approval or denial of the request.	R	C		MS Word document templates included in the Review process can be used to capture detailed evaluation information.
A	113	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall provide a list of standard reason codes(s) for rejection of an application that staff can choose from.	R	N		POSSE ABC includes a comments field for Agency staff to specify why they are rejecting an application.
A	114	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall be able to prevent advancement of an application until all required reviewers have submitted review results.	R	C		The pre-configured best practice workflow will not advance to the Send License Step until all required reviewers have submitted approval.
A	115	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall be able to prevent advancement of an application if multiple reviewers have provided conflicting approvals/denials and generate appropriate notifications to staff to resolve the issue.	R	C		The pre-configured best practice workflow will not advance to the Send License Step until all required reviewers have submitted approval. The License will be denied/rejected if one of the reviewers rejects the application.
A	116	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall allow a user to perform a detailed or technical review of the application and capture the results in the system.	R	C		The standard approvals are Receive Online Application (for Customer Portal Submitted applications), Administrative Review, Review Application, and Approve/Reject Application and can be configured per license type for assigned user via the Administrator Portal. Inspections/Investigations can also be performed. The results of each of these tasks are captured in the system.
A	117	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall allow multiple users to perform a detailed review and capture the results in the system.	R	C		Please see the previous answer to A116.

A	118	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall allow a reviewer to provide comments, requests or notes on the application record as part of the review results.	R	C	Reviewers can return the application to the applicant with the Enter Additional Information task and details entered into the "Information To Be Requested From Applicant" field. Reviewers can also enter internal comments related to the review or Case Notes related to the application.
A	119	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall allow the reviewer to provide a determination on the application (for example, approved or denied).	R	C	POSSE ABC allows the reviewer to provide a determination on the application.
A	120	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall display statuses to the online portal based on the reviews captured in the system.	R	C	Upon initial application submission, the application will display New status until the Receive Online Application step has been completed. The status will then be In Review as the necessary reviews and investigation(s) are completed. Customer Portal Users can view this status from their Dashboard.
A	121	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall initiate downstream workflow based on reviews such as triggering additional reviews (i.e. flag for legal review) or the requirement for staff to make a final determination.	R	C	The standard approvals are Receive Online Application (for Customer Portal Submitted applications), Administrative Review, Review Application, and Approve/Reject Application and can be configured per license type for assigned user via the Administrator Portal. Inspections/Investigations can also be performed. All reviews must be satisfied prior to issuance of the license/permit. Note: this does not mean that all of the above listed reviews must be completed. Outcome driven workflow provides the ability for some approvals to be bypassed if not required. If further reviews are required, an Application Case can be created for the application, allowing Agency staff to obtain further review input.
A	122	Conduct Application-Related Inspection	Conduct Application-Related Inspection	The system shall allow staff to create on-site visit records as part of the review of an application such as a pre-license investigation.	R	C	The pre-configured best business practice license application workflow includes an optional pre-license investigation.
A	123	Conduct Application-Related Inspection	Conduct Application-Related Inspection	The system shall allow the user to record notes of the onsite visit for the application.	R	C	Investigation records include the ability to record notes.
A	124	Conduct Application-Related Inspection	Conduct Application-Related Inspection	The system shall allow the user to provide a final result or status of the onsite visit.	R	C	Investigations include the ability to result the investigation with Administrator Portal setup investigation result options.
A	125	Conduct Application-Related Inspection	Conduct Application-Related Inspection	The system shall allow the user to leverage a mobile device to conduct and provide results of the onsite visit. See Technical Requirements, tab E. Mobile requirements.	R	C	POSSE ABC includes POSSE Mobile for field inspections/investigations.
A	126	Perform Management Review	Perform Management Review	The system shall allow users to flag an application for additional legal review as issues are identified through the review cycle.	R	C	An Application Case Workflow can be initiated from an Application record to manage a legal review process and track Hearings/Meetings.
A	127	Perform Management Review	Perform Management Review	The system shall allow users to use a template to document application deficiencies identified during the review cycle that need additional legal review.	R	C	MS Word Merge templates can be established and used to track additional deficiencies identified during the review cycle. These would be available from the application record.
A	128	Approve License	Approve License	The system shall trigger a final review once all technical reviews have been completed.	R	C	The standard approvals are Receive Online Application (for Customer Portal Submitted applications), Administrative Review, Review Application, and Approve/Reject Application and can be configured per license type for assigned user via the Administrator Portal. Inspections/Investigations can also be performed. All reviews must be satisfied prior to issuance of the license/permit. Note: this does not mean that all of the above listed reviews must be completed. Outcome driven workflow provides the ability for some approvals to be bypassed if not required.
A	129	Approve License	Approve License	The system should automatically update the application to approved for issuance.	O	C	POSSE ABC will automatically update the status of the license/permit application to Distribute once all required approvals have been completed and approved.
A	130	Approve License	Approve License	The system should allow a user to indicate if a "hold" will be needed prior to license issuance.	O	C	The License record includes the Effective Date field which is the start date in which the license will become effective.
A	131	Approve License	Approve License	The system should allow for licenses to be in ready status to align with user requested issuance dates (i.e. do not issue prior to Jan 1)	O	C	The License record includes the Effective Date field which is the start date in which the license will become effective

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O)			Explanation or Comments
				(C)onfiguration, (A)utomation, (B)atch, or (N)one	(A)Business Rule Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	
B	1	Issue License / Permit	Issue License / Permit	The system shall have the ability to auto-assign a unique number to a new license / permit.	R	C	POSSE ABC will automatically assign a unique number to a new license/permit.
B	2	Issue License / Permit	Issue License / Permit	The system shall support the management of multiple license / permit types in the system.	R	C	POSSE ABC supports multiple license/permit types.
B	3	Issue License / Permit	Issue License / Permit	The system shall have the ability to prevent / allow issuance of licenses / permits according to configurable business rules / conditions.	R	C	POSSE ABC will prevent issuance of licenses/permits if required outstanding payments, reviews, or Holds exist. A number of business rules configuration has been included in the proposal as well. Please refer to Scoping Comments in Table 14.
B	4	Issue License / Permit	Issue License / Permit	The system shall prevent issuance of licenses / permits if outstanding required payments or other conditions (e.g., hold) are present.	R	C	POSSE ABC will prevent issuance of licenses/permits if required outstanding payments, reviews, or Holds exist.
B	5	Issue License / Permit	Issue License / Permit	The system shall prevent issuance if the status of the application is not eligible for license / permit issuance.	R	C	POSSE ABC will prevent issuance of the license/permit if the application is not in Distribute status.
B	6	Issue License / Permit	Issue License / Permit	The system shall prevent issuance of the license / permit if there are conflicting approvals / denials from reviewers.	R	C	POSSE ABC will prevent issuance of the license/permit if a reviewer has denied/rejected their review task.
B	7	Issue & Manage TOPs	Issue & Manage TOPs	The system shall allow the issuance of a temporary license if required conditions are met.	R	C	The ability to issue temporary licenses if required conditions are met is included in the proposed solution.
B	8	Issue License / Permit	Issue License / Permit	The system shall have the ability to auto-issue a license if all conditions are met according to business rules by license / permit type and/or business area (e.g., once the application is submitted online, with any associated payment provided, the license may be able to be automatically generated and issued from the Online Portal).	R	C	Additional configuration has been included in this proposal for auto-issuing licenses that have met the appropriate criteria.
B	9	Issue License / Permit	Issue License / Permit	The system shall automatically enroll the license in a renewal period according to business rules.	R	C	Renewal periods are automatically established for licenses based on the License Type settings in the POSSE ABC Administrator Portal.
B	10	Issue License / Permit	Issue License / Permit	The system shall have the ability to perform batch transactions that affect multiple licenses / permits (e.g., approve multiple licenses / permits for one location in one transaction).	R	C	POSSE ABC provides the ability to apply for multiple licenses/permits on a single application with a single application workflow.
B	11	Issue License / Permit	Issue License / Permit	The system shall support the denial of a license / permit, which will trigger associated workflow (e.g., correspondence, resubmittal, etc.).	R	C	POSSE ABC supports the ability to deny a License/Permit during the application process. Notification to applicant is through email, Customer Portal Dashboard, and/or MS Word document template letter.
B	12	Issue License / Permit	Issue License / Permit	The system shall allow for documenting correspondence, or meetings associated with licenses / permits and allow printing of the history.	R	C	POSSE ABC supports documenting meetings and correspondence with the applicant on the application and/or the application case record. The History Report and the Audit Report can easily be printed.
B	13	Issue License / Permit	Issue License / Permit	The system shall support the issuance of multiple license / permit types, with varying business rules, workflow, and requirements configurable in the system	R	C	POSSE ABC supports multiple license/permit types with Administrator Portal defined settings/requirements/approvals per license/permit type.
B	14	Issue License / Permit	Issue License / Permit	The system shall support the issuance of a license / permit by the Agency to an applicant.	R	C	POSSE ABC supports issuance of a license/permits by the Agency to an applicant.
B	15	Issue License / Permit	Issue License / Permit	The system shall save the license / permit certificate as a document associated with the license record.	R	C	POSSE ABC will automatically save the issued license/permit certificate as a pdf associated with the license record.
B	16	Issue License / Permit	Issue License / Permit	The system shall be able to apply a dynamically generated image (e.g., barcode, QR code) on a license / permit certificate generated from the system to prevent fraud.	R	C	POSSE ABC includes the ability to generate a QR code on the license/permit certificate.
B	17	Print License / Permit	Issue License / Permit	The system shall have the ability for a customer to print a license / permit, or approval in pre-defined format by type from the online portal.	R	C	The POSSE ABC Customer Portal includes the ability for authenticated users to view their approval and print a copy of their license/permit from the customer portal. Applicants can also print their automatic email notification which indicates that the license application has been approved.
B	18	Process License / Permit Changes	Process License / Permit Changes	The system shall accept requests for license / permit changes through the online portal.	R	C	License/permit changes are supported through the Amendment process.
B	19	Process License / Permit Changes	Process License / Permit Changes	The system shall support customers immediately changing information on license records such as email or phone number changes that do not need to be reviewed / validated by staff before they can take effect in the system.	R	C	Customer Portal users can update some basic information without a license/permit amendment required.

B	20	Process License / Permit Changes	Process License / Permit Changes	The system shall flag submitted changes to issued licenses / permits for review by staff prior to processing the change if required, per configured business rules and workflow in the system.	R	C		POSSE ABC includes best business practice pre-configured workflows including staff approval/rejection with Administrator Portal setup for amendments.
B	21	Process License / Permit Changes	Process License / Permit Changes	The system shall allow staff to approve or deny requested changes to licenses / permits.	R	C		POSSE ABC includes best business practice pre-configured workflows including staff approval/rejection with Administrator Portal setup for amendments.
B	22	Process License / Permit Changes	Process License / Permit Changes	The system shall allow staff to link or unlink licenses under the same License Holder.	R	N		Licenses can be primary or secondary but this relationship cannot be changed after the initial license issuance. Changes to this relationship requires a new license issuance.
B	23	Process License / Permit Changes	Process License / Permit Changes	The system shall be able to notify the license holder if the requested change requires a new license and provide instructions in a standard communication that is sent to the license holder.	R	C		POSSE ABC includes best business practice pre-configured workflows including staff approval/rejection with Administrator Portal setup for amendments. The Administrator Portal also includes template email communication for license holders specific to the amendment denial.
B	24	Process License / Permit Changes	Process License / Permit Changes	The system shall automatically update affected licenses / permits with updated jurisdictional boundaries (i.e. annexations).	R	C		An integration to GIS has been included in this proposal. This provides the ability to geocode the licenses. POSSE will query GIS for the updated jurisdictional boundaries.
B	25	Manage License / Permit Status	Manage License / Permit Status	The system shall be able to support configurable license / permit statuses that reflect the terms used by NLCC.	R	C		POSSE ABC tracks and displays the license/permit status based on outcome driven Workflow. Included license/permit statuses are Active, Suspended, Revoked, Expired, Pending, Inactive, and Cancelled.
B	26	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to maintain license / permit history, including but not limited to:	R	C		POSSE ABC maintains license/permit history.
B	27	Manage License / Permit Status	Manage License / Permit Status	Payment History and Details	R	C		POSSE ABC maintains payment history and details.
B	28	Manage License / Permit Status	Manage License / Permit Status	Renewal History and Details	R	C		POSSE ABC maintains license/permit renewal history and details.
B	29	Manage License / Permit Status	Manage License / Permit Status	License / Permit Change History	R	C		POSSE ABC maintains license/permit change history.
B	30	Manage License / Permit Status	Manage License / Permit Status	Compliance History	R	C		POSSE ABC maintains license/permit compliance history.
B	31	Manage License / Permit Status	Manage License / Permit Status	The system shall have the capability to track and display the status of a license / permit as driven by system information and/or workflow (such as licensed, pending appeal, revoked, delinquent, suspended, etc.).	R	C		POSSE ABC tracks and displays the license/permit status based on outcome driven Workflow. Included license/permit statuses are Active, Suspended, Revoked, Expired, Pending, Inactive, and Cancelled.
B	32	Manage License / Permit Status	Manage License / Permit Status	The system shall be able to track expiration dates associated with a license / permit, and provide a configurable alert /notification to the Agency personnel at any point a license has expired, suspended or been revoked.	R	C		POSSE ABC tracks the expiration dates for licenses/permits and provides notifications to Staff Portal Users based on their Staff Portal User Profile email notification settings.
B	33	Manage License / Permit Status	Manage License / Permit Status	The system shall allow staff to manually capture information related to any research he or she performs related to validating the license / permit status.	R	C		POSSE ABC Staff Portal users can manually capture information related to research through the upload of documents or through Case Notes.
B	34	Manage License / Permit Status	Manage License / Permit Status	The system shall allow staff to manually update a license / permit status and may prompt for user to capture a justification for changing the status.	R	C		POSSE ABC allows staff to update job status based on business rules and in the event of exceptional circumstances.
B	35	Manage License / Permit Status	Manage License / Permit Status	The system shall be able to track and enforce the requirements for eligibility for a license / permit, including the successful completion of the required periodic investigations.	R	C		POSSE ABC tracks and enforces eligibility for a license/permit including required investigations scheduled based on risk.
B	36	Manage License / Permit Status	Manage License / Permit Status	The system shall be able to track the expiration of licenses / permits and trigger associated workflow (i.e., notifications, holds).	R	C		POSSE ABC tracks license/permit expiration and automatically triggers renewal notification workflows and automatic expiration if not renewed. Notifications are generated to license holders and to staff based on staff portal email notification settings.
B	37	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability for authorized users to track history of complaints/violations on a license / permit holder, business, or business owner.	R	C		POSSE ABC supports tracking the history of complaints/violations based on the related records.
B	38	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to automatically set license / permit expiration dates according to business rules.	R	C		The POSSE ABC Administrator Portal setup establishes license/permit expiration periods based on license/permit type. License/permit expiration dates will then automatically be set based on this setup.
B	39	Manage License / Permit Status	Manage License / Permit Status	The system shall allow an authorized user to manually set license / permit expiration dates according to business rules.	R	C		POSSE ABC defines a single method of expiration (e.g. # of years) by license type; however, one of the methods of expiration is "Manual" which allows licensing staff to define the term of a license at the time of issuance rather than having the system default it. Additionally, with appropriate permissions, licensing staff can override the system calculated expiration date as required by business rules. The system then tracks the License term for each individual license as determined at the time of issuance.
B	40	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to record and track expiration dates and conditions in the system for an individual license / permit.	R	C		POSSE ABC tracks individual license/permit expiration dates on the license/permit record. The license/permit record also includes a Conditions tab where any license/permit conditions are displayed.

B	41	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to record and track expiration dates and conditions in the system for a license / permit type.	R	C		The POSSE ABC Administrator Portal setup establishes license/permit expiration periods and Conditions based on license/permit type.
B	42	Manage License / Permit Status	Manage License / Permit Status	The system shall allow an authorized user to manually record conditions in the system for a license / permit type.	R	C		The POSSE ABC Administrator Portal provides users with appropriate permissions the ability to setup conditions based on license/permit type.
B	43	Manage License / Permit Status	Manage License / Permit Status	The system shall notify applicant / licensee or other designated contact when a permit is about to expire and send information explaining how to extend the license or permit.	R	C		POSSE ABC includes Batch Renewal Notifications that can be sent multiple times before license/permit expiration.
B	44	Manage License / Permit Status	Manage License / Permit Status	The system shall have the capability to suspend or revoke a license / permit.	R	C		POSSE ABC includes the ability to suspend or revoke licenses via the Case or Application Case Workflow.
B	45	Manage License / Permit Status	Manage License / Permit Status	The system shall preserve the transaction information related to the suspension or revocation of a license / permit (user, date, time, reason, etc.) for viewing in the system.	R	C		POSSE ABC includes the ability to suspend or revoke licenses via the Case or Application Case Workflow. The detailed information for these workflow processes will be available for viewing.
B	46	Manage License / Permit Status	Manage License / Permit Status	The system shall provide the ability to view the history of applications/ licenses/ permits that were voided, closed or cancelled.	R	C		POSSE ABC provides the ability to view the history of applications that have been withdrawn or cancelled. In addition, POSSE ABC also provides the ability to view the history of licenses/permits that have been revoked, inactivated, suspended, expired, or cancelled.
B	47	Manage License / Permit Status	Manage License / Permit Status	The system shall provide the ability to view the history of requests related to licenses (alcohol transfers, auctions, temporary storage, etc.).	R	C		POSSE ABC provides the ability to view the history of activity related to the license record.
B	48	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to reinstate a closed or canceled license or permit.	R	C		POSSE ABC supports reinstatement applications.
B	49	Manage License / Permit Status	Manage License / Permit Status	The System shall display information relevant to the user, including but not limited to all pending license renewals.	R	C		The POSSE ABC Customer Portal Dashboard displays Actions Required (including expiring soon licenses), all relevant issued licenses, and all relevant applications.
B	50	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to display or hide violation data from the public online according to business rules.	R	C		The POSSE ABC Customer Portal Dashboard has the ability to display violation data with business rules configuration. A number of business rules configuration has been included in the Scope Comments in Table 14.
B	51	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to track/store violation history for a location and a violator.	R	C		Violations are recorded on an inspection and/or a case record which has a license and a related premises. The Violator or Legal Entity information is associated with the License Record.
B	52	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to track history of violations for violator(s).	R	C		Violations are recorded on an inspection and/or a case record which has a license and a related premises. The Violator or Legal Entity information is associated with the License Record.
B	53	Issue Renewal	Issue Renewal	The system shall have the ability to define renewal periods for license types that can automatically trigger workflow tasks associated with the process, such as generating renewal notices and invoices.	R	C		The POSSE ABC Administrator Portal setup establishes license/permit expiration periods based on license/permit type. License/permit expiration dates will then trigger inclusion in the batch renewal notification process. License/permit holders can then complete the renewal application and pay the renewal fees calculated.
B	54	Issue Renewal	Issue Renewal	The system shall have the ability to track when renewal notifications were sent (electronically or manually).	R	C		POSSE ABC tracks when renewal notifications are generated.
B	55	Issue Renewal	Issue Renewal	The system shall be able to automatically process the renewal and generate the license once payment is received.	R	C		POSSE ABC includes a Renewal Application Workflow and additional configuration has been included to automatically generate the license.
B	56	Issue Renewal	Issue Renewal	The System shall have the capability to send electronic notifications to the license holder as reminders to renew their license in addition to printed letters.	R	C		The POSSE ABC Batch Renewal Notifications Workflow includes email notifications. POSSE ABC allows each applicant to specify their preferred contact method (e.g. Email/Letter) in the Customer Portal. The system automatically checks this preference for notification.
B	57	Issue Renewal	Issue Renewal	The System shall have the capability to generate an access code and include it in the renewal notice for the License Holder to log on to the online portal in lieu of maintaining a username/ password.	R			Included in this proposal is OAUTH2 and OPENID Connect integration for POSSE ABC Customer Portal Authentication. Renewal Notice mailers can be generated with an included online access code. Customer Portal users can then register a new account and link online.
B	58	Issue Renewal	Issue Renewal	The System shall update the License Record with the time/ date the letters were generated.	R	C		The date and time the letters were generated is available via the Batch Renewal Notification Workflow.
B	59	Issue Renewal	Issue Renewal	The System shall have the capability to automatically issue batches of license renewal notifications.	R	C		POSSE ABC issues batches of license renewal notifications including email and printed.
B	60	Issue Renewal	Issue Renewal	The System shall have the capability to associate batch notification letters to the license application record for storage in an electronic document management system.	R	C		POSSE ABC can generate notification letters and save the letters in a document management system. An integration to OnBase is included in this proposal per Appendix B Tab G Item 3.
B	61	Issue Renewal	Process Renewal	The system shall have the ability to associate an application for renewal with an existing license/ registration (e.g., update the status of the license, not create a new license).	R	C		POSSE ABC has the ability to associate renewal applications with the existing license

B	62	Issue Renewal	Process Renewal	The system shall have the ability to reinstate expired licenses-or business permits.	R	C		POSSE ABC supports reinstatement applications.
B	63	Issue Renewal	Process Renewal	The system shall have the ability to require various pre-requisites for license renewal according to the business rules for the renewal period.	R	C		The POSSE ABC Administrator Portal provides the ability to establish requirements for renewal applications (such as document/file uploads, payments, etc) per license/permit type.
B	64	Issue Renewal	Process Renewal	The system shall make renewed licenses available online for download by the license holder from their account.	R	C		POSSE ABC provides the ability for Customer Portal users to access and download renewed license certificates from their account.
B	65	Issue Renewal	Process Renewal	The system shall provide the customer confirmation that the renewal has been processed and related information.	R	C		POSSE ABC Customer Portal users can view the status of the renewal application via their Dashboard.
B	66	Issue Renewal	Issue Renewal	The system shall reset the next required renewal date once the renewal is processed.	R	C		Once a license/permit is renewed, POSSE ABC will automatically reset the expiration date for the next renewal period.
B	67	Issue Renewal	Issue Renewal	The system shall allow staff to prompt staff to investigate (for example, determine if the business is still open) based on the logging returned renewal notices (returned mail, bounced back email).	R	C		A POSSE ABC Case Workflow can be initiated to investigate returned renewal notices.
B	68	Issue Renewal	Issue Renewal	The system shall allow staff to flag renewals for legal review with reason(s) for the flag.	R	C		POSSE ABC Staff Portal users can initiate a Case Workflow to manage the legal review.
B	69	Process SDLs	Process SDLs	The system shall allow the processing of Special Designation Licenses (SDLs) according to business rules.	R	C		POSSE ABC includes the best business practice license/permit application workflow to process Special Designation Licenses as a Special Event Permit. The Administrator Portal includes setup based on license/permit type for requirements such as documents/files, payments, application questions, and conditions.
B	70	Process Alcohol Transfers	Process Alcohol Transfers	The system shall allow processing of Alcohol Transfers according to business rules	R	C		Configuration for Alcohol Transfer Workflow has been included in this proposal. This will allow Alcohol Product Transfers between applicable license holders.
B	71	Process Alcohol Transfers	Process Alcohol Transfers	The system shall automatically link applications for Alcohol Transfers between applicable license holders.	R	C		Configuration for Alcohol Transfer Workflow has been included in this proposal. This will allow Alcohol Product Transfers between applicable license holders and will allow applications between applicable license holders for Alcohol Transfers to be linked.
B	72	Process Alcohol Transfers	Process Alcohol Transfers	The system shall allow NLCC staff to manually link applications for Alcohol Transfers between applicable license holders.	R	C		Configuration for Alcohol Transfer Workflow has been included in this proposal. This will allow Alcohol Product Transfers between applicable license holders. This will allow staff to manually link applications for Alcohol Transfers.
B	73	Process Temporary Storage Requests	Process Temporary Storage Requests	The system shall allow the processing / approval of temporary storage permits according to business rules.	R	C		Functionality for processing Temporary Storage Permits has been included in this proposal. Customer Portal users can submit applications for Temporary Storage Permits which includes the effective dates for the specific permit.
B	74	Process Hardship Requests	Process Hardship Requests	The system shall allow the processing / approval of Hardship Requests according to business rules.	R	C		Functionality for processing Hardship Requests has been included in this proposal. Customer Portal users can submit amendment applications for Hardship Requests which includes the effective dates for the specific license/permit.

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomation, (B)oth, or (N)one Customization (Y/N) Integration w/ 3rd Party Product (Y/N)				Explanation or Comments
C	1	Create Profile	Create Profile	The system shall allow a customer to create and register a user account online.	R	C		Customer Portal users can create and register a user account. OAUTH 2.0 integration is included in this proposal.
C	2	Create Profile	Create Profile	The system shall allow NLCC to set a defined length of user inactivity to trigger a deletion of the user account.	R	N		User Accounts will not be triggered to be deleted.
C	3	Create Profile	Create Profile	The system shall require an external user's login to be an email address.	R	C		POSSE ABC Customer Portal users must use an email address for login. OAUTH 2.0 integration is included in this proposal.
C	4	Create Profile	Create Profile	The system shall have the ability for a customer to access account-related information online via the user's account.	R	C		Authenticated users can access account related information via the POSSE ABC Customer Portal.
C	5	Create Profile	Create Profile	The system shall have the ability to maintain user information, including but not limited to: Name (First, Last, Middle, Suffix), Mailing & Billing Addresses, Phone Number(s), Business / Company Name).	R	C		The POSSE ABC Customer Portal maintains user information, contact information, and associated businesses/licenses and the related contact details.
C	6	Create Profile	Create Profile	The system shall have the ability to maintain all related information associated with the individual's account (application status, license status, account history, recent transactions, etc.) online for the customer to access / view.	R	C		The POSSE ABC Customer Portal includes information related with the Customer Portal user's associated businesses/licenses (e.g., applications, licenses, renewals, and transaction history) with the ability to drill into the details of the records.
C	7	Create Profile	Create Profile	The system shall have the ability for the user to modify account details, for example changes to contact information, etc. based upon business rules (i.e., Agency can define what can be changed and when).	R	C		POSSE ABC Customer Portal users can update some basic information via the Customer Portal profile or license specific details through the Amendment Workflow functionality.
C	8	Create Profile	Create Profile	The system should allow customers to delegate authority for transactions on user's account to other customers and manage adding /deleting these other customers.	O	N		POSSE ABC Customer Portal users can enter an Online Access Code to associate businesses/licenses to their Customer Portal account. Once associated, the account has access to all Customer Portal activities relevant to that record.
	9	Create Profile	Create Profile	The system should allow NLCC to limit the number of users a License Holder can delegate authority for transactions.	O	N		POSSE ABC does not limit the number of link customer portal users for a licensees account.
C	10	Create Profile	Create Profile	The system should have allow staff to delegate authority for customer transactions on the customer's account to other customers and manage adding /deleting these other customers on the customer's account.	O	C		POSSE ABC Staff Portal Users have access to Online Access Codes for Legal Entity Records. Customer Portal users can enter an Online Access Code to associate businesses/licenses to their Customer Portal account. Once associated, the account has access to all Customer Portal activities relevant to that record.
C	11	Create Profile	Create Profile	The system should allow a user to identify preferences, including but not limited to the following: preferred method of communication (e-mail, SMS, best time to contact (e.g., during business hours, outside of business hours), etc.), preferences for receiving automated notifications or alerts.	O	C		POSSE ABC Customer Portal users manage preferred method of communication per associated business/licensee record. SMS can be accomplished through an integration; however, that integration has not been included in this proposal.
C	12	Create Profile	Create Profile	The system shall provide password management (e.g., issue temporary passwords, change passwords) for external customer accounts.	R		Y	POSSE ABC Customer Portal users can create and register a user account. OAUTH 2.0 integration is included in this proposal.
C	13	Create Profile	Create Profile	The system shall provide an option to allow the external customer user to request a forgotten password, or provide other options online for the user to change the password without support needed from Agency personnel.	R		Y	POSSE ABC Customer Portal users can create and register a user account. OAUTH 2.0 integration is included in this proposal.
C	14	Create Profile	Create Profile	The system shall support any password security protocols defined by the Agency (see Technical Requirements, Tab D. Application Security).	R		Y	POSSE ABC Customer Portal users can create and register a user account. OAUTH 2.0 integration is included in this proposal.
C	15	Create Profile	Create Profile	The system shall provide the ability to prompt the user to set up any security questions/ answers to assist with authentication.	R		Y	POSSE ABC Customer Portal users can create and register a user account. OAUTH 2.0 integration is included in this proposal.
C	16	Create Profile	Create Profile	The system shall have the ability for the user to accept usage terms and conditions.	R	C		The POSSE ABC Customer Portal registration page includes acceptance usage terms and conditions.
C	17	Create Profile	Create Profile	The system shall provide the reason(s) for denial of the creation of the account, and provide detailed information for the applicant to resolve the issue (e.g., Duplicate account already exists. Did you forget your password?).	R		Y	POSSE ABC Customer Portal users can create and register a user account. OAUTH 2.0 integration is included in this proposal.
C	18	Update & Change License Holder Details	Update & Change License Holder Details	The system shall allow a user to easily update the license Agency contact (e.g., mailing address, phone number, email address) on an existing license through the online customer portal per agency-specific business rules.	R	C		License Amendments can be used to update contact information on an existing license.

C	19	Update & Change License Holder Details	Update & Change License Holder Details	The system shall notify and require users to apply for a new licenses / permits based on business rules of the agency.	R	C		Amendment explanations guide the user through the process of the correct amendment type selection.
C	20	Update & Change License Holder Details	Update & Change License Holder Details	The system shall require the user to pay any new or updated liabilities based on the license / permit information changes made through the online portal.	R	C		Amendments can have fees associated with the application which can be paid via the Customer Portal.
C	21	Track Debtor Status	Track Debtor Status	The system shall allow users with authorized permissions (i.e. Wholesalers) to report a license holder as owing a debt.	R	C		Included in this proposal is functionality for Debtor Tracking and Status. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The Customer Portal will provide the ability to flag and prevent further application from debtors.
C	22	Track Debtor Status	Track Debtor Status	The system shall allow users with authorized permissions (i.e. Wholesalers) to report multiple licenses as owing a debt at regularly defined intervals (i.e. daily, weekly).	R	C		Debtor Tracking and Status functionality is included in this proposal. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The POSSE ABC Customer Portal will provide the ability to flag and prevent further application from debtors.
C	23	Track Debtor Status	Track Debtor Status	The system shall allow NLCC staff to manually enter debtor information for any licensee, whether owing or having paid a debt.	R	C		Debtor Tracking and Status functionality is included in this proposal. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The POSSE ABC Customer Portal will provide the ability to flag and prevent further application from debtors.
C	24	Track Debtor Status	Track Debtor Status	The system shall document debtor status by license and link to any associated business, individual, location etc.	R	C		Debtor Tracking and Status functionality is included in this proposal. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The POSSE ABC Customer Portal will provide the ability to flag and prevent further application from debtors.
C	25	Track Debtor Status	Track Debtor Status	The system shall allow NLCC staff to manually override debtor status.	R	C		Debtor Tracking and Status functionality is included in this proposal. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The POSSE ABC Customer Portal will provide the ability to flag and prevent further application from debtors.
C	26	Track Debtor Status	Track Debtor Status	The system shall automatically flag all individuals associated with a license that has debts and prevent further application submission for those individuals.	R	C		Debtor Tracking and Status functionality is included in this proposal. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The POSSE ABC Customer Portal will provide the ability to flag and prevent further application from debtors.
C	27	Track Debtor Status	Track Debtor Status	The system shall allow users with authorized permissions (i.e. Wholesalers) to report a license holder as having paid a debt.	R	C		Debtor Tracking and Status functionality is included in this proposal. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The POSSE ABC Customer Portal will provide the ability to flag and prevent further application from debtors.
C	28	Track Debtor Status	Track Debtor Status	The system shall flag licenses that are identified as owing a debt beyond a frequency limit as defined by NLCC staff.	R	C		Debtor Tracking and Status functionality is included in this proposal. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The POSSE ABC Customer Portal will provide the ability to flag and prevent further application from debtors.
C	29	Track Debtor Status	Track Debtor Status	The system shall maintain a list of flagged licenses that are frequently identified as owing a debt (i.e. "frequent fliers" list).	R	C		Debtor Tracking and Status functionality is included in this proposal. Users with authorized permissions can report license holders or licensees as owing a debt, at regular intervals and mark as paid. The POSSE ABC Customer Portal will provide the ability to flag and prevent further application from debtors.
C	30	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to send out one notification multiple ways (e.g., both email and mail).	R	C		The Customer selects the preferred notification method, email or printed letter. The same notification (such as a renewal notice) can be communicated to some customers via email and some customers via printed letter.
C	31	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to send text / SMS notification to customers.	R		Y	SMS can be accomplished through an integration; however, that integration has not been included in this proposal.
C	32	Send Notifications / Reminders	Send Notifications / Reminders	The system shall have the ability to send out mass emails according to business rules.	R	C		POSSE ABC includes the ability to setup and send out mass emails.
C	33	Send Notifications / Reminders	Send Notifications / Reminders	The system shall allow customers to opt out of mail and/or otherwise specify notification preferences (either in person through staff or via the online portal) to reduce paper mailings.	R	C		The Customer selects the preferred notification method from the Customer Portal, or Staff Portal users can select the preferred contact method for the licensee as email or mail.
C	34	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support the batch generation of notifications for printing and mailing.	R	C		POSSE ABC supports batch generated notifications for both email and mail.
C	35	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to track the date and time notifications were sent from the system (email, mailings, faxes, etc.) automatically.	R	C		POSSE ABC tracks the date and time batch notifications are sent via email and batch notification letters are printed.



C	36	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to track the date and time notifications were sent outside of the system.	R	C		POSSE ABC Staff Portal users can document date and time information using Case Notes for notifications sent outside the system.
C	37	Send Notifications / Reminders	Send Notifications / Reminders	The system shall allow Staff to track undeliverable notification (mail, email, etc.) in the System and related activity (attempts to resend the communication, contacting the applicant to update the contact information, changing applicants' notification preferences in the system, non-system generated correspondence).	R	C		POSSE ABC can track activities related to undeliverable notification either as case notes on the License record and/or through opening up a Case for task tracking and followup.
C	38	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to resend notifications.	R	N		POSSE ABC does not currently resend notifications and effort has not been included to resend notifications. Computroix welcomes further discussion with NLCC to clarify the scope of this requirement.
C	39	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to track how many times a notification was sent or resent.	R	N		POSSE ABC does not currently resend notifications and effort has not been included to resend notifications. Computroix welcomes further discussion with NLCC to clarify the scope of this requirement.
C	40	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support transmittal of any fee-related information for large batch notification generation and/ or mailing (e.g., batch generation of invoice notices).	R	C		POSSE ABC batch renewal notifications (email and printed) can include renewal fee information.
C	41	Send Notifications / Reminders	Send Notifications / Reminders	The system shall preserve a copy of the notification(s) generated from the system (email, letters, forms, etc.) and associate it with the relevant record(s).	R	C		POSSE ABC preserves a copy of the notification generated from the system and data (such as email address) to associate it to the relevant record.
C	42	Send Notifications / Reminders	Send Notifications / Reminders	The system shall provide the ability for Staff to select recipients of the notification from stored contact(s) in the system.	R	C		Staff can select recipients from store contacts in the system to send MS Word Merge communication.
C	43	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support configurable notifications that are always triggered at various stages of workflow or other conditions according to business rules (e.g., email generated to the Customer when the application is approved).	R	C		The POSSE ABC Administrator Portal supports notifications that can be setup and triggered at specific workflow steps and based on specific workflow outcomes.
C	44	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support configurable email notifications that are triggered according to configurable business rules.	R	C		The POSSE ABC Administrator Portal supports notifications that can be setup and triggered at specific workflow steps and based on specific workflow outcomes.
C	45	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support configurable text message notifications that are triggered according to configurable business rules (i.e., investigations or Application Review Activity).	R		Y	SMS can be accomplished through an integration; however, that integration has not been included in this proposal.
C	46	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support the capability to flag a license, business or user account (manually or automatically according to business rules), and send notifications to identified Agency Staff alerting them when an application has been submitted for review.	R	C		Licenses, Legal Entities, and Addresses can all be flagged with warnings. POSSE ABC Staff Portal users can establish their notification preferences via their email notification settings in the Staff Portal User Profile area. Additional business rules can be configured. A number of business rules configurations have been included in this proposal in Scoping Comments Table 14.
C	47	Send Notifications / Reminders	Send Notifications / Reminders	The system shall provide configurable escalation capabilities (e.g., if a workflow task's duration has exceeded a predefined threshold, the system will execute a predefined action, such as generation of a Review Task for a Supervisor).	R	B		The POSSE ABC pre-configured application workflow includes optional escalations based on outcome driven workflow. Additional business rules can be configured. A number of business rules configurations have been included in this proposal in Table 14.
C	48	Receive Communication	Receive Communication	The system shall support configurable alerts (i.e., visual indicators displayed in the system for example, customer has modified the mailing address) that are triggered according to business rules.	R	C		Licenses, Legal Entities, and Addresses can all be flagged with warnings. POSSE ABC Staff Portal users can establish their notification preferences via their email notification settings in the Staff Portal User Profile area. Additional business rules can be configured. A number of business rules configurations have been included in this proposal in Table 14.
C	49	Receive Communication	Receive Communication	The system shall allow internal users to configure notification settings (e.g., would like to receive an email notification when a workflow task is assigned to him).	R	C		POSSE ABC Staff Portal users can establish their notification preferences based on workflow task assignment via their email notification settings in the Staff Portal User Profile area.
C	50	Receive Communication	Receive Communication	The system shall allow internal users to identify an alternate user to be notified when the user is out of office.	R	C		POSSE ABC supports task assignment delegation for when staff are out of office. Notification is via the To Do List.
C	51	Receive Communication	Receive Communication	The system shall allow external users to configure notification settings (e.g., would like to receive an email when a status update occurs on the application).	R	C		POSSE ABC Customer Portal users can select their preferred contact method on the license application.
C	52	Receive Communication	Receive Communication	The system shall allow external users to identify additional external users to be notified regarding transactions on the account.	R	C		POSSE ABC Customer Portal users can enter an Online Access Code to associate licensees to their Customer Portal account. Once associated, the account has access to all Customer Portal activities related to that record. This provides the ability to then monitor transaction via the Customer Portal Dashboard.
C	53	Receive Communication	Receive Communication	The system shall allow staff to indicate the method(s) of communication (e.g., email, batch mailing, user selected preference, etc.).	R	C		POSSE ABC Staff Portal users can establish their notification preferences based on workflow task assignment via their email notification settings in the Staff Portal User Profile area. For communication to license holders, Staff Portal users can update Legal Entities to indicate the license holder communication preference.
C	54	Receive Communication	Receive Communication	The system shall provided configurable alerts based on locations, and number and type of licenses for each location.	R	C		Addresses can all be flagged with warnings. Additional business rules can be configured. A number of business rules configurations have been included in this proposal in Scoping Comments Table 14.

C	55	Receive Communication	Receive Communication	The system shall be able to record electronic notification received from the customer.	R	C		POSSE ABC Customer Portal entered information from external users will automatically be recorded in the Staff Portal on the associated records. Updates received via other external communication can be uploaded to the associated record via document/file upload.
C	56	Receive Communication	Receive Communication	The system shall preserve a record of paper notification from a customer along with a copy of the communication for example a letter.	R	C		Communication received via external sources (such as mail) can be uploaded to the associated record via document/file upload.
C	57	Receive Communication	Receive Communication	The system shall allow staff to manually record notifications received from a customer (e.g., phone call, mail, email).	R	C		Communication received via external sources (such as mail or email) can be uploaded to the associated record via document/file upload.
C	58	Receive Communication	Receive Communication	The system shall be able to track the date of all mail received for customer records (e.g., application received date, renewal payment received).	R	C		POSSE ABC has data fields available that can track the received date in several areas. If additional received dates are required, a number of configured data fields have been included in this proposal. Please refer to additional data field configuration in the Scoping Comments Table 14.
C	59	Receive Communication	Receive Communication	The system shall be able to track returned mail including the date/time it was returned, reason identified as why it was undeliverable, etc.	R	C		POSSE ABC can track activities related to undeliverable notification either as case notes on the License record and/or through opening up a Case for task tracking and followup.
C	60	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall maintain a database of all active licenses / permits searchable and sortable by specific license and permit types.	R	C		POSSE ABC includes the ability to maintain all active licenses/permits. This information is available via standard searches and sorts.
C	61	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall automatically update the active license / permit database as changes to licenses occur and are registered in the system.	R	C		POSSE ABC updates the active license/permit database in real time as changes occur.
C	62	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall be able to track the Company associated with a license / permit.	R	C		POSSE ABC tracks the Legal Entity related to a license/permit and all associated ownership structures.
C	63	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall be able to track licenses / permits tied to the same License Holder.	R	C		POSSE ABC tracks the Legal Entity related to a license/permit and all of the licenses/permits associated with that Legal Entity.
C	64	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall be able to track licenses / permits for multiple locations tied to the same License Holder.	R	C		POSSE ABC tracks the Legal Entity related to a license/permit and all of the licenses/permits associated with that Legal Entity. POSSE ABC tracks the related locations(Premises) for each licensed business.
C	65	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall maintain an internal list of License Holders that have been revoked and are barred from holding a liquor license in Nebraska.	R	C		POSSE ABC can maintain a list of Legal Entities that have had their licenses revoked and are barred from holding a liquor license in Nebraska. The Legal Entities would be flagged with a warning.
C	66	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall maintain an internal list of License / Permit Holders that have number of compliance actions associated with licenses / permits above a NLCC defined threshold.	R	C		POSSE ABC includes a built in reporting tool, POSSE Ad hoc, that can be used to create specific reports that communicate required statistics.
C	67	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall maintain a database of all expired or revoked licenses for internal reference.	R	C		POSSE ABC maintains all of the license records revoked or expired. The standard license/permit search include the ability to use the license state/status as a search criteria.

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O)		Configuration, Automation, Customization (Y/N)	Business Rule Integration (w/ 3rd Party Product (Y/N)	Explanation or Comments
				(C)	(A)			
D	1	License Holder Reporting	Submit License Holder Report	The system shall allow authorized users to submit reports as required by business rules.	R	C		POSSE ABC includes Regulatory Reporting which has the ability to define, by License Type, required and ad hoc regulatory reporting
D	2	License Holder Reporting	Submit License Holder Report	The system shall be configured to support reporting requirements by license type.	R	C		POSSE ABC includes Regulatory Reporting which has the ability to define, by License Type, required and ad hoc regulatory reporting submissions.
D	3	License Holder Reporting	Submit License Holder Report	The system shall capture the date / time a report was submitted.	R	C		POSSE ABC will capture the date and time a report was submitted.
D	4	License Holder Reporting	Submit License Holder Report	The system shall capture reporting history by license holder and license.	R	C		POSSE ABC will capture reporting history through related records to the legal entity and the license.
D	5	License Holder Reporting	Submit License Holder Report	The system shall automatically validate the report information provided according to business rules.	R	C		POSSE ABC supports data validation within a single regulatory submission. No configuration of data validation across different regulatory submissions.
D	6	License Holder Reporting	Submit License Holder Report	The system shall perform automatic gallon calculations for reported non-gallon quantities.	R	N		POSSE ABC supports line item entry of a quantity in an Agency defined Unit. Automatic calculations are not included.
D	7	License Holder Reporting	Submit License Holder Report	The system shall capture reported information in a format that allows for easy search and export.	R	C		Regulatory Submissions can include report line data. This data can be reported on via the built in reporting tool, POSSE Ad Hoc.
D	8	License Holder Reporting	Submit License Holder Report	The system shall allow NLCC staff to manually upload reports received by mail or email.	R	C		POSSE ABC provides the ability for Staff Portal users to enter Regulatory Reporting submissions, including the ability to upload the reports provided via mail or email.
D	9	License Holder Reporting	Submit License Holder Report	The system shall leverage an online wizard to walk authorized users through the reporting process, by license type.	R	C		The POSSE ABC Customer Portal provides a step wizard to step users through the report submission process.
D	10	License Holder Monthly Reporting	Submit License Holder Report	The system shall allow authorized users to upload shipping reports, transfer reports, etc. as required by license type.	R	C		POSSE ABC includes Regulatory Reporting which has the ability to define, by License Type, required and ad hoc regulatory reporting submissions. Submissions can include report line data and uploaded documents/files.
D	11	Excise Reporting	Submit License Holder Report	The system shall allow authorized users to submit excise reports on the online portal according to defined business rules.	R	C		See Response to D.10.
D	12	Excise Reporting	Submit License Holder Report	The system shall allow authorized users to submit monthly inventory reports for the month's beginning and month's end.	R	C		See Response to D.10.
D	13	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to access the online portal to execute a beer brand territory agreement.	R	C		The POSSE ABC Regulatory Reporting can include ad hoc report submissions with document/file uploads.
D	14	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to access the online portal to register a spirit / wine / ready-to-drink cocktail brand registration.	R	C		POSSE ABC includes Brand Registration with Customer Portal brand registration based on brand registration types.
D	15	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to designate wholesalers to a beer brand territory according to business rules.	R	C		POSSE ABC Brand Registration includes a relationship to a Distributor License. Business rules are enforced by Agency staff.
D	16	Register Alcohol Product	Register Alcohol Product	The system shall limit designated wholesalers to only those with active licenses (See Maintain Active Roster in the License Holder Management Tab).	R	C		Distributor/wholesaler management is included as part of the Brand Registration module. POSSE ABC enforces an Active License in order to register brands.
D	17	Register Alcohol Product	Register Alcohol Product	The system shall allow NLCC staff to review alcohol brand registration for approval / refusal.	R	C		POSSE ABC includes pre-configured best business practice approval/denial workflow for brand registration.
D	18	Register Alcohol Product	Register Alcohol Product	The system shall document approval / denial decisions by NLCC staff in a template for distribution to associated parties.	R	C		POSSE ABC includes pre-configured best business practice approval/denial workflow for brand registration. Included processes can have an associated MS Word template letter used for distribution of decision to associated parties.
D	19	Register Alcohol Product	Register Alcohol Product	The system shall allow users to transfer alcohol brand to different wholesalers according to defined business rules.	R	C		Included in this proposal is configuration for Alcohol Transfer Workflow between wholesalers as part of the Brand Registration Amendment workflow.

D	20	Register Alcohol Product	Register Alcohol Product	The system shall allow NLCC users to modify brand registrations as active wholesalers change and / or labels become inactive.	R	C		POSSE ABC Staff Portal users can modify brand registrations through the use of pre-configured best business practice workflows for Brand Registration Amendments and Brand Registration Non-Renewals. New distributors, label revisions, and corrections/ additional information for existing brands are all included as out-of-the-box Customer Portal and/or Staff Portal applications. Also included in this proposal is an Alcohol Transfer Workflow as part of the Brand Registration Amendment workflow.
D	21	Register Alcohol Product	Register Alcohol Product	The system shall automatically link subcontracted beer brand territories to the primary agreement.	R	N		POSSE ABC does not automatically track territories. These are managed by Agency staff through documents uploaded with the Brand Registration.
D	22	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to submit label registrations according to NLCC business rules.	R	C		POSSE ABC includes pre-configured best business practice approval/denial workflow for brand registration including label management.
D	23	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to register alcohol products, providing required documentation and information as per NLCC's business rules.	R	C		POSSE ABC includes pre-configured best business practice workflow for brand registration and label management. POSSE ABC Customer Portal users with appropriate access can use the brand registration workflow application, initiated from the Customer Portal. A number of additional business rules configuration has been included in this proposal. Please refer to Scoping Comments in Table 14.
D	24	Register Alcohol Product	Register Alcohol Product	The system shall maintain an active database of registered alcohol products, tied to the appropriate license holder (i.e. Wholesaler)	R	C		POSSE ABC maintains registered alcohol products and their status, available from the associated legal entity record.
D	25	Verify Reports	Verify Reports	The system shall link inventory reports to associated licenses (i.e. shipping linked to a wholesale license), where appropriate.	R	C		Inventory reports will be linked to the license in which it is associated with during report submission and data entry.
D	26	Verify Reports	Verify Reports	The system shall allow for excise reporting by product classification and configure reporting workflows accordingly.	R	C		POSSE ABC provides the ability to report excise tax by License Type.
D	27	Verify Reports	Verify Reports	The system shall automatically assess excise taxes based on unit fees (i.e. \$3/gallon).	R	C		POSSE ABC can automatically calculate excise taxes based on total units entered and the associated fee schedule setup in the Administrator Portal.
D	28	Verify Reports	Verify Reports	The system shall automatically cross check products listed on a excise tax report against products registered to be sold by the License Holder.	R	N		Computronix has not included this functionality in our proposal as the Regulatory Reporting functionality does not include such validation, and this requirement does not provide sufficient context to determine what effort is required. Computronix welcomes further discussion with NLCC to scope and price this requirement
D	29	Verify Reports	Verify Reports	The system shall flag products on excise tax reports that are not registered to the reporting license holder for Agency review.	R	N		Computronix has not included this functionality in our proposal as the Regulatory Reporting functionality does not include such validation, and this requirement does not provide sufficient context to determine what effort is required. Computronix welcomes further discussion with NLCC to scope and price this requirement
D	30	Verify Reports	Verify Reports	The system shall be configured so users can report different types of inventory, based on business rules.	R	C		Inventory Reports will be configured for regulatory submissions. This includes the ability to submit line item detail; e.g., type of inventory.
D	31	Verify Reports	Verify Reports	The system shall automatically add taxable inventory amounts per NLCC business rules.	R	N		Computronix has not included this functionality in our proposal as the response to vendor questions did not provide sufficient time to determine what effort is required. Computronix welcomes further discussion with NLCC to scope and price this requirement.
D	32	Verify Reports	Verify Reports	The system shall allow NLCC staff to modify the fee schedule for excise taxes.	R	C		The POSSE ABC excise tax fee schedule can be modified as needed via the POSSE ABC Administrator Portal.
D	33	Verify Reports	Verify Reports	The system shall automatically assess penalty / interest according to business rules.	R	C		POSSE ABC can track penalty and interest schedules.
D	34	Verify Reports	Verify Reports	The system shall automatically verify that inventory reports align month over month (i.e. ending inventory for Month 1 matches beginning inventory for Month 2).	R	N		Computronix has not included this functionality in our proposal as the response to vendor questions did not provide sufficient time to determine what effort is required. Computronix welcomes further discussion with NLCC to scope and price this requirement.
D	35	Verify Reports	Verify Reports	The system shall automatically flag inventory reporting inconsistencies for additional review.	R	N		See Response to D.34.
D	36	Verify Reports	Verify Reports	The system shall have the ability to reconcile wholesaler reports to shippers reports.	R	N		See Response to D.34.
D	37	Verify Reports	Verify Reports	The system shall have the ability to link reports for verification according to NLCC business rules (i.e. common carriers reporting).	R	N		See Response to D.34.
D	38	Verify Reports	Verify Reports	The system shall have the ability to track unreconciled shipments for a designated period of time (i.e. 120 days) to flag for internal review.	R	N		See Response to D.34.
D	39	Verify Reports	Verify Reports	The system shall flag excise tax payments that exceed a License Holders bond amount.	R	N		See Response to D.34.

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D	40	Verify Reports	Verify Reports	The system shall generate a list of retailers for report verification, at random.	R	N		See Response to D.34.
D	41	Verify Reports	Verify Reports	The system shall automatically generate a list of products for each retailer, pulled from wholesaler reports.	R	N		See Response to D.34.
D	42	Verify Reports	Verify Reports	The system shall automatically notify selected retailers for verification to log on to the Online Portal and verify wholesaler reports.	R	N		See Response to D.34.
D	43	Verify Reports	Verify Reports	The system shall flag unverified products by retailers for Agency review.	R	N		See Response to D.34.
D	44	Maintain Reporting History	Maintain Reporting History	The system shall document all submitted reports by license / license holder to maintain a reporting history.	R	C		POSSE ABC will track all Regulatory Reports submitted by license and license holder.
D	45	Submit Amended Report	Submit Amended Report	The system shall allow authorized users to submit amended reports as necessary.	R	C		POSSE ABC provides the ability to submit the same regulatory report for the same license type, and reporting period with an indicator that it is an updated/amended report.
D	46	Submit Amended Report	Submit Amended Report	The system shall save all versions of submitted reports.	R	C		POSSE ABC saves all of the submitted regulatory reports.
D	47	Submit Amended Report	Submit Amended Report	The system shall notify NLCC staff that a new report has been submitted for review.	R	C		POSSE ABC notifies appropriate Staff Portal users via the To Do List that a new regulatory report submission has been submitted for review.
D	48	Submit Amended Report	Verify Reports	The system shall flag late reports and payments.	R	C		POSSE ABC tracks due dates for scheduled regulatory reports and provides a search for Agency staff to identify late reports/payments.
D	49	Submit Amended Report	Verify Reports	The system shall flag users with late reports / payments over a defined annual threshold for additional legal review.	R	C		POSSE ABC tracks due dates for scheduled regulatory reports and provides a search for Agency staff to identify late reports/payments.

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O)			Explanation or Comments
				(C)onfiguration	(A)utomatization	(B)oth, or (N)one	
E 1	Trigger Audit	Trigger Audit	The system shall have the ability to proactively and systematically identify audit candidates according to business rules.	R	N		POSSE ABC Staff Portal users can identify audit candidates by initiating an audit workflow for the license record. Configuration for audit workflow has been included in this proposal. Per the Agency's answer to question 82, automation to identify audit candidates has not been included in our proposal.
E 2	Trigger Audit	Trigger Audit	The system shall systematically identify candidates for audits based on any configurable parameter in the system, such as business rules, record changes, date of last audit, geographic location, and other configurable audit indicators.	R	N		POSSE ABC Staff Portal users can identify audit candidates by initiating an audit workflow for the license record. Configuration for audit workflow has been included in this proposal.
E 3	Trigger Audit	Trigger Audit	The system shall have the capability to identify candidates for audit based on a random selection / search.	R	C		POSSE ABC Staff Portal users can identify audit candidates through a random search.
E 4	Trigger Audit	Trigger Audit	The system shall allow NLCC reporting staff to refer a license for audit due to an identified reporting inconsistency.	R	C		POSSE ABC Staff Portal users can initiate an audit workflow for the license record. Configuration for audit workflow has been included in this proposal.
E 5	Trigger Audit	Trigger Audit	The system shall allow enforcement / legal staff to flag licenses for auditors based on questionable activity	R	C		POSSE ABC Staff Portal users can initiate an audit workflow for the license record. Configuration for audit workflow has been included in this proposal.
E 6	Trigger Audit	Trigger Audit	The system shall allow NLCC staff to trigger an audit as a result of a complaint submitted.	R	C		Configuration for audit workflow has been included in this proposal including the ability for Staff Portal users to initiate an audit based on the outcome of a Complaint.
E 7	Trigger Audit	Trigger Audit	The system shall allow an Audit Manager to run ad-hoc searches and reports on any configurable parameter in the system to manually identify candidates for audits (e.g., identify frequency of reporting inconsistencies month-to-month).	R	C		POSSE ABC includes many out-of-the-box search options and includes the POSSE Ad Hoc Reporting Tool that may be used to search and report on parameters.
E 8	Trigger Audit	Trigger Audit	The system shall allow an Audit Manager to save a set of search criteria to be able to rerun that search in the future.	R	C		POSSE ABC includes many out-of-the-box search options that can be saved as a favorite and re-run at any time. POSSE also includes the POSSE Ad Hoc Reporting Tool that may be used to search and report on parameters, which can be saved and re-run at any time.
E 9	Trigger Audit	Trigger Audit	The system shall place a flag on an audit record associated with a license record that has a legal order or restriction associated with it.	R	N		POSSE ABC Staff Portal users can manually add a warning flag to license records.
E 10	Assign Audit	Assign Audit	The system shall allow the assignment of an auditor to an audit.	R	C		Configuration is included to assign a POSSE ABC Staff Portal user to an audit record.
E 11	Assign Audit	Assign Audit	The system shall support assignment of audits to more than one auditor.	R	C		Configuration is included to assign one or more POSSE ABC Staff Portal users to an audit record.
E 12	Assign Audit	Assign Audit	The system shall allow an authorized user to manually define an audit; for example, the standard audit record to be used and all parameters related to creating an audit.	R	C		Configuration for audit workflow has been included in this proposal including the ability for Staff Portal users to initiate and define an audit.
E 13	Assign Audit	Assign Audit	The system shall be able to automatically define an audit; for example, the standard audit record to be used and all parameters related to creating an audit.	R	C		Configuration for audit workflow has been included in this proposal including the ability for Staff Portal users to initiate the audit that follows the configured audit workflow.
E 14	Assign Audit	Assign Audit	The system shall allow viewing of all audit selection parameters such as license fees, prior audit findings, prior auditor, general license info to make managerial decision.	R	C		The audit record will provide the ability to access appropriate related records from the audit job.
E 15	Assign Audit	Assign Audit	The system shall be capable of suggesting auditors for assignment to audits based on a variety of configurable factors such as availability, workload, rotation, or skill set / specialty.	R	N		Computronix has not included effort to automate assignments given the Agency's response to question 82 that there are only an average of 30 audits conducted per year.
E 16	Assign Audit	Assign Audit	The system shall display an audit assignment in the auditor's work queue for processing once the assignment step has been completed.	R	C		The auditor's To Do List will display tasks for which the auditor is assigned.
E 17	Assign Audit	Assign Audit	The system shall send any calendar items, workflow steps, and notifications/reminders to the assigned auditor for that audit.	R	C		The auditor's To Do List will display tasks for which the auditor is assigned.
E 18	Assign Audit	Assign Audit	The system shall track the assignment status of an audit.	R	C		POSSE ABC tracks the assignment status of processes.
E 19	Assign Audit	Assign Audit	The system shall support reassignment of audits.	R	C		POSSE ABC provides the ability to re-assign processes.
E 20	Assign Audit	Assign Audit	The system shall provide a separate audit module from which auditors to work from and conduct all audit-related activities.	R	C		POSSE ABC provides separate menus and processes from which auditors can work from in order to conduct audit related activities.

E	21	Conduct Pre-Audit Meeting	Conduct Pre-Audit Meeting	The system shall have the capability to configure meeting calendar settings (See General Operations tab, View Staff Workload & Performance requirement).	R	N		Computronix has not included effort to configure meeting calendar settings. Computronix welcomes discussion with NLCC to clarify the effort and cost to meet this requirement.
E	22	Conduct Pre-Audit Meeting	Conduct Pre-Audit Meeting	The system shall allow staff to capture information about the meeting (date/ time held, meeting notes, attendees, etc.) using a pre-configured template.	R	C		POSSE ABC Hearing Workflow will be utilized to capture pre-audit meeting details.
E	23	Conduct Pre-Audit Meeting	Conduct Pre-Audit Meeting	The system shall be able to associate any documents that were presented at the meeting with the audit record.	R	C		The POSSE ABC Hearing Workflow will be associated with the Audit record so related documents are associated as well.
E	24	Conduct Audit	Conduct Audit	The system shall have a dedicated audit module to allow authorized users to perform all audit functionality.	R	C		The POSSE ABC audit workflow will be configured to manage the audit process.
E	25	Conduct Audit	Conduct Audit	The system shall allow auditors to record notes on an audit.	R	C		POSSE ABC Staff Portal users can enter notes in the configured Audit workflow, Case Notes area.
E	26	Conduct Audit	Conduct Audit	The system shall allow license holders to upload documents requested as part of the audit through the Online Portal.	R	C		The audit workflow will be configured to allow Customer Portal users to upload documents requested.
E	27	Conduct Audit	Conduct Audit	The system shall allow auditors to add licenses to update and create standard documents related to the licenses under audit.	R	C		The audit workflow will be configured to provide MS Word merge templates available from the audit workflow processes.
E	28	Conduct Audit	Conduct Audit	The system shall allow the auditor to modify the audit period (e.g., "audit to" and "audit from" dates).	R	C		The configured audit workflow can include fields for the audit period as part of the information tracked and can be modified as required until audit completion.
E	29	Conduct Audit	Conduct Audit	The system shall enforce proper security such as user permissions.	R	C		POSSE ABC enforces proper security based on user roles and access groups.
E	30	Conduct Audit	Conduct Audit	The system shall allow modification of an in-process audit to expand the scope of the audit to include other related locations or licenses.	R	C		POSSE ABC will be configured with an audit workflow for NLCC. This new workflow will support multiple license relationship and provide staff the ability to add/modify the related licenses.
E	31	Conduct Audit	Conduct Audit	The system shall automatically track the days count over the time that the audit was conducted based on system transactions to track progress.	R	C		POSSE ABC workflow captures created date and completed date automatically.
E	32	Conduct Audit	Conduct Audit	The system shall require (according to configurable business rules) designated document types to be provided and/or completed by audit type.	R	C		The configured audit workflow can include designated document types to be provided and will allow Agency staff to specify required documents by audit type.
E	33	Conduct Audit	Conduct Audit	The system shall track and enforce due dates for the audit and provide relevant notifications and alerts based on the due dates.	R	C		The configured audit workflow can include process due dates and notifications via the Customer Portal Dashboard and via the Staff To Do List due dates.
E	34	Conduct Audit	Conduct Audit	The system shall support the creation of configurable notices by the auditor, along with capturing detailed supporting information, that become associated with the license/business record being audited.	R	C		The audit workflow will be configured to provide MS Word merge templates available from the audit workflow processes.
E	35	Conduct Audit	Conduct Audit	The system shall allow a Supervisor / Audit Manager to access an audit record and in-progress / draft Audit Narrative at any time during the audit period.	R	C		POSSE ABC will allow users with appropriate permissions access to the audit information.
E	36	Conduct Audit	Conduct Audit	The system shall trigger supervisor review(s) of audits in progress or completed per the configurable workflow or statutes.	R	C		The configured audit workflow can include a supervisor review.
E	37	Conduct Audit	Conduct Audit	The system shall trigger supervisor review(s) of audits in progress or completed after a configurable time period such as standard review days.	R	C		The Audit Workflow configured for NLCC will include a supervisor review task assignment.
E	38	Conduct Audit	Conduct Audit	The system shall trigger supervisor or legal review(s) of audits in progress or completed based on thresholds in audit parameters like percent of completion.	R	C		The Audit Workflow configured for NLCC will include a supervisor review task assignment.
E	39	Conduct Audit	Conduct Audit	The system shall allow supervisor(s) to make comments or updates to an audit record in the system.	R	C		POSSE ABC will allow users with appropriate permissions the ability to make comment or updates to the audit record prior to the record completion as required.
E	40	Conduct Audit	Conduct Audit	The system shall allow auditors to capture the result and status of an audit triggered by workflow actions (e.g., ready for Supervisor review, closed, etc.).	R	C		The configured audit workflow will follow outcome driven workflow rules for capturing the Staff entered process outcome and the resulting status.
E	41	Conduct Audit	Conduct Audit	The system shall support version control of Audit Narrative, including new versions created by one or more auditors, and Supervisor(s).	R	C		The configured audit workflow can support version control of the audit narrative and track the associated users.
E	42	Conduct Audit	Conduct Audit	The systems shall allow the auditor to modify an audit, expand an audit, add additional locations, change dates and time periods accordingly.	R	C		POSSE ABC will be configured with an audit workflow for NLCC. This new workflow will support multiple license relationship and provide staff the ability to add/modify the related licenses.
E	43	Conduct Audit	Conduct Audit	The system shall allow the auditor to capture data in an offline mode when the Auditor does not have internet connectivity.	R	N		POSSE Mobile support disconnected investigations; however, this is related to an onsite investigation with a pass/fail outcome and does not include audit functionality.
E	44	Document Audit Results	Conduct Audit	The system shall allow the auditor to manually select to publish the Audit Narrative when they regain connectivity.	R	N		See Response to E.43.
E	45	Conduct Audit	Conduct Audit	The system shall check for updates from the auditor and send a reminder to sync.	R	N		See Response to E.43.
E	46	Conduct Audit	Conduct Audit	The system shall allow audit documents to be uploaded, viewed, and downloaded.	R	C		The configured audit workflow will include the ability to allow audit documents to be uploaded, viewed, and downloaded by Staff Portal users.
E	47	Conduct Audit	Conduct Audit	The system shall provide configurable / system-generated checklists of items needed to the auditee, including deadlines of when they must be provided.	R	C		POSSE ABC supports the configuration of checklists on assigned tasks by task type. Additionally, tasks allow for users to set a deadline for the task assignment.
E	48	Document Audit Results	Conduct Audit	The system shall populate an audit narrative template with appropriate license information based on the license records associated with the audit.	R	C		The Audit Narrative Template will be implemented using POSSE ABC's Word Merge template functionality.
E	49	Document Audit Results	Conduct Audit	The system shall allow users to manually upload audit documents to the audit record.	R	C		The configured audit workflow will include the ability to allow audit document to be uploaded by both Customer Portal and Staff Portal users.

E	50	Document Audit Results	Conduct Audit	The system shall provide auditors access to previous audit results for download.	R	C		Documents attached to previous Audit records will be accessible to auditors.
E	51	Document Audit Results	Conduct Audit	The system shall track versioning of audit narratives.	R	C		The configured audit workflow can support version control of the audit narrative and track the associated users.
E	52	Document Audit Results	Conduct Audit	The system shall allow the auditor to add the Audit Narrative template(s) to the audit record, populated with appropriate license information.	R	C		The audit workflow will be configured to provide MS Word merge templates available from the audit workflow processes. Data fields from the audit record can be incorporated into the templates.
E	53	Document Audit Results	Conduct Audit	The system shall make available historical versions of Audit Narratives.	R	C		The configured audit workflow can support version control of the audit narrative and track the historical versions.
E	54	Perform Onsite Meeting	Perform Onsite Visit	The system shall allow staff to create on-site meeting records as part of the audit of a license.	R	C		The Audit workflow will include a tab for tracking of onsite meetings as related records.
E	55	Perform Onsite Meeting	Perform Onsite Visit	The system shall allow the user to record notes of the onsite meeting for the audit.	R	C		The Audit workflow will include a tab for tracking of onsite meetings as related records.
E	56	Perform Onsite Meeting	Perform Onsite Visit	The system shall allow the user to provide a final result or status of the onsite meeting.	R	C		The Audit workflow will include a tab for tracking of onsite meetings as related records.
E	57	Perform Onsite Meeting	Perform Onsite Visit	The system shall allow the user to leverage a mobile device to conduct and provide results of the onsite meeting.	R	N		POSSE Mobile supports inspection functionality only.
E	58	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow NLCC staff to assess additional taxes due to the results of the audit associated with the license/business record being audited.	R	C		POSSE ABC Staff Portal users can initiate Case Workflow which will allow additional fees/penalties to be assessed to the responsible party.
E	59	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow a supervisor to approve additional taxes assessed as a result of an audit.	R	C		The Audit workflow will include a Fees & Payments tab allowing auditors to calculate fees (e.g. taxes) owing.
E	60	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall assess any additional taxes owed based on the audit outcome (i.e. discovery of under reported quantities that require levy of additional taxes).	R	C		The Audit workflow will include a Fees & Payments tab allowing auditors to calculate fees (e.g. taxes) owing.
E	61	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow the auditee to pay additional taxes added to the record as a result of the audit through the online portal.	R	C		The POSSE ABC Customer Portal supports payment of any outstanding fees related to a Licensee.
E	62	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow the auditee to pay additional taxes added to the record as a result of the audit through the mail.	R	C		The POSSE ABC Staff Portal allows Agency staff to enter payments received through the mail.
E	63	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow additional fees to be added to the record based on non or late payment of additional taxes identified in the audit.	R	C		The Audit workflow will include a Fees & Payments tab allowing auditors to calculate fees (e.g. taxes) owing.
E	64	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall initiate the collections process if additional taxes identified in the audit are not paid within a configurable timeframe.	R	N		POSSE ABC supports the ability to create a warning on the associated record (such as the Legal Entity) and to followup on collecting the outstanding amount owed using the outstanding fee(s) information and Case Notes for documenting actions.
E	65	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall allow authorized users to close an audit once all audit activities have been completed.	R	C		The configured audit workflow can be closed by Staff Portal users with appropriate permissions once audit activities have been completed.
E	66	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall record and lock down the final version of an audit and Audit Narrative.	R	C		The configured audit workflow can be closed by Staff Portal users with appropriate permissions once audit activities have been completed, which will lock down the audit from further editing.
E	67	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall allow NLCC staff to document audit results in an Audit Narrative template.	R	C		The Audit Narrative Template will be implemented using POSSE ABC's Word Merge template functionality.
E	68	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall record and collect quantitative data to enable calculations.	R	N		Computronix has not included effort for this requirement as it is not clear on what type of quantitate data or what specific calculations need to be performed. Computronix welcomes discussion with NLCC to clarify the scope of this requirement to determine effort and cost.
E	69	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall automatically associate an audit outcome / activity with the related license record.	R	C		The audit record will be configured to be associated with the related license as a related job.
E	70	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall track any added fees or taxes that have been added to the license record when the audit is completed until they are resolved (e.g., additional taxes are paid)	R	C		The Audit workflow will include a Fees & Payments tab allowing auditors to calculate fees (e.g. taxes) owing.
E	71	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall provide generated workflow-driven alerts/notifications for example to the assigned staff and auditee regarding the closure and outcome of the audit (i.e. Audit Conclusion Letter).	R	C		POSSE ABC workflow tasks include the Word Merge letters functionality. Letters can be converted to PDF enabling an email link for staff to send the letter.
E	72	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall process a "refund" to an auditee as a credit towards subsequent excise tax payments.	R	C		POSSE ABC provides the ability to process refunds using a prepayment account. Credits in a prepayment account can then be used to pay outstanding fees.
E	73	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system should allow auditees that have additional fees due at the end of an audit to request and be provided a payment plan option to incrementally pay off the fees due.	O	N		Computronix has not included this optional functionality in our proposal.
E	74	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system should allow an authorized user to initiate a payment plan for an auditee so they can pay off any fees due at the end of an audit.	O	N		Computronix has not included this optional functionality in our proposal.
E	75	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system should track an auditee incrementally paying off the fees due in the payment plan.	O	N		Computronix has not included this optional functionality in our proposal.
E	76	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system should identify when the auditee has paid off all the fees in the payment plan and on their audit results.	O	N		Computronix has not included this optional functionality in our proposal.
E	77	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall track when audit results are appealed, when requests are manually recorded by staff.	R	C		The configured audit workflow can include the ability to initiate a Hearing Workflow. This can track the audit appeals process and the results/outcome.



ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utobusiness Rule Automation, (B)oth, or (N)one Customization (Y/N) Integration w/ 3rd Party Product (Y/N)				Explanation or Comments
F	1	Submit Complaint	Submit Complaint	The system shall have the ability to intake complaints online.	R	C		POSSE ABC includes a Complaint Workflow which can be initiated via the Customer Portal or can be entered by staff via the Staff Portal.
F	2	Submit Complaint	Submit Complaint	The system shall have the capability to intake detailed complaint information (e.g., complainant, violator, location, etc.) in a structured format, including but not limited to: complaint type, complaint information, violator information, violation type(s), comments (i.e., text box), method of submission (e.g., online, phone, walk-in).	R	C		POSSE ABC includes a Complaint Workflow and Case Workflow. Complaints track the complaint type, complaint information, address or premises information, description, origin type (method of submission), and any additional documentation/files. Violation types will be tracked on the Case workflow once it is determined that a violation exists.
F	3	Submit Complaint	Submit Complaint	The system shall have the ability to allow anonymous complaints that do not record complainant information.	R	C		POSSE ABC includes a Complaint Workflow which can be initiated via the Customer Portal via an anonymous user.
F	4	Submit Complaint	Submit Complaint	The system shall allow Complainants to optionally provide contact information for follow up.	R	C		POSSE ABC includes a Complaint Workflow which can be initiated via the Customer Portal via an authenticated user. Authenticated user contact details are available for complaint follow-up.
F	5	Submit Complaint	Submit Complaint	The system should allow users to log in when submitting a complaint if they have a user account.	O	C		POSSE ABC Customer Portal users can log in to the Customer Portal to submit a complaint.
F	6	Submit Complaint	Submit Complaint	The system shall have the ability for the public to upload images/ pictures/ other data or import a Word/ text/ PDF document, when originating a complaint.	R	C		POSSE ABC Customer Portal users can upload documents/files when originating a complaint.
F	7	Submit Complaint	Submit Complaint	The system shall generate and display a unique Complaint ID Number upon submittal for reference purposes.	R	C		POSSE ABC generates a unique Complaint Number for complaints.
F	8	Submit Complaint	Submit Complaint	The system should allow the public (non logged in users) to view the status of submitted complaint online (i.e., resolved) according to Agency policy that dictates what information can be released.	O	N		POSSE ABC provides the ability to view the Complaint status to the authenticated user that initiated the complaint. The status will be displayed as In Review or Completed.
F	9	Submit Complaint	Submit Complaint	The system shall have the capability to provide detailed instructions to the Complainant on how to file the complaint via the customer portal (i.e., what complaint types are accepted).	R	C		The POSSE ABC Administrator Portal includes setup for Online Messages that can provide instructions to Customer Portal users.
F	10	Submit Complaint	Submit Complaint	The system shall have the ability to track delegation of complaint/enforcement action to other external agencies	R	C		POSSE ABC includes the ability to track delegation of a Complaint or Enforcement Case File action to an external agency.
	11	Submit Complaint	Submit Complaint	The system shall allow NLCC staff to assign complaint/enforcement actions to other external agencies, as appropriate.	R	C		POSSE ABC includes the ability to assign a Complaint or Enforcement Case File action to an external agency.
F	12	Submit Complaint	Submit Complaint	The system shall be able to capture any referral of a complaint to another agency who is authorized to handle that violation type.	R	C		These details can be tracked via the Case Notes on the Complaint or the Case File.
F	13	Submit Complaint	Submit Complaint	The system shall allow a user to consolidate or link multiple complaints into one case file.	R			Users can link multiple complaints into one case file via the inspection record.
F	14	Submit Complaint	Submit Complaint	The system should have the ability to electronically notify parties associated with the record with complaint disposition.	O	C		Authenticated Customer Portal users can view the Complaint status via the POSSE ABC Customer Portal.
F	15	Submit Complaint	Submit Complaint	The system shall have the ability to automatically update complaint disposition with workflow tasks (e.g., assigned for investigation)	R	C		The status of the Complaint is either In Review or Completed. The Investigation and Case File will track additional workflow tasks.
F	16	Submit Complaint	Submit Complaint	The system shall have the ability to view history of licenses, permits, clearances, conditions, etc. associated with a complaint record or address of the complaint.	R	C		POSSE ABC Staff Portal users can view all of the related jobs to an object.
F	17	Submit Complaint	Submit Complaint	The system shall have the ability to view complaint history by project, violator, property, or owner.	R	C		POSSE ABC provides the ability to view the Complaint history based on Address or Premises. If an Enforcement Case is created, the case is related to the license but accessible from the License, the related Legal Entity, and Premises.
F	18	Submit Complaint	Submit Complaint	The system shall have the ability to view violation history by GIS location (See Manage Geographic Information for more detailed requirements).	R	C		Licensed locations will be geocoded and complaint history is tracked related to license records.
F	19	Submit Complaint	Submit Complaint	The system shall provide a structured method for Enforcement Staff to record research on the complaint and generate a case file.	R	C		POSSE ABC provides the ability to record research on the Complaint via Case Notes, generate an investigation and record any research as needed, then generate a Case File from the investigation outcome.
F	20	Issue Administrative Citation	Issue Administrative Citation	The system shall have the ability to submit citation or violation related to investigation, which may trigger associated workflow tasks.	R	C		Violation(s) related to the investigation can trigger additional tasks to resolve the violation.
F	21	Issue Administrative Citation	Issue Administrative Citation	The system shall have the ability to automatically revoke or temporarily suspend licenses based on investigation results, or supervisor review, based on business rules.	R	C		POSSE ABC includes the ability to temporarily suspend licenses through the Enforcement Case Workflow.

F	22	Issue Administrative Citation	Issue Administrative Citation	The system shall support the revocation of a license. (i.e. license revoked due to safety/welfare issue).	R	C		POSSE ABC includes the ability to revoke licenses through the Enforcement Case Workflow.
F	23	Issue Administrative Citation	Issue Administrative Citation	The system shall have the capability to record a violation and issue enforcement-related documentation, such as an Issue of Administrative Citation.	R	C		POSSE ABC includes the ability to record violations and issue enforcement-related documentation through the Enforcement Case Workflow and included MS Word Merge document templates associated with the enforcement case workflow processes.
F	24	Issue Administrative Citation	Issue Administrative Citation	The system shall support templates and document generation for various enforcement document types. See Manage Documents in General Operations Tab for more detailed information.	R	C		MS Word Merge document templates can be associated with the complaint, enforcement case, and Hearing workflow processes.
F	25	Issue Administrative Citation	Issue Administrative Citation	The system shall have the capability to associate violations with customers (e.g., license holder).	R	C		Enforcement Cases, which track violations, must be associated with a License. Violations will automatically be associated to the Legal Entity through the related license record.
F	26	Issue Administrative Citation	Issue Administrative Citation	The system shall have the capability to display authorized violation information to the customer via the online portal.	R	N		POSSE ABC does not currently display violation information to the customer portal and effort has not been included to configure display of authorized violation information. Compuproix welcomes further discussion with NLCC to clarify the scope of this requirement.
F	27	Issue Administrative Citation	Issue Administrative Citation	The system shall have the capability to capture notes and comments in the system related to a violation.	R	C		The Violation record includes a large comment field. Case Notes can be added to the Case Record.
F	28	Issue Administrative Citation	Issue Administrative Citation	The system shall have the ability to route violation notices for approval (e.g., Supervisor approval).	R	C		The Investigation workflow includes the ability to capture Violations and use the Close Inspection step for review and approval of the Violation notice.
F	29	Issue Administrative Citation	Issue Administrative Citation	The system shall be able to generate a list of enforcement documents that must be served on a particular day according to business rules.	R	C		POSSE ABC includes the ability to track a list of enforcement documents. A number of business rules configuration has been included in this proposal. Please refer to the Scoping Comments in Table 14.
F	30	Issue Administrative Citation	Issue Administrative Citation	The system shall have the ability to issue and print violation and other documentation on-site.	R	C		POSSE Mobile supports printing in the field via AirPrint connected device for any downloaded document in PDF, TXT, DOC (DOCX) format.
F	31	Issue Administrative Citation	Issue Administrative Citation	The system shall allow staff to manually select enforcement documents (i.e. subpoenas) that must be served.	R	C		POSSE ABC Staff Portal users can select from a drop down list of enforcement documents (Administrator Portal setup, MS Word Merge template documents) that must be served.
F	32	Track Disciplinary Action	Issue Administrative Citation	The system shall have the capability to hold the final investigation result until all the fees or taxes have been met (e.g., prevent issuance of a license until fee and tax requirements are met).	R	C		POSSE ABC can prevent issuance of a license until all outstanding fees have been paid.
F	33	Track Disciplinary Action	Issue Administrative Citation	The system shall be able to track violations that the owner fails to comply or correct, and reroute the information to appropriate department or designated personnel to take further action.	R	C		POSSE ABC includes Case Workflow for continual followup if further action is needed, such as a Hearing.
F	34	Track Disciplinary Action	Issue Administrative Citation	The system shall keep a log of violations associated with the license.	R	C		Violations associate with a License are available via the related Enforcement Case record.
F	35	Create Violation Report	Report Enforcement Activity	The system shall have the ability to issue and print investigation documentation (i.e., investigation report, violation notification).	R	C		POSSE ABC includes the ability to issue and print investigation documentation via a Violation Report and MS Word Merge Templates available from processes.
F	36	Create Violation Report	Report Enforcement Activity	The system shall have the ability for the agent to email the investigation report to the customer.	R	C		The agent can email the investigation report in the form of a MS Word template generated document.
F	37	Create Violation Report	Report Enforcement Activity	The system shall have the ability to generate an investigation report from a customizable template(s).	R	C		POSSE ABC includes the ability to generate an investigation report from an MS Word Merge Templates available from processes.
F	38	Create Violation Report	Report Enforcement Activity	The system shall have the ability to apply investigation results to multiple investigations (e.g., select multiple pre-license onsite visit investigations in the system and indicate a result of "passed").	R	N		POSSE ABC does not currently provide a mechanism to result multiple investigations at one time.
F	39	Create Violation Report	Report Enforcement Activity	The system shall have the ability to generate a new violation record in the system manually by Agency personnel.	R	C		POSSE ABC Staff Portal users can manually enter a new violation record on an inspection or on an enforcement case.
F	40	Create Violation Report	Report Enforcement Activity	The system shall have the capability to provide a customized template for generating violations, that includes but is not limited to the following components: Type of Enforcement Document (e.g., Notice of Violation, Warning), Date(s) of violation and/or onsite visit /investigation, Location, Agent Assigned, Codes in violation, Required action(s), Fine(s), Court Date(s), Hearing Date(s), or Meeting Date(s).	R	C		POSSE ABC tracks this information as required based on the violation record, the associated enforcement case, and the associated Hearing record (if applicable). The related license record will provide access to the related legal entity, location, and premises details.
F	41	Create Violation Report	Report Enforcement Activity	The system shall have the capability to pre-populate a violation document with preexisting information from the System (e.g., investigation location and address, customer information).	R	C		POSSE ABC includes the ability to pre-populate a violation document with data already associated with the violation record.
F	42	Create Violation Report	Report Enforcement Activity	The system shall have the ability to associate violations with existing complaints.	R	C		Violations can be entered on already existing Enforcement Cases.
F	43	Create Violation Report	Report Enforcement Activity	The system shall have the ability to link a violation report to one or more primary / secondary license numbers.	R	N		Violation reports are generated from an Inspection which are associated with a single License in POSSE ABC.
F	44	Create Violation Report	Report Enforcement Activity	The system shall have the capability to associate violations with existing investigations and investigation reports.	R	C		Violations are entered on Inspections or Cases and Inspections may be related to an existing Case.
F	45	Create Violation Report	Report Enforcement Activity	The system shall have the ability to link sections of code to a violation.	R	C		Sections of Code can be automatically linked to a violation. This is based on Administrator Portal setup.

F	46	Create Violation Report	Report Enforcement Activity	The system shall have the capability to pre-populate a violation with relevant dates (e.g., summons date) via a smart calendaring feature.	R	C		Relevant dates can be populated on the violation based on business rules configuration. A number of business rules configuration has been included in this proposal. A Smart Calendaring feature has not been included in this item based on the Addendum three item 99 response.
F	47	Create Violation Report	Report Enforcement Activity	The system shall have the ability to configure and select standard violation types.	R	C		Standard Violation Types are setup via the POSSE ABC Administrator Portal and can easily be selected via a dropdown from relevant Staff Portal areas.
F	48	Create Violation Report	Report Enforcement Activity	The system shall have the ability to print all, individual, or select violations for mailing.	R	C		POSSE ABC includes the ability to pre-populate a violation document with data already associated with the violation record.
F	49	Create Violation Report	Report Enforcement Activity	The system shall have the ability for agents to upload images/ pictures and associate them with a complaint, investigation, violation, etc.	R	C		Files can be uploaded and associated with Complaints, Investigations, Case Files, and Hearings.
F	50	Create Violation Report	Report Enforcement Activity	The system shall have the ability to digitally attach electronic signature to documents or reports to be printed from a mobile device.	R	C		POSSE Mobile offers the ability to digitally attach an electronic signature to the investigation report and print.
F	51	Create Violation Report	Report Enforcement Activity	The system shall support the automated generation of a case file report that can pull the required information from the System and compile it into a report that can be exported and distributed from the System.	R	C		The POSSE Ad Hoc Reporting Tool includes the ability to automatically distribute reports to a defined file location on a scheduled basis.
F	52	Create Violation Report	Report Enforcement Activity	The system shall provide a structured template for Enforcement Staff to perform research and enter information about the violation into the system (e.g., information on location, address, tax ID, parcel address, cross streets, location on a map etc.; property ownership information; complaint history for the property and/or property owner).	R	C		POSSE ABC tracks this information as required based on the violation record, the associated enforcement case, and the associated Hearing record (if applicable). The related license record will provide access to the related legal entity, location, and premises details.
F	53	Create Violation Report	Report Enforcement Activity	The system shall support Enforcement Staff in executing queries in the System and generating any reports necessary to support creation of the case file.	R	C		The POSSE Ad Hoc Reporting Tool includes the ability for business users to create and generate reports from system data.
F	54	Impose Penalty	Report Enforcement Activity	The system shall be able to charge a fee based on the investigation result (e.g., violation, civil penalty) according to business rules / Commission discretion.	R	C		The POSSE ABC Enforcement Case outcome driven workflow includes the ability to penalize and charge a fee to license holders.
F	55	Implement Disciplinary Action	Report Enforcement Activity	The system shall allow NLCC staff to suspend a license as a result of an investigation.	R	C		The POSSE ABC Enforcement Case outcome driven workflow includes the ability to suspend a license.
F	56	Implement Disciplinary Action	Report Enforcement Activity	The system shall have the capability to associate violation types with standard fines, fees, and penalties.	R	C		The POSSE ABC Enforcement Case outcome driven workflow includes the ability to penalize and charge a fee to license holders. Violation Type Administrator Portal setup includes the ability to associate "Charge Type" to a Violation.
F	57	Implement Disciplinary Action	Report Enforcement Activity	The system shall allow the Liquor Commission to assign fines/fees at NLCC's discretion.	R	C		The POSSE ABC Enforcement Case outcome driven workflow includes the ability to penalize and charge a fee to license holders at NLCC's discretion (manually entered).
F	58	Track Disciplinary Action	Report Enforcement Activity	The system shall have the ability to track information related to the appeal or legal action of a violation (from a complaint or investigation).	R	C		POSSE ABC includes Hearing Workflow that can be created from an Enforcement Case.
F	59	Enforcement Reporting	Report Enforcement Activity	The system shall document enforcement actions taken by license, business, and/or licensee.	R	C		The Enforcement Case includes the ability to document enforcement actions taken by the associated License which includes the related Legal Entity.
F	60	Enforcement Reporting	Report Enforcement Activity	The system shall allow users to search enforcement actions, filtered for a given time period by license, business, and/or licensee.	R	C		Several standard searches are available to search on enforcement data. Additionally, Enforcement Actions can be reported on through the POSSE Ad Hoc Reporting Tool.
F	61	Investigate Potential Violation	Report Enforcement Activity	The system shall have the capability for agents to perform all investigation transactions from a mobile device.	R	C		POSSE Mobile allows an investigator to view their assigned investigations, perform data entry including selection of any violations and comments, including uploading of photos, and complete their assigned investigations.
F	62	Investigate Potential Violation	Report Enforcement Activity	The system shall provide a template for the agent to capture the investigation results using the mobile device.	R	C		POSSE Mobile allows an investigator to capture investigation results in a template format.
F	63	Investigate Potential Violation	Report Enforcement Activity	The system shall allow an agent to view detailed application, license or permit information via a mobile device.	R	C		POSSE Mobile allows an investigator to view detailed information related to the application, license, or permit being investigated.
F	64	Investigate Potential Violation	Report Enforcement Activity	The system shall allow an agent to view detailed information about the investigation request (i.e., in the case of complaints) or investigation details via mobile device.	R	C		POSSE Mobile allows an investigator to view the complaint description of the initial complaint that was submitted
F	65	Investigate Potential Violation	Report Enforcement Activity	The system shall allow an agent to access GIS information through the mobile app to assist in the investigation process.	R	N		POSSE Mobile does not provide this functionality.
F	66	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to access, view, and edit documents and files (assuming mobile software compatibility) associated to investigation records on mobile units.	R	N		POSSE Mobile supports accessing and viewing of documents, but not editing of documents.
F	67	Investigate Potential Violation	Report Enforcement Activity	The system shall allow an agent to create a new investigation from the field using the mobile app.	R	C		POSSE Mobile allows an investigator to create a new investigation from the field.
F	68	Investigate Potential Violation	Report Enforcement Activity	The agent shall be able to take pictures with a mobile device and save them to the investigation record in real time.	R	C		POSSE Mobile allows an investigator to take pictures from the investigation record and save the photos to the record in real time.
F	69	Investigate Potential Violation	Report Enforcement Activity	The system shall allow agent to capture any comments related to the investigation via a mobile device.	R	C		POSSE Mobile includes a large comments field on the investigation record and a comments field for each violation captured.
F	70	Investigate Potential Violation	Report Enforcement Activity	The system shall support the ability to dictate investigation results into a device (e.g., iPhone) that then converts the voice record into text in the System.	R	C		All text fields in POSSE Mobile support the device speech to text capability.

F	71	Investigate Potential Violation	Report Enforcement Activity	If the agent does not have connectivity, the mobile app will operate in an offline mode and upload the investigation data to the System once connectivity is established in the future.	R	C		POSSE Mobile for investigators functions in a connected or disconnected state with automatic refresh once connection is re-established.
F	72	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to send system messages to agent via mobile units.	R	N		POSSE ABC does not provide this functionality.
F	73	Investigate Potential Violation	Report Enforcement Activity	The system shall provide the ability for "retries" of data transmission should connection be lost.	R	C		POSSE Mobile for investigators functions in a connected or disconnected state with automatic refresh once connection is re-established.
F	74	Investigate Potential Violation	Report Enforcement Activity	The system shall provide an ability to transmit data in a bidirectional fashion from the field based on predefined intervals.	R	C		POSSE Mobile provides the ability to transmit data in real time from the field to the POSSE ABC Staff Portal.
F	75	Investigate Potential Violation	Report Enforcement Activity	The system shall automatically transmit investigation results and other updates from the mobile device to the system.	R	C		POSSE Mobile provides the ability to transmit data in real time from the field to the POSSE ABC Staff Portal.
F	76	Investigate Potential Violation	Report Enforcement Activity	The mobile portion of the System shall provide store and forward capability so agents have the capability of working in online or offline modes as necessary.	R	C		POSSE Mobile for investigators functions in a connected or disconnected state with automatic refresh once connection is re-established.
F	77	Investigate Potential Violation	Report Enforcement Activity	The System shall provide an ability to transmit data in a bidirectional fashion from the field based to/from the System based on predefined intervals (e.g., mobile sync every 5 minutes).	R	C		POSSE Mobile provides the ability to transmit data in real time from the field to the POSSE ABC Staff Portal.
F	78	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to provide multiple investigation records at the same time in batch fashion from a mobile device.	R	C		Multiple investigation records are available with one view from the POSSE Mobile user's To Do List. Each investigation will be resulted individually.
F	79	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to initiate enforcement actions in the field with mobile units (e.g., revoke license, violation, etc.).	R	C		POSSE Mobile supports the selection of Violations on an Inspection record. Inspections may be assigned to agents to suspend or revoke a license, but the action to update the license record is done via the Staff Portal through the Case workflow.
F	80	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to allow a customer to sign a document using electronic signature via the mobile device out in the field for example a notice or citation.	R	C		POSSE Mobile includes the ability to have a customer sign the inspection report using an electronic signature.
F	81	Investigate Potential Violation	Report Enforcement Activity	The system shall allow agent to indicate a re-investigation or an additional onsite visit is required and capture any other relevant conditions and/or deadlines in the system via the mobile unit.	R	C		POSSE Mobile includes the ability to result the inspection with follow-up required. Additional details can be captured with the comments field.

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomation, (B)atch, or (N)one Customization (Y/N) Integration w/ 3rd Party Product (Y/N)			Explanation or Comments	
G	1	Trigger Hearing	Trigger Hearing	The system shall automatically trigger a review for hearing based on business rules for audit outcomes, application reviews, and/or enforcement actions	R	C		POSSE ABC allows for NLCC staff to manually add an Application Case or Enforcement Case to a Hearing. This will also be configured for the NLCC Audit workflow. Automatic inclusion of these for a hearing can be configured using our included business rule configuration allowances.
G	2	Trigger Hearing	Trigger Hearing	The system shall allow NLCC staff to manually trigger a hearing based on business rules for audit outcomes and/or enforcement actions.	R	C		POSSE ABC Staff Portal users can manually trigger a Hearing from an Audit Workflow.
G	3	Trigger Hearing	Trigger Hearing	The system shall manage multiple hearing types that are each associated with unique workflow and business rules.	R	C		Multiple Hearing Types can be established via the POSSE ABC Administrator Portal.
G	4	Trigger Hearing	Trigger Hearing	The system shall support hearing types that support an administrative review that occurs within a department.	R	C		The pre-configured best business practice Hearing Workflow supports a Hearing Details step before moving to the Schedule Hearing step.
G	5	Trigger Hearing	Trigger Hearing	The system shall support hearing types that involve one or more reviewers who make a determination (e.g., Hearing Officer, etc.).	R	C		POSSE ABC supports multiple Hearing Types that can involve different reviewers.
G	6	Schedule Hearing	Schedule Hearing	The system shall have the ability to present hearings information in a graphical, real-time "dashboard" display for supervisor review (e.g., a view of all the events scheduled for a particular day on a hearing calendar).	R	C		POSSE ABC displays Hearings in a daily calendar view for scheduling purposes.
G	7	Schedule Hearing	Schedule Hearing	The system should support the scheduling for hearing types that occur periodically on a regular schedule.	O	N		POSSE ABC does not provide functionality for defining a regular schedule for Hearings. NLCC Staff can create manually create Hearings for specific future dates.
G	8	Schedule Hearing	Schedule Hearing	The system should support the scheduling for hearing types that occur infrequently or on ad-hoc basis.	O	C		POSSE ABC supports manual scheduling of Hearings.
G	9	Schedule Hearing	Schedule Hearing	The system should have the capability to configure hearing calendar settings.	O	C		POSSE ABC allows NLCC staff to create Hearings for specific future dates.
G	10	Schedule Hearing	Schedule Hearing	The system should have the ability to populate a hearing calendar with all scheduled hearing events.	O	C		POSSE ABC allows NLCC staff to create Hearings for specific future dates.
G	11	Schedule Hearing	Schedule Hearing	The system shall allow NLCC staff to manually override or alter the hearing calendar as necessary.	R	C		POSSE ABC Staff Portal users can override or alter the daily hearing calendar as necessary.
G	12	Schedule Hearing	Schedule Hearing	The system shall support Hearing Calendars that include a review before a particular governing body that oversees the issue (e.g., NLCC).	R	C		The POSSE ABC Hearing Workflow includes steps for Enter Hearing Details and Send Hearing Documents in which other groups could review the Hearing Details as needed.
G	13	Schedule Hearing	Schedule Hearing	The system shall have the capability to configure Hearing Types for a hearing calendar.	R	C		The POSSE ABC Administrator Portal includes the ability to configure Hearing Types.
G	14	Schedule Hearing	Schedule Hearing	The system shall have the ability to schedule a hearing date manually.	R	C		POSSE ABC Staff Portal users can manually schedule hearings
G	15	Schedule Hearing	Schedule Hearing	The system shall have the ability to schedule a hearing date automatically according to business rules (e.g., next available date).	R	C		Automatic scheduling of hearings can be configured using our included business rule configuration allowances. Please refer to the Scope Comments in Table 14.
G	16	Schedule Hearing	Schedule Hearing	The system shall have the ability to re-schedule an event on a hearing calendar.	R	C		POSSE ABC Staff Portal users can manually re-schedule hearings.
G	17	Schedule Hearing	Schedule Hearing	The system shall have the ability to cancel an event on a hearing calendar.	R	C		POSSE ABC Staff Portal users can manually cancel hearings.
G	18	Schedule Hearing	Schedule Hearing	The system should be able to prevent a hearing date assignment according to calendar data and business rules (e.g., number of hearings allowed per day).	O	C		Automatic exclusion of an agenda item can be configured using our included business rule configuration allowances.
G	19	Schedule Hearing	Schedule Hearing	The system shall allow NLCC Staff (who have the appropriate security privileges) to override hearing/meeting calendar settings and manually assign an application to a hearing/meeting date.	R	C		POSSE ABC Staff Portal users can manually schedule hearings.
G	20	Schedule Hearing	Schedule Hearing	The system shall have the ability to manually enter hearing attendee information for a hearing / hearing event.	R	C		POSSE ABC Staff Portal users can enter Resources and Parties associated with the Hearing record.
G	21	Schedule Hearing	Schedule Hearing	The system shall have the ability to select attendees for a hearing event from contacts already entered into the system (e.g., contacts already associated with an application, licenses, permit, case or other record type related to the hearing).	R	C		POSSE ABC Staff Portal users can enter/select Resources and Parties associated with the Hearing record (from established Resources and from established Legal Entity records already in the system).

G	22	Schedule Hearing	Schedule Hearing	The system shall be able to support enforcing any Agency policies regarding timelines of when an application must be reviewed before the commission (e.g., due date for a hearing).	R	C		POSSE ABC can be configured to enforce Agency policies as business rules using our included business rule configuration allowances.
G	23	Schedule Hearing	Schedule Hearing	The system shall support taking into account any staff recommendations regarding hearing date assignment captured in the System as part of an internal note when manually or automatically scheduling a hearing.	R	C		The Hearing record includes a Requested Date.
G	24	Schedule Hearing	Schedule Hearing	The system shall have the capability to automatically notify attendees (including internal staff) with updates related to the workflow of the hearing (e.g., scheduled dates, due date, outcome of hearing, changes to the hearing).	R	C		POSSE ABC Staff Portal users will be notified based on email notification settings established in their My Profile area. In addition, POSSE ABC includes the ability to link template letters (Microsoft Word format) to workflow within the system. Users can then generate correspondence with just a few clicks and optionally email the generated document.
G	25	Schedule Hearing	Schedule Hearing	The system shall be able to support configurable business rules that govern the assignment of particular types of issues to be assigned to a hearing agenda (e.g., only certain issues can go to a Hearing Officer or NLCC agenda).	R	C		A number of additional business rules configuration has been included in this proposal. Please refer to the Scoping Comments in Table 14.
G	26	Schedule Hearing	Schedule Hearing	The system shall maintain a list of the assigned members of the governing body responsible for issuing a decision (e.g., the Commission).	R	C		POSSE ABC Hearing Workflow includes the ability to track Resources.
G	27	Schedule Hearing	Schedule Hearing	The system shall maintain the contact information for the members of the governing body to facilitate the distribution of documentation, calendar invitations, and other data relevant to the hearing.	R	C		POSSE ABC Hearing Workflow includes the ability to track Resources.
G	28	Schedule Hearing	Schedule Hearing	The system shall allow for changes to hearing dates to be incorporated into Hearing/Meeting Calendar available for public/customer view.	R	C		The POSSE Ad Hoc Reporting Tool can be used to report on hearing dates and includes the ability to automatically distribute reports to a defined file location on a scheduled basis.
G	29	Schedule Hearing	Schedule Hearing	The system shall provide a template to create Show Cause Letter for dissemination to hearing attendees.	R	C		POSSE ABC includes the ability to establish MS Word Merge template letters, pull data from the related records, and generate the letter from a process with the Hearing Workflow. In addition, effort has been included for configuration for the Show Cause Letter.
G	30	Send Show Cause Letter	Conduct Hearing	The system shall support generating the hearing package type required for a hearing, that includes information that can be exported from the system including investigation notes, supporting attachments (photographs), and agent's recommendation.	R	C		Word Templates can be created and attached to Hearing workflow steps for staff to generate reports/letters from the system. In addition, effort has been included for configuration for the Show Cause Letter.
G	31	Prepare of Hearing	Conduct Hearing	The system shall be able to provide a checklist for staff to reference to ensure that all pre-hearing tasks have been completed prior to a hearing occurring.	R	C		All POSSE ABC workflow steps support Administrator Portal setup checklists for internal staff.
G	32	Capture Result of Hearing	Conduct Hearing	The system shall facilitate a structured method to record the hearing outcome including facilitating reporting official results to comply with open meeting laws.	R	C		All POSSE ABC workflow steps support Administrator Portal setup checklists for internal staff.
G	33	Capture Result of Hearing	Conduct Hearing	The system shall capture the disposition of the hearing (approved, denied, etc.).	R	C		POSSE ABC Hearing Workflow supports capturing the Hearing disposition.
G	34	Capture Result of Hearing	Conduct Hearing	The system shall capture the confirmation of conditions proposed through the hearing.	R	C		POSSE ABC Hearing Workflow supports capturing the Hearing disposition. The Conditions can be captured as Case Notes.
G	35	Capture Result of Hearing	Conduct Hearing	The system shall have the ability to capture any outstanding actions and associated due dates that must be fulfilled as a result of the hearing.	R	C		POSSE ABC Hearing Workflow supports capturing the Hearing disposition. Outstanding actions and due dates can be captured in the Hearing Order field.
G	36	Capture Result of Hearing	Conduct Hearing	The system shall have the ability to capture any fees charged as a result of the hearing.	R	C		Fees charged as a result of the Hearing can be entered into the Hearing Order field and captured on the related Enforcement Case.
G	37	Capture Result of Hearing	Conduct Hearing	The system shall have the ability to capture any Disciplinary Actions (e.g., suspension/revocation of a license) as a result of the hearing.	R	C		Disciplinary actions as a result of the Hearing can be entered into the Hearing Order field and captured on the related Enforcement Case.
G	38	Capture Result of Hearing	Conduct Hearing	The system shall provide a structured method for Hearing Staff to record the hearing outcome, including but not limited to the elements below:	R	C		POSSE ABC provides a structured method for Hearing Staff to record the hearing outcome.
G	39	Capture Result of Hearing	Conduct Hearing	Comments/concerns raised during the course of the hearing.	R	C		Comments/Concerns can be entered in the Case Notes area of the Hearing record.
G	40	Capture Result of Hearing	Conduct Hearing	List of attendees.	R	C		The Hearing record includes the Parties and the Resources for the Hearing.
G	41	Capture Result of Hearing	Conduct Hearing	Governing Body members responsible for the hearing and individual recommendations/votes, if applicable.	R	C		The Hearing record includes the Resources for the Hearing. Additional data fields can be added to capture the individual recommendations/votes. A number of additional data field configurations have been included in this proposal. Please refer to the Scoping Comments in Table 14.
G	42	Capture Result of Hearing	Conduct Hearing	Scanning of any documentation produced from the hearing.	R	C		Documentation produced from the Hearing can be uploaded to the Documents Tab of the Hearing record.
G	43	Track Appeal	Track Appeal	The system shall support the association and enforcement of any conditions or stipulations that are applied to an application record, license record, person record, location record, etc. as a result of the hearing (examples below).	R	C		Results of the Hearing will be tracked on the Hearing Record and used to update the Enforcement Case Record for additional actions as required.

G	44	Track Appeal	Track Appeal	Reversal of Violation or Citation	R	C		Results of the Hearing will be tracked on the Hearing Record and used to update the Enforcement Case Record for additional actions as required.
G	45	Track Appeal	Track Appeal	Appealed	R	C		Results of the Hearing will be tracked on the Hearing Record and used to update the Enforcement Case Record for additional actions as required.
G	46	Track Appeal	Track Appeal	The system shall be able to track and enforce hearing outcomes through workflow and license conditions that are implemented in the System (e.g., not limited to outcomes or conditions recorded at the application record level).	R	C		Results of the Hearing will be tracked on the Hearing Record and used to update the Enforcement Case Record for additional actions as required.
G	47	Track Appeal	Track Appeal	The system shall support appeals processes and related workflow.	R	C		POSSE ABC supports the Appeals process through the use of the Hearing Workflow.
G	48	Track Appeal	Track Appeal	The system shall allow staff to log an appeal manually in the system, as well as the following:	R	C		POSSE ABC supports manually entering an Appeal through the use of the Hearing Workflow.
G	49	Track Appeal	Track Appeal	Governing authority currently handling the appeal (district court).	R	C		The authority handling the appeal can be tracked on the Hearing record.
G	50	Track Appeal	Track Appeal	Staff time and activity related to supporting the appeals process.	R	C		Additional configuration has been included to track time entered by staff on all processes.
G	51	Track Appeal	Track Appeal	Documentation created by Staff to support the appeals process.	R	C		Documentation to support the appeals process can be uploaded to the Documents Tab of the Hearing record.
G	52	Track Appeal	Track Appeal	Outcome of the secondary appeal.	R	C		The appeal outcome can be tracked on the Hearing record
G	53	Track Appeal	Track Appeal	The system shall support the consolidation of requests into a report that are typically requested as part of cases to be heard before a court of law.	R	C		Word Templates can be created and attached to Hearing workflow steps for staff to generate reports/letters from the system. In addition, effort has been included for configuration for the Show Cause Letter.
G	54	Track Appeal	Track Appeal	The system shall be able to capture/track if an applicant appeals the result of a hearing (e.g., request submitted through online portal) and automatically kick off related workflow.	R	N		POSSE ABC supports the ability for NLCC staff to record appeals in the Application Case and Case workflow. No provision for appeals to be submitted via the Customer Portal is included in our proposal.
G	55	Track Appeal	Track Appeal	The system shall be able to prevent issuance of a license, permit, or agreement based on the outcome of a hearing (e.g., NLCC must approve special condition or agreement).	R	C		POSSE ABC tracks the outcome of the appeals process (Hearing), the related Enforcement Case will track the impact of the outcome (such as license revocation, suspension, penalty).
G	56	Track Appeal	Track Appeal	The system shall be able to track and enforce post-hearing outcomes, such as further litigation and/or elevation to higher legal proceedings.	R	C		POSSE ABC can enforce post-hearing outcomes such as allowing the creation of additional Hearings.
G	57	Track Appeal	Track Appeal	The system shall track the outcome of the appeals processes, any impact the outcome has on an application or license, and any Agency Staff activity that occurs to support the appeal.	R	C		POSSE ABC tracks the outcome of the appeals process (Hearing), the related Enforcement Case will track the impact of the outcome (such as license revocation, suspension, penalty), and the staff activity associated with both workflows.
G	58	Track Appeal	Track Appeal	The system shall track and manage the appeals process and record relevant actions and outcomes, as well as communications and other artifacts, in the System.	R	C		Actions as a result of the Appeal (using the Hearing workflow) can be entered into the Hearing Order field and captured on the related Enforcement Case. Outcomes are recorded on the Hearing (appeal) record and the Enforcement Case. The records include the ability to upload documents/files and capture communication (MS Word Merge documents) as required.
G	59	Track Appeal	Track Appeal	The system shall maintain an appeal calendar for any appeals that need to be supported and scheduled by Agency staff.	R	C		POSSE ABC displays Hearings (which includes appeals) in a daily calendar view for scheduling purposes.

ID		Category	Sub-Category	Requirement	Required (R) vs. Optional (O)	(C)onfiguration, (A)utomation, (B)oth, or (N)one	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
H	1	Verify Training	Verify Training & Issue Certificate	The system shall allow users to upload training documentation for NLCC review.	R	C			Registered Trainer users can access the POSSE ABC Customer Portal and create course offerings. Documents may be uploaded for each course offering. NLCC staff may access course offerings via the Staff Portal.
H	2	Verify Training	Verify Training & Issue Certificate	The system shall collect user information for issuance of training certifications (email, address, phone number, etc.)	R	C			POSSE ABC supports student registration for a course offering.
H	3	Verify Training	Verify Training & Issue Certificate	The system shall notify NLCC staff when training documentation is submitted to trigger review.	R	C			Registered Trainer users can access the POSSE ABC Customer Portal and create course offerings. Documents may be uploaded for each course offering. NLCC staff may access course offerings via the Staff Portal.
H	4	Verify Training	Verify Training & Issue Certificate	The system shall allow NLCC staff to create a record of training activity, linked to an associated license number.	R	C			The POSSE ABC Education Module provides a link between Student records and their employment to a License through the License Roster.
H	5	Mandate Training	Mandate Training	The system shall allow NLCC staff to mandate training by license number.	R	C			POSSE ABC will be configured to require training for staff employed by a License.
H	6	Mandate Training	Mandate Training	The system shall notify licensees when training is mandated (see Send/Receive Notifications in License Holder Management Tab).	R	C			POSSE ABC will be configured to require training for staff employed by a License. Notification to the Licensee will be triggered via email when an NLCC staff indicates training is required for the License.
H	7	Issue Certificate	Verify Training & Issue Certificate	The system shall collect user information for issuance of training certifications (email, address, phone number, etc.)	R	C			The POSSE ABC Education Module tracks Student records for those who have registered/attended a course offering.
H	8	Maintain Training History	Verify Training & Issue Certificate	The system shall maintain a repository of training certificates, linked to appropriate license numbers and searchable by name.	R	C			The POSSE ABC Education Module provides a link between Student records and their employment to a License through the License Roster.
H	9	Public Education / Outreach / Virtual Learning	Maintain Online Repository of Education Materials	The system shall allow approved NLCC users to publish information to the Customer Portal such as policies, webinars, procedures, news, notifications (i.e., Notification Letters) and other information.	R	C			Documents may be published to the Customer Portal for specific course offerings.



ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomation, (B)oth, or (N)one Customization (Y/N) Integration w/ 3rd Party Product (Y/N)			Explanation or Comments
I 1	Submit Payment	Submit Payment	The system shall have the capability to manage fee types (e.g., renewal fees, permit fees) in the system with configurable workflow and business rules for processing. Examples are below:	R	C		POSSE ABC Administrator Portal Finance area manages fee types and the associated setup and business rules.
I 2	Submit Payment	Submit Payment	Rules to generate the fee	R	C		Conditions for fees can be setup on the Fee Schedule.
I 3	Submit Payment	Submit Payment	Specify if the fee is refundable, eligible to be waived, or voided	R	N		POSSE ABC allows for payment adjustments, but expect NLCC staff to be responsible for determining if specific adjustments can be performed.
I 4	Submit Payment	Submit Payment	Ability to apply a surcharge (e.g., additional fees, returned check fee, etc.).	R	C		Additional Fees (surcharges) can be applied as needed.
I 5	Submit Payment	Submit Payment	General Ledger Account Number, Cost Center, and Fund Number associated with the fee	R	C		The POSSE ABC Administrator Portal Finance area manages the GL account coding for each configured fee.
I 6	Submit Payment	Submit Payment	Effective Date	R	C		Fee Schedules are based on an effective date.
I 7	Submit Payment	Submit Payment	Expiration Date	R	C		Fee Schedules are based on an effective date. In addition, if the license/permit renewal period has expired beyond a certain number of days (grace period), the license/permit cannot renew.
I 8	Submit Payment	Submit Payment	Posting Date	R	C		Receipt posting date is captured.
I 9	Submit Payment	Submit Payment	The system shall allow a System Administrator to easily maintain fees and distributions through a user interface in the system that does not require in depth technical knowledge to configure.	R	C		Maintaining fees and distributions can be accomplished by POSSE ABC business users.
I 10	Submit Payment	Submit Payment	The system shall maintain detailed business rules for fees that are configurable, including but not limited to the following: Description, Department, Amount, History, Distribution Information, Type, Calculation Rules, Active / Expiration Dates.	R	C		POSSE ABC Administrator Portal area meets the intent of the requirement through fee schedule configuration.
I 11	Submit Payment	Submit Payment	The system shall be able to capture fee information in the system for a particular fee charged to the record, including but not limited to: Amount, Description, Date, Code/Type, Status.	R	C		POSSE ABC captures fee information to the record and the legal entity for which it is charged.
I 12	Submit Payment	Submit Payment	The system shall calculate and display a comprehensive view of any outstanding fee(s) due on a record, at the user, project, application, permit or by any level of the license hierarchy (primary vs. secondary licenses).	R	C		Outstanding fee display is available based on the record (e.g., application) and based on the Legal Entity.
I 13	Submit Payment	Submit Payment	The system shall be able to manually assess and charge a fee to a record and assess/take an admin fee that is not related to a "record" (e.g., application, license, permit, investigation etc.)	R	C		POSSE ABC allows a fee to be manually added to a record such as an application (with appropriate status) as well as a manual fee added to a Legal Entity, and not necessarily related to a application.
I 14	Submit Payment	Submit Payment	The system shall be able to automatically assess and charge a fee to a record according to business rules configured in the system.	R	C		POSSE ABC can automatically assess and charge a fee to a record based on Administrator Portal Fee Schedule setup.
I 15	Submit Payment	Submit Payment	The system shall have the ability to trigger the addition of fees by license or permit type.	R	C		POSSE ABC includes the ability to calculate late fees.
I 16	Submit Payment	Submit Payment	The system shall have the ability to pro-rate fees for example based on license category.	R	C		POSSE ABC includes the ability to calculate pro-rated fees.
I 17	Submit Payment	Submit Payment	The system shall have the ability to calculate late fees and notify applicant according to collection timeframe.	R	C		POSSE ABC includes the ability to calculate late fees and generate outstanding fees reports.
I 18	Submit Payment	Submit Payment	The system shall have the ability to associate outstanding payments with a user account, including business accounts and multiple associated individual accounts and by license hierarchy (i.e. primary vs. secondary licenses).	R	C		Outstanding fees will be associated with the responsible Legal Entity and the related record (e.g., application).
I 19	Submit Payment	Submit Payment	The system shall allow for a payment(s) to be voided according to business rules and user permissions (i.e., same day).	R	C		POSSE ABC payments can be voided prior to the Daily Close Procedure, by users with appropriate permissions.
I 20	Submit Payment	Submit Payment	The system shall allow for a fee(s) to be waived according to business rules and user permissions.	R	C		POSSE ABC fees can be adjusted by users with appropriate permissions.
I 21	Submit Payment	Submit Payment	The system shall allow for a fee(s) to be pro-rated according to business rules and user permissions.	R	C		POSSE ABC includes the ability to calculate pro-rated fees, or a user can manually enter a fee amount based on appropriate user permissions.
I 22	Submit Payment	Submit Payment	The system shall apply fees based on unique licenses, license changes, or license type.	R	C		POSSE ABC Administrator Portal Finance area manages fee types and the associated setup and business rules. Fees can be based on a number of conditions including license type, amendment type (license changes), or other conditions.
I 23	Submit Payment	Submit Payment	The system shall have the ability to track penalty and interest schedules, for example based on payment data or when the license was created /added to the shopping cart.	R	C		POSSE ABC can track penalty and interest schedules.

I	24	Submit Payment	Submit Payment	The system shall allow NLCC users to waive or allow for delayed payments as appropriate.	R	C		NLCC users with appropriate permissions can adjust fees, penalty, and interest as needed.
I	25	Submit Payment	Submit Payment	The System shall allow fees to be charged and collected at various points in the workflow process according to pre-defined business rules for a transaction or license/permit type.	R	C		POSSE ABC can charge fees at various points in the workflow as needed.
I	26	Submit Payment	Submit Payment	The System shall support periodic invoicing and payment of invoices within the system.	R	N		Computronix has not included invoicing functionality per the answer to question 111.
I	27	Submit Payment	Submit Payment	The system should require the customer to pay for the oldest renewal first in the case of multiple outstanding payments.	O	C		The oldest outstanding balances are paid first when payments are manually entered via the Staff Portal.
I	28	Submit Payment	Submit Payment	The system shall have the ability to search for the invoice using associated fees, address, payment type, date amount and customer name if the customer does not have an invoice.	R	N		Computronix has not included invoicing functionality per the answer to question 111. Current and historical fees can be accessed from the responsible Legal Entity, applicable workflow, or through searches.
I	29	Submit Payment	Submit Payment	The system shall display via the portal any outstanding payments due associated with the user account by project (i.e., multiple licenses for one user), permit and by license hierarchy (i.e. primary vs. secondary licenses)	R	C		The POSSE ABC Customer Portal will show outstanding payments due based on the Legal Entities (license holders) associated with the user's online account.
I	30	Submit Payment	Submit Payment	The system shall have the ability to itemize outstanding payments associated with permit, applicant and by license hierarchy (i.e. primary vs. secondary licenses).	R	C		POSSE ABC has the ability to itemize outstanding payments.
I	31	Submit Payment	Submit Payment	The system shall have the ability to indicate applicant will pay in person or via mail in lieu of online payment (i.e., allow an applicant to submit an application without paying at that time).	R	C		POSSE ABC Customer Portal can be configured to provide for the applicant to indicate that they will pay in a different way.
I	32	Submit Payment	Submit Payment	The system shall provide a list of all fees currently due with the online application prior to submission.	R	C		POSSE ABC will display all fees due on that application on the last step of the application.
I	33	Submit Payment	Submit Payment	The system shall allow the Customer to review and confirm the transaction prior to submitting for processing.	R	C		The POSSE ABC Customer Portal displays a final screen for review before submitting the application and payment.
I	34	Submit Payment	Submit Payment	The system shall alert the Customer if the online payment transaction is unsuccessful.	R	C		An integration to a payment processor has been included in this proposal. POSSE ABC interface with the payment processor to receive the payment transaction is successful message from that processor to display the message to the customer.
I	35	Submit Payment	Submit Payment	The system shall be able to collect payment online for any outstanding fee associated with the user's account that may not be associated with an application (e.g., violations fees, hearing fees, etc.).	R	C		The POSSE ABC Customer Portal provides the ability to Customers to submit payment for any outstanding fees for the Legal Entities associated with their online account.
I	36	Manage Cash & Checks	Manage Cash & Checks	The system shall provide capability to perform daily reconciliation (e.g., track all transactions performed by a cashier in a business day and support reconciliation processes to compare transactions with actual monies collected) through an interface with the JD Edwards (E1).	R	C		POSSE ABC produces a Daily Close Report for reconciling transactions performed by a cashier based on cash handling area. POSSE ABC will be configured to provide nightly export of payment information for reconciliation/integration with JDE.
I	37	Manage Cash & Checks	Manage Cash & Checks	The system shall provide capability to perform nightly reconciliation between the transactions captured in the Licensing System and JD Edwards (E1).	R	C		POSSE ABC will be configured to provide nightly export of payment information for reconciliation/integration with JDE.
I	38	Manage Cash & Checks	Manage Cash & Checks	The system shall be able to track transactions made by a particular cashier by date and time.	R	C		POSSE ABC provides the ability to track transactions made by a particular cashier by date and time.
I	39	Manage Cash & Checks	Manage Cash & Checks	The system shall allow a cashier to log in and out of the cashiering module (e.g., lunch break, end of day).	R	C		POSSE ABC staff portal users with cashiering access can log in and log out of the system.
I	40	Manage Cash & Checks	Manage Cash & Checks	The system shall allow a cashier to check in a cash drawer and record a starting cash balance to be able to reconcile the ending cash balance at the end of the day.	R	N		POSSE ABC offers functionality for receipting payments but does not offer a Point of Sale Cashiering solution with cash drawer integration capabilities. Computronix has interfaced with other products and is happy to discuss this possibility further if NLCC prefers to have a Point-of-Sale solution for their staff users.
I	41	Manage Cash & Checks	Manage Cash & Checks	The system shall allow a cashier to be able to record the actual amount of cash received for the day to be able to reconcile with the expected amount record by the system.	R	N		POSSE ABC offers functionality for receipting payments but does not offer a Point of Sale Cashiering solution with data capture for cash drawer reconciliation purposes. Computronix has interfaced with other products and is happy to discuss this possibility further if NLCC prefers to have a Point-of-Sale solution for their staff users.
I	42	Manage Cash & Checks	Manage Cash & Checks	The system shall allow a cashier to review the recorded amount of actual cash collected for the day, make authorized changes and if there is a discrepancy between the expected cash balance and counted cash balance, have the capability to notify a Supervisor.	R	N		POSSE ABC offers functionality for receipting payments but does not offer a Point of Sale Cashiering solution with data capture for cash drawer reconciliation purposes. Computronix has interfaced with other products and is happy to discuss this possibility further if NLCC prefers to have a Point-of-Sale solution for their staff users.
I	43	Manage Cash & Checks	Manage Cash & Checks	The system shall allow cashier to prepare a batch for cash deposit.	R	C		The Daily Close prepares daily transactions for deposit.
I	44	Accept Payment	Accept Payment	The system shall have the ability to collect payment manually by staff (e.g., cash, checks, e-checks, debit cards, cashier's check).	R	C		POSSE ABC includes the ability to collect payments manually by staff for cash, check, and cashier's check options. Integration has been included in this proposal for other options such as e-checks, debit cards, credit cards, and ACH with the POSSE ABC Customer Portal.
I	45	Accept Payment	Accept Payment	The system shall support the intake of cash payment by staff.	R	C		POSSE ABC supports the ability for staff to receive cash payments.
I	46	Accept Payment	Accept Payment	The system shall support payment online or processed by staff via Electronic Check or ACH based on the business rules.	R	C	Y	The POSSE ABC Customer Portal will integrate with PayPort and Nebraska Interactive for payment processing.

I	47	Accept Payment	Accept Payment	The system shall have the capability to indicate a check has been returned by the bank and subsequently support the NSF collections process.	R	C		POSSE ABC supports the ability to enter an NSF payment adjustment, create a warning on the associated record (such as the Legal Entity) and to followup on collecting the outstanding amount owed using the outstanding fee(s) information and Case Notes for documenting actions.
I	48	Accept Payment	Accept Payment	The system shall have the capability for personnel to view and sort list of returned checks.	R	C		POSSE Ad Hoc provides the capability to create a report of returned checks and for users to view/sort the information as required.
I	49	Accept Payment	Accept Payment	The system shall have the capability to track accumulation of payment issues for a location, license, or user and apply any pre-defined business rules for future payment transactions.	R	C		POSSE ABC supports NSF adjustments. Business rules can be configured per our configuration allowances included in our Scoping Comments in Table 14.
I	50	Accept Payment	Accept Payment	The system shall have the capability for personnel to remove a returned check from the list according to business rules.	R	C		POSSE ABC Staff can enter adjustments for returned checks. These checks can still be reported on; however, after the NSF adjustment, the original payment amount will appear outstanding on the appropriate related record until the outstanding amount is paid.
I	51	Accept Payment	Accept Payment	The system shall have the ability to pay multiple fees/charges, across multiple applications or licenses, in one transaction online (i.e., shopping cart functionality).	R	C		The POSSE ABC Customer Portal provides shopping cart functionality.
I	52	Accept Payment	Accept Payment	The system shall allow payment for multiple fees on a single license or permit.	R	C		POSSE ABC provides the ability to pay multiple fees on a license/permit.
I	53	Accept Payment	Accept Payment	The system shall allow a user to pay for transactions across multiple licenses associated with their account across multiple locations.	R	C		The POSSE ABC Customer Portal provides shopping cart functionality. Users can pay outstanding fees associated with their online account, regardless of location.
I	54	Accept Payment	Accept Payment	The system shall have the ability to provide unique receipt/transaction number.	R	C		POSSE ABC provides a unique transaction/receipt number.
I	55	Accept Payment	Accept Payment	The system shall allow for a transaction or whole payment(s) to be voided according to business rules and user permissions (e.g., same day).	R	C		POSSE ABC provides the ability to void a payment prior to the Daily Close process, by users with appropriate permissions.
I	56	Accept Payment	Accept Payment	The system shall allow for specific fee(s) to be voided within a transaction or payment according to business rules and user permissions (e.g., same day).	R			POSSE ABC supports fee/payment adjustments.
I	57	Accept Payment	Accept Payment	The system shall allow for fee(s) to be waived according to business rules and user permissions.	R	C		POSSE ABC provides the ability to adjust a fee by users with appropriate permissions.
I	58	Accept Payment	Accept Payment	The System shall be able to calculate annual cost increases, penalties and interest according to configured business rules.	R	C		POSSE ABC can track penalty and interest schedules. POSSE ABC can track Annual Cost Increases through the use of a multiplier on the fee schedule.
I	59	Accept Payment	Accept Payment	The system shall allow for overlap of fee schedules.	R	C		Each fee that is configured can reference a date field for determining if the fee should be calculated, or from which fee schedule it should be calculated (based on the effective dates of the fee schedules).
I	60	Accept Payment	Accept Payment	The system shall have the capability to prevent duplicate payments (for the same fee).	R	C		Prevention of duplicate payments from manual entry are prevented by display of the current outstanding balances.
I	61	Manage Customer Financial Account	Manage Customer Financial Account	The system shall have the ability to capture payment history information that is displayable to all authorized users (not just limited to a cashier), including but not limited to: Payer Information, Payment Method, Date & Time of Payment, Total Amount received per service component (i.e., permit), Itemized Fees paid, Tender Type, Related Record ID (application number, permit number, etc.), Related Invoice information.	R	C		POSSE ABC provides the ability to capture and view the payment information as required, by cashiers and other users based on appropriate permissions.
I	62	Manage Customer Financial Account	Manage Customer Financial Account	The system shall support the assessment, tracking, and processing of all financial-related information and transactions associated with a record in the system.	R	C		POSSE ABC supports charging fees, adjusting fees, accepting payments, adjusting payments, voiding payments and tracking these transactions.
I	63	Manage Customer Financial Account	Manage Customer Financial Account	The system shall support the tracking of collection based on aging liabilities for example, 30, 60 or 90 days late.	R	N		POSSE ABC can include an A/R Aged Report that tracks outstanding amounts owed when invoices are used. However, per the answers from Addendum three Item 111 about invoices we have not included invoicing to handle aging.
I	64	Manage Customer Financial Account	Manage Customer Financial Account	The system shall be able to automatically create collection cases to follow up on collections based on configurable parameters.	R	N		POSSE ABC supports the ability to create a warning on the associated record (such as the Legal Entity) and to followup on collecting the outstanding amount owed using the outstanding fee(s) information and Case Notes for documenting actions.
I	65	Manage Customer Financial Account	Manage Customer Financial Account	The system shall allow manual creation of collection cases to follow up on collections based on configurable parameters.	R	C		POSSE ABC supports the ability to create a warning on the associated record (such as the Legal Entity) and to followup on collecting the outstanding amount owed using the outstanding fee(s) information and Case Notes for documenting actions.
I	66	Manage Customer Financial Account	Manage Customer Financial Account	The system shall provide a comprehensive view of all financial activity that has taken place on a record, at the user, project, and/or application level.	R	C		All financial activity that has taken place on a record will be available via the Fees and Payments Tab. Financial activity is also available from the Legal Entity record.
I	67	Manage Customer Financial Account	Manage Customer Financial Account	The system shall have the ability to generate receipts based on payments.	R	C		POSSE ABC can generate receipts.
I	68	Manage Customer Financial Account	Manage Customer Financial Account	The system shall provide a configurable template to capture relevant application/project information on the receipt (e.g., fee type, transaction date, method of payment, application/project/permit/license number, etc.).	R	C		Receipts are configurable through POSSE Xtra Reports.

I	69	Manage Customer Financial Account	Manage Customer Financial Account	The system shall store the receipt with the application as an original document that is available for future retrieval and audit purposes.	R	C		POSSE ABC stores the receipt with the application record which is available for future retrieval.
I	70	Manage Customer Financial Account	Manage Customer Financial Account	The system shall have the capability to generate a receipt of payment that the applicant can print or download from the online portal.	R	C		POSSE ABC Customer Portal users can download their payment receipt.
I	71	Manage Customer Financial Account	Manage Customer Financial Account	The system shall provide information account history information to the online portal user (i.e. payments made, debts owed) on the transaction performed with NLCC.	R	C		POSSE ABC Customer Portal users can view their payments made and amounts owed from their online account.
I	72	Manage Customer Financial Account	Manage Customer Financial Account	The system shall allow a user to view the history of all past financial transactions associated with the account via the online portal.	R	C		POSSE ABC Customer Portal users can view their payments made and amounts owed from their online account.
I	73	Manage Customer Financial Account	Manage Customer Financial Account	The system shall allow authorized users to view all detailed history and information related to all financial transactions with the Agency, past and present, and on an ongoing basis.	R	C		All financial activity that has taken place on a record will be available via the Fees and Payments Tab. Financial activity is also available from the Legal Entity record.

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomation, (B)atch or (N)one Customization (Y/N) Integration w/ 3rd Party Product (Y/N)			Explanation or Comments
J	1	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow a Supervisor to view all staff previously assigned to an application.	R	C	Staff Portal users can view staff previously assigned to an application via the POSSE Forensic Audit Report.
J	2	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall support the automatic assignment of a workflow task to one or more users according to business rules and other factors (e.g., employee skill sets, availability, location/ districts).	R	C	POSSE ABC automatically assigns the appropriate tasks based on the workflow rules configured in the system.
J	3	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system should allow a user to claim an active workflow task (either assigned or unassigned) and execute it immediately (e.g., does not require an assignment or reassignment step).	O	C	POSSE ABC allows for a user with appropriate permissions to claim and execute a task.
J	4	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall support multiple tiers of assignment of reviews (e.g., an application is first assigned to one individual who then forwards the application to others in that reviewing group to review).	R	C	POSSE ABC provides the ability for users with appropriate permissions to add review steps to a record and assign those steps to appropriate users.
J	5	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall support reassignment of a workflow task from one user to another according to business rules.	R	C	Staff Portal users can assign other users to a workflow task, with appropriate permissions, as required.
J	6	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall support the bulk reassignment of workflow tasks from one user to another according to business rules.	R	C	The POSSE ABC Workload Manager allows bulk reassignment of workflow tasks.
J	7	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall be able to capture the reason for reassignment.	R	C	The reason for reassignment can be entered on the associated task or record.
J	8	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have dashboards configurable by user role.	R	C	POSSE ABC includes a To Do List for Staff Portal users to view task assignments and a Dashboard created from the built in reporting tool, POSSE Ad Hoc. Dashboards are configurable based on user role.
J	9	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow users to configure dashboards to display certain system parameters.	R	C	The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards to display system parameters.
J	10	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide functionality to define specific performance parameters for all workflow tasks by application type, hearing type, license type, audit type etc., provided by NLCC.	R	C	The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for an at-a-glance KPI visualization. This includes reporting on all workflow task details.
J	11	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide configurable "executive" dashboards that provide the necessary, real-time information to support workload management and performance metric tracking (Note: This cannot be satisfied with a report that is manually run by the user).	R	C	The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization and workload display.
J	12	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to visually indicate to a supervisor if performance metrics are approaching or have surpassed configured targets.	R	C	The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization.
J	13	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow the Supervisor to drill down into specific sections of the project as necessary to view details associated with the project (e.g., investigations, audits, collections, renewals).	R	C	Dashboard widgets can use drill-down and direct-linking features to connect the reporting data directly to the corresponding item in the POSSE system.
J	14	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide electronic notifications to the Supervisor before and when predefined performance parameters are exceeded on certain applications or when notable events occur on certain applications/plans.	R	C	POSSE ABC Staff Portal users are notified of task assignment events based on the email settings in the Staff Portal My Profile area. Other internal staff email notifications can be configured based on NLCC business rules per Computronix configuration allowances in the Scoping Comments in Table 14.
J	15	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to view staff workload by various parameters (e.g., day, investigation type).	R	C	The POSSE ABC Workload Manager and POSSE Ad Hoc provide the ability to filter and sort the data as required.
J	16	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow supervisors to view staff details (e.g., skill sets, territories).	R	C	POSSE Ad Hoc reporting tool Dashboards can be created based on the required data.
J	17	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to capture and track workflow metrics against pre-defined metrics (e.g., number of investigations passed on average, number of unassigned investigations, audits leads unassigned, audits in progress).	R	C	The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization.
J	18	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to notify a supervisor if performance metrics are approaching or have surpassed standard metrics.	R	C	The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization. Notification is via the Dashboard View of the data.
J	19	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide the functionality to define specific performance parameters for each record type performed by NLCC.	R	C	The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization.

J	20	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide real-time dashboards (view in the System, not a report) that a Supervisor can access that illustrates the active investigation tasks and statuses (e.g., red, yellow, green).	R	C		The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization.
J	21	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to display record types and workflow metrics and parameters in graphical "dashboard" format (e.g., shows the number of unassigned investigations, pending investigations, audits in progress etc. [not a report]).	R	C		The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization.
J	22	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide visual cues for potential issues with record types or workflow performance (e.g., agent workload reaching maximum threshold, auditor has availability, aging of investigations, liability approaching collections status).	R	C		The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization.
J	23	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall track the types and frequency of record types performed by staff.	R	C		The built in reporting tool, POSSE Ad Hoc, is a powerful report creator and viewer that includes capabilities for creating dashboards for at-a-glance KPI visualization.
J	24	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow for flexibility to allow any Supervisor to reassign record types in the event one of the area Supervisors are unavailable or out of the office.	R	C		The POSSE ABC Workload Manager allows bulk reassignment of workflow tasks. The Workload Manager provides filters by type that can be used for task selection and re-assignment.
J	25	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall maintain a calendar that tracks activities such as month end, deposits, etc.	R	C		Per Addendum Three, Item 116, this question refers to the assignment of a repeated task. POSSE ABC Staff Portal Users will receive notification of assigned tasks via their To Do List.
J	26	Manage Geographic Information	Manage Geographic Information	The system shall be able to generate and print custom reports from the system that include GIS data and mappings.	R	C		The POSSE Map Viewer can be configured to provide a print function, even saving the current map display as an image within the system. Such an image could then be configured to be included in a report definition.  No specific reports including map integration have been included in our proposal.
J	27	Manage Geographic Information	Manage Geographic Information	The system shall be able to track location information in the system in an address format (e.g., street number, street name, street type/ abbreviations, Agency, state, zip code).	R	C		POSSE ABC tracks location information in an address format.
J	28	Manage Geographic Information	Manage Geographic Information	The system shall be able to associate files/documents with an address in the system.	R	C		Files/documents can be associated with addresses via related records in the system such as the Premises or Licenses.
J	29	Manage Geographic Information	Manage Geographic Information	The system shall be able to allow staff to indicate when the mailing address for an application differs from the actual onsite location associated with the license.	R	C		POSSE ABC Staff Portal users can enter both the physical and the mailing addresses for an application.
J	30	Manage Geographic Information	Manage Geographic Information	The system shall prevent workflow from advancing to a certain point (according to business rules) if an application is not assigned a valid parcel number or address.	R	C		A mandatory checklist item included in a workflow process can be used to verify that the address has been validated.
J	31	Manage Geographic Information	Manage Geographic Information	The system shall provide a mechanism to track non-addressable locations in the system.	R	C		Configuration for the ability to track a non-addressed location has been included in this proposal.
J	32	Manage Geographic Information	Manage Geographic Information	The system shall allow issuance of a permit or license that does not require an exact address (e.g., area for beer brand registration).	R	C		Configuration for non-addressed location tracking is included in this proposal.
J	33	Manage Geographic Information	Manage Geographic Information	The system shall be able to provide a suggested address if the address provided by an Applicant does not have an exact match in the system.	R	C	Y	POSSE ABC supports address validation using integration with NLCC's Esri GIS locator service.
J	34	Manage Geographic Information	Manage Geographic Information	The system shall be able to track location information in the system as an intersection of street names.	R	C		The Address object supports a variety of address formats. Street Name Intersections could be used if more accurate information is unavailable.
J	35	Manage Geographic Information	Manage Geographic Information	The system shall be able to track location information via GIS coordinates/pin.	R	C	Y	POSSE Licenses will be geocoded through integration with NLCC's Esri GIS locator service.
J	36	Manage Geographic Information	Manage Geographic Information	The system should be able to track location information as longitude and latitude.	O	C	Y	POSSE Licenses will be geocoded through integration with NLCC's Esri GIS locator service.
J	37	Manage Geographic Information	Manage Geographic Information	The system shall be able to track location information as a GIS pin on a map.	R	C	Y	POSSE Licenses will be geocoded through integration with NLCC's Esri GIS locator service.
J	38	Manage Geographic Information	Manage Geographic Information	The system shall be able to validate information captured in the System (or provided by an Applicant) against the Agency's GIS Central Data Repository (e.g., address is located within Agency jurisdiction).	R	C	Y	POSSE Licenses will be geocoded through integration with NLCC's Esri GIS locator service.
J	39	Manage Geographic Information	Manage Geographic Information	The system shall be able to track violations by location using GIS.	R	C	Y	POSSE Licenses will be geocoded through integration with NLCC's Esri GIS locator service. Violations are recorded against an Inspection which has a related License.
J	40	Manage Geographic Information	Manage Geographic Information	The system shall allow users to view GIS maps without being logged in.	R	C	Y	The License Search available on the Customer Portal will include a Map View of License Locations.
J	41	Manage Geographic Information	Manage Geographic Information	The system shall allow users to execute queries related to GIS data (e.g., search licenses map) without being logged in.	R	C	Y	The License Search available on the Customer Portal will include a Map View of License Locations.
J	42	Manage Geographic Information	Manage Geographic Information	The system shall allow the user to indicate the location of user's business or permit, including parcel, address, or GIS coordinates (or select the location from a map).	R	C		POSSE Licenses will be geocoded through integration with NLCC's Esri GIS locator service.
J	43	Manage Geographic Information	Manage Geographic Information	The system shall provide an option for staff to search for a particular location to see active applications for licenses, permits issued by NLCC, etc. in a designated geographical area on an interactive map that displays active projects (i.e., "What's going on in my neighborhood?").	R	C	Y	The License Search available on the Customer Portal will include a Map View License Locations.

J	44	Manage Geographic Information	Manage Geographic Information	The system shall flag applications that violate license location guidelines, triggered by geographical data.	R	C	Y	The POSSE Map Viewer can display other map layers which can be used by NLCC staff to determine if the license location violates location guidelines.
J	45	Register Alcohol Brand	Register Alcohol Brand	The system shall allow authorized users to report alcohol brand territory with geographical data.	R	C	Y	The POSSE Map Viewer can be configured to support new areas of interest created on the map and tracked and within POSSE ABC (e.g., territory agreements).
J	46	Manage Documents	Record Internal Note on a Record	The system shall provide the ability to perform internal real-time message routing to broadcast information to a predefined group of users (e.g., all assigned reviewers to a cancelled application are notified of the cancellation once it is processed in the system).	R	N		POSSE ABC does not real-time message routing for broadcast information. Generally, if a workflow is cancelled, any incomplete tasks are unassigned to prevent users from continuing to work on them.
J	47	Manage Documents	Record Internal Note on a Record	The system shall allow Staff to append general informational notes to applications, review tasks, or an overall record in the system.	R	C		POSSE ABC includes the ability to add notes via Case Notes for records and a Comments area for workflow tasks.
J	48	Manage Documents	Record Internal Note on a Record	The system shall have a single point to view all notes associated to a record.	R	C		The Case Notes area provides a single area to view all notes associated with the overall record. This does not include the individual task comments.
J	49	Manage Documents	Record Internal Note on a Record	The system shall provide a template for the user to enter an internal note, including but not limited to the elements below: may include dropdown of standard set of comments to choose from (e.g., "Received phone call from Applicant"), and may include a text field to capture customized comments (e.g., "Applicant had a question regarding a license. I provided them with the license information for the property...").	R	C		These specific fields could be configured. A number of data field configurations have been included in this proposal. Please refer to the Scoping Comments Table 14.
J	50	Manage Documents	Record Internal Note on a Record	The system shall pre-populate the template with information about the user entering the note (name, role, date, time).	R	C		These specific fields could be configured. A number of data field configurations have been included in this proposal. Please refer to the Scoping Comments Table 14.
J	51	Manage Documents	Record Internal Note on a Record	The system shall send electronic notifications to other collaborating users when notes are added/modified on the record.	R	N		Customer Portal users can access other user's notes based on appropriate permissions.
J	52	Manage Documents	Record Internal Note on a Record	The system shall have the ability to make application notes private (NLCC staff only).	R	C		Case Notes are only available to Staff Portal users. These Case Notes are not available to Customer Portal users.
J	53	Manage Documents	Record Internal Note on a Record	The system shall allow or disallow the editing or deletion of notes according to business rules and/or user permissions.	R	C		Case Notes can be locked for editing or deletion.
J	54	Manage Documents	Record Internal Note on a Record	The system shall have the capability to record action taken on a record (e.g., approval of application) as a "note," viewable in the same way as manually created notes, capturing the user responsible, and the date and time of the action to manage and view activity taken on a record.	R	C		This detail is all available from the POSSE ABC Staff Portal Forensic Audit Report.
J	55	Manage Documents	Record Internal Note on a Record	The system shall prominently display all notes and flags so that they are not missed by reviewers.	R	C		Flags and Notes display a visual indicator to POSSE ABC Staff Portal users so users are aware that additional information is available.
J	56	Manage Documents	Record Internal Note on a Record	The system shall allow authorized users to edit previous notes on the record.	R	C		Authorized users can edit notes on records that are not locked.
J	57	Manage Documents	Record Internal Note on a Record	The system shall allow authorized users to add notes to a record based on a configurable duration of time since the record was created.	R	C		The ability to add notes based on a configurable amount of time after record creation could be configured. A number of business rules configurations have been included in this proposal. Please refer to the Scoping Comment in Table 14.
J	58	Manage Documents	Manage Documents	The system shall allow a user to upload documentation online via the customer portal.	R	C		POSSE ABC Customer Portal provides the ability for users to upload documents.
J	59	Manage Documents	Manage Documents	The system shall allow staff to upload documentation submitted in paper format, that has been scanned, into the system.	R	C		POSSE ABC Staff Portal provides the ability for users to upload documents.
J	60	Manage Documents	Manage Documents	The system shall allow personnel to upload files and attach them to a record in the system.	R	C		POSSE ABC Staff Portal provides the ability for users to upload documents.
J	61	Manage Documents	Manage Documents	The system shall have the ability to upload multiple versions of the same document and maintain version control.	R	C		POSSE ABC Staff Portal provides the ability for users to upload documents with unique names to support version control.
J	62	Manage Documents	Manage Documents	The system shall provide a way to differentiate between multiple versions of the same document through a naming or numbering convention configurable by NLCC.	R	C		POSSE ABC Staff Portal provides the ability for users to upload documents with unique names to support version control.
J	63	Manage Documents	Manage Documents	The system shall support uploading of documents for "information purposes only".	R	C		POSSE ABC Staff Portal provides the ability for users to upload documents.
J	64	Manage Documents	Manage Documents	The system shall capture metadata regarding the upload, such as the date /time and any file type of the documentation that was uploaded.	R	C		POSSE ABC captures metadata regarding the documents/file uploads.
J	65	Manage Documents	Manage Documents	The system shall have the capability to enforce or automatically generate document naming conventions.	R	C		Configurable user prompts and Help reference materials can guide users in naming conventions when uploading documents.
J	66	Manage Documents	Manage Documents	The system shall provide user-defined template fields to allow users to provide key metadata during the document upload process (e.g., document name, document description).	R	C		Configurable user prompts, Help reference materials, and Document Type dropdown selection can guide users in key metadata when uploading documents.
J	67	Manage Documents	Manage Documents	The system shall have the ability for a user to indicate the document type they are submitting.	R	C		POSSE ABC provides the Staff or Customer Portal users to indicate the document type being submitted.
J	68	Manage Documents	Manage Documents	The system shall have the ability for a user to indicate the document they are submitting is a new version of a previously submitted document.	R	C		POSSE ABC provides the Staff or Customer Portal users to indicate the document type being submitted via the comments field.

J	69	Manage Documents	Manage Documents	The system shall have the ability to associate documentation with one or more records in the system according to business rules (an application, a project, a transaction, a license/permit etc.).	R	C		POSSE ABC provides the ability to associate documentation to a record (such as application); however, that documentation will be easily accessible to other related records via the original record.
J	70	Manage Documents	Manage Documents	The system shall have the capability to export documents and reports from the system (e.g., print, email).	R	C		Word Templates can be created for staff to generate reports/letters from the system. These reports/letters can also be sent via email.
J	71	Manage Documents	Manage Documents	The system shall support electronic signature via the online portal (i.e., click to sign, initial and date indicates electronic signature).	R	N		POSSE ABC uses a checkbox with legal declaration text for application submissions via the Customer Portal in lieu of electronic signature capture.
J	72	Manage Documents	Manage Documents	The system links the electronic signature to the document(s) being signed, if appropriate.	R	C		POSSE ABC Word Merge templates can incorporate a digital signature of the currently signed in user.
J	73	Manage Documents	Manage Documents	The system can apply an electronic signature obtained out in the field via a mobile device to the document they are signing (e.g., Violator signs the investigation report out in the field electronically to confirm receipt).	R	C		POSSE Mobile includes the ability to capture a digital signature on the investigation report.
J	74	Manage Documents	Manage Documents	The system shall have the capability to capture electronic certification (e.g., user agreement with terms and conditions).	R	C		POSSE ABC uses a checkbox with legal declaration text for application submissions via the Customer Portal in lieu of electronic signature capture.
J	75	Manage Documents	Manage Documents	The system shall have the capability to save drafts of generated documents.	R	C		POSSE ABC MS Word Merge template documents can be edited as needed.
J	76	Manage Documents	Manage Documents	The system shall track the users who edited the document and the date/time of changes.	R	C		POSSE Audit tracks all updates, including to documents and tracks user and last updated date/time.
J	77	Manage Documents	Manage Documents	The system shall allow multiple staff to access and collaborate on a document in the system.	R	C		POSSE ABC supports multiple reviewers accessing a single file at the same time. At the point a document has saved to the process it can be accessed by other staff for viewing, but not edited. Any collaborative editing would take place prior to saving the document to the process.
J	78	Manage Documents	Manage Documents	The system shall have the capability to generate and manage multiple document template types, including but not limited to the following: Forms, Letters, Licenses, Permits, Emails.	R	C		POSSE ABC has the ability to manage multiple document template types including document type samples, letters, and emails. License and Permit templates are managed via the POSSE Extra Reports tool.
J	79	Manage Documents	Manage Documents	The system shall be able to track whether a document has been sent to a Customer (and date/time sent).	R	C		Since the documents are attached to the related case, or application, all related activity is tracked.
J	80	Manage Documents	Manage Documents	The system shall have the capability for staff to customize document templates (e.g., edit a letter's standard contents prior to sending to the Customer).	R	C		POSSE ABC MS Word Merge template documents can be edited as needed.
J	81	Manage Documents	Manage Documents	The system shall have the capability to automatically pre-populate templates with data from the system.	R	C		POSSE ABC MS Word Merge template documents can be pre-populated with data from the system.
J	82	Manage Documents	Manage Documents	The system shall have the capability to allow staff to manually select data to populate templates from data sets in the system.	R	C		POSSE ABC MS Word Merge template documents are established in the POSSE ABC Administrator Portal. This is the area where users can manually select data to populate the templates.
J	83	Manage Documents	Manage Documents	The system shall be able to generate documents such as receipts, permits, licenses, letters, etc. that can be posted to the customer portal and available for printing by the user.	R	C		POSSE ABC generates Licenses, License Renewals, Permits, Permit Renewals, and receipts to the Customer Portal for user access for printing.
J	84	Manage Documents	Manage Documents	The system shall have the ability to overlay documents with watermarks.	R	C		Overlays can be generated if the template includes a watermark overlay.
J	85	Manage Documents	Manage Documents	The system shall save documents generated by the system such as licenses, license renewals, and license re-prints.	R	C		POSSE ABC saves documents generated from the system such as Licenses, Permits, License/Permit Renewals, and MS Word Merge documents.
J	86	Report On & Analyze Data	Create Report	The system shall provide built-in ad-hoc reporting capabilities.	R	C		POSSE ABC includes a built in reporting tool, POSSE Ad Hoc.
J	87	Report On & Analyze Data	Create Report	The system shall provide built-in reporting capabilities (e.g., the ability to run reports within the system with report parameters automatically passed to the report (if applicable)) and allow staff to drill into detailed data by clicking on a application or license number.	R	C		The POSSE Ad Hoc reporting tool can use drill-down and direct-linking features to connect the reporting data directly to the corresponding item in the POSSE system.
J	88	Report On & Analyze Data	Create Report	The system shall support scheduled reports that are sent to specific users or user groups. Reports to support multiple formats including PDFs, Excel, Word, CSV, XML, pipe delimited, etc.	R	C		The POSSE Ad Hoc Reporting Tool includes the ability to automatically distribute reports to a defined file location on a scheduled basis. POSSE Ad Hoc reports can be exported to CSV, PDF, Word, Excel, and XML formats.
J	89	Report On & Analyze Data	Create Report	The system shall be able to track licensing at the corporation level.	R	C		POSSE ABC can track licensing at the corporation level.
J	90	Report On & Analyze Data	Create Report	The system shall be able to track the licenses at the ownership level.	R	C		POSSE ABC can track licensing at the ownership level.
J	91	Report On & Analyze Data	Create Report	The system shall be able to track the history of licenses at a location.	R	C		POSSE ABC tracks the history of licenses at a physical address and based on a premises.
J	92	Report On & Analyze Data	Create Report	The system shall have the ability to generate detailed management and analysis reports related to complaints (e.g., types, volumes, etc.).	R	C		The POSSE Ad Hoc reporting tool provides the ability to create management and analysis reports related to complaints.
J	93	Report On & Analyze Data	Create Report	The system shall have the ability to auto-associate a digital permit or license report with the generated license or permit record for storage in the system's document management system.	R	C		POSSE ABC will automatically link the pdf license or permit record with the associated license or permit record. Also included in this proposal is an integration to OnBase. Please refer to Appendix A Tab H. System Interfaces Item G3.



J	94	Report On & Analyze Data	Perform Search	The system shall provide a wide range of ad-hoc searching capabilities to search all data fields in the system and support business needs, such as searching at the project, license, application, location, or person level according to various attributes and multiple search criteria.	R	C		POSSE ABC contains powerful yet simple search capabilities. A variety of different criteria fields can be used to base the search.
J	95	Report On & Analyze Data	Perform Search	The system shall provide the ability to search all data in the system by keyword.	R	C		POSSE ABC pre-configured best practice search panes are extremely user friendly. Both keywords and wildcards can be utilized.
J	96	Report On & Analyze Data	Perform Search	The system shall support sorting of displayed records based on attributes.	R	C		Robust sorting based on the displayed attributes is supported.
J	97	Report On & Analyze Data	Perform Search	The system shall support filtering of displayed records based on attributes.	R	C		Filtering of displayed lists is supported.
J	98	Report On & Analyze Data	Perform Search	The system shall be able to save a search as a template to easily retrieve and execute in the future.	R	C		Searches can be saved by each system user as a favorite.
J	99	Report On & Analyze Data	Perform Search	The system shall have the capability to search for a document by document attributes (document name, date sent, related application, etc.).	R		Y	POSSE ABC tracks all documents in relation to business data (e.g. permit/license). Integration with OnBase OR a new document Search will be configured to meet this requirement.
J	100	Report On & Analyze Data	Perform Search	The system shall be able to export search results in Microsoft Excel format.	R	C		Searches within the POSSE ABC Staff Portal support export of search results to Microsoft Excel. Search results are limited to a number of rows to ensure that system performance is not negatively impacted.
J	101	Report On & Analyze Data	Perform Search	The system shall be able to export search results in .pdf format.	R	C		POSSE ABC Search results are currently available for export to Excel and will be configured to include .pdf format in the export options.
J	102	Report On & Analyze Data	Perform Search	The system shall be able to save search results in the system.	R	C		Searches can be saved by each system user.
J	103	Report On & Analyze Data	Perform Search	The system shall prevent the user from executing a large query or report that will exceed the predefined threshold for the number of results returned that may impact system performance if the report is run.	R	C		Limits for search results can be configured per search and apply to all users of the system.
J	104	Report On & Analyze Data	Perform Search	The system shall provide options for suggested searches if a search does not return a search result.	R	N		POSSE ABC does not provide this functionality.
J	105	Provide Data for Public Consumption	Provide Data for Public Consumption	The application must allow system administrators to define what data elements are and are not visible to the public and to licensees who are logged in.	R	C		POSSE ABC Administrator Portal users can define information visible to Customer Portal Users such as License/Permit Types, Online Messages, and Document Types.
J	106	Provide Data for Public Consumption	Provide Data for Public Consumption	The system shall publish and update appropriate publicly available data sets at a frequency determined by NLCC.	R	C		Searches available to Customer Portal users will be based on real-time data. Additional data sets can be produced from the POSSE Ad Hoc reporting tool, which includes the ability to automatically distribute reports to a defined file location on a scheduled basis.
J	107	Provide Data for Public Consumption	Request Information	The system shall allow the public to submit requests for information to NLCC, triggering a notification to appropriate NLCC staff.	R	C		POSSE ABC includes a pre-configured best business practice request workflow which can be initiated from the Customer Portal. Once submitted, staff will be notified via their To Do List.
J	108	Provide Data for Public Consumption	Perform Search	The system shall allow users to search data in the system that has been designated as displayable to the public via the customer portal without being logged in.	R	C		An anonymous user could access NLCC designated content. POSSE ABC allows for access by anonymous and authenticated users. Any transaction that requires an authenticated user would enforce secure credentials to access the functionality in the Customer Portal. An anonymous user would only be able to access features not required to be authenticated.
J	109	Provide Data for Public Consumption	Perform Search	The system shall return relevant data that matches search criteria entered by the user via the online portal (additional searching and reporting requirements are included in the General Tab).	R	C		The POSSE ABC Customer Portal includes a variety of different criteria fields can be used to base the search on.
J	110	Provide Data for Public Consumption	Perform Search	The system shall allow the data returned in the online portal searches to be exported out of the system (i.e., downloaded in Excel format) if request is allowable (not all information requests may be downloaded).	R	N		The POSSE ABC Customer Portal search does not currently include export capabilities. NLCC could use POSSE Ad Hoc to publish reports to file locations which can then be published on NLCC's website.
J	111	Provide Data for Public Consumption	Perform Search	The system shall allow the data returned in the online portal searches to be properly formatted for printing.	R	N		The POSSE ABC Customer Portal search does not currently include print format capabilities. NLCC could use POSSE Ad Hoc to publish reports to file locations which can then be published on NLCC's website.
J	112	Provide Data for Public Consumption	Perform Search	The system shall provide an option for customers to search for a particular location to see active applications for licenses, permits issued by NLCC, etc. in a designated geographical area on an interactive map that displays active projects (i.e., "What's going on in my neighborhood?").	R	C	Y	The License Search available on the Customer Portal will include a Map View of License Locations.
J	113	Manage Inventory	Manage Inventory	The system shall process keg / law book requests.	R	C		POSSE ABC includes an Information Request workflow that can be used for Law Book Requests. Configuration for keg book requests has been included in this proposal.
J	114	Manage Inventory	Manage Inventory	The system shall allow users to submit keg / law book requests via the online portal.	R	C		POSSE ABC includes an Information Request workflow that can be used for Law Book Requests. Configuration for keg book requests has been included in this proposal. This includes the ability to submit kegbook/law book (information) requests via the POSSE ABC Customer Portal.

J	115	Manage Inventory	Manage Inventory	The system shall notify NLCC staff when a keg / law book request has been submitted.	R	C		POSSE ABC notifies Staff Portal users via their To Do List when a request has been submitted.
J	116	Manage Inventory	Manage Inventory	The system shall maintain an inventory of keg books and law books.	R	N		It is unclear from the RFP what is meant by keg/law book inventory. Computronix welcomes further discussion with NLCC on the scope of this requirement.
J	117	Manage Inventory	Manage Inventory	The system shall maintain a history of keg / law book requests and update the inventory as necessary.	R	N		It is unclear from the RFP what is meant by keg/law book inventory. Computronix welcomes further discussion with NLCC on the scope of this requirement.
J	118	Manage Inventory	Manage Inventory	The system shall maintain a record of keg books numbers purchased by retailers for internal reference by NLCC.	R	C		Configuration for keg book requests has been included in this proposal.
J	119	Manage Inventory	Manage Inventory	The system shall send a notification to NLCC staff if keg / law book inventory drops below a certain number.	R	N		It is unclear from the RFP what is meant by keg/law book inventory. Computronix welcomes further discussion with NLCC on the scope of this requirement.

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (Configuration, (A) Business Rule Automation, (B) Other, or (N) None Customization (Y/N) Integration (W 3rd Party Product (Y/N)				Explanation or Comments	
K	1	N/A	N/A	The system shall provide best practice, configurable workflow templates (e.g., allow for configuration and automation of the common types of events and processes to be performed in the licensing and permitting lifecycle [e.g., application intake and processing, hearings, reviews, etc.]).	R	C			POSSE's flexible configuration tools can be used to accommodate workflows to serve all kinds of business needs. All pre-configured best-practice workflows in the POSSE ABC system have been configured to manage licensing-specific activities.
K	2	N/A	N/A	The system shall allow for the set up of process workflows to include end-to-end process steps and milestones.	R	C			POSSE ABC supports full configuration of workflows, including all process steps, dates, and statuses.
K	3	N/A	N/A	The system shall provide data validation rules to ensure data validity at the time of entry (e.g., prevent an alpha character to be entered into a field that is configured to have only numeric values entered by the user).	R	C			POSSE ABC fully supports data validation at the field level. Date fields must be in a specified date format; numeric fields must be in a specified format and only include numbers; text fields validate the length of text against the maximum allowed.
K	4	N/A	N/A	The system shall provide the ability to configure custom workflows including but not limited to: application, license, permit, document or hearing type, etc.	R	C			Setup for many aspects of the system including rule-based workflow is managed through the Administrator Portal POSSE ABC is built upon the award-winning POSSE configurable business process automation engine that allows for virtually limitless configuration.
K	5	N/A	N/A	The system shall have the ability to support workflow task triggers (scheduled, time-based, condition based, manual, etc.).	R	C			POSSE ABC supports workflow task triggers based on outcome driven workflow.
K	6	N/A	N/A	The system shall have the ability to support workflow task routing (scheduled, time-based, condition based, manual, etc.).	R	C			POSSE ABC review routing is based on assignments established in the ABC Administrator Portal. The business rules can be set up to be based on status code changes. In regards to "manual routing," all processes can be manually re-assigned by users with the appropriate security privileges.
K	7	N/A	N/A	The system shall display all completed workflow tasks and related workflow data (e.g., timestamp, username) in the system to provide a comprehensive view of activity taken on a record.	R	C			POSSE ABC tracks all completed workflow tasks, the associated workflow data, and the associated user data.
K	8	N/A	N/A	The system shall display all uncompleted workflow tasks and related workflow data (e.g., due date, assigned user) in the system to provide a comprehensive view of pending activity that will occur on a record for processing according to the associated workflow.	R	C			Workflow tasks that have been created based on previous steps completed will be displayed on the record (with the associated assigned user and due date). As workflow can often have a more variable nature to it (e.g. what might be standard in one circumstance is non-standard in another) POSSE ABC creates and assigns workflow steps as they are needed, based on business rules. For "future" workflow tasks, POSSE ABC makes the related workflow available to a user via the "Where Am I" images. The "Where Am I" images display the workflow steps, but do not contain specific information about due date or assigned user.
K	9	N/A	N/A	The system shall support reporting on workflow-related transactions (e.g., transaction volume, response time, amount of time a workflow step was in the user's control, operational reporting).	R	C			POSSE ABC tracks the scheduled start date, scheduled due date, and actual due dates for all workflow related transactions and records. These dates can be used for reporting.
K	10	N/A	N/A	The system shall allow clocks for a workflow task to stop and start according to business rules.	R	C			POSSE ABC will be configured for processes to include fields where time may be manually entered. POSSE Mobile provides an automatic start and stop time for inspection tasks based on initial data input and completion time.
K	11	N/A	N/A	The system shall allow authorized users (i.e., supervisor) to override and modify any workflow task progression in the system at any time.	R	C			POSSE ABC allows for overrides, reassignments, or dynamically added tasks to workflow steps. While the business rules engine will normally insert the next task(s) automatically based on the outcome of previous tasks, users can deviate from the prescribed workflow by manually inserting tasks.
K	12	N/A	N/A	The system shall allow an authorized user to modify or otherwise correct the license type (or other pertinent data associated with a record that is impacting its workflow processing rules) to provide the correct information.	R	C			POSSE ABC allows users to edit the license type on an application on the Customer Portal prior to submission.
K	13	N/A	N/A	The system shall allow an authorized user (i.e., supervisor) to edit the workflow history of a record (e.g., to correct errors).	R	C			POSSE ABC allows a manually inserted "Change Status" task, which allows staff to back out a workflow to update the record.

K	14	N/A	N/A	The system shall allow a business user (i.e., non-IT personnel) the ability to add and/or change business rules in the system easily through the user interface (according to user roles/permissions).	R	C		The POSSE ABC Administrator Portal supports the ability to set business rules in the system easily through a user interface.
K	15	N/A	N/A	The system shall retain a revision history for business rule and workflow changes in the system including author, type, date and time of change(s).	R	C		POSSE ABC allows for overrides, reassignments, or dynamically added tasks to workflow steps. While the business rules engine will normally insert the next task(s) automatically based on the outcome of previous tasks, users can deviate from the prescribed workflow by manually inserting tasks. POSSE Audit is enabled for changes made to data on the Administrator Portal.
K	16	N/A	N/A	The system shall have the ability to set an effective date for a business rule or workflow change.	R	C		POSSE ABC supports effective dates on the Fee Schedule configuration in the Administrator Portal.
K	17	N/A	N/A	The system shall allow an authorized user to set an expiration date for a business rule or workflow change.	R	C		Effective date ranges can be applied to all Fee Schedule business rules configured on the POSSE ABC Administration Portal. These dates are referenced by any workflow in the system. Additionally, Expiration dates are calculated/tracked in the system for Permits and Contractor Licenses. For example, permit expiration date can automatically be calculated based on configured business rules (e.g., 6 months).
K	18	N/A	N/A	The system shall have the ability to allow a user with designated privileges to select to roll back (e.g., undo) original business rules configured in a workflow as a group by specified dates, and ignore all new changes after the date.	R	C		POSSE ABC supports roll back of business rules only through manual reversal of configurations, either on the POSSE ABC Administration portal or through the point-and-click Stage configuration tool.
K	19	N/A	N/A	The system shall have the ability to associate workflow tasks to a role in the system (e.g., workflow task is always assigned to [XYZ type] Reviewer) according to business rules configurable in the system.	R	C		Assignment tasks can be configured based on Access Role and User Permissions. Once configured, #PRODUCT ensures all pre-requisites have been met, all business rules have been followed and then takes the appropriate subsequent steps automatically such as generating fees, updating statuses and generating the next workflow step and assigning it to the correct user or group of users.
K	20	N/A	N/A	The system shall support individual user account work queue assignment (i.e., workflow task is assigned to one individual).	R	C		Assignment business rules can be configured in POSSE ABC. A workflow task can be assigned manually, by geography/zone including integration with GIS, by competency, by risk, etc.
K	21	N/A	N/A	The system shall support department-based work group assignment (e.g., workflow task is assigned to Licensing Dept. etc.).	R	C		Assignment business rules can be configured in POSSE ABC Assignments can be made to an individual or group. A workflow task can be assigned manually, by geography/zone including integration with GIS, by competency, by risk, etc.
K	22	N/A	N/A	The system shall support role-based work group assignment (e.g., workflow task is assigned to a user with the role of [XYZ type] Reviewer).	R	C		Assignment tasks can be configured based on Access Role and User Permissions. Once configured, POSSE ABC ensures all pre-requisites have been met, all business rules have been followed and then takes the appropriate subsequent steps automatically such as generating fees, updating statuses and generating the next workflow step and assigning it to the correct user or group of users.
K	23	N/A	N/A	The system shall allow for multiple workflows to be configured in the system that differ across individual business areas according to the requirements (e.g., workflow assignment rules differ by department).	R	C		POSSE ABC is built upon the award-winning POSSE configurable business process automation engine that allows for virtually limitless configuration, including the support of multiple departments' business requirements.
K	24	N/A	N/A	The system shall enforce a workflow routing list definition that supports "if...then" logic.	R	C		POSSE supports the configuration of conditional workflow routing. Specific configurations to modify the pre-configured POSSE ABC workflows have not been included.
K	25	N/A	N/A	The system shall allow a reviewer to have an individual workflow task with a due date and timeline, which may be different from other reviewers' due date and checklist assigned to the same task (e.g., Reviewer 1's due date is in 5 days, #2 is allowed 10 days per their agency's review target).	R	C		POSSE ABC supports any level of granularity for configuration of reviews. Ability to define due dates per review is a manual staff determination for reviews assigned in the Staff Portal.
K	26	N/A	N/A	The system shall provide the ability to perform automatic approval when transactions meet defined criteria (e.g., some permits can be issued automatically via the online portal once payment is made).	R	C		Configuration has been included in this proposal for licenses/permits to be automatically issued, that meet defined criteria.
K	27	N/A	N/A	The system shall provide the ability for a user to view and/or quickly access the last work list item(s) the user was working on.	R	C		A user can leverage the embedded tools of the To-Do List to easily and quickly manage incomplete tasks. The "Current Process" button in the toolbar navigates the user to the last task the current user was working on (and assigned to).

K	28	N/A	N/A	The system shall allow the ad-hoc sorting and filtering of NLCC staff task list.	R	C		The POSSE ABC Staff Portal provides several tools for managing a user's workload. The To Do List incorporates these tools in one central location for quick access and navigation for users. Users and can rearrange as needed to manage their list of responsibilities. Sorting, pinning, prioritizing, categorizing, and delegating are all available from the To Do List. Inspectors in the field have the ability to use their POSSE Mobile To Do List to sort, filter, and set route order.
K	29	N/A	N/A	The system shall support configurable workflow task due dates (e.g., task is always due 10 days from task assignment).	R	C		POSSE ABC supports manual selection of due dates by staff on assigned tasks.
K	30	N/A	N/A	The system shall support configurable workflow task durations.	R	C		Each process and workflow step tracks the scheduled start date and scheduled due date.
K	31	N/A	N/A	The system shall support and allow workflow task assignments (e.g., application, license review, complaint investigations) rules that follow First In First Out (FIFO) approach.	R	C		POSSE ABC supports FIFO approach for task assignment. It is a common best practice to assign a task to a group of users and the first one in can claim the task as their own.
K	32	N/A	N/A	The system shall allow a workflow task to be prioritized over other tasks in the work queue (e.g., Supervisor flags a workflow task to be addressed first in a Reviewer's queue).	R	C		The To Do List in the POSSE ABC Staff Portal provides users/ supervisors the means to prioritize tasks with an Importance or Extreme Importance Flag.
K	33	N/A	N/A	The system shall support workflow tasks that do not need to be assigned (e.g., if a user data-enters an application he or she should not have to assign it to themselves to be able to process it).	R	C		POSSE ABC supports workflow routing based on an group or role. Users may "Claim" a task to insure that other users (part of the assigned group) are not working on it as well.
K	34	N/A	N/A	The system shall support status changes for a record that is driven by the change in status of its underlying workflow tasks (e.g., overall record status updates to "Under Completeness Review" once the Completeness Review task is assigned to a staff member).	R	C		Statuses in POSSE ABC are linked to process (task) completion. When a process is completed, this may or may not trigger a status change. System procedures can then be hooked onto status changes, and these procedures can be used to assign (route) processes based on other business logic.
K	35	N/A	N/A	The system shall support status changes for an individual workflow task.	R	C		POSSE ABC automatically advances workflow statuses as tasks are completed. Staff, with appropriate permissions, can use the Change Status task to manually control the status of workflow.
K	36	N/A	N/A	The system shall support the automatic update of a status change for a workflow task.	R	C		The status of a workflow task can be configured to automatically update according to the completion of other activities. Any time a user attempts to complete an activity, POSSE ABC ensures all pre-requisites have been met and that all business rules have been followed, and then takes the appropriate subsequent steps automatically, such as generating fees, updating statuses, and generating the next workflow step.
K	37	N/A	N/A	The system shall support the manual update of a status change for a workflow task.	R	C		POSSE ABC supports manually updating workflow tasks.
K	38	N/A	N/A	The system shall allow documents to be sent electronically according to defined routing lists and business rules as part of a workflow task, or a communication / notification.	R	C		POSSE ABC has the ability to store and track electronic documents. Typically documents aren't routed; rather, a user will simply access the job as a part of the workflow notification and directly view the document, allowing better user collaboration and tracking of stored documents.
K	39	N/A	N/A	The system shall have the ability to trigger all required downstream workflow related to the issuance of a licenses or permit, configurable by license /permit type.	R	C		POSSE is a robust, scalable and highly configurable work management platform that automates, integrates, monitors and enforces business process rules. POSSE utilizes tools that can easily create and maintain simple to complex business rules. Business rules can be hooked into any part of a workflow as desired, including status updates, process completion which includes milestones and approvals, related records (e.g. conditions and contacts), data updates and more. Serial, parallel, and conditional workflows are all supported by POSSE. As processes change over time, trained staff or Computronix experts can modify business processes configured in POSSE to reflect new business needs.
K	40	N/A	N/A	The system shall have the ability to prevent or allow transaction execution by a user according to the role-based security assigned to the user in the system.	R	C		POSSE ABC restricts access to processes (tasks) based on user security, not user assignment. This allows users to complete processes on another user's behalf, as long as they have the security privileges.
K	41	N/A	N/A	The system shall support configurable security permissions within a user role so that the user role can be custom defined.	R	C		Access privileges are granted and revoked using the role-based security of POSSE ABC. Users can have multiple roles. Roles are used to determine users' group membership, e.g. whether a user is a Reviewer or a Clerk and which business areas a user belongs to, thus which areas the users can access.

K	42	N/A	N/A	The system shall have the ability to create a user name and temporary user password when a Customer account is created (for customer portal accounts).	R	C		POSSE ABC supports online user account registration. The preferred option is to integrate with OAUTH2/OpenID Connect so that POSSE is not managing user names and passwords (e.g., Google, Facebook, AppleID, Microsoft ID, etc.). Alternatively, Computronix can manage user accounts and passwords, though temporary passwords are not issued. Once the information on the registration screen has been provided, the system will send a confirmation email with a link to the website, where a user can confirm their registration.
K	43	N/A	N/A	The system shall send an email to the new user account, using the email entered into the new user account, that the account is ready for activation (for customer portal accounts).	R	C		Customers can register online in real-time to create secure accounts and access their projects and applications online, there is no need for a temporary password. Once the information on the registration screen has been provided, the system will send a confirmation email with a link to the website, where a user can confirm their registration. Password reminder functionality with a security question is also supported.
K	44	N/A	N/A	The system shall allow, based on user role, viewing or accessing information, including documents, modules, screens, fields, etc.	R	C		POSSE ABC security is role based with each user assigned the appropriate roles to ensure access to the appropriate data and capabilities.
K	45	N/A	N/A	The system shall have the capability to allow specific transactions to be performed without a user account.	R	C		POSSE ABC allows for access by anonymous and authenticated users. Any transaction that requires an authenticated user would enforce secure credentials to access the functionality in the Customer Portal. An anonymous user would only be able to access features not required to be authenticated.
K	46	N/A	N/A	The system shall be able to include the user's user name and temporary password in the activation email (for customer portal accounts).	R	C		See Response to K.43.
K	47	N/A	N/A	The system shall be able to include an activation link in the activation email (for customer portal accounts).	R	C		See Response to K.43.
K	48	N/A	N/A	The system shall flag inactive accounts according to business rules (for customer portal accounts).	R	N		POSSE ABC does not flag inactive accounts.
K	49	N/A	N/A	The System Administrator shall have the ability to deactivate and/or suspend user accounts (for customer portal accounts).	R	C		POSSE ABC will be configured to allow NLCC staff to deactivate a Customer Portal user account.
K	50	N/A	N/A	The System Administrator shall have the ability create and modify user accounts (for customer portal accounts).	R	C		User account management screens are included within the POSSE ABC Administrator Portal.
K	51	N/A	N/A	The system shall allow a designated System Administrator(s) to initiate a change to a Customer's username or password (for customer portal accounts).	R	C		User account management screens are included within the POSSE ABC Administrator Portal.
K	52	N/A	N/A	The system shall prevent the creation of an account according to predefined business rules (e.g., account already exists for that individual) (for customer portal accounts).	R	C		The POSSE ABC Customer Portal prevents duplicate accounts by checking that the email address used to register has not previously been referenced. Additional business rules could be configured, if necessary.
K	53	N/A	N/A	The system shall provide a mechanism where an external user can reset a forgotten password.	R	C		The POSSE ABC Customer Portal allows users to request reset of a password, if forgotten.
K	54	N/A	N/A	The system shall allow for staff to merge records to prevent duplicate Customer accounts (for customer portal accounts).	R	N		POSSE ABC features a common search first approach when creating related records within the system. This search first approach minimizes duplicate records.
K	55	N/A	N/A	The system shall provide the ability to designate a secondary approver who is authorized to access the queue and complete a task on behalf of a primary approver when the primary reviewer is unavailable (e.g., Supervisor's designee is authorized to approve an application).	R	C		POSSE ABC's security model allows only authorized users to access or complete appropriate tasks. Assuming the user is authorized, the delegated user would be able to access another user's tasks for completion. Further, these security restrictions and the roles upon which they are based are entirely configurable.
K	56	N/A	N/A	The system shall track licenses in a hierarchy with primary license at the top, then all related secondary licenses / permits associated appropriately.	R	C		Primary and Secondary Licenses/permits will be related in a hierarchical structure.
K	57	N/A	N/A	The system shall support configurable license/ permit application forms for each license/permit type.	R	C		The POSSE ABC Administrator Portal supports the ability, by License/Permit type to setup renewal periods, fees, and associated application questions, document types, and declarations.
K	58	N/A	N/A	The system shall be able to support configurable workflow for the processing of applications for business permits and licenses.	R	C		The system supports configurable workflow to meet this business need via the POSSE ABC Administrator Portal.
K	59	N/A	N/A	The system shall have the ability to specify subcategories for a license.	R	C		POSSE ABC supports Secondary Licenses/Permits that are associated with a Primary License/Permit.
K	60	N/A	N/A	The system shall have the ability for license subcategories to have different fees and expiration dates.	R	C		POSSE ABC supports Secondary Licenses/Permits that are associated with a Primary License/Permit. These Secondary Licenses/Permits can be setup with independent fees and expiration dates from the primary records.
K	61	N/A	N/A	The system shall allow categories to be set as inactive so that users do not receive the option anymore in the user's standard choices.	R	C		Secondary Licenses/Permits can be deactivated.
K	62	N/A	N/A	The system shall allow records that are incomplete to be deleted based on a configurable duration since creation; for example, applications that are never submitted.	R	C		POSSE ABC expires applications which are never submitted and then filters them from view on the Customer Portal dashboards.

K	63	N/A	N/A	The system shall allow categories to be deleted that have never been linked to any record.	R	C		License/Permits types that have never been used or linked to a record can be deleted from the POSSE ABC Administrator Portal.
K	64	N/A	N/A	The system shall support configurable renewal periods, fees, and associated requirements by license type.	R	C		The POSSE ABC Administrator Portal supports the ability, by License/Permit type to setup renewal periods, fees, and associated application questions, document types, and declarations.
K	65	N/A	N/A	The system shall provide the ability to incorporate "checklists" into the workflow process based on the transaction type and/or record type (e.g., XYZ application type).	R	C		POSSE ABC can be easily configured to include checklist requirements on workflow processes. Checklists can be mandatory or optional to Process Outcomes. Checklists are configured on the POSSE ABC Administrator Portal.
K	66	N/A	N/A	The system shall provide the ability to configure checklists at the role level (e.g., each reviewer may have a distinct checklist per review task).	R	C		Using the Administrator Portal, each reviewer can be configured at a different level of review. Additionally, users can configure mandatory and optional checklist items for workflow tasks. Conditional logic can be defined for checklist items.
K	67	N/A	N/A	The system shall have the ability to maintain a list of tasks that have been assigned to a given user in the system (e.g., Task list).	R	C		POSSE ABC includes the ability to manage staff tasks with the Workload Manager and also includes a To Do List for individual users to view and manage their assigned tasks.
K	68	N/A	N/A	The system shall support the activation, inactivation, addition and deletion of licenses and permit types in the system.	R	C		License/Permit types are managed in the Administrator Portal, providing NLCC the ability to add and delete license/permit types as needed. Deletion is prevented if there are data dependencies but records can be deactivated to prevent future use in the system.
K	69	N/A	N/A	The system shall support multiple license and permit types, with varying business rules, workflow, and requirements configurable in the system.	R	C		License/Permit Types are maintained on the Administrator Portal with many business rules pre-configured in the system (e.g. defining Expiration Methods). Each License/Permit Type is setup individually. Workflows can be modified by specifying checklist items on workflow steps (specific to each License/Permit Type) on the Administration website.

# Nebraska Liquor Control Commission (NLCC) Centralized Alcohol Management Project (CAMP)

## Instructions

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Bidder shall complete and submit this Appendix B CAMP Technical Requirements with the proposal response.

For each requirement, bidder should indicate which of the following three options will be used to meet the requirement:

1. **Production Configuration, Business Rule Automation, Both, or None (C, A, B, N)** - Use this column to indicate that the requirement is met by the proposed solution through (C)onfiguration, (A)utomation, (B)oth, or (N)one. If None is selected, indicate if the requirement can be met with the remaining two options.
2. **Product Customization (Y, N)** - Use this column to indicate that the proposed solution meets the requirement through product customization and/or custom developed code. Provide additional details on your response in the Explanation or Comments column.
3. **Integration with 3rd Party Product (Y, N)** - Use this column to indicate that the requirement can only be met through the use and integration with a 3rd party product or solution. Identify the proposed 3rd party product under the Explanation or Comments column.

**Note:**

1. Bidder must address all requirements included in this Appendix B CAMP Technical Requirements, including those marked as (R)equired or (O)ptional.
2. Bidder must return the document to NLCC in excel format.



## Table of Contents

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Category (Tab)	# of Requirements		
	Required	Optional	Total
<a href="#">A. General Technology</a>	35	1	36
<a href="#">B. Enabling Technology</a>	16	2	18
<a href="#">C. Public Web Portal</a>	23	2	25
<a href="#">D. Application Security</a>	42	2	44
<a href="#">E. Mobile</a>	10	4	14
<a href="#">F. Reporting</a>	5	0	5
<a href="#">G. GIS</a>	16	1	17
<a href="#">H. System Interfaces</a>	8	0	8
<b>Totals</b>	155	12	167

ID	Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)utomation, (B)oth, or (N)one	Business Rule Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
A	1	Database	The system shall utilize a relational database management system (RDBMS) and support Structured Query Language (SQL) capabilities.	R	C		POSSE ABC is deployed on an Oracle database.
A	2	Database	All data that is managed by the system (e.g., configuration, transactions, etc.) shall be stored in the database repository – any exceptions must be clearly identified.	R	C		All data is stored within the POSSE ABC database with the exception of documents which will synchronize to OnBase.
A	3	Database	The system database shall provide logical separation of configuration tables from data tables.	R	C		POSSE ABC stores configuration data in separate database schema and tables from business data.
A	4	Database	The system shall support an online data dictionary and table relationships that describes and maintains information on each data element including data element name and type, PII data, description of the data element, and the format of each data element.	R	C		POSSE ABC includes a data dictionary for the POSSE ABC reporting datamart. This documentation is available in electronic format, though is not published online.
A	5	Infrastructure	The system shall provide a flexible and scalable solution that is compliant within NLCC technical architecture guidelines (e.g., security, platform, network, web, etc.).	R	C		
A	6	Infrastructure	The system shall support Windows and Linux as server Operating Systems, utilized by NLCC.	R	C		
A	7	Infrastructure	The system shall fully support the latest Microsoft current business branch. NLCC leverages Office 365 as its subscription-based Office Suite.	R	C		
A	8	Infrastructure	The system shall be capable of utilizing the NLCC Email infrastructure which is expected to be Office 365 Subscription services for sending and receiving automated or informational emails.	R	C		POSSE ABC integrates with email via an SMTP server for the sending of emails from the application.
A	9	Infrastructure	The system shall be a web-based application with logical and physical separation of the presentation, business logic, and data layers.	R	C		
A	10	Infrastructure	The system shall provide an extensible data model and user interface that is configurable.	R	C		
A	11	Infrastructure	The system shall support sending authenticated emails or SMS messages to support the Technical Requirements and Functional Requirements.	R	C		POSSE ABC integrates with email via an SMTP server for the sending of emails from the application. SMS message integration is possible but has not been included in our proposal.
A	12	Infrastructure	The system shall provide a comprehensive, complete solution that minimizes the use of any third-party products.	R	C		

ID		Type	Requirement	(R)required or (O)optional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
A	13	Infrastructure	The system shall provide two independent web portals that share the same back-end process workflows and configurations: (1) Staff portal that is not accessible by the public, (2) Public facing portal for customers and general public access. Each portal would provide different levels of functionality and data access that is configurable by NLCC.	R	C			This functionality is met using the 1) POSSE ABC Staff Portal and 2) POSSE ABC Customer Portal.
A	14	Infrastructure	The system should provide data import functionality to import data from external data stored in a delimited data file format (e.g., comma, tab, etc.) based on user security profiles.	O	C			POSSE APIs support data import capabilities from external data sources; however, such imports are to be defined as interfaces. Please refer to tab H. Systems-interfaces for the interfaces included in this proposal.
A	15	Infrastructure	The system shall provide data export functionality to export data into a delimited data file format (e.g., comma, tab, etc.) based on user security profiles.	R	C			The POSSE ABC Staff Portal supports export of all search results to Microsoft Excel. POSSE Ad Hoc supports data exports to several file types.  POSSE APIs support data export capabilities; however, such exports are to be defined as interfaces. Please refer to tab H. Systems-interfaces for the interfaces included in this proposal.
A	16	Infrastructure	The system shall track and display online users, user-specific activities, system uptime, transaction response times to demonstrate system is operating within acceptable levels.	R				
A	17	Infrastructure	The vendor shall install or provide multiple environments to support the development lifecycle which at a minimum includes development, staging, and production environments.	R	C			The standard deployment includes Computronix internal development and testing environments and client environments of training, user acceptance testing, production, production support and a conversion environment which is only available during the data conversion activities of the implementation project.
A	18	Infrastructure	The system shall be compatible with NLCC antivirus software (FireEye) that is running on the servers and desktops.	R	C			As a hosted solution, Computronix will run its own antivirus software on servers. The State can run FireEye for its own servers and desktops.

ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
A	19	Maintainability	The system shall support upgrade capability that allows NLCC to upgrade to the latest version of the vendor's product without requiring NLCC staff to reconfigure the system.	R	C			POSSE supports upgrades that do not require NLCC staff to reconfigure the system. Occasionally, feature deprecations or technology updates do require some configuration, but this does not apply to the entire configuration of the system, and deprecations are communicated well in advance of actual removal from the product.
A	20	Maintainability	The system shall employ data quality assurance techniques, including but not limited to: input masks, drop down lists with standard responses, application completeness requirements, data validation logic.	R	C			POSSE ABC includes these data quality assurance techniques where applicable.
A	21	Maintainability	The system shall utilize naming conventions and standards, at a minimum, for data elements, entities and tables, programs, report names based on Industry standards and guidelines; relative to NLCC-vendor negotiations concerning system performance and total cost of ownership (TCO).	R	C			POSSE ABC design standards include naming conventions and standards, which shall be followed for any State-specific configurations.
A	22	Maintainability	The solution functionality and associated business rules shall have the ability to be configured and re-configured (through tools that may not require "code" modifications).	R	C			POSSE ABC supports business rule configuration via the POSSE ABC Administrator menu and the Stage configuration tool.
A	23	Maintainability	The screens shall be highly re-configurable, providing the ability to reposition and rename field labels, remove or "turn-off" unused fields, maintain data, and allow the addition of custom-defined fields based on user security profiles.	R	C			POSSE ABC supports the ability to reposition and rename field labels, remove or turn off unused fields, and add custom-defined fields using the Stage Configuration tool. Please refer to our proposed configuration allowances for the number of field changes included in this proposal.

ID		Type	Requirement	(R)required or (O)optional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
A	24	Maintainability	The system shall provide the ability to configure and manage business data validation rules.	R	A			POSSE ABC supports the configuration of business rules. The Administrator menu allows Staff to define many business rules (e.g., license expiration logic). Please refer to the proposed configuration allowances for the number of business rules in addition to the pre-configured POSSE ABC product, included in this proposal.
A	25	Maintainability	The system configuration shall be manageable through a graphical user interface.	R	C			POSSE ABC supports configuration via the POSSE ABC Administrator menu and the Stage configuration tool.
A	26	Maintainability	The system workflow shall be managed through the product's business process flow tool.	R	C			POSSE ABC supports workflow configuration using the Stage configuration tool.
A	27	Maintainability	The system shall provide the ability to identify configuration differences between two environments and migrate or sync environments (e.g., promote configurations from development to test environments).	R	C			POSSE ABC manages configuration changes in change sets which are migrated between environments using the Marshal application.
A	28	Performance	The system shall have the ability to support a 99.9% availability — excluding planned maintenance.	R	C			The Computronix Hosting SLA meets this uptime requirement.
A	29	Performance	The system shall have the ability to meet the System Recovery Time Objective (RTO) of no more than 2 hours – this is the maximum time system can be offline before services are restored to end users.	R	N			Computronix standard Recovery Time Objective (RTO) is 48 hours with a Recovery Point Objective (RPO) of 4 hours, although we can achieve a shorter recovery time if there is no need to immediately recreate all interfaces. Computronix welcomes discussion with the NLCC to clarify pricing for improving upon these service levels.

ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
A	30	Performance	The system shall have the ability to meet the System Recovery Point Objective (RPO) of no more than 1 hours – this represents the frequency for capturing snapshots of data in an offsite or backup location.	R	N			Computronix standard RTO is 48 hours with anRPO of 4 hours, although we can achieve a shorter recovery time if there is no need to immediately recreate all interfaces. Computronix welcomes discussion with the NLCC to clarify pricing for improving upon these service levels.
A	31	Performance	The system shall be able to support 50 concurrent staff users who will perform ad-hoc real-time reports.	R	C			
A	32	Performance	The system shall be able to support 50 concurrent staff users who will run standard report requests.	R	C			
A	33	Performance	The system shall be able to support 4,000 concurrent customers accessing the public portal.	R	C			
A	34	Performance	The system shall support an initial staff user base of 50 users with an annual growth rate of 3%.	R	C			
A	35	Performance	The system shall support an initial customer user base of 20,000 users with an annual growth rate of 5%.	R	C			
A	36	System Wide	The system shall support digital electronic signatures.	R	C			POSSE ABC allows for users to have a digital signature imaged associated with their user account. This signature can be applied to Word Templates that users generate in the Staff Portal and when editing is completed, the user can "Sign and Save" the document which adds the signature image (if desired) and converts the word document to a static PDF, preventing further edits. Additionally, POSSE Mobile includes signature capture when completing an inspection.

ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)utomation, (B)oth, or (N)one	Customization (Y/N)	Integration (w 3rd Party Product (Y/N)	Explanation or Comments
B	1	Application Configuration	The system shall have the capability to manage the end-to-end submission and processing of an application as defined in the functional requirements.	R	C			POSSE ABC includes a pre-configured New License Application workflow.
B	2	Application Configuration	The system shall use configurable "number schemes" to uniquely and consistently identify data records (e.g., customer, application, etc.) through the process that spans across multiple divisions.	R	C			POSSE ABC includes pre-configured "number schemes" for uniquely identifying records.
B	3	Application Configuration	The system shall provide an internal web-based solution for staff to review, process, and manage applications.	R	C			The POSSE ABC Staff Portal provides this functionality.
B	4	Application Configuration	The system shall provide a public facing web-based solution for customers to submit, manage, and track their applications.	R	C			The POSSE ABC Customer Portal provides this functionality.
B	5	Application Configuration	The system shall support and enforce configurable data validation rules and conditions to ensure data integrity consistency throughout the application process.	R	C			POSSE ABC enforces data integrity and validation rules.
B	6	ECM	The system shall have built-in viewers/converters for a wide variety of file types such as Word, Excel, Images, PDFs.	R	N			POSSE ABC stores documents in native file formats and users may open files with the default file type viewer (e.g., Adobe for .pdf, Word for .docx, etc.).
B	7	ECM	The system shall integrate with security access rules when accessing documents.	R	C			POSSE ABC's role-based security also applies to documents.
B	8	ECM	The system shall provide records management in accordance with NLCC retention policies.	R	N			POSSE ABC does not store any sensitive or confidential data by default. If required/desired by the NLCC, field-level encryption is possible within POSSE at an additional cost per field. This encryption prevents unauthorized attempts to access encrypted data. Data classification (e.g. public, private, sensitive/confidential) is assumed to be the responsibility of the NLCC.
B	9	ECM	The system shall support and handle documents with no maximum file size limits. NLCC shall have the ability to define the maximum file size.	R	C			POSSE ABC can accommodate files with no specific limit; however, as a web-based system, consideration for users bandwidth and latency should be considered for file uploads.

ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
B	10	Infrastructure	The system should provide the ability to transfer large files via secure FTP, email, (up to 4 GB total).	O	N			See response to B.9. As this requirement is optional, we have not included any special provisions for the use cases requiring large file transfers.
B	11	KPI	The system shall provide workflow analytics capability that integrates with the workflow processing.	R	C			POSSE ABC workflow tasks capture created date and completion date. This can be reported on through POSSE Ad Hoc.
B	12	KPI	The system shall provide workflow-based metrics to be used in Key Performance Indicators.	R	C			POSSE ABC workflow tasks capture created date and completion date. This can be reported on through POSSE Ad Hoc.
B	13	KPI	The system shall provide configurable dashboards that can display Key Performance Indicators.	R	C			POSSE Ad Hoc supports State created dashboards.
B	14	KPI	The system shall provide reporting capability on workflow analytics.	R	C			POSSE ABC workflow tasks capture created date and completion date. This can be reported on through POSSE Ad Hoc.
B	15	KPI	The system should provide the ability to publish select KPIs to the customer portal that can be managed by NLCC staff.	O	C			POSSE Ad Hoc supports export of reports to a file, which the State can publish online.
B	16	Rules Automation	The system shall provide configurable processes and rule automation to support the application processing by using a consistent set of rules across the organization that are defined once and shared by both customer and staff portals. The system shall also support updating or modifying these rules/processes to meet regulatory or legal changes as necessary.	R	C			POSSE supports the configuration of business rules. The Administrator menu allows Staff to define many business rules (e.g., license expiration logic) which apply to both the Staff Portal and Customer Portal where applicable. Please refer to the proposed configuration allowances for the number of business rules in addition to the pre-configured POSSE ABC product, included in this proposal.



ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
B	17	Workflow Configuration	The system shall be capable of easily adapting the workflow configuration to business needs (e.g., business rules, fee structures, etc.) through a change in configuration settings.	R	C			POSSE ABC supports the configuration of business rules. The Administrator menu allows Staff to define many business rules (e.g., license expiration logic, fee schedules, etc.) which apply to both the Staff Portal and Customer Portal where applicable. Please refer to the proposed configuration allowances for the number of business rules in addition to the pre-configured POSSE ABC product, included in this proposal.
B	18	Workflow Configuration	The system shall provide workflow alerts to staff and applicant based upon process time settings defined by NLCC.	R	C			POSSE ABC supports the setting of due dates on workflow tasks. Due dates are visible/sortable on users' POSSE To Do Lists.

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C	1	Configuration	The vendor shall provide out-of-the-box web components that allow NLCC to configure the layout for the customer web portal.	R	C		POSSE ABC includes a pre-configured Customer Portal. Portions of the Customer Portal will be configured during the implementation project per the in-scope business processes and requirements.
C	2	Configuration	The system should allow the customer to configure their view and save their preferences.	O	N		POSSE ABC does not support customer configuration of the Customer Portal.
C	3	Configuration	The customer web portal shall support robust search capabilities to locate information or data records quickly.	R	C		The POSSE ABC Customer Portal includes preconfigured searches for Licenses and Registered Brands.
C	4	Configuration	The system shall have a customizable online documentation, interactive help, and training materials such as context-specific help, search capability, organization-specific business process documentation and process maps.	R	N		The POSSE ABC Customer Portal is very intuitive and user-friendly and does not currently include integrated online help documentation. Some customers have created supplemental help documents and videos and published them online. Computronix welcomes further discussion with the State to determine the scope of this requirement.
C	5	Configuration	The system shall provide NLCC configurable error messages specifying field and error description upon submission of electronic forms and digitized documents when business validation rules are not met.	R	C		POSSE ABC features plain language error messages which highlight the specific fields or data validation resulting the error so that users can address them.
C	6	Configuration	The system shall allow users to set display preferences such as language, font size, and colors to improve application usability/accessibility.	R	C		The POSSE ABC Customer Portal is WCAG Level 2.0 AA compliant. It supports multi-lingual capabilities but does not allow users to set font size or colors. English is included in this proposal. Translation tools can be provided (export/import of .po files) for the NLCC to implement other translations if desired.

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C	7	Configuration	The system shall support the ability to display system-wide messages throughout the customer web portal without code changes.	R	C			The POSSE ABC Customer Portal provides session messages to users based on their actions (e.g., application submitted successfully, payment submitted successfully). Appropriate error messages are raised to users throughout the POSSE ABC Customer Portal.
C	8	Configuration	The system shall support the ability to display system-wide messages throughout the customer web portal without code changes (i.e. a system wide message about a planned outage).	R	C			The POSSE ABC Customer Portal provides a session message to users for upcoming system maintenance outages.
C	9	EDMS	The system shall have the ability to support attachments via the web portal and through mobile devices.	R	C			POSSE ABC supports document uploads with application submissions via the Customer Portal.
C	10	General	The customer web portal shall be developed with the latest web design techniques and development technologies.	R	C			The POSSE ABC Customer Portal features very modern design techniques (e.g. Material Design/Material UI: Web accessibility, multilingual capacity) and development technologies (React JS: JS Framework).
C	11	General	The customer web portal shall provide consistent site navigation.	R	C			
C	12	General	The system should provide spell checking functionality of free-form text fields.	O	C			POSSE ABC supports native browser spell checking functionality.
C	13	General	The system shall provide clear navigation path that describes or illustrates where the user is located within the web portal (e.g., breadcrumbs, heading titles, etc.).	R	C			The POSSE ABC Customer Portal includes clear and consistent use of heading titles and wizard step controls.
C	14	General	The system shall provide the ability for the user to perform data entry tasks that minimize the use of a mouse (or pointing) device (e.g., tab sequencing of fields).	R	C			The POSSE ABC Customer Portal supports tab sequencing of fields.
C	15	General	The system shall provide responsive design to support multiple display form factors (e.g., mobile devices, desktop displays, etc.)	R	C			The POSSE ABC Customer Portal includes responsive design.
C	16	General	The system shall have the ability to link to NLCC main online web help portal to request help or submit an online comment or feedback.	R	C			The POSSE ABC Customer Portal menu includes a "Contact Us" link which is configured to navigate to the NLCC online web help portal (external to POSSE ABC)

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C	17	General	The system shall provide the ability to Save/Exit an application at any point in the application submission process.	R	C		Online users may Save/Exit an application at an time through the application wizard.
C	18	General	The system shall provide the customer with the ability to register and update its online profile.	R	C		
C	19	General	The system shall provide collaborative web browsing capability that allows staff to review the application as the customer complete it online.	R	N		POSSE ABC supports searching for and viewing of saved draft applications via the Staff Portal though the internal view differs from the Customer Portal view.
C	20	General	The system shall provide the ability for NLCC Staff or Registered Online users to reset passwords based on NLCC specified password requirements.	R	C		POSSE ABC integrates with OAUTH 2.0/OpenID Connect for Customer Portal authentication (e.g. Google, Facebook, AppleID, etc.).
C	21	General	The system shall maintain a log of user activity, by user account to be accessed by NLCC staff for reference.	R	C		POSSE ABC includes field-level audit trails which capture the user who performed an update, when it occurred, and what the previous and current values are. The POSSE ABC Staff Portal includes both a History Report and a Forensic Audit Report in applicable areas.
C	22	Infrastructure	Customer web portal configurations shall be maintained and also provide backward compatibility after a product upgrade.	R	C		POSSE configuration continues to work following future POSSE product upgrades.

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C	23	Infrastructure	The customer web portal shall support all of the latest (and one version prior) desktop and mobile browsers (e.g., IE, Edge, Firefox, Chrome, Safari, etc.).	R	C		<p>As a fully browser deployed end user solution, POSSE is supported on the following browsers (with JavaScript enabled):</p> <ul style="list-style-type: none"> <li>•Current versions of Chrome and Firefox on Windows and Mac OS/X</li> <li>•Current version of Microsoft Edge on Windows</li> <li>•Current version of Safari on iOS and Mac OS/X</li> <li>•Microsoft Internet Explorer 11</li> </ul> <p>The POSSE Customer Portal supports the latest version of the following browsers:</p> <ul style="list-style-type: none"> <li>•Chrome – on Windows, macOS, and Android</li> <li>•Edge – on Windows</li> <li>•Firefox – on Windows and macOS</li> <li>•Safari – on macOS and iOS</li> </ul> <p>Internet Explorer is not supported. Browser variants for other operating systems may also work; however, there is no official support. Note that older browser versions are not supported as browser auto-updates are frequent, and often correct previous anomalies.</p>
C	24	Infrastructure	The customer web portal shall be fully integrated with the License system and not use separate databases or batch synchronizing processes.	R	C		The POSSE ABC Customer Portal is fully integrated with the POSSE database.
C	25	Interface	The system shall support online payments and work with the interface defined on Tab H.	R		Y	The POSSE ABC Customer Portal will integrate with PayPort and Nebraska Interactive per our responses to requirements H5 and H6.

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D	1	Authentication	The system shall require user authentication before the user can access certain business functions. The system shall allow staff and customers the ability to perform certain business functions including, but not limited to: review statuses, comments, etc. without logging into the system. The system shall be configurable by NLCC through security permissions.	R	C		The POSSE ABC Customer Portal supports unauthenticated user functions including user registration, license search, complaint submission, and application protest submissions. The POSSE ABC Staff Portal requires authentication.
D	2	Authentication	The staff system shall enforce NLCC password policies (e.g., password expiration, password strength) based on policies defined in external active directory services.	R	C		Computronix has included integration with Active Directory for NLCC password policy enforcement.
D	3	Authentication	The staff system shall not store any user credential information as Active Directory maintains the password.	R	C		With integration with Active Directory and OAuth/OpenID Connect for user authentication, POSSE ABC does not store passwords.
D	4	Authentication	The system shall support different policy and procedures for handling login issues (e.g., automatically inform the customer to reset the password after a certain number of incorrect attempts).	R	C		POSSE ABC includes integrations with Active Directory and Oath/OpenID Connect for user authentication.
D	5	Authentication	The system shall support user profiles that allow users to configure and save their system preferences to their user profile (e.g., user information, notification preferences, screen/table views, etc.).	R	C		User profiles are supported in both the Staff and Customer portals. Control of screen/table views is not supported from the user profile.
D	6	Authentication	The system shall not use "generic" user accounts. System-specific user accounts are acceptable. Please describe how your system works with departments that support shifts such as Fire department.	R	C		All users accessing the Staff Portal require their own user account and user license.
D	7	Configuration	The system shall allow data to be classified as sensitive or confidential information.	R	C		POSSE does not store any sensitive or confidential data by default. If required/desired by the NLCC, field-level encryption is possible within POSSE at an additional cost per field. This encryption prevents unauthorized attempts to access encrypted data. Data classification (e.g. public, private, sensitive/confidential) is assumed to be the responsibility of the NLCC.

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D	8	Configuration	The system shall provide the ability to mask input fields for sensitive or confidential information.	R	C		See response to requirement D.7.
D	9	Error Handling	The system shall provide minimal error information in the event of authentication failure (e.g., "login fail" instead of "user not found" or "password incorrect").	R	C		POSSE ABC provides minimal error information in the event of authentication failure.
D	10	Error Handling	The system shall provide a protective measure to prevent, detect, and log unauthorized attempts to access the system (e.g., # of invalid login attempts).	R	C		Computronix has included integration with Active Directory for NLCC password policy enforcement.
D	11	Error Handling	The system shall minimize exception handling information disclosure in case of an exception.	R	C		
D	12	Error Handling	The system shall return generic error messages to the client, to avoid disclosure of sensitive information.	R	C		See response to requirement D.9.
D	13	Error Handling	The system shall provide a graceful error-handling process and does not rely on internal server error handling process (e.g., IIS, Windows OS).	R	C		
D	14	Error Handling	The system shall log all errors that include severity, date/time, error description, and error codes. Need the ability to clear system logs.	R	C		
D	15	Error Handling	The system should provide notifications (e.g., email, text, etc.) to assigned administrators for configurable severity error levels.	O	N		
D	16	Error Handling	The system shall have the ability to prevent, detect, and log unauthorized attempts to access information classified as sensitive or confidential data.	R	C		Computronix has included effort to implement field-level encryption of up to three fields (e.g., FID #, Sales Tax #, SSN) and logging is incorporated in to the implementation for how users may access this information.
D	17	Error Handling	The system shall provide configurable audit logging on transactions and activities a user may perform.	R	C		POSSE ABC includes field-level audit trails that capture the user who performed an update, when it occurred, and what the previous and current values are. The POSSE ABC Staff Portal includes both a History Report and a Forensic Audit Report in applicable areas.
D	18	Error Handling	The system shall, at a minimum, include the following attributes for each audit log record: IP address, user account ID, date/time stamp, event source, device/browser information, the outcome of an event (success or failure), and any other supplemental information related to the event.	R	N		See response to requirement D.17.

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D	19	Error Handling	The system shall provide the ability to send notifications (e.g., email, text) based on configurable audit log activity (e.g., system usage exceeds a certain threshold).	R	C			POSSE ABC does include the ability to send notifications but such notifications are not built into the POSSE Audit function described in response to Requirement D.17. Email Notifications can be configured based on NLCC business rules per our proposals included configuration allowances.
D	20	Error Handling	The system shall prevent unauthorized modifications or deletions of audit log records.	R	C			
D	21	Error Handling	The system should provide reporting capability to query for audit log records matching specific criteria (e.g., audit logs for a specific user between certain dates).	O	C			See response to requirement D.17.
D	22	Error Handling	The system shall provide the canned reports such as error and exception reports, usage reports, etc.	R	N			POSSE ABC does not include canned reports for errors, exceptions and usage. Computronix welcomes discussion with NLCC regarding specific reporting requirements.
D	23	Infrastructure	The system shall support session management across a web server load balanced environment.	R	C			
D	24	RBAC	The system shall support Role-Based Access Control (RBAC) in managing user permissions.	R	C			
D	25	RBAC	The NLCC finance staff shall have specific permissions to configure fees, credits, etc.	R	C			Fee Schedule configuration is done through the POSSE ABC Administrator menu. Credits are managed through financial adjustment permissions in the POSSE ABC Staff Portal.
D	26	RBAC	The NLCC cashiering staff shall have specific permissions to accept payments and process fees.	R	C			
D	27	RBAC	The system shall provide granular access control to different types of data records based on the following permissions: - Read - Write - Modify - Delete	R	C			
D	28	RBAC	The system shall support department-specific administrators to manage division-specific user groups and user accounts.	R	C			POSSE ABC includes pre-configured permissions for management of users



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D	29	RBAC	The system shall allow NLCC users to have multiple roles in the system based on the division assigned.	R	C		
D	30	Security	The system shall not pass session identifiers in plain-text.	R	C		
D	31	Security	The system shall not store any private or sensitive data in the error logs (e.g., passwords).	R	C		
D	32	Security	The system shall encrypt any data classified as sensitive or confidential before persistence to a data store.	R	C		See response to requirement D.7.
D	33	Security	The system shall not store customer financial information.	R	C		
D	34	Security	The system shall not store database connection information, passwords, and any other sensitive credentials in plain text.	R	C		
D	35	Security	The system shall support scanning of files for viruses and malware.	R	C		
D	36	Security	The system shall allow an administrator to disable a user account.	R	C		POSSE ABC supports inactivation of user accounts.
D	37	RBAC	The Customer Web Portal shall support multiple access authorization levels for different users, user groups, or roles. Such as, anonymous users and read-only users who have increased privileges to data.	R	C		The POSSE ABC Customer Portal is pre-configured to support unauthenticated access for limited functions including user registration, license search, complaint submission, and application protest submission. Authenticated users have access to the Licensing, Brand Registration and Education module functionality available on the Customer Portal. A third category of user is supported for 3rd party trainers to manage course offerings.
D	38	Security	The Customer Web Portal shall ensure session state is protected from unauthorized access.	R	C		
D	39	Security	The Customer Web Portal shall ensure session identifiers are not passed in query strings and the system does not allow SQL injection, Cross-Site scripting, etc.	R	C		
D	40	Security	The Customer Web Portal shall ensure temporary objects are removed from the system, database connections are closed, and memory is released.	R	C		
D	41	Security	The Customer Web Portal ensures all input parameters are validated (including form fields, query strings, cookies, and HTTP headers).	R	C		
D	42	Security	The system shall support public certificates and pass all data over TLS (minimum of TLS 1.2).	R	C		POSSE is currently compliant with TLS 1.2.

ID	Type	Requirement	<i>(R)required or (O)ptional</i>	<i>(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one</i>	<i>Customization (Y/N)</i>	<i>Integration /w 3rd Party Product (Y/N)</i>	Explanation or Comments
D	43	Security The customer web portal shall be ADA WCAG 2.0 and Section 508 compliant.	R	C			The POSSE ABC Customer Portal is compliant with WCAG 2.0 Level AA.
D	44	Security The system shall have the ability to display the last date and time the user logged onto the system.	R	C		Y	Computronix has included integration with Active Directory which is responsible for tracking authentication attempts.

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E	1	Configuration	Business rules and configurations defined in the system shall be applied consistently on both desktop and mobile devices (defined once, enforced across all device platforms).	R	C			POSSE Mobile is a separate application and is designed specifically for inspectors to use in the field to complete inspections. Inspection Types, Default Inspection Assignments, and Inspection Checklists are common configuration items that apply to both the POSSE ABC Staff Portal and POSSE Mobile inspection functionality.
E	2	Compatibility	The system shall provide mobile access to desktop equivalent functions. (any exceptions needs to be identified). Please describe what desktop functions do not work on the mobile app.	R	C			POSSE Mobile is a separate application and is designed specifically for inspectors to use in the field to complete inspections. It has a different set of business rules and configurations than the main POSSE ABC Staff Portal.
E	3	Configuration	The system shall support searching, filtering, and sorting of all system configured license types including links to related liquor license data.	R	C			POSSE Mobile includes a License List (configured to be a subset of the active licenses available to an inspector while disconnected) and a License Search (access to full list of active licenses while connected).
E	4	EDMS	The system shall have the ability to access, view, and edit documents/files.	R	C			POSSE Mobile can access and view documents that have been synchronized from the POSSE ABC Staff Portal based on document type mapping with the POSSE Mobile app. Photos can be uploaded via the app as part of an inspection record. Editing of documents is not supported in POSSE Mobile.
E	5	EDMS	The system shall support capturing and uploading images via mobile devices and the ability to link associated business license types.	R	C			POSSE Mobile supports capture and upload of photos via the app as part of an inspection record.

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E	6	EDMS	The system should support capturing and uploading videos, or any file types via mobile devices and the ability to link associated business license.	O	N			POSSE Mobile does not currently support video files.
E	7	EDMS	The system shall support the ability to download a document in the field and markup the document, image, or draw a new document in the field.	R	C			The POSSE ABC Staff Portal can be accessed from a laptop device in the field and supports download, edit, upload of new documents.
E	8	General	The system shall support speech to text capability.	R	C			POSSE Mobile supports speech to text.
E	9	General	The system should support capturing handwritten signatures on mobile devices.	O	C			POSSE Mobile supports signature capture on completion of an inspection.
E	10	Infrastructure	The system shall support iOS and Windows mobile platform.	R	N			POSSE Mobile is supported on iOS and Android devices with the app available for download in the Apple App Store and Google Play Store. Windows mobile is not supported.
E	11	Infrastructure	The system should provide the ability to operate in both connected (with the available network) and disconnected mode (without a network, with automatic data synchronization when the network is available).	O	C			POSSE Mobile supports both connected and disconnected mode.
E	12	Infrastructure	The system should be able to cache data if connectivity is temporarily lost while in the field.	O	C			POSSE Mobile caches data if connectivity is lost in the field.
E	13	Infrastructure	The system shall provide the ability to warn / notify mobile application and connectivity issues.	R	C			POSSE Mobile will display a "Connection is Not Available" message if connectivity is lost.
E	14	RBAC	The system shall apply for security and access control permissions consistently on both desktop and mobile devices.	R	C			POSSE Mobile uses the same security and access control as the POSSE ABC Staff Portal. Integration with Azure AD or ADFS (version 2019 or above) is included.

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F	1	AdHoc	The system shall support configurable dashboards that may be used to display analytics (including geospatial data) for different users or user groups (e.g., customer, field staff, etc.).	R	C			POSSE Ad Hoc supports configurable dashboards. Geospatial data may be included if GIS attributes are synchronized to the POSSE ABC Reporting datamart.
F	2	AdHoc	The system shall provide built-in ad-hoc reporting capabilities (e.g., the ability to run reports within the system with report parameters automatically passed to the report (if applicable)).	R	C			POSSE Ad Hoc supports saving reports with pre-defined filters which are applied when the report is run.
F	3	AdHoc	The system shall allow staff to drill into detailed data by clicking on a application or business license number.	R	C			POSSE Ad Hoc supports configuration of drill down in reports and charts.
F	4	Communication	The system shall support scheduled reports that are sent to specific users or user groups. Reports to support multiple formats including PDFs, Excel, Word, CSV, XML, pipe delimited, etc.	R	C			POSSE Ad Hoc supports scheduling reports to email to specific users. Report formats can include Word, Excel, PDF, CSV, XML, and JSON.
F	5	General	The system shall fully support and integrate with Microsoft SQL Reporting Services, SSRS and OBIEE as the reporting platforms.	R	C			POSSE ABC's Reporting Datamart is implemented on an Oracle database and can allow connection to NLCCs reporting tools able to connect with this database.

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G	1	NLCC uses NE GIS services as a central GIS repository. The system shall provide the ability to support ESRI's ArcGIS Server, ArcGIS Online, ArcGIS Enterprise, as the GIS software and to work with OCIO standard developer products to avoid redundant/unnecessary data entry or data conversion into the new system. The software must support current ESRI software.	R	C			The POSSE Map Viewer is based on Esri's javascript APIs.
G	2	The system shall provide the ability to use existing topology and connectivity stored within OCIO GIS with full current ESRI functionality to avoid redundant/unnecessary data entry or data conversion.	R	C			The POSSE Map Viewer can consume Esri feature services.
G	3	The system shall provide the ability to assign user and/or user group permissions to GIS map features, functionality, and services. This includes permission around GIS maps exposed to the Public Portal.	R	C			POSSE ABC security can be implemented for controlling which users have access to the POSSE Map Viewer integration
G	4	The system shall have the ability to search and retrieve address information from central OCIO GIS system.	R	C			POSSE ABC will geocode Licenses using the NLCC's Esri locator service. Map searching by address will also utilize this service.
G	5	The system shall have the ability to display a location on a map based on GIS location or coordinates.	R	C			The POSSE Map Viewer supports this.
G	6	The System shall have the ability to associate non-addressable based locations (e.g., alcohol brand territories).	R	C			The POSSE ABC Map viewer can display other feature services (e.g. alcohol brand territories) overlaid with license locations. Additionally, the POSSE GIS Listener can query the features services for GIS attributes without the visual map interface.
G	7	The System shall have the ability to select map objects real-time and retrieve and overlay data attribute information from NLCC GIS System that are pertinent to the application/license (e.g., alcohol brand territories).	R	C			See response to requirement G.6.
G	8	The System shall support geographical proximity alerts that check geographical surroundings to inform whether or not the license conforms to the NLCC's business rules.	R	C			See response to requirement G.6.

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G 9	The System shall support geospatial querying and display results in a map view.	R	C			See response to requirement G.6.
G 10	The system shall provide new layers and fields published by the OCIO system.	R	C			See response to requirement G.6.
G 11	The system shall provide the ability for users to zoom in/out and pan in Map view.	R	C			The POSSE Map Viewer supports zoom and pan functions.
G 12	The system shall provide the ability to display GIS attributes by unique entity or ranges.	R	C			The POSSE Map Viewer supports the identify function, displaying GIS attributes for the selected geospatial reference (e.g., e.g. License)
G 13	The system shall provide the ability to perform basic map viewing functions including display, drill-down, query, and analyze dynamic map data in Map view.	R	C			The POSSE Map Viewer is based on the Esri javascript APIs and supports basic map viewing functions.
G 14	The system shall provide the ability to print maps in Map view and export to NLCC template which is PDF.	R	C			The POSSE Map Viewer is based on the Esri javascript APIs and supports basic map functions including printing.
G 15	The system should allow for point-and-click and area sketch location selection for service events that do not directly correspond to an address.	O	N			While the POSSE Map viewer can be configured to provide map edit/selection capabilities, this effort has not been included in our proposal as this requirement is optional.
G 16	The system shall have the ability to push NLCC data to the GIS system.	R	C			POSSE can push information from POSSE ABC to Esri saving information in an editable feature service. The functionality to push Liquor License locations to Esri is included in this proposal.
G 17	The system shall have the ability to push Liquor License data to the GIS system.	R	C			See response to requirement G.16.

ID	System/Interface	Description								Explanation or Comments
			(I)Interface, (R)Replace, (E)Either	Real-Time or Batch	One-Way or Two-Way	(R)Required or (O)Optional	(C)Configuration, (A)Business Rule Automation, (B)Both, or (N)None	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	
H	1	General	The system shall be capable of integrating using standards-based, web services.							POSSE APIs can be used to integrate with other systems using web services.
H	2	General	The customer web portal shall provide and support RESTful web services or Custom API's that provide secure invoking and logging for invalid attempts.							Integration with Active Directory for Staff Portal authentication and with OAuth/OpenID Connect for Customer Portal authentication is included in this proposal.
G	3	OnBase Enterprise Content Management System	I	R	2	R	C		Integration with OnBase is included in this proposal. POSSE ABC will push documents uploaded into the system to OnBase on a scheduled basis, maintaining a pointer to the document. End Users will not be aware of where the file is physically located.	
H	4	JD Edwards (E1)	I	B	2	R	C		Nightly and Monthly flat files will be created from POSSE ABC for integration with JD Edwards.	
H	5	PayPort	I	R	2	R	C		Integration with PayPort and the POSSE ABC Customer Portal is included in this proposal.	
H	6	Nebraska Interactive	I	R	2	R	C		Integration with Nebraska Interactive and the POSSE ABC Customer Portal is included in this proposal.	
H	7	Civix	I	R	1	R	C		Integration with Civix via webservice from the POSSE ABC Staff Portal during the Application review workflow tasks is included in this proposal.	
H	8	GIS - ESRI	I	R	2	R		Y	Integration with Esri ArcGIS is included using the POSSE Map Viewer integrated into the POSSE ABC Staff Portal and Customer Portal. License locations will be geocoded using NLCC's locator service.	





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# Clarifications to the Proposal for State of Nebraska

**RFP 6677 Z1**  
Centralized Alcohol  
Management Project (CAMP)  
for the  
Nebraska Liquor  
Control Commission (NLCC)

June 3, 2022

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# 1.0 Request for Clarification

## 1.1 Section SA – Product Overview

1. **Table 8 states "(5) POSSE Mobile Users (Further discussion with OLCC required on whether additional Mobile users may be required).'** The RFP stated on Page 50 that NSP officers will be using the mobile application - **"The Contractor must provide a mobile application that allows field users, particularly NSP officers, to access the system and perform activities using a mobile device.'** There are more than 5 NSP officers. **Does this have a price impact if the number of users is increased? Can Computronix clarify it can support all NSP officers when it has cited such a low number?**

**Computronix Response:**

Yes. The RFP did not specify the total possible number of NSP officers needing field access to licensing and enforcement data, or further details about the kind of data access NLCC requires. The POSSE Mobile license and 5 Mobile User licenses are quoted based on the NLCC response to RFP Addendum #3, Question 16.

POSSE ABC offers several ways for field users to access the system. If officers have mobile computing devices in the field (laptops or tablets) with constant network connectivity, they will be able to access the POSSE ABC system directly through a web browser without requiring the POSSE Mobile app. The POSSE Mobile application is intended solely to provide ABC Enforcement agents with a pre-configured, smartphone-based inspections app that can operate in the field in situations where internet connectivity is not available or is intermittent. In this case, the POSSE Mobile app caches all activities, and will synchronize with the POSSE ABC system once connectivity is restored.

If additional POSSE Mobile users are required (beyond the five quoted) they can be added at the Per Unit price quoted (\$750 per Mobile User noted on the Optional tab of Appendix C – CAMP Cost Workbook).

Computronix would appreciate further discussion with NLCC about Mobile enforcement requirements—with an opportunity to fine-tune final fixed pricing—as we have options to provide ideal solutions for both in-house NLCC enforcement staff as well as for third-party NSP officers.

## 1.2 Section 6B – Unique Capabilities

- 2. Computronix states "Verification, while not currently automated, can be configured based on business rules per our included business rule configuration allowances."  
a. Can Computronix clarify what it means by an allowance?  
b. Can Computronix clarify on what allowances have been identified at this time that NLCC is bound by?**

### Computronix Response:

- a. In Section 9.D. Scoping Comments Table 14, up to 6 business rule configuration allowances have been included (as stated in Appendix C Section of Table 14). As stated in Appendix A Section of Table 14 regarding the business rule allowances: These are defined as any addition or modification to the procedures, scripts, and configuration that enforce the system's business rules. These additions/ modifications include the addition of new business rules to the system. Please note: Computronix implements most simple business rules with Checklists configured on the Administration website, and there is no limit to the number of checklist items.

More specifically, in the specific area of License Holder Reporting and Verification, configuration has not been included for automation to verify that reported activity aligns across reporting groups. It is expected that, if the Information is captured as a data field, this data can certainly be viewed by users via the customer submitted reports and queried/reported on with the built-in reporting tool, POSSE Ad Hoc. Users can review the data and flag discrepancies via File Notes and Warnings. Mandatory checklist items can be used to enforce user acknowledgement that the reporting groups have been reviewed for discrepancies. If the data fields are captured, NLCC has specific, defined business rules that can be configured to compare the reported data fields, then these business rule configuration allowance(s) can be used from the included allowances to flag the discrepancies across the defined reporting groups.

- b. Please see Item 17 in this document for clarification of the business rule configuration allowances and the reasoning for the included number of business rule allowances. (Computronix has included up to 6 business rule configuration allowances in this proposal).

## 1.3 Section 7E – Data Conversion and Migration

3. Regarding "Technology and tools to be used" Computronix states the following:  
 "Computronix is also evaluating the use of an industry-standard ETL tool in another project which will likely be leveraged for use during the NLCC implementation project."  
 a. Can Computronix clarify whether it has any additional information regarding using this tool and what are the implications of leveraging (as well as not leveraging) the tool?

### Computronix Response:

The mentioned ETL tool is being currently evaluated through the data conversion process for another client implementation. While there is a belief that it will benefit the data extraction, mapping, and transformation activities described in the Computronix Data Conversion Methodology, it is still too early to determine the implications of leveraging or not leveraging the tool. Even without utilizing the tool, NLCC can be confident that the methodology described has been utilized by Computronix on previous implementation projects with successful outcomes.

4. Can Computronix clarify the key differences between Basic Data Conversion (Tier 1) and Enhanced Data Conversion (Tier 2) identified in the proposal? For example, is "workflow state" (e.g., record status) not included in Tier1? NLCC would like to understand the difference in scope between the two options and the pros / cons of each option.

### Computronix Response:

The descriptions of Tier 1 and Tier 2 are contained in our proposal (Section 7.E. Data Conversion and Migration) and are restated here:

Based on the NLCC's stated intent to convert only active license information, the POSSE ABC Tier 1 – Basic Data Conversion is included in our fixed price for data conversion. This includes collaboration on the data mapping exercise as well as reporting any data quality issues the Computronix data conversion process or tool identifies to NLCC.

#### POSSE ABC Tier 1 – Basic Data Conversion

- **Core Objects:** Premises, Address, Legal Entities with Corporate Structure
- **Licensing Objects:** Licenses, Brands, Warnings, License Conditions
- **Completed Jobs:** Application Case, Complaint, Inspections with Violations, Case with Violations/Charges
- **Completed permits/approvals/case files:** Migrated to their equivalent in POSSE ABC
- **Other data:** Converted as File Notes related to the above record types.
- **Work-in-progress records:** Completed prior to conversion to POSSE ABC or will be manually entered by Agency staff in POSSE ABC.
- **Fees:** Will not auto calculate on converted jobs.

The benefit of Tier 1 is that it requires conversion of only the data necessary for the POSSE ABC system to be functional for NLCC and thus reduces the effort required by NLCC or supporting staff in its areas of responsibility as defined in the Computronix Data Conversion Methodology.

Computronix offers Tier 2 – Enhanced Data Conversion at additional cost (not quoted).

**POSSE ABC Tier 2 – Enhanced Data Conversion**

- POSSE ABC Tier 1 – Basic Data Conversion plus
- Work-in-progress records may be converted to a predefined set of workflow states and processes as follows:

<b>Work In Progress Record</b>	<b>Conversion State (POSSE ABC Workflow Status and Task)</b>
<b>License Application</b>	In Review → Administrative Review
<b>License Amendment Application</b>	In Review → Administrative Review
<b>License Renewal Application</b>	In Review → Administrative Review
<b>Reinstatement Application</b>	In Review → Administrative Review
<b>Complaint</b>	New → Submit Complaint
<b>Inspection</b>	New → Assign Inspection
<b>Case</b>	New → Enter Case Details In Progress → Manage Case
<b>Brand Registration Application</b>	In Review → Administrative Review
<b>Brand Registration Renewal</b>	In Review → Administrative Review
<b>Brand Registration Amendment</b>	In Review → Administrative Review

The benefit of Tier 2 is that it converts in progress workflows as described, with additional effort by NLCC or supporting staff in its areas of responsibility required as defined in the Computronix Data Conversion Methodology.

- 5. Please clarify the timing of data conversion runs. In particular, it appears that "data conversion run #4 is scheduled to occur after system Go Live, per the sample schedule included in the proposal.**

**Computronix Response:**

Conversion run #4 occurring after the system Go Live was an oversight in our sample schedule. Data Conversion runs are typically done during Stage 2: Initial Configuration, Installation, & Orientation, Stage 4: Configuration/Gap Closure, Stage 5: Pre-UAT Training & UAT, and as part of the phase Go Live activities in Stage 6: End User Training & Implementation. Data quality is assessed and incorporated into the process for the next iteration at each project stage.

- 6. Approximately how many NLCC staff do you expect are needed to support data conversion activities? Please specify estimated number of resources, across what duration, and percentage allocation necessary based on your experience with similar implementations.**

**Computronix Response:**

Based on our experience with similarly scoped projects, Computronix anticipates one (1) FTE staff resource with knowledge of NLCC's data and the technical skills to perform the necessary data extraction and transformation steps required for the duration of the project. Access to NLCCs Subject Matter Experts (SMEs) is also helpful for quick decision-making on questions that come up during the data conversion process and activities. Computronix estimates SME involvement to be 10% or roughly 4 hours per week during data conversion activities.

## 1.4 Section 7G – Hosting

- 7. Under Item 15 - Describe the process for upgrading your system software (e.g., annual upgrades, etc.), as Computronix states that Computronix staff will install and apply updates except for "major POSSE and/or Oracle releases." Can you clarify what NLCC's role would be in these instances and provide additional detail around these activities?**

**Computronix Response:**

For a hosted solution, NLCC's role in an upgrade is limited to user acceptance testing prior to the upgrade being implemented in the production environment.

Given the timeframe of the proposed implementation schedule and the imminent release of our next major POSSE release (POSSE 8, scheduled for early 2023), NLCC will receive the latest major POSSE/Oracle releases as part of the implementation project. Major POSSE versions are released every 6 to 8 years, thus the next major POSSE release will be outside of the proposed contract period. As such, Computronix will commit to installing POSSE and Oracle updates during the contract period.

This statement does not require NLCC to perform any additional activities for major upgrades. Rather, it simply clarifies that installation of future major upgrades are not included in our standard hosting agreement.

## 1.5 Section SA – Schedule and Work Plan

8. Computronix makes multiple statements to the project schedule that NLCC would like clarification on below, with areas of concern highlighted in italics:

- Proposal refers to the project schedule as a "*sample* project schedule" and that it is based on "Computronix's *template*."
- Computronix states that "project managers modify this template to develop detailed project plans for each client, including the applications, interfaces, and modules specific to each client's solution" and "*Adjustments to the project schedule may be required* during the implementation process based on changes in NLCC requirements, as well as scheduling conflicts, or other factors."

The statements above appear to imply that the project schedule provided in the proposal may be based on a template, not customized for NLCC, and potentially revisited upon project start.

a. Can Computronix clarify the schedule in the proposal has been customized for NLCC (as instructed in the RFP)?

### Computronix Response:

Yes. Computronix has a standard project schedule template that ensures consistency and thoroughness on all our ABC projects. This template served as the springboard for the proposed schedule included in our proposal, which has been tailored for NLCC to meet the NLCC requirements as defined by the RFP.

b. Can Computronix clarify to what extent it believes its current estimate (~14 months) to be accurate at this time?

### Computronix Response:

Yes. Computronix is reasonably confident of the current proposed timeline of ~14 months. The schedule was developed based on Computronix's experience with projects of similar scope and complexity and the time taken to complete those projects. An appropriate amount of contingency was included in the schedule to allow for some unknowns and uncertainties. This project timeline also assumes that NLCC staff will be available to support the identified NLCC activities for this project when needed.

**c. Does Computronix anticipate potential significant changes to the schedule and if so, what could cause these changes?**

**Computronix Response:**

No. Computronix does not anticipate significant changes to the schedule based on our experience and the scope/goals identified in the RFP. This confidence is based on the understanding that NLCC will commit to the schedule and provide the necessary staff resources as defined by the executed project plan comprised of the SOW, RTM, and schedule.

Over our many years of experience with client projects in the Alcoholic Beverage Control space, we have found that the single biggest factor impacting the schedule has been the inability of the client to meet scheduled commitments for deliverable review and signoff, data conversion, user acceptance testing, etc. If selected, Computronix will work with NLCC as part of the Project Kickoff activities to ensure there is a clear understanding of when NLCC resources will need to be available to support project activities.

**d. What range of potential changes (in months) would Computronix reasonably estimate the schedule could shift based on experience of similar past implementations?**

**Computronix Response:**

Computronix does not anticipate any slip in the schedule as noted in response to c. above, if NLCC resources are available and adequately allocated. This confidence is based on our experience, illustrated with the following example:

One of our recently completed POSSE ABC projects was with the state of Louisiana. With that project, we maintained the agreed schedule until a couple of months prior to User Acceptance Testing, when it became obvious that the State's third-party contractor for data extraction and cleansing from the legacy system had seriously underestimated and under-resourced the activity and was far behind schedule. Ultimately the State decided to terminate the third-party contractor and Computronix was retained to perform the data extraction activities. The overall impact of this change was approximately a three-month delay in the system's Go Live date.

**9. The proposal states (in multiple places) that the RTM is a "collaborative log in which NLCC and Computronix identify and catalogue each contractual requirement and document the means by which the requirement's completion/delivery will be demonstrated."**

**a. Can Computronix clarify the roles and responsibilities of each party in regards to maintaining the RTM throughout the implementation?**

**Computronix Response:**



The Computronix Business Analyst is the editor and owner of the RTM throughout the project. The RTM is developed by the Computronix Business Analyst documenting the initial list of requirements extracted directly from the NLCC RFP documentation. Computronix then schedules and conducts a series of Fit/Gap workshop meetings to verify and discuss all existing and new requirements to ensure they are fully understood and documented. During the Fit/Gap workshop meetings the Computronix Business Analyst, Technical Lead, and Project Manager will meet with the NLCC staff SMEs and Project Manager to finalize the RTM.

The project schedule previously provided lists 4 Fit/Gap Workshop sessions shown under Stage 3: Perform Fit/Gap Analysis. The final RTM will need to be reviewed and signed off by NLCC staff, as it will form the basis against which the System will be designed, configured, delivered, and tested.

## 1.6 Section 8B – Staffing Requirements

**10. Can Computronix confirm that it will comply with Section III. Contractor Duties of the RFP? It states "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."**

### Computronix Response:

Yes. Computronix can confirm that it will comply with Section III of the RFP. Computronix has proposed the implementation team that will be available for this project based on the expected project time parameters stated in the RFP and the proposed team members' current workload and availability. Computronix reserves the right to replace team members with similarly qualified individuals if the project start is delayed,

## 1.7 Section SE – Implementation Approach / Deployment Strategy

11. Under Schedule Management, Computronix makes the following statement with areas of concern italicized:

"Beginning in Stage 1, Computronix will generate Status Reports at a *pre-agreed cadence*. The Status Report gives the NLCC Project Manager an up-to-date record of progress on active deliverable tasks. NLCC's Project Manager provides project status data to the Computronix Project Manager, who maintains the overall project status data. Computronix expects to provide Status Reports in our *standard template format*. Based on our implementation experience, Computronix proposes that the report should be *developed by the NLCC and Computronix project managers*. *Joint reporting* encourages combined project status ownership while providing an accurate and single view of the status to all stakeholders."

a. Table 12 of the RFO outlines NLCC's expectations for status reporting including (1) minimum content for the status report, and (2) that Project Status Reporting is a contractor-owned mandatory deliverable.

b. Can Computronix please clarify whether it will clarify its response to comply with Table 12 from the RFO and provide a status report that includes the minimum content identified as well as own the deliverable development and content, or whether Computronix is taking exception to these requirements from the RFO?

### Computronix Response:

Computronix agrees to provide status reporting that includes all the Table 12 RFO required content. The frequency of this reporting will meet the NLCC requirements. The Computronix Project Manager will create and deliver this report to the NLCC Project Manager and list of staff designated to receive the report.

## 1.8 Section SH – Organization Change Management

12. Under Anticipated Costs, Computronix states "Computronix anticipates that NLCC will contract a certified OCM Manager and require their services at about 1/3 FTE for the duration of the project." Please clarify that NLCC will not be penalized should it choose not to contract with an external OCM Manager.

### Computronix Response:

NLCC will not be penalized should it choose not to contract with an external OCM Manager.

## 1.9 Section SJ – Production Transition

**13. It is stated that "Computronix will train designated NLCC support staff in system administration and support. We expect your trained support staff to provide front-line Tier 1 support to end-users." Please describe the different tasks that fall under "Tier 1 support".**

### Computronix Response:

As defined by 5.2 of Exhibit C POSSE Annual Product Support Agreement:

5.2 POSSE Support – Client is responsible for providing first-line POSSE support to Client staff. First-line POSSE support is responsible for researching issues and assessing if they are the result of a POSSE Defect. Client will identify a limited number of Client staff entitled to submit POSSE support requests.

Tier 1 end-user support also includes such tasks as:

- Desktop support, including operating systems, browsers, and third-party applications
- Password administration
- Network support, including network access/authentication
- POSSE ABC Administrator Portal usage and data administration

## 1.10 Section 9B – Mandatory Deliverables

14. RFO instructions for this section stated: "The Bidder may add additional deliverables to the list provided below in alignment with its proposed methodology and work plan, but shall not modify existing deliverable names, split apart any deliverables, or otherwise modify the requirements of the named deliverables. Any additional deliverables added by the Bidder shall be clearly identified in the response."

a. Table 12. Minimum List of Deliverables has been provided by Computronix, with modifications made to elements of the original table from the RFO however it is not clearly illustrated what has changed line by line. Please provide a red-lined (e.g., tracked changes) version that clearly highlights differences between the original Table 12 from the RFP and Computronix's response, and provide appropriate clarifications to justify the changes.

### Computronix Response:

Computronix has provided a redline version of the original Table 12 on the following pages and provided clarifications in an added column.

**Table 1. Minimum List of Deliverables**

#	Deliverable Name	Major Components	Clarification
<b>Milestone 0 – Project Monitoring and Status Reporting</b>			
A	<b>Project Status Reporting</b>	<p>Project status will be tracked and reported on an ongoing basis. <del>Regularly scheduled</del><u>Weekly</u> status meetings between NLCC Project Management Team and the Contractor Project Manager will be held <u>via Microsoft Teams</u> to discuss project progress, issues, resolutions, and next steps. Additionally, <u>monthly project update meetings will be held for the Executive Steering Committee by the NLCC Project Management and Computronix Project Team via Microsoft Teams</u> <del>the Contractor will support any other status related meetings as needed, such as presenting to the Executive Steering Committee.</del></p> <p>The following standard reporting mechanisms will be used:</p> <ul style="list-style-type: none"> <li>🕒 <u>Biweekly Status Reports will be emailed to the NLCC Project Management Team.</u></li> <li><del>🕒 Issue List</del></li> <li><del>🕒 Risk Log</del></li> <li><del>🕒 Project Library</del></li> </ul> <p>The format of the status report shall be agreed to by NLCC and the Contractor at the beginning of the project, must include but is not limited to:</p> <ul style="list-style-type: none"> <li>🕒 Project Progress by Deliverable (% complete, related activity, due dates, submission dates, review cycle metrics, etc.)</li> <li>🕒 <u>A list of Completed and Upcoming Activities</u></li> <li>🕒 <u>Issue and Risk Reporting; Mitigation Strategies.</u></li> <li>🕒 <u>Schedule Update (including a graphical summary of tracking baseline schedule dates to actual dates)</u></li> <li>🕒 <u>Key Decisions will be tracked in the Risks, Action, Items, Issues and Decision (RAID) log described below.</u></li> </ul>	<p>Computronix's response clarifies roles and responsibilities for this deliverable.</p>

#	Deliverable Name	Major Components	Clarification
		<ul style="list-style-type: none"> <li>🕒 4-6 Week Calendar that illustrates upcoming key meetings and Agency Staff commitments that will allow Agency Staff to forecast upcoming resource needs for the project. <u>This calendar will be maintained on the SharePoint site, to be accessible to the NLCC and Computronix Project Team members.</u></li> <li>🕒 Budget Update</li> <li>🕒 <u>Issue List will be created, shared, and maintained on the Computronix JIRA issue tracking system.</u></li> <li>🕒 <u>Risk Log. This will be part of a RAID log that is created, shared, reviewed, and maintained on the project SharePoint site.</u></li> <li>🕒 The Project Library <del>should</del> <u>will</u> be developed and maintained by <del>the Contractor</del> <u>Computronix on the project SharePoint site</u> and <del>will be</del> <u>should be</u> used to store, organize, track, control and disseminate all information and items related to the solution implementation.</li> </ul>	
B	Meeting Minutes	<p><del>The Contractor should</del> <u>Computronix will</u> be responsible for <u>creating and storing a written, high-level summary for capturing a record of key meetings and storing these summaries on the project SharePoint site</u> <del>and the important takeaways from the discussion.</del> <u>The meeting minutes are not intended to be a transcript of every discussion topic, nor may meeting minutes be required for every meeting. However, the meeting minutes shall be used to preserve a record of the following, to use as a quick reference or to be distributed. The summary will include:</u></p> <ul style="list-style-type: none"> <li>🕒 <u>Date, time, duration, and purpose of the meeting</u></li> <li>🕒 <u>Attendees and invitees</u></li> <li>🕒 <u>Key strategic decisions</u></li> <li>🕒 <u>Action items</u></li> <li>🕒 <u>Any issues or risks identified</u></li> </ul> <p><u>Computronix understands that While the Contractor may employ</u> the use of online meeting technology tools to record the meeting <u>in real time, this</u> should not be a substitution for the documentation of meeting minutes.</p>	Computronix's redline clarifies roles and responsibilities for this deliverable.

#	Deliverable Name	Major Components	Clarification
		<p><b>Additional Meeting Requirements:</b></p> <ul style="list-style-type: none"> <li>⌚ The Contractor and Agency Project Manager shall determine which meetings are considered to be “key” meetings for which meeting minutes are required.</li> <li>⌚ The Contractor should notify NLCC Project Manager (or designee) at least 48 hours in advance of any meeting that requires attendance by Agency staff or other stakeholder participation, but one week notice is preferred.</li> <li>⌚ <del>The Contractor is required to provide an online meeting tool that allows Agency staff and stakeholder to attend any meeting remotely, as needed</del> <b>Remote meetings will utilize Microsoft Teams or equivalent software</b></li> <li>⌚ The Contractor shall be responsible for scheduling and sending out meeting invitations unless otherwise requested by NLCC</li> </ul>	
<b>Milestone 1 – Project Initiation and Planning</b>			
1	<b>Project Kickoff Presentation</b>	<p>This deliverable is a presentation to familiarize project team members and stakeholders with the project. It should be provided in Microsoft PowerPoint format.</p> <p>The presentation should include at a minimum, but not limited to the following topics:</p> <ul style="list-style-type: none"> <li>⌚ Project Overview</li> <li>⌚ Project Schedule (high level)</li> <li>⌚ Objectives and Definitions</li> <li>⌚ Process</li> <li>⌚ Artifacts</li> <li>⌚ Roles and Responsibilities</li> <li>⌚ Introduction to Contractor Staff</li> <li>⌚ Keys to Success</li> <li>⌚ Next Steps and Upcoming Activities</li> <li>⌚ Questions and Answers (Q&amp;A)</li> </ul>	No redline needed. Computronix’s response indicates when this deliverable occurs.
2	<b>Project Schedule</b>	The Contractor must deliver a master work plan including a detailed Work Breakdown Structure (WBS) and associated Gantt charts in Microsoft Project. The master work plan must reflect any changes from the plan submitted with the Contractor’s original proposal that were discussed and agreed to during the project initiation meeting. The Project Work Plan must include a WBS that	No redline needed.

#	Deliverable Name	Major Components	Clarification
		<p>meets the project’s overall objectives by describing the project tasks and deliverables.</p> <p>The WBS should include:</p> <ul style="list-style-type: none"> <li>⌚ A consolidated view of the activities, activity descriptions, and activity durations assigned to NLCC, the bidder, and any other stakeholders.</li> <li>⌚ Resources assigned to each activity, including both Agency and bidder resources.</li> <li>⌚ Logical dependencies within and across work streams and deliverables</li> <li>⌚ Calculation and identification of the Critical Path.</li> <li>⌚ A list of deliverables tied to project milestones.</li> <li>⌚ A way to track the project schedule against the planned schedule.</li> <li>⌚ Schedule shall include “break” periods between major project milestones where there are no activities scheduled to allow the team to prepare for the next project milestone.</li> <li>⌚ Identification of the critical path for the Project Work Plan to allow the determination of impacts of any schedule slippage.</li> <li>⌚ Deliverable approval periods including realistic timeframes for Agency review of DED’s and subsequent deliverables. Particularly complex deliverables should have longer review timeframes than simpler deliverables.</li> <li>⌚ Deliverables that include configuration or development should have a demonstration component as part of its acceptance criteria, and should be incorporated into the schedule accordingly.</li> <li>⌚ Contingency (e.g., “slack”) time should be clearly identified in the project schedule.</li> </ul> <p>The Project Work Plan should be maintained throughout the life of the project and will be updated as necessary (weekly at a minimum) to reflect the accurate status of the project. <b>All changes to the schedule shall be approved by NLCC prior to acceptance of an updated project schedule.</b></p>	



#	Deliverable Name	Major Components	Clarification
3	<b>Project Management Plan</b>	<p>The Project Management Plan should include the following:</p> <ul style="list-style-type: none"> <li>⌚ Communication Plan - Details the varying levels and needs of the project's stakeholders for information regarding the project, status, accomplishments, impact on stakeholders, etc. Defines the communication vehicles, target stakeholders, and the scope and frequency of the project's communications vehicles.</li> <li>⌚ Schedule Management Plan – Defines how the project schedule will be monitored for variances, what types of corrective actions will be taken to address schedule variances during the life of the project, and the process, roles, and responsibilities involved in making changes to the project schedule.</li> <li>⌚ Issue and Risk Management Plan – Documents a disciplined approach for the continual assessment of risks, tracking of risk status, and mitigation strategies. It shall include: <ul style="list-style-type: none"> <li>⑥ Baseline risk assessment within one month of project initiation</li> <li>⑥ Integration with NLCC governance processes, including weekly status reporting</li> <li>⑥ Process to Identify and manage risks and issues</li> <li>⑥ Process to Identify the severity, quantify the potential impact and probability, of each identified risk and issue</li> <li>⑥ Process for supporting the development of risk mitigation plans for each identified risk including a description of work products and processes for assessing and controlling risks</li> <li>⑥ Guidance and process for assessing the efficacy of risk mitigation actions</li> <li>⑥ Escalation mechanisms for risks and issues</li> </ul> </li> <li>⌚ Change Control Plan</li> <li>⌚ Change Request Management Plan - Documents how to manage the process to review, accept, and reject change requests.</li> </ul>	<p>No redline needed. Computronix's response indicates when this deliverable occurs.</p>

#	Deliverable Name	Major Components	Clarification
		<ul style="list-style-type: none"> <li data-bbox="581 279 1089 548">⌚ Scope Management Plan - Documents the project vision and goals, items that are in-scope and out-of-scope and their prioritization, dependencies between the scope items, and risks associated with the inclusion and removal of items from scope. The plan also defines the process used to modify project scope.</li> <li data-bbox="581 552 1089 730">⌚ Quality Management Plan – Outlines quality assurance responsibilities, deliverable review process, deliverable definitions and acceptance criteria, and regularly scheduled reviews of key project phases and milestones.</li> <li data-bbox="581 735 1089 1062">⌚ Requirements Analysis &amp; Management Plan – Details approach to the method of capturing and maintaining requirements traceability throughout the development process. This plan must detail the methods, tools, and technologies used to capture, catalog, and manage System requirements, and building upon and maintaining the Use Cases and functional and non-functional requirements.</li> </ul>	

#	Deliverable Name	Major Components	Clarification
<b>Milestone 2 – Analysis</b>			
4	<b>Requirements Analysis Document</b>	<ul style="list-style-type: none"> <li>⌚ Validated Appendix A: CAMP Functional Requirements               <ul style="list-style-type: none"> <li>⑥ The Contractor shall conduct working sessions to review Appendix A: CAMP Functional Requirements and responses and validate each requirement and provide an updated matrix.</li> </ul> </li> <li>⌚ Validated Appendix B: CAMP Technical Requirements               <ul style="list-style-type: none"> <li>⑥ The Contractor shall conduct working sessions to review Appendix B: CAMP Technical Requirements and responses and validate each requirement and provide an updated matrix.</li> </ul> </li> <li>⌚ Validated Appendix D: CAMP User Stories               <ul style="list-style-type: none"> <li>⑥ The Contractor shall conduct working sessions to review Appendix D: CAMP User Stories and validate each user story and provide any updated user stories.</li> </ul> </li> </ul> <p>It is critical for the Contractor and NLCC to have a common understanding of the functional and technical requirements, and use cases, prior to entering the Design Stage to ensure the solution meets NLCCs expectations and vision for the new solution.</p>	No redline needed. Computronix's response indicates when this deliverable occurs.

<p>5</p>	<p><b>Solution Implementation Plan</b></p>	<p><u>Computronix will document the designs in two specific documents for any in-scope gap requirements. A Client Facing Design is for client review and confirmation that the functionality meets the stated requirements including those listed in the following System Design Plan as well as the requirements listed in Deliverable #7 of this table.</u></p> <ul style="list-style-type: none"> <li>⌚ System Design Plan – Details the Contractor’s approach to System design throughout application design, interface design, and conversion design             <ul style="list-style-type: none"> <li>⑥ This plan must ensure that the System conforms to defined standards for System design and Systems architecture. This plan must ensure the completeness and level of detail in design specifications.</li> <li>⑥ Shall detail the approach to gathering design-level requirements and developing the design documentation.</li> <li>⑥ Shall address plans for prototyping sessions.</li> </ul> </li> </ul> <p><u>A second Technical Design Document is created which builds on the Client Facing Design and is for Computronix developers to build from. This document will be available on the project SharePoint.</u></p> <ul style="list-style-type: none"> <li>⌚ System Development Plan – Details approach to system development and ensures the necessary tools and technologies are in place for development. This shall address:             <ul style="list-style-type: none"> <li>⑥ Development methodology selected</li> <li>⑥ Configuration management processes, including the use of any industry standard automated configuration management and version control tools.</li> <li>⑥ Software development standards and development change control processes</li> <li>⑥ Method for maintaining requirements traceability throughout the development process</li> </ul> </li> </ul> <p><u>Computronix is confident that we can provide the following documentation but reserves confirmation pending definition from NLCC:</u></p> <ul style="list-style-type: none"> <li>⑥ Security Plan</li> </ul>	<p>Computronix’s response provides insight as to the manner in which this deliverable will be met.</p>
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#	Deliverable Name	Major Components	Clarification
		<ul style="list-style-type: none"> <li>⑥ Disaster Recovery &amp; Business Continuity Plan</li> <li>⑥ Environment Management Plan</li> <li>⑥ Capacity Plan</li> <li>⑥ Infrastructure Services Plan</li> <li><u>Computronix conducts internal system testing prior to NLCC conducting User Acceptance Testing (UAT)</u></li> <li>🕒 System Test Plan               <ul style="list-style-type: none"> <li>⑥ Software testing strategy, methodology processes, standards and guidelines for all software testing to include unit testing, system testing, support of user acceptance testing, data conversion testing, regression testing, and performance testing.</li> <li>⑥ Identify exit and entry criteria for each phase.</li> <li>⑥ Templates and standards for all testing artifacts and deliverables shall be provided, including example test cases.</li> <li>⑥ Identify the approach to establish traceability from requirements to test cases.</li> </ul> </li> <li>🕒 System Training Plan <u>is part of the standard Computronix Project Plan deliverable.</u> <ul style="list-style-type: none"> <li>⑥ Plan to conduct core team administrative training, end user training, as well as approach to developing training materials.</li> <li>⑥ Deliverable will include templates and samples of training materials to be provided.</li> </ul> </li> </ul>	
<b>Milestone 3 – System Design</b>			
<b>6</b>	<b>System Architecture Document</b>	<ul style="list-style-type: none"> <li>🕒 Describes the Proposed Architectural Solution that will enable and support the solution, including detailed information on:               <ul style="list-style-type: none"> <li>⑥ Proposed Hardware and Operation System Platform</li> <li>⑥ Software Development Tools and Languages</li> <li>⑥ Database Type and Structure</li> <li>⑥ Software Products (COTS)</li> <li>⑥ Proposed Software Components</li> <li>⑥ Proposed Network Infrastructure</li> <li>⑥ Proposed Application Architecture</li> </ul> </li> </ul>	No redline needed.

#	Deliverable Name	Major Components	Clarification
7	<b>Functional Design Document</b>	<p><u>The Client Facing Design document as defined in Deliverable #5 will meet the requirements as listed below.</u></p> <ul style="list-style-type: none"> <li>⌚ Activity: Conduct requirements gathering               <ul style="list-style-type: none"> <li>⑥ Review current state artifacts, including existing system screens and forms</li> <li>⑥ Conduct crosswalk of functional requirements against replacement legacy systems to identify any existing gaps in requirements that necessitate initiation of the change control process</li> <li>⑥ Conduct onsite interviews to gather system design requirements</li> </ul> </li> <li>⌚ Define design-level requirements in a manner that easily illustrates what shall be designed and configured in the new solution that is easily comprehended by non-IT staff:               <ul style="list-style-type: none"> <li>⑥ System workflow diagrams and process flows</li> <li>⑥ Define business rules</li> <li>⑥ Define user profiles and security role permissions</li> <li>⑥ Define data entry fields and validation rules</li> <li>⑥ Screen and forms mockups that demonstrate what will be configured in the system</li> </ul> </li> </ul>	Computronix's response provides insight as to the manner in which this milestone will be met.
8	<b>Requirements Traceability Matrix (Optional)</b>	<p>⌚ <i>Optional:</i> Define design-level requirements traceable back to functional requirements traceability matrix in a manner that easily illustrates how functional requirements are satisfied through configuration, interface, and other design/development activities.</p> <p><u>For requirements specified by NLCC (Appendix A and Appendix B), the Requirements Traceability Matrix (RTM) and subsequent design documents will describe how POSSE ABC will be configured during the implementation project.</u></p>	Computronix's response defines/limits what will be included in the RTM.

#	Deliverable Name	Major Components	Clarification
9	<b>Technical Design Document</b>	<ul style="list-style-type: none"> <li>⌚ Reflects the final requirements for system configuration and operation based on outputs from design sessions conducted with NLCC. Should include:               <ul style="list-style-type: none"> <li>⑥ Entity relationship diagrams</li> <li>⑥ Data flow diagrams</li> <li>⑥ Data dictionary</li> <li>⑥ Processing controls</li> <li>⑥ Installation and configuration processes</li> <li>⑥ Data backup procedures</li> <li>⑥ Security controls</li> <li>⑥ Availability and resilience controls, such as load balancing, failover capabilities, and fault tolerance</li> </ul> </li> </ul>	No redline needed.
10	<b>Prototypes</b>	<p><u>Computronix's solution does not use prototypes. Computronix will provide in-progress demonstrations at several points through the development stages of the implementation project, showing how Computronix is progressing through the in-scope gap configuration based on the previously approved requirements and designs.</u></p> <ul style="list-style-type: none"> <li><del>⌚ Prototype Demonstrations               <ul style="list-style-type: none"> <li><del>⑥ The Contractor should work with NLCC to identify a select number of complex and high-volume business processes to be prototyped. The prototypes shall be near-final simulations of how NLCC's requirements shall be implemented in the new system. This is intended to be a checkpoint to ensure that the Contractor's development approach is in line with NLCC's expectations.</del></li> <li><del>⑥ Prototype Completion Report</del></li> <li><del>⑥ Successful demonstration of the prototype per approval by NLCC (demonstration of the prototype shall not warrant automatic acceptance; prototype should be considered near-final and reflective of design discussions to-date)</del></li> <li><del>⑥ Feedback, outcomes and findings to be considered for the subsequent implementation efforts</del></li> </ul> </del></li> </ul>	Computronix's response provides an alternative to this deliverable, as it has been our experience that the prototype approach results in "throw-away" configuration that is not conducive to the aggressive timeline required by the RFP.
11	<b>Data Conversion Plan</b>	This plan should specify what and how data conversion (Legacy System to new solution)	No redline needed.

#	Deliverable Name	Major Components	Clarification
		<p>will function. This plan must include, but not be limited by the following:</p> <ul style="list-style-type: none"> <li>⌚ Description of conversion Methodology (e.g., processes to extract data, processes to validate data, documentation of data)</li> <li>⌚ Number of mock runs that will be conducted</li> <li>⌚ Description of manual conversion processes that cannot be automated</li> <li>⌚ Milestones, targets</li> <li>⌚ How much history is converted out of the legacy system</li> <li>⌚ List of data to not convert</li> <li>⌚ Manual data entry and error correction after conversion</li> <li>⌚ Plan for testing and validating converted data</li> </ul>	
12	<b>Interface Specification Document</b>	<p><u>Each in-scope interface that Computronix has proposed (as defined by our responses to the Appendix B, Tab H. Systems-Interfaces requirements) will have an Interface Specification Document created during the Analysis/Design stage of the interface development.</u></p> <p>This deliverable will contain the design specifications for all system interfaces interacting with the new solution.</p> <ul style="list-style-type: none"> <li>⌚ Identify all interfaces between the new solution and each system/application</li> <li>⌚ Define service-based interface specifications including all input/output parameters and data types</li> <li>⌚ Mapping source and destination of each interface field (e.g., database table name/field)</li> <li>⌚ Interface requirements (e.g., expected behavior, business outcomes to be achieved)</li> <li>⌚ Mapping back to relevant functional and technical requirements to demonstrate compliance</li> <li>⌚ Interface workflow diagrams that illustrate user and system-to-system interactions, including alternate and exception paths</li> </ul>	Computronix's response defines/limits what interfaces are covered by this milestone.



#	Deliverable Name	Major Components	Clarification
13	<b>Online Portal Specification Document</b>	<p><u>The POSSE ABC Customer Portal is pre-configured. Computronix will provide an Online Portal Specification Document for any new in-scope gap functionality per our responses to requirements in Appendix A and Appendix B.</u></p> <ul style="list-style-type: none"> <li>⌚ Should provide the detailed design supporting the information architecture, content, and functionality for the Online Portal design, including but not limited to:               <ul style="list-style-type: none"> <li>ⓐ Defined brand and accessibility standards</li> <li>ⓐ Screen mockups</li> <li>ⓐ User experience design</li> <li>ⓐ Integrations (e.g., GIS)</li> </ul> </li> </ul>	Computronix's response defines what will be provided in this milestone deliverable.
14	<b>Report Specification Document</b>	<p>This deliverable will contain the design specifications for all reports to be produced by the system solution. This includes, but not limited to:</p> <ul style="list-style-type: none"> <li>⌚ Data merged letters, correspondences, and forms</li> <li>⌚ Standardized and parameterized reports</li> <li>⌚ Ad-hoc query and reporting</li> </ul> <p>The deliverable will include the following design specifications:</p> <ul style="list-style-type: none"> <li>⌚ Mock report layouts               <ul style="list-style-type: none"> <li>ⓐ Look and feel</li> <li>ⓐ Sample data to show how data will be displayed</li> </ul> </li> <li>⌚ Identify report fields and parameters (as applicable)</li> <li>⌚ Mapping database fields to report fields</li> <li>⌚ Identify all functional and non-functional reporting requirements satisfied by the reports</li> <li>⌚ Document required ad-hoc query and reporting functionality</li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.

#	Deliverable Name	Major Components	Clarification
<b>Milestone 4 – System Development</b>			
15	<b>Data Mapping &amp; Conversion</b>	<ul style="list-style-type: none"> <li>⌚ Execution of Data Mapping (Acceptance Criteria: final Data Mapping Document)</li> <li>⌚ Execution of Data Conversion (Acceptance Criteria: Data Conversion Report to indicate successful completion of data conversion)</li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.
16	<b>System Configuration</b>	<ul style="list-style-type: none"> <li>⌚ Execution of system configuration and unit testing (Acceptance Criteria: Demonstration of final system configuration to NLCC and production of a system configuration report that can be referenced by NLCC to understand how the system is currently configured)</li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.
17	<b>Interface Development</b>	<ul style="list-style-type: none"> <li>⌚ Execution of interface development and unit testing (Acceptance Criteria: Successful demonstrations of interfaces in the system testing environment)</li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.
18	<b>Report Development</b>	<ul style="list-style-type: none"> <li>⌚ Execution of report development and unit testing (Acceptance Criteria: Submittal of each report developed that is generated from the system with Agency data)</li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.
<b>Milestone 5 – Testing &amp; Readiness</b>			
19	<b>System Testing</b>	<ul style="list-style-type: none"> <li>⌚ Development of System Test Cases</li> <li>⌚ Execution of system testing, defect resolution, regression testing, performance testing (Acceptance Criteria: System test report that indicates system test has met agreed upon exit criteria)</li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.
20	<b>User Acceptance Testing</b>	<ul style="list-style-type: none"> <li>⌚ Support of User Acceptance Testing and related defect resolution (Acceptance Criteria: User Acceptance Testing report that indicates user acceptance test has met agreed upon exit criteria)</li> <li>⌚ Support shall include: <ul style="list-style-type: none"> <li>⑥ Plan and set up test environment</li> <li>⑥ Provide guidance on UAT approach</li> <li>⑥ UAT Training for UAT Testers (system overview, defect reporting)</li> </ul> </li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.

#	Deliverable Name	Major Components	Clarification
21	Training	<ul style="list-style-type: none"> <li>⌚ Execution of Core Team &amp; IT Training</li> <li>⌚ Execution of End User training or Train-the-Trainer training</li> <li>⌚ Customized User Guides (optional)</li> </ul>	No redline needed. Computronix's response illustrates when this deliverable occurs.
<b>Milestone 6 – Deployment</b>			
22	Go-Live	<p>Should include:</p> <ul style="list-style-type: none"> <li>⌚ Deployment Plan (Rollout) – Detailed and thorough plan for deployment of the planned functionality (for each phase) <ul style="list-style-type: none"> <li>⑥ Contingency and rollback plan if deployment is unsuccessful</li> <li>⑥ Plan for physical deployment of application components</li> <li>⑥ Smoke test plan that includes steps to verify that deployed application is functioning correctly</li> <li>⑥ Criteria for approving the production use of application</li> <li>⑥ Anticipated downtime with user impact</li> <li>⑥ Data Synchronization Steps</li> <li>⑥ User and service desk communication plan</li> <li>⑥ Final deployment approval steps</li> <li>⑥ Duration of deployment activities and required resources</li> </ul> </li> <li>⌚ Activity: Go/No Go Decision</li> <li>⌚ Activity: Go-Live</li> <li>⌚ Activity: Onsite Go Live Support</li> <li>⌚ Activity: Help Desk Training</li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.
23	System Support and Warranty	<ul style="list-style-type: none"> <li>⌚ Post Go-Live System Support and Warranty</li> </ul>	No redline needed. Computronix's response indicates when this deliverable occurs.

## 1.11 Section 9C – Deliverable Reviews and Approvals

**15. Table 13 outlines deliverable review timelines to which Computronix appears to confirm they accept. However, in the next paragraph of Computronix's response it refers to alternate review periods (e.g., 10 business day standard). Can Computronix clarify whether it intends to honor the timelines in Table 13?**

**Computronix Response:**

Computronix will honor the NLCC timelines outlined in Table 13.

## 1.12 Section 9D – Scoping Comments

**16. Appendix C - Computronix states "Computronix expects that a final payment milestone breakout will be defined during contract negotiations." There will not be further opportunity for clarifications. Computronix should provide clarifications on any payment milestones as part of this response.**

**Computronix Response:**

The proposed payment milestone for this project is as follows:

Item	Description	Expected Month of Project	Amount
<b>Implementation Services</b>			
1	Project Kickoff Presentation	1	\$18,000.00
2	Project Schedule	1	\$18,000.00
3	Project Management Plan	1	\$18,000.00
4	Requirements Analysis Document	5	\$160,900.00
5	Solution Implementation Plan	6	\$70,140.00
6	System Architecture Document	6	\$70,140.00
7	Functional Design Document	5	\$70,140.00
8	Requirements Traceability Matrix (Optional)	5	\$160,900.00
9	Technical Design Document	5	\$70,140.00
10	Prototypes	n/a	n/a
11	Data Conversion Plan	4	\$82,300.00
12	Interface Specification Document	5	\$110,400.00

Item	Description	Expected Month of Project	Amount
13	Online Portal Specification Document	5	\$70,140.00
14	Report Specification Document	5	\$22,400.00
15	Data Mapping & Conversion	9	\$82,300.00
16	System Configuration	7	\$407,700.00
17	Interface Development	7	\$110,400.00
18	Report Development	7	\$22,400.00
19	System Testing	7	\$114,400.00
20	User Acceptance Testing	12	\$82,400.00
21	End User Training	13	\$130,100.00
22	Go Live	13	\$42,500.00
23	System Support & Warranty	14	\$46,600.00
24	Environment Setup and Software Installation	2	\$53,100.00
	<b>Sub Total</b>		<b>\$2,033,500.00</b>
<b>Software - One Time Costs</b>			
1	POSSE Work Management Base Platform License	1	\$75,000
2	POSSE ABC Modules (all 5 modules): Licensing, Enforcement, Brand Registration, Education, Regulatory Reporting	1	\$65,000
3	POSSE Mobile Module	1	\$20,000
4	POSSE GIS Add-on	1	\$15,000
5	POSSE Ad Hoc Reporting Module	1	\$20,000
6	POSSE Named Users	1	\$52,500
7	POSSE Mobile Users Licenses	1	\$3,750
	<b>Sub Total</b>		<b>\$251,250</b>

Item	Description	Expected Month of Project	Amount
<b>Software - Ongoing Costs</b>			
1	Hosting Costs - Implementation Period (Y1)	1	\$136,275
2	Hosting Costs - Implementation Period (Y2)	13	\$136,275
3	Hosting Costs - Implementation Period (Y3) - if applicable. If not, leave blank.	n/a	\$0
4	Hosting Costs - Production Y1	n/a	\$0
5	Hosting Costs - Production Y2	13	\$143,089
6	Hosting Costs - Production Y3	25	\$150,243
7	Hosting Costs - Production Y4	37	\$157,756
8	Hosting Costs - Production Y5	49	\$165,644
	<b>Sub Total</b>		<b>\$889,282</b>
	<b>TOTAL</b>		<b>\$ 3,174,032.00</b>

**17. Under Business Processes, Computronix has estimated "Up to 75 fields\*" and "Up to 6 business rules\*\*."**

**a. Can Computronix clarify the analysis and justification behind these configuration limitations to ensure they are realistic for NLCC's requirements?**

**Computronix Response:**

Computronix has implemented POSSE ABC for many state and provincial jurisdictions and has leveraged this experience in our estimation practices. Most recently, for the State of Louisiana, similar configuration allowances were included, and the State did not require the full amount of configuration allowances.

**b. Additionally, the references have asterisks placed in the language, but these are not described in a footnote on that page. Can Computronix clarify what these asterisks represent?**

**Computronix Response:**

Descriptions associated with the asterisks were provided on the prior page of the proposal and are restated here:

**\* Field Changes:** A field change is any addition, removal, or change to a simple data entry or display field. These changes exclude fields that automatically perform calculations or display information from related entities.

**\*\* Business Rules:** These are defined as any addition or modification to the procedures, scripts, and configuration that enforce the system's business rules. These additions/ modifications include the addition of new business rules to the system. Please note: Computronix implements most simple business rules with Checklists configured on the Administration website, and there is no limit to the number of checklist items.

## 1.13 Exhibit D – Sample Statement of Work

**18. In Section 8.A - Schedule and Work Plan Computronix describes the Statement of Work and states "It will be important that the NLCC perform a detailed review of the SOW as part of the *pre-contract, Project Initiation phase*. Exhibit D - Statement of Work Template contains details on the implementation processes, methodologies, and tasks."**

**a. Computronix must clarify that it understands per Nebraska procurement rules there will be no further negotiations on the scope of work contracted for under the RFP beyond this step of clarifications and then later - pricing only - during the Best and Final Offer (BAFO) step, prior to contract award.**

**Computronix Response:**

Computronix understands Nebraska's procurement rules and provides the following clarification. The Computronix Statement of Work is not intended to supplant the project scope as defined in the RFP, but rather supplement it with details regarding Computronix's implementation approach, methodologies, and tasks.

Computronix's Project Plan is comprised of the following:

- **Statement of Work (SOW):** The Computronix SOW is primarily a process document that outlines the project implementation tasks and the responsibilities of Computronix and the NLCC personnel assigned to the project team. It includes the operational definitions for applicable product customizations and non-standard interfaces. The SOW is organized by project phases and the system/subsystems to be delivered.
- **Project Schedule:** As mentioned in response to 1.5 Section SA – Schedule and Work Plan Sample Project Schedule Clarification #8a, the proposed project schedule is based on

Computronix's template and shows project events from contract signing to project completion. Computronix has a well-established system implementation plan that is based on project information entered into a Microsoft Project template. Computronix's project managers modify this template to develop detailed project plans for each client, including the applications, interfaces, and modules specific to each client's solution. The implementation timelines are contingent upon the mutual availability of the NLCC and Computronix teams. Each project is implemented according to a unique schedule based on the products, services, resources, and task elements for each of the applications that comprise the contracted solution.

- **Requirements Traceability Matrix (RTM):** As mentioned in response to 1.5 Section SA – Schedule and Work Plan Clarification #9, the RTM is a collaborative log in which NLCC and Computronix identify and catalogue each system requirement and document the means by which the requirement's completion/delivery will be demonstrated. As such, the RTM is the key document that identifies the scope of what is to be delivered and is derived directly from the scope identified in the RFP.

**b. If this impacts use of the Statement of Work template, please clarify your proposed approach.**

#### Computronix Response:

As noted in our response to 18.a, we do not believe use of the Computronix Statement of Work template to be in conflict with the Nebraska procurement guidelines, as the Computronix SOW does not alter the scope of work as contemplated in the RFP.

We welcome further discussion with NLCC if there is any concern with this approach.

## 1.14 Appendix A – CAMP Functional Requirements

**19. Functional requirements responses to B57, F13, and 156 are currently left blank, but comments indicate they can be met per the provided explanation. Can Computronix clarify its response?**

#### Computronix Response:

Yes. Computronix provided comments but inadvertently did not update the response codes for the cited requirements.

- The Response Code for Functional Requirement B57 should have been a C for Configuration in the G Column.
- The Response Code for Functional Requirement F13 should have been a C for Configuration in the G Column.
- The Response Code for Functional Requirement I56 should have been a C for Configuration in the G Column.



## 1.15 General Questions

- 20. In the 6.C Appendix A Functional Requirements & 7.H Appendix B Technical Requirements worksheets, there are some fields that were left unanswered under the columns "Customization (Y/N)" and "Integration /w 3rd Party Product (Y/N)".**
- a. Please clarify what those fields being blank means.**
  - b. Do this mean that those columns were not applicable to the respective statements and should be taken as a default "No, customization/integration is not required"?**
  - c. If they are blank, were they missed, or is there an alternative explanation?**

### Computronix Response:

Computronix has reviewed Appendix A Functional Requirements and Appendix B Technical Requirements.

- a. On Appendix A Functional Requirements B57, F13, and I56 Computronix provided comments but inadvertently did not update the response codes for the requirements. On Appendix B Technical Requirement A16 we inadvertently did not provide a response code or provide a comment.
- b. Appendix A Functional Requirements B57, F13, and I56 should have been coded with C for Configuration in the G Column. Appendix B Technical Requirement A16 should have been C for Configuration in the G Column with a Comment that Computronix is committed to maintaining the system uptime acceptable levels communicated in the Hosting SLA (Service Level Agreement). A copy of this Agreement template was provided in the Computronix response Exhibit B – Hosting Service Level Agreement.
- c. Computronix inadvertently did not update the response codes for the requirements.

**21. 8.1 Training and Knowledge Transfer Page 184 of proposal - Under the business role "Configuration Technicians/ Developers", it states "These NLCC staff members ... will assume responsibility for ongoing in-house system development, creating new configurations (workflows) ... using POSSE ABC's base point-and-click configuration environment, called Stage... ".**

**However, in 8.F Design and Development Strategy Page 165, POSSE's Stage configuration environment is described with the last sentence being "Computronix uses the Stage application to configure new business processes, workflows, and screens as describe in the responses to requirements, Computronix can provide this deeper level of system configuration on an as-needed basis, though such training has not been included in our proposal".**

- a. Based on the first statement, it appears that NLCC staff would use Stage for creating new workflows. However, in the second statement, it seems that training has not been included for being provided to NLCC staff in order to use this tool. Is the second statement just regarding more in-depth training while some basic training would be provided?**
- b. Will any training regarding the Stage environment be provided? Please clarify.**

**Computronix Response:**

(a) NLCC will be trained on the usage of the POSSE ABC Administrator Portal. Computronix will perform the necessary Stage configuration for the implementation of POSSE ABC for NLCC based on our responses to the requirements in the RFP. Following the implementation project, should NLCC wish to further extend the use of POSSE, Stage configuration training can be provided through additional services.

(b) Training in the Stage environment has not been included in our proposal.

**22. On Page 27 of the Proposal, Last field of Table 8 indicated "OLCC." There are other instances of this reference as well. Please clarify that any references to "OLCC" should in fact be "NLCC".**

**Computronix Response:**

Yes. Any reference to "OLCC" should be "NLCC."

## APPLICATION FOR CERTIFICATE OF AUTHORITY TO TRANSACT BUSINESS

Robert B. Evnen, Secretary of State  
P.O. Box 94608  
Lincoln, NE 68509  
[www.sos.nebraska.gov](http://www.sos.nebraska.gov)

Attach a certificate of existence, or document of similar import, duly authenticated by the secretary of state or other official having custody of the corporate records in the state or country under whose law the corporation is incorporated. Such certificate shall not be more than sixty (60) days old. A certified copy of the articles of incorporation should not be submitted and is not acceptable in lieu of such certificate.

Name of Corporation Computronix (U.S.A.), Inc.

Fictitious Name of Corporation\* \_\_\_\_\_  
(to be used only if actual corporate name is unavailable for use or does not comply with Nebraska law)

\*Must provide a resolution from the Board of Directors signed by the Secretary adopting this fictitious name.  
Note: Fictitious name must contain one of the words incorporated, corporation, limited or an abbreviation thereof.

Incorporated under the laws of Colorado

Date of Incorporation January 13, 1999 Period of Duration ongoing

Address of Principal Office 3900 S. Wadsworth Blvd., Suite 510 Lakewood CO 80235  
Street Address City State Zip

Registered Agent CSC-Lawyers Incorporating Service Company

Registered Office 233 S. 13th St. Lincoln NE 68508  
Street Address and Post Office Box (if any) City Zip

Effective date if other than the date filed \_\_\_\_\_

  
\_\_\_\_\_  
Signature

David den Otter, President  
Printed Name/Title

The Model Business Corporation Act requires that every filing be signed by the chairperson of the board of directors, the president, or one of the officers of the corporation. If the corporation has not yet been formed or directors have not yet been selected, the filing shall be signed by an incorporator. If the corporation is in the hands of a receiver, trustee, or other court appointed fiduciary, the filing shall be signed by that fiduciary.

NOTE: To complete this filing you must provide a list of officers and directors names and street addresses.

FILING FEE: \$110 (In-Office) / \$100 (Online)

Revised 07/01/2021

Neb. Rev. Stat. §21-2,205

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City State Zip

Glenn Ogg, Vice President

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Street Address

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Dale Johnson, Sec/Treasurer

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Name

Street Address

City State Zip

Name

Street Address

City State Zip

Name

Street Address

City State Zip

Please Copy this page and submit additional pages if needed.

OFFICE OF THE SECRETARY OF STATE  
OF THE STATE OF COLORADO

**CERTIFICATE OF FACT OF GOOD STANDING**

I, Jena Griswold, as the Secretary of State of the State of Colorado, hereby certify that, according to the records of this office,

COMPUTRONIX (U.S.A.), INC.

is a

Corporation

formed or registered on 01/13/1999 under the law of Colorado, has complied with all applicable requirements of this office, and is in good standing with this office. This entity has been assigned entity identification number 19991006996 .

This certificate reflects facts established or disclosed by documents delivered to this office on paper through 08/23/2022 that have been posted, and by documents delivered to this office electronically through 08/24/2022 @ 17:04:52 .

I have affixed hereto the Great Seal of the State of Colorado and duly generated, executed, and issued this official certificate at Denver, Colorado on 08/24/2022 @ 17:04:52 in accordance with applicable law. This certificate is assigned Confirmation Number 14263956 .



A handwritten signature in blue ink that reads "Jena Griswold".

Secretary of State of the State of Colorado

\*\*\*\*\*End of Certificate\*\*\*\*\*

*Notice: A certificate issued electronically from the Colorado Secretary of State's Web site is fully and immediately valid and effective. However, as an option, the issuance and validity of a certificate obtained electronically may be established by visiting the Validate a Certificate page of the Secretary of State's Web site, <http://www.sos.state.co.us/biz/CertificateSearchCriteria.do> entering the certificate's confirmation number displayed on the certificate, and following the instructions displayed. Confirming the issuance of a certificate is merely optional and is not necessary to the valid and effective issuance of a certificate. For more information, visit our Web site, <http://www.sos.state.co.us/> click "Businesses, trademarks, trade names" and select "Frequently Asked Questions."*

# CERTIFICATE OF INSURANCE

**CERTIFICATE HOLDER:****Dated: August 25, 2022**

State of Nebraska  
State Purchasing Bureau  
1526 K Street, Suite 130  
Lincoln, NE 68508

RE: 6677 Z1  
Attn: Joy Fischer

**NAMED INSURED:**

Computronix (U.S.A.), Inc.  
3900 S Wadsworth Boulevard,  
Suite 510, Lakewood, CO 80235

**BROKER:**

Lloyd Sadd Insurance Brokers Ltd.  
Suite 700, 10240 - 124 Street  
Edmonton, AB T5N 3W6 P: (780) 483-4544

This certificate is issued as a matter of information only and confers no rights upon the certificate holder. This certificate does not amend, extend or alter the coverage afforded by the policies below. The insurance afforded is subject to the terms, conditions and exclusions of the applicable policy.

**COMPANIES AFFORDING COVERAGE:**

Company Letter "A" Travelers Insurance Company of Canada

CO LTR	TYPE OF INSURANCE	POLICY NUMBER	POLICY EFFECTIVE DATE	POLICY EXPIRY DATE	LIMIT	
<b>INFORMATION TECHNOLOGY ERRORS &amp; OMISSIONS LIABILITY</b>						
A	Technology Products Services Errors & Omissions – Claims Made - Retroactive Date: March 22, 2001	TRV0353289	September 1, 2022	September 1, 2023	\$5,000,000 \$5,000,000	Amount of Insurance/ Aggregate Limit
<b>CYBER LIABILITY</b>						
A	Security Liability – Claims Made	TRV0353289	September 1, 2022	September 1, 2023	\$5,000,000 \$5,000,000	Amount of Insurance/ Aggregate Limit

**Re: Information Technology Errors & Omissions and Cyber Liability, Policy #TRV0353289** It is hereby understood and agreed that *State of Nebraska* is added as an Additional Insured *Effective September 1, 2022* but only with respect to liability arising out of the operations of the Named Insured.

**Waiver of Subrogation:** It is hereby understood and agreed that the insurer agrees to waive their rights of subrogation in favor of *State of Nebraska* but only with respect to liability arising out of the operations of the Named Insured.

**Primary and Non-Contributory**

The insurance evidenced herein is primary only with respect to those occurrences for which the insured may be negligent or may be held liable, specifically arising out of the operations of the insured.

**CANCELLATION**

Should the Commercial General Liability policy be cancelled before the expiration date thereof, the issuing company will endeavor to mail *nil* days written notice to the certificate holder named above, but failure to mail such notice shall impose no obligation or liability of any kind upon the company, its agents or representative.

**Lloyd Sadd Insurance Brokers Ltd.**

per:





# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

08/26/2022

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

<b>PRODUCER</b> Security First Insurance Agency  7851 S. Elati St., Ste. 100 Littleton CO 80120		<b>CONTACT NAME:</b> Pam Horan <b>PHONE (A/C, No, Ext):</b> (303) 730-2327 <b>E-MAIL ADDRESS:</b> phoran@securityfirstia.com		<b>FAX (A/C, No):</b> (303) 730-2930
<b>INSURED</b>  Computronix USA Inc 3900 S Wadsworth Blvd Ste 510  Denver CO 80235		<b>INSURER(S) AFFORDING COVERAGE</b>		<b>NAIC #</b>
		<b>INSURER A:</b> Sentinel Insurance Company, Ltd		11000
		<b>INSURER B:</b> Pinnacol Assurance		41190
		<b>INSURER C:</b>		
		<b>INSURER D:</b>		
		<b>INSURER E:</b>		
		<b>INSURER F:</b>		

**COVERAGES****CERTIFICATE NUMBER:** CL2242525367**REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	<input checked="" type="checkbox"/> <b>COMMERCIAL GENERAL LIABILITY</b> <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:	Y	Y	34SBAPP0370	09/20/2021	09/20/2022	EACH OCCURRENCE \$ 2,000,000	
	DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000							
	MED EXP (Any one person) \$ 10,000							
	PERSONAL & ADV INJURY \$ 2,000,000							
							GENERAL AGGREGATE \$ 4,000,000	
							PRODUCTS - COMP/OP AGG \$ 4,000,000	
							Non-owned \$ 2,000,000	
A	<b>AUTOMOBILE LIABILITY</b> <input type="checkbox"/> ANY AUTO <input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY			34SBAPP0370	09/20/2021	09/20/2022	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000	
	BODILY INJURY (Per person) \$							
	BODILY INJURY (Per accident) \$							
	PROPERTY DAMAGE (Per accident) \$							
							\$	
	<b>UMBRELLA LIAB</b> <input type="checkbox"/> OCCUR <b>EXCESS LIAB</b> <input type="checkbox"/> CLAIMS-MADE DED RETENTION \$						EACH OCCURRENCE \$	
							AGGREGATE \$	
							\$	
B	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N <input checked="" type="checkbox"/> Y	N/A	Y	4131028	05/01/2022	05/01/2023	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTHER
	E.L. EACH ACCIDENT \$ 1,000,000							
	E.L. DISEASE - EA EMPLOYEE \$ 1,000,000							
	E.L. DISEASE - POLICY LIMIT \$ 1,000,000							

**DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)**

The certificate holder is an additional insured as their interest may appear when required by written contract.

**CERTIFICATE HOLDER****CANCELLATION**

State of Nebraska Nebraska Liquor Control Commis 301 Centennial Mall South Lincoln NE 68509	<b>SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.</b>
	<b>AUTHORIZED REPRESENTATIVE</b> 

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**NOTIFICATION OF INTENT TO AWARD**

Date: July 27, 2022

To: All Bidders

From: Hobert Rupe, Executive Director  
Nebraska Liquor Control Commission

Subject: RFP Number 6677 Z1 Centralized Alcohol Management Project  
(CAMP)

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This is to notify all vendors who responded to the above-referenced Request for Proposal that the Nebraska Liquor Control Commission intends to award the contract for Centralized Alcohol Management Project to Computronix.

Thank you for your interest in doing business with the Nebraska Liquor Control Commission.



**FINAL EVALUATION DOCUMENT**

**RFP Number 6677 Z1**

**REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES**

**Opening Date: Monday, May 2, 2022 at 2:00PM Central Time**

<b>Evaluation Criteria</b>	<b>Possible Points</b>	<b>Accela</b>	<b>Computronix</b>	<b>MTX Group, Inc.</b>
<b>Part 1.0 Corporate Overview</b>	<b>23</b>	13.83	19.71	15.91
<b>Part 2.0 Technical Approach</b>	<b>62</b>	36.1	47.65	41.8
<b>Part 3.0 Cost Proposal</b>	<b>15</b>	11.32	15	10.75
<b>Part 4.0 Vendor Presentations / Demonstrations</b>	<b>20</b>	16.13	19.07	14.13
<b>Total Points</b>	<b>120</b>	77.38	101.43	82.59
<b>Ranking</b>		3	1	2

<b>LIST OF RESPONDENTS</b>
<b>REQUEST FOR PROPOSAL NUMBER 6677 Z1</b>
<b>Centralized Alcohol Management Project (CAMP) for NE Liquor Control Commission</b>
<b>Proposal Opening: May 2, 2022</b>

**Proposals were submitted by the following:**

- Tech Mahindra Americas Inc.
- Computronix USA Inc.
- MTX Group Inc.
- Accela, Inc.

**“Invalid Proposals” were submitted by the following:**

- Tech Mahindra Americas Inc.
  - Did not meet the Agency’s minimum qualifications as stated in the RFP, section I.Q.2 Evaluation of Proposals:
    - Bidder does not have experience providing support for an alcohol licensing and regulatory system
    - Bidder did not propose a Project Manager that had been through at least one (1) full lifecycle deployment with the proposed software solution

## ADDENDUM THREE QUESTIONS and ANSWERS

Date: 4/21/22

To: All Bidders

From: Hobert Rupe, Executive Director, NLCC

RE: Addendum for Request for Proposal Number 6677 Z1 to be opened May 2, 2022 at 2:00 p.m. Central Time

### Questions and Answers

Following are the questions submitted and answers provided for the above mentioned Request for Proposal. The questions and answers are to be considered as part of the Request for Proposal. It is the Bidder's responsibility to check the State Purchasing Bureau website for all addenda or amendments.

Question Number	RFP Section Reference	RFP Page Number	Question	State Response
1.	III. B	31	Please confirm that the state of Nebraska expects only individuals authorized to work in the US to perform work on the implementation project.	Please refer to RFP Section I.G. SECRETARY OF STATE/TAX COMMISSIONER REGISTRATION REQUIREMENTS
2.	V. C	42	How many unique staff members will be logging into the solution?	NLCC employs 17 staff. NLCC would like to have the ability to expand if their regulatory umbrella increases. If the number of unique staff members logging into the solution affects the proposed price, then this should be clearly indicated in the bidder's pricing proposal.
3.			Would the State of Nebraska be open to a contract directly for software, or would a single contract be required for this project to include software and services?	The RFP outlines, and the Agency prefers, a single source for software and services. However, all proposals meeting minimum qualifications may be evaluated and scored. Implications for contracting software directly or separately must be clearly articulated in the vendor's pricing proposal with the proposed option stated.
4.	Procurement Procedure	13	Given the complexity of this RFP, would the State be willing to extend the due date by at least 3-4 weeks?	No, not at this time.
5.	Procurement	13	What costs has the State	The existing system was

	Procedure		incurred for the initial set up, ongoing maintenance, hosting, software licensing, support, and enhancements (i.e., “change orders”) over the current systems lifetime?	implemented in 1987. It is impossible to ascertain the initial costs. This question is out of scope.
6.	Procurement Procedure	13	What presentations, software demonstrations and/or estimates / quotes has the State received related to the CAMP project and from whom?	This question is out of scope.
7.	Award	19	When ideally does the State want to have this system “go live”?	NLCC is open to timelines proposed by the bidder.
8.	Payment	39	What is the State’s budget for the new solution and what does the budget intend to cover?	NLCC was allocated \$3.8 million in the 2021-2023 biennium budget designated for the entire cost of the project: design, implementation, maintenance, & program assurance costs. Future costs would be in future budget requests with the standard agency budget.
9.	Payment	39	Is the budget to include full implementation of the new system?	Yes.
10.	Payment	39	What has the State budgeted for the initial system implementation?	Please see the response to question #8.
11.	Payment	39	What, if any, amount of the budget is subject to expire by a certain timeframe and when? Please elaborate.	Please see the response to question #8.
12.	Solution Implementation Plan	69	Please provide an approximate number of standard email/letter templates that will be used by the agency that are to be integrated and automated by the system.	Approximately 120.
13.	Implementation Services	43	How many different or distinct inspection / license / permit application types will be supported in this solution? Please provide a list.	A listing will be provided during implementation/design with selected vendor. The RFP indicates 83 existing configurations currently available on page 42. NLCC envisions a solution to support flexibility to add or remove as NLCC’s needs flex.
14.	Systems for Targeted Integration	46	Will there be a data conversion component for the new system? If yes, can you provide	Please see RFP Section V. C. 3. B Scope of Data Conversion

			the size and format of the current data set and confirm if the vendor will be migrating all this data into the new solution?	
15.	Inspection and Approval	38	Please provide the annual number of inspections / applications / renewals processed by the agency?	Approximately 1000 inspections; 1200 applications; 6000 renewals; (1 day licenses not included in these totals 6000-7000)
16.	Scope Overview and CAMP Stakeholders	42, 43	Please provide a breakdown of the number of agency users that will be using the new solution by role. The RFP shows 20 current users (Page 42), but also shows 50 users to be trained (Page 43). Please explain.	Currently NLCC employs 17 regular staff (8 in licensing division; 4 in revenue division; 2 in legal/enforcement division; 2 in audit division; 1 executive director). However, anticipates additional users utilizing the new solution such as Attorney General's office & law enforcement and allow space for future expansion. Bidders should use the information provided as-is to inform their response.
17.	Legacy Systems Targeted for Replacement	43	'Currently, NLCC issues approximately 11,000 retail licensing applications a year. NLCC has 83 defined license and permit types in C1 mainframe but expects the Bidder to assist NLCC in looking for opportunities to consolidate similar record types that share workflow, fees, and inspections in the future solution.'  Question: How many different license types will the <b>new</b> system be used to issue licenses, credentials, or permits? Will there be additional license and permit types?	The Nebraska Legislature continues to introduce new legislation in the alcohol beverage industry and NLCC is required to implement statutory changes at that time.  Consolidation of licenses and permit types is part of the implementation process and has not been fully determined. Please see response to Question #13.
18.	Training and Knowledge Transfer	62	How many users will require train-the-trainer training?	Bidders are to propose this in their responses. NLCC will be open to their recommendation(s).
19.	Mandatory Deliverables	64	<i>How many and which</i> license types would the agency anticipate deployment in a phased approach?	Bidders are to propose this in their responses. NLCC will evaluate the proposals as submitted.
20.	Implementation Approach and	57	What is the desired go live	Bidders are to propose this in their responses. NLCC will evaluate

	Understanding		timeframe for each phase of the implementation?	the proposals as submitted.
21	Implementation Services	43	What is the desired end date for the final go live of the implementation?	See Response to Question #7.
22.	CAMP Stakeholders	45	Will the Liquor Control Commissioners, City / County Clerks of local jurisdictions, Office of the Attorney General, Nebraska State Patrol (NSP), External Review Agencies, and Industry be external users of the new system to support their individual roles as described in the CAMP Stakeholders table?	Vendors should propose their recommendations of how to accommodate these stakeholders in the system appropriately based on previous implementation experience and cost-effectiveness.
23.	Systems Targeted for Integration	46	What version of OnBase will the new solution need to be integrated with in real-time?	OnBase Foundation EP5 (Version 21.1.11.1000) or the most current version supported by the State at the time of the project.
24.	Systems Targeted for Integration	46	NIC Payport payment processor - Please confirm the payment processor the state desires to be integrated with the new system	NIC Division at Tyler Technologies; egov.com
25.	Mobile	50	What functionality must a "mobile application" support for NSP officers and any other users?	See Technical Requirements, Tab E. Mobile.
26.	Mobile	50	If the entire vendor solution is mobile ready (transforms to support mobile device), can NSP officers and any other users access the system from a mobile device in place of a separate mobile application?	If a vendor is proposing this type of solution, the vendor must indicate how the solution meets all of the mobile requirements natively, including offline data capture. Otherwise, NLCC would require a separate mobile application.
27.	Staffing Requirements	58	Call center/problem ticket support: Will the agency identify a number of subject matter experts who will provide support to agency users and interface with the vendor when necessary?	Not at this time.

28.	Staffing Requirements	58	Call center/problem ticket support: Which users and how many users does the agency want the vendor to directly support?	Vendors are required to propose this in their responses. NLCC will be open to their recommendation(s). See Question #2 and #16 for further clarity.
29.	Evaluation Criteria 2.a.	1	Considering the few states that have implemented a new system in the past five (5) years will the State consider active experience with an alcohol licensing solution which may have been implemented prior to five (5) years but still in production?	No.
30.	II Terms and Conditions, III. Contractor Duties, IV. Payment V.D.1	20 – 40 50, 51	Please identify where Sections II through IV should be placed in the proposal layout.	Please submit as separate file.
31.	I.C.7	13	Will the State provide a 3-week extension to the submission date?	See response to question #4. No, not at this time.
32.	Appendix A CAMP Functional Requirements  And Appendix B CAMP Technical Requirements	Instructions Tab	Please provide examples of how the State differentiates between Configuration and Automation?	NLCC understands that Business Rule Automation and Configuration are similar (hence why responses to either are accounted for separately from the other response requirements, such as customization). Business Rule Automation typically involves use of a Business Rule Engine within the product suite that enables the solution to define and maintain a variety of business rules. Configuration is implemented via settings within the software that are set up (e.g., configured) according to business rules defined by the agency.
33.	Appendix A CAMP Functional Requirements  And Appendix B CAMP Technical	Instructions Tab	How does NLCC rate or score the four code options of Configuration, Automation, Both, or None?	Bidders must respond to the requirements accurately. Responses to requirements may be vetted during bidder demonstrations. NLCC will not disclose any additional scoring considerations at this time beyond

	Requirements			what is already provided in the RFP.
34.	Appendix A CAMP Functional Requirements	Tab H. Systems Interfaces Number 8	Is the requirement for the liquor license / permits to be displayed geospatially on the map only for the Staff Facing Portal?	No.
35.	I. Procurement Procedure Item D and VI. Bidder Solution Response Requirements D. Response Instructions 2. Detailed Response Instructions I. Section 9 Deliverables iv. 9.D.	14 and 69	Please explain the difference between "assumptions" and "scoping comments."	Bidder should first present as questions, any assumptions that the proposal is or might be developed. After complying with the assumption as a question, bidder should submit a scoping comment that bidder is relying on pursuant to Section 9 iv. 9.D.
36.	Section 8 B Staffing Requirements	58	Please fully describe the NLCC project team resources (including NLCC staff, State OCIO/GIS and other IT Support staff as well as contractors) allocated for the duration of this project. Please indicate which positions (e.g., Project Manager, Change Management) are contractors.	This information is not available at this time.
37.	File- 6677 Z1 Evaluation Criteria Final.docx  Section - EVALUATION OF PROPOSALS	1	Will the state be open to relax mandatory criteria "Bidder must have experience providing first-line support (technical and functional help/service desk) for an alcohol licensing and regulatory system"  Many states liquor regulators, who we are supporting, manage first-line support with their own staff. We do bring experience from other public sector agency first-line support.  We request the State to modify this this mandatory clause to encourage competition.	Yes, the state will remove the requirement that support be "first line" to partially relax this mandatory criteria.
38.	Present State		The State indicates that they	The State of Nebraska Office of the CIO (OCIO) is currently



			are paying for technical expertise to leverage reporting out of C1 today, are these vendors able to bid on this project?	providing technical expertise to NLCC. The OCIO will not be bidding on this RFP.
39.	Present State		Do you have an employee dedicated to owning the current system/solution? if yes, would they be responsible for owning the proposed solution?	No.
40.	Present State		Understanding there are 83 license & permit types, are there multiple inspection types? If yes, how many?	There are 7 inspections types in current state.
41.	Present State		Is there a current process map that you can share?	NLCC has all current work flows documented and ready for the selected vendor. NLCC is replacing all current work flows. Since they are manual, there would be no value for bidders to see this.
42.	Future State		The State indicates a preference for COTS, is the State open to a SaaS solution?	Yes.
43.	Future State		Will the State allow local approvers (external) access to the system to review applications and approve/deny? Ex. City/County Clerks accessing the NLCC side of the system	Yes.
44.	Future State		For the on-going maintenance and support, is there any role the agency plans to play, such as minor configuration changes, develop reports, etc?	Yes, NLCC would like a portion of our staff to be trained as System Administrators. The final number will be determined with bidder input.
45.	Future State		The State indicates there is a need to migrate active license information. Are there paper records that need to be included in the conversion/migration?	No.
46.	Future State		Can the State clarify whether these are bi-directional integration or a single direction integrations? - OnBase ECM - NEGIS - JD Edwards (E1)	This is indicated in Technical Requirements, Tab H System-Interfaces.

			- PayPort - Nebraska Interactive - Civix	
47.	Future State		The State indicates a possibility of implementing a Knowledge Management System - is there a timeline for this implementation? Should costs associated with this implementation be included in pricing provided for this RFP?	NLCC has no timeline for implementation of a Knowledge Management System. Pricing for a KMS is not included in this RFP.. No part of the Knowledge Management System would be scored by evaluators. Reference RFP Section VI.2.g.vi.F. Reporting.
48.	Future State		The State indicates that there are 20 generated reports, will additional reports need to be created as part of the solution?	Additional reports would be utilized as ad hoc reporting. NLCC would view ad hoc reporting as a required feature.
49.	Future State		The State indicates a need for a mobile application to access the system - would a site with responsive design suffice for this requirement?	A website is acceptable for public facing services. However off-line functionality is required for enforcement officers and auditors in the field.
50.	Business Capabilities		The State indicates that License Holders are required to submit reports and that the solution needs to be able to query data across these reports. What format are reports required to be uploaded as?	NLCC does not have a required format. at this time.
51.	Business Capabilities		The State indicates that the solution should "Present Case at Hearing" - can you provide more detail around what should happen and if this is being done using C1 today?	"Present Case at Hearing" is simply a step in the work flow process. Only the result of the hearing is documented in C1 today.
52.	Integration Architecture		Any use of real-time APIs?	NLCC has limited uses of real-time APIs. For future state, NLCC anticipates to utilize real-time APIs. This is outlined in Technical Requirements, Tab H. Systems-Interfaces. Real time is expected for Payport, Nebraska Interactive, Civix, OnBase and GIS ESRI.
53.	Integration Architecture		What, if any, integration technology or software do you currently use to execute integrations?	NLCC does not currently execute integrations. Information is manually entered in separate systems.
54.	Training/Change		Do you prefer to have training	Bidders should provide the best response to meet the

	Enablement		virtually or in-person?	requirements of the RFP.
55.	Training/Change Enablement		Do your end users have experience with Salesforce?	Unknown.
56.	Section ii. Scope of Data Conversion	44	The RFP notes that the NLCC intends to convert only active license information at this time. However, the last sentence in this section on page 44 further notes the NLCC's plans to convert all revoked license records and 6 months' worth of cancelled license records. What is the NLCC's timeline for these activities? Please expand on any further data conversion information available and scope.	NLCC intends to manually handle inputting cancelled and revoked license data because these numbers are very minimal.
57.	II Terms and Conditions, III. Contractor Duties, IV. Payment V.D.1	20 – 40 50, 51	Please identify where Sections II through IV should be placed in the proposal layout.	Please submit as separate file.
58.	I.C.7	13	Given that this is a detailed RFP, will the State provide a 3-week extension to the submission date to allow time to produce a quality response?	Repeat of question #4 & #31
59.	Appendix A CAMP Functional Requirements  And  Appendix B CAMP Technical Requirements	Instructions Tab	Please provide examples of how the State differentiates between Configuration and Automation?	Please see the response to question #32.
60.	Appendix A CAMP Functional Requirements  And  Appendix B CAMP Technical Requirements	Instructions Tab	How does NLCC rate or score the four code options of Configuration, Automation, Both, or None?	Please see the response to question #33.
61.	Appendix A	Tab H. Systems	Is the requirement for the liquor	Please see the response to question #34.

	CAMP Functional Requirements	Interfaces Number 8	license / permits to be displayed geospatially on the map only for the Staff Facing Portal?	
62.	I. Procurement Procedure Item D and VI. Bidder Solution Response Requirements D. Response Instructions 2. Detailed Response Instructions I. Section 9 Deliverables iv. 9.D.	14 and 69	Please explain the difference between “assumptions” and “scoping comments.”	Repeat of #35.
63.	Section 8 B Staffing Requirements	58	Please fully describe the NLCC project team resources (including NLCC staff, State OCIO/GIS and other IT Support staff as well as contractors) allocated for the duration of this project. Please indicate which positions (e.g., Project Manager, Change Management) are contractors.	Repeat of #36.
64.	2.d.ii.f. Conflict of Interest	52-53	Please provide text to replace “Error! Reference source not found.: Error! Reference source not found.”	<i>VI.D.2.d.ii.f. Conflicts of Interest</i> 1. Identify any potential conflicts of interest with NLCC or stakeholders listed in Section V.C.2.c.i Table 5 CAMP Stakeholders of this RFP by any organization proposed to participate in this project.
65.	Appendix A CAMP Functional Requirements	Tab A Application Processing, Item 53	Please provide context for “hearing” in this Application Processing? Is this related to the application to be reviewed, or is this for a different purpose related to the application?	NLCC hearings pertain to the Commissioner’s review (during an actual hearing) of pending applications and compliance issues of issued licenses.
66.	Appendix A CAMP Functional Requirements	Tab A Application Processing, Item 83	Please explain this requirement further. If the final outcome is to issue a new license, why is the old license being canceled? Why is the old license not amended?	Licenses are non transferable per state statute and have no monetary value.
67.	Appendix A	Tab A Application	Please provide the list of	Reasons are license specific and may be identified during

	CAMP Functional Requirements	Processing, Item 113	standard reason codes that would be used for rejection of an application.	implementation/design with selected vendor.
68.	Appendix A CAMP Functional Requirements	Tab B License Management, Item 51, 52	Please define violator? Does this refer to tracking the violation history of a specific License or to tracking violation history of a specific individual?	Violations are license specific, not specific to an individual. Violator would be referring to a specific liquor license.
69.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 5	Please provide more information regarding the report information needed and the validation required. For example, is this referring to field validation (a number) or is this referring to data validation compared to other data?	This is referring to field validation compared to other fields.
70.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 5	Please provide examples of the forms and data that are expected to be captured.	This data will be provided during implementation/design with selected vendor.
71.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 6	What information is to be used to perform the automatic gallon calculations?	Conversion formulas.
72.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 6	Is this to be a conversion from one unit to a different unit?	Yes.
73.	Appendix A CAMP Functional Requirements	Tab Reporting, Item 10 <sup>D</sup>	Please provide the expected details regarding the "etc." reports that are required based on License Type.	This data will be provided during implementation/design with selected vendor. The three reports under etc. that we currently use are: non beverage report; cigar bar report; limited alcohol license.
74.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 10	This item mentions Shipping reports and Transfer Reports, etc. Is the requirement that reports are in a file format (e.g., Excel or pdf) to be uploaded as an attached file? Or is the requirement that data fields are manually entered with this information?	This will be designed / developed during the implementation – the Agency is open to both options for report formats
75.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 11	What are the expected defined business roles?	Brewer; Wholesaler; Shipper; Nebraska producer, or other license types as needed.

76.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 12	Is the requirement that inventory reports are in a file format (e.g., Excel, or pdf) to be uploaded as an attached file? Or is the requirement that data fields are manually entered with this information?	Both.
77.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 23	Please provide details regarding the NLCC business rules referenced in this question.	NLCC's current solution does not utilize business rules referenced in this question. NLCC intends to build business rules around the proposed solution.
78.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 31	Please provide additional details about the "taxable inventory amounts". What defines taxable inventory amounts?	Taxable inventory amounts are dictated by Nebraska Rev. Statutes 53-160 & 53-164.01.
79.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 31	Please provide the NLCC business rules used for automatically adding taxable inventory amounts.	NLCC's current solution does not utilize business rules referenced in this question. NLCC intends to build business rules around the proposed solution.
80.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 33	Please provide the details for the business rules in which penalty and interest are automatically assessed.	Penalty and interest is outlined per Nebraska Rev. Statute 53-164.01 (3) (4)
81.	Appendix A CAMP Functional Requirements	Tab D Reporting, Item 33	Are penalty and interest assessed on an ongoing basis, at the time that the report is submitted, and/or at the time that the payment is made?	At the time payment is made by the licensee.
82.	Appendix A CAMP Functional Requirements	Tab E Auditing	How many audits does the NLCC conduct per year?	On average there are 30 audits per year.
83.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 1	Please provide the defined business rules to be used to proactively and systematically identify audit candidates.	NLCC does not have any current rules, regulations or guidelines on when an audit should be performed. It is determined manually on a case-by-case basis. NLCC intends to build business rules around the proposed solution.
84.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 2	Please provide the "other configurable audit" indicators that are part of this requirement.	NLCC does not have any current rules, regulations or guidelines on when an audit should be performed. It is determined manually on a case-by-case basis. NLCC intends to build

				business rules around the proposed solution.
85.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 13	What are the required “all parameters” related to creating an audit?	NLCC does not have any current rules, regulations or guidelines on when an audit should be performed. It is determined manually on a case-by-case basis. NLCC intends to build business rules around the proposed solution.
86.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 13	Please describe the business rules that would trigger the system to automatically generate an audit.	NLCC does not have any current rules, regulations or guidelines on when an audit should be performed. It is determined manually on a case-by-case basis. NLCC intends to build business rules around the proposed solution.
87.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 17	What is the calendar item related to? Is this a meeting with the licensee? Please explain the context of the calendar item.	Tab E Auditing, Item 17 is related to performance of audits. It relates to the entirety of an audit work flow.
88.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 22	Please provide the required pre-configured template.	NLCC does not currently have a template for the referenced item. The system shall have the ability to create and modify a template.
89.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 24	Please clarify this requirement for a separate “module” as opposed to a separate menu item, etc.	Appendix A indicates a separate module per Tab E, Item 24. If proposing a separate menu item, please describe how it meets all required functionality.
90.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 27	Please clarify: is the requirement that the auditor can add multiple licenses to a single audit record?	Yes.
91.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 34	Please clarify the requirement to capture detailed supported information. What is the typical detailed supporting information that would be included in the letter? Is this manually entered by the auditor or is this information that is captured from select data fields?	NLCC is unable to determine the meaning of the question because Tab E Auditing, Item 34 does not reference a letter. NLCC determines detailed supporting information could be manually entered or captured from selected data fields.
92.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 38	Please provide the audit parameters required.	Parameters shall be configurable.
93.	Appendix A	Tab E	What defines the percent of	Parameters shall be configurable.

	CAMP Functional Requirements	Auditing, Item 38	completion?	The example was a percentage.
94.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 43,44	Please provide additional details regarding the narrative. Is the narrative freeform text that does not contain individual fields that must be reportable?	Current narratives are freeform text.
95.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 48, 67	Please provide an example of the narrative template	NLCC does not currently have a narrative template.
96.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 64	Please provide additional information and details about the Collections process. Is this still part of the audit ad should be part of the audit record? Or does this go to a different division for processing?	The collections is processed in the current state by revenue division employees within the NLCC. It is determined manually on a case-by-case basis. NLCC intends to build business rules around the proposed solution.
97.	Appendix A CAMP Functional Requirements	Tab E Auditing, Item 73-76	Please provide additional details regarding the payment plan process. Are payment plans charged penalty and interest?	NLCC does not currently have a structure for payment plans. Penalty & interest are not subject to audit assessments.
98.	Appendix A CAMP Functional Requirements	Tab F Enforcement, Item 43	Please provide an example of when a violation would need to be linked to multiple License numbers.	Example would be individuals associated with revoked licenses or corporations with multiple violations.
99.	Appendix A CAMP Functional Requirements	Tab F Enforcement, Item 46	Please describe the required smart calendaring feature.	NLCC does not have any smart calendar systems and, therefore, cannot describe it.
100.	Appendix A CAMP Functional Requirements	Tab F Enforcement, Item 65	Please define GIS information.	This data will be provided during implementation/design with selected vendor. Refer to RFP Section V.C.2.c.iv.d).
102.	Appendix A CAMP Functional Requirements	Tab G Legal, Item 9	What are the required calendar settings?	NLCC's current solution does not have the capability to configure calendar settings. Proposed solution shall have the ability to configure calendar settings.
103.	Appendix A CAMP Functional Requirements	Tab G Legal, Item 15	What are the business rules for scheduling a hearing automatically?	NLCC's current solution does not utilize business rules referenced in this question. NLCC intends to build business rules around the proposed solution.



104.	Appendix A CAMP Functional Requirements	Tab G Legal, Item 54	What is the volume of licensees requesting an appeal to a hearing? For example, how many hearing appeals are done per year?	This must be a configurable requirement. It is the licensee's determination whether they will appeal a hearing result. Past history is not relevant to the number of appeals in the future.
105.	Appendix A CAMP Functional Requirements	Tab H Reporting, Item 30	What relationship determines the fact that other related locations or licenses may be included? In other words, what would make these records related?	(No Such Tab/Item)
106.	Appendix A CAMP Functional Requirements	Tab H Reporting, Item 68	Please provide the quantitative data fields required to be recorded and collected.	(No Such Tab/Item)
107.	Appendix A CAMP Functional Requirements	Tab H Training and Education	Is the issuance of training certification based on manual review of the uploaded training documentation? OR is the requirement that these certifications are generated by accessing/completing review of the online repository education materials?	Both.
108.	Appendix A CAMP Functional Requirements	Tab H Training and Education	Is the certificate issued to the license or issued to employees that are employed by the licensee?	NLCC issues the certificate for the individual and delivers it to the licensee.
109.	Appendix A CAMP Functional Requirements	Tab H Training and Education Item 8	Does Searchable by Name indicate by Licensee or by individual employee name?	Both.
110.	Appendix A CAMP Functional Requirements	Tab I Revenue, Item 23	Please provide the penalty and interest schedules.	Please see the response to question # 80.
111.	Appendix A CAMP Functional Requirements	Tab I Revenue, Item 26	Please describe the periodic invoicing that is required.  Please provide examples of these invoices.	NLCC's current solution does not utilize the requirement outlined in this question. NLCC is unable to provide an example.
112.	Appendix A CAMP Functional Requirements	Tab I Revenue, Item 26	Are the invoices required to create Accounts Receivable GL transactions?  Or are invoices a statement of	No.  Correct, invoices are a statement of outstanding fees

			outstanding fees?	
113.	Appendix A CAMP Functional Requirements	Tab I Revenue, Item 58	Please provide additional details about the business rules required.	NLCC's current solution does not utilize business rules referenced in this question. NLCC intends to build business rules around the proposed solution.
114.	Appendix A CAMP Functional Requirements	Tab I Revenue, Item 58	Please provide examples of the required annual cost increases.	NLCC's current solution does not utilize business rules referenced in this question. NLCC intends to build business rules around the proposed solution.
115.	Appendix A CAMP Functional Requirements	Tab I Revenue, Item 59	Please provide examples of when a fee schedule overlaps.	An example would be a hearing cost and a fine payment.
116.	Appendix A CAMP Functional Requirements	Tab J General Operations Item 25	Please provide further information regarding the required calendar functionality.	The item referenced in this question refers to assignment of a repeated task(s).
117.	Appendix A CAMP Functional Requirements	Tab J General Operations Item 41	Does this requirement refer to external public users or to staff users?	Both.
118.	Appendix A CAMP Functional Requirements	Tab K System Administration Item 26	How many automatic approval permits are issued per year by NLCC?	The NLCC's current solution does not allow for the issuance of permits without staff involvement and review.
119.	Appendix A CAMP Functional Requirements	Tab K System Administration Item 26	Please provide additional details regarding the automatic approvals that occur.  What are the license/permit types?  What is the defined criteria?	The NLCC's current solution does not allow for the issuance of permits without staff involvement and review.
120.	Appendix A CAMP Functional Requirements	Tab K System Administration Item 48	Please provide additional details for the required business rules.	NLCC's current solution does not utilize business rules referenced in this question. NLCC intends to build business rules around the proposed solution.
121.	Appendix B CAMP Technical Requirements	Tab A General Technology, Item 36	Please clarify where and how the State intends to use digital electronic signatures	NLCC has not determined where and when and if digital electronic signatures will be utilized. NLCC is requesting this functionality and will determine use when revising its licensing flows.
122.	Appendix B CAMP Technical Requirements	Tab B Enabling Technology, Item 7	What is the assumed source of the security access rules?	Appropriate project stakeholders will be involved at the appropriate time during the project to support related discussions.

123.	Appendix B CAMP Technical Requirements	Tab B General Technology, Item 12	Please provide examples of KPIs to be tracked.	These will be defined during design. If there are limitations on running reports to pull data on KPIs based on workflow the bidder should acknowledge these in their response.
124.	Appendix B CAMP Technical Requirements	Tab D Application Security, Item 6	Please elaborate on how the Fire department would be using the system and how it pertains to user authentication.	State Fire Marshall's office (or their agents) provides approval for certain license types prior to initial issuance. A user from the Fire Marshall's office would need permissions to document approval of certain license types.
125.	Appendix B CAMP Technical Requirements	Tab D Application Security, Item 19	What might be considered a triggering usage threshold? Can the State provide an example use case of usage exceeding a threshold?	The vendor should indicate how their solution can meet this requirement out of the box. If there are limitations to meeting this requirement based on a configurable threshold, please identify in your response to the requirement.
126.	Appendix B CAMP Technical Requirements	Tab G GIS, Item 10	What layers does the State intend to use in the requested system? Can the State provide links to public GIS layers as an example?	Preliminary list of layers provided on pages 49-50 of the RFP. All the public layers are available at NebraskaMap.gov
127.	Appendix B CAMP Technical Requirements	Tab G GIS, Item 3	Please describe how GIS is intended to be used on the public facing portal as opposed to internally	This data will be provided during implementation/design with selected vendor.
128.	Appendix B CAMP Technical Requirements	Tab G GIS, Items 6 and 7	Does the State have alcohol brand territories tracked/geocoded in their GIS system today?	No.
129.	Appendix B CAMP Technical Requirements	Tab G GIS, Item 17	Are the State's liquor license locations geocoded today?	No.
130.	Appendix B CAMP Technical Requirements	Tab H System Interfaces, Item 4	Are these nightly and monthly batches "flat file" integrations?	Yes, this is a flat file integration. The files are fixed length flat files, and have a format that needs to be met.
131.	Appendix B CAMP Technical Requirements	Tab H System Interfaces, Item 7	Please explain how an integration between the proposed solution and Civix would work? Does the Civix system have a REST API or other access point?	There is no current interface between NLCC and Civix directly so this would be determined during design/implementation.
132.	Appendix D	User Stories	Does NLCC require that there are responses provided to the user stories?	No. However, vendors can address the user stories as part of their response if they believe it will add value to their response

133.	C. Scope of Work, 2. Solution Capabilities, i. Applications for Replacement	43	Please provide any information on the current mainframe vendor or insight into what maintenance is being provided on the current mainframe.	The current mainframe is a 30-year-old custom built system. Support is provided in house.
134.	C. Scope of Work	General Question	Is NLCC interested in also evaluating current business process approach and identifying process improvement opportunities tied to this implementation?	Yes.
135.	C. Scope of Work	General Question	Does NLCC have any limitations around SaaS versus on-premise solutions?	No
136.	C. Scope of Work, 1a. Implementation Services	43	NLCC has stated the Bidder should provide a realistic timeline based on experience with similar implementations of size, scope, and complexity. What is NLCC's vision for a potential implementation timeline?	The Agency has asked vendors to propose a realistic timeline given the Scope of Work detailed in the RFP.
137.	Q. Evaluation of Proposals	17	The minimum requirements include:  1. Bidder must have experience with implementing an alcohol licensing solution in one (1) state minimum of similar size and/or complexity within the last five (5) years.  2. Would NLCC consider vendors with large scale license and permitting implementation experience that doesn't specifically include alcohol based licensing programs?	No, not at this time

This addendum will become part of the Request for Proposal and should be acknowledged with the Request for Proposal response.

## ADDENDUM TWO CHANGE IN SCOPE

Date: 4/21/22  
To: All Bidders  
From: Joy Fischer/Annette Walton, Buyers  
AS Materiel State Purchasing Bureau (SPB)  
RE: Addendum for Request for Proposal Number 6677 Z1 to be opened 5/2/22 at 2:00 p.m. Central

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### Scope of Addendum

To All Vendors: Responsibilities of this RFP are transitioning from SPB to NLCC. Therefore, the following sections will be deleted and replaced with the following:

1. Section I.B. **PROCURING OFFICE AND COMMUNICATION WITH STATE STAFF AND EVALUATORS**

Procurement responsibilities related to this solicitation reside with NLCC. The point of contact (POC) for the procurement is as follows:

Name: Hobert Rupe, Executive Director, NLCC

RFP #: 6677 Z1

Agency: NLCC

Address: 301 Centennial Mall S

1<sup>st</sup> Floor

Lincoln, NE 68509

Telephone: 402-471-2571

E-Mail: [hobert.rupe@nebraska.gov](mailto:hobert.rupe@nebraska.gov)

2. Section I.C. **SCHEDULE OF EVENTS**

The State expects to adhere to the procurement schedule shown below, but all dates are approximate and subject to change.

**Table 1. Schedule of Events**

	<b>ACTIVITY</b>	<b>DATE/TIME</b>
6.	State responds to written questions through Solicitation "Addendum" and/or "Amendment" to be posted to the Internet at: <a href="http://das.nebraska.gov/materiel/purchasing.html">http://das.nebraska.gov/materiel/purchasing.html</a>	4/21/2022
7.	Virtual Proposal Opening  Location: Zoom meeting	5/2/2022 2:00 PM Central Time
8.	Review for conformance to solicitation requirements	5/2/2022 – 5/5/2022
9.	Evaluation period	5/6/2022 – 6/10/2022
10.	Presentations and/or Demonstrations (if required)	6/27/2022 – 6/30/2022
11.	BAFO	TBD
12.	Post "Notification of Intent to Award" to Internet at: <a href="http://das.nebraska.gov/materiel/purchasing.html">http://das.nebraska.gov/materiel/purchasing.html</a>	7/21/2022
13.	Contract finalization period	7/22/22 – 8/18/22
14.	Contract award	8/19/22
15.	Contractor start date	9/6/22

**3. Section I.V. AWARD**

The State reserves the right to evaluate proposals and award contracts in a manner utilizing criteria selected at the State's discretion and in the State's best interest. After evaluation of the proposals, or at any point in the solicitation process, the State of Nebraska may take one or more of the following actions:

1. Amend the solicitation;
2. Extend the time of or establish a new proposal opening time;
3. Waive deviations or errors in the State's solicitation process and in Bidder proposals that are not material, do not compromise the solicitation process or a Bidder's proposal, and do not improve a Bidder's competitive position;
4. Accept or reject a portion of or all of a proposal;
5. Accept or reject all proposals;
6. Withdraw the solicitation;
7. Elect to rebid the solicitation;
8. Award single lines or multiple lines to one or more Bidders; or,
9. Award one or more all-inclusive contracts.

The solicitation does not commit the State to award a contract. Once intent to award decision has been determined, it will be posted to the Internet at:  
<http://das.nebraska.gov/materiel/purchasing.html>

Any protests must be filed by a Bidder within ten (10) business days after the intent to award decision is posted to the Internet. Grievance and protest procedure is available, [please see Attachment A.](#)

**1. Section III.I.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:

Nebraska Liquor Control Commission  
Attn: Hobert Rupe  
E-Mail: [hobert.rupe@nebraska.gov](mailto:hobert.rupe@nebraska.gov)

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.

This Addendum will become part of the Request for Proposal and should be acknowledged with the Request for Proposal response.

## ADDENDUM ONE REVISED SCHEDULE OF EVENTS

Date: 4/11/22

To: All Bidders

From: Joy Fischer/Annette Walton, Buyers  
AS Materiel State Purchasing Bureau (SPB)

RE: Addendum for Request for Proposal 6677 Z1 to be opened May 2, 2022 at 2:00 p.m. Central

### Schedule of Events

The State expects to adhere to the tentative procurement schedule shown below. It should be noted, however, that some dates are approximate and subject to change. It is the Bidder's responsibility to check the State Purchasing Bureau website for all addenda or amendments.

ACTIVITY	DATE/TIME
1. State responds to written questions through Solicitation "Addendum" and/or "Amendment" to be posted to the Internet at: <a href="http://das.nebraska.gov/materiel/purchasing.html">http://das.nebraska.gov/materiel/purchasing.html</a>	TBD <del>4/6/2022</del>
2. Virtual Proposal Opening Location: Zoom meeting	5/2/22 4/25/2022 2:00 PM Central Time
3. Review for conformance to solicitation requirements	5/3/2022-5/4/2022 <del>4/27/2022 - 4/28/2022</del>
4. Evaluation period	5/5/2022-6/2/2022 <del>4/29/2022 - 5/26/2022</del>
5. Presentations and/or Demonstrations (if required)	6/13/2022 - 6/17/2022
6. BAFO	TBD
7. Post "Notification of Intent to Award" to Internet at: <a href="http://das.nebraska.gov/materiel/purchasing.html">http://das.nebraska.gov/materiel/purchasing.html</a>	7/14/2022
8. Contract finalization period	7/15/22 - 8/11/22
9. Contract award	8/12/22
10. Contractor start date	8/31/22

This Addendum will become part of the proposal and should be acknowledged with the Request for Proposal.



# Overview of the Nebraska Liquor Control Commission (NLCC)

- **Mission Statement:** “To regulate and control the alcoholic beverage industry and beverages within and into the State of Nebraska in an efficient, effective manner in order to promote the health, safety and welfare of the public”
- NLCC issues over 10,000 licenses annually and is responsible for **collecting over \$35 million per year** in excise taxes.
- The current licensing system used by the NLCC, C1 mainframe, is over 30 years old and **can no longer be effectively updated to maintain system functionality**. As an example, NLCC staff must perform 69 discreet process steps to issue a license – many of which involve performing redundant, manual entries.
  - A needs analysis completed in 2020 estimated that NLCC could **reduce application processing time by 84% and increase excise tax collections by as much as 2.5%** through system modernization



# Project Objectives

1. Increase efficiency of NLCC processes and **allow staff to do more work with less effort**
2. Enable complete and accurate **auditability of liquor licenses and excise tax** collection
3. Allow NLCC to **increase services offered** with existing staff
4. Replace legacy systems with a **single modern solution**
5. Facilitate all license activities through a **single portal**
6. Provide a **better user experience** to licensees and NLCC staff



# RFP Package Overview

- Request for Proposal
- Appendix A – CAMP Functional Requirements
- Appendix B – CAMP Technical Requirements
- Appendix C – CAMP Cost Workbook
- Appendix D – CAMP User Stories
- Appendix E – CAMP Reports Inventory
- Evaluation Criteria

# Project Scope Overview (1 of 2)

Scope Area	Description
Stakeholders	<ul style="list-style-type: none"><li>• NLCC staff</li><li>• Nebraska State Patrol</li><li>• City / County Clerks of local jurisdictions</li><li>• Liquor Control Commissioners</li><li>• Office of the Attorney General</li><li>• External Review Agencies (i.e., Department of Agriculture)</li><li>• Industry</li><li>• Office of the CIO (OCIO)</li></ul>
Legacy System to be Replaced	C1 Mainframe: 30-year-old custom developed alcohol permitting and licensing system
# of Records / Data Conversion Scope	# of Existing Fields: 12,855,896 existing in approximately 13 DB2 Tables.  NLCC intends to convert only active license information maintained in C1 today in DB2.

# Project Scope Overview (2 of 2)

Scope Area	Description
Mandatory Interfaces	<ul style="list-style-type: none"><li>• OnBase ECM</li><li>• NEGIS</li><li>• JD Edwards (E1)</li><li>• PayPort</li><li>• Nebraska Interactive</li><li>• Civix – Secretary of State repository of active corporate licenses</li><li>• (optional) Future Knowledge Management System</li></ul>
Existing Configuration	83 license / permit types 20 generated reports
Hosting	NLCC seeks to procure a cloud solution
Training	Offerors must provide both train-the-trainer and end user training approaches for a total of 50 users



# Solution Requirements Overview

## Standard Capabilities

- Application Intake & Assessment processes
- Hearing processes
- Review processes
- Permitting processes
- Inspection processes
- Auditing processes
- Licensing processes
- Compliance Management & Enforcement processes
- Revenue processes
- GIS/locational orientation of data

## Unique Capabilities

- License Holder Reporting and Verification
- Mandated Training Monitoring & Tracking
- Alcohol Brand Registration
- Local Jurisdiction Review of Applications and Release of Renewals

## Technical Capabilities

- Standard Technical Capabilities (BI/analytics tools, calendaring, correspondence mgmt., etc.)
- Workflow & Business Rule automation
- Online Portal
- GIS
- Mobile

**Detailed solution requirements in Functional and Technical Requirements Response Workbooks, Appendices A & B, respectively.**

# EVALUATION CRITERIA

## RFP NUMBER 6677 Z1, Centralized Alcohol Management Project Opening Date: April 25, 2022, 2:00 pm Central

### EVALUATION OF PROPOSALS

1. All proposals that are responsive to the solicitation will be evaluated. Each evaluation category will have a maximum point potential. The State will conduct a fair, impartial, and comprehensive evaluation of all proposals in accordance with the criteria set forth below. Areas that will be addressed and scored during the evaluation include:
  - a. Corporate Overview should include but is not limited to:
    - i. the ability, capacity, and skill of the Bidder to deliver and implement the system or project that meets the requirements of the solicitation;
    - ii. the character, integrity, reputation, judgment, experience, and efficiency of the Bidder;
    - iii. whether the Bidder can perform the contract within the specified time frame;
    - iv. the quality of vendor performance on prior contracts;
    - v. such other information that may be secured and that has a bearing on the decision to award the contract;
  - b. Technical Approach; and,
  - c. Cost Proposal.
2. To be eligible for consideration of contract award, the Bidder must meet all minimum qualification requirements as outlined in the Solicitation, including requirements stated within any part of this RFP. A proposal must clearly demonstrate that the Bidder meets the following minimum qualifications:
  - a. Bidder must have experience with implementing an alcohol licensing solution in one (1) state minimum of similar size and/or complexity within the last five (5) years.
  - b. Bidder must have experience providing first-line support (technical and functional help/service desk) for an alcohol licensing and regulatory system.
  - c. Bidder Project Manager must have one (1) year of experience implementing the proposed solution and been through at least one (1) full lifecycle deployment with the proposed software solution.

Failure to meet these minimum qualifications shall result in disqualification of the response and the response shall receive no further consideration.

**Evaluation Criteria**

All responses to this Request for Proposal, which fulfill all mandatory requirements, will be evaluated. Each category will have a maximum possible point potential. Areas that will be addressed and scored during the evaluation include:

<b>Evaluation Criteria</b>	<b>Possible Points</b>
Part 1 — Corporate Overview	23
Part 2 — Technical Approach	62
Part 3 — Cost Proposal Points	15
Total Points without Oral Interviews	100
Presentations/demos, (if required)	20
Total Points with Presentations/demos	120

**Part 4 – Cost Proposal Points**

Cost points should be calculated as follows:

1. Establish lowest cost submitted – lowest cost submitted receives the maximum points.
2. To assign points to all others, the following formula should be followed:

**Lowest Cost Submitted ÷ Cost Submitted x Maximum Possible Cost Points = Cost Points to Award (see samples below)**

<b>Formula</b>	<b>Sample</b>	<b>Sample</b>	<b>Sample</b>
Lowest Cost Submitted	\$100,000	\$100,000	\$100,000
÷ Cost Submitted	\$100,000	\$200,000	\$150,000
x Maximum Possible Cost Points	15	15	15
= Points To Award	15	7.5	10



# State of Nebraska State Purchasing Bureau

## REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES

<b>SOLICITATION NUMBER</b>	<b>RELEASE DATE</b>
RFP 6677 Z1	3/14/22
<b>OPENING DATE AND TIME</b>	<b>PROCUREMENT CONTACT</b>
4/25/22 2:00 p.m. Central Time	Joy Fischer

### PLEASE READ CAREFULLY! SCOPE OF SERVICE

The State of Nebraska (State), Department of Administrative Services (DAS), Materiel Division, State Purchasing Bureau (SPB), is issuing this Request for Proposal (RFP) Number 6677 Z1 for the purpose of selecting a qualified Contractor to provide Centralized Alcohol Management Project (CAMP) for the Nebraska Liquor Control Commission (NLCC). A more detailed description can be found in Section V. The resulting contract may not be an exclusive contract as the State reserves the right to contract for the same or similar services from other sources now or in the future.

The term of the contract will be five (5) years commencing upon execution of the contract by the State and the Contractor (Parties). The Contract includes the option to renew for five (5) additional three (3) year periods upon mutual agreement of the Parties. The State reserves the right to extend the period of this contract beyond the termination date when mutually agreeable to the Parties.

ALL INFORMATION PERTINENT TO THIS REQUEST FOR PROPOSAL CAN BE FOUND ON THE INTERNET AT: <http://das.nebraska.gov/materiel/purchasing.html>.

An optional Pre-Proposal Conference will be held virtually on 3/23/2022 at 2:00 pm CT. Additional information regarding the Pre-Proposal Conference is provided in Section I.E.

**IMPORTANT NOTICE:** Pursuant to Neb. Rev. Stat. § 84-602.04, State contracts in effect as of January 1, 2014, and contracts entered into thereafter, must be posted to a public website. The resulting contract, the solicitation, and the successful contractor's proposal or response will be posted to a public website managed by DAS, which can be found at <http://statecontracts.nebraska.gov>.

In addition and in furtherance of the State's public records Statute (Neb. Rev. Stat. § 84-712 et seq.), all proposals or responses received regarding this solicitation will be posted to the State Purchasing Bureau public website.

**These postings will include the entire proposal or response. If the Bidder wishes to withhold proprietary or other commercial information from disclosure, the Bidder must identify the proprietary information, mark the proprietary information according to state law, and must submit only the proprietary information in a separate file named conspicuously "PROPRIETARY INFORMATION". The Bidder must submit a detailed written document showing that the release of the proprietary information would give a business advantage to named business competitor(s) and explain how the named business competitor(s) will gain an actual business advantage by disclosure of information. The mere assertion that information is proprietary or that a speculative business advantage might be gained is not sufficient. (See Attorney General Opinion No. 92068, April 27, 1992) THE BIDDER MAY NOT ASSERT THAT THE ENTIRE PROPOSAL IS PROPRIETARY. COST PROPOSALS WILL NOT BE CONSIDERED PROPRIETARY AND ARE A PUBLIC RECORD IN THE STATE OF NEBRASKA. The State will then determine, in its sole discretion, if the disclosure of the information designated by the Bidder as proprietary would 1) give advantage to business competitors and, 2) serve no public purpose. The Bidder will be notified of the State's decision. Absent a determination by the State that the information may be withheld pursuant to Neb. Rev. Stat. § 84-712.05(3)), the State will consider all information a public record subject to disclosure. If the State determines it is required to release proprietary information, the Bidder will be informed. It will be the Bidder's responsibility to defend the Bidder's asserted interest in non-disclosure.**

To facilitate such public postings, with the exception of proprietary information, the State of Nebraska reserves a royalty-free, nonexclusive, and irrevocable right to copy, reproduce, publish, post to a website, or otherwise

use any contract, proposal, or response to this solicitation for any purpose, and to authorize others to use the documents. Any individual or entity awarded a contract, or who submits a proposal or response to this solicitation, specifically waives any copyright or other protection the contract, proposal, or response to the solicitation may have; and, acknowledges that they have the ability and authority to enter into such waiver. This reservation and waiver is a prerequisite for submitting a proposal or response to this solicitation, and award of a contract. Failure to agree to the reservation and waiver will result in the proposal or response to the solicitation being found non-responsive and rejected.

Any entity awarded a contract or submitting a proposal or response to the solicitation agrees not to sue, file a claim, or make a demand of any kind, and will indemnify and hold harmless the State and its employees, volunteers, agents, and its elected and appointed officials from and against any and all claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses, sustained or asserted against the State, arising out of, resulting from, or attributable to the posting of the contract or the proposals and responses to the solicitation, awards, and other documents.

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## GLOSSARY OF TERMS

**Acceptance Test Procedure:** Benchmarks and other performance criteria, developed by the State of Nebraska or other sources of testing standards, for measuring the effectiveness of products or services and the means used for testing such performance.

**Addendum:** Something to be added or deleted to an existing document; a supplement.

**After Receipt of Order:** After Receipt of Order

**Agency:** Any state agency, board, or commission other than the University of Nebraska, the Nebraska State colleges, the courts, the Legislature, or any other office or agency established by the Constitution of Nebraska.

**Agent/Representative:** A person authorized to act on behalf of another.

**Amend:** To alter or change by adding, subtracting, or substituting.

**Amendment:** A written correction or alteration to a document.

**Appropriation:** Legislative authorization to expend public funds for a specific purpose. Money set apart for a specific use.

**Automated Clearing House:** Electronic network for financial transactions in the United States

**Award:** All purchases, leases, or contracts which are based on competitive proposals will be awarded according to the provisions in the solicitation.

**Best and Final Offer:** In a competitive proposal, the final offer submitted which contains the Bidder's most favorable terms for price.

**Bid Bond:** An insurance agreement, accompanied by a monetary commitment, by which a third party (the surety) accepts liability and guarantees that the contractor will not withdraw the bid.

**Bidder:** A vendor who submits a proposal in response to a written solicitation.

**Breach:** Violation of a contractual obligation by failing to perform or repudiation of one's own promise.

**Business:** Any corporation, partnership, individual, sole proprietorship, joint-stock company, joint venture, or any other private legal entity.

**Business Day:** Any weekday, except State-recognized holidays.

**Calendar Day:** Every day shown on the calendar including Saturdays, Sundays, and State/Federal holidays.

**Cancellation:** To call off or revoke a purchase order without expectation of conducting or performing it at a later time.

**Central Processing Unit:** Any computer or computer system that is used by the State to store, process, or retrieve data or perform other functions using Operating Systems and applications software.

**Change Order:** Document that provides amendments to an executed purchase order or contract.

**Collusion:** An agreement or cooperation between two or more persons or entities to accomplish a fraudulent, deceitful, or unlawful purpose.

**Commodities:** Any equipment, material, supply or goods; anything movable or tangible that is provided or sold.

**Commodities Description:** Detailed descriptions of the items to be purchased; may include information necessary to obtain the desired quality, type, color, size, shape, or special characteristics necessary to perform the work intended to produce the desired results.

**Competition:** The effort or action of two or more commercial interests to obtain the same business from third parties.

**Confidential Information:** Unless otherwise defined below, "Confidential Information" shall also mean proprietary trade

secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and serve no public purpose (see Neb. Rev. Stat. §84-712.05(3)). In accordance with Nebraska Attorney General Opinions 92068 and 97033, proof that information is proprietary requires identification of specific, named competitor(s) who would be advantaged by release of the information and the specific advantage the competitor(s) would receive.

**Contract:** An agreement between two or more parties creating obligations that are enforceable or otherwise recognizable at law; the writing that sets forth such an agreement.

**Contract Administration:** The management of the contract which includes and is not limited to; contract signing, contract amendments and any necessary legal actions.

**Contract Award:** Occurs upon execution of the State document titled "Service Contract Award" by the proper authority.

**Contract Management:** The management of day to day activities at the agency which includes and is not limited to ensuring deliverables are received, specifications are met, handling meetings and making payments to the Contractor.

**Contract Period:** The duration of the contract.

**Contractor:** An individual or entity lawfully conducting business in the State, who provides goods or services under the terms of a written solicitation.

**Cooperative Purchasing:** The combining of requirements of two or more political entities to obtain advantages of volume purchases, reduction in administrative expenses or other public benefits.

**Copyright:** A property right in an original work of authorship fixed in any tangible medium of expression, giving the holder the exclusive right to reproduce, adapt and distribute the work.

**Critical Program Error:** Any Program Error, whether or not known to the State, which prohibits or significantly impairs use of the Licensed Software as set forth in the documentation and intended in the contract.

**Customer Service:** The process of ensuring customer satisfaction by providing assistance and advice on those products or services provided by the Contractor.

**Default:** The omission or failure to perform a contractual duty.

**Deviation:** Any proposed change(s) or alteration(s) to either the terms and conditions or deliverables within the scope of the written solicitation or contract.

**Evaluation:** The process of examining an offer after opening to determine the Bidder's responsibility, responsiveness to requirements, and to ascertain other characteristics of the offer that relate to determination of the successful award.

**Evaluation Committee:** Individuals selected by the requesting agency for the evaluation of proposals (offers made in response to written solicitations).

**Extension:** Continuance of a contract for a specified duration upon the agreement of the parties beyond the original Contract Period. Not to be confused with "Renewal Period".

**Free on Board Destination:** The delivery charges are included in the quoted price and prepaid by the contractor. Contractor is responsible for all claims associated with damages during delivery of product.

**Free on Board Point of Origin:** The delivery charges are not included in the quoted price and are the responsibility of the agency. Agency is responsible for all claims associated with damages during delivery of product.

**Foreign Corporation:** A foreign corporation that was organized and chartered under the laws of another state, government, or country.

**Installation Date:** The date when the procedures described in "Installation by Contractor", and "Installation by State", as found in the solicitation, or contract, are completed.

**Interested Party:** A person, acting in their personal capacity, or an entity entering into a contract or other agreement creating a legal interest therein.



**JD Edwards (E1):** Electronic procurement system of record.

**Late Proposal:** An offer received after the Opening Date and Time.

**Licensed Software Documentation:** The user manuals and any other materials in any form or medium customarily provided by the Contractor to the users of the Licensed Software which will provide the State with sufficient information to operate, diagnose, and maintain the Licensed Software properly, safely, and efficiently.

**Mandatory/Must:** Required, compulsory, or obligatory.

**May:** Discretionary, permitted; used to express possibility.

**Module (see System):** A collection of routines and data structures that perform a specific function of software.

**Must:** See Mandatory/Must and Shall/Will/Must.

**National Institute for Governmental Purchasing:** National Institute of Governmental Purchasing – Source used for assignment of universal commodity codes to goods and services.

**Non-responsive Proposal:** A proposal that does not meet the requirements of the solicitation or cannot be evaluated against the other proposals.

**Open Market Purchase:** Authorization may be given to an agency to purchase items above direct purchase authority due to the unique nature, price, quantity, location of the using agency, or time limitations by the AS Materiel Division, State Purchasing Bureau.

**Opening Date and Time:** Specified date and time for the public opening of received, labeled, and sealed formal proposals.

**Operating System:** The control program in a computer that provides the interface to the computer hardware and peripheral devices, and the usage and allocation of memory resources, processor resources, input/output resources, and security resources.

**Outsourcing:** The contracting out of a business process which an organization may have previously performed internally or has a new need for, to an independent organization from which the process is purchased back.

**Performance Bond:** An insurance agreement, accompanied by a monetary commitment, by which a third party (the surety) accepts liability and guarantees that the Contractor fulfills any and all obligations under the contract.

**Platform:** A specific hardware and Operating System combination that is different from other hardware and Operating System combinations to the extent that a different version of the Licensed Software product is required to execute properly in the environment established by such hardware and Operating System combination.

**Point of Contact:** The person designated to receive communications and to communicate.

**Pre-Proposal Conference:** A meeting scheduled for the purpose of clarifying a written solicitation and related expectations.

**Product:** Something that is distributed commercially for use or consumption and that is usually (1) tangible personal property, (2) the result of fabrication or processing, and (3) an item that has passed through a chain of commercial distribution before ultimate use or consumption.

**Program Error:** Code in Licensed Software which produces unintended results or actions, or which produces results or actions other than those described in the specifications. A program error includes, without limitation, any Critical Program Error.

**Program Set:** The group of programs and products, including the Licensed Software specified in the solicitation, plus any additional programs and products licensed by the State under the contract for use by the State.

**Project:** The total scheme, program, or method worked out for the accomplishment of an objective, including all documentation, commodities, and services to be provided under the contract.

**Proposal:** An offer, bid, or quote submitted by a Bidder in a response to a written solicitation

**Proprietary Information:** Proprietary information is defined as trade secrets, academic and scientific research work which

is in progress and unpublished, and other information which if released would give advantage to business competitors and serves no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Attorney General Opinions 92068 and 97033, proof that information is proprietary requires identification of specific named competitor(s) advantaged by release of the information and the demonstrated advantage the named competitor(s) would gain by the release of information.

**Protest/Grievance:** A complaint about a governmental action or decision related to a solicitation or resultant contract, brought by a Bidder who has timely submitted a proposal response in connection with the award in question, to AS Materiel Division or another designated agency with the intention of achieving a remedial result.

**Public Proposal Opening:** The process of opening correctly submitted offers at the time and place specified in the written solicitation and in the presence of anyone who wished to attend.

**Recommended Hardware Configuration:** The data processing hardware (including all terminals, auxiliary storage, communication, and other peripheral devices) to the extent utilized by the State as recommended by the Contractor.

**Release Date:** The date of public release of the written solicitation to seek offers.

**Renewal Period:** Optional contract periods subsequent to the original Contract Period for a specified duration with previously agreed to terms and conditions. Not to be confused with Extension.

**Request for Proposal:** A written solicitation utilized for obtaining competitive offers.

**Responsible Bidder:** A Bidder who has the capability in all respects to perform fully and lawfully all requirements with integrity and reliability to assure good faith performance.

**Responsive Bidder:** A Bidder who has submitted a proposal which conforms to all requirements of the solicitation document.

**Shall/Will/Must:** An order/command; mandatory.

**Should:** Expected; suggested, but not necessarily mandatory.

**Software License:** Legal instrument with or without printed material that governs the use or redistribution of licensed software.

**Specifications:** The detailed statement, especially of the measurements, quality, materials, and functional characteristics, or other items to be provided under a contract.

**Statutory:** These clauses are controlled by state law and are not subject to negotiation.

**Subcontractor:** Individual or entity with whom the contractor enters a contract to perform a portion of the work awarded to the contractor.

**System (see Module):** Any collection or aggregation of two (2) or more Modules that is designed to function, or is represented by the Contractor as functioning or being capable of functioning, as an entity.

**Termination:** Occurs when either Party, pursuant to a power created by agreement or law, puts an end to the contract prior to the stated expiration date. All obligations which are still executory on both sides are discharged but any right based on prior breach or performance survives.

**Third Party:** Any person or entity, including but not limited to fiduciaries, shareholders, owners, officers, managers, employees, legally disinterested persons, and subcontractors or agents, and their employees. It shall not include any entity or person who is an interested Party to the contract or agreement.

**Trade Secret:** Information, including, but not limited to, a drawing, formula, pattern, compilation, program, device, method, technique, code, or process that (a) derives independent economic value, actual or potential, from not being known to, and not being ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (b) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy (see Neb. Rev. Stat. §87-502(4)).

**Trademark:** A word, phrase, logo, or other graphic symbol used by a manufacturer or Bidder to distinguish its product from those of others, registered with the U.S. Patent and Trademark Office.

**Upgrade:** Any change that improves or alters the basic function of a product or service.

**Vendor Performance Report:** A report completed by the using agency and submitted to State Purchasing Bureau documenting products or services delivered or performed which exceed or fail to meet the terms of the purchase order, contract, and/or solicitation specifications.

**Vendor:** An individual or entity lawfully conducting business in the State, or licensed to do so.

**Will:** See Mandatory/Shall/Will/Must.

**Work Day:** See Business Day.

## **ACRONYM LIST**

**ARO** – After Receipt of Order

**ACH** – Automated Clearing House

**BAFO** – Best and Final Offer

**COI** – Certificate of Insurance

**CPU** – Central Processing Unit

**DAS** – Department of Administrative Services

**ECM (OnBase)** – Enterprise Content Management system

**F.O.B.** – Free on Board

**NEGIS** – Nebraska Enterprise Geographic Information System

**NIGP** – National Institute for Governmental Purchasing

**NLCC** – Nebraska Liquor Control Commission

**NSP** – Nebraska State Patrol

**RFP** – Request for Proposal

**SPB** – State Purchasing Bureau

**SOS** – Secretary of State

## **I. PROCUREMENT PROCEDURE**

### **A. GENERAL INFORMATION**

The solicitation is designed to solicit proposals from qualified Contractor who will be responsible for providing Centralized Alcohol Management Project (CAMP) for the Nebraska Liquor Control Commission (NLCC) at a competitive and reasonable cost. Terms and Conditions, Project Description and Scope of Work, Bidder Solution Response Requirements, and Attachments may be found in Sections II through VII.

Proposals shall conform to all instructions, conditions, and requirements included in the solicitation. Prospective contractors are expected to carefully examine all documents, schedules, and requirements in this solicitation, and respond to each requirement in the format prescribed. Proposals may be found non-responsive if they do not conform to the solicitation.

### **B. PROCURING OFFICE AND COMMUNICATION WITH STATE STAFF AND EVALUATORS**

Procurement responsibilities related to this solicitation reside with State Purchasing Bureau. The point of contact (POC) for the procurement is as follows:

Name: Joy Fischer and Annette Walton, Procurement Contracts Officer(s)

RFP #: 6677 Z1

Agency: State Purchasing Bureau

Address: 1526 K Street, Suite 130  
Lincoln, NE 68508

Telephone: 402-471-0974/402-471-1428

E-Mail: [joy.fischer@nebraska.gov](mailto:joy.fischer@nebraska.gov)/[annette.walton@nebraska.gov](mailto:annette.walton@nebraska.gov)

From the date the solicitation is issued until the Intent to Award is issued, communication from the Bidder is limited to the POC listed above. After the Intent to Award is issued, the awarded Bidder may communicate with individuals the State has designated as responsible for negotiating the contract on behalf of the State. No member of the State Government, employee of the State, or member of the Evaluation Committee is empowered to make binding statements regarding this solicitation. The POC will issue any answers, clarifications or amendments regarding this solicitation in writing. Only the SPB or awarding agency can award a contract. Bidders shall not have any communication with or attempt to communicate or influence any evaluator involved in this solicitation.

The following exceptions to these restrictions are permitted:

1. Contact made pursuant to pre-existing contracts or obligations;
2. Contact required by the schedule of events, or an event scheduled later by the solicitation POC; and
3. Contact required for negotiation and execution of the final contract.

The State reserves the right to reject a Bidder's proposal, withdraw an Intent to Award, or terminate a contract if the State determines there has been a violation of these procurement procedures.

**C. SCHEDULE OF EVENTS**

The State expects to adhere to the procurement schedule shown below, but all dates are approximate and subject to change.

**Table 1. Schedule of Events**

ACTIVITY		DATE/TIME
1.	Release Solicitation	3/14/2022
2.	Last day to submit written questions	3/21/2022
3.	Last day to submit "Notification of Intent to Attend Pre-Proposal Conference" via email to the POC	3/21/2022
4.	Optional Pre-Proposal Conference Location: Virtual.	3/23/2022 2:00 pm CT
5.	Last day to submit written questions after Pre-Proposal Conference	3/25/2022
6.	State responds to written questions through Solicitation "Addendum" and/or "Amendment" to be posted to the Internet at: <a href="http://das.nebraska.gov/materiel/purchasing.html">http://das.nebraska.gov/materiel/purchasing.html</a>	4/6/2022
7.	Virtual Proposal Opening  Location: Zoom meeting	4/25/2022 2:00 PM Central Time
8.	Review for conformance to solicitation requirements	4/27/2022 - 4/28/2022
9.	Evaluation period	4/29/2022 – 5/26/2022
10.	Presentations and/or Demonstrations (if required)	6/13/2022 – 6/17/2022
11.	BAFO	TBD
12.	Post "Notification of Intent to Award" to Internet at: <a href="http://das.nebraska.gov/materiel/purchasing.html">http://das.nebraska.gov/materiel/purchasing.html</a>	7/14/2022
13.	Contract finalization period	7/15/22 – 8/11/22
14.	Contract award	8/12/22
15.	Contractor start date	8/31/22

**D. WRITTEN QUESTIONS AND ANSWERS**

Questions regarding the meaning or interpretation of any solicitation provision must be submitted in writing to State Purchasing Bureau and clearly marked "RFP Number 6677 Z1; Centralized Alcohol Management Project (CAMP) for the Nebraska Liquor Control Commission (NLCC). Questions". The POC is not obligated to respond to questions that are received late per the Schedule of Events.

Bidders should present, as questions, any assumptions upon which the Bidder's proposal is or might be developed. **Any proposal containing assumptions may be deemed non-responsive. Non-responsive proposals may be rejected by the State.** Proposals will be evaluated without consideration of any known or unknown assumptions of a Bidder. The contract will not incorporate any known or unknown assumptions of a Bidder.

It is preferred that questions be sent via **ShareFile** <https://nebraska.sharefile.com/r-r091546b79b3d4f7d9c7fe1743df55ad9> It is recommended that Bidders submit questions using the following format.

Solicitation Section Reference	Solicitation Page Number	Question

Questions and answers will be posted at <http://das.nebraska.gov/materiel/purchasing.html> per the Schedule of Events.

**E. PRE-PROPOSAL CONFERENCE**

A pre-proposal conference will be held per the Schedule of Events. Attendance at the pre-proposal conference is optional. Vendors will have an opportunity to ask questions at the conference to assist in the clarification and understanding of the solicitation requirements. Questions that have a material impact on the solicitation or process, and questions that are relevant to all Bidders, will be answered in writing and posted at <http://das.nebraska.gov/materiel/purchasing.html>. An answer must be posted to be binding on the State. The State will attempt to provide verbal answers to questions that do not impact the solicitation or process and are only of interest to an individual Bidder during the conference. If a Bidder feels it necessary to have a binding answer to a question that was answered verbally, the question should be submitted in writing per the Schedule of Events.

**Zoom meeting link:** <https://us02web.zoom.us/j/82898285877?pwd=Ujk1dEhkeS9CL0kR3M0RitmQW5LQT09>

**F. NOTICE OF INTENT TO ATTEND OPTIONAL PRE-PROPOSAL CONFERENCE**

Bidders should notify the POC of their intent to attend by submitting a "Notification of Intent to Attend the Pre-Proposal Conference Form" (see Form B) via **ShareFile**.

<https://nebraska.sharefile.com/r-r93a440cfb26b46a18ce6d92146b93a33>

**G. SECRETARY OF STATE/TAX COMMISSIONER REGISTRATION REQUIREMENTS (Statutory)**

All Bidders must be authorized to transact business in the State of Nebraska and comply with all Nebraska Secretary of State Registration requirements. The Bidder who is the recipient of an Intent to Award will be required to certify that it has complied and produce a true and exact copy of its current (within ninety (90) calendar days of the intent to award) Certificate or Letter of Good Standing, or in the case of a sole proprietorship, provide written documentation of sole proprietorship and complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at <http://das.nebraska.gov/materiel/purchasing.html>. This must be accomplished prior to execution of the contract.

**H. ETHICS IN PUBLIC CONTRACTING**

The State reserves the right to reject proposals, withdraw an intent to award or award, or terminate a contract if a Bidder commits or has committed ethical violations, which include, but are not limited to:

1. Offering or giving, directly or indirectly, a bribe, fee, commission, compensation, gift, gratuity, or anything of value to any person or entity in an attempt to influence the bidding process;
2. Utilize the services of lobbyists, attorneys, political activists, or consultants to influence or subvert the bidding process;
3. Being considered for, presently being, or becoming debarred, suspended, ineligible, or excluded from contracting with any state or federal entity;
4. Submitting a proposal on behalf of another Party or entity; and

5. Collude with any person or entity to influence the bidding process, submit sham proposals, preclude bidding, fix pricing or costs, create an unfair advantage, subvert the proposal, or prejudice the State.

The Contractor shall include this clause in any subcontract entered into for the exclusive purpose of performing this contract.

Bidder shall have an affirmative duty to report any violations of this clause by the Bidder throughout the bidding process, and throughout the term of this contract for the awarded Bidder and their subcontractors.

**I. DEVIATIONS FROM THE REQUEST FOR PROPOSAL**

The requirements contained in the solicitation (Sections II thru IV) become a part of the terms and conditions of the contract resulting from this solicitation. Any deviations from the solicitation in Sections II through IV must be clearly defined by the Bidder in its proposal and, if accepted by the State, will become part of the contract. Any specifically defined deviations must not be in conflict with the basic nature of the solicitation, requirements, or applicable state or federal laws or statutes. "Deviation", for the purposes of this solicitation, means any proposed changes or alterations to either the contractual language or deliverables within the scope of this solicitation. The State discourages deviations and reserves the right to reject proposed deviations.

**J. SUBMISSION OF PROPOSALS**

The State is accepting only electronically submitted responses. The State will not accept proposals by email, voice, or telephone.

Pages may be consecutively numbered for the entire proposal or may be numbered consecutively within sections. Figures and tables should be numbered and referenced in the text by that number. They should be placed as close as possible to the referencing text. The Technical Proposal should not contain any reference to dollar amounts. However, information such as data concerning labor hours and categories, materials, subcontracts and so forth, shall be considered in the Technical Proposal so that the Bidder's understanding of the scope of work may be evaluated. The Technical Proposal shall disclose the Bidder's technical approach in as much detail as possible, including, but not limited to, the information required by the Technical Proposal instructions.

It is the Bidder's responsibility to ensure the RFP is received electronically and submitted by the date and time indicated in the Schedule of Events. Proposals must be submitted via ShareFile by the date and time of the proposal opening per the Schedule of Events. No late proposals will be accepted.

It is the responsibility of the Bidder to check the website for all information relevant to this RFP to include addenda and/or amendments issued prior to the opening date. Website address is as follows:  
<http://das.nebraska.gov/materiel/purchasing.html>.

Emphasis should be concentrated on conformance to the RFP instructions, responsiveness to requirements, completeness, and clarity of content. If the Bidder's proposal is presented in such a fashion that makes evaluation difficult or overly time consuming the State reserves the right to reject the proposal as non-conforming.

1. Bidders must submit responses via ShareFile using the proposal submission link.

Note to Bidders: Not all browsers are compatible with ShareFile. Currently Chrome, Internet Explorer and Firefox are compatible. After the Bidder clicks the proposal submission link, the Bidder will be prompted to enter contact information including an e-mail address. By entering an e-mail address, the Bidder should receive a confirmation email confirming the successful upload directly from ShareFile.

**Proposal submission link**

<https://nebraska.sharefile.com/r-r9dcb77f490274e08bcaed7d60f32ea0f>

2. The Technical, Cost Proposal and Proprietary information should be uploaded as separate and distinct files.
3. If duplicated proposals are submitted, the State will retain only the most recently submitted response.
4. If it is the Bidder's intent to submit multiple proposals, the Bidder must clearly identify the separate submissions.
5. It is the Bidder's responsibility to allow time for electronic uploading. All file uploads must be completed by the Opening date and time per the Schedule of Events. No late proposals will be accepted.

Electronic proposal file names

The Bidder should clearly identify the uploaded RFP proposal files. To assist in identification the Bidder should use the following naming convention:

6. RFP 6677 Z1, Company Name, Description of Service
7. If multiple files are submitted for one RFP proposal, add number of files to file names: RFP 6677 Z1 Company Name, File 1 of 2.
8. If multiple RFP proposals are submitted for the same RFP, add the proposal number to the file names: RFP 6677 Z1 Company Name Proposal 1 File 1 of 2.

Proposal responses should include the completed Form A, "Contact Information". The RFP number should be included in all correspondence.

**K. PROPOSAL PREPARATION COSTS**

The State shall not incur any liability for any costs incurred by Bidders in replying to this solicitation, including any activity related to bidding on this solicitation.

**L. FAILURE TO COMPLY WITH REQUEST FOR PROPOSAL**

Violation of the terms and conditions contained in this solicitation or any resultant contract, at any time before or after the award, shall be grounds for action by the State which may include, but is not limited to, the following:

1. Rejection of a Bidder's proposal;
2. Withdrawal of the Intent to Award;
3. Withdrawal of the Award;
4. Negative Vendor Performance Report(s)
5. Termination of the resulting contract;
6. Legal action; and
7. Suspension of the Bidder from further bidding with the State for the period of time relative to the seriousness of the violation, such period to be within the sole discretion of the State.

**M. PROPOSAL CORRECTIONS**

A Bidder may correct a mistake in a proposal prior to the time of opening by uploading a revised and completed proposal if the original proposal was electronically submitted.

1. If a corrected electronic proposal is submitted, the file name(s) date/time stamped with latest date/time stamp will be accepted. The corrected proposal file name(s) should be identified as Corrected 6677 Z1 Company Name Proposal #1, Corrected 6677 Z1 Company Name Proposal #2, etc.

**N. LATE PROPOSALS**

Proposals received after the time and date of the proposal opening will be considered late proposals. Late proposals will be returned unopened, if requested by the Bidder and at Bidder's expense. The State is not responsible for proposals that are late or lost regardless of cause or fault.

**O. PROPOSAL OPENING**

The opening of proposals will be public, and the Bidders will be announced. Proposals **WILL NOT** be available for viewing by those present at the proposal opening. Proposals will be posted to the State Purchasing Bureau website once an Intent to Award has been posted to the website. Information identified as proprietary by the submitting Bidders, in accordance with the solicitation and state statute, will not be posted. If the state determines submitted information should not be withheld, in accordance with the [Public Records Act](#), or if ordered to release any withheld information, said information may then be released. The submitting Bidder will be notified of the release and it shall be the obligation of the submitting Bidder to take further action, if it believes the information should not be released. (See first page of RFP for further details) Bidders may contact the State to schedule an appointment for viewing proposals after the Intent to Award has been posted to the website. Once proposals are opened, they become the property of the State of Nebraska and will not be returned.

Zoom link: <https://us02web.zoom.us/j/81282819212?pwd=a0xaUEIVSkRyQTlnYUJtMWNtE1zQT09>

**P. REQUEST FOR PROPOSAL/PROPOSAL REQUIREMENTS**

Please refer to Section V.C.ii Detailed Response Instructions for detailed proposal response instructions.



EVALUATION COMMITTEE Proposals are evaluated by members of an Evaluation Committee(s). The Evaluation Committee(s) will consist of individuals selected at the discretion of the State. Names of the members of the Evaluation Committee(s) will not be published.

Any contact, attempted contact, or attempt to influence an evaluator that is involved with this solicitation may result in the rejection of this proposal and further administrative actions.

**Q. EVALUATION OF PROPOSALS**

1. All proposals that are responsive to the solicitation will be evaluated. Each evaluation category will have a maximum point potential. The State will conduct a fair, impartial, and comprehensive evaluation of all proposals in accordance with the criteria set forth below. Areas that will be addressed and scored during the evaluation include:
  - a. Corporate Overview should include but is not limited to:
    - i. the ability, capacity, and skill of the Bidder to deliver and implement the system or project that meets the requirements of the solicitation;
    - ii. the character, integrity, reputation, judgment, experience, and efficiency of the Bidder;
    - iii. whether the Bidder can perform the contract within the specified time frame;
    - iv. the quality of vendor performance on prior contracts;
    - v. such other information that may be secured and that has a bearing on the decision to award the contract;
  - b. Technical Approach; and,
  - c. Cost Proposal.
2. To be eligible for consideration of contract award, the bidder must meet all minimum qualification requirements as outlined in the Solicitation, including requirements stated within any part of this RFP. A proposal must clearly demonstrate that the Bidder meets the following minimum qualifications:
  - a. Bidder must have experience with implementing an alcohol licensing solution in one (1) state minimum of similar size and/or complexity within the last five (5) years.
  - b. Bidder must have experience providing first-line support (technical and functional help/service desk) for an alcohol licensing and regulatory system.
  - c. Bidder Project Manager must have one (1) year of experience implementing the proposed solution and been through at least one (1) full lifecycle deployment with the proposed software solution.

Failure to meet these minimum qualifications shall result in disqualification of the response and the response shall receive no further consideration.

**Neb. Rev. Stat. §81-161 allows the quality of performance of previous contracts to be considered when evaluating responses to competitively bid solicitations in determining the lowest responsible Bidder.** Information obtained from any Vendor Performance Report (See Terms & Conditions, Section II.H.) may be used in evaluating responses to solicitations for goods and services to determine the best value for the State.

**Neb. Rev. Stat. §73-107 allows for a preference for a resident disabled veteran or business located in a designated enterprise zone.** When a state contract is to be awarded to the lowest responsible Bidder, a resident disabled veteran or a business located in a designated enterprise zone under the Enterprise Zone Act shall be allowed a preference over any other resident or nonresident Bidder, if all other factors are equal.

Resident disabled veterans means any person (a) who resides in the State of Nebraska, who served in the United States Armed Forces, including any reserve component or the National Guard, who was discharged or otherwise separated with a characterization of honorable or general (under honorable conditions), and who possesses a disability rating letter issued by the United States Department of Veterans Affairs establishing a service-connected disability or a disability determination from the United States Department of Defense and (b)(i) who owns and controls a business or, in the case of a publicly owned business, more than fifty percent of the stock is owned by one or more persons described in subdivision (a) of this subsection and (ii) the management and daily business operations of the business are controlled by one or more persons described in subdivision(a) of this subsection. Any contract entered into without compliance with this section shall be null and void.

Therefore, if a resident disabled veteran or business located in a designated enterprise zone submits a proposal in accordance with Neb. Rev. Stat. §73-107 and has so indicated on the solicitation cover page under "Bidder must complete the following" requesting priority/preference to be considered in the award of this contract, the following will need to be submitted by the Bidder within ten (10) business days of request:

1. Documentation from the United States Armed Forces confirming service;
2. Documentation of discharge or otherwise separated characterization of honorable or general (under honorable conditions);
3. Disability rating letter issued by the United States Department of Veterans Affairs establishing a service-connected disability or a disability determination from the United States Department of Defense; and
4. Documentation which shows ownership and control of a business or, in the case of a publicly owned business, more than fifty percent of the stock is owned by one or more persons described in subdivision (a) of this subsection; and the management and daily business operations of the business are controlled by one or more persons described in subdivision (a) of this subsection.

Failure to submit the requested documentation within ten (10) business days of notice will disqualify the Bidder from consideration of the preference.

Evaluation criteria will be released with the solicitation.

**R. COST CLARIFICATION**

The State reserves the right to review all aspects of cost for reasonableness and to request clarification of any proposal where the cost component shows significant and unsupported deviation from industry standards or in areas where detailed pricing is required.

**S. DEMONSTRATIONS**

The State may determine after the completion of the Technical and Cost Proposal evaluation that demonstrations are required. Every Bidder may not be given an opportunity to give demonstrations; the State reserves the right, in its discretion, to select only the top scoring Bidders to present. The scores from the demonstrations will be added to the scores from the Technical and Cost Proposals. The presentation process will allow the Bidders to demonstrate their proposal offering, explaining and/or clarifying any unusual or significant elements related to their proposals. Bidders' key personnel, identified in their proposal, may be requested to participate in a structured interview to determine their understanding of the requirements of this proposal, their authority and reporting relationships within their firm, and their management style and philosophy. Only representatives of the State and the presenting Bidder will be permitted to attend the demonstrations. A written copy or summary of the presentation, and demonstrative information (such as briefing charts, et cetera) may be offered by the Bidder, but the State reserves the right to refuse or not consider the offered materials. Bidders shall not be allowed to alter or amend their proposals.

Once the demonstrations have been completed, the State reserves the right to make an award without any further discussion with the Bidders regarding the proposals received.

Any cost incidental to the demonstrations shall be borne entirely by the Bidders and will not be compensated by the State.

All demonstrations will be completed virtually.

**T. BEST AND FINAL OFFER**

If best and final offers (BAFO) are requested by the State and submitted by the Bidder, they will be evaluated (using the stated BAFO criteria), scored, and ranked by the Evaluation Committee. The State reserves the right to conduct more than one Best and Final Offer. The award will then be granted to the highest scoring Bidder. However, a Bidder should provide its best offer in its original proposal. Bidders should not expect that the State will request a best and final offer.

**U. REFERENCE AND CREDIT CHECKS**

The State reserves the right to conduct and consider reference and credit checks. The State reserves the right to use third parties to conduct reference and credit checks. By submitting a proposal in response to this solicitation, the Bidder grants to the State the right to contact or arrange a visit in person with any or all of the Bidder's clients. Reference and credit checks may be grounds to reject a proposal, withdraw an intent to award, or rescind the award of a contract.

**V. AWARD**

The State reserves the right to evaluate proposals and award contracts in a manner utilizing criteria selected at the State's discretion and in the State's best interest. After evaluation of the proposals, or at any point in the solicitation process, the State of Nebraska may take one or more of the following actions:

1. Amend the solicitation;
2. Extend the time of or establish a new proposal opening time;
3. Waive deviations or errors in the State's solicitation process and in Bidder proposals that are not material, do not compromise the solicitation process or a Bidder's proposal, and do not improve a Bidder's competitive position;
4. Accept or reject a portion of or all of a proposal;
5. Accept or reject all proposals;
6. Withdraw the solicitation;
7. Elect to rebid the solicitation;
8. Award single lines or multiple lines to one or more Bidders; or,
9. Award one or more all-inclusive contracts.

The solicitation does not commit the State to award a contract. Once intent to award decision has been determined, it will be posted to the Internet at: <http://das.nebraska.gov/materiel/purchasing.html>

Any protests must be filed by a Bidder within ten (10) business days after the intent to award decision is posted to the Internet. Grievance and protest procedure is available on the Internet at: <http://das.nebraska.gov/materiel/purchasing.html>

**W. "LUMP SUM" OR "ALL OR NONE" PROPOSALS**

The State reserves the right to purchase item-by-item, by groups or as a total when the State may benefit by so doing. Bidder may submit a proposal on an "all or none" or "lump sum" basis but should also submit a proposal on an item-by-item basis. The term "all or none" means a conditional proposal which requires the purchase of all items on which proposals are offered and Bidder declines to accept award on individual items; a "lump sum" proposal is one in which the Bidder offers a lower price than the sum of the individual proposals if all items are purchased but agrees to deliver individual items at the prices quoted.

**X. REJECTION OF PROPOSALS**

The State reserves the right to reject any or all proposals, wholly or in part, in the best interest of the State.

**Y. RESIDENT BIDDER**

Pursuant to Neb. Rev. Stat. §§ 73-101.01 through 73-101.02, a Resident Bidder shall be allowed a preference against a Non-resident Bidder from a state which gives or requires a preference to Bidders from that state. The preference shall be equal to the preference given or required by the state of the Nonresident Bidders. Where the lowest responsible bid from a resident Bidder is equal in all respects to one from a nonresident Bidder from a state which has no preference law, the resident Bidder shall be awarded the contract. The provision of this preference shall not apply to any contract for any project upon which federal funds would be withheld because of the provisions of this preference.

**II. TERMS AND CONDITIONS**

**Bidder should complete Sections II through IV 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 solicitation, 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 solicitation. The State of Nebraska reserves the right to reject proposals that attempt to substitute the Bidder's commercial contracts and/or documents for this solicitation.

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 Solicitation Response (Initial)	NOTES/COMMENTS:

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

1. Request for Proposal and Addenda;
2. Amendments to the solicitation;
3. Questions and Answers;
4. Bidder's proposal (Solicitation 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 solicitation and any Questions and Answers, 4) the original solicitation document and any Addenda, and 5) the Bidder'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 Solicitation Response (Initial)	NOTES/COMMENTS:

Bidder 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 electronically or personally or mailed. All notices, requests, or communications shall be deemed effective upon receipt.

Either party may change its address for notification purposes by giving notice of the change and setting forth the new address and an effective date.

**C. BUYER'S REPRESENTATIVE**

The State reserves the right to appoint a Buyer's Representative to manage [or assist the Buyer in managing] the contract on behalf of the State. The Buyer's Representative will be appointed in writing, and the appointment document will specify the extent of the Buyer's Representative authority and responsibilities. If a Buyer's Representative is appointed, the Contractor will be provided a copy of the appointment document and is required to cooperate accordingly with the Buyer's Representative. The Buyer's Representative has no authority to bind the State to a contract, amendment, addendum, or other change or addition to the contract.

**D. 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.

**E. BEGINNING OF WORK**

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

**F. AMENDMENT**

This Contract may be amended in writing, within scope, upon the agreement of both parties.

**G. CHANGE ORDERS OR SUBSTITUTIONS**

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

The State and the Contractor, upon the written agreement, may make changes to the contract within the general scope of the solicitation. 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.

The Contractor shall prepare a written description of the work required due to the change and an itemized cost sheet for the change. 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.

In the event any product is discontinued or replaced upon mutual consent during the contract period or prior to delivery, the State reserves the right to amend the contract or purchase order to include the alternate product at the same price.

\*\*\*Contractor will not substitute any item that has been awarded without prior written approval of SPB\*\*\*

**H. VENDOR PERFORMANCE REPORT(S)**

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

The State may document any instance(s) of products or services delivered or performed which exceed or fail to meet the terms of the purchase order, contract, and/or solicitation specifications. The State Purchasing Bureau may contact the Vendor regarding any such report. Vendor performance report(s) will become a part of the permanent record of the Vendor.

**I. NOTICE OF POTENTIAL CONTRACTOR BREACH**

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

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.

**J. BREACH**

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

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. OR In case of breach by the Contractor, the State may, without unreasonable delay, make a good faith effort to make a reasonable purchase or contract to purchased goods in substitution of those due from the contractor. The State may recover from the Contractor as damages the difference between the costs of covering the breach. Notwithstanding any clause to the contrary, the State may also recover the contract price together with any incidental or consequential damages defined in UCC Section 2-715, but less expenses saved in consequence of Contractor's breach.

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

**K. NON-WAIVER OF BREACH**

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

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.

**L. SEVERABILITY**

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

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

**M. INDEMNIFICATION**

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

**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 solicitation.

**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. ATTORNEY GENERAL**

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.

**N. ATTORNEY'S FEES**

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

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 ordered by the court, including attorney's fees and costs, if the other Party prevails.

**O. LIQUIDATED DAMAGES**

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

Contractor understands and agrees that the failure to meet the dates for the deliverables would cause the State to suffer damages that are difficult to ascertain. As such, Contractor agrees that Contractor's failure to meet the dates for the deliverables as agreed upon by the parties may result in an assessment of liquidated damages in the amount of \$500.00 per day to NLCC, until the deliverables are submitted and finally approved by NLCC. Contractor will be notified in writing when liquidated damages will commence. Damages will be assessed against Contractor's subsequent submitted invoice(s). In the event that no further invoices are submitted, Contractor will submit payments with any remaining damages to NLCC.

**P. PERFORMANCE REQUIREMENTS**

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

The Contractor must provide a system to track issues with the Web-Based Permit/Licensing system. Such issues must be classified into severity levels based on the requirements of the awarded Contract. The time to repair commences when the issue is entered into the tracking system. The Contractor shall monitor and track each issue, the Incident Time of each issue, and the time the issue was fully resolved. The Contractor shall deliver to the State a detailed and accurate summary of such information for the previous month.

Based on experience with hosted systems for regulatory agencies similar to NLCC, propose a range of severity levels and commensurate response times related to performance issues, incidents and loss of service. Failure to meet the agreed-upon performance requirements may be deemed a breach, as determined by the State. In such event, the State retains all remedies available pursuant to law and this Contract.

Severity Levels

Bidder Response
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**Q. ASSIGNMENT, SALE, OR MERGER**

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

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.

**R. CONTRACTING WITH OTHER NEBRASKA POLITICAL SUB-DIVISIONS OF THE STATE OR ANOTHER STATE**

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

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.

The Contractor may, but shall not be required to, allow other states, agencies or divisions of other states, or political subdivisions of other states to use this contract. The terms and conditions, including price, of this contract shall apply to any such contract, but may be amended upon mutual consent of the Parties. The State of Nebraska shall not be contractually or otherwise obligated or liable under any contract entered into pursuant to this clause. The State shall be notified if a contract is executed based upon this contract.

**S. FORCE MAJEURE**

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

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.

**T. CONFIDENTIALITY**

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

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.

**U. EARLY TERMINATION**

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

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.
2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination, the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.
3. The State may terminate the contract immediately for the following reasons:
4. if directed to do so by statute;
5. 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;
6. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
7. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
8. 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;
9. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
10. Contractor intentionally discloses confidential information;
11. Contractor has or announces it will discontinue support of the deliverable; and,

12. In the event funding is no longer available.

**V. CONTRACT CLOSEOUT**

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

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 Solicitation Response (Initial)	NOTES/COMMENTS:

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;
5. Determining the hours to be worked and the duties to be performed by the Contractor's employees; and,
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 contractor's proposal. The Contractor shall agree that it will not utilize any subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State.

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 Solicitation Response (Initial)	NOTES/COMMENTS:

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

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

1. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at <http://das.nebraska.gov/materiel/purchasing.html>
2. The completed United States Attestation Form should be submitted with the solicitation response.
3. 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.
4. 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 goods and services to be covered by any contract resulting from this solicitation.

**D. COOPERATION WITH OTHER CONTRACTORS**

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

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. DISCOUNTS**

Prices quoted shall be inclusive of ALL trade discounts. Cash discount terms of less than thirty (30) days will not be considered as part of the proposal. Cash discount periods will be computed from the date of receipt of a properly executed claim voucher or the date of completion of delivery of all items in a satisfactory condition, whichever is later.

**F. PRICES**

Prices quoted shall be net, including transportation and delivery charges fully prepaid by the contractor, F.O.B. destination named in the solicitation. No additional charges will be allowed for packing, packages, or partial delivery costs. When an arithmetic error has been made in the extended total, the unit price will govern

All prices, costs, and terms and conditions submitted in the proposal shall remain fixed and valid commencing on the opening date of the proposal until the contract terminates or expires.

The State reserves the right to deny any requested price increase. No price increases are to be billed to any State Agencies prior to written amendment of the contract by the parties.

The State will be given full proportionate benefit of any decreases for the term of the contract.

**G. PERMITS, REGULATIONS, LAWS**

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

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.

**H. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES**

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

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.



**I. INSURANCE REQUIREMENTS**

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

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 cancelled during the term of the contract or within one (1) year 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 one (1) year 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 contactors’ employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the subcontractor similarly to provide Worker’s Compensation and Employer’s Liability Insurance for all of the subcontractor’s employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. **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.

**Table 2. Required Insurance Coverage**

<b>REQUIRED INSURANCE COVERAGE</b>	
<b>COMMERCIAL GENERAL LIABILITY</b>	
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	\$25,000 any one person
Damage to Rented Premises (Fire)	\$300,000 each occurrence
Contractual	Included
Independent Contractors	Included
<i>If higher limits are required, the Umbrella/Excess Liability limits are allowed to satisfy the higher limit.</i>	
<b>WORKER'S COMPENSATION</b>	
Employers Liability Limits	\$500K/\$500K/\$500K
Statutory Limits- All States	Statutory - State of Nebraska
USL&H Endorsement	Statutory
Voluntary Compensation	Statutory
<b>COMMERCIAL AUTOMOBILE LIABILITY</b>	
Bodily Injury/Property Damage	\$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
<b>UMBRELLA/EXCESS LIABILITY</b>	
Over Primary Insurance	\$5,000,000 per occurrence
<b>PROFESSIONAL LIABILITY</b>	
All Other Professional Liability (Errors & Omissions)	\$1,000,000 Per Claim / Aggregate
<b>COMMERCIAL CRIME</b>	
Crime/Employee Dishonesty Including 3rd Party Fidelity	\$1,000,000
<b>CYBER LIABILITY</b>	
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties	\$10,000,000
<b>MANDATORY COI SUBROGATION WAIVER LANGUAGE</b>	
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."	
<b>MANDATORY COI LIABILITY WAIVER LANGUAGE</b>	
"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."	

**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:

State Purchasing Bureau  
 Attn: Joy Fischer  
 joy.fischer@nebraska.gov

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.

**J. ANTITRUST**

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

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

**K. CONFLICT OF INTEREST**

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

By submitting a proposal, Bidder certifies that no relationship exists between the Bidder and any person or entity which either is, or gives the appearance of, a conflict of interest related to this Request for Proposal or project.

Bidder further certifies that Bidder will not employ any individual known by Bidder to have a conflict of interest nor shall Bidder take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its contractual obligations hereunder or which creates an actual or appearance of conflict of interest.

If there is an actual or perceived conflict of interest, Bidder shall provide with its proposal a full disclosure of the facts describing such actual or perceived conflict of interest and a proposed mitigation plan for consideration. The State will then consider such disclosure and proposed mitigation plan and either approve or reject as part of the overall bid evaluation.

**L. STATE PROPERTY**

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

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

**M. SITE RULES AND REGULATIONS**

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

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

**N. ADVERTISING**

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

The Contractor agrees not to refer to the contract award in advertising in such a manner as to state or imply that the company or its goods or 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.

**O. 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.

**P. DISASTER RECOVERY/BACK UP PLAN**

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

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 delivery of goods and services as specified under the specifications in the contract in the event of a disaster.

**Q. DRUG POLICY**

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

Contractor certifies it maintains a drug free workplace 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.

**R. WARRANTY**

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

Despite any clause to the contrary, the Contractor represents and warrants that its services hereunder shall be performed by competent personnel and shall be of professional quality consistent with generally accepted industry standards for the performance of such services and shall comply in all respects with the requirements of this Agreement. For any breach of this warranty, the Contractor shall, for a period of ninety (90) days from performance of the service, perform the services again, at no cost to the State, or if Contractor is unable to perform the services as warranted, Contractor shall reimburse the State all fees paid to Contractor for the unsatisfactory services. The rights and remedies of the parties under this warranty are in addition to any other rights and remedies of the parties provided by law or equity, including, without limitation actual damages, and, as applicable and awarded under the law, to a prevailing party, reasonable attorneys' fees and costs.

**IV. PAYMENT**

**A. PROHIBITION AGAINST ADVANCE PAYMENT (Statutory)**

Neb. Rev. Stat. §81-2403 states, “[n]o goods or services shall be deemed to be received by an agency until all such goods or services are completely delivered and finally accepted by the agency.”

**B. TAXES (Statutory)**

The State is not required to pay taxes and assumes no such liability as a result of this solicitation. The Contractor may request a copy of the Nebraska Department of Revenue, Nebraska Resale or Exempt Sale Certificate for Sales Tax Exemption, Form 13 for their records. 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 Solicitation Response (Initial)	NOTES/COMMENTS:

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

Invoices can be mailed to:

Nebraska Liquor Control Commission  
 PO Box 95046  
 Lincoln NE 68509

**Invoices can be sent electronically** to [lcc.frontdesk@nebraska.gov](mailto:lcc.frontdesk@nebraska.gov)

Invoices must reference an invoice number, date, type of work or description, contract number, and dollar amount.

**D. INSPECTION AND APPROVAL**

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

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

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

**E. PAYMENT (Statutory)**

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

Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2403). 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 goods and 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 (Statutory)**

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)**

The State shall have the right to audit the Contractor's performance of this contract upon a thirty (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 to enable the State to audit the contract. (Neb. Rev. Stat. §84-304 et seq.) 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.

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

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 percent (1%) 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 (90) days of written notice of the claim. The Contractor agrees to correct any material weaknesses or condition found as a result of the audit.



## V. PROJECT DESCRIPTION AND SCOPE OF WORK

### A. Introduction

The purpose of this RFP is to select a qualified and licensed vendor to provide, implement, and maintain a new licensing solution for the Nebraska Liquor Control Commission (NLCC). This initiative is referred to as the Centralized Alcohol Management Project (CAMP).

This RFP's objective is for NLCC (referred to as 'NLCC' or 'the Agency') to identify and select the solution and Contractor that best meets the Agency's needs. It is expected the new solution will enable the following benefits:

1. Enhance the industry's experience with reporting and licensing services (internally and externally) through a more transparent, efficient and centralized alcohol management solution.
2. Increase revenue opportunities by enhancing report reconciliation capabilities as well as the collection of taxes, penalties, and interest.
3. Automate business processes as much as possible to increase efficiency, eliminate inefficiencies, reduce duplication, and make better use of available resources.
4. Give customers the ability to manage their accounts online for better insight into account transactions.
5. Strengthen industry engagement by providing more web-based alternatives for education and input on agency actions.

NLCC invites interested parties that meet the qualifications listed in this document to submit proposals regarding their service offerings. All information shall be submitted in the format stipulated in this RFP.

The proposal should be signed by a person, or the people, duly authorized to bind the vendor to contracts.

### B. Project Background

#### 1. Current State Overview

The current licensing system used by the NLCC, C1 mainframe, is over 30 years old and can no longer be effectively updated to maintain system functionality. As an example, NLCC staff must perform 69 discreet process steps to issue a license – many of which involve performing redundant, manual entries. The application is a custom-built system that tracks the majority of NLCC-issued licenses and permits. The system has limited reporting capabilities and NLCC must pay for technical expertise to leverage any reporting functions today. The Nebraska State Auditor's review has considered the C1 mainframe as "antiquated" since 2009.

NLCC currently leverages OnBase, the State's Enterprise Content Management (ECM) system, to process Special Designated Licenses (SDLs), a relatively small subset of the scope of NLCC's regulatory responsibility. The remainder of NLCC's business functions not supported by C1 or OnBase are executed through a mix of manual processes, via Excel spreadsheets, Outlook email, and paper.

Additionally, the alcohol industry that NLCC serves expresses dissatisfaction with the cumbersome application and reporting processes, which hinders economic development.

NLCC envisions replacing the C1 mainframe with a modern Commercial Off the Shelf (COTS) solution that supports all business operations related to alcohol licensing and other related services. Implementing a centralized system will streamline business operations, enhance customer services, and reduce timelines – all of which can result in increased revenue and efficiency. It is critical that NLCC's business processes be as customer friendly and accessible as possible.

#### 2. Project Objectives

NLCC envisions the new solution will replace the C1 mainframe and other supporting tools used as workarounds today and include full integration with the State's OnBase ECM system as well as other interfaces specified later in this document, such as the Nebraska Enterprise Geographic Information System (NEGIS). The new solution will support modern capabilities for the online portal as well as mobile capabilities for staff and customers. The solution should enable several key business objectives, such as:

1. Increase efficiency of NLCC processes and allow staff to do more work with less effort
2. Enable complete and accurate auditability of liquor licenses and excise tax collection
3. Allow NLCC to increase services offered with existing staff
4. Replace legacy systems with a single modern solution
5. Facilitate all license activities through a single portal
6. Provide a better user experience to licensees and NLCC staff

**C. Scope of Work**

**1. Project Scope**

NLCC intends to implement a solution that consolidates the C1 mainframe and existing NLCC legacy tools and manual processes into one enterprise solution that provides a single source of information for Nebraska’s alcohol licensing and regulatory processes.

The table below provides a high-level overview of the scope of CAMP for reference purposes. Detailed information on these scope areas is provided in the next sections, and in the Functional and Technical Requirements matrices (Appendix A and Appendix B, respectively).

**Table 3. Scope Overview**

Scope Area	Description
<b>Major Stakeholders</b>	<ul style="list-style-type: none"> <li>• NLCC staff</li> <li>• Nebraska State Patrol</li> <li>• City / County Clerks of local jurisdictions</li> <li>• Liquor Control Commissioners</li> <li>• Office of the Attorney General</li> <li>• External Review Agencies (i.e., Department of Agriculture)</li> <li>• Industry               <ul style="list-style-type: none"> <li>◦ Producers</li> <li>◦ Wholesalers</li> <li>◦ Shippers</li> <li>◦ Retailers</li> </ul> </li> <li>• Office of the CIO (OCIO)</li> </ul>
<b>Legacy Systems to be Replaced</b>	<ul style="list-style-type: none"> <li>• <u>One Primary System:</u> <ul style="list-style-type: none"> <li>◦ <b>C1 Mainframe</b></li> <li>◦ Alcohol permitting and licensing system</li> <li>◦ 30-year-old custom developed system</li> </ul> </li> </ul>
<b>Number of Users</b>	<ul style="list-style-type: none"> <li>• C1 Mainframe: 20 existing system users in NLCC</li> </ul>
<b># Records / Data Conversion Scope</b>	<ul style="list-style-type: none"> <li>• # of Existing Fields: 12,855,896 existing in approximately 13 DB2 Tables</li> <li>• Data Conversion Scope NLCC intends to <b>convert only active license information</b> maintained in C1 today in DB2. Active license information resides in 6 DB2 Tables and those tables have approximately 1,060,000 fields. This equates to less than 10% of existing fields that the Agency is converting into the new solution. NLCC is undertaking a data quality assessment initiative in order to understand the cleanliness of the data, as well as the feasibility and business importance of converting the data in order to reduce risk.</li> </ul>
<b>System Interfaces Needed</b>	<ul style="list-style-type: none"> <li>• <u>Mandatory Interfaces</u> <ul style="list-style-type: none"> <li>◦ OnBase ECM</li> <li>◦ NEGIS</li> <li>◦ JD Edwards (E1)</li> <li>◦ PayPort</li> <li>◦ Nebraska Interactive</li> <li>◦ Civix – Secretary of State repository of active corporate licenses</li> <li>◦ (optional) Future Knowledge Management System</li> </ul> </li> </ul>
<b>Existing Configuration</b>	<ul style="list-style-type: none"> <li>• C1 mainframe               <ul style="list-style-type: none"> <li>◦ 83 license / permit types</li> <li>◦ 20 generated reports</li> </ul> </li> </ul>
<b>Volume / Metrics</b>	<ul style="list-style-type: none"> <li>• C1 mainframe processes ~11,000 licenses annually</li> </ul>

<b>Hosting</b>	<ul style="list-style-type: none"> <li>• The C1 solution is currently hosted on premises.</li> <li>• NLCC seeks to procure a cloud solution.</li> </ul>
<b>Training</b>	<ul style="list-style-type: none"> <li>• Contractor must provide both Train-the-Trainer and direct End User Training approaches</li> <li>• 50 NLCC users</li> </ul>

**a. Implementation Services**

The Agency anticipates a project start date approximately 1-3 weeks after Contract award date. NLCC requires implementation services, including requirements gathering, design, development and configuration, data conversion, testing, training, go live support, and ongoing support, maintenance, and (potentially) hosting.

NLCC understands this large business transformation initiative may benefit from an iterative, phased deployment. Bidders should propose an approach that logically sequences deployments across functionality, user groups, or other proven approach based on the vendor’s methodology and experience, as well as the characteristics of CAMP, as appropriate to reduce risk while also demonstrating successful releases of functionality early on in the project.

Optionally, Bidders should consider whether phasing by license application types would allow for “quick wins” early on in the implementation. For example, an early phase could include deployment of “simple” license types that require minimal supporting workflow for review, approval/disapproval, and issuance.

Bidders should propose a realistic timeline that allows adequate time for all project activities necessary for a successful and quality deployment based on Bidder’s experience with similar implementations of size, scope, and complexity.

**2. Solution Capabilities**

This section focuses on the technical aspects of the solution.

**b. Current State**

**i. Applications for Replacement**

Table 4 provides additional information regarding the legacy systems targeted for replacement.

**Table 4. Legacy Systems Targeted for Replacement**

<b>System Name</b>	<b>Description</b>	<b>Details</b>
<b>C1 Mainframe</b>	C1 is the primary liquor licensing and permitting system for NLCC. NLCC has used C1 for approximately 30 years and has over 83 license and permit record types in the System. Currently, NLCC issues approximately 11,000 retail licensing applications a year. NLCC has 83 defined license and permit types in C1 mainframe but expects the Bidder to assist NLCC in looking for opportunities to consolidate similar record types that share workflow, fees, and inspections in the future solution.	<ul style="list-style-type: none"> <li>• <b>System Vendor:</b> Developed by NLCC</li> <li>• <b>Migrate Data:</b> Yes, a subset of data that is deemed critical will be migrated</li> </ul>
<b>MS Excel, Access, Outlook</b>	NLCC uses a combination of MS Access databases and Excel sheets for tracking, generation of case numbers as well as development of forms and documents. Outlook listservs are also leveraged to generate customer emails.	<ul style="list-style-type: none"> <li>• <b>System Vendor:</b> Microsoft</li> <li>• <b>Migrate Data:</b> No</li> </ul>

**ii. Scope of Data Conversion**

NLCC intends to convert **only active license information** maintained in C1 today in DB2. Active license information resides in 6 DB2 Tables and those tables have approximately 1,060,000 fields. This equates to less than 10% of existing fields that the Agency is converting into the new solution. NLCC is currently engaged in assessing the quality of this data and cleansing where appropriate. Additionally, NLCC plans to convert all revoked license records and 6 months' worth of cancelled license records.

**c. Future State**

**i. Stakeholders & Solution Capability Model**

NLCC regulates and controls the alcoholic beverage industry and beverages within and into the State of Nebraska to promote public health, safety and welfare. The governing body of NLCC is composed of three representatives of the three congressional districts in Nebraska.

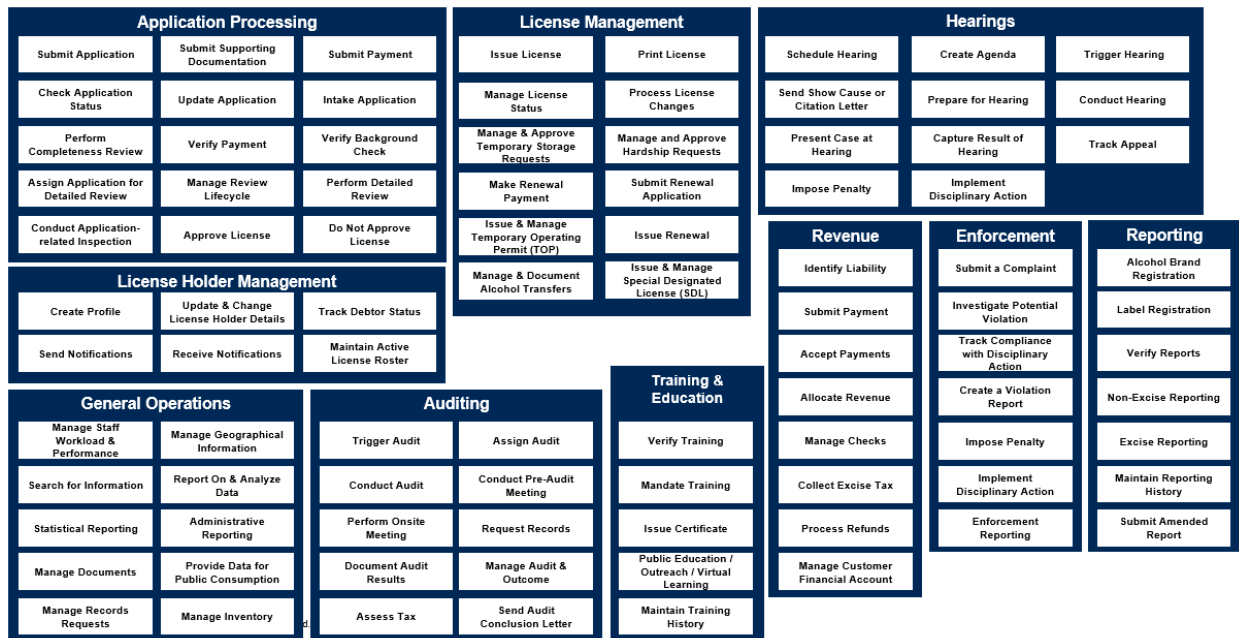
NLCC works with several key stakeholders listed in throughout the alcohol industry (producers, wholesalers, shippers, and retailers), local jurisdictions, as well as the general public. (See Table 5 below).

**Table 5. CAMP Stakeholders**

Stakeholder	Stakeholder Description
<b>NLCC Staff</b>	NLCC staff are responsible for application reviews and processing, including renewals. Agency users track compliance, coordinate Commission hearings, and monitor enforcement investigations. They are also responsible for collecting excise reports across the industry to ensure accurate taxation.
<b>Liquor Control Commissioners</b>	The governing body is responsible for the final administration and approval of all retail alcohol licenses, conducting citation hearings, imposing penalties, and establishing rules and regulations.
<b>City / County Clerks of local jurisdictions</b>	City / County Clerks of local jurisdictions track and communicate license information, particularly during the license application and license renewal process. They are responsible for coordinating local public hearings for new license applications as well as communicating local recommendations to NLCC. Clerks may also participate in NLCC hearings in the case of denials.
<b>Office of the Attorney General</b>	The Attorney General reviews license holder investigation reports from Nebraska State Patrol (NSP) to advise on appropriate legal and enforcement actions.
<b>Nebraska State Patrol (NSP)</b>	NSP is responsible for enforcement and investigations to ensure license holder compliance. They also review and investigate complaints related to licenses and/or permits.
<b>External Review Agencies</b>	NLCC licensing applications are reviewed by the Fire Marshall and Department of Agriculture, when applicable. Pertinent application information is sent to the appropriate agency for review as part of the application process.
<b>Industry</b>	<p>Alcohol industry members, producers, wholesalers, shippers and retailers are key customer stakeholders. They must apply for, renew, report and maintain compliance against their licenses as well as pay excise taxes, when applicable.</p> <ul style="list-style-type: none"> <li>▪ <b>Shippers:</b> There are multiple classes of shippers that are subject to application and period reporting requirements.</li> <li>▪ <b>Producers:</b> Manufacture alcoholic products with production facilities in Nebraska that want to sell products through Nebraska wholesalers.</li> <li>▪ <b>Wholesalers:</b> The brokers between retailers and the supply of alcohol being sold. Wholesalers receive product directly from producers or shippers.</li> <li>▪ <b>Retailers:</b> Sell alcohol directly to the public.</li> </ul>
<b>Office of the Chief Information Officer (OCIO)</b>	The OCIO will also be an integral member of the CAMP team. OCIO coordinates the use of information technology across the various departments and agencies of Nebraska State government. OCIO also manages the NEGIS and OnBase system.

Figure 1 below provides a high-level overview of the major business capabilities required to be supported by the new solution.

**Figure 1. Major Business Capabilities to be Supported by the New Solution**



**ii. Conceptual Technical Architecture Model**

**a) Applications for Integration**

Table 6 provides additional information regarding the systems targeted for integration with the new licensing solution.

**Table 6. Systems Targeted for Integration**

System Name	Description	Details
<b>OnBase Enterprise Content Management System (ECM)</b>	NLCC intends to have a real-time integration between OnBase and Bidder’s solution that allows all document types (image, word, excel, pdf, etc.) to be posted and retrieved from OnBase. The OnBase system will function as the system of record for all CAMP document storage.  OnBase has been configured to process Special Designated Licenses (SDLs) for NLCC but this business process will be consolidated with the rest of NLCC’s licensing and permitting processes and handled by the future State solution.	<ul style="list-style-type: none"> <li>• <b>Status:</b> Existing</li> <li>• <b>Current Type:</b> NA (outside of SDL processing)</li> <li>• <b>Future Type:</b> Real-Time</li> </ul>
<b>PayPort</b>	This is the payment portal leveraged across Nebraska state agencies. This system is used for debit/credit payments and resides on the Nebraska Interactive website.	<ul style="list-style-type: none"> <li>• <b>Status:</b> Existing</li> <li>• <b>Current Type:</b> Real-Time</li> <li>• <b>Future Type:</b> Real-Time</li> </ul>
<b>Nebraska Interactive</b>	Responsible for NLCC’s public facing website and portals as well as for	<ul style="list-style-type: none"> <li>• <b>Status:</b> New</li> <li>• <b>Current Type:</b> NA</li> <li>• <b>Future Type:</b> Real-Time</li> </ul>

	handling ACH payments & excise tax reporting.	
<b>Civix</b>	Civix is a system leveraged by Nebraska's Office of the Secretary of State (SOS). NLCC uses this system to ensure businesses have an active corporation status registered with the State. The system must be able to validate license status with the SOS at the time of application.	<ul style="list-style-type: none"> <li>• <b>Status:</b> New</li> <li>• <b>Current Type:</b> NA</li> <li>• <b>Future Type:</b> Real-Time</li> </ul>
<b>JD Edwards (E1)</b>	<p>JD Edwards (E1) is the NLCC financial system of record. NLCC intends to have CAMP and JD Edwards (E1) integrate. NLCC intends to leverage multiple batch interfaces:</p> <p>1. Need a nightly batch that posts daily payments received to JD Edwards by General Ledger (GL) account numbers. Required fields are transmitted to E1 to create a journal entry.</p> <p>2. Need a monthly batch that posts a summary of all payments to proper GL accounts.</p>	<ul style="list-style-type: none"> <li>• <b>Status:</b> New</li> <li>• <b>Current Type:</b> NA</li> <li>• <b>Future Type:</b> Batch</li> </ul>
<b>Nebraska Enterprise GIS (NEGIS)</b>	Address and property information should be populated by OCIO's central GIS repository. The interface must also allow alcohol licenses/permits to be displayed geospatially on the map. Please refer to Section V.C.2.b.iv.d) - GIS additional GIS requirements.	<ul style="list-style-type: none"> <li>• <b>Status:</b> New</li> <li>• <b>Current Type:</b> Real-Time</li> <li>• <b>Future Type:</b> Real-Time</li> </ul>
<b>Knowledge Management System</b>	NLCC may implement a Knowledge Management System in the future to develop and manage NLCC-required trainings. A system has not been selected at this time. Bidders should identify their ability to integrate with such a system and any experience doing so. Please see Section V.C.3.vii.d) - 7.D. Integration for additional response requirements regarding the Knowledge Management System.	<ul style="list-style-type: none"> <li>• <b>Status:</b> New</li> <li>• <b>Current Type:</b> N/A</li> <li>• <b>Future Type:</b> Real-Time</li> </ul>

**iii. Functional Capabilities Summary**

**b) Standard Capabilities Expected**

**1) Standard Licensing Capabilities**

Licensing applications are designed to automate the key processes of State and local regulatory agencies. For the scope of CAMP, it is required that the proposed solution will implement automated liquor licensing capabilities typically supported by licensing applications, including:

- I. Application Intake & Assessment processes
- II. Hearing processes
- III. Review processes

- IV. Permitting processes
- V. Inspection processes
- VI. Auditing processes
- VII. Licensing processes
- VIII. Compliance Management & Enforcement processes
- IX. Revenue processes
- X. GIS/locational orientation of data

The required solution capabilities to be supported by the new licensing solution are outlined in Appendix D: User Stories, and Appendix A: CAMP Functional Requirements.

## 2) Unique NLCC Business Capabilities to be Supported

The sections below provide an overview of the unique business capabilities that the future solution is required to support. The needed solution capabilities are described in the Appendix D: User Stories and Appendix A: CAMP Functional Requirements.

- I. **License Holder Reporting and Verification.** License Holders are required to submit reports (samples of which are included in Appendix E: CAMP Reports Inventory) to NLCC on a periodic basis (monthly, quarterly, annually). License holders are required to provide data and supporting documentation based on the type of license they have. License holders (specifically, wholesalers, producers and shippers) must report sales, out of state shipments, and internal usage activity. These reports are sometimes verified to ensure activity aligns across reporting groups.

In some cases, the solution must be able to run a query that compares data across various reports and flags any discrepancies for NLCC review. Staff may also review and verify reports manually. Additionally, the solution should be able to flag any reported brands that are not registered in the State (see alcohol brand registration below).

- II. **Mandated Training Monitoring and Tracking.** Applicant(s) may be required to complete NLCC-approved training programs. This is typically the case when the applicant(s) have insufficient experience selling alcohol in Nebraska. Training may also be mandated as a result of the imposition of a disciplinary action. NLCC staff verify that approved training courses have been completed and issue certificates. The new solution must allow for submittal of training documentation and issuance of training certificates.

In the future, NLCC may implement a Knowledge Management System to develop and manage NLCC-required trainings. A system has not been selected at this time. Bidders should identify their ability to integrate with such a system and any experience doing so. Knowledge management capabilities are not required at this time, but the Bidder may optionally propose any features that come “out-of-the-box” with the solution that may benefit NLCC. Further, should Bidders have a knowledge management capability in their current solution or as part of their product portfolio that would be an additional cost, Bidders can optionally provide information about these capabilities and associated pricing for NLCC's future reference. Please see Sections V.C.3.v. - 5.A. Product Overview and V.C.3.vii.d) – 7.D. Integration for additional response requirements regarding the Knowledge Management System.

- III. **Alcohol Brand Registration.** Alcohol Brand Registrations delineate what products are available in regions throughout the State by a certain supplier (i.e., wholesaler) – beer brands may be limited to specific geographic areas whereas wine/spirits are registered statewide. This allows NLCC to regulate regions of distribution for beer brands as well as understand the distribution of wine/spirit brands across the State. A retailer is only able to sell products supplied by a wholesaler. In regard to beer brand registration, specifically, based on the physical location of the retailer, a beer brand can only be supplied by the wholesaler that is registered as responsible for the region containing that location.

The supplier is responsible for submitting this information to NLCC. Suppliers can be one of three groups: shippers that are registered as the agent for out-of-state suppliers, self-represented out-of-state suppliers, or in-state producers that are responsible for their own brands (they do not use shippers in-state and thus cannot have a shipper agent). Suppliers must delineate geographic territories as part of their application process and the classification of the product (i.e. beer, wine, spirits, spirit-based ready to drink cocktails, hard cider). Subcontractors can be added to a primary beer brand territory agreement.

The new solution must process, track, and manage alcohol brand registrations and associated subcontractors to be displayed via GIS mapping (specifically for beer brand territories) and enforce



compliance with excise tax reporting rules (See Section V.C.2.b.iii.a)2)I. - License Holder Reporting and Verification above)

- IV. Local Jurisdiction Review of Applications and Release of Renewals.** Licensing application packages are sent to the City/County Clerk for the jurisdiction where the applicant property is located. Each City/County clerk then manages a local hearing process within 45 days of receipt of the application package and sends a recommendation sheet to NLCC that communicates if the application was recommended for approval or denial by the local governing body. City/County Clerks may also participate in NLCC hearings in the case of denials.

When a license is renewed, NLCC sends the renewed license to the City/County clerk for the local jurisdiction where the subject property is located. The clerk retains the license until a license holder pays local taxes and fees for the license, which is then released. Local City/County clerks may also be involved in processes related to updating license information (i.e., manager changes).

The new solution should allow City/County clerks to access application information (to include renewals), upload recommendation sheets, and receive notifications. The solution shall also allow NLCC to send digital licenses issued to clerks for distribution once local fees and taxes are paid. Bidders must discuss their approach to providing access to these clerks and any implications for software licensing (See Section V.C.2.b.iii.a)2) - 6.B. Unique Capabilities above).

#### **iv. Technical Capabilities Summary**

##### **a) Standard Capabilities Expected**

Licensing applications typically provide similar system features to support the major business capabilities that state and local governments require to perform their business operations. These include functionality such as:

- 1) Workflow, prioritization and enumeration of assignments
- 2) Integration with end-user calendaring and email for work management
- 3) Correspondence management
- 4) Document storage, retrieval and version control
- 5) Mobile access
- 6) Business Intelligence/analytics tools

NLCC's requirements for these capabilities are outlined in the Appendix A: CAMP Functional Requirements and Appendix B: CAMP Technical Requirements, as well as the sections below.

##### **b) Workflow & Business Rule Automation**

The solution is required to support the enforcement of business processes and rules across multiple functional areas relying on a common set of technical components which include the following:

- 1) Rule Automation
- 2) Macro Process Automation
- 3) Workflow Execution
- 4) Workflow Modeling

##### **c) Online Portal**

The solution is required to provide basic online portal capabilities that allow NLCC's external users (e.g., license holders) to be able to perform the majority of business transactions with NLCC online including, but not limited to, application and electronic document submission, monitoring and tracking capabilities, management of account settings, and making online payments.

Advanced features, such as wizard functionality, are not required at this time, but the Bidder may optionally propose any features that come "out-of-the-box" with the solution that may benefit NLCC.

##### **d) GIS**

The solution is expected to integrate with NEGIS to provide geographical information to support the application submittal, validation, and processing activities, including determining application requirements, reviews required based on location, inspection scheduling and routing, etc. Potential GIS layers include:

- 1) Parcels (not to be publicly available)

- 2) Churches
- 3) Hospitals
- 4) Homeless Shelters
- 5) Health Districts
- 6) Jurisdictional Boundaries
- 7) Fire Marshall Districts
- 8) Accredited Schools/College Campuses
- 9) Nebraska State Patrol Boundaries
- 10) Alcohol Brand Territories
- 11) Licensing Information/History by Location

GIS integration shall provide a comprehensive view of activity and history of a location in a GIS view.

**e) Mobile**

The Contractor must provide a mobile application that allows field users, particularly NSP officers, to access the system and perform activities using a mobile device.

**VI. Bidder Solution Response Requirements**

**D. Response Instructions**

**1. Response Organization**

Responses should be organized according to the template below. The template provides the opportunity for Bidders to answer text-based questions about the Solution and services proposed. Bidders may include attachments where necessary or appropriate but must provide all content in the sequence described below.

The template consists of the following sections:

- a. Section 1: Title Page
- b. Section 2: Cover Letter
- c. Section 3: Table of Contents
- d. Section 4: Company Background & Experience
  - i. Section 4.A: Company Profile
  - ii. Section 4.B: Company Background
  - iii. Section 4.C: Bidder Experience
- e. Section 5: Product Overview
  - i. Section 5.A: Product Overview
- f. Section 6: Functional Solution
  - i. Section 6.A: Modules
  - ii. Section 6.B: Unique Capabilities
  - iii. Section 6.C: Requirements Response Workbook – Functional Requirements
- g. Section 7: Technical Solution
  - i. Section 7.A: Conceptual Architecture
  - ii. Section 7.B: System Architecture
  - iii. Section 7.C: Security
  - iv. Section 7.D: Integration
  - v. Section 7.E: Data Conversion and Migration
  - vi. Section 7.F: Reporting
  - vii. Section 7.G: Hosting
  - viii. Section 7.H: Technical Requirements Response Workbook
- h. Section 8: Implementation Approach and Understanding
  - i. Section 8.A – Schedule and Work Plan
  - ii. Section 8.B – Staffing Requirements
  - iii. Section 8.C – Bidder References
  - iv. Section 8.D – Project Management Approach
  - v. Section 8.E – Implementation Approach / Deployment Strategy
  - vi. Section 8.F – Design and Development Strategy
  - vii. Section 8.G – Test Strategy
  - viii. Section 8.H – Organizational Change Management
  - ix. Section 8.I – Training and Knowledge Transfer
  - x. Section 8.J – Production Transition and Hosting & Production

- i. Section 9: Deliverables
  - i. Section 9A: Deliverable Format
  - ii. Section 9B: Mandatory Deliverables
  - iii. Section 9C: Deliverable Reviews and Approvals
  - iv. Section 9D: Scoping Comments
- j. Section 10: Additional Materials Bidder Wishes to Include
- k. (Separated Sealed Folder) Section 11: Appendix C: CAMP Cost Workbook

**2. Detailed Response Instructions**

**a. Section 1. Title Page**

The title page should include the title and number of the RFP, name and address of the Bidder(s), and the date of the proposal. The title page should also clearly indicate the content is related to the CAMP Proposal Response.

**b. Section 2 Cover Letter**

The Cover Letter should include a summary of its response that highlights the key points and explains how the proposed Solution and approach provides the best value in meeting the needs of NLCC.

Additionally, describe why the solution described in the response is important to the Bidder's organization, and why the Bidder is best qualified to implement and operate the new solution.

The cover letter is limited to two (2) pages.

**c. Section 3. Table of Contents**

The Table of Contents should outline the structure of the response and include the critical elements as described in this RFP.

**d. Section 4. Company Background & Experience**

**i. 4.A. Company Profile**

Provide a brief overview of your company, describing the history, size, mission, primary line of business, how it is organized, and how its available products and resources will be used to meet this RFP's requirements.

Complete Table 7 to provide NLCC with an overview of the Bidder's organization. If Bidder will be using multiple vendors to provide any system/service component items, Bidder must complete the following table for each vendor that will be actively participating in the project. Duplicate the table as needed.

**Table 7. Organization Overview**

Information Requested	Response
Full Company Name or Corporate Name	
Corporate Headquarters Address	
Office location responsible for performance pursuant to an award of a contract with the State of Nebraska	
Telephone Number	
Website Address	
Parent Company	
Subsidiaries or Affiliated Companies	
Year in which the Bidder first organized to do business (i.e., year company was founded)	
State in which the Bidder is incorporated or otherwise organized to do business	

Information Requested	Response
Number of years Company has been providing the Product or Service specified in this RFO	
Most recent three (3) Fiscal Years' revenue and net income in USD	
Type of entity organization (e.g., corporation, partnership, proprietorship)	
Company Ownership Structure (e.g., public, private, joint venture)	
Stock Exchange and Symbol (if publicly traded)	
List the name and form of organization if it has changed since first organized	
Locations in the U.S., and total number of staff in each location	

**ii. 4.B. Company Background**

**a) Recent Contracts**

1. Identify all contracts for similar solutions and/or services which the Bidder has entered into within the past three (3) years, specifically related to state alcohol licensing and regulations. If client confidentiality is necessary, provide descriptive information to allow NLCC to understand the type and size of client served (e.g., identify the number of jurisdiction or users which have or will be served by the new system(s)).
2. Indicate if these projects were completed on schedule and within budget. NLCC reserves the right to reach out to any customers mentioned by the Bidder for additional information. If no recent contracts have been entered into, state "None." Indicate if these projects were completed on schedule and within budget. NLCC reserves the right to reach out to any customers mentioned by the Bidder for additional information. If no recent contracts have been entered into, state "None."

**b) Contract Terminations**

1. If the contractor 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.
2. 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 (number) (##) years, so declare.
3. 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.
4. If no recent contract terminations, state "None."

**c) Business Disputes and Outstanding Litigation**

1. Disclose any judgments that have occurred within the past five (5) years and any current pending litigation. If the Bidder has partnered with other organizations for this project, any judgments or litigation of the partner organizations must be provided.
2. If none are known to exist for any organization included in this response, state "None."

**d) Change of Ownership**

1. 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 bidder(s) will require notification to the State.

**e) Mergers and Acquisitions**

1. Disclose any announced or planned sale, merger, or acquisition of any participating organization or its products relevant to the scope of CAMP. Disclose any mergers or acquisitions that have occurred during the past eighteen (18) months and describe the impact to the organization or products.

**f) Conflicts of Interest**

1. Identify any potential conflicts of interest with NLCC or stakeholders listed in Section **Error! Reference source not found.: Error! Reference source not found.** of this RFP by any organization proposed to participate in this project.

**g) Relationships with the State**

1. The bidder should describe any dealings with the State over the previous three (3) 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.

**h) Bidder's Employee Relations to the State**

1. If any Party named in the bidder's proposal response is or was an employee of the State within the past three (3) 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.
2. 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.

**i) Financial Solvency and Insurance Information**

1. Provide proof of liability insurance and workers compensation coverage.
2. 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.
3. 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.
4. 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.
5. The State may elect to use a third party to conduct credit checks as part of the corporate overview evaluation.

**iii. 4.C. Bidder Experience**

**a) Experience Providing Similar Services**

Describe the Bidder's experience providing similar services as detailed in this RFP. This section should include the following information:

1. The total number of years of experience serving the public sector and the size of these projects
2. A brief summary of the Bidder's experience with the service/product or functional area
3. Identification of the Bidder's significant differentiators – how does your company stand out from the competition
4. Indicate how compliance with the minimum qualifications (identified in Section I.Q - EVALUATION OF PROPOSALS) of this RFP are addressed in this proposal.

**e. Section 5 Product Overview**

**i. 5.A. Product Overview**

Complete Table 8 to provide a high-level overview of all in-scope products and components to be provided. Bidder should also clearly identify any component that is not included in this solution that NLCC would need to procure separately.

1. Additionally, the Bidder must identify any unique aspects of the solution components and overall functionality that differentiate it from other market offerings. Response to this section is limited to five (5) pages (excluding responses to requirements in Appendix A: CAMP Functional Requirements)

2. Should Bidders have a knowledge management capability in their current solution or as part of their product portfolio, Bidders can optionally provide information about these capabilities and associated pricing for NLCC's future reference.
3. Should Bidders have a cannabis regulation capability in their current solution or as part of their product portfolio, Bidders can optionally provide information about these capabilities and associated pricing for NLCC's future reference.

If multiple vendors will be providing any system/service component item, identify each vendor separately. Vendors of products licensed by the Bidder that are a significant part of the solution are to be included, even if those vendors are not actively participating in the project. Add additional lines as needed.

**Table 8. Bidder Services Overview**

Vendor	Product / Service Provided

**f. Section 6 Functional Solution**

**i. 6.A. Modules**

Provide an overview of the modules recommended for NLCC to support its functional needs.

**ii. 6.B. Unique Capabilities**

In addition to completing the Appendix A: CAMP Functional Requirements, the Bidder should provide a narrative overview that: (1) demonstrates an understanding of NLCC's needs, and (2) describes how the proposed solution will meet functional requirements for the four areas identified as particularly unique to NLCC in Section V.C.2.b.iii.a)2) - Unique NLCC Business Capabilities to be Supported above.

1. License Holder Reporting and Verification
2. Alcohol Brand Registration
3. Mandated Training, Monitoring and Tracking
4. Local Jurisdiction Review of Applications and Release of Renewals

Bidders should also indicate the ability to utilize NEGIS as a repository, specifically related to the GIS layers outlined in Section V.C.2.b.iv.d) - GIS above).

Bidders should provide any relevant examples of similar solutions provided to other clients. Screenshots or mock-ups of proposed features are encouraged.

**iii. 6.C. Appendix A: CAMP Functional Requirements**

Complete and submit Appendix A: CAMP Functional Requirements according to the instructions provided in the matrix.

**g. Section 7 Technical Solution**

Provide an overview of all the technology components (software and hardware) that are included in the response, including a high-level architecture overview. Clearly identify any components (software and hardware) that are not included and must be procured by NLCC separately.

**i. 7.A. Conceptual Architecture**

Provide a high-level conceptual design diagram that articulates the Bidder’s vision for the new solution that is easy to understand. The diagram should provide an overview of the proposed solution components including but not limited to applications, integration, data repository(s), and analytics tool(s). If appropriate, the diagram can also demonstrate how the new solution will expand and evolve over time to meet NLCC’s needs.

**ii. 7.B. System Architecture**

Describe the overall system architecture of the proposed solution. This should include information about the underlying platform and software on which the core components are built and supported, and how it will support security considerations.

Describe the benefits of this architecture for NLCC, as well as any constraints or risks that will need to be addressed to ensure the success of the architectural approach.

This section should also include the following information:

1. Product Solution and Software Development Tools and
2. Languages
3. Database Type and Structure
4. Proposed Third Party Software Components (if applicable)
5. Proposed Middleware and Frameworks
6. Identification of all supported technology platforms (including supporter version numbers) using the Table 9

**Table 9. Support Technology Platforms**

Technology	Platforms (including version numbers)
<b>Server Operating Systems</b>	<i>Bidder to provide information</i>
<b>Desktop Operating Systems</b>	<i>Bidder to provide information</i>
<b>Databases</b>	<i>Bidder to provide information</i>
<b>Web Browsers</b>	<i>Bidder to provide information</i>
<b>Reporting</b>	<i>Bidder to provide information</i>
<b>Mobile Devices</b>	<i>Bidder to provide information</i>
<b>Mobile Operating Systems</b>	<i>Bidder to provide information</i>

**iii. 7.C. Security**

Describe how information within the Bidder’s solution is secured.

This section should also include the following information:

1. Security Architecture
2. Security Level Management - role-based access, including data access rights by user roles and permissions, and the ability to configure a Global Administrator (e.g., system-wide capabilities)
3. Security Procedures and Protocols

**iv. 7.D. Integration**

Describe the level of interoperability between the different components of the solution and how that will be achieved, and any industry standards that will be followed, and the approach to testing the integration.

Describe Bidder's previous experience integrating with the systems described in Section V.C.2.b.ii.a) - Applications for Integration above. Describe the proposed solution's ability to integrate with a Knowledge Management System, as well as any experience the Bidder has integrating with a Knowledge Management System.

**v. 7.E. Data Conversion and Migration**

Describe the strategy and level of involvement for migrating data from the legacy system into the proposed solution.

This section should also include the following information:

1. Description of the methodology to be used in developing migration specifications and the identification of any potential issues
2. Description of any constraints and risks associated with data migration for this project and how the Bidder will address these to ensure a successful migration
3. Technology and tools to be used
4. Roles and responsibilities of Bidder vs. NLCC
5. Any iterative data migration proposed, including proposed number of mock runs for data migration
6. Bidder should describe anticipated work sessions with NLCC staff to validate and test the migration
7. Describe Bidder's experience migrating data from mainframe sources, including identifying any proposed staff that has experience in this area.

**vi. 7.F. Reporting**

Describe the reporting solution to support NLCC reporting requirements, data analysis, and business intelligence.

This section should also include the following information:

1. Design approach and methodology for reporting and analysis
2. Development approach and methodology for reporting and analysis
3. Relevant technology, tools, and capabilities of proposed solution
4. Methodology for estimating level of effort for reports of low, medium and high complexity and how that will inform project implementation planning decisions
5. Ability to support ad-hoc reporting and for non-technical personnel to easily create reports as needed
6. Ability to make public data available through the online portal for searching

**vii. 7.G. Hosting**

Describe the proposed hosting environment, including experience hosting other customers in that environment.

The Bidder must propose a Cloud (Hosted / Software-as-a-Service) deployment model. The Bidder is required to partner with the necessary suppliers as part of this RFP to support the Cloud deployment model. Similarly, the Bidder shall clearly identify all of the recommended hardware and software requirements, including hardware sizing and software versions. The Bidder's proposal must provide information that can be used by NLCC to evaluate the Bidder's knowledge of and intended approach to provide Hosting services. This information must include, but is not limited to the following:

1. Describe the method for continuous monitoring and management to optimize performance and system availability.
2. Describe how the bidder defines and calculates system and support availability.
3. The system availability requirement is to achieve 99.9% (or higher) availability. Include information on uptime validation and system restores.
4. Based on experience with hosted systems for regulatory agencies similar to NLCC, propose a range of severity levels and commensurate response times related to performance issues, incidents and loss of service.
5. Describe the options available for NLCC to monitor uptime of the system.
6. Describe physical and data security practices for hosted systems and data.



7. Based on experience, describe recommended schedules for regular back-up of standard file systems including but not limited to:
8. Weekly full back-ups
9. Daily incremental back-ups
10. Off-site storage
11. Describe redundancy strategy and restoral procedures, including process to transfer to secondary location.
12. Describe communication and escalation procedures related to incident identification and resolution.
13. Describe the approach to applications management in areas including, but not limited to:
  - I. Service package management
  - II. Application server management
  - III. Monitoring and reporting on application processes
14. Provide information on frequency of upgrades and point releases and the process by which they are tested and rolled out with no, or minimal, disruption to the client.
15. Describe the process for upgrading your system software (e.g., annual upgrades, etc.).
16. Describe each of bidder's change management, upgrade and patch management policies.
17. Describe bidder's identity management and help desk procedures for authenticating callers and resetting access controls, as well as establishing and deleting accounts (if that is part of its service).
18. Describe how bidder solution allows NLCC to export data in an open format (e.g., XML, Text, CSV, etc.).
19. Describe intrusion detection and prevention capabilities and approaches.
20. Describe procedures for installing security patches for all applications.
21. Describe how bidder systematically enforces access controls.
22. Describe how Agency's data is separated and maintained as separate from other customers' data.
23. Describe how confidential Agency data will be hosted internally.
24. Describe bidder's ability to prevent, identify and report on unauthorized releases of Agency data.
25. Describe how bidder implements virus protection and ensures all communication between the hosted environment and NLCC is virus free, including files uploaded by customers.
26. Describe the network design, including all protocols, port requirements and transports between the hosted environment and NLCC.
27. If any of the Agency-located clients are not HTTP(S) based, describe the network mechanisms between those clients and the hosted environment.
28. Bug fixes: bidder must provide a procedure for reporting, tracking, fixing, and user acceptance of bug fixes.
29. Describe the testing environments where users or administrators may test pre-release versions of new software to ascertain which features may be valuable to share with their users, or to understand what training might be needed.
30. Describe NLCC's options for choosing when to implement a new version.
31. Bidder must demonstrate or show proof of comparable controls and processes needed to meet FedRAMP certified requirements as well as comply with State Security Requirements.
32. Describe security provisions for the data, network, and applications; and
33. Describe disaster recovery and network monitoring.

**viii. 7.H. Appendix B: CAMP Technical Requirements**

Complete the technical requirement tab provided in Appendix B: CAMP Technical Requirements according to the instructions provided in the workbook.

**h. Section 8 Implementation Approach and Understanding**

**i. 8.A. Schedule and Work Plan**

Provide an implementation schedule and high-level work plan to meet the requirements and deliverables of this RFP. The schedule should identify an overall timeline, with key start dates and end dates for major project milestones, including any phased deployments proposed that correspond to the section below: V.C.3.viii.e) Implementation Approach / Deployment Strategy.

Contents should include elaboration of, and details related to, the following:

1. Method used to estimate the project level of effort and schedule. Include tools and techniques used to obtain the estimates. Identify the source or basis of the estimates used to develop the Bidder's response and the level of uncertainty and risk associated with the estimates;
2. Bidder must submit an implementation schedule and high-level work plan to meet the requirements and deliverables of this solicitation;
3. The schedule should identify an overall timeline, with key start dates and end dates for major project milestones, including any phased deployments proposed that correspond to the Deployment Plan identified in the response Table 12 Minimum List of Deliverables below; and,
4. The work plan must provide tasks, durations, key deliverables, and key milestones that correspond to the project schedule, deployment approach proposed, and deliverables proposed, as detailed in other sections of the RFP.

**Key Schedule / Work Plan considerations:**

1. Provide an integrated, milestone-level and detailed (level 2 Work Breakdown Structure (WBS) minimum) work plan, including Gantt chart of the Proposed Project Schedule that includes all services requested in this RFP;
2. Schedule milestones should correspond with the deliverables required in this RFP
3. Bidder must include reasonable and incremental review periods for Deliverable Expectations Document (DED) (see Section V.C.3.ix.a) - 9A Deliverable Format below for more information) and deliverables that allow sufficient time for both NLCC review and Bidder to update deliverables based on NLCC review feedback; and
4. Bidder must clearly plan for and indicate slack/contingency in the project schedule to account for potential delays or issues. Overly aggressive or unrealistic schedules are not acceptable.

**ii. 8.B. Staffing Requirements**

**a) 8.B.1. Key Implementation Services Team Members**

Provide a summary of all proposed key personnel. The Bidder will be responsible for providing all staff persons required to design, develop, and implement the new solution, and must possess the relevant background and experience to undertake this effort.

Provide the names, titles, locations, and brief background/biography summaries for personnel that NLCC would work with throughout the course of the implementation and post-implementation periods. Bidder shall name the following in their proposal:

- I. Senior Executive — Responsible for executive oversight with NLCC; has P&L responsibility for the product and services being offered.
- II. Account Executive — Responsible for managing entire relationship with NLCC.
- III. Project Manager – Responsible for leading the project team, will be the primary interface with NLCC project manager, and is responsible for day-to-day management of the project, including overall performance and contract compliance.
- IV. Solution Architect — Responsible for ensuring the solution integrates with all applicable modules (Software Vendor modules as well as required third-party or legacy components), that overall security and data architectures are following best practices and that technical performance is stable and scalable.
- V. Technical Architect — Responsible for technical aspects of the implementation and system architecture development, and to provide direct access to product release or development issues and opportunities.
- VI. Functional Lead – Responsible for managing all functional aspects of the implementation such as the analysis, design, configuration, and associated testing activities.
- VII. Service Manager — Responsible for all post-implementation service support, including release/patch management, call center/trouble ticket processes, escalation processes, and access to required support personnel as needed.

Provide a staffing plan for Key Implementation Services Team Members for NLCC review and approval. Note: Key personnel are expected to lead key portions of the presentations and vendor finalist activities.

Provide a staffing plan detailing the number of personnel, level, roles and responsibilities, and team reporting relationships. The staffing plan should include elaboration of, and details related to, the following:

- VIII. Organization chart/ diagram showing the proposed project team positions and reporting relationships.
- IX. Staff/ resource loaded chart for each major phase and each major work stream of the proposed plan and percent allocation.

- X. The chart should delineate between Bidder and NLCC staff and should reflect the estimated staff count by project phase, staff level and role for both teams.
- XI. Governance structure for Prime and Subcontractor Relationship, if applicable
- XII. Proposed governance structure for Bidder and NLCC team
- XIII. Approach for integration and interaction with NLCC project team, including estimated percentage of time to be onsite. If percentage of onsite time will fluctuate based on phase or types of activity taking place, Bidder should identify how percentage of onsite time may be affected. Please also describe any company COVID-19 travel restrictions that may impact onsite presence.

Using the tables below as templates, Bidder should provide an overview of the experience of proposed Key Implementation Services Team Members and résumés.

**b) 8.B.2. Key Implementation Services Team Member Experience**

Provide an overview of the experience of each Key Implementation Services Team Members identified in Table 10 below (repeat the table below for each key team member):

- I. Key Implementation Services Team Members include the Project Manager, Project Executive, Project Manager, Solution Architect, Technical Architect, Functional Lead, and Service Manager.

Bidder may insert additional tables to identify other roles that the Bidder considers to be a Key Implementation Services Team Member.

**Table 10. Key Implementation Services Team Member Experience**

Information Requested	Response
Team Member Name	
Team Member Role	
Team Member Years of Experience in Role	
Summary Qualifications and Experience of Team Member	
Team Member Professional Certification(s)	

**c) 8.B.3. Key Implementation Services Team Member Resumes**

The Bidder should provide resumes for all personnel proposed by the Bidder to work on the project, including all Key Implementation Services Team Members. NLCC 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 solicitation 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 that may be relevant to the delivery of the services requested in this RFP, 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 NLCC.

**iii. 8.C. Bidder References**

Using the Table 11 Corporate Reference Template below, provide references for three (3) projects completed within the last five (5) years that showcase the Bidder's experience in defining, developing, and deploying a solution similar to NLCC's business and technical requirements as described in this RFP and the scope and complexity of the CAMP initiative.

Identify roles on any included reference projects that were performed by Key Implementation Services Team Member Experience (as listed in Table 10: Key Implementation Services Team Member Experience) proposed for the implementation. In describing the reference projects, the Bidder must refer to the Bidder's experience as well as applicable involvement of any subcontractors. If the work was performed as a subcontractor, the narrative description should identify the same information as requested for the contractors.

If the Bidder intends to subcontract any part of its performance hereunder, the Bidder should provide:

1. Name, address, and telephone number of the subcontractor(s)
2. Specific tasks for each subcontractor(s)

3. Percentage of performance hours intended for each Subcontract
4. Total percentage of subcontractor(s) performance hours.

References where the Bidder has previously worked with the identified partner or subcontractor should be noted and are preferred. Additionally, provide a description of how the corporate relationship with your proposed partners or subcontractors has contributed to the success of past projects.

**Table 11. Corporate Reference Template**

Information Requested	Response
Reference Organization Name	
Reference Organization Primary Function	
Reference Contact Name and Title	
Reference Contact Telephone Number	
Reference Contact Email Address	
Project Name	
Number of Users Involved	
Contract Size (approximate total cost)	
Project Start Date	
Project End Date (Planned, Actual)	
Narrative Description of the Solution Implemented / Scope of Services Provided	
Implementation Challenges and How Bidder Addressed these Challenges	
Bidder's Project Manager	
Bidder's proposed Key Implementation Services Team Members and their roles on this project, including subcontractors / partners	
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	
Indicate whether the work was performed as the prime contractor or as a subcontractor.	

**iv. 8.D. Project Management Approach**

Describe the approach to overall project management and integration of all activities required by the RFP. This section must include:

1. Project Management Methodology (and compliance with Project Management Institute (PMI) standards);
2. Communications Management Approach;
3. Issue Resolution Methodology; and
4. Risk Management Methodology.

Identify key implementation risks and risk mitigation strategies of the solution based on Bidder experience.

Provide a sample risk register that will be used throughout project implementation to identify, monitor and control risks and issues.

Describe quality management approach and methodology.

Describe Configuration Management Methodology.

Describe Change Control Methodology.

**v. 8.E. Implementation Approach / Deployment Strategy**

The Bidder should demonstrate a clear understanding of the project and clarify concisely any major issues or concerns. This section should include a narrative overview of how the proposed solution will be implemented to optimally meet and/or exceed NLCC's requirements. Bidder's approach should demonstrate Bidder's experience, expertise, and ability to plan and complete all work required under a contract arising from this RFP.

Provide the following information:

1. A narrative that identifies the implementation lifecycle approach that the Bidder will apply to the project (appropriate to the scope, magnitude, and complexity of the solution).
2. Confirm whether the development approach will be Iterative Waterfall, Agile, or other hybrid, and detail each stage of development and major activities.
3. A well-articulated and concise narrative for each phase or work stream that fully describes Bidder's methods, tools, accelerators, and frameworks associated with the Bidder's proposed approach to fulfill the roles and responsibilities described.
4. Describe how the Bidder proposes to execute a phased approach with NLCC's project teams to seamlessly transition to the new solution and processes with minimal business disruption.
5. Describe how the Bidder proposes to continue to implement subsequent phases while simultaneously providing the necessary support and maintenance for sprints that are already in/have just gone into production.

**vi. 8.F. Design and Development Strategy**

Describe the proposed requirements analysis and design approach for the implementation. This information should include the Bidder's approach to meeting the following activities.

This section should include the following information:

**Requirements Analysis Approach:**

1. Review of current-state artifacts, such as existing forms, screens, and reports to ensure accurate inputs and outputs are accounted for in the design of the Solution.
2. Approach to conducting joint application design sessions with NLCC and other stakeholders, any prototyping that will occur, and how stakeholders will be exposed early on and throughout the design / development process to how the system will look and function.
3. Approach to documenting conceptual design-level requirements. If the Bidder intends to propose an Agile approach or similar implementation methodology that does not rely on formal design documentation, Bidder should provide examples of how design requirements are managed (e.g., user stories or backlog).
4. Approach to validating and finalizing design specifications as a prerequisite to the Execute Phase, or if proposing an Agile approach or similar, describe how the design/ prototyping/sprint process shall work.

**Development Approach:**

5. Describe configuration methodology and approach to configuration.
6. Describe any development approaches and tools used to script, code, or otherwise "develop" the solution (outside of configuration) that may be necessary to meet NLCC's requirements.
7. Describe any major components of the solution that may require customization of the proposed base product.

**Configuration Management:**

8. Describe the configuration management process and any actions that will be required of the NLCC staff. Identify any specific skills that would be needed by those staff performing configuration changes.
9. Describe the tools, environment, and infrastructure required for the execution of configuration management activities to be completed by NLCC

10. Describe the methods for conducting configuration audits and reviews to be held during the project.
11. Describe the methods for configuration release management controls between environments.

**vii. 8.G. Test Strategy**

Define the approach and methodology to testing in order to accomplish the required activities and objectives.

This section should include the following information:

**Testing Methodology**

1. Describe the approach and ability to test and validate the functionality of the implemented solution against the documented requirements and use cases. This section should address:
  2. Unit Testing (including providing unit test results to NLCC)
  3. System Testing
  4. Performance and Reliability Testing (including stress testing)
  5. Functional and User Acceptance Testing
  6. Regression Testing
  7. Data Conversion Testing (including testing converted data as part of system testing and UAT)
  8. Test Plans
  9. Test Scripts (including approach to test script development and requirements traceability to ensure end-to-end and comprehensive testing of entire solution prior to Go Live)
10. Issue Management and Resolution (to include Bidder definition of a “defect” and an “enhancement”)
11. Describe and outline the entrance and exit criteria for each test phase (e.g., Development/Unit Test, System Test, UAT, Performance Test, etc.).
12. Describe the role(s) Bidder expects NLCC or other stakeholders to perform during each test phase. In this description, Bidders should clearly identify the activities NLCC or other stakeholders will be responsible for performing and avoid generic terms, such as “jointly” and “collaborate.”

**Training**

13. Describe the anticipated trainings and work sessions with project stakeholders to test the solution.

**viii. 8.H. Organization Change Management**

For IT projects that highly depend on rapid user adoption for success, as the new system will, organizational change management practices should be embedded in the project life cycle. Failure to do so will delay project adoption, impede the realization of benefits, and diminish success.

1. Provide an overview of the Bidder’s organizational change management philosophy.
2. Provide an overview of how the Bidder will support Organizational Change Management activities conducted by NLCC.

**ix. 8.I. Training and Knowledge Transfer**

This section should also include the following information:

1. Identify the types of training proposed, such as
  - i. Initial Product Training
  - ii. End User Training and Train the Trainer Training
  - iii. Configuration Training sessions
2. Describe the types of documentation that the bidder has that can be leveraged for training and knowledge transfer activities. The bidder should include pricing for the development of training documentation customized to NLCC’s needs on the Cost Proposal.
3. For pricing purposes, bidder should assume that it will be responsible for direct training of all NLCC and partner agency end users. This includes 20 NLCC staff and 30 users from external agencies (Department of Agriculture, Office of the Attorney General, Nebraska State Patrol, etc.).
4. Describe any constraints and risks that can be a barrier to the success of the training effort, along with the actions that can be taken to address these constraints and risks.

**x. 8.J. Production Transition and Hosting & Production**

Provide the following information that NLCC can use to evaluate the Bidder's knowledge of, and intended approach to, provide production support and transition services.

This section should also include the following information:

**Production Support and Transition Approach**

1. Describe the Production Release approach for production cutover and activities required to begin production use of the new Solution. The approach must include the following, at a minimum:
  - i. Key activities
  - ii. Critical success factors
  - iii. Roles and responsibilities (for both the Bidder and NLCC)
  - iv. Acceptance criteria
2. List and describe documentation that will be provided, including the formats in which the documentation will be made available. Additionally, describe how the Bidder plans to provide ongoing updates to documentation throughout the life of the contract to ensure relevance of the documentation following implementation and system upgrades.
3. Describe how as-built documents will be updated over time.
4. Describe the approach to provide ongoing training for users as the new Solution is updated and new users are onboarded.
5. Describe the transition approach and methodology proposed, including how the bidder will manage working software in production while also continuing to develop new technology for future deployment.
6. Describe the production services to be provided to NLCC for the provision of services. Describe system monitoring capabilities and how performance will be measured and tracked against service levels, including how real-time deviations are communicated to NLCC. Bidder must describe root cause analysis approach and how corrective / preventative measures are taken. Provide sample reports related to service level management.
7. Describe the bidder's overall release and deployment management approach for minor and major application releases and how NLCC's input as to the overall product roadmap is incorporated.
8. Describe bidder's approach for maintaining technical currency and anticipated major releases for the next one-two years and how those releases will impact the implementation.

**Maintenance & Operations and Support**

9. Describe the approach and methodology to application management, technical support, system enhancements, and other related support activities.

**Patch/Upgrade Support**

10. Clearly and succinctly describe relevant patch and upgrade support services and service levels to ensure that a high-quality release management strategy can be executed during and after implementation. Also provide patch/upgrade support service cost and rate information in the Cost Proposal.
11. Describe release strategy and typical schedule (e.g., quarterly, annually) with respect to patches, point upgrades, and major release upgrades. As part of this response, describe your position on version compliance to maintain/support and options clients may have to defer patches/upgrades.
12. Describe what tools and documentation are provided to facilitate a high-quality patch or upgrade effort.
13. Describe any differences in patch/upgrade support options and services for client hosted vs. single tenant SaaS vs. multi-tenant SaaS support vs. any other models offered.
14. Describe any continuous improvement efforts underway or planned to improve the quality of patch/upgrade support services.

**Enhancements**

15. Describe the management approach to application enhancements, such as assessment of change impact, estimation of required effort to implement the change, and change approval requirements.
16. Describe the technical approach to enhancements, such as configuration management, documentation requirements, integration testing, regression testing, acceptance testing, and deployment.
17. Describe approach to process future enhancement requests, including methodology for pricing (e.g., function point analysis) and future available resources to fulfil enhancement requests.

**Call Center/Problem Ticket Support**

18. Provide information regarding Bidder call center and problem ticket support services and service levels to ensure responsive, reliable, and knowledgeable support is provided during and after implementation.
19. Describe the size and structure of call center services team and the hours of operation.
20. Describe any support tools or techniques used to more quickly diagnose and resolve critical or escalated problems. The escalation process should also be described.
21. Describe any differences in call center support for client hosted vs. single tenant SaaS vs. multi-tenant SaaS support vs. any other models offered.
22. Describe any continuous improvement efforts underway or planned to improve the quality of call center support services.
23. Describe the availability of an online knowledge base that can be accessed directly by end-users and technical staff to obtain answers to frequently asked questions or perform research on symptoms to identify resolutions to known issues. Additionally, describe any interactive services (e.g., online chat) that will be available to system users.
24. Describe any continuous improvement efforts underway or planned to improve the quality of user group collaboration.

**i. Section 9 Deliverables**

Provide the proposed approach to meet the following deliverable requirements for the implementation. At a minimum, bidders should address the following components identified in the below subsections

**i. 9.A. Deliverable Format**

The bidder should outline in their response their approach to develop Project Deliverables in the form and format agreed to by NLCC

Identify the approach to using a Deliverables Expectations Document (DED). Bidders should address the following when describing their approach to DED development:

1. No work will be performed on any deliverable associated with a payment milestone until the DED has been approved in writing by NLCC.
2. Bidders are expected to include realistic timeframes for NLCC to review the DED that correspond with the appropriate dependencies for deliverable development activities in the project schedule.
3. The objective of the DED is to ensure that deliverables meet or exceed the contractual obligations and expectations and deliver the expected outcomes. In order to accomplish this objective, the DED must contain enough information to provide an accurate representation of the planned format and content of the deliverable. At a minimum, DED's must contain the following components:
  - i. Sample Table of Contents of the deliverable
  - ii. Short description of all sections and sub-sections planned to be included in the deliverable
  - iii. Samples of any diagrams or reports planned to be included as part of the deliverable
  - iv. Clear indication of how the deliverable will meet and/or exceed the deliverable requirements as defined in the RFP.
4. The bidder must make all deliverables available electronically in software versions that are PC compatible with the software being utilized at NLCC (e.g., Microsoft Word, Project, PDF, PowerPoint, Windows operating system, etc.).

**ii. 9.B. Mandatory Deliverables**

Table 12 provides a listing of deliverables that should be provided at a minimum as part of the CAMP implementation. As part of the Bidder's response, Bidder should submit a (1) a deliverables list similar to the table below and (2) a detailed description of how the Bidder will meet each of the deliverables proposed similar to the table below.

It should be clear which deliverables are associated with which project phase (i.e., Project Preparation, Analysis, Design, Development, etc.). If Bidder is proposing a phased implementation, bidder must clearly indicate which deliverables occur in which phase(s).

Include, at a minimum, the criteria of each deliverable described below. However, Bidders are encouraged to provide a response that elaborates on each deliverable and detail how it coincides with their overall solution response. Acceptance criteria is required for each proposed deliverable.

The Bidder may add additional deliverables to the list provided below in alignment with its proposed methodology and work plan, but shall not modify existing deliverable names, split apart any deliverables, or otherwise modify



the requirements of the named deliverables. Any additional deliverables added by the Bidder shall be clearly identified in the response.

**Table 12. Minimum List of Deliverables**

#	Deliverable Name	Major Components
<b>Milestone 0 – Project Monitoring and Status Reporting</b>		
<b>A</b>	<b>Project Status Reporting</b>	<p>Project status will be tracked and reported on an ongoing basis. Regularly scheduled status meetings between NLCC Project Management Team and the Contractor Project Manager will be held to discuss project progress, issues, resolutions, and next steps. Additionally, the Contractor will support any other status-related meetings as needed, such as presenting to the Executive Steering Committee.</p> <p>The following standard reporting mechanisms will be used:</p> <ul style="list-style-type: none"> <li>• Status Reports</li> <li>• Issue List</li> <li>• Risk Log</li> <li>• Project Library</li> </ul> <p>The format of the status report shall be agreed to by NLCC and the Contractor at the beginning of the project, must include but is not limited to:</p> <ul style="list-style-type: none"> <li>• Project Progress by Deliverable (% complete, related activity, due dates, submission dates, review cycle metrics, etc.)</li> <li>• Completed and Upcoming Activities</li> <li>• Issue and Risk Reporting; Mitigation Strategies</li> <li>• Schedule Update (including a graphical summary of tracking baseline schedule dates to actual dates)</li> <li>• Key Decisions</li> <li>• 4-6 Week Calendar that illustrates upcoming key meetings and Agency Staff commitments that will allow Agency Staff to forecast upcoming resource needs for the project</li> <li>• Budget Update</li> </ul> <p>The Project Library should be developed and maintained by the Contractor and should be used to store, organize, track, control and disseminate all information and items related to the solution implementation.</p>
<b>B</b>	<b>Meeting Minutes</b>	<p>The Contractor should be responsible for capturing a record of key meetings and the important takeaways from the discussion. The meeting minutes are not intended to be a transcript of every discussion topic, nor may meeting minutes be required for every meeting. However, the meeting minutes shall be used to preserve a record of the following, to use as a quick reference or to be distributed:</p> <ul style="list-style-type: none"> <li>• Attendees</li> <li>• Key strategic decisions</li> <li>• Action items</li> <li>• Any issues or risks identified</li> </ul>

#	Deliverable Name	Major Components
		<p>While the Contractor may employ the use of online meeting technology tools to record the meeting in real time, this should not be a substitution for the documentation of meeting minutes.</p> <p><b>Additional Meeting Requirements:</b></p> <ul style="list-style-type: none"> <li>• The Contractor and Agency Project Manager shall determine which meetings are considered to be “key” meetings for which meeting minutes are required.</li> <li>• The Contractor should notify NLCC Project Manager (or designee) at least 48 hours in advance of any meeting that requires attendance by Agency staff or other stakeholder participation, but one week notice is preferred.</li> <li>• The Contractor is required to provide an online meeting tool that allows Agency staff and stakeholder to attend any meeting remotely, as needed</li> <li>• The Contractor shall be responsible for scheduling and sending out meeting invitations unless otherwise requested by NLCC</li> </ul>
<b>Milestone 1 – Project Initiation and Planning</b>		
1	<b>Project Kickoff Presentation</b>	<p>This deliverable is a presentation to familiarize project team members and stakeholders with the project. It should be provided in Microsoft PowerPoint format.</p> <p>The presentation should include at a minimum, but not limited to the following topics:</p> <ul style="list-style-type: none"> <li>• Project Overview</li> <li>• Project Schedule (high level)</li> <li>• Objectives and Definitions</li> <li>• Process</li> <li>• Artifacts</li> <li>• Roles and Responsibilities</li> <li>• Introduction to Contractor Staff</li> <li>• Keys to Success</li> <li>• Next Steps and Upcoming Activities</li> <li>• Questions and Answers (Q&amp;A)</li> </ul>
2	<b>Project Schedule</b>	<p>The Contractor must deliver a master work plan including a detailed Work Breakdown Structure (WBS) and associated Gantt charts in Microsoft Project. The master work plan must reflect any changes from the plan submitted with the Contractor’s original proposal that were discussed and agreed to during the project initiation meeting. The Project Work Plan must include a WBS that meets the project’s overall objectives by describing the project tasks and deliverables.</p> <p>The WBS should include:</p> <ul style="list-style-type: none"> <li>• A consolidated view of the activities, activity descriptions, and activity durations assigned to NLCC, the bidder, and any other stakeholders.</li> <li>• Resources assigned to each activity, including both Agency and bidder resources.</li> <li>• Logical dependencies within and across work streams and deliverables</li> <li>• Calculation and identification of the Critical Path.</li> </ul>

#	Deliverable Name	Major Components
		<ul style="list-style-type: none"> <li>• A list of deliverables tied to project milestones.</li> <li>• A way to track the project schedule against the planned schedule.</li> <li>• Schedule shall include “break” periods between major project milestones where there are no activities scheduled to allow the team to prepare for the next project milestone.</li> <li>• Identification of the critical path for the Project Work Plan to allow the determination of impacts of any schedule slippage.</li> <li>• Deliverable approval periods including realistic timeframes for Agency review of DED’s and subsequent deliverables. Particularly complex deliverables should have longer review timeframes than simpler deliverables.</li> <li>• Deliverables that include configuration or development should have a demonstration component as part of its acceptance criteria, and should be incorporated into the schedule accordingly.</li> <li>• Contingency (e.g., “slack”) time should be clearly identified in the project schedule.</li> </ul> <p>The Project Work Plan should be maintained throughout the life of the project and will be updated as necessary (weekly at a minimum) to reflect the accurate status of the project. <b>All changes to the schedule shall be approved by NLCC prior to acceptance of an updated project schedule.</b></p>
3	Project Management Plan	<p>The Project Management Plan should include the following:</p> <ul style="list-style-type: none"> <li>• Communication Plan - Details the varying levels and needs of the project’s stakeholders for information regarding the project, status, accomplishments, impact on stakeholders, etc. Defines the communication vehicles, target stakeholders, and the scope and frequency of the project’s communications vehicles.</li> <li>• Schedule Management Plan – Defines how the project schedule will be monitored for variances, what types of corrective actions will be taken to address schedule variances during the life of the project, and the process, roles, and responsibilities involved in making changes to the project schedule.</li> <li>• Issue and Risk Management Plan – Documents a disciplined approach for the continual assessment of risks, tracking of risk status, and mitigation strategies. It shall include: <ul style="list-style-type: none"> <li>○ Baseline risk assessment within one month of project initiation</li> <li>○ Integration with NLCC governance processes, including weekly status reporting</li> <li>○ Process to Identify and manage risks and issues</li> <li>○ Process to Identify the severity, quantify the potential impact and probability, of each identified risk and issue</li> <li>○ Process for supporting the development of risk mitigation plans for each identified risk including a description of work products and processes for assessing and controlling risks</li> <li>○ Guidance and process for assessing the efficacy of risk mitigation actions</li> <li>○ Escalation mechanisms for risks and issues</li> </ul> </li> </ul>

#	Deliverable Name	Major Components
		<ul style="list-style-type: none"> <li>• Change Control Plan</li> <li>• Change Request Management Plan - Documents how to manage the process to review, accept, and reject change requests.</li> <li>• Scope Management Plan - Documents the project vision and goals, items that are in-scope and out-of-scope and their prioritization, dependencies between the scope items, and risks associated with the inclusion and removal of items from scope. The plan also defines the process used to modify project scope.</li> <li>• Quality Management Plan – Outlines quality assurance responsibilities, deliverable review process, deliverable definitions and acceptance criteria, and regularly scheduled reviews of key project phases and milestones.</li> <li>• Requirements Analysis &amp; Management Plan – Details approach to the method of capturing and maintaining requirements traceability throughout the development process. This plan must detail the methods, tools, and technologies used to capture, catalog, and manage System requirements, and building upon and maintaining the Use Cases and functional and non-functional requirements.</li> </ul>
<b>Milestone 2 – Analysis</b>		
<b>4</b>	<b>Requirements Analysis Document</b>	<ul style="list-style-type: none"> <li>• Validated Appendix A: CAMP Functional Requirements <ul style="list-style-type: none"> <li>○ The Contractor shall conduct working sessions to review Appendix A: CAMP Functional Requirements and responses and validate each requirement and provide an updated matrix.</li> </ul> </li> <li>• Validated Appendix B: CAMP Technical Requirements <ul style="list-style-type: none"> <li>○ The Contractor shall conduct working sessions to review Appendix B: CAMP Technical Requirements and responses and validate each requirement and provide an updated matrix.</li> </ul> </li> <li>• Validated Appendix D: CAMP User Stories <ul style="list-style-type: none"> <li>○ The Contractor shall conduct working sessions to review Appendix D: CAMP User Stories and validate each user story and provide any updated user stories.</li> </ul> </li> </ul> <p>It is critical for the Contractor and NLCC to have a common understanding of the functional and technical requirements, and use cases, prior to entering the Design Stage to ensure the solution meets NLCCs expectations and vision for the new solution.</p>
<b>5</b>	<b>Solution Implementation Plan</b>	<ul style="list-style-type: none"> <li>• System Design Plan – Details the Contractor’s approach to System design throughout application design, interface design, and conversion design <ul style="list-style-type: none"> <li>○ This plan must ensure that the System conforms to defined standards for System design and Systems architecture. This plan must ensure the completeness and level of detail in design specifications.</li> <li>○ Shall detail the approach to gathering design-level requirements and developing the design documentation.</li> <li>○ Shall address plans for prototyping sessions.</li> </ul> </li> </ul>

#	Deliverable Name	Major Components
		<ul style="list-style-type: none"> <li>• System Development Plan – Details approach to system development and ensures the necessary tools and technologies are in place for development. This shall address:               <ul style="list-style-type: none"> <li>○ Development methodology selected</li> <li>○ Configuration management processes, including the use of any industry standard automated configuration management and version control tools.</li> <li>○ Software development standards and development change control processes</li> <li>○ Method for maintaining requirements traceability throughout the development process</li> <li>○ Security Plan</li> <li>○ Disaster Recovery &amp; Business Continuity Plan</li> <li>○ Environment Management Plan</li> <li>○ Capacity Plan</li> <li>○ Infrastructure Services Plan</li> </ul> </li> <li>• System Test Plan               <ul style="list-style-type: none"> <li>○ Software testing strategy, methodology processes, standards and guidelines for all software testing to include unit testing, system testing, support of user acceptance testing, data conversion testing, regression testing, and performance testing.</li> <li>○ Identify exit and entry criteria for each phase.</li> <li>○ Templates and standards for all testing artifacts and deliverables shall be provided, including example test cases.</li> <li>○ Identify the approach to establish traceability from requirements to test cases.</li> </ul> </li> <li>• System Training Plan               <ul style="list-style-type: none"> <li>○ Plan to conduct core team administrative training, end user training, as well as approach to developing training materials.</li> <li>○ Deliverable will include templates and samples of training materials to be provided.</li> </ul> </li> </ul>
<b>Milestone 3 – System Design</b>		
6	<b>System Architecture Document</b>	<ul style="list-style-type: none"> <li>• Describes the Proposed Architectural Solution that will enable and support the solution, including detailed information on:               <ul style="list-style-type: none"> <li>○ Proposed Hardware and Operation System Platform</li> <li>○ Software Development Tools and Languages</li> <li>○ Database Type and Structure</li> <li>○ Software Products (COTS)</li> <li>○ Proposed Software Components</li> <li>○ Proposed Network Infrastructure</li> <li>○ Proposed Application Architecture</li> </ul> </li> </ul>
7	<b>Functional Design Document</b>	<ul style="list-style-type: none"> <li>• Activity: Conduct requirements gathering               <ul style="list-style-type: none"> <li>○ Review current state artifacts, including existing system screens and forms</li> <li>○ Conduct crosswalk of functional requirements against replacement legacy systems to identify any existing gaps in requirements that necessitate initiation of the change control process</li> <li>○ Conduct onsite interviews to gather system design requirements</li> </ul> </li> </ul>

#	Deliverable Name	Major Components
		<ul style="list-style-type: none"> <li>● Define design-level requirements in a manner that easily illustrates what shall be designed and configured in the new solution that is easily comprehended by non-IT staff:               <ul style="list-style-type: none"> <li>○ System workflow diagrams and process flows</li> <li>○ Define business rules</li> <li>○ Define user profiles and security role permissions</li> <li>○ Define data entry fields and validation rules</li> <li>○ Screen and forms mockups that demonstrate what will be configured in the system</li> </ul> </li> </ul>
8	<b>Requirements Traceability Matrix (Optional)</b>	<ul style="list-style-type: none"> <li>● <i>Optional:</i> Define design-level requirements traceable back to functional requirements traceability matrix in a manner that easily illustrates how functional requirements are satisfied through configuration, interface, and other design/development activities.</li> </ul>
9	<b>Technical Design Document</b>	<ul style="list-style-type: none"> <li>● Reflects the final requirements for system configuration and operation based on outputs from design sessions conducted with NLCC. Should include:               <ul style="list-style-type: none"> <li>○ Entity relationship diagrams</li> <li>○ Data flow diagrams</li> <li>○ Data dictionary</li> <li>○ Processing controls</li> <li>○ Installation and configuration processes</li> <li>○ Data backup procedures</li> <li>○ Security controls</li> <li>○ Availability and resilience controls, such as load balancing, failover capabilities, and fault tolerance</li> </ul> </li> </ul>
10	<b>Prototypes</b>	<ul style="list-style-type: none"> <li>● Prototype Demonstrations               <ul style="list-style-type: none"> <li>○ The Contractor should work with NLCC to identify a select number of complex and high-volume business processes to be prototyped. The prototypes shall be near-final simulations of how NLCC's requirements shall be implemented in the new system. This is intended to be a checkpoint to ensure that the Contractor's development approach is in line with NLCC's expectations.</li> </ul> </li> <li>● Prototype Completion Report               <ul style="list-style-type: none"> <li>○ Successful demonstration of the prototype per approval by NLCC (demonstration of the prototype shall not warrant automatic acceptance; prototype should be considered near-final and reflective of design discussions to-date)</li> <li>○ Feedback, outcomes and findings to be considered for the subsequent implementation efforts</li> </ul> </li> </ul>
11	<b>Data Conversion Plan</b>	<p>This plan should specify what and how data conversion (Legacy System to new solution) will function. This plan must include, but not be limited by the following:</p> <ul style="list-style-type: none"> <li>● Description of conversion Methodology (e.g., processes to extract data, processes to validate data, documentation of data)</li> <li>● Number of mock runs that will be conducted</li> <li>● Description of manual conversion processes that cannot be automated</li> <li>● Milestones, targets</li> <li>● How much history is converted out of the legacy system</li> <li>● List of data to not convert</li> </ul>

#	Deliverable Name	Major Components
		<ul style="list-style-type: none"> <li>Manual data entry and error correction after conversion</li> <li>Plan for testing and validating converted data</li> </ul>
12	<b>Interface Specification Document</b>	<p>This deliverable will contain the design specifications for all system interfaces interacting with the new solution.</p> <ul style="list-style-type: none"> <li>Identify all interfaces between the new solution and each system/application</li> <li>Define service-based interface specifications including all input/output parameters and data types</li> <li>Mapping source and destination of each interface field (e.g., database table name/field)</li> <li>Interface requirements (e.g., expected behavior, business outcomes to be achieved)</li> <li>Mapping back to relevant functional and technical requirements to demonstrate compliance</li> <li>Interface workflow diagrams that illustrate user and system-to-system interactions, including alternate and exception paths</li> </ul>
13	<b>Online Portal Specification Document</b>	<ul style="list-style-type: none"> <li>Should provide the detailed design supporting the information architecture, content, and functionality for the Online Portal design, including but not limited to: <ul style="list-style-type: none"> <li>Defined brand and accessibility standards</li> <li>Screen mockups</li> <li>User experience design</li> <li>Integrations (e.g., GIS)</li> </ul> </li> </ul>
14	<b>Report Specification Document</b>	<p>This deliverable will contain the design specifications for all reports to be produced by the system solution. This includes, but not limited to:</p> <ul style="list-style-type: none"> <li>Data merged letters, correspondences, and forms</li> <li>Standardized and parameterized reports</li> <li>Ad-hoc query and reporting</li> </ul> <p>The deliverable will include the following design specifications:</p> <ul style="list-style-type: none"> <li>Mock report layouts <ul style="list-style-type: none"> <li>Look and feel</li> <li>Sample data to show how data will be displayed</li> </ul> </li> <li>Identify report fields and parameters (as applicable)</li> <li>Mapping database fields to report fields</li> <li>Identify all functional and non-functional reporting requirements satisfied by the reports</li> <li>Document required ad-hoc query and reporting functionality</li> </ul>
<b>Milestone 4 – System Development</b>		
15	<b>Data Mapping &amp; Conversion</b>	<ul style="list-style-type: none"> <li>Execution of Data Mapping (Acceptance Criteria: final Data Mapping Document)</li> <li>Execution of Data Conversion (Acceptance Criteria: Data Conversion Report to indicate successful completion of data conversion)</li> </ul>
16	<b>System Configuration</b>	<ul style="list-style-type: none"> <li>Execution of system configuration and unit testing (Acceptance Criteria: Demonstration of final system configuration to NLCC and production of a system configuration report that can be referenced by NLCC to understand how the system is currently configured)</li> </ul>

#	Deliverable Name	Major Components
17	<b>Interface Development</b>	<ul style="list-style-type: none"> <li>• Execution of interface development and unit testing (Acceptance Criteria: Successful demonstrations of interfaces in the system testing environment)</li> </ul>
18	<b>Report Development</b>	<ul style="list-style-type: none"> <li>• Execution of report development and unit testing (Acceptance Criteria: Submittal of each report developed that is generated from the system with Agency data)</li> </ul>
<b>Milestone 5 – Testing &amp; Readiness</b>		
19	<b>System Testing</b>	<ul style="list-style-type: none"> <li>• Development of System Test Cases</li> <li>• Execution of system testing, defect resolution, regression testing, performance testing (Acceptance Criteria: System test report that indicates system test has met agreed upon exit criteria)</li> </ul>
20	<b>User Acceptance Testing</b>	<ul style="list-style-type: none"> <li>• Support of User Acceptance Testing and related defect resolution (Acceptance Criteria: User Acceptance Testing report that indicates user acceptance test has met agreed upon exit criteria)</li> <li>• Support shall include: <ul style="list-style-type: none"> <li>○ Plan and set up test environment</li> <li>○ Provide guidance on UAT approach</li> <li>○ UAT Training for UAT Testers (system overview, defect reporting)</li> </ul> </li> </ul>
21	<b>Training</b>	<ul style="list-style-type: none"> <li>• Execution of Core Team &amp; IT Training</li> <li>• Execution of End User training or Train-the-Trainer training</li> <li>• Customized User Guides (optional)</li> </ul>
<b>Milestone 6 – Deployment</b>		
22	<b>Go-Live</b>	<p>Should include:</p> <ul style="list-style-type: none"> <li>• Deployment Plan (Rollout) – Detailed and thorough plan for deployment of the planned functionality (for each phase) <ul style="list-style-type: none"> <li>○ Contingency and rollback plan if deployment is unsuccessful</li> <li>○ Plan for physical deployment of application components</li> <li>○ Smoke test plan that includes steps to verify that deployed application is functioning correctly</li> <li>○ Criteria for approving the production use of application</li> <li>○ Anticipated downtime with user impact</li> <li>○ Data Synchronization Steps</li> <li>○ User and service desk communication plan</li> <li>○ Final deployment approval steps</li> <li>○ Duration of deployment activities and required resources</li> </ul> </li> <li>• Activity: Go/No Go Decision</li> <li>• Activity: Go-Live</li> <li>• Activity: Onsite Go Live Support</li> <li>• Activity: Help Desk Training</li> </ul>
23	<b>System Support and Warranty</b>	<ul style="list-style-type: none"> <li>• Post Go-Live System Support and Warranty</li> </ul>



**iii. 9.C. Deliverable Reviews and Approvals**

Deliverables prepared by Contractor shall be subject to the review and approval of NLCC project manager, and/or his or her designee. Contractor should be prepared to provide walkthroughs of deliverables in order to facilitate the Agency deliverable reviews. NLCC may review, approve, or require modification to Contractor's deliverables. There is no limit to the number of review cycles that may be required to resolve issues.

In addition to abiding by the review timelines outlined below in Table 13, NLCC requires a partnership with the Contractor and flexibility whereas if a submission of a large deliverable occurs during periods of high activity for NLCC or during holiday times deliverable review timeframes may be negotiated on a case-by-case basis to mitigate instances of staff unavailability.

The following table describes deliverable review timelines by the parties:

**Table 13. Deliverable Review Timelines**

Deliverable Size	Agency Review – Round 1	Bidder Response	Agency Comment Close-out Review
Less than 20 Pages	6 Days	2 Days	2 Days
Less than 50 Pages	8 Days	2 Days	2 Days
More than 50 Pages	12 Days	3 Days	5 Days

In the event Contractor submits more than one deliverable for review, the page counts of each deliverable will be added together to determine the number of days for review. Days for review will be NLCC's Business Days.

For selected deliverables, inflight and post submission deliverable review meetings will be held. The purpose of the meetings will be to collaboratively review deliverables, review comments and mitigations, and reach agreement on deliverable concepts and content. Deliverables review meetings will be called for at the discretion of the Contractor and Agency Project Manager. The number of deliverable review meetings will vary based on the complexity and collaboration requirements of the deliverable.

NLCC reserves the right to waive the review and approval of Contractor's work products. NLCC approval of Contractor's work product will not relieve Contractor from liability for defects, errors or omissions in the work product that may be discovered after such approval.

**iv. 9.D. Scoping Comments**

Bidder should explicitly set forth any scoping comments regarding any part of this RFP, including all attachments, referencing the specific RFP section number in Table 14 Scoping Comments below.

Bidder should state all scoping comments upon which the proposal is being submitted. Insert as many lines as necessary to ensure all scoping comments are accurately expressed. Scoping Comments shall not conflict with the Terms and Conditions or Requirements of this SOW.

**Table 14. Scoping Comments**

Section	Section Title	Comment

**j. Section 10 Additional Materials Bidder Wishes to Include**

Bidder should include any additional information they wish to provide in this section. Should not exceed 10 pages.

**VII. Attachments**

- A. Appendix A: CAMP Functional Requirements**
- B. Appendix B: CAMP Technical Requirements**
- C. Appendix C: CAMP Cost Workbook**
- D. Appendix D: CAMP User Stories**
- E. Appendix E: CAMP Reports Inventory**

**Form A**  
**Bidder Proposal Point of Contact**  
**Request for Proposal Number 6677 Z1**

Form A should be completed and submitted with each response to this solicitation. 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.

<b>Preparation of Response Contact Information</b>	
Bidder Name:	
Bidder Address:	
Contact Person & Title:	
E-mail Address:	
Telephone Number (Office):	
Telephone Number (Cellular):	
Fax Number:	

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.

<b>Communication with the State Contact Information</b>	
Bidder Name:	
Bidder Address:	
Contact Person & Title:	
E-mail Address:	
Telephone Number (Office):	
Telephone Number (Cellular):	
Fax Number:	

**Form B**  
**Notification of Intent to Attend Pre-Proposal Conference**  
**Request for Proposal Number 6677 Z1**

Bidder Name:	
Bidder Address:	
Contact Person:	
E-mail Address:	
Telephone Number:	
Fax Number:	
Number of Attendees:	

The "Notification of Intent to Attend Pre-Proposal Conference" form should be submitted to the State Purchasing Bureau via [ShareFile \(link below\)](#), by the date shown in the Schedule of Events.

<https://nebraska.sharefile.com/r-r93a440cfb26b46a18ce6d92146b93a33>

**REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM**

**BIDDER MUST COMPLETE THE FOLLOWING**

By signing this Request for Proposal for Contractual Services form, the Bidder guarantees compliance with the procedures stated in this Solicitation, 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 Solicitation.

\_\_\_\_\_ 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 IN INK OR VIA DOCUSIGN**

FIRM:	
COMPLETE ADDRESS:	
TELEPHONE NUMBER:	
FAX NUMBER:	
DATE:	
SIGNATURE:	
TYPED NAME & TITLE OF SIGNER:	

**Nebraska Liquor Control Commission (NLCC)**  
**Centralized Alcohol Management Project**  
*Functional Requirements*

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## Nebraska Liquor Control Commission (NLCC) Centralized Alcohol Management Project (CAMP)

### *Instructions*

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Bidder should complete and submit this Appendix A CAMP Functional Requirements with the proposal response.

For each requirement, bidder should indicate which of the following three options will be used to meet the requirement:

1. **Production Configuration, Business Rule Automation, Both, or None (C, A, B, N)** - Use this column to indicate that the requirement is met by the proposed solution through (C)onfiguration, (A)utomation, (B)oth, or (N)one. If None is selected, indicate if the requirement can be met with the other remaining options.
2. **Product Customization (Y, N)** - Use this column to indicate that the requirement is met by the proposed solution through product customization and/or custom developed code. Provide additional details on your response under the Explanation or Comments column.
3. **Integration with 3rd Party Product (Y, N)** - Use this column to indicate that the requirement can only be met through the use and integration with a 3rd party product or solution. Identify the proposed 3rd party product under the Explanation or Comments column.

Note:

1. Bidder must address all requirements included in Appendix A, including those marked as (R)quired or (O)ptional.
2. Bidder must return the document to NLCC in excel format.

**Nebraska Liquor Control Commission (NLCC)  
Centralized Alcohol Management Project (CAMP)**

*Table of Contents*

Category (Tab)	# of Requirements		
	Required	Optional	Total
<a href="#">A. Application Processing</a>	123	8	131
<a href="#">B. License Management</a>	74	0	74
<a href="#">C. License Holder Management</a>	63	4	67
<a href="#">D. Reporting</a>	49	0	49
<a href="#">E. Auditing</a>	73	4	77
<a href="#">F. Enforcement</a>	78	3	81
<a href="#">G. Legal</a>	54	5	59
<a href="#">H. Training &amp; Education</a>	9	0	9
<a href="#">I. Revenue</a>	72	1	73
<a href="#">J. General Operations</a>	117	2	119
<a href="#">K. System Administration</a>	69	0	69
<b>Totals</b>	781	27	808



ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)pplication Rule Automation, (B)usiness Rule Customization (Y/N) Integration w/ 3rd Party Product (Y/N)					Explanation or Comments
A 1	Submit Application	Submit Application	The system shall prompt the user to log in to the system when initiating the application process.	R					
A 2	Submit Application	Submit Application	The system shall provide a robust online portal capable of processing all online application types and the associated workflow and business rules.	R					
A 3	Submit Application	Submit Application	The system shall have the ability to configure all necessary application content (data entry fields, help text, submittal requirements, etc.) on all screens.	R					
A 4	Submit Application	Submit Application	The system shall be able to clearly indicate which fields were completed by a Customer as part of the application process and which fields were completed by Staff as part of the review process in the System.	R					
A 5	Submit Application	Submit Application	The system shall clearly indicate if an application was data entered by staff.	R					
A 6	Submit Application	Submit Application	The system shall clearly indicate which fields must be completed before the user can advance to the next screen (e.g., required fields).	R					
A 7	Submit Application	Submit Application	The system shall have the ability to enforce the creation of a user account prior to specific transactions being performed online.	R					
A 8	Submit Application	Submit Application	The system shall have the ability to prompt a user to respond to a series of questions to guide an applicant through the application process (e.g., Online Wizard to assist with application completion and submission).	R					
A 9	Submit Application	Submit Application	The system should allow a user (e.g., advanced users such as repeat users, etc.) to proceed directly to the application submission process without using the wizard (e.g., in no case shall the structured process hinder an advanced user to directly and quickly interact with the Agency).	O					
A 10	Submit Application	Submit Application	The system shall be able to automatically recommend/identify what license(s), permit(s), waiver(s) etc. types are likely needed based on the application information provided by the applicant during the application submission process.	R					
A 11	Submit Application	Submit Application	The system shall dynamically respond to information entered by the Applicant according to pre-defined configuration in the System (e.g., fields on the application may expand or be disabled depending on selections made or data entered by the Applicant).	R					
A 12	Submit Application	Submit Application	The system shall have the capability to allow applicants to submit applications online through the customer portal.	R					
A 13	Submit Application	Submit Application	The system shall support the submission and intake of a variety of application types, including permit applications, license applications, etc. that may be owned, reviewed, and processed by different Agency divisions according to business rules.	R					
A 14	Submit Application	Submit Application	The system shall have the ability to configure all necessary application content (e.g., data entry fields, help text, submittal requirements, etc.) in the online forms by application type.	R					
A 15	Submit Application	Submit Application	The system shall have the ability to configure the submission requirements for each application type (e.g., supporting documentation that must be submitted).	R					
A 16	Submit Application	Submit Application	The system shall have the ability to configure required and optional fields on the online application forms.	R					
A 17	Submit Application	Submit Application	The system shall alert the applicant to complete any required missing data in mandatory fields and/or if required documentation has not been uploaded.	R					
A 18	Submit Application	Submit Application	The system shall prevent submission of the application until all prerequisites for submission are met according to the criteria configured for that application type.	R					
A 19	Submit Application	Submit Application	The system shall allow the user to select to populate information into the online application form based on preexisting data in the system associated with that user account (e.g., contact information, previously entered license information, previously associated locations, etc.).	R					
A 20	Submit Application	Submit Application	The system shall support the configuration of the numbering scheme for ID generation according to the Agency's preference.	R					
A 21	Submit Application	Submit Application	The System should support the generation of a temporary, configurable, unique ID number for a draft application, which would be replaced with a permanent ID upon submission.	O					
A 22	Submit Application	Submit Application	The system shall have the ability for user to save incomplete/un-submitted applications (i.e., "draft").	R					
A 23	Submit Application	Submit Application	The system shall have the ability to delete draft applications that have been inactive for a configurable length of time.	R					

A	24	Submit Application	Submit Application	The system shall prompt the user to save the application if the user attempts to navigate away from the application form.	R				
A	25	Submit Application	Submit Application	The system shall have the ability to automatically save the application at defined intervals to prevent loss of data if the user loses connectivity or otherwise navigates away from the application form.	R				
A	26	Submit Application	Submit Application	The system shall have the ability to allow an incomplete application to be retained for a configurable designated time period.	R				
A	27	Submit Application	Submit Application	The system shall be able to automatically send a notification to the user that the application is going to expire due to inactivity (see Notifications requirements on the License Holder Management Tab) for applications that are saved and not submitted.	R				
A	28	Submit Application	Submit Application	The system shall allow staff to be able to view draft applications that are in progress (e.g., Staff needs to look up a draft application to assist a Customer who has called in for help because they are having trouble completing the application online; Customer could provide the temporary ID for reference).	R				
A	29	Submit Application	Submit Application	The system shall support validating the address against any central addressing repository maintained by the Agency (see Manage Address requirements in General Operations), but submission should still be allowed when the address is not able to be validated or if there is not an address.	R				
A	30	Submit Application	Submit Application	The system shall be able to automatically generate a workflow task for an Address Review by appropriate staff if the system cannot validate the address during online application submission (according to business rules).	R				
A	31	Submit Application	Submit Application	The system shall allow the user to search for any information in the system that could potentially inform the application process (i.e., search for information on various license types and requirements) without having to navigate away from the application form.	R				
A	32	Submit Application	Submit Application	The system shall have the ability for a user to copy/clone certain information fields from a previously submitted application and then modify it (e.g., the user should be able to reuse and then modify a previous application so that information that is common to both applications can be easily reused, such as owner data, addresses, etc.).	R				
A	33	Submit Application	Submit Application	The system shall perform a check for completeness prior to submittal of the application (e.g., ensure all mandatory fields, document types, and any other required data has been provided by the user) and notify the user of any issues that must be resolved.	R				
A	34	Submit Application	Submit Application	The system shall have the ability for the user to designate a point of contact(s) for an application other than the applicant and provide associated contact information and role.	R				
A	35	Submit Application	Submit Application	The system shall have the ability to associate multiple contacts with an application other than the applicant who shall be able to log in to the system, view related information, and perform authorized transactions.	R				
A	36	Submit Application	Submit Application	The system shall allow a user to utilize previously entered contact information associated (and stored) with the user account to add to the online application.	R				
A	37	Submit Application	Submit Application	The system shall allow part of an application package to be submitted online, but may require signed and/or original at a later point in the process that should be tracked as a workflow task that must be satisfied by the applicant.	R				
A	38	Submit Application	Submit Application	The system shall allow an applicant to provide information that may trigger a unique processing of that application (i.e., additional departmental review) and associated workflow path.	R				
A	39	Submit Application	Submit Application	The system shall be able to track prerequisites for submittal that may include prior approval from external agencies / jurisdictions and require the applicant to address these prerequisites (provide proof of fulfillment) as part of the application.	R				
A	40	Submit Application	Submit Application	The system shall be able to conduct an automated compliance check (e.g., pending enforcement violations) prior to submission of the application for compliance with Agency business rules and policies for the application type the user is submitting.	R				
A	41	Submit Application	Submit Application	The system shall be able to perform a compliance check for any administrative holds or other flags based on the Applicant and/or parcel/address location that prevents application submission according to the Agency's business rules.	R				
A	42	Submit Application	Submit Application	The system shall be able to perform a compliance check for existing enforcement cases or other violations that are unresolved and display that information to the user.	R				
A	43	Submit Application	Submit Application	The system shall notify the user of any issues that have been identified as a result of the compliance check (e.g., any required next steps or actions that must be taken by the Applicant, prior to submission).	R				
A	44	Submit Application	Submit Application	The system should be configured to prompt the applicant to contact the appropriate Agency if a potential compliance issue is detected.	O				
A	45	Submit Application	Submit Application	The system should be configured to provide configurable messaging to the Applicant based on the compliance issue type detected by the System.	O				
A	46	Submit Application	Submit Application	The system shall be configured to provide to the applicant relevant contact information for the appropriate Agency/jurisdiction (i.e. local governing body).	R				

A	47	Submit Application	Submit Application	The system shall allow the user to review the application before final submission with the option to drill-down and/or modify each section of the application as needed.	R				
A	48	Submit Application	Submit Application	The system shall save a copy of the information submitted by the customer in the application for review by staff.	R				
A	49	Submit Supporting Documentation	Submit Supporting Documentation	The system shall allow documentation to be uploaded as part of an application.	R				
A	50	Submit Supporting Documentation	Submit Supporting Documentation	The system shall require supporting documentation to be uploaded for selected application types (i.e., documents).	R				
A	51	Submit Supporting Documentation	Submit Supporting Documentation	The system shall have the ability to define specific categories of documents (i.e., document types) to be submitted / required for particular application types that an applicant must provide during submission.	R				
A	52	Submit Supporting Documentation	Submit Supporting Documentation	The system shall allow individuals other than the applicant to upload documents to the application according to the authorized transactions the role is allowed to perform.	R				
A	53	Submit Supporting Documentation	Submit Supporting Documentation	The system shall support the upload of any documents that are required for the Customer to submit that need to be part of the Hearing Package for review at the Hearing.	R				
A	54	Submit Supporting Documentation	Submit Supporting Documentation	The system shall support the upload of any documents that are required for the Customer to submit that need to be part an Audit.	R				
A	55	Check Application Status	Check Application Status	The system shall allow a user to view the status of all transactions associated with the account via the online portal.	R				
A	56	Check Application Status	Check Application Status	The system shall send or display any notifications to an applicant regarding issues with the application (i.e., hold on the account due to outstanding payments).	R				
A	57	Check Application Status	Check Application Status	The system shall display relevant application information to the applicant about active applications, including but not limited to the following: pending application list, application ageing metrics (e.g., date of submission, days in current review phase, etc.), remaining steps to completion.	R				
A	58	Check Application Status	Check Application Status	The system shall provide the applicant with all relevant information, and clearly indicate when any action is needed from the customer.	R				
A	59	Check Application Status	Check Application Status	The system shall be able to track an application's unique identifier (i.e., Application ID) that can be used to query and tie licenses / permits together (i.e., multiple licenses for one company) and have a linkage through the process and potentially multiple applications for multiple permits / licenses.	R				
A	60	Update Application	Update Application	The system shall allow or prevent the modification of an existing application by the applicant via the online portal according to business rules (e.g., each submittal is archived, submitted applications could be modified after Staff rejects at completeness review, some applications may never be modified after Staff completeness review, etc.).	R				
A	61	Update Application	Update Application	The system shall allow a user to upload new or revised documentation associated with an application.	R				
A	62	Update Application	Update Application	The system shall prompt a user according to business rules to enter any information about the modification, such as the reason(s) for the modification or cancellation.	R				
A	63	Update Application	Update Application	The system shall allow a user to request for an existing application to be cancelled (i.e., withdrawn) that is then reviewed and approved by staff who then can cancel the application in the system.	R				
A	64	Update Application	Update Application	The system shall alert relevant staff assigned to an application that a modification has been performed or has been cancelled.	R				
A	65	Update Application	Update Application	The system shall automatically cancel outstanding review tasks or other workflow tasks associated with an application that has been cancelled.	R				
A	66	Update Application	Update Application	The system shall have the ability to trigger a review staff-for relevant staff to determine if any additional investigations are required based on changes to application.	R				
A	67	Intake Applications	Intake Applications	The system shall provide a mechanism to allow Staff to log phone calls and walk-ins and associated information (e.g., property or location, license / permit number, application number, requestor information).	R				
A	68	Intake Applications	Intake Applications	The system shall have the capability for intake staff to data-enter applications submitted via paper (in person, mail, etc.).	R				
A	69	Intake Applications	Intake Applications	The system shall provide an online version of the paper application form for intake staff to easily data-enter information handwritten by an applicant.	R				
A	70	Intake Applications	Intake Applications	The system shall have the ability for staff to designate a point of contact for an application other than the applicant.	R				
A	71	Intake Applications	Intake Applications	The system shall have the ability for a customer or staff to associate multiple contacts with an application (e.g. co-applicants) and the contact information and role, in order for the contacts to be able to access application information and perform authorized transactions in the system.	R				
A	72	Intake Applications	Intake Applications	The system shall allow an individual to request to be added to an application as a contact with an associated role that allows him or her to be able to access application information and perform authorized transactions in the system.	R				
A	73	Intake Applications	Intake Applications	The system shall allow staff to identify the required licenses, investigations, fees and conditions based on the completed application that will drive the workflow for that application.	R				

A	74	Intake Applications	Intake Applications	The system shall have the capability to automatically generate the required licenses, investigations, fees and conditions based on the completed application that will drive the workflow for that application.	R				
A	75	Intake Applications	Intake Applications	The system shall automatically link any submitted application to any associated permits or licenses that have already been obtained by the applicant.	R				
A	76	Intake Applications	Intake Applications	The system shall allow staff to manually link any submitted application to any associated permits or licenses that have already been obtained by the applicant.	R				
A	77	Intake Applications	Intake Applications	The system shall be able to notify an applicant that there is an active application(s)/ permit(s)/ licenses(s) associated with the location, and ask them if they want to link the in-progress application.	R				
A	78	Intake Applications	Intake Applications	The system shall have the ability to configure the required staff approvals and approval conditions for different application types based on agency business rules.	R				
A	79	Intake Applications	Intake Applications	The system shall support manual and condition-based routing of applications for review by designated staff according to business rules for that application type.	R				
A	80	Intake Applications	Intake Applications	The system shall support the manual or automatic prioritization or escalation of applications according to business rules (e.g., accelerate the application's standard review timeframe).	R				
A	81	Intake Applications	Intake Applications	The system shall have the ability to capture and track application metrics against pre-defined metrics.	R				
A	82	Intake Applications	Intake Applications	The system shall allow NLCC staff to flag application responses to trigger an internal warning for additional review.	R				
A	83	Intake Applications	Intake Applications	The system shall be able to easily copy/ recreate all record information including workflow, such as reviews, investigations, comments and document tracking data, etc. when an application, permit or license needs to be cancelled and replaced with a new application, permit or license per business rules to reduce need for Staff to populate all information again in the System.	R				
A	84	Intake Applications	Intake Applications	The system shall have the ability to allow staff to verify that supplied information meets the requirements of application (e.g., business type, filing status, etc.) through configurable checklists for application types that staff can complete.	R				
A	85	Intake Applications	Intake Applications	The system shall have the ability to support multiple methods of notation (e.g., free text fields, drop-downs) for staff to record compliance with the submittal requirements for that application type.	R				
A	86	Intake Applications	Intake Applications	The system shall support approval activity for an application (task or document is approved for completeness, rejected for ineligibility, need more information, etc.).	R				
A	87	Intake Applications	Intake Applications	The system shall support the ability to auto-approve application packages based on business logic and parameters, bypassing a completeness review, and advancing straight to the detailed/technical review stage.	R				
A	88	Intake Applications	Intake Applications	The system shall support the ability to partially, or conditionally, pass an application according to pre-defined business rules, allowing downstream workflow tasks to be initiated while also monitoring the outstanding pieces of the application.	R				
A	89	Intake Applications	Intake Applications	The system shall have the ability to allow required items to be satisfied at various stages of the workflow (e.g., as late as possible - prior to approval, prior to issuance, etc.) according to business rules.	R				
A	90	Intake Applications	Intake Applications	The system shall support staff logging Freedom of Information Act (FOIA) requests that is supported through configurable workflow and business rules for processing by staff in the system.	R				
A	91	Perform Completeness Review	Perform Completeness Review	The System initiates any downstream workflow tasks related to the status of the completeness review (e.g., application is automatically advanced to the technical review step once completeness review is completed).	R				
A	92	Perform Completeness Review	Perform Completeness Review	The system shall provide a template to document comments or requests for additional information from the applicant, that include but are not limited to: Comments section, Standard Agency rejection reason code(s) that can be selected by the reviewer, Steps applicant must take to resolve application package, Marked-up application, Contact information for reviewer (Name, Department, Email, Phone Number).	R				
A	93	Perform Completeness Review	Perform Completeness Review	The system shall allow the reviewer to assign tasks to the applicant in the system.	R				
A	94	Perform Completeness Review	Perform Completeness Review	The system shall have the ability to associate rejection and requests for additional information/clarification with application ID and uploaded documentation.	R				
A	95	Perform Completeness Review	Perform Completeness Review	The system shall have the ability to associate requests for permits and previous permits within an overall License Application ID such that the system can track multiple permits (e.g., for Temporary Operating Permits associated with pending license application).	R				
A	96	Perform Completeness Review	Perform Completeness Review	The system shall have the ability to put a hold on an application until the deficiency is resolved.	R				
A	97	Perform Completeness Review	Perform Completeness Review	The system shall allow staff the ability to manually modify or add submission requirements to an application as necessary.	R				
A	98	Perform Completeness Review	Perform Completeness Review	The system shall allow or prevent the modification of an existing application by staff (e.g., customer requests modification in person and staff processes).	R				
A	99	Perform Completeness Review	Perform Completeness Review	The system shall publish any results of the completeness review to the customer portal.	R				

A	100	Perform Completeness Review	Perform Completeness Review	The system shall allow staff to record any informal interaction with the customer as part of the completeness review (e.g., Intake Staff may reach out informally to the Applicant to clarify information in the application package, without formally requesting additional information).	R				
A	101	Perform Completeness Review	Perform Completeness Review	The System shall allow Intake Staff from different business areas to defer pre-approval conditions to post approval for some applications according to pre-defined business rules, allowing for downstream workflow tasks to be initiated.	R				
A	102	Perform Completeness Review	Perform Completeness Review	The system shall require payment to be completed (based on application type or other business rules) prior to finalizing the completeness review and routing for detailed review.	R				
A	103	Verify Payment	Verify Payment	The system shall automatically verify all fees have been paid prior to issuance of the license /permit.	R				
A	104	Verify Background Check	Verify Background Check	The system shall be able to include a verification step to ensure an applicant has successfully completed a background check prior to issuance of the license /permit.	R				
A	105	Verify Background Check	Verify Background Check	The system shall document the results of an applicant's background check as pass / fail.	R				
A	106	Assign Application for Detailed Technical Review	Assign Application for Detailed Technical Review	The system shall be able to support configurable workflow and business rules to support assignment processes.	R				
A	107	Assign Application for Detailed Technical Review	Assign Application for Detailed Technical Review	The system shall have the ability to assign an estimated duration or other weighting criteria to different application types, document types, etc. indicating difficulty or complexity to assist with scheduling and workload management.	R				
A	108	Manage Review Lifecycle	Manage Review Lifecycle	The system shall have the ability to provide a configurable checklist to staff to verify that supplied information by the applicant meets the requirements of application (e.g., background check).	R				
A	109	Manage Review Lifecycle	Manage Review Lifecycle	The system shall be able to include a completeness review to ensure all reviews have been satisfied prior to issuance of the license /permit.	R				
A	110	Manage Review Lifecycle	Manage Review Lifecycle	The system should be able to trigger deadlines or notifications based on workflow status changes such as a completed pre-license investigation triggering notification for final review to issue license.	O				
A	111	Manage Review Lifecycle	Manage Review Lifecycle	The system shall be able to require a meeting/ appointment/ case or audit after a configurable number of extensions, and shall allow user to enter comments and recommendations regarding the case.	R				
A	112	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall provide configurable templates by application type to capture staff's technical, detailed evaluation of an application package that can eventually result in the approval or denial of the request.	R				
A	113	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall provide a list of standard reason codes(s) for rejection of an application that staff can choose from.	R				
A	114	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall be able to prevent advancement of an application until all required reviewers have submitted review results.	R				
A	115	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall be able to prevent advancement of an application if multiple reviewers have provided conflicting approvals/denials and generate appropriate notifications to staff to resolve the issue.	R				
A	116	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall allow a user to perform a detailed or technical review of the application and capture the results in the system.	R				
A	117	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall allow multiple users to perform a detailed review and capture the results in the system.	R				
A	118	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall allow a reviewer to provide comments, requests or notes on the application record as part of the review results.	R				
A	119	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall allow the reviewer to provide a determination on the application (for example, approved or denied).	R				
A	120	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall display statuses to the online portal based on the reviews captured in the system.	R				
A	121	Perform Detailed Technical Review	Perform Detailed Technical Review	The system shall initiate downstream workflow based on reviews such as triggering additional reviews (i.e. flag for legal review) or the requirement for staff to make a final determination.	R				
A	122	Conduct Application-Related Inspection	Conduct Application-Related Inspection	The system shall allow staff to create on-site visit records as part of the review of an application such as a pre-license investigation.	R				
A	123	Conduct Application-Related Inspection	Conduct Application-Related Inspection	The system shall allow the user to record notes of the onsite visit for the application.	R				
A	124	Conduct Application-Related Inspection	Conduct Application-Related Inspection	The system shall allow the user to provide a final result or status of the onsite visit.	R				
A	125	Conduct Application-Related Inspection	Conduct Application-Related Inspection	The system shall allow the user to leverage a mobile device to conduct and provide results of the onsite visit. See Technical Requirements, tab E. Mobile requirements.	R				
A	126	Perform Management Review	Perform Management Review	The system shall allow users to flag an application for additional legal review as issues are identified through the review cycle.	R				
A	127	Perform Management Review	Perform Management Review	The system shall allow users to use a template to document application deficiencies identified during the review cycle that need additional legal review.	R				
A	128	Approve License	Approve License	The system shall trigger a final review once all technical reviews have been completed.	R				
A	129	Approve License	Approve License	The system should automatically update the application to approved for issuance.	O				

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A	130	Approve License	Approve License	The system should allow a user to indicate if a "hold" will be needed prior to license issuance.	0				
A	131	Approve License	Approve License	The system should allow for licenses to be in ready status to align with user requested issuance dates (i.e. do not issue prior to Jan 1)	0				

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomatization, (B)usiness Rule Customization (Y/N) Integration w/ 3rd Party Product (Y/N)					Explanation or Comments
B 1	Issue License / Permit	Issue License / Permit	The system shall have the ability to auto-assign a unique number to a new license / permit.	R					
B 2	Issue License / Permit	Issue License / Permit	The system shall support the management of multiple license / permit types in the system.	R					
B 3	Issue License / Permit	Issue License / Permit	The system shall have the ability to prevent / allow issuance of licenses / permits according to configurable business rules / conditions.	R					
B 4	Issue License / Permit	Issue License / Permit	The system shall prevent issuance of licenses / permits if outstanding required payments or other conditions (e.g., hold) are present.	R					
B 5	Issue License / Permit	Issue License / Permit	The system shall prevent issuance if the status of the application is not eligible for license / permit issuance.	R					
B 6	Issue License / Permit	Issue License / Permit	The system shall prevent issuance of the license / permit if there are conflicting approvals / denials from reviewers.	R					
B 7	Issue & Manage TOPs	Issue & Manage TOPs	The system shall allow the issuance of a temporary license if required conditions are met.	R					
B 8	Issue License / Permit	Issue License / Permit	The system shall have the ability to auto-issue a license if all conditions are met according to business rules by license / permit type and/or business area (e.g., once the application is submitted online, with any associated payment provided, the license may be able to be automatically generated and issued from the Online Portal).	R					
B 9	Issue License / Permit	Issue License / Permit	The system shall automatically enroll the license in a renewal period according to business rules.	R					
B 10	Issue License / Permit	Issue License / Permit	The system shall have the ability to perform batch transactions that affect multiple licenses / permits (e.g., approve multiple licenses / permits for one location in one transaction).	R					
B 11	Issue License / Permit	Issue License / Permit	The system shall support the denial of a license / permit, which will trigger associated workflow (e.g., correspondence, resubmittal, etc.).	R					
B 12	Issue License / Permit	Issue License / Permit	The system shall allow for documenting correspondence, or meetings associated with licenses / permits and allow printing of the history.	R					
B 13	Issue License / Permit	Issue License / Permit	The system shall support the issuance of multiple license / permit types, with varying business rules, workflow, and requirements configurable in the system	R					
B 14	Issue License / Permit	Issue License / Permit	The system shall support the issuance of a license / permit by the Agency to an applicant.	R					
B 15	Issue License / Permit	Issue License / Permit	The system shall save the license / permit certificate as a document associated with the license record.	R					
B 16	Issue License / Permit	Issue License / Permit	The system shall be able to apply a dynamically generated image (e.g., barcode, QR code) on a license / permit certificate generated from the system to prevent fraud.	R					
B 17	Print License / Permit	Issue License / Permit	The system shall have the ability for a customer to print a license / permit, or approval in pre-defined format by type from the online portal.	R					
B 18	Process License / Permit Changes	Process License / Permit Changes	The system shall accept requests for license / permit changes through the online portal.	R					
B 19	Process License / Permit Changes	Process License / Permit Changes	The system shall support customers immediately changing information on license records such as email or phone number changes that do not need to be reviewed / validated by staff before they can take effect in the system.	R					
B 20	Process License / Permit Changes	Process License / Permit Changes	The system shall flag submitted changes to issued licenses / permits for review by staff prior to processing the change if required, per configured business rules and workflow in the system.	R					
B 21	Process License / Permit Changes	Process License / Permit Changes	The system shall allow staff to approve or deny requested changes to licenses / permits.	R					
B 22	Process License / Permit Changes	Process License / Permit Changes	The system shall allow staff to link or unlink licenses under the same License Holder.	R					
B 23	Process License / Permit Changes	Process License / Permit Changes	The system shall be able to notify the license holder if the requested change requires a new license and provide instructions in a standard communication that is sent to the license holder.	R					
B 24	Process License / Permit Changes	Process License / Permit Changes	The system shall automatically update affected licenses / permits with updated jurisdictional boundaries (i.e. annexations).	R					
B 25	Manage License / Permit Status	Manage License / Permit Status	The system shall be able to support configurable license / permit statuses that reflect the terms used by NLCC.	R					

B	26	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to maintain license / permit history, including but not limited to:	R				
B	27	Manage License / Permit Status	Manage License / Permit Status	Payment History and Details	R				
B	28	Manage License / Permit Status	Manage License / Permit Status	Renewal History and Details	R				
B	29	Manage License / Permit Status	Manage License / Permit Status	License / Permit Change History	R				
B	30		Manage License / Permit Status	Compliance History	R				
B	31	Manage License / Permit Status	Manage License / Permit Status	The system shall have the capability to track and display the status of a license / permit as driven by system information and/or workflow (such as licensed, pending appeal, revoked, delinquent, suspended, etc.)	R				
B	32	Manage License / Permit Status	Manage License / Permit Status	The system shall be able to track expiration dates associated with a license / permit, and provide a configurable alert /notification to the Agency personnel at any point a license has expired, suspended or been revoked.	R				
B	33	Manage License / Permit Status	Manage License / Permit Status	The system shall allow staff to manually capture information related to any research he or she performs related to validating the license / permit status.	R				
B	34	Manage License / Permit Status	Manage License / Permit Status	The system shall allow staff to manually update a license / permit status and may prompt for user to capture a justification for changing the status.	R				
B	35	Manage License / Permit Status	Manage License / Permit Status	The system shall be able to track and enforce the requirements for eligibility for a license / permit, including the successful completion of the required periodic investigations.	R				
B	36	Manage License / Permit Status	Manage License / Permit Status	The system shall be able to track the expiration of licenses / permits and trigger associated workflow (i.e., notifications, holds).	R				
B	37	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability for authorized users to track history of complaints/violations on a license / permit holder, business, or business owner.	R				
B	38	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to automatically set license / permit expiration dates according to business rules.	R				
B	39	Manage License / Permit Status	Manage License / Permit Status	The system shall allow an authorized user to manually set license / permit expiration dates according to business rules.	R				
B	40	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to record and track expiration dates and conditions in the system for an individual license / permit.	R				
B	41	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to record and track expiration dates and conditions in the system for a license / permit type.	R				
B	42	Manage License / Permit Status	Manage License / Permit Status	The system shall allow an authorized user to manually record conditions in the system for a license / permit type.	R				
B	43	Manage License / Permit Status	Manage License / Permit Status	The system shall notify applicant / licensee or other designated contact when a permit is about to expire and send information explaining how to extend the license or permit.	R				
B	44	Manage License / Permit Status	Manage License / Permit Status	The system shall have the capability to suspend or revoke a license / permit.	R				
B	45	Manage License / Permit Status	Manage License / Permit Status	The system shall preserve the transaction information related to the suspension or revocation of a license / permit (user, date, time, reason, etc.) for viewing in the system.	R				
B	46	Manage License / Permit Status	Manage License / Permit Status	The system shall provide the ability to view the history of applications/ licenses/ permits that were voided, closed or cancelled.	R				
B	47	Manage License / Permit Status	Manage License / Permit Status	The system shall provide the ability to view the history of requests related to licenses (alcohol transfers, auctions, temporary storage, etc.).	R				
B	48	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to reinstate a closed or canceled license or permit.	R				
B	49	Manage License / Permit Status	Manage License / Permit Status	The System shall display information relevant to the user, including but not limited to all pending license renewals.	R				
B	50	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to display or hide violation data from the public online according to business rules.	R				
B	51	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to track/store violation history for a location and a violator.	R				
B	52	Manage License / Permit Status	Manage License / Permit Status	The system shall have the ability to track history of violations for violator(s).	R				
B	53	Issue Renewal	Issue Renewal	The system shall have the ability to define renewal periods for license types that can automatically trigger workflow tasks associated with the process, such as generating renewal notices and invoices.	R				
B	54	Issue Renewal	Issue Renewal	The system shall have the ability to track when renewal notifications were sent (electronically or manually).	R				
B	55	Issue Renewal	Issue Renewal	The system shall be able to automatically process the renewal and generate the license once payment is received.	R				
B	56	Issue Renewal	Issue Renewal	The System shall have the capability to send electronic notifications to the license holder as reminders to renew their license in addition to printed letters.	R				
B	57	Issue Renewal	Issue Renewal	The System shall have the capability to generate an access code and include it in the renewal notice for the License Holder to log on to the online portal in lieu of maintaining a username/ password.	R				
B	58	Issue Renewal	Issue Renewal	The System shall update the License Record with the time/ date the letters were generated.	R				
B	59	Issue Renewal	Issue Renewal	The System shall have the capability to automatically issue batches of license renewal notifications.	R				
B	60	Issue Renewal	Issue Renewal	The System shall have the capability to associate batch notification letters to the license application record for storage in an electronic document management system.	R				



B	61	Issue Renewal	Process Renewal	The system shall have the ability to associate an application for renewal with an existing license/ registration (e.g., update the status of the license, not create a new license).	R				
B	62	Issue Renewal	Process Renewal	The system shall have the ability to reinstate expired licenses-or business permits.	R				
B	63	Issue Renewal	Process Renewal	The system shall have the ability to require various pre-requisites for license renewal according to the business rules for the renewal period.	R				
B	64	Issue Renewal	Process Renewal	The system shall make renewed licenses available online for download by the license holder from their account.	R				
B	65	Issue Renewal	Process Renewal	The system shall provide the customer confirmation that the renewal has been processed and related information.	R				
B	66	Issue Renewal	Issue Renewal	The system shall reset the next required renewal date once the renewal is processed.	R				
B	67	Issue Renewal	Issue Renewal	The system shall allow staff to prompt staff to investigate (for example, determine if the business is still open) based on the logging returned renewal notices (returned mail, bounced back email).	R				
B	68	Issue Renewal	Issue Renewal	The system shall allow staff to flag renewals for legal review with reason(s) for the flag.	R				
B	69	Process SDLs	Process SDLs	The system shall allow the processing of Special Designation Licenses (SDLs) according to business rules.	R				
B	70	Process Alcohol Transfers	Process Alcohol Transfers	The system shall allow processing of Alcohol Transfers according to business rules	R				
B	71	Process Alcohol Transfers	Process Alcohol Transfers	The system shall automatically link applications for Alcohol Transfers between applicable license holders.	R				
B	72	Process Alcohol Transfers	Process Alcohol Transfers	The system shall allow NLCC staff to manually link applications for Alcohol Transfers between applicable license holders.	R				
B	73	Process Temporary Storage Requests	Process Temporary Storage Requests	The system shall allow the processing / approval of temporary storage permits according to business rules.	R				
B	74	Process Hardship Requests	Process Hardship Requests	The system shall allow the processing / approval of Hardship Requests according to business rules.	R				

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (Configuration, (A)Business Rule Automation, (B) Both, or (N) None Customization (Y/N) Integration, (M) 3rd Party Product (Y/N)				Explanation or Comments	
C	1	Create Profile	Create Profile	The system shall allow a customer to create and register a user account online.	R				
C	2	Create Profile	Create Profile	The system shall allow NLCC to set a defined length of user inactivity to trigger a deletion of the user account.	R				
C	3	Create Profile	Create Profile	The system shall require an external user's login to be an email address.	R				
C	4	Create Profile	Create Profile	The system shall have the ability for a customer to access account-related information online via the user's account.	R				
C	5	Create Profile	Create Profile	The system shall have the ability to maintain user information, including but not limited to: Name (First, Last, Middle, Suffix), Mailing & Billing Addresses, Phone Number(s), Business / Company Name).	R				
C	6	Create Profile	Create Profile	The system shall have the ability to maintain all related information associated with the individual's account (application status, license status, account history, recent transactions, etc.) online for the customer to access / view.	R				
C	7	Create Profile	Create Profile	The system shall have the ability for the user to modify account details, for example changes to contact information, etc. based upon business rules (i.e., Agency can define what can be changed and when).	R				
C	8	Create Profile	Create Profile	The system should allow customers to delegate authority for transactions on user's account to other customers and manage adding /deleting these other customers.	O				
	9	Create Profile	Create Profile	The system should allow NLCC to limit the number of users a License Holder can delegate authority for transactions.	O				
C	10	Create Profile	Create Profile	The system should have allow staff to delegate authority for customer transactions on the customer's account to other customers and manage adding /deleting these other customers on the customer's account.	O				
C	11	Create Profile	Create Profile	The system should allow a user to identify preferences, including but not limited to the following: preferred method of communication (e-mail, SMS, best time to contact (e.g., during business hours, outside of business hours), etc.), preferences for receiving automated notifications or alerts.	O				
C	12	Create Profile	Create Profile	The system shall provide password management (e.g., issue temporary passwords, change passwords) for external customer accounts.	R				
C	13	Create Profile	Create Profile	The system shall provide an option to allow the external customer user to request a forgotten password, or provide other options online for the user to change the password without support needed from Agency personnel.	R				
C	14	Create Profile	Create Profile	The system shall support any password security protocols defined by the Agency (see Technical Requirements, Tab D. Application Security).	R				
C	15	Create Profile	Create Profile	The system shall provide the ability to prompt the user to set up any security questions/ answers to assist with authentication.	R				
C	16	Create Profile	Create Profile	The system shall have the ability for the user to accept usage terms and conditions.	R				
C	17	Create Profile	Create Profile	The system shall provide the reason(s) for denial of the creation of the account, and provide detailed information for the applicant to resolve the issue (e.g., Duplicate account already exists. Did you forget your password?).	R				
C	18	Update & Change License Holder Details	Update & Change License Holder Details	The system shall allow a user to easily update the license Agency contact (e.g., mailing address, phone number, email address) on an existing license through the online customer portal per agency-specific business rules.	R				
C	19	Update & Change License Holder Details	Update & Change License Holder Details	The system shall notify and require users to apply for a new licenses / permits based on business rules of the agency.	R				
C	20	Update & Change License Holder Details	Update & Change License Holder Details	The system shall require the user to pay any new or updated liabilities based on the license / permit information changes made through the online portal.	R				
C	21	Track Debtor Status	Track Debtor Status	The system shall allow users with authorized permissions (i.e. Wholesalers) to report a license holder as owing a debt.	R				
C	22	Track Debtor Status	Track Debtor Status	The system shall allow users with authorized permissions (i.e. Wholesalers) to report multiple licenses as owing a debt at regularly defined intervals (i.e. daily, weekly).	R				
C	23	Track Debtor Status	Track Debtor Status	The system shall allow NLCC staff to manually enter debtor information for any licensee, whether owing or having paid a debt.	R				
C	24	Track Debtor Status	Track Debtor Status	The system shall document debtor status by license and link to any associated business, individual, location etc.	R				
C	25	Track Debtor Status	Track Debtor Status	The system shall allow NLCC staff to manually override debtor status.	R				
C	26	Track Debtor Status	Track Debtor Status	The system shall automatically flag all individuals associated with a license that has debts and prevent further application submission for those individuals.	R				
C	27	Track Debtor Status	Track Debtor Status	The system shall allow users with authorized permissions (i.e. Wholesalers) to report a license holder as having paid a debt.	R				

C	28	Track Debtor Status	Track Debtor Status	The system shall flag licenses that are identified as owing a debt beyond a frequency limit as defined by NLCC staff.	R				
C	29	Track Debtor Status	Track Debtor Status	The system shall maintain a list of flagged licenses that are frequently identified as owing a debt (i.e. "frequent fliers" list).	R				
C	30	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to send out one notification multiple ways (e.g., both email and mail).	R				
C	31	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to send text / SMS notification to customers.	R				
C	32	Send Notifications / Reminders	Send Notifications / Reminders	The system shall have the ability to send out mass emails according to business rules.	R				
C	33	Send Notifications / Reminders	Send Notifications / Reminders	The system shall allow customers to opt out of mail and/or otherwise specify notification preferences (either in person through staff or via the online portal) to reduce paper mailings.	R				
C	34	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support the batch generation of notifications for printing and mailing.	R				
C	35	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to track the date and time notifications were sent from the system (email, mailings, faxes, etc.) automatically.	R				
C	36	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to track the date and time notifications were sent outside of the system.	R				
C	37	Send Notifications / Reminders	Send Notifications / Reminders	The system shall allow Staff to track undeliverable notification (mail, email, etc.) in the System and related activity (attempts to resend the communication, contacting the applicant to update the contact information, changing applicants' notification preferences in the system, non-system generated correspondence).	R				
C	38	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to resend notifications.	R				
C	39	Send Notifications / Reminders	Send Notifications / Reminders	The system shall be able to track how many times a notification was sent or resent.	R				
C	40	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support transmittal of any fee-related information for large batch notification generation and/ or mailing (e.g., batch generation of invoice notices).	R				
C	41	Send Notifications / Reminders	Send Notifications / Reminders	The system shall preserve a copy of the notification(s) generated from the system (email, letters, forms, etc.) and associate it with the relevant record(s).	R				
C	42	Send Notifications / Reminders	Send Notifications / Reminders	The system shall provide the ability for Staff to select recipients of the notification from stored contact(s) in the system.	R				
C	43	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support configurable notifications that are always triggered at various stages of workflow or other conditions according to business rules (e.g., email generated to the Customer when the application is approved).	R				
C	44	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support configurable email notifications that are triggered according to configurable business rules.	R				
C	45	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support configurable text message notifications that are triggered according to configurable business rules (i.e., investigations or Application Review Activity).	R				
C	46	Send Notifications / Reminders	Send Notifications / Reminders	The system shall support the capability to flag a license, business or user account (manually or automatically according to business rules), and send notifications to identified Agency Staff alerting them when an application has been submitted for review.	R				
C	47	Send Notifications / Reminders	Send Notifications / Reminders	The system shall provide configurable escalation capabilities (e.g., if a workflow task's duration has exceeded a predefined threshold, the system will execute a predefined action, such as generation of a Review Task for a Supervisor).	R				
C	48	Receive Communication	Receive Communication	The system shall support configurable alerts (i.e., visual indicators displayed in the system for example, customer has modified the mailing address) that are triggered according to business rules.	R				
C	49	Receive Communication	Receive Communication	The system shall allow internal users to configure notification settings (e.g., would like to receive an email notification when a workflow task is assigned to him).	R				
C	50	Receive Communication	Receive Communication	The system shall allow internal users to identify an alternate user to be notified when the user is out of office.	R				
C	51	Receive Communication	Receive Communication	The system shall allow external users to configure notification settings (e.g., would like to receive an email when a status update occurs on the application).	R				
C	52	Receive Communication	Receive Communication	The system shall allow external users to identify additional external users to be notified regarding transactions on the account.	R				
C	53	Receive Communication	Receive Communication	The system shall allow staff to indicate the method(s) of communication (e.g., email, batch mailing, user selected preference, etc.).	R				
C	54	Receive Communication	Receive Communication	The system shall provide configurable alerts based on locations, and number and type of licenses for each location.	R				
C	55	Receive Communication	Receive Communication	The system shall be able to record electronic notification received from the customer.	R				
C	56	Receive Communication	Receive Communication	The system shall preserve a record of paper notification from a customer along with a copy of the communication for example a letter.	R				
C	57	Receive Communication	Receive Communication	The system shall allow staff to manually record notifications received from a customer (e.g., phone call, mail, email).	R				
C	58	Receive Communication	Receive Communication	The system shall be able to track the date of all mail received for customer records (e.g., application received date, renewal payment received).	R				
C	59	Receive Communication	Receive Communication	The system shall be able to track returned mail including the date/time it was returned, reason identified as why it was undeliverable, etc.	R				
C	60	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall maintain a database of all active licenses / permits searchable and sortable by specific license and permit types.	R				
C	61	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall automatically update the active license / permit database as changes to licenses occur and are registered in the system.	R				
C	62	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall be able to track the Company associated with a license / permit.	R				

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C	63	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall be able to track licenses / permits tied to the same License Holder.	R				
C	64	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall be able to track licenses / permits for multiple locations tied to the same License Holder.	R				
C	65	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall maintain an internal list of License Holders that have been revoked and are barred from holding a liquor license in Nebraska.	R				
C	66	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall maintain an internal list of License / Permit Holders that have number of compliance actions associated with licenses / permits above a NLCC defined threshold.	R				
C	67	Maintain Active License / Permit Roster	Maintain Active License / Permit Roster	The system shall maintain a database of all expired or revoked licenses for internal reference.	R				

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomatic, (B)usiness Rule Cus tomization (Y/N) Integration, w/ 3rd P arty Product (Y/N)				Explanation or Comments
D 1	License Holder Reporting	Submit License Holder Report	The system shall allow authorized users to submit reports as required by business rules.	R				
D 2	License Holder Reporting	Submit License Holder Report	The system shall be configured to support reporting requirements by license type.	R				
D 3	License Holder Reporting	Submit License Holder Report	The system shall capture the date / time a report was submitted.	R				
D 4	License Holder Reporting	Submit License Holder Report	The system shall capture reporting history by license holder and license.	R				
D 5	License Holder Reporting	Submit License Holder Report	The system shall automatically validate the report information provided according to business rules.	R				
D 6	License Holder Reporting	Submit License Holder Report	The system shall perform automatic gallon calculations for reported non-gallon quantities.	R				
D 7	License Holder Reporting	Submit License Holder Report	The system shall capture reported information in a format that allows for easy search and export.	R				
D 8	License Holder Reporting	Submit License Holder Report	The system shall allow NLCC staff to manually upload reports received by mail or email.	R				
D 9	License Holder Reporting	Submit License Holder Report	The system shall leverage an online wizard to walk authorized users through the reporting process, by license type.	R				
D 10	License Holder Monthly Reporting	Submit License Holder Report	The system shall allow authorized users to upload shipping reports, transfer reports, etc. as required by license type.	R				
D 11	Excise Reporting	Submit License Holder Report	The system shall allow authorized users to submit excise reports on the online portal according to defined business roles.	R				
D 12	Excise Reporting	Submit License Holder Report	The system shall allow authorized users to submit monthly inventory reports for the month's beginning and month's end.	R				
D 13	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to access the online portal to execute a beer brand territory agreement.	R				
D 14	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to access the online portal to register a spirit / wine / ready-to-drink cocktail brand registration.	R				
D 15	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to designate wholesalers to a beer brand territory according to business rules.	R				
D 16	Register Alcohol Product	Register Alcohol Product	The system shall limit designated wholesalers to only those with active licenses (See Maintain Active Roster in the License Holder Management Tab).	R				
D 17	Register Alcohol Product	Register Alcohol Product	The system shall allow NLCC staff to review alcohol brand registration for approval / refusal.	R				
D 18	Register Alcohol Product	Register Alcohol Product	The system shall document approval / denial decisions by NLCC staff in a template for distribution to associated parties.	R				
D 19	Register Alcohol Product	Register Alcohol Product	The system shall allow users to transfer alcohol brand to different wholesalers according to defined business rules.	R				
D 20	Register Alcohol Product	Register Alcohol Product	The system shall allow NLCC users to modify brand registrations as active wholesalers change and / or labels become inactive.	R				
D 21	Register Alcohol Product	Register Alcohol Product	The system shall automatically link subcontracted beer brand territories to the primary agreement.	R				
D 22	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to submit label registrations according to NLCC business rules.	R				
D 23	Register Alcohol Product	Register Alcohol Product	The system shall allow authorized users to register alcohol products, providing required documentation and information as per NLCC's business rules.	R				
D 24	Register Alcohol Product	Register Alcohol Product	The system shall maintain an active database of registered alcohol products, tied to the appropriate license holder (i.e. Wholesaler)	R				
D 25	Verify Reports	Verify Reports	The system shall link inventory reports to associated licenses (i.e. shipping linked to a wholesale license), where appropriate.	R				
D 26	Verify Reports	Verify Reports	The system shall allow for excise reporting by product classification and configure reporting workflows accordingly.	R				
D 27	Verify Reports	Verify Reports	The system shall automatically assess excise taxes based on unit fees (i.e. \$3/gallon).	R				
D 28	Verify Reports	Verify Reports	The system shall automatically cross check products listed on a excise tax report against products registered to be sold by the License Holder.	R				
D 29	Verify Reports	Verify Reports	The system shall flag products on excise tax reports that are not registered to the reporting license holder for Agency review.	R				
D 30	Verify Reports	Verify Reports	The system shall be configured so users can report different types of inventory, based on business rules.	R				

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D	31	Verify Reports	Verify Reports	The system shall automatically add taxable inventory amounts per NLCC business rules.	R				
D	32	Verify Reports	Verify Reports	The system shall allow NLCC staff to modify the fee schedule for excise taxes.	R				
D	33	Verify Reports	Verify Reports	The system shall automatically assess penalty / interest according to business rules.	R				
D	34	Verify Reports	Verify Reports	The system shall automatically verify that inventory reports align month over month (i.e. ending inventory for Month 1 matches beginning inventory for Month 2).	R				
D	35	Verify Reports	Verify Reports	The system shall automatically flag inventory reporting inconsistencies for additional review.	R				
D	36	Verify Reports	Verify Reports	The system shall have the ability to reconcile wholesaler reports to shippers reports.	R				
D	37	Verify Reports	Verify Reports	The system shall have the ability to link reports for verification according to NLCC business rules (i.e. common carriers reporting).	R				
D	38	Verify Reports	Verify Reports	The system shall have the ability to track unreconciled shipments for a designated period of time (i.e. 120 days) to flag for internal review.	R				
D	39	Verify Reports	Verify Reports	The system shall flag excise tax payments that exceed a License Holders bond amount.	R				
D	40	Verify Reports	Verify Reports	The system shall generate a list of retailers for report verification, at random.	R				
D	41	Verify Reports	Verify Reports	The system shall automatically generate a list of products for each retailer, pulled from wholesaler reports.	R				
D	42	Verify Reports	Verify Reports	The system shall automatically notify selected retailers for verification to log on to the Online Portal and verify wholesaler reports.	R				
D	43	Verify Reports	Verify Reports	The system shall flag unverified products by retailers for Agency review.	R				
D	44	Maintain Reporting History	Maintain Reporting History	The system shall document all submitted reports by license / license holder to maintain a reporting history.	R				
D	45	Submit Amended Report	Submit Amended Report	The system shall allow authorized users to submit amended reports as necessary.	R				
D	46	Submit Amended Report	Submit Amended Report	The system shall save all versions of submitted reports.	R				
D	47	Submit Amended Report	Submit Amended Report	The system shall notify NLCC staff that a new report has been submitted for review.	R				
D	48	Submit Amended Report	Verify Reports	The system shall flag late reports and payments.	R				
D	49	Submit Amended Report	Verify Reports	The system shall flag users with late reports / payments over a defined annual threshold for additional legal review.	R				

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O)					Explanation or Comments
				(C)onfiguration, (A)utomation, (B)oth or (N)one	(A)Business Rule Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)			
E 1	Trigger Audit	Trigger Audit	The system shall have the ability to proactively and systematically identify audit candidates according to business rules.	R					
E 2	Trigger Audit	Trigger Audit	The system shall systematically identify candidates for audits based on any configurable parameter in the system, such as business rules, record changes, date of last audit, geographic location, and other configurable audit indicators.	R					
E 3	Trigger Audit	Trigger Audit	The system shall have the capability to identify candidates for audit based on a random selection / search.	R					
E 4	Trigger Audit	Trigger Audit	The system shall allow NLCC reporting staff to refer a license for audit due to an identified reporting inconsistency.	R					
E 5	Trigger Audit	Trigger Audit	The system shall allow enforcement / legal staff to flag licenses for auditors based on questionable activity	R					
E 6	Trigger Audit	Trigger Audit	The system shall allow NLCC staff to trigger an audit as a result of a complaint submitted.	R					
E 7	Trigger Audit	Trigger Audit	The system shall allow an Audit Manager to run ad-hoc searches and reports on any configurable parameter in the system to manually identify candidates for audits (e.g., identify frequency of reporting inconsistencies month-to-month).	R					
E 8	Trigger Audit	Trigger Audit	The system shall allow an Audit Manager to save a set of search criteria to be able to rerun that search in the future.	R					
E 9	Trigger Audit	Trigger Audit	The system shall place a flag on an audit record associated with a license record that has a legal order or restriction associated with it.	R					
E 10	Assign Audit	Assign Audit	The system shall allow the assignment of an auditor to an audit.	R					
E 11	Assign Audit	Assign Audit	The system shall support assignment of audits to more than one auditor.	R					
E 12	Assign Audit	Assign Audit	The system shall allow an authorized user to manually define an audit; for example, the standard audit record to be used and all parameters related to creating an audit.	R					
E 13	Assign Audit	Assign Audit	The system shall be able to automatically define an audit; for example, the standard audit record to be used and all parameters related to creating an audit.	R					
E 14	Assign Audit	Assign Audit	The system shall allow viewing of all audit selection parameters such as license fees, prior audit findings, prior auditor, general license info to make managerial decision.	R					
E 15	Assign Audit	Assign Audit	The system shall be capable of suggesting auditors for assignment to audits based on a variety of configurable factors such as availability, workload, rotation, or skill set / specialty.	R					
E 16	Assign Audit	Assign Audit	The system shall display an audit assignment in the auditor's work queue for processing once the assignment step has been completed.	R					
E 17	Assign Audit	Assign Audit	The system shall send any calendar items, workflow steps, and notifications/reminders to the assigned auditor for that audit.	R					
E 18	Assign Audit	Assign Audit	The system shall track the assignment status of an audit.	R					
E 19	Assign Audit	Assign Audit	The system shall support reassignment of audits.	R					
E 20	Assign Audit	Assign Audit	The system shall provide a separate audit module from which auditors to work from and conduct all audit-related activities.	R					
E 21	Conduct Pre-Audit Meeting	Conduct Pre-Audit Meeting	The system shall have the capability to configure meeting calendar settings (See General Operations tab, View Staff Workload & Performance requirement).	R					
E 22	Conduct Pre-Audit Meeting	Conduct Pre-Audit Meeting	The system shall allow staff to capture information about the meeting (date/ time held, meeting notes, attendees, etc.) using a pre-configured template.	R					
E 23	Conduct Pre-Audit Meeting	Conduct Pre-Audit Meeting	The system shall be able to associate any documents that were presented at the meeting with the audit record.	R					
E 24	Conduct Audit	Conduct Audit	The system shall have a dedicated audit module to allow authorized users to perform all audit functionality.	R					
E 25	Conduct Audit	Conduct Audit	The system shall allow auditors to record notes on an audit.	R					
E 26	Conduct Audit	Conduct Audit	The system shall allow license holders to upload documents requested as part of the audit through the Online Portal.	R					
E 27	Conduct Audit	Conduct Audit	The system shall allow auditors to add licenses to update and create standard documents related to the licenses under audit.	R					
E 28	Conduct Audit	Conduct Audit	The system shall allow the auditor to modify the audit period (e.g., "audit to" and "audit from" dates).	R					
E 29	Conduct Audit	Conduct Audit	The system shall enforce proper security such as user permissions.	R					
E 30	Conduct Audit	Conduct Audit	The system shall allow modification of an in-process audit to expand the scope of the audit to include other related locations or licenses.	R					

E	31	Conduct Audit	Conduct Audit	The system shall automatically track the days count over the time that the audit was conducted based on system transactions to track progress.	R				
E	32	Conduct Audit	Conduct Audit	The system shall require (according to configurable business rules) designated document types to be provided and/or completed by audit type.	R				
E	33	Conduct Audit	Conduct Audit	The system shall track and enforce due dates for the audit and provide relevant notifications and alerts based on the due dates.	R				
E	34	Conduct Audit	Conduct Audit	The system shall support the creation of configurable notices by the auditor, along with capturing detailed supporting information, that become associated with the license/business record being audited.	R				
E	35	Conduct Audit	Conduct Audit	The system shall allow a Supervisor / Audit Manager to access an audit record and in-progress / draft Audit Narrative at any time during the audit period.	R				
E	36	Conduct Audit	Conduct Audit	The system shall trigger supervisor review(s) of audits in progress or completed per the configurable workflow or statutes.	R				
E	37	Conduct Audit	Conduct Audit	The system shall trigger supervisor review(s) of audits in progress or completed after a configurable time period such as standard review days.	R				
E	38	Conduct Audit	Conduct Audit	The system shall trigger supervisor or legal review(s) of audits in progress or completed based on thresholds in audit parameters like percent of completion.	R				
E	39	Conduct Audit	Conduct Audit	The system shall allow supervisor(s) to make comments or updates to an audit record in the system.	R				
E	40	Conduct Audit	Conduct Audit	The system shall allow auditors to capture the result and status of an audit triggered by workflow actions (e.g., ready for Supervisor review, closed, etc.).	R				
E	41	Conduct Audit	Conduct Audit	The system shall support version control of Audit Narrative, including new versions created by one or more auditors, and Supervisor(s).	R				
E	42	Conduct Audit	Conduct Audit	The systems shall allow the auditor to modify an audit, expand an audit, add additional locations, change dates and time periods accordingly.	R				
E	43	Conduct Audit	Conduct Audit	The system shall allow the auditor to capture data in an offline mode when the Auditor does not have internet connectivity.	R				
E	44	Document Audit Results	Conduct Audit	The system shall allow the auditor to manually select to publish the Audit Narrative when they regain connectivity.	R				
E	45	Conduct Audit	Conduct Audit	The system shall check for updates from the auditor and send a reminder to sync.	R				
E	46	Conduct Audit	Conduct Audit	The system shall allow audit documents to be uploaded, viewed, and downloaded.	R				
E	47	Conduct Audit	Conduct Audit	The system shall provide configurable / system-generated checklists of items needed to the auditee, including deadlines of when they must be provided.	R				
E	48	Document Audit Results	Conduct Audit	The system shall populate an audit narrative template with appropriate license information based on the license records associated with the audit.	R				
E	49	Document Audit Results	Conduct Audit	The system shall allow users to manually upload audit documents to the audit record.	R				
E	50	Document Audit Results	Conduct Audit	The system shall provide auditors access to previous audit results for download.	R				
E	51	Document Audit Results	Conduct Audit	The system shall track versioning of audit narratives.	R				
E	52	Document Audit Results	Conduct Audit	The system shall allow the auditor to add the Audit Narrative template(s) to the audit record, populated with appropriate license information.	R				
E	53	Document Audit Results	Conduct Audit	The system shall make available historical versions of Audit Narratives.	R				
E	54	Perform Onsite Meeting	Perform Onsite Visit	The system shall allow staff to create on-site meeting records as part of the audit of a license.	R				
E	55	Perform Onsite Meeting	Perform Onsite Visit	The system shall allow the user to record notes of the onsite meeting for the audit.	R				
E	56	Perform Onsite Meeting	Perform Onsite Visit	The system shall allow the user to provide a final result or status of the onsite meeting.	R				
E	57	Perform Onsite Meeting	Perform Onsite Visit	The system shall allow the user to leverage a mobile device to conduct and provide results of the onsite meeting.	R				
E	58	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow NLCC staff to assess additional taxes due to the results of the audit associated with the license/business record being audited.	R				
E	59	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow a supervisor to approve additional taxes assessed as a result of an audit.	R				
E	60	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall assess any additional taxes owed based on the audit outcome (i.e. discovery of under reported quantities that require levy of additional taxes).	R				
E	61	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow the auditee to pay additional taxes added to the record as a result of the audit through the online portal.	R				
E	62	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow the auditee to pay additional taxes added to the record as a result of the audit through the mail.	R				
E	63	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall allow additional fees to be added to the record based on non or late payment of additional taxes identified in the audit.	R				
E	64	Assess Tax	Close Audit & Enforce Audit Outcome	The system shall initiate the collections process if additional taxes identified in the audit are not paid within a configurable timeframe.	R				
E	65	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall allow authorized users to close an audit once all audit activities have been completed.	R				
E	66	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall record and lock down the final version of an audit and Audit Narrative.	R				
E	67	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall allow NLCC staff to document audit results in an Audit Narrative template.	R				
E	68	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall record and collect quantitative data to enable calculations.	R				
E	69	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall automatically associate an audit outcome / activity with the related license record.	R				



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E	70	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall track any added fees or taxes that have been added to the license record when the audit is completed until they are resolved (e.g., additional taxes are paid)	R					
E	71	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall provide generated workflow-driven alerts/notifications for example to the assigned staff and auditee regarding the closure and outcome of the audit (i.e. Audit Conclusion Letter).	R					
E	72	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall process a "refund" to an auditee as a credit towards subsequent excise tax payments.	R					
E	73	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system should allow auditees that have additional fees due at the end of an audit to request and be provided a payment plan option to incrementally pay off the fees due.	O					
E	74	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system should allow an authorized user to initiate a payment plan for an auditee so they can pay off any fees due at the end of an audit.	O					
E	75	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system should track an auditee incrementally paying off the fees due in the payment plan.	O					
E	76	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system should identify when the auditee has paid off all the fees in the payment plan and on their audit results.	O					
E	77	Manage Audit & Outcome	Close Audit & Enforce Audit Outcome	The system shall track when audit results are appealed, when requests are manually recorded by staff.	R					

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (Configuration, (A)Business Rule Automation, (B) both, or (N) none Customization (Y/N) Integration, (M) 3rd Party Product (Y/N)				Explanation or Comments		
F	1	Submit Complaint	Submit Complaint	The system shall have the ability to intake complaints online.	R					
F	2	Submit Complaint	Submit Complaint	The system shall have the capability to intake detailed complaint information (e.g., complainant, violator, location, etc.) in a structured format, including but not limited to: complaint type, complaint information, violator information, violation type(s), comments (i.e., text box), method of submission (e.g., online, phone, walk-in).	R					
F	3	Submit Complaint	Submit Complaint	The system shall have the ability to allow anonymous complaints that do not record complainant information.	R					
F	4	Submit Complaint	Submit Complaint	The system shall allow Complainants to optionally provide contact information for follow up.	R					
F	5	Submit Complaint	Submit Complaint	The system should allow users to log in when submitting a complaint if they have a user account.	O					
F	6	Submit Complaint	Submit Complaint	The system shall have the ability for the public to upload images/ pictures/ other data or import a Word/ text/ PDF document, when originating a complaint.	R					
F	7	Submit Complaint	Submit Complaint	The system shall generate and display a unique Complaint ID Number upon submittal for reference purposes.	R					
F	8	Submit Complaint	Submit Complaint	The system should allow the public (non logged in users) to view the status of submitted complaint online (i.e., resolved) according to Agency policy that dictates what information can be released.	O					
F	9	Submit Complaint	Submit Complaint	The system shall have the capability to provide detailed instructions to the Complainant on how to file the complaint via the customer portal (i.e., what complaint types are accepted).	R					
F	10	Submit Complaint	Submit Complaint	The system shall have the ability to track delegation of complaint/enforcement action to other external agencies	R					
	11	Submit Complaint	Submit Complaint	The system shall allow NLCC staff to assign complaint/enforcement actions to other external agencies, as appropriate.	R					
F	12	Submit Complaint	Submit Complaint	The system shall be able to capture any referral of a complaint to another agency who is authorized to handle that violation type.	R					
F	13	Submit Complaint	Submit Complaint	The system shall allow a user to consolidate or link multiple complaints into one case file.	R					
F	14	Submit Complaint	Submit Complaint	The system should have the ability to electronically notify parties associated with the record with complaint disposition.	O					
F	15	Submit Complaint	Submit Complaint	The system shall have the ability to automatically update complaint disposition with workflow tasks (e.g., assigned for investigation)	R					
F	16	Submit Complaint	Submit Complaint	The system shall have the ability to view history of licenses, permits, clearances, conditions, etc. associated with a complaint record or address of the complaint.	R					
F	17	Submit Complaint	Submit Complaint	The system shall have the ability to view complaint history by project, violator, property, or owner.	R					
F	18	Submit Complaint	Submit Complaint	The system shall have the ability to view violation history by GIS location (See Manage Geographic Information for more detailed requirements).	R					
F	19	Submit Complaint	Submit Complaint	The system shall provide a structured method for Enforcement Staff to record research on the complaint and generate a case file.	R					
F	20	Issue Administrative Citation	Issue Administrative Citation	The system shall have the ability to submit citation or violation related to investigation, which may trigger associated workflow tasks.	R					
F	21	Issue Administrative Citation	Issue Administrative Citation	The system shall have the ability to automatically revoke or temporarily suspend licenses based on investigation results, or supervisor review, based on business rules.	R					
F	22	Issue Administrative Citation	Issue Administrative Citation	The system shall support the revocation of a license. (i.e. license revoked due to safety/welfare issue).	R					
F	23	Issue Administrative Citation	Issue Administrative Citation	The system shall have the capability to record a violation and issue enforcement-related documentation, such as an Issue of Administrative Citation.	R					
F	24	Issue Administrative Citation	Issue Administrative Citation	The system shall support templates and document generation for various enforcement document types. See Manage Documents in General Operations Tab for more detailed information.	R					
F	25	Issue Administrative Citation	Issue Administrative Citation	The system shall have the capability to associate violations with customers (e.g., license holder).	R					
F	26	Issue Administrative Citation	Issue Administrative Citation	The system shall have the capability to display authorized violation information to the customer via the online portal.	R					
F	27	Issue Administrative Citation	Issue Administrative Citation	The system shall have the capability to capture notes and comments in the system related to a violation.	R					

F	28	Issue Administrative Citation	Issue Administrative Citation	The system shall have the ability to route violation notices for approval (e.g., Supervisor approval).	R				
F	29	Issue Administrative Citation	Issue Administrative Citation	The system shall be able to generate a list of enforcement documents that must be served on a particular day according to business rules.	R				
F	30	Issue Administrative Citation	Issue Administrative Citation	The system shall have the ability to issue and print violation and other documentation on-site.	R				
F	31	Issue Administrative Citation	Issue Administrative Citation	The system shall allow staff to manually select enforcement documents (i.e. subpoenas) that must be served.	R				
F	32	Track Disciplinary Action	Issue Administrative Citation	The system shall have the capability to hold the final investigation result until all the fees or taxes have been met (e.g., prevent issuance of a license until fee and tax requirements are met).	R				
F	33	Track Disciplinary Action	Issue Administrative Citation	The system shall be able to track violations that the owner fails to comply or correct, and reroute the information to appropriate department or designated personnel to take further action.	R				
F	34	Track Disciplinary Action	Issue Administrative Citation	The system shall keep a log of violations associated with the license.	R				
F	35	Create Violation Report	Report Enforcement Activity	The system shall have the ability to issue and print investigation documentation (i.e., investigation report, violation notification).	R				
F	36	Create Violation Report	Report Enforcement Activity	The system shall have the ability for the agent to email the investigation report to the customer.	R				
F	37	Create Violation Report	Report Enforcement Activity	The system shall have the ability to generate an investigation report from a customizable template(s).	R				
F	38	Create Violation Report	Report Enforcement Activity	The system shall have the ability to apply investigation results to multiple investigations (e.g., select multiple pre-license onsite visit investigations in the system and indicate a result of "passed").	R				
F	39	Create Violation Report	Report Enforcement Activity	The system shall have the ability to generate a new violation record in the system manually by Agency personnel.	R				
F	40	Create Violation Report	Report Enforcement Activity	The system shall have the capability to provide a customized template for generating violations, that includes but is not limited to the following components: Type of Enforcement Document (e.g., Notice of Violation, Warning), Date(s) of violation and/or onsite visit /investigation, Location, Agent Assigned, Codes in violation, Required action(s), Fine(s), Court Date(s), Hearing Date(s), or Meeting Date(s).	R				
F	41	Create Violation Report	Report Enforcement Activity	The system shall have the capability to pre-populate a violation document with preexisting information from the System (e.g., investigation location and address, customer information).	R				
F	42	Create Violation Report	Report Enforcement Activity	The system shall have the ability to associate violations with existing complaints.	R				
F	43	Create Violation Report	Report Enforcement Activity	The system shall have the ability to link a violation report to one or more primary / secondary license numbers.	R				
F	44	Create Violation Report	Report Enforcement Activity	The system shall have the capability to associate violations with existing investigations and investigation reports.	R				
F	45	Create Violation Report	Report Enforcement Activity	The system shall have the ability to link sections of code to a violation.	R				
F	46	Create Violation Report	Report Enforcement Activity	The system shall have the capability to pre-populate a violation with relevant dates (e.g., summons date) via a smart calendaring feature.	R				
F	47	Create Violation Report	Report Enforcement Activity	The system shall have the ability to configure and select standard violation types.	R				
F	48	Create Violation Report	Report Enforcement Activity	The system shall have the ability to print all, individual, or select violations for mailing.	R				
F	49	Create Violation Report	Report Enforcement Activity	The system shall have the ability for agents to upload images/ pictures and associate them with a complaint, investigation, violation, etc.	R				
F	50	Create Violation Report	Report Enforcement Activity	The system shall have the ability to digitally attach electronic signature to documents or reports to be printed from a mobile device.	R				
F	51	Create Violation Report	Report Enforcement Activity	The system shall support the automated generation of a case file report that can pull the required information from the System and compile it into a report that can be exported and distributed from the System.	R				
F	52	Create Violation Report	Report Enforcement Activity	The system shall provide a structured template for Enforcement Staff to perform research and enter information about the violation into the system (e.g., information on location, address, tax ID, parcel address, cross streets, location on a map etc.; property ownership information; complaint history for the property and/or property owner).	R				
F	53	Create Violation Report	Report Enforcement Activity	The system shall support Enforcement Staff in executing queries in the System and generating any reports necessary to support creation of the case file.	R				
F	54	Impose Penalty	Report Enforcement Activity	The system shall be able to charge a fee based on the investigation result (e.g., violation, civil penalty) according to business rules / Commission discretion.	R				
F	55	Implement Disciplinary Action	Report Enforcement Activity	The system shall allow NLCC staff to suspend a license as a result of an investigation.	R				
F	56	Implement Disciplinary Action	Report Enforcement Activity	The system shall have the capability to associate violation types with standard fines, fees, and penalties.	R				
F	57	Implement Disciplinary Action	Report Enforcement Activity	The system shall allow the Liquor Commission to assign fines/fees at NLCC's discretion.	R				
F	58	Track Disciplinary Action	Report Enforcement Activity	The system shall have the ability to track information related to the appeal or legal action of a violation (from a complaint or investigation).	R				
F	59	Enforcement Reporting	Report Enforcement Activity	The system shall document enforcement actions taken by license, business, and/or licensee.	R				
F	60	Enforcement Reporting	Report Enforcement Activity	The system shall allow users to search enforcement actions, filtered for a given time period by license, business, and/or licensee.	R				

F	61	Investigate Potential Violation	Report Enforcement Activity	The system shall have the capability for agents to perform all investigation transactions from a mobile device.	R				
F	62	Investigate Potential Violation	Report Enforcement Activity	The system shall provide a template for the agent to capture the investigation results using the mobile device.	R				
F	63	Investigate Potential Violation	Report Enforcement Activity	The system shall allow an agent to view detailed application, license or permit information via a mobile device.	R				
F	64	Investigate Potential Violation	Report Enforcement Activity	The system shall allow an agent to view detailed information about the investigation request (i.e., in the case of complaints) or investigation details via mobile device.	R				
F	65	Investigate Potential Violation	Report Enforcement Activity	The system shall allow an agent to access GIS information through the mobile app to assist in the investigation process.	R				
F	66	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to access, view, and edit documents and files (assuming mobile software compatibility) associated to investigation records on mobile units.	R				
F	67	Investigate Potential Violation	Report Enforcement Activity	The system shall allow an agent to create a new investigation from the field using the mobile app.	R				
F	68	Investigate Potential Violation	Report Enforcement Activity	The agent shall be able to take pictures with a mobile device and save them to the investigation record in real time.	R				
F	69	Investigate Potential Violation	Report Enforcement Activity	The system shall allow agent to capture any comments related to the investigation via a mobile device.	R				
F	70	Investigate Potential Violation	Report Enforcement Activity	The system shall support the ability to dictate investigation results into a device (e.g., iPhone) that then converts the voice record into text in the System.	R				
F	71	Investigate Potential Violation	Report Enforcement Activity	If the agent does not have connectivity, the mobile app will operate in an offline mode and upload the investigation data to the System once connectivity is established in the future.	R				
F	72	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to send system messages to agent via mobile units.	R				
F	73	Investigate Potential Violation	Report Enforcement Activity	The system shall provide the ability for "retries" of data transmission should connection be lost.	R				
F	74	Investigate Potential Violation	Report Enforcement Activity	The system shall provide an ability to transmit data in a bidirectional fashion from the field based on predefined intervals.	R				
F	75	Investigate Potential Violation	Report Enforcement Activity	The system shall automatically transmit investigation results and other updates from the mobile device to the system.	R				
F	76	Investigate Potential Violation	Report Enforcement Activity	The mobile portion of the System shall provide store and forward capability so agents have the capability of working in online or offline modes as necessary.	R				
F	77	Investigate Potential Violation	Report Enforcement Activity	The System shall provide an ability to transmit data in a bidirectional fashion from the field based to/from the System based on predefined intervals (e.g., mobile sync every 5 minutes).	R				
F	78	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to provide multiple investigation records at the same time in batch fashion from a mobile device.	R				
F	79	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to initiate enforcement actions in the field with mobile units (e.g., revoke license, violation, etc.).	R				
F	80	Investigate Potential Violation	Report Enforcement Activity	The system shall have the ability to allow a customer to sign a document using electronic signature via the mobile device out in the field for example a notice or citation.	R				
F	81	Investigate Potential Violation	Report Enforcement Activity	The system shall allow agent to indicate a re-investigation or an additional onsite visit is required and capture any other relevant conditions and/or deadlines in the system via the mobile unit.	R				

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomatic, (B)usiness Rule Customization (Y/N) Integration w/ 3rd Party Product (Y/N)					Explanation or Comments	
G	1	Trigger Hearing	Trigger Hearing	The system shall automatically trigger a review for hearing based on business rules for audit outcomes, application reviews, and/or enforcement actions	R					
G	2	Trigger Hearing	Trigger Hearing	The system shall allow NLCC staff to manually trigger a hearing based on business rules for audit outcomes and/or enforcement actions.	R					
G	3	Trigger Hearing	Trigger Hearing	The system shall manage multiple hearing types that are each associated with unique workflow and business rules.	R					
G	4	Trigger Hearing	Trigger Hearing	The system shall support hearing types that support an administrative review that occurs within a department.	R					
G	5	Trigger Hearing	Trigger Hearing	The system shall support hearing types that involve one or more reviewers who make a determination (e.g., Hearing Officer, etc.).	R					
G	6	Schedule Hearing	Schedule Hearing	The system shall have the ability to present hearings information in a graphical, real-time "dashboard" display for supervisor review (e.g., a view of all the events scheduled for a particular day on a hearing calendar).	R					
G	7	Schedule Hearing	Schedule Hearing	The system should support the scheduling for hearing types that occur periodically on a regular schedule.	O					
G	8	Schedule Hearing	Schedule Hearing	The system should support the scheduling for hearing types that occur infrequently or on ad-hoc basis.	O					
G	9	Schedule Hearing	Schedule Hearing	The system should have the capability to configure hearing calendar settings.	O					
G	10	Schedule Hearing	Schedule Hearing	The system should have the ability to populate a hearing calendar with all scheduled hearing events.	O					
G	11	Schedule Hearing	Schedule Hearing	The system shall allow NLCC staff to manually override or alter the hearing calendar as necessary.	R					
G	12	Schedule Hearing	Schedule Hearing	The system shall support Hearing Calendars that include a review before a particular governing body that oversees the issue (e.g., NLCC).	R					
G	13	Schedule Hearing	Schedule Hearing	The system shall have the capability to configure Hearing Types for a hearing calendar.	R					
G	14	Schedule Hearing	Schedule Hearing	The system shall have the ability to schedule a hearing date manually.	R					
G	15	Schedule Hearing	Schedule Hearing	The system shall have the ability to schedule a hearing date automatically according to business rules (e.g., next available date).	R					
G	16	Schedule Hearing	Schedule Hearing	The system shall have the ability to re-schedule an event on a hearing calendar.	R					
G	17	Schedule Hearing	Schedule Hearing	The system shall have the ability to cancel an event on a hearing calendar.	R					
G	18	Schedule Hearing	Schedule Hearing	The system should be able to prevent a hearing date assignment according to calendar data and business rules (e.g., number of hearings allowed per day).	O					
G	19	Schedule Hearing	Schedule Hearing	The system shall allow NLCC Staff (who have the appropriate security privileges) to override hearing/meeting calendar settings and manually assign an application to a hearing/meeting date.	R					
G	20	Schedule Hearing	Schedule Hearing	The system shall have the ability to manually enter hearing attendee information for a hearing / hearing event.	R					
G	21	Schedule Hearing	Schedule Hearing	The system shall have the ability to select attendees for a hearing event from contacts already entered into the system (e.g., contacts already associated with an application, licenses, permit, case or other record type related to the hearing).	R					
G	22	Schedule Hearing	Schedule Hearing	The system shall be able to support enforcing any Agency policies regarding timelines of when an application must be reviewed before the commission (e.g., due date for a hearing).	R					
G	23	Schedule Hearing	Schedule Hearing	The system shall support taking into account any staff recommendations regarding hearing date assignment captured in the System as part of an internal note when manually or automatically scheduling a hearing.	R					
G	24	Schedule Hearing	Schedule Hearing	The system shall have the capability to automatically notify attendees (including internal staff) with updates related to the workflow of the hearing (e.g., scheduled dates, due date, outcome of hearing, changes to the hearing).	R					
G	25	Schedule Hearing	Schedule Hearing	The system shall be able to support configurable business rules that govern the assignment of particular types of issues to be assigned to a hearing agenda (e.g., only certain issues can go to a Hearing Officer or NLCC agenda).	R					
G	26	Schedule Hearing	Schedule Hearing	The system shall maintain a list of the assigned members of the governing body responsible for issuing a decision (e.g., the Commission).	R					
G	27	Schedule Hearing	Schedule Hearing	The system shall maintain the contact information for the members of the governing body to facilitate the distribution of documentation, calendar invitations, and other data relevant to the hearing.	R					

G	28	Schedule Hearing	Schedule Hearing	The system shall allow for changes to hearing dates to be incorporated into Hearing/Meeting Calendar available for public/customer view.	R				
G	29	Schedule Hearing	Schedule Hearing	The system shall provide a template to create Show Cause Letter for dissemination to hearing attendees.	R				
G	30	Send Show Cause Letter	Conduct Hearing	The system shall support generating the hearing package type required for a hearing, that includes information that can be exported from the system including investigation notes, supporting attachments (photographs), and agent's recommendation.	R				
G	31	Prepare of Hearing	Conduct Hearing	The system shall be able to provide a checklist for staff to reference to ensure that all pre-hearing tasks have been completed prior to a hearing occurring.	R				
G	32	Capture Result of Hearing	Conduct Hearing	The system shall facilitate a structured method to record the hearing outcome including facilitating reporting official results to comply with open meeting laws.	R				
G	33	Capture Result of Hearing	Conduct Hearing	The system shall capture the disposition of the hearing (approved, denied, etc.).	R				
G	34	Capture Result of Hearing	Conduct Hearing	The system shall capture the confirmation of conditions proposed through the hearing.	R				
G	35	Capture Result of Hearing	Conduct Hearing	The system shall have the ability to capture any outstanding actions and associated due dates that must be fulfilled as a result of the hearing.	R				
G	36	Capture Result of Hearing	Conduct Hearing	The system shall have the ability to capture any fees charged as a result of the hearing.	R				
G	37	Capture Result of Hearing	Conduct Hearing	The system shall have the ability to capture any Disciplinary Actions (e.g., suspension/revocation of a license) as a result of the hearing.	R				
G	38	Capture Result of Hearing	Conduct Hearing	The system shall provide a structured method for Hearing Staff to record the hearing outcome, including but not limited to the elements below:	R				
G	39	Capture Result of Hearing	Conduct Hearing	Comments/concerns raised during the course of the hearing.	R				
G	40	Capture Result of Hearing	Conduct Hearing	List of attendees.	R				
G	41	Capture Result of Hearing	Conduct Hearing	Governing Body members responsible for the hearing and individual recommendations/votes, if applicable.	R				
G	42	Capture Result of Hearing	Conduct Hearing	Scanning of any documentation produced from the hearing.	R				
G	43	Track Appeal	Track Appeal	The system shall support the association and enforcement of any conditions or stipulations that are applied to an application record, license record, person record, location record, etc. as a result of the hearing (examples below).	R				
G	44	Track Appeal	Track Appeal	Reversal of Violation or Citation	R				
G	45	Track Appeal	Track Appeal	Appealed	R				
G	46	Track Appeal	Track Appeal	The system shall be able to track and enforce hearing outcomes through workflow and license conditions that are implemented in the System (e.g., not limited to outcomes or conditions recorded at the application record level).	R				
G	47	Track Appeal	Track Appeal	The system shall support appeals processes and related workflow.	R				
G	48	Track Appeal	Track Appeal	The system shall allow staff to log an appeal manually in the system, as well as the following:	R				
G	49	Track Appeal	Track Appeal	Governing authority currently handling the appeal (district court).	R				
G	50	Track Appeal	Track Appeal	Staff time and activity related to supporting the appeals process.	R				
G	51	Track Appeal	Track Appeal	Documentation created by Staff to support the appeals process.	R				
G	52	Track Appeal	Track Appeal	Outcome of the secondary appeal.	R				
G	53	Track Appeal	Track Appeal	The system shall support the consolidation of requests into a report that are typically requested as part of cases to be heard before a court of law.	R				
G	54	Track Appeal	Track Appeal	The system shall be able to capture/track if an applicant appeals the result of a hearing (e.g., request submitted through online portal) and automatically kick off related workflow.	R				
G	55	Track Appeal	Track Appeal	The system shall be able to prevent issuance of a license, permit, or agreement based on the outcome of a hearing (e.g., NLCC must approve special condition or agreement).	R				
G	56	Track Appeal	Track Appeal	The system shall be able to track and enforce post-hearing outcomes, such as further litigation and/or elevation to higher legal proceedings.	R				
G	57	Track Appeal	Track Appeal	The system shall track the outcome of the appeals processes, any impact the outcome has on an application or license, and any Agency Staff activity that occurs to support the appeal.	R				
G	58	Track Appeal	Track Appeal	The system shall track and manage the appeals process and record relevant actions and outcomes, as well as communications and other artifacts, in the System.	R				
G	59	Track Appeal	Track Appeal	The system shall maintain an appeal calendar for any appeals that need to be supported and scheduled by Agency staff.	R				

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration; (A)Business Rule Automation; (B)oth; or (N)o-one Customization (Y/N) Integration w/ 3rd Party Product (Y/N)				Explanation or Comments
H 1	Verify Training	Verify Training & Issue Certificate	The system shall allow users to upload training documentation for NLCC review.	R				
H 2	Verify Training	Verify Training & Issue Certificate	The system shall collect user information for issuance of training certifications (email, address, phone number, etc.)	R				
H 3	Verify Training	Verify Training & Issue Certificate	The system shall notify NLCC staff when training documentation is submitted to trigger review.	R				
H 4	Verify Training	Verify Training & Issue Certificate	The system shall allow NLCC staff to create a record of training activity, linked to an associated license number.	R				
H 5	Mandate Training	Mandate Training	The system shall allow NLCC staff to mandate training by license number.	R				
H 6	Mandate Training	Mandate Training	The system shall notify licensees when training is mandated (see Send/Receive Notifications in License Holder Management Tab).	R				
H 7	Issue Certificate	Verify Training & Issue Certificate	The system shall collect user information for issuance of training certifications (email, address, phone number, etc.)	R				
H 8	Maintain Training History	Verify Training & Issue Certificate	The system shall maintain a repository of training certificates, linked to appropriate license numbers and searchable by name.	R				
H 9	Public Education / Outreach / Virtual Learning	Maintain Online Repository of Education Materials	The system shall allow approved NLCC users to publish information to the Customer Portal such as policies, webinars, procedures, news, notifications (i.e., Notification Letters) and other information.	R				

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one Customization (Y/N) Integration, (M) 3rd Party Product (Y/N)				Explanation or Comments
I 1	Submit Payment	Submit Payment	The system shall have the capability to manage fee types (e.g., renewal fees, permit fees) in the system with configurable workflow and business rules for processing. Examples are below:	R				
I 2	Submit Payment	Submit Payment	Rules to generate the fee	R				
I 3	Submit Payment	Submit Payment	Specify if the fee is refundable, eligible to be waived, or voided	R				
I 4	Submit Payment	Submit Payment	Ability to apply a surcharge (e.g., additional fees, returned check fee, etc.).	R				
I 5	Submit Payment	Submit Payment	General Ledger Account Number, Cost Center, and Fund Number associated with the fee	R				
I 6	Submit Payment	Submit Payment	Effective Date	R				
I 7	Submit Payment	Submit Payment	Expiration Date	R				
I 8	Submit Payment	Submit Payment	Posting Date	R				
I 9	Submit Payment	Submit Payment	The system shall allow a System Administrator to easily maintain fees and distributions through a user interface in the system that does not require in depth technical knowledge to configure.	R				
I 10	Submit Payment	Submit Payment	The system shall maintain detailed business rules for fees that are configurable, including but not limited to the following: Description, Department, Amount, History, Distribution Information, Type, Calculation Rules, Active / Expiration Dates.	R				
I 11	Submit Payment	Submit Payment	The system shall be able to capture fee information in the system for a particular fee charged to the record, including but not limited to: Amount, Description, Date, Code/Type, Status.	R				
I 12	Submit Payment	Submit Payment	The system shall calculate and display a comprehensive view of any outstanding fee(s) due on a record, at the user, project, application, permit or by any level of the license hierarchy (primary vs. secondary licensees).	R				
I 13	Submit Payment	Submit Payment	The system shall be able to manually assess and charge a fee to a record and assess/take an admin fee that is not related to a "record" (e.g., application, license, permit, investigation etc.)	R				
I 14	Submit Payment	Submit Payment	The system shall be able to automatically assess and charge a fee to a record according to business rules configured in the system.	R				
I 15	Submit Payment	Submit Payment	The system shall have the ability to trigger the addition of fees by license or permit type.	R				
I 16	Submit Payment	Submit Payment	The system shall have the ability to pro-rate fees for example based on license category.	R				
I 17	Submit Payment	Submit Payment	The system shall have the ability to calculate late fees and notify applicant according to collection timeframe.	R				
I 18	Submit Payment	Submit Payment	The system shall have the ability to associate outstanding payments with a user account, including business accounts and multiple associated individual accounts and by license hierarchy (i.e. primary vs. secondary licenses).	R				
I 19	Submit Payment	Submit Payment	The system shall allow for a payment(s) to be voided according to business rules and user permissions (i.e., same day).	R				
I 20	Submit Payment	Submit Payment	The system shall allow for a fee(s) to be waived according to business rules and user permissions.	R				
I 21	Submit Payment	Submit Payment	The system shall allow for a fee(s) to be pro-rated according to business rules and user permissions.	R				
I 22	Submit Payment	Submit Payment	The system shall apply fees based on unique licenses, license changes, or license type.	R				
I 23	Submit Payment	Submit Payment	The system shall have the ability to track penalty and interest schedules, for example based on payment data or when the license was created /added to the shopping cart.	R				
I 24	Submit Payment	Submit Payment	The system shall allow NLCC users to waive or allow for delayed payments as appropriate.	R				
I 25	Submit Payment	Submit Payment	The System shall allow fees to be charged and collected at various points in the workflow process according to pre-defined business rules for a transaction or license/permit type.	R				
I 26	Submit Payment	Submit Payment	The System shall support periodic invoicing and payment of invoices within the system.	R				
I 27	Submit Payment	Submit Payment	The system should require the customer to pay for the oldest renewal first in the case of multiple outstanding payments.	O				
I 28	Submit Payment	Submit Payment	The system shall have the ability to search for the invoice using associated fees, address, payment type, date amount and customer name if the customer does not have an invoice.	R				



I	29	Submit Payment	Submit Payment	The system shall display via the portal any outstanding payments due associated with the user account by project (i.e., multiple licenses for one user), permit and by license hierarchy (i.e. primary vs. secondary licenses)	R				
I	30	Submit Payment	Submit Payment	The system shall have the ability to itemize outstanding payments associated with permit, applicant and by license hierarchy (i.e. primary vs. secondary licenses).	R				
I	31	Submit Payment	Submit Payment	The system shall have the ability to indicate applicant will pay in person or via mail in lieu of online payment (i.e., allow an applicant to submit an application without paying at that time).	R				
I	32	Submit Payment	Submit Payment	The system shall provide a list of all fees currently due with the online application prior to submission.	R				
I	33	Submit Payment	Submit Payment	The system shall allow the Customer to review and confirm the transaction prior to submitting for processing.	R				
I	34	Submit Payment	Submit Payment	The system shall alert the Customer if the online payment transaction is unsuccessful.	R				
I	35	Submit Payment	Submit Payment	The system shall be able to collect payment online for any outstanding fee associated with the user's account that may not be associated with an application (e.g., violations fees, hearing fees, etc.).	R				
I	36	Manage Cash & Checks	Manage Cash & Checks	The system shall provide capability to perform daily reconciliation (e.g., track all transactions performed by a cashier in a business day and support reconciliation processes to compare transactions with actual monies collected) through an interface with the JD Edwards (E1).	R				
I	37	Manage Cash & Checks	Manage Cash & Checks	The system shall provide capability to perform nightly reconciliation between the transactions captured in the Licensing System and JD Edwards (E1).	R				
I	38	Manage Cash & Checks	Manage Cash & Checks	The system shall be able to track transactions made by a particular cashier by date and time.	R				
I	39	Manage Cash & Checks	Manage Cash & Checks	The system shall allow a cashier to log in and out of the cashiering module (e.g., lunch break, end of day).	R				
I	40	Manage Cash & Checks	Manage Cash & Checks	The system shall allow a cashier to check in a cash drawer and record a starting cash balance to be able to reconcile the ending cash balance at the end of the day.	R				
I	41	Manage Cash & Checks	Manage Cash & Checks	The system shall allow a cashier to be able to record the actual amount of cash received for the day to be able to reconcile with the expected amount record by the system.	R				
I	42	Manage Cash & Checks	Manage Cash & Checks	The system shall allow a cashier to review the recorded amount of actual cash collected for the day, make authorized changes and if there is a discrepancy between the expected cash balance and counted cash balance, have the capability to notify a Supervisor.	R				
I	43	Manage Cash & Checks	Manage Cash & Checks	The system shall allow cashier to prepare a batch for cash deposit.	R				
I	44	Accept Payment	Accept Payment	The system shall have the ability to collect payment manually by staff (e.g., cash, checks, e-checks, debit cards, cashier's check).	R				
I	45	Accept Payment	Accept Payment	The system shall support the intake of cash payment by staff.	R				
I	46	Accept Payment	Accept Payment	The system shall support payment online or processed by staff via Electronic Check or ACH based on the business rules.	R				
I	47	Accept Payment	Accept Payment	The system shall have the capability to indicate a check has been returned by the bank and subsequently support the NSF collections process.	R				
I	48	Accept Payment	Accept Payment	The system shall have the capability for personnel to view and sort list of returned checks.	R				
I	49	Accept Payment	Accept Payment	The system shall have the capability to track accumulation of payment issues for a location, license, or user and apply any pre-defined business rules for future payment transactions.	R				
I	50	Accept Payment	Accept Payment	The system shall have the capability for personnel to remove a returned check from the list according to business rules.	R				
I	51	Accept Payment	Accept Payment	The system shall have the ability to pay multiple fees/charges, across multiple applications or licenses, in one transaction online (i.e., shopping cart functionality).	R				
I	52	Accept Payment	Accept Payment	The system shall allow payment for multiple fees on a single license or permit.	R				
I	53	Accept Payment	Accept Payment	The system shall allow a user to pay for transactions across multiple licenses associated with their account across multiple locations.	R				
I	54	Accept Payment	Accept Payment	The system shall have the ability to provide unique receipt/transaction number.	R				
I	55	Accept Payment	Accept Payment	The system shall allow for a transaction or whole payment(s) to be voided according to business rules and user permissions (e.g., same day).	R				
I	56	Accept Payment	Accept Payment	The system shall allow for specific fee(s) to be voided within a transaction or payment according to business rules and user permissions (e.g., same day).	R				
I	57	Accept Payment	Accept Payment	The system shall allow for fee(s) to be waived according to business rules and user permissions.	R				
I	58	Accept Payment	Accept Payment	The System shall be able to calculate annual cost increases, penalties and interest according to configured business rules.	R				
I	59	Accept Payment	Accept Payment	The system shall allow for overlap of fee schedules.	R				
I	60	Accept Payment	Accept Payment	The system shall have the capability to prevent duplicate payments (for the same fee).	R				

I	61	Manage Customer Financial Account	Manage Customer Financial Account	The system shall have the ability to capture payment history information that is displayable to all authorized users (not just limited to a cashier), including but not limited to: Payer Information, Payment Method, Date & Time of Payment, Total Amount received per service component (i.e., permit), Itemized Fees paid, Tender Type, Related Record ID (application number, permit number, etc.), Related Invoice information.	R					
I	62	Manage Customer Financial Account	Manage Customer Financial Account	The system shall support the assessment, tracking, and processing of all financial-related information and transactions associated with a record in the system.	R					
I	63	Manage Customer Financial Account	Manage Customer Financial Account	The system shall support the tracking of collection based on aging liabilities for example, 30, 60 or 90 days late.	R					
I	64	Manage Customer Financial Account	Manage Customer Financial Account	The system shall be able to automatically create collection cases to follow up on collections based on configurable parameters.	R					
I	65	Manage Customer Financial Account	Manage Customer Financial Account	The system shall allow manual creation of collection cases to follow up on collections based on configurable parameters.	R					
I	66	Manage Customer Financial Account	Manage Customer Financial Account	The system shall provide a comprehensive view of all financial activity that has taken place on a record, at the user, project, and/or application level.	R					
I	67	Manage Customer Financial Account	Manage Customer Financial Account	The system shall have the ability to generate receipts based on payments.	R					
I	68	Manage Customer Financial Account	Manage Customer Financial Account	The system shall provide a configurable template to capture relevant application/project information on the receipt (e.g., fee type, transaction date, method of payment, application/project/permit/license number, etc.).	R					
I	69	Manage Customer Financial Account	Manage Customer Financial Account	The system shall store the receipt with the application as an original document that is available for future retrieval and audit purposes.	R					
I	70	Manage Customer Financial Account	Manage Customer Financial Account	The system shall have the capability to generate a receipt of payment that the applicant can print or download from the online portal.	R					
I	71	Manage Customer Financial Account	Manage Customer Financial Account	The system shall provide information account history information to the online portal user (i.e. payments made, debts owed) on the transaction performed with NLCC.	R					
I	72	Manage Customer Financial Account	Manage Customer Financial Account	The system shall allow a user to view the history of all past financial transactions associated with the account via the online portal.	R					
I	73	Manage Customer Financial Account	Manage Customer Financial Account	The system shall allow authorized users to view all detailed history and information related to all financial transactions with the Agency, past and present, and on an ongoing basis.	R					

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O) (C)onfiguration, (A)utomatization, (B)usiness Rule Cus tomization (Y/N) or (N)one Integration w/ 3rd P arty Product (Y/N)					Explanation or Comments	
J	1	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow a Supervisor to view all staff previously assigned to an application.	R					
J	2	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall support the automatic assignment of a workflow task to one or more users according to business rules and other factors (e.g., employee skill sets, availability, location/ districts).	R					
J	3	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system should allow a user to claim an active workflow task (either assigned or unassigned) and execute it immediately (e.g., does not require an assignment or reassignment step).	O					
J	4	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall support multiple tiers of assignment of reviews (e.g., an application is first assigned to one individual who then forwards the application to others in that reviewing group to review).	R					
J	5	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall support reassignment of a workflow task from one user to another according to business rules.	R					
J	6	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall support the bulk reassignment of workflow tasks from one user to another according to business rules.	R					
J	7	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall be able to capture the reason for reassignment.	R					
J	8	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have dashboards configurable by user role.	R					
J	9	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow users to configure dashboards to display certain system parameters.	R					
J	10	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide functionality to define specific performance parameters for all workflow tasks by application type, hearing type, license type, audit type etc., provided by NLCC.	R					
J	11	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide configurable "executive" dashboards that provide the necessary, real-time information to support workload management and performance metric tracking (Note: This cannot be satisfied with a report that is manually run by the user).	R					
J	12	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to visually indicate to a supervisor if performance metrics are approaching or have surpassed configured targets.	R					
J	13	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow the Supervisor to drill down into specific sections of the project as necessary to view details associated with the project (e.g., investigations, audits, collections, renewals).	R					
J	14	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide electronic notifications to the Supervisor before and when predefined performance parameters are exceeded on certain applications or when notable events occur on certain applications/plans.	R					
J	15	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to view staff workload by various parameters (e.g., day, investigation type).	R					
J	16	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow supervisors to view staff details (e.g., skill sets, territories).	R					
J	17	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to capture and track workflow metrics against pre-defined metrics (e.g., number of investigations passed on average, number of unassigned investigations, audits leads unassigned, audits in progress).	R					
J	18	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to notify a supervisor if performance metrics are approaching or have surpassed standard metrics.	R					
J	19	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide the functionality to define specific performance parameters for each record type performed by NLCC.	R					
J	20	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide real-time dashboards (view in the System, not a report) that a Supervisor can access that illustrates the active investigation tasks and statuses (e.g., red, yellow, green).	R					
J	21	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall have the ability to display record types and workflow metrics and parameters in graphical "dashboard" format (e.g., shows the number of unassigned investigations, pending investigations, audits in progress etc. [not a report]).	R					
J	22	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall provide visual cues for potential issues with record types or workflow performance (e.g., agent workload reaching maximum threshold, auditor has availability, aging of investigations, liability approaching collections status).	R					
J	23	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall track the types and frequency of record types performed by staff.	R					

J	24	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall allow for flexibility to allow any Supervisor to reassign record types in the event one of the area Supervisors are unavailable or out of the office.	R				
J	25	Manage Staff Workload & Performance	View Staff Workload Dashboard	The system shall maintain a calendar that tracks activities such as month end, deposits, etc.	R				
J	26	Manage Geographic Information	Manage Geographic Information	The system shall be able to generate and print custom reports from the system that include GIS data and mappings.	R				
J	27	Manage Geographic Information	Manage Geographic Information	The system shall be able to track location information in the system in an address format (e.g., street number, street name, street type/ abbreviations, Agency, state, zip code).	R				
J	28	Manage Geographic Information	Manage Geographic Information	The system shall be able to associate files/documents with an address in the system.	R				
J	29	Manage Geographic Information	Manage Geographic Information	The system shall be able to allow staff to indicate when the mailing address for an application differs from the actual onsite location associated with the license.	R				
J	30	Manage Geographic Information	Manage Geographic Information	The system shall prevent workflow from advancing to a certain point (according to business rules) if an application is not assigned a valid parcel number or address.	R				
J	31	Manage Geographic Information	Manage Geographic Information	The system shall provide a mechanism to track non-addressable locations in the system.	R				
J	32	Manage Geographic Information	Manage Geographic Information	The system shall allow issuance of a permit or license that does not require an exact address (e.g., area for beer brand registration).	R				
J	33	Manage Geographic Information	Manage Geographic Information	The system shall be able to provide a suggested address if the address provided by an Applicant does not have an exact match in the system.	R				
J	34	Manage Geographic Information	Manage Geographic Information	The system shall be able to track location information in the system as an intersection of street names.	R				
J	35	Manage Geographic Information	Manage Geographic Information	The system shall be able to track location information via GIS coordinates/pin.	R				
J	36	Manage Geographic Information	Manage Geographic Information	The system should be able to track location information as longitude and latitude.	O				
J	37	Manage Geographic Information	Manage Geographic Information	The system shall be able to track location information as a GIS pin on a map.	R				
J	38	Manage Geographic Information	Manage Geographic Information	The system shall be able to validate information captured in the System (or provided by an Applicant) against the Agency's GIS Central Data Repository (e.g., address is located within Agency jurisdiction).	R				
J	39	Manage Geographic Information	Manage Geographic Information	The system shall be able to track violations by location using GIS.	R				
J	40	Manage Geographic Information	Manage Geographic Information	The system shall allow users to view GIS maps without being logged in.	R				
J	41	Manage Geographic Information	Manage Geographic Information	The system shall allow users to execute queries related to GIS data (e.g., search licenses map) without being logged in.	R				
J	42	Manage Geographic Information	Manage Geographic Information	The system shall allow the user to indicate the location of user's business or permit, including parcel, address, or GIS coordinates (or select the location from a map).	R				
J	43	Manage Geographic Information	Manage Geographic Information	The system shall provide an option for staff to search for a particular location to see active applications for licenses, permits issued by NLCC, etc. in a designated geographical area on an interactive map that displays active projects (i.e., "What's going on in my neighborhood?").	R				
J	44	Manage Geographic Information	Manage Geographic Information	The system shall flag applications that violate license location guidelines, triggered by geographical data.	R				
J	45	Register Alcohol Brand	Register Alcohol Brand	The system shall allow authorized users to report alcohol brand territory with geographical data.	R				
J	46	Manage Documents	Record Internal Note on a Record	The system shall provide the ability to perform internal real-time message routing to broadcast information to a predefined group of users (e.g., all assigned reviewers to a cancelled application are notified of the cancellation once it is processed in the system).	R				
J	47	Manage Documents	Record Internal Note on a Record	The system shall allow Staff to append general informational notes to applications, review tasks, or an overall record in the system.	R				
J	48	Manage Documents	Record Internal Note on a Record	The system shall have a single point to view all notes associated to a record.	R				
J	49	Manage Documents	Record Internal Note on a Record	The system shall provide a template for the user to enter an internal note, including but not limited to the elements below: may include dropdown of standard set of comments to choose from (e.g., "Received phone call from Applicant"), and may include a text field to capture customized comments (e.g., "Applicant had a question regarding a license. I provided them with the license information for the property...").	R				
J	50	Manage Documents	Record Internal Note on a Record	The system shall pre-populate the template with information about the user entering the note (name, role, date, time).	R				
J	51	Manage Documents	Record Internal Note on a Record	The system shall send electronic notifications to other collaborating users when notes are added/modified on the record.	R				
J	52	Manage Documents	Record Internal Note on a Record	The system shall have the ability to make application notes private (NLCC staff only).	R				
J	53	Manage Documents	Record Internal Note on a Record	The system shall allow or disallow the editing or deletion of notes according to business rules and/or user permissions.	R				
J	54	Manage Documents	Record Internal Note on a Record	The system shall have the capability to record action taken on a record (e.g., approval of application) as a "note," viewable in the same way as manually created notes, capturing the user responsible, and the date and time of the action to manage and view activity taken on a record.	R				
J	55	Manage Documents	Record Internal Note on a Record	The system shall prominently display all notes and flags so that they are not missed by reviewers.	R				
J	56	Manage Documents	Record Internal Note on a Record	The system shall allow authorized users to edit previous notes on the record.	R				

J	57	Manage Documents	Record Internal Note on a Record	The system shall allow authorized users to add notes to a record based on a configurable duration of time since the record was created.	R				
J	58	Manage Documents	Manage Documents	The system shall allow a user to upload documentation online via the customer portal.	R				
J	59	Manage Documents	Manage Documents	The system shall allow staff to upload documentation submitted in paper format, that has been scanned, into the system.	R				
J	60	Manage Documents	Manage Documents	The system shall allow personnel to upload files and attach them to a record in the system.	R				
J	61	Manage Documents	Manage Documents	The system shall have the ability to upload multiple versions of the same document and maintain version control.	R				
J	62	Manage Documents	Manage Documents	The system shall provide a way to differentiate between multiple versions of the same document through a naming or numbering convention configurable by NLCC.	R				
J	63	Manage Documents	Manage Documents	The system shall support uploading of documents for "information purposes only".	R				
J	64	Manage Documents	Manage Documents	The system shall capture metadata regarding the upload, such as the date /time and any file type of the documentation that was uploaded.	R				
J	65	Manage Documents	Manage Documents	The system shall have the capability to enforce or automatically generate document naming conventions.	R				
J	66	Manage Documents	Manage Documents	The system shall provide user-defined template fields to allow users to provide key metadata during the document upload process (e.g., document name, document description).	R				
J	67	Manage Documents	Manage Documents	The system shall have the ability for a user to indicate the document type they are submitting.	R				
J	68	Manage Documents	Manage Documents	The system shall have the ability for a user to indicate the document they are submitting is a new version of a previously submitted document.	R				
J	69	Manage Documents	Manage Documents	The system shall have the ability to associate documentation with one or more records in the system according to business rules (an application, a project, a transaction, a license/permit etc.).	R				
J	70	Manage Documents	Manage Documents	The system shall have the capability to export documents and reports from the system (e.g., print, email).	R				
J	71	Manage Documents	Manage Documents	The system shall support electronic signature via the online portal (i.e., click to sign, initial and date indicates electronic signature).	R				
J	72	Manage Documents	Manage Documents	The system links the electronic signature to the document(s) being signed, if appropriate.	R				
J	73	Manage Documents	Manage Documents	The system can apply an electronic signature obtained out in the field via a mobile device to the document they are signing (e.g., Violator signs the investigation report out in the field electronically to confirm receipt).	R				
J	74	Manage Documents	Manage Documents	The system shall have the capability to capture electronic certification (e.g., user agreement with terms and conditions).	R				
J	75	Manage Documents	Manage Documents	The system shall have the capability to save drafts of generated documents.	R				
J	76	Manage Documents	Manage Documents	The system shall track the users who edited the document and the date/time of changes.	R				
J	77	Manage Documents	Manage Documents	The system shall allow multiple staff to access and collaborate on a document in the system.	R				
J	78	Manage Documents	Manage Documents	The system shall have the capability to generate and manage multiple document template types, including but not limited to the following: Forms, Letters, Licenses, Permits, Emails.	R				
J	79	Manage Documents	Manage Documents	The system shall be able to track whether a document has been sent to a Customer (and date/time sent).	R				
J	80	Manage Documents	Manage Documents	The system shall have the capability for staff to customize document templates (e.g., edit a letter's standard contents prior to sending to the Customer).	R				
J	81	Manage Documents	Manage Documents	The system shall have the capability to automatically pre-populate templates with data from the system.	R				
J	82	Manage Documents	Manage Documents	The system shall have the capability to allow staff to manually select data to populate templates from data sets in the system.	R				
J	83	Manage Documents	Manage Documents	The system shall be able to generate documents such as receipts, permits, licenses, letters, etc. that can be posted to the customer portal and available for printing by the user.	R				
J	84	Manage Documents	Manage Documents	The system shall have the ability to overlay documents with watermarks.	R				
J	85	Manage Documents	Manage Documents	The system shall save documents generated by the system such as licenses, license renewals, and license re-prints.	R				
J	86	Report On & Analyze Data	Create Report	The system shall provide built-in ad-hoc reporting capabilities.	R				
J	87	Report On & Analyze Data	Create Report	The system shall provide built-in reporting capabilities (e.g., the ability to run reports within the system with report parameters automatically passed to the report (if applicable)) and allow staff to drill into detailed data by clicking on a application or license number.	R				
J	88	Report On & Analyze Data	Create Report	The system shall support scheduled reports that are sent to specific users or user groups. Reports to support multiple formats including PDFs, Excel, Word, CSV, XML, pipe delimited, etc.	R				
J	89	Report On & Analyze Data	Create Report	The system shall be able to track licensing at the corporation level.	R				
J	90	Report On & Analyze Data	Create Report	The system shall be able to track the licenses at the ownership level.	R				
J	91	Report On & Analyze Data	Create Report	The system shall be able to track the history of licenses at a location.	R				

J	92	Report On & Analyze Data	Create Report	The system shall have the ability to generate detailed management and analysis reports related to complaints (e.g., types, volumes, etc.).	R				
J	93	Report On & Analyze Data	Create Report	The system shall have the ability to auto-associate a digital permit or license report with the generated license or permit record for storage in the system's document management system.	R				
J	94	Report On & Analyze Data	Perform Search	The system shall provide a wide range of ad-hoc searching capabilities to search all data fields in the system and support business needs, such as searching at the project, license, application, location, or person level according to various attributes and multiple search criteria.	R				
J	95	Report On & Analyze Data	Perform Search	The system shall provide the ability to search all data in the system by keyword.	R				
J	96	Report On & Analyze Data	Perform Search	The system shall support sorting of displayed records based on attributes.	R				
J	97	Report On & Analyze Data	Perform Search	The system shall support filtering of displayed records based on attributes.	R				
J	98	Report On & Analyze Data	Perform Search	The system shall be able to save a search as a template to easily retrieve and execute in the future.	R				
J	99	Report On & Analyze Data	Perform Search	The system shall have the capability to search for a document by document attributes (document name, date sent, related application, etc.).	R				
J	100	Report On & Analyze Data	Perform Search	The system shall be able to export search results in Microsoft Excel format.	R				
J	101	Report On & Analyze Data	Perform Search	The system shall be able to export search results in pdf format.	R				
J	102	Report On & Analyze Data	Perform Search	The system shall be able to save search results in the system.	R				
J	103	Report On & Analyze Data	Perform Search	The system shall prevent the user from executing a large query or report that will exceed the predefined threshold for the number of results returned that may impact system performance if the report is run.	R				
J	104	Report On & Analyze Data	Perform Search	The system shall provide options for suggested searches if a search does not return a search result.	R				
J	105	Provide Data for Public Consumption	Provide Data for Public Consumption	The application must allow system administrators to define what data elements are and are not visible to the public and to licensees who are logged in.	R				
J	106	Provide Data for Public Consumption	Provide Data for Public Consumption	The system shall publish and update appropriate publicly available data sets at a frequency determined by NLCC.	R				
J	107	Provide Data for Public Consumption	Request Information	The system shall allow the public to submit requests for information to NLCC, triggering a notification to appropriate NLCC staff.	R				
J	108	Provide Data for Public Consumption	Perform Search	The system shall allow users to search data in the system that has been designated as displayable to the public via the customer portal without being logged in.	R				
J	109	Provide Data for Public Consumption	Perform Search	The system shall return relevant data that matches search criteria entered by the user via the online portal (additional searching and reporting requirements are included in the General Tab).	R				
J	110	Provide Data for Public Consumption	Perform Search	The system shall allow the data returned in the online portal searches to be exported out of the system (i.e., downloaded in Excel format) if request is allowable (not all information requests may be downloaded).	R				
J	111	Provide Data for Public Consumption	Perform Search	The system shall allow the data returned in the online portal searches to be properly formatted for printing.	R				
J	112	Provide Data for Public Consumption	Perform Search	The system shall provide an option for customers to search for a particular location to see active applications for licenses, permits issued by NLCC, etc. in a designated geographical area on an interactive map that displays active projects (i.e., "What's going on in my neighborhood?").	R				
J	113	Manage Inventory	Manage Inventory	The system shall process keg / law book requests.	R				
J	114	Manage Inventory	Manage Inventory	The system shall allow users to submit keg / law book requests via the online portal.	R				
J	115	Manage Inventory	Manage Inventory	The system shall notify NLCC staff when a keg / law book request has been submitted.	R				
J	116	Manage Inventory	Manage Inventory	The system shall maintain an inventory of keg books and law books.	R				
J	117	Manage Inventory	Manage Inventory	The system shall maintain a history of keg / law book requests and update the inventory as necessary.	R				
J	118	Manage Inventory	Manage Inventory	The system shall maintain a record of keg books numbers purchased by retailers for internal reference by NLCC.	R				
J	119	Manage Inventory	Manage Inventory	The system shall send a notification to NLCC staff if keg / law book inventory drops below a certain number.	R				

ID	Category	Sub-Category	Requirement	Required (R) vs. Optional (O)					Explanation or Comments	
				(C)onfiguration	(A)utomation	(B)oth	(N)one	(I)ntegration w/ 3rd Party Product (Y/N)		
K	1	N/A	N/A	The system shall provide best practice, configurable workflow templates (e.g., allow for configuration and automation of the common types of events and processes to be performed in the licensing and permitting lifecycle [e.g., application intake and processing, hearings, reviews, etc.]).	R					
K	2	N/A	N/A	The system shall allow for the set up of process workflows to include end-to-end process steps and milestones.	R					
K	3	N/A	N/A	The system shall provide data validation rules to ensure data validity at the time of entry (e.g., prevent an alpha character to be entered into a field that is configured to have only numeric values entered by the user).	R					
K	4	N/A	N/A	The system shall provide the ability to configure custom workflows including but not limited to: application, license, permit, document or hearing type, etc.	R					
K	5	N/A	N/A	The system shall have the ability to support workflow task triggers (scheduled, time-based, condition based, manual, etc.).	R					
K	6	N/A	N/A	The system shall have the ability to support workflow task routing (scheduled, time-based, condition based, manual, etc.).	R					
K	7	N/A	N/A	The system shall display all completed workflow tasks and related workflow data (e.g., timestamp, username) in the system to provide a comprehensive view of activity taken on a record.	R					
K	8	N/A	N/A	The system shall display all uncompleted workflow tasks and related workflow data (e.g., due date, assigned user) in the system to provide a comprehensive view of pending activity that will occur on a record for processing according to the associated workflow.	R					
K	9	N/A	N/A	The system shall support reporting on workflow-related transactions (e.g., transaction volume, response time, amount of time a workflow step was in the user's control, operational reporting).	R					
K	10	N/A	N/A	The system shall allow clocks for a workflow task to stop and start according to business rules.	R					
K	11	N/A	N/A	The system shall allow authorized users (i.e., supervisor) to override and modify any workflow task progression in the system at any time.	R					
K	12	N/A	N/A	The system shall allow an authorized user to modify or otherwise correct the license type (or other pertinent data associated with a record that is impacting its workflow processing rules) to provide the correct information.	R					
K	13	N/A	N/A	The system shall allow an authorized user (i.e., supervisor) to edit the workflow history of a record (e.g., to correct errors).	R					
K	14	N/A	N/A	The system shall allow a business user (i.e., non-IT personnel) the ability to add and/or change business rules in the system easily through the user interface (according to user roles/permissions).	R					
K	15	N/A	N/A	The system shall retain a revision history for business rule and workflow changes in the system including author, type, date and time of change(s).	R					
K	16	N/A	N/A	The system shall have the ability to set an effective date for a business rule or workflow change.	R					
K	17	N/A	N/A	The system shall allow an authorized user to set an expiration date for a business rule or workflow change.	R					
K	18	N/A	N/A	The system shall have the ability to allow a user with designated privileges to select to roll back (e.g., undo) original business rules configured in a workflow as a group by specified dates, and ignore all new changes after the date.	R					
K	19	N/A	N/A	The system shall have the ability to associate workflow tasks to a role in the system (e.g., workflow task is always assigned to [XYZ type] Reviewer) according to business rules configurable in the system.	R					
K	20	N/A	N/A	The system shall support individual user account work queue assignment (i.e., workflow task is assigned to one individual).	R					
K	21	N/A	N/A	The system shall support department-based work group assignment (e.g., workflow task is assigned to Licensing Dept. etc.).	R					
K	22	N/A	N/A	The system shall support role-based work group assignment (e.g., workflow task is assigned to a user with the role of [XYZ type] Reviewer).	R					
K	23	N/A	N/A	The system shall allow for multiple workflows to be configured in the system that differ across individual business areas according to the requirements (e.g., workflow assignment rules differ by department).	R					

K	24	N/A	N/A	The system shall enforce a workflow routing list definition that supports "if...then" logic.	R					
K	25	N/A	N/A	The system shall allow a reviewer to have an individual workflow task with a due date and timeline, which may be different from other reviewers' due date and checklist assigned to the same task (e.g., Reviewer 1's due date is in 5 days, #2 is allowed 10 days per their agency's review target).	R					
K	26	N/A	N/A	The system shall provide the ability to perform automatic approval when transactions meet defined criteria (e.g., some permits can be issued automatically via the online portal once payment is made).	R					
K	27	N/A	N/A	The system shall provide the ability for a user to view and/or quickly access the last work list item(s) the user was working on.	R					
K	28	N/A	N/A	The system shall allow the ad-hoc sorting and filtering of NLCC staff task list.	R					
K	29	N/A	N/A	The system shall support configurable workflow task due dates (e.g., task is always due 10 days from task assignment).	R					
K	30	N/A	N/A	The system shall support configurable workflow task durations.	R					
K	31	N/A	N/A	The system shall support and allow workflow task assignments (e.g., application, license review, complaint investigations) rules that follow First In First Out (FIFO) approach.	R					
K	32	N/A	N/A	The system shall allow a workflow task to be prioritized over other tasks in the work queue (e.g., Supervisor flags a workflow task to be addressed first in a Reviewer's queue).	R					
K	33	N/A	N/A	The system shall support workflow tasks that do not need to be assigned (e.g., if a user data-enters an application he or she should not have to assign it to themselves to be able to process it).	R					
K	34	N/A	N/A	The system shall support status changes for a record that is driven by the change in status of its underlying workflow tasks (e.g., overall record status updates to "Under Completeness Review" once the Completeness Review task is assigned to a staff member).	R					
K	35	N/A	N/A	The system shall support status changes for an individual workflow task.	R					
K	36	N/A	N/A	The system shall support the automatic update of a status change for a workflow task.	R					
K	37	N/A	N/A	The system shall support the manual update of a status change for a workflow task.	R					
K	38	N/A	N/A	The system shall allow documents to be sent electronically according to defined routing lists and business rules as part of a workflow task, or a communication / notification.	R					
K	39	N/A	N/A	The system shall have the ability to trigger all required downstream workflow related to the issuance of a licenses or permit, configurable by license /permit type.	R					
K	40	N/A	N/A	The system shall have the ability to prevent or allow transaction execution by a user according to the role-based security assigned to the user in the system.	R					
K	41	N/A	N/A	The system shall support configurable security permissions within a user role so that the user role can be custom defined.	R					
K	42	N/A	N/A	The system shall have the ability to create a user name and temporary user password when a Customer account is created (for customer portal accounts).	R					
K	43	N/A	N/A	The system shall send an email to the new user account, using the email entered into the new user account, that the account is ready for activation (for customer portal accounts).	R					
K	44	N/A	N/A	The system shall allow, based on user role, viewing or accessing information, including documents, modules, screens, fields, etc.	R					
K	45	N/A	N/A	The system shall have the capability to allow specific transactions to be performed without a user account.	R					
K	46	N/A	N/A	The system shall be able to include the user's user name and temporary password in the activation email (for customer portal accounts).	R					
K	47	N/A	N/A	The system shall be able to include an activation link in the activation email (for customer portal accounts).	R					
K	48	N/A	N/A	The system shall flag inactive accounts according to business rules (for customer portal accounts).	R					
K	49	N/A	N/A	The System Administrator shall have the ability to deactivate and/or suspend user accounts (for customer portal accounts).	R					
K	50	N/A	N/A	The System Administrator shall have the ability create and modify user accounts (for customer portal accounts).	R					
K	51	N/A	N/A	The system shall allow a designated System Administrator(s) to initiate a change to a Customer's username or password (for customer portal accounts).	R					
K	52	N/A	N/A	The system shall prevent the creation of an account according to predefined business rules (e.g., account already exists for that individual) (for customer portal accounts).	R					
K	53	N/A	N/A	The system shall provide a mechanism where an external user can reset a forgotten password.	R					
K	54	N/A	N/A	The system shall allow for staff to merge records to prevent duplicate Customer accounts (for customer portal accounts).	R					



K	55	N/A	N/A	The system shall provide the ability to designate a secondary approver who is authorized to access the queue and complete a task on behalf of a primary approver when the primary reviewer is unavailable (e.g., Supervisor's designee is authorized to approve an application).	R					
K	56	N/A	N/A	The system shall track licenses in a hierarchy with primary license at the top, then all related secondary licenses / permits associated appropriately.	R					
K	57	N/A	N/A	The system shall support configurable license/ permit application forms for each license/permit type.	R					
K	58	N/A	N/A	The system shall be able to support configurable workflow for the processing of applications for business permits and licenses.	R					
K	59	N/A	N/A	The system shall have the ability to specify subcategories for a license.	R					
K	60	N/A	N/A	The system shall have the ability for license subcategories to have different fees and expiration dates.	R					
K	61	N/A	N/A	The system shall allow categories to be set as inactive so that users do not receive the option anymore in the user's standard choices.	R					
K	62	N/A	N/A	The system shall allow records that are incomplete to be deleted based on a configurable duration since creation; for example, applications that are never submitted.	R					
K	63	N/A	N/A	The system shall allow categories to be deleted that have never been linked to any record.	R					
K	64	N/A	N/A	The system shall support configurable renewal periods, fees, and associated requirements by license type.	R					
K	65	N/A	N/A	The system shall provide the ability to incorporate "checklists" into the workflow process based on the transaction type and/or record type (e.g., XYZ application type).	R					
K	66	N/A	N/A	The system shall provide the ability to configure checklists at the role level (e.g., each reviewer may have a distinct checklist per review task).	R					
K	67	N/A	N/A	The system shall have the ability to maintain a list of tasks that have been assigned to a given user in the system (e.g., Task list).	R					
K	68	N/A	N/A	The system shall support the activation, inactivation, addition and deletion of licenses and permit types in the system.	R					
K	69	N/A	N/A	The system shall support multiple license and permit types, with varying business rules, workflow, and requirements configurable in the system.	R					

# Nebraska Liquor Control Commission (NLCC) Centralized Alcohol Management Project (CAMP)

## Instructions

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Bidder shall complete and submit this Appendix B CAMP Technical Requirements with the proposal response.

For each requirement, bidder should indicate which of the following three options will be used to meet the requirement:

1. **Production Configuration, Business Rule Automation, Both, or None (C, A, B, N)** - Use this column to indicate that the requirement is met by the proposed solution through (C)onfiguration, (A)utomation, (B)oth, or (N)one. If None is selected, indicate if the requirement can be met with the remaining two options.
2. **Product Customization (Y, N)** - Use this column to indicate that the proposed solution meets the requirement through product customization and/or custom developed code. Provide additional details on your response in the Explanation or Comments column.
3. **Integration with 3rd Party Product (Y, N)** - Use this column to indicate that the requirement can only be met through the use and integration with a 3rd party product or solution. Identify the proposed 3rd party product under the Explanation or Comments column.

**Note:**

1. Bidder must address all requirements included in this Appendix B CAMP Technical Requirements, including those marked as (R)equired or (O)ptional.
2. Bidder must return the document to NLCC in excel format.

## Table of Contents

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Category (Tab)	# of Requirements		
	Required	Optional	Total
<a href="#">A. General Technology</a>	35	1	36
<a href="#">B. Enabling Technology</a>	16	2	18
<a href="#">C. Public Web Portal</a>	23	2	25
<a href="#">D. Application Security</a>	42	2	44
<a href="#">E. Mobile</a>	10	4	14
<a href="#">F. Reporting</a>	5	0	5
<a href="#">G. GIS</a>	16	1	17
<a href="#">H. System Interfaces</a>	8	0	8
<b>Totals</b>	155	12	167

ID	Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)utomation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
A	1	Database	The system shall utilize a relational database management system (RDBMS) and support Structured Query Language (SQL) capabilities.	R			
A	2	Database	All data that is managed by the system (e.g., configuration, transactions, etc.) shall be stored in the database repository – any exceptions must be clearly identified.	R			
A	3	Database	The system database shall provide logical separation of configuration tables from data tables.	R			
A	4	Database	The system shall support an online data dictionary and table relationships that describes and maintains information on each data element including data element name and type, PII data, description of the data element, and the format of each data element.	R			
A	5	Infrastructure	The system shall provide a flexible and scalable solution that is compliant within NLCC technical architecture guidelines (e.g., security, platform, network, web, etc.).	R			
A	6	Infrastructure	The system shall support Windows and Linux as server Operating Systems, utilized by NLCC.	R			
A	7	Infrastructure	The system shall fully support the latest Microsoft current business branch. NLCC leverages Office 365 as its subscription-based Office Suite.	R			
A	8	Infrastructure	The system shall be capable of utilizing the NLCC Email infrastructure which is expected to be Office 365 Subscription services for sending and receiving automated or informational emails.	R			
A	9	Infrastructure	The system shall be a web-based application with logical and physical separation of the presentation, business logic, and data layers.	R			
A	10	Infrastructure	The system shall provide an extensible data model and user interface that is configurable.	R			
A	11	Infrastructure	The system shall support sending authenticated emails or SMS messages to support the Technical Requirements and Functional Requirements.	R			
A	12	Infrastructure	The system shall provide a comprehensive, complete solution that minimizes the use of any third-party products.	R			
A	13	Infrastructure	The system shall provide two independent web portals that share the same back-end process workflows and configurations: (1) Staff portal that is not accessible by the public, (2) Public facing portal for customers and general public access. Each portal would provide different levels of functionality and data access that is configurable by NLCC.	R			

ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
A	14	Infrastructure	The system should provide data import functionality to import data from external data stored in a delimited data file format (e.g., comma, tab, etc.) based on user security profiles.	O				
A	15	Infrastructure	The system shall provide data export functionality to export data into a delimited data file format (e.g., comma, tab, etc.) based on user security profiles.	R				
A	16	Infrastructure	The system shall track and display online users, user-specific activities, system uptime, transaction response times to demonstrate system is operating within acceptable levels.	R				
A	17	Infrastructure	The vendor shall install or provide multiple environments to support the development lifecycle which at a minimum includes development, staging, and production environments.	R				
A	18	Infrastructure	The system shall be compatible with NLCC antivirus software (FireEye) that is running on the servers and desktops.	R				
A	19	Maintainability	The system shall support upgrade capability that allows NLCC to upgrade to the latest version of the vendor's product without requiring NLCC staff to reconfigure the system.	R				
A	20	Maintainability	The system shall employ data quality assurance techniques, including but not limited to: input masks, drop down lists with standard responses, application completeness requirements, data validation logic.	R				
A	21	Maintainability	The system shall utilize naming conventions and standards, at a minimum, for data elements, entities and tables, programs, report names based on industry standards and guidelines; relative to NLCC-vendor negotiations concerning system performance and total cost of ownership (TCO).	R				
A	22	Maintainability	The solution functionality and associated business rules shall have the ability to be configured and re-configured (through tools that may not require "code" modifications).	R				
A	23	Maintainability	The screens shall be highly re-configurable, providing the ability to reposition and rename field labels, remove or "turn-off" unused fields, maintain data, and allow the addition of custom-defined fields based on user security profiles.	R				
A	24	Maintainability	The system shall provide the ability to configure and manage business data validation rules.	R				
A	25	Maintainability	The system configuration shall be manageable through a graphical user interface.	R				
A	26	Maintainability	The system workflow shall be managed through the product's business process flow tool.	R				

ID	Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)utomation, (B)oth, or (N)one	Business Rule Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
A	27	Maintainability	The system shall provide the ability to identify configuration differences between two environments and migrate or sync environments (e.g., promote configurations from development to test environments).	R			
A	28	Performance	The system shall have the ability to support a 99.9% availability — excluding planned maintenance.	R			
A	29	Performance	The system shall have the ability to meet the System Recovery Time Objective (RTO) of no more than 2 hours – this is the maximum time system can be offline before services are restored to end users.	R			
A	30	Performance	The system shall have the ability to meet the System Recovery Point Objective (RPO) of no more than 1 hours – this represents the frequency for capturing snapshots of data in an offsite or backup location.	R			
A	31	Performance	The system shall be able to support 50 concurrent staff users who will perform ad-hoc real-time reports.	R			
A	32	Performance	The system shall be able to support 50 concurrent staff users who will run standard report requests.	R			
A	33	Performance	The system shall be able to support 4,000 concurrent customers accessing the public portal.	R			
A	34	Performance	The system shall support an initial staff user base of 50 users with an annual growth rate of 3%.	R			
A	35	Performance	The system shall support an initial customer user base of 20,000 users with an annual growth rate of 5%.	R			
A	36	System Wide	The system shall support digital electronic signatures.	R			

ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
B	1	Application Configuration	The system shall have the capability to manage the end-to-end submission and processing of an application as defined in the functional requirements.	R				
B	2	Application Configuration	The system shall use configurable "number schemes" to uniquely and consistently identify data records (e.g., customer, application, etc.) through the process that spans across multiple divisions.	R				
B	3	Application Configuration	The system shall provide an internal web-based solution for staff to review, process, and manage applications.	R				
B	4	Application Configuration	The system shall provide a public facing web-based solution for customers to submit, manage, and track their applications.	R				
B	5	Application Configuration	The system shall support and enforce configurable data validation rules and conditions to ensure data integrity consistency throughout the application process.	R				
B	6	ECM	The system shall have built-in viewers/converters for a wide variety of file types such as Word, Excel, Images, PDFs.	R				
B	7	ECM	The system shall integrate with security access rules when accessing documents.	R				
B	8	ECM	The system shall provide records management in accordance with NLCC retention policies.	R				
B	9	ECM	The system shall support and handle documents with no maximum file size limits. NLCC shall have the ability to define the maximum file size.	R				
B	10	Infrastructure	The system should provide the ability to transfer large files via secure FTP, email, (up to 4 GB total).	O				
B	11	KPI	The system shall provide workflow analytics capability that integrates with the workflow processing.	R				
B	12	KPI	The system shall provide workflow-based metrics to be used in Key Performance Indicators.	R				
B	13	KPI	The system shall provide configurable dashboards that can display Key Performance Indicators.	R				
B	14	KPI	The system shall provide reporting capability on workflow analytics.	R				
B	15	KPI	The system should provide the ability to publish select KPIs to the customer portal that can be managed by NLCC staff.	O				

ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
B	16	Rules Automation	The system shall provide configurable processes and rule automation to support the application processing by using a consistent set of rules across the organization that are defined once and shared by both customer and staff portals. The system shall also support updating or modifying these rules/processes to meet regulatory or legal changes as necessary.	R				
B	17	Workflow Configuration	The system shall be capable of easily adapting the workflow configuration to business needs (e.g., business rules, fee structures, etc.) through a change in configuration settings.	R				
B	18	Workflow Configuration	The system shall provide workflow alerts to staff and applicant based upon process time settings defined by NLCC.	R				



ID	Type	Requirement					Explanation or Comments	
			(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)		
C	1	Configuration	The vendor shall provide out-of-the-box web components that allow NLCC to configure the layout for the customer web portal.	R				
C	2	Configuration	The system should allow the customer to configure their view and save their preferences.	O				
C	3	Configuration	The customer web portal shall support robust search capabilities to locate information or data records quickly.	R				
C	4	Configuration	The system shall have a customizable online documentation, interactive help, and training materials such as context-specific help, search capability, organization-specific business process documentation and process maps.	R				
C	5	Configuration	The system shall provide NLCC configurable error messages specifying field and error description upon submission of electronic forms and digitized documents when business validation rules are not met.	R				
C	6	Configuration	The system shall allow users to set display preferences such as language, font size, and colors to improve application usability/accessibility.	R				
C	7	Configuration	The system shall support the ability to display system-wide messages throughout the customer web portal without code changes.	R				
C	8	Configuration	The system shall support the ability to display system-wide messages throughout the customer web portal without code changes (i.e. a system wide message about a planned outage).	R				
C	9	EDMS	The system shall have the ability to support attachments via the web portal and through mobile devices.	R				
C	10	General	The customer web portal shall be developed with the latest web design techniques and development technologies.	R				
C	11	General	The customer web portal shall provide consistent site navigation.	R				
C	12	General	The system should provide spell checking functionality of free-form text fields.	O				
C	13	General	The system shall provide clear navigation path that describes or illustrates where the user is located within the web portal (e.g., breadcrumbs, heading titles, etc.).	R				
C	14	General	The system shall provide the ability for the user to perform data entry tasks that minimize the use of a mouse (or pointing) device (e.g., tab sequencing of fields).	R				
C	15	General	The system shall provide responsive design to support multiple display form factors (e.g., mobile devices, desktop displays, etc.)	R				
C	16	General	The system shall have the ability to link to NLCC main online web help portal to request help or submit an online comment or feedback.	R				

ID	Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
C	17	General	The system shall provide the ability to Save/Exit an application at any point in the application submission process.	R			
C	18	General	The system shall provide the customer with the ability to register and update its online profile.	R			
C	19	General	The system shall provide collaborative web browsing capability that allows staff to review the application as the customer complete it online.	R			
C	20	General	The system shall provide the ability for NLCC Staff or Registered Online users to reset passwords based on NLCC specified password requirements.	R			
C	21	General	The system shall maintain a log of user activity, by user account to be accessed by NLCC staff for reference.	R			
C	22	Infrastructure	Customer web portal configurations shall be maintained and also provide backward compatibility after a product upgrade.	R			
C	23	Infrastructure	The customer web portal shall support all of the latest (and one version prior) desktop and mobile browsers (e.g., IE, Edge, Firefox, Chrome, Safari, etc.).	R			
C	24	Infrastructure	The customer web portal shall be fully integrated with the License system and not use separate databases or batch synchronizing processes.	R			
C	25	Interface	The system shall support online payments and work with the interface defined on Tab H.	R			

ID		Type	Requirement	(R)required or (O)optional	(C)onfiguration, (A)utomation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
D	1	Authentication	The system shall require user authentication before the user can access certain business functions. The system shall allow staff and customers the ability to perform certain business functions including, but not limited to: review statuses, comments, etc. without logging into the system. The system shall be configurable by NLCC through security permissions.	R				
D	2	Authentication	The staff system shall enforce NLCC password policies (e.g., password expiration, password strength) based on policies defined in external active directory services.	R				
D	3	Authentication	The staff system shall not store any user credential information as Active Directory maintains the password.	R				
D	4	Authentication	The system shall support different policy and procedures for handling login issues (e.g., automatically inform the customer to reset the password after a certain number of incorrect attempts).	R				
D	5	Authentication	The system shall support user profiles that allow users to configure and save their system preferences to their user profile (e.g., user information, notification preferences, screen/table views, etc.).	R				
D	6	Authentication	The system shall not use "generic" user accounts. System-specific user accounts are acceptable. Please describe how your system works with departments that support shifts such as Fire department.	R				
D	7	Configuration	The system shall allow data to be classified as sensitive or confidential information.	R				
D	8	Configuration	The system shall provide the ability to mask input fields for sensitive or confidential information.	R				
D	9	Error Handling	The system shall provide minimal error information in the event of authentication failure (e.g., "login fail" instead of "user not found" or "password incorrect").	R				
D	10	Error Handling	The system shall provide a protective measure to prevent, detect, and log unauthorized attempts to access the system (e.g., # of invalid login attempts).	R				
D	11	Error Handling	The system shall minimize exception handling information disclosure in case of an exception.	R				
D	12	Error Handling	The system shall return generic error messages to the client, to avoid disclosure of sensitive information.	R				
D	13	Error Handling	The system shall provide a graceful error-handling process and does not rely on internal server error handling process (e.g., IIS, Windows OS).	R				
D	14	Error Handling	The system shall log all errors that include severity, date/time, error description, and error codes. Need the ability to clear system logs.	R				

ID		Type	Requirement	(R)required or (O)optional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
D	15	Error Handling	The system should provide notifications (e.g., email, text, etc.) to assigned administrators for configurable severity error levels.	O				
D	16	Error Handling	The system shall have the ability to prevent, detect, and log unauthorized attempts to access information classified as sensitive or confidential data.	R				
D	17	Error Handling	The system shall provide configurable audit logging on transactions and activities a user may perform.	R				
D	18	Error Handling	The system shall, at a minimum, include the following attributes for each audit log record: IP address, user account ID, date/time stamp, event source, device/browser information, the outcome of an event (success or failure), and any other supplemental information related to the event.	R				
D	19	Error Handling	The system shall provide the ability to send notifications (e.g., email, text) based on configurable audit log activity (e.g., system usage exceeds a certain threshold).	R				
D	20	Error Handling	The system shall prevent unauthorized modifications or deletions of audit log records.	R				
D	21	Error Handling	The system should provide reporting capability to query for audit log records matching specific criteria (e.g., audit logs for a specific user between certain dates).	O				
D	22	Error Handling	The system shall provide the canned reports such as error and exception reports, usage reports, etc.	R				
D	23	Infrastructure	The system shall support session management across a web server load balanced environment.	R				
D	24	RBAC	The system shall support Role-Based Access Control (RBAC) in managing user permissions.	R				
D	25	RBAC	The NLCC finance staff shall have specific permissions to configure fees, credits, etc.	R				
D	26	RBAC	The NLCC cashiering staff shall have specific permissions to accept payments and process fees.	R				
D	27	RBAC	The system shall provide granular access control to different types of data records based on the following permissions: - Read - Write - Modify - Delete	R				
D	28	RBAC	The system shall support department-specific administrators to manage division-specific user groups and user accounts.	R				
D	29	RBAC	The system shall allow NLCC users to have multiple roles in the system based on the division assigned.	R				
D	30	Security	The system shall not pass session identifiers in plain-text.	R				
D	31	Security	The system shall not store any private or sensitive data in the error logs (e.g., passwords).	R				

ID	Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)utomation, (B)oth, or (N)one	Business Rule Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
D	32	Security	The system shall encrypt any data classified as sensitive or confidential before persistence to a data store.	R			
D	33	Security	The system shall not store customer financial information.	R			
D	34	Security	The system shall not store database connection information, passwords, and any other sensitive credentials in plain text.	R			
D	35	Security	The system shall support scanning of files for viruses and malware.	R			
D	36	Security	The system shall allow an administrator to disable a user account.	R			
D	37	RBAC	The Customer Web Portal shall support multiple access authorization levels for different users, user groups, or roles. Such as, anonymous users and read-only users who have increased privileges to data.	R			
D	38	Security	The Customer Web Portal shall ensure session state is protected from unauthorized access.	R			
D	39	Security	The Customer Web Portal shall ensure session identifiers are not passed in query strings and the system does not allow SQL injection, Cross-Site scripting, etc.	R			
D	40	Security	The Customer Web Portal shall ensure temporary objects are removed from the system, database connections are closed, and memory is released.	R			
D	41	Security	The Customer Web Portal ensures all input parameters are validated (including form fields, query strings, cookies, and HTTP headers).	R			
D	42	Security	The system shall support public certificates and pass all data over TLS (minimum of TLS 1.2).	R			
D	43	Security	The customer web portal shall be ADA WCAG 2.0 and Section 508 compliant.	R			
D	44	Security	The system shall have the ability to display the last date and time the user logged onto the system.	R			

ID		Type	Requirement	(R)required or (O)ptional	(C)onfiguration, (A)utomation, (B)oth, or (N)one	Business Rule Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
E	1	Configuration	Business rules and configurations defined in the system shall be applied consistently on both desktop and mobile devices (defined once, enforced across all device platforms).	R				
E	2	Compatibility	The system shall provide mobile access to desktop equivalent functions. (any exceptions needs to be identified). Please describe what desktop functions do not work on the mobile app.	R				
E	3	Configuration	The system shall support searching, filtering, and sorting of all system configured license types including links to related liquor license data.	R				
E	4	EDMS	The system shall have the ability to access, view, and edit documents/files.	R				
E	5	EDMS	The system shall support capturing and uploading images via mobile devices and the ability to link associated business license types.	R				
E	6	EDMS	The system should support capturing and uploading videos, or any file types via mobile devices and the ability to link associated business license.	O				
E	7	EDMS	The system shall support the ability to download a document in the field and markup the document, image, or draw a new document in the field.	R				
E	8	General	The system shall support speech to text capability.	R				
E	9	General	The system should support capturing handwritten signatures on mobile devices.	O				
E	10	Infrastructure	The system shall support iOS and Windows mobile platform.	R				
E	11	Infrastructure	The system should provide the ability to operate in both connected (with the available network) and disconnected mode (without a network, with automatic data synchronization when the network is available).	O				
E	12	Infrastructure	The system should be able to cache data if connectivity is temporarily lost while in the field.	O				
E	13	Infrastructure	The system shall provide the ability to warn / notify mobile application and connectivity issues.	R				
E	14	RBAC	The system shall apply for security and access control permissions consistently on both desktop and mobile devices.	R				

ID		Type	Requirement	(R)required or (O)optional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration w/ 3rd Party Product (Y/N)	Explanation or Comments
F	1	AdHoc	The system shall support configurable dashboards that may be used to display analytics (including geospatial data) for different users or user groups (e.g., customer, field staff, etc.).	R				
F	2	AdHoc	The system shall provide built-in ad-hoc reporting capabilities (e.g., the ability to run reports within the system with report parameters automatically passed to the report (if applicable)).	R				
F	3	AdHoc	The system shall allow staff to drill into detailed data by clicking on a application or business license number.	R				
F	4	Communication	The system shall support scheduled reports that are sent to specific users or user groups. Reports to support multiple formats including PDFs, Excel, Word, CSV, XML, pipe delimited, etc.	R				
F	5	General	The system shall fully support and integrate with Microsoft SQL Reporting Services, SSRS and OBIEE as the reporting platforms.	R				

ID		Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
G	1	NLCC uses NE GIS services as a central GIS repository. The system shall provide the ability to support ESRI's ArcGIS Server, ArcGIS Online, ArcGIS Enterprise, as the GIS software and to work with OCIO standard developer products to avoid redundant/unnecessary data entry or data conversion into the new system. The software must support current ESRI software.	R				
G	2	The system shall provide the ability to use existing topology and connectivity stored within OCIO GIS with full current ESRI functionality to avoid redundant/unnecessary data entry or data conversion.	R				
G	3	The system shall provide the ability to assign user and/or user group permissions to GIS map features, functionality, and services. This includes permission around GIS maps exposed to the Public Portal.	R				
G	4	The system shall have the ability to search and retrieve address information from central OCIO GIS system.	R				
G	5	The system shall have the ability to display a location on a map based on GIS location or coordinates.	R				
G	6	The System shall have the ability to associate non-addressable based locations (e.g., alcohol brand territories).	R				
G	7	The System shall have the ability to select map objects real-time and retrieve and overlay data attribute information from NLCC GIS System that are pertinent to the application/license (e.g., alcohol brand territories).	R				
G	8	The System shall support geographical proximity alerts that check geographical surroundings to inform whether or not the license conforms to the NLCC's business rules.	R				
G	9	The System shall support geospatial querying and display results in a map view.	R				
G	10	The system shall provide new layers and fields published by the OCIO system.	R				
G	11	The system shall provide the ability for users to zoom in/out and pan in Map view.	R				



ID		Requirement	(R)required or (O)ptional	(C)onfiguration, (A)Business Rule Automation, (B)oth, or (N)one	Customization (Y/N)	Integration /w 3rd Party Product (Y/N)	Explanation or Comments
G	12	The system shall provide the ability to display GIS attributes by unique entity or ranges.	R				
G	13	The system shall provide the ability to perform basic map viewing functions including display, drill-down, query, and analyze dynamic map data in Map view.	R				
G	14	The system shall provide the ability to print maps in Map view and export to NLCC template which is PDF.	R				
G	15	The system should allow for point-and-click and area sketch location selection for service events that do not directly correspond to an address.	O				
G	16	The system shall have the ability to push NLCC data to the GIS system.	R				
G	17	The system shall have the ability to push Liquor License data to the GIS system.	R				

ID	System/Interface	Description	Interface Type							Explanation or Comments	
			(Interface, Real-Time or Batch)	(Either One-Way or Two-Way)	(Required or Optional)	(Configuration, Automation, (A) Business Rule)	(Both, or (N) None)	(Customization (Y/N))	(Integration w/ 3rd Party Product (Y/N))		
H	1	General	The system shall be capable of integrating using standards-based, web services.					R			
H	2	General	The customer web portal shall provide and support RESTful web services or Custom API's that provide secure invoking and logging for invalid attempts.					R			
G	3	OnBase Enterprise Content Management System	OnBase is the electronic Enterprise Content Management System and NLCC desires a real-time integration between the two systems that allows all document types (image, word, excel, pdf, etc.) to be posted and retrieved from OnBase. The OnBase system will function as the system of record for all CAMP document storage.  This system has been configured to process Special Designated Licenses (SDLs) for NLCC but this business process will be consolidated with the rest of NLCC's licensing and permitting processes and handled by the future state solution.	I	R	2	R				
H	4	JD Edwards (E1)	JD Edwards is the NLCC financial system of record. NLCC intends to have CAMP and JD Edwards system integrate whereas data is manually entered between the two systems, currently. NLCC intends to leverage multiple batch interfaces:  1. Need a nightly batch that posts daily payments received to JD Edwards by General Ledger account numbers. Required fields are transmitted to E1 to create a journal entry.  2. Need a monthly batch that posts a summary of all payments to proper GL accounts.	I	B	2	R				
H	5	PayPort	This is the payment portal leveraged across Nebraska state agencies. This system is used for debit/credit payments and resides on the Nebraska Interactive website.	I	R	2	R				
H	6	Nebraska Interactive	Responsible for NLCC's public facing website responsible for handling ACH payments.	I	R	2	R				
H	7	Civix	Civix is a system leveraged by Nebraska's Office of the Secretary of State. NLCC uses this system to ensure business have an active corporation status registered with the State. The system must be able to validate license status with the Secretary of State at the time of application.	I	R	1	R				
H	8	GIS - ESRI	NLCC intends to have the address and property information populated by OCIO's central GIS repository. The interface must also allow liquor licenses / permits to be displayed geospatially on the map.	I	R	2	R				

## **6677 Z1 Appendix C: CAMP Cost Workbook**

**6677 Z1 Appendix C: CAMP Cost Workbook**  
**Table of Contents**

**Bidder:** **Insert Bidder Name**

**Insert Bidder Name here**

Worksheet Title / Hyperlink	Description
<a href="#">Instructions</a>	Instructions for completing CAMP Cost Workbook
<a href="#">1. Total Cost Summary</a>	Worksheet to display a summary of the total proposed costs. THIS WILL AUTOPOPULATE FROM OTHER TABS. No changes needed.
<a href="#">2. Labor Rates</a>	Worksheet for itemizing hourly rate structures for proposed project personnel.
<a href="#">3. Implementation Services</a>	Worksheet for one-time implementation project costs. Assumption: Implementation services will be the same for hosted or on-premise solution.
<a href="#">4. Software - One Time Costs</a>	Worksheet for initial software licensing costs
<a href="#">5. Software - Ongoing Costs</a>	Worksheet for ongoing (maintenance / hosting) costs on an annual basis
<a href="#">6. Optional</a>	Worksheet for optional services

**PLEASE NOTE:**

1. The Bidder Name in the space provided in light-green highlight will populate across all other worksheets.
2. Cells requiring Bidder data entry are marked in light-green highlight to clearly indicate which cells are available for data entry as indicated above left.
3. Cells that contain titles and formulas are marked in gray highlight.
4. Cells that are not applicable are marked in black highlight.
5. It is the Bidder's responsibility to ensure the integrity of the Cost Workbook formulas and links.

## 6677 Z1 Appendix C: CAMP Cost Workbook

### Instructions

Insert Bidder Name

<b>Please refer to RFP for details describing the services and scope of the system implementation services, and maintenance support and operations services to be provided and priced in accordance with this Cost Workbook.</b>	
1.	This workbook contains multiple worksheets designed to provide an understanding of the costing model used by the bidder. Use of this Cost Workbook is essential to the Proposal evaluation, and it is essential that the bidder use this form in preparing a pricing response to this RFP. Each worksheet within the workbook is designed to elicit specific pricing information related to the requirements of this RFP. <u>Notes on completing each worksheet can be found at the bottom of the tables.</u>
2.	The worksheet labeled TOC (Table of Contents) contains brief descriptions of each spreadsheet, as well as convenient one-click navigation of the Cost Workbook. Bidders must enter the bidder name in the green highlighted areas on the TOC worksheet; this will populate the title of the remaining worksheets. The numbered worksheets are described below:
3.	Tab 1. <b>Total Cost Summary</b> worksheet calculates total costs based on the data entered into worksheets 2 through 5. Bidders do not need to enter data into this worksheet. Costs for deliverables listed in Tab 3 Implementation Services are shown as <u>one-time costs totaled by deliverable grouping and are not calculated by year.</u>
4.	Tab 2. <b>Labor Rates</b> worksheet contains tables corresponding to each grouping of deliverables. The tables list the titles of personnel that could be assigned responsibilities in completing the deliverables for the grouping (e.g., Project Management deliverables).
5.	Tab 3. <b>Implementation Services</b> worksheet provides a table listing the deliverables. The bidder will enter the cost each deliverable in that deliverable group. Bidders may add additional deliverables as deemed necessary by inserting rows into the worksheet at the bottom of the list currently in each table. In this case, the associated formulas must be copied into columns D and E for that deliverable. Payments will be made using a deliverables-based approach and the deliverable <u>review and approval process described in RFP "Deliverables" Section.</u>
6.	Tab 5. <b>Software - Ongoing Costs</b> worksheet is designed to elicit the pricing of ongoing maintenance support and operations throughout the implementation of the project. The worksheet is structured so that maintenance and operations support costs can be itemized on a monthly basis, with costs varying depending on what phase functionality has already been released to production.
7.	Tab 4. <b>Software - One Time Costs</b> worksheet is designed to elicit software licensing pricing.
8.	Additional notes and instructions may be provided at the bottom of each worksheet tab.
	<b>This Cost Workbook shall be completed and be provided separately from the rest of the bidder's proposal.</b>

**6677 Z1 Appendix C: CAMP Cost Workbook  
Total Cost Summary**

**Appendix D: Pricing Workbook  
Total Cost Summary**

THESE CELLS WILL AUTOPOPULATE - DO NOT MAKE CHANGES

Insert Bidder Name

Total Cost Summary: Current CAMP Project			
On-Premise		Hosted	
Description	Total One-time Costs	Description	Total One-time Costs
Implementation Services	\$0.00	Implementation Services	\$0.00
Software - One Time Costs	#REF!	Software - One Time Costs	\$0.00
Software - Ongoing Costs (5 Years)	#REF!	Software - Ongoing Costs (5 Years)	\$0.00
<b>Subtotal</b>	<b>#REF!</b>	<b>Subtotal</b>	<b>\$0.00</b>

## 6677 Z1 Appendix C: CAMP Cost Workbook

### Labor Rates

Insert Bidder Name

Work may be needed that was not originally delineated in this RFP, but considered within the scope of work. This additional work may stem from Legislative mandates, emerging technologies, secondary research, and/or Regulations and Orders not otherwise addressed in this RFP or known at the time this RFP was issued. If additional work is needed, the Contractor must submit a detailed Scope of Work, Title/Role(s), number of hours, and due dates/deliverables for NLCC review and approval.

The bidder must list each role/title and provide an hourly rate. There is no guarantee regarding the number of hours that will be used. These rates are fixed for the initial term of the contract. At renewal time, rates may increase by no more than 5% with supporting justification to justify increase.

The bidder should provide the hourly rate for each Title/Role used to complete optional services.

Staff Position	Hourly Rate	Respondent or Subcontractor Name
Lead Solution Architect		
Business Analyst/Funct. Lead		
Change Management Lead		
Comm./Network Specialist		
Database Administrator		
Database Designer		
Help Desk Specialist		
Hardware Specialist		
Operations Lead/Manager		
Project Director		
Project Manager		
Programmer		
Quality Assurance Manager		
Security Systems Engineer		
Systems Administrator		
Information Security Manager		
Technical Lead		
Technical Writer		
Test Lead/Manager		
Tester		
Training Lead/Manager		
Training Specialist		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
<b>Composite Rate</b>		

**6677 Z1 Appendix C: CAMP Cost Workbook**  
**Implementation Services**

Insert Bidder Name

NLCC Solution Implementation				
ID	Description	Quantity	Phase(s)	Total One-time Costs
1	Project Kickoff Presentation	1	1	\$0
2	Project Schedule	1	1	\$0
3	Project Management Plan	1	1	\$0
4	Requirements Analysis Document	1	1	\$0
5	Solution Implementation Plan	1	1	\$0
6	System Architecture Document	1	1	\$0
7	Functional Design Document	1	1	\$0
8	Requirements Traceability Matrix (Optional)	1	1	\$0
9	Technical Design Document	1	1	\$0
10	Prototypes	1	1	\$0
11	Data Conversion Plan	1	1	\$0
12	Interface Specification Document	1	1	\$0
13	Online Portal Specification Document	1	1	\$0
14	Report Specification Document	1	1	\$0
15	Data Mapping & Conversion	1	1	\$0
16	System Configuration	1	1	\$0
17	Interface Development	1	1	\$0
18	Report Development	1	1	\$0
19	System Testing	1	1	\$0
20	User Acceptance Testing	1	1	\$0
21	End User Training	1	1	\$0
22	Go Live	1	1	\$0
23	System Support & Warranty	1	1	\$0
#	<insert any additional deliverables proposed by Bidder>	0	0	\$0
Total Deliverables Cost for Phase		23	23	\$0

Instructions	
1	Weekly Status Reports are project management deliverables that will not be invoiced separately. Project management costs should be built in to deliverable costs.
2	Bidders may insert additional rows for deliverables based on best practices and proposal. For example, if the Bidder is proposing multiple iterations of the solution to be implemented, then there will be multiple versions of the relevant deliverables. It is the responsibility of the Bidder to ensure that spreadsheet calculations are correct.
3	Quantity is used to indicate if the deliverable will be provided to the Agency multiple times. For example, if the Bidder is proposing an iterative implementation plan and will system test once per phase - and is proposing three phases - then the quantity would be "3". In the Phase(s) column, please indicate which phase(s) the deliverable will be provided (e.g. 1 for Phase 1) that corresponds to the implementation plan described in the Bidder's response.



**6677 Z1 Appendix C: CAMP Cost Workbook**  
**Software**

Insert Bidder Name

HOSTED - One Time Costs				
NLCC Solution Implementation (assume 50 users)				
ID	Description	Quantity (Use '1' for unlimited users)	Unit Price	Price
1	License #1 Cost <INSERT DESCRIPTION>			\$0
2	License #2 Cost <INSERT DESCRIPTION>			\$0
3	License #3 Cost <INSERT DESCRIPTION>			\$0
4	License #4 Cost <INSERT DESCRIPTION>			\$0
5	License #5 Cost <INSERT DESCRIPTION>			\$0
6	License #6 Cost <INSERT DESCRIPTION>			\$0
	Other (specify) - insert rows as needed			\$0
System Software Licensing Cost Subtotal				\$0



**6677 Z1 Appendix C: CAMP Cost Workbook**  
**Software**

Insert Bidder Name

HOSTED - Annual/Ongoing Costs				
NLCC Solution Implementation (assume 50 users)				
ID	Description	Year (YYYY)	Unit Price	Price
1	Hosting Costs - Implementation Period (Y1)			\$0
2	Hosting Costs - Implementation Period (Y2)			\$0
3	Hosting Costs - Implementation Period (Y3) - if applicable. If not, leave blank.			\$0
4	Hosting Costs - Production Y1			\$0
5	Hosting Costs - Production Y2			\$0
6	Hosting Costs - Production Y3			\$0
7	Hosting Costs - Production Y4			\$0
8	Hosting Costs - Production Y5			\$0
	Other (specify) - insert rows as needed			\$0
<b>System Software Licensing Cost Subtotal</b>				<b>\$0</b>

**6677 Z1 Appendix C: CAMP Cost Workbook**

***Optional Services***

**Insert Bidder Name**

Bidder should include any costs for additional services

Optional Modules/Services	Total Cost	
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		
Other (specify)		

# **Centralized Alcohol Management Project (C.A.M.P.) User Stories**

# User Story: Template

User Story Name:	[name]
Primary Actor:	[user role]
Context & Purpose:	[background information] [business value]
Goal / Objective:	[business result of Main Flow end point / Post-Condition]
Pre-Conditions:	[business states prior to process function]
Trigger:	[business action that initiates or creates requirement to proceed with process]
User Story:	<b><i>“As a... [ ] ..., I want to... [ ] ... so that I can ... [ ].”</i></b>
Post-Conditions:	[business states after process function]
Alternate Paths	[alternative outcomes of the process flow, if applicable]

# User Story Index

# User Story Index - Overview

- User stories have been developed to describe the scenarios that the new system must support within the following functional areas:
  - Application Processing
  - License Management
  - License Holder Management
  - License Holder Reporting
  - Auditing
  - Enforcement
  - Legal
  - Training & Education
  - Revenue
  - General Operations
- The index of total user stories developed by functional area are provided on the following slides.

# User Story Index (1 of 4)

Business Area	User Story Name
Application Processing	Submit Application
	Submit Supporting Documentation
	Check Application Status
	Update Application
	Intake Application
	Perform Completeness Review
	Verify Payment
	Verify Background Check
	Assign Application for Detailed Technical Review
	Manage Review Lifecycle
	Perform Detailed Technical Review
	Conduct Application-Related Inspection
	Approve License / Permit
	Perform Management Review
License Management (1 of 2)	Issue License / Permit
	Process License / Permit Changes
	Process Hardship Requests
	Process Temporary Storage Requests
	Process Alcohol Transfers
	Manage License / Permit Status



## User Story Index (2 of 4)

Business Area	User Story Name
License Management (2 of 2)	Process Temporary Operating Permits (TOPs)
	Process Special Designation Licenses (SDLs)
	Process Renewal
License Holder Management	Create Profile
	Update and Change License / Permit Holder Details
	Send Notifications / Reminders
	Track Delinquent Credit Status of a License Holder
	Maintain Active License / Permit Roster
	Manage License / Permit Status
License Holder Reporting	Submit License Holder Report
	Register Alcohol Brand
	Verify Reports
	Submit Amended Report
Auditing	Trigger Audit
	Assign Audit
	Conduct Pre-Audit Meeting
	Conduct Audit
	Perform Onsite Visit
	Close Audit and Enforce Outcome

## User Story Index (3 of 4)

Business Area	User Story Name
Enforcement	Submit a Complaint
	Issue an Administrative Citation
	Report Enforcement Activity
Legal	Request a Hearing
	Schedule a Hearing
	Conduct a Hearing
	Track Appeal
Training & Education	Mandate Training
	Verify Training
	Maintain Online Repository of Educational Materials
Revenue	Manage Customer Financial Account
	Submit Payment
	Manage Cash and Checks
	Accept Payments
	Process Refund

## User Story Index (4 of 4)

Business Area	User Story Name
General Operations & Administration	View Staff Workload Dashboard
	Manage Geographic Information
	Perform Search
	Create Report
	Record Internal Note on a Record
	Manage Documents
	Manage Inventory



# **Application Processing**



# Business Capability:

## Application Processing – Manage the review of new license applications

Application Processing				
<b>Submit Application</b> Submit an application for a license / permit (shipper, retail, wholesale).	<b>Submit Supporting Documentation</b> Submit any supporting documentation related to the license / permit application	<b>Submit Payment</b> Submit payment for license / permit application	<b>Check Application Status</b> Check the status of a previously submitted application for a license / permit	<b>Update Application</b> Provide additional information or correct information on an application
<b>Intake Application</b> Intake and process an application for a license / permit.	<b>Perform Completeness Review</b> Checking the completeness of an application, document, or other information submitted to NLCC	<b>Verify Payment</b> Ensure payment has been made for a license / permit application	<b>Verify Background Check</b> Confirm Applicant meets criteria for a license / permit based on their criminal history	<b>Assign Application for Detailed Technical Review</b> Assigning an application for detailed review by required reviewers once it has passed initial completeness review
<b>Manage Review Lifecycle</b> Track reviews and signoff from required reviewers	<b>Perform Detailed Technical Review</b> Review of application for acceptance / denial; ensure Applicant meets all requirements	<b>Conduct Application-related Inspection</b> Inspect location for compliance with code and confirm eligibility for license / permit.	<b>Approve License / Permit</b> Approve license / permit	<b>Perform Management Review</b> Perform a review of the application by management to determine approval or refer to a hearing

# User Stories for Application Processing

## User Stories for Application Processing

1	<i>As an Applicant, I want to Submit Application(s), so that I can provide the required information and/or documents to initiate an application with NLCC.</i>	9	<i>As NLCC Staff, I want to Assign Application for Detailed Technical Review, so that the application can be reviewed by the appropriate staff or agencies for eligibility.</i>
2	<i>As an Applicant, I want to Submit Supporting Documentation, so that I can satisfy documentation requirements for my application / transaction with NLCC.</i>	10	<i>As NLCC Staff, I want to Manage Review Lifecycle, so that I can determine if all required reviews are completed prior to approving or denying an application, and ensure the application processing is progressing according to defined performance metrics.</i>
3	<i>As an Applicant or License / Permit Holder, I want to Check the Status of my Application(s), so that I can understand where my application is in the process, such as information related to anticipated timelines, fees, application review, etc. without having to contact NLCC through phone, email, or visit in person.</i>	11	<i>As NLCC Staff and/or External Reviewer, I want to Perform Detailed Technical Review, so that I can validate whether an application is complete and eligible for issuance.</i>
4	<i>As an Applicant, I want to Update my Application, so that I can change information on an application to ensure it is complete and accurate.</i>	12	<i>As NLCC Staff, I want to Conduct an Application-Related Inspection, so that I can collect and verify information while processing the application and capture that information as part of my review in the system.</i>
5	<i>As NLCC Staff, I want to Intake Application, so that I can create an application record.</i>	13	<i>As NLCC Staff, I want to Approve License to indicate that Applicant meets eligibility criteria.</i>
6	<i>As NLCC Staff, I want to Perform Completeness Review, so that I can validate whether an application is complete and eligible for further technical review or determine next steps.</i>	14	<i>As NLCC Management, I want to Perform Management Review so that I can make a final determination if NLCC can approve the license / permit application or if it needs to go to a hearing.</i>
7	<i>As NLCC Staff, I want to Verify the application payment has been made successfully so I can validate that an application can be fully processed and appropriate statuses updated in the system.</i>		
8	<i>As NLCC Staff, I want to Verify the Applicant's Background Check results to ensure their criminal history results meet criteria for a license</i>		

# Application Processing – User Story: Submit Application (1 of 2)

User Story Name:	Submit Application
Primary Actor:	Applicant
Context & Purpose:	Applicants will be encouraged to conduct the majority of their business transactions through the online portal (as long as the transaction is eligible to be performed online). The portal will intake submissions of all application types eligible for online submission. Each application type will have a “tailored” application specific to the information and documents required for NLCC to initiate the review of the application.
Goal / Objective:	Create a consistent application intake and online self-service method to increase efficiency during application processing, and reduce manual/paper-based processes.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Applicant has an account and is logged into the system.</li> <li>▪ Application forms are configured in the system.</li> <li>▪ It is not a duplicate of a previously submitted application.</li> <li>▪ The Applicant has the appropriate application for the associated license tier.</li> </ul>
Trigger:	Applicant selects the option to submit an application for his/her selected license, permit, or other transaction type online.
User Story:	<b><i>As an Applicant, I want to Submit Application(s), so that I can provide the required information and/or documents to initiate an application with NLCC.</i></b>

*User Story continued on the next page.*

## Application Processing – User Story: Submit Application (2 of 2)

User Story Name:	Submit Application
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The Applicant has provided information and required documents and received confirmation of the submittal and tracking information.</li> <li>▪ System validated the data entered according to any business rules configured in the system.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Paper documentation will still be accepted by staff in person or by mail and either managed via paper or scanned into the system by staff.</li> <li>▪ <i>Optional Requirement:</i> System should provide an online “wizard” that guides an Applicant through the application process from choosing the correct application to initiate to completing the submission process.</li> <li>▪ System should allow Applicant to save a draft of an application.</li> </ul>



# Application Processing – User Story: Submit Supporting Documentation (1 of 2)

User Story Name:	Submit Supporting Documentation
Primary Actor:	Applicant
Context & Purpose:	Various application types may require required / supplemental documents to be submitted as part of the application process in order for NLCC reviewers to assess and process the Applicant's request. Documentation may also be submitted as part of an audit.
Goal / Objective:	The Applicant is able to provide required documents to NLCC Staff through the Online Portal rather than submitting documentation in paper form.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Applicant has an account and is logged into the system.</li> <li>▪ System is integrated with the NLCC's Document Management solution OnBase to store documentation.</li> <li>▪ System is configured with document types to classify the type of documentation being submitted.</li> </ul>
Trigger:	Supporting documentation is required as part of the initial submission or processing of an application, audit, or other related transaction.
User Story:	<b><i>As an Applicant, I want to Submit Supporting Documentation, so that I can satisfy documentation requirements for my application / transaction with NLCC.</i></b>

*User Story continued on the next page.*

# Application Processing – User Story: Submit Supporting Documentation (2 of 2)

User Story Name:	Submit Supporting Documentation
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The Applicant has satisfied documentation requirements for the application / transaction.</li> <li>▪ Documentation is stored electronically and associated with the relevant record.</li> <li>▪ Document Type is viewable based on security roles.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ While the objective of the future state will be to encourage online document submission through the Online Portal, paper documentation will still be accepted by staff and either managed via paper or scanned into the system by staff.</li> <li>▪ If the upload to the system is unsuccessful, the System should notify Applicant and provide any information that may assist Applicant in completing the upload (e.g., advise of any file size or file type limitations that may be preventing submission).</li> <li>▪ NLCC can post documents/ forms/ templates for the Applicant to fill out.</li> </ul>

# Application Processing – User Story: Check Application Status

User Story Name:	Check Application Status
Primary Actor:	Applicant or License / Permit Holder
Context & Purpose:	The Online Portal will allow an Applicant or License / Permit Holder to track the status of transactions (e.g., applications, submissions, reviews, licenses, etc.) with NLCC through the online portal. Checking status will increase access and transparency into NLCC activities and reduce emails/phone calls to staff during the process.
Goal / Objective:	The Applicant or License / Permit Holder is able to view or verify the status of a specific service or application without having to telephone or email NLCC staff for an update.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ The user has an account and is logged into the system.</li> <li>▪ The application or service status exists in the system and there is information viewable through the online portal to the customer.</li> </ul>
Trigger:	The Applicant or License / Permit Holder has a need to check the status of a particular service or application.
User Story:	<b><i>As an Applicant or License / Permit Holder, I want to Check the Status of my Application(s), so that I can understand where my application is in the process, such as information related to anticipated timelines, fees, application review, etc. without having to contact NLCC through phone, email, or visit in person.</i></b>
Post-Conditions:	The Online Portal has displayed up-to-date status information for the transaction(s) in question.
Alternate Paths	While the objective of the future state will be to encourage Applicants to check their statuses online, Applicants may still choose to check the status of a transaction by phone or in person.

# Application Processing – User Story: Update Application

User Story Name:	Update Application
Primary Actor:	Applicant
Context & Purpose:	An Applicant may need to update / amend a previously submitted application. In some cases, the Applicant may proactively determine a need to change the submitted application. Alternatively, NLCC may notify the Applicant of updates / corrections needed to the application after review has been performed.
Goal / Objective:	The Applicant is able to update an existing application via the online portal and resubmit.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Applicant has an account and is logged into the system.</li> <li>▪ An application exists in the system.</li> <li>▪ The application is eligible for modification.</li> </ul>
Trigger:	An Applicant realizes a need or is notified to update an existing application.
User Story:	<b><i>As an Applicant, I want to Update my Application, so that I can change information on an application to ensure it is complete and accurate.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The new version is saved in the system as a new document</li> <li>▪ Record of date/time of update is preserved</li> <li>▪ Any downstream workflow tasks or notifications are generated.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ While Applicants will be encouraged to leverage the online portal for all eligible transactions, the Applicant may also submit updated application information via paper that is then captured in the system by NLCC Staff.</li> <li>▪ Staff will be able to look at an application in progress.</li> </ul>

# Application Processing – User Story: Intake Application

User Story Name:	Intake Application
Primary Actor:	NLCC Staff
Context & Purpose:	If an application is submitted online, the application will directly proceed to the Completeness Review step and bypass this user story. However, Customers may also apply in person or by mail, in which case NLCC staff will intake the application and data enter the application information into the system. NLCC Staff will take care to associate the new application with the customer's record if they are already in the system and have existing permits or licenses. Staff should also validate the application (e.g., prevent duplicates, validate address and jurisdiction) during intake.
Goal / Objective:	Create an application record in the system for an application submitted in-person or in paper format so that the application is stored electronically going forward.
Pre-Conditions:	User has an account and is logged into the system.
Trigger:	Applicant submits an application to the NLCC in person or via paper.
User Story:	<b><i>As NLCC Staff, I want to Intake Application, so that I can create an application record.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ NLCC Staff has created an application record in the system with the customer's information.</li> <li>▪ If the Applicant provided an email address, he or she will receive a notification confirming the submission.</li> </ul>
Alternate Paths	NLCC Staff may notice that the application is incomplete or does not otherwise meet requirements for submission; staff will reject the application in real time and advise the Applicant on changes they need to make before they can submit.

# Application Processing– User Story: Perform Completeness Review (1 of 2)

User Story Name:	Perform Completeness Review
Primary Actor:	NLCC Staff
Context & Purpose:	For some application types, it may be necessary to require NLCC Staff to review the submitted information in order to ensure the application is complete. This review ensures that deficiencies are flagged earlier in the review process and all required information is routed for the more technical review where the application package is evaluated in detail, and subsequently approved or denied.
Goal / Objective:	Review the application, document or other information submitted to NLCC in order to ensure an application is eligible to move onto the next step in the workflow.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ The user has an account and is logged into the system.</li> <li>▪ An application has been submitted to Staff.</li> <li>▪ Application type requires a Completeness Review step</li> </ul>
Trigger:	An Applicant has successfully submitted an application package via the online portal or staff has completed the Intake Application process (e.g., in person or mail submission).
User Story:	<b><i>As NLCC Staff, I want to Perform Completeness Review, so that I can validate whether an application is complete and eligible for further technical review or determine next steps.</i></b>

*User Story continued on the next page.*

# Application Processing – User Story: Perform Completeness Review (2 of 2)

User Story Name:	Perform Completeness Review
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Staff determines if an application is completed, on hold or incomplete and should contact Applicant for additional information.</li> <li>▪ Staff may publish results of the completeness review to the Online Portal.</li> <li>▪ Staff may have attached notes to the application for official comments or for internal comments.</li> <li>▪ Application is routed to the next step in the workflow.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Staff may perform this process in real time if an application is submitted in person.</li> <li>▪ This user story may not occur for some application types if business rules allow the application to proceed directly from submission to detailed review.</li> </ul>

# Application Processing – User Story: Verify Payment

User Story Name:	Verify Payment
Primary Actor:	NLCC Staff
Context & Purpose:	In some cases a transaction may require payment. In some cases, payment may be made through the online payment and the payment will be verified automatically through an interface with the CAMP system, the payment processor, and the financial system. In other instances, payment may be made through cash or check, which requires manual verification and processing by NLCC Staff.
Goal / Objective:	Confirm that all required payment has been made before allowing the application / transaction to advance to the next step or allowing a status change of a License / Permit Holder.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Applicant has an account and is logged into the system.</li> <li>▪ The Applicant has been charged the appropriate fees and notified of the need for payment.</li> <li>▪ The application has been adequately submitted to be fully processed.</li> </ul>
Trigger:	Applicant has initiated payment.
User Story:	<b><i>As NLCC Staff, I want to Verify the application payment has been made successfully so I can validate that an application can be fully processed and appropriate statuses updated in the system.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The payment is identified as fully processed.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ No payment is found within a defined payment period. A notification is sent to the Applicant to complete their payment.</li> <li>▪ If a check bounces / NSF, Staff would need to follow up to resolve issue. NSF should result in a flag or task generated to ensure that follow up is done / notifications are sent out.</li> <li>▪ Applicant never pays. Appropriate action is taken according to business rules.</li> </ul>



# Application Processing – User Story: Verify Background Check

User Story Name:	Verify Background Check
Primary Actor:	NLCC Staff
Context & Purpose:	Various license or permit applications may require a background check of the Applicant / License or Permit Holder. NLCC Staff will coordinate with the appropriate law enforcement agency(s) to conduct a background check, and NLCC Staff receives the results. Based on the results, an Applicant / License or Permit Holder may or may not be found to be eligible for a license or permit.
Goal / Objective:	Ensure an Applicant or License / Permit Holder is eligible for a license / permit.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ An application or renewal exists in the system and is being processed.</li> <li>▪ Background check has been completed and results have been submitted to NLCC.</li> </ul>
Trigger:	Background check results are submitted to NLCC by law enforcement.
User Story:	<b><i>As NLCC Staff, I want to Verify the Applicant's Background Check results to ensure their criminal history results meet criteria for a license</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Background criteria is indicated as met and the pass/fail information is logged in the system.</li> <li>▪ Background check results are stored in the system.</li> <li>▪ Application is sent for further processing.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Applicant does not fully satisfy background check requirements, application sent to legal for further review (see User Story: Perform Management Review).</li> </ul>

# Application Processing – User Story: Assign Application for Detailed Technical Review

User Story Name:	Assign Application for Detailed Technical Review
Primary Actor:	NLCC Staff
Context & Purpose:	As applications are submitted and processed, Staff may need to manually assign application reviews based on a variety of reasons such as workload, timeline, skill based or technical area reviews. The system shall also be able to automatically assign applications for detailed review according to business rules configured in the system.
Goal / Objective:	Applications are routed to the appropriate staff member(s) for further processing and detailed review.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Application types have business rules configured in the System that route the application package for designated reviews.</li> <li>▪ Staff profiles are set up to enable automatic assignments per business rules.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Application has been submitted and is ready for assignment.</li> <li>▪ Some applications may require successfully passing an administrative Completeness Review prior to assignment.</li> </ul>
User Story:	<b><i>As NLCC Staff, I want to Assign Application for Detailed Technical Review, so that the application can be reviewed by the appropriate staff or agencies for eligibility.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Application has been appropriately assigned to the correct staff member(s) for technical review either systematically or manually.</li> <li>▪ Application appears in the work queue for the assignee.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Supervisor may need to manually assign application reviews.</li> <li>▪ NLCC Staff may need to reassign an application for detailed review.</li> <li>▪ Application may be routed to a group queue where staff can pull from and assign it to themselves.</li> </ul>

# Application Processing – User Story: Manage Review Lifecycle

User Story Name:	Manage Review Lifecycle
Primary Actor:	NLCC Staff or Supervisor
Context & Purpose:	After an application is submitted, it goes through a variety of reviews performed by multiple reviewers. Staff should be able to review the overall process and ensure all reviews are complete before a final decision is issued. By managing the review lifecycle, Staff can better support the processing and tracking of an application by monitoring key metrics.
Goal / Objective:	Staff will be able to manage the review lifecycle in order to ensure all required reviews are completed prior to approving or denying the application, and view the real-time status of a review at any point.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users are logged into the system</li> <li>▪ Applicant has submitted an application for review and it has been assigned for technical review.</li> </ul>
Trigger:	NLCC Staff or Supervisor desires to check the status of the review(s) of the application.
User Story:	<b><i>As NLCC Staff, I want to Manage Review Lifecycle, so that I can determine if all required reviews are completed prior to approving or denying an application, and ensure the application processing is progressing according to defined performance metrics.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ NLCC Staff has the ability to manage the overall review lifecycle from start to finish.</li> <li>▪ All reviews are tracked and monitored in the system.</li> <li>▪ Application processing occurs within specified service performance metrics and meets all deadlines Once all pre-license inspections are completed, the system should trigger a deadline/ notification for NLCC final review.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ System may be set up to proactively notify Staff or Supervisor that application processing is falling behind desired metrics or if a major step has failed.</li> </ul>

# Application Processing – User Story: Perform Detailed Technical Review

User Story Name:	Perform Detailed Technical Review
Primary Actor:	NLCC Staff and/or External Reviewer
Context & Purpose:	Application package is evaluated in detail, and subsequently approved or denied. This step ensures that the application is in compliance with all requirements and is a precursor to issuance. This step may need to be performed by multiple reviewers for some application types.
Goal / Objective:	Staff will be able to review an application in detail (e.g., research eligibility of the application, meet conditions for approval, etc.) to determine approval or referral to legal review.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Staff has an account and is logged in.</li> <li>▪ Application has been assigned to reviewer(s), both internal and external to NLCC.</li> </ul>
Trigger:	Staff receives a task to review the application in their work queue.
User Story:	<b><i>As NLCC Staff and/or External Reviewer, I want to Perform Detailed Technical Review, so that I can validate whether an application is complete and eligible for issuance.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ NLCC Staff and/or External Reviewer has performed a detailed review of the application.</li> <li>▪ Detailed review comments are logged into the system and available on the online portal for Applicant to review.</li> <li>▪ Downstream workflow is initiated, which may include routing of the application for further review, action needed from the Applicant, and/or proceeding towards issuance. See User Story: Issue license / permit.</li> </ul>
Alternate Paths	Staff may need to contact the Applicant and have necessary meetings to discuss the application with the Applicant before the review can be completed or additional information may be required.

# Application Processing – User Story: Conduct Application-Related Inspection

User Story Name:	Conduct Application-Related Inspection
Primary Actor:	NLCC Staff
Context & Purpose:	While performing the detailed review of the application, Staff may need to contact the Applicant and conduct an application-related visit to support the processing of the application. These visits may be considered pre-license investigations or lead to other investigations. See the Investigations user stories for more information on investigations and enforcement.
Goal / Objective:	Staff will be able to conduct on-site visits with the Applicant as a means to collect or verify information to support processing of the application. The task can be scheduled and results associated with the application record.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Application has been submitted for review.</li> <li>▪ Application has been assigned and scheduled for detailed review.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Staff determine the need to conduct an on-site visit, or</li> <li>▪ On-Site visit is required to complete the review according to business rules.</li> </ul>
User Story:	<b><i>As NLCC Staff, I want to Conduct an Application-Related Inspection, so that I can collect and verify information while processing the application and capture that information as part of my review in the system.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ NLCC Staff has completed an on-site visit with the Applicant.</li> <li>▪ On-site visit information is recorded in the system.</li> <li>▪ NLCC Staff has leveraged a mobile device (if applicable) to capture results of the visit out in the field.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ If the pre-license visit is considered an investigation, Staff may process the task as an investigation. See the Enforcement user stories, specifically those related to investigations.</li> <li>▪ Not all licenses or permits require an on-site inspection.</li> </ul>

# Application Processing – User Story: Approve License / Permit

User Story Name:	Approve License / Permit
Primary Actor:	NLCC Staff
Context & Purpose:	Once all reviews (internal and external) have been successfully performed NLCC staff will approve the issuance of the license / permit. Once this final approval is given in the system, the license / permit can be issued (see User Story: Issue License / Permit).
Goal / Objective:	Implement a final step of approval / rejection to ensure all criteria for license or permit issuance has been met prior to issuing the license / permit.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users are logged into the system</li> <li>▪ Applicant has submitted an application for review and it has been assigned for technical review.</li> <li>▪ All technical reviews are complete and each review has been passed successfully.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ The last technical review's results are submitted, which triggers a final review for NLCC staff.</li> </ul>
User Story:	<b><i>As NLCC Staff, I want to Approve License / Permit to indicate that Applicant meets eligibility criteria.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The application's status is updated in the system as approved, which will allow a license to be formally issued and printed</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Upon final review, NLCC staff may observe an issue that needs resolution before approval.</li> <li>▪ NLCC staff may find that not all eligibility criteria may have been met and will refer to management review (see User Story: Perform Management Review)</li> </ul>

# Application Processing – User Story: Perform Management Review

User Story Name:	Perform Management Review
Primary Actor:	NLCC Management
Context & Purpose:	NLCC staff may find that not all eligibility criteria may have been met and the license / permit needs further review by management. NLCC Management will review the license and determine if the license can be approved / issued, or not.
Goal / Objective:	Perform a Management Review of a license / permit application to determine if it can be approved and issued.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users are logged into the system.</li> <li>▪ Applicant has submitted an application for review.</li> <li>▪ Application has not been approved.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ NLCC Staff flags an application for management review based on the results of the detailed technical review.</li> </ul>
User Story:	<b><i>As NLCC Management, I want to Perform Management Review so that I can make a final determination if NLCC can approve the license / permit application or if it needs to go to a hearing.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Management Review decision is captured in the system.</li> <li>▪ License status is updated to approved (if approved by NLCC Management) and can be issued.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ If NLCC Management determines the application cannot be approved as-is, the application will be scheduled for review at a hearing (see Hearing User Stories).</li> </ul>

# License Management



# Business Capability:

## License Management – Ensure Ongoing Compliance & Accurate Information

License Management						
<b>Issue License / Permit</b>	<b>Print License / Permit</b>	<b>Transfer a License / Permit</b>	<b>Process License / Permit Changes</b>	<b>Manage License / Permit Status</b>	<b>Process Hardship Requests</b>	
Issue license once approval has been given	Print issued license for display at the license holder's premises	Transfer a license from one business to another	Modify a previously issued license	Manage pending renewals (e.g. temporary, annual, etc.) and updates based on applications, enforcement, audits, financial status, etc.)	Review and approve hardship requests for a variety of reasons (flooding, tornado, fire, remodeling, etc.)	
						<b>Process Temporary Storage Requests</b>
						Review and approve temporary storage requests, issue a revised license. Extend request as appropriate.
<b>Submit Renewal Application</b>	<b>Make Renewal Payment</b>	<b>Issue Renewal</b>	<b>Process Temporary Operating Permit (TOP)</b>	<b>Process Special Designated License (SDL)</b>	<b>Process Alcohol Transfers</b>	
Submit an application for renewal of license	Make payment for renewal	Issue a renewal once all requirements are complete include any reviews /site visits, etc.	Issue a temporary permit for a pending application according to business rules to facilitate uninterrupted operations during the sale/purchase of a licensed establishment.	A license holder can request a temporary permit to operate in a way that is not covered by the current license.	Review and approve alcohol transfers between license holders. Document the transfer on each license.	

# User Stories for License Management

User Stories for License Management	
1	<i>As NLCC Staff, I want to Issue License / Permit, so that I can grant the request to the Applicant to obtain a license / permit.</i>
2	<i>As NLCC Staff, I want to Process License / Permit Changes, so that I can update existing licensing / permit information so that it is accurate and up to date.</i>
3	<i>As NLCC Staff, I want to Process Hardship Requests, so that I can grant a License Holder's request to maintain their active license in the face of flooding, tornado, fire, remodeling, etc. and revise their current license to record the modification.</i>
4	<i>As NLCC Staff, I want to Process Temporary Storage Requests, so that I can grant a License Holder's request to temporarily store alcohol off their licensed premises.</i>
5	<i>As NLCC Staff, I want to Process Alcohol Transfers, so that I can approve and document alcohol transfers between License Holders.</i>
6	<i>As NLCC Staff, I want to Manage License / Permit Status, so that I can get, update, and understand information about a license / permit, such as view hold, investigations, etc.</i>
7	<i>As NLCC Staff, I want to Process TOPs so that I can grant a License Holder's request to continue operations during sale / purchase of a licensed establishment.</i>
8	<i>As NLCC Staff, I want to Process SDLs so that I can grant a License Holder's request to modify their operations outside of what is covered by their current license.</i>
9	<i>As NLCC Staff, I want to Process Renewal, so that I can review and approve the renewal application and update the license status to reflect the License Holder is in good standing with NLCC.</i>

# License Management – User Story: Issue License / Permit (1 of 2)

User Story Name:	Issue License / Permit
Primary Actor:	NLCC Staff
Context & Purpose:	A license / permit grants permission to the Applicant to conduct business within the NLCC's jurisdiction. License / permit requirements are enforced through the application review and inspection processes, and monitored over time while the license remains active.
Goal / Objective:	Record the issuance of the license in the system and all license information. The license itself can be a document generated from the system and stored as part of the license record.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users are logged into the system.</li> <li>▪ All reviews have been completed and approved.</li> <li>▪ All fees or other liabilities required for the license have been paid.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ System determines that all requirements have been met and license / permit can be issued and automatically issues license / permit, or</li> <li>▪ System notifies staff that all requirements have been met and license / permit can be issued by staff or designee (e.g., City Clerk).</li> </ul>
User Story:	<b><i>As NLCC Staff, I want to Issue License / Permit, so that I can grant the request to the Applicant to obtain a license / permit.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ License / Permit is issued in the system.</li> <li>▪ Applicant can download and print license / permit from the online portal (if eligible for online printing).</li> <li>▪ Notification of license approval sent to appropriate local governing bodies.</li> </ul>

*User Story continued on the next page.*

## License Management – User Story: Issue License / Permit (2 of 2)

User Story Name:	Issue License / Permit
Alternate Paths	<ul style="list-style-type: none"><li>▪ The Applicant may request a replacement copy of their license / permit and may be required to submit a special request. The system shall allow the Applicant to download a new copy of their previously issued license / permit (if eligible for online printing).</li><li>▪ The system should allow batch printing and mailing of issued licenses / permits.</li><li>▪ Staff can print the license / permit out at the office and Applicant may pick it up.</li></ul>

# License Management – User Story: Process License / Permit Changes (1 of 2)

User Story Name:	Process License / Permit Changes
Primary Actor:	NLCC Staff
Context & Purpose:	License / Permit information may change over time. In the future state, a License / Permit Holder shall be allowed to make some changes to their license / permit information through the online portal (see User Story: Update License / Permit Information). In some cases the changes may be allowed to be made instantaneously, however some changes may need to be reviewed and approved by NLCC Staff prior to the change. This user story also supports those changes that are submitted to NLCC in person or through mail.
Goal / Objective:	Staff will be able to approve a change, and/or modify the information on an existing license / permit record.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users are logged into the system.</li> <li>▪ license / permit exists in the system.</li> <li>▪ Requested change is eligible to be made.</li> </ul>
Trigger:	Request for change to license / permit information is submitted either through the Online Portal or in person or by mail.
User Story:	<b><i>As NLCC Staff, I want to Process License / Permit Changes, so that I can update existing licensing/permit information so that it is accurate and up to date.</i></b>

*User Story continued on the next page.*

## License Management – User Story: Process License / Permit Changes (2 of 2)

User Story Name:	Process License / Permit Changes
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ License / Permit information is updated in the system to reflect the approved license / permit change.</li> <li>▪ Any related notifications to License / Permit Holder is generated from the system notifying them of the change to the license / permit and any impacts / new requirements.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ NLCC can deny request for license / permit changes.</li> <li>▪ NLCC may notify the License / Permit Holder that the requested change actually requires a new license / permit.</li> <li>▪ Upon jurisdictional annexations, an affected License / Permit may need to be automatically updated with new jurisdictional information.</li> </ul>

# License Management – User Story: Process Hardship Requests (1 of 2)

User Story Name:	Process Hardship Requests
Primary Actor:	NLCC Staff
Context & Purpose:	A License Holder may apply for a Hardship Request to modify operating requirements within their current license in light of damage to their property (fire, flood, etc.). Staff reviews each Hardship Request to determine if they meet statutory criteria to grant the request.
Goal / Objective:	Staff will be able to review, issue, and document a Hardship Request that meet statutory requirements for modification.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ License exists in the system.</li> <li>▪ Circumstances arise that cause the License Holder to determine they may be eligible for a hardship request.</li> </ul>
Trigger:	Hardship Request submitted either through the Online Portal or in person or by mail by License Holder, along with any required supplemental documentation.
User Story:	<b><i>As NLCC Staff, I want to Process Hardship Requests, so that I can grant a License Holder's request to maintain their active license in the face of flooding, tornado, fire, remodeling, etc. and revise their current license to record the modification.</i></b>

*User Story continued on the next page.*

## License Management – User Story: Process Hardship Requests (2 of 2)

User Story Name:	Process Hardship Requests
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ License information is updated in the system to reflect the approved Hardship Request and any associated conditions / new requirements.</li> <li>▪ Any related notifications to License Holder is generated from the system notifying them of the outcome of their Hardship Request and any impacts / new requirements.</li> <li>▪ Any timelines associated with downstream action is tracked and monitored in the system (e.g., period under which the Hardship Request is valid).</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ NLCC can deny Hardship Request.</li> <li>▪ NLCC may notify the License Holder that the requested change actually requires a new license / permit.</li> </ul>



# License Management – User Story: Process Temporary Storage Requests (1 of 2)

User Story Name:	Process Temporary Storage Requests
Primary Actor:	NLCC Staff
Context & Purpose:	A License Holder may apply for a Temporary Storage Request to receive permission to store alcohol off of the licensed premises for a certain period of time for a certain reason (i.e. License Holder is remodeling premises and would like to store alcohol temporary in a shed 50 feet away).
Goal / Objective:	Staff will be able to review, issue, and document Temporary Storage Requests that meet statutory requirements for modification.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ License exists in the system.</li> <li>▪ Applicant provides appropriate justification and documentation for a Temporary Storage Request.</li> </ul>
Trigger:	Temporary Storage Request submitted either through the Online Portal or in person or by mail by License Holder / Applicant, along with any required supplemental documentation.
User Story:	<b><i>As NLCC Staff, I want to Process Temporary Storage Requests, so that I can grant a License Holder's request to temporarily store alcohol off their licensed premises.</i></b>

*User Story continued on the next page.*

# License Management – User Story: Process Temporary Storage Requests (2 of 2)

User Story Name:	Process Temporary Storage Requests
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ License information is updated in the system to reflect the approved Temporary Storage Request and any associated conditions / new requirements.</li> <li>▪ Any related notifications to License Holder is generated from the system notifying them of the outcome of their Temporary Storage Request and any impacts / new requirements.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ NLCC can deny request for Temporary Storage.</li> <li>▪ NLCC may notify the License Holder that the requested change actually requires a new license.</li> </ul>

# License Management – User Story: Process Alcohol Transfers (1 of 2)

User Story Name:	Process Alcohol Transfers
Primary Actor:	NLCC Staff
Context & Purpose:	When a License Holder has discontinued business under his/her license and the license has been terminated, they may apply for permission to transfer their alcohol stock to another qualified License Holder. The receiving License Holder must also apply for permission to purchase the alcohol stock.
Goal / Objective:	Staff will be able to review, issue, and document Alcohol Transfers that meet statutory requirements for modification and track transferred alcohol inventory between licenses.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ License exists in the system.</li> <li>▪ Applicant(s) provides appropriate justification and documentation for an Alcohol Transfer.</li> </ul>
Trigger:	Alcohol Transfer applications submitted by both parties either through the Online Portal or in person or by mail, along with any required supplemental documentation (inventory).
User Story:	<b><i>As NLCC Staff, I want to Process Alcohol Transfers, so that I can approve and document alcohol transfers between License Holders.</i></b>

*User Story continued on the next page.*

## License Management – User Story: Process Alcohol Transfers (2 of 2)

User Story Name:	Process Alcohol Transfers
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ License information is updated in the system to reflect the approved Alcohol Transfer and any associated conditions / new requirements (i.e. License Holder who purchased the alcohol must submit an inventory of alcohol stock purchased as part of the transfer).</li> <li>▪ Alcohol Transfer is documented in the system on the terminated license as well as the active license that purchased the alcohol.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ NLCC can deny request for Alcohol Transfer.</li> </ul>

# License Management – User Story: Manage License / Permit Status

User Story Name:	Manage License / Permit Status
Primary Actor:	NLCC Staff
Context & Purpose:	The system should maintain a comprehensive and descriptive license / permit status in the system such as denied, licensed, pending appeal, temporary license, revoked, suspended delinquent, etc. The system shall be able to support configurable license / permit statuses that reflect the terms used by NLCC Liquor Licensing. License / Permit status should be driven by the underlying workflow that governs that record, (e.g., automatically reflects that the license / permit is in pending application processing if an application has been submitted, but review has not completed).
Goal / Objective:	Provide a single source of truth for license / permit status.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users are logged into the system.</li> <li>▪ License / Permit has been previously issued by NLCC and record exists in the system.</li> </ul>
Trigger:	Ongoing.
User Story:	<b><i>As NLCC Staff, I want to Manage License / Permit Status, so that I can get, update, and understand information about a license / permit, such as view hold, investigations, etc.</i></b>
Post-Conditions:	The system has displayed up-to-date status information.
Alternate Paths	<ul style="list-style-type: none"> <li>▪ NLCC staff may review a license / permit record and notice that the license / permit status is incorrect. NLCC Staff should investigate the underlying workflow driving the status and correct or close out any workflow tasks or other conditions incorrectly impacting the license / permit status.</li> <li>▪ NLCC staff may manually update the status of the license / permit; System will prompt the user to enter justification for changing the status.</li> <li>▪ Upon license expiration, authorized agents may apply for permission to host an auction for the expired license / permit's inventory.</li> </ul>

# License Management – User Story: Process Temporary Operating Permits

User Story Name:	Process Temporary Operating Permits (TOPs)
Primary Actor:	NLCC Staff
Context & Purpose:	An issued license terminates immediately upon the sale of the licensed premises. The purchaser may submit an application for a license and, while such application is pending, may request a Temporary Operating Permit (TOP) to allow the purchaser to continue business under the terms of the terminated license.
Goal / Objective:	Temporarily allow the operation of a recently purchased, licensed operation while the new owner applies for a new license.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ License exists in the system.</li> <li>▪ Applicant provides appropriate justification and documentation for a Temporary Operating Permit.</li> </ul>
Trigger:	Applicant submits an application for a Temporary Operating Permit.
User Story:	<b><i>As NLCC Staff, I want to Process TOPs so that I can grant a License Holder's request to continue operations during sale / purchase of a licensed establishment.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The system has a record of the approved TOP.</li> <li>▪ The TOP is sent to the License Holder to be printed and displayed in their establishment.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ The Temporary Operating Permit request is denied – operations would need to cease on premise.</li> <li>▪ The application may be withdrawn and the previous license reinstated at the premises.</li> </ul>

# License Management – User Story: Process Special Designation Licenses

User Story Name:	Process Special Designation Licenses (SDLs)
Primary Actor:	NLCC Staff
Context & Purpose:	An SDL allows a current License Holder (or non profit organization) to modify their license for a limited number of days per year. For example, a bar owner may want to set up a tailgate event in their parking lot – to be in compliance, an SDL would need to be issued to allow for the sale of alcohol on their parking lot (a modification to their current license).
Goal / Objective:	Allow for a limited number of modifications to an existing license to accommodate special events.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ License exists in the system.</li> <li>▪ Applicant provides appropriate justification and documentation for an SDL.</li> </ul>
Trigger:	Application for an SDL submitted to NLCC .
User Story:	<b><i>As NLCC Staff, I want to Process SDLs so that I can grant a License Holder's request to modify their operations outside of what is covered by their current license.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The system has a record of the approved SDL.</li> <li>▪ The SDL is sent to the License Holder to be printed and displayed in their establishment on the day of the event.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ The SDL request is denied.</li> <li>▪ The SDL is referred to a hearing for approval / denial.</li> </ul>

# License Management – User Story: Process Renewal (1 of 2)

User Story Name:	Process Renewal
Primary Actor:	NLCC Staff
Context & Purpose:	NLCC licenses must be renewed annually, with renewal schedules dependent upon the applicable license class. A License Holder will receive a notification of a renewal and provide steps to make a payment. Additionally, a License Holder may determine that they need to change the information on the license.
Goal / Objective:	NLCC staff will be able to review and issue renewals.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users are logged in</li> <li>▪ The license is about to expire and meets renewal requirements.</li> <li>▪ License Holder has received a renewal notice.</li> </ul>
Trigger:	License Holder has submitted a renewal application and associated fees through the online portal and/or in person or by mail.
User Story:	<b><i>As NLCC Staff, I want to Process Renewal, so that I can review and approve the renewal application and update the license status to reflect the License Holder is in good standing with NLCC.</i></b>

*User Story continued on the next page.*



## License Management – User Story: Process Renewal (2 of 2)

User Story Name:	Process Renewal
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The system has automatically processed the renewal and related information is captured in the system.</li> <li>▪ Updated license is issued and/or available via the online portal for download and printing by the License Holder or option to receive by mail.</li> <li>▪ License Holder has received confirmation the renewal has been processed and any other related information.</li> <li>▪ Fee(s) are allocated to the appropriate revenue accounts</li> <li>▪ Renewal timeline is reset to reflect the next required renewal date</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ A License Holder receives the renewal notification letter and does not renew his / her license and it expires / defaults.</li> <li>▪ A hearing may be triggered for a late (or other reason) renewal.</li> <li>▪ A License Holder may submit their renewal by mail. Staff will input the renewal into the system.</li> <li>▪ A license renewal requires additional discretionary actions, such as a Supervisor review for license subject matter.</li> <li>▪ System may prepopulate and calculate values based on information entered by the customer. This can be supported through online help (videos, etc.)</li> <li>▪ Staff may manually select to process renewals to review (e.g., income reported varies greatly from the previous year based on system calculations).</li> </ul>

# License Holder Management

# Business Capability:

## License Holder Management – Manage Licensee Info & Communications

### License Holder Management

#### Create Profile

Create License / Permit Holder or Applicant profile with appropriate details

#### Update & Change License / Permit Holder Details

Update License / Permit Holder or Applicant information with any updates or changes in information

#### Track Debtor Status

Track a License / Permit Holder as owing debt or having paid a debt

#### Send Notifications / Reminders

Send notifications / reminders to one or more License / Permit Holders and maintain history of communication.

#### Receive Communication

Receive communications from License / Permit Holder or Applicant

#### Maintain Active License / Permit Roster

Ensure Active License / Permit Roster remains up to date

# User Stories for License Holder Management

<b>User Stories for License Holder Management</b>	
<b>1</b>	<b><i>As a License / Permit Holder or Applicant, I want to Create License / Permit Holder Online Profile, so that I can log on to the Online Portal and perform transactions that require user authentication.</i></b>
<b>2</b>	<b><i>As a License / Permit Holder, I want to Update and Change License / Permit Holder Details, so that I can successfully change information on a license / permit so that it is accurate and up to date.</i></b>
<b>3</b>	<b><i>As NLCC Staff, I want to Send Notifications / Reminders, so that I can communicate important upcoming information that impacts the License / Permit Holder or Applicant, and may be time sensitive.</i></b>
<b>4</b>	<b><i>As NLCC Staff, I want to track a License / Permit Holder as owing a debt or having paid a debt to ensure NLCC applications aren't approved for License / Permit Holders that are delinquent.</i></b>
<b>5</b>	<b><i>As NLCC staff, I want to Maintain an Active License / Permit Roster, so that I can perform reports, verify license / permit information etc.</i></b>

# License Holder Management – User Story: Create Profile

User Story Name:	Create Profile
Primary Actor:	License / Permit Holder or Applicant
Context & Purpose:	While certain activities on the Online Portal will be available to the general public without the need to create a user account, other services will require the creation of a user account, and subsequent log-in and authentication.
Goal / Objective:	The License / Permit Holder or Applicant can create and log in with a secure account for the Online Portal.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ License / Permit Holder or Applicant has not previously created an account for online services.</li> <li>▪ License / Permit Holder or Applicant has a valid email address.</li> </ul>
Trigger:	License / Permit Holder or Applicant selects to perform a transaction on the Online Portal that requires the License / Permit Holder or Applicant to log into their user account.
User Story:	<b><i>As a License / Permit Holder or Applicant, I want to Create License / Permit Holder Online Profile, so that I can log on to the Online Portal and perform transactions that require user authentication.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The License / Permit Holder or Applicant receives instructions on how to log in and activate the account online.</li> <li>▪ The License / Permit Holder or Applicant is able to successfully activate his or her online account.</li> <li>▪ The License / Permit Holder or Applicant has logged on to the Online Portal and can perform transactions with the system based on his/ her role.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ System may notify the License / Permit Holder or Applicant that the account cannot be created due to an existing account already being associated with the provided email address.</li> <li>▪ License / Permit Holder or Applicant may need to change his/ her password or username because he/ she has forgotten it. The system will support this process.</li> </ul>

# License Holder Management – User Story: Update and Change License / Permit Holder Details (1 of 2)

User Story Name:	Update and Change License / Permit Holder Details
Primary Actor:	License / Permit Holder
Context & Purpose:	A License / Permit Holder may need to update license / permit information. Depending upon the changes to the license / permit, some information on the license / permit record may be allowed to be updated through the online portal, such as contact information. Other changes (i.e., a change in ownership) could require a new license / permit to be issued. This user story supports those changes that can be made online that do not require a new license / permit.
Goal / Objective:	The License / Permit Holder is able to easily update information on an existing license / permit through the online portal at their leisure, which will increase the likelihood of license information being updated and maintained in the system.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ License / Permit Holder has an account and is logged into the system.</li> <li>▪ A license / permit associated with the License / Permit Holder's account exists in the system.</li> <li>▪ The license / permit information and license / permit record itself is eligible for modification.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ License / Permit information has changed</li> <li>▪ A License / Permit Holder realizes a need or is notified to update an existing license</li> </ul>
User Story:	<b><i>As a License / Permit Holder, I want to Update and Change License / Permit Holder Details, so that I can successfully change information on a license / permit so that it is accurate and up to date.</i></b>

*User Story continued on the next page.*

# License Holder Management – User Story: Update and Change License / Permit Holder Details (2 of 2)

User Story Name:	Update and Change License / Permit Holder Details
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The License / Permit Holder has submitted any applicable license / permit change fees. (See User Story: Submit Payment)</li> <li>▪ The license / permit record is updated to reflect changes; date/time of changes are recorded in the system</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ While the objective of the future state will be to encourage online application processing with NLCC through the Online Portal, a License / Permit Holder can choose to make eligible updates to license / permit information by phone or in person.</li> <li>▪ Some changes may not be allowed to be made online and may require direct contact with NLCC staff.</li> <li>▪ Some changes may require the termination of the license / permit and the creation of a new license / permit. The online portal should provide this information as a FAQ or other notification so that License / Permit Holders know to initiate the correct process.</li> <li>▪ Once a License / Permit Holder has submitted updated license / permit information, Staff may need to perform a detailed review of the information in order to issue a new license / permit or process the renewal.</li> </ul>

# License Holder Management – User Story: Send Notifications / Reminders

User Story Name:	Send Notifications / Reminders
Primary Actor:	NLCC Staff
Context & Purpose:	Staff may need to manually send notifications or reminders to License / Permit Holder or Applicant in order to notify the License / Permit Holder or Applicant to take action (e.g., pay a fee, upcoming renewal, reminder of expirations dates or due dates).
Goal / Objective:	Staff will be able to send notifications (emails, text message, action items, alerts) to License / Permit Holder or Applicant generated from the system.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ The user has an account and is logged into the system.</li> <li>▪ Notification / Reminder types have been configured in the system.</li> <li>▪ System is configured to support manually triggered notifications / reminders as well as automatically triggered notifications / reminders (see Alternate Path).</li> </ul>
Trigger:	Staff encounter a situation in which he / she needs to send a notification or reminder to a License / Permit Holder or Applicant.
User Story:	<b><i>As NLCC Staff, I want to Send Notifications / Reminders, so that I can communicate important upcoming information that impacts the License / Permit Holder or Applicant, and may be time sensitive.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ NLCC Staff have sent out a notification / reminder to the License / Permit Holder or Applicant.</li> <li>▪ System preserves a record of communication about the notification / reminder.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Notifications / Reminders may be system generated automatically according to business rules configured in the system.</li> </ul>



# License Holder Management – User Story: Track Delinquent Credit Status of a License Holder

User Story Name:	Track Delinquent Credit Status of a License Holder
Primary Actor:	NLCC Staff
Context & Purpose:	The objective is to track debts associated with a primary license and to flag all individuals associated with that license and prevent submission of any application while 1 or more persons / entities associated are in debt, and prevent reviewers from approving an application associated with a debtor (individuals and parent entities).
Goal / Objective:	Track all License Holders (active or inactive status) as owing debt or having paid a debt.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ License Holder is in the system (active or inactive).</li> <li>▪ Receive Delinquent List from Wholesalers to record who is delinquent on their accounts.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Applicant fails to pay on accounts to wholesalers and is placed on the delinquent account.</li> </ul>
User Story:	<b><i>As NLCC Staff, I want to track delinquent credit status of a License Holder to enforce any business rules related to License Holders that are delinquent (e.g., do not approve application until debt is paid).</i></b>
Post-Conditions:	Delinquent License Holder's account (and other individuals associated with the license) is flagged and NLCC is notified of the account status if a transaction is attempted in the system that should not be allowed if the account is delinquent.
Alternate Paths	<ul style="list-style-type: none"> <li>▪ There must be an override option to account for bankruptcy orders and require an upload of the bankruptcy order.</li> <li>▪ Once the debt is paid, the License Holder's account status should be updated as such</li> </ul>

# License Holder Management – User Story: Maintain Active License / Permit Roster

User Story Name:	Maintain Active License / Permit Roster
Primary Actor:	NLCC Staff
Context & Purpose:	An active license roster is important for reference by wholesalers, shippers, etc. to ensure alcohol is only sold in compliance with a license / permit.
Goal / Objective:	The system will provide real time updated list online of active licenses / permits for seller reference.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ System maintains a record of all active licenses / permits, amending that if a license expires or is terminated.</li> </ul>
Trigger:	Ongoing – should be real time
User Story:	<b><i>As NLCC staff, I want to Maintain an Active License / Permit Roster, so that I can perform reports, verify license / permit information etc.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Searchable list is publicly available, searchable, and updated in real time.</li> </ul>
Alternate Paths	Active License / Permit Holder information may be communicated by email or phone through contact with NLCC.

# License Holder Reporting

# Business Capability:

## License Holder Reporting – Intake and manage reports from License Holders

Reporting			
<p><b>License Holder Annual Reporting</b></p> <p>Submit required annual reports to NLCC</p>	<p><b>Alcohol Brand Registration</b></p> <p>Register as the wholesaler responsible for the region of the physical location of the retailer</p>	<p><b>Label Registration</b></p> <p>Package size verification in order to verify reporting quantities by all tiers.</p>	<p><b>Verify Reports</b></p> <p>Perform ad-hoc cross checks of reports submitted by shippers, wholesalers, and retailers</p>
<p><b>License Holder Monthly Reporting</b></p> <p>Submit required monthly reports to NLCC</p>	<p><b>Excise Reporting</b></p> <p>Submit monthly excise tax reports according to business requirements</p>	<p><b>Maintain Reporting History</b></p> <p>Maintain the reporting history for a License Holder by license</p>	<p><b>Submit Amended Report</b></p> <p>Submit a re-submission of a report with corrections / updates (multiple re-submissions are allowed).</p>

# User Stories for License Holder Reporting

<b>User Stories for License Holder Reporting</b>	
<b>1</b>	<b><i>As a License Holder, I want to submit my License Holder Report to fulfill my reporting requirements to the Nebraska Liquor Control Commission.</i></b>
<b>2</b>	<b><i>As a Wholesaler, I want to Register my Alcohol Brand for my region of responsibility to ensure retail physical locations are updated in the database.</i></b>
<b>3</b>	<b><i>As NLCC Staff, I want to Verify Reports submitted to ensure accuracy across shippers / suppliers, wholesalers / distributors, and retailers.</i></b>
<b>4</b>	<b><i>As a License Holder, I want to Submit an Amended Report so that I can update report information / correct inaccuracies.</i></b>

# License Holder Reporting – User Story: Submit License Holder Report

User Story Name:	Submit License Holder Report
Primary Actor:	License Holder
Context & Purpose:	License Holders are required to submit reports to NLCC on a periodic basis (monthly, quarterly, annually). License holders are required to provide data and supporting documentation based on the type of license they have. In the future, the system shall provide options for the License Holder to submit all this information online through the Online Portal.
Goal / Objective:	Submit required reports and supporting documentation through the Online Portal
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users are logged in.</li> <li>▪ License Holder has an active license.</li> <li>▪ Workflow is configured to support reporting requirements by license type.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ License Holder must submit information by a certain date.</li> </ul>
User Story:	<b><i>As a License Holder, I want to submit my License Holder Report to fulfill my reporting requirements to the Nebraska Liquor Control Commission.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ System captures the date / time report was submitted and reporting history / copy of report for future reference.</li> <li>▪ System can perform automatic validation of the information provided according to business rules.</li> <li>▪ System can perform automatic gallon calculations for reported non-gallon quantities.</li> <li>▪ NLCC can easily report on the license holder data submitted to NLCC – all information submitted can be queried.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Report generated manually by adjusting reporting parameters in the system.</li> <li>▪ License Holder submits by mail or email and NLCC staff must manually scan and enter the data into the system.</li> <li>▪ (Optional Requirement) License Holder leverages an online wizard to guide them through the submission process.</li> </ul>

# License Holder Reporting – User Story: Register Beer Brand

User Story Name:	Register Alcohol Brand
Primary Actor:	Wholesaler
Context & Purpose:	Alcohol Brand Registrations delineate what products are available in specific regions or throughout the state by a certain supplier (e.g. Wholesaler). The supplier is responsible for submitting this information to NLCC.
Goal / Objective:	Wholesalers log onto the Online Portal and register their alcohol brand. If the product is a beer brand, License Holders will register the product to appropriate geographic areas to be reflected in a GIS layer.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Wholesaler has a customer account on the Online Portal.</li> <li>▪ Geographical boundaries are configured in a GIS solution.</li> <li>▪ Solution is integrated with GIS or provides GIS capabilities natively.</li> </ul>
Trigger:	Change in alcohol brand distribution information that needs to be registered with NLCC.
User Story:	<b><i>As a Wholesaler, I want to Register my Alcohol Brand for my region of responsibility to ensure retail physical locations are updated in the database.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Fully updated GIS layer that indicates the boundaries for various Wholesalers and alcohol brands.</li> <li>▪ Alcohol brands are captured as approved in the system.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ If GIS functionality is not available and / or feasible, Wholesalers could still register online with approximate map coordinates.</li> <li>▪ Product distribution rights can also be transferred from one wholesaler to another in lieu of submitting new brand forms for each product being transferred</li> </ul>

# License Holder Reporting – User Story: Verify Reports

User Story Name:	Verify Reports
Primary Actor:	NLCC Staff
Context & Purpose:	License Holders are required to submit periodic reports to NLCC that contain a wide variety of information and supporting documentation. In some cases, the system should be able to run a query that compares data across various reports and flags any discrepancies for NLCC review. Staff may also review and verify reports manually.
Goal / Objective:	Verify reports submitted by License Holders for any inaccuracies, missing information, or discrepancies.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users are logged in.</li> <li>▪ System has a record of reporting activity across shippers, wholesalers, and retailers that is searchable based around flexible parameters.</li> </ul>
Trigger:	Ongoing
User Story:	<b><i>As NLCC Staff, I want to Verify Reports submitted to ensure accuracy across shippers / suppliers, wholesalers / distributors, and retailers.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Report generated that allows for easy comparison across different reporting entities to ensure compliance.</li> <li>▪ NLCC may request modifications or additional information from License Holders based on the outcomes.</li> <li>▪ The system shall auto-generate reminders for License Holders to provide required missing or incorrect information.</li> <li>▪ NLCC staff may capture internal notes based on the review.</li> </ul>
Alternate Paths	N/A



# License Holder Reporting – User Story: Submit Amended Report

User Story Name:	Submit Amended Report
Primary Actor:	License Holder
Context & Purpose:	During the verification process, NLCC staff may uncover a situation where there is a mistake that needs to be corrected, a discrepancy, missing information, etc. The solution will allow the License Holder to submit an amended report.
Goal / Objective:	Submit an amended report to correct any data or provide any missing / additional data requested by NLCC.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users are logged in</li> <li>▪ License Holder has previously submitted a report</li> <li>▪ System shall allow NLCC staff to tag field / information that needs to be corrected when a report is sent back for revisions by License Holder</li> </ul>
Trigger:	Reporting inaccuracy or missing documentation identified by NLCC staff who notify License Holder of the need for an amended report.
User Story:	<b><i>As a License Holder, I want to Submit an Amended Report so that I can update report information / correct inaccuracies.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Amended reporting materials address the missing / inaccurate reporting components.</li> <li>▪ All versions of the report are saved in the system</li> <li>▪ NLCC Staff may be notified that a new report has been submitted or a task to review is created in their queue</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Amended reports continue to contain inaccuracies, which may result in being flagged for investigative action and/or an audit.</li> </ul>

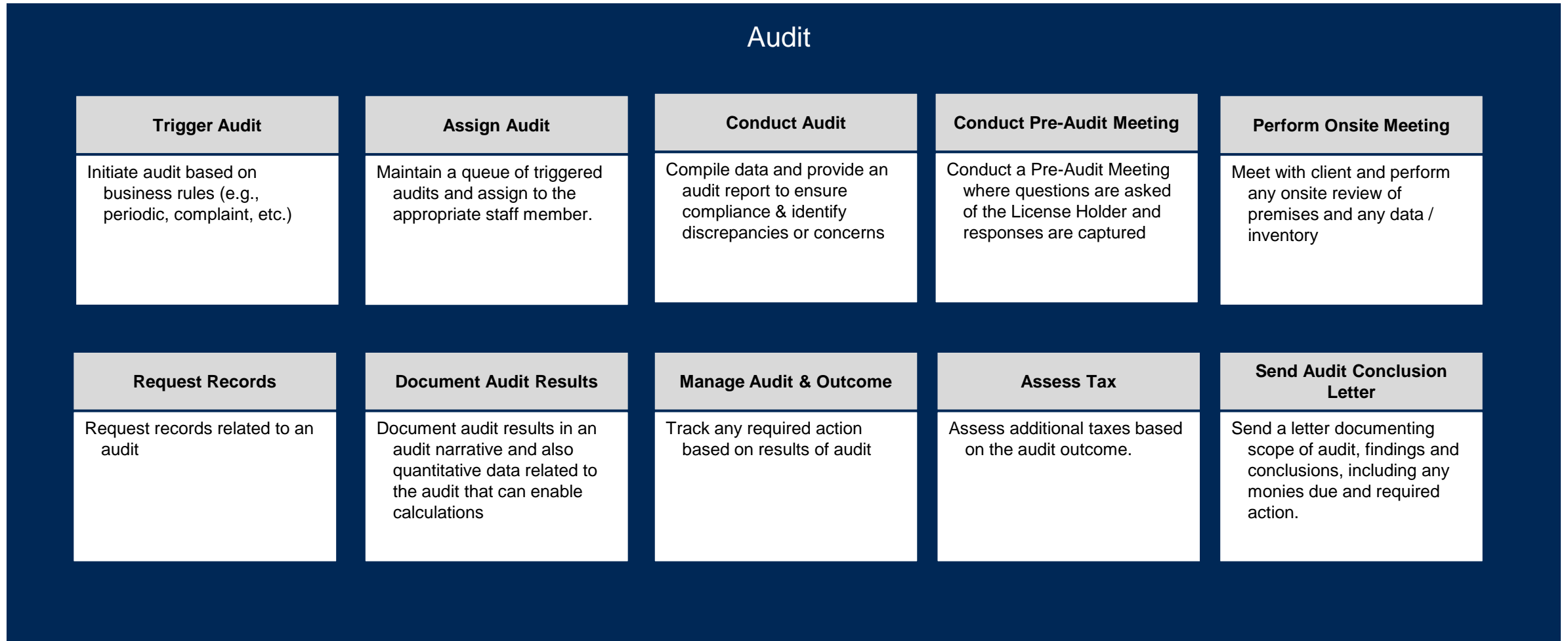


# Auditing



# Business Capability:

## Auditing – Verify License Holder reporting and ensure compliance



# User Stories for Auditing

User Stories for Auditing	
1	<i>As NLCC Staff, I want to Trigger an Audit based on business rules (i.e. periodic, complaint, etc.) so that I can ensure NLCC audit requirements are met.</i>
2	<i>As NLCC Staff, I want to Assign Audit, so that I can select an Auditor to perform the outstanding audit.</i>
3	<i>As NLCC Staff, I want to Conduct a Pre-Audit Meeting, so that I can ask the License Holder questions and document responses in preparation for the audit.</i>
4	<i>As NLCC Staff, I want to Conduct Audit, so that I can conduct and record the results of the audit.</i>
5	<i>As NLCC Staff, I want to Perform an Onsite Visit, so that I can meet with the License Holder and review premises as well as data / inventory.</i>
6	<i>As NLCC Staff, I want to Close Audit and Enforce Audit Outcome, so that I can capture and enforce any results or decision of the audit in the system.</i>

# Auditing – User Story: Trigger Audit

User Story Name:	Trigger Audit
Primary Actor:	NLCC Staff
Context & Purpose:	The Liquor Control Commission requires all licensees to retain and preserve true books of accounts and records of all business receipts used in connection with the licensed business for a period of three years. All retail licensees shall keep invoices and records involving purchase and sales of alcohol liquors for the previous twelve months and make them available for inspection upon demand to the Commission or its agents. Also, Auditors and inspectors by Nebraska Statute shall be allowed entry onto the licensed premises at any time demand for such entry is made.
Goal / Objective:	Conduct an audit to ensure that License Holders are in compliance with State rules and regulations.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users are logged in to the system.</li> <li>▪ Subject of audit must be current License Holder in the system.</li> </ul>
Trigger:	Either through a business rule (periodic), a submitted complaint, or an identified reporting inaccuracy.
User Story:	<b><i>As NLCC Staff, I want to Trigger an Audit based on business rules (i.e. periodic, complaint, etc.) so that I can ensure NLCC audit requirements are met.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Audit case record in the system and audit work initiated.</li> <li>▪ Appropriate parties are notified (License Holder, Revenue Division, etc.) according to business rules.</li> <li>▪ If an audit is deemed unnecessary, a “no action” warning letter may be sent.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Audit may be closed or cancelled if triggered in error or if upon review an audit is not needed.</li> </ul>

# Auditing – User Story: Assign Audit

User Story Name:	Assign Audit
Primary Actor:	NLCC Staff
Context & Purpose:	In the event that an audit must be conducted, an Auditor will be assigned to an audit in the system.
Goal / Objective:	<ul style="list-style-type: none"> <li>▪ Assign an active audit to an Auditor for processing</li> </ul>
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users have accounts and are logged into the system</li> <li>▪ Audit has been created / triggered</li> </ul>
Trigger:	Audit exists in the system that has not been assigned to an Auditor
User Story:	<b><i>As NLCC Staff, I want to Assign Audit, so that I can select an Auditor to perform the outstanding audit.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Auditor has received the audit assignment in their work queue.</li> <li>▪ Audit status reflects assignment.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Audit Manager may need to reassign the audit to a different Auditor(s).</li> <li>▪ Audit Manager may assign more than one Auditor to the audit.</li> <li>▪ System may automatically assign Auditor per business rules.</li> </ul>

# Auditing – User Story: Conduct Pre-Audit Meeting

User Story Name:	Conduct Pre-Audit Meeting
Primary Actor:	NLCC Staff
Context & Purpose:	In preparation for conducting the audit, NLCC staff may meet with the License Holder. The majority of the questions are pre-determined. As a result, the solution could provide a template to capture the responses of the License Holder and provide a checklist to the Auditor to ensure that nothing is missed.
Goal / Objective:	Conduct a Pre-Audit Meeting with the License Holder to prepare for the upcoming audit.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users have accounts and are logged into the system</li> <li>▪ Audit has been created / triggered and assigned</li> <li>▪ A Pre-Audit meeting template has been configured in the system</li> </ul>
Trigger:	Audit case generated and Auditor assigned to the case.
User Story:	<b><i>As NLCC Staff, I want to Conduct a Pre-Audit Meeting, so that I can ask the License Holder questions and document responses in preparation for the audit.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Notes recorded in the audit case record based on information provided during the meeting</li> <li>▪ Any documents provided at the meeting scanned and attached to the audit case record for further review.</li> <li>▪ Auditor may request records to be provided for NLCC review as part of the audit.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ A Pre-Audit meeting may not be conducted.</li> </ul>

## Auditing – User Story: Conduct Audit (1 of 2)

User Story Name:	Conduct Audit
Primary Actor:	NLCC Staff
Context & Purpose:	Once the audit is assigned to an Auditor, he or she will begin conducting the audit. This includes leveraging audit templates, conducting site visits, analyzing data and documentation, conducting meetings, and recording audit outcomes. Audit information will be recorded in the system to track internal progress, communicate status with the Auditee, and to preserve the official record of the audit.
Goal / Objective:	System will support the audit process, providing the necessary templates, workflow, time and workload management capabilities to successfully conduct audits.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users have accounts and are logged in</li> <li>▪ Audit templates are set up in the system.</li> <li>▪ Audit is scheduled for current Audit Schedule period (e.g., this fiscal year)</li> <li>▪ Audit has been assigned to Auditor. See User Story: Assign Audit.</li> <li>▪ Auditor is able to download data from previous years' data into the audit template document (e.g., Excel spreadsheet).</li> </ul>
Trigger:	Active audit is in Auditor's work queue.
User Story:	<b><i>As NLCC Staff, I want to Conduct Audit, so that I can conduct and record the results of the audit.</i></b>

*User story continued on next page*



## Auditing – User Story: Conduct Audit (2 of 2)

User Story Name:	Conduct Audit
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ NLCC Staff has selected the appropriate audit template(s) to be included in their audit and successfully populated the selected templates with the appropriate business license information.</li> <li>▪ NLCC Staff has recorded their activity on the audit in the system and document major activities (e.g., meeting with client).</li> <li>▪ NLCC Staff has entered / edited data in the system and in the templates to record audit results and the audit outcomes.</li> <li>▪ Based on the type of license being audited, there are specific documents required for completion. There may be one to many documents that fall within a particular category of documents and may or may not be required for completion. The User is able to view documents individually, view by document category, and/or by business category required documents. Any documentation provided by the auditee is either scanned into the system by the Auditor or uploaded through the online portal securely by the auditee and stored in the system.</li> <li>▪ All due dates are tracked and enforced by the system; appropriate notifications are generated.</li> <li>▪ Auditor may identify outstanding liabilities that the License Holder owe and provide detailed supporting information captured in the system; liability will be associated with that account.</li> <li>▪ Once the audit is complete, the Auditor will mark the audit as closed in the system.</li> <li>▪ History of audit is maintained in the system (for current audit and all past audits).</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Auditor can modify an audit, expand an audit, add additional locations, change dates and time period accordingly.</li> <li>▪ When the Auditor does not have internet connectivity the system will still allow the Auditor to capture data in an offline mode; once the Auditor obtains internet connectivity, the Auditor may manually select to publish the paper. The system will check for updates and send a reminder to sync.</li> </ul>

# Auditing – User Story: Perform Onsite Visit

User Story Name:	Perform Onsite Visit
Primary Actor:	NLCC Staff
Context & Purpose:	NLCC Staff may visit the licensed premises to visually inspect and confirm compliance with rules and regulations. NLCC Staff should be able to capture the results of their visit in the system. The solution should provide a mobile capability (either an app or mobile friendly layout) of the solution.
Goal / Objective:	Perform an onsite visit to inspect the licensed premises visually.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Onsite visit is required based on an audit, new license visit (typically 6-9 months after a license is issued), or other circumstance according to business rules.</li> <li>▪ Onsite visit date / time communicated to the License Holder, notification sent through the online portal.</li> <li>▪ All users are logged in.</li> <li>▪ Internet connectivity available.</li> </ul>
Trigger:	Date of onsite visit has arrived.
User Story:	<b><i>As NLCC Staff, I want to Perform an Onsite Visit, so that I can meet with the License Holder and review premises as well as data / inventory.</i></b>
Post-Conditions:	Onsite visit information is captured in the system.
Alternate Paths	<ul style="list-style-type: none"> <li>▪ NLCC Staff may lose or not be able to have connectivity in the field. The solution should either provide an offline capability where data is stored in the local device until connectivity is regained and can be synced, or the solution must immediately notify NLCC staff that connectivity is not available so they can leverage an alternative method to capture data out in the field.</li> </ul>

## Auditing – User Story: Close Audit and Enforce Audit Outcome (1 of 2)

User Story Name:	Close Audit and Enforce Audit Outcome
Primary Actor:	NLCC Staff
Context & Purpose:	After the audit is conducted, the Auditor will select to close the Audit. The results of the audit may need to be approved by designated personnel. The result of the audit may be that no action is required, that action is required by the License Holder to come into compliance, and/or that money is due. NLCC Staff must capture the decision and/or penalties in the system. Audit Staff ensures that the outcome is captured in the System in a timely manner and the License Holder is formally notified of the decision/outcome of the audit in the System through an Audit Conclusion Letter. The License Holder is then responsible for abiding by the outcome of the audit.
Goal / Objective:	Staff will be able to capture audit results in the system and perform audit enforcement actions (e.g., set up owed fees in the system).
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users have an account and are logged into the system.</li> <li>▪ Audit has previously been in progress</li> </ul>
Trigger:	The audit has been completed and a decision has been made.
User Story:	<b><i>As NLCC Staff, I want to Close Audit and Enforce Audit Outcome, so that I can capture and enforce any results or decision of the audit in the system.</i></b>

*User story continued on next page*

## Auditing – User Story: Close Audit and Enforce Audit Outcome (2 of 2)

User Story Name:	Close Audit and Enforce Audit Outcome
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Supervisor / Audit Manager approvals have been triggered and completed.</li> <li>▪ Audit outcome is captured in the system such as any applicable conditions to enforce, license status updates, fees to collect or refunds to issue. Audit Conclusion letter template is populated and sent to the License Holder.</li> <li>▪ Required notifications have been generated out of the system and sent.</li> <li>▪ Any fee(s) due are associated with the License Holder’s record and they can log into the account and pay the fees to resolve. Once the fees are resolved, the system will reflect there is no further action remaining.</li> <li>▪ If there are no monies or refunds due, the License Holder will be notified accordingly and the audit simply closed in the system.</li> <li>▪ Auditor saves and closes the audit status in the system.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ The License Holder may appeal the results of the audit.</li> <li>▪ The License Holder may refute the Audit Conclusion Letter and go before the Commission to determine if the assessment fines are due or not.</li> </ul>

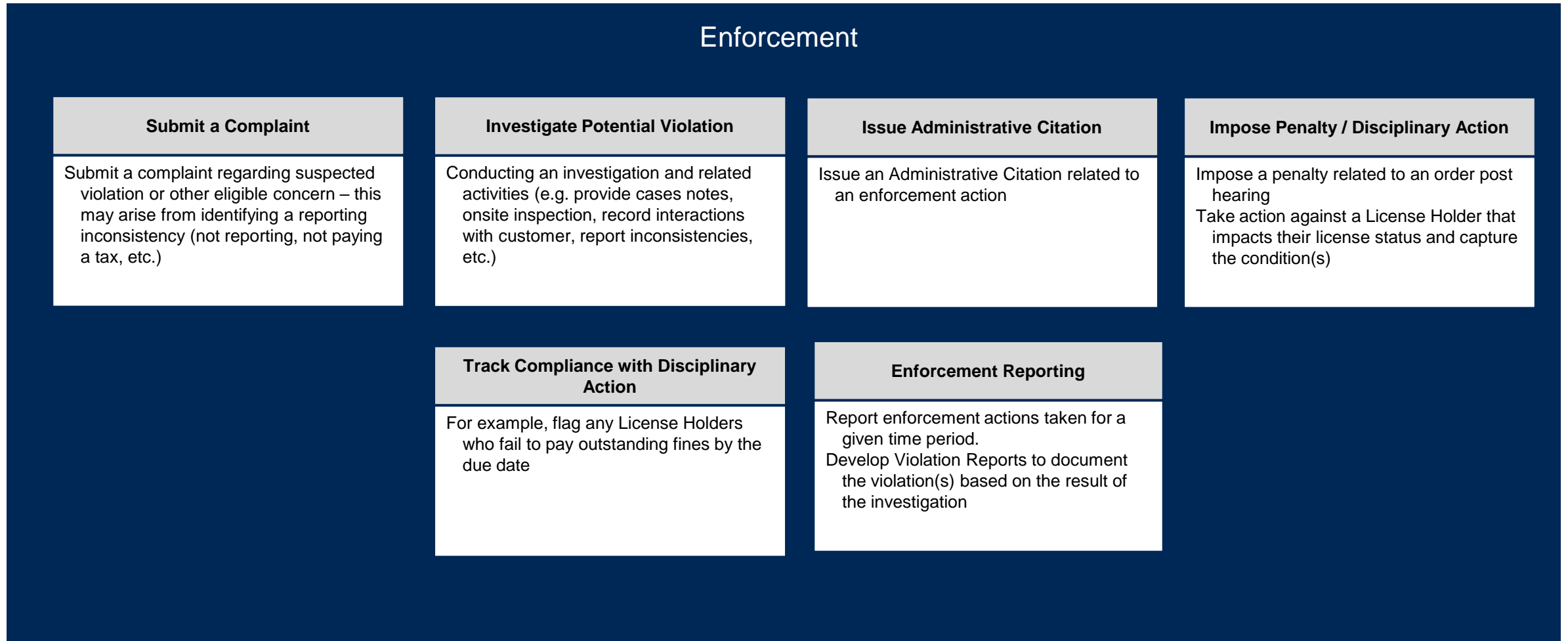


# Enforcement



# Business Capability:

## Enforcement – Ensure rules are followed before and after license issuance



# User Stories for Enforcement

<b>User Stories for Enforcement</b>	
<b>1</b>	<b><i>As a Complainant, I want to Submit a Complaint, so that I can ensure NLCC staff receive the information and can perform any necessary follow up to attempt to investigate the issue (this may arise from the identification of a reporting inconsistency).</i></b>
<b>2</b>	<b><i>As an Agent, I want to Issue an Administrative Citation, so that I can provide notice and enforcement action to the responsible party.</i></b>
<b>3</b>	<b><i>As NLCC Staff / State Patrol, I want to Report Enforcement Activity, so that I can maintain an accurate record of enforcement activity for reporting and managerial purposes.</i></b>

## Enforcement – User Story: Submit Complaint (1 of 2)

User Story Name:	Submit Complaint
Primary Actor:	Complainant (Member of General Public or Staff)
Context & Purpose:	Complaints can be filed by the general public, whistleblower, NLCC Staff, local government entities, etc. to report a violation of a liquor license. Complaints can also be submitted for entities that are not yet licensed with NLCC. Complaints may result in an investigation, disciplinary action, and/or a hearing.
Goal / Objective:	Complainant will be able to submit a complaint for NLCC Staff for review through the Online Portal.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ The System is configured with pre-defined complaint types for the Complainant to select from in order to ensure that the complaint or potential violation is related to Liquor Licensing.</li> <li>▪ The System is configured with a complaint form that captures the information needed for NLCC to review and process the complaint.</li> </ul>
Trigger:	The complainant desires to file a complaint with NLCC that is eligible for review.

*User Story continued on the next page.*



## Enforcement – User Story: Submit Complaint (2 of 2)

User Story Name:	Submit Complaint
User Story:	<i>As a Complainant, I want to Submit a Complaint, so that I can ensure NLCC staff receive the information and can perform any necessary follow up to attempt to investigate the issue (this may arise from the identification of a reporting inconsistency).</i>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ NLCC Staff has received the submitted complaint.</li> <li>▪ Complainant has received a receipt for the complaint information and a complaint number for tracking so he or she can later look up the status of the complaint online.</li> <li>▪ A record of complaints and mediation activity will be recorded in the system.</li> <li>▪ Complaint is routed to proper staff for review, which may include routing to the Nebraska State Patrol.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ While the objective of the future state will be to encourage online communications with NLCC through the Online Portal, a Complainant can also submit complaints by fax, mail, email, or in person. NLCC would then enter a record of the complaint into the system.</li> <li>▪ In the event that the complaint is not eligible for review by NLCC Staff, the online portal should still display contact information for other regulatory agencies and/or other information to help the Complainant with resolving their issue. There should be a link to other jurisdictions so that the complainant can submit the complaint.</li> <li>▪ Complaints can also be submitted to the Nebraska State Patrol who may refer the complaint to NLCC.</li> </ul>

# Enforcement – User Story: Issue Administrative Citation

User Story Name:	Issue Administrative Citation
Primary Actor:	Agent / Investigator (Nebraska State Patrol)
Context & Purpose:	Upon identification of a violation, the Investigator / Agent must document noncompliance with an Administrative Citation. The system must capture several components of the enforcement action – data / time, location, licensee information, statutory code that was violated, etc. to automatically generate the citation document.
Goal / Objective:	Agent / Investigator documents a violation to formally issue an Administrative Citation.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ User has an account and is logged in.</li> <li>▪ Agent has access to the system remotely or in the field.</li> <li>▪ An investigation has occurred and reported that a citation should be issued.</li> </ul>
Trigger:	An event such as an pre-license site inspection or complaint investigation has resulted in the need for an enforcement action against a licensee (or other responsible party).
User Story:	<b><i>As an Agent, I want to Issue an Administrative Citation, so that I can provide notice and enforcement action to the responsible party.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Administrative Citation document and issuance information recorded on the investigative case record.</li> <li>▪ Primary license and associated licenses / permits records updated to reflect issuance of an Administrative Citation.</li> </ul>
Alternate Paths	The enforcement action may require escalation to the District Attorney or other enforcement body beyond the issuance of an Administrative Citation. The system shall allow Staff to compile an electronic legal packet and case file for referral to the alternate enforcement body.

# Enforcement – User Story: Report Enforcement Activity

User Story Name:	Report Enforcement Activity
Primary Actor:	NLCC Staff / State Patrol
Context & Purpose:	NLCC Staff and State Patrol resources need to periodically create reports to document enforcement activity. The system shall maintain a log of enforcement actions and automatically generate reports according to business rules (i.e. Violation Reports) and have the capability to allow users to generate ad hoc activity reports.
Goal / Objective:	Report on Enforcement Activity associated with NLCC investigations.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users logged into the system.</li> <li>▪ System has recorded all enforcement activity associated with an investigation.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ An investigation is completed and a violation report must be generated.</li> <li>▪ NLCC Staff / State Patrol identify a need to report on enforcement activity for a given time period.</li> </ul>
User Story:	<b><i>As NLCC Staff / State Patrol, I want to Report Enforcement Activity, so that I can maintain an accurate record of enforcement activity for reporting and managerial purposes.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Violation Reports and / or ad hoc reports generated and disseminated, as necessary.</li> <li>▪ Law Enforcement reports are associated / linked with appropriate licenses/ permits and License / Permit Holders.</li> <li>▪ NLCC staff make any appropriate changes in the system, such as license status or create a liability.</li> </ul>
Alternate Paths	N/A

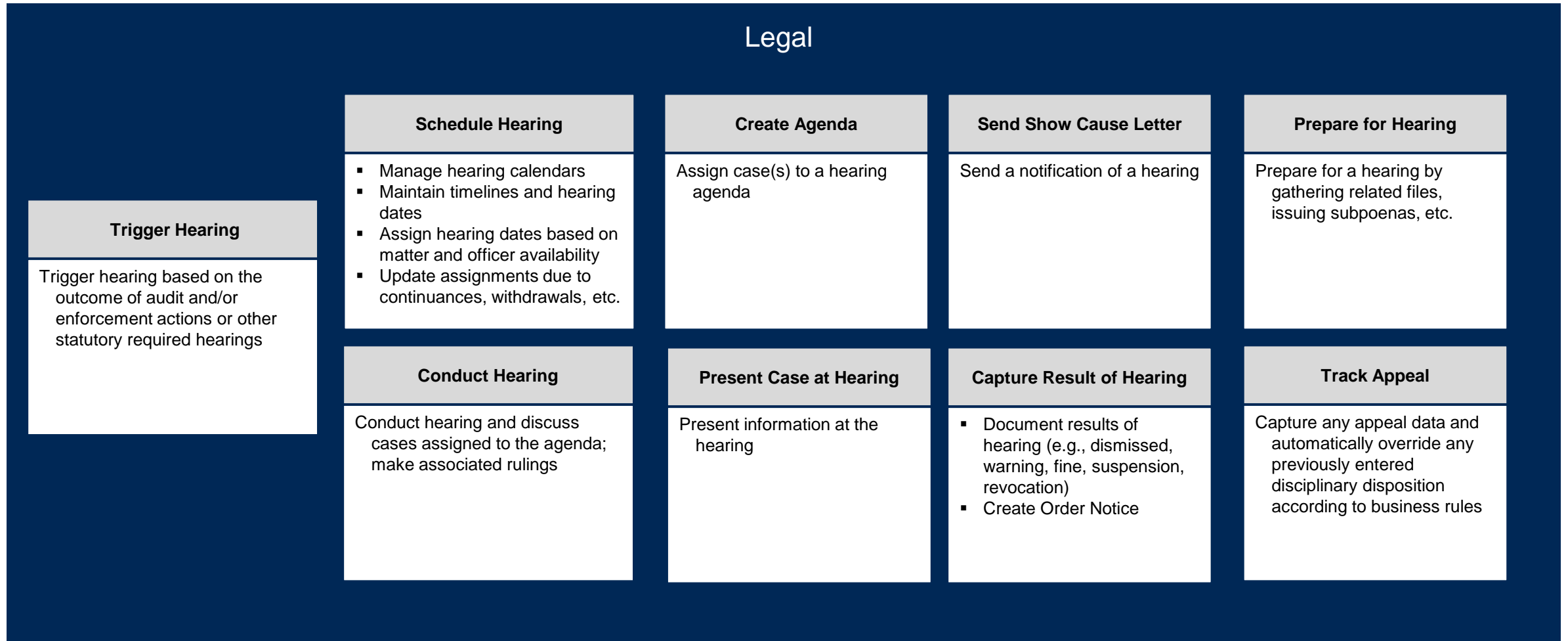


# Legal



# Business Capability:

## Legal – Support hearings related to applications and enforcement actions



# User Stories for Legal

User Stories for Legal	
1	<i>As NLCC Executive Director / Attorney General, I want to Request a Hearing, so that I can ensure the matter is properly reviewed and processed by the NLCC.</i>
2	<i>As NLCC Hearing Staff, I want to Schedule a Hearing, so that I can bring the required parties together at a specific date/time to address an issue(s).</i>
3	<i>As Hearing Officer(s), I want to Conduct a Hearing, so that I can evaluate the evidence on the issue and make a decision.</i>
4	<i>As NLCC Hearing Staff, I want to Track Appeal, so that I can capture appeal data to automatically override any previously entered disciplinary disposition.</i>

# Legal – User Story: Request a Hearing

User Story Name:	Request a Hearing
Primary Actor:	NLCC Executive Director / Attorney General
Context & Purpose:	NLCC Staff conducts hearings to review various types of cases (licenses that need further review – “Show Cause Hearing”, if an application has received a local denial, disciplinary actions, etc.). The Director of the agency serves as the “judge” with the Commissioners serving as the “jury.”
Goal / Objective:	Trigger a hearing so that a matter is heard before the NLCC.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users are logged into the system</li> <li>▪ Workflow is configured that supports flagging a license / license holder account for a hearing</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Hearings can be triggered based on a variety of circumstances (audit, application review, recommendation for denial by local governing body, complaints, NLCC Director’s discretion, disciplinary action, etc.)</li> </ul>
User Story:	<b><i>As NLCC Executive Director / Attorney General, I want to Request a Hearing, so that I can ensure the matter is properly reviewed and processed by the NLCC.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Case is created in the system and can be scheduled for a hearing date.</li> <li>▪ Case number is generated.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ A matter may be flagged for a hearing and cancelled at a later date (e.g., License Holder pleads guilty ahead of time).</li> </ul>

# Legal – User Story: Schedule Hearing

User Story Name:	Schedule Hearings
Primary Actor:	NLCC Staff
Context & Purpose:	Various matters may require a hearing for further discussion and review. Calendars will be managed in the system for a hearing date where multiple hearing types can be supported. A case should be assigned a hearing date on the appropriate calendar. The system shall generate hearing agenda templates automatically populated with assigned cases.
Goal / Objective:	Staff is able to systematically manage hearing workloads and scheduling of hearing events on the appropriate calendar.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users are logged in to their user accounts.</li> <li>▪ Hearing Calendars are configured for eligible hearing dates in the system.</li> <li>▪ License Holder has <i>not</i> plead.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Hearing is triggered (see User Story: Trigger Hearing) and staff determines the case must be scheduled</li> </ul>
User Story:	<b><i>As NLCC Hearing Staff, I want to Schedule a Hearing, so that I can bring the required parties together at a specific date/ time to address an issue(s).</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Event has been scheduled on the appropriate hearing calendar at an available time.</li> <li>▪ Appropriate notifications are sent out to the required/optional attendee(s), including a Citation or Show Cause Letter.</li> <li>▪ Hearing Calendar is updated.</li> <li>▪ Hearing schedule is posted online prior to a hearing.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ If a license holder has received a citation letter in the mail and wishes to plead guilty, they can return the Waiver of Hearings - Guilty Plea to NLCC (within 10 days of the hearing). NLCC will then call off any witnesses.</li> </ul>



# Legal – User Story: Conduct Hearing (1 of 2)

User Story Name:	Conduct Hearing
Primary Actor:	NLCC Director & Commissioners
Context & Purpose:	NLCC Staff conducts hearings to review various types of cases (licenses that need further review – “Show Cause Hearing”, if an application has received a local denial, disciplinary actions, etc.). The Director of the agency serves as the “judge” with the Commissioners serving as the “jury.”
Goal / Objective:	Hearing Officer(s) conduct the hearing and hearing results are captured in the system.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ The user has an account and is logged into the system.</li> <li>▪ Event has been scheduled to a hearing date / calendar.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Hearing date arrives</li> </ul>
User Story:	<b><i>As Hearing Officer(s), I want to Conduct a Hearing, so that I can evaluate the evidence on the issue and make a decision.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Director and Commissioners are able to access and view specific information regarding the record, including all attachments, images, alerts, history, etc., which may be generated via a Hearing Package report in the system.</li> <li>▪ Evidence presented (e.g., video, photos) are recorded in the system</li> <li>▪ Hearing activity is recorded in the system and can be reported on as activity performed by staff.</li> <li>▪ Hearing documentation can be stored in the system and associated with a hearing record.</li> <li>▪ Decision is recorded in the system, as well as any conditions or follow up action that must be enforced are documented in hearing orders</li> <li>▪ Financial penalties and/or hearing costs may be associated with the License Holder’s account.</li> <li>▪ The license status is updated as appropriate.</li> </ul>

## Hearings – User Story: Conduct Hearing (2 of 2)

User Story Name:	Conduct Hearing
Alternate Paths	<ul style="list-style-type: none"><li>▪ Hearing may be rescheduled.</li><li>▪ License Holders typically have the option to pay a penalty or serve a suspension based on the outcome of the hearing. They should be able to pay their penalty through the online portal, which would remove the suspension. Note: NLCC can also dictate a mandatory suspension for a period of time based on the outcome of the hearing.</li></ul>

# Legal – User Story: Track Appeal

User Story Name:	Track Appeal
Primary Actor:	NLCC Staff
Context & Purpose:	License Holders can appeal the results of the hearing within 30 days to the District Court for judicial review. NLCC would gather relevant documentation to provide to the court in preparation of the appeal.
Goal / Objective:	Track that a hearing decision has been appealed and update in the future with any pertinent outcomes, if applicable.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Orders have been generated from the hearing</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ License Holder decides to appeal</li> </ul>
User Story:	<b><i>As NLCC Hearing Staff, I want to Track Appeal, so that I can capture appeal data to automatically override any previously entered disciplinary disposition.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Once NLCC receives the result of the appeal, NLCC can enter that information into the system.</li> </ul>
Alternate Paths	License Holder may choose to not appeal the hearing decision.

# **Training & Education**

# Business Capability:

## Training & Education – Track training taken by License Holders and provide public education / outreach

### Training & Education

<p><b>Mandate Training</b></p>	<p><b>Maintain Training History</b></p>
<p>Require a License Holder to complete training as a result of legal actions and/or as part of the application process</p>	<p>Maintain record of training history for each License Holder (currently per individual)</p>
<p><b>Verify Training &amp; Issue Certificate</b></p>	<p><b>Public Education / Outreach / Virtual Learning</b></p>
<p>Confirm that training was completed successfully and ensure training requirements are met. Collect certificate fee Issue a certificate to indicate training was completed successfully</p>	<p>Repository of educational materials about the licensing process, requirements, etc. to help License Holders understand NLCC and steps to get a license. Provide information on engagement / outreach opportunities.</p>

# User Stories for Training & Education

<b>User Stories for Training &amp; Education</b>	
<b>1</b>	<b><i>As NLCC Staff, I want to Mandate Training so that I can ensure a License Holder completes training in compliance with legal actions and/or the application process.</i></b>
<b>2</b>	<b><i>As NLCC staff, I want to Verify Training so that I can confirm training was completed successfully and training requirements have been met to issue a certificate.</i></b>
<b>3</b>	<b><i>As NLCC Staff, I want to Maintain Online Repository of Educational Materials (guidebooks, webinars, etc.), so that I can ensure users have access to information concerning licensing processes, requirements etc.</i></b>

# Training & Education – User Story: Mandate Training

User Story Name:	Mandate Training
Primary Actor:	NLCC Staff
Context & Purpose:	NLCC may require training as part of the licensing process and mandate Applicant(s) complete NLCC-approved training programs. This is typically the case when the Applicant(s) have insufficient experience selling alcohol in Nebraska. Training may also be mandated as a result of the imposition of a disciplinary action. See User Story: Impose Penalty / Disciplinary Action.
Goal / Objective:	Ensure Applicant(s) possess an adequate knowledge of Nebraska alcohol regulations.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users are logged into the system</li> <li>▪ License Holder has submitted an application or has an active license</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ The NLCC on occasion requires licensees to attend training as a result of legal actions and/or as part of the application process if something about the applicant's background suggests it should be needed.</li> </ul>
User Story:	<b><i>As NLCC Staff, I want to Mandate Training so that I can ensure a License Holder completes training in compliance with legal actions and / or the application process.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Training requirement documented on the license / permit application in the system.</li> <li>▪ Applicant notified of requirement. See User Story: Send Notifications / Reminders.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Local government can require general and/or region-specific training for licensees within their jurisdiction.</li> <li>▪ Applicants and Licensees can also choose to take training courses at their own discretion.</li> </ul>

# Training & Education – User Story: Verify Training & Issue Certificate

User Story Name:	Verify Training & Issue Certificate
Primary Actor:	NLCC Staff
Context & Purpose:	Alcohol Server/Seller Training are completed by users through a NLCC-approved course. Once completed, NLCC must verify completion (whether for a voluntary or mandated training) to issue a training certificate. This certificate may fulfill NLCC-mandated training requirements (See User Story: Mandate Training) or fulfill a local jurisdiction’s training requirements.
Goal / Objective:	Verify a training has been completed to issue certificate.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users logged in.</li> <li>▪ Trainee has access to the Online Portal and submits documentation online and requests a training certificate.</li> <li>▪ Trainee submits payment for certificate fee (See User Story: Submit Payment).</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Trainee uploads course completion documentation to the system in order to document that training has been completed.</li> </ul>
User Story:	<b><i>As NLCC staff, I want to Verify Training so that I can confirm training was completed successfully and training requirements have been met to issue a certificate.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Training certificate issued for appropriate trainee via email.</li> <li>▪ Completed training activity linked to the appropriate license in the system – enforcement action satisfied, if mandated.</li> <li>▪ Applicant / License Holder can print out their certification online and pay any fee(s).</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Training documentation may be submitted by email / mail or in person – NLCC will manually create a record in the system.</li> <li>▪ Payments may be submitted by cash or check by mail or in person.</li> </ul>



# Training & Education – User Story: Maintain Online Repository of Education Materials

User Story Name:	Maintain Online Repository of Education Materials
Primary Actor:	NLCC Staff
Context & Purpose:	Online education materials (such as webinars, guidebooks, presentations, etc.) provide valuable information and insight into the various intricacies of NLCC licensing processes without requiring a customer to reach out to NLCC directly.
Goal / Objective:	Provide an online repository for education materials to inform a wide variety of NLCC constituents on NLCC processes and guidelines.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Online Portal set up to allow access for the general public, not just authorized users.</li> </ul>
Trigger:	Ongoing
User Story:	<b><i>As NLCC Staff, I want to Maintain Online Repository of Educational Materials (guidebooks, webinars, etc.), so that I can ensure users have access to information concerning licensing processes, requirements etc.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ System contains educational materials (webinars, guidebooks, etc.) that can be accessed by the public.</li> </ul>
Alternate Paths	N/A



# Revenue



# Business Capability:

## Revenue – Ensure Control of Cash Flow & Accurate Accounting

Revenue			
<p><b>Identify Liability</b></p> <ul style="list-style-type: none"> <li>Identify outstanding License Holder liabilities</li> <li>Present liability to License Holder based on account (e.g. application costs, hearing costs, fines, etc.)</li> </ul>	<p><b>Submit Payment</b></p> <p>Submit payment to resolve outstanding liability</p>	<p><b>Manage Cash &amp; Checks</b></p> <ul style="list-style-type: none"> <li>Maintain physical control of cash and checks</li> <li>Manage separation of duties</li> <li>Batching for deposits</li> <li>Reconciliation of cash/checks and management of mismatches</li> </ul>	<p><b>Collect Excise Tax</b></p> <p>Collect excise tax payments from License Holders</p>
<p><b>Accept Payments</b></p> <ul style="list-style-type: none"> <li>Present liability to customer based on account (e.g. application /citation data)</li> <li>Process tenders of money and receipt of funds (e.g. cash, check, credit card, wire transferred funds, etc.)</li> <li>Provide record of payment to customer (e.g. receipt)</li> </ul>	<p><b>Allocate Revenue</b></p> <ul style="list-style-type: none"> <li>Match record payment with correct general ledger account</li> <li>Reconcile with cash deposits /receipts</li> </ul>	<p><b>Process Refunds</b></p> <p>Accept and requests for refunds with all required data Track review, approval and /or escalation of request based on risk or dollar amount Manage customer credit and draw down based on payments to customer</p>	<p><b>Manage Customer Financial Account</b></p> <ul style="list-style-type: none"> <li>Maintain history of customer financial transactions across licenses /service requests</li> <li>Provide re-print of receipts &amp; invoices</li> </ul>

# User Stories for Revenue

User Stories for Revenue	
1	<i>As NLCC Finance Staff, I want to Manage Customer Financial Account, so that I can maintain history of customer financial transactions across licenses / service requests for the License Holders to be able to view through the Online Portal and for staff to be able to view for reference purposes.</i>
2	<i>As an Applicant or License Holder, I want to Submit Payment, so that I can satisfy outstanding charge(s) associated with the service(s) requested or received from NLCC.</i>
3	<i>As NLCC Staff, I want to Manage Cash and Checks, so that I can maintain control of physical cash (or checks) and ensure proper deposits to the bank.</i>
4	<i>As NLCC Finance Staff, I want to Accept Payments (liabilities, excise tax payments), so that I can process payment and provide a receipt of the transaction to the License Holder.</i>
5	<i>As NLCC Finance Staff, I want to Process Refund, so that I can approve, deny or forward the request for further processing.</i>

# Revenue – User Story: Manage Customer Financial Account

User Story Name:	Manage Customer Financial Account
Primary Actor:	NLCC Staff
Context & Purpose:	The system will maintain a record of customer activity with the department. Customer information will include financial account information.
Goal / Objective:	Staff will be able to manage customer account information specific to the customer's financial position with the department. The customer's financial account will maintain a comprehensive record of all financial transactions with NLCC. Credits to the account will also be clearly displayed.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ The Customer has an account in the system.</li> <li>▪ The Customer's activity with the department is recorded in the system including financial liabilities and transactions.</li> </ul>
Trigger:	Ongoing
User Story:	<b><i>As NLCC Finance Staff, I want to Manage Customer Financial Account, so that I can maintain history of customer financial transactions across licenses / service requests for the License Holders to be able to view through the Online Portal and for staff to be able to view for reference purposes.</i></b>
Post-Conditions:	All customer financial transaction information is viewable associated with their account in the system.
Alternate Paths	Staff shall be able to put a flag on a customer's account that prevents any checks from being accepted by the customer by staff in the case of chronic NSF's.

## Revenue – User Story: Submit Payment (1 of 2)

User Story Name:	Submit Payment
Primary Actor:	Applicant or License Holder
Context & Purpose:	Requested or received services from the NLCC require a fee to be paid by the Applicant or License Holder.
Goal / Objective:	The Applicant or License Holder submits a payment to NLCC to satisfy the fee(s) due associated with their account.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ User has an account and is logged into the system.</li> <li>▪ Fees exist in the system and an outstanding balance is due by the Applicant.</li> <li>▪ Record is eligible for payment to be received (e.g., no flags exist on the record that prevent payment from being submitted).</li> <li>▪ Interfaces exist with payment processor and financial systems to enable processing of payment.</li> </ul>
Trigger:	The Applicant or License Holder learns of an outstanding fee and decides to submit a payment to pay the fee.
User Story:	<b><i>As an Applicant or License Holder, I want to Submit Payment, so that I can satisfy outstanding charge(s) associated with the service(s) requested or received from NLCC.</i></b>

*User Story continued on the next page.*

## Revenue – User Story: Submit Payment (2 of 2)

User Story Name:	Submit Payment
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The Applicant or License Holder has satisfied fee(s) associated with the service(s) requested or received.</li> <li>▪ Payment transaction and related information is recorded in the system.</li> <li>▪ Interfaces execute satisfactorily and transmit information successfully.</li> <li>▪ Applicant receives a payment receipt based on his/ her communication preferences (e.g., mail, email, text/ SMS, etc.)</li> <li>▪ Once payment is accepted, Applicant can print license or trigger the license to be mailed.</li> <li>▪ Financial information is passed to the State's ERP solution for financial reconciliation.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ An Applicant can Pay Fee(s) in person or by mail. An Applicant may start an application and come in later to finish and/or pay.</li> </ul>

# Revenue – User Story: Manage Cash and Checks (1 of 2)

User Story Name:	Manage Cash and Checks
Primary Actor:	NLCC Staff
Context & Purpose:	Staff maintain physical control of a drawer or cash box for cash payments received. A staff member is assigned to the drawer/ box and ensures there is the appropriate amount of cash according to the transactions processed. At the end of day, reconciliation is performed and the staff member makes a cash deposit to the bank. Cashier also maintains a certain amount of cash to use for change.
Goal / Objective:	Staff will be able to manage and track the physical control of cash in the system. System will support daily reconciliation processes.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All users are logged into the system</li> <li>▪ Fee schedule is configured in the system including rules on how revenue will be allocated.</li> <li>▪ Specific performance parameters for payments received workload are defined in the System.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Staff periodically monitors payments received, or system notifies Staff that payments received surpassed a set performance parameters and/or when a high volume transaction is received, and deposit procedures need to be initiated.</li> <li>▪ Staff performs end of day reconciliation and prepares bank deposit.</li> </ul>
User Story:	<b><i>As NLCC Staff, I want to Manage Cash and Checks, so that I can maintain control of physical cash (or checks) and ensure proper deposits to the bank.</i></b>

*User Story continued on the next page.*



## Revenue – User Story: Manage Cash and Checks (2 of 2)

User Story Name:	Manage Cash and Checks
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Staff have performed periodic and daily reconciliation to monitor physical cash balances.</li> <li>▪ Staff have performed reconciliations and prepared bank deposit.</li> <li>▪ A hearing may be triggered if a check is bounced.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ If there is a discrepancy between recorded balance and physical balance, the system shall allow Staff to review the record, make authorized changes and have the capability to notify a Supervisor.</li> <li>▪ If a check bounces / NSF, a hearing may be triggered.</li> </ul>

# Revenue – User Story: Accept Payment (1 of 2)

User Story Name:	Accept Payment
Primary Actor:	NLCC Staff
Context & Purpose:	Staff will be able to process tenders of money (e.g., cash, check, credit card, wire transferred funds, etc.) and issue receipts for transactions of funds. The system should provide a record of these financial transactions with the customer (e.g., audit trail of receipts, voids, adjustments, etc.).
Goal / Objective:	NLCC Staff is able to accept payment. Record of payment is recorded in the system and associated with the customer's financial account for future reference.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ All actors are logged into the system</li> <li>▪ All financial interfaces are functioning to support the payment processing</li> <li>▪ Fees exist in the system and an outstanding balance is due by the Applicant.</li> <li>▪ Record is eligible for payment to be received (e.g., no flags exist on the record that prevent payment from being submitted)</li> </ul>
Trigger:	Applicant or License / Permit Holder has submitted payment. See User Story: Submit Payment.
User Story:	<b><i>As NLCC Finance Staff, I want to Accept Payments (liabilities, excise tax payments), so that I can process payment and provide a receipt of the transaction to the License Holder.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The Customer has cleared fee(s) associated with the service(s) requested or received.</li> <li>▪ Payment information is recorded in the system and is associated with the Customer's account.</li> <li>▪ NLCC Staff has provided receipt to the customer.</li> <li>▪ Appropriate payment information is sent to the Finance System for revenue allocation.</li> </ul>

*User Story continued on the next page.*

## Revenue – User Story: Accept Payment (2 of 2)

User Story Name:	Accept Payment
Alternate Paths	<ul style="list-style-type: none"> <li>▪ While the objective of the future state will be to encourage online payment through the Online Portal, NLCC Staff can accept payment in person or by mail.</li> <li>▪ Customer may pay for multiple licenses, permits, or transactions at one time (i.e., shopping cart functionality); system must allocate funds accordingly; Ability to post different tender types (cash/check/cc) to one or more different licenses (10+) and post payment to different GL accounts (i.e. transient lodging/room tax payments).</li> <li>▪ Staff can scan checks into the system and saved a copy of the check image. Scanned images will not include micr information.</li> <li>▪ In the case of cancelled payment (NSF, credit card reversal, etc.), the system shall maintain the revenue allocation / GL account information for the transaction so that the revenue can be backed out of the correct GL accounts. The system should support automatic processing of this based on communication with the financial system.</li> <li>▪ In the case where multiple tenders were used and only part of the payment was cancelled, the system shall support prioritization of fees such that the revenue can be back out of certain GLs before others.</li> </ul>
Requirements for Viewing Payment Information	<ul style="list-style-type: none"> <li>▪ Ability for NLCC Staff to view payment information and to drill down to the details of one payment to the specific license associated with the payment.</li> <li>▪ Ability to have a summary of application of payment in one receipt – convenient when tracking the application of 1 type/sum of payment to different licenses.</li> <li>▪ Can review audit history of all payments and changes to the license (e.g., what was changed, who changed something, who posted payment, etc.).</li> </ul>

# **General Operations & Administration**

# Business Capability:

## General Operations & Administration – Perform general business, office and administration functions

General Operations				
<b>Manage Staff Workload &amp; Performance</b> <ul style="list-style-type: none"> <li>Managing queue of assignments (e.g. identify bottlenecks, opportunities for workload sharing, etc.)</li> <li>Understand resource availability (e.g. applications processed per assigned hours, etc.)</li> </ul>	<b>Manage Geographical Information</b> <ul style="list-style-type: none"> <li>View and update data tied to locations (e.g. fire marshals assigned to a particular region where a business is located)</li> </ul>	<b>Search for Information</b> <p>Search for license information by one or more criteria and view related information</p>	<b>Statistical Reporting</b> <ul style="list-style-type: none"> <li>Maintain monthly statistical reports to be compiled into a final year end report.</li> </ul>	<b>Administrative Reporting</b> <p>Track and run reports for:</p> <ul style="list-style-type: none"> <li>Fixed Assets</li> <li>Payables</li> <li>Copy/Print Services</li> <li>Service Contracts</li> <li>Office Supplies</li> </ul>
<b>Report On &amp; Analyze Data</b> <ul style="list-style-type: none"> <li>View raw data and graphical representations</li> <li>Calculate statistics and monitor over time (e.g. past versus current data)</li> <li>Forecast future performance or events (e.g. end of year based on trend)</li> </ul>	<b>Manage Documents</b> <ul style="list-style-type: none"> <li>Generate and maintain an archive for documents ( e.g. received, issued, files provided for audits, images gathered from investigations, etc.)</li> <li>Ensuring secure document maintenance</li> <li>Enforce retention policies</li> </ul>	<b>Provide Data for Public Consumption</b> <ul style="list-style-type: none"> <li>Publishing or making data available online for searching, viewing, download, and analysis by the public, external partners, etc.</li> </ul>	<b>Manage Inventory</b> <p>Maintain and track inventory for:</p> <ul style="list-style-type: none"> <li>Keg Books</li> <li>Law Books</li> </ul>	

# User Stories for General Operations & Administration

<b>User Stories for General Operations &amp; Administration</b>	
1	<i>As NLCC Supervisor, I want to View Staff Workload Dashboard, so that I can view real-time data regarding staff activities and workflow status to proactively manage any issues or address them quickly once they arise.</i>
2	<i>As NLCC Staff, I want to Manage Geographic Information, so that I can determine and manage what data should be available through GIS.</i>
3	<i>As NLCC Staff, I want to Perform Search, so that I can find pertinent license data in the system.</i>
4	<i>As NLCC Staff, I want to Create Report, so that I can access, analyze, and/or export the needed information in the format I requested (e.g. graphical, table, etc.).</i>
5	<i>As NLCC Staff, I want to Record Internal Note on a Record, so that I can share information with other Staff collaborating on the record.</i>
6	<i>As NLCC Staff, I want to Manage Documents, so that I can upload, version and store documentation electronically and have it be easily accessible from the licensing system.</i>
7	<i>As NLCC Staff, I want to Manage Inventory so that I can provide law / keg books to licensees and/or citizens.</i>

# General Operations & Administration – User Story: View Staff Workload Dashboard

User Story Name:	View Staff Workload Dashboard
Primary Actor:	NLCC Supervisor
Context & Purpose:	Supervisors should be monitoring staff workloads at all times to ensure compliance with performance metrics, as well as to make adjustments as necessary to ensure workload is distributed in the most efficient and effective manner. A dashboard view that presents real-time data regarding staff activities and the status of workflow tasks is required to allow a Supervisor to proactively assign, monitor, and manage workload for their staff.
Goal / Objective:	Identify issues related to staff workload or meeting due dates / performance metrics proactively, and/or address them quickly once they arise.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ User has an account and is logged into the system.</li> <li>▪ The System has pre-defined service levels and built-in triggers for performance monitoring to feed the Supervisor dashboard.</li> </ul>
Trigger:	As part of day-to-day responsibilities, Supervisor should select to view the dashboard to manage workload and performance of staff under his or her purview.
User Story:	<b><i>As NLCC Supervisor, I want to View Staff Workload Dashboard, so that I can view real-time data regarding staff activities and workflow status to proactively manage any issues or address them quickly once they arise.</i></b>
Post-Conditions:	System displays real time data on the dashboard view.
Alternate Paths	<ul style="list-style-type: none"> <li>▪ Alternate NLCC personnel besides a Supervisor may be given access to the dashboard view</li> <li>▪ System may proactively alert the Supervisor to check a record based on alerts or notifications configured the system to be generated when certain conditions arise or thresholds are reached.</li> </ul>

# General Operations & Administration – User Story: Manage Geographic Information

User Story Name:	Manage Geographic Information
Primary Actor:	NLCC Staff
Context & Purpose:	Modern online portals increasingly feature license / permit data in a geospatial format, which can increase the usefulness and meaningfulness of the data. NLCC Staff needs the ability to manage geographic information and geospatial maps in order to identify beer brand registrations, business locations, premise layouts, etc. GIS information should be available to the public so that they can search for information in a particular location (e.g., What's going on in my neighborhood?).
Goal / Objective:	Determine and manage what data should be available through GIS.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Geospatial information about existing business, zoning, and ordinances is available.</li> <li>▪ System interfaces to a central GIS repository (e.g., OCIO GIS) or the solution provides its own GIS capabilities where relevant GIS data is stored.</li> </ul>
Trigger:	As part of ongoing operations, NLCC Staff and the NLCC's IT/GIS Team work to ensure the GIS interface is functioning and required GIS information is available for display.
User Story:	<b><i>As NLCC Staff, I want to Manage Geographic Information, so that I can determine and manage what data should be available through GIS.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Addresses and property information is populated from the GIS system.</li> <li>▪ Interface allows Business Licenses to be displayed geospatially on a map.</li> </ul>
Alternate Paths	N/A



# General Operations & Administration – User Story: Perform Search (1 of 2)

User Story Name:	Perform Search
Primary Actor:	NLCC Staff
Context & Purpose:	The system should provide a comprehensive mechanism for NLCC Staff to search information in the system. This includes “sound like” features, and the ability to link records together in a logical manner so that NLCC Staff can easily navigate to related data. The system must provide a one screen dashboard with all the vital information displayed, and then allow NLCC Staff to drill down into detailed records as needed.
Goal / Objective:	<ul style="list-style-type: none"> <li>▪ Provide robust search capabilities</li> <li>▪ Provide a user friendly way for NLCC Staff to find the information they need and navigate through the system</li> <li>▪ Access to data is governed by security roles in the system.</li> </ul>
Pre-Conditions:	Users have accounts and are logged in.
Trigger:	NLCC Staff is attempting to find data in the system.
User Story:	<b><i>As NLCC Staff, I want to Perform Search, so that I can find pertinent license data in the system.</i></b>

*Continued on next page*

# General Operations & Administration – User Story: Perform Search (2 of 2)

User Story Name:	Perform Search
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ The system displays record(s) that match the search criteria entered by the user.</li> <li>▪ User can select to view the related record(s)</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ System does not return any results and NLCC Staff is prompted to refine their search</li> <li>▪ Number of matching records exceeds the threshold that can be displayed in the system. System prompts NLCC Staff to refine their search parameters.</li> <li>▪ User can select to save the search to rerun it again in the future</li> <li>▪ User can select to export the list of search results</li> <li>▪ Publicly available data may be accessed through a Search option on the Online Portal or NLCC's website.</li> </ul>

# General Operations & Administration – User Story: Create Report

User Story Name:	Create Report
Primary Actor:	NLCC Staff
Context & Purpose:	From a technical perspective, “reports” refer to any document that is generated out of the system. This may include licenses, permits, inspection forms, receipts, management metrics, and other documents generated or data exported from the system. Report file formats include Word, Excel, and PDF. The system shall allow NLCC Staff to leverage out-of-the-box reports, as well as to easily create new reports on an ad-hoc basis, without advanced technical skills being required to do so (i.e. Administrative Reports, Statistical Reports, etc.).
Goal / Objective:	Provide an easy mechanism for staff to create reports on an ad-hoc or regular basis.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Staff has appropriate user access rights to the system.</li> <li>▪ The appropriate data fields are configured in the system to enable reporting on the required metrics</li> <li>▪ System is configured with the appropriate report templates or allows flexible ad-hoc reporting that can satisfy the relevant reporting needs.</li> </ul>
Trigger:	<ul style="list-style-type: none"> <li>▪ Staff identifies a need to gather information from the system, or</li> <li>▪ Staff must satisfy periodic reporting requirements.</li> </ul>
User Story:	<b><i>As NLCC Staff, I want to Create Report, so that I can access, analyze, and/or export the needed information in the format I requested (e.g. graphical, table, etc.).</i></b>
Post-Conditions:	The needed information is displayed to Staff or exported in the format they requested (e.g. graphical, table, etc.).
Alternate Paths	Staff can execute a report that is already saved and created in the system

# General Operations & Administration – User Story: Record Internal Note on a Record

User Story Name:	Record Internal Note on a Record
Primary Actor:	NLCC Staff
Context & Purpose:	Staff may need to make notes on license records or other places in the system that are not published to the Applicant/public in order to communicate internally with other staff and/or preserve the history of activity taken on a record. These case notes provide general information relevant to the license outside of typical workflow capabilities.
Goal / Objective:	<ul style="list-style-type: none"> <li>▪ Preserve a record of staff activity/comments taken on a record.</li> <li>▪ Ensure all staff members have a clear and consistent understanding of the status of a record.</li> </ul>
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ The user has an account and is logged into the system.</li> <li>▪ Records exist in the system and have note fields configured to be not visible on the online portal or in reports.</li> </ul>
Trigger:	Staff encounter a situation in which an internal note is worth memorializing in the system.
User Story:	<b><i>As NLCC Staff, I want to Record Internal Note on a Record, so that I can share information with other Staff collaborating on the record.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ NLCC Staff have saved an internal note in the record that is viewable by other eligible staff members.</li> <li>▪ Internal notes are view only and can't be edited/ removed unless you are the author or supervisor.</li> </ul>
Alternate Paths	The Staff Member may update or edit the note after submission.

# General Operations & Administration – User Story: Manage Documents (1 of 2)

User Story Name:	Manage Documents
Primary Actor:	NLCC Staff
Context & Purpose:	As part of day-to-day operations, NLCC Staff must manage many different types of documentation. The objective of the future state is to transition to a more paperless environment. This will require management of electronic files that are uploaded by a user to the system directly, or the scanning of paper documentation that is subsequently uploaded. The system will interface with the Nebraska’s Document Management System (OnBase) where document files will be stored, yet still easily accessible from the licensing system. Staff may upload information documents and forms in the system for Applicants to download and fill out.
Goal / Objective:	Store any license-related documentation electronically. Any paper documentation will still be accepted by staff, but will be scanned into the system by staff reducing need to manage and work from paper files.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Users are logged into the system.</li> <li>▪ System is integrated with the Nebraska’s Document Management System (OnBase)</li> <li>▪ System is configured with document types to classify the type of documentation being uploaded.</li> </ul>
Trigger:	Documentation is required as part of a workflow or submission of an application, and has been provided to NLCC in paper format.
User Story:	<b><i>As NLCC Staff, I want to Manage Documents, so that I can upload, version and store documentation electronically and have it be easily accessible from the licensing system.</i></b>

# General Operations & Administration – User Story: Manage Documents (2 of 2)

User Story Name:	Manage Documents
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Staff has scanned the paper documentation and uploaded the scanned image into the system, captured relevant metadata, and associated it with an application / license / permit.</li> <li>▪ Documentation is associated with the correct record (i.e., an application/ license/ permit) and can be accessed easily from where it is housed in the DMS.</li> <li>▪ Original paper documentation is either destroyed or stored according to NLCC business rules for that document type.</li> </ul>
Alternate Paths	<ul style="list-style-type: none"> <li>▪ If the upload to the system is unsuccessful, the System should notify staff and provide any information that may assist Staff in completing the upload (e.g., advise of any file size or file type limitations that may be preventing submission).</li> <li>▪ Document may be uploaded by an Applicant/License Holder directly into the system through the Online Portal.</li> </ul>

# General Operations – User Story: Manage Inventory

User Story Name:	Manage Records Requests
Primary Actor:	NLCC Staff
Context & Purpose:	NLCC fulfills requests submitted by License / Permit Holders and / or the general public for law books and keg books. These are fulfilled through print production so an inventory of these materials must be managed.
Goal / Objective:	Manage an inventory of law / keg books to promptly fulfill requests.
Pre-Conditions:	<ul style="list-style-type: none"> <li>▪ Online Portal is configured to allow general public to submit a request for law / keg books.</li> <li>▪ Payment submitted.</li> </ul>
Trigger:	Ongoing
User Story:	<b><i>As NLCC Staff, I want to Manage Inventory so that I can provide law / keg books to licensees and/or citizens.</i></b>
Post-Conditions:	<ul style="list-style-type: none"> <li>▪ Request fulfilled either via mail or in person.</li> <li>▪ Transaction documented in the system, inventory adjusted.</li> <li>▪ Inventory flagged if it dips below a certain number.</li> </ul>
Alternate Paths	Law / Keg book requests made by mail, email / phone or in person.

# **Nebraska Liquor Control Commission**

## **Reports**



Number	File Name	Title	Data in Report	Data Source
1	hs02-Summary-2020 12dec	Nebraska Craft Brewers Summary BEER	Total Gallons reported in each line category: Total Gallons Produced, Internal Sales (i.e. taproom), Wholesale sales, sales out of state	Craft Brewery Monthly Reports submitted to the NLCC
2	hs03-TtlGallons-2020 12 dec	Nebraska Craft Brewers Total Gallons Produced BEER	Total Gallons produced for current month, then YTD gallons, compared to same month previous year & YTD previous year	Craft Brewery Monthly Reports submitted to the NLCC
3	hs04-Internal-2020-12dec	Nebraska Craft Brewers Internal Sales BEER	Total Gallons of internal sales reported for current month, then YTD gallons, compared to same month of previous year & YTD previous year	Craft Brewery Monthly Reports submitted to the NLCC
4	hs05-NEDist-2020-dec	Nebraska Craft Brewers-Sales to NE Wholesalers BEER	Total Gallons sold to NE wholesalers, broken down by package size or keg size	Craft Brewery Monthly Reports submitted to the NLCC
5	hs06-OutofState-2020-dec	Nebraska Craft Brewers-Out of State Sales BEER	Total Gallons sold out of state, broken down by package size or keg size	Craft Brewery Monthly Reports submitted to the NLCC
6	hs07-2020-12dec	Total Sales of Nebraska Wholesalers BEER	Total Gallons sold by Nebraska wholesalers by location, broken down by package size or keg size	Nebraska Beer Wholesaler Monthly Reports & Monthly Beer Shipper reports submitted to the NLCC
7	hs08-2020-12dec	All Craft Brewers-Sales to NE Wholesalers BEER	Total Gallons sold to NE wholesalers, broken down by package size or keg size & by Nebraska wholesaler (alphabetical)	Nebraska Beer Wholesaler Monthly Reports & Monthly Beer Shipper reports submitted to the NLCC
8	hs09-2020-12dec	Complete Sales of Brewers to NE Wholesalers BEER	Total Gallons into State or within State, broken down by package size or keg size; in rough descending gallons	Nebraska Beer Wholesaler Monthly Reports & Monthly Beer Shipper reports submitted to the NLCC

Number	File Name	Title	Data in Report	Data Source
9	hs9C-2020-12dec	10-year Comparison-Beer Gallons BEER	Monthly Comparative beer gallons & YTD for 10 years	Nebraska Beer Wholesaler Monthly Reports & Monthly Beer Shipper reports submitted to the NLCC
10	hs10-2020-12dec	Comparative Total Brewers Sales in Nebraska BEER	Total Gallons, Cases, Barrels of Brewers Sales in Nebraska by month, YTD & comparison of same month in previous year	Nebraska Beer Wholesaler Monthly Reports & Monthly Beer Shipper reports submitted to the NLCC
11	hsy1-2020-1nov	Comparative Sales of NE Liquor Wholesalers SPIRIT/WINE	Total Gallons for month & YTD of spirit/wine sold by each NE wholesaler, YTD & comparison of same month in previous year; and variance	Nebraska Spirit/Wine Monthly Reports & Monthly Spirit/Wine Shipper Reports submitted to the NLCC
12	Violation Count July 2020-June 2021	Violation Count July 2020-June 2021	Types of Violations, number of cases, & suspension days -- by FY & Calendar Year	Hand documented by staff by numerically assigning case numbers & violations
13	Show Cause Count	Show Cause Count	Show Cause Count by FY & Calendar Year	Hand documented by staff based on information received into NLCC office
14	violat18 & 19 & 20	violations summary & comparison	Violation counts for all types of violations; total of suspension days & mandatory suspension days; dispositions of cases with comparison to previous FYs	Hand documented by staff based on information received into NLCC office
15	December 2020 Month End-Website 1	Month End Report	Multiple schedules totaling excise tax revenue & license fees collected by NLCC for each month, and then compiled for Calendar Year & Fiscal Year totals	All excise tax reports: Wholesale, craft breweries, distilleries, manufacturers, farm wineries, Direct to Consumer (DtC) shippers; general ledger reports from E1

Number	File Name	Title	Data in Report	Data Source
16	Sales Tax Items	Sales Tax Items	A report that shows all items for which NLCC must collect sales tax: keg books, law books; NLCC would use this at the end of each year to submit Sales Tax to the Dept of Revenue	All orders received & filled which encompasses state & city sales tax
17	Wholesaler Report (Weekly)	Weekly Wholesaler Report	New liquor license apps received at NLCC, TOPs issued, Liquor licenses terminated, liquor licenses issued, training requested, managers approved, fines paid, shipper licenses issued	C1 Mainframe entries of certain action codes
18	Detail Deposit Listing (Daily) or Reconciliation	Detail Deposit Listing; Incomplete Deposit Records; Spreadsheet sample "Agency Money Log-In" for all licenses & payments	Be able to reconcile fees being received vs fees deposited	Reconciliation currently being completed by hand
19	Commission Ordered Training eff Sept 2020	Commission Ordered Training effective Sept 2020	Licensees & persons ordered to complete alcohol server training (Weekly)	Entered by hand in spreadsheet; system should be able to capture who is required for training so follow up can be completed by NLCC staff

## NEBRASKA LIQUOR CONTROL COMMISSION

### STANDARD PROTEST/GRIEVANCE PROCEDURES FOR VENDORS

Grievances/Protests are only accepted from vendors who have submitted a timely bid response in connection with the award in question. Procedures for grievances/protests are as follows:

1. Grievances/protests must be expressed in writing and submitted to the Executive Director at [lcc.frontdesk@nebraska.gov](mailto:lcc.frontdesk@nebraska.gov) and shall: (1) reference the bid number; (2) include specific issues being disputed; and (3) provide a point of contact and email or mailing address to which a response can be sent. All grievances/protests must be received within ten (10) business days of the posting of the intent to award, in order to be considered valid.
2. A response will be made in writing by the Executive Director, generally within ten (10) business days of receipt of the grievance/protest.
3. If the response from the Executive Director has not satisfied the grievance, a written request for a meeting with Executive Director of NLCC, or designee of the Director's choosing, may be submitted to: [lcc.frontdesk@nebraska.gov](mailto:lcc.frontdesk@nebraska.gov). Such request shall: (1) reference the bid number; (2) include the specific issues disputed; (3) provide a point of contact and mailing address, and (4) must be received within ten (10) business days of the date of the NLCC Executive Director's response in order to be considered a valid meeting request.
4. A meeting will be scheduled and held with the vendor allowing the vendor to present the issues identified in the grievance/protest.
5. A written final decision will be made in writing, generally within ten (10) business days, unless additional time is necessary to fully examine the issues presented.