

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:	<i>“As a... [] ..., I want to... [] ... so that I can ... [].”</i>
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				
Submit Application Submit an application for a license / permit (shipper, retail, wholesale).	Submit Supporting Documentation Submit any supporting documentation related to the license / permit application	Submit Payment Submit payment for license / permit application	Check Application Status Check the status of a previously submitted application for a license / permit	Update Application Provide additional information or correct information on an application
Intake Application Intake and process an application for a license / permit.	Perform Completeness Review Checking the completeness of an application, document, or other information submitted to NLCC	Verify Payment Ensure payment has been made for a license / permit application	Verify Background Check Confirm Applicant meets criteria for a license / permit based on their criminal history	Assign Application for Detailed Technical Review Assigning an application for detailed review by required reviewers once it has passed initial completeness review
Manage Review Lifecycle Track reviews and signoff from required reviewers	Perform Detailed Technical Review Review of application for acceptance / denial; ensure Applicant meets all requirements	Conduct Application-related Inspection Inspect location for compliance with code and confirm eligibility for license / permit.	Approve License / Permit Approve license / permit	Perform Management Review 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"> ▪ Applicant has an account and is logged into the system. ▪ Application forms are configured in the system. ▪ It is not a duplicate of a previously submitted application. ▪ The Applicant has the appropriate application for the associated license tier.
Trigger:	Applicant selects the option to submit an application for his/her selected license, permit, or other transaction type online.
User Story:	<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>

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"> ▪ The Applicant has provided information and required documents and received confirmation of the submittal and tracking information. ▪ System validated the data entered according to any business rules configured in the system.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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. ▪ <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. ▪ System should allow Applicant to save a draft of an application.

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"> ▪ Applicant has an account and is logged into the system. ▪ System is integrated with the NLCC's Document Management solution OnBase to store documentation. ▪ System is configured with document types to classify the type of documentation being submitted.
Trigger:	Supporting documentation is required as part of the initial submission or processing of an application, audit, or other related transaction.
User Story:	<i>As an Applicant, I want to Submit Supporting Documentation, so that I can satisfy documentation requirements for my application / transaction with NLCC.</i>

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"> ▪ The Applicant has satisfied documentation requirements for the application / transaction. ▪ Documentation is stored electronically and associated with the relevant record. ▪ Document Type is viewable based on security roles.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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. ▪ 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). ▪ NLCC can post documents/ forms/ templates for the Applicant to fill out.

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"> ▪ The user has an account and is logged into the system. ▪ The application or service status exists in the system and there is information viewable through the online portal to the customer.
Trigger:	The Applicant or License / Permit Holder has a need to check the status of a particular service or application.
User Story:	<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>
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"> ▪ Applicant has an account and is logged into the system. ▪ An application exists in the system. ▪ The application is eligible for modification.
Trigger:	An Applicant realizes a need or is notified to update an existing application.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ The new version is saved in the system as a new document ▪ Record of date/time of update is preserved ▪ Any downstream workflow tasks or notifications are generated.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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. ▪ Staff will be able to look at an application in progress.

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:	<i>As NLCC Staff, I want to Intake Application, so that I can create an application record.</i>
Post-Conditions:	<ul style="list-style-type: none"> ▪ NLCC Staff has created an application record in the system with the customer's information. ▪ If the Applicant provided an email address, he or she will receive a notification confirming the submission.
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"> ▪ The user has an account and is logged into the system. ▪ An application has been submitted to Staff. ▪ Application type requires a Completeness Review step
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:	<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>

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"> ▪ Staff determines if an application is completed, on hold or incomplete and should contact Applicant for additional information. ▪ Staff may publish results of the completeness review to the Online Portal. ▪ Staff may have attached notes to the application for official comments or for internal comments. ▪ Application is routed to the next step in the workflow.
Alternate Paths	<ul style="list-style-type: none"> ▪ Staff may perform this process in real time if an application is submitted in person. ▪ This user story may not occur for some application types if business rules allow the application to proceed directly from submission to detailed review.

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"> ▪ Applicant has an account and is logged into the system. ▪ The Applicant has been charged the appropriate fees and notified of the need for payment. ▪ The application has been adequately submitted to be fully processed.
Trigger:	Applicant has initiated payment.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ The payment is identified as fully processed.
Alternate Paths	<ul style="list-style-type: none"> ▪ No payment is found within a defined payment period. A notification is sent to the Applicant to complete their payment. ▪ 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. ▪ Applicant never pays. Appropriate action is taken according to business rules.

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"> ▪ An application or renewal exists in the system and is being processed. ▪ Background check has been completed and results have been submitted to NLCC.
Trigger:	Background check results are submitted to NLCC by law enforcement.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Background criteria is indicated as met and the pass/fail information is logged in the system. ▪ Background check results are stored in the system. ▪ Application is sent for further processing.
Alternate Paths	<ul style="list-style-type: none"> ▪ Applicant does not fully satisfy background check requirements, application sent to legal for further review (see User Story: Perform Management Review).

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"> ▪ Application types have business rules configured in the System that route the application package for designated reviews. ▪ Staff profiles are set up to enable automatic assignments per business rules.
Trigger:	<ul style="list-style-type: none"> ▪ Application has been submitted and is ready for assignment. ▪ Some applications may require successfully passing an administrative Completeness Review prior to assignment.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Application has been appropriately assigned to the correct staff member(s) for technical review either systematically or manually. ▪ Application appears in the work queue for the assignee.
Alternate Paths	<ul style="list-style-type: none"> ▪ Supervisor may need to manually assign application reviews. ▪ NLCC Staff may need to reassign an application for detailed review. ▪ Application may be routed to a group queue where staff can pull from and assign it to themselves.

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"> ▪ All users are logged into the system ▪ Applicant has submitted an application for review and it has been assigned for technical review.
Trigger:	NLCC Staff or Supervisor desires to check the status of the review(s) of the application.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ NLCC Staff has the ability to manage the overall review lifecycle from start to finish. ▪ All reviews are tracked and monitored in the system. ▪ 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.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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.

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"> ▪ Staff has an account and is logged in. ▪ Application has been assigned to reviewer(s), both internal and external to NLCC.
Trigger:	Staff receives a task to review the application in their work queue.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ NLCC Staff and/or External Reviewer has performed a detailed review of the application. ▪ Detailed review comments are logged into the system and available on the online portal for Applicant to review. ▪ 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.
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"> ▪ Application has been submitted for review. ▪ Application has been assigned and scheduled for detailed review.
Trigger:	<ul style="list-style-type: none"> ▪ Staff determine the need to conduct an on-site visit, or ▪ On-Site visit is required to complete the review according to business rules.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ NLCC Staff has completed an on-site visit with the Applicant. ▪ On-site visit information is recorded in the system. ▪ NLCC Staff has leveraged a mobile device (if applicable) to capture results of the visit out in the field.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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. ▪ Not all licenses or permits require an on-site inspection.

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"> ▪ All users are logged into the system ▪ Applicant has submitted an application for review and it has been assigned for technical review. ▪ All technical reviews are complete and each review has been passed successfully.
Trigger:	<ul style="list-style-type: none"> ▪ The last technical review's results are submitted, which triggers a final review for NLCC staff.
User Story:	<i>As NLCC Staff, I want to Approve License / Permit to indicate that Applicant meets eligibility criteria.</i>
Post-Conditions:	<ul style="list-style-type: none"> ▪ The application's status is updated in the system as approved, which will allow a license to be formally issued and printed
Alternate Paths	<ul style="list-style-type: none"> ▪ Upon final review, NLCC staff may observe an issue that needs resolution before approval. ▪ 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)

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"> ▪ All users are logged into the system. ▪ Applicant has submitted an application for review. ▪ Application has not been approved.
Trigger:	<ul style="list-style-type: none"> ▪ NLCC Staff flags an application for management review based on the results of the detailed technical review.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Management Review decision is captured in the system. ▪ License status is updated to approved (if approved by NLCC Management) and can be issued.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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).

License Management

Business Capability:

License Management – Ensure Ongoing Compliance & Accurate Information

License Management						
Issue License / Permit	Print License / Permit	Transfer a License / Permit	Process License / Permit Changes	Manage License / Permit Status	Process Hardship Requests	
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.)	
						Process Temporary Storage Requests
						Review and approve temporary storage requests, issue a revised license. Extend request as appropriate.
Submit Renewal Application	Make Renewal Payment	Issue Renewal	Process Temporary Operating Permit (TOP)	Process Special Designated License (SDL)	Process Alcohol Transfers	
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"> ▪ All users are logged into the system. ▪ All reviews have been completed and approved. ▪ All fees or other liabilities required for the license have been paid.
Trigger:	<ul style="list-style-type: none"> ▪ System determines that all requirements have been met and license / permit can be issued and automatically issues license / permit, or ▪ System notifies staff that all requirements have been met and license / permit can be issued by staff or designee (e.g., City Clerk).
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ License / Permit is issued in the system. ▪ Applicant can download and print license / permit from the online portal (if eligible for online printing). ▪ Notification of license approval sent to appropriate local governing bodies.

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">▪ 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).▪ The system should allow batch printing and mailing of issued licenses / permits.▪ Staff can print the license / permit out at the office and Applicant may pick it up.

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"> ▪ Users are logged into the system. ▪ license / permit exists in the system. ▪ Requested change is eligible to be made.
Trigger:	Request for change to license / permit information is submitted either through the Online Portal or in person or by mail.
User Story:	<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>

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"> ▪ License / Permit information is updated in the system to reflect the approved license / permit change. ▪ 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.
Alternate Paths	<ul style="list-style-type: none"> ▪ NLCC can deny request for license / permit changes. ▪ NLCC may notify the License / Permit Holder that the requested change actually requires a new license / permit. ▪ Upon jurisdictional annexations, an affected License / Permit may need to be automatically updated with new jurisdictional information.

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"> ▪ License exists in the system. ▪ Circumstances arise that cause the License Holder to determine they may be eligible for a hardship request.
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:	<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>

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"> ▪ License information is updated in the system to reflect the approved Hardship Request and any associated conditions / new requirements. ▪ 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. ▪ Any timelines associated with downstream action is tracked and monitored in the system (e.g., period under which the Hardship Request is valid).
Alternate Paths	<ul style="list-style-type: none"> ▪ NLCC can deny Hardship Request. ▪ NLCC may notify the License Holder that the requested change actually requires a new license / permit.

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"> ▪ License exists in the system. ▪ Applicant provides appropriate justification and documentation for a Temporary Storage Request.
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:	<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>

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"> ▪ License information is updated in the system to reflect the approved Temporary Storage Request and any associated conditions / new requirements. ▪ 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.
Alternate Paths	<ul style="list-style-type: none"> ▪ NLCC can deny request for Temporary Storage. ▪ NLCC may notify the License Holder that the requested change actually requires a new license.

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"> ▪ License exists in the system. ▪ Applicant(s) provides appropriate justification and documentation for an Alcohol Transfer.
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:	<i>As NLCC Staff, I want to Process Alcohol Transfers, so that I can approve and document alcohol transfers between License Holders.</i>

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"> ▪ 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). ▪ Alcohol Transfer is documented in the system on the terminated license as well as the active license that purchased the alcohol.
Alternate Paths	<ul style="list-style-type: none"> ▪ NLCC can deny request for Alcohol Transfer.

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"> ▪ Users are logged into the system. ▪ License / Permit has been previously issued by NLCC and record exists in the system.
Trigger:	Ongoing.
User Story:	<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>
Post-Conditions:	The system has displayed up-to-date status information.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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. ▪ NLCC staff may manually update the status of the license / permit; System will prompt the user to enter justification for changing the status. ▪ Upon license expiration, authorized agents may apply for permission to host an auction for the expired license / permit's inventory.

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"> ▪ License exists in the system. ▪ Applicant provides appropriate justification and documentation for a Temporary Operating Permit.
Trigger:	Applicant submits an application for a Temporary Operating Permit.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ The system has a record of the approved TOP. ▪ The TOP is sent to the License Holder to be printed and displayed in their establishment.
Alternate Paths	<ul style="list-style-type: none"> ▪ The Temporary Operating Permit request is denied – operations would need to cease on premise. ▪ The application may be withdrawn and the previous license reinstated at the premises.

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"> ▪ License exists in the system. ▪ Applicant provides appropriate justification and documentation for an SDL.
Trigger:	Application for an SDL submitted to NLCC .
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ The system has a record of the approved SDL. ▪ The SDL is sent to the License Holder to be printed and displayed in their establishment on the day of the event.
Alternate Paths	<ul style="list-style-type: none"> ▪ The SDL request is denied. ▪ The SDL is referred to a hearing for approval / denial.

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"> ▪ Users are logged in ▪ The license is about to expire and meets renewal requirements. ▪ License Holder has received a renewal notice.
Trigger:	License Holder has submitted a renewal application and associated fees through the online portal and/or in person or by mail.
User Story:	<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>

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"> ▪ The system has automatically processed the renewal and related information is captured in the system. ▪ 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. ▪ License Holder has received confirmation the renewal has been processed and any other related information. ▪ Fee(s) are allocated to the appropriate revenue accounts ▪ Renewal timeline is reset to reflect the next required renewal date
Alternate Paths	<ul style="list-style-type: none"> ▪ A License Holder receives the renewal notification letter and does not renew his / her license and it expires / defaults. ▪ A hearing may be triggered for a late (or other reason) renewal. ▪ A License Holder may submit their renewal by mail. Staff will input the renewal into the system. ▪ A license renewal requires additional discretionary actions, such as a Supervisor review for license subject matter. ▪ System may prepopulate and calculate values based on information entered by the customer. This can be supported through online help (videos, etc.) ▪ Staff may manually select to process renewals to review (e.g., income reported varies greatly from the previous year based on system calculations).

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

User Stories for License Holder Management	
1	<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>
2	<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>
3	<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>
4	<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>
5	<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>

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"> ▪ License / Permit Holder or Applicant has not previously created an account for online services. ▪ License / Permit Holder or Applicant has a valid email address.
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:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ The License / Permit Holder or Applicant receives instructions on how to log in and activate the account online. ▪ The License / Permit Holder or Applicant is able to successfully activate his or her online account. ▪ 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.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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. ▪ 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.

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"> ▪ License / Permit Holder has an account and is logged into the system. ▪ A license / permit associated with the License / Permit Holder's account exists in the system. ▪ The license / permit information and license / permit record itself is eligible for modification.
Trigger:	<ul style="list-style-type: none"> ▪ License / Permit information has changed ▪ A License / Permit Holder realizes a need or is notified to update an existing license
User Story:	<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>

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"> ▪ The License / Permit Holder has submitted any applicable license / permit change fees. (See User Story: Submit Payment) ▪ The license / permit record is updated to reflect changes; date/time of changes are recorded in the system
Alternate Paths	<ul style="list-style-type: none"> ▪ 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. ▪ Some changes may not be allowed to be made online and may require direct contact with NLCC staff. ▪ 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. ▪ 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.

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"> ▪ The user has an account and is logged into the system. ▪ Notification / Reminder types have been configured in the system. ▪ System is configured to support manually triggered notifications / reminders as well as automatically triggered notifications / reminders (see Alternate Path).
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:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ NLCC Staff have sent out a notification / reminder to the License / Permit Holder or Applicant. ▪ System preserves a record of communication about the notification / reminder.
Alternate Paths	<ul style="list-style-type: none"> ▪ Notifications / Reminders may be system generated automatically according to business rules configured in the system.

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"> ▪ License Holder is in the system (active or inactive). ▪ Receive Delinquent List from Wholesalers to record who is delinquent on their accounts.
Trigger:	<ul style="list-style-type: none"> ▪ Applicant fails to pay on accounts to wholesalers and is placed on the delinquent account.
User Story:	<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>
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"> ▪ There must be an override option to account for bankruptcy orders and require an upload of the bankruptcy order. ▪ Once the debt is paid, the License Holder's account status should be updated as such

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"> ▪ System maintains a record of all active licenses / permits, amending that if a license expires or is terminated.
Trigger:	Ongoing – should be real time
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Searchable list is publicly available, searchable, and updated in real time.
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>License Holder Annual Reporting</p> <p>Submit required annual reports to NLCC</p>	<p>Alcohol Brand Registration</p> <p>Register as the wholesaler responsible for the region of the physical location of the retailer</p>	<p>Label Registration</p> <p>Package size verification in order to verify reporting quantities by all tiers.</p>	<p>Verify Reports</p> <p>Perform ad-hoc cross checks of reports submitted by shippers, wholesalers, and retailers</p>
<p>License Holder Monthly Reporting</p> <p>Submit required monthly reports to NLCC</p>	<p>Excise Reporting</p> <p>Submit monthly excise tax reports according to business requirements</p>	<p>Maintain Reporting History</p> <p>Maintain the reporting history for a License Holder by license</p>	<p>Submit Amended Report</p> <p>Submit a re-submission of a report with corrections / updates (multiple re-submissions are allowed).</p>

User Stories for License Holder Reporting

User Stories for License Holder Reporting	
1	<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>
2	<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>
3	<i>As NLCC Staff, I want to Verify Reports submitted to ensure accuracy across shippers / suppliers, wholesalers / distributors, and retailers.</i>
4	<i>As a License Holder, I want to Submit an Amended Report so that I can update report information / correct inaccuracies.</i>

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"> ▪ Users are logged in. ▪ License Holder has an active license. ▪ Workflow is configured to support reporting requirements by license type.
Trigger:	<ul style="list-style-type: none"> ▪ License Holder must submit information by a certain date.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ System captures the date / time report was submitted and reporting history / copy of report for future reference. ▪ System can perform automatic validation of the information provided according to business rules. ▪ System can perform automatic gallon calculations for reported non-gallon quantities. ▪ NLCC can easily report on the license holder data submitted to NLCC – all information submitted can be queried.
Alternate Paths	<ul style="list-style-type: none"> ▪ Report generated manually by adjusting reporting parameters in the system. ▪ License Holder submits by mail or email and NLCC staff must manually scan and enter the data into the system. ▪ (Optional Requirement) License Holder leverages an online wizard to guide them through the submission process.

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"> ▪ Wholesaler has a customer account on the Online Portal. ▪ Geographical boundaries are configured in a GIS solution. ▪ Solution is integrated with GIS or provides GIS capabilities natively.
Trigger:	Change in alcohol brand distribution information that needs to be registered with NLCC.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Fully updated GIS layer that indicates the boundaries for various Wholesalers and alcohol brands. ▪ Alcohol brands are captured as approved in the system.
Alternate Paths	<ul style="list-style-type: none"> ▪ If GIS functionality is not available and / or feasible, Wholesalers could still register online with approximate map coordinates. ▪ Product distribution rights can also be transferred from one wholesaler to another in lieu of submitting new brand forms for each product being transferred

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"> ▪ All users are logged in. ▪ System has a record of reporting activity across shippers, wholesalers, and retailers that is searchable based around flexible parameters.
Trigger:	Ongoing
User Story:	<i>As NLCC Staff, I want to Verify Reports submitted to ensure accuracy across shippers / suppliers, wholesalers / distributors, and retailers.</i>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Report generated that allows for easy comparison across different reporting entities to ensure compliance. ▪ NLCC may request modifications or additional information from License Holders based on the outcomes. ▪ The system shall auto-generate reminders for License Holders to provide required missing or incorrect information. ▪ NLCC staff may capture internal notes based on the review.
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"> ▪ All users are logged in ▪ License Holder has previously submitted a report ▪ 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
Trigger:	Reporting inaccuracy or missing documentation identified by NLCC staff who notify License Holder of the need for an amended report.
User Story:	<i>As a License Holder, I want to Submit an Amended Report so that I can update report information / correct inaccuracies.</i>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Amended reporting materials address the missing / inaccurate reporting components. ▪ All versions of the report are saved in the system ▪ NLCC Staff may be notified that a new report has been submitted or a task to review is created in their queue
Alternate Paths	<ul style="list-style-type: none"> ▪ Amended reports continue to contain inaccuracies, which may result in being flagged for investigative action and/or an audit.

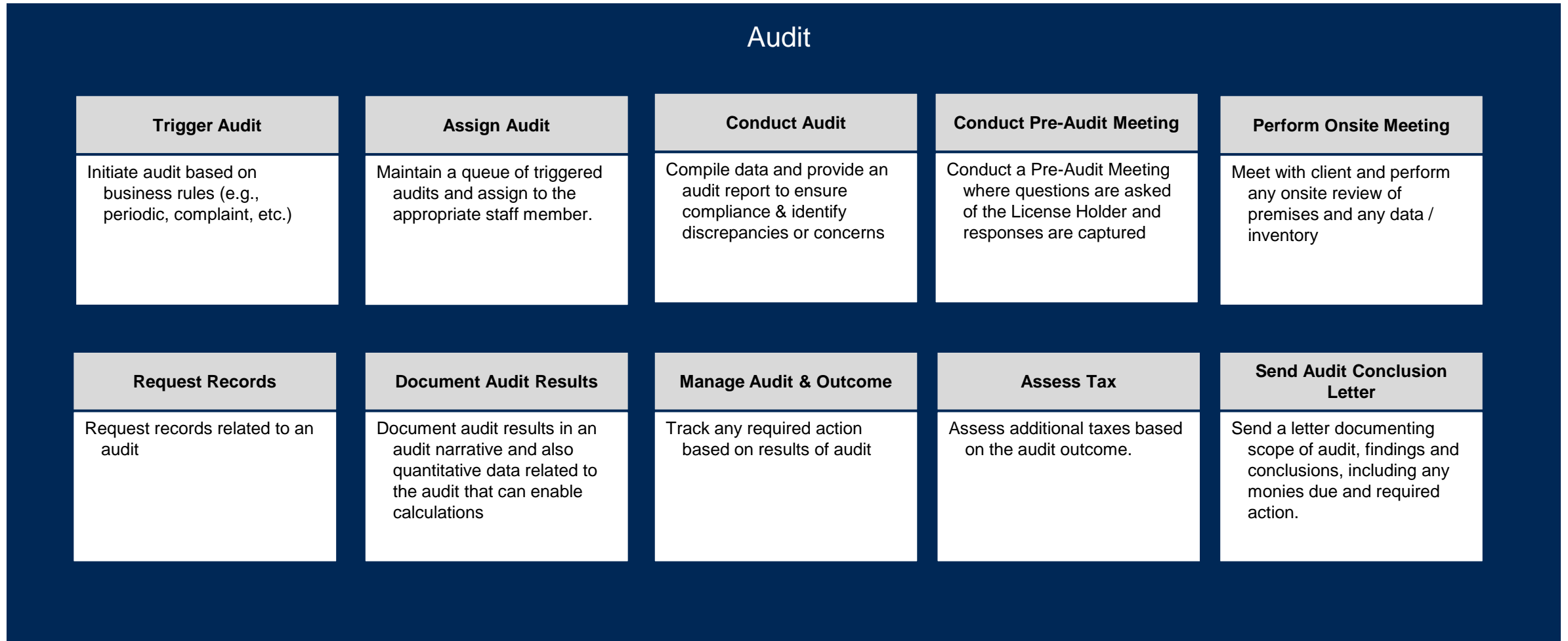


Auditing



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"> ▪ All users are logged in to the system. ▪ Subject of audit must be current License Holder in the system.
Trigger:	Either through a business rule (periodic), a submitted complaint, or an identified reporting inaccuracy.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Audit case record in the system and audit work initiated. ▪ Appropriate parties are notified (License Holder, Revenue Division, etc.) according to business rules. ▪ If an audit is deemed unnecessary, a “no action” warning letter may be sent.
Alternate Paths	<ul style="list-style-type: none"> ▪ Audit may be closed or cancelled if triggered in error or if upon review an audit is not needed.

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"> ▪ Assign an active audit to an Auditor for processing
Pre-Conditions:	<ul style="list-style-type: none"> ▪ Users have accounts and are logged into the system ▪ Audit has been created / triggered
Trigger:	Audit exists in the system that has not been assigned to an Auditor
User Story:	<i>As NLCC Staff, I want to Assign Audit, so that I can select an Auditor to perform the outstanding audit.</i>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Auditor has received the audit assignment in their work queue. ▪ Audit status reflects assignment.
Alternate Paths	<ul style="list-style-type: none"> ▪ Audit Manager may need to reassign the audit to a different Auditor(s). ▪ Audit Manager may assign more than one Auditor to the audit. ▪ System may automatically assign Auditor per business rules.

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"> ▪ Users have accounts and are logged into the system ▪ Audit has been created / triggered and assigned ▪ A Pre-Audit meeting template has been configured in the system
Trigger:	Audit case generated and Auditor assigned to the case.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Notes recorded in the audit case record based on information provided during the meeting ▪ Any documents provided at the meeting scanned and attached to the audit case record for further review. ▪ Auditor may request records to be provided for NLCC review as part of the audit.
Alternate Paths	<ul style="list-style-type: none"> ▪ A Pre-Audit meeting may not be conducted.

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"> ▪ Users have accounts and are logged in ▪ Audit templates are set up in the system. ▪ Audit is scheduled for current Audit Schedule period (e.g., this fiscal year) ▪ Audit has been assigned to Auditor. See User Story: Assign Audit. ▪ Auditor is able to download data from previous years' data into the audit template document (e.g., Excel spreadsheet).
Trigger:	Active audit is in Auditor's work queue.
User Story:	<i>As NLCC Staff, I want to Conduct Audit, so that I can conduct and record the results of the audit.</i>

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"> ▪ 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. ▪ NLCC Staff has recorded their activity on the audit in the system and document major activities (e.g., meeting with client). ▪ NLCC Staff has entered / edited data in the system and in the templates to record audit results and the audit outcomes. ▪ 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. ▪ All due dates are tracked and enforced by the system; appropriate notifications are generated. ▪ 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. ▪ Once the audit is complete, the Auditor will mark the audit as closed in the system. ▪ History of audit is maintained in the system (for current audit and all past audits).
Alternate Paths	<ul style="list-style-type: none"> ▪ Auditor can modify an audit, expand an audit, add additional locations, change dates and time period accordingly. ▪ 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.

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"> ▪ 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. ▪ Onsite visit date / time communicated to the License Holder, notification sent through the online portal. ▪ All users are logged in. ▪ Internet connectivity available.
Trigger:	Date of onsite visit has arrived.
User Story:	<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>
Post-Conditions:	Onsite visit information is captured in the system.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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.

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"> ▪ All users have an account and are logged into the system. ▪ Audit has previously been in progress
Trigger:	The audit has been completed and a decision has been made.
User Story:	<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>

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"> ▪ Supervisor / Audit Manager approvals have been triggered and completed. ▪ 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. ▪ Required notifications have been generated out of the system and sent. ▪ 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. ▪ If there are no monies or refunds due, the License Holder will be notified accordingly and the audit simply closed in the system. ▪ Auditor saves and closes the audit status in the system.
Alternate Paths	<ul style="list-style-type: none"> ▪ The License Holder may appeal the results of the audit. ▪ The License Holder may refute the Audit Conclusion Letter and go before the Commission to determine if the assessment fines are due or not.

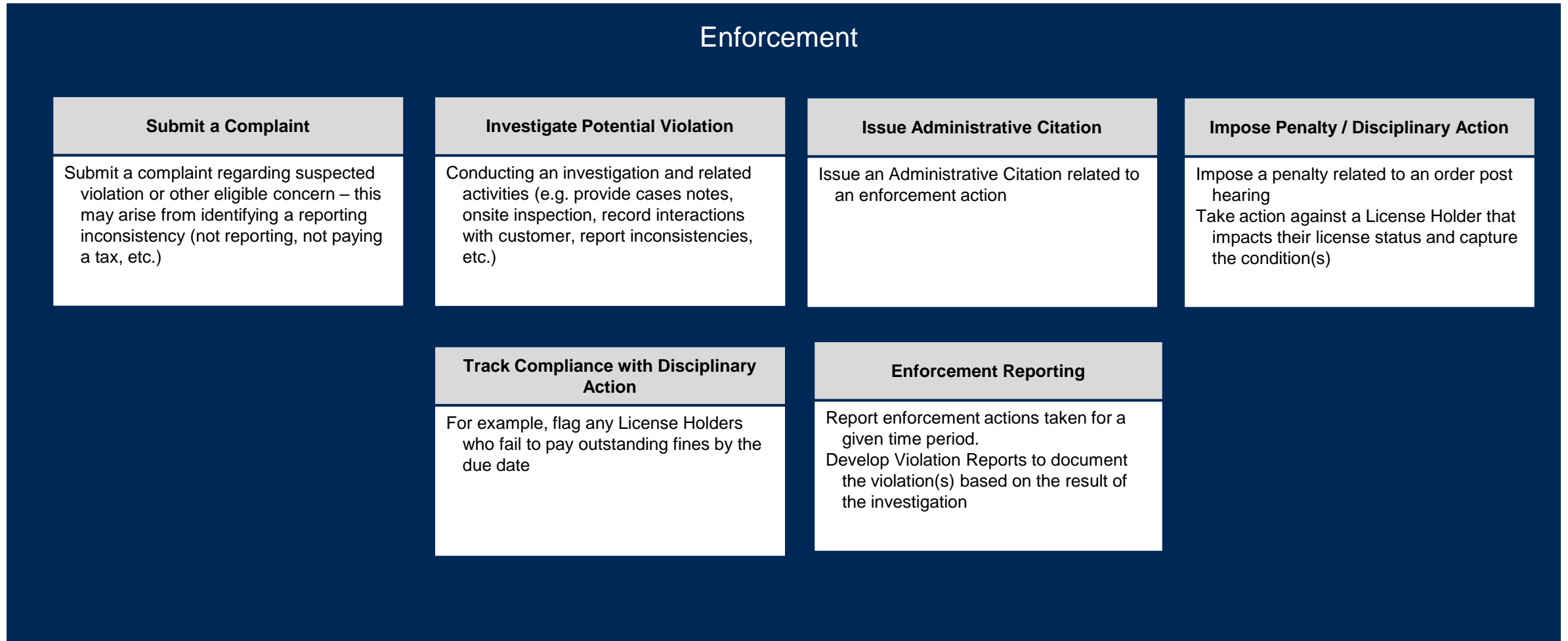


Enforcement



Business Capability:

Enforcement – Ensure rules are followed before and after license issuance



User Stories for Enforcement

User Stories for Enforcement	
1	<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>
2	<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>
3	<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>

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"> ▪ 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. ▪ The System is configured with a complaint form that captures the information needed for NLCC to review and process the complaint.
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"> ▪ NLCC Staff has received the submitted complaint. ▪ 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. ▪ A record of complaints and mediation activity will be recorded in the system. ▪ Complaint is routed to proper staff for review, which may include routing to the Nebraska State Patrol.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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. ▪ 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. ▪ Complaints can also be submitted to the Nebraska State Patrol who may refer the complaint to NLCC.

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"> ▪ User has an account and is logged in. ▪ Agent has access to the system remotely or in the field. ▪ An investigation has occurred and reported that a citation should be issued.
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:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Administrative Citation document and issuance information recorded on the investigative case record. ▪ Primary license and associated licenses / permits records updated to reflect issuance of an Administrative Citation.
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"> ▪ Users logged into the system. ▪ System has recorded all enforcement activity associated with an investigation.
Trigger:	<ul style="list-style-type: none"> ▪ An investigation is completed and a violation report must be generated. ▪ NLCC Staff / State Patrol identify a need to report on enforcement activity for a given time period.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Violation Reports and / or ad hoc reports generated and disseminated, as necessary. ▪ Law Enforcement reports are associated / linked with appropriate licenses/ permits and License / Permit Holders. ▪ NLCC staff make any appropriate changes in the system, such as license status or create a liability.
Alternate Paths	N/A

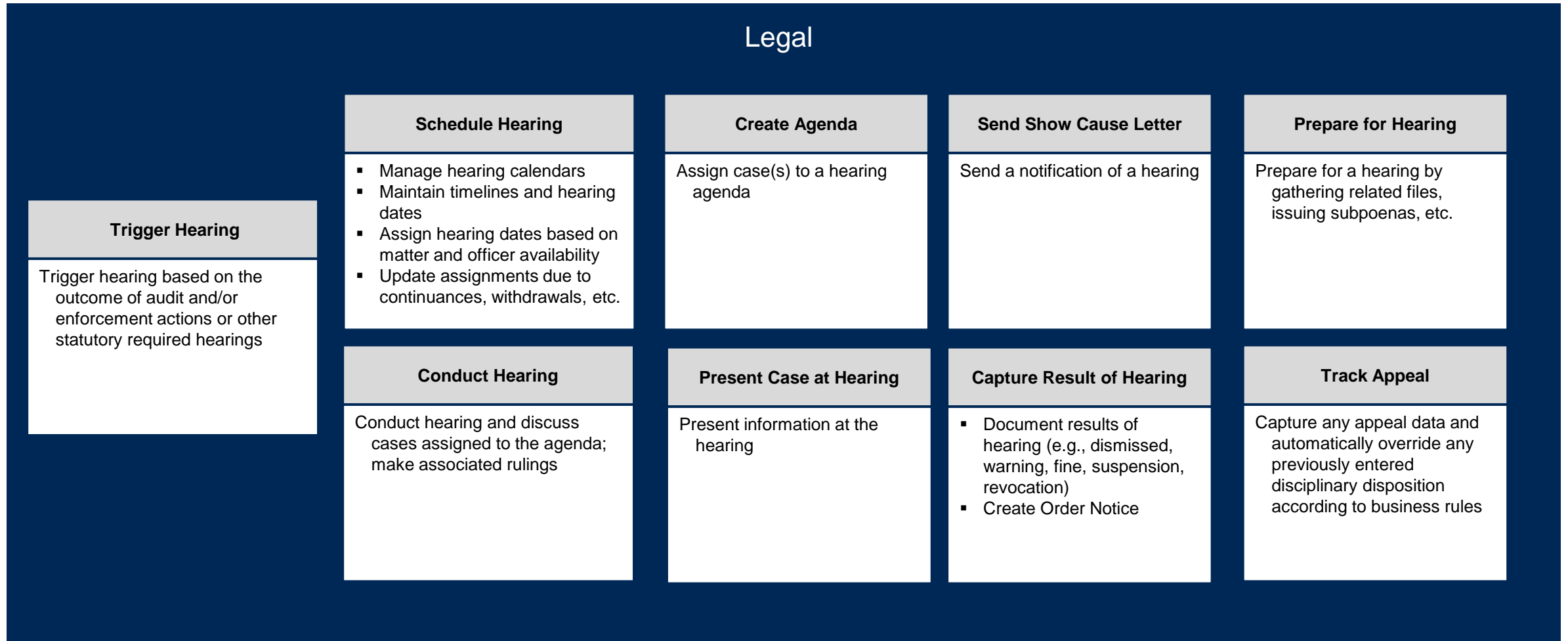


Legal



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"> ▪ Users are logged into the system ▪ Workflow is configured that supports flagging a license / license holder account for a hearing
Trigger:	<ul style="list-style-type: none"> ▪ 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.)
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Case is created in the system and can be scheduled for a hearing date. ▪ Case number is generated.
Alternate Paths	<ul style="list-style-type: none"> ▪ A matter may be flagged for a hearing and cancelled at a later date (e.g., License Holder pleads guilty ahead of time).

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"> ▪ Users are logged in to their user accounts. ▪ Hearing Calendars are configured for eligible hearing dates in the system. ▪ License Holder has <i>not</i> plead.
Trigger:	<ul style="list-style-type: none"> ▪ Hearing is triggered (see User Story: Trigger Hearing) and staff determines the case must be scheduled
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Event has been scheduled on the appropriate hearing calendar at an available time. ▪ Appropriate notifications are sent out to the required/optional attendee(s), including a Citation or Show Cause Letter. ▪ Hearing Calendar is updated. ▪ Hearing schedule is posted online prior to a hearing.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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.

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"> ▪ The user has an account and is logged into the system. ▪ Event has been scheduled to a hearing date / calendar.
Trigger:	<ul style="list-style-type: none"> ▪ Hearing date arrives
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ 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. ▪ Evidence presented (e.g., video, photos) are recorded in the system ▪ Hearing activity is recorded in the system and can be reported on as activity performed by staff. ▪ Hearing documentation can be stored in the system and associated with a hearing record. ▪ Decision is recorded in the system, as well as any conditions or follow up action that must be enforced are documented in hearing orders ▪ Financial penalties and/or hearing costs may be associated with the License Holder’s account. ▪ The license status is updated as appropriate.

Hearings – User Story: Conduct Hearing (2 of 2)

User Story Name:	Conduct Hearing
Alternate Paths	<ul style="list-style-type: none">▪ Hearing may be rescheduled.▪ 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.

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"> ▪ Orders have been generated from the hearing
Trigger:	<ul style="list-style-type: none"> ▪ License Holder decides to appeal
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Once NLCC receives the result of the appeal, NLCC can enter that information into the system.
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>Mandate Training</p>	<p>Maintain Training History</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>Verify Training & Issue Certificate</p>	<p>Public Education / Outreach / Virtual Learning</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

User Stories for Training & Education	
1	<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>
2	<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>
3	<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>

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"> ▪ Users are logged into the system ▪ License Holder has submitted an application or has an active license
Trigger:	<ul style="list-style-type: none"> ▪ 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.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Training requirement documented on the license / permit application in the system. ▪ Applicant notified of requirement. See User Story: Send Notifications / Reminders.
Alternate Paths	<ul style="list-style-type: none"> ▪ Local government can require general and/or region-specific training for licensees within their jurisdiction. ▪ Applicants and Licensees can also choose to take training courses at their own discretion.

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"> ▪ Users logged in. ▪ Trainee has access to the Online Portal and submits documentation online and requests a training certificate. ▪ Trainee submits payment for certificate fee (See User Story: Submit Payment).
Trigger:	<ul style="list-style-type: none"> ▪ Trainee uploads course completion documentation to the system in order to document that training has been completed.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Training certificate issued for appropriate trainee via email. ▪ Completed training activity linked to the appropriate license in the system – enforcement action satisfied, if mandated. ▪ Applicant / License Holder can print out their certification online and pay any fee(s).
Alternate Paths	<ul style="list-style-type: none"> ▪ Training documentation may be submitted by email / mail or in person – NLCC will manually create a record in the system. ▪ Payments may be submitted by cash or check by mail or in person.

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"> ▪ Online Portal set up to allow access for the general public, not just authorized users.
Trigger:	Ongoing
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ System contains educational materials (webinars, guidebooks, etc.) that can be accessed by the public.
Alternate Paths	N/A



Revenue



Business Capability:

Revenue – Ensure Control of Cash Flow & Accurate Accounting

Revenue			
<p>Identify Liability</p> <ul style="list-style-type: none"> Identify outstanding License Holder liabilities Present liability to License Holder based on account (e.g. application costs, hearing costs, fines, etc.) 	<p>Submit Payment</p> <p>Submit payment to resolve outstanding liability</p>	<p>Manage Cash & Checks</p> <ul style="list-style-type: none"> Maintain physical control of cash and checks Manage separation of duties Batching for deposits Reconciliation of cash/checks and management of mismatches 	<p>Collect Excise Tax</p> <p>Collect excise tax payments from License Holders</p>
<p>Accept Payments</p> <ul style="list-style-type: none"> Present liability to customer based on account (e.g. application /citation data) Process tenders of money and receipt of funds (e.g. cash, check, credit card, wire transferred funds, etc.) Provide record of payment to customer (e.g. receipt) 	<p>Allocate Revenue</p> <ul style="list-style-type: none"> Match record payment with correct general ledger account Reconcile with cash deposits /receipts 	<p>Process Refunds</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>Manage Customer Financial Account</p> <ul style="list-style-type: none"> Maintain history of customer financial transactions across licenses /service requests Provide re-print of receipts & invoices

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"> ▪ The Customer has an account in the system. ▪ The Customer's activity with the department is recorded in the system including financial liabilities and transactions.
Trigger:	Ongoing
User Story:	<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>
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"> ▪ User has an account and is logged into the system. ▪ Fees exist in the system and an outstanding balance is due by the Applicant. ▪ Record is eligible for payment to be received (e.g., no flags exist on the record that prevent payment from being submitted). ▪ Interfaces exist with payment processor and financial systems to enable processing of payment.
Trigger:	The Applicant or License Holder learns of an outstanding fee and decides to submit a payment to pay the fee.
User Story:	<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>

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"> ▪ The Applicant or License Holder has satisfied fee(s) associated with the service(s) requested or received. ▪ Payment transaction and related information is recorded in the system. ▪ Interfaces execute satisfactorily and transmit information successfully. ▪ Applicant receives a payment receipt based on his/ her communication preferences (e.g., mail, email, text/ SMS, etc.) ▪ Once payment is accepted, Applicant can print license or trigger the license to be mailed. ▪ Financial information is passed to the State's ERP solution for financial reconciliation.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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.

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"> ▪ All users are logged into the system ▪ Fee schedule is configured in the system including rules on how revenue will be allocated. ▪ Specific performance parameters for payments received workload are defined in the System.
Trigger:	<ul style="list-style-type: none"> ▪ 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. ▪ Staff performs end of day reconciliation and prepares bank deposit.
User Story:	<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>

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">▪ Staff have performed periodic and daily reconciliation to monitor physical cash balances.▪ Staff have performed reconciliations and prepared bank deposit.▪ A hearing may be triggered if a check is bounced.
Alternate Paths	<ul style="list-style-type: none">▪ 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.▪ If a check bounces / NSF, a hearing may be triggered.

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"> ▪ All actors are logged into the system ▪ All financial interfaces are functioning to support the payment processing ▪ Fees exist in the system and an outstanding balance is due by the Applicant. ▪ Record is eligible for payment to be received (e.g., no flags exist on the record that prevent payment from being submitted)
Trigger:	Applicant or License / Permit Holder has submitted payment. See User Story: Submit Payment.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ The Customer has cleared fee(s) associated with the service(s) requested or received. ▪ Payment information is recorded in the system and is associated with the Customer's account. ▪ NLCC Staff has provided receipt to the customer. ▪ Appropriate payment information is sent to the Finance System for revenue allocation.

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"> ▪ 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. ▪ 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). ▪ Staff can scan checks into the system and saved a copy of the check image. Scanned images will not include micr information. ▪ 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. ▪ 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.
Requirements for Viewing Payment Information	<ul style="list-style-type: none"> ▪ 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. ▪ 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. ▪ Can review audit history of all payments and changes to the license (e.g., what was changed, who changed something, who posted payment, etc.).

General Operations & Administration

Business Capability:

General Operations & Administration – Perform general business, office and administration functions

General Operations				
Manage Staff Workload & Performance <ul style="list-style-type: none"> Managing queue of assignments (e.g. identify bottlenecks, opportunities for workload sharing, etc.) Understand resource availability (e.g. applications processed per assigned hours, etc.) 	Manage Geographical Information <ul style="list-style-type: none"> View and update data tied to locations (e.g. fire marshals assigned to a particular region where a business is located) 	Search for Information <p>Search for license information by one or more criteria and view related information</p>	Statistical Reporting <ul style="list-style-type: none"> Maintain monthly statistical reports to be compiled into a final year end report. 	Administrative Reporting <p>Track and run reports for:</p> <ul style="list-style-type: none"> Fixed Assets Payables Copy/Print Services Service Contracts Office Supplies
Report On & Analyze Data <ul style="list-style-type: none"> View raw data and graphical representations Calculate statistics and monitor over time (e.g. past versus current data) Forecast future performance or events (e.g. end of year based on trend) 	Manage Documents <ul style="list-style-type: none"> Generate and maintain an archive for documents (e.g. received, issued, files provided for audits, images gathered from investigations, etc.) Ensuring secure document maintenance Enforce retention policies 	Provide Data for Public Consumption <ul style="list-style-type: none"> Publishing or making data available online for searching, viewing, download, and analysis by the public, external partners, etc. 	Manage Inventory <p>Maintain and track inventory for:</p> <ul style="list-style-type: none"> Keg Books Law Books 	

User Stories for General Operations & Administration

User Stories for General Operations & Administration	
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"> ▪ User has an account and is logged into the system. ▪ The System has pre-defined service levels and built-in triggers for performance monitoring to feed the Supervisor dashboard.
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:	<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>
Post-Conditions:	System displays real time data on the dashboard view.
Alternate Paths	<ul style="list-style-type: none"> ▪ Alternate NLCC personnel besides a Supervisor may be given access to the dashboard view ▪ 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.

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"> ▪ Geospatial information about existing business, zoning, and ordinances is available. ▪ 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.
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:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Addresses and property information is populated from the GIS system. ▪ Interface allows Business Licenses to be displayed geospatially on a map.
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"> ▪ Provide robust search capabilities ▪ Provide a user friendly way for NLCC Staff to find the information they need and navigate through the system ▪ Access to data is governed by security roles in the system.
Pre-Conditions:	Users have accounts and are logged in.
Trigger:	NLCC Staff is attempting to find data in the system.
User Story:	<i>As NLCC Staff, I want to Perform Search, so that I can find pertinent license data in the system.</i>

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"> ▪ The system displays record(s) that match the search criteria entered by the user. ▪ User can select to view the related record(s)
Alternate Paths	<ul style="list-style-type: none"> ▪ System does not return any results and NLCC Staff is prompted to refine their search ▪ Number of matching records exceeds the threshold that can be displayed in the system. System prompts NLCC Staff to refine their search parameters. ▪ User can select to save the search to rerun it again in the future ▪ User can select to export the list of search results ▪ Publicly available data may be accessed through a Search option on the Online Portal or NLCC's website.

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"> ▪ Staff has appropriate user access rights to the system. ▪ The appropriate data fields are configured in the system to enable reporting on the required metrics ▪ System is configured with the appropriate report templates or allows flexible ad-hoc reporting that can satisfy the relevant reporting needs.
Trigger:	<ul style="list-style-type: none"> ▪ Staff identifies a need to gather information from the system, or ▪ Staff must satisfy periodic reporting requirements.
User Story:	<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>
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"> ▪ Preserve a record of staff activity/comments taken on a record. ▪ Ensure all staff members have a clear and consistent understanding of the status of a record.
Pre-Conditions:	<ul style="list-style-type: none"> ▪ The user has an account and is logged into the system. ▪ Records exist in the system and have note fields configured to be not visible on the online portal or in reports.
Trigger:	Staff encounter a situation in which an internal note is worth memorializing in the system.
User Story:	<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>
Post-Conditions:	<ul style="list-style-type: none"> ▪ NLCC Staff have saved an internal note in the record that is viewable by other eligible staff members. ▪ Internal notes are view only and can't be edited/ removed unless you are the author or supervisor.
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"> ▪ Users are logged into the system. ▪ System is integrated with the Nebraska’s Document Management System (OnBase) ▪ System is configured with document types to classify the type of documentation being uploaded.
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:	<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>

General Operations & Administration – User Story: Manage Documents (2 of 2)

User Story Name:	Manage Documents
Post-Conditions:	<ul style="list-style-type: none"> ▪ 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. ▪ 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. ▪ Original paper documentation is either destroyed or stored according to NLCC business rules for that document type.
Alternate Paths	<ul style="list-style-type: none"> ▪ 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). ▪ Document may be uploaded by an Applicant/License Holder directly into the system through the Online Portal.

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"> ▪ Online Portal is configured to allow general public to submit a request for law / keg books. ▪ Payment submitted.
Trigger:	Ongoing
User Story:	<i>As NLCC Staff, I want to Manage Inventory so that I can provide law / keg books to licensees and/or citizens.</i>
Post-Conditions:	<ul style="list-style-type: none"> ▪ Request fulfilled either via mail or in person. ▪ Transaction documented in the system, inventory adjusted. ▪ Inventory flagged if it dips below a certain number.
Alternate Paths	Law / Keg book requests made by mail, email / phone or in person.