NEBRASKA LIQUOR CONTROL COMMISSION

Centralized Alcohol Management
Project RFP 6677 Z1
OPENING: May 2, 2022

AN EXPERIENCED GUIDE WHO KNOWS YOUR TERRAIN

MTX GROUP INC.
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Section 2 - Cover Letter

MTX is pleased to submit our response to the Nebraska Liquor Control Commission's (NLCC) Request for Proposal (RFP) #6677-Z1 to implement a modern, cloud-based liquor licensing solution. MTX understands NLCC's essential need to replace their current legacy systems and time-consuming manual processes with a solution to support alcohol licensing and related services. We also understand the importance of improving customer service to Nebraska alcohol industry members to ease access, improve compliance, and speed revenue collection and enforcement. As the number of applications and licensees continue to rise to well over 11,000 per year, and are expected to continue upward, the NLCC must commit an extraordinary amount of time and resources to keep pace. Now is the perfect time to create efficiencies through automation and MTX is excited for the opportunity to be a trusted advisor to walk you through that modernization process.

MTX's proposed highly configurable Licensing, Permitting, and Inspections (LPI) solution, built on the Salesforce Public Sector Solution (PSS) platform, will support NLCC's liquor licensing operations today and into the future. The LPI Solution will do this by increasing productivity and efficiency through process automation, targeted workflows, comprehensive document management, and real-time data analytics. MTX will support and consolidate critical business processes into a combined, user-friendly, and web-based solution to more efficiently regulate the production, distribution, and sale of alcoholic beverages. Our platform-based solution provides flexibility where others may box you into an "off-the-shelf" system, likely built for a different state, that doesn't fit with your existing or desired processes.

MTX has experience implementing solutions for a variety of agencies in the Licensing, Permitting, and Inspection space. Specifically, MTX has successfully implemented alcohol licensing projects in both Kentucky and Iowa, who partnered with MTX to modernize their more than a decade-old licensing and permitting platforms. In addition to having the practical experience of designing and building solutions for alcohol licensing, members of our leadership team are subject matter experts who can leverage their experience in the alcohol and other regulatory licensing spaces to inform your project design and implementation, including a former state alcohol regulator who understands the desired business outcomes of the technology that MTX can provide.

> **"I have worked with various implementation teams on everything from financial, medical and general system implementations and MTX is the most organized, efficient, and proficient organization I have ever worked with in my Professional IT career over 20 years"**
>
> *– Joseph Baros, CIO, Department of Finance and Administration, New Mexico*

Our Salesforce-based LPI solution provides the base set of case/workflow management, information gathering, data management, rules engine(s), and dashboarding/reporting capabilities to support NLCC's digital transformation, including:

- **Better Service to NLCC Applicants and Licensees:** Help constituents find and complete applications faster with intelligent forms and access self-service through an online portal.
- **Refine Processes and Approvals:** Remove approval bottlenecks with interdepartmental collaboration tools, automated approvals, and instant notifications, achieving a single view of the application pipeline, case status, and complaints.
- **Automated Communication and Collaboration:** Numerous standard collaboration and communication capabilities are embedded into the fabric of how users work within the system with a complete record of activity. This includes unstructured communications, reports,

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dashboards, triggered alerts (email or text), document management, universal search, knowledge management, and mobility.

Because we understand the ever-changing nature of alcohol statutes and rules, the proposed Salesforce platform will provide NLCC a range of configuration options that can easily be set with drag-and-drop tools. Ease of use is one of the most important factors in ensuring broad adoption of the solution and organizational utility.

MTX is a global technology consulting company that partners with government organizations to transform their business with best-in-industry solutions on Salesforce and other cloud platforms. MTX works with numerous local and state agencies and authorities in 35 states to deliver digital oversight, strategy, and implementation services that enhance the way they conduct business with their stakeholders, workforce, and the public. ***We provide end-to-end project support and don't require an unrealistic commitment of state staff "work-share" to complete the project.***

Since partnering with Salesforce in 2014, MTX has established itself as a trusted advisor in the Salesforce solutions and systems integration market. As a Salesforce Summit-level strategic partner, we have a commitment to the platform's unmatched power to digitally transform government organizations while delivering operational efficiency to meet long-term goals. Salesforce is a leading software solution for licensing and permitting with easily configurable and flexible functionality to satisfy the unique needs of your operation.

Notably, it is our comprehensive, customized training services that differentiates us from our competitors. MTX delivers solutions to our clients in months, not years. For example, Iowa ABD went live with their licensing solution 6 months after the project kickoff. From Discovery to Go-Live and beyond, we partner with our clients to help them to effectively and efficiently achieve success and their business goals. Our Change Enablement process delivers training materials that facilitate and decrease resistance to adoption by tailoring content and processes that uniquely address your needs, those of your staff, and those of your customers. Our customer-centric approach ensures our clients are fully engaged in achieving the goals of their current and future initiatives.

We care about your success and understand the value of a responsive, efficient government. Because our focus at MTX is the public sector and we have numerous employees who previously worked in government, we are uniquely qualified and committed to helping agencies provide better service and transparency to citizens, stakeholders, and industry partners. Our solution has helped licensing agencies across the nation serve constituents by digitizing the licensing and permitting application review and approvals lifecycle to conduct licensing and tax reporting business on a safe, modern, and mobile-friendly platform. MTX is excited for the opportunity to partner with Nebraska to help NLCC reduce resource efforts, increase tax revenue, and focus on value-added activities in their ongoing efforts to provide the excellent customer service their customers have come to expect.

Thank you for your consideration.

Sincerely,

Das Nobel, Founder & Chief Executive Officer

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Section 3 - Table of Contents

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Section 4 - Company Background & Experience

Section 4.A: Company Profile

MTX is a technology consulting company that helps customers modernize their IT systems and capabilities, capture and analyze data to inform decision-making, and provide related business services that enable our clients to optimize their organization and public facing service delivery. MTX was formed in October 2008 as MTX B2B Solutions LLC in Albany, New York. The company restructured to MTX Group, Inc. in March 2018 and moved headquarters to Frisco, Texas in 2019.

Our 1,250+ subject matter experts, program, and technology staff are focused on developing, implementing, and supporting our public sector clients to achieve their business and public service goals. They bring a wealth of experience delivering solutions using SaaS/PaaS technologies such as Amazon Web Services, Salesforce, Google Cloud Platform, Azure, MuleSoft, and mavQ platform integrated with on- and off-premise client legacy systems. We help our clients deliver services efficiently and effectively while managing data to inform strategy, enhance business and service optimization, and scale their capabilities. We specialize in merging component subsystems to ensure they function together so our clients can advance on their missions, business, and services to constituents.

Our dedicated executive and technology leadership includes former public sector leaders with substantial experience leading statewide agencies that underwent significant IT modernization implementations to better serve their constituents. Their experience is invaluable and helps MTX clients better achieve their current and future service and business optimization goals.

MTX is a trusted partner of numerous state and local governments across the country with an outstanding reputation for delivering and managing several large high-impact programs. Our current focus is on the public sector where we perform upwards of 92% of our work. We create strong, lasting partnerships, directly assessing our clients' needs to ensure successful implementations on short timelines.

MTX develops and integrates a robust suite of software programs and technologies to help our clients keep track of their customers, data, and business performance to improve outcomes in health, happiness, and economics. Leveraging our comprehensive strategy, implementation, and optimization services, our clients quickly build their own capabilities to leverage their data across their enterprise solutions while working to implement data processing workflows and transforming data into meaningful business intelligence. Our customers are reporting significant success by partnering with MTX to implement remote access initiatives and empower cross-agency collaborations. Our solutions have enabled our clients to personalize customer experiences, train and empower employees, optimize supply chains, discern new operational efficiencies, reduce costs, create new revenue streams, and enhance constituent services.

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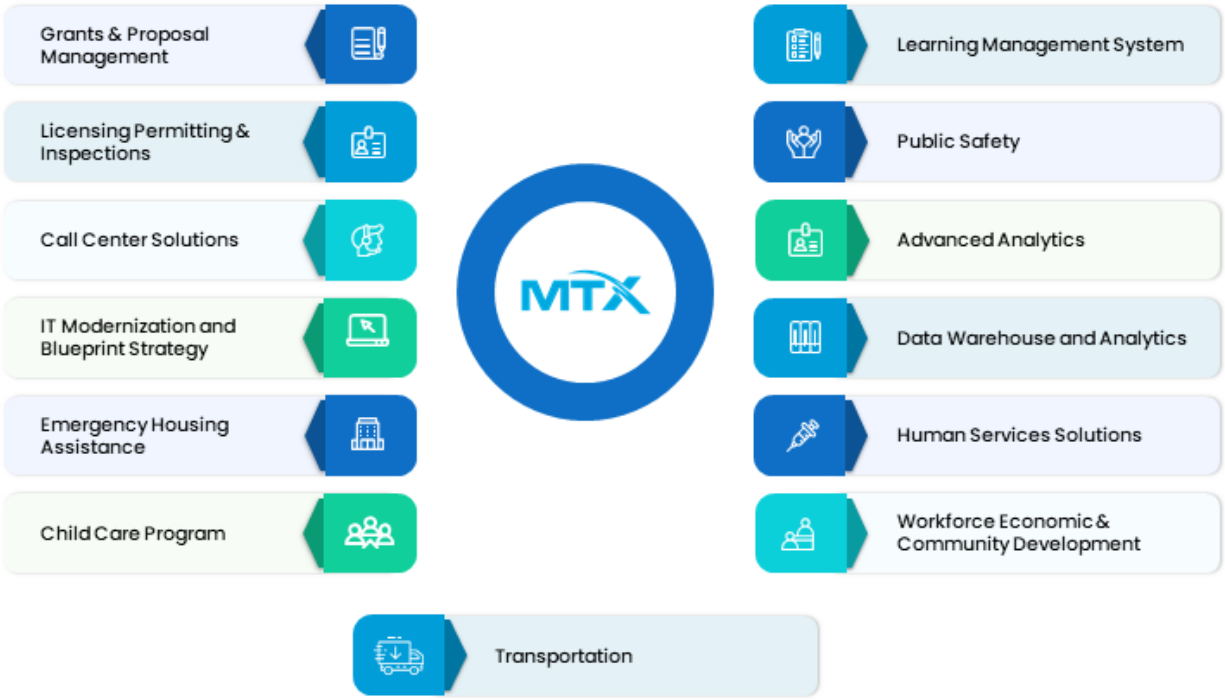

Organizational Overview

Information Requested	Response
Full Company Name or Corporate Name	MTX Group, Inc.
Corporate Headquarters Address	6303 Cowboys Way STE 400 Frisco, TX 75034
Office location responsible for performance pursuant to an award of a contract with the State of Nebraska	Frisco, TX Remote
Telephone Number	(319) 573-0261
Website Address	https://www.mtxb2b.com/s/
Parent Company	Not Applicable
Subsidiaries or Affiliated Companies	Not Applicable
Year in which the Bidder first organized to do business (i.e., year company was founded)	2008
State in which the Bidder is incorporated or otherwise organized to do business	New York
Number of years Company has been providing the Product or Service specified in this RFP	14
Most recent three (3) Fiscal Years' revenue and net income in USD	[redacted]

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Information Requested	Response
	[redacted]
Type of entity organization (e.g., corporation, partnership, proprietorship)	C Corp
Company Ownership Structure (e.g., public, private, joint venture)	Private
Stock Exchange and Symbol (if publicly traded)	Not Applicable
List the name and form of organization if it has changed since first organized	MTX was initially incorporated as an LLC and was reorganized as a C Corp in 2018.
Locations in the U.S., and total number of staff in each location	MTX currently has physical office locations in three US cities; our corporate headquarters in Frisco, TX, with approximately 90 employees, a client service offices in Waterbury, VT, with approximately 10 staff permanently assigned, and Santa Fe, NM, also with approximately 10 staff assigned. Most of our remaining approx. 500 US-based staff support our clients in client locations across the 35 states we serve or remotely.

Section 4.B: Company Background

a. Recent Contracts

MTX has delivered LPI implementations within the **last three (3) years** to the customers listed below. All projects listed below were **completed within budget and on schedule**.

Licensing Areas	Notable Current and Past MTX Projects
Alcohol Licensing	Iowa ABD - Alcohol Licensing Modernization Commonwealth of Kentucky - Alcohol Licensing Modernization
Cannabis Licensing	Vermont CCB - Cannabis Licensing Modernization Rhode Island OCR - Cannabis Licensing Modernization New Mexico CCD - Cannabis Licensing Modernization
Agriculture	Iowa Department of Agriculture and Land Stewardship - Licensing Modernization
Business Licensing	Vermont Secretary of State - Business One Stop
Childcare and Educational	Massachusetts Early Education and Care - Licensing Modernization New Hampshire Department of Health and Human Services - Child Care Information System
Construction	New Mexico Manufactured Housing & Construction Industries - Licensing Modernization

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Licensing Areas	Notable Current and Past MTX Projects
	Arizona Manufactured Housing & Buildings Division - Licensing Modernization
Environmental	Utah Department of Environmental Quality - Licensing Modernization Utah Department of Natural Resources - Licensing Modernization foundation
Insurance	Georgia Office of Commissioner of Insurance and Safety Fire - Licensing Modernization
Professional Licensing	New Mexico RLD Boards and Commissions (B&C), Wisconsin DSPS, and Georgia Secretary of State - Licensing Modernization

b. Contract Terminations

MTX has not had any contracts terminated in the past five (5) years.

c. Business Disputes and Outstanding Litigation

MTX has no pending litigation. Two cases brought against us were dismissed or settled in our favor. Additional information is available upon request.

d. Change of Ownership

There has been no change of ownership in MTX's history.

e. Mergers and Acquisitions

MTX has not had any mergers or acquisitions and does not have any planned.

f. Conflicts of Interest

MTX does not see any conflicts of interest that would impact our ability to deliver this project.

g. Relationships with the State

MTX does not have relationships with the State of Nebraska and has not had any dealings with the State over the past three (3) years.

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h. Bidder's Employee Relations to the State

No former employee of the State of Nebraska is employed at MTX.

i. Financial Solvency and Insurance Information

1. Please see **Appendix C - Insurance Certificate.**
2. Please see **Appendix B - Financial Statements.**
3. Please see **Appendix B - Financial Statements.**
4. MTX has no pending litigation. Two cases brought against us were dismissed or settled in our favor. Additional information is available upon request.
5. MTX understands that the State may elect to use a third party to conduct credit checks as part of the corporate overview evaluation.

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Section 4.C: Bidder Experience

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

MTX Group, Inc., was formed in October 2008 as MTX B2B Solutions LLC in Albany, New York. The company restructured to MTX Group, Inc. in March 2018 and moved headquarters to Frisco, Texas in 2019. Our current focus is on the public sector where we perform upwards of 87% of our work and our core client base includes hundreds of government agencies, departments, and public organizations in 35 U.S. states as well as Canada, Australia, and India. To date, MTX has delivered over 950 technology projects with unrivaled speed to market, zero project failures, and an overall 97% client satisfaction rating. Of those projects, the sizes range from small projects such as one completed in 20 days for the State of Florida to configure, develop, and deploy a mobile application survey form, to larger projects such as the vaccine management project in New York City. That project enabled NYC to schedule over 50,000 appointments an hour, communicating to residents important vaccination related information with over 50 million website visitors a day. The system had 3,500 end users and a contract value exceeding $35M.

MTX's public sector business unit has been in existence since 2015. The goal of our public sector business is to deliver high quality results and experiences to the clients we serve throughout the U.S. Our approach to ensuring we fully understand our public sector clients, current and prospective, is to bring in leadership and key staff who have deep expertise in their respective fields and experience serving as decision makers in the government agencies that we approach and serve. MTX has recruited public sector leaders, including former public agency commissioners, into technology verticals and senior/ strategic leadership roles to lead solution design and refinement, support client partners and sales, and ensure effective implementation efforts.

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

MTX's understanding of the licensing industry, combined with our experience in alcohol licensing, means that we will deliver a higher quality product with lower effort for NLCC's staff. Our delivery teams understand the questions to ask and the pros and cons of each option to assist NLCC with design decisions. In addition to our work with alcohol licensing, MTX has configured and implemented its highly configurable and proven LPI solution, built on the Salesforce platform, for numerous public sector customers. Our team's configuration covers the full lifecycle of the application including processing, reviewing, approvals, financial management, and integration with third-party systems. Our proposed solution is designed to transform the NLCC licensing and enforcement experience for NLCC leadership, current and prospective Licensees, members of the general public, key stakeholders, and other constituents.

ALCOHOLIC BEVERAGES DIVISION
State of Iowa

State of Iowa Alcoholic Beverages Division Electronic Licensing and Permitting System (eLAPS)

Overview: Iowa's ABD services more than 15,000 Licenses and Permits yearly for a diverse array of constituents from individuals holding events like weddings to large corporations such as Walmart or Hy-Vee. ABD had been trying to modernize their system starting in 2015, but ran into many challenges. ABD was seeking to update their system and be ready to distribute to constituents for their peak season of summer. After learning about MTX's licensing system for Kentucky's

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Alcoholic Beverage Control, Iowa contracted MTX to provide solution implementation and integration services to modernize their licensing system.

Challenges: The existing solution had an outdated but user-friendly web portal. The solution had difficult and inaccurate reporting mechanisms and did not integrate with other ABD IT systems. Furthermore, the payment and tax and shipping reporting management processes were all manual and extremely unwieldy.

Approach: MTX helped Iowa build their new eLaps licensing system and connect their multiple disparate systems using Anypoint. MTX utilized our integrations delivery framework to provide real-time integrations and data flows between siloed ABD systems. Our focus was to implement specific playbooks, such as the C4E, of the Catalyst framework to build the IA integrations.

- MuleSoft Center for Enablement (C4E) - C4E enables API led connectivity, thus shorter delivery cycles, including faster time to deliver integration through reuse and self-service and Higher quality deliverables as a result of being built on existing templates and APIs, thereby reducing the number of defects and error rates.

Specific implementations performed by MTX include:

1. AX and SAS - Interface with AX/Dynamics so that ABD could share licensing/owners information with multiple Licensing and Administrative stakeholders more efficiently.
2. Iowa Department of Revenue (IDR) - MTX created a real time Interface for Iowa Department of Revenue BOSS Portal (Business One Shop Stop), that allows Business Owners to: retrieve their Sales-Tax Permit and apply for a new or renewal of Liquor or food serving license(s).

These integrations allowed ABD business units and systems to update their data in real-time, as opposed to the previous update timeframe of every 24 hours.

Benefits: ABD can better customer service through an easier, streamlined application process. Integrations with other ABD IT systems improved communications, reporting and data output with ability to show license trends. The integrated solution also improved the total licensing fee payment and tax & shipping reporting management processes.

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

We differentiate ourselves through our unparalleled speed(s) to market, comprehensive and customized training services, and approach to thought leadership. Furthermore, our focus on developing innovative cloud-based solutions for our clients on configurable, scalable, and cost-effective SaaS platforms such as Salesforce, like our approach to training services, are uniquely customized and tailored to our client’s specific needs and requirements. **MTX was named a Salesforce Summit Consulting Partner, the highest attainable level in the Salesforce partner program,** in recognition of our main differentiators (i.e., speed, change enablement and training, thought leadership, and innovation), high customer satisfaction, and delivery record.

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MTX is invested in establishing a long-term relationship with NLCC and seeks to ultimately improve services for NLCC's constituents and customers. In addition, a partnership with MTX offers:

1. **MTX's unwavering client engagement and commitment is a step above.** MTX takes great pride in having completed more than 950 projects in the public sector across 35 U.S. states in the past 13 years – all of which have been on time and budget, and all have been delivered with excellent results. We have an overall client satisfaction rating of 9.7 out of 10, which demonstrates our commitment to effective engagement and continued support through all phases of discovery, implementation, and optimization. This commitment and success is designed to maximize the value of our engagement with NLCC and position MTX to support your immediate needs and goals while ensuring that you are poised to leverage our solution, collaboration, and learnings to advance on all of your strategic priorities.
2. **MTX subject matter expertise is comprehensive and cross disciplinary.** In addition to being one of the most technically trained and experienced SI teams in the world, MTX's public sector business unit is led by former leaders in government agencies who have substantial experience and expertise in your domain. The combination of our specialized expertise in technical, project management, user experience design, and Change Enablement ensures that your MTX team is as well rounded and capable of helping you meet and exceed your strategic, business, educational, stakeholder, and community service goals as you work to leverage your alcohol licensing system to streamline licensing processes.
3. **MTX's speed and value are unparalleled.** With every engagement, we strive to achieve a meaningful and lasting relationship that begins with timely and cost-effective delivery. Our teams proactively engage our clients in a thorough discovery process to ensure we are on the same page, and then we move at pace to develop, test, and train your users to use the solution effectively. This enables us to develop and deliver projects at exceptional speed, often shortening project duration from months to weeks (and even days when needed). Our robust project management office and application of gold standards across our enterprise helps us to ensure that you realize your projects in a cost-effective and timely manner.

Notably, our emphasis on configuration has not precluded custom development. MTX has accumulated significant customization expertise through our partnerships where we have developed new functionalities within SaaS/PaaS environments, integrating with legacy systems, and integrating disparate systems. Our holistic technologies and client-centered approach, combined with specific expertise from our subject matter experts and former state agencies leaders, help us to streamline and automate back office processes for our public sector clients to prepare them for the future. Our goal is to empower governing bodies, and their stakeholders, to better understand how technology decisions affect the quality of the citizen experience and realization of business outcomes.

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Indicate how compliance with the minimum qualifications of this RFP are addressed in this proposal.

a. Bidder must have experience with implementing an alcohol licensing solution in one (1) state minimum of similar size and/or complexity within the last five (5) years.

Exceed. As stated above, MTX has implemented alcohol licensing systems in two (2) states within the last five (5) years.

b. Bidder must have experience providing first-line support (technical and functional help/service desk) for an alcohol licensing and regulatory system.

Compliant. MTX has provided first-line support for many of our licensing system implementations including for the Iowa Alcoholic Beverages Division. For example, in Iowa, MTX provided our own proprietary IT Help Desk Support Services as a way to curb the initial volume of contacts as external stakeholders familiarize themselves with the new system as well as supporting ongoing support inquiries, allowing IA ABD support staff to focus on support cases related specifically to ABD and its processes (i.e. questions about status, approvals, appeals, etc.). Services included a distributed Help Desk available 8:00 AM – 5:00 PM Monday – Friday, with the flexibility to adjust as demand changes during peak season.

c. Bidder Project Manager must have one (1) year of experience implementing the proposed solution and been through at least one (1) full lifecycle deployment with the proposed software solution.

Compliant. Scott Westmoreland, MTX's proposed Project Manager for NLCC, was the Project Manager on MTX's implementation of Iowa ABD's alcohol licensing system (detailed above) for the entirety of the implementation.

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Section 5 - Product Overview

Section 5.A: Product Overview

MTX believes Salesforce is the best platform for NLCC to utilize to operate the new alcohol licensing solution. The platform is scalable, reliable, future proof, and proven, and that is why it is deployed by thousands of organizations and public sector agencies across the globe. Thinking strategically and from a "future-proof" perspective, MTX's proposed solution represents a strategic choice that avoids the inherent negatives that come with custom "best of breed" technologies that require additional customization, application programming, and interface costs.

Leveraging Salesforce, MTX is freeing government data from legacy systems and unleashing staff, partners, and citizens to administer government in powerful new ways. In the public sector, Salesforce's trusted platform and MTX's purpose-built applications can help NLCC collaborate easily and connect with citizens in ways not possible before. MTX's solution will enable a common "golden data record" for those data elements that the NLCC determines are critical to operations and citizen-centric effectiveness and efficiency. Our LPI solution is a proven, low-code, and adaptable application platform that can be configured for NLCC's current needs and adapted for future growth. Please refer to **Appendix D - Salesforce LPI Overview** for additional details.

Salesforce Overview

Salesforce has been named one of the World's Most Innovative Companies nine years in a row by Forbes. Salesforce is #1 in Enterprise Cloud Computing and #1 in CRM according to IDC. Salesforce ranks as the Leader in the Gartner Magic Quadrants for "CRM Customer Engagement Center" (SaaS), "Field Service Management" (SaaS), and "Sales Force Automation" (SaaS), and a Leader in the Gartner Magic Quadrant for "Enterprise Low-Code Application Platforms" (PaaS). Over 150,000 customers have transformed their operations including over 3,500 government agencies worldwide, representing all federal cabinet-level agencies and the majority of the United States. Customer examples include: State of Texas, State of Colorado, State of California, GSA, USDA, and others. NLCC will receive three complimentary, seamless, and automatic major release updates per year with no impact to NLCC 's solution implementations, including workflow, integrations, reporting or customizations.

Enterprise Cloud Platform

NLCC can optimize its mission activities by managing all interactions and data through a customer success "platform of engagement." Salesforce built and maintains a multi-tenant application architecture that has been designed to enable the Salesforce service to scale securely, reliably and cost-effectively. Salesforce's multi-tenant cloud solutions provide a single, shared infrastructure, one code base, one platform that is all centrally managed, with platform-based Application Programming Interfaces (APIs) to support all integration traffic. The Salesforce Platform offers a core set of technologies that not only power the Salesforce Software as a Service (SaaS) and high-productivity application Platform as a Service (PaaS) products, but also allows organizations to build and rapidly deploy custom apps with just a few clicks all from a single canvas, connecting data from any system, and managing it from anywhere on any desktop and mobile device.

Public Sector Solution

Salesforce scales best practices directly into Public Sector Solution so customers don't have to develop/reinvent them. Public Sector Solutions rapidly accelerates time to value as the product is pre-built specifically for license, permit, and inspections management. Public Sector Solutions includes a

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pre-configured, industry-specific data model and capabilities that provide a unified engagement platform that provides an end-to-end digital journey to strengthen relationships and build trust between the Agency and its constituents. These components make things more transparent to constituents who can review history, check status, return to edit drafts, and easily interact/collaborate with the government.

Vendor	Product/Service Provided
Salesforce Public Sector Foundation Unlimited Edition	Provides the foundation of the solution that MTX has proposes in this document. This provides licensed access for NLCC users, as well as access to OmniStudio (as described below).
Salesforce Government Cloud Plus	Salesforce Government Cloud Plus is a partitioned instance of Salesforce's industry-leading Platform-as-a-Service (PaaS) and Software-as-a-Service (SaaS), multi-tenant community cloud infrastructure specifically for use by U.S. federal, state, and local government customers, U.S. government contractors, and Federally Funded Research and Development Centers (FFRDCs).
Salesforce Maps	Salesforce Maps is a Location Intelligence solution that leverages mapping and route optimization technologies so your organization can maximize the productivity of their resources.
Salesforce Digital Engagement	Provides access for NLCC to communicate with Licensees and Applicants outside of email communications (ex. via text message).
Salesforce Lightning Scheduler	Provides the engine for scheduling requirements (ex. hearings and inspections).
AXSY	Provides offline inspection capabilities as noted in the requirements from NLCC.
Tableau Analytics Plus*	Tableau provides in-depth analytics and ***was not included in the scope** of this project, but is an add-on product available through Salesforce if NLCC is looking for more comprehensive analytics. Please refer to **Appendix E - Tableau CRM Overview (Optional)** for additional details.

Unique Product Aspects

The LPI solution is built with the **OmniStudio** digital engagement suite. OmniStudio simplifies and accelerates digital transformation, so NLCC can be agile, flexible, and ready to respond to spikes in demand. OmniStudio allows MTX to create compelling, digital experiences with guided processes and branded web components to enable applicants and citizens to do more for themselves via guided interactions. OmniStudio provides drag and drop configuration tools with a modular, microservice-oriented approach to creating customer experiences. OmniStudio includes the following tools:

1. **Flexcards** - Flexcard are cards that display contextual information and actions in an at-a-glance format for customer account data. With them, developers can tailor the user experience to the specific needs of users. A Card Framework collects data about the customer in context, from Salesforce and external sources if required, and displays them in a series of Cards (instead of a

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traditional record list) to the user in an intuitive, easy to understand way. The Actions on each Card allow users to launch OmniScript guided processes, or navigate to other links, and guide the user through a specific sales or service process.

2. **OmniScripts** - OmniScripts is a tool that facilitates a guided path to complete a business process. It is a market-leading omni-channel interaction tool and dynamic business interaction platform which combines user input forms, integration call-outs, real-time functions, and elegant user interface templates into cohesive omni-channel business processes. OmniScript offers agility and ease-of-use for business form applications, with robust enterprise integration and deployment management capabilities. For example, when an individual needs to apply for a license or permit, the online digital “form” they complete can be very complex, span multiple pages, and may enforce certain business logic. The OmniScript designer permits a system admin to design complex “guided” intake forms so it’s easy for the individual to interact with the system.

   The OmniScript datasheet can be found here.

3. **DataRaptor** - DataRaptor is a configurable service for retrieving, transforming, and updating data. DataRaptor simplifies the integration, easily loading, extracting, and transforming hierarchical structures in standard JSON formats, all without coding. Integrations are now faster to implement, and easier to maintain. DataRaptor is a declarative extract, transform, and load tool that runs natively on the Salesforce platform. It enables the management of complex data structures natively on the Salesforce platform with declarative data mapping and REST interfaces.

   The DataRaptor datasheet can be found here.

4. **Integration Procedures** - Integration Procedures are declarative, server-side processes that execute multiple actions in a single server call. Integration Procedures provide a highly flexible process and tools to develop APIs with ‘no-code’ to accelerate systems integration and ecosystem deployment.

5. **Calculation Procedures** - Calculation Procedures allow you to perform multiple complex mathematical operations and transformations at the same time. They have access to the underlying Engines (the set of services and methods that are also available via REST API) as well as Salesforce platform methods. Users can declaratively configure single or multi-step, conditional, and iterative calculation procedures as well as matrix calculations. To handle many factors, values, and calculations, a Calculation Procedure can call up one or more Calculation Matrices. These are simply lookup tables that take a unique input or set of inputs and return an output or set of outputs. Use a Calculation Matrix whenever you need to look up data.

Knowledge Management Capability

The LPI solution may be integrated with NLCC’s preferred Knowledge Management System (KMS). However, Salesforce provides a KMS called Salesforce Knowledge that is native to the application framework.

Salesforce Knowledge gives NLCC the ability to build a Knowledge Base for storing and managing documentation to service your internal staff with internal-facing content and external content for website visitors, industry partners, and licensees. The Salesforce Knowledge Base can include articles that have relevant information about your licenses, processes, or frequently asked questions. Salesforce Knowledge helps NLCC establish a self-service model for your customers to solve their own queries, leading to case deflection and increasing customer satisfaction.

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Optional Learning Management Capability

If NLCC would like to consolidate all training and education into a unified software solution, then MTX can build and provide a complete Learning Management System (LMS) that would provide the optional educational courses used for licensure or the required educational courses used to satisfy violation settlement agreements. The LMS would be a module within the licensing system and would enable NLCC to manage the full lifecycle of your online learning programs from start to finish including collecting revenue from those who register for the courses. The solution simplifies course registration and has a user-friendly interface, offering an optimized and interactive learning experience.

This would include such features as the tracking of required courses associated with a licensee, processing payments, and the issuance of completion certificates including notification to appropriate NLCC legal staff once completed.

As an example, MTX's LMS solution was integral to the successful rollout of New York City's vaccination program. Here are some highlights of what the system did for that project:

Prior to Vaccination Staff going onsite they were given access to the MTX LMS system. This system provided different learning paths by role: Vaccinator, Check in Staff, Site Manager, etc. MTX provided:

- Curriculum Development
- Live Training Webinars/Onsite Trainings
- On-Site and Pre-Arrival Curriculum and Content
- User Administration
- Content creation and posting

Cannabis Regulation Capability

MTX successfully implemented a cannabis licensing solution on Salesforce in the summer of 2021 for the New Mexico Cannabis Control Division when that state passed a law legalizing recreational cannabis. While the administrative rules were being promulgated, MTX worked alongside the agency leaders to build a solution that incorporated all of the varying aspects of cannabis regulation, including the iterative task of creating content with each update of the administrative rules.

In February 2022, the Vermont legislature passed a law legalizing recreational cannabis and once again MTX was asked to implement a cannabis licensing solution. MTX is currently building out the first phase of that project on Salesforce, which includes the customer portal and the complete online licensing and renewal process for both businesses and employees from application to approval and issuance of license.

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Section 6 - Functional Solution

Regulating alcohol is a job often overlooked until a person decides they have a great idea and it happens to involve alcohol. It is at that moment that alcohol regulators and citizen entrepreneurs meet face to face. As alcohol availability becomes more creative in the marketplace (think cocktails to go during Covid-19 lockdowns) the ability for staff to be available and knowledgeable about the confines of the alcohol statutes and rules governing the industry is becoming more apparent. Manual tasks that take time for basic licensing impact the ability for staff to provide guidance to those industry stakeholders that request it. Phone calls, emails, and walk-ins all require staff time and thought, neither of which is readily available because of all of the other duties required of staff. Though the expectation for the public sector is to become more efficient and rely on less full time employees (FTE's), this can only be possible if technology is integrated into the process.

Although the 3-tier system is sacred to some, the alcohol industry that helps keep the economy moving has an army of legal staff advising them on ways they can be more profitable, even if it means stretching the boundaries of commonly understood trade practices. Managing trade practice issues and industry lobbying efforts are just a few of challenges that hang over the heads of all state-wide alcohol regulators. The challenge is finding the time and resources to continually address those large-scale issues, while also addressing the day to day tasks.

These are just two examples of why it is important to have a modern licensing solution and, equally important, to have a modern licensing solution that will flex and grow with NLCC. A solution that allows the public to interact with their government in a way that replicates what they've become accustomed to in an Amazon world, helps with customer satisfaction and gives time back to NLCC staff.

MTX will provide a solution that has an easy to use portal that navigates the user through each step of the licensing process so that licensing staff doesn't have to take that phone call. The workflow allows the user to stop and save their work if they find they don't have all the required documents and the breadcrumbs help the user know where they are in the process and what they need next. The application pages will provide information along the way so that terminology can be defined and requirements explained. The beauty of these functions is that ultimately the application information or reporting data requirements are automatically entered in the system and do not require manual data entry - a system that is easily searchable.

One of the great aspects of Salesforce is its ability to manage and house all forms of communication - with customers, internal staff, and external stakeholders. As staff are reviewing a submitted excise tax report or an application for a brewpub and they have a question, they can send the licensee or applicant an email directly from the account record. Or, even more exciting, is the ability to use the chatter functionality, again within the licensee's or applicant's record with NLCC coworkers, so that all related communication is found in one place. Because NLCC interacts with numerous partners outside the agency, such as the Nebraska State Patrol or the local county/city clerks, the ability to interact and communicate within one system will save time for all involved.

Finally, NLCC compliance/enforcement staff will benefit from the mobile capability and access to pre-populated forms as they begin their inspections. As complaints are investigated and evidence is gathered, all of the enforcement or audit-related information is stored in one place with access restricted to only those individuals NLCC determines appropriate. Additionally, enforcement or compliance staff can take photos or videos of the premises and upload them to the licensee or applicant's record, as necessary. Gone will be the days of walking an investigation file from one desk to another - it will all be available at the users' fingertips.

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The capabilities described above are just parts of the whole system that will be provided to NLCC. The next sections (6.A and 6.B) describe each capability in more detail. With the MTX solution, NLCC staff will be able to spend more time collaborating with industry stakeholders on creative approaches to providing alcohol to the public while also promoting public safety, health, and welfare.

Section 6.A: Modules - Standard Capabilities

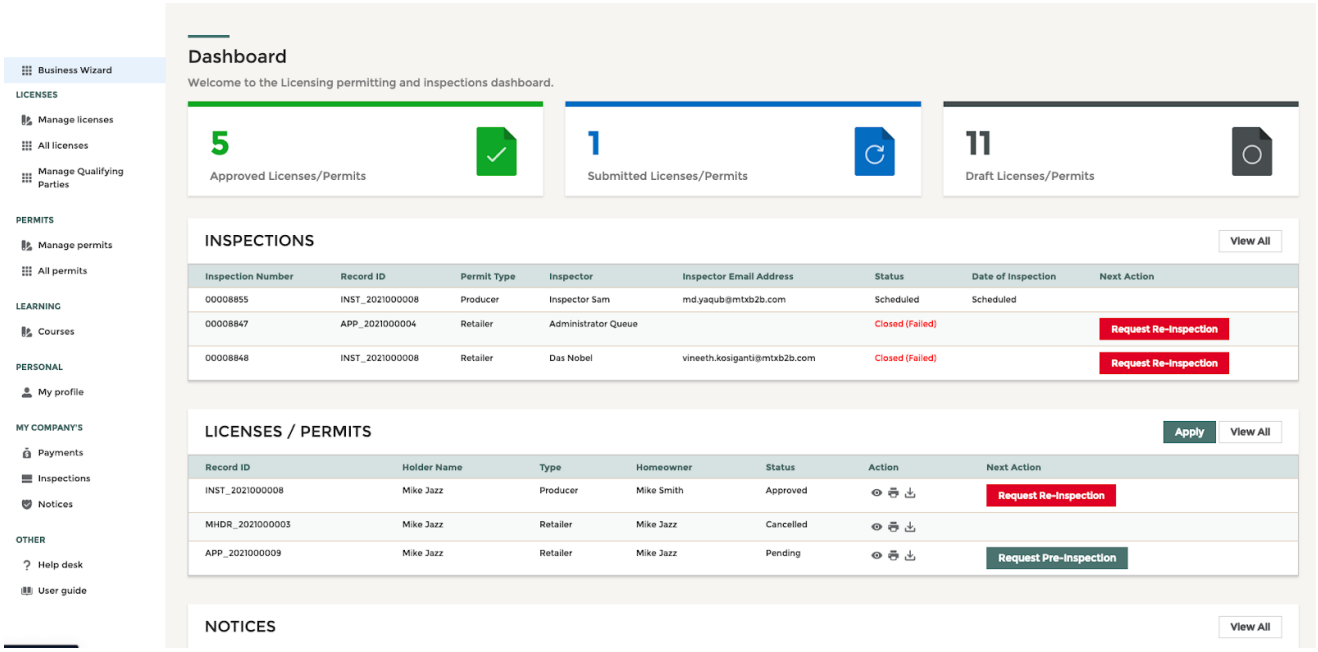
External Portal (Public Facing)

Application Intake

Using Salesforce's varied suite of products, which offer nearly limitless configurable options, MTX will design a public-facing portal for NLCC through which applicants and licensees will be able to complete electronic applications, renewals, and amendments, as well as remit fees and tax payments. Modules built on the Salesforce platform are responsively designed to enable access from laptop and desktop computers or tablets and mobile devices. This design feature allows applicants or licensees to interact with a responsive and visually appealing service anywhere at any time.

From a branding perspective, NLCC can provide the appropriate branding assets, including logos, colors, and fonts, all of which can be incorporated into the design elements to create an experience that is cohesive with the existing State of Nebraska digital footprint.

The images below show different examples of what an applicant could see when logging into their portal account:



Sample Landing Page for the Applicant

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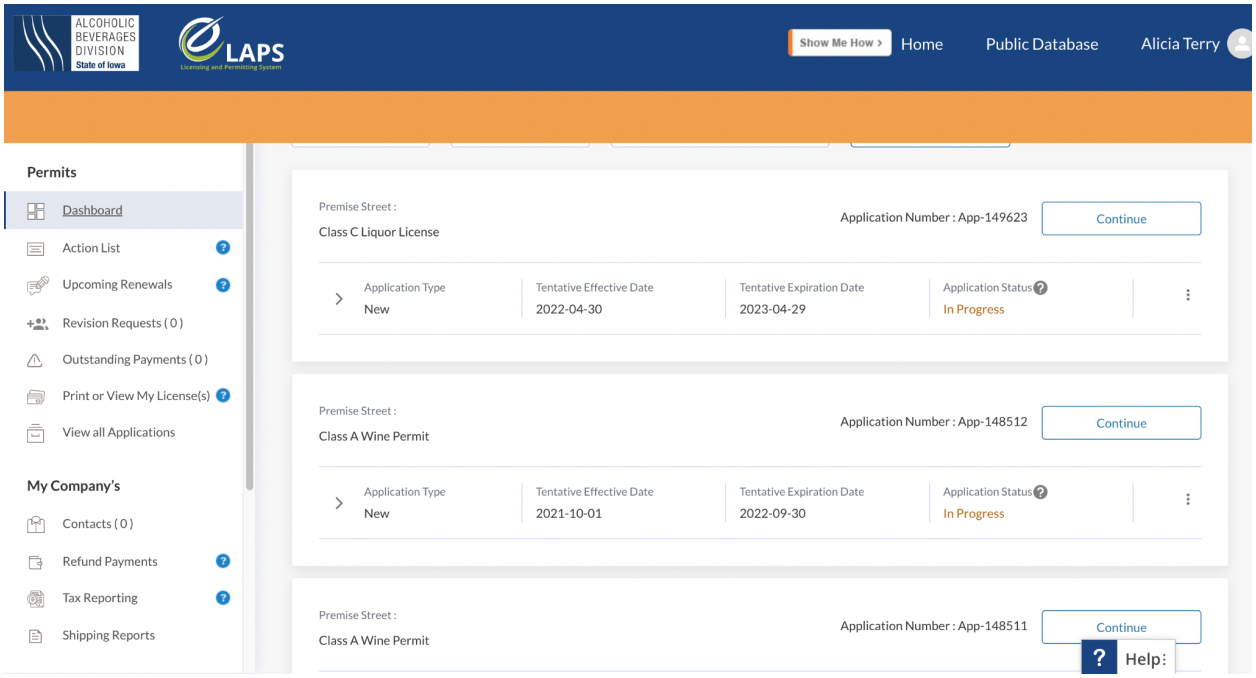
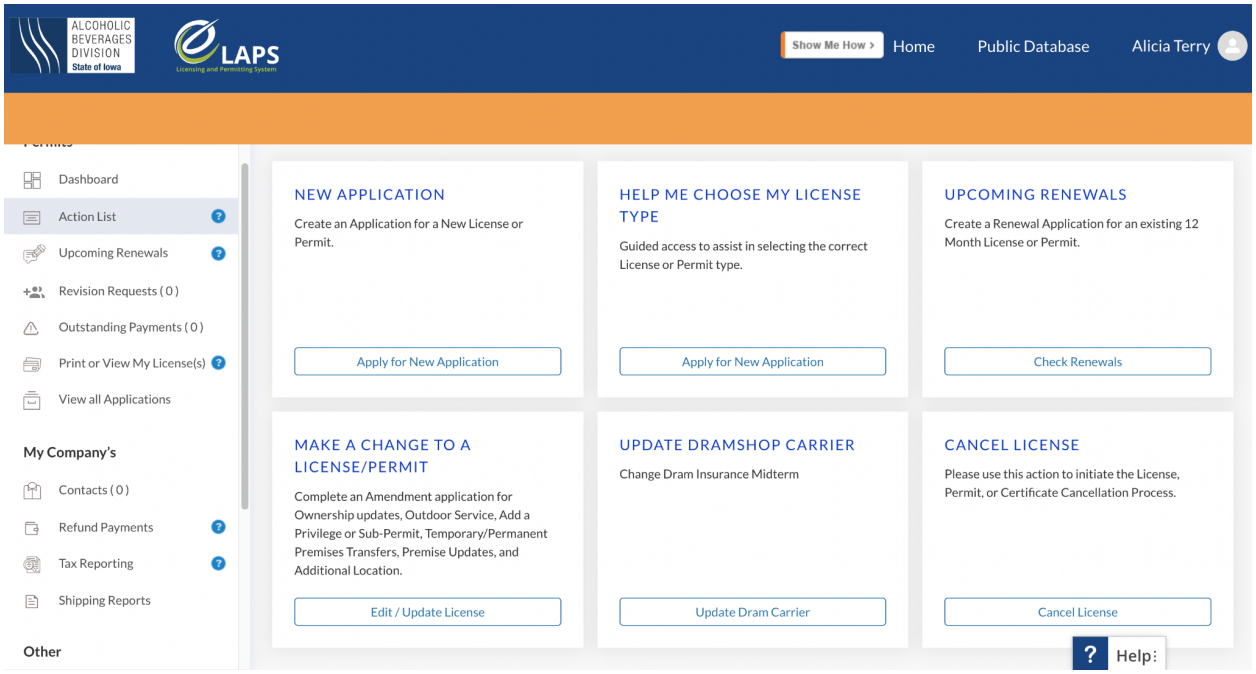


Sample Landing Page for the Applicant

The proposed portal offers functionality for external users (users who are not Agency staff) to create accounts, opening up access to additional features such as saving partially completed applications (new and renewal) and tracking the status of their application or renewal as it progresses through the review process within NLCC. Having an account to log into, Applicants or Licensees will have the ability to make modifications to their application or license, as permitted by law, throughout its respective lifecycle.

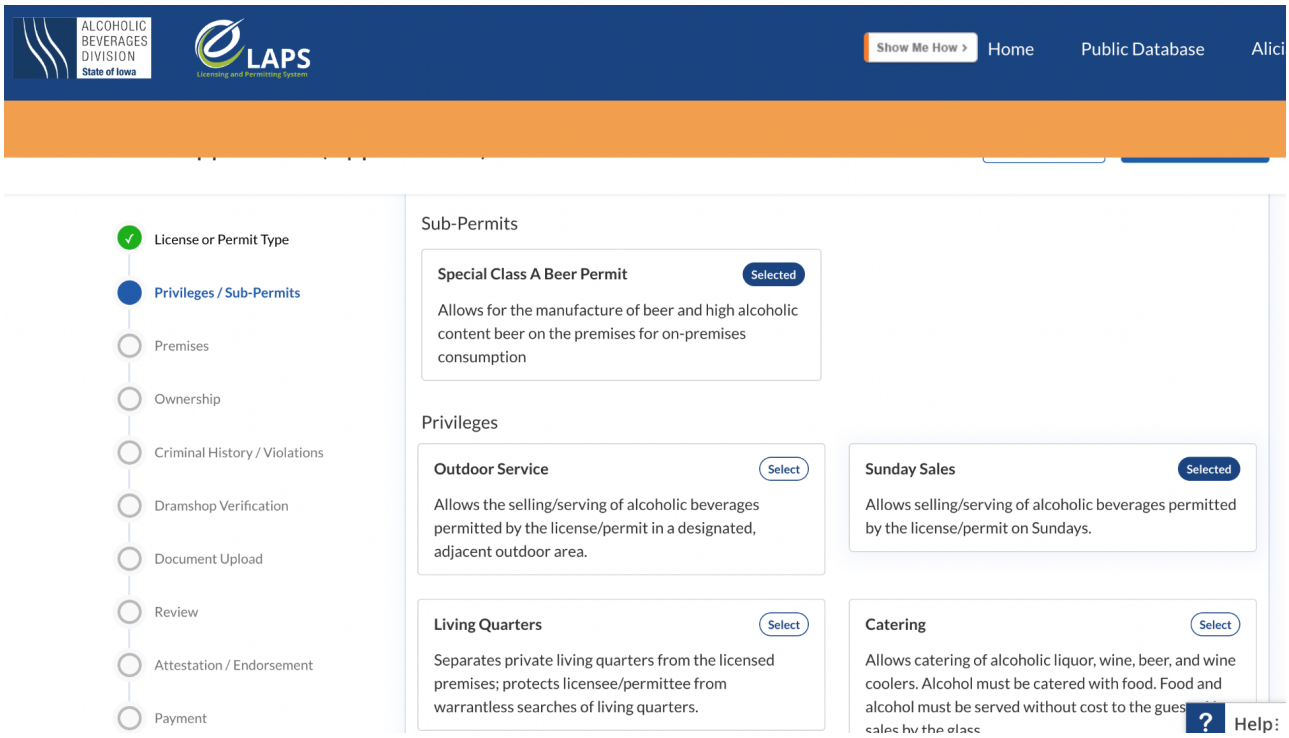


Sample Landing Page for the Applicant

In this process, applicants will be able to select the type of application they'll submit and provide required information through online forms tailored to both NLCC's business needs and application type. MTX understands that the licensing process can be confusing when there are multiple application types and requirements. In an effort to make the process as user-friendly as possible, MTX will create a wizard-like experience for applicants to help them understand which application they should be utilizing and any associated forms that are required to supplement their application. These questions will narrow down the available options to the type of license that best meets the business use-case of the applicant. This feature will assist NLCC by reducing the need for staff to request corrections from the applicant after the wrong application has been submitted.

From there, applications will be able to complete their application, upload applicable attachments, and then be guided through to the payment gateway for fee processing.

The image below shows an example of the wizard and a portion of the application process:



Application "Wizard" to Guide Applicants

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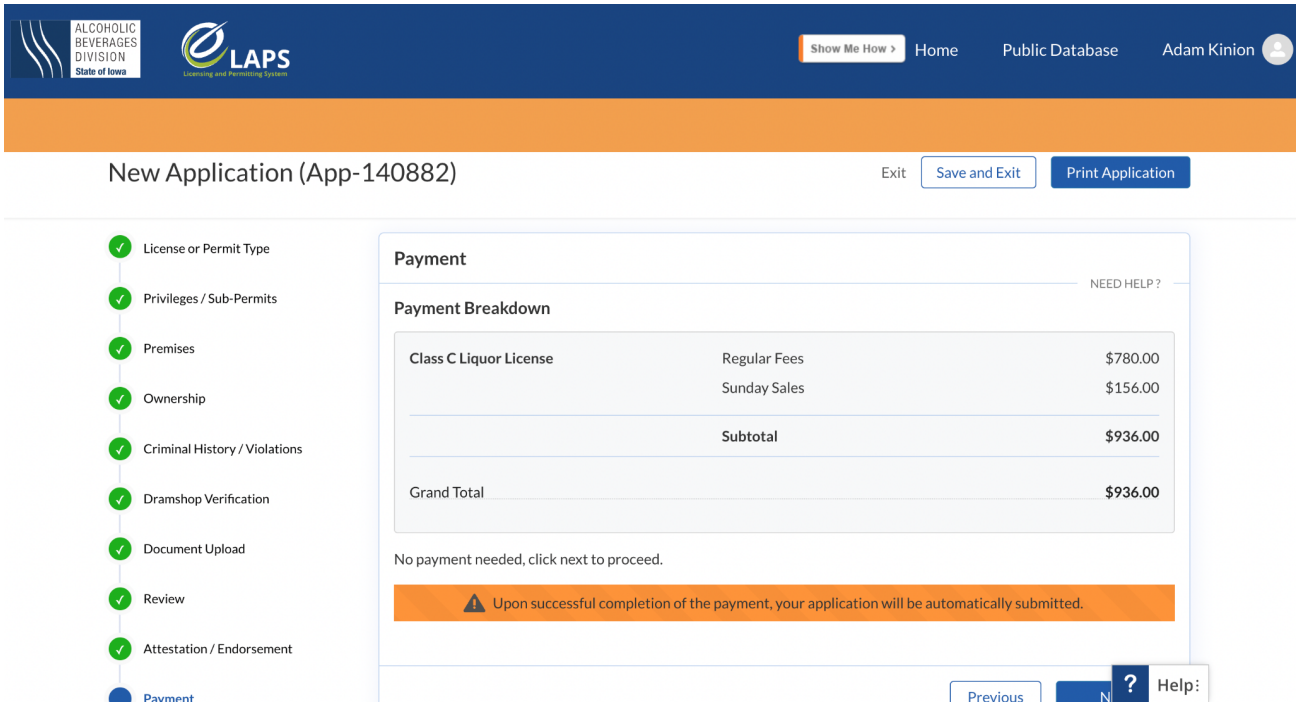
The graphic below shows the calculation of fees based on the licenses required:



Sample Fee Calculation Page

Upon successful payment, the applicant can receive confirmation of payment while on the backend the application will have been submitted to NLCC for review. To accomplish that, the application will be created in the internal Salesforce environment (accessed only by NLCC staff) and routed to the appropriate person, department, or queue for review.

Internal Salesforce Instance (NLCC Facing)

The Internal Salesforce environment is where NLCC staff will be able to manage the entire licensing review and approval process. The proposed solution supports multiple levels of approval, automated approvals, and business process automation (where possible) based on NLCC business needs. This piece of the solution will be the engine that supports many of the modules required by the Agency.

MTX understands that there are almost 70 steps that NLCC staff need to undertake to process a license and that those steps are manual and sometimes redundant. By building in automation, MTX will be able to remove duplicative, manual work resulting in a better work experience for NLCC staff and an expedited turnaround time for the applicant. MTX will work closely with NLCC to determine how and where automations can make the most significant impact to the Agency.

Review Processes

Within the internal Salesforce instance, NLCC staff will be able to receive, review, and approve application records. If the reviewer needs more information from the applicant, they can send an email directly from the applicant record so all the applicable communication is in one place. Based on NLCC business requirements, applications can automatically be routed to the appropriate queue of Agency staff, or to a specific employee for the review process.

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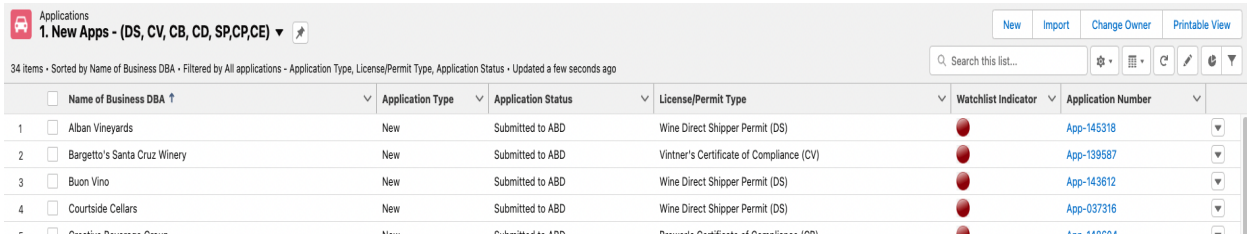
The image below shows how applications can be received into a queue and sorted by Status:



Application Queue within the Solution

The proposed solution will not only facilitate faster processing of applications, but also allows for simplified communication amongst NLCC staff and the applicant. The Salesforce platform provides the native functionalities that allows for templated email automation that can be triggered in a variety of ways, such as: a status change of the application or updating information in a specific field. These notifications require no intervention by NLCC staff.

Licensing & Permitting Processes

When the application review process has been completed and an applicant has been approved to receive their license and/or permit, the solution will be able to generate documents for NLCC to issue as the temporary or permanent license or permit. These documents will be attached to the application record for historical purposes and can be printable for the Agency to mail out as a hard copy.

Additionally, the license or permit can be made available for the applicant to download as a file from their account through the portal. Alternatively, if the application is approved but requires an inspection, the reviewer can update the status of the application to the applicable status, “In Progress - Awaiting Inspection” which can route the application to the inspection queue.

In the event that an application is denied, the solution can be configured to trigger a notification email to the applicant, configured with information the NLCC would like to provide, and sent automatically. The status change can also be tracked through the portal. If the law requires an appeal to occur within a certain time period, an alert can be created to notify legal when that time period has expired.

As part of the licensing and permitting process, letters can be generated to the applicant in addition to any electronic communication they receive from NLCC. These letters are customizable and easily edited to fit the needs of the NLCC.

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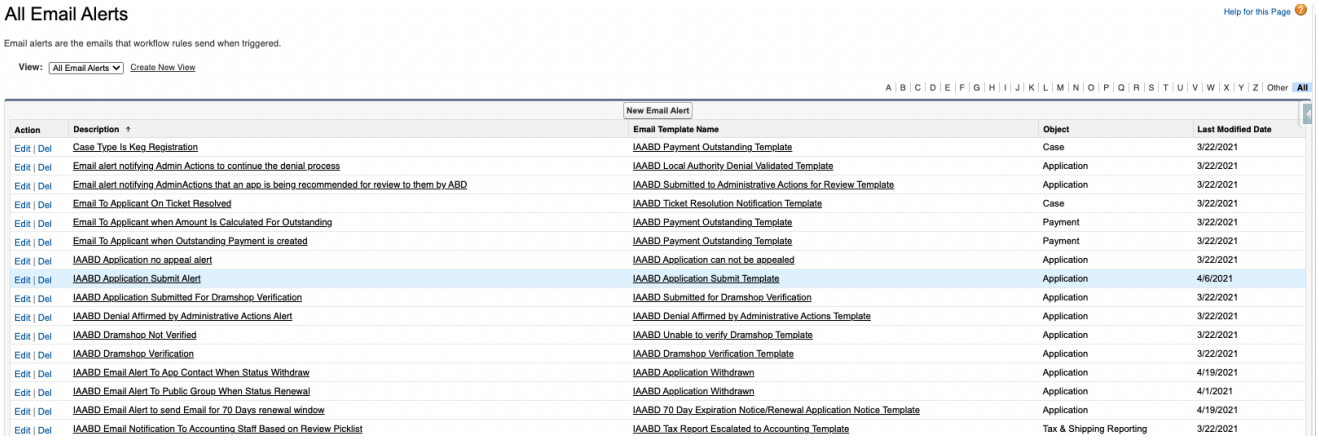
The graphic below shows an example of emails that could be triggered automatically, replacing manual processes involving contacting an applicant or licensee:



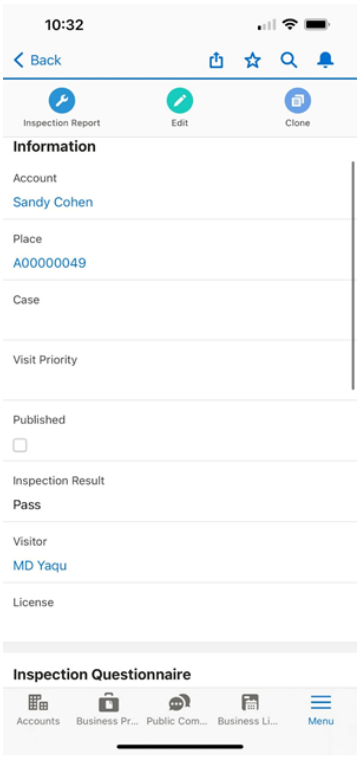
Automatic Email Generation and Distribution

Inspection Processes

Once an application is routed to the inspectors, they will have the ability to schedule the inspection. On the date of the inspection, the inspector will be able to use a responsively-designed mobile experience to perform the inspection, updating the inspection record as needed.

If the inspector is in a location where cellular service isn't available or in a building or basement that prevents the inspector from getting a network signal to their phone, offline mobile capabilities are offered through an offline-first add-on called Axsy. Once the mobile device is connected to cellular service again, any updates that were made while the inspector was offline will be updated. When that sync happens, the processes for approvals and denials will be able to proceed as expected when fully connected to cellular service.

The graphic to the right shows an example of what the mobile inspection interface could look like:



Mobile Inspection Interface

Inspectors or Supervisors can automate inspection scheduling on a regular or ad hoc basis. From a list of inspections, PSS can pre-determine the schedule and route of inspections based on business logic. NLCC can tailor business rules around how to prioritize and schedule inspections, including inspector qualifications, facility location, inspection criteria, and complaint priority. Day of scheduling changes can be accommodated. Updated inspection routes can be sent to inspectors in the field through their mobile devices.

Increased Data Quality: PSS gives NLCC control over inspections by providing a single source of truth for complaint and inspection data, increasing data quality for automated processes, reporting, and analytics. PSS holds all complaint and inspection information in a user interface that simplifies data entry and access. PSS includes automations for inspection workflows, reducing the amount of time spent scheduling, preparing for, and conducting inspections. PSS also provides a data model

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purpose-built for compliance and inspections. LPI tracks activities related to the inspection and stores relevant data including:

- Complaint that triggered the inspection
  - Priority and details on the complaint that inform what is to be inspected
- Facility being inspected
  - Data on hours of operation, address, and contact information
- Inspector conducting the inspection
  - Location (where they start their day) and their qualifications
- Inspection itself
  - When inspection took place and/or is scheduled, inspection criteria, and inspection results

Real Time Reporting and Analytics: PSS includes robust reporting functionality and allows NLCC to run reports on system data. Data can be summarized at the unit, regional, or statewide level to visualize the desired aspects of the complaint and inspection processes. Report generation also includes export capabilities in formats including .xls and .csv. Reports feed into dashboards to visualize data. Readily accessible and visualized data facilitates:

- Informed decision making
- Analysis and performance management
- Identification of training needs, best practices, and areas for improvement

Auditing Processes

NLCC staff may initiate an audit based on their existing business rules, and PSS can be customized to facilitate the needs of the Audit process. Much like the PSS solution can be configured to support multiple license or permit types, it can also be configured to support the different ways that an audit can be triggered.

An Audit record can be generated through configuration and process automation can route the Audit record to the appropriate queue or NLCC staff member to initiate the audit process. The Audit record page layout will be configured with custom fields to capture the questions that are required as part of the pre-audit meeting. These fields can be configured to be optional rather than required in the event that a pre-audit meeting does not occur in advance of the audit.

Much like the Pre-Audit fields, the page layout for the audit can be configured with custom fields to capture the information that is collected during an audit, including pre-formed questions that NLCC will typically need to have answered during the process, as well as long-form text fields so that NLCC staff can document notes. NLCC staff will also be able to attach supporting documentation to the Audit record for reference in the future.

As part of the Audit process, if an Inspection or on-site visit is required, PSS is configured with an Inspection feature that simplifies the process of setting and performing the site visit. More information about the Inspection feature can be found in **Section III: Inspection Processes** above.

Compliance Management and Enforcement Processes

NLCC can receive complaints in a number of ways (ex. phone, walk-in), but the proposed solution will allow for complaints to be submitted online via the portal.

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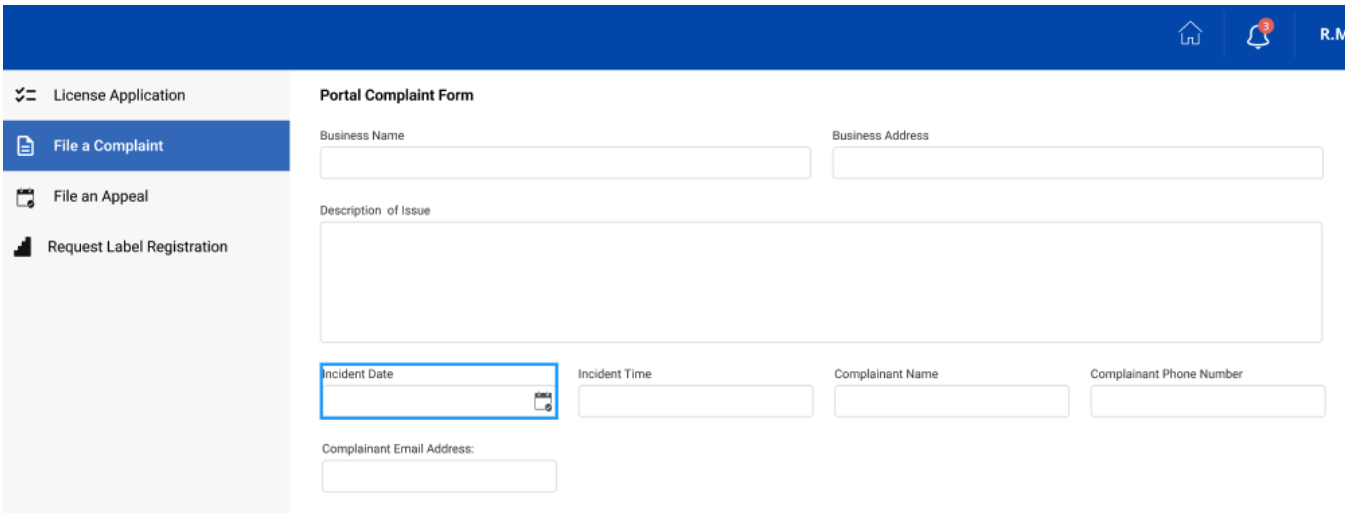
Through the portal, members of the public will be able to submit complaints about a licensee. The Complainant will be able to populate information based on the specific requirements of the NLCC, including their personal information for follow-up by NLCC and information related to the violation (such as date, location, violation type, free-form comments, etc.). The solution will also be configured to accept anonymous complaints. In addition to text fields, Complainants would also have the ability to upload supporting documentation (ex. photos).

The image below shows a mock-up of what a complaint form could look like for a member of the public submitting a complaint through the portal, which would be submitted into NLCC for investigation:



Sample Portal Complaint Form

When a complaint is submitted, it would create a record in the internal Salesforce instance for NLCC staff to review, similar to how an application is received by NLCC. Based on NLCC's business processes, complaints could be routed to specific members of Agency staff who specifically handle the investigation of a complaint.

As a complaint is moved through the review process, NLCC staff will be able to use customizations built into Salesforce to navigate the remainder of the complaint process, which can include providing approved violation information to the license holder, generating documentation to issue a citation to a license holder, and maintaining a history of violations or complaints that a licensee has had filed against them.

Hearing Processes

When a Licensee is subject to a hearing based on an audit, application review/denial, or enforcement action, the proposed solution will allow NLCC to initiate and manage the hearing process through the same platform it has used to manage the licensing process - once again, keeping all related information in one system.

Much like how PSS can be configured to maintain multiple license, permit, and inspection types, it can also be configured to support multiple hearing types.

When the NLCC Executive Director or Attorney General needs to initiate a hearing, they'll be able to submit a request from the License record which will create a case and unique case number. Utilizing a connection to NLCC's preferred email provider, the PSS solution will be able to calendar dates in order to schedule hearings and trigger email alerts to the appropriate parties advising them of the hearing date and additional information that NLCC determines to be necessary in the template.

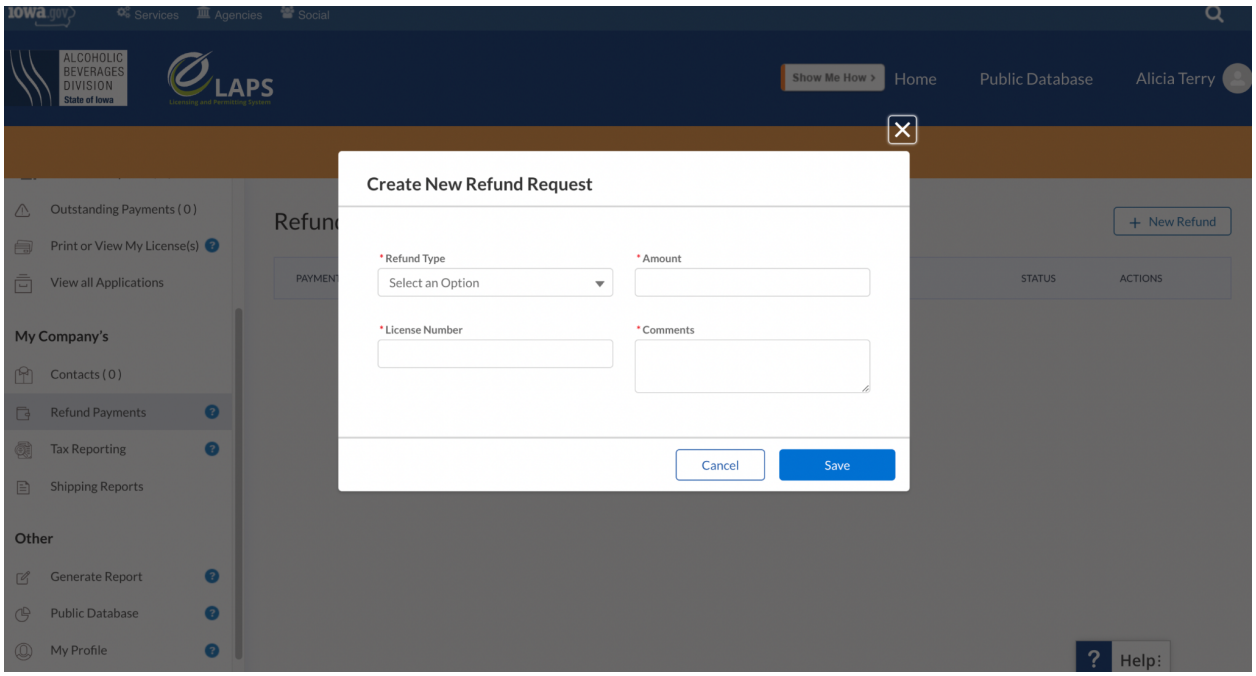
On the scheduled date, NLCC will be able to conduct the hearing, access historical information about the license (including attachments, history of violations, etc.) and be able to collect hearing information utilizing custom fields, which makes hearing information available for reporting by the NLCC and provides the ability to update license status in real time. During or after the hearing, the Hearing Officer will have the ability to attach documentation presented during the hearing, including documents and audio files.

In the event that a licensee decides to appeal the outcome of their hearing, they are able to file with the District Court for judicial review, and PSS will be configured with custom fields where NLCC staff can track the disposition of the case and override any previously captured disciplinary actions if overturned. Automated alerts can be configured to remind NLCC staff to check the court system for an appeal 28 days after the date of the NLCC hearing.

Revenue Processes

Because the Salesforce PSS platform provides flexibility to fit the needs of the customer, the Solution can be built to assess and calculate the fees that an applicant or licensee would need to remit to NLCC, including Excise Tax. This can include new or renewal application fees calculated as the applicant makes their way through the application process, as well as fees associated with violations and enforcement actions. PSS provides functionality to generate documents (receipts and invoices) for the records of both the applicant and NLCC.

The graphic below shows what a refund request screen could look like from the portal:



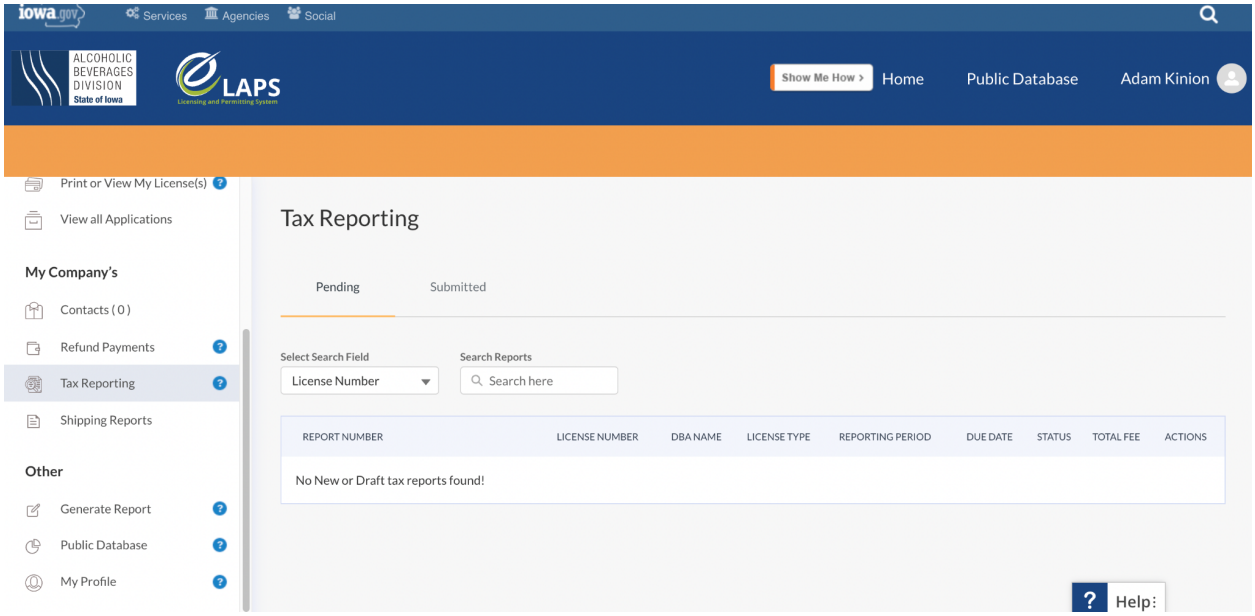
Sample Refund Request Screen

Implementing custom fields and integrations with third parties will allow NLCC to document and collect fees either strictly through the integration with the Nebraska Payment Gateway via credit card, or through manual means of physically receiving cash, check, or money order. Upon receipt of payment, the solution can be configured to generate a unique invoice number for each transaction, creating a history of payments that can be associated with a license.

Additionally, PSS can be integrated with the JD Edwards (E1) platform, allowing for reconciliation of transactions that have occurred over the course of a day.

As part of managing the customer account, PSS will be able to track a history of payments and make that information available to users who are provided the appropriate permissions in the system. This information could include payer information, payment method, date and time of payments, and other related information. This would give NLCC users a comprehensive view of financial transactions associated with licenses.

The graphic below demonstrates what the excise tax reporting screen could look like:



Sample Excise Tax Reporting Screen

Section 6.B: Unique Capabilities

MTX's proposed solution includes the following unique capabilities:

License Holder Reporting and Verification

A solution built on Salesforce can support the receipt and upload of reporting from licensees. Licensees will have access through their account on the portal to upload required reporting to the NLCC. These uploaded reports will be pulled into NLCC's Salesforce instance to make the data available and reportable to NLCC staff. MTX can assist with establishing reports that NLCC knows they will need on a regular basis, but for reports that come up as ad hoc needs, MTX's comprehensive training will provide an overview of creating reports and dashboards in Salesforce.

Mandated Training Monitoring & Tracking

MTX can establish templated communications to remind applicants of training and education that needs to be completed in order for NLCC to issue a certificate. Additionally, in the event that that NLCC would like to maintain their own repository of training and education materials for applicants and licensees to utilize, Salesforce's product offering includes Knowledge, a content management system, or an external Learning Management System (LMS) of the State's choosing would likely be able to be integrated into the

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proposed solution. Also, as previously mentioned in this document, MTX has a full service LMS solution available if the NLCC determines they want to bring that function in-house.

Alcohol Brand Registration

MTX will configure the solution in a manner that will assist NLCC with maintaining brand and label registrations. This can be configurable through applications or forms on the public-facing portal but applicable to only a certain set of licensees, allowing the agency to collect information about the brand, including receiving document uploads as necessary (ex. label mockups, scanned documents supporting the registration, etc.). MTX will leverage our license and permits solution to configure the electronic review and approval. In addition, our solution has the ability to apply a name change for the brand label simply and easily, with full traceability. For the beer brand registrations, the system can be configured to restrict the registration to the identified geographic areas where the supplier or wholesaler holds the franchise territory. If the Nebraska law changes to include liquor and wine brand registration, the solution can be easily updated to include those licensees.

Local Jurisdiction Review of Applications and Release of Renewals

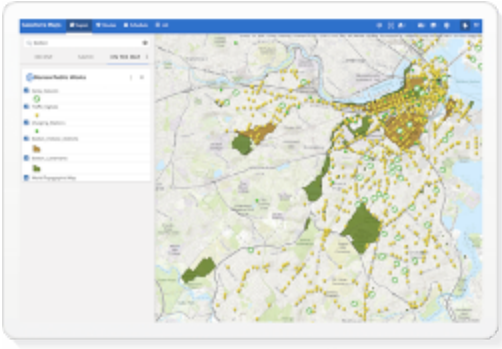
As part of the review process, access to the system can be provided to local jurisdictions to provide them access to review and approve/deny applications and renewals as they are entered into the system - this can be with an approve or deny checkbox and a text box provided if additional details are necessary. The city/county clerk would receive a notification via email that a new application is to be reviewed and routed to the appropriate clerk based on the jurisdiction of the applicant. NLCC staff will also be able to track, via a report or dashboard, the number of days the clerk's office is taking before taking action on the application, noting the 45 days allowed for the local hearing. Utilizing security controls in Salesforce, including roles and profiles, permissions for jurisdictions can be structured so that jurisdictions do not have access to information and records outside of the requirements to complete their review.

Maps Functionality

MTX will use Salesforce Maps ArcGIS Connector to integrate with NEGIS for a full mapping experience.

Visualize ArcGIS Online maps and layers, layered overtop of Salesforce data, territories, and routes, all inside Salesforce Maps. Save time and make faster, better-informed decisions by turning Salesforce into a location-enabled intelligence hub.

Salesforce Maps Connector for ArcGIS is the only ArcGIS integrated solution that has been secured, backed, and approved by Esri.



The connector allows you to:

- Access critical GIS and spatial intelligence alongside live field resource data inside Salesforce
- Visually verify existence of licensees

Esri-Authorized & Secured

Over 100,000 public sector clients trust Esri to provide GIS solutions for economic development and drive constituent engagement.

The Connector for ArcGIS is invaluable to municipalities and government agencies using Salesforce and ArcGIS, enabling NLCC to maximize return on investment from both technologies. Another benefit is reduced implementation effort and cost for the NLCC System.

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Section 6.C: Requirements Response Workbook - Functional Requirements

Please refer to Appendix A attached separately with our submission.

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Section 7 - Technical Solution

The following describe the technical capabilities and components included in this proposal:

Standard Technical Capabilities (BI/Analytics tools, Calendar, Correspondence Management, etc.)

The Salesforce Platform offers a core set of technologies that not only power the Salesforce SaaS products, but will also allow NLCC to build custom apps, connect data from any system, and manage it from anywhere. The Salesforce Platform allows customers to build apps fast (with clicks, not code), designed for desktop and mobile devices, all from a single canvas. To help IT deliver apps faster, the Salesforce Platform offers a simple yet powerful set of declarative, point-and-click tools that anyone can use to achieve business goals at lightning speed. Without writing code, developers and business users alike can quickly and easily create custom apps on the Salesforce Platform with complex business logic and beautiful user interfaces designed specific to every screen. Salesforce Lightning Builder tools will allow NLCC to work in alignment with agile development methodologies as IT meets business demands faster. The platform uses open APIs based on industry standards such as REST and SOAP to make it easy for NLCC to build apps that integrate with legacy systems. For more complex apps, developers can leverage the Apex programming language. Apex is an object-oriented, on-demand language. It is like Java, with similar syntax and notation, and is strongly-typed, compiled on demand, and fully integrated into the platform. All of the application services come right out of the box, from a powerful workflow engine to API services, integration services, authentication, event log framework, analytics, and collaboration.

Workflow and Business Rule Automation

Salesforce offers multiple out-of-the-box options to automate workflows and business processes via Salesforce's native Process Builders, Flows, and Workflows. With options for being able to build automations on the platform, there are almost limitless options when it comes to automating manual processes.

Online Portal

Salesforce's Experience Cloud (bundled in with the Public Sector Solution) provides the platform to create a public-facing portal, allowing users to create unique login credentials or use the platform anonymously to submit complaints. The portal is powered by OmniStudio, a powerful digital engagement suite that can be used to create scalable and engaging communities. More information about OmniStudio can be found in section 5.A.

GIS Mobile

The MTX solution can be integrated with the existing Nebraska GIS platform (NEGIS) to support continued use of the application in conjunction with the proposed solution.

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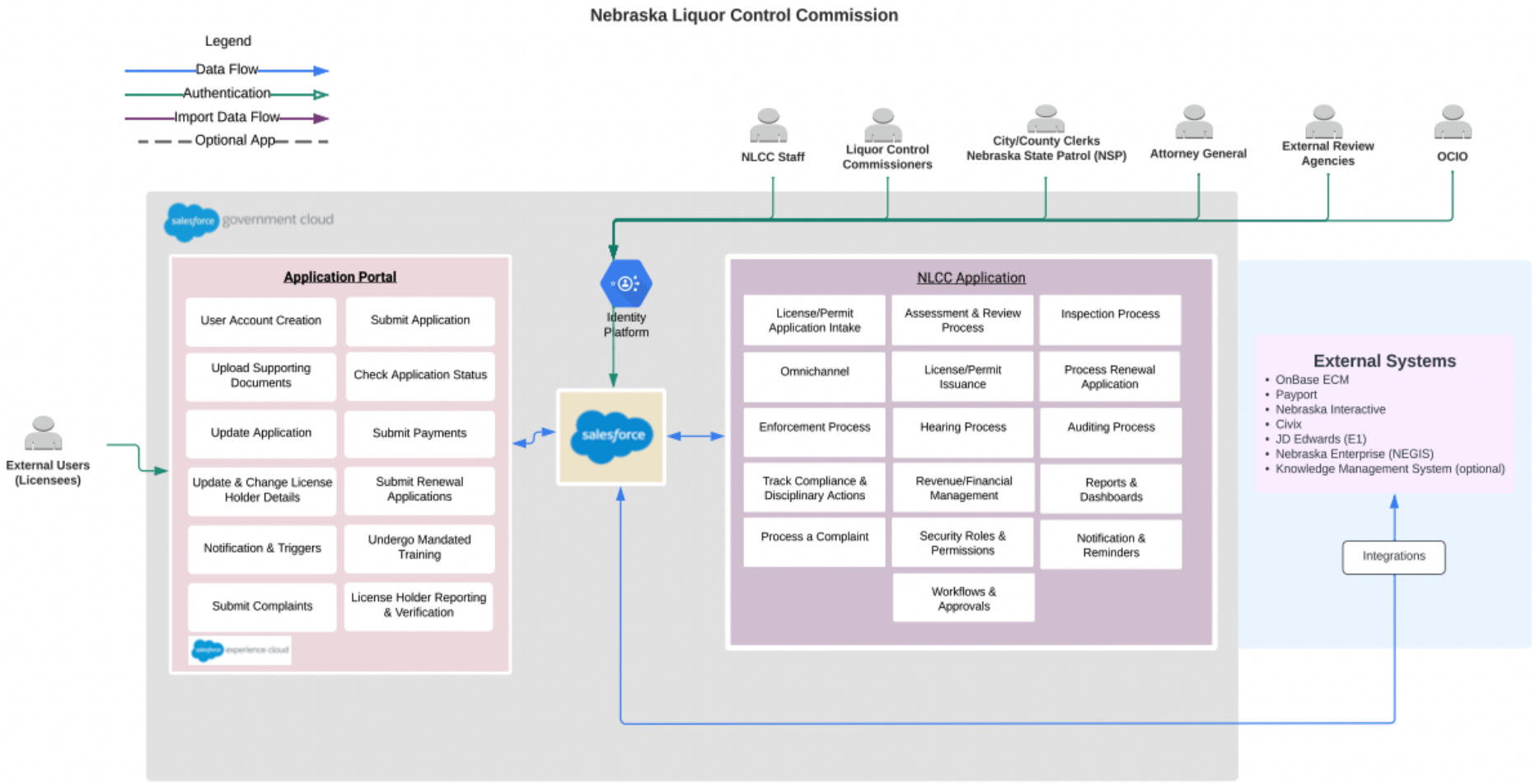
Section 7.A: Conceptual Architecture

A high-level overview of the proposed solution components is provided below.



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Section 7.B: System Architecture

Technology	Platforms (Including Version Numbers)
Server Operating Systems	NA - Salesforce is cloud-based and hosted on Salesforce's servers.
Desktop Operating Symptoms	NA - Salesforce is cloud-based and Operating System agnostic.
Databases	NA - Salesforce does not require a platform to run on. Salesforce solutions are delivered on-demand over the Internet, so you need not worry about relational database management systems (RDBMSs). The platform follows the metadata development model. The metadata means data about the data. Salesforce stores the metadata in the shared database along with the data.
Web Browsers	NA - Salesforce is cloud-based and browser agnostic.
Reporting	Reporting features are out-of-the-box functionality on the Salesforce platform.
Mobile Devices	Salesforce is responsively built to function on desktop, laptop, tablets, and mobile devices.
Mobile Operating Systems	NA - Salesforce is cloud-based and Mobile Operating System agnostic.

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Section 7.C: Security

Security Architecture

The MTX security strategy emphasizes understanding the attack surface and attack vectors, building a plan to prevent unauthorized access, then leveraging platform security features and secure development processes to limit risk. Applications are built with role-based access security around the principles of least access and using the best practices for the platform to ensure permissions and data access are correct. During application development, MTX uses leading edge tools and best practices to ensure a secure and performant solution. MTX leverages the NIST 800-53 framework controls in our development and follows the SOC2 standards in our processes. As part of application releases, MTX performs rigorous security testing; both backend testing, as well as security scans and penetration testing from the system user access perspective. MTX also leverages regular performance and load testing of the application to ensure system stability and adherence to the defined security posture. In production environments or where production data is present, only MTX employees who require access to actively work have access to customer data.

The multi-tenant architecture and secure logical controls address separation of customer data. There are no dedicated servers used for individual customers. The Salesforce platform infrastructure is divided into a modular architecture based on “Instance”. Each Instance is capable of supporting several thousand customers in a secure and efficient manner. Services are grouped within each Instance; with app, search, and database elements contained. There are appropriate controls in place to ensure that any given customer’s org is not compromised. The service has been designed to accomplish this and is robustly tested on an ongoing basis,

Security Level Management

To keep data private and secure, MTX logically isolates each customer’s data from that of other customers and users. Only a small group of MTX team members have access to customer data. For MTX team members, access rights and levels are based on their job function and role, using the concepts of least-privilege and need-to-know to match access privileges to defined responsibilities. MTX team members are only granted a limited set of default permissions to access company resources, such as employee email and MTX’s internal employee portal. Requests for additional access follow a formal process that involves a request and an approval from a data or system owner, manager, or other executives. Approvals are managed by our workflow tool as MTX Intake Requests. It maintains audit records of all changes and submissions of requests by users. MTX team member access is monitored and audited by our dedicated security, privacy, and internal audit teams.

MTX assigns its business information and data according to the following data classification levels in increasing level of security required: Public, Internal, Confidential, Restricted, and Mission-Critical. All system data is assigned a data classification and controls placed upon the data including limiting visibility or editability of the data, as well as encryption and masking as required.

Classification Level	Description
Public	Completely open for the public to view, but not altered.
	Publicly hosted information must be protected from any unauthorized modifications
Internal	Internal data that is appropriate for viewing and use by all MTX team members (incl. sub-contractors)

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Classification Level	Description
	Internal data is not meant for public view
	Internal data may be restricted by law, regulations or MSA and can be shared with customers with contractual arrangements.
Confidential	Confidential data is meant to be used by a defined subset of MTX team members based on job profiles and specific requirements
	Access to confidential data should be defined based on roles and requirements and access revoked once data access is not required anymore
	Confidential data may be restricted by law, regulations or MSA and can be shared with customers with contractual arrangements.
Restricted	Restricted data is meant to be used by a very small, defined subset of MTX team members based on job profiles and specific requirements
	All systems hosting Restricted Data should have regular security reviews and access should be provided after Director or above signoff
	Restricted data may be restricted by law, regulations or MSA and can be shared with customers with contractual arrangements.
Mission Critical	Mission-Critical data is critical to the continued business processes of MTX and the company's survivability
	This data is meant to be used by a very small, defined subset of MTX team members
	All systems hosting Mission Critical Data should have regular security reviews and access should be provided after VP or above signoff
	Mission Critical data may be restricted by law, regulations or MSA and can be shared with customers with contractual arrangements.

Security Procedures and Protocols

In the event of a security incident, MTX emphasizes rapid response and thorough evaluation in order to determine the impact. All incidents follow our defined SLAs for reporting to the Agency. MTX uses platform auditing and logging to ensure a thorough and accurate timeline of the incident and the exposure. Based on the analysis, MTX provides regular updates and, upon the completed review, partners with the Agency to determine the best approach forward.

Incident Management processes are also one of the control objectives in Salesforce's SOC 1 (SSAE 16) and SOC 2 Type II audit. Operational effectiveness and adherence to these controls are independently assessed bi-annually by Salesforce's independent external auditor. Salesforce's incident response plan/process was created in accordance with FedRAMP moderate control requirements which include incident response requirements derived from NIST SP 800-53, NIST SP 800-61, and the FedRAMP Incident Communications Procedure.

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Section 7.D: Integration

For MTX, connecting the Salesforce platform to an existing enterprise application is a common and frequently performed task. Integration options range from native Web Services support (e.g., APIs, outbound workflow, etc.) to import/export utilities to middleware integration via packaged connectors to toolkits for Java, .NET, and other open platforms. Our solution provides the ability to call out to virtually all common APIs, enable synchronization, push/pull, and mash-ups with external apps/systems. Salesforce itself is based on Web Service-based APIs that in turn simplify access to Salesforce data from external systems. API-based integration is heavily leveraged by our customers. MTX has configured similar integrations for projects in both Iowa and Kentucky. We have provided additional details below on specific integrations related to Nebraska's CAMP initiative.

Mandatory Interfaces

OnBase ECM

MTX has experience in building integrations between Salesforce applications and ECM like Documentum, SharePoint, BOX, S3, etc. MTX will build the real API which will be invoked whenever a document is uploaded into a licensing portal by users. The document will be converted into binary format during the transit and inserted into the Onbase ECM system in original format. Assuming the Onbase will provide the path to the file uploaded as a response back to the API call which will be inserted into Salesforce for future reference. MTX also builds a second API which will be invoked when a user clicks on the link in Salesforce to retrieve the document from OnBase ECM and display.

NEGIS (Esri)

MTX has experience in providing geo-based location APIs which are used during validations; MTX builds a real time API which is consumed during the application process which integrates with NEGIS. The API retrieves the address and property information from the GIS system and provides the ability to view the location on the map.

JD Edwards (E1)

MTX has experience in handling batch applications which process several payment invoice interfaces. The MTX team will create two batch jobs. The first job is scheduled to run every night to retrieve all the delta GL accounts created or updated during the previous day and post to the E1 system. The second job which runs every quarter is to post a summary of all the payments during each quarter to GL accounts for reconciliation.

PayPort

MTX has experience in integrations with payment sources like paysource, banks, custom customer payment systems. MTX will build a real time API to accept the data entered by the user, upon submission of the payment screen, the payload data is encrypted using PGP encryption (assuming PayPort has the ability to decrypt the message using PGP keys) due to PII information. The data is transferred in a secure manner to PayPort. The response to the API is displayed back to the user and updated in the licensing portal. MTX will consider PII information and maintain the compliances required by PII.

Nebraska Interactive

MTX has wide experience in doing integration between different systems. MTX will build the real time API as per the requirements and build integration between Nebraska Interactive and NLCC public facing website and portals.

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Civix – Secretary of State Repository of Active Corporate Licenses

MTX will build a real time API which is invoked during the applications creation. The API will call the Civix system with the license number and retrieve the respective information to validate the active license status during the application process. MTX has experience in building similar integration to retrieve the status of facility IDs.

Future Knowledge Management System (Optional)

MTX has wide experience in integrating with a wide variety of third-party and legacy systems. MTX builds real API or batch interfaces based on the capabilities of the system selected for NLCC to manage training. Assuming the integration needs integration with ECM to store and retrieve the training materials as well as integration with other systems during the implementation.

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Section 7.E: Data Conversion and Migration

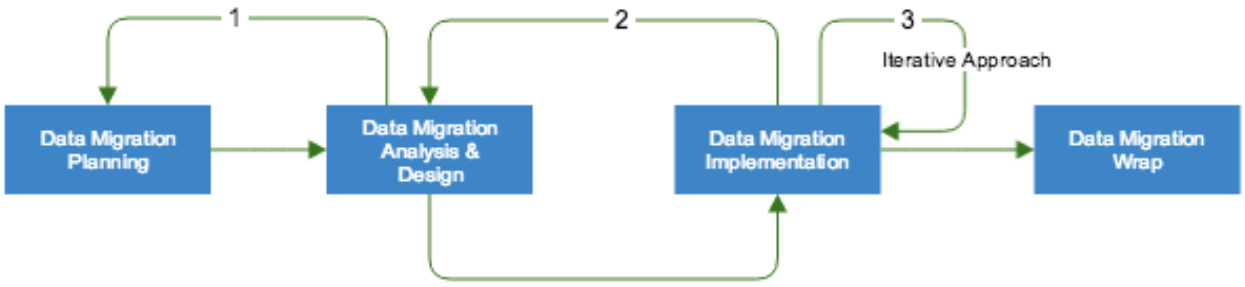
1. Description of the methodology to be used in developing migration specifications and the identification of any potential issues

MTX's data conversion and migration methodology is focused on minimizing risks associated with large data conversions by utilizing years' of experience migrating public sector customers from legacy systems to Salesforce. For every licensing implementation MTX has performed, there has been a data migration requirement. Through our experience we have found the following key features and benefits to NLCC:

MTX Data Conversion Features	MTX Approach Benefits to NLCC
Accurate, complete, and easy-to maintain data mapping confirming quality conversion results.	Data Mapping best practices and tools with clear to read and understand reports.
Tried and true conversion concepts and assets.	Reduces development timeline through reuse of assets like mapping document, play book, etc.
Constant central tracking mechanism of conversion progress.	Improve stakeholders' understanding of the required actions to manage the conversion plan.
Iterative development, testing, and implementation approach.	Continual improvement of data quality and reduction in manual data entry with each cycle.
Staff with proven conversion expertise and relevant implementation experience for program monitoring solutions.	Uses State staff time more efficiently and simplifies conversion for NLCC stakeholders.

The graphic below illustrates our iterative approach to data conversion and migration which includes:

1. Data Migration Planning
2. Data Migration Analysis and Design
3. Data Migration Implementation
4. Data Migration Wrap



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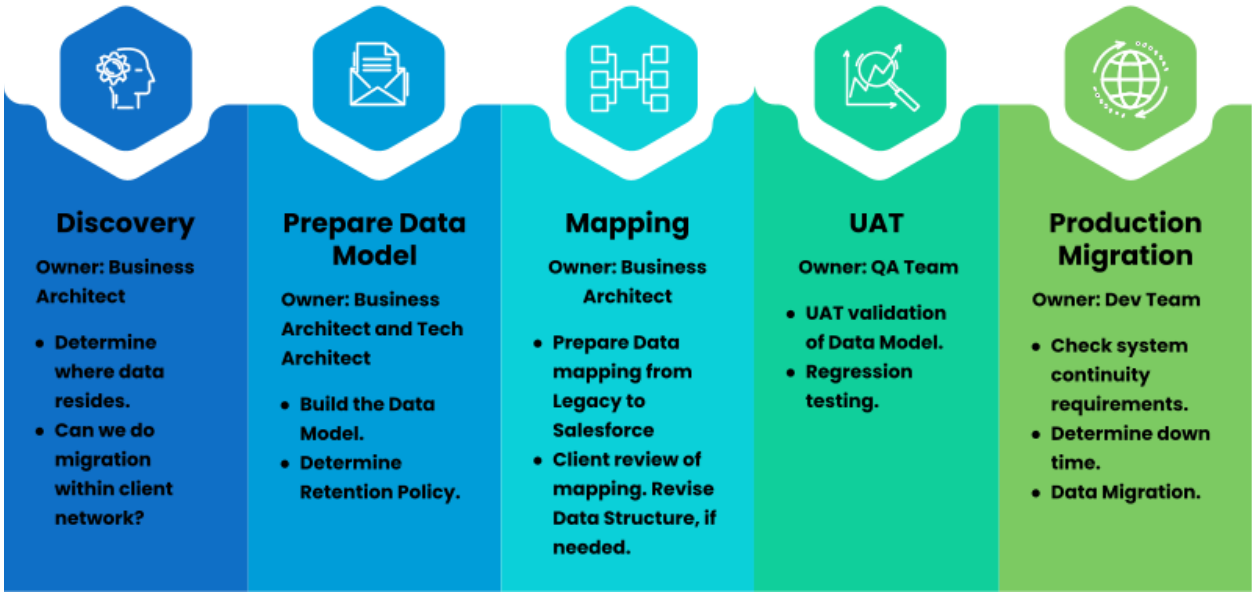
The graphic below illustrates activities to be performed during this methodology:



Data Migration Planning

MTX will begin the process by understanding NLCC's objectives and scope of the data migration. From the RFP it is understood that "NLCC intends to convert only active license information maintained in C1 today in DB2." MTX will hold a kickoff meeting where we will review this scope, understand the rationale behind this decision, discuss the databases in scope and any challenges accessing and migrating the data, and begin a candid discussion on data quality.

During this phase we will be preparing the Data Conversion Plan which will document the list of tables to be migrated and their functional details and criteria, the methodology and approach in specific detail, the timeline of activities, the tools and technology that will be utilized, and the cutover plan. This plan will also identify initial risks and issues discovered during the planning phase. Requirement gathering, analysis, and solution design for the licensing and enforcement system functionality will be done in parallel to this phase and the data migration team will be linked to ensure that the legacy data is taken into consideration for the future state design

The following is a detailed schedule of activities that would occur as well as expected involvement from NLCC:

High Level Activity	Detail Activity	NLCC Business Users	NLCC IT Users	MTX Data Migration Team
Plan Data Migration Project	Identify Risks, Constraints, Dependencies and Assumptions	X	X	X
	Risk Mitigation Plan	X	X	X
	Identify Critical Success Factors	X	X	X
Data Extracts	Provide Data Extracts		X	

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High Level Activity	Detail Activity	NLCC Business Users	NLCC IT Users	MTX Data Migration Team
Data Migration Requirements	Define Requirements and Expectations	X	X	X
Asses Environments	Define Data Security and Privacy Requirements	X	X	X
	Collect Existing Data Related Artifacts		X	X
Develop Migration Plan	Determine Conversion Plan		X	X
	Determine Migration Test Plan	X	X	X
Roles and Responsibilities	Define Migration Roles and Responsibilities	X	X	X

Data Migration Analysis and Design

Once the initial Data Conversion Plan is reviewed and approved by NLCC, MTX will begin data analysis and design activities. After understanding the functional use cases for the legacy data, MTX will begin creating a Mapping and Transformation Document that details the legacy system's tables and columns and the Salesforce objects and fields. MTX will require access to either an export of the database or the database directly to undertake these activities, and will be collaborating with NLCC staff to understand the business and technical use cases for the data. MTX will also outline the mapping and transformation logic necessary for the conversion.

MTX recommends a three party approval approach to data mapping and transformation. Each mapping should have approval from the MTX technical team, an NLCC business user, and an NLCC technical user. This ensures that all considerations are accounted for. Key considerations include: is the object and field in the future system equivalent from a business perspective of the legacy system, is the mapping and logic technically feasible, and are there any technical or business considerations to making the migration?

The most common issue for data migrations is data quality and cleanliness. During this phase MTX will identify cleanliness issues that would impact the migration and will provide these to NLCC. MTX cannot clean the data for NLCC, and will have candid conversations about the impact of the unclean data on the future system. Unclean license data often affects active licensees by misrepresenting them in the future state, not having essential information such as email addresses or personal information, or duplicate data that makes it unclear which is true the licensee record. MTX will identify these issues in a timely manner and will expect NLCC to make the necessary changes to the data for a successful migration.

During analysis MTX may identify changes that need to be incorporated back into the Data Conversion Plan. When analyzing and migrating live data, MTX establishes a cutoff date and migrates data from that cutoff date and earlier. The cutover plan section of the Data Conversion Plan will detail how data after the cutoff date is migrated. Similar customers typically put a freeze on their legacy environment 3-5 days prior to the future state "Go-Live" which gives the data migration team enough time to export the post cutoff date data into the environment and validation for the "Go-Live". MTX typically reviews the legacy system for any data created or modified since the cutoff date and then exports that subset of the data and then updates and inserts into the larger data set.

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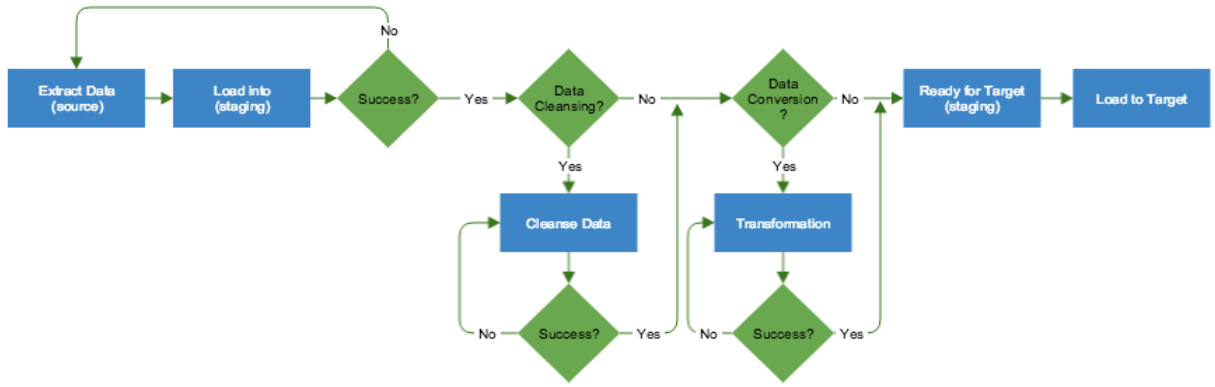
The following is a detailed schedule of activities that would occur as well as expected involvement from NLCC:

High Level Activity	Detail Activity	NLCC Business Users	NLCC IT Users	MTX Data Migration Team
Data Migration Analysis	Data Profiling	X	X	X
	Evaluate Data Quality	X	X	X
Data Migration Environments	Design Staging Area		X	X
Data Migration Procedures	Design Data Staging Procedures		X	X
	Design Data Cleansing Procedures	X	X	X
	Design Data Conversion Procedures	X	X	X
	Design Target Data Migration Procedures		X	X
	Design Data Validation Procedures	X	X	X
	Refine Data Migration Test Plan	X	X	X

Data Migration Implementation

The graphic below illustrates the data migration and conversion process during the Data Migration Implementation phase:



The data is extracted from the source and into a staging environment. If data quality issues were discovered, then those activities may need to occur within the staging environment or in the source system prior to the extraction. After the quality is ensured, data transformation activities would occur if required. Tests will be performed to ensure the transformation was successful, and after those tests pass there would be a final review to ensure that the data is ready for the target environment.

MTX will first migrate and validate a subset of the data into the data migration sandbox to test the mapping, transformation, and migration methodologies and ensure the migration is 100% accurate. This will be called the trial migration. MTX will then migrate the entire pre-cutoff data dataset into a data migration sandbox which will allow NLCC to validate the data with future state functionality. MTX generally recommends a validation of 5-10% of the data by the customer to ensure the data migration was

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successful. This validation would be performed by both business and technical users. MTX would recommend that the main identifying details such as licensee's point of contact information be validated at a higher percentage to ensure the cutover to the system is successful. Incorrect identifying information such as name and email address can hinder licensee's adoption of the new system. MTX will provide a data validation worksheet which allows NLCC to easily review and validate the data in the data migration sandbox and indicate their completion of a given record.

MTX will ensure the migration process closely resembles the production data migration process to minimize risks with the "Go-Live". After the completion of data migration validation by NLCC, MTX will migrate the pre-cutoff date data into the Production environment. Once the legacy system is turned off, MTX will do a final import of the post cutoff data and the system will be ready to "Go-Live".

The following is a detailed schedule of activities that would occur as well as expected involvement from NLCC:

High Level Activity	Detail Activity	NLCC Business Users	NLCC IT Users	MTX Data Migration Team
Develop Data Migration Procedures	Develop and Test Data Migration Procedures			X
	Develop and Test Validation Procedures			X
	Develop and Test Cleansing Procedures			X
	Develop and Test Data Conversion/Transformation procedures			X
Stage Data	Create Staging Area			X
	Populate Staging Area			X
	Validate Staging Data		X	X
Cleanse Data	Cleanse Data according to Plan	X	X	X
	Validate Cleansed Data	X	X	X
Transformation	Conversion/Transformation of Data			X
	Validate Converted/Transformed Data	X	X	X
Migrate Data	Perform Trial Migration (subset data)			X
	Validate Results of Trial Migration	X	X	X
	Repeat above Tasks until Issues Resolved			X
	Migrate to Salesforce Data Migration Org			X
	Validate Data Migration Org Data	X	X	X
	Get Production Approval	X	X	X
	Deploy to Production Org	X	X	X
	Validate Production Data	X	X	X
	Document Lesson Learned	X	X	X

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Data Migration Wrap

Once the system goes live the Data Migration Team will be available if any issues are reported that relate to the data migration. If an issue arises, the team will triage it to determine the source of the issue and correct the data in question as well as any other issues that may have occurred due to the root problem. MTX will keep the data environments ready and can adjust mappings and re-upload data if necessary to make corrections.

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

Based on the RFP documentation, we applaud the NLCC for thoroughly preparing for this project by providing transaction inventories, level 2 and 3 process maps, a consolidated inventory of reports, an inventory of interfaces needed for business operations with the new system, and an initial assessment of legacy data sources.

MTX also believes that the current NLCC data quality assessment activities prior to the start of the project will help mitigate the data migration workstream risks.

The MTX proposed data migration plan will also help mitigate the following risks:

Data Migration Risks	MTX Data Migration Plan Risk Mitigation Approach
Data migration activities will require time intensive analysis, ETL conversions, and mock migration validation cycles.	MTX starts the data migration activity early in the project lifecycle. Initial activities focus on legacy data assessments and overall data migration planning. We will need to work with NLCC data owners during this period on a regular basis to get the data migration requirements right. To deliver an accurate and timely data migration, MTX strives to run three mock conversions. Two prior to the User Acceptance Testing (UAT) activity and the third mock conversion with the UAT Release Deployment. Completion of mock conversion activities and joint validation of results are critical success factors for an eventual successful production data migration cutover. MTX and NLCC will work together to conduct extensive data migration mock validation at both the summary row count and record sample levels to ensure a successful data migration.
Extracting source data from legacy systems requires specialized resources.	MTX understands the legacy NLCC system is a mainframe. MTX data migration approach assumes that NLCC will provide legacy data extract in mutually agreed SQL or CSV formats. It is important to the overall project schedule to get the source data extracts as soon as possible. This allows MTX to begin profiling and understanding the data which will result in more time to map existing data structures to the new NLCC Salesforce Data Model. Early analysis of existing data models will also help MTX identify mapping and data quality concerns earlier; giving more time for NLCC subject matter experts to resolve such risks prior to these risks escalating to project schedule and quality issues.
Historical data structures have likely evolved over the years	The existing system has been in production for decades. It is likely new fields and new transaction types have been added to the system, and many fields and transaction types have been retired over the years. MTX and

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Data Migration Risks	MTX Data Migration Plan Risk Mitigation Approach
	NLCC will need to work together to determine completeness and the amount of legacy data transactions to be migrated to the new system. It is likely that NLCC will only prioritize a subset of data to be migrated. It will be important that NLCC determine the subset of data to be migrated to 1) meet business continuity requirements and 2) meet state and federal regulatory requirements during the data migration planning activities.
An understanding of Data Quality and prioritization of Data Quality Enhancement are needed early in the implementation cycle.	As inferred above, understanding data quality issues in source data and then prioritizing data quality remediation strategy is critical to success. After review of the data, MTX will help identify data quality issues that can be addressed with automated conversion programs. MTX will also recommend data quality issues that should be remediated at the source system prior to production data migration. In making our recommendations, we will attempt to identify data quality remediation efforts that will have significant impacts on NLCC business priorities and larger record sets. We will also provide insights into ad-hoc data quality issues that are less frequently observed and thus, may be lower on the priority list for remediation.

3. Technology and tools to be used.

Salesforce offers additional data loading tools with enhanced capabilities, such as large uploads of data, mass updates, mass deletes, and exports for any object (e.g., Accounts, Cases, user created records):

- **Easy-to-Use Wizard** - A simple, wizard-based interface guides users through selecting data sources, mapping fields, and viewing errors. The included drag-and-drop mapping editor makes associating external fields with existing data types simple and error free.
- **Reusable Maps** - Save mapping files so you can easily load files from multiple data sources. By reusing existing maps, common imports can be easily repeated without remapping.
- **Large File Support** - Salesforce supports very large datasets containing millions of rows, allowing for massive data loads and migration of information from existing systems.
- **Extraction Capabilities** - Salesforce-based information can be bulk extracted into CSV text files for use in other systems.
- **Command Line Interface** - In addition to the wizard, the data loader can be controlled via the command line, allowing imports and exports to be scheduled and repeated on an automated basis.

MTX will often leverage a combination of Pentaho and an AWS SQL server for more complex activities. At a high level, MTX will evaluate each dataset that is part of the new solution. Then, MTX will do a data dump of unscrambled data and load it into the AWS SQL Server. MTX will then perform data analysis and create a design mapping document from source to target. MTX then will define transformation rules in conjunction with the client and development team. Once the data is in the AWS SQL Server MTX will begin to create the SQL scripts based on the transformation rules. The last step is to create data loading scripts to load the data into the new application.

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4. Roles and responsibilities of Bidder vs. NLCC

MTX Resources

Roles	Responsibilities
Data Architect	Provide a holistic view of the data from the legacy system to the future state. Inform future state design decisions based on the legacy system and ensure the future state can successfully encompass the migrated data. Lead the data migration and perform fixes to correct improperly converted files or tables, translation or load errors for interfaces, and correct update errors from application configuration or parameter table settings that are not consistent with the intended design.
Technical Architect	Participates in data migration activities as a lead from the technical team. Provides support where needed.
Business Architect	Participates in data migration activities as a lead from the functional team. Provides support where needed.

NLCC Resources

Roles	Responsibilities
NLCC Project Manager	Coordinate NLCC data migration activities, deliverables, and staff resources. Ensure NLCC is on track with their assigned workload for the data migration.
NLCC IT Users	Responsible for understanding the legacy system, providing MTX access to the legacy system, answering technical questions about the legacy system, and assisting where needed with data migration activities. Reviews and sign-offs on mapping and transformation, and performs validation of the data in the future system. Responsible for working with the business to ensure the data is clean.
NLCC Business Users	Responsible for providing business background on the data within the system, answering business questions about the legacy system, and assisting where needed with data migration activities. Reviews and sign-offs on mapping and transformation, and performs validation of the data in the future system.

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

As detailed in the methodology above, the MTX team works iteratively with NLCC and the data provided to ensure a successful data migration. As the future state is built and the data is reviewed for mapping and transformation, MTX finds that questions always arise that require us to reassess the data migration plan or approach. As the data is validated, it may expose issues with the mapping or transformations. MTX will always iterate to ensure the validation is successful.

The first mock run of the data migration will be the trial migration. The second mock run of the data migration will be the migration of the pre-cutoff data into the data migration org. Both mock runs will have sufficient time to validate the data, resolve any issues, and re-migrate the data into the org.

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

MTX expects NLCC to identify business and technical users who will assist and validate the migration. NLCC staff should be available for the validation and testing activities during the trial migration and the pre-cutoff date data migration. Staff will be expected to validate all of the trial migration data and 5-10% of the pre-cutoff date data migration. MTX will set up working sessions as needed to assist with this. MTX typically recommends a regular meeting to answer questions and triage any issues reported. MTX can also provide more hands-on working sessions which can take the form of office hours or demonstrations on how to validate and test the migration. MTX will also expect NLCC staff to perform validation and testing of the data in the production environment.

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

MTX has identified a senior architect who will play the role of data architect on this project who has experience in planning, designing, implementing, and successfully migrating data from the legacy mainframe sources to Salesforce. This resource was instrumental in a major data migration project involving source data from over 200 legacy databases consisting of over 27,000 data elements for a major Public Sector agency. We have experience in collaborating with the client's M&O legacy mainframe SME to take the overall inventory of the data elements and then identifying the System of Record (SOR) for data migration. We focus on the necessary and sufficient data elements from the legacy system database to the target application database, in order to meet the target system's use case requirements.

As a subset for the detailed data migration approach and process, here are the key steps involved in such legacy data migration:

1. Review and prepare the list of the process areas
2. Review and prepare inventory of the participating legacy databases
3. Review and prepare inventory of Data Elements from all such legacy source databases
4. Collaborate with the client's Legacy SME to identify the System of Record (SOR) Data Elements
5. Collaborate with the target application database team on mapping from source to target
6. Plan the number of iterations, resources, schedule for carrying out the overall data migration for each of the main business process
7. Lead creation of the overall strategy for Data Migration, Data Quality, Data Validation, and technical architecture, processes, test cases, communication plan and collaborate with the user team for finalizing acceptance criteria
8. As the delivery owner, identify, build, and maintain the team composition of data consultants, testers, and SME to meet the data migration targets through ETL based or scripts based migration.
9. Oversee the overall data migration through successful acceptance.

Section 7.F: Reporting

1. Design approach and methodology for reporting and analysis

The Salesforce platform offers a powerful suite of analytics and reporting tools to help you view and analyze your data. Salesforce analytics consists of several integrated parts:

Report Types: A report type defines the set of records and fields available to a report based on the relationships between a primary object and its related objects. Reports display only records that meet the criteria defined in the report type. Salesforce provides a set of pre-defined standard report types; administrators can create custom report types as well. An administrator can also show records that may have related records - for example, applications with or without resumes. In this case, all applications, whether or not they have resumes, are available to reports using that type.

Report Formats: Salesforce reports can use the tabular, summary, matrix, or joined format:

- *Tabular Reports* are the simplest and fastest way to look at data. Similar to a spreadsheet, they consist simply of an ordered set of fields in columns, with each matching record listed in a row.
- *Summary Reports* are similar to tabular reports, but also allow users to group rows of data, view subtotals, and create charts. They can be used as the source report for dashboard components.
- *Matrix Reports* are similar to summary reports but allow users to group and summarize data by both rows and columns. This type of report can be used for comparing related totals, especially if there are large amounts of data to summarize and users need to compare values in several different fields, or users want to look at data by date and by type, person, or geography.
- *Joined Reports* let users create multiple report blocks that provide different views of the data. Each block acts like a “sub-report,” with its own fields, columns, sorting, and filtering. A joined report can even contain data from different report types.

Reports: A report returns a set of records that meets certain criteria, and displays it in organized rows and columns. Report data can be filtered, grouped, and displayed graphically as a chart. Reports are stored in folders, which control who has access. Salesforce offers a wide range of standard reports, accessible in the standard reports folders on the Reports tab. All our standard reports are "templates" so they can be used as report starting points from which users can alter fields, criteria, etc. and use the "Save As" function to easily capture a version more specific to their unique needs. Users can also create new custom reports to access exactly the information they need. Subtotal and limit data to help users analyze trends.

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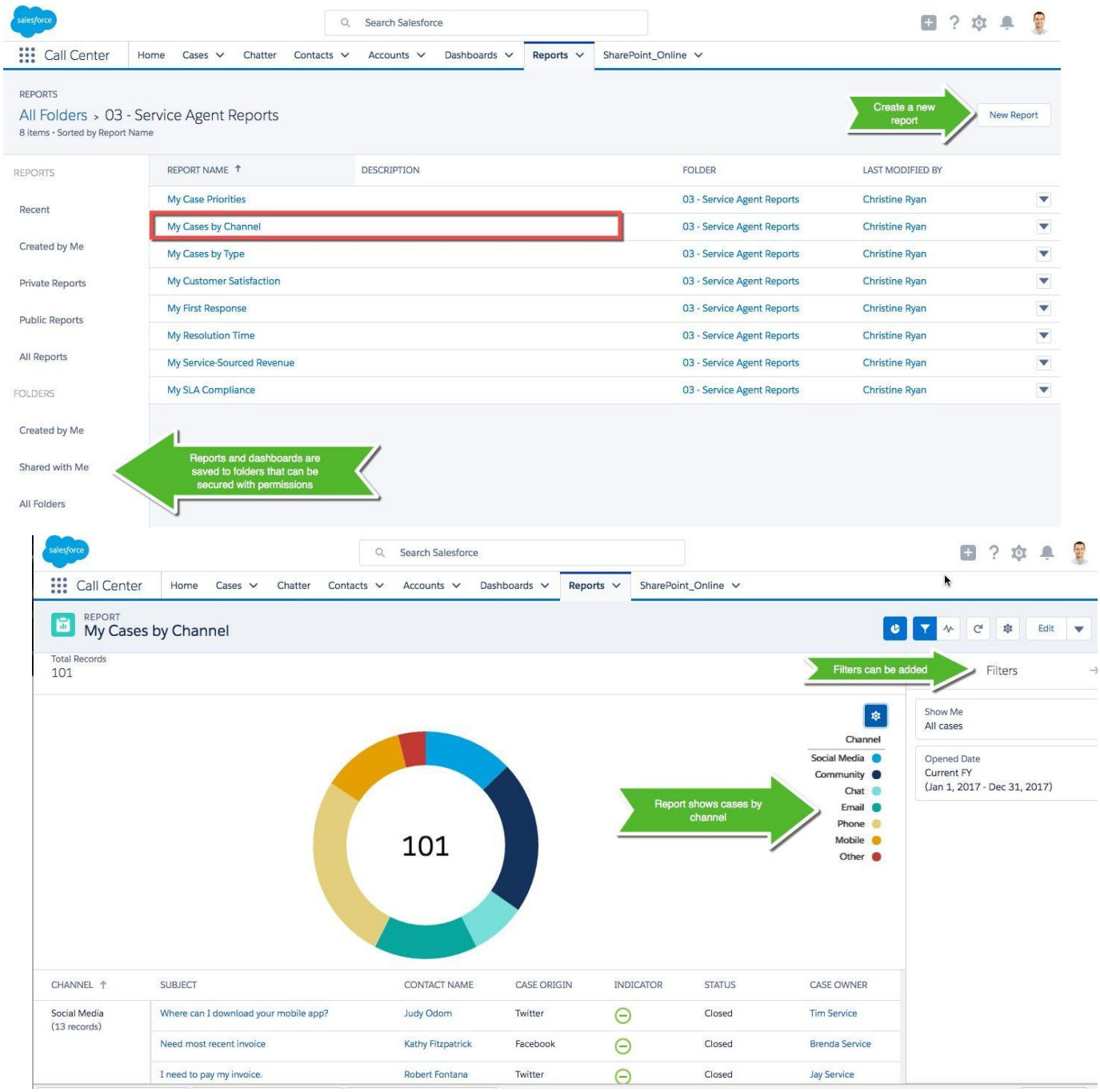

Example Salesforce Report for YTD Service Cases

Dashboards

A dashboard shows data from source reports as visual components, which can be charts, gauges, tables, metrics, or custom Visualforce pages. They provide a snapshot of key metrics and performance indicators for NLCC. Each dashboard can have up to 20 components. Administrators control access to dashboards by storing them in folders with certain visibility settings. Dashboard folders can be public, hidden, or restricted to groups, roles, or territories. If you have access to a folder, you can view its dashboards. To

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view a dashboard component, users need access to the folder for the underlying source report. Each dashboard has a running user, whose security settings determine which data to display in a dashboard.

Other important points about dashboards:

- Dashboard components aren't simply nice-looking, static pictures. They're live, actionable objects. You can click on a dashboard component to drill down to the underlying report that generated it, and click on any item in that report to drill down to the source data. So you can quickly understand the reasons behind the results.
- Dashboards are full participants in Salesforce's platform. For example, a manager could post a dashboard snapshot to their Chatter feed to share it with their "followers", or to a specific Chatter group, along with comments, so that they can find answers, congratulate team members, or issue calls to action. And both dashboards and Chatter are available on mobile devices, as well as PCs.
- Salesforce Reports and Dashboards allows users to configure reports in the Lightning Report Builder and add to a new and/or existing dashboard with the click of one button. Dashboard settings for reports can be maintained from the chart settings of a report.

Analytic Snapshots

An analytic snapshot lets you report on historical data. Authorized users can save tabular or summary report results as snapshots on a schedule. Analytic snapshots let you work with report data similarly to how you work with other records in Salesforce.com. For example, a customer support manager could set up an analytic snapshot that reports on the open cases assigned to his or her team every day at 5:00 PM, and store that data in a custom object to build a history on open cases from which he or she could spot trends via reports. Then the customer support manager could report on point-in-time or trend data stored in the custom object and use the report as a source for a dashboard component.

Tableau CRM (OPTIONAL ADD-ON)

Tableau CRM is an optional solution available that provides reports and dashboards capability across the entire solution. Tableau CRM is a cloud-based platform designed for the business user to get answers to questions instantly through powerful, interactive visualizations of any data, on any device with the power of built in Artificial Intelligence.

Tableau CRM is an analytics system - designed to analyze data not just from within Salesforce, but from across different sources. More importantly, it is designed to engage users every day by embedding analytics in business processes — a native tab in the business system and on the home page, or an interactive component on your account page or object page.

It extends beyond standard Reports and Dashboards providing new views into end-to-end licensing insight, and historical analytics to help NLCC plan your next best step. It can help identify trends and make discoveries you weren't specifically pursuing, making it a much stronger choice for data-driven decision-making. Tableau CRM also provides a number of prebuilt (yet configurable) dashboards.

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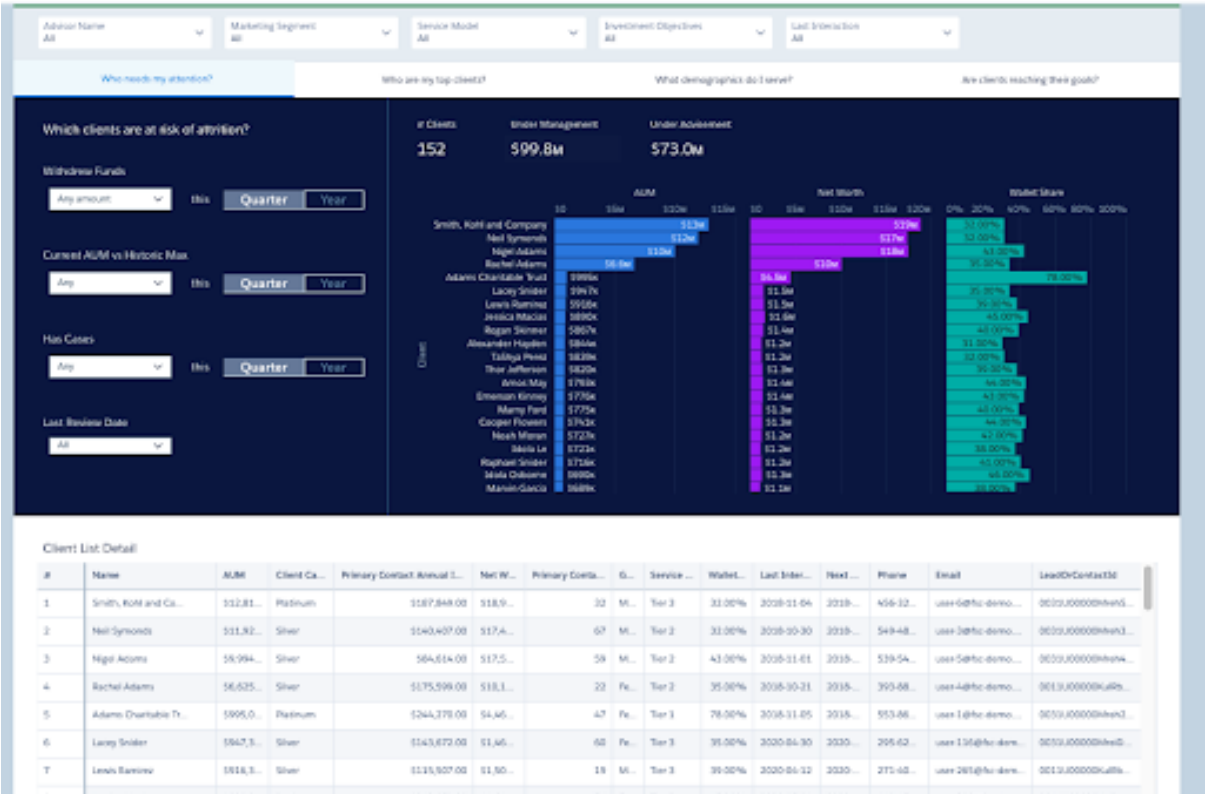

Example dashboard - Who Needs My Attention

Finally, Tableau CRM is designed to be API-first. And with the Analytics Web SDK you can extend functionality across Salesforce Lightning or any third-party website.

Tableau CRM offers:

- Collaboration: Leveraging annotations, sharing and notifications
- Actions: Configure Actions with few clicks
- Self-service: True, unhindered explorations

Within NLCC's systems, you may have data everywhere: warehouses, spreadsheets, logs, and in Salesforce. With Tableau CRM, it's easy to integrate data from any of these sources, including external data.

With the Tableau CRM, NLCC will gain powerful interactive visualization tools with a fast, fluid way to drill through data, discover compelling insights, and share the right visuals.The Action Framework enables Salesforce users to take actions directly at the point of insight from within any Tableau CRM dashboard.

2. Development approach and methodology for reporting and analysis

Customizing reports is as easy as pointing and clicking - enabling you to react quickly to trends and opportunities as NLCC spots them. Our dashboard facility will allow you to build dashboards based on standard or custom reports to present high-level graphical representation of detailed report data. Anyone can build comprehensive reports and dashboards using a wizard-driven reporting engine.

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

Please see response to Requirement 1 above for details.

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

MTX uses the following estimation rubric to estimate report and dashboard configuration items:

Resource	Low	Medium	High
Business Analyst	4-8 hours	8-12 hours	12-24 hours
Report Developer	8 hours	16-20 hours	20-80 hours
Tester	4 hours	8-12 hours	12 - 20 hours

Low, medium and high complexity reports are defined as follows:

- **Low** - Simple reports that can be configured within the Salesforce platform use the drag and drop report configuration tools. These are usually point in time reports, simple correspondence, and two dimensional dashboard analytics.
- **Medium** - Reports that join two or more objects within Salesforce. Examples include tabular management reports, more than two dimension dashboard analytics, and dashboard with more than two visualizations.
- **High** - High complexity reports may require multiple object joins, advanced calculations, and virtualized views due to the amount of data that needs to be summarized to support quarterly and annual reporting. Multi-page correspondence with embedded tables and/or charts would also be considered a complex report.

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

The proposed software provides the ability to create user-defined ad hoc reports which can include a variety of visualizations (pie charts, bar charts, etc.) which can be exported to Excel, CSV and or PDF formats.

Salesforce includes a powerful suite of analytics and reporting tools that will help NLCC view and analyze their data that can be accessed via the web or mobile device in real time. Any user who is given permission to do so may easily and quickly build comprehensive reports and dashboards using a wizard-driven reporting engine.

There is also a wide range of standard reports, accessible in the standard reports folders on the Reports tab. All standard reports are "templates" so they can be used as report starting points from which users can alter fields, criteria, etc. and use the "Save As" function to easily capture a version more specific to

their unique needs. Users can also create new custom reports to access exactly the information they need.

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

MTX will configure a public portal for members of the public to access public data from the system such as license owner and location information, license type, license term/expiration date, and product registration. The unauthenticated users will be able to search for information as well as be able to generate, view, and download reports related to such information from the public portal.

Section 7.G: Hosting

MTX is proposing Software-as-a-Service (SaaS) and Platform-as-a-Service (PaaS) tools in Salesforce. These are subscription-based tools that can be supported by numerous implementers as well as the State, given appropriate skills.

The solution will be accessed via a web browser. Salesforce is browser-agnostic and supports all major browsers (e.g., Firefox, Chrome, Safari, IE, etc.). No installations on users' laptops or desktops are required. The solution is accessible from anywhere with an internet connection and supported browsers, including mobile devices.

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

Overall system monitoring is provided by a variety of tools. All monitoring alerts are aggregated and monitored by the Site Reliability (SR) team. Alerts such as configuration changes from network devices, server state changes, and other events can be correlated to indicate root cause. The dynamic model capability also allows the customization of the monitoring tool to mimic Salesforce Service's hardware/software configuration, so that custom symptoms and problems can be rolled up into the correlation engine.

Salesforce has built extensive monitoring and instrumentation into the application itself, so that the application can accurately report its health and performance to systems engineers, network operations staff, QA personnel, and developers. All network devices, servers, services, and most application processes are monitored from the dedicated monitoring host.

The Site Reliability (SR) team monitors the Production network 24x7 and is on call for issue resolution. Any potential issues identified by the monitoring tools provide visual and/or email alerts to SR and other appropriate technical operations personnel. Alerts trigger analysis and response procedures. Further notification using established procedures may be executed based on the severity of the issue. In the event of an operational issue, Salesforce's goal is to rapidly restore service.

Management and operations of the Production network is a coordinated effort between the technical operations teams. Several system and application performance monitoring tools are used in the environment. Network devices, servers, services, and application processes are monitored with appropriate tools. Data is aggregated into an event monitoring tool which performs alerting and event correlation.

Other infrastructure and application performance monitoring tools include:

- Monitor capacity, load, and system events on production systems
- Monitor application performance
- Monitor end user experience with Force.com applications and services
- Query and analysis of raw application logs to identify user specified events.

Salesforce has File Integrity Monitoring installed on all critical servers to detect and alert in the event that changes are made to critical host system files and configurations. Output is fed into our security event management (SEM) system for correlation and analysis. Salesforce also has a tool monitoring for

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changes to network device configurations which alerts Operations or Information Security, when appropriate.

Salesforce has implemented malware detection at the network level in the production environment. Specifically, network intrusion detection systems are configured (and continuously updated) to detect malware-related network traffic. Other controls are also used to address malware such as hardening the Operating System of our UNIX and Linux-based servers and firewall configuration to ensure only required ports are open and all others denied. Access to these systems is restricted to authorized personnel and all these systems, as well as the host platforms, are monitored in real time through a security monitoring system.

The Salesforce platform provides real-time information on system performance and security on their site Trust.salesforce.com. Trust is the Salesforce community's home for real-time information on system performance and security. On this site you'll find:

- Live and historical data on system performance
- Up-to-the minute information on planned maintenance
- Phishing, malicious software, and social engineering threats
- Best security practices for your organization
- Information on how we safeguard your data

The Trust site includes an API that your organization can use to directly integrate Salesforce availability information into existing monitoring tools or processes. For example, your organization can retrieve the status of a given instance, details on any active availability or performance incidents, transaction performance data, and the upcoming planned maintenance schedule.

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

Salesforce uses commercially reasonable efforts to make its on-demand services available to its customers 24/7, except for planned downtime, for which Salesforce gives customers prior notice, and force majeure events. Excellent availability statistics are critical to Salesforce's customers' success and to the success of Salesforce as a company. Live and historical statistics on the Salesforce system performance are publicly published at https://trust.salesforce.com/en/#systemStatus.

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

The persistence layer underlying the Salesforce platform is proven database technology that powers all of Salesforce's products today, serving more than 150,000 organizations and over 4 billion transactions per day with an average request response time of less than 200 milliseconds, all with an average uptime of 99.9+ percent.

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

Severity Levels and Response Times

Issues will be categorized and handled according to an assigned severity level, as follows:

Level 1 - Critical

Response time: 1 Hour*

Critical production issues affecting all users, including system unavailability and data integrity issues with no workaround available.

Level 2 - Urgent

Response time: 2 Hours*

Major functionality is impacted or significant performance degradation is experienced. Issue is persistent and affects many users and/or major functionality. No reasonable workaround available. Also includes time-sensitive requests such as requests for feature activation or a data export.

Level 3 - High

Response time: 4 Hours**

System performance issue or bug affecting some but not all users. Short-term workaround is available, but not scalable.

Level 4 - Medium

Response time: 8 Hours**

Inquiry regarding a routine technical issue; information requested on application capabilities, navigation, installation or configuration; bug affecting a small number of users. Reasonable workaround available. Resolution required as soon as reasonably practicable.

*24/7 Severity 1 and 2 coverage includes weekends and holidays

**Severity 3 and 4 target response times include local business hours only and exclude weekends and holidays

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

Live and historical statistics on the Salesforce system performance are publicly published at Salesforce Trust.

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

Data centers are physically secured using a defense-in-depth approach. All buildings are completely anonymous, with bullet-resistant exterior walls and embassy-grade concrete posts and planters around

the perimeter. All exterior entrances feature silent alarm systems that notify law enforcement in the event of suspicion or intrusion.

Physical access to the data centers and cages is monitored 24/7 by data center security personnel through guarded lobbies and CCTV cameras that are set up inside and outside the data centers in critical areas. Critical areas that are monitored include; doors to colocation areas, access to cage doors, server floor areas, external perimeter, data center entries and exits, and shipping/ receiving.

Salesforce controls visitor access (individuals without pre-authorized access) to the data center facilities by authenticating visitors before authorizing access to the facilities. All visitors must be accompanied by an individual on the Salesforce authorized data center access list. Unaccompanied visitors are not allowed access to the data center. Upon arrival visitors must sign in at the front desk, submit a valid government issued photo ID, and be approved by an individual on the Salesforce authorized list.

Access to Salesforce data centers is authorized based on position or role. Access is strictly limited to those few individuals with a business need for access. Access is controlled via badges/pin pads, biometrics, and security guards. Subsequent entry to the production cage areas and tape vault requires badge and biometric access. Access to the Salesforce data center cages requires two-factor authentication (a pin pad or badge and biometric access).

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

- (8) Weekly full back-ups
- (9) Daily incremental back-ups
- (10) Off-site storage

Backups are performed daily at each data center facility without stopping access to the application. Backup cloning is transmitted over an encrypted network (our MPLS network across all data centers). Tapes never leave our secure data center facilities, unless they are to be retired and destroyed through a secure destruction process.

The backup retention policy is 90 days (30 days for sandboxes). Deleted/modified data cannot be recovered after 90 days (30 days for sandboxes). If customers want a longer retention, they can use the weekly export feature available in the system.

11. Describe redundancy strategy and restoral procedures, including process to transfer to secondary location.

Customer data, up to the last committed transaction, is replicated to disk in near real time at the designated disaster recovery data center, backed up at the primary data center, and then cloned to the disaster recovery data center. Disaster recovery tests verify our projected recovery times and the integrity of the customer data.

12. Describe communication and escalation procedures related to incident identification and resolution.

MTX's process for tracking and communicating changes is via MTX's Weekly Project Status Report (WSR). To keep project stakeholders advised, we publish our WSR to stakeholders every week and hold a WSR meeting once a week to perform a readout and walkthrough of the WSR with our stakeholders. The WSR is used to communicate all aspects of project health to project stakeholders, and includes sections specifically dedicated to Executive Oversight/Timeline/Budget, Key Deliverables Tracker, Open Risks, Resolved Risks, Key Decisions, as well as Activities Completed/Current Week, and Activities Planned/Upcoming Week. All major defects or enhancements identified during Quality Assurance testing will also be included in the Open Risks or Key Decisions sections of the WSR.

All lesser/minor defects, enhancements, stories, and epics will be logged, maintained, and tracked in the defect/project tracking tool. It should be noted that MTX also provides our internally developed project management tool, MTX Beans, to support the project management and development efforts for this engagement. Key NLCC users and project members will be given access to this tool.

MTX's entire project team has an ownership stake and responsibility to provide quality deliverables, guided by the direction, feedback, and oversight from our Quality Lead and Quality Analysts. At all phases of the SDLC, we execute iterative quality assurance and testing activities in lockstep with development activities. As shown in the following diagram, as the product evolves, our Quality Analysts are constantly:

1. Adding to and evolving the project's test strategy,
2. Updating and maintaining test artifacts such as test cases and test data,
3. Executing all types/classes of tests suited to the current phase of the project, and
4. Reporting and managing defects and findings from all Quality Analysis activities.

Incident identification and resolution

A team of MTX specialists will provide break/fix issue resolution support during the subscription period on a customized release timeline for the customer. These issues include cosmetic issues, field value updates, minor workflow updates, messaging logic and content updates, and system crashing issues.

This does not include creating new integrations or updates requiring architectural changes, which can be scoped separately as part of a separate project engagement.

The maintenance and support team will provide support on a monthly basis for the duration of the subscription period. Every issue will be resolved following a predictive agile methodology that includes Quality Assurance.

Support Ticketing System: The customer will be given access to MTX Beans - the ticketing system in which the customer can log their support tickets. In Beans, the customer may log and prioritize their issues, communicate with the MTX Maintenance and Support team, and track status updates on their issue through a real-time Issue Status Dashboard.

MTX will create user accounts to access the ticketing system and dashboard as well as provide live and recorded onboarding sessions for users that include best practices for issue logging, prioritization, tracking, and reporting.

Escalation Procedures:

- Provider will provide documented escalation and communication procedures for Critical Severity issues:
    - Escalation Path and Contacts (Support Managers, Technical Account Manager, Executive Staff)
    - Escalation Frequency
    - Communication Plan

Request SLAs Definitions:

- P1 - Critical production system down issue or an issue with no workaround that is causing a business critical functionality to not be available
- P2 - An issue that is affecting the usability or availability of a customer system and has a reasonable workaround available
- P3 - An issue that is not severely impacting the use of the product and has a workaround available
- P4 - A non critical, clerical or minor issue or enhancement needed to improve the application and does not impact the use of the application

Request SLAs Response Times:

- P1 - Initial response 1 hour with hourly updates until resolution
- P2 - Initial response 4 hours with hourly updates until resolution
- P3 - Initial response 12 hours with weekly updates until resolution
- P4 - Initial response 24 hours with weekly updates until resolution

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

I. Service package management
II. Application server management
III. Monitoring and reporting on application processes

Salesforce enables you to build with PaaS, not infrastructure, therefore eliminating the expense of buying, configuring, and managing all the hardware and software needed to run applications. PaaS is driving a new era of mass innovation and business agility, and by leveraging PaaS, organizations can redirect a significant portion of their budgets from “keeping the lights on” to creating applications that provide real business value.

PaaS systems execute a developer’s source code by retrieving all necessary dependencies that are specific to the frameworks and languages used in the application. The platform also manages things like configuration and release management. So developers can now focus on building apps instead of managing complex hardware and software infrastructure. And being language agnostic, Salesforce allows for fully customized application development in the preferred (coding) language.

Salesforce provides a complete PaaS toolset toolkit. Users can access custom apps built in the cloud, just like their SaaS apps, while IT departments and ISVs can focus on innovation instead of complex infrastructure. For example, they can instantly build employee-facing apps that are mobile and social; they can create customer-facing apps that deepen customer relationships, and they can integrate and connect apps easily and efficiently.

Trust.salesforce.com is the Salesforce community's home for real-time information on system performance and security. On this site you'll find:

- Up-to-the minute information on planned maintenance
- Phishing, malicious software, and social engineering threats
- Best security practices for your organization
- Information on how we safeguard your data

The Trust site includes an API that your organization can use to directly integrate Salesforce availability information into existing monitoring tools or processes. For example, your organization can retrieve the status of a given instance, details on any active availability or performance incidents, transaction performance data, and the upcoming planned maintenance schedule.

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

Patch Releases and Emergency Releases are used to deliver scheduled and ad hoc application fixes and are typically seamless to customers. Patching follows our Change Management Policy and Procedure, to track, test, and install the update, then notify appropriate internal parties. Whenever possible, patches and emergency releases are deployed during off-peak hours and without downtime. Patch releases are scheduled weekly and are usually deployed to instances on Tuesday, Wednesday or Thursday, with release to Asia-Pacific instances the following day. Emergency releases are conducted on an as-needed basis and can occur any day of the week.

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

All upgrades, patches, and other system maintenance are provided as part of the subscription service with no additional cost to your organization. In addition, Salesforce releases three complimentary upgrades each year, in Winter, Spring, and Summer versions. All Salesforce users are always on the latest version of our platform because everyone gets instant upgrades (typically on an opt-in basis). Each time Salesforce releases a new version of the application and the platform, the entire community can take advantage of the latest innovations from our product development team. Because of our multi-tenant architecture, Salesforce is able to provide all of our customers with a service based on a single version of our application. We are able to upgrade all of our customers at the same time with each release. As a result, we do not have to maintain multiple versions of our application. Each release will be delivered automatically in a transparent manner, and will not break your configurations.

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

Salesforce technical operations and security personnel monitor vulnerability alerts and patch release notifications from our vendors and other sources. When a patch is released, it is evaluated by the senior technical and management personnel. The evaluation examines the risk, severity, and mitigation efforts associated with the vulnerability and its associated patch, from which a course of action is prescribed.

After initial evaluation, patching follows our Change Management Policy and Procedure, to track, test, and install the update, then notify appropriate internal parties. Depending on the severity and the risk to the Salesforce systems, security patches can be scheduled for immediate deployment or deferred to an appropriate planned maintenance interval. All approved patches are also added to system build images.

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

MTX offers these services as part of an optional post production support package.

If help desk services are subscribed too, MTX will define user identification protocols to meet NLCC requirements. We are able to offer a variety of authentication methods such as complex passwords, two factor authentication, profile security questions, and name/address/federal ID challenge questions.

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

Any standard user interface page may be viewed in a printable format and/or printed. The link to any Salesforce page may be sent via email using standard "Send Page…" browser functionality. Salesforce Reports may be printed or exported to CSV data or Excel formats.

19. Describe intrusion detection and prevention capabilities and approaches.

Salesforce has implemented an Intrusion Detection System (IDS) to monitor for potential security incidents. IDS devices are placed between the edge routers and aggregation layer (in front of the load balancers), as well as placed behind the load balancers to monitor network traffic.

- Detection rules are automatically updated daily; custom rules can be updated as needed.
- The IDS is updated with the latest software release, following our change management process.
- IDS, network device, and host events are collected and correlated in our security event management system.
- The monitoring system is configured to generate and distribute alerts as security events occur in the environment.

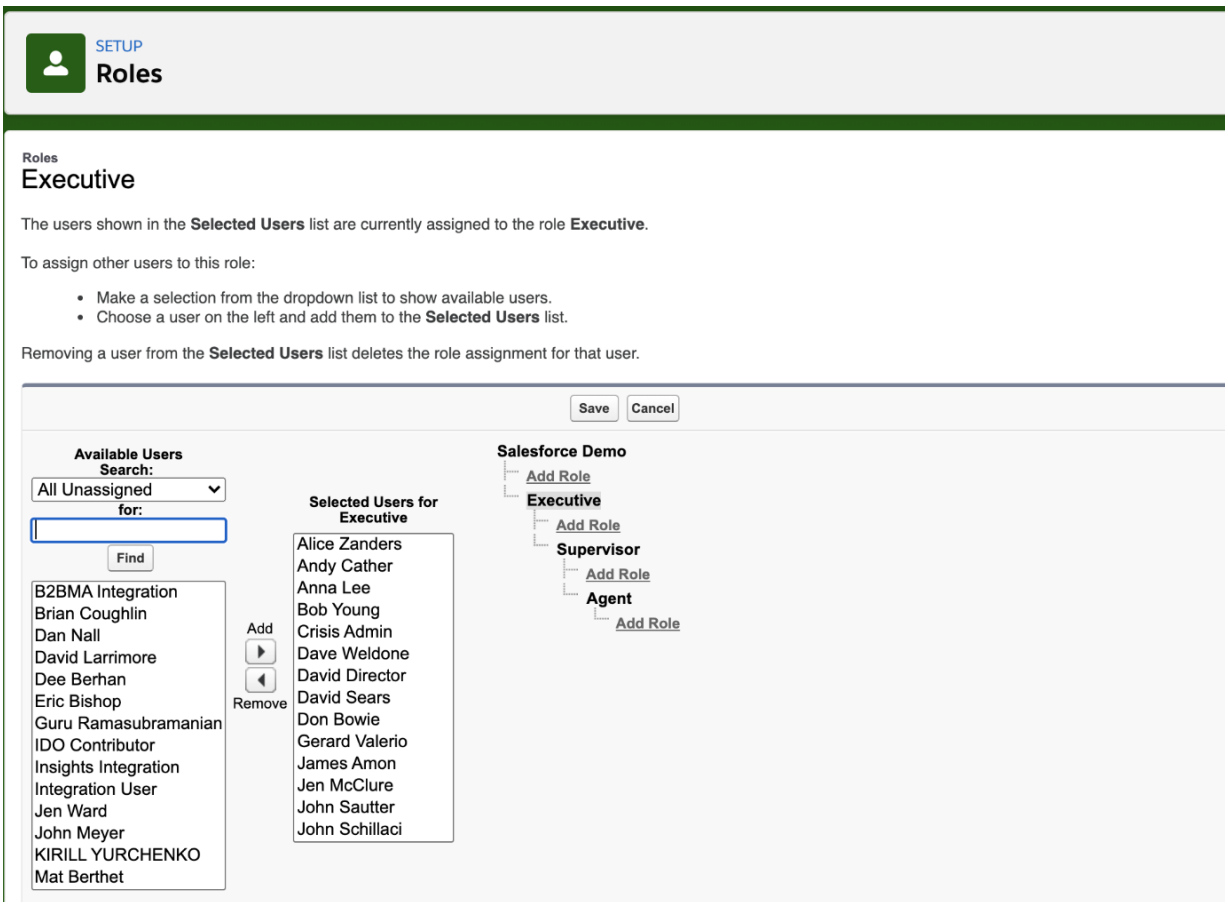
20. Describe procedures for installing security patches for all applications.

After initial evaluation, patching follows our Change Management Policy and Procedure to track, test, and install the update, then notify appropriate internal parties. Depending on the severity and the risk to the Salesforce systems, security patches can be scheduled for immediate deployment or deferred to an appropriate planned maintenance interval. All approved patches are also added to system build images.

Additionally, please note that not all patches available for a given application or operating system are necessarily applicable to a particular environment, including Salesforce. This means that patches must be evaluated before installation, not simply loaded at the first possible opportunity.

21. Describe how the bidder systematically enforces access controls.

MTX will manage roles and relationships between roles from within the application, in a single easy to read page depicting the role hierarchy. The defined role hierarchy can be displayed in Tree View, Sorted List view or List View. We can easily add new roles or sub-roles to the organization.



Roles Setup Screen within the Application

An organization's sharing model sets the default access that users have to each other's data.

There are four sharing models, each established by:

- Private
- Public Read Only
- Public Read/Write
- Public Read/Write/Transfer

There are also several sharing model elements:

- Profiles
- User Roles
- Hierarchy
- Record Types
- Page Layouts
- Field Level security
- Permission Sets

Details about sharing models and sharing model elements are provided below:

- **Private -** Only the record owner, and users above that role in the hierarchy, can view, edit, and report on those records.
- **Public Read Only -** All users can view and report on records but not edit them. Only the owner, and users above that role in the hierarchy, can edit those records.
- **Public Read/Write -** All users can view, edit, and report on all records.
- **Public Read/Write/Transfer -** All users can view, edit, transfer, and report on all records. Only available for cases or leads.
- **Profiles -** A profile contains the settings and permissions that control what users with that profile can do within Salesforce. Profiles control:
    - Standard and custom apps the user can view (depending on user license)
    - Service providers the user can access
    - Tabs the user can view (depending on user license and other factors, such as access to Salesforce CRM Content
    - Administrative and general permissions the user has for managing the organization and apps within it
    - Object permissions the user is granted to create, read, edit, and delete records
    - Page layouts a user sees
    - Field-level security access that the user has to view and edit specific fields
    - Record types are available to the user
    - Desktop clients users can access and related options
    - Hours during which and IP addresses from which the user can log in
    - Apex classes a user can execute
    - Visualforce pages a user can access

- **User Roles -** Every user must be assigned to a role, or their data will not display in opportunity reports, forecast **rollups**, and other displays based on roles.
    - All users that require visibility to the entire organization should be assigned the highest level in the hierarchy
    - When a user's role is changed, any relevant sharing rules are reevaluated to add or remove access as necessary.
- **Hierarchy** - A hierarchy of roles should be defined to control access of information entered by users in lower level roles. It is not necessary to create individual user roles for each title at the company.
- **Record Types -** If the customer's organization uses record types, edit the record type to modify which pick list values are visible for the record type. A default pick list values can be set based upon the record type for various divisions.
- **Page Layouts** - Page layouts control the layout and organization of buttons, fields, s-controls, Visualforce, custom links, and related lists.
- **Field Level Security -** Field-level security settings let administrators restrict user's access to view and edit specific fields on detail and edit pages and in related lists, list views, reports, Offline Edition, search results, email and mail merge templates, Custom Links, and when synchronizing data.
    - The fields that users see in detail and edit pages are a combination of page layouts and field-level security settings. The most restrictive field access settings of the two always apply. For example, if a field is required in the page layout and read-only in the field-level security settings, the field-level security overrides the page layout and the field will be read-only for the user.
- **Permission Sets** - A permission set is a collection of settings and permissions that give users access to various tools and functions. The settings and permissions in permission sets are also found in profiles, but permission sets extend users' functional access without changing their profiles.

Users can have only one profile but, depending on the Salesforce edition, they can have multiple permission sets. You can assign permission sets to various types of users, regardless of their profiles. We can create permission sets to grant access among logical groupings of users, regardless of their primary job function.

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

Salesforce services its customers using what is known in the industry as "multi-tenant" architecture. Multi-tenant applications and platforms permit many users to simultaneously access and use the same services, with logical separation of data allowing each customer to view only its "instance" of Salesforce's services and associated data. Salesforce's multi-tenant architecture is similar to that used to provide online banking and brokerage services to consumers, which can also be accessed and used by thousands of users simultaneously through the logical – rather than physical – separation of data.

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Salesforce's multitenant architecture and secure logical controls for the Salesforce Services address the separation of Customer Data. Salesforce does not use dedicated servers used for a specific customer. The infrastructure for the Salesforce Services is divided into a modular architecture based on instance. Each instance is capable of supporting several thousand customers in a secure and efficient manner.

A customer's instance (org) of Salesforce is an aggregate of the raw data. The data model is very complicated, normalized, and the rows are identified by base62 encoded keys (primary and foreign). Re-establishing data ownership and a business context for the data would be very difficult to do at the database level. In order to reassemble any given customer's application (org), someone would need access to our source code in order to reassemble the raw data in a manner that could be interpreted and understood, and would need the entire set of tapes or disks/arrays supporting a given Instance, as the data for any one customer is spread across several tapes/disks. Data center engineers with physical access to the servers do not have logical access to the production environment and administrators with logical access to the systems do not have physical access to the data centers.

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

Salesforce offers a broad spectrum of functionalities and security features that meet encryption and authentication criteria using Salesforce Shield. Salesforce Platform Encryption includes the capability to encrypt standard and custom fields of various types, attachments, files, and other content using AES 256-bit encryption. By default, the Agency's data is encrypted at rest using a hardware security module-based key derivation system. For data in transit, all transmissions between the user and the Salesforce Services are TLS 1.2 encrypted with a 2048-bit Public Key, using AES 256-bit encryption by default.

Platform Encryption helps address some concerns about protecting confidential information. It prevents sensitive data from being stored in clear, decipherable form and allows you to manage your tenant secrets, which are used to derive the keys that protect your data. MTX is committed to high security standards and the proposed platform offers multiple data encryption options. Customers who want to adopt or extend their use of Salesforce can consider using Platform Encryption to comply with various standards.

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

Protection against unauthorized access

To help protect the customer's data against unauthorized access, the customer can restrict users' ability to log in to the Salesforce application by customizing user profiles and the customer's list of trusted IP addresses/ranges. The administrator can also restrict the hours during which users can log in. If IP address restrictions are defined for a user's profile and a login originates from an unknown IP address, Salesforce does not allow the login. These restrictions help protect customer's data from unauthorized access and phishing attacks.

Incident Management Process

Salesforce has a formal Incident Management Process that guides the Salesforce Computer Security

Incident Response Team (CSIRT) in investigation, management, communication, and resolution activities.

Salesforce will promptly notify the Customer in the event of any security breach of the Services resulting in an actual or reasonably suspected unauthorized disclosure of customer data. Notification may include phone contact by Salesforce Support, email to the customer's administrator and Security Contact (if submitted by customer), and public posting on trust.salesforce.com.

Regular updates are provided to engaged parties until issue resolution. Incident tracking and resolution is documented and managed within an internal ticketing system.

In the event that the CSIRT requires additional assistance in responding to a complex, high severity incident, Salesforce can also exercise retainers that are in place with multiple external incident response consulting companies.

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

Salesforce has implemented malware detection at the network level in the production environment. Specifically, network intrusion detection systems are configured (and continuously updated) to detect malware-related network traffic. Other controls are also used to address malware such as hardening the Operating System of our UNIX and Linux-based servers and firewall configuration to ensure only required ports are open and all others denied. Access to these systems is restricted to authorized personnel and all these systems, as well as the host platforms, are monitored in real time through a security monitoring system. Salesforce does not restrict the file types users can upload.

Salesforce does not scan, modify or clean any customer data; the system stores the information provided in an encoded format within the database. We can run updated antivirus and anti-malware solutions to help mitigate these threats.

The production system receives inbound mail as part of the workflow functionality, but as the architecture of the system does not allow code in the email to be executed or transferred, this does not pose any threat to our network, application, or users' Email sent from the Salesforce application is not currently scanned for viruses. We can implement partner products such as F-Secure Cloud Protection for Salesforce to provide additional malware security for uploaded content.

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

Salesforce uses the standard HTTP and HTTPS ports 80 and 443 respectively.

100% Multi-Tenant, Cloud Application: Salesforce offers market leading Platform as a Service (PaaS) and market leading Software as a Service (SaaS) solutions.

Salesforce is a multi-tenant, cloud-based web application. No additional software or infrastructure is required. Salesforce hosts the entire solution, thus freeing up NLCC to manage its mission, not manage an infrastructure solution. Additionally, Salesforce is browser agnostic and supports all major browsers (Firefox, Chrome, Safari, Edge). No installations on users' laptops or desktops are required and thus the solution is accessible from anywhere an internet connection and supported browsers are available,

including mobile devices. As long as the user can access a supported browser to login to the Salesforce site they will not require local administrator rights to run the application.

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

The following is a list of protocols used within the system:

- **Internet layer:** HTTP, HTTPS (TLS), SMTP, DNS, ICMP
- **Application layer:** HTTP, HTTPS, JDBC over SQL*Net, XML, Proprietary inter-server communication

If connection is not secure, the substitute mechanism for https can be put in places such as robust security certificates using permanent server side redirects or url inspections.

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

MTX uses User Acceptance Testing (UAT) as the final approval of the developed system. MTX's approach to UAT is part of the broader suite of Quality Control/Assurance (i.e., testing services) we use to ensure the iteratively developed solution moves towards operational readiness. Typically, UAT commences after a full solution sign-off is given on all stories and NLCC agrees that the system is ready for UAT. UAT begins with a kickoff meeting explaining the procedures for all testers. Selected NLCC users will rigorously test this solution during this phase to give NLCC the confidence that the application is ready for production deployment. MTX requires a UAT for any Production deployment unless both parties explicitly agree to forgo a UAT. MTX will work with NLCC to adapt as needed.

MTX will provide the test cases for UAT unless NLCC is willing to provide them and both parties agree prior to the completion of development. If MTX is to provide test cases, we will provide an estimated completion date for the test cases and will provide NLCC an opportunity to review, provide feedback, and accept the test cases. Feedback to the test cases can be provided a maximum of two times prior to the start of UAT. Prior to the start of UAT, MTX will deploy all functionality to the UAT environment and will make appropriate adjustments to the data in the environment to create a productive UAT.

All functional areas will be divided into testing categories with key testers identified for each. Functional areas will have targeted dates for testing and deadlines to provide insight to the team whether we are on track with testing or not. Deadlines will be agreed to prior to the start of UAT by MTX and NLCC to ensure the timely completion. The core team typically holds a half-hour to one-hour daily session to review and triage issues and improvements. There will also be office hour sessions where testers can drop in for personal support with testing and have their questions answered. Support can be scaled depending on UAT complexity and size. Test categories will be defined prior to UAT after the full scope of the project has been defined. Bugs or issues will be classified by the following severities:

- Blocker - the issue completely blocks the expected functionality with no workaround available. Users are not able to accomplish tasks with the issue in place.
- High - the issue blocks the expected functionality however there is a workaround available to complete the intended task. Users are able to accomplish the task but it is not the expected route.

- Medium - the issue does not block the expected functionality, but the functionality is not working as expected. Users are able to accomplish the task via the expected route but have issues or difficulties.
- Low - the issue is minor and is related to functionality that is working as expected. This is typically cosmetic issues or issues related to the core functionality but do not impact the Users ability to accomplish tasks as intended.
- Enhancement - the functionality is a new requirement not identified in the User Stories.

MTX agrees to the following service level agreements around issues logged during UAT:

- Blocker - 1 Business Day from triaging (24 hours within the work week).
- High - 1-3 Business Days from triaging based on development capacity.
- Medium - As the schedule permits.
- Low - As the schedule permits.
- Enhancement - Requires agreement between MTX and the client to accept the additional scope.

MTX commits to resolving all Blocker and High issues prior to NLCC providing User Acceptance sign-off. MTX will resolve all medium and low issues if the schedule and budget permits resources to do so. Enhancements may come at the expense of other UAT issues and will only be completed with explicit agreement by the MTX team. There is no expectation for MTX to complete any issues identified as enhancements. Enhancements and new requirements will be backlogged for future releases.

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

Salesforce offers both a Production environment and four different types of Sandbox environments. This gives you the ability to create multiple copies of the customer in separate environments for a variety of purposes, such as testing and training, without compromising the data and applications in your Salesforce production organization. The usage of the various Salesforce Sandbox types during an implementation varies, but below will provide you with a description and common use of each type of environment:

Developer Sandbox

Developer sandboxes are special configuration sandboxes intended for coding and testing by a single developer. Multiple users can log into a single Developer sandbox, but their primary purpose is to provide an environment in which changes under active development can be isolated until they're ready to be shared. Developer sandboxes copy all application and configuration information to the sandbox. Developer sandboxes are limited to 200 MB of test or sample data, which is enough for many development and testing tasks. You can refresh a Developer sandbox once per day.

Developer Pro Sandbox

Developer Pro sandboxes copy all of your production organization's reports, dashboards, price books, products, apps, and customizations under Setup, but exclude all the customer's standard and custom object records, documents, and attachments. Creating a Developer Pro sandbox can decrease the time it takes to create or refresh a sandbox from several hours to just a few minutes, but it can only include up to 1 GB of data. You can refresh a Developer Pro sandbox once per day.

Partial Data Sandbox

Partial Data sandboxes include all the customer's metadata and add a selected amount of your production organization's data that you define using a sandbox template. A Partial Data sandbox is a Developer sandbox plus the data you define in a sandbox template. It includes the reports, dashboards, price books, products, apps, and customizations under Setup (including all of your metadata). Additionally, as defined by your sandbox template, Partial Data sandboxes can include the customer's standard and custom object records, documents, and attachments up to 5 GB of data and a maximum of 10,000 records per selected object. A Partial Data sandbox is smaller than a Full sandbox and has a shorter refresh interval. You can refresh a Partial Data sandbox every 5 days.

Full Sandbox

Full sandboxes copy your entire production organization and all its data, including standard and custom object records, documents, and attachments. You can refresh a Full sandbox every 29 days.

Sandboxes are licensed separately from the Salesforce service and are subject to restrictions. When your sandbox licenses expire, Salesforce decreases the count of available sandbox licenses for the selected sandbox type.

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

Please see response to Requirement 29 above.

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

Salesforce was the first Cloud Service Provider granted a FedRAMP Authority to Operate for both Software as a Service (SaaS) and Platform as a Service (PaaS), consistent with the FedRAMP moderate baseline controls.

FedRAMP Certified SaaS/PaaS At the Highest Level.
One of the reasons for Salesforce's success in government is their investment in delivering a secure Cloud experience. The service has been designed to provide Salesforce customers with privacy and high levels of performance, reliability, and security. Salesforce cloud-based solutions, Software as a Service (SaaS) and Platform as a Service (PaaS), are FedRAMP certified at the High Impact level to provide NLCC with the assurance that its data is secure. Focusing on a cloud-based application platform allows NLCC to minimize internal administration, while providing organizational agility, speed-to-value, and ease-of-use for a broad range of stakeholders.

On May 23, 2014 Salesforce was granted a FedRAMP Authority to Operate at the moderate impact level issued by Health and Human Services (HHS) for the Salesforce Government Cloud. Testing for the ATO was performed by a third party assessment organization (3PAO).

To obtain compliance with FedRAMP, Salesforce conducted security assessment and authorization activities in accordance with FedRAMP guidance, NIST 800-37, and HHS guidance. As part of this process Salesforce documented a System Security Plan (SSP) for the Salesforce Government Cloud service offering. The SSP is developed in accordance with NIST SP 800-18, Guide for Developing Federal Information System Security Plans. The SSP identifies control implementations for the GSS and in-scope customer facing products (Salesforce Platform, Salesforce Applications) according to the

FedRAMP moderate baseline and HHS security control parameters. A security assessment of the information system was conducted by a third party assessment organization (3PAO) in accordance with NIST 800-53 and FedRAMP requirements. The security assessment testing determined the adequacy of the management, operational, and technical security controls used to protect the confidentiality, integrity, and availability of the Salesforce service and the Customer Data it stores, transmits and processes.

To maintain compliance with FedRAMP, Salesforce conducts continuous monitoring. Continuous monitoring includes ongoing technical vulnerability detection and remediation, remediation of open compliance related findings, and at least annual independent assessment of a selection of security controls by a third party assessment organization (3PAO). As part of our FedRAMP annual assessment, Salesforce is now aligned with NIST 800-53, Rev. 4 control.

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

Government Trusted Security and Infrastructure

MTX understands that the confidentiality, integrity, and availability of our customers' information are vital to their business operations and our own success. Salesforce uses a multi-layered approach to protect that key information, constantly monitoring and improving our application, systems, and processes to meet the growing demands and challenges of security. Independent audits confirm that our security goes far beyond what most companies have been able to achieve on their own. Using the latest firewall protection, intrusion detection systems, and TLS encryption, the platform gives you the peace of mind only a world-class security infrastructure can provide.

Third-party validation

Security is a multidimensional business imperative that demands consideration at multiple levels, from security for applications to physical facilities and network security. In addition to the latest technologies, world-class security requires ongoing adherence to best-practice policies. To ensure this adherence, we continually seek relevant third-party certification, including ISO 27001, the SysTrust audit (the recognized standard for system security), and SSAE 16 SOC 1 audit (an examination and assessment of internal corporate controls, previously known as SAS 70 Type II). SOC1, SOC2 and SOC3 audits are performed by third party auditor annually at a minimum. Additional audits and certifications include: CSA 'Consensus Assessments Initiative', JIPDC (Japan Privacy Seal), Tuv (Germany Privacy Mark), and TRUSTe.

Protection at the application level

MTX protects customer data by ensuring that only authorized users can access it. MTX and administrators assign data security rules that determine which data users can access. Sharing models define organization-wide defaults and data access based on a role hierarchy. All data is encrypted in transfer. All access is governed by strict password security policies. All passwords are stored in SHA 256 one-way hash format. Applications are continually monitored for security violation attempts.

Protection at the facilities level

Salesforce security standards are stringent and designed with demanding customers in mind, including the world's most security-conscious financial institutions. Authorized personnel must pass through five levels of biometric scanning to reach the Salesforce system cages. All buildings are completely anonymous, with bullet-resistant exterior walls and embassy-grade concrete posts and planters around the perimeter. All exterior entrances feature silent alarm systems that notify law enforcement in the event

of suspicion or intrusion. Data is backed up to disk or tape. These backups provide a second level of physical protection. Neither disks nor tapes ever leave the data center.

Protection at the network level

Multilevel security products from leading security vendors and proven security practices ensure network security. To prevent malicious attacks through unmonitored ports, external firewalls allow only http and https traffic on ports 80 and 443, along with ICMP traffic. Switches ensure that the network complies with the RFC 1918 standard, and address translation technologies further enhance network security. IDS sensors protect all network segments. Internal software systems are protected by two-factor authentication, along with the extensive use of technology that controls points of entry. All networks are certified through third-party vulnerability assessment programs. Trust.salesforce.com is the Salesforce community's home for real-time information on system performance and security.

33. Describe disaster recovery and network monitoring.

Customer data, up to the last committed transaction, is replicated to disk in near-real time at the designated disaster recovery data center, backed up at the primary data center, and then cloned to the disaster recovery data center. Disaster recovery tests verify our projected recovery times and the integrity of the customer data.

Overall system monitoring is provided by a variety of tools. All monitoring alerts are aggregated and monitored by the Site Reliability (SR) team. Alerts such as configuration changes from network devices, server state changes, and other events can be correlated to indicate root cause. The dynamic model capability also allows the customization of the monitoring tool to mimic Salesforce Service's hardware/software configuration, so that custom symptoms and problems can be rolled up into the correlation engine.

Salesforce has built extensive monitoring and instrumentation into the application itself, so that the application can accurately report its health and performance to the systems engineers, network operations staff, QA personnel, and developers. All network devices, servers, services, and most application processes are monitored from the dedicated monitoring host.

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Section 7.H: Technical Requirements Response Workbook

Please refer to the attached Appendix B - Technical Requirements Response Workbook.

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Section 8 - Implementation Approach and Understanding

Section 8.A: Schedule and Work Plan

A. Implementation Schedule

MTX has strong and relevant experience in planning and implementing licensing and permitting projects like this one for NLCC. We feel the approach specified by NLCC was well-designed to provide a low-risk approach that offers visibility into your specified milestones while also allowing adequate time for your team to review our deliverables.

We are proposing an implementation plan and project schedule that contain the following elements as specified in the RFP:

- An overall timeline
- Start dates and end dates for key milestones and deliverables
- Durations for key tasks and activities
- An integrated Work Breakdown Structure (WBS) with milestones, deliverables, and tasks

Our schedule incorporates all of the milestones and deliverables specified in the RFP, and it also provides the requested time for reasonable and incremental review of the Deliverable Expectation Documents (DEDs) and the actual deliverables.

Our implementation schedule and effort were estimated using a process that reflects our knowledge and lessons learned from planning and delivering licensing and permitting projects and other similar engagements. We have refined our methodology over time as we have collected actual cost and performance data from our various projects. In addition, our estimating methodology incorporates the pre-existing licensing and permitting assets we have built to accelerate our development efforts and also accounts for the direct skills and expertise of our Subject Matter Experts (SMEs) and the relevant experience of our development team. These factors combine to significantly reduce the uncertainty of our estimates and also reduce our risk by allowing our development team to start with pre-existing assets rather than starting from scratch.

MTX understands that NLCC would like to see and review some of the key CAMP functionality as early as possible. For this reason, our implementation approach is structured to meet that request. We have included a Prototyping phase (Deliverable 10) that allows us to build and demonstrate critical licensing and permitting functionality 3-4 months into the project. In addition, our implementation strategy is designed to provide functionality to NLCC as soon as it is developed so that you can determine early whether what we are producing meets your requirements and we can collect your feedback and incorporate it into our design and development effort.

Based on our experience and our understanding of licensing and permitting solutions, we propose a multi-release strategy that offers a roadmap for NLCC to initially create a strong functional, technical, and architectural foundation and the ability to build on this foundation in subsequent releases. We are proposing a release strategy that initially provides capability in the areas of wholesale and shipping (Release 1), retail (Release 2), and licensing/permitting support operations (Release 3).

Specifically, our roadmap is structured as follows:

Release 1:

- Wholesale
- Producer
- Shipping
- Application Process
- License Holder Management
- License Management
- Revenue
- Payment Gateway
- Brand Registration
- TTB (Integration)

Release 2:

- Retail; One Days
- Application Process
- License Holder Management
- License Management
- Revenue

Release 3:

- Enforcement
- Hearings
- General Operations
- Auditing
- Training and Education
- Reporting

We are confident that this release plan will get valuable functionality out to users quickly and will also facilitate a successful first rollout. However, if we are selected as your vendor partner for this engagement, we would encourage a discussion with NLCC regarding a different allocation of functionality among the releases. If NLCC is interested in having specified functionality available at different points in the development life cycle, MTX will consider reallocating functionality among the releases to accommodate your wishes.

Our work plan and implementation schedule are included in **Appendix F** below.

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B. Deliverables by Milestone

Timeline (Months)	Milestone	Deliverables
1 - 3	Milestone 1 - Project Initiation and Planning	- Project Kickoff Presentation - Project Schedule - Project Management Plan (PMP)
1 - 3	Milestone 2 - Analysis	- Requirements Analysis Document (RAD) - Solution Implementation Plan (SIP)
2 - 7	Milestone 3 - System Design	- System Architecture Document (SAD) - Functional Design Document (FDD) - Requirements Traceability Matrix (RTM) - Technical Design Document (TDD) - Prototypes - Data Conversion Plan (DCP) - Interface Specification Document (ISD) - Online Portal Specification Document (OPSD) - Report Specification Document (RSD)
5 - 12	Milestone 4 - System Development	- Data Mapping and Conversion (DMC) - System Configuration - Interface Development - Report Development
7 - 16	Milestone 5 - Testing and Readiness	- System Testing - User Acceptance Testing (UAT) - Training - (Optional) Customized User Guides - (Add'l) System Test Plan - (Add'l) User Acceptance Test (UAT) Plan
10 - 20	Milestone 6 - Deployment	- Go-Live - System Support and Warranty - Deployment Plan

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Section 8.B: Staffing Requirements

We hope you notice that the team we are proposing to support this project for you includes some familiar faces. Our Account Executive, [redacted]n, has been working with your team since early 2020 to sharpen our understanding of your situation and to introduce you to MTX capabilities that could possibly help. [redacted], our proposed Project Executive, is a former liquor control board commissioner in Kentucky, and began meeting with your team in July, 2020. She began sharing her expertise and further introducing your team to our LPI solution and ability. Finally, getting to meet you in person at NCLSA in August 2021, we have continued to broaden our understanding of the challenges that Nebraska is facing and how to bring our best to bear to help you. That knowledge helps shape our offering and we will continue to leverage this insight and rapport with NLCC if selected.

Beyond the core team, MTX has over 1,250 subject matter experts, program, and technology staff focused on developing, implementing, and supporting our public sector clients to achieve their business and public service goals. That said, what is most important for this engagement is that we have assembled a core team with specific knowledge of your needs as well as other similar projects to support NLCC directly. This includes project managers, technology and change enablement personnel that know licensing, know our solution, have expertise configuring and maintaining robust solutions on the Salesforce platform, and a strong commitment to bringing all of that experience to lead and support your success with this engagement. The combined MTX team will leverage significant experience and knowledge gained from implementing licensing, permitting, and inspection (LPI) solutions in nine (9) states, including recent successful implementations of liquor and/or marijuana licensing solutions in four (4) states.

Role/Name	Years of ABC and IT Experience	ABC Licensing Experience on Salesforce Platform	Meet or Exceed RFP Key Staff Requirements
[redacted] *Project Executive*	19	✓	✓
[redacted] *Account Executive*	11	✓	✓
[redacted] *Project Manager*	12	✓	✓
[redacted] *Solution Architect*	9		✓
[redacted] *Technical Architect*	10	✓	✓
[redacted] *Functional Lead*	10		✓
[redacted] *Service Manager*	11		✓

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In the figure below we summarize each team member's background and qualifications for this engagement with NLCC. (Please note that MTX reserves the right to add or remove roles as the project team sees fit.)

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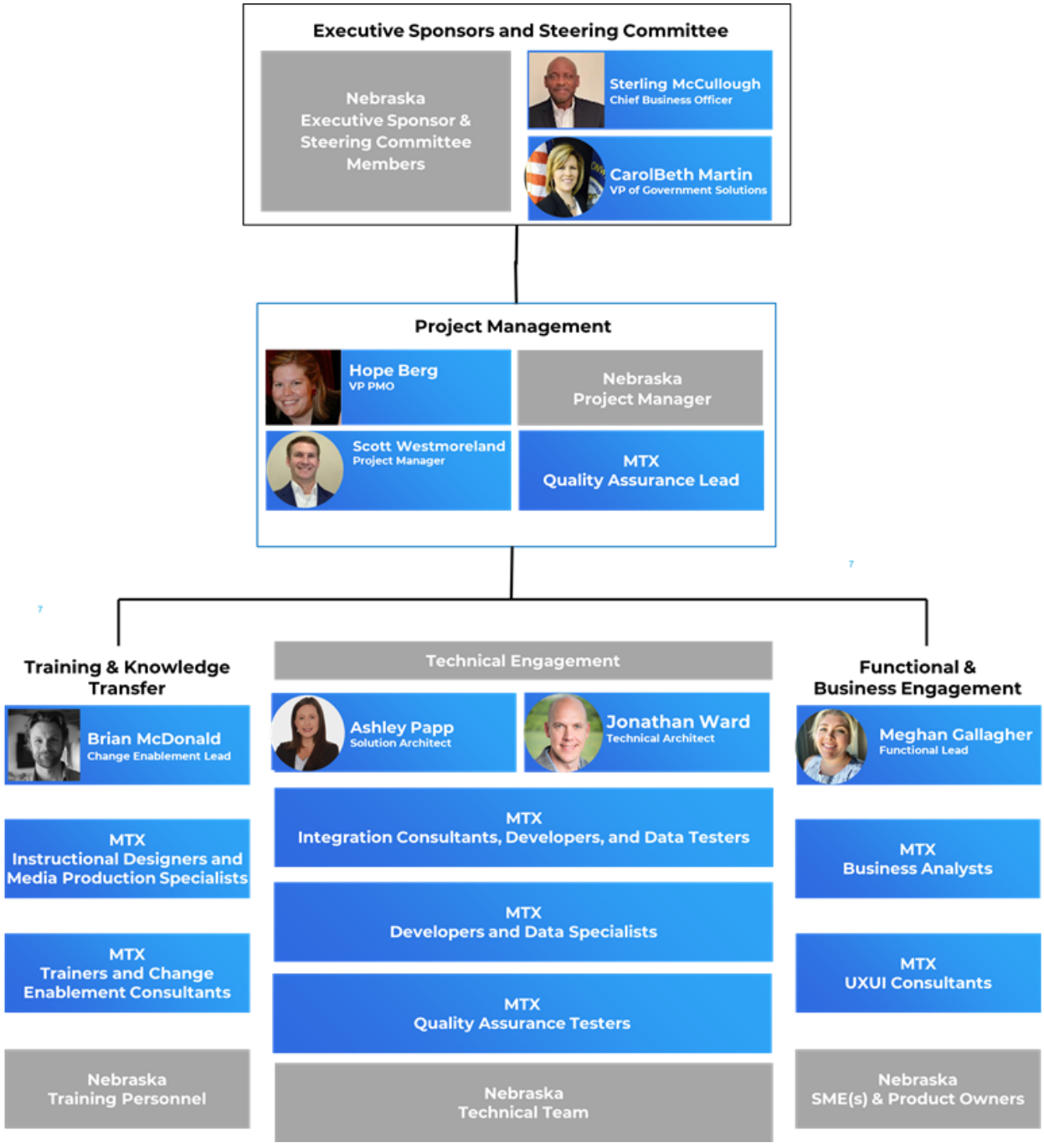
Staffing Plan

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

Below is a high level organizational chart for the teams and positions that would engage on this project.



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

MTX Resources and Allocation

Project Initiation & Planning			
Role	**Allocation**	**Role**	**Allocation**
Industry SME	25%	Business Analyst	50%
Project Manager	50%	Technical Architect	50%
Business Architect	50%	Technical Lead	50%
Change Lead	25%		

Analysis			
Role	**Allocation**	**Role**	**Allocation**
Industry SME	25%	Business Analyst	100%
Project Manager	50%	Business Analyst	100%
Business Architect	50%	Technical Architect	50%
Change Lead	25%	Technical Lead	50%

System Design			
Role	**Allocation**	**Role**	**Allocation**
Industry SME	15%	Business Analyst	100%
Program Trust Advisor	25%	Technical Architect	50%
Project Manager	100%	Technical Lead	75%
Project Coordinator	50%	Integration Architect	25%
Business Architect	50%	UX Consultant	50%
Business Analyst	100%	Change Lead	25%

System Development			
Role	**Allocation**	**Role**	**Allocation**
Industry SME	10%	Developer	100%
Program Trust Advisor	25%	QA lead	100%
Project Manager	100%	QA Tester	100%
Project Coordinator	50%	QA Tester	100%
Business Architect	50%	Integration Architect	25%

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System Development			
Business Analyst	100%	Integration Consultant	50%
Business Analyst	50%	Integration Developer	100%
Technical Architect	50%	Integration Data Tester	25%
Technical Lead	100%	UX UI Consultant	50%
Developer	100%	Data Architect	50%
Developer	100%	Data Consultant	100%
Developer	100%	Change Lead	25%

Testing and Readiness			
Role	**Allocation**	**Role**	**Allocation**
Program Trust Advisor	10%	QA Tester	100%
Project Manager	50%	Security Tester	5%
Project Coordinator	50%	Accessibility Tester	5%
Business Architect	25%	Integration Architect	3%
Business Analyst	100%	Integration Consultant	5%
Business Analyst	50%	Integration Developer	5%
Technical Architect	50%	Integration Data Tester	5%
Technical Lead	100%	Data Architect	5%
Developer	100%	Data Consultant	50%
Developer	100%	Change Lead	5%
Developer	100%	Instructional Designer	8%
QA lead	100%	Trainer	100%
QA Tester	100%		

Warranty			
Role	**Allocation**	**Role**	**Allocation**
Project Manager	50%	Technical Lead	50%
Business Analyst	50%	Developer	100%
Business Analyst	50%	QA lead	25%
Technical Architect	25%	QA Tester	25%
Integration Data Tester	10%		

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The staff resource chart we have provided reflects only MTX staff resources. We will clearly need support from NLCC in technical, management, and advisory roles. It is our intent to identify these needs and resolve them during development of our Project Management Plan (PMP) and Project Schedule in the Project Initiation and Planning phase of the project. These resource needs will then be integrated into our detailed project work plan.

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

Please see the tables above for MTX project team counts and allocations. MTX expects that NLCC's executive sponsorship team, key stakeholders, project manager, and testers will be available for recurring status meetings throughout the entirety of the project. We understand that NLCC's staff has responsibilities outside of this engagement, however, availability of the team will be key to delivering the solution in a timely manner.

Governance structure for Prime and Subcontractor Relationship, if applicable

While MTX does not plan to use subcontractors for this project, we may find it necessary or beneficial to engage support from subcontractors for various reasons including quality and efficiency. In those instances, MTX will assume all responsibility for such subcontractors and their conduct, quality of work, and deliverables.

Proposed governance structure for Bidder and NLCC team

MTX comes prepared with a governance structure that integrates with NLCC operations management and delivery teams into a cohesive organization. This will allow our joint team to make informed business decisions and provide the right level of governance and toolsets to support the delivery of efficient and effective system development within budget and with the highest quality.

Our defined project governance model will provide adequate communication across all tiers of the project as well as timely resolution and escalation of issues. The plan relies on three key activities:

(1) First, we will conduct daily meetings to ensure coordination within the team. During these meetings, we will review accomplishments and upcoming activities and discuss and resolve issues. These meetings are to be led by project management with the core team members in attendance. Staff will review accomplishments and upcoming activities and resolve any blocking issues.

(2) Second, there will be a weekly project status review to examine the weekly status report and issue log. This meeting is mandatory for all development team members with participation of key stakeholders as well as technical and business leadership. This meeting will act as a vehicle for the first level of issue escalation and resolution for project execution issues, metrics, and tracking to ensure project health. Before each meeting, agendas must be published and participants must come prepared to resolve any escalated issues.

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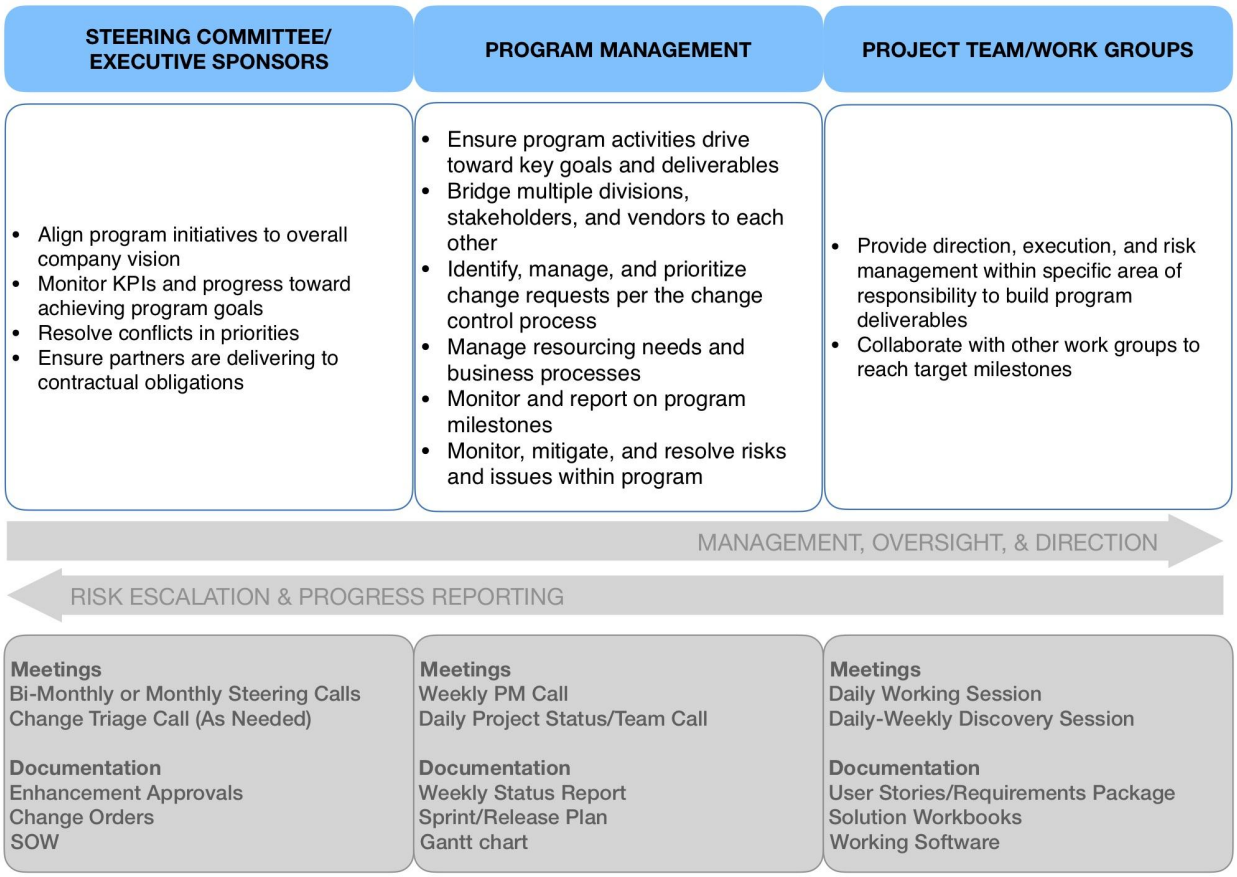
(3) Third, we will conduct monthly steering committee meetings that will provide the final level of issue escalation. Attendees will include the project sponsor, line of business leaders, technology leadership, and other key stakeholders as necessary. An agenda will be published before the meeting and invitees should come to the meeting prepared to resolve any escalated issues. The steering committee meeting will also review status and project/program and provide executive guidance and oversight.

MTX GOVERNANCE MODEL



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

MTX has developed a proven process for integration and interaction with our clients as a result of our extensive experience gained during the recent pandemic. As we stated earlier in our response (Assumptions), we are proposing that the majority of our work will be performed remotely (off-site) with the exception of specific activities such as Project Kickoff and User Training. If NLCC would like to revise/refine this approach, we are happy to discuss what you need and modify our approach and estimates to address your issues and concerns.

At this time, we have no COVID-19 travel restrictions that will affect our planned on-site presence.

Key Implementation Services Team Member Experience

Information Requested	Response
Team Member Name	Scott Westmoreland
Team Member Role	Project Manager
Team Member Years of Experience in Role	12
Summary Qualifications and Experience of Team Member	Please see **Appendix A - Team Resumes**.
Team Member Professional Certifications	

Information Requested	Response
Team Member Name	Carol Beth Martin
Team Member Role	Project Executive
Team Member Years of Experience in Role	19
Summary Qualifications and Experience of Team Member	Please see **Appendix A - Team Resumes**.
Team Member Professional Certifications	

Information Requested	Response
Team Member Name	Ashley Papp
Team Member Role	Solution Architect
Team Member Years of Experience in Role	9
Summary Qualifications and Experience of Team Member	Please see **Appendix A - Team Resumes**.
Team Member Professional Certifications	

Information Requested	Response
Team Member Name	Jonathan Ward
Team Member Role	Technical Architect
Team Member Years of Experience in Role	10

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Information Requested	Response
Summary Qualifications and Experience of Team Member	Please see **Appendix A - Team Resumes**.
Team Member Professional Certifications	

Information Requested	Response
Team Member Name	Meghan Gallagher
Team Member Role	Functional Lead
Team Member Years of Experience in Role	10
Summary Qualifications and Experience of Team Member	Please see **Appendix A - Team Resumes**.
Team Member Professional Certifications	

Information Requested	Response
Team Member Name	Luke Slevin
Team Member Role	Service Manager
Team Member Years of Experience in Role	11
Summary Qualifications and Experience of Team Member	Please see **Appendix A - Team Resumes**.
Team Member Professional Certifications	

Key Implementation Services Team Member Resumes

Please find team member resumes included in **Appendix A - Team Resumes**.

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Section 8.C: Bidder References

MTX has direct experience implementing solutions for a variety of industries in the Licensing, Permitting, and Inspection (LPI) space in nine (9) states, including recent implementations of liquor and/or marijuana licensing solutions in four (4) states. Specifically, MTX has successfully implemented alcohol licensing projects in both Control and License States. Upon review of the NLCC's requirements, we will highlight our previous work experience with the Iowa Alcoholic Beverages Division, Arizona Department of Gaming, and Vermont Cannabis Control Commission for the purposes of this response. As illustrated below each of these references are recent implementations of similar size and scope to NLCC's CAMP initiative. In addition, our references also include projects with direct involvement from the Key Implementation Services Team recommended for the CAMP initiative.

Qualification	IA ABD	AZ Dept. of Gaming	VT Cannabis Control
Scope and Complexity Similar to CAMP Initiative?	✓	✓	✓
Completed within the last 5 years?	✓	✓	✓
Completed on schedule?	✓	✓	✓
Completed within budget?	✓	✓	✓
Alcohol Licensing Solution?	✓		
Key Implementation Services Team Involved?	✓		
Solution similar to NLCC Requirements?	✓	✓	✓

Reference 1

Information Requested	Response
Reference Organization Name	Iowa Alcoholic Beverage Division
Reference Organization Primary Function	Alcohol Regulation
Reference Contact Name and Title	[redacted], CIO
Reference Contact Telephone Number	[redacted]
Reference Contact Email Address	[redacted]
Project Name	IA ABD Licensing System
Number of Users Involved	30 Internal Users

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Information Requested	Response
Contract Size (approximate total cost)	~$3,800,000
Project Start Date	10/26/2020
Project End Date (Planned, Actual)	6/11/2021 (Initial Licensing Project) Strategy Engagement 10/21-1/22 Enhancements - In Progress
Narrative Description of the Solution Implemented / Scope of Services Provided	The solution enabled external stakeholders to complete licensing and tax reporting processes on the Salesforce Platform. ABD provided a question configuration engine for rapid responses and ABD also utilized mavQ document verification to validate documents that were uploaded into the system.
Implementation Challenges and How Bidder Addressed these Challenges	**Challenge:** The existing solution had an outdated but user friendly web portal. The solution had difficult and inaccurate reporting mechanisms and did not integrate with other ABD IT systems. Furthermore, the payment and tax & shipping reporting management processes were all manual and extremely unwieldy. **Approach:** MTX and MuleSoft helped Iowa build their new eLaps Licensing system and connect their multiple disparate systems using Anypoint. MTX utilized our integrations delivery framework, derived from MuleSoft's Catalyst Framework, to provide real-time integrations and data flows between siloed ABD systems. Our focus was to implement specific playbooks, such as the C4E, of the Catalyst framework to build the IA integrations.
Bidder's Project Manager	Scott Westmoreland
Bidder's proposed Key Implementation Services Team Members and their roles on this project, including subcontractors / partners	Agile Methodology
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	Not Applicable
Indicate whether the work was performed as the prime contractor or as a subcontractor.	Prime

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Reference 2

Information Requested	Response
Reference Organization Name	Arizona Department of Gaming
Reference Organization Primary Function	Gaming Regulation
Reference Contact Name and Title	[redacted], Project Manager
Reference Contact Telephone Number	N/A
Reference Contact Email Address	[redacted]
Project Name	AZ Gaming E-Licensing System
Number of Users Involved	187
Contract Size (approximate total cost)	$565,000
Project Start Date	11/8/2021
Project End Date (Planned, Actual)	Planned 5/1/2022
Narrative Description of the Solution Implemented / Scope of Services Provided	MTX was asked to implement an E-licensing solution built on the Salesforce Platform to manage Licensing & Permitting for Racing, Boxing/MMA Licensing, and employee certification.
Implementation Challenges and How Bidder Addressed these Challenges	The implementation required CJIS compliance so the challenge was maintaining the timeline while ensuring the AWS integration was successful. Open and constant communication between MTX and ADG allowed this challenge to be easily addressed.
Bidder's Project Manager	Mark Guilarte
Bidder's proposed Key Implementation Services Team Members and their roles on this project, including subcontractors / partners	Agile Methodology
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	Not Applicable
Indicate whether the work was performed as the prime contractor or as a subcontractor.	Prime

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Reference 3

Information Requested	Response
Reference Organization Name	Vermont Cannabis Control Board
Reference Organization Primary Function	Cannabis Regulation
Reference Contact Name and Title	[redacted] IT Director for CCB
Reference Contact Telephone Number	N/A
Reference Contact Email Address	[redacted]
Project Name	VT Cannabis Licensing & Management
Number of Users Involved	10 Internal Users
Contract Size (approximate total cost)	$775,000 (initial application module)
Project Start Date	2/21/2022
Project End Date (Planned, Actual)	Ongoing as more phases are required
Narrative Description of the Solution Implemented / Scope of Services Provided	Vermont law legalized recreational marijuana and needed an modern, online solution to prepare for the opening of retail sales.
Implementation Challenges and How Bidder Addressed these Challenges	The only challenge to date is the need to move quickly in order to comply with legislative mandates for businesses to open retail sales. VT CCB staff have been available to help keep the project on time and task.
Bidder's Project Manager	Jeanice Young
Bidder's proposed Key Implementation Services Team Members and their roles on this project, including subcontractors / partners	Agile Methodology
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	Not Applicable
Indicate whether the work was performed as the prime contractor or as a subcontractor.	Prime

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Section 8.D: Project Management Approach

Describe the approach to overall project management and integration of all activities required by the RFP. This section must include:

Project Management Methodology

MTX's project managers combine the Project Management Institute's (PMI) principles and fundamental knowledge (i.e., Project Management Body of Knowledge) with our Hybrid Agile software development life cycle (SDLC), which blends the best of iterative and predictive approaches, with decisive leadership and emotional intelligence. Their approach across all engagements and throughout the life of the project: (1) promotes consistency, (2) increases collaboration, (3) enhances communication, (4) increases visibility, and (5) reduces risk. Other benefits of our approach include:

- Reliability at scale, using a common set of methods, tools, and processes
- Transparency through tighter controls, governance, standard indicators, and reporting
- Business and IT alignment on outcomes and performance measures
- High-quality, predictable results throughout project life

[redacted]
Project Manager

Our proposed Project Manager recently led Iowa ABD's efforts to modernize its outdated licensing platform. Scott helped MTX deliver a modern, user-friendly portal configured to meet ABD's licensing needs on time and on budget.

MTX's project management services teams utilize nine (9) project management disciplines and control mechanisms to deliver projects on budget and on schedule. These disciplines facilitate predictable and reliable delivery of client solutions. These disciplines, with high level descriptors and purpose of each, are:

1. **Budget / Cost Management**
   - Processes for the management of project financial resources throughout its lifecycle
   - Focuses on tracking cost by resource type(s) need to complete project activities
   - Other included processes are those for estimating, budgeting, and controlling costs
2. **Resource Management**
   - Helps achieve success by ensuring resources with requisite skills are assigned
   - Gaps in skills identified as necessary to project completion are addressed by:
     - Defined team building strategies
     - Effective team activity management
   - Aids management of resources throughout project life
3. **Schedule Management**
   - Process by which the steps necessary for successful project completion are coherently documented.

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- Scheduling tool(s) are used to logically group and organize work items, with expected start dates, finish dates, and duration
    - Work items (tasks) are broken down into units of work that are manageable, trackable, and reportable
- Key elements include:
    - Milestones dates and completion steps
    - Related project tasks and dependencies
    - Documented resources responsible for task completion

4. Quality Management

- Describes how product and deliverable quality will be managed through project life
- Defines how team members will implement, support, and communicate project quality practices to be used
- Processes and procedures for conducting
    - Quality assurance planning and activities
    - Deliverables Management and Review Methods
    - Continuous process improvement
- Helps project team determine if
    - Deliverables are of acceptable quality
    - Mechanisms used to managed and create specific deliverable has been effective and appropriate

5. Contract / Change Controls

- Describes the processes required to manage project scope and accompanying change order / management mechanism needed to address changing program requirements
- Establishes alignment between MTX and client in regards to scope and defines work necessary for project success
- Project initiation document (PID) captures expectations for:
    - Project scope
    - Deliverables quality
    - Timelines
    - Cost
    - Business case

6. Project Communications Management

- Sets framework and defines for a project:
    - Communication requirements
    - Method of information distribution

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- How feedback is received from stakeholders

- Guidance on providing timely, accurate, and consistent information

7. **Decision-making Management**

- Defines decision making and project governance strategy in regards to complex, strategic decisions
- Sets framework for addressing complex decisions and maintenance of decision log(s)

8. **Document Management**

- Defines procedures and mechanism for how project documents will be stored, maintained, and shared

9. **Risk and Issue Management**

- Process of identifying, assessing, managing, monitoring, responding to, and reporting on risks and issues
  - Issues are considered risks that have unexpectedly materialized for any number of reasons

Communications Management Approach

MTX has a well-established project implementation and client support strategy that spans all of our engagements. We leverage shared and continually optimized core and enhanced project management strategies to ensure collaborative, timely, and effective implementations across all of our core and custom solutions. Throughout all of our engagements, MTX and its partners focus on building effective relationships with our customers and providing dedicated executive leadership, technical expertise, and end-to-end project management to ensure success in every project.

MTX believes transparent and frequent communication is a critical driver of success for project delivery and for building productive relationships. Our method includes frequent communication touch points. Daily and weekly status meetings/reports provide insights to leaders and staff needed to make decisions, assess project health, and report the most up to date details to their stakeholders. Below is a sample communication plan that would be established with the NLCC.

Activity	Details / Purpose	Duration and Frequency	Responsible	Audience
Daily scrum meeting	○ Review progress made, blockers, upcoming activities	30 min, daily	PM	PM, MTX Delivery Team
Working Session	○ Groom stories and clarify open questions ○ Review prototypes, work in progress	1hrs, 2x week	MTX Delivery Team	PM, MTX Delivery Team, GA OCI Project Team (business SMEs, IT)
Weekly Project Status Call	○ PMO to discuss project status, progress to date, key dependencies, risks, issues, upcoming activities, project meeting needs	1hr, weekly	PM	PM
Weekly Status Report	○ Provide weekly update on project status ○ Provide insights into completed work, upcoming activities, risks and issues	Weekly (Tue)	MTX PM	Executive Leaders, PM
Sprint Demo	○ Review completed functionality during sprint cycle ○ Ensure alignment with end-user expectations ○ Sign off on developed functionality	2+hrs, end of sprint	MTX Delivery Team	PM, MTX Delivery Team, GA OCI Project Team (business SMEs, IT)
Sprint Retrospective	○ Reflect on completed sprint and discuss what went well, opportunities for improvement and any adjustments needed	1hr, end of sprint	PM, MTX Delivery Team	PM, MTX Delivery Team, GA OCI Project Team (business SMEs, IT)
Executive Committee Meetings	○ Provide status to company executives on project status	1hr, monthly	PM	Executive Leaders, PM

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As a standard practice, all MTX projects at a minimum include the following meetings and reports that includes both technical and business audiences.

- **Planning Sessions**: Take place before the official project kickoff. MTX and Client Program/Project Managers organize these sessions to help the leaders of the project to meet and establish rapport; align around project goals, schedule, budget, and timeline; coordinate kickoff and related activities.
- **Project Kickoff Meeting**: Invites all project members to meet and establish rapport; align on scope, timeline, and other critical project elements; establish expectations around roles, responsibilities, and delivery methodology; agree on communication and tools protocol; and schedule upcoming activities. Both parties report back their readiness to move the project forward in all areas of the scope.
- **Scope Checkpoint Meetings**: To report back to project teams on the final selection of requirements/stories for delivery. This meeting sets expectations around development/testing work and ensures alignment on timeline, budget, and scope.
- **Steering Committee Meetings**: Project leaders hold monthly meetings to update project sponsors, executives, and stakeholders around overall project health and alignment with vision. These meetings provide strategic vision and guidance, prioritize program activities, provide an ultimate point of escalation, and are used to approve changes in direction.
- **Project Manager Status Meetings**: Our project managers meet weekly to manage business escalations and risk mitigation, coordinate key activities, and report back status of key project health indicators such as budget, timeline, and scope.
- **Daily Status Meetings**: Delivery team meets daily for 30-minute meetings to provide updates on work accomplished to date, work planned for the day, and any blockers that require attention to complete scheduled tasks. This meeting is conducted by the Scrum Master with the development team in attendance to ensure accountability, on-time delivery, and mitigation of obstacles.
- **Special Meetings**: Formally initiate and exit specific phases of the project including:
    - *Story Refinement Meetings*: Business analysts discover and migrate requirements into Agile stories in collaboration with the NLCC's requirements and stakeholders;
    - *Release/Work Plan Review*: The Scrum Master and project leaders review the high-level sequence of requirements delivery over the duration of the development phase;
    - *Sprint Planning Meeting/Demo/Wrap-up*: The delivery team meets to plan the requirements that will be delivered within the upcoming sprint cycle;
    - *Sprint Demo/Wrap-up*: The project team demonstrates the features that were built during the sprint cycle, discusses the key activities that took place, and officially exits the sprint;
    - *UAT Kickoff*: Project leaders officially kick off the User Acceptance Testing (UAT) cycle by setting expectations around activities, roles, responsibilities, timeline, and scope of work during UAT;
    - *UAT Go/No Go*: Project leaders meet to decide whether the developed features sufficiently passed business acceptance to begin activities to move to production;

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- *Production Go/No Go*: Project leaders meet to decide whether production activities have sufficiently passed to allow for an official go-live of the new system; and

- **Exit Meeting**: At the end of a project lifecycle, MTX holds an Exit Meeting during which project teams review lessons learned, hand off deliverables and assets, review next steps to ensure business continuity and technology maintenance, and sign-off on a plan for backlogged items. These meetings ensure the project wraps up with all outstanding and pending items addressed before project closure.

Issue Resolution Methodology

The Issue Management Plan specifies the processes used to identify and manage project issues. It addresses both internal and external issues on the project that are impacting project schedule, scope, quality, and or resources. MTX Beans is used to enter, track and report issue activity. Both the Issue Management Plan and the issue log will be reviewed regularly throughout the project to monitor existing issues and to identify new ones.

Issues are events that are occurring now or have already occurred. An issue is not an event or item that may occur at a time in the future. For active potential or active issues, MTX executes monitoring, collaboration, and resolution to minimize project and stakeholder impact.

As part of the project management plan, we document issue management roles, responsibilities, and escalation guidelines. The project management plan also describes issue management communications and reporting requirements.

Our Issue Management process includes:

1. Issue Identification and Documentation
2. Issue Analysis and Prioritization
3. Issue Management and Escalation
4. Issue Communications, and
5. Issue Resolution and Close.

Like all project management processes, the MTX issue management processes are designed to be collaborative, transparent, and proactive. Our issue management process is summarized below.

1. **Issue Identification and Documentation** - When issues arise, the project team identifies the issues and documents them in the Beans tool. The identifying team is responsible for entering at least the minimum information, including the description, identification date, and priority.
2. **Issue Analysis, Prioritization, and Escalation** - Project team members analyze the issue and perform an initial evaluation of the source, cause, dependencies, and business and system impacts. Each open issue is discussed at standing project management and team meetings. In these meetings, issues are given a priority of Low, Medium, High, or Critical. Once the priority is determined, it is assigned to a project team member for resolution with a planned resolution date. Issues that cannot be resolved at lower levels within the project team are escalated to the project management team, and, if necessary, to the Project Steering Committee.
3. **Issue Management** - Active issues are managed by the assigned team member, with updates required weekly to the MTX and client project managers. High and critical project issues are escalated and are under the oversight of the MTX Project Director and the Client Sponsor designee. All issues are managed in the MTX Beans issue log is used throughout a project's

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lifecycle to capture any issues brought forward, communicate the issues to the project team and stakeholders, establish categories, priorities of all issues, assign responsibility to each issue, and to ensure that each issue is resolved with minimal impact to the project's performance. Like most other project documentation, the issue log will be reviewed by the project team regularly to ensure that issues are being resolved. The document should be updated and communicated to all appropriate project stakeholders as updates are made.

4. **Issue Communications** - The Beans tool provides a common repository for tracking, monitoring, and reporting issues and has been used successfully on nearly all of MTX's 950 projects. Issue status is provided in the project management dashboards within Beans and is used to monitor and control project issues. Issues are then published to communicate status and facilitate resolution of issues in the appropriate project status report, workstream and project level status meetings, and project stakeholder briefings.
5. **Issue Resolution and Close** - MTX and NLCC teams work collaboratively to resolve issues and once resolved, marks the issues as complete in the Beans tool. Once an issue is resolved, the actual resolution date and resolution comments are recorded.

Risk Management Methodology

The goal of our MTX Risk Management Approach is to significantly reduce and potentially eliminate risks converting into project issues. Our risk management plans address both internal and external project risks. Our risk management process includes identification, analysis, mitigation planning and risk response monitoring and control. The resulting risk management plan and risk log are regularly reviewed and updated throughout the project to identify and monitor new and/or existing risks. Risk management allows our joint MTX and NLCC team to anticipate, avoid, and/or minimize project risks.

Risks are events or conditions that may occur and if realized, can have a positive or negative effect on the project. Exposure to the consequences of uncertainty constitutes a risk. Although by definition risk management may include risks that will have a positive impact on the project, MTX project risk management focus is typically on risks that may negatively impact the project.

The table below lists and describes the standard risk types that are used to categorize project risks.

Risk Type	Risk Type Description
External	Any risk related to environmental factors largely outside the control of the project (such as cultural, legal or regulatory).
Financial	Any risk related to the budget or cost structure of the project (such as increase or decrease in the project-related budget).
Functional	Any risk related to the overall function of the product (such as requirements or design) being developed by the project.
Quality	Any risk related to the quality requirements of the project.
Organization	Any risk related to internal, client, organizational or business changes (such as executive leadership role changes).

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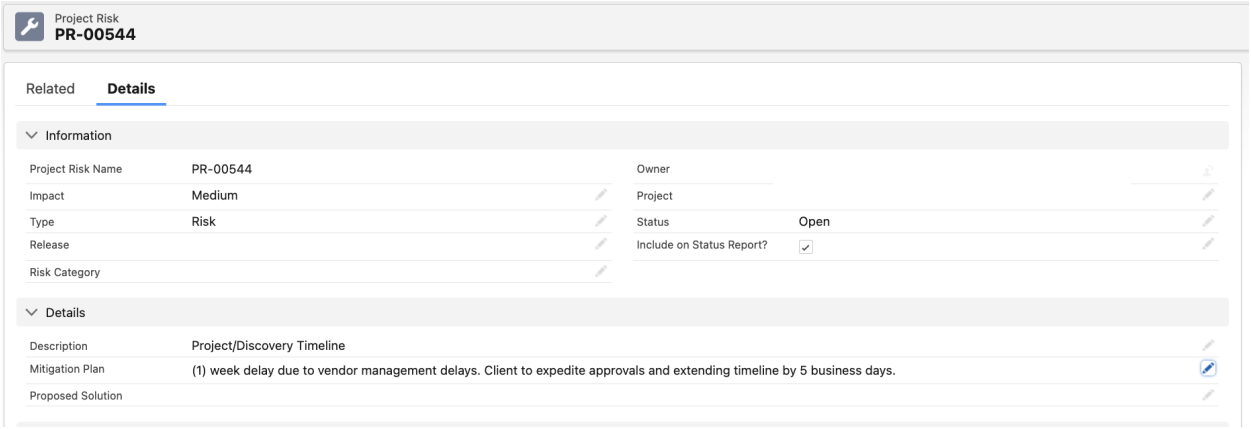
Risk Type	Risk Type Description
Performance	Any risk associated with the performance of the application (such as response time, stress testing and development environments).
Project Management	Any risk related to the management of the project (such as communications, status reporting and issues management).
Resource	Any risk related to project resources (such as the addition or removal of resources).
Schedule	Any risk related to the Project Work Plan and related tasks (such as extensions or reductions of the project timeline).
Scope	Any risk related to project scope (such as process, module and development objects).
Technical	Any risk related to software or hardware, including infrastructure related to the project.
General	Any risk that cannot be categorized into one of the above categories.

Risk Management is a joint responsibility led by the MTX and NLCC Project Managers. Our project managers are responsible for facilitating sessions with project stakeholders to identify risks. A risk owner is assigned to each risk, with the responsibility of developing, documenting and executing risk action plans. Our project managers are responsible for monitoring the status of all project risks and escalating as appropriate.

The MTX Beans Agile Project Management Tool supports the risk management process and includes a risk register. A sample Risk Identification is provided below as well as a summary of our risk management activities.



Sample Risk Identification Screen in Beans PM Tool

Risk Identification

Our risk management methodology uses a top down and a bottoms up risk identification approach. Risk identification starts by identifying all significant risks that could impact the project and then documenting them along with initial response plans. As the project progresses, new risks are identified, while other

risks are mitigated and moved to a monitoring/closeout status. Risk management meetings are held at the workstream, project and stakeholder levels. New risks are logged and managed until a mitigation and risk response plan is in place. High severity, high impact, time sensitive risks are escalated to either the project manager or steering committee level for both awareness and mitigation planning assistance. Escalated risks are reported on the weekly project status report and the monthly stakeholder briefings.

MTX uses the following techniques for risk mitigation:

Technique	Description
Interviews	Interview relevant project stakeholders to identify their concerns, which may provide insight into real project risks.
Risk brainstorming workshops	Conduct risk brainstorming workshops with relevant project stakeholders to identify risks, including key risk influencers, risk levels, and possible impacts.
SWOT analysis	Conduct strengths, weaknesses, opportunities, and threats (SWOT) analysis to gain a holistic view of the project with respect to risk. ● Threats are project risks ● Opportunities represent lost potential benefits if not pursued ● Weaknesses, if not properly mitigated, can negatively impact a project ● Strengths should be leveraged to help the project mitigate the identified project threats
Process reviews	Identify process-related risks by reviewing the various project management processes, tools, and techniques described in the Quality Management Plan.
Previous project reviews	Identify risks from previous projects of similar size and complexity, using available project data and lessons learned.
Project Team Members Risk Submissions	Project team members (MTX and Client) are encouraged to report risks to workstream and project management leads. Like any other risks, these risks are evaluated and logged into the project risk register for analysis and mitigation planning.

Risk Analysis

Risk Analysis is the process of examining each risk to understand the risk source or category, isolate the cause/trigger, quantify the probability of occurrence, and determine the nature and impact of the results if realized. MTX's risk analysis process uses both qualitative and quantitative parameters. As a result of the risk analysis, risks are rated and prioritized by severity in the MTX Beans Project Management Tool.

The result of the risk analysis activity is to score risks for probability and impact. After scoring, we calculate severity and use the combined rating to inform the risk mitigation plan. Additionally, risk triggers are established for each risk. Triggers are agreed thresholds whereby the risk is advanced to issue.

The following represent the risk impact/probability matrix used to internally score the risks for the purpose of prioritization. The resulting product from multiplying risk probability and impact determines the severity rating (score) of the risk. The higher the risk score the more important it is that the risk is managed.

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		Probability				
		1-Low	2-Low/Medium	3-Medium	4-Medium/High	5-High
Impact	5-High	Low (5)	Medium (10)	High (15)	High (20)	High (25)
	4-Medium/High	Low (4)	Medium (8)	Medium (12)	High (16)	High (20)
	3-Medium	Low (3)	Medium (6)	Medium (9)	Medium (12)	High (15)
	2-Low/Medium	Low (2)	Low (4)	Medium (6)	Medium (8)	Medium (10)
	1-Low	Low (1)	Low (2)	Low (3)	Low (4)	Low (5)

Score	Severity
1-5	Low
6-12	Medium
13-25	High

The risk response matrix below is used to consider the appropriate action required for each risk in relation to its impact / likelihood. Guidance on the review periods for each level of risk is the minimum level of review required, but certain risks might warrant more regular reviews.

High	**3**	Implement Further Actions to Reduce Risk; Continue Existing Controls; Generate Contingency Plan; Review at least every 2 weeks	Urgently Take Further Remedial Action to Reduce Risk; Contingency plan on standby; Review at least every week	Take Immediate Further Remedial Action to Reduce Risk; Contingency plan on standby; Review Continuously
Impact	**2**	Tolerate; Continue existing Control Measures; Possible Contingency Plan; Review at least 2 weeks	Implement Further Actions to Reduce Risk; Continue Existing Controls; Generate Contingency Plan; Review at least every 2 weeks	Urgently Take Further Remedial Action to Reduce Risk; Contingency plan on standby; Review at least every week
Low	**1**	Tolerate; No action: Continue Control if Required; Review at least monthly	Tolerate; Continue existing Control Measures; Possible Contingency Plan; Review at least 2 weeks	Implement Further Actions to Reduce Risk; Continue Existing Controls; Generate Contingency Plan; Review at least every 2 weeks
		1 Low	**2 Probability**	**3 High**

Risk Mitigation Planning

Risk Mitigation Planning involves determining the proper strategy to address a risk, based on its severity, impact, and time criticality. Once an appropriate strategy is determined to address a risk, tactical details, roles, and responsibilities are defined for the execution of that risk response strategy. Risk mitigation plans for each risk are documented in MTX Beans. Risk Mitigation Plans are defined in a collaborative effort between MTX and Client project managers, and if appropriate, MTX and Client Project Sponsors. Ongoing monitoring of valid risks, as well as identification of new risks is performed through the entire project design, development and implementation phase.

Risk Response Monitoring and Control

Risk monitoring and control takes place throughout the life of the project. Our joint Project Management Team actively monitors risks and responds with mutually agreed-upon risk mitigation plans when risks

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thresholds are triggered. Risk monitoring and control is an ongoing activity that requires input from all impacted project stakeholders. To enable effective risk monitoring and control capabilities, it is critical to track risks in a consistent manner and provide access, visibility, and up-to-date status to the project stakeholders that need it in a timely manner. The MTX Beans tool and its risk management capabilities provide the essential information needed to effectively monitor and control project risks.

What does MTX Project Risk Management mean for Nebraska?

MTX Project Management and Risk Management Methodology is based on our cumulative experience, commitment to real time transparency and collaboration, holding all project stakeholders, MTX included, accountable for the ultimate success and benefit realization of the project.

Key Implementation Risks and Risk Mitigation Strategies

As part of our proposal response project planning process, MTX has conducted a preliminary risk analysis in accordance with our risk management methodology. The following table lists the top risks on the NLCC project and how our proposed solution, approach and team are structured to mitigate the risks.

Risk ID and Description	How MTX Proposed solution mitigates the risks
Unrealistic vendor implementation workshare expectations	MTX and Client to clearly define an accountability matrix for vendor relationship management and decision authority. Both parties are to maintain consistent communications to ensure no impact to project timeline and stakeholder management.
Configuration Over Customization	Where applicable, MTX Technical and Business Architects SMEs will take into consideration process and data model efficiencies for declarative configuration as opposed to custom code not to leverage best practice, but to account for scalability and system maintenance during development and post deployment.
SME, Tester Availability	MTX and NLCC to ensure proper communications and proper parties are involved well in advance for all necessary critical project phases and agile ceremonies such as project/workstream discovery, sprint demo and UAT for client testing and feedback. MTX will also conduct formal kick-offs to ensure NLCC properly understands the roles and expectations of each role to ensure project success.
Super User buildup to accelerate adoption	Where applicable, MTX advises NLCC to identify and leverage Admin Users participation during all phases of the project implementation as this will allow NLCC to develop a strong user-base that can learn the solution alongside the MTX development/testing and training teams. MTX will coordinate timing of shadowing and discussion efforts to allow for Admin and Super User's to serve as internal SME's for improved user adoption.
Knowledge Transfer	Knowledge Transfers (KT) may occur throughout the various project phases and both parties are responsible to ensure proper KT is conducted for the following but not limited to: - Resource Onboarding - Resource Replacements - Vendor Management - Steering Committee Meetings

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Risk ID and Description	How MTX Proposed solution mitigates the risks
Scope Management and Over Automation	MTX understands the importance of developing projects within scope, budget and timeline. MTX fosters an environment that allows for NLCC to identify scope related changes and to address scope in (3) different methods: ● Priority-based requirements that can be interchanged between sprints after Level of Effort (LOE) and impact are assessed and any change is approved by both MTX and Client. ● Approved Change Orders to account for additional scope that was not considered during Discovery to developed and deployed within the existing/executed Statement of Work (SOW) ● Backlog of requirements categorized as enhancements will be organized into a “Phase II” bucket that can serve as a repository for future work that can be completed in a subsequent project or SOW based on NLCC’s timing, preference and urgency.
Data Migration (Clean data)	Data Migration is critical to project success and thus MTX recommends early collaboration with NLCC’s Data Management SME to ensure data is identified, reviewed, cleaned/manipulated and mapped accordingly with the Data Quality and Data Migration preparation planning prior to User Acceptance Testing.
Performance Testing	Due to the level of data, volume and usage for the cloud-based liquor licensing solution, MTX is experienced in leading Performance Testing with Salesforce for proper volume testing and validation prior to go-live. MTX will provide ample notice and coordinate with the NLCC Project Manager and Leadership team well in advance to streamline the development, UAT and Performance testing.
Deployment Change Over Plan	MTX recognizes this importance of proper planning ahead of sunsetting or running several SaaS platforms in parallel during a production/go-live effort. The MTX team will prepare, review and execute a defined plan that is coordinated and approved by both parties to ensure each step is captured and articulated across project teams for alignment.

Sample Risk Register

Our guiding principles around project management and delivery protocol ensure effective risk and issue management throughout the entire project lifecycle through proactive documentation, communication, and mitigation planning.

The project manager documents, tracks, and updates all open and closed risks and issues in a Risk and Issue Register which contains the following information:

#	Description	Type	Impact	Status	Mitigation Plan
1	<Description of risk or issue>	<Risk or Issue>	<High, Medium, Low>	<Open, Closed>	<Date, Plan, Owner>

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We define risks as conditions on the project that may interfere with successful delivery of the project. Once these conditions actualize and start to interfere with the project, these conditions are considered issues.

As part of documenting these details, the project manager recommends a mitigation plan which includes the date of the mitigating actions, the steps required to mitigate the risk, and a clear owner between MTX and the NLCC. This mitigation plan will be validated with the NLCC project leads and is tracked on a week by week basis until the risk or issue is closed.

Quality Management Approach and Methodology

MTX Quality Management Methodology (MTX Quality) describes how the quality of the project will be managed throughout the lifecycle of the project. It also includes the processes and procedures for ensuring quality planning, assurance and control processes are all conducted. For post production support and enhancement projects, the Quality Management Plan also ensures that existing application documentation is updated as needed. MTX briefs appropriate project stakeholders on the project quality management plan, procedures, roles and responsibility.

Our Quality Management Plan established the activities, processes, and procedures for ensuring a quality product is delivered upon the conclusion of the project. The goal of our project quality management plan include:

- Ensure quality is planned
- Define how quality will be managed
- Define quality assurance activities
- Define quality control activities
- Define deliverable and product acceptance criteria

We take a collaborative and transparent approach to phase gate and deliverable acceptance criteria and approvals.

MTX Delivery Methodology provides “stage exits” or points in time during the project when the MTX and stakeholders (as documented in the Roles and Responsibilities List) will review the deliverables in detail and accept or reject the work (or accept with noted revisions). Every effort will be made to identify all stakeholders and plan for their participation in the acceptance process. Each phase of the MTX delivery methodology is planned, documented, and reviewed by all applicable stakeholders. Each deliverable will be reviewed and approved, if required, before proceeding to the next stage. Stage exit reviews will be conducted at the end of each project lifecycle phase.

MTX Quality Assurance Activities help to monitor and control quality on this project. MTX Delivery Methodology provides for five project phases (Initiation, Discovery and Design, Development and Quality Assurance, Testing and Training, and Deployment and Rollout), each with required documentation, reviews and approvals. The phases will be executed and monitored during the project.

The quality of the project outcome depends upon the quality of these plans, documents and knowledge transfer phases. Their quality is ensured by walkthrough reviews done by knowledgeable and invested stakeholders. A formal change control process will be followed for modifications required to documents that have been reviewed and approved.

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Project and Quality Management documentation will be stored in the designed project document repository. We typically use a secure Google Drive or client provided Microsoft SharePoint Repository.

MTX uses verification, validation and structured walkthrough techniques to promote quality in deliverables. Our approach to each activity is described below:

Verification - The objective of verification is to make sure that a deliverable is correctly derived from the inputs to the stage that creates it, is internally consistent, and conforms to standards. The verification of a specification deliverable identifies errors in that deliverable before they are passed onto the next stage of development. The resulting benefit is that errors are caught early in the development process where they can be addressed with a minimum of effort, rather than during testing where correcting errors becomes costlier. Verification is the process of checking that a deliverable is correctly derived from the inputs and is in the correct format, while testing makes sure that the specification was properly implemented.

The purpose of MTX verifications activities is to:

- Self evaluate a deliverable against MTX and Client appropriate project standards
- Identify and correct defects as early in the process as possible
- Identify potential scope, schedule and resource changes and offer alternates where possible to avoid the necessity to initiate project change requests.
- Reduce time and costs that result from rework

Validation - MTX validation uses techniques similar to verification (e.g., testing, analysis, simulation) and covers MTX delivered products such as Salesforce Platform Configuration, Interface Programs, Migration Programs, Reports and Analytics. Validation activities are performed with each configuration and development sprint by creating, testing, and demonstrating incremental or completed products. Depending on product type testing methods may include usability tests with representative end users and peer reviews. We also like to engage client technical teams to review design patterns, configurations, and code to accelerate peer reviews and knowledge transfer sessions into the design and development phase of the project.

Structured Product and Deliverable Walkthroughs - Deliverables are also monitored and controlled for quality through a process known as a Structured Walkthrough. The Structured Walkthrough process is used to identify and correct errors early in the development process by evaluating a deliverable according to MTX PMO and Client guidelines and project standards. A Structured Walkthrough can be formal (meeting with a facilitator to guide the process) or informal (document reviewers email their comments to a scribe who will compile the results). This process is intended to reduce the number of problems and warranty issues, as well as reduce the time and costs resulting from rework. The output of the Structured Walkthrough includes the following documentation that are logged in the MTX Beans Agile Project Management System:

- Action Items
- Errors
- Issues/Risks
- Suggestions/Omissions

Deliverables are reviewed for quality in terms of the following criteria (as applicable):

- Clarity

- Contractual concerns
- Functional content and accuracy
- Performance impact
- Project standards/format
- Scope
- Technical content
- Value/benefit to the client

On most MTX Projects, we conduct verification and validation activities with every agile configuration and development sprint. MTX will work with the State Project Manager to implement a supportable cadence for client facing validation and structure walkthroughs.

Configuration Management Methodology

MTX Software Configuration Management (SCM) Processes specifically address configuration management for our configured and customized Salesforce Platform Solutions. Configuration management policies and procedures for the Cloud Platform Infrastructure (Salesforce, AWS, Azure, mavQ, etc.) are governed by the pertinent cloud platform infrastructure provider.

MTX Software Configuration Management (SCM) approach seeks to establish and maintain the integrity of configured and customized work products (referred to as Configuration Items (CI)) using:

- **Configuration Identification** - defines the functional and physical characteristics of a CI in sufficient detail so that it may be developed, tested, evaluated, produced, competitively procured, accepted, operated, maintained, and supported. Configuration Identification is established by baselines plus approved changes.
- **Configuration Control** - Configuration Control is the process of evaluating, approving or disapproving, and managing changes to controlled items. This includes tracking the configuration of each of the CIs, approving a new configuration if necessary, and updating the baseline.
- **Configuration Status Accounting** - Configuration Status Accounting is the process of creating and organizing the information necessary for the performance of configuration management. An element of configuration management consisting of the recording and reporting of information needed to manage a configuration effectively. This information includes a listing of the approved configuration identification, the status of proposed changes to the configuration, and the implementation status of approved changes.
- **Configuration Audit** - Configuration Audits are conducted to verify that a CI, or a collection of CIs that make up a baseline, conforms to a specified standard or requirement. This includes functional and physical configuration audits.

Configuration Items (CI) are entities designated for configuration management, which may consist of multiple related work products that form a baseline. This logical grouping provides ease of identification and controlled access. MTX technical lead will designate the work products subject to configuration management, afterwhich a configuration management baseline will be established no later than at the end of the discovery and system architecture activities.

The MTX software configuration management (SCM) plan defines the configuration management policies and procedures. Our approach is tailored for each project to not only reflect the MTX proposed platform

technologies under configuration control, but also address how to align with our client's configuration management standards and toolset investments.

SCM high level roles and responsibilities are described in the table below:

Role	High Level Responsibilities
MTX Project Manager and/or Project Director	• Establish SCM activity schedule in the project plan • Validates that team members have been trained in and knowledgeable of MTX SCM concepts and techniques applicable to the project • Align MTX SCM compliance process with client technical and the Change Control Board (CCB) governance organizations. • Ensure MTX and Client SCM compliance activities are followed per the schedule • Participate as a member of the Project Change Control Board
Client Product Owner or Sponsor	• Ensure compliance with the SCM standards and procedures set by the Client Technical Groups, the (CCB), and any other affected groups as outlined in this plan • Participate as a member of the Project Change Control Board
MTX Technical Lead, MTX Application Lead	• Responsible for planning and implementation of the MTX SCM Plan. • Identifies Configuration Items and the Configuration Baseline • Identifies Changes to the Configuration Baseline • Responsible for consistent execution of SCM planning, software change management, SCM tracking, audits, and reporting activities. • Responsible for scheduling and facilitating client facing configuration audits and peer reviews related to SCM Configuration Plan and Configuration Item audits. • Responsible for updates and communications of the SCM plan as required.
Client Project Change Control Board	• Monitor changes and updates to project requirements • Authorized approvers for the establishment / changes to application baselines and the identification of CIs • Ensure that all approved changes and updates to CIs are placed under configuration control • Use the SCM Plan as its primary decision-making resource • Authorized approvers for the submission of Change Requests and supports • Reviews and discusses new change requests with CCB members and affected stakeholders • Prioritizes change requests • Authorizes research on change requests • Approves the commencement of work on change requests (make active) • Reviews the status of active change requests • Create and communicate minutes from the CCB to affected groups

The following project work products are considered for configuration management based on the following criteria:

- May be used by one or more work groups
- Are expected to change over time either because of errors or change of requirements

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- Are dependent on each other in that a change in one mandates a change in another/others
- Are critical to the project

Items in the following categories are selected to be placed under configuration management:

- Project Management documentation, including Project Plan and Project Charter
- Project documentation, including all deliverables, Structured Walkthroughs (SWT), Exit Reports
- Models
- Interfaces
- Process descriptions
- Product/Application data such as lookup tables, system files
- Source code and executable code
- Test scripts
- Test data
- Metrics, status reports, quality review reports, etc.
- Support tools, including compilers, editors, testing tools
- Touch Point documentation including EA solution documents, Platform Infrastructure Services Request and Security Plan and Assessment

Each item under configuration management control receives a configuration item identification number, baseline identification, and configuration management repository assignment.

- Identification of Configuration Items
- Configuration Items
- Baseline Identification
- Repository Identification
- Configuration Item Identifier

MTX software configuration management plan classifies configuration items as 1) fully controlled or 2) managed and controlled. Each is defined below.

Fully controlled CIs are work products are baselined after approval and can easily be recovered from backup. Once baselined, any changes to the work products require an approved change request and a new baseline will be captured.

Managed and Controlled are work products that are “managed and controlled” are under version control and can easily be recovered from configuration repositories. Changes to the work products are tracked in a revision log and previous versions of the work product are accessible for reference. An approved change request is not required to make changes and no baseline is captured. This is sometimes known as “version control”.

The following table represents MTX configuration management processes and tools for common configuration item types. We will work with NLCC to determine the proper repositories, whether G-Drive, SharePoint, Beans, etc.

Configuration Item Type	Responsible for placing item under control	When item is put under control	Type of Control Needed
Project Plans, Sprint Plans and Close Out Reports	Project Manager	Upon plan acceptance.	Full Control after signing
Project documentation (Stories, Use Cases, Structured Walkthroughs	Client Business Owner Approves, MTX Functional Lead responsible for baselining and putting under configuration control.	Target is at the completion of the discovery phase.	Managed and Controlled in Discovery Sprints Full Control after start of Design and Development Sprints
Requirements Traceability Matrix	MTX Project Manager	Contract Signing, RTM baseline submission acceptance	Full Control
Salesforce Configurations (Data, Process, Reports, Security Roles)	MTX Technical Lead, Application Manager	Completion of design and development sprints for each NLCC Model.	Managed and Controlled
Interface Control Documents	MTX Interface Lead	Acceptance of each interface control document.	Managed and Controlled
Interface Code	MTX Interface Lead	Completion of MTX System and Integration Testing of each Interface	Managed and Controlled
Data Migration ETL Programs	Business Owner (aka Product Owner)	Completion of MTX Mock Data Migration Testing	Managed and Controlled
Test Plans, Scenarios and Cases	MTX and Client Test Leads	Acceptance of test plans, test scenarios and test cases.	Managed and Controlled
Software Releases	MTX Technical Lead	Upon release deployment approval for development and production releases.	Full Control
Project, Test, Configuration audits and status reports	MTX Project Manager	Two days after delivery of status or audit report.	Full Control

MTX PMO and Technical leadership maintains a corporate software configuration management plan for our client implementations. The MTX Project Technical lead tailors configuration management guidelines for project configuration items for each project. The MTX Project Technical lead is also responsible for training the project team on the project configuration management requirements, processes, procedures and tools.

Change Control Methodology

MTX recognizes that there might be changes to requirements throughout this project. The project change control process can be initiated for scope, schedule or resource changes by either MTX or NLCC.

Changes in scope will be accommodated provided that the level of effort does not affect the total number of sprints, the item is not explicitly listed as out of scope, and the item does not exceed the Not-to-Exceed cost threshold. Over the course of the deployment the introduction of new features, or the modification of the requirements of existing features, that increase complexity may require the de-prioritization and/or removal of other equivalent features from a requirements/features backlog to ensure the project scope remains within the original project timeline and budget.

If removal of an equivalent feature is not possible or not desired, a Change Request will be required for the additional work to be delivered. Any change to requirements that impacts features or functionality that have already been delivered, including features that have been delivered but not yet accepted, will be considered a new feature and will need to be prioritized into the backlog. No changes shall be made to feature requirements being delivered in a planned or ongoing sprint.

Statements of work (SOW) may be amended by the mutual agreement of both MTX and NLCC and must be evidenced by a written Change Request that is reviewed and signed by both MTX and NLCC. Change Requests describe the changes in the services to be provided by MTX, the schedule for completion of any such services, assumptions, dependencies, conditions, and any additional fees for such changes.

Change Requests will be required if there is a significant change in scope or schedule as defined by NLCC. Each Change Request will act as an amendment to SOWs. All Change Requests must be agreed upon by both MTX and NLCC in writing prior to implementation. Upon its execution, MTX will provide the services pursuant to the terms outlined in the SOW.

Notwithstanding the above. MTX can also make resource-level changes to accommodate project needs as long as there is no impact to the overall budget. These changes will require documented acceptance from both MTX and NLCC via a project scope baseline adjustment document, the format of which will be agreed upon during the project.

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Section 8.E: Implementation Approach/Deployment Strategy

MTX will utilize our Project Management Methodology, its extensive project management toolset, and its emphasis on metrics-driven outcomes to implement LPI. Our method blends the best of iterative and predictive approaches and enables a creative process that anticipates the need for flexibility and applies a level of pragmatism. MTX will be transparent with NLCC, test frequently, and deliver functionality as soon as it is developed. The specific steps and deliverables of each phase vary by project, but the core tenets ensure your satisfaction, innovation, thought leadership, quality, and predictability remain intact.

Key Guiding Principles of MTX Approach to Solution Implementation

Our project development methodology has five phases:

- **Phase 1 - Project Initiation**. Culminates with a project kickoff meeting so that team members understand project objectives, challenges, client expectations, and their roles and responsibilities.
- **Phase 2 - Define and Design.** MTX engages with the NLCC in discovery sessions to map out the requirements and deliver detailed, agile sprint-based plans. We engage with NLCC to understand the underlying technology and connectivity options to design an integration plan.
- **Phase 3 - Development and Quality Assurance.** MTX rapidly and incrementally develops, prototypes, and demos the solution for NLCC review. This phase is marked by multiple iterative design sprints and each ends with the client reviewing and confirming the solution developed during that sprint meets requirements.
- **Phase 4 - Testing and Training.** This phase is divided into (a) user acceptance and testing (UAT) and (b) training. MTX builds a detailed UAT plan for testing and artifacts. At the end, we provide a list of the identified and resolved issues for approval and sign-off.
- **Phase 5 - Deployment and Rollout.** MTX deploys the system. Regression testing confirms that full functionality has not been affected by deployment efforts.

Our approach delivers a product that is fit-for-purpose, within scope, on time, and is adopted. Each phase has typical deliverables that are delivered prior to moving on to the next phase. These deliverables constitute the Exit and Entry criteria for moving forward to the next phase of development. Furthermore,

we leverage our integrated project management tool and proactive risk management processes to mitigate issues ahead of time.

Section 8.F: Design and Development Strategy

Requirements Analysis Approach

MTX will engage with NLCC in detailed discovery sessions to map out requirements and deliver detailed project plans in Sprint-based methodology. We engage with system owners to understand underlying technology and connectivity options to design optimal integration approaches. Subsequently, we define a full set of user stories requirements and design the solution architecture and integration approach. MTX collaborates with technical and functional stakeholders to vet design decisions early and begin planning. At the end of this phase, we review these stories with NLCC and seek requirements sign-off to ensure we build the solution according to NLCC's approved requirements.

Discovery Sessions: Consists of high-level discussions, meetings, and activities in regards to the project's objectives, definition of and metrics for success, and deep dives into aspects of the project's scope. MTX will provide a discovery plan prior to project kickoff which will outline the expected meetings and activities of discovery. The plan will also include placeholder meetings for follow-up conversations and MTX will provide the agenda and required attendees at least 24 hours in advance. MTX will take detailed notes of each discovery session and record the meeting electronically. MTX may require additional meetings that were not in the discovery plan due to additional questions, logistics, and/or details that may be uncovered during sessions.

After completing discovery sessions for a given scope, MTX will compile all captured requirements into deliverables, which may include detailed spreadsheets, current state process flows, future state process flows, mockups, or other artifacts that hold the requirements prior to creation of the stories. If process flows are part of discovery, MTX will review a draft of the process flow with NLCC prior to beginning user story creation. NLCC will be expected to review process flows and provide feedback if they are correct, detailed enough, and fully cover processes.

- **User Stories:** MTX uses User Stories to capture use cases, persona(s), acceptance criteria, solution, and assumptions:
- **Use Case** - Describes the specific user-driven activities needed for the functionality.
- **Persona(s)** - User types that will perform and/or be affected by the functionality.
- **Acceptance Criteria** - The future state that the functionality will create and describe the step by step functionality that needs to exist for the story to be considered complete.
- **Solution** - How to accomplish the acceptance criteria and details the configurable approach used and/or any custom development needed.
- **Assumptions** - The assumptions the functionality makes or requires. The assumptions can include prerequisites, dependencies, laws or statutes, activities that must take place outside the system, or functionality explicitly called as out of scope for the story.

Business requirements are captured within the User Stories through use cases and future state acceptance criteria. Non-functional requirements are omitted from the User Stories when Salesforce is used as a solution because Salesforce handles all non-functional requirements for configurable functionality. Custom development follows the rigors and standards set forth in the technical section.

Out-of-Scope Functionalities: As standard practice, MTX resources will seek to understand NLCC's organization and may discover out-of-scope functionalities. MTX resources may address the functionality being out-of-scope directly, or they may review, provide a full story and estimate, and notify NLCC in the scope checkpoint. Discussion of a subject in discovery is no guarantee of accepting the scope.

Development Approach

The Salesforce Lightning platform lets MTX implement a large percentage of business logic using point-and-click features such as processes and flows (i.e., configuration). However, some business logic cannot be easily fulfilled via configuration and will require customization. Apex Code is leveraged for custom development in Salesforce environments.

Apex is a strongly-typed, object-oriented programming language that centralizes and executes flow and transaction control statements on the Lightning platform, in conjunction with application calls to Salesforce APIs. Using syntax that looks like Java and acts like database stored procedures, Apex can be used to add custom business logic to most system events, including button clicks, related record updates, and UI pages. Web service requests and database triggers on objects can also initiate Apex code execution.

In addition, Salesforce offers Salesforce DX, where users can build their own customizations in a collaborative environment. For more information, please visit the Salesforce DX Developer Guide.

Configuration Management

Our proposed system can be easily modified for future business needs, processes, and/or functions. The platform is also interoperable, can be easily integrated, and exchange data with other state agencies. The Salesforce platform provides NLCC a range of configuration options that can be set via point-and-click. Ease of use is one of the most important factors in ensuring broad adoption and organizational utility. To achieve the highest value from the solution investment, NLCC can configure the Salesforce solution to best fit its user's requirements. The Salesforce Platform offers tools for "no compromise customizations," to make it possible to create both fast and easy configuration, as well as customizations. NLCC can customize the Salesforce application through clicks or code methodology. Salesforce configuration, development, and administration is focused 80% on clicks vs. 20% code, improving cost of ownership and enabling non-technical business users to extend existing Salesforce functionality and/or create entirely new applications that run in the Salesforce framework. Through the point-and-click methodology, custom fields, custom objects, and new applications are easily configured in Salesforce. Customizations are stored as metadata and interpreted at runtime allowing the core code to be upgraded while guaranteeing that customizations will work across upgrades. Below are some typical customizations made by users:

- **User Interface.** Salesforce enables NLCC to build user interfaces that match your brand, look, feel, and the exact behavior you need and can be done through declarative development tools (point and click, drag and drop). Users can further augment their individual view through the same point and click process so that they get a solution that is personal and fits their work style.
- **Workflow.** NLCC will have the ability to set up workflow with simple clicks. Automate common operations such as tasks, alerts, data population, outbound XML messages and more without IT support or code.
- **Objects and Fields.** New fields, objects, and applications are easily configured. The point and click, drag and drop methodology enables NLCC to extend existing Salesforce functionality and/or create entirely new applications that run in the Salesforce framework.

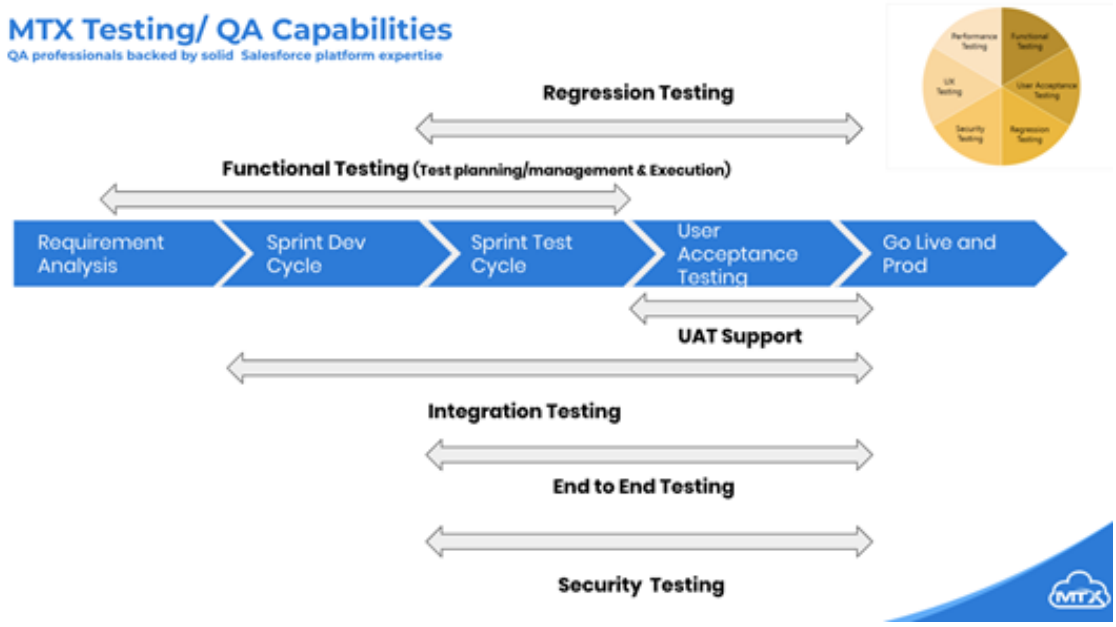
- **Reports and Dashboards.** Customizing reports is as easy as pointing and clicking—enabling you to react quickly to trends and opportunities as NLCC spots them. The dashboard facility will allow you to build dashboards based on standard or custom reports to present high-level graphical representation of detailed report data. Anyone can build comprehensive reports and dashboards using a wizard-driven reporting engine.

Section 8.G: Test Strategy

Development and Quality Assurance (Testing Services)

MTX leverages a wide range of testing services, conducted concurrently with solution development, to ensure the solution will perform as per requirements. MTX Quality Management services will assure that appropriate levels of quality control activities are performed and shall provide the client with appropriate visibility into the processes being used and the application being built. Quality Management activities will assure that development proceeds along mutually agreed upon requirements, allows bugs and defects to be caught early in the development process, and ensures risks are well understood and appropriately mitigated or managed.

MTX Quality Control involves monitoring both the process and the application to determine if the project is meeting relevant quality standards and identifying ways to mitigate risk or eliminate causes of unsatisfactory results during the implementation. We conduct periodic executive review and evaluation of the management processes, as well as overall project performance, to assure that the project will satisfy relevant quality standards.



QA within Delivery Life Cycle

MTX's testing methodology for projects and deliverables is intentionally designed to complement our iterative agile development methodology. We achieve this in a number of ways, including:

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- Keeping stakeholders informed via our Weekly Status Reports (WSR). WSRs provide an easy, consistent way for stakeholders to monitor the project. This report is generated by the Project Manager to communicate overall project health and it also enables discussions that would be necessary to mitigate any potential risks that have been called out. More details about the WSR can be found under “Communication”.
- Regular sprint planning and roadmapping sessions to provide flexibility to the business owner/s and the project team to change the order and priority of specific project deliverables as needed, avoiding impediments or requirement gaps needing further discussion before development.
- Sprint retrospectives enable the entire team to address any gaps in team functions or processes. This empowers the team to reduce or remove blockers and maintain a good sprint velocity.
- Team-wide focus and ownership/responsibility to produce quality deliverables.
- Performing quality assurance testing throughout and across ALL phases of the Delivery Life Cycle, to stay in lockstep with iterative development.

QA within Agile

Communication

MTX’s process for tracking and communicating changes is via MTX's Weekly Project Status Report (WSR). To keep project stakeholders advised, we publish our WSR to stakeholders every week and hold a WSR meeting once a week to perform a readout and walkthrough of the WSR with our stakeholders. The WSR is used to communicate all aspects of project health to project stakeholders, and includes sections specifically dedicated to Executive Oversight/Timeline/Budget, Key Deliverables Tracker, Open

Risks, Resolved Risks, and Key Decisions, as well as Activities Completed/Current Week and Activities Planned/Upcoming Week. All major defects or enhancements identified during Quality Assurance testing will also be included in the Open Risks or Key Decisions sections of the WSR.

All lesser/minor defects, enhancements, stories, and epics will be logged, maintained, and tracked in the defect/project tracking tool of NLCC's choosing. It should be noted that MTX also provides our internally developed project management tool, MTX Beans, to support the project management and development efforts for this engagement. Key NLCC users and project members will be given access to this tool.

MTX's entire project team has an ownership stake and responsibility to provide quality deliverables, guided by the direction, feedback, and oversight from our Quality Lead and Quality Analysts. At all phases of the SDLC, we execute iterative quality assurance and testing activities in lockstep with development activities. As the product evolves our Quality Analysts are constantly:

1. Adding to and evolving the project's test strategy,
2. Updating and maintaining test artifacts such as test cases and test data,
3. Executing all types/classes of tests suited to the current phase of the project, and
4. Reporting and managing defects and findings from all Quality Analysis activities.

MTX's Quality Control Roles and Responsibilities:

Project Manager (PM): Responsible for ensuring that development and quality assurance activities are being executed in a timely manner, so as not to negatively affect the project timeline or budget. Biggest quality assurance activity for the PM is to communicate any major defects or gaps/enhancements to stakeholders via the Weekly Status Report (WSR) and to ensure any necessary meetings/discussions between project team and stakeholders are done in a timely manner.

Business Analyst (BA): Responsible for providing oversight, feedback, and sign-off as to the business requirements before, during, and at the completion of development deliverables. Activities include gap analysis, requirements elaboration, user story creation, and maintenance.

Technical Lead (TL): Responsible for overall development and all deliverables created by Developers. Coordinates tasks to the developers. Works closely with Technical Lead and Business Analyst to ensure timely development, testing, and delivery of sprint goals. Works with Technical Architect to ensure development stays on course with the overarching design.

Developer (Dev): Responsible for completing development and configuration tasks assigned by the Technical Lead. Works closely with all team members to ensure constant velocity and help remove blockers. Activities include front-end development, back-end development.

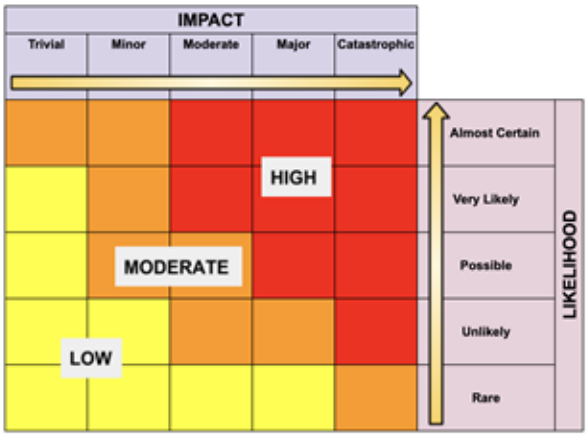
UX/UI Consultant: Responsible for creating immersive user experiences and ensuring great looking content on any device. Uses modern front-end development tools, techniques, and methods for the creation of user-facing interfaces. Creates high quality mockups for review and approval by stakeholders and to assist project teammates with development and testing efforts.

Quality Analyst (QA): Responsible for providing oversight, feedback, and sign-off as to the quality of development deliverables. Works closely with all team members to ensure constant velocity and help remove blockers. Activities include test execution, defect reports, test case and test data creation and maintenance, and test strategy documentation and maintenance.

Quality Lead (QL): Responsible for overall test strategy and all deliverables created by Quality Analysts. Coordinates tasks to the quality analysts. Works closely with Technical Lead and Business Analyst to ensure timely testing and delivery of sprint goals.

Quality Control Testing Techniques

MTX can provide, upon request, our issue life cycle (defect life cycle) diagram. Our issue life cycle diagram outlines, in specific detail, the life cycle that all issues/defects go through, as well as defining which role is the owner for each step in the workflow and the owner's responsibilities as part of each step. MTX uses a risk matrix to aid in prioritizing and scheduling fixes for defects found during QA testing. By capturing the impact and likelihood for each defect, we are able to classify the risk level and have more informed decisions when discussing defects during daily scrums and/or sprint planning and roadmapping sessions.



QA Testing Services, Definitions, and Deliverables

MTX QA provides the following testing services in accordance with the scope of work, MTX recommendations, and NLCC's final approval.

- Functional Testing
- Integration Testing
- End-to-End Testing
- Regression Testing
- UAT Support
- Performance Testing
- Security Testing
- Test Automation
- Accessibility Testing
- Mobile Testing
- Review of:
  - Functional and technical designs
  - Business and technical requirements

A description of activities and deliverables associated with some testing services are described below.

Testing Services	Key Activities	Deliverables
Functional Testing Validate application features against all functional requirements to make sure everything works as intended.	• Review/understand functional requirements. • Design test strategy and test plan. • Develop/review/sign off test cases along with test data. • Establish quality gates definition, planning and estimation. • Document and report defects. • Maintain and manage the defect lifecycle. • Publish go/no-go dashboard for the release with readiness report.	• Test Plan, Detailed Test Scripts, QA Sign Off Closure Report. • Daily Status Report with risk matrices. • Entry Criteria: Requirement should be signed off. • Exit Criteria: All of the test cases around the sign of acceptance criteria should be passed.

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Testing Services	Key Activities	Deliverables

Regression Testing**
Ensures that already implemented features are not impacted due to any changes happening in the application.
	• Execute regression suite and report execution status.
	• Detect bugs early and get feedback right away.
	• Happens after sprint.
		• Regression Suite.
		• Entry Criteria:
		  ○ Exit criteria for functional testing met.
		  ○ Regression scripts are ready.
		• Exit Criteria:
		  ○ All Blocker & High issues should be fixed.
		  ○ Open issues should be signed off/acceptable by NLCC.
		  ○ No open issues exist.

Integration / Data Testing Ensures data from all systems readily accessible; integrates external Web Services; connect business processes across departments, applications, and partners.	• Validates the collection and interface modules. • Knowledge of interlinked modules and their interaction. • System functionalities interface between individual modules. • Build to simulate the interaction between two modules. • Regression, usability, retesting, maintenance and performance tests.	• Integration Test Cases, Integration Testing Plan • Daily Status Report • Entry Criteria: All modules are unit tested and available for the integration. • Exit Criteria: Integration system has passed all functional and performance requirements
Performance Testing Ensure applications are robust, sustainable, reliable and scalable over multiple platforms and ensure no application outage, downtime, or no user latency.	• Critical business flows are identified for Performance/ Non-Functional testing. • Performance test script development, execution & maintenance • Detect bugs early.	• Performance test scripts. • Load testing cluster setup, performance real-time monitoring through grafana. • Performance Testing Report.

Automation Testing
Ensure critical business flows are always working and not impacted due to any change in the application or ecosystem.
	• Critical business flows are identified for automation
	• Automated script development, execution and maintenance.
	• Detect bugs early.
		• Automated Scripts.
		• Automation Framework.
		• User guide and documentation
		• Daily Status Report:
		  ○ Automation Development.
		  ○ Automation execution / maintenance.

***Issue categories presented in Regression Testing, along with an SLA in addressing them, are as below.*

MTX also provides code review and testing services to ensure that relevant code adheres to information security standard(s), where applicable. MTX Quality Assurance works with the MTX Project Management Office and NLCC's Information Security Office to identify modules for review and appropriate sampling rates. Areas to be examined include:

- User Authentication
- Password Validation

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- Role Based Security
- Database Connectivity
- Encryption

For informational purposes, we have provided the following descriptions of the aforementioned testing services, including additional testing concepts, below:

- **User Stories, Acceptance/Exit Criteria:** Each requirement is translated into well-defined acceptance criteria and documented into crisp, easy to understand user stories. User stories will be loaded into a tracking system to manage work assignments and track progress. The acceptance criteria is what our Quality Analysts use to determine if development has met the exit criteria and to determine when all testing for a given user story is considered done/ completed.
- **Functional/Component Testing:** Executed on a per user story/per defect basis. Positive and negative scenarios are used to validate that a function/component is working as designed and per business requirements, using the exit criteria/acceptance criteria specified in the user story or defect.
- **Regression Testing:** Executed on a per sprint basis or more frequently, as dictated by scope, depth, and breadth of changes (i.e., after major refactoring to a feature). Repeated, iterative testing to ensure the most crucial business transactions are working; without these, NLCC would not be able to meet its daily business needs. Regression testing ensures that these critical business transactions stay usable and stable while the system is undergoing iterative development and releases.
- **Integration Testing:** Executed as often as dictated based on completion of development work that integrates one or more systems. This functional/component testing is executed across one or more systems to ensure that a business transaction, in part or in whole, is successful when there are multiple systems, modules, or applications involved. Can be an end-to-end test (whole), but often is just the subset or part of a larger business transaction/user workflow as it applies only to the two or more business systems for which the integration needs to be tested. Integration tests verify that the contract and assumptions made by two or more systems is upheld on all ends, since each system is responsible for their part of the larger business transaction or user workflow.
- **End-to-End and UAT Testing:** Executed on a per phase or per major release basis. Each end-to-end test verifies, from start to finish, a complete business transaction or user workflow, to ensure it executes in a successful manner and results in the expected outcome/acceptance criterion.
- **Performance Testing:** Executed as often as dictated per project goals and needs - which, for performance testing, shall always be advised and derived from all performance concerns from business stakeholders, any SLAs or regulations in play, and also whenever justified as due diligence based upon the proposed architecture/solution. Performance testing can include a variety of types including load testing, stress/volume testing, soak/endurance testing, spike testing, etc. The type of performance test used is based on which metric you need to measure, which is based on the original intention and purpose by which you determined a need for performance testing. Regardless of type, performance tests are used to determine readiness/ preparedness of a system to work under specific operating conditions, especially under concurrent user load where contention for access to resources/records is of concern. Common metrics used for performance testing are: response time, pages/sec, requests/sec, throughput, and error rate/percentage of error responses. Additional performance measurements/metrics can also be much more solution-specific, such as: disk reads/sec, disk writes/sec, disk request queue

size, RAM used, RAM free, SWAP used, SWAP free, CPU used, CPU free, incoming/outgoing packets, and incoming/outgoing TCP segments.

User Acceptance Testing (UAT)

MTX uses User Acceptance Testing (UAT) as the final approval of the developed system. MTX's approach to UAT is part of the broader suite of Quality Control/Assurance (i.e., testing services) we use to ensure the iteratively developed solution moves towards operational readiness. Typically, UAT commences after a full solution sign-off is given on all stories and NLCC agrees that the system is ready for UAT. UAT can occur onsite or remotely and begins with a kickoff meeting explaining the procedures for all testers. Selected NLCC users will rigorously test this solution during this phase to give NLCC the confidence that the application is ready for production deployment. MTX requires a UAT for any Production deployment unless both parties explicitly agree to forgo a UAT. MTX will work with NLCC to adapt as needed.

MTX will provide the test cases for UAT unless NLCC is willing to provide them and both parties agree prior to the completion of development. If MTX is to provide test cases, we will provide an estimated completion date for the test cases and will provide NLCC an opportunity to review, provide feedback, and accept the test cases. Feedback to the test cases can be provided a maximum of two times prior to the start of UAT. Prior to the start of UAT, MTX will deploy all functionality to the UAT environment and will make appropriate adjustments to the data in the environment to create a productive UAT.

All functional areas will be divided into testing categories with key testers identified for each. Functional areas will have targeted dates for testing and deadlines to provide insight to the team whether we are on track with testing or not. Deadlines will be agreed to prior to the start of UAT by MTX and NLCC to ensure the timely completion. The core team typically holds a half-hour to one-hour daily session to review and triage issues and improvements. There will also be office hour sessions where testers can drop in for personal support with testing and have their questions answered. Support can be scaled depending on UAT complexity and size. Test categories will be defined prior to UAT after the full scope of the project has been defined.

MTX-provided test cases will be written in reference to the user stories they are testing and with brief instructions on how to test the functionality. MTX will also be responsible for resolving any issues and leading the team towards a successful sign-off.

NLCC will be responsible for:

- Identifying key testers for each functional area.
- Providing appropriate availability for testers to both complete test cases and answer questions about issues and functionality.
- Ensuring testers complete testing by agreed-upon deadlines.

NLCC will pass or fail the test case based on the criteria defined by the test case. NLCC may fail test cases due to the occurrence of bugs with the agreed upon acceptance criteria only. NLCC must log at least one issue for every failed test case. Testers will be requested to retest test cases when they are resolved, but it will be up to NLCC on whether that will be required for sign-off. MTX Business Analysts will review all logged issues (bugs/issues) to determine if they are within the requirements or are new requirements.

Bugs or issues will be classified by the following severities:

Severity	Definition	Tentative SLA
Blocker	Impacts on-going testing effort, requires immediate resolution. Must-have for Go Live.	1 Business Day after triage
High	Important functionality for core requirements and a must-have for Go Live. Possible workaround exists to continue with testing.	1 - 3 Business Days after triage
Medium	Workaround is available and NOT a must-have for Go Live.	As schedule permits
Low	Minor cosmetic issues and NOT a must-have for Go Live.	As schedule permits
Enhancement	Backlog or items not included in requirements or features for future release consideration.	As per MTX & NLCC mutual agreement

MTX commits to resolving Blocker and High issues prior to NLCC providing User Acceptance sign-off. MTX will resolve medium and low issues if the schedule and budget permits resources to do so. Enhancements may come at the expense of other UAT issues and will only be completed with an agreement between MTX and NLCC. There is no expectation for MTX to complete any issues identified as enhancements. Enhancements and new requirements will be backlogged for future releases.

Following are the components of a general UAT Plan.

Test Deliverables: Testing team will provide specific deliverables during the project. These deliverables fall into four basic categories: (1) Documents, (2) Test Cases/Bug, (3) Write-ups, and (4) Reports.

Test deliverables provided before testing

- Test plans document
- Test cases documents

Test deliverables provided during testing

- Test Scripts
- Issue reports
- Regression Suite

Roles and Responsibilities: The following list defines in general terms the expectations related to the roles directly involved in the management, planning, or execution of the testing activities for the project. These roles and responsibilities are defined by MTX.

Resources	Responsibilities
Project Manager	Provides day-to-day leadership, activity and issue management, and status reporting and management for the MTX project team. Coordinates all technical and organizational management activities in coordination with NLCC's project manager.

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Resources	Responsibilities
Business Analyst	Provides day to day clarifications of Business Requirements, Business Processes, and general understanding of the application's functionality.
NLCC Testers	Executes test cases created by the NLCC Business Analyst(s) and logs any defects in MTX Beans.
Developer	Lead day to day Salesforce configuration and development.
UX UI	Develop wireframes, mockups, and prototypes as necessary.

Test Criteria: Test Criteria in a test plan describe any criteria that may result in suspending the testing activities and the requirements to subsequently resume the testing. In order to begin and stop testing, a project must meet the entry and exit criteria. Although they are flexible benchmarks, if they are not met, the test team will assess the risk, identify mitigation actions, and provide a recommendation as this will play a vital role for the project "go/no go" decision.

Acceptance Criteria:

- Approved user stories must be available prior to the start of the test design phase.
- Each story must have acceptance criteria defined.
- Each story must have requirements sign-off from the business on the acceptance criteria.
- Test cases reviewed, approved, and signed-off prior to start of test execution.
- Development completed, unit tested with pass status, and results shared to the Testing team to avoid duplicate defects.

Entry Criteria:

- The entry criteria refer to the desirable conditions in order to start test execution. It also includes the beginning of a level of testing or when test execution is ready to start.
- Entry criteria to start the execution phase of the test occurs when the activities listed in the Test Planning section of the schedule are 100% complete.
- Entry criteria to start each cycle occurs when the activities listed in the Test Execution section of the schedule are 100% complete at each cycle.
- Stories are in "Ready for QA" status in MTX Beans.
- Test data setup and user details are ready and working.
- Each task should have "Completed" status.
- Test environment with application installed, configured, and in a ready to use state.

Exit Criteria: Exit Criteria is the condition or the set of conditions which imparts the completion of an activity or meeting of the targets and goals. Below are the conditions that must be met before testing should be concluded.

- 100% of Test Cases for the business scenarios have been executed.
- 95% pass rate of test cases with no critical defects or a non-evasive work around is defined.
- 100% pass rate of Test Scripts related to Acceptance criteria.

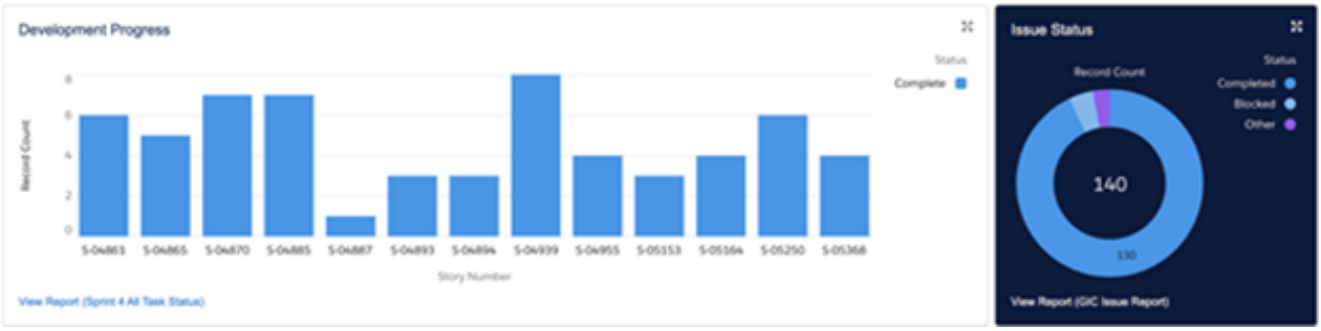
- All defects must be reported/logged in MTX Beans.
- All remaining defects are either canceled or documented as Change Requests for a future release.
- All expected and actual results are captured and documented with the test script.
- Every test case must have test results with proof of execution.
- All test metrics collected based on reports from MTX Beans.
- Test Closure Memo completed and signed off.
- Test environment cleanup completed.

Defect Management Process:

- Issues found during execution of test cases will be logged in the MTX Beans tool.
- The defects will be tracked through MTX Beans only. Issues will be categorized according in MTX Beans.
- It is the responsibility of the tester to open the defects, assign an initial severity and status, retest, and close the defect. MTX and the NLCC testers will meet daily to review issues discovered.
- It is the responsibility of the tester to select the severity. The BA/PM will review the priority of the defects and coordinate the fix and implementation with the technical team.
- It is the responsibility of the Project team to review MTX Beans on a daily basis, ask for details if necessary, and fix the defect.
- All the issues would follow the MTX defect life cycle until fixed.

Test Management Tool:

- All testing artifacts such as test cases and test results will be updated in MTX Beans.
- Any defect encountered will be raised in MTX Beans, linking to the particular test case/test step.
- During defect validation, all the defects are validated by the BA /Tech team first.



Screenshot of the visualization tools we use within the Beans application

Test Design Process: A good test case design is crucial to improving the quality of the software testing process. This helps to improve the overall quality and effectiveness of the released software.

- Write simple and easy-to-understand language.

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- Use exact and consistent names (of forms, fields, etc).
- Expected and actual results must be capable of being traced to requirements.
- If required, use Testing technique to write effective test cases.
- Ensure that all positive scenarios AND negative scenarios are covered.
    - Ex: Check Login Functionality, there may be many possible test cases.
- Check results on entering valid User ID & Password - Positive flow
    - Check results on entering invalid User ID & Password - Negative flow

Testing Process:

Understanding Requirements:

- Requirement specifications will be provided by NLCC.
- Understanding of requirements will be done by testers along with respective leads, BA, and Developer. The testers will raise any queries on requirements if needed.
- Raised queries will be resolved by MTX BA/NLCC.

Developing Test Cases:

- NLCC will develop test cases based on the Requirements and Acceptance Criteria. These test cases will be reviewed by MTX for completeness.

Executing Test Cases:

- Test cases will be executed by NLCC within the SIT Sandbox based on Test Cases and Test Data.
- Test result (Actual Result - Pass/Fail) will be updated in MTX Beans.

Retesting and Regression Testing:

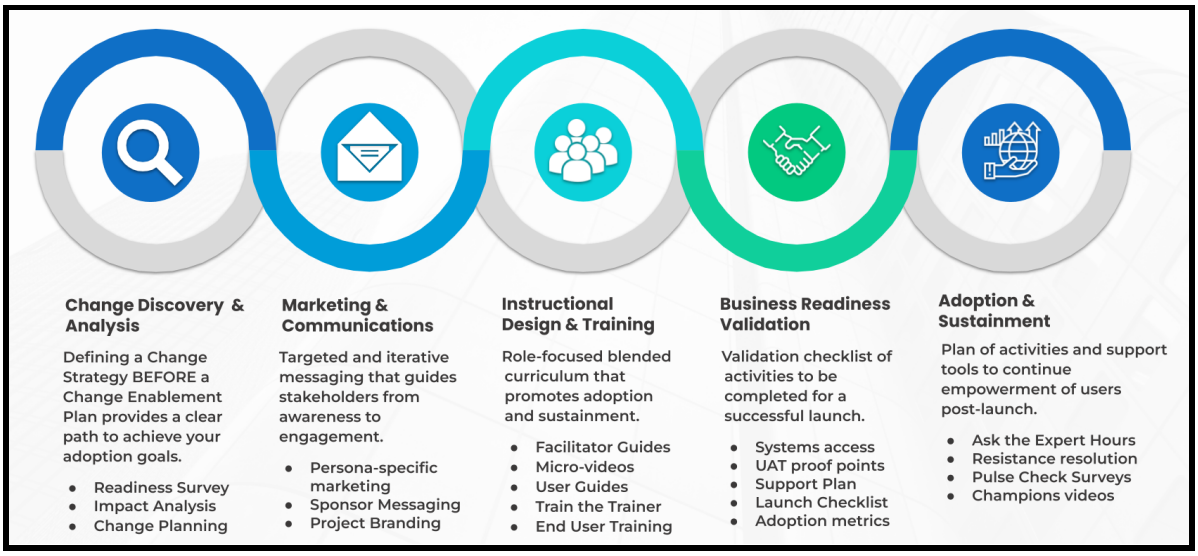
- Retesting for fixed issues will be done by respective QA once it is resolved by the assigned developer and issue status will be updated accordingly. In certain cases, regression testing will be done, if required.
- Regression would be performed at the end of each sprint to ensure critical functionality is not impacted due to ongoing development and issues fixed.

Training NLCC for Testing Activities

Prior to testing, MTX will work with NLCC testers to discuss the UAT plan, how testing is set up, and how to use the necessary tools to evaluate and document if a function passes or fails. In addition, we offer a Salesforce Fundamentals course prior to UAT testing to help NLCC testers understand and familiarize themselves with the basics of the system. This 90 minute course is designed to get users acquainted with Salesforce including basic navigation, terminology, functions, and quick tips for efficiency. This course is a great way to ease staff into a new solution while providing them useful information for go-live. Our curriculum is designed for your staff and covers curated high-quality content to help attendees become proficient users.

Section 8.H: Organizational Change Management

MTX, in collaboration with NLCC, proposes a five phase Organizational Change Management approach to Adoption and Training that will encourage and guide NLCC stakeholders to understand the value of change and acquire new skills that offer new benefits for their job roles. The combined Change Team is here to manage this Change from consulting on the user experience reviews and human-centered design while the tool is being built, to a 30/60/90 post "Go-Live" user adoption analysis. Change Management helps you realize your desired ROI on the new technology.



The Change Enablement Plan is a strategy of best practices and tools that we collaborate on and customize with NLCC leadership. This plan provides for stakeholder assessments and communications with a Change Communications Plan and deliverables, a Train the Trainer or End User Training Plan with professional MTX trainers, support and coaching, and deliverables to educate users to discover how to be more effective and efficient with the new solution.

We will work with NLCC to communicate the vision and benefits of your new solution throughout the organization. To begin this process, we will work with NLCC to communicate the change impacts throughout the organization and its licensed and regulated population. Using information on impacted resources and any gaps in resourcing and skill level identified in the Stakeholder Analysis, we will target how the impacted audiences prefer to receive information, and the channels that are applicable to each group for key messaging.

As a best practice, we work collaboratively with NLCC to determine timely messages and materials aligned with key milestones, ensure stakeholders receive consistent information about what is important to them, and establish communication pathways as feedback mechanisms. MTX will provide the following to create awareness, learning, and alignment around your technology implementation:

Change Communications Deliverable	Description
Project Awareness Communications	Initial communication to Staff and Constituents

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Change Communications Deliverable	Description
Vision Planning Workshops	Create a succinct Vision Statement to guide communications to stakeholders
Marketing Video	Internal promotional video for project awareness
Project Launch Communication	Inform stakeholders of timeline and progress
Communications Coaching	A communications veteran will work with NLCC to develop a series of internal/external communication.
Vision and Communications Workshop	MTX Change Lead will work with NLCC leadership team to create a succinct Vision Statement to guide communications to stakeholders
Project Update Communications	Accomplishments and Wave Rollout Timelines
UAT Communications	Explanation of UAT and value for participants.
Training Communications	Explanation of Salesforce Fundamentals and other system training and value for participants.
Pulse Check Surveys	Cadence of surveys to capture user feedback

MTX will partner with NLCC to establish a well-defined OCM plan to manage the change process. This plan will ensure the team is in control of schedule, scope, communication, training and resources. Key deliverables of the OCM plan can include:

OCM Deliverable	Description
Weekly Change Enablement & Training Meetings	The Change Enablement Lead aligns with NLCC leadership to discuss change planning, training plans and progress.
Change Readiness Survey	Evaluate users on awareness of project
Stakeholder Analysis*	Register of everyone involved the Change or are a recipient of the Change (Supports Training and Communications)
Change Impact Assessment*	A documented assessment of changes based on the gaps between the customer portal target operating model and current operational structure
Role Impact Analysis*	Define the breadth of user Communication & Training
Adoption Workshop	MTX Change Enablement hosts a workshop to Determine if the right measurements of success are clearly defined and align on the path forward
In-App Guidance	MTX Training's new platform tool that allows admins to create and customize prompts to train and onboard users where and when they need help

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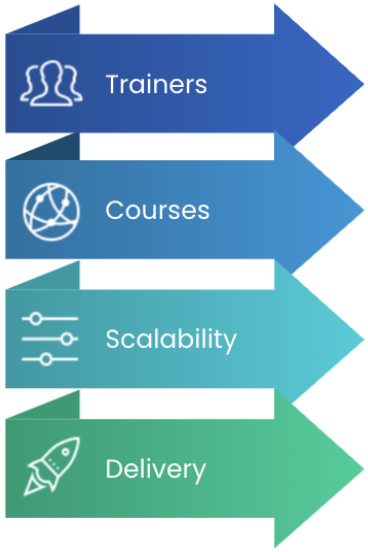
OCM Deliverable	Description
User Readiness App	MTX Application designed to provide NLCC with an overview of the organization's readiness to take on their new solution.

The MTX and NLCC Change Team will work with you to envision your future, and then we create plans and execute that vision for your team. We plan to do the bulk of the planning and executing of communications and training, with a strong approval process and collaborative relationship.

Section 8.I: Training and Knowledge Transfer

MTX will partner with NLCC to establish a well-defined knowledge transfer and training process that will provide staff with a complete view of their new solution from introduction and basic usage patterns to system administration, development, and configuration. During each of the project phases, the MTX team will prepare system documentation to be leveraged during post-implementation training, to facilitate efficient knowledge transfer. These documents will summarize role functionality, system requirements, new solution capabilities, detailed system operations, and system configurations.

During the project initiation phase, our MTX team will assess specific requirements and expectations and agree to final documentation deliverables. Some typical examples of standard deliverables include Technical Release Notes, System Administration Guide, and End-user Training Guide. These documents will be made available to NLCC team members and end users, and they become part of the online library of resources that can be leveraged as a self-support or reference tool, even after the go-live phase.



Our trainers are certified experts. They engage learners in dynamic and interactive environments and conduct knowledge checks to ensure information is retained and skills are practiced.

We take learners where they need to be to complete tasks and learning objectives in the Salesforce platform.

Identify pain points and map the change journey for employees, customers, and any software user. We develop training for you to succeed while staying efficient.

Our flexibility for virtual or in-person training can meet NLCC needs from anywhere. And, our job aids, user guides, and other course materials can support learners beyond the classroom.

Our team's customized training program is designed to deliver a curriculum for NLCC administrators, licensees, business users, and stakeholders, and covers curated high-quality content to help NLCC staff become proficient users of the new LPI solution.

The central part of our learning strategy employs different methodologies in order to meet the adult learning needs of your stakeholders and admins. The blended learning curriculum offers specific training in the form of virtual instructor-led webinars in which your users receive hands-on training within the new

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system. Your team members will also value our easy-to-use pictorial User Guides, as well as micro-learning videos that provide step by step demos of new processes from start to finish.

Specific examples of user guides and stakeholder-type specific training is provided below:

Administrator Training - Much like other role-based training, when MTX develops education for administrators, we believe that collaboration is key in all phases, namely: objectives, delivery options, development, interactivity, assessment, and improvement. MTX will create objectives for admin learning and discuss delivery options such as online modules or live/virtual/classroom training, and how to make the learning interactive and hands-on.

In addition to this custom training, admins will receive an admin user guide with screenshots and step-by-step processes and key reminders. They will also have an edited recording from the training session(s) and complete access to all the overall training curriculum deliverables, so they can understand the workflow processes and functionality of the system from each user group's point of view as well as their own roles and responsibilities.

End User Training - MTX offers a blended learning curriculum that appeals to all adult learner styles, as previously highlighted. In addition to the brief micro-video training series that takes each role inside the new system functionality, the documentation can take the form of user guides, quick reference guides, FAQs, and recorded training sessions all facilitate just-in-time learning that is available 24/7 - anytime the users need additional support or reminders about key processes. All of this learning will be role-based rather than a general "one-room schoolhouse" approach of other vendors. This role-based approach may organize roles with similar responsibilities together where helpful, but we will separate admin training and end user training as two distinct groups. This is designed to facilitate the needs of the 20 NLCC staff and 30 users from external agencies (Department of Agriculture, Office of the Attorney General, Nebraska State Patrol, etc.) who will require training.

Post Deployment Training - The MTX goal of Change Enablement is to help you win the "hearts and minds" of your internal stakeholders as well as external stakeholders and help them absorb the reasons for and value of your new solution.

When it comes to post-deployment, we can assess where your management and stakeholders may need extra help. MTX could survey to uncover specific training needs that may be lingering and/or any resistance to the new ways of working in the system. We could take the lead in creating additional communication updates, "champions" videos, micro-learning videos or other documentation, and further training classes where required. Sometimes, all it takes is reinforcement through messaging. Other times, it may be re-training or Q&A with subject-matter experts. If the goal is adoption by your users, and to MTX, it certainly is, we can survey, track, and measure so that we can guide, nudge, push, or pull your team into adapting and adopting to the benefits of your new system.

The goal of MTX Change Enablement is to educate, motivate and smoothly transition you and your stakeholders to discover the efficiencies and benefits of the "future state" at their fingertips. We are committed to making your implementation a dramatic success in terms of stakeholder adoption, which gives your stakeholders more time to focus on actionable data, greater accuracy, redundancy, security, collaboration and mission-critical work.

Our approach to training is based on the fact that, depending upon the individual, different types of training material will be more effective at conveying the message and content. In order to increase process adoption and user confidence, our Change Lead and Trainer will consult with your subject-matter experts, participate in demonstrations of new functionality, and provide hands-on learning demonstrations.

MTX has discovered that these procedures invite healthy feedback from end users and help shape the training/learning process into the specific styles that are most effective, and makes the end users more comfortable learning and adopting new concepts. MTX partners with NLCC marketing and communications personnel to develop and distribute ongoing updates (e.g., emails, executive messages, videos, etc.) so their users know about project progress and how it will benefit them.

An MTX Change Enablement Lead will work with your project team to understand the key needs of your organization in order to develop a robust training plan designed to guide your team on a path of self-sufficiency. This plan can be developed to train an initial set of user groups, provide a blended learning curriculum, and a Train-the Trainer approach that includes MTX support and coaching so that future users can be trained by the client. Depending on need and desired format, MTX can provide documentation and training formats such as:

- *Micro-video Learning modules* - Highly popular just-in-time learning in the form of brief tutorial videos (approximately 4-7 minutes each) by role (if required) that also function as individual demos of the system and a walk-through of primary responsibilities of stakeholder groups. These also serve as ready-made training for future new hires.
- *Quick Reference Guides* - Directions for a specific functionality in the system. Typically, 2-5 pages with screenshots and important reminders. These serve as quick “go-to” aids to help stakeholders step through an essential process in the new system.
- *Live Webinars* - MTX business analysts will train NLCC system users in a live (virtual) classroom setting on various aspects of the system. This will include system demonstrations, hands-on time and will be recorded for future reference.

Other elements that can be also offered in our training best practices are “Ask the Experts” webinar sessions, resistance resolution, and pulse check surveys. Communications of post-launch best practices may also be part of post-launch elements, as well as regular surveys to track how users are adopting new policies and procedures. We adjust existing training and offer additional materials as needed.

Section 8.J: Production Transition and Hosting & Production

Production Support and Transition Approach

1. Describe the Production Release approach for production cutover and activities required to begin production use of the new Solution. The approach must include the following, at a minimum:

   i. Key activities

   ii. Critical success factors

   iii. Roles and responsibilities (for both the Bidder and NLCC)

   iv. Acceptance criteria

MTX production release approach is designed to plan, execute and track a predictable go-live deployment sequence of events. Production cutover is executed after MTX and NLCC meet the agreed production release deployment acceptance criteria.

MTX Production Release Approach key activities include 1) development of a production cut over strategy, 2) development of production cutover acceptance criteria, and 3) development and execution of a detailed production release cut over plan. Each activity is summarized below:

MTX and NLCC develop a production cutover strategy. Key elements of the cutover strategy include:

- Identify a cut-over target window that minimizes impacts to NLCC business operations.
- Determining the need and assess the requirement with respect to Blackout period and devise clear guidance to the project and end user teams
- Requirements with respect to organization preparedness and orientation in terms of competencies and resource availability
- Ensuring alignment of cutover plan to organizational objectives
- NLCC sets up Organizational Communications in order to clearly define roles/responsibilities and accountability for post production operations .

MTX and NLCC Project Managers work with project stakeholders to define the production release acceptance criteria. The following criteria will form the basis of the NLCC production release acceptance activity:

- All approved NLCC requirements have been incorporated into systems and all approved go-live-critical change requests have been implemented.
- User Acceptance Testing is complete to the satisfaction of the NLCC based on the UAT Acceptance Criteria.
- Non-functional security scans and environment hardening are completed and meet State Acceptance Criteria.
- Planned knowledge transfer activities to the incoming maintenance and support team are complete. The incoming maintenance and support team demonstrates proficiency is base system operations and mobilizing technical support teams.
- Pre-production mock drills have been carried out by the project team along with the production support team. Drills include a minimum of 1) one mock production data migration and production release deployment, and (2) a disaster recovery stimulation.
- Trainings to the end users of the customer have been completed
- Setting up key success criteria to help measure the success/completion
- Risk reassessment and devising a fallback plan in case of unforeseen production events
- Any other completions or conformance criteria set out in the SOW or Contract has been vouched and confirmed by the customer, or a plan has been accepted to deliver outstanding requirements post production.
- All in scope documentation for use of the new system is ready in the form of technical documentation as well as the user manual which can be used as a ready reference to any issue faced during the post "Go-Live" stage.
- All the Go-Live critical issues have been resolved and their resolution is documented to assist in future recurrence.
- An approved plan for post production system operations, maintenance and end user support.

It is the responsibility of the project manager to ensure adherence to the cutover plan once it is approved by the project sponsor or the steering committee. MTX Project Manager will track production release cut over acceptance criteria and include the status of cut over acceptance on the project weekly status report.

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MTX and NLCC project managers develop a detailed cut-over plan typically 60 days prior to the planned production cut-over date. The cutover is detailed to 15-minute intervals and lays out every task required across all workstreams for a successful production release. Each task is assigned a resource and backup resource. Contact information is gathered and recorded for all resources in the cut over plan. All communication tasks prior to the start of cutover, during cut over, and upon completion of cut over are included in the cut over plan. Other key tasks that will be detailed in the plan include:

- Start of Production Release Cut-Over Execution and Monitoring
- Suspension of existing system business operations support (if required)
- Reset of Production Environment Database
- Production environment configuration release update (if required to bring production environment upto the latest, approved release)Start of Data Migration and delivery of legacy source data extracts to the MTX Data Migration Team
- Data Migration Status check points and completion of data migration activity
- Start of Production Validation Activities
    - Communication testing of all production interfaces
    - Production functional validation test cases
    - Sampling of production data migration to ensure
- Declaration and communication of production cut over complete and the start of production operations
- Start the MTX 90 Day Warranty Period. Provide four weeks of hypercare post production support..
- Begin monitoring of system performance and service levels, end user transaction timings, and other operational and performance metrics to ensure

2. List and describe documentation that will be provided, including the formats in which the documentation will be made available. Additionally, describe how the Bidder plans to provide ongoing updates to documentation throughout the life of the contract to ensure relevance of the documentation following implementation and system upgrades.

Salesforce provides release notes with every platform, patch and upgrade release. Typically three planned releases are provided each year.

For maintenance releases for the configured application, MTX will provide release notes prior to each production release.

For approved MTX post production enhancement releases, MTX provides release notes, updated system, updated user documentation prior to each production release.

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3. Describe how as-built documents will be updated over time.

During the project's design, development and implementation period, MTX will provide the specified deliverables in the timeframes illustrated in the approved project plan. Once approved and prior to the production cut-over, MTX will maintain software artifacts in accordance with the software configuration management plan. Typically, MTX makes minor updates to approved software artifacts even after formal acceptance until the final production system cutover is complete. This ensures software artifacts are updated and useful to the incoming system maintenance and operations team.

4. Describe the approach to provide ongoing training for users as the new Solution is updated and new users are onboarded.

MTX provides training materials, user help and other user documentation as part of the system implementation. We also provide end user training with an eye to identifying and build a subset of NLCC super users. These training materials and superusers are available to the NLCC to train new users and onboards.

While we find most clients are able to onboard new users to our licensing, permit and inspection system without MTX Support, NLCC can request MTX include services to conduct periodic new end user training sessions as part of our optional production support packages.

5. Describe the transition approach and methodology proposed, including how the bidder will manage working software in production while also continuing to develop new technology for future deployment.

The Transition Out plan is to be defined at the start of the project so deliverables can be built during the project delivery. This requires the engagement of operational business processes and system owners to define their needs. While an estimate has been provided, this will be confirmed after the requirements have been defined.

Before the transition out, it is assumed that end to end user testing, any data migration, training and "Go-Live" has been completed. The Transition Out Plan shall comprise at least the following:

- Roles and responsibilities of NLCC and MTX
- An approved handover planned task list to confirm transition out requirements (to be completed as part of the transition in plan)
- Solution design documentation updated with as built information
- Solution training and knowledge transfer methodology
- Plan for demobilization of resources, deactivating system access accounts, handover allocated equipment and destruction of all supplied documentation

In the event that any delivery or technical risks are identified, MTX may agree to provide additional support services and modify expectations within the Transition Out Plan.

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6. Describe the production services to be provided to NLCC for the provision of services. Describe system monitoring capabilities and how performance will be measured and tracked against service levels, including how real-time deviations are communicated to NLCC. Bidder must describe root cause analysis approach and how corrective / preventative measures are taken. Provide sample reports related to service level management.

MTX has included production cut over support and four weeks of hyper care following the final production release. During the hyper care period, MTX provides a designated incident commander point of contact available via email, phone, and the MTX Beans customer support portal. MTX also prepares a weekly status report providing operations, maintenance, and incident management metrics.

In the event of a critical or high severity incident, the MTX incident commander will mobilize resources to triage and begin incident mitigations. A critical incident is evidenced by the system being rendered unusable. A high severity incident is defined as a major module of the system is not operationable. MTX's first goal during a high or critical incident is to restore the system to production operations as quickly as possible. After restoring the system, MTX will perform a root cause analysis of the problem and plan a long term resolution to eliminate the root cause.

7. Describe the bidder’s overall release and deployment management approach for minor and major application releases and how NLCC’s input as to the overall product roadmap is incorporated.

MTX minor and major releases subscribe to an industry standard, agile software development life cycle. Upon approval from the NLCC change control board, requirements are elaborated to get story and use case details. Stories and uses are then submitted for client approval. MTX then designs, develops, and tests (System, Integration, and Regression Testing) the release configuration items. User acceptance and non functional testing are then completed based on client testing and production release system acceptance criteria.

MTX managed services packages are specific to each client. This allows the NLCC to prioritize maintenance and enhancement services based on NLCC business priorities.

8. Describe bidder’s approach for maintaining technical currency and anticipated major releases for the next one-two years and how those releases will impact the implementation.

The Salesforce Platform hardware and software infrastructure is maintained and refreshed as part of the NLCC annual Salesforce hosting subscription package. Salesforce routinely maintains, patches and upgrades the underlying platform with three planned releases per year.

To keep the NLCC application configuration supported, MTX offers an optional support package that provides for system maintenance and application support.

Maintenance & Operations and Support

Describe the approach and methodology to application management, technical support, system enhancements, and other related support activities.

Following the warranty period MTX offers clients an optional managed services subscription to provide break/fix issue resolution support.

MTX clients who maintain a managed services subscription receive a team of MTX specialists who provide break/fix issues (i.e., Level 2 or 3) resolution support during the managed services subscription period on a customized release timeline for the customer. These issues include cosmetic issues, field value updates, minor workflow updates, messaging logic and content updates, and system crashing issues. This does not include creating new integrations or updates requiring architectural changes, which can be scoped separately as part of a separate project engagement. Part of the Managed Services support also includes system monitoring which is done through Salesforce where Salesforce will make MTX aware of any platform level issues impacting Salesforce. MTX will then communicate to the State any platform level problems should they occur. This is the standard post-implementation system by which State users can obtain technical support and assistance in resolving issues with the solution.

MTX's managed services typically include a "bucket of hours" for clients to use as needed. The specific number of hours provided as part of these agreements are determined ahead as per the needs of the client. We handle incoming support tickets as well as any future enhancements. Support tickets can be filed using our MTX Beans ticketing system. Through MTX Beans, clients may log and prioritize their issues, communicate with MTX's maintenance and support team, and track status updates on their issue through a real-time Issue status dashboard. The severity of the issue will determine the initial response and corresponding resolution time.

1. Response time is calculated from the moment a ticket is initiated until the moment a repair commences
2. Resolution time is calculated as the time between the initiation of the ticket by the client according to the mutually agreed upon procedures and the time the provider's service desk declares the actions to resolve the defect in the ticket completed as verified by the client

Issue severity will determine the initial response and corresponding resolution time. More information about response/resolution times as they relate to issue severity is shown below:

Severity Level	Definition	Initial Response Time
Critical (1)	Cloud Services or applications running on the Cloud Service are not accessible or seriously degraded, whereby a critical process failure prohibits the continuance of basic operations and there is no suitable workaround, or NLCC data is lost or destroyed, or there is a critical security flaw.	• 2 Hours • Hourly Updates until closed
High (2)	Cloud Services or Application running on the Cloud Service encounter a critical process failure that does not prohibit continuance of basic operations and there is usually no suitable work-around.	• 8 Hours • Daily Updates until closed

Severity Level	Definition	Initial Response Time
Medium (3)	Non-critical part or component failure occurs when a Cloud Service or Application Module is not functioning, but the system is still usable for its intended purpose, or there is a reasonable workaround. The failure is not critical - no data has been lost, and the Cloud Services have not failed. The issue has been identified and does not prevent normal operation of the Cloud Services. Workaround is cumbersome to use.	• 24 Hours • Weekly updates until closed
Minor (4)	Non-critical errors to the Cloud Services or provider system. This is a minor disruption in the way tasks are performed but does not stop workflow and a workaround exists.	• 48 Hours • Weekly updates until closed

Please note that this response generally varies from client to client and is based on the SOWs generated during project development. MTX will create up to five user accounts for clients to access the ticketing system and dashboard, through which we will also provide live and recorded onboarding sessions for users that include best practices for issue logging, prioritization, tracking, and reporting.

In responding to all support ticket requests, including issues, the MTX managed services team generally follows this delivery methodology:

Initiation

- Business user identifies issue
- Business user communicates to client point of contact
- Client point of contact assesses business request worthiness and priority
- Client point of contact logs case/request/issue in MTX Beans portal

Triage

- Case/request/issue triaged by MTX MS Lead
  - All required information populated and prioritized
  - Within contractual parameters
  - Communicates with client point of contact for clarity when needed

Resolution

- Pooled MS team receives notification of new client request in queue
- Pooled MS team picks up requests from the queue *(based on priority, skillset, etc.)*
- Pooled MS team calls on internal SMEs as needed
- Chatter for dialog about case (both internal and with client)

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- Automatic email acknowledgment sent to client point of contact
- MTX MS Lead assesses a Level of Effort (LOE) for request/issue
- Forwards to support queue
- Updates to case status & current status notes fields, which will be used on reports

Patch/Upgrade Support

10. Clearly and succinctly describe relevant patch and upgrade support services and service levels to ensure that a high-quality release management strategy can be executed during and after implementation. Also provide patch/upgrade support service cost and rate information in the Cost Proposal.

11. Describe release strategy and typical schedule (e.g., quarterly, annually) with respect to patches, point upgrades, and major release upgrades. As part of this response, describe your position on version compliance to maintain/support and options clients may have to defer patches/upgrades.

12. Describe what tools and documentation are provided to facilitate a high-quality patch or upgrade effort.

Patch and upgrade support is provided by Salesforce, the platform as a service provider.

All upgrades, patches, and other system maintenance are provided as part of the subscription service at no additional cost to the NLCC. In addition, Salesforce releases three complimentary upgrades each year, in Winter, Spring, and Summer versions. All users are always on the latest version of our platform because everyone gets instant upgrades (typically on an opt-in basis). Each time a new version of the application and the platform is released, the entire community can take advantage of the latest innovations from our product development team. Because of our multi-tenant architecture, it provides all customers with a service based on a single version of our application. We are able to upgrade all of our customers at the same time with each release. As a result, we do not have to maintain multiple versions of our application. Each release will be delivered automatically in a transparent manner and will not break your configurations.

When maintenance is scheduled, Salesforce publishes the dates and times of the maintenance windows on trust.salesforce.com. Premier Alerts are sent via email when the maintenance windows are posted to trust.salesforce.com. In the event of planned maintenance that requires customer action in advance (e.g. updating network settings in preparation for additional login pools), Salesforce endeavors to communicate via email to system administrators of the State months prior to the maintenance.

Please note: If emergency system maintenance is required, customers may be notified less than one (1) week in advance.

There are two types of maintenance at Salesforce: System Maintenance and Release Maintenance.

1. **System Maintenance** is for sustaining the security, availability, and performance of the infrastructure supporting Salesforce services.
2. **Release Maintenance** is for upgrading Salesforce services to the latest product version to deliver enhanced features and functionality.

There are three different kinds of release maintenance: major releases, patch releases, and emergency releases. Major Release Maintenance dates and times are posted on trust.salesforce.com approximately one year before the release date. To see the schedule for your instance click on https://status.salesforce.com and select the relevant instance. On the calendar click the release date to

view further information. Major release maintenance occurs three times per year during the windows listed below. The instance will be unavailable for up to five minutes during the release window.

Patch Releases and Emergency Releases are used to deliver scheduled and ad hoc application fixes and are typically seamless to customers. Whenever possible, patches and emergency releases are deployed during off-peak hours and without downtime.

13. Describe any differences in patch/upgrade support options and services for client hosted vs. single tenant SaaS vs. multi-tenant SaaS support vs. any other models offered.

Not applicable. Our proposed solution is offered as a cloud hosted software as a service solution only.

14. Describe any continuous improvement efforts underway or planned to improve the quality of patch/upgrade support services.

Salesforce is continuously improving all aspects of its platform operations. Salesforce earns high reliability marks with its platform upgrade and patch releases, with near zero regressions of client application configuration resulting from platform upgrades.

Enhancements

MTX provides post production enhancement support as an option service. These services are initiated and approved in accordance with the client application governance change control process and implemented using the approved software configuration management process. Below we provide insights into our post production enhancement services.

15. Describe the management approach to application enhancements, such as assessment of change impact, estimation of required effort to implement the change, and change approval requirements.

Client initiated enhancement requests will follow the software change configuration and change management process. For clients with a managed services support package, MTX provides scoping, impact analysis, implementation estimates and schedules. Enhancements are documented on either a client provided change request template or a MTX statement of work template. Changes are submitted to the client change control board or enhancement sponsor designed by the client. Once approved, MTX will mobilize the planned team to deliver the system change in accordance with the software configuration management plan.

16. Describe the technical approach to enhancements, such as configuration management, documentation requirements, integration testing, regression testing, acceptance testing, and deployment.

Depending on the approved change request and the scope of the change request, MTX can provide detailed design, configuration, integration testing, regression testing, acceptance testing support, and build and release support for enhancements. Additionally, MTX recommends that all enhancements

include budgets to allow for system and user documentation to be updated as part of the enhancement implementation. If required, MTX can be engaged to deliver end user training or technical knowledge transfer associated with major enhancements.

17. Describe approach to process future enhancement requests, including methodology for pricing (e.g., function point analysis) and future available resources to fulfill enhancement requests.

With our optional managed services packages, MTX generally provides support for minor to mid-size enhancement requests *(8 to 16 hours of development effort)* which are evaluated and prioritized during the release cadence. It should be noted that while your dedicated MTX managed services team can help NLCC with minor to mid-size enhancements as part of the current SOW and supporting your ever evolving mission to better serve your customers, significant system expansions to include other of the NLCC departments, as opposed to a different business group in same department, may best be served by a separate SOW. This is typically due to concerns regarding: (1) existing bucket of hours' being too small for all departments to use and would quickly exhaust this pre-allocated support resources, and (2) ensuring that existing bucket of hours' is effectively used to deliver good managed services kicks and transitions for all departments. These concerns may be addressed by very substantive managed service agreements that account for potential solution expansions via multiple service teams, expanded buckets of hours, etc.

For major enhancements, MTX uses a combination of top down and bottom up estimation methods to scope and estimate the level of effort and schedule required to deliver the requested enhancement.

Call Center/Problem Ticket Support

18. Provide information regarding Bidder call center and problem ticket support services and service levels to ensure responsive, reliable, and knowledgeable support is provided during and after implementation.

19. Describe the size and structure of the call center services team and the hours of operation.

Two levels of call center/problem ticket support is available to the NLCC. These levels are Salesforce Platform Support, MTX Configured Application Support, and MTX end user help desk support services. Salesforce Platform Call Center Support is included in the annual Salesforce Subscription fees. MTX Configured Application Call Center Support is an optional feature of our proposal and thus is available at an additional services cost.

We have included standard Salesforce Platform Support which is available via phone and email Monday through Friday between 9AM and 5PM during normal business hours. Standard Salesforce Support is available to authorized NLCC system administrators to resolve Severity 1 issues related to the Salesforce Cloud Platform. Issues are ticketed managed using the Salesforce Service Cloud systems. Higher levels of platform support are available with the Salesforce Premium Support Package. The Salesforce Support team is sized to support tens of thousands of client implementations around the globe.

MTX also offers a configured application call center support package to support technical and operational support issues, specific to the NLCC application for authorized system administrator and configuration managers. With this option, support can be accessed via phone or email. Tickets are managed in the

MTX Beans application. MTX works with the client to size this post production service to meet client service level requirements considering system configuration complexity. Typically MTX also offers contact center and end user help desk support for its state and local clients. Our offering is tailored to your post production contact center requirements. MTX can provide Level 1 and Level 2 end user support to internal and external NLCC system users. Level 1 support includes password reset and basic how to support. Level 2 support includes services such as review of questions related to external customer facing business requests such as finding and completing applications, complaints and other service requests.

20. Describe any support tools or techniques used to more quickly diagnose and resolve critical or escalated problems. The escalation process should also be described.

MTX uses its Beans System to track help desk and service desk requests. Our support team is equipped with co-browsing and web-conferencing tools to share screens in real time to understand issues quickly. Our team will also review Salesforce system logs to trace errors and performance issues if permissions are granted by the client system administrator. Once the issue is triaged, we mobilize the appropriate resources to address the application, reporting, dashboard, data, interface or other reported and validate issues.in some cases, MTX may trace the issue root cause to the Salesforce Platform or third party interfacing systems. In this event, MTX will help document the issue and participate in a hand off call.

21. Describe any differences in call center support for client hosted vs. single tenant SaaS vs. multi-tenant SaaS support vs. any other models offered.

Not applicable. Our solution is offered on the Salesforce Cloud Hosted Platform only.

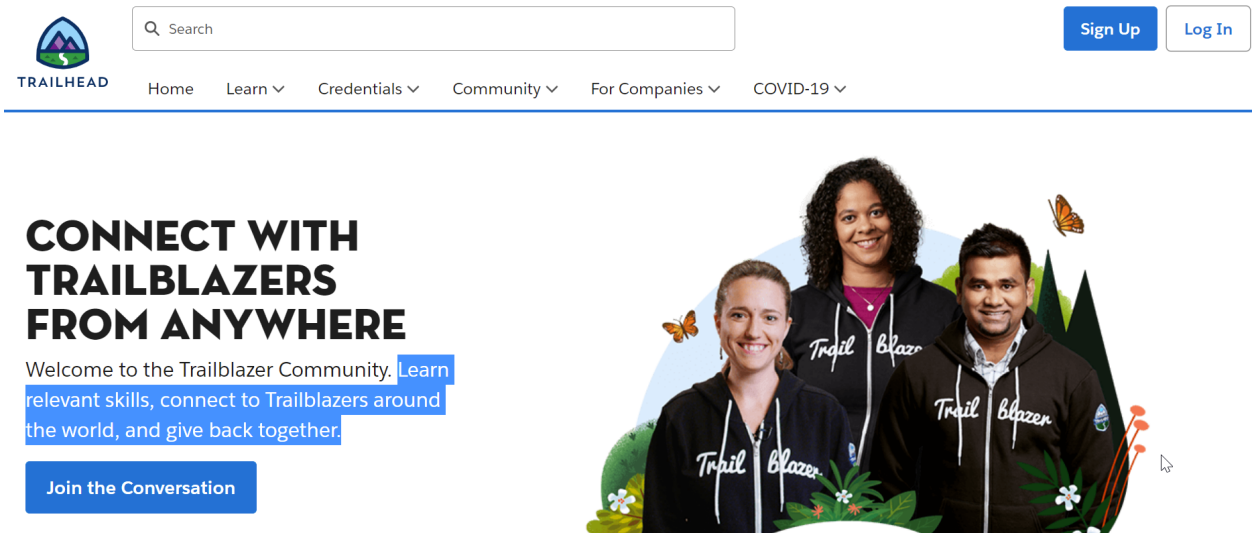
22. Describe any continuous improvement efforts underway or planned to improve the quality of call center support services.

The Salesforce and MTX organizations are both committed to continuous improvement. Both organizations use a variety of metrics and dashboards to monitor the health and customer satisfaction of our clients. MTX has a quarterly customer service satisfaction survey program. Surveys are reviewed by MTX Marketing, PMO and Client Partner teams. Surveys resulting in a score less than 8 out of 10 result in follow-up actions to validate MTX services are meeting client requirements.

23. Describe the availability of an online knowledge base that can be accessed directly by end-users and technical staff to obtain answers to frequently asked questions or perform research on symptoms to identify resolutions to known issues. Additionally, describe any interactive services (e.g., online chat) that will be available to system users.

24. Describe any continuous improvement efforts underway or planned to improve the quality of user group collaboration.

Salesforce Trailblazers is a robust user community that connects Salesforce Platform customers around the world. The community includes conferences, online events, user collaboration, and a robust online knowledge sharing portal. A link to the trailhead community is provided here.



MTX will provide staffing and operational support for the NLCC User Support Desk. This engagement focuses on technical and operational support of the application for the various users.

General Operations

The Support Desk will field incoming interactions from users to help them navigate the system and answer their technical and process related questions, as well as report back to the client and M&O teams regarding trends in support engagements. Included in the general operations are additional activities beyond direct user support such as interaction and metrics reporting, quality assurance, client feedback, and meeting attendance.

Example Services Include:		
• General Troubleshooting • Process Inquiries • Engagement Quality Assurance	• Password Reset • Reporting • Monthly/Quarterly Reviews	• Account Activation • Application Review

These services will begin 1 week prior to “Go-Live” to provide time for the Agents to engage with key customer personnel and develop familiarity with the platform.

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Staffing Model

The staffing model will include an array of user and client facing professionals serving a variety of needs. The initial operating model accounts for between 90 and 110 support engagements per day with appropriate levels of oversight to allow for Agent quality assurance, Client reporting, User escalations, and other operational needs.

A 3 month account review will be completed to allow for the right-sizing, scaling up or down, of the offering. MTX recommends maintaining planned staffing for 1 year to gain a better understanding of the seasonality of support needs, however the 3 month review is often helpful in understanding the short term portion of the engagement. Reductions in staffing will need to include discussions about hours of operations as there are certain minimums needed depending on the number of hours per day the Support Desk is open.

Staffing Assumptions

The following assumptions have been made and are part of the pricing determination for this Support Desk. If there is a desired change to the assumptions it may result in the need to modify the pricing agreement. If any stated assumptions are breached by 20% over a 4 week period, an account review will be initiated which may result in the need to modify staffing levels.

- All interactions in English
- Voice, Email, Chat, and Web ticket support hosted “in-app”
- Average Handle Time (AHT): 10 minutes
- 90-110 daily support engagements
- 7am to 7pm Eastern Time (7am to 9pm Eastern Time on the weekend day)
- Monday through Friday, plus 1 Weekend day (excluding below holidays)

Operational Hours

The MTX Support Desk will operate Monday through Friday from 7am to 7pm Eastern Time except for Federal holidays (listed below) with all inquiries received outside the normal operating times to be responded to the next business day.

US Federal Holiday List (2022)	
New Year’s Day	January 1, 2022
Martin Luther King Jr. Day	January 17, 2022
Presidents’ Day	February 21, 2022
Memorial Day	May 30, 2022
Juneteenth (observed)	June 20, 2022
Independence Day	July 4, 2022
Labor Day	September 5, 2022
Columbus Day	October 10, 2022
Veterans Day	November 11, 2022
Thanksgiving Day	November 24, 2022
Christmas Day (observed)	December 26, 2022

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Section 9 - Deliverables

Section 9.A: Deliverable Format

Deliverable Expectations Documents (DEDs) provide a brief explanation of the tasks, activities, and methods to be used to develop the deliverable. The goal of the DED is to facilitate a common understanding between NLCC and MTX regarding the scope, format, content, and level of detail for the project deliverables and to clearly identify the tasks and sections which will be completed by MTX prior to submitting deliverables. If appropriate, DEDs include a process flow diagram, Table of Contents, and identify any assumptions or constraints used to develop the deliverable.

Our methodology for DEDs includes the following:

- Describe the objectives and scope of the deliverable as well as the level of detail to be provided.
- Describe the intended audience and specific knowledge level, and list the key concepts that must be understood.
- Describe the table of contents or outline of the document and each major section.
- Describe the specific industry and/or government standards which must be observed and indicate if the format/order of the standard must be observed.

As specified in the RFP, MTX will adhere to the following guidelines:

1. No work will be performed on any deliverable associated with a payment milestone until the DED has been approved in writing by NLCC.
2. We have included realistic timeframes for NLCC to review the DEDs that correspond with the appropriate dependencies for deliverable development activities in the project schedule.
3. The objective of the DED is to help deliverables meet or exceed the contractual obligations and expectations and deliver the expected outcomes. To accomplish this objective, the DED must contain enough information to provide an accurate representation of the planned format and content of the deliverable.
4. The bidder must make all deliverables available electronically in software versions that are PC compatible with the software being utilized at NLCC (e.g., Microsoft Word, Project, PDF, PowerPoint, Windows operating system, etc.).

Also as specified in the RFP, DED's (at a minimum) must contain the following components:

1. Sample Table of Contents for the deliverable
2. Short description of all sections and subsections planned to be included in the deliverable
3. Samples of any diagrams or reports planned to be included as part of the deliverable
4. Clear indication of how the deliverable will meet and/or exceed the deliverable requirements as defined in the RFP.

We are experienced in developing DEDs that specify the scope, size, format, content, and style of our deliverables. We are also experienced in successfully working with clients such as NLCC to create DEDs that help us generate deliverables that meet your specific requirements. We will work with NLCC to produce DEDs that meet your requirements and result in quality deliverables that minimize cycle time for review and revision.

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Section 9.B: Mandatory Deliverables

Our approach to Project Management and Governance works in tandem with our preferred approach to project delivery, hybrid Agile-Scrum, and combines assertive leadership with advanced technical skills and a motivating disposition to ensure the delivered product is fit-for-purpose, within scope, on-time, and in line with the client's vision. Our approach is designed to maintain transparency, test frequently, deliver functionality and value as quickly as possible, and be pragmatically flexible in regards to changing development conditions. This method of project management includes: budget, timeline, and scope management; transparent project health and performance communication through an integrated project management tool; and mitigation and resolution of risks through appropriate escalation channels and proactive action.

MTX project management activities typically produce the following assets:

- Gantt Chart
- Sprint Plan
- Release Plan
- Resource/Budget Tracker
- Weekly Status Report
- Scope Checkpoint
- Project Kickoff
- Quality Assurance Plan
- Work Breakdown Structures
- Issue Management and Escalation
- Risk Management Plan
- Project Budget
- Communications Management
- Organizational Change Management
- Project Go-Live

A detailed description of deliverables by project phase is available in response to **Section 8.A: Schedule and Work Plan** above. As stated in that table, MTX has identified additional deliverables that were not specified by NLCC - the System Test Plan and the User Acceptance Test (UAT) Plan. MTX has also elected to provide the optional training deliverable - Customer User Guides.

Section 9.C: Deliverable Reviews and Approvals

MTX believes transparent and frequent communication is a critical driver of success for project delivery and for building productive relationships. Our method includes frequent communication touch points and collaboration. Our project management methodology defines mutual acceptance criteria throughout the project that must be reviewed and agreed upon prior to requirement signoff and solution acceptance. As specified in the RFP, MTX will adhere to the following guidelines:

In addition to abiding by the review timelines outlined below in Table 13, MTX will build a partnership with NLCC and provide flexibility when a submission of a large deliverable occurs during periods of high activity for NLCC or during holiday times. In these cases, deliverable review timeframes may be negotiated on a case-by-case basis to mitigate instances of staff unavailability.

In the event MTX submits more than one deliverable for review, the page counts of each deliverable will be added together to determine the number of days for review. Days for review will be NLCC Business Days.

For selected deliverables, inflight and post submission deliverable review meetings will be held. The purpose of the meetings will be to collaboratively review deliverables, review comments and mitigations, and reach agreement on deliverable concepts and content. Deliverable review meetings will be called for at the discretion of MTX and NLCC. The number of deliverable review meetings will vary based on the complexity and collaboration requirements of the deliverable.

NLCC reserves the right to waive the review and approval of MTX work products. NLCC approval of MTX's work products will not relieve MTX from liability for defects, errors or omissions in the work product that may be discovered after such approval.

The Deliverable Review and Approval process for this project is proposed as follows:

1. MTX shall submit Draft Deliverable(s) to the NLCC Project Manager.
2. The NLCC Project Manager will distribute the draft deliverable(s) to the NLCC Deliverable Review Team.
3. The NLCC Deliverable Review Team will distribute the documents to any additional members of the review team.
4. MTX will perform a Deliverable Walkthrough with the NLCC Deliverable Review Team to help them better understand the format, structure, and content of the deliverable. The walkthrough will occur within forty-eight (48) hours of deliverable submission, unless an alternative timeline has been mutually approved,
5. The NLCC Deliverable Review Team will review the deliverable within the specified number of business days after submission by MTX and provide edits, corrections, comments, and questions.
6. The NLCC Deliverable Review Team will consolidate feedback from the review team members into a single consolidated set of comments for each Deliverable.
7. The NLCC Deliverable Team will meet with MTX to review and explain the NLCC response comments within 24 hours of the review response unless an alternative timeline has been mutually approved.
8. MTX will make the required changes and provide responses to the clarifications within the specified number of business days after receipt of the NLCC comments and will resubmit the updated deliverable to the NLCC Project Manager.
9. The NLCC Project Manager will distribute the revised documents to the NLCC Deliverable Review Team.
10. The NLCC Deliverable Review Team will review the updated Final Deliverable within the specified number of business days after receipt of the deliverable from MTX.
11. Based on the feedback from the Deliverable Review Team, NLCC will provide written acceptance or rejection of the deliverable.
    a. Should NLCC reject the Final Deliverable, the NLCC Project Manager will provide a written decision, outlining the areas of deficiency and areas needing improvement or completion, within a specified number of business days.
    b. If the Final Deliverable is not accepted, MTX will have a specified number of business days from the date of receipt of the written notification to correct the deficiencies and resubmit the deliverable to the NLCC.

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Section 9.D: Scoping Comments

MTX has provided the following general comments regarding our proposed engagement with NLCC.

1. Acceptance of a final bid is contingent on completion of agreed upon fixed scope of work.
2. All of the MTX services will be provided on a remote basis.
3. Should additional MTX requirements be identified during the project, MTX will estimate the additional work effort and obtain authorization from NLCC in advance according to the change procedure set forth in the agreement.
4. If applicable, MTX will work with NLCC and the MTX Implementation team members to understand if and when any fixes and/or minor enhancement(s) that are developed as part of the issue resolution(s) will be QA'ed and made part of a planned release for Go-Live.
5. MTX and NLCC will manage the deliverable review process as stated in Table 13 of the RFP. Our work plan has been developed to include the NLCC deliverable review and approval times as requested. Any excessive delays by NLCC in completing the review process as scheduled (for DEDs and Deliverables) could result in a corresponding delay in the project schedule.
6. Our estimating effort was based on the following data from NLCC: 83 license/permit types, 20 generated reports, 20 existing NLCC users, 50 NLCC users to be trained, 12,855,896 existing fields in approximately 13 DB2 tables, and seven (7) key interfaces (6 mandatory and 1 optional). Any significant change in these factors could impact our baseline cost and schedule estimates.
7. MTX will provide Warranty support for 90 days - starting at Go-Live.
8. MTX is not responsible for delays caused by failures, including but not limited to systems, personnel, or environmental causes, or in receiving data from NLCC.
9. NLCC will supply key stakeholders in a timely manner to participate in interviews, workshops and ongoing review efforts to ensure decisions (sign offs and approvals) are made effectively and efficiently.
10. NLCC will designate an executive-level individual to serve as the Engagement Sponsor. The Engagement Sponsor is responsible for providing active guidance in conjunction with MTX's engagement leadership. The Engagement Sponsor is also responsible for facilitating final deliverable review and sign off.
11. NLCC will provide project coordination support to schedule meetings with key stakeholders (internal and external) and other project sessions (e.g. steering committee meetings, meetings with interface partners).
12. NLCC will coordinate required communications and interaction with key stakeholders, executive leadership and other subject matter professionals as needed to deliver the scope of the engagement.
13. NLCC will supply necessary access to any key systems and data in a timely manner.
14. NLCC is responsible for providing cleansed legacy data and for cleansing any bad data identified during the migration process

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15. NLCC is responsible for making all business decisions with respect to data cleansing and will provide these decisions in a timely manner so data migration can be completed in the allocated time frame.
16. NLCC will provide data duplication rules. Duplication rules must be viable via automation.
17. MTX will add and remove project personnel as necessary to meet NLCC contractual requirements.
18. MTX has allocated one (1) month to build prototypes and demonstrate agreed-upon critical functionality. The prototypes developed during this period will not be throwaway “demo” versions - we will have every expectation of incorporating this functionality into our final delivered system.
19. MTX has identified two development documents that were not requested by NLCC - System Test Plan and User Acceptance Test (UAT) Plan. MTX will need NLCC to provide a formal review of these documents as part of our project life cycle.

Section 10 - Additional Materials

Appendix A - Team Resumes

The following key personnel represent the MTX staffing that will be critical to the success of this engagement with NLCC. MTX reserves the right to add or remove roles from this project team as necessary depending on the needs and requirements mutually established with NLCC during the discussions and Discovery Sessions.

Team Resource	Reference 1	Reference 2	Reference 3
[redacted]	[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]	[redacted]

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[redacted], Project Executive

MTX VP of Government Solutions, Licensing & Permitting, was the former Commissioner for the Commonwealth of Kentucky's Department of Alcoholic Beverage Control. She was responsible for the statewide regulation of all aspects of alcohol - production, distribution and retail sales. She frequently testified before state committees - informational and lobbying for/against legislation.

Professional Experience

VP, Government Solutions, MTX Group, Inc., Frisco, TX | 2020-Present

Commissioner (2019) and Malt Beverage Administrator, Department of Alcoholic Beverage Control, Frankfort, KY | 2016-Present

- Responsible for statewide regulation of all aspects of alcohol - production, distribution, and retail
- Frequently required to testify before state legislative committees - informational and lobbying for/against legislation.
- Lead and manage a department of licensing professionals, administrators and sworn law enforcement personnel
- Coordinate with local officials regarding local license approvals and provide training to KLC and KACo members
- Serve as chair of the Alcoholic Beverage Control (ABC) Board responsible for holding KRS 13B administrative appeal hearings
- Hosted a national conference of state liquor administrators in Louisville, KY
- Created a regulatory environment that encourages growth of alcohol-related businesses, supporting tourism, economic development and job expansion

Executive Director, Office of Human Resource Management, Transportation | Cabinet, Frankfort, KY | 2012-2016

- Lead and managed an office of 50 employees who are responsible for the personnel, payroll, professional development, and employee discipline of a Cabinet with 5000 employees
- Participated in the cabinet's legislative affairs by providing comment to proposed legislation as well as testifying before state legislative committees regarding engineer salaries

Chief of Staff and Executive Director of the Office of Administrative and Management Services, Justice and Public Safety Cabinet | Frankfort, KY | 2004-2012

- Managed personnel, fiscal, grants management, and administrative staff
- Assisted cabinet secretary in matters relating to all phases of organization operations such as personnel, budgeting, and general inquiries
- Participated in legislative affairs as a member of the cabinet's legislative affairs team-attended legislator visits as necessary
- Evaluated operational functions of the cabinet and recommend/implement corrective procedures
- Analyzed financial and programmatic data as it relates to policy development

County Administrator/Human Resource Director, Grant County Fiscal Court | Williamstown, KY | 2001-2004

- Managed all aspects of human resources for county employees
- Policy advisor to County Judge/Executive
- Assisted County Judge/Executive with managing county government

Education & Certifications

MPA Public Administration | University of Kentucky | 2003
BA, Political Science | University of Kentucky | 1996

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[redacted] Account Executive

An accomplished IT and sales professional with a high rate of success in a career centrally focused in enterprise software and SaaS. Expert communicator with the ability to deliver complex technical information to mixed audiences with roles that include consulting & implementation, solution architecture & development, pre-sales engineering, and enterprise sales. Account Executive for our similar project with Iowa ABD.

Professional Experience

MTX Group Inc. | Senior Account Executive | October 2019 – Present

- Coordinate and manage all selling activities in territory, focusing primarily on use cases including Case Management, Economic Development, Licensing and Permitting, Data Analytics, Application Development and App Modernization.

Salesforce | Senior Account Executive | Mach 2017 - October 2019

- Manage all Public Sector Technology business and sales teams for Kansas and Wyoming (and previously Alaska and Idaho) accounts
- Lead a team of Business Development Reps and supporting Inside Sales Reps, landing new logos in each state, and helping close Salesforce's first Public Sector accounts in Alaska and Kansas, and the first Field deal (>$150K) in the entire region of 10 states, in 3 years.
- Foster relationships with Recognized System Integrators (i.e. Deloitte, Accenture, CGI, Publicis Sapient) to identify and tackle strategic Statewide projects.
- Intensely focus on Customer Success with no customer attrition on any accounts closed during my tenure in territory. Work very closely with our Customer Success team to ensure overall Customer Satisfaction.
- Leverage strong relationships with customers to grow Salesforce inside and outside territory (these relationships have led to the development of a library of external facing customer content, including interviews, podcasts, videos, and whitepapers)

InsideSales.com | Solution Consultant | March 2015 - March 2017

- Subject Matter Expert (SME) for both InsideSales.com legacy and new line of technology, acting as a go-to technical resource for all sales teams ranging from small business to enterprise in all business verticals.
- Worked directly with enterprise prospects/clients to learn and document their major business challenges. Thoroughly describe & demonstrate solutions such that prospects see their top-of-mind problems being resolved.
- Directly Supported 3 sales professionals, in addition to our expansion and SMB sales teams, through direct client interaction, evoking confidence in our products and platform while removing all technical objections throughout the sales cycle
- Provided technical overview of product architecture, functionality, data requirements and integration with other enterprise applications
- Delivered product and technical related responses to RFPs/RFIs

Microsoft | IT Consultant | July 2012 - January 2015

- Architected, implemented, and trained such enterprise customers as Walmart, Staples, Mead Johnson, and Starwood Hotels, on effective technical solutions, particularly involving technologies including but not limited to OS engineering, software deployment, and encryption management.

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- Utilized technical expertise to help ensure customers receive greater business value from world-class technology.
- In relation to knowledge transfer, created documentation and in the process fine-tuned technical writing skills.
- Continually expanded personal expertise in platform and industry solutions and strategic technology consulting by working with clients to solve dynamic challenges in a variety of different environments.
- Aside from day-to-day responsibilities, actively participated in building internal communities within Microsoft to encourage networking opportunities and managed several community programs designed to foster greater technical expertise across the Microsoft Consulting Services community.

BYU Risk Management | Computing Specialist | January 2011 - July 2012

- Managed and provided technical support for all computers, printers, networks, etc. for BYU's Legal, Audit and Compliance, and Risk Management departments, which enabled each department to function properly on a daily basis with little or no technical problems.
- Maintained a software and hardware inventory and designed a GUI for managing software inventory in Risk Management's FileMaker database that provided better organization and an easier interface when tracking software on each computer.
- Responsible for leading the transition from Altiris 6.9 to Altiris 7.1, a deployment solution program that enabled our department to more efficiently manage and track each supported computer.
- Charged with organizing, designing, and drafting a Business Continuity Plan that ensures that, in the case of an emergency, operations will be able to resume quickly and efficiently.

APX Alarm | Sales Representative | May 2010 - August 2010

- Sold security systems door-to-door throughout Denver and several surrounding cities.
- Collected activation fees of $99 or more for over 92% of all accounts sold that led the office to a higher per-rep average in sales.

Harbor Inc | Account Manager | August 2007 - 2009

- Set up and managed SEO marketing accounts as the designated account manager for a program called Direct Home Find, which was designed for high-end real estate agents.
- Worked personally over the phone with each client to ensure the best results from E-Harbor marketing efforts.
- Maintained websites regularly and developed an extensive knowledge of HTML coding.

Education & Certifications

B.S., Management Information Systems | Brigham Young University | 1998

Microsoft Certified Solutions Associate for Windows 8 (2012)
PowerStandings and PowerDialer for Salesforce.com Certifications (ISDC Certifications)
Salesforce Trailhead Expeditioner

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[redacted], Project Manager

A dynamic, solution and results-focused advisor with 15 years of commercial experience with a strong background in operations, sales, project management, and relationship development.
Experience includes developing and designing solutions to challenging operational and service delivery problems.

Technical Skills

- Knowledge of sales process methodology, forecasting, client retention, operational fulfillment, project management, scrum and agile release planning
- Well-versed in logistical and deployment methodologies (Waterfall, Agile, Lean)
- Efficient analytical, problem-solving, and decision-making skills; able to solve complex problems and provide innovative solutions

Professional Experience

MTX Group Inc.| Project Manager | February 2021–present

- Establish project delivery plan and track progress & milestones
- Actively plan various stages of project life-cycle from analysis to post production
- Proactively identify and manage issues/risks to the project delivery
- Manage project dependencies, represent project in various cross-project forum
- Liaise with various up-stream systems for data sourcing and establish solution & design principles
- Establish engagement and operating model with various stakeholders (Business Analysts, Technology Architecture, QA, Infrastructure etc)
- Establish necessary Status Reporting mechanism; Provide necessary project updates to various stakeholders at various forums

Allstate |Contractor via Modis | Project Manager | June 2019 – June 2020

- Cybersecurity Project Manager - Allstate Technology Strategic Ventures
- Consulting in project management within a formalized Security Control Effectiveness testing program for the evaluation of information security controls across the Allstate Insurance Company.
- Developed project approach, scope, timeline, budget/project estimation, and overall staffing model.

Bank of America |Contractor via Signature Consultants | Project Manager / Scrum Master | October 2018 – April 2019

- Lead a large enterprise project utilizing several different methodologies (Waterfall, Agile, Lean) including large scale application development changes, systems integration, operational efficiency improvements, process reengineering, and infrastructure upgrades and deployments. Responsible for project financials and budget reviews.
- Drove overall technology execution and managed line of business stakeholder relationships while acting as their advocate throughout the life of the project.
- Worked with Business Solutions Manager to help plan for resource allocation, funding request, budget approval.

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TIAA |Contractor via Randstad | Project Manager / Scrum Master | April 2017 – June 2018

- Provided a high level of comprehensive project support for an enterprise wide program encompassing multiple projects; while informing Program Managers and Sr. Lead Technical PMs about project status and issues that impacted progress and relationships with various stakeholders. Projects included: Software Licensing Asset Management Program, Amazon Web Services Cloud Migration, State Level Monitoring, C3 TIAA-Internal Cloud, and many other company wide initiatives.
- Acted as a Scrum Master within multiple work streams, for various projects with competing priorities.
- Produced and update various weekly and quarterly reports within various Project management tools following both the Waterfall and Agile methodologies (Tools utilized: Jira , Clarity, SharePoint)

Wells Fargo |Contractor via Teksystems | Wholesale eReceivables Implementation | Project Manager | October 2016 – April 2017

- Responsible for assisting and leading multiple merchant card implementation projects and managing all activities in the implementation project life cycle (initiation, planning, executing/controlling, training, and closing).
- Tracked project status, identified, and negotiated issues to resolution. Escalated as necessary, to ensure project tasks were completed according to established timelines. Oversaw the entire implementation processes and also personally performed specific, detail oriented, account set-up tasks and delivered customized customer training.

T-Mobile |Contractor via Wavsys | Project Manager | March 2015 – April 2016

- Project Manager for installation of fiber optic cable to over 600 cell towers for Network upgrade within the Carolinas.
- Exceeded all quarterly milestone goals while managing five fiber back-haul vendors. Primary functions include vendor management, risk assessment, reviewing real estate agreements, construction drawings, easements, right of way, and land survey titles.

ALCATEL |Contractor via Smartlink | Project Manager/Coordinator | March 2013 – October 2014

- Managed network upgrades and tracked delivery of on-site component installation and testing.
- Assisted in the development and maintenance of the project plan of the major milestones.
- Tracked and updated project plan for major milestones in the web-based field scheduling tool.

AMERICAN TOWER | Project Manager/ Engineering Coordinator | Project Specialist | May 2010 - September 2012

- Identified lease discrepancies of installed equipment and works with the Asset Integrity Team to recognize possible run rate increases and back billing.
- Analyzed and audited asset information to adhere to any regulatory or contractual obligations related to the asset.

Education & Certifications

North Carolina State University, Minor in Business Administration | Raleigh, NC

Certified Scrum Master (CSM)
SAFe 5.0 Certification (SSM)

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[redacted] - Solution Architect

Solution Architect with 10 years of experience working on enterprise technology modernization projects and specializing in business process automation. Mr. Papp has a passion for aligning technology with business goals to improve the constituent experience using cloud-based solutions and she holds six (6) active Salesforce certifications.

Professional Experience

MTX Group, Inc. | Solution Architect | 2021 - Present
Responsible for creating the bridge between clients and the development team to synthesize Salesforce facilitation development stories and create a solution. Able to simplify complex business requirements into incremental changes to ensure continuous progress.

Advanced Technology Group | Sr. Salesforce Consultant | July 2020 - July 2021

Community Brands | Salesforce Consultant | February 2020 - June 2020

First American Equipment Finance | Sr. Business Systems Analyst, Salesforce Administrator | May 2018 - January 2020

Education & Certifications

B.S., Marketing | Rochester Institute of Technology, NY | 2009
Salesforce Certifications: (1) Administrator; (2) Advanced Administrator; (3) Platform App Builder; (4) Service Cloud Consultant; (5) Sales Cloud Consultant; and (6) Education Cloud Consultant

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[redacted], Technical Architect

Experienced professional of Enterprise Architecture with a demonstrated history of working in the information technology and services industry. Strong engineering professional skilled in IT Strategy, Master Data Management, Customer Relationship Management, Integrations and backend core ERP processes. With a broad technology background including Solution and Technical Architecture, along with project and platform governance including SDLC, leads key discussions and considerations from a business and technical perspective.

Skills & Technical Expertise

Salesforce &. Oracle CPQ	Einstein Analytics
MuleSoft	Excellent analytical and problem-solving skills
SAP ERP, Vistex	Strong multi-tasking skills
Anaplan (Forecasting and Territory Management)	Enterprise applications and technologies
Drawloop	Risk Management
Salesforce Shield	Program and Project Management
Master Data Management	Strong Communication and Leadership skill
Copado, Bitbucket for Release Management	Agile Scrum Methodology

Professional Experience

VP of Enterprise Architecture | MTX Group Inc | Kentucky | February 2020 to present

- Works closely with clients to determine which technologies to leverage, based on years of experience and extensive product knowledge including industry experience
- Assists clients in laying framework and foundation around best practices in the following areas but not limited to; Coding Standards, Deployment and Release Management, Integration and Security compliance
- Serve as a Trusted Advisor with business stakeholders and architects to define the technical architecture and future system landscape
- Manage customer expectations and negotiate solutions to complex problems
- Advise and mentor diverse teams, which includes customer resources in technical and functional delivery aspects at a program level

Enterprise Architect | Commonwealth of Kentucky | Kentucky | February 2019 to January 2020

- Defined architectural vision and strategic roadmap utilizing Salesforce.com across agencies for the Commonwealth of Kentucky
- Implemented MuleSoft with an API led integration approach with a framework to re-use API's across agencies
- Implemented a Release Management Best Practice design leveraging Copado & Bitbucket
- Led regular architecture review board status reports to senior management, proactively identified any risk and alert leadership around potential impacts
- Worked closely with CMS Compliance team to ensure documentation was complete and updated
- Oversaw all development activities across multiple System Integrators and enforced Best Practices and standardization across the Salesforce and MuleSoft platform
- Defined architecture solutions to ensure we're enforcing best practice strategies around security policies and standards

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Platform Architect | Schneider Electric | Kentucky | April 2016 to February 2019

- Defined architectural vision and strategic roadmap utilizing Salesforce.com within North America
- Implemented a strategy for API led integration for North America utilizing MuleSoft
- Created technical project roadmaps for actionable business mandates
- Managed a full development staff of 30+ developers onshore and offshore
- Provided senior level technical guidance to application development teams working on complex projects
- Ensured alignment across multiple business units while utilizing IT strategic planning with the company's business goals
- Managed 3rd party system integrators
- Worked in agile/scrum methodologies to deliver quick results back to key business stakeholders
- Worked with project business and technical staff to capture and validate integration and architecture requirements

Senior Solutions Architect | Lexmark International Inc. | Lexington, Kentucky | January 2012 to April 2016

- Managed a full development staff of 15+ developers onshore and offshore
- Fully integrated a support team to manage defects and deployment activities
- Implemented a tightly governed process for deploying code and configuration changes between our sandbox and production environments
- Developed technical architecture design documentations for our Front Office environment across all applications
- Worked in an Agile/Scrum methodology
- Technically lead business process delivery workshops

Senior Business Analyst | Lexmark International Inc. | Lexington, Kentucky | August 2001 to January 2012

- Lead and facilitated meetings with key business stakeholders
- Gathered and documented complex business requirements
- Created functional specifications in the form of user stories and developed test scripts
- Worked with development team on a daily scrum methodology to deliver results
- Provided and maintained key training material to meet the needs of the end users
- Lead sprint review demonstrations back to key stakeholders

Education & Certifications

Computer Science | Morehead State University
Computer Science Technology | Sullivan University

Salesforce Certified Admin
Salesforce Trailhead Ranger

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[redacted], Functional Lead

Certified Salesforce Administrator with 8+ years of experience in Healthcare, Financial Services, and Government administration, with functional knowledge in Sales, Service, and Community Cloud, Tableau CRM, CPQ, and Pardot.

Technical Skills

- Salesforce Sales Cloud
- Salesforce Service Cloud
- Tableau CRM
- Salesforce Experience Cloud
- Pardot
- Salesforce CPQ

Professional Experience

MTX Group Inc.| Business System Analyst | October 2021 –present

Responsible for creating the bridge between clients and the development team, creating Salesforce facilitation development stories and developing a solution via Salesforce utilizing their Public Sector Foundation or custom functionality in Sales and Service Cloud. Using technical Salesforce knowledge in conjunction with non-technical business skills, I'm able to simplify complex business requirements into incremental changes to ensure continuous progress.

Deloitte Consulting, LLP | Consultant | June 2021 - Oct 2021

As a Functional Consultant in the Deloitte Government and Public Sector group, I was responsible for translating business requirements into executable direction for the Salesforce development team utilizing Atlassian's suite of products. Responsibilities included: requirements gathering, creating tickets, drafting user stories, creating test scripts, leading User Acceptance Testing, and participating in Smoke Testing and Regression Testing on a regular basis.

Advanced Technology Group | Senior Consultant | Nov 2020 - June 2021

As an Implementation Consultant with Advanced Technology Group, I worked within a group of consultants to stand up new Configure Price Quote (CPQ) instances. Work on these projects included creating products within the Salesforce instance, as well as backend declarative work (ex. Creating fields, users, permission sets) as well as creating process builders and workflows.

First American Equipment Finance | Salesforce Analyst | Dec 2018 - Nov 2020

As an in-house Salesforce System Administrator, I supported a complex org with 100% utilization by 250+ end users. This system utilized Sales Cloud, Service Cloud, Experience Cloud, Tableau CRM, and Pardot. Served as subject matter expert for Pardot and spearheaded the implementation of Tableau CRM.

Nova Healthcare Administrators | Implementation & Compliance Manager | Nov 2012 - Oct 2018

Implementation & Compliance Manager was my final role with this company. I served as a Compliance Specialist, then as a Client Account Specialist and Client Account Manager, then finally as Implementation & Compliance Manager. Responsible for the complete implementation lifecycle of new clients, as well as the renewal process for existing clients. Responsible for maintaining our Business Continuity and Disaster Risk Management program, completing business licenses, managing nursing staff getting licensed in new states, and acting as our sole in-house Salesforce System Administrator.

Education & Certifications

Bachelor of Science, International Business, European Studies| Buffalo, NY | 2010
Bachelor of European Management, Marketing | Strasbourg, France | 2009
Salesforce Certification: Administrator

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[redacted], Vice President of Managed Services

Luke is the Vice President of Management Services with over 10 years of experience on the Salesforce platform delivering custom solutions for clients around the world and across industries. Throughout his career, Luke has gained experience both in Salesforce development but also the many integrations into Salesforce and the challenges that come with that.

Technical Skills

- Release Management
- Salesforce Development
- Source Control
- Integration Middleware

Professional Experience

MTX | Vice President Managed Services| 2019-Present

- **Salesforce GRC Security PMO Project**
  - In this project we built custom project management functionality to allow the tracking of projects in one Salesforce org and related them to V2MOM goals from Salesforces internal Org62. I managed the technical solutions and development of items relating to project management.
- **Salesforce GRC Security IEM Project**
  - Service Cloud implementation where MTX further enhanced reporting and SLA tracking for IEM and how they handle the Issues and Exception management. We built a custom process flow for IEM throughout the lifecycle of a case.
- **Salesforce GRC Security SBE Project**
  - Service Cloud implementation where integrations were built out between Salesforce Security and the Internal GUS org that acts as the project management org for Salesforce. Lead the technical solutioning and management of development items throughout the lifecycle of the project.

McKinsey and Company | Salesforce TA and Tooling Team Manager| 2017-2019

- Lead McKinsey's Salesforce instances for a business department named New Ventures. Managed internal development teams along with vendor developer relations and solution development. Lead a global Tooling team of SRE's managing 16 different tools including Akamai, Auth0, Duo, and Github.

Appirio | Cloud Management Senior Manager| 2014-2017

- Helped grow Salesforce managed services into a 10 million dollar plus renewable business. Managed US and EMEA Salesforce engineering teams delivering custom solutions to 70+ customers.

Appirio | Cloud Management Engineer| 2012-2014

- Implemented custom Salesforce solutions for managed service clients across different industries.

Education & Certifications

Bachelor of Arts, Computer Science | Anderson University, Anderson, IN. | 2012

Salesforce Certifications: (1) Administrator; (2) Platform App Builder; (3) Platform Developer I; and (4) Salesforce Platform Developer II

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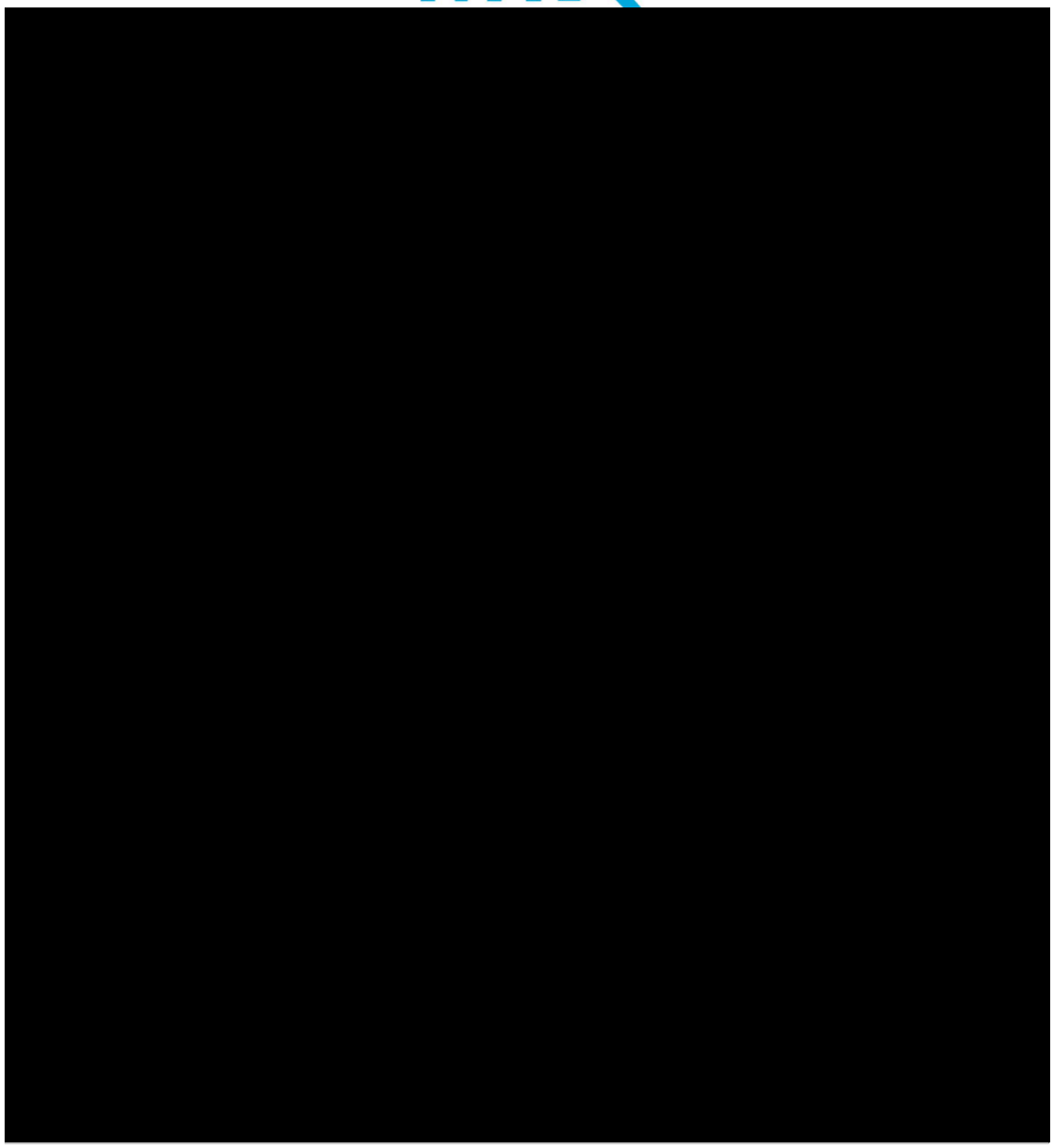
Appendix B - Financial Statements



MTX Group Inc, 6303 Cowboys Way, Ste 400, Frisco TX 75034

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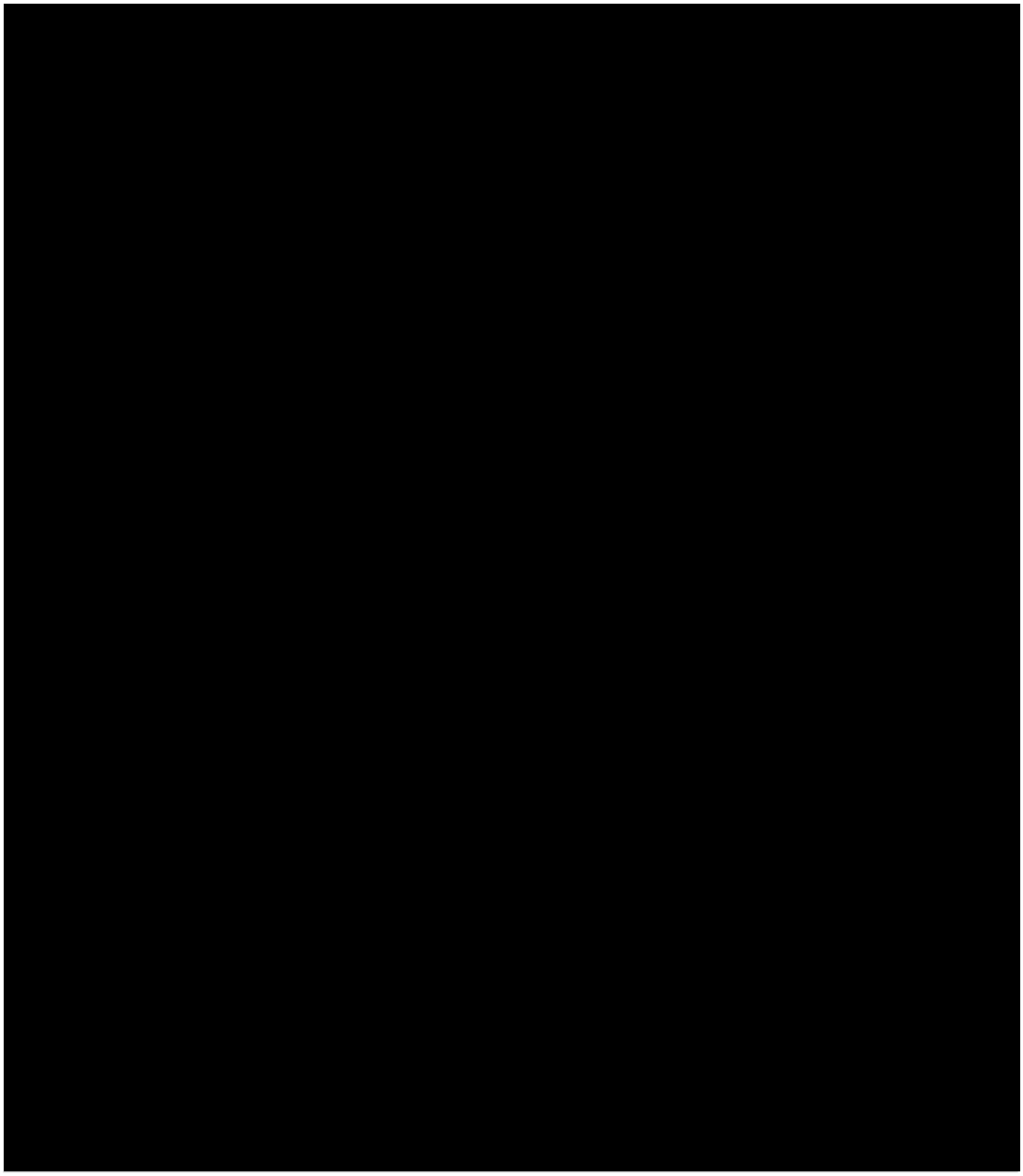
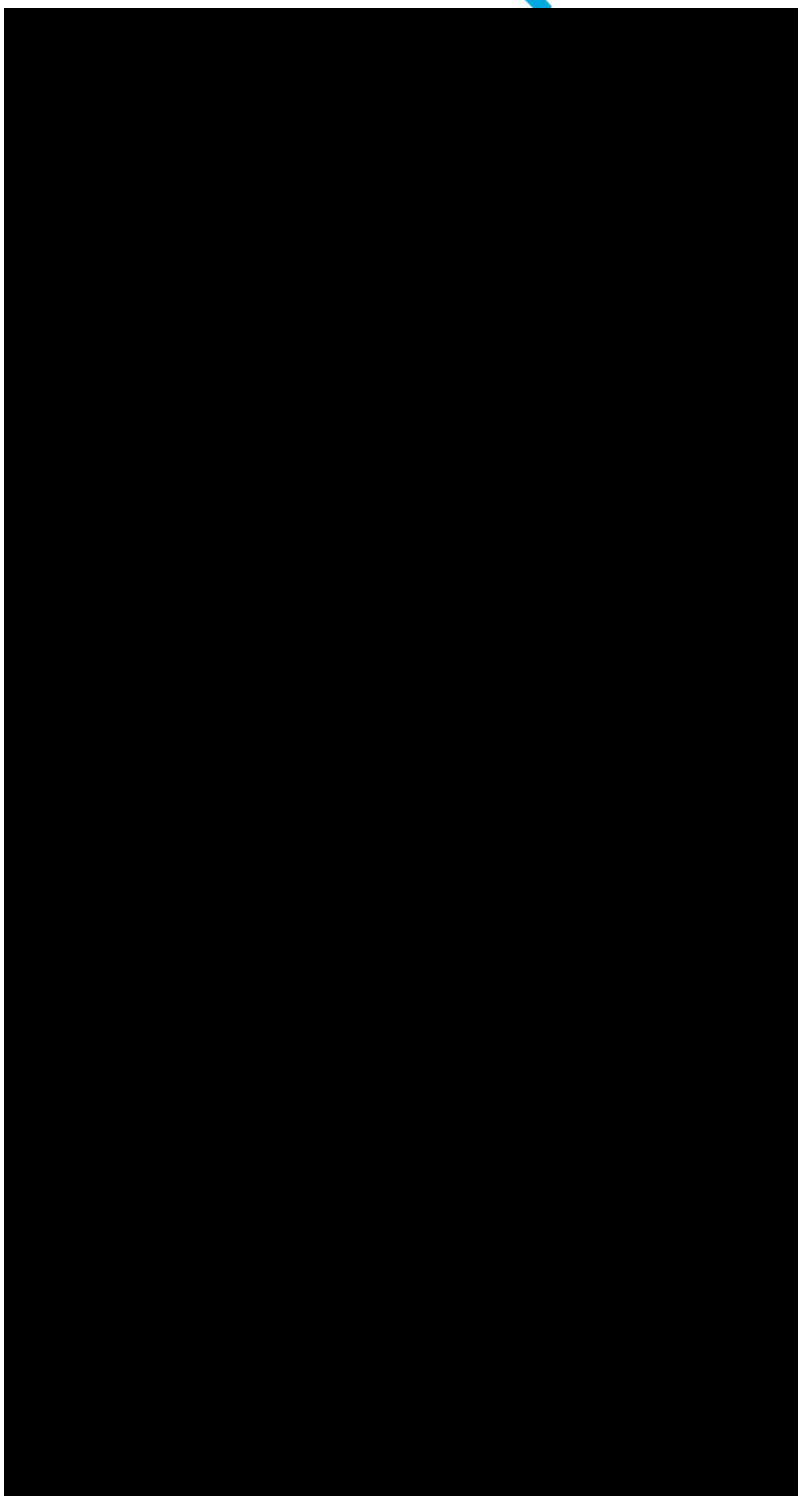


Management Use Only

MTX Group Inc, 6303 Cowboys Way, Ste 400, Frisco TX 75034



Appendix C - Insurance Certificate

ACORD®

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY): 04/26/2022

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

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

PRODUCER	CONTACT NAME: [redacted]	
RSC Insurance Brokerage, Inc. 5141 Wheelis Drive Memphis TN 38117	PHONE (A/C, No, Ext):	FAX (A/C, No):
	E-MAIL ADDRESS: [redacted]	

INSURER(S) AFFORDING COVERAGE		NAIC #
INSURER A :	Twin City Fire Insurance Co	29459
INSURER B :	Sentinel Ins. Co.	11000
INSURER C :	Indian Harbor Insurance Company	36940
INSURER D :		
INSURER E :		
INSURER F :		

INSURED
MTX Group, Inc.
1450 Western Avenue
Suite 304
Albany NY 12203

COVERAGES **CERTIFICATE NUMBER:** **REVISION NUMBER:**

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

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
B	[X] COMMERCIAL GENERAL LIABILITY [ ] CLAIMS-MADE [X] OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: [X] POLICY [ ] PRO-JECT [ ] LOC [ ] OTHER:	Y		20SBARG2520	06/01/2021	06/01/2022	EACH OCCURRENCE DAMAGE TO RENTED PREMISES (Ea occurrence) MED EXP (Any one person) PERSONAL & ADV INJURY GENERAL AGGREGATE PRODUCTS - COMP/OP AGG	$ 1,000,000 $ 1,000,000 $ 10,000 $ 1.000.000 $ 2,000,000 $ 2,000,000
B	AUTOMOBILE LIABILITY [ ] ANY AUTO [ ] OWNED AUTOS ONLY [ ] SCHEDULED AUTOS [X] HIRED AUTOS ONLY [X] NON-OWNED AUTOS ONLY	Y		20SBARG2520	06/01/2021	06/01/2022	COMBINED SINGLE LIMIT (Ea accident) BODILY INJURY (Per person) BODILY INJURY (Per accident) PROPERTY DAMAGE (Per accident)	$ 1,000,000 $ $ $
B	[X] UMBRELLA LIAB [X] OCCUR EXCESS LIAB [ ] CLAIMS-MADE [ ] DED [X] RETENTION $ 10,000	Y		20SBARG2520	06/01/2021	06/01/2022	EACH OCCURRENCE AGGREGATE	$ 10,000,000 $ 10,000,000
A	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) Y / N: N If yes, describe under DESCRIPTION OF OPERATIONS below	N / A	Y	20WECKZ6504	06/01/2021	06/01/2022	[X] PER STATUTE [ ] OTH-ER E.L. EACH ACCIDENT E.L. DISEASE - EA EMPLOYEE E.L. DISEASE - POLICY LIMIT	$ 1,000,000 $ 1,000,000 $ 1,000,000
C	Professional Liability (Tech E&O) Cyber Liability			MTP904337200	06/20/2021	06/20/2022	Per Claim Limit Aggregate Limit Deductible	$5,000,000 $5,000,000 $500,000

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

In accordance with policy terms and conditions The State of Nebraska is included as Additional Insured on the General Liability, Auto Liability and Umbrella (Follow Form)referenced above. Coverage afforded the Additional Insured is Primary & Non-Contributory. A Waiver of Subrogation in favor of the Additional Insured applies to Workers Compensation. Insured has Crime coverage provided by Federal Insurance Company at a limit of $1,000,000 policy # 8262-0319 with effective dates 06/20/2021-2022. $5M excess of primary $5M through Ace American Ins Co policy# G70159089002 with effective dates 6/20/2021-06/20/2022 for total combined E&O Cyber limit of $10M.
These provisions must be a requirement of written contract or agreement.

CERTIFICATE HOLDER

State of Nebraska
PO Box 3395
Omaha NE 68103

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

M B Christin

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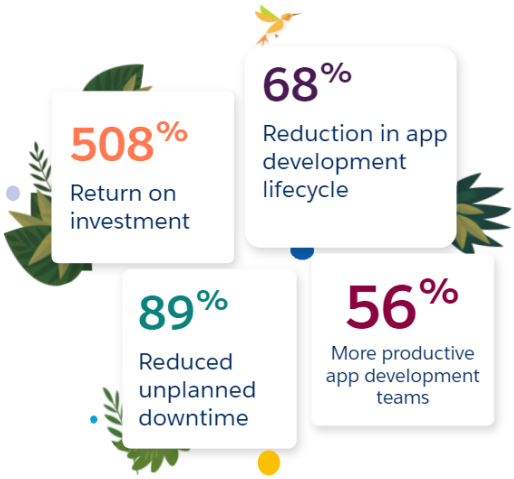
Appendix D - Salesforce LPI Overview

Public Sector Solutions

What is Public Sector Solutions?: Public Sector Solutions is a Salesforce product developed specifically for the Public Sector. It extends the Salesforce Platform and Service Cloud with a series of pre-built capabilities to support Public Sector mission-critical processes and services. It includes a specific data model with objects built to address the needs of the Public Sector. Whether using one of the pre-built solutions or building out another vertical use case with Public Sector Solutions, public sector customers will be able to accelerate the deployment of projects and "Go-Live" in weeks, not months or years.

Public Sector Solutions accelerates the customer's path to IT modernization with prebuilt data model components and a toolkit to streamline any agency process. Future-proof digital transformation efforts with a flexible platform built for the Public Sector. It enables public sector customers to digitize their specific processes and services rapidly with a public sector data model, components, and capabilities.

Why Public Sector Solutions?: Pre-Built Use Case Specific: Purpose-built data model of over 50 objects for regulated programs such as funding, licensing, permitting, inspecting and compliance programs. Pre-built processes for the application, eligibility, fee calculation, and complaint management that can be tailored to your program's requirements via point and click configuration.



360 View of Compliance and Community Safety: Provides a 360 view of licensed organizations, credentialed citizens, their related applications, complaints, fees, inspections and compliance with related regulatory code, to maintain the safety of your community.

Provides a 360 view of organizations and individuals applying for funding, their compliance with reporting requirements, inspections, and resulting outcomes and the related regulatory code that authorized funding.

Faster Time to Value & Reduced IT Development Cost: Leverage pre-built, Public Sector specific platforms and features where requirements can be met by configuration versus code. Reduce the time and effort for initial implementation and lower the costs of maintenance and changes with less technical debt. IDC estimates that by using the Salesforce Platform, customers on average achieve a 68% reduction in the app development lifecycle, 56% more productive app development teams, 89% reduced unplanned downtime, and 508% 5-year ROI.

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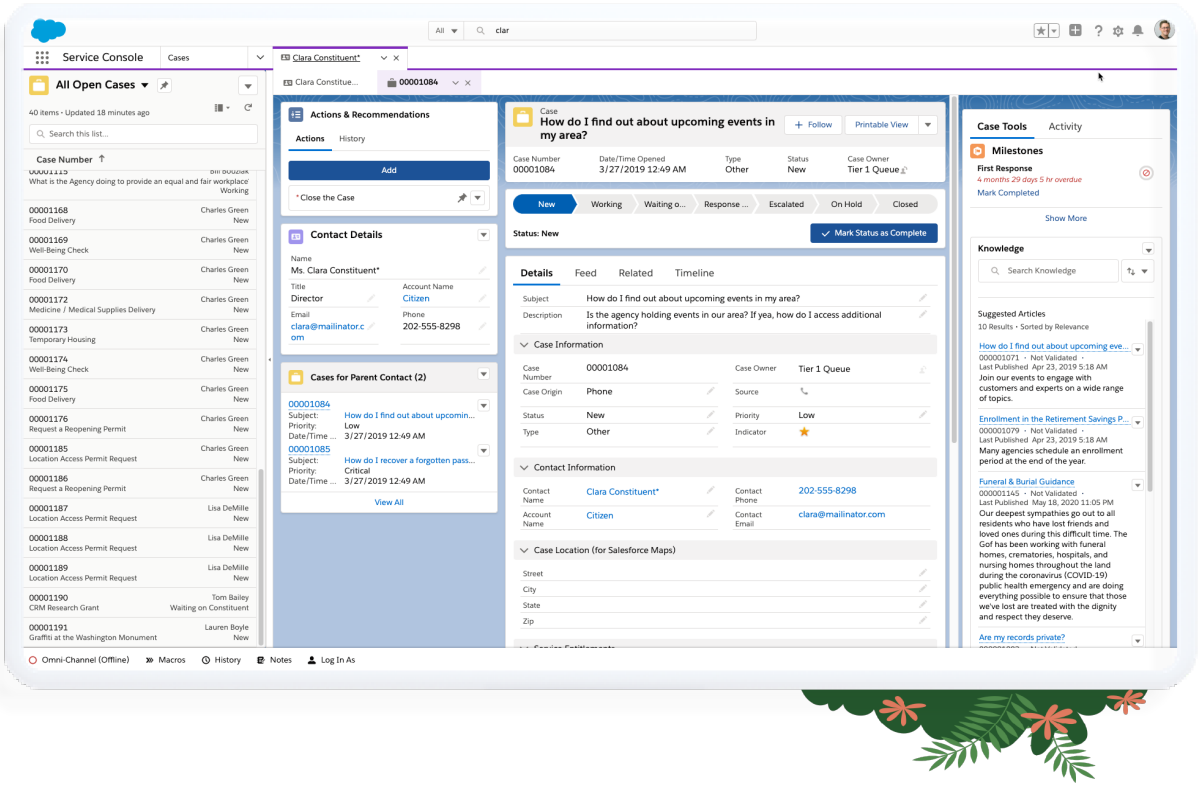
Upon adding capabilities included with Salesforce Public Sector Solutions, our Salesforce Industries customers have experienced significant savings by reducing the need for custom code, reduced cost for maintenance over time and increased ability to address and adapt to new business requirements faster.

Features: Salesforce scales best practices directly into Public Sector Solutions so customers don't have to develop/reinvent them. Public Sector Solutions, built on Service Cloud and the Salesforce Platform, rapidly accelerates time to value as the product is pre-built specifically for license, permit, and inspections management. Public Sector Solutions includes a pre-configured, industry-specific data model and capabilities that provide a unified engagement platform that provides an end-to-end digital journey to strengthen relationships and build trust between the Agency and its constituents.



Example Service Console

Public Sector Data Model: Specifically built for the Public Sector use cases, the data model includes objects in core Salesforce that customers can leverage for their needs.

Innovation: Built on a foundation that never becomes legacy. Inherit the innovation, features and functionality that are added three times a year to Public Sector Solutions, Service Cloud and the Salesforce Lightning Platform.

Enterprise Solution: Designed to flexibly scale to allow from a single use case/program through to a full enterprise solution.

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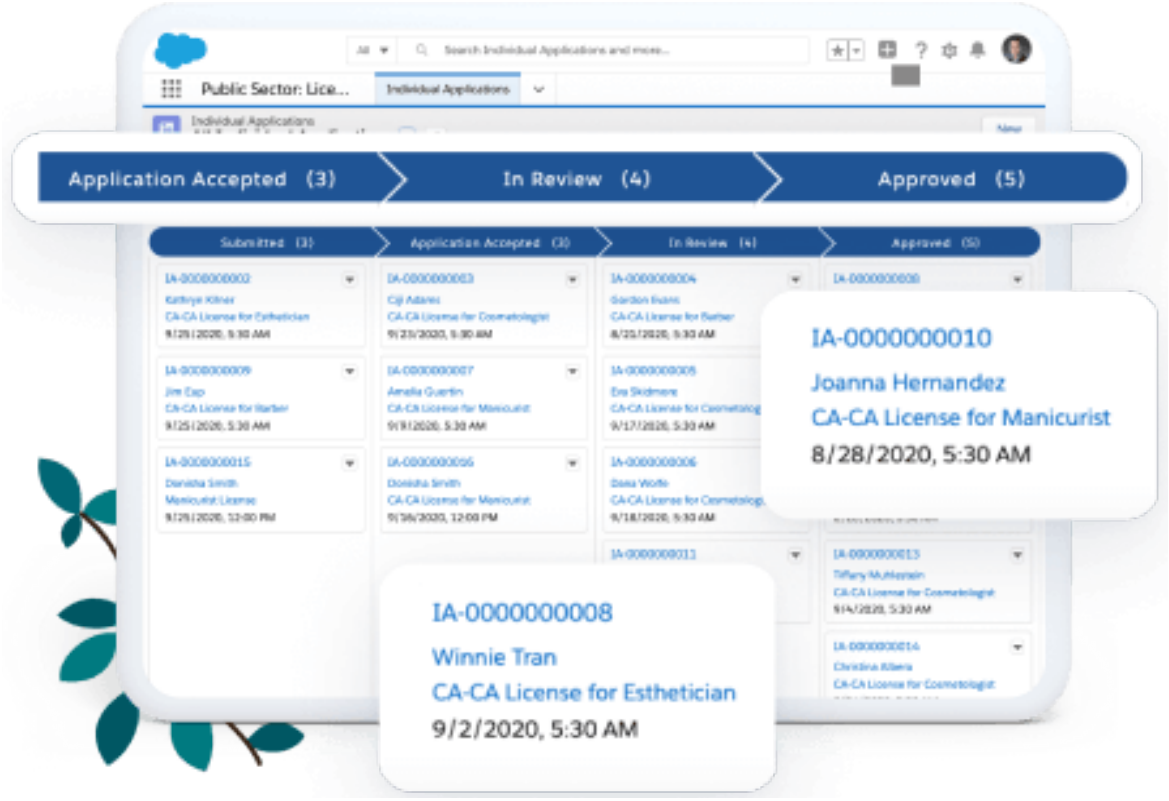
License & Permit Management Pre-Built Solution

Modernize business and community development with digital-first solutions for license and permit management. Public Sector Solutions for License and Permit Management is designed to help public sector organizations serve constituents at scale by digitizing the licensing and permitting application review and approvals lifecycle. Applicants can find, submit, and check on the status of requests for licensing, permitting, and inspections using a single digital hub. Organizations can serve applicants faster, supported by a complete view of applicant data and application pipeline, real-time collaboration tools, and recommended actions at each phase of the application process to ensure no critical steps are missed.

Key benefits include:

- **Connect Constituents and Public Servants** - Increase collaboration between applicants and supporting public sector employees with digital-first collaboration tools.
- **Serve Constituents at Scale** - Provide an online self-service hub for constituents to find, submit, and check on the status of licensing and permitting both quickly and easily.
- **Accelerate the Application Pipeline from Request through Resolution** - Give public sector employees timely notifications for upcoming tasks, including clear next actions for each step in the review and application process to ensure no critical steps are missed.
- **Stay Productive, Even When Offline** - View, create, and edit records offline, then automatically sync back to Salesforce when back online (note: **partner** solution, Axys, required).



Example Digital Hub

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Appendix E - Tableau CRM Overview (Optional)

Tableau's flexibility and built-in array of graphical charts and displays will allow the customer to quickly build and deploy a variety of dashboards and analysis capabilities for virtually all envisioned use cases. Tableau includes a wide variety of optimized data connectors, making Tableau the ideal choice for environments where multiple data sources are required in order to bring clarity on a given business problem. Tableau supports and works in conjunction with standard security mechanisms, assuring only those with appropriate access are capable of interacting with specific projects, dashboards and reports. As the leading visual analysis software company, the Tableau solution has been built on the principles of ease of use for all knowledge workers. Everyday users should not be encumbered by or limited by the capacity of the IT shop to develop and provide data analytics. As discussed below, Tableau's products are built on breakthrough technologies that allow users to quickly create visually compelling ways to see and understand one's data.

The Tableau Platform

Tableau offers featured products: Tableau Desktop, Tableau Prep Builder and Tableau Server. Tableau Server can be hosted on your infrastructure, via web service providers such as AWS, or via Tableau Online, which is Tableau's own hosted offering.

Tableau Desktop - Tableau Desktop is Tableau's authoring tool. It is used to analyze data, create dashboards, reports and other visualizations. It empowers users of any skill set to create rich visualizations and dashboards with an intuitive, drag-and-drop interface. End-users can easily answer their own questions 10-100x faster than traditional BI tools. Tableau's built-in ease-of-use will allow all users to operate with minimal reliance on support from the central IT department. However, NLCC centrally maintains and enforces data security, ensuring that only those given proper permissions are allowed to access NLCC information.

Tableau Prep Builder - Tableau's data preparation tool. Tableau Prep changes the way traditional data prep is performed in an organization. By providing a visual and direct way to combine, shape and clean data, Tableau Prep makes it easier for analysts and business users to start their analysis faster.

Tableau Server - Allows NLCC to publish dashboards and reports to their end users via a web browser, portal or mobile devices, and to secure and govern the application. It enables users to interactively access a single version of the truth to answer their own questions. With appropriate permission, users can even edit and create new dashboards directly on the web. Tableau Server is a web repository providing IT with centralized security, authentication, data governance, provisioning, policy, and control.

Data Management Add-on - Available for Tableau Server and Tableau Online - The Data Management Add-on is a collection of features and functionality that helps customers manage Tableau content and data assets in their Tableau Server or Tableau Online environment. NLCC can use Tableau Prep Conductor to leverage the scheduling and tracking functionality of Tableau Server or Tableau Online to automate updating flow outputs.

Tableau Catalog is included in the Data Management Add-on, making a variety of additional features available to you in the data management space. You can use Tableau Catalog to discover data, curate data assets, communicate data quality, perform impact analysis, and trace the lineage of data used in Tableau content.

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Both Tableau Catalog and Tableau Prep Conductor are licensed through the Data Management Add-on. For more information about licensing, see License the Data Management Add-on.

Tableau Prep Conductor - Schedule flows created with Tableau Prep Builder to run in a centralized, scalable, and reliable server environment so your organization's data is always up to date. Give administrators visibility into self-service data preparation across the organization. With Tableau Prep Conductor, you can manage, monitor, and secure flows using your Tableau Server or Tableau Online environment. Learn more.

Tableau Catalog - Manage your analytics with a complete view of the data in your Tableau environment. Empower all users to find, understand, and make use of trusted data with powerful search, data dictionary, lineage, and impact analysis. Integrate with your existing metadata systems using the Metadata API, exchanging valuable metadata with Tableau to surface where people are performing analysis. Learn more.

For more information on the Data Management Add-on, please visit: https://www.tableau.com/products/add-ons/data-management.

Server Management Add-on -- Manage Tableau Server at Scale

Enhanced manageability, scalability and security: The Tableau Server Management Add-on makes it easier to run large, mission-critical Tableau Server deployments. With the Server Management Add-on, you can react quickly to the changing needs of your business and save time by streamlining the management process.

Better visibility for efficient Server management: Get the most out of your deployment, through enhanced agent-based monitoring with the Tableau Resource Monitoring Tool. The Resource Monitoring Tool offers deep insights into the health and performance of a Tableau Server cluster by parsing and analyzing the logs generated by overall Server usage and combining that with monitoring of physical system usage (CPU Usage, RAM, Disk I/O etc.). Threshold based monitoring helps you stay on top of the health of your deployment. With increased visibility into hardware utilization, VizQL sessions, data source queries, backgrounder workloads and more, it's easier to manage and precisely tune the performance of your server.

Simplified content migration

Simplify and streamline your workbook and data source content workflows with the Tableau Content Migration Tool. Manage the movement of content between projects, sites or Tableau Server environments. Build your migration plan visually, and then set it to a schedule. You can remap data sources and perform other workbook transformations.

Leverage cloud services for better reliability and scalability

For large deployments hosted on AWS, customers can choose to host their Tableau Server metadata repository externally, with Amazon RDS Postgres. This approach provides increased scalability and high availability for organizations with large amounts of Tableau metadata.

For more information on the Server Management Add-on, please visit: https://www.tableau.com/products/add-ons/server-management.

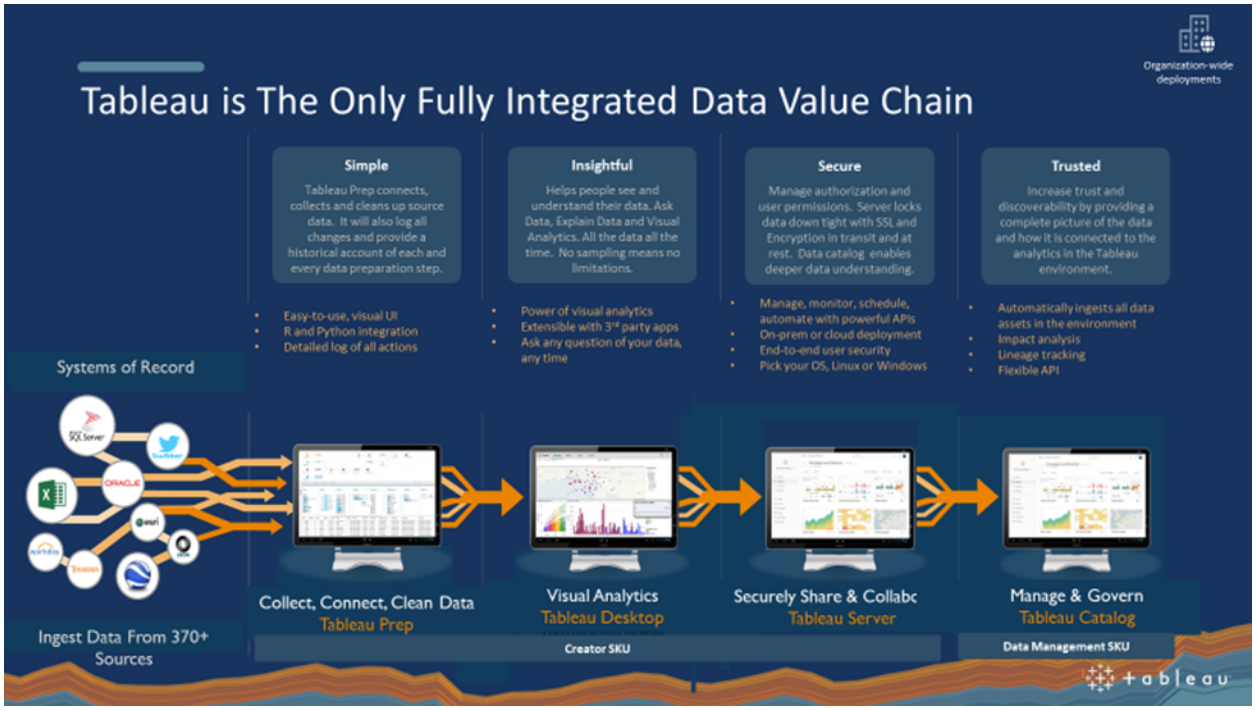
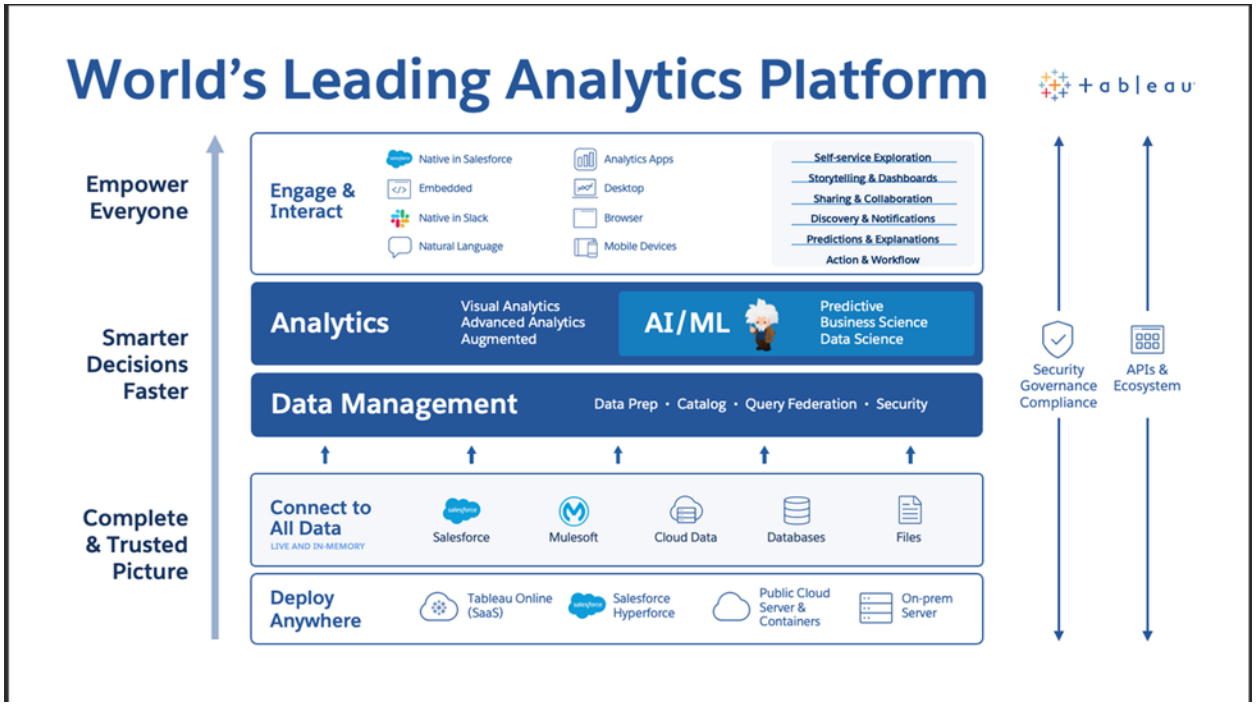


Tableau may provide NLCC with the following functionality:

- Enable users to ask their own questions of the data without requiring IT assistance
- Connects to all major data sources (databases, Big Data, cubes, text, desktop data, etc.)
- Requires no fixed data model, cube, universe, or meta layer and no modeling exercise
- Easily create simple or complex calculations plus stats integrations (R, SAS, SPSS)
- Flexible architecture supports direct connection or optimized extract queries
- Include built in visualization best practices
- Drill down into transactional data
- Collaborate with colleagues by sharing modified content or entering commentary
- Allows users to seamlessly blend or integrate data from disparate sources
- Publish dashboards, reports, visualizations to web browsers, mobile devices and web portals
- Editing and creation of worksheets and dashboards over the web
- IT has centralized security, authentication and governance
- Leverage CAC Card, Active Directory, SSO, Kerberos and PKI security methodologies
- Supports multi tenancy so multiple divisions or teams can use a single Tableau Server

The Tableau platform gives organizations everything they need to empower everyone securely with trusted data – deployment flexibility and choice, extensive data access, powerful data prep capabilities, content and data governance to keep data in the right hands, powerful analytics, collaborative tools to

bring data to the center of every conversation, and even the flexibility to interact with your data in any way you'd like – via the desktop, the browser, a mobile device, or even embedded into other applications.



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Security & Compliance: Tableau's approach to keeping your data safe and secure at scale is to leverage all your existing technology standards so you can use the same security protocols consistently across your landscape. This keeps your data and content safe and also simplifies the management task required from IT. From authentication and authorization protocols like Active Directory, SAML and Kerberos, to data and network security with SSL and permissioning, we provide the methods to implement security. We also maintain a comprehensive set of IT controls and audits to ensure we are meeting core compliance regulations.

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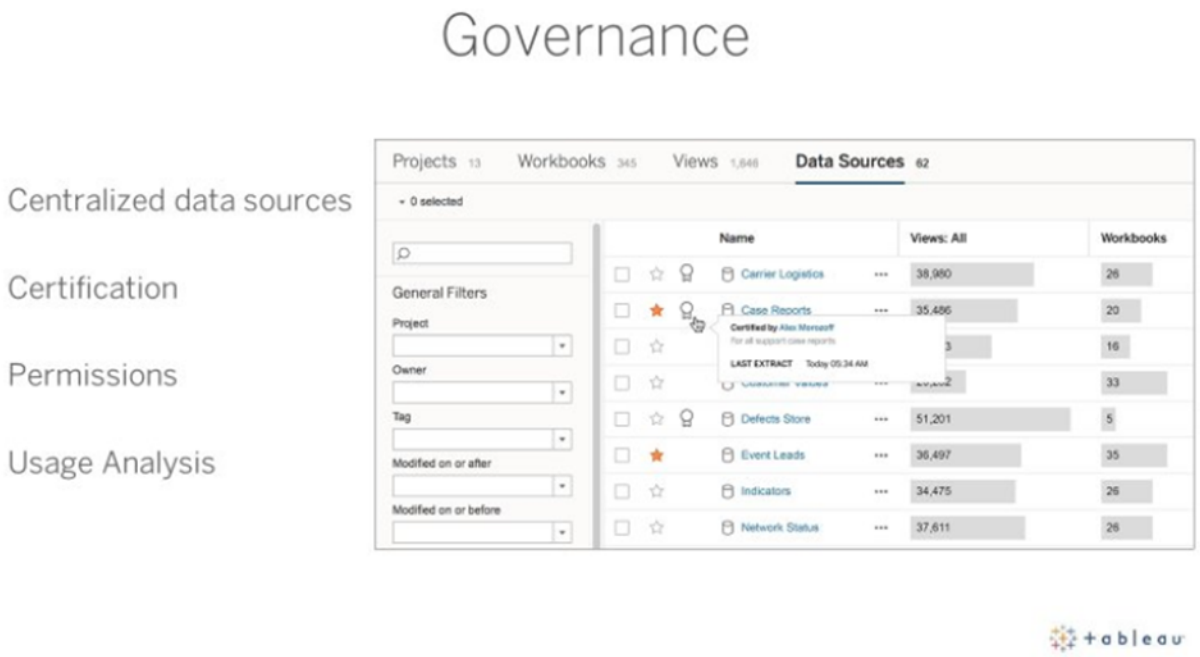
Governance: Tableau helps IT build, manage, and share data centrally through Tableau Server. Specific data sources can be certified by the data experts to ensure users are using the right data for their analysis, and that the organization is working with accurate and reliable data to drive their decisions. Permissions can be handled at the data source level to ensure only the right people can see the right information. You also get a wealth of information as to who is using what data source for what analysis, so you can continue to shape and improve on what is being offered to the business.



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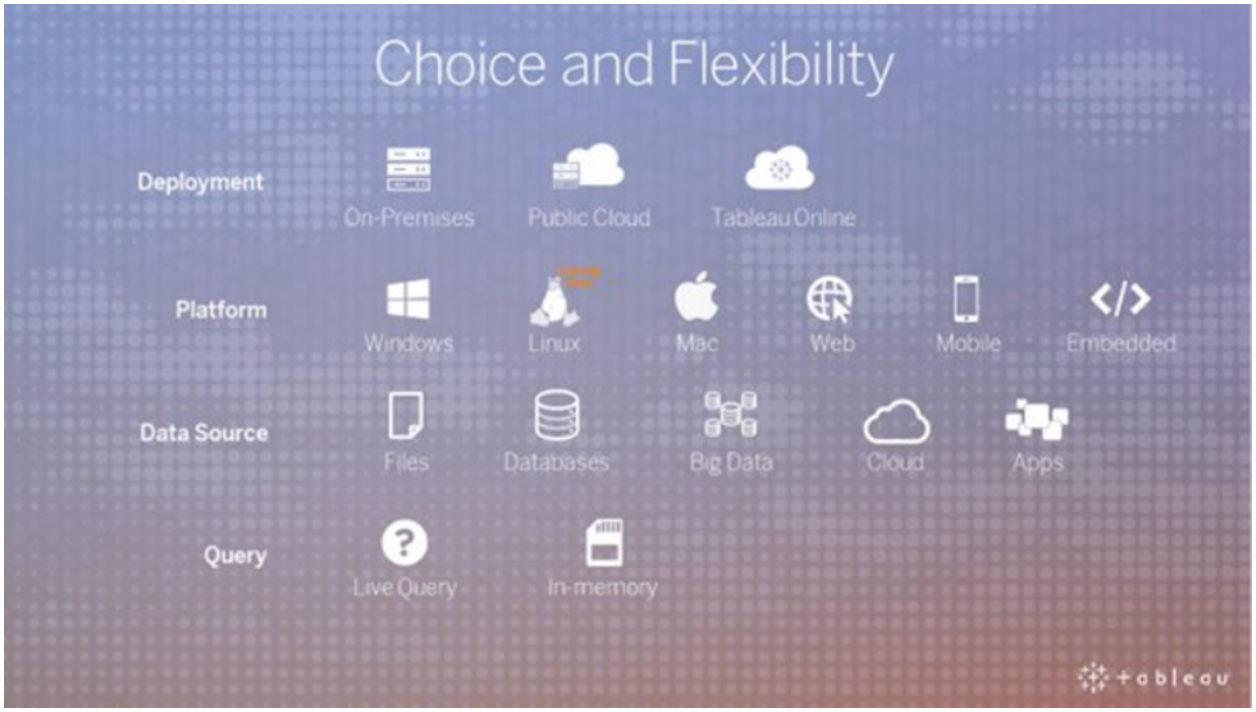
Choice & Flexibility

Tableau gives you more flexibility than any other analytics platform allowing you to leverage your technology investments, but it also ensures that you can rely on Tableau as a constant as your data environment continues to shift and grow.

We give you the choice of deployments – on premise, in the public cloud like AWS, GCP or AZURE, or in a fully hosted environment with Tableau Online. You can choose to deploy on Windows, Linux or Mac, depending on your platform of choice. You can interact with tableau securely via the browser, mobile device, or even embed your analytics into other applications. You can connect to your data easily – either files, databases, big data, cloud based data or other application data, no need to move your data. And you can choose to query that data live or by extract, depending on its nature, usage and how you want to optimize performance of your environment.



Extensibility & APIs: Tableau uses industry-standard programming languages and data-interchange formats to extend the platform. We provide pre-built data connectors at no additional cost to more than 70 data sources. If there isn't a specific connector Tableau also provides an ODBC connector. New connectors are constantly being added at no additional cost to the user.

In addition to connecting to these data sources, Tableau also provides:

- Direct integration with R, Python and Matlab – send data to this platforms to process and instantly visualize results in Tableau
- Use of any WMS server to supplement Tableau's out of the box mapping
- Directly connect to Shapefiles for mapping

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Hardware Requirements:

Tableau Desktop
Operating System
Windows
Microsoft Windows 8/8.1, Windows 10 (x64)
CPUs must support SSE4.2 and POPCNT instruction sets
2 GB memory
1.5 GB minimum free disk space
Mac
macOS Mojave 10.14, macOS Catalina 10.15, and Big Sur 11.4+
Intel processors
1.5 GB minimum free disk space
M1 processors under Rosetta 2 emulation mode
Virtual Environments
Citrix environments, Microsoft Hyper-V, Parallels, Vmware.
All of Tableau's products operate in virtualized environments when they are configured with the proper underlying Windows operating system and minimum hardware requirements. CPUs must support SSE4.2 and POPCNT instruction sets so any Processor Compatibility mode must be disabled.

Tableau Server
Web Browsers
Chrome on Windows, Mac, and Android
Microsoft Edge on Windows.
Mozilla Firefox & Firefox ESR on Windows and Mac
Apple Safari on Mac and iOS 11.3 or later
System Requirements
Microsoft Windows Server 2016, 2019
Amazon Linux 2, Red Hat Enterprise Linux (RHEL) 7.3+ and 8.3+, CentOS 7.3+ (not 8.x), Debian 9.0+, Oracle Linux 7.3+ (not 8.x), Ubuntu 16.04 LTS and 18.04 LTS on x64 chipsets
Proof of Concept Requirements
The minimum specifications are only suggested for prototyping and testing of Tableau Server. The installer checks for the minimum system requirements and will not proceed on computers with less than these hardware minimums:

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4 cores / 8v-CPU (ex.AWS)
16 GB system memory
15 GB minimum free disk space
Minimum Production Requirements
The minimum configuration recommended for production usage of Tableau Server is based on these hardware specifications:
8 physical cores, 16V-CPU (ex.AWS)
64 GB system memory
50 GB minimum free disk space
User Authentication and Security
Supports Microsoft Active Directory, SAML 2.0, OpenID Connect, and built-in Tableau users and groups for user authentication and group membership definitions. Kerberos support for Microsoft SQL Server, Microsoft SQL Server Analysis Services and Cloudera Impala. LDAP for Tableau Server on Linux.

Tableau Online
Web Browsers
Chrome on Windows, Mac, and Android
Microsoft Edge on Windows.
Mozilla Firefox & Firefox ESR on Windows and Mac
Apple Safari on Mac and iOS 11.3 or later
Storage
100 Gigabytes

Tableau Prep
OS Requirements
Windows
Microsoft Windows 8/8.1, Windows 10 (x64)
Mac
macOS Mojave 10.14, macOS Catalina 10.15, and Big Sur 11.4+
Minimum System Requirements
Windows
Intel Core i3 or AMD Ryzen 3 (Dual Core)

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4GB memory or larger
2GB HDD free or larger
Mac
Intel Core i3 (Dual Core)
4GB memory or larger
2GB HDD free or larger
Recommended Requirements
Windows
Intel Core i7 or AMD Ryzen 7 (Quad Core)
16GB memory or larger
2GB SSD free or larger
Mac
Intel Core i7 (Quad Core)
16GB memory or larger
2GB SSD free or larger
High Performance Requirements
Windows
Intel Core i7 or AMD Ryzen 7 (16 Core)
32GB memory or larger
2GB SSD free or larger
Virtual Environments
Citrix environments, Microsoft Hyper-V, Parallels, VMware, Microsoft Azure and Amazon EC2.

For more information please visit: https://www.tableau.com/products/techspecs

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Augmented Analytics and the Analyst

As the size of data within an organization grows, the full cycle of analytics—from collection to data prep to analysis—is often time consuming, regardless of the tools. This can hinder people from performing analysis on their own. AI-powered augmentation can accelerate the search for insights by trimming the search space, surfacing relevant data to the right person at the right time, and by suggesting fruitful paths for analysis.

AI-powered features like Explain Data in Tableau can provide NLCC explanations for data points that may be different than expected during the search for key insights in Grand Challenge datasets. Explain Data evaluates hundreds of potential explanations and the most likely ones are delivered as a combination of natural language and visualizations, so that they can be further explored with Tableau.

Natural language interfaces like Ask Data in Tableau will assist in data literacy efforts. Users can simply type their question about a data set and get an answer in the form of a visualization. Ask Data allows people to get insights by simply conversing with their data. Modalities such as natural language will help lower the barrier to analytics and unearth the next generation of self- service analytics. It allows you the ability to explore data at the speed of thought.

Smart Analytics: Natural language can be difficult. Humans are adept at clarifying ambiguity and intent by understanding the context of a conversation, but machines face a more difficult challenge. Now, with advances in the field of natural language, machines can better handle pragmatics, deciphering context to better understand the meaning behind a statement. The technology behind Ask Data understands ambiguous or underspecified statements and resolves them by offering helpful recommendations.

Whether it’s identifying complex patterns and relationships or using the data to predict future activities, uncovering these insights requires the ability to build statistical models, then analyze and share the results— it’s a job suited perfectly for Tableau’s integration with R. While R handles the “heavy lifting” of statistical analysis, Tableau allows you to explore and visualize the results in a simple drag-and-drop environment, turning your statistical findings into a beautiful dashboard. With Tableau Server, NLCC can securely share these visualizations across the business, putting the hard work of data scientists into the hands of the business user, for use cases such as Sentiment or Time-series Analysis.

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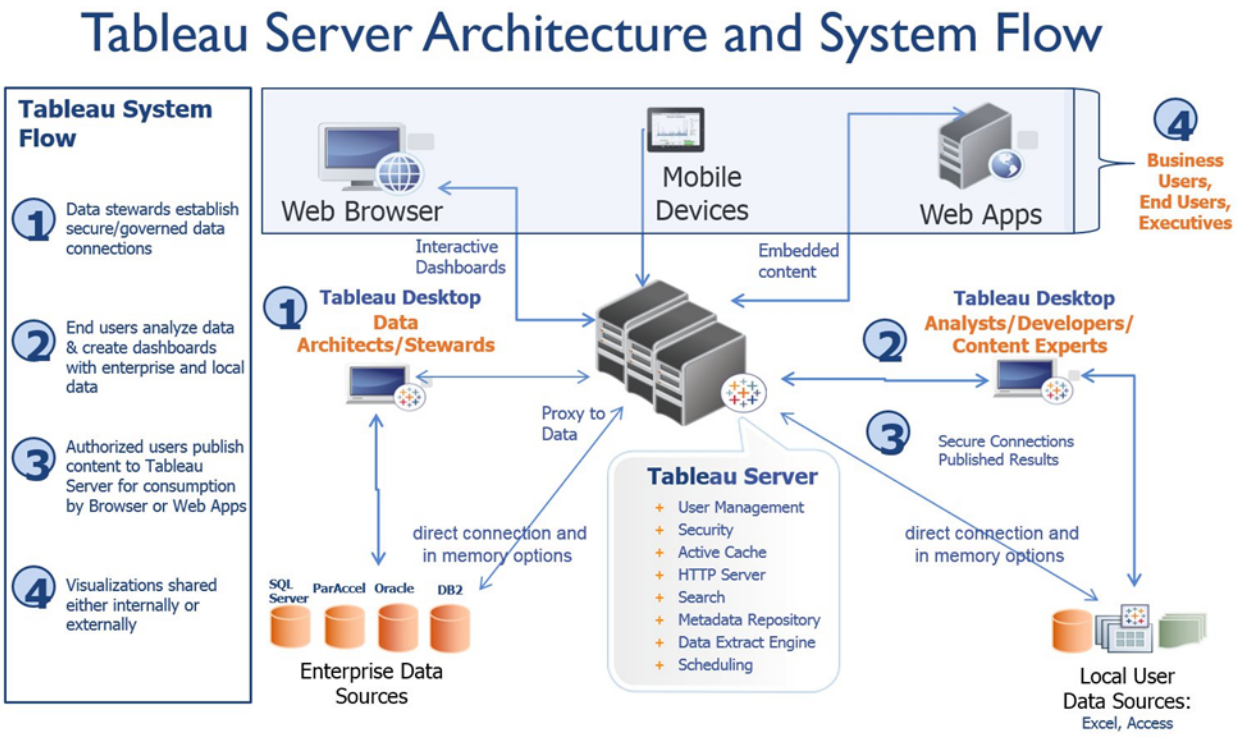
Tableau Deployment Model

The following diagram offers a view of how Tableau is typically deployed:

1. **Data Architects/Stewards** – will define and establish the data warehouse and create the data connections to allow Tableau access to the data
2. **Analysts/Developers/Content Experts** – will build and maintain required Dashboards… the initial set of dashboards and reports are created using Tableau Desktop; these can be updated and added-to as needed
3. **Content is published to Tableau Server** – all security, access controls, scheduling of updates to dashboards, alerts, etc. are established and maintained
4. **Dashboards and Reports** – made available as needed via Tableau Server; formatted and displayed as needed by the end-user; can be embedded in websites or viewed and analyzed via interactive dashboards using the web-based capabilities of Tableau Server.



Tableau's Breakthrough Technology

A Visual Query Language for Data: Spun out of Stanford in 2003, Tableau combines advances in computer graphics and database query to change the way you see and understand data. The five core design principles of Tableau's visual analysis products are: Easy User Interfaces, Easy Data Exploration, Expressiveness, Visualization Best Practices and Database Independence. All of these principles are embodied in or enabled by Tableau's VizQL™.

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VizQL™ -- Making visual analysis real: Tableau's first breakthrough was VizQL, a technology that allows you to visualize data of any size simply by dragging and dropping. The innovation is a patented software language that translates your drags and drops into an optimized database query and then displays the database's response graphically.

This creates a fundamentally new way of interacting with databases and spreadsheets. People can now do data visualization and data analysis as a single action, streamlining the process of human visual analysis. The right presentation of data makes it easy to organize and understand the information. Computational support for visualization gives the user the ability to iterate on different presentations of data, asking new questions and exploring it interactively.

The Data Engine -- Designed for massive data: The next breakthrough was Tableau's Data Engine, which gives users the ability to perform ad-hoc analysis of massive data in seconds. The Data Engine combines advances in database and computer graphics technology to let you visually query massive data in a truly ad hoc fashion.

With huge data comes huge possibility. When we built the Data Engine, we focused on data layout and algorithms that allow Tableau to realize speed-of-thought performance. You can work with all your data in memory on a laptop or mobile device and get query responses in seconds or less. For more information on the technology that makes Tableau software so unique, please visit the following: http://www.tableau.com/products/technology.

Deployment Flexibility:

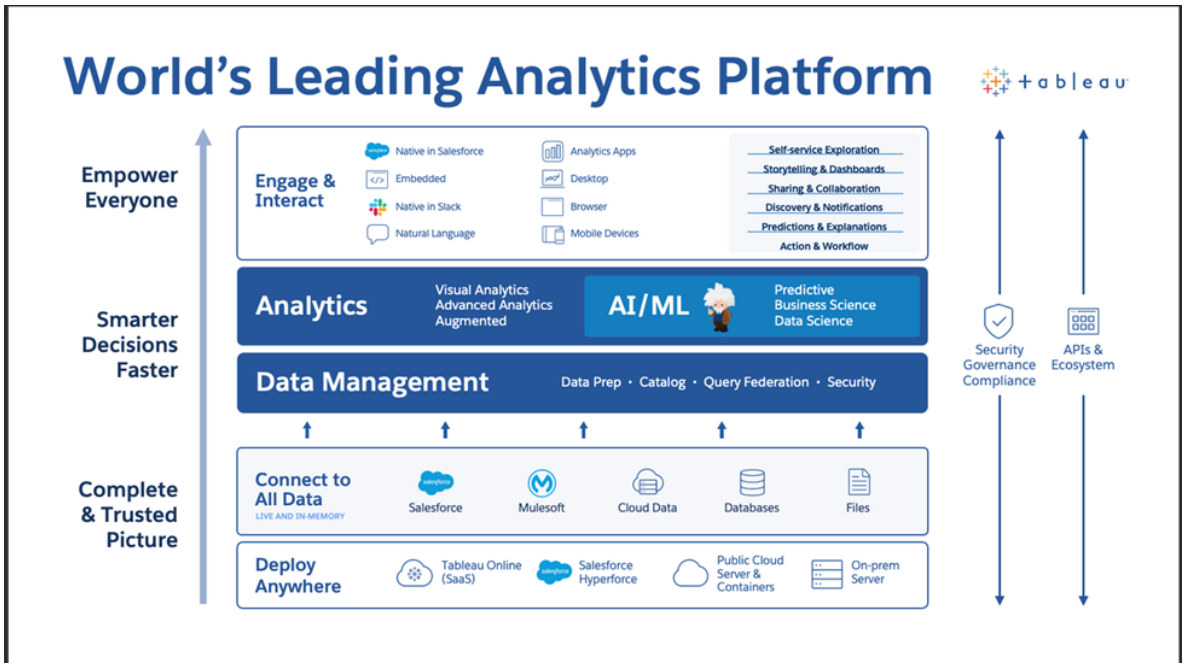

Tableau offers a multitude of ways a customer can deploy our data visualization software to best fit their needs. Tableau's strength is that it can fit into

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Data at the Tactical Edge: Tableau Desktop and Tableau Prep Builder can be installed on customers laptops/desktops. This allows users to be able to work on both data visualizations and data cleansing wherever they are: on a plane, at home, or on the back of a Humvee. Users can be connecting live to data or take an extracted copy of the data in order to work with or without an internet connection.

Tableau Server deployment options:

- Tableau provides Server Administrators the ultimate flexibility in deployment options. A Tableau server can be installed in an On Premise Data Center, in a Public Cloud Data Center or be hosted with Tableau through Tableau Online.
- Tableau on a Public Cloud Data Center supports Amazon Web Services EC2 and C2S. Microsoft Azure, Google Compute Engine.
    - One-Click installation is available from both AWS and Microsoft Azure marketplaces
    - Conversely, customers can bring their own licenses and install Tableau through a traditional install process.
- Tableau on DISA milCloud. Tableau can be installed onto DISA's milCloud 2.0 platform.
- Tableau supports Windows, MAC and Linux deployments on 64 bit operating systems. This allows the server administrator to have the flexibility to install on their operating system of choice and not force them to install on non-standard operating systems
    - Tableau Desktop and Tableau Prep Builder can be installed on either a Windows or a MAC operating system
    - Tableau Server supports Windows and Linux deployments. Including
        - 64 bit Windows operating system support
            - Windows Server 2016
            - Windows Server 2019
        - 64 bit Linux operating system support
            - Amazon Linux
            - Red Hat Enterprise Linux (RHEL) 7.3 and higher (not 8.x
            - CentOS 7.3+
            - Debian 9.0+
            - Oracle Linux 7.3+
            - Ubuntu 16.04 LTS and 18.04 LTS on x64 chipsets
    - **Tableau Server Multi-tenancy**: A common issue organizations and programs have is finding a place where they can install server software. While public clouds are starting to become accepted within the Federal marketplace, not all organizations have authorization to utilize them. In addition, many data centers are already at maximum capacity and do not have the room to install additional software. Tableau provides the flexibility to allow support for multi-tenancy within a single server installation. This means multiple organizations can utilize the same server without requiring each organization/ program to buy and install on their own server. With Role Based Access capabilities, each organization can be limited in what visualizations and data they see.
    - **Tableau Server environments**: With the purchase of a Tableau Server production license, users are authorized to install that license on three environments (1 Production Server, 2 Non-Production Servers). This is a huge cost savings to organizations/ programs as most software products require purchasing of any additional non-production servers. Additional environments can be purchased if more than 2 are needed. Each server can be identically sized to the authorized number of users or cores.
      Non-Production servers can be utilized for Backup/Disaster Recovery (cold-site backup),

load testing, REST API development, version upgrade testing, JavaScript SDK development and user syncing.

Tableau Licensing Model

Tableau products and services are available via our GSA Schedule holder, Fed Results, Inc. of Reston, VA. We also work with and resell our products to the Federal Government via a number of valued product resellers. Tableau products are available via a number of negotiated contract vehicles including, for example, Army CHESS and NASA SEWP. We would be glad to provide additional details on our GSA Schedule and contract vehicles upon request. Tableau also works with many small business 8A organizations, if that is a desirable acquisition approach.

Subscription Pricing

When customers purchase a Subscription License, they receive rights for a specific, limited period of time, during which they are allowed to access and use the licensed Software. At the expiration of the term, the customer must either renew the Subscription license to use the Software or, alternatively, stop using the Software. Tableau includes Support and Maintenance Services with the sale of all Subscription Licenses, and these charges are non-optional. Subscription licensing allows a client to reduce the upfront investment required, allows you to deploy and scale at your own pace, and use OPEX funding.

Licensing Options

Tableau has introduced role-based licensing which will give the customer the most flexibility in licensing different types of users as well as a cost-effective manner to license those users based on capability needed. For more information on our licensing please visit: https://help.tableau.com/current/server/en-us/license_server_overview.htm.

Tableau has identified three types of user “Roles”: Creators, Explorers and Viewers. The Tableau Creator license provides the full analytics capabilities to analysts and power users. The Creator license includes:

- Tableau Desktop component, which enables you to connect to virtually any data anywhere, giving you the ability to analyze your data at the speed of thought
- Tableau Server user with Creator role rights, providing the user with the ability to publish, govern and share their work anywhere. Creators can now complete their analysis directly in the browser, with a full end-to-end web authoring experience.
- Tableau’s data preparation product, Tableau Prep Builder. Data preparation is one of the biggest challenges facing our customers today. Tableau designed Tableau Prep to simplify common data preparation tasks—such as joins, unions, pivots, cleaning, and aggregations—with a drag-and-drop experience. No scripting is required. With Tableau Prep, Analysts can see how each step affects the output so you can get to your desired results faster, with greater confidence in your final data set.

The Tableau Server Explorer license role allows web-based users the ability to explore trusted data and answer your own questions faster with full self-service analytics.

The Tableau Server Viewer license role allows web-based users to view and interact with dashboards and visualizations in a secure, easy-to-use platform.

For a more detailed breakout of Creator, Explorer and Viewer capabilities, review the table on https://www.tableau.com/pricing/teams-orgs#server.

Tableau User Roles

Tableau's Role-Based Offering: Tableau has realigned our subscription offerings around how our customers want to interact with data to meet the unique needs of all types of users.

As data continues to touch more and more parts of every organization, more types of people are also depending on data to do their jobs. Tableau empowers everyone- from the individual analyst to all users in large organizations with the best analytics platform on the market. Tableau's offerings deliver the most value with:

- Powerful analytics tailored to meet the unique needs of all types of users
- Being easy to start and scale
- Providing a complete end-to end platform with no hidden costs
- Staying aligned and invested in your success.

How to decide on the right mix of users for the organization

The Creator: Creators are anyone in your organization who connects to sources of data and crafts that data into something useful for themselves and others. In your organization today, they likely create reports and distribute them through email or a share drive. They are performing ad hoc analysis to answer deeper questions of their data. They are your data power users.

The Explorer: Explorers are your modern business users - your mobilizing force for change. They may not have analyst in their title, but they're comfortable with data. They're looking to move their businesses forward and need to probe deeper into the data to find answers to their own questions. These answers are often outside the confines of pre-built reports.

The Viewer: Viewers use data to inform and improve the decisions they make. Viewers can be anyone from team members who need data to perform many of their daily tasks, to people managers who need to see how their teams are progressing on important projects, to the CEO, who needs high-level metrics about the health of the business.

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The diagram below shows the capabilities of each user role:

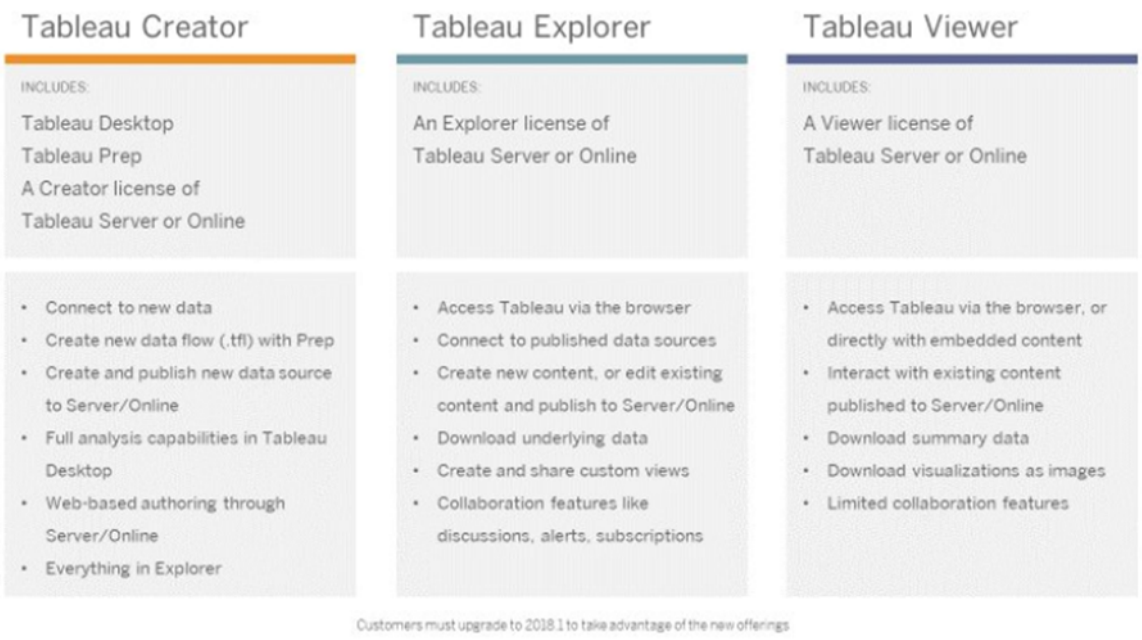

Tableau Data Connectors: Tableau provides out-of-the-box optimized data connectors to over 75 disparate data sources, minimizing the amount of time and effort required to establish access to data that may be needed for analysis. Users do not need to know scripting languages in order to build reports.

Tableau supports connections to a variety of data sources including:

Connector Type	Connectors
RDMBS	Oracle, SQL Server, DB2, Access, SAP Sybase ASE, SAP Sybase IQ, MySQL, IBM DB2, PostGresSQL, Progress OpenEdge, Actian Vector, MemSQL Exasol, MariaDB
MPP	Teradata, Vertica,IBM PDA(Netezza), DataStax Enterprise, Greenplum, ParAccel, EXASolution, MonetDB, Snowflake Elastic Data Warehouse, Actian Matrix, Pivotal Greenplum
Hadoop	Cloudera, Clousdera Impala, Hortonworks, MapR, Aster, AWS EMR, Spark SQL, Apache Drill, Kognitio
Cloud	Cloud: Google BigQuery, Google Analytics, Google Cloud SQL, Google Ads, Google Drive, Google Sheets, AWS, IBM BigInsights, Amazon Redshift, Amazon Aurora, Snowflake, Alibaba AnalyticDB for MySQL, Alibaba Data Lake Analytics, Alibaba MaxCompute, DataBricks, Qubole, Presto, Spark SQL
Microsoft Azure Data Platform	Microsoft Azure Data Platform: Azure SQL Data Warehouse, Azure SQL Database, Spark on Azure HDInsight
SAP	SAP Hana, NetWeaver Business Warehouse, SAP Sybase ASE, SAP Sybase IQ
Salesforce	Salesforce
OLAP	Oracle Essbase, Teradata OLAP Connector, MSFT Analysis Services, Kyvos, SAP NetWeaver Business Warehouse

Flat Files	PDF, CSV, TAB, TXT, Delimited
Spreadsheets	Excel, Google Sheets
Web	Web Data Connector, ESRI Web Data Connector
Statistical	SAS, SPSS, R
Geospatial	KML, Shapefiles, GeoJSON, MapInfo, TopoJSON, Oracle Spatial, SQL Server Geospatial, ESRI Geodatabase, PostGres Spatial, Greenplum Spatial
ITSM	ServiceNow ITSM
Structure/Unstructured	MarkLogic, Snowflake, MongoDB
Data Virtualization	Denodo, Tibco Data Virtualization
Other	Splunk, OData, Firebird, MSFT PowerPivot, Marketo Data, QuickBooks, Anaplan, ServiceNow ITSM, SharePoint lists, Oracle Eloqua, Presto, SharePoint Lists, OneDrive, Box, Dropbox, Intuit QuickBooks Online ODBC, JDBC

Tableau can query data ‘live’ from data sources or extract data for a hybrid in-memory, point-in-time view of the data. Tableau translates user interactions into queries. As users use the drag-and-drop interface to examine information, they are automatically generating sophisticated queries against their database or Tableau Hyper extracts. Tableau can generate queries in a range of query languages including Structured Query Language ("SQL"), Multidimensional Expressions ("MDX") and Salesforce Object Query Language ("SOQL"). Each query is optimized for the target platform and its unique performance and analytical characteristics. A live query approach allows customers to leverage their investments in database infrastructure and enables them to take advantage of query-optimized databases. Tableau contains Hyper, an in-memory data engine technology that can be used for rapid analysis. By extracting data to Hyper, customers can analyze large or complex data sets faster. A core Tableau platform technology, Hyper uses proprietary dynamic code generation and parallelism techniques to achieve fast performance for extract creation and query execution. Many other systems use a traditional query execution model that cannot take full advantage of modern multi-core hardware. Instead, Hyper optimizes and compiles queries into custom machine code to make better use of the underlying hardware. When Hyper receives a query, it creates a tree, logically optimizes the tree, and then uses it as a blueprint to create a unique program, which is then executed. The end result is better utilization of modern hardware for faster query execution.

While Tableau provides numerous connectors to many popular databases, it cannot cover every data source. Tableau has created a Tableau Connector SDK so developers can create their own Tableau connectors to databases of their choice. With the Tableau Connector SDK, a developer can create a new connector that can be used to visualize their data from any database through an ODBC or JDBC driver. A developer can customize connector behavior, fine tune SQL generation, use the connectivity test harness to validate the connector behavior during the development process, and then package and distribute the connector to users. This capability means that organizations or database vendors do not have to wait for Tableau to develop, test and release a connector and they can proactively build connectors for user to access their data in a timely fashion.

Tableau Query Optimization Technologies

- Parallel Query – Allows Tableau Desktop or Server to initiate multiple, parallel connections automatically when communicating with a data source. This feature can dramatically speed dashboard execution time.
    - Options that can be set with Parallel Query
        - A global limit on the number of parallel queries
        - Limits for a particular data source type, such as SQL Server
        - Limits for a particular data source type on a specific server
        - Limits for a particular data source type, on a specific server, when connecting to a specific database
        - Limits for how many data sources can be queried simultaneously in a cross-database join
- Query Fusion – Tableau will examine all the queries on a dashboard and find ways to simplify them into fewer queries. This will result in less work for the database and faster response times for the user.
- External Query Caching – When loading a workbook for the first time, Tableau queries the data source to get the values to create the visualizations. If the data hasn't changed, like with extract-based workbooks, Tableau will utilize the data from the first time it was queried. This capability can dramatically improve the speed of loading applicable workbooks.
- Assume Referential Integrity - A setting when the data in your database has referential integrity but your database is not enforcing or cannot enforce referential integrity. By using Assume Referential Integrity, Tableau can simplify the queries by not including extra database tables. By simplifying the query and reducing the workload on the database, query time and performance can be improved.
- Join Culling – As with Assume Referential Integrity, when there is referential integrity with the database a customer is using, Tableau will support Join Culling. Join culling queries only the relevant tables instead of all tables defined in a join in order to satisfy a query.
- Tableau Data Source Customization (TDC) – When a user uses a connector for a database that supports SQL, Tableau generates SQL statements that are tuned for that database. Because Tableau has no representation of the SQL dialect used by an ODBC data source, it must infer the supported syntax through a variety of tests. If a driver reports incorrect or incomplete information about the SQL dialect it supports, you can use Tableau customizations to fine tune this connection information in order to improve functionality and performance. Tableau supports two types of customizations: Tableau-specific capabilities and ODBC API calls to SQLGetInfo.

Why Tableau Extracts?: Tableau offers customers the ability to access data in one of two modes: Live (direct access to a data source) or a In-Memory, Point-in-Time Extract (Hyper). To the user each mode is identical in terms of accessing the data. Many of Tableau's competitors say they will access data in a Live mode but, in reality, they want organizations to push data into their proprietary Extract format. By having a dual mode access model, Tableau gives users the best of both worlds. Tableau's Data Connectors are optimized for the underlying language the data sources communicate in: SQL, SOQL or MDX. In order to scale, Tableau will push as much of processing to these data sources as possible and minimize the post-processing. Tableau respects the hardware investments our customers have made for these 'Live' data sources. In addition, many Tableau customers have invested in data security through entitlement tables, materialized views, or Kerberos to limit what data a user has access to. Forcing a customer to extract data means that the data security must be recreated in the extracted data model. This may require significant resources to accomplish. However, there are times that an extract is, in fact, a better choice.

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Tableau's Hyper Data Engine is a high-performance columnar data store that applies a variety of compression techniques to reduce data size. Creating an extract is as simple as clicking the Extract option in Tableau. There is no data modeling work that is needed.

- The underlying data source was sized for transaction data entry and not for large scale access for users reading massive amounts of data
- The underlying data source does not support data functions that are critical for analysis i.e., a Count Distinct function.
- The system owners will only provide data extracts in text formats, or your analysis is on large Excel spreadsheets and by importing into Hyper speed can be gained.
- There is no data warehouse or data lake created to unify the data across systems. Used in conjunction with Tableau Prep Builder, this can be accomplished with Hyper.
- Users have access to the system at certain times of the day to minimize disruption of data entry. Using extracts with Tableau Server's robust scheduling software can automatically create Hyper extracts.

Our customers have expressed the desire to have the best of both worlds: The ability to go Live against data sources and have the flexibility, if they so choose, to Extract their data. With Tableau customers can have both.

Tableau Authentication: Authentication verifies a user's identity. Everyone who needs to access Tableau Server—whether to manage the server, or to publish, browse, or administer content—must be represented as a user in the Tableau Server identity store. Authentication by federal organizations/programs is typically performed by an external process. Organizations must configure Tableau Server for external authentication technologies such as Active Directory, Kerberos,OpenLDAP, SAML, or OpenID. In all cases each user identity must be represented in the Tableau Server identity store, which is managed by the Repository.

SAML (Security Assertion Markup Language): SAML is an XML standard that allows secure web domains to exchange user authentication and authorization data. Administrators can configure Tableau Server to use an external identity provider (IdP) to authenticate users over SAML 2.0. Tableau Server supports both service provider initiated and IdP initiated SAML in browsers only. Connections from Tableau Desktop or the Tableau Mobile app require that the SAML request be service provider initiated. No user credentials are stored with Tableau Server, and using SAML enables administrators to add Tableau to your organization's single sign-on environment.

Administrators can use SAML server wide, or they can configure sites individually. Here's an overview of those options:

- Server-wide SAML authentication. A single SAML IdP application handles authentication for all Tableau Server users. Use this option if the Tableau Server has only the Default site.

In addition, if administrators want to use site-specific SAML, administrators must configure server-wide SAML before you configure individual sites.

- Server-wide local authentication and site-specific SAML authentication. In a multi-site environment, users who are not enabled for SAML authentication at the site level can sign in using local authentication.

- Server-wide SAML authentication and site-specific SAML authentication. In a multi-site environment, all users authenticate through a SAML IdP configured at the site level, and you specify a server-wide default SAML IdP for users that belong to multiple sites.

Trusted Tickets: If your organization wants to embed Tableau Server views into web pages, everyone who visits the page must be a licensed user on Tableau Server. When users visit the page, they are prompted to sign in to Tableau Server before they can see the view. If your organization already have a way of authenticating users on the web page or within your web application, administrators can avoid this prompt and save users from having to sign in twice by setting up trusted authentication.

Trusted authentication simply means that administrators have set up a trusted relationship between Tableau Server and one or more web servers. When Tableau Server receives requests from these trusted web servers it assumes that your web server has handled whatever authentication is necessary.

If your web server uses SSPI (Security Support Provider Interface), you do not need to set up trusted authentication. You can embed views and your users will have secure access to them as long as they are licensed Tableau Server users and members of your Active Directory.

Mutual SSL. Using mutual SSL, administrators can provide users of Tableau Desktop and other approved Tableau clients a secure, direct-access experience to Tableau Server. With mutual SSL, when a client with a valid SSL certificate connects to Tableau Server, Tableau Server confirms the existence of the client certificate and authenticates the user, based on the username in the client certificate. If the client does not have a valid SSL certificate, Tableau Server can refuse the connection. Administrators can also configure Tableau Server to fall back to username/password authentication if mutual SSL fails.

Kerberos: Kerberos is a three-way authentication protocol that relies on the use of a trusted third-party network service called the Key Distribution Center (KDC) to verify the identity of computers and provide for secure connections between the computers through the exchange of tickets. These tickets provide mutual authentication between computers or services, verifying that one has permission to access the other.

Tableau Server supports Kerberos authentication in an Active Directory Kerberos environment, with authentication to Tableau Server being handled by Kerberos.

OpenID Connect: Administrators can configure Tableau Server to support OpenID Connect for single sign-in (SSO). OpenID Connect is a standard authentication protocol that lets users sign in to an identity provider (IdP) such as Google. After they've successfully signed in to their IdP, they are automatically signed in to Tableau Server. Tableau can support PIV/CAC/Smart Cards through the use of Mutual SSL or Kerberos.

Tableau - Information Security and Compliance: Tableau is used in every cabinet level agency and many independent agencies throughout the Federal government. At HHS alone Tableau is used in every Operating Division and many Staff Divisions. Public Sector is the largest vertical organization in Tableau with dedicated resources for support, sales, development, marketing and operations. As part of Tableau's commitment to Public Sector, we constantly invest in the software to meet the various IT mandates specific to the Federal government. A summary of some of these requirements Tableau has met is provided below:

<u>Information Security Certifications</u>

- Air Force Approved Product List (APL)
- US Navy
    - DADMS Approval

        - DADMS ID: 122595 - Tableau Desktop Pro 2019.X
        - DADMS ID: 119462 - Tableau Server v2019.1
        - DADMS ID: 122220 - Tableau Server v2019.X
        - DADMS ID: 119802 (Navy and USMC) - Tableau Creator v2019
    - NMCI Certification
- AWS IL4 Certified – US Army G8
- ATO NIPR/SIPR - US Army Materiel Command MCOP System
- Provisional ATO NIPR – Defense Health Agency (SPAWAR)
- Active Networks:
    - NIPR, SIPR, BICES, JWICS
    - Washington Headquarters Service - Joint Service Provider (JSP) Environment

Accessibility: Tableau's mission is to help people see and understand data. This mission applies to all people, regardless of physical abilities. Tableau understands the importance of making software that is accessible to everyone and is committed to making our products delightful and accessible for all users. Accordingly, Tableau is constantly working to ensure our software that follows the Web Content Accessibility Guidelines created by the World Wide Web Consortium and those found in Section 508 of the 1998 Federal Rehabilitation Act. Beginning in Q1 of 2017, Tableau is now able to produce accessible content that is fully 508 compliant and WCAG 2.0 AA conformant. In each new release we continue to add new capabilities to make our software even more accessible. Since 2017, Tableau has produced seven new functionality releases that included accessibility enhancements.

Tableau has developed best practices for content creators to use when creating accessible dashboards and reports, which can be found in the Tableau documentation. Tableau is happy to provide a Voluntary Product Accessibility Template (VPAT) or Agency PAT upon request.

Tableau Consulting Services: Whether your project needs to be completed next week or next year, Tableau Consulting Services will help you achieve your business outcomes quickly, accelerating your time to value. Since every deployment and environment is unique, we can help you navigate your options and set you up for success.

Maximize investment: Realize the full potential of the investment in Tableau and transform your organization with data. Take advantage of our expertise to help you get there

Accelerate time to value: Achieve all business objectives quickly by leveraging our years of experience and knowledge of best practices.

Minimize risk: Feel confident knowing your deployment has been set up for success, by relying on our experts to establish best practices and avoid pitfalls.

Tableau offers professional services for on-site or virtual remote support of initial implementation and on-going customer support needs. Services offerings include:

Tableau Blueprint Workshop - Determine a clear analytics strategy and roadmap for how to fully utilize Tableau with a thorough plan that defines the mission and vision, aligns your team on needs and outcomes, and prioritizes a work schedule.

Data Essentials - Learn data preparation best practices to provide reliable, shareable, and highly performant data sources.

Dashboard Essentials - Build compelling and actionable dashboards through hands-on coaching from an expert who will teach you analytics best practices and principles of visual design.

Server Upgrade - Upgrade your environment so your team can produce deeper, more relevant findings by taking advantage of Tableau's newest features

Governance - Define and implement the right standards, processes and policies to ensure your data and content are secure and easily shareable.

Community Building - Establish communication and engagement frameworks to foster learning and advance Tableau skills across your organization.

For more information, please visit: https://www.tableau.com/support/consulting

Tableau Training - Tableau provides comprehensive learning solutions to help build data literacy and proficiency across an organization's user community. We offer Public (open registration) and Private (onsite) instructor-led training, self-paced eLearning courses built on learning paths, certifications and tailored curriculum to support an organization's training goals.

Public Classroom Training - Public classroom courses are accessible throughout the year. These courses are open to any organization to help build analytics proficiency on an individual basis. Certificates of completion are provided upon course completion. These courses are currently delivered virtually due to COVID-19. The list of classes can be seen here - https://www.tableau.com/learn/classroom.

Private Classroom Training - Tableau offers private classroom courses which are delivered onsite at a customer location (typically 12-15 participants per course). Certificates of completion are provided upon course completion. These courses are being delivered virtually due to COVID. The list of classes can be seen here - https://www.tableau.com/learn/classroom.

eLearning - Tableau offers cost effective eLearning courses based on role-based learning paths to build analytics proficiency across an organization. Each of these courses has assessments and badges to demonstrate course progression. Certifications are also available. Enterprise customers have access to our learning management system to measure usage and progress. This data can be exported to record completions for an agency's learning management system. For more information, https://www.tableau.com/learn/training/elearning.

Customized Training Content and Curriculum - Tableau Adult learning specialists will gather needs, design and build custom courses to meet agency training requirements. Tableau offers consulting services around custom design and build to fit client requirements. Each course is custom built from

requirements gathering to iterative design and build including ongoing updates and support.

- All requested are scoped independently to ensure minimum time required to design and build are used
- Ongoing feedback is requested throughout the process to ensure content meets and exceeds all requested needs
- Topics are not limited to Tableau software specific requests

Instructor Certification - Our enablement team members work hand in hand with an agency's training team to certify them as Tableau Instructors to deliver our curriculum. This option gives an agency full control of delivery. Delta courses (what's new in Tableau) are included to keep instructors up to date on the latest Tableau version.

- Instructors will go through Tableau's instructor certification program culminating in Tableau Certified Associate
- Consultant title which enables the instructor to deliver our content
- Content licensed from Tableau for each delivery
- Access to Principal Tableau Instructors for questions and teaching best practices

Next Steps - To make it easy for customers to utilize our training, Tableau has introduced a program called Learning Credits where agencies can pre-purchase training to use on any Tableau learning offering. The benefits this program includes:

- Assigned a Tableau learning team to help meet and exceed all training needs (single point of contact)
- Customized learning paths for employees of different roles via completion of a learning needs assessment
- Simplified contracting (single purchase order, single invoice)
- Flexibility to use credits as needed on planned and emergent requirements
- Funds can be used to support employee upskilling

Tableau Support: Standard support is included with all Tableau license purchases. Standard support provides access to Tableau technical resources during normal business hours, Monday to Friday. For customers that have enterprise, mission-critical or other environments that require comprehensive coverage and faster response times, Tableau offers two additional support programs to mitigate risk and optimize the user experience: 1) Extended Support provides 24x7 weekend coverage and faster response times for P1 coverage; 2) Premium Support provides the fastest response times we offer, priority case escalation to our senior support team and a dedicated Technical Account Manager who will be an extension of your team to care for and optimize the Tableau environment including deployments, upgrades, roadmap planning as well as other product updates. To see a comparison of our support levels please visit - https://www.tableau.com/support/services.

Tableau Professional Services: Using best practices garnered from our experience working with Fortune 500, education, healthcare and public sector organizations, Tableau Global Services helps customers to accelerate the time needed to realize value, minimize risk and maximize the return on their analytic investments. Driven by Tableau's Blueprint methodology, our deployment methods and consulting services consider business needs, data governance, visual design and development best practices and

enablement of users to address areas such as the following:

- Analytics Strategy: We partner with key business and IT stakeholders to understand organizational goals and develop a tailored plan for deploying Tableau.
- Agile Deployment: We help organizations deploy optimized environments, build trusted data sources and establish a governance plan to support self-service analytics at scale.
- Proficient Users: We onboard users and make sure they get immediate value from Tableau and provide long-term enablement to advance analytics proficiency.

Consulting: Tableau consultants are experts at helping organizations to achieve their analytics and reporting objectives through solutions such as the following:

Custom Solutions: Tableau consultants can be leveraged in hourly, time and materials arrangements to assist organizations with initiatives such as the following:.

- Server Rapid Start: A high impact engagement designed to help an organization implement and configure a Tableau Server environment and enable their staff with knowledge to maintain the environment over time
- Workshops: From Tableau Blueprint, Data Readiness and Governance to Dashboard Design, our workshops are designed to provide expert facilitation and practical guidance to build staff knowledge and realize value from your Tableau investment..
- Data Management: Services designed to maximize the use of Tableau's Data Management Add On in areas such as: Designing prep workflows to shape and clean data sources; creating Prep Conductor infrastructure; identifying duplicate data sources; integrating with existing enterprise data catalog applications; and solutions to mitigate issues such as PII management and identify workbooks within an environment that are not adhering to best practices.

For more information, https://www.tableau.com/support/consulting.

Enterprise Adoption Consultant (EAC): Tableau consultant(s) will be dedicated for up to one year to help drive best practices implementation of Tableau, accelerate platform adoption and build data proficiency across an organization's user community. With an EAC, organizations can secure Tableau resources at a reduced rate with pre-payment. If pre-payment is not possible, hourly consulting engagements can be scoped that accomplish similar goals but at a higher rate. Thru the EAC approach, organizations can save between $25K-$100K. Tableau consultants will develop an engagement plan early in the process to make sure we are focused on the right activities that support an organization's users and deliver the needed outcomes.

Industry Leadership: Tableau continues to be the industry leader in the business intelligence software market. As shown in Gartner's 2021 Magic Quadrant for Analytics and Business Intelligence vendors, Tableau, for the eighth year in a row, is positioned in the Top-Right Leader's quadrant. Gartner views "Completeness of Vision" to include for example, report writer functionality which is typically the basis of many of the legacy solutions still on the market today. While Tableau does include report formatting capabilities, its strength lies in the ability of everyday users to analyze and understand their data on their own, without the need for advanced "scripting" or programming skills, and minimal dependence on a BI guru. With Tableau, end-users can perform their own analysis, using virtually any data source they have been given permission to access. With Tableau Server, full security control over data resources and access to Reporting Dashboards is maintained and governed by IT management, providing a truly

enterprise solution that can meet and exceed the requirements of the Army's Data Collection and Reporting Tool project.

Figure 1: Magic Quadrant for Analytics and Business Intelligence Platforms

Source: Gartner (February 2021)

Appendix F - Sample Work Plan and Implementation Schedule

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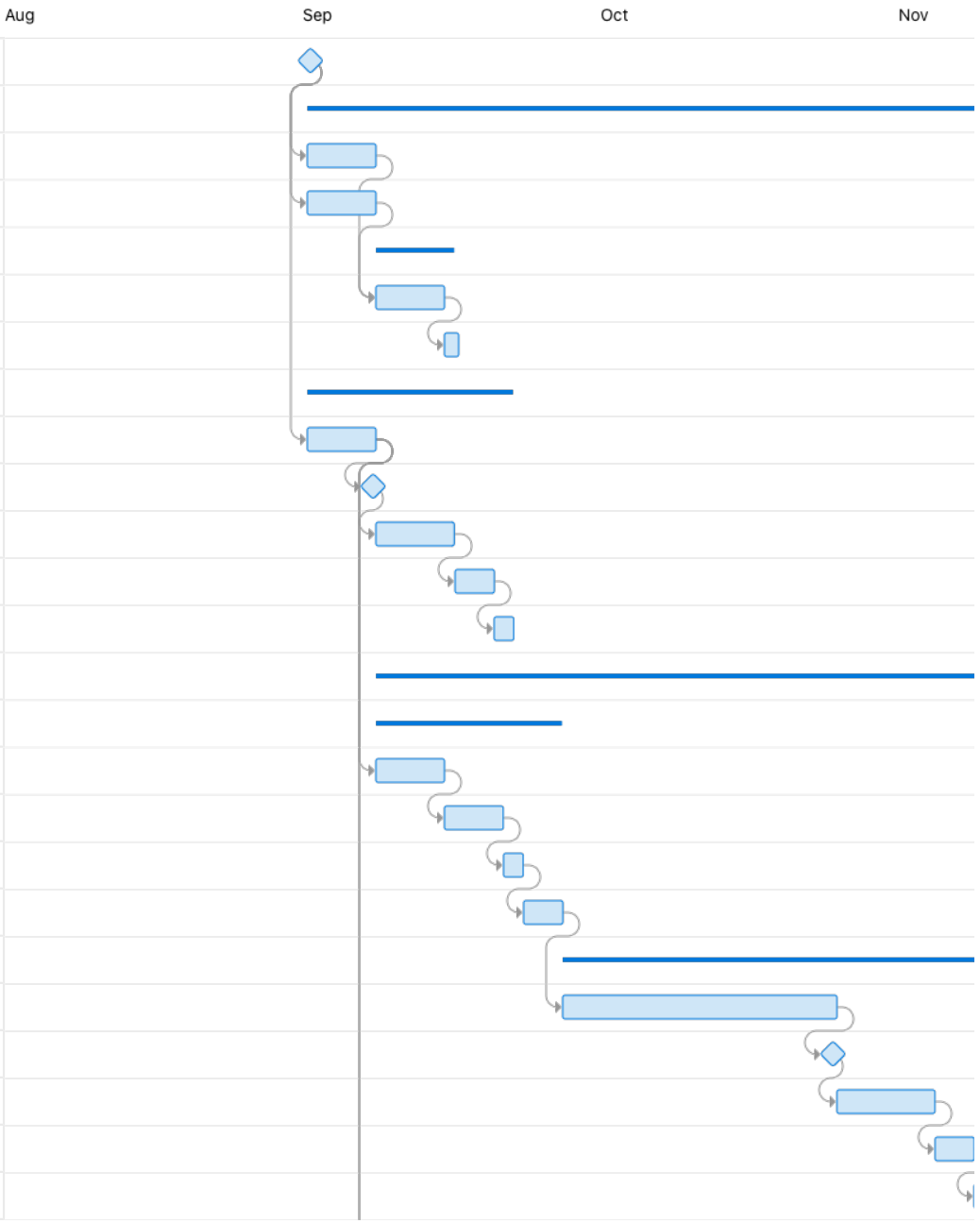
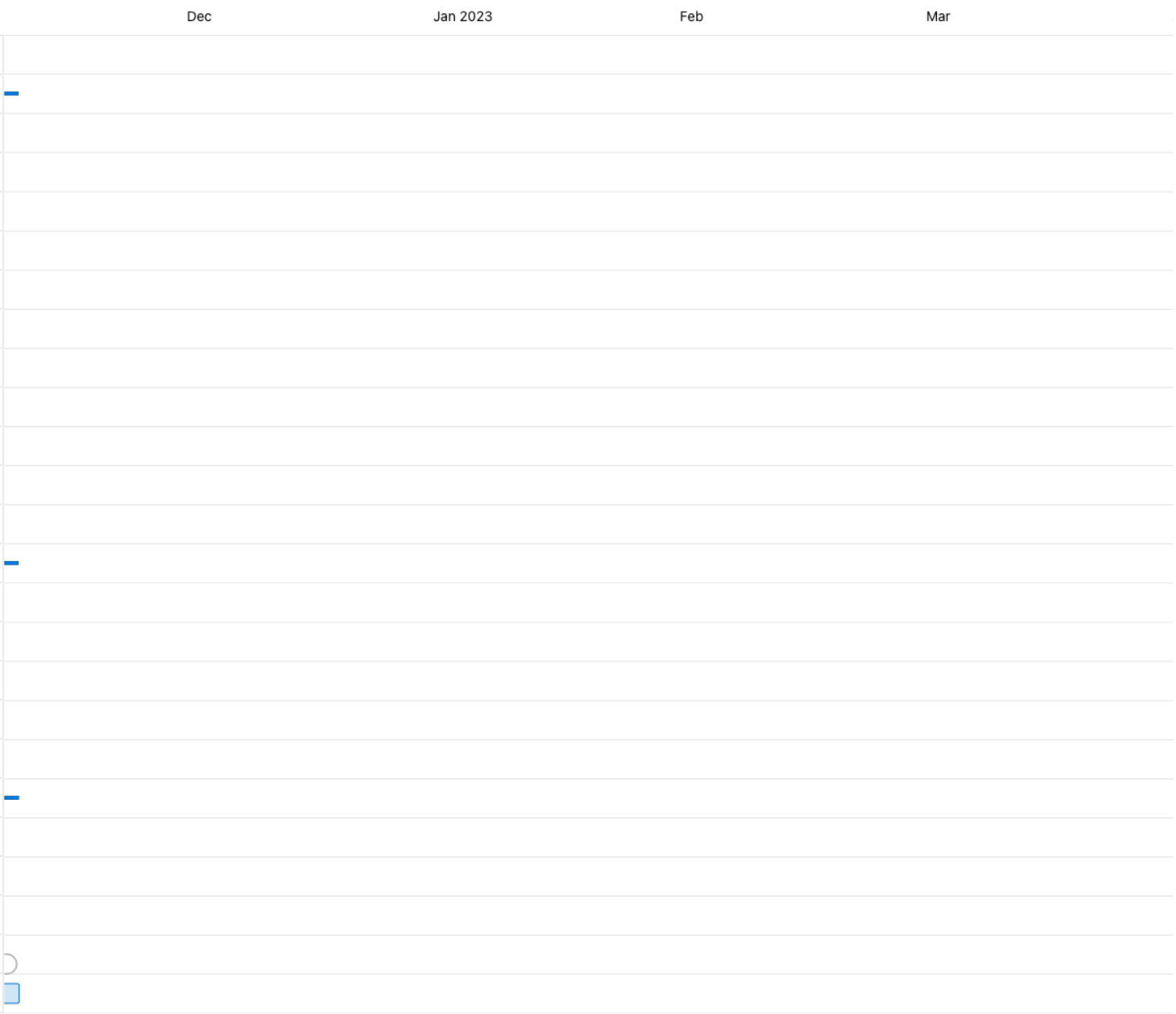
NE LCC Work Plan

	Name	Assigned to	Start	Finish	% Complete
1	NE LCC Project Start		9/1/2022	9/1/2022	0
2	**Project Initiation and Planning - Milestone 1**		9/1/2022	11/9/2022	0
3	Collect and Review Project Materials		9/1/2022	9/7/2022	0
4	Establish Project Infrastructure		9/1/2022	9/7/2022	0
5	**Project Kickoff Presentation - Deliverable 1**		9/8/2022	9/15/2022	0
6	Prepare Project Kickoff Presentation		9/8/2022	9/14/2022	0
7	Conduct Project Kickoff Presentation		9/15/2022	9/15/2022	0
8	**Project Schedule - Deliverable 2**		9/1/2022	9/21/2022	0
9	Update Project Schedule (DRAFT)		9/1/2022	9/7/2022	0
10	Submit To NLCC		9/7/2022	9/7/2022	0
11	NLCC Review - Round 1		9/8/2022	9/15/2022	0
12	MTX Response		9/16/2022	9/19/2022	0
13	NLCC Close-Out Review (FINAL)		9/20/2022	9/21/2022	0
14	**Project Management Plan (PMP) - Deliverable 3**		9/8/2022	11/9/2022	0
15	**PMP DED**		9/8/2022	9/26/2022	0
16	Prepare PMP DED (DRAFT)		9/8/2022	9/14/2022	0
17	NLCC Review - Round 1		9/15/2022	9/20/2022	0
18	MTX Response		9/21/2022	9/22/2022	0
19	NLCC Close-Out Review (FINAL)		9/23/2022	9/26/2022	0
20	**PMP**		9/27/2022	11/9/2022	0
21	Prepare PMP (DRAFT)		9/27/2022	10/24/2022	0
22	Submit To NLCC		10/24/2022	10/24/2022	0
23	NLCC Review - Round 1		10/25/2022	11/3/2022	0
24	MTX Response		11/4/2022	11/7/2022	0
25	NLCC Close-Out Review (FINAL)		11/8/2022	11/9/2022	0



NE LCC Work Plan

	Name
1	NE LCC Project Start
2	**Project Initiation and Planning - Milestone 1**
3	Collect and Review Project Materials
4	Establish Project Infrastructure
5	**Project Kickoff Presentation - Deliverable 1**
6	Prepare Project Kickoff Presentation
7	Conduct Project Kickoff Presentation
8	**Project Schedule - Deliverable 2**
9	Update Project Schedule (DRAFT)
10	Submit To NLCC
11	NLCC Review - Round 1
12	MTX Response
13	NLCC Close-Out Review (FINAL)
14	**Project Management Plan (PMP) - Deliverable 3**
15	**PMP DED**
16	Prepare PMP DED (DRAFT)
17	NLCC Review - Round 1
18	MTX Response
19	NLCC Close-Out Review (FINAL)
20	**PMP**
21	Prepare PMP (DRAFT)
22	Submit To NLCC
23	NLCC Review - Round 1
24	MTX Response
25	NLCC Close-Out Review (FINAL)



NE LCC Work Plan

	Name	Apr	May	Jun	Jul	Aug
1	NE LCC Project Start					
2	**Project Initiation and Planning - Milestone 1**					
3	Collect and Review Project Materials					
4	Establish Project Infrastructure					
5	**Project Kickoff Presentation - Deliverable 1**					
6	Prepare Project Kickoff Presentation					
7	Conduct Project Kickoff Presentation					
8	**Project Schedule - Deliverable 2**					
9	Update Project Schedule (DRAFT)					
10	Submit To NLCC					
11	NLCC Review - Round 1					
12	MTX Response					
13	NLCC Close-Out Review (FINAL)					
14	**Project Management Plan (PMP) - Deliverable 3**					
15	**PMP DED**					
16	Prepare PMP DED (DRAFT)					
17	NLCC Review - Round 1					
18	MTX Response					
19	NLCC Close-Out Review (FINAL)					
20	**PMP**					
21	Prepare PMP (DRAFT)					
22	Submit To NLCC					
23	NLCC Review - Round 1					
24	MTX Response					
25	NLCC Close-Out Review (FINAL)					

NE LCC Work Plan

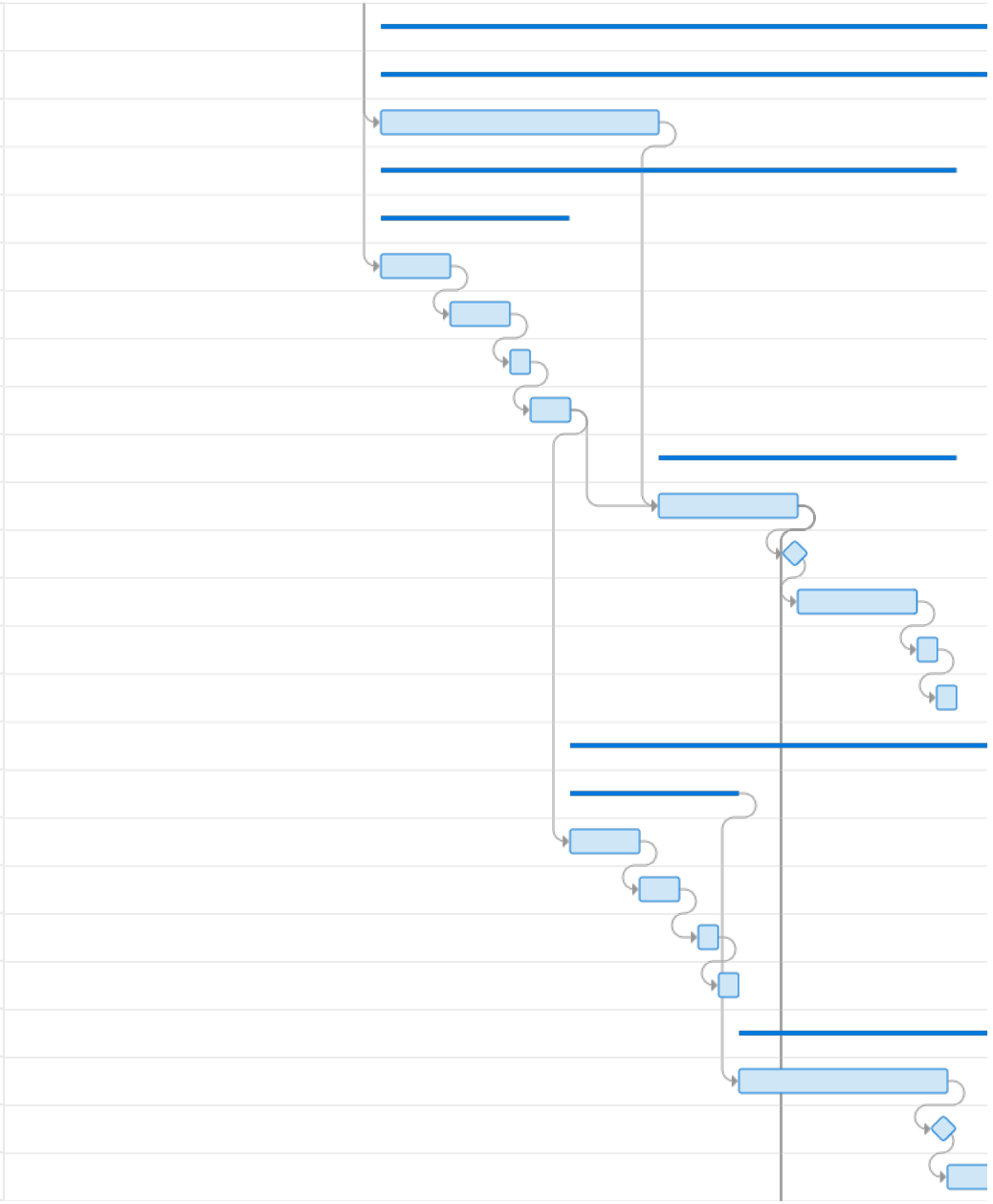
	Name	Sep	Oct	Nov	Dec	Jan 2024
1	NE LCC Project Start					
2	**Project Initiation and Planning - Milestone 1**					
3	Collect and Review Project Materials					
4	Establish Project Infrastructure					
5	**Project Kickoff Presentation - Deliverable 1**					
6	Prepare Project Kickoff Presentation					
7	Conduct Project Kickoff Presentation					
8	**Project Schedule - Deliverable 2**					
9	Update Project Schedule (DRAFT)					
10	Submit To NLCC					
11	NLCC Review - Round 1					
12	MTX Response					
13	NLCC Close-Out Review (FINAL)					
14	**Project Management Plan (PMP) - Deliverable 3**					
15	**PMP DED**					
16	Prepare PMP DED (DRAFT)					
17	NLCC Review - Round 1					
18	MTX Response					
19	NLCC Close-Out Review (FINAL)					
20	**PMP**					
21	Prepare PMP (DRAFT)					
22	Submit To NLCC					
23	NLCC Review - Round 1					
24	MTX Response					
25	NLCC Close-Out Review (FINAL)					

NE LCC Work Plan

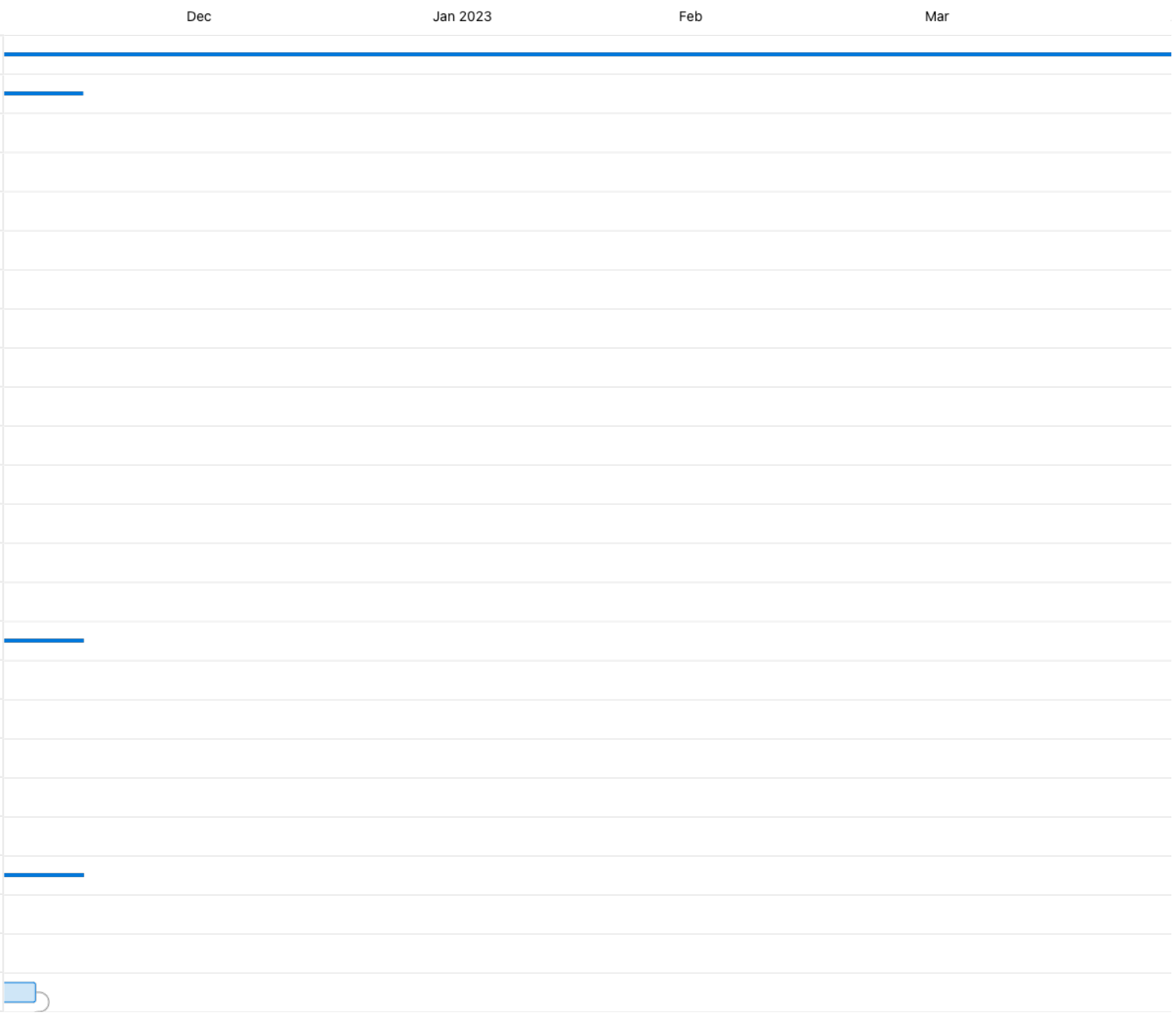
	Name	Feb	Mar	Apr	May	Jun
1	NE LCC Project Start					
2	**Project Initiation and Planning - Milestone 1**					
3	Collect and Review Project Materials					
4	Establish Project Infrastructure					
5	**Project Kickoff Presentation - Deliverable 1**					
6	Prepare Project Kickoff Presentation					
7	Conduct Project Kickoff Presentation					
8	**Project Schedule - Deliverable 2**					
9	Update Project Schedule (DRAFT)					
10	Submit To NLCC					
11	NLCC Review - Round 1					
12	MTX Response					
13	NLCC Close-Out Review (FINAL)					
14	**Project Management Plan (PMP) - Deliverable 3**					
15	**PMP DED**					
16	Prepare PMP DED (DRAFT)					
17	NLCC Review - Round 1					
18	MTX Response					
19	NLCC Close-Out Review (FINAL)					
20	**PMP**					
21	Prepare PMP (DRAFT)					
22	Submit To NLCC					
23	NLCC Review - Round 1					
24	MTX Response					
25	NLCC Close-Out Review (FINAL)					

NE LCC Work Plan

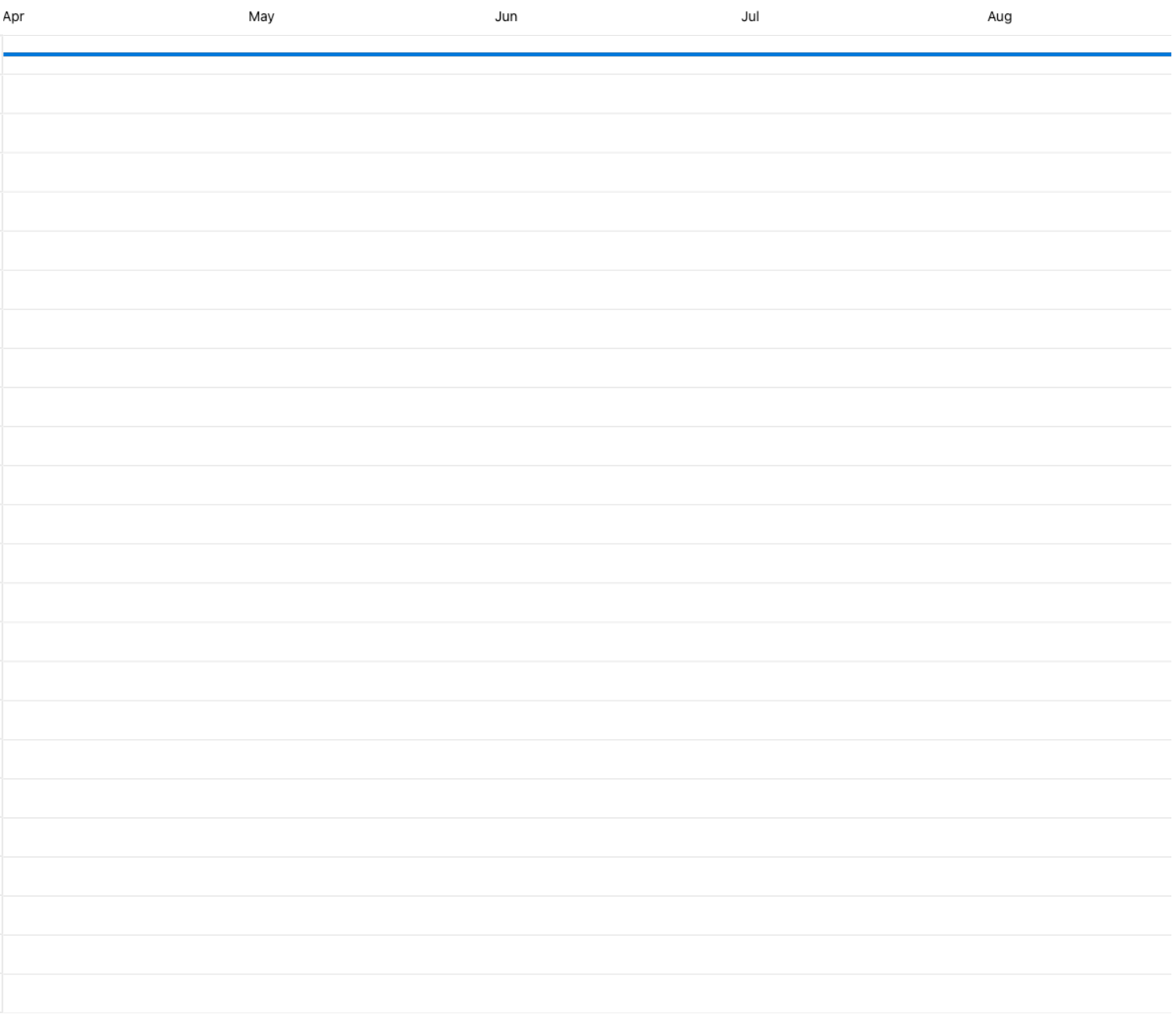
	Name	Assigned to	Start	Finish	% Complete
26	**NLCC CAMP**		9/8/2022	4/25/2024	0
27	**Analysis - Milestone 2**		9/8/2022	11/17/2022	0
28	Perform Requirements Analysis (Discovery)		9/8/2022	10/5/2022	0
29	**Requirements Analysis Document (RAD) - Deliverable 4**		9/8/2022	11/4/2022	0
30	**RAD DED**		9/8/2022	9/26/2022	0
31	Prepare RAD DED (DRAFT)		9/8/2022	9/14/2022	0
32	NLCC Review - Round 1		9/15/2022	9/20/2022	0
33	MTX Response		9/21/2022	9/22/2022	0
34	NLCC Close-Out Review (FINAL)		9/23/2022	9/26/2022	0
35	**RAD**		10/6/2022	11/4/2022	0
36	Prepare RAD (DRAFT)		10/6/2022	10/19/2022	0
37	Submit To NLCC		10/19/2022	10/19/2022	0
38	NLCC Review - Round 1		10/20/2022	10/31/2022	0
39	MTX Response		11/1/2022	11/2/2022	0
40	NLCC Close-Out Review (FINAL)		11/3/2022	11/4/2022	0
41	**Solution Implementation Plan (SIP) - Deliverable 5**		9/27/2022	11/17/2022	0
42	**SIP DED**		9/27/2022	10/13/2022	0
43	Prepare SIP DED (DRAFT)		9/27/2022	10/3/2022	0
44	NLCC Review - Round 1		10/4/2022	10/7/2022	0
45	MTX Response		10/10/2022	10/11/2022	0
46	NLCC Close-Out Review (FINAL)		10/12/2022	10/13/2022	0
47	**SIP**		10/14/2022	11/17/2022	0
48	Prepare SIP (DRAFT)		10/14/2022	11/3/2022	0
49	Submit To NLCC		11/3/2022	11/3/2022	0
50	NLCC Review - Round 1		11/4/2022	11/11/2022	0



	Name
26	**NLCC CAMP**
27	**Analysis - Milestone 2**
28	Perform Requirements Analysis (Discovery)
29	**Requirements Analysis Document (RAD) - Deliverable 4**
30	**RAD DED**
31	Prepare RAD DED (DRAFT)
32	NLCC Review - Round 1
33	MTX Response
34	NLCC Close-Out Review (FINAL)
35	**RAD**
36	Prepare RAD (DRAFT)
37	Submit To NLCC
38	NLCC Review - Round 1
39	MTX Response
40	NLCC Close-Out Review (FINAL)
41	**Solution Implementation Plan (SIP) - Deliverable 5**
42	**SIP DED**
43	Prepare SIP DED (DRAFT)
44	NLCC Review - Round 1
45	MTX Response
46	NLCC Close-Out Review (FINAL)
47	**SIP**
48	Prepare SIP (DRAFT)
49	Submit To NLCC
50	NLCC Review - Round 1

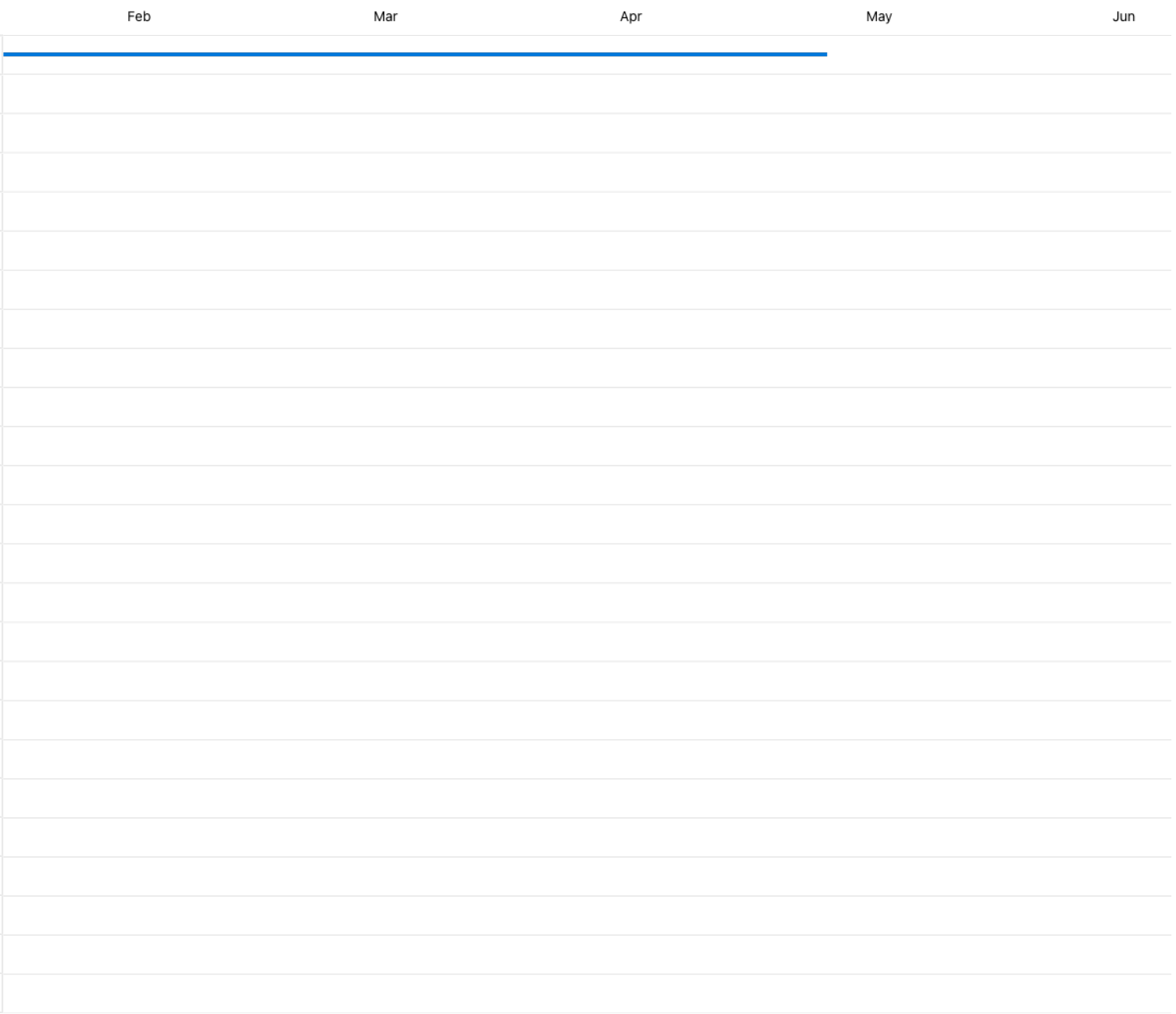


	Name
26	**NLCC CAMP**
27	**Analysis - Milestone 2**
28	Perform Requirements Analysis (Discovery)
29	**Requirements Analysis Document (RAD) - Deliverable 4**
30	**RAD DED**
31	Prepare RAD DED (DRAFT)
32	NLCC Review - Round 1
33	MTX Response
34	NLCC Close-Out Review (FINAL)
35	**RAD**
36	Prepare RAD (DRAFT)
37	Submit To NLCC
38	NLCC Review - Round 1
39	MTX Response
40	NLCC Close-Out Review (FINAL)
41	**Solution Implementation Plan (SIP) - Deliverable 5**
42	**SIP DED**
43	Prepare SIP DED (DRAFT)
44	NLCC Review - Round 1
45	MTX Response
46	NLCC Close-Out Review (FINAL)
47	**SIP**
48	Prepare SIP (DRAFT)
49	Submit To NLCC
50	NLCC Review - Round 1

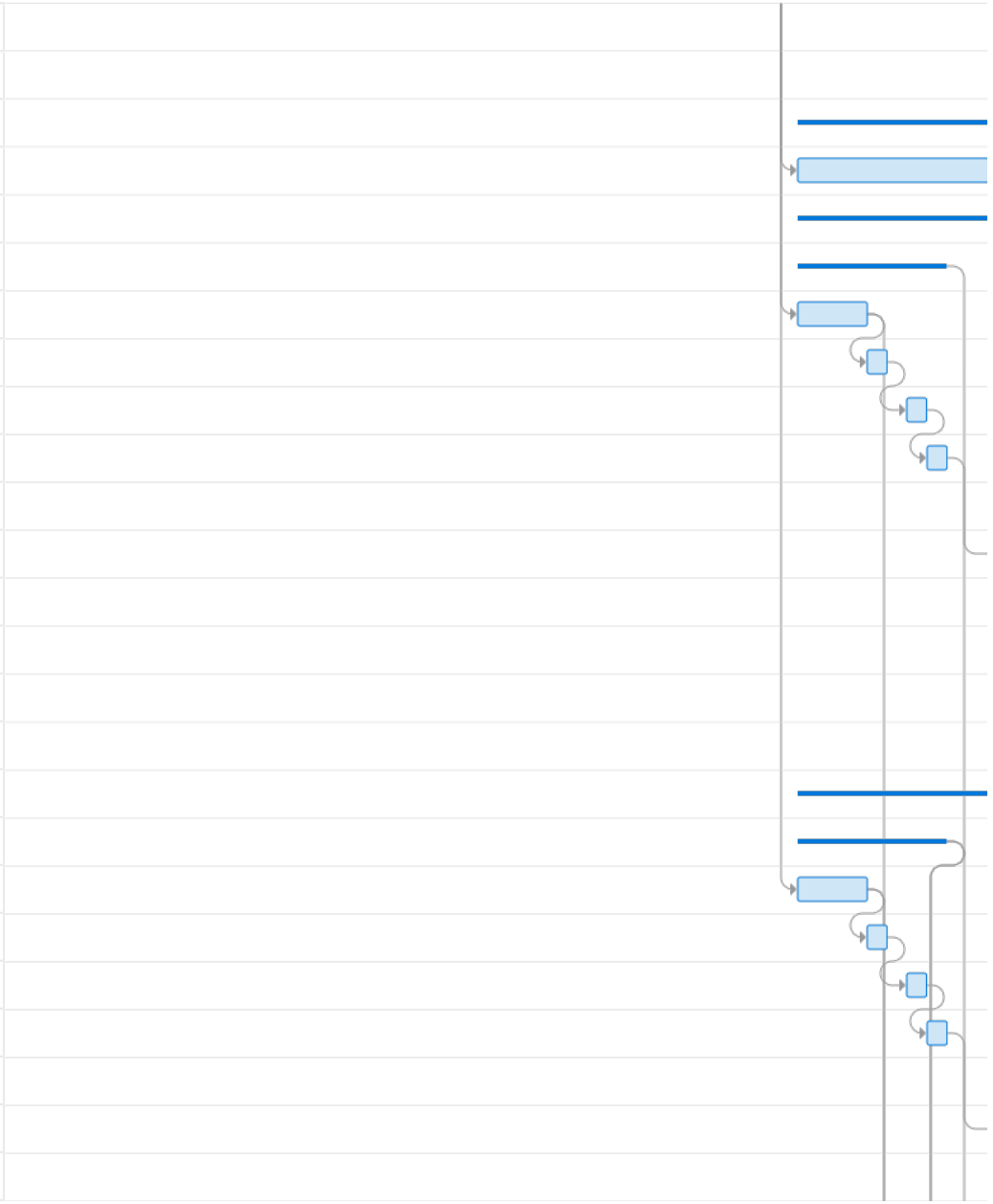


	Name	Sep	Oct	Nov	Dec	Jan 2024
26	**NLCC CAMP**					
27	**Analysis - Milestone 2**					
28	Perform Requirements Analysis (Discovery)					
29	**Requirements Analysis Document (RAD) - Deliverable 4**					
30	**RAD DED**					
31	Prepare RAD DED (DRAFT)					
32	NLCC Review - Round 1					
33	MTX Response					
34	NLCC Close-Out Review (FINAL)					
35	**RAD**					
36	Prepare RAD (DRAFT)					
37	Submit To NLCC					
38	NLCC Review - Round 1					
39	MTX Response					
40	NLCC Close-Out Review (FINAL)					
41	**Solution Implementation Plan (SIP) - Deliverable 5**					
42	**SIP DED**					
43	Prepare SIP DED (DRAFT)					
44	NLCC Review - Round 1					
45	MTX Response					
46	NLCC Close-Out Review (FINAL)					
47	**SIP**					
48	Prepare SIP (DRAFT)					
49	Submit To NLCC					
50	NLCC Review - Round 1					

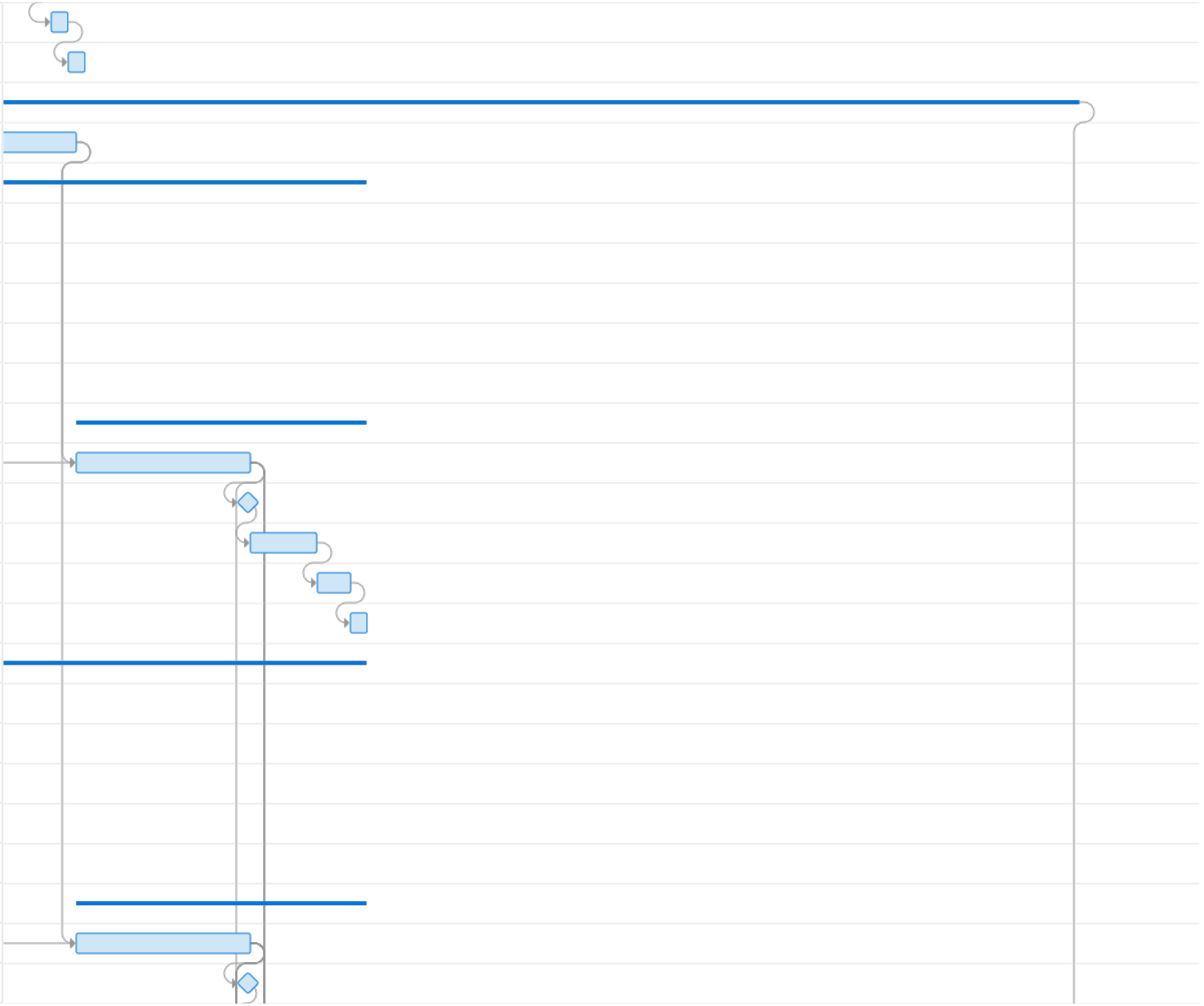
	Name
26	**NLCC CAMP**
27	**Analysis - Milestone 2**
28	Perform Requirements Analysis (Discovery)
29	**Requirements Analysis Document (RAD) - Deliverable 4**
30	**RAD DED**
31	Prepare RAD DED (DRAFT)
32	NLCC Review - Round 1
33	MTX Response
34	NLCC Close-Out Review (FINAL)
35	**RAD**
36	Prepare RAD (DRAFT)
37	Submit To NLCC
38	NLCC Review - Round 1
39	MTX Response
40	NLCC Close-Out Review (FINAL)
41	**Solution Implementation Plan (SIP) - Deliverable 5**
42	**SIP DED**
43	Prepare SIP DED (DRAFT)
44	NLCC Review - Round 1
45	MTX Response
46	NLCC Close-Out Review (FINAL)
47	**SIP**
48	Prepare SIP (DRAFT)
49	Submit To NLCC
50	NLCC Review - Round 1



	Name	Assigned to	Start	Finish	% Complete
51	MTX Response		11/14/2022	11/15/2022	0
52	NLCC Close-Out Review (FINAL)		11/16/2022	11/17/2022	0
53	**System Design - Milestone 3**		10/20/2022	3/17/2023	0
54	Perform System Design		10/20/2022	11/16/2022	0
55	**System Architecture Document (SAD) - Deliverable 6**		10/20/2022	12/21/2022	0
56	**SAD DED**		10/20/2022	11/3/2022	0
57	Prepare SAD DED (DRAFT)		10/20/2022	10/26/2022	0
58	NLCC Review - Round 1		10/27/2022	10/28/2022	0
59	MTX Response		10/31/2022	11/1/2022	0
60	NLCC Close-Out Review (FINAL)		11/2/2022	11/3/2022	0
61	**SAD**		11/17/2022	12/21/2022	0
62	Prepare SAD (DRAFT)		11/17/2022	12/7/2022	0
63	Submit To NLCC		12/7/2022	12/7/2022	0
64	NLCC Review - Round 1		12/8/2022	12/15/2022	0
65	MTX Response		12/16/2022	12/19/2022	0
66	NLCC Close-Out Review (FINAL)		12/20/2022	12/21/2022	0
67	**Functional Design Document (FDD) - Deliverable 7**		10/20/2022	12/21/2022	0
68	**FDD DED**		10/20/2022	11/3/2022	0
69	Prepare FDD DED (DRAFT)		10/20/2022	10/26/2022	0
70	NLCC Review - Round 1		10/27/2022	10/28/2022	0
71	MTX Response		10/31/2022	11/1/2022	0
72	NLCC Close-Out Review (FINAL)		11/2/2022	11/3/2022	0
73	**FDD**		11/17/2022	12/21/2022	0
74	Prepare FDD (DRAFT)		11/17/2022	12/7/2022	0
75	Submit To NLCC		12/7/2022	12/7/2022	0



	Name
51	MTX Response
52	NLCC Close-Out Review (FINAL)
53	**System Design - Milestone 3**
54	Perform System Design
55	**System Architecture Document (SAD) - Deliverable 6**
56	**SAD DED**
57	Prepare SAD DED (DRAFT)
58	NLCC Review - Round 1
59	MTX Response
60	NLCC Close-Out Review (FINAL)
61	**SAD**
62	Prepare SAD (DRAFT)
63	Submit To NLCC
64	NLCC Review - Round 1
65	MTX Response
66	NLCC Close-Out Review (FINAL)
67	**Functional Design Document (FDD) - Deliverable 7**
68	**FDD DED**
69	Prepare FDD DED (DRAFT)
70	NLCC Review - Round 1
71	MTX Response
72	NLCC Close-Out Review (FINAL)
73	**FDD**
74	Prepare FDD (DRAFT)
75	Submit To NLCC

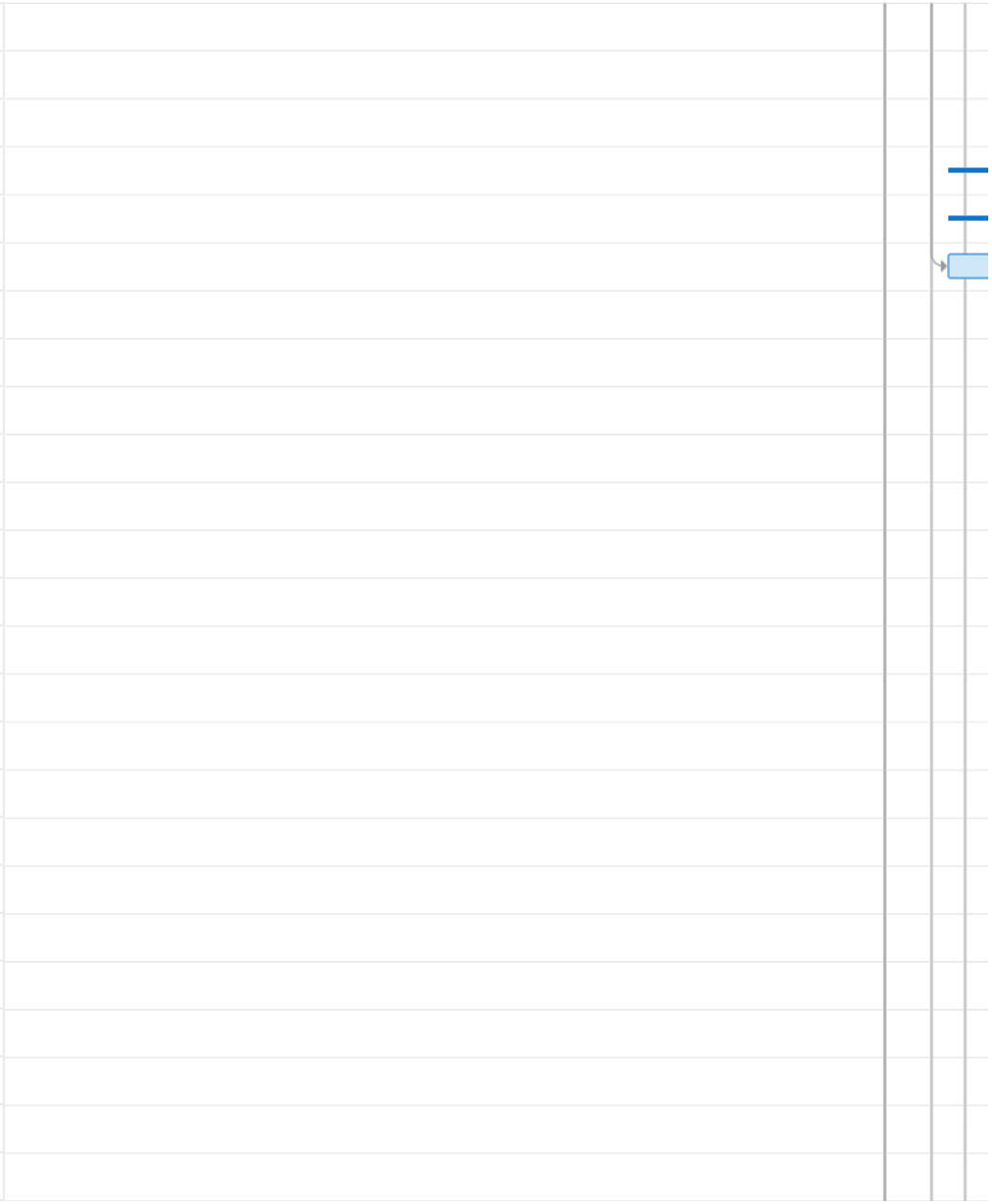


	Name	Apr	May	Jun	Jul	Aug
51	MTX Response					
52	NLCC Close-Out Review (FINAL)					
53	**System Design - Milestone 3**					
54	Perform System Design					
55	**System Architecture Document (SAD) - Deliverable 6**					
56	**SAD DED**					
57	Prepare SAD DED (DRAFT)					
58	NLCC Review - Round 1					
59	MTX Response					
60	NLCC Close-Out Review (FINAL)					
61	**SAD**					
62	Prepare SAD (DRAFT)					
63	Submit To NLCC					
64	NLCC Review - Round 1					
65	MTX Response					
66	NLCC Close-Out Review (FINAL)					
67	**Functional Design Document (FDD) - Deliverable 7**					
68	**FDD DED**					
69	Prepare FDD DED (DRAFT)					
70	NLCC Review - Round 1					
71	MTX Response					
72	NLCC Close-Out Review (FINAL)					
73	**FDD**					
74	Prepare FDD (DRAFT)					
75	Submit To NLCC					

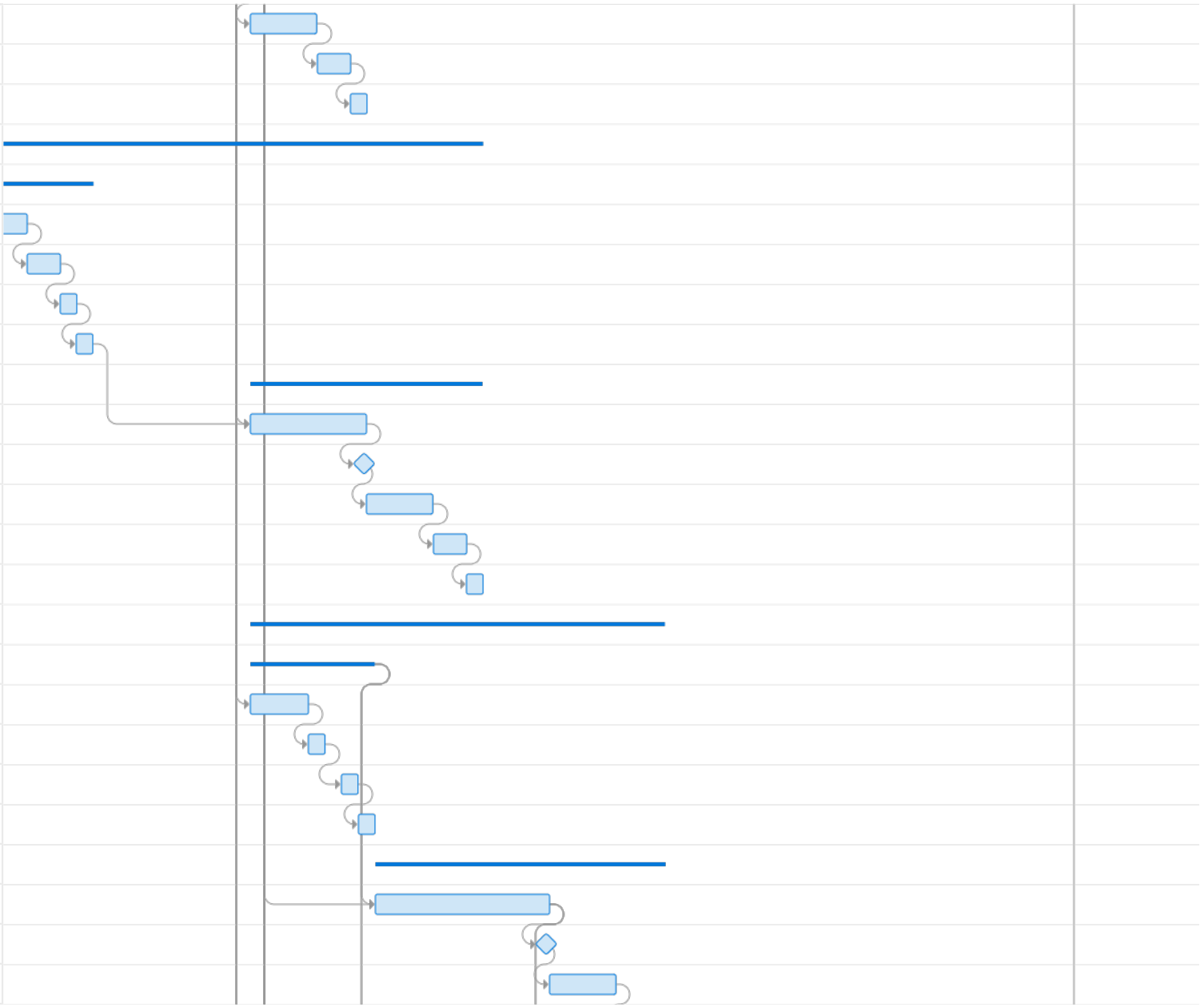
	Name	Sep	Oct	Nov	Dec	Jan 2024
51	MTX Response					
52	NLCC Close-Out Review (FINAL)					
53	**System Design - Milestone 3**					
54	Perform System Design					
55	**System Architecture Document (SAD) - Deliverable 6**					
56	**SAD DED**					
57	Prepare SAD DED (DRAFT)					
58	NLCC Review - Round 1					
59	MTX Response					
60	NLCC Close-Out Review (FINAL)					
61	**SAD**					
62	Prepare SAD (DRAFT)					
63	Submit To NLCC					
64	NLCC Review - Round 1					
65	MTX Response					
66	NLCC Close-Out Review (FINAL)					
67	**Functional Design Document (FDD) - Deliverable 7**					
68	**FDD DED**					
69	Prepare FDD DED (DRAFT)					
70	NLCC Review - Round 1					
71	MTX Response					
72	NLCC Close-Out Review (FINAL)					
73	**FDD**					
74	Prepare FDD (DRAFT)					
75	Submit To NLCC					

	Name	Feb	Mar	Apr	May	Jun
51	MTX Response					
52	NLCC Close-Out Review (FINAL)					
53	**System Design - Milestone 3**					
54	Perform System Design					
55	**System Architecture Document (SAD) - Deliverable 6**					
56	**SAD DED**					
57	Prepare SAD DED (DRAFT)					
58	NLCC Review - Round 1					
59	MTX Response					
60	NLCC Close-Out Review (FINAL)					
61	**SAD**					
62	Prepare SAD (DRAFT)					
63	Submit To NLCC					
64	NLCC Review - Round 1					
65	MTX Response					
66	NLCC Close-Out Review (FINAL)					
67	**Functional Design Document (FDD) - Deliverable 7**					
68	**FDD DED**					
69	Prepare FDD DED (DRAFT)					
70	NLCC Review - Round 1					
71	MTX Response					
72	NLCC Close-Out Review (FINAL)					
73	**FDD**					
74	Prepare FDD (DRAFT)					
75	Submit To NLCC					

	Name	Assigned to	Start	Finish	% Complete
76	NLCC Review - Round 1		12/8/2022	12/15/2022	0
77	MTX Response		12/16/2022	12/19/2022	0
78	NLCC Close-Out Review (FINAL)		12/20/2022	12/21/2022	0
79	**Requirements Traceability Matrix (RTM) - Deliverable 8 (*Optional)**		11/4/2022	1/4/2023	0
80	**RTM DED**		11/4/2022	11/18/2022	0
81	Prepare RTM DED (DRAFT)		11/4/2022	11/10/2022	0
82	NLCC Review - Round 1		11/11/2022	11/14/2022	0
83	MTX Response		11/15/2022	11/16/2022	0
84	NLCC Close-Out Review (FINAL)		11/17/2022	11/18/2022	0
85	**RTM**		12/8/2022	1/4/2023	0
86	Prepare RTM (DRAFT)		12/8/2022	12/21/2022	0
87	Submit To NLCC		12/21/2022	12/21/2022	0
88	NLCC Review - Round 1		12/22/2022	12/29/2022	0
89	MTX Response		12/30/2022	1/2/2023	0
90	NLCC Close-Out Review (FINAL)		1/3/2023	1/4/2023	0
91	**Technical Design Document (TDD) - Deliverable 9**		12/8/2022	1/26/2023	0
92	**TDD DED**		12/8/2022	12/22/2022	0
93	Prepare TDD DED (DRAFT)		12/8/2022	12/14/2022	0
94	NLCC Review - Round 1		12/15/2022	12/16/2022	0
95	MTX Response		12/19/2022	12/20/2022	0
96	NLCC Close-Out Review (FINAL)		12/21/2022	12/22/2022	0
97	**TDD**		12/23/2022	1/26/2023	0
98	Prepare TDD (DRAFT)		12/23/2022	1/12/2023	0
99	Submit To NLCC		1/12/2023	1/12/2023	0
100	NLCC Review - Round 1		1/13/2023	1/20/2023	0



	Name
76	NLCC Review - Round 1
77	MTX Response
78	NLCC Close-Out Review (FINAL)
79	**Requirements Traceability Matrix (RTM) - Deliverable 8 (*Optional)**
80	**RTM DED**
81	Prepare RTM DED (DRAFT)
82	NLCC Review - Round 1
83	MTX Response
84	NLCC Close-Out Review (FINAL)
85	**RTM**
86	Prepare RTM (DRAFT)
87	Submit To NLCC
88	NLCC Review - Round 1
89	MTX Response
90	NLCC Close-Out Review (FINAL)
91	**Technical Design Document (TDD) - Deliverable 9**
92	**TDD DED**
93	Prepare TDD DED (DRAFT)
94	NLCC Review - Round 1
95	MTX Response
96	NLCC Close-Out Review (FINAL)
97	**TDD**
98	Prepare TDD (DRAFT)
99	Submit To NLCC
100	NLCC Review - Round 1

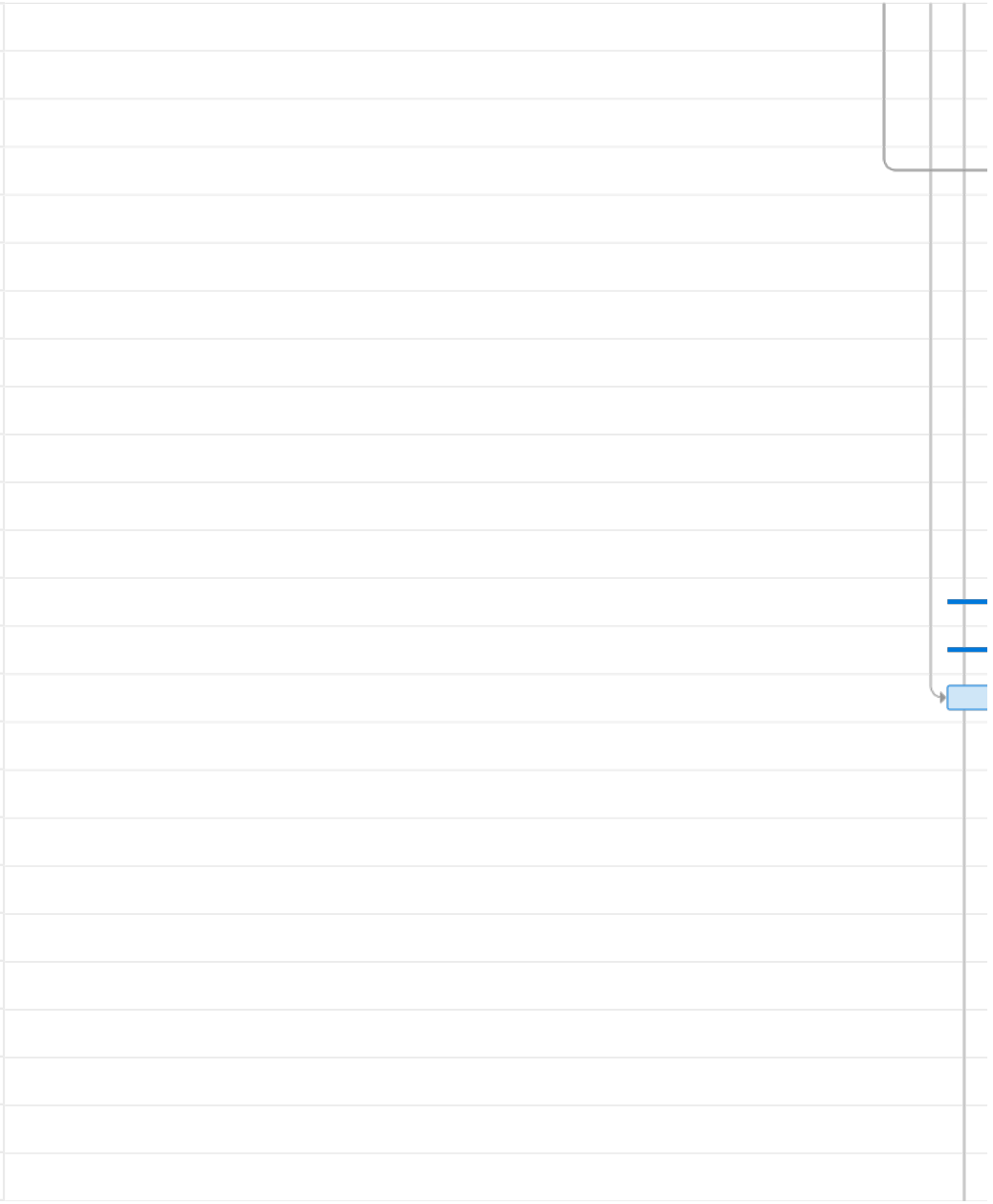


	Name	Apr	May	Jun	Jul	Aug
76	NLCC Review - Round 1					
77	MTX Response					
78	NLCC Close-Out Review (FINAL)					
79	**Requirements Traceability Matrix (RTM) - Deliverable 8 (*Optional)**					
80	**RTM DED**					
81	Prepare RTM DED (DRAFT)					
82	NLCC Review - Round 1					
83	MTX Response					
84	NLCC Close-Out Review (FINAL)					
85	**RTM**					
86	Prepare RTM (DRAFT)					
87	Submit To NLCC					
88	NLCC Review - Round 1					
89	MTX Response					
90	NLCC Close-Out Review (FINAL)					
91	**Technical Design Document (TDD) - Deliverable 9**					
92	**TDD DED**					
93	Prepare TDD DED (DRAFT)					
94	NLCC Review - Round 1					
95	MTX Response					
96	NLCC Close-Out Review (FINAL)					
97	**TDD**					
98	Prepare TDD (DRAFT)					
99	Submit To NLCC					
100	NLCC Review - Round 1					

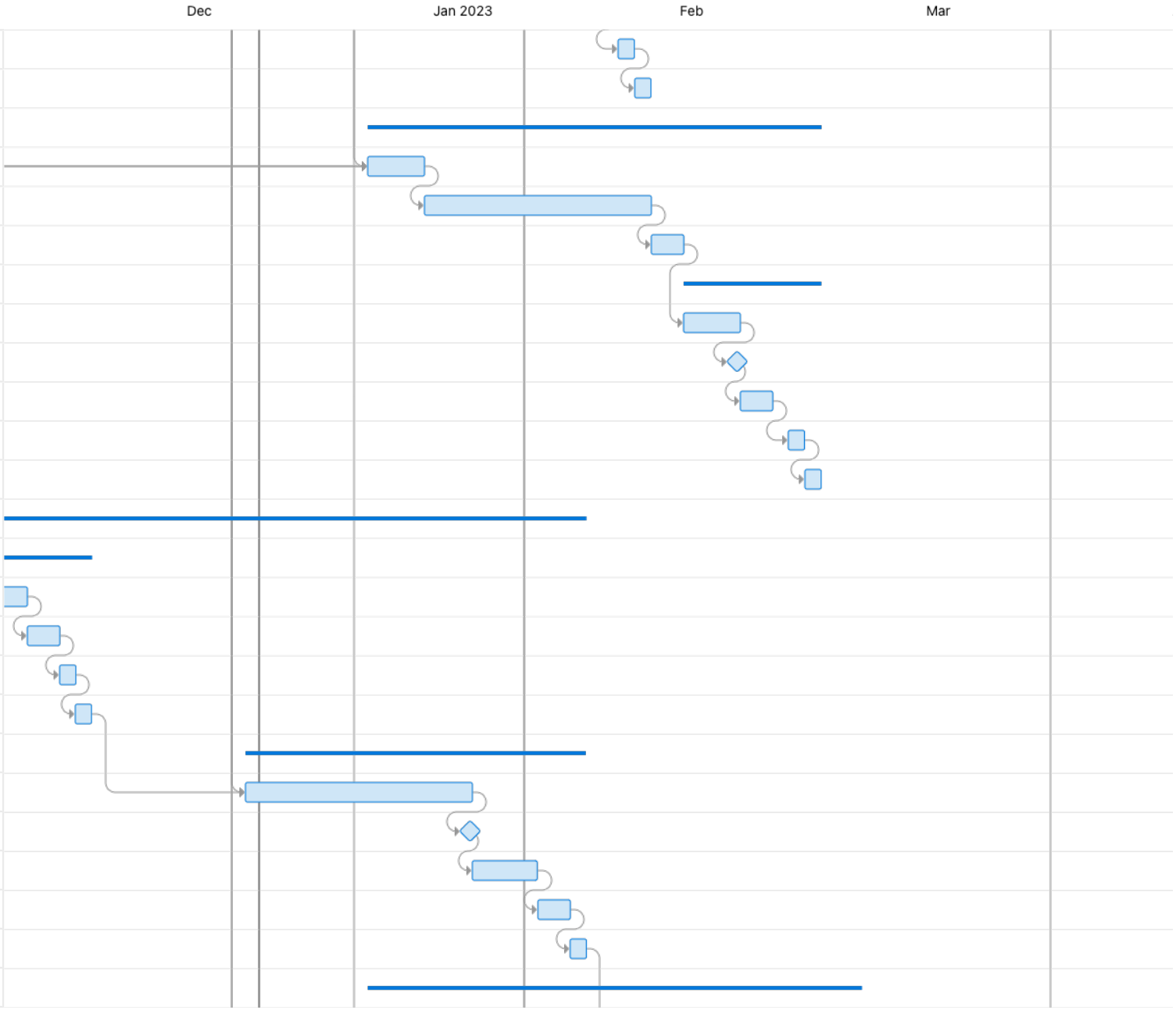
	Name	Sep	Oct	Nov	Dec	Jan 2024
76	NLCC Review - Round 1					
77	MTX Response					
78	NLCC Close-Out Review (FINAL)					
79	**Requirements Traceability Matrix (RTM) - Deliverable 8 (*Optional)**					
80	**RTM DED**					
81	Prepare RTM DED (DRAFT)					
82	NLCC Review - Round 1					
83	MTX Response					
84	NLCC Close-Out Review (FINAL)					
85	**RTM**					
86	Prepare RTM (DRAFT)					
87	Submit To NLCC					
88	NLCC Review - Round 1					
89	MTX Response					
90	NLCC Close-Out Review (FINAL)					
91	**Technical Design Document (TDD) - Deliverable 9**					
92	**TDD DED**					
93	Prepare TDD DED (DRAFT)					
94	NLCC Review - Round 1					
95	MTX Response					
96	NLCC Close-Out Review (FINAL)					
97	**TDD**					
98	Prepare TDD (DRAFT)					
99	Submit To NLCC					
100	NLCC Review - Round 1					

	Name	Feb	Mar	Apr	May	Jun
76	NLCC Review - Round 1					
77	MTX Response					
78	NLCC Close-Out Review (FINAL)					
79	**Requirements Traceability Matrix (RTM) - Deliverable 8 (*Optional)**					
80	**RTM DED**					
81	Prepare RTM DED (DRAFT)					
82	NLCC Review - Round 1					
83	MTX Response					
84	NLCC Close-Out Review (FINAL)					
85	**RTM**					
86	Prepare RTM (DRAFT)					
87	Submit To NLCC					
88	NLCC Review - Round 1					
89	MTX Response					
90	NLCC Close-Out Review (FINAL)					
91	**Technical Design Document (TDD) - Deliverable 9**					
92	**TDD DED**					
93	Prepare TDD DED (DRAFT)					
94	NLCC Review - Round 1					
95	MTX Response					
96	NLCC Close-Out Review (FINAL)					
97	**TDD**					
98	Prepare TDD (DRAFT)					
99	Submit To NLCC					
100	NLCC Review - Round 1					

	Name	Assigned to	Start	Finish	% Complete
101	MTX Response		1/23/2023	1/24/2023	0
102	NLCC Close-Out Review (FINAL)		1/25/2023	1/26/2023	0
103	**Prototypes - Deliverable 10**		12/23/2022	2/16/2023	0
104	Identify Business Processes for Prototypes		12/23/2022	12/29/2022	0
105	Develop Selected Prototypes		12/30/2022	1/26/2023	0
106	Demonstrate Prototypes for NLCC		1/27/2023	1/30/2023	0
107	**Prototype Completion Report**		1/31/2023	2/16/2023	0
108	Prepare Prototype Completion Report		1/31/2023	2/6/2023	0
109	Submit To NLCC		2/6/2023	2/6/2023	0
110	NLCC Review - Round 1		2/7/2023	2/10/2023	0
111	MTX Response		2/13/2023	2/14/2023	0
112	NLCC Close-Out Review (FINAL)		2/15/2023	2/16/2023	0
113	**Data Conversion Plan (DCP) - Deliverable 11**		11/4/2022	1/18/2023	0
114	**DCP DED**		11/4/2022	11/18/2022	0
115	Prepare DCP DED (DRAFT)		11/4/2022	11/10/2022	0
116	NLCC Review - Round 1		11/11/2022	11/14/2022	0
117	MTX Response		11/15/2022	11/16/2022	0
118	NLCC Close-Out Review (FINAL)		11/17/2022	11/18/2022	0
119	**DCP**		12/8/2022	1/18/2023	0
120	Prepare DCP (DRAFT)		12/8/2022	1/4/2023	0
121	Submit To NLCC		1/4/2023	1/4/2023	0
122	NLCC Review - Round 1		1/5/2023	1/12/2023	0
123	MTX Response		1/13/2023	1/16/2023	0
124	NLCC Close-Out Review (FINAL)		1/17/2023	1/18/2023	0
125	**Interface Specification Document (ISD) - Deliverable 12**		12/23/2022	2/21/2023	0



	Name
101	MTX Response
102	NLCC Close-Out Review (FINAL)
103	**Prototypes - Deliverable 10**
104	Identify Business Processes for Prototypes
105	Develop Selected Prototypes
106	Demonstrate Prototypes for NLCC
107	**Prototype Completion Report**
108	Prepare Prototype Completion Report
109	Submit To NLCC
110	NLCC Review - Round 1
111	MTX Response
112	NLCC Close-Out Review (FINAL)
113	**Data Conversion Plan (DCP) - Deliverable 11**
114	**DCP DED**
115	Prepare DCP DED (DRAFT)
116	NLCC Review - Round 1
117	MTX Response
118	NLCC Close-Out Review (FINAL)
119	**DCP**
120	Prepare DCP (DRAFT)
121	Submit To NLCC
122	NLCC Review - Round 1
123	MTX Response
124	NLCC Close-Out Review (FINAL)
125	**Interface Specification Document (ISD) - Deliverable 12**



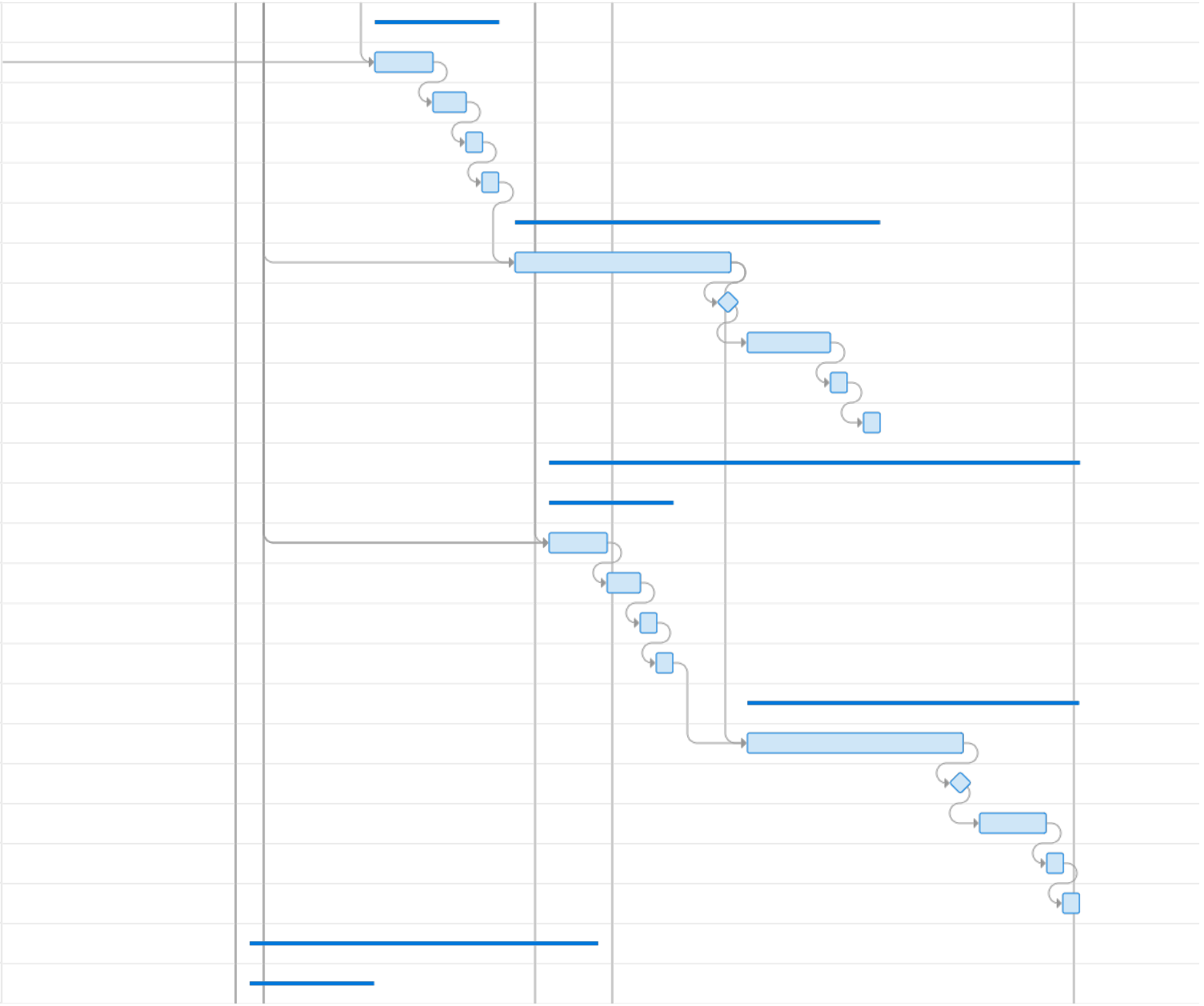
	Name	Apr	May	Jun	Jul	Aug
101	MTX Response					
102	NLCC Close-Out Review (FINAL)					
103	**Prototypes - Deliverable 10**					
104	Identify Business Processes for Prototypes					
105	Develop Selected Prototypes					
106	Demonstrate Prototypes for NLCC					
107	**Prototype Completion Report**					
108	Prepare Prototype Completion Report					
109	Submit To NLCC					
110	NLCC Review - Round 1					
111	MTX Response					
112	NLCC Close-Out Review (FINAL)					
113	**Data Conversion Plan (DCP) - Deliverable 11**					
114	**DCP DED**					
115	Prepare DCP DED (DRAFT)					
116	NLCC Review - Round 1					
117	MTX Response					
118	NLCC Close-Out Review (FINAL)					
119	**DCP**					
120	Prepare DCP (DRAFT)					
121	Submit To NLCC					
122	NLCC Review - Round 1					
123	MTX Response					
124	NLCC Close-Out Review (FINAL)					
125	**Interface Specification Document (ISD) - Deliverable 12**					

	Name	Sep	Oct	Nov	Dec	Jan 2024
101	MTX Response					
102	NLCC Close-Out Review (FINAL)					
103	**Prototypes - Deliverable 10**					
104	Identify Business Processes for Prototypes					
105	Develop Selected Prototypes					
106	Demonstrate Prototypes for NLCC					
107	**Prototype Completion Report**					
108	Prepare Prototype Completion Report					
109	Submit To NLCC					
110	NLCC Review - Round 1					
111	MTX Response					
112	NLCC Close-Out Review (FINAL)					
113	**Data Conversion Plan (DCP) - Deliverable 11**					
114	**DCP DED**					
115	Prepare DCP DED (DRAFT)					
116	NLCC Review - Round 1					
117	MTX Response					
118	NLCC Close-Out Review (FINAL)					
119	**DCP**					
120	Prepare DCP (DRAFT)					
121	Submit To NLCC					
122	NLCC Review - Round 1					
123	MTX Response					
124	NLCC Close-Out Review (FINAL)					
125	**Interface Specification Document (ISD) - Deliverable 12**					

	Name	Feb	Mar	Apr	May	Jun
101	MTX Response					
102	NLCC Close-Out Review (FINAL)					
103	**Prototypes - Deliverable 10**					
104	Identify Business Processes for Prototypes					
105	Develop Selected Prototypes					
106	Demonstrate Prototypes for NLCC					
107	**Prototype Completion Report**					
108	Prepare Prototype Completion Report					
109	Submit To NLCC					
110	NLCC Review - Round 1					
111	MTX Response					
112	NLCC Close-Out Review (FINAL)					
113	**Data Conversion Plan (DCP) - Deliverable 11**					
114	**DCP DED**					
115	Prepare DCP DED (DRAFT)					
116	NLCC Review - Round 1					
117	MTX Response					
118	NLCC Close-Out Review (FINAL)					
119	**DCP**					
120	Prepare DCP (DRAFT)					
121	Submit To NLCC					
122	NLCC Review - Round 1					
123	MTX Response					
124	NLCC Close-Out Review (FINAL)					
125	**Interface Specification Document (ISD) - Deliverable 12**					

	Name	Assigned to	Start	Finish	% Complete
126	**ISD DED**		12/23/2022	1/6/2023	0
127	Prepare ISD DED (DRAFT)		12/23/2022	12/29/2022	0
128	NLCC Review - Round 1		12/30/2022	1/2/2023	0
129	MTX Response		1/3/2023	1/4/2023	0
130	NLCC Close-Out Review (FINAL)		1/5/2023	1/6/2023	0
131	**ISD**		1/9/2023	2/21/2023	0
132	Prepare ISD (DRAFT)		1/9/2023	2/3/2023	0
133	Submit To NLCC		2/3/2023	2/3/2023	0
134	NLCC Review - Round 1		2/6/2023	2/15/2023	0
135	MTX Response		2/16/2023	2/17/2023	0
136	NLCC Close-Out Review (FINAL)		2/20/2023	2/21/2023	0
137	**Online Portal Specification Document (OPSD) - Deliverable 13**		1/13/2023	3/17/2023	0
138	**OPSD DED**		1/13/2023	1/27/2023	0
139	Prepare OPSD DED (DRAFT)		1/13/2023	1/19/2023	0
140	NLCC Review - Round 1		1/20/2023	1/23/2023	0
141	MTX Response		1/24/2023	1/25/2023	0
142	NLCC Close-Out Review (FINAL)		1/26/2023	1/27/2023	0
143	**OPSD**		2/6/2023	3/17/2023	0
144	Prepare OPSD (DRAFT)		2/6/2023	3/3/2023	0
145	Submit To NLCC		3/3/2023	3/3/2023	0
146	NLCC Review - Round 1		3/6/2023	3/13/2023	0
147	MTX Response		3/14/2023	3/15/2023	0
148	NLCC Close-Out Review (FINAL)		3/16/2023	3/17/2023	0
149	**Report Specification Document (RSD) - Deliverable 14**		12/8/2022	1/18/2023	0
150	**RSD DED**		12/8/2022	12/22/2022	0

	Name
126	**ISD DED**
127	Prepare ISD DED (DRAFT)
128	NLCC Review - Round 1
129	MTX Response
130	NLCC Close-Out Review (FINAL)
131	**ISD**
132	Prepare ISD (DRAFT)
133	Submit To NLCC
134	NLCC Review - Round 1
135	MTX Response
136	NLCC Close-Out Review (FINAL)
137	**Online Portal Specification Document (OPSD) - Deliverable 13**
138	**OPSD DED**
139	Prepare OPSD DED (DRAFT)
140	NLCC Review - Round 1
141	MTX Response
142	NLCC Close-Out Review (FINAL)
143	**OPSD**
144	Prepare OPSD (DRAFT)
145	Submit To NLCC
146	NLCC Review - Round 1
147	MTX Response
148	NLCC Close-Out Review (FINAL)
149	**Report Specification Document (RSD) - Deliverable 14**
150	**RSD DED**

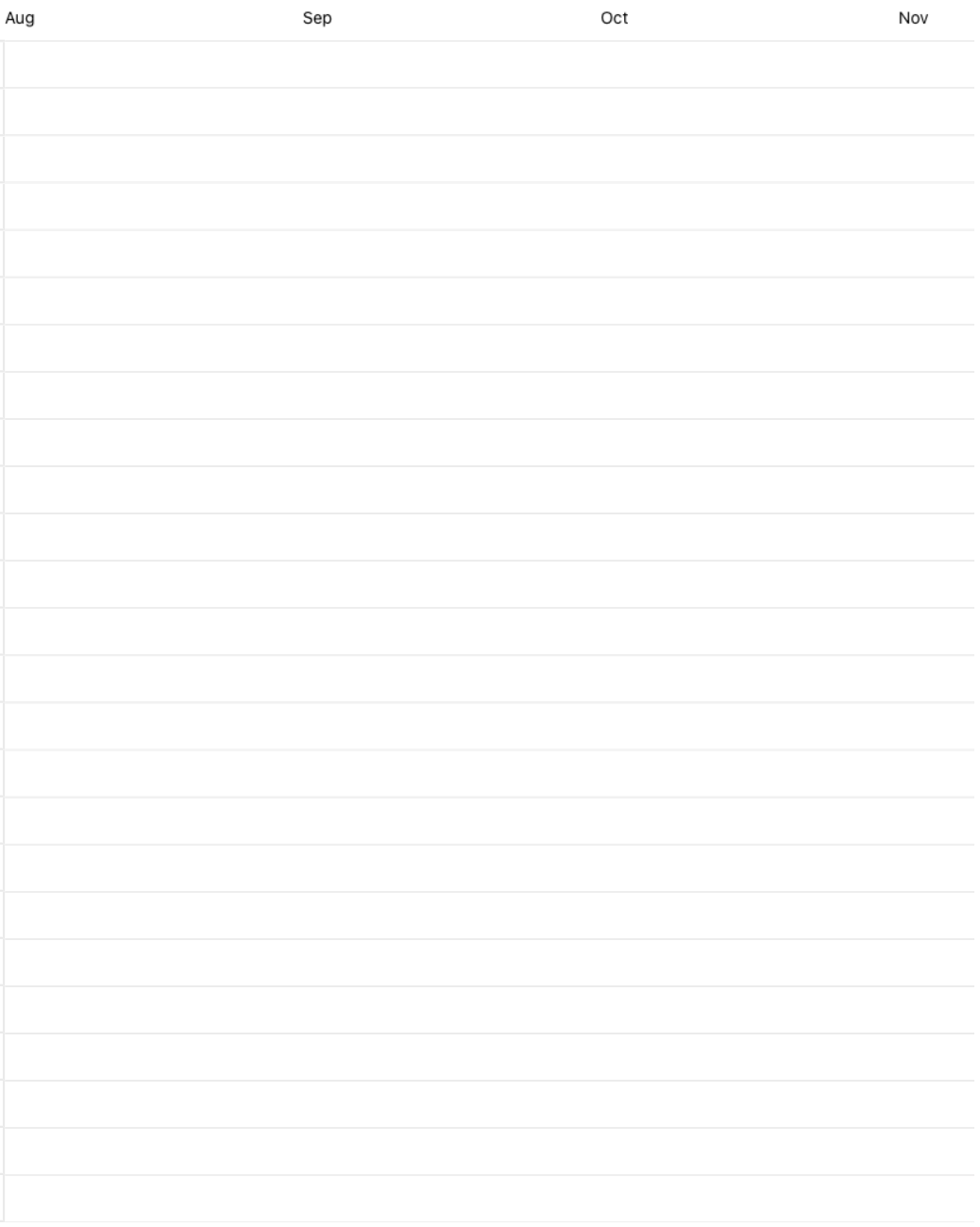


	Name	Apr	May	Jun	Jul	Aug
126	**ISD DED**					
127	Prepare ISD DED (DRAFT)					
128	NLCC Review - Round 1					
129	MTX Response					
130	NLCC Close-Out Review (FINAL)					
131	**ISD**					
132	Prepare ISD (DRAFT)					
133	Submit To NLCC					
134	NLCC Review - Round 1					
135	MTX Response					
136	NLCC Close-Out Review (FINAL)					
137	**Online Portal Specification Document (OPSD) - Deliverable 13**					
138	**OPSD DED**					
139	Prepare OPSD DED (DRAFT)					
140	NLCC Review - Round 1					
141	MTX Response					
142	NLCC Close-Out Review (FINAL)					
143	**OPSD**					
144	Prepare OPSD (DRAFT)					
145	Submit To NLCC					
146	NLCC Review - Round 1					
147	MTX Response					
148	NLCC Close-Out Review (FINAL)					
149	**Report Specification Document (RSD) - Deliverable 14**					
150	**RSD DED**					

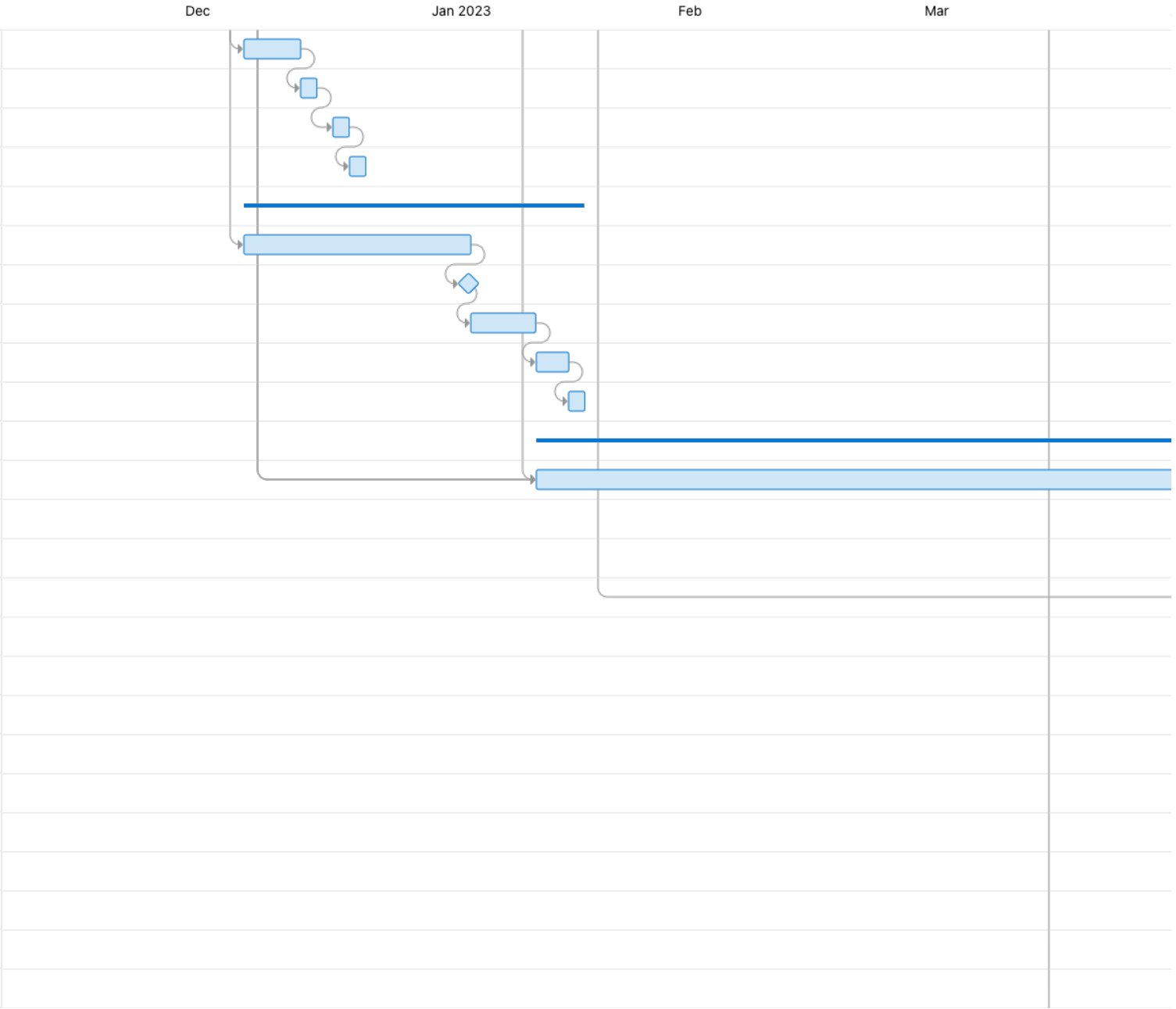
	Name	Sep	Oct	Nov	Dec	Jan 2024
126	**ISD DED**					
127	Prepare ISD DED (DRAFT)					
128	NLCC Review - Round 1					
129	MTX Response					
130	NLCC Close-Out Review (FINAL)					
131	**ISD**					
132	Prepare ISD (DRAFT)					
133	Submit To NLCC					
134	NLCC Review - Round 1					
135	MTX Response					
136	NLCC Close-Out Review (FINAL)					
137	**Online Portal Specification Document (OPSD) - Deliverable 13**					
138	**OPSD DED**					
139	Prepare OPSD DED (DRAFT)					
140	NLCC Review - Round 1					
141	MTX Response					
142	NLCC Close-Out Review (FINAL)					
143	**OPSD**					
144	Prepare OPSD (DRAFT)					
145	Submit To NLCC					
146	NLCC Review - Round 1					
147	MTX Response					
148	NLCC Close-Out Review (FINAL)					
149	**Report Specification Document (RSD) - Deliverable 14**					
150	**RSD DED**					

	Name	Feb	Mar	Apr	May	Jun
126	**ISD DED**					
127	Prepare ISD DED (DRAFT)					
128	NLCC Review - Round 1					
129	MTX Response					
130	NLCC Close-Out Review (FINAL)					
131	**ISD**					
132	Prepare ISD (DRAFT)					
133	Submit To NLCC					
134	NLCC Review - Round 1					
135	MTX Response					
136	NLCC Close-Out Review (FINAL)					
137	**Online Portal Specification Document (OPSD) - Deliverable 13**					
138	**OPSD DED**					
139	Prepare OPSD DED (DRAFT)					
140	NLCC Review - Round 1					
141	MTX Response					
142	NLCC Close-Out Review (FINAL)					
143	**OPSD**					
144	Prepare OPSD (DRAFT)					
145	Submit To NLCC					
146	NLCC Review - Round 1					
147	MTX Response					
148	NLCC Close-Out Review (FINAL)					
149	**Report Specification Document (RSD) - Deliverable 14**					
150	**RSD DED**					

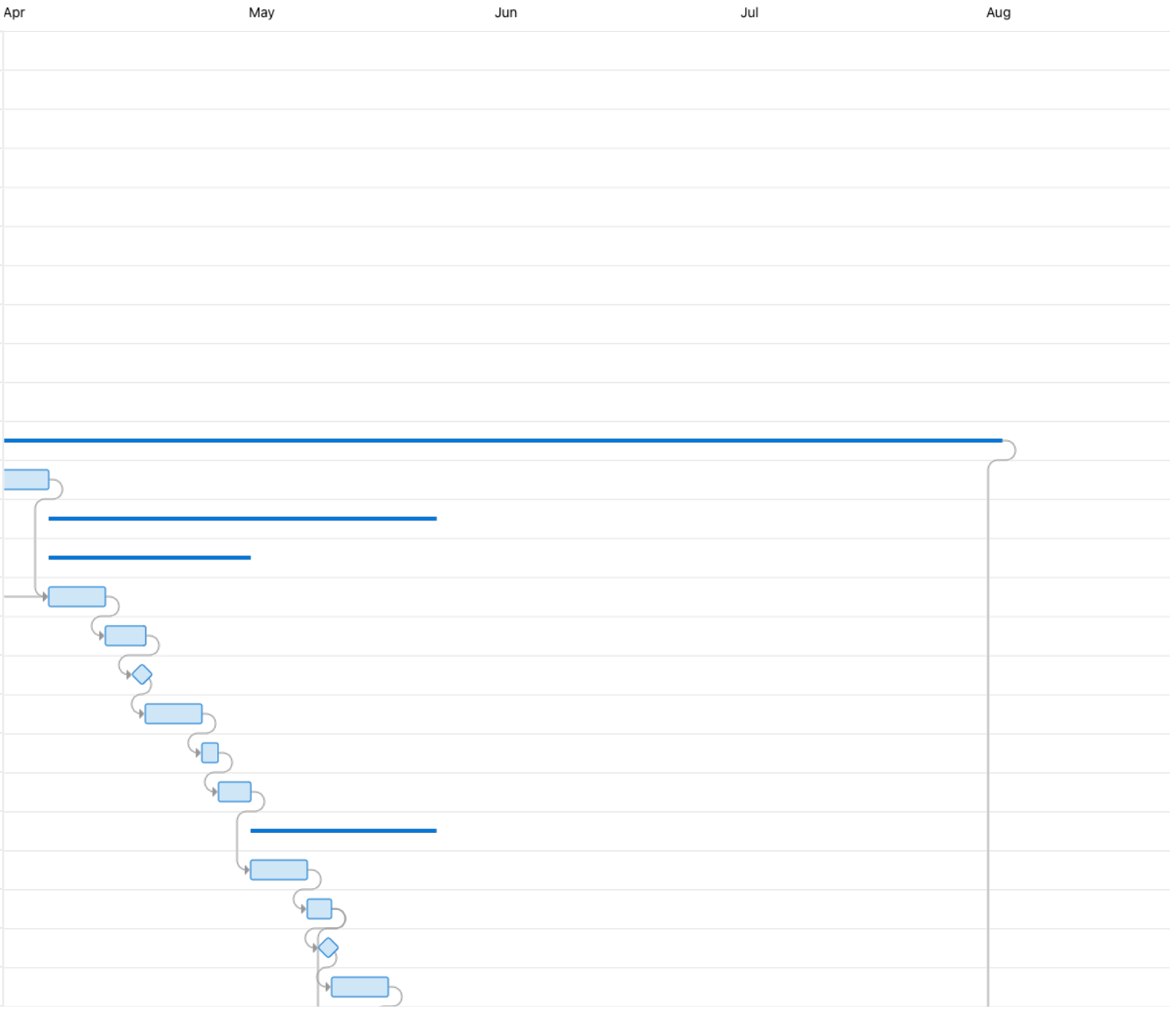
	Name	Assigned to	Start	Finish	% Complete
151	Prepare RSD DED (DRAFT)		12/8/2022	12/14/2022	0
152	NLCC Review - Round 1		12/15/2022	12/16/2022	0
153	MTX Response		12/19/2022	12/20/2022	0
154	NLCC Close-Out Review (FINAL)		12/21/2022	12/22/2022	0
155	**RSD**		12/8/2022	1/18/2023	0
156	Prepare RSD (DRAFT)		12/8/2022	1/4/2023	0
157	Submit To NLCC		1/4/2023	1/4/2023	0
158	NLCC Review - Round 1		1/5/2023	1/12/2023	0
159	MTX Response		1/13/2023	1/16/2023	0
160	NLCC Close-Out Review (FINAL)		1/17/2023	1/18/2023	0
161	**System Development - Milestone 4**		1/13/2023	8/2/2023	0
162	Perform System Development		1/13/2023	4/6/2023	0
163	**Data Mapping and Conversion (DMC) - Deliverable 15**		4/7/2023	5/24/2023	0
164	**Perform Data Mapping**		4/7/2023	5/1/2023	0
165	Execute Data Mapping		4/7/2023	4/13/2023	0
166	Prepare Data Mapping Document		4/14/2023	4/18/2023	0
167	Submit To NLCC		4/18/2023	4/18/2023	0
168	NLCC Review - Round 1		4/19/2023	4/25/2023	0
169	MTX Response		4/26/2023	4/27/2023	0
170	NLCC Close-Out Review (FINAL)		4/28/2023	5/1/2023	0
171	**Perform Data Conversion**		5/2/2023	5/24/2023	0
172	Execute Data Conversion		5/2/2023	5/8/2023	0
173	Prepare Data Conversion Report		5/9/2023	5/11/2023	0
174	Submit To NLCC		5/11/2023	5/11/2023	0
175	NLCC Review - Round 1		5/12/2023	5/18/2023	0



	Name
151	Prepare RSD DED (DRAFT)
152	NLCC Review - Round 1
153	MTX Response
154	NLCC Close-Out Review (FINAL)
155	**RSD**
156	Prepare RSD (DRAFT)
157	Submit To NLCC
158	NLCC Review - Round 1
159	MTX Response
160	NLCC Close-Out Review (FINAL)
161	**System Development - Milestone 4**
162	Perform System Development
163	**Data Mapping and Conversion (DMC) - Deliverable 15**
164	**Perform Data Mapping**
165	Execute Data Mapping
166	Prepare Data Mapping Document
167	Submit To NLCC
168	NLCC Review - Round 1
169	MTX Response
170	NLCC Close-Out Review (FINAL)
171	**Perform Data Conversion**
172	Execute Data Conversion
173	Prepare Data Conversion Report
174	Submit To NLCC
175	NLCC Review - Round 1



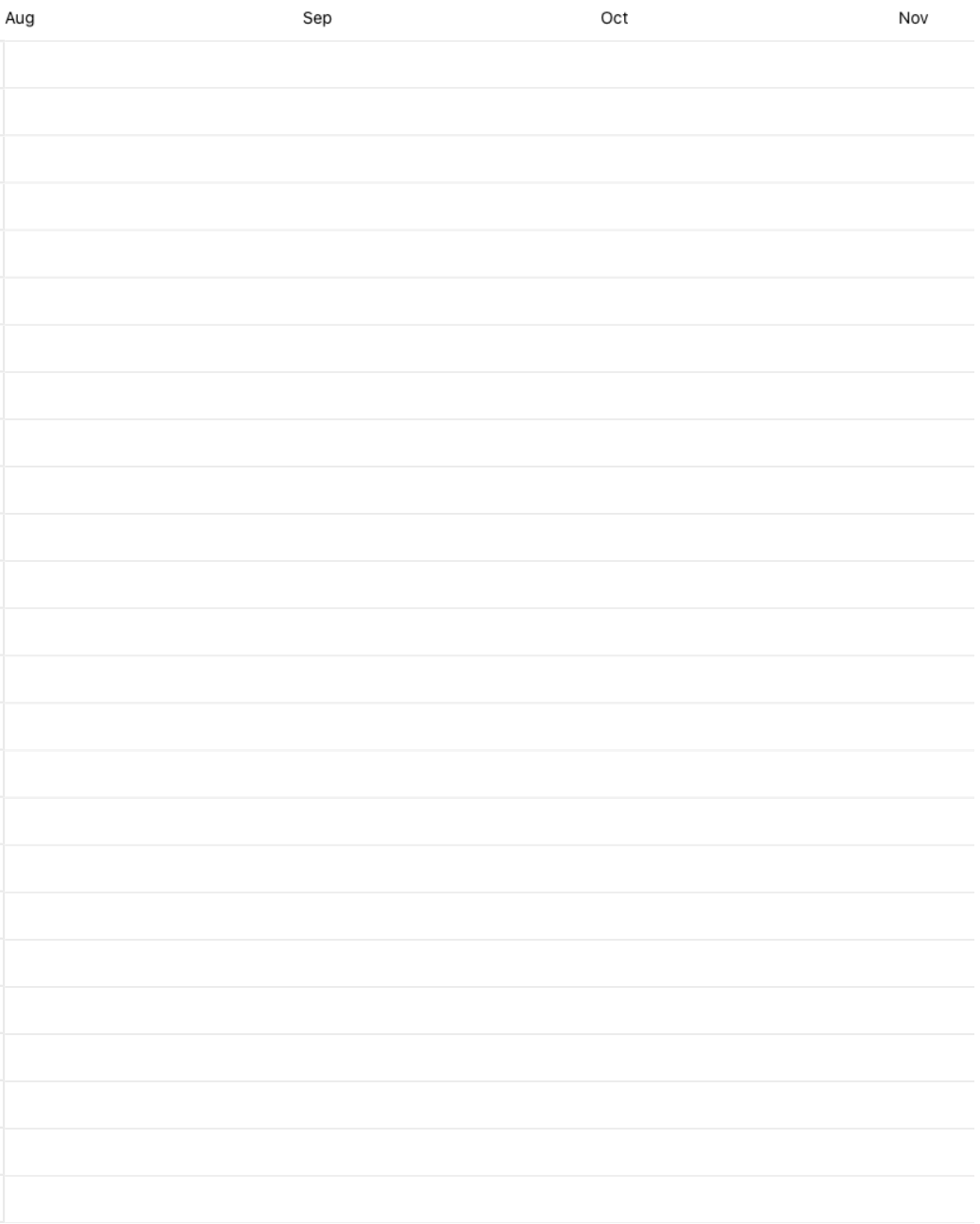
	Name
151	Prepare RSD DED (DRAFT)
152	NLCC Review - Round 1
153	MTX Response
154	NLCC Close-Out Review (FINAL)
155	**RSD**
156	Prepare RSD (DRAFT)
157	Submit To NLCC
158	NLCC Review - Round 1
159	MTX Response
160	NLCC Close-Out Review (FINAL)
161	**System Development - Milestone 4**
162	Perform System Development
163	**Data Mapping and Conversion (DMC) - Deliverable 15**
164	**Perform Data Mapping**
165	Execute Data Mapping
166	Prepare Data Mapping Document
167	Submit To NLCC
168	NLCC Review - Round 1
169	MTX Response
170	NLCC Close-Out Review (FINAL)
171	**Perform Data Conversion**
172	Execute Data Conversion
173	Prepare Data Conversion Report
174	Submit To NLCC
175	NLCC Review - Round 1



	Name	Sep	Oct	Nov	Dec	Jan 2024
151	Prepare RSD DED (DRAFT)					
152	NLCC Review - Round 1					
153	MTX Response					
154	NLCC Close-Out Review (FINAL)					
155	**RSD**					
156	Prepare RSD (DRAFT)					
157	Submit To NLCC					
158	NLCC Review - Round 1					
159	MTX Response					
160	NLCC Close-Out Review (FINAL)					
161	**System Development - Milestone 4**					
162	Perform System Development					
163	**Data Mapping and Conversion (DMC) - Deliverable 15**					
164	**Perform Data Mapping**					
165	Execute Data Mapping					
166	Prepare Data Mapping Document					
167	Submit To NLCC					
168	NLCC Review - Round 1					
169	MTX Response					
170	NLCC Close-Out Review (FINAL)					
171	**Perform Data Conversion**					
172	Execute Data Conversion					
173	Prepare Data Conversion Report					
174	Submit To NLCC					
175	NLCC Review - Round 1					

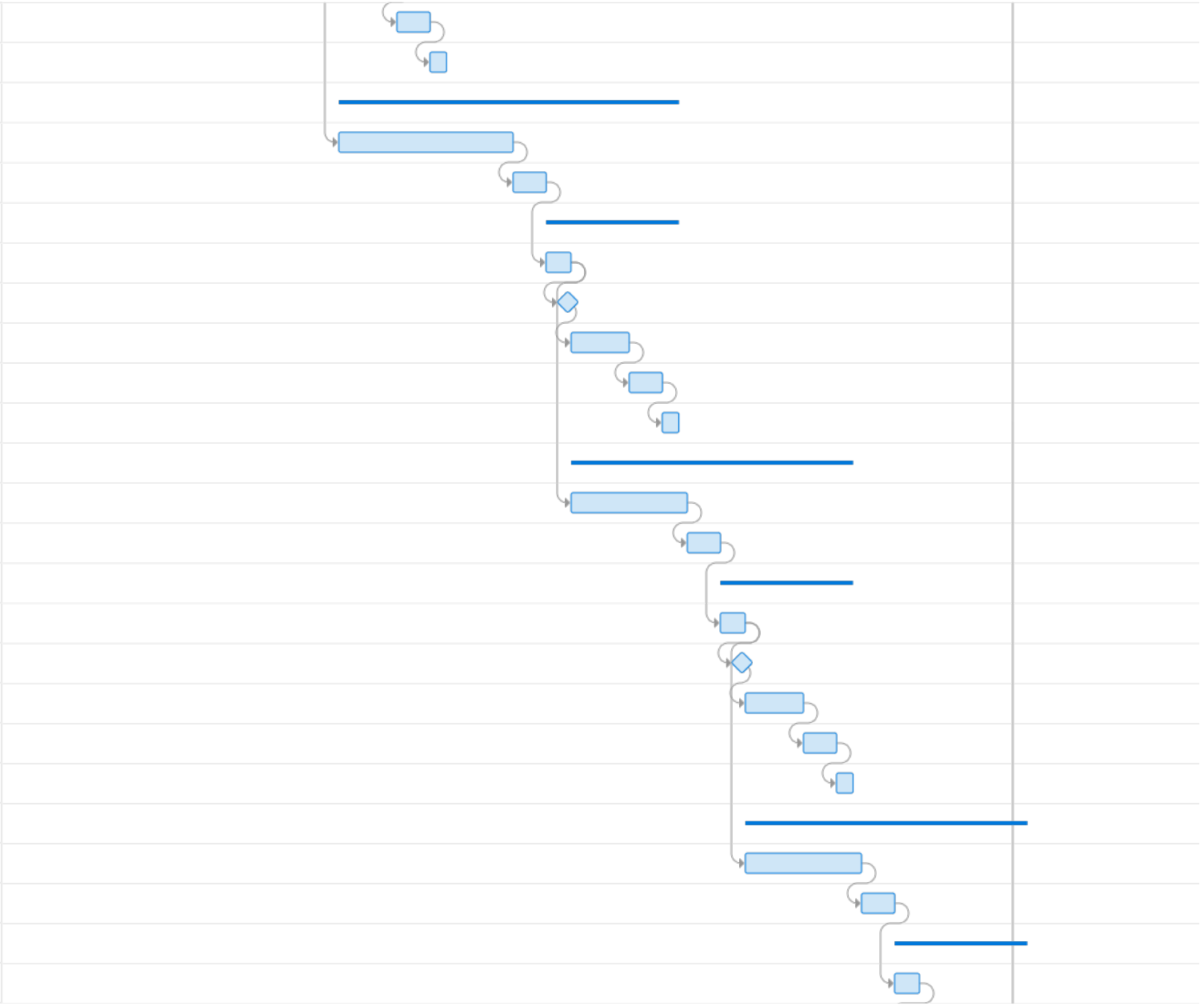
	Name	Feb	Mar	Apr	May	Jun
151	Prepare RSD DED (DRAFT)					
152	NLCC Review - Round 1					
153	MTX Response					
154	NLCC Close-Out Review (FINAL)					
155	**RSD**					
156	Prepare RSD (DRAFT)					
157	Submit To NLCC					
158	NLCC Review - Round 1					
159	MTX Response					
160	NLCC Close-Out Review (FINAL)					
161	**System Development - Milestone 4**					
162	Perform System Development					
163	**Data Mapping and Conversion (DMC) - Deliverable 15**					
164	**Perform Data Mapping**					
165	Execute Data Mapping					
166	Prepare Data Mapping Document					
167	Submit To NLCC					
168	NLCC Review - Round 1					
169	MTX Response					
170	NLCC Close-Out Review (FINAL)					
171	**Perform Data Conversion**					
172	Execute Data Conversion					
173	Prepare Data Conversion Report					
174	Submit To NLCC					
175	NLCC Review - Round 1					

	Name	Assigned to	Start	Finish	% Complete
176	MTX Response		5/19/2023	5/22/2023	0
177	NLCC Close-Out Review (FINAL)		5/23/2023	5/24/2023	0
178	**System Configuration - Deliverable 16**		5/12/2023	6/21/2023	0
179	Execute System Configuration and Unit Testing		5/12/2023	6/1/2023	0
180	Demonstrate Final System Configuration to NLCC		6/2/2023	6/5/2023	0
181	**System Configuration Report**		6/6/2023	6/21/2023	0
182	Prepare System Configuration Report		6/6/2023	6/8/2023	0
183	Submit To NLCC		6/8/2023	6/8/2023	0
184	NLCC Review - Round 1		6/9/2023	6/15/2023	0
185	MTX Response		6/16/2023	6/19/2023	0
186	NLCC Close-Out Review (FINAL)		6/20/2023	6/21/2023	0
187	**Interface Development - Deliverable 17**		6/9/2023	7/12/2023	0
188	Execute Interface Development and Unit Testing		6/9/2023	6/22/2023	0
189	Demonstrate Interfaces to NLCC		6/23/2023	6/26/2023	0
190	**Interface Development Report**		6/27/2023	7/12/2023	0
191	Prepare Interface Development Report		6/27/2023	6/29/2023	0
192	Submit To NLCC		6/29/2023	6/29/2023	0
193	NLCC Review - Round 1		6/30/2023	7/6/2023	0
194	MTX Response		7/7/2023	7/10/2023	0
195	NLCC Close-Out Review (FINAL)		7/11/2023	7/12/2023	0
196	**Report Development - Deliverable 18**		6/30/2023	8/2/2023	0
197	Execute Report Development and Unit Testing		6/30/2023	7/13/2023	0
198	Demonstrate Interfaces to NLCC		7/14/2023	7/17/2023	0
199	**Report Development**		7/18/2023	8/2/2023	0
200	Generate Reports From System		7/18/2023	7/20/2023	0



	Name	Dec	Jan 2023	Feb	Mar
176	MTX Response				
177	NLCC Close-Out Review (FINAL)				
178	**System Configuration - Deliverable 16**				
179	Execute System Configuration and Unit Testing				
180	Demonstrate Final System Configuration to NLCC				
181	**System Configuration Report**				
182	Prepare System Configuration Report				
183	Submit To NLCC				
184	NLCC Review - Round 1				
185	MTX Response				
186	NLCC Close-Out Review (FINAL)				
187	**Interface Development - Deliverable 17**				
188	Execute Interface Development and Unit Testing				
189	Demonstrate Interfaces to NLCC				
190	**Interface Development Report**				
191	Prepare Interface Development Report				
192	Submit To NLCC				
193	NLCC Review - Round 1				
194	MTX Response				
195	NLCC Close-Out Review (FINAL)				
196	**Report Development - Deliverable 18**				
197	Execute Report Development and Unit Testing				
198	Demonstrate Interfaces to NLCC				
199	**Report Development**				
200	Generate Reports From System				

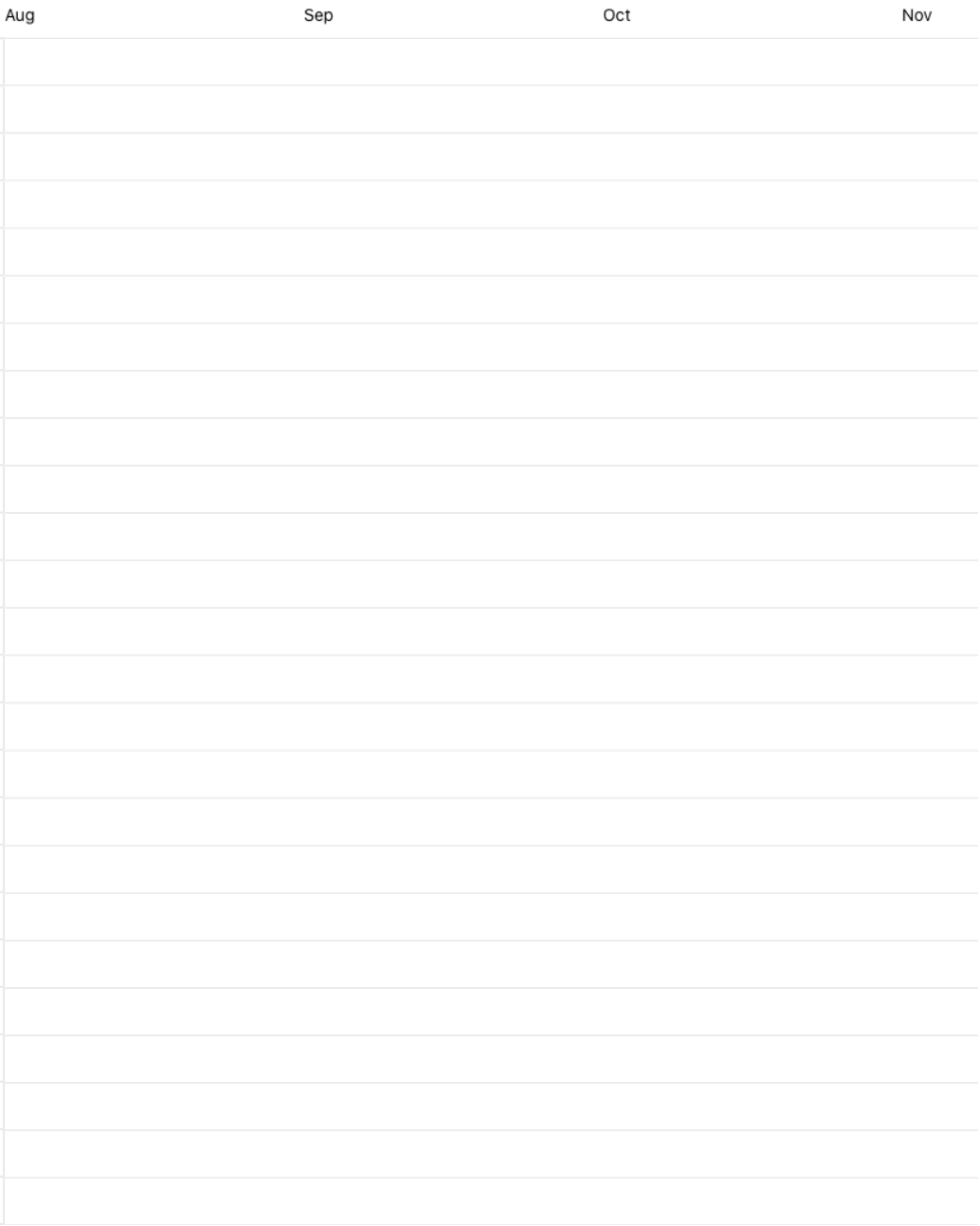
	Name
176	MTX Response
177	NLCC Close-Out Review (FINAL)
178	**System Configuration - Deliverable 16**
179	Execute System Configuration and Unit Testing
180	Demonstrate Final System Configuration to NLCC
181	**System Configuration Report**
182	Prepare System Configuration Report
183	Submit To NLCC
184	NLCC Review - Round 1
185	MTX Response
186	NLCC Close-Out Review (FINAL)
187	**Interface Development - Deliverable 17**
188	Execute Interface Development and Unit Testing
189	Demonstrate Interfaces to NLCC
190	**Interface Development Report**
191	Prepare Interface Development Report
192	Submit To NLCC
193	NLCC Review - Round 1
194	MTX Response
195	NLCC Close-Out Review (FINAL)
196	**Report Development - Deliverable 18**
197	Execute Report Development and Unit Testing
198	Demonstrate Interfaces to NLCC
199	**Report Development**
200	Generate Reports From System



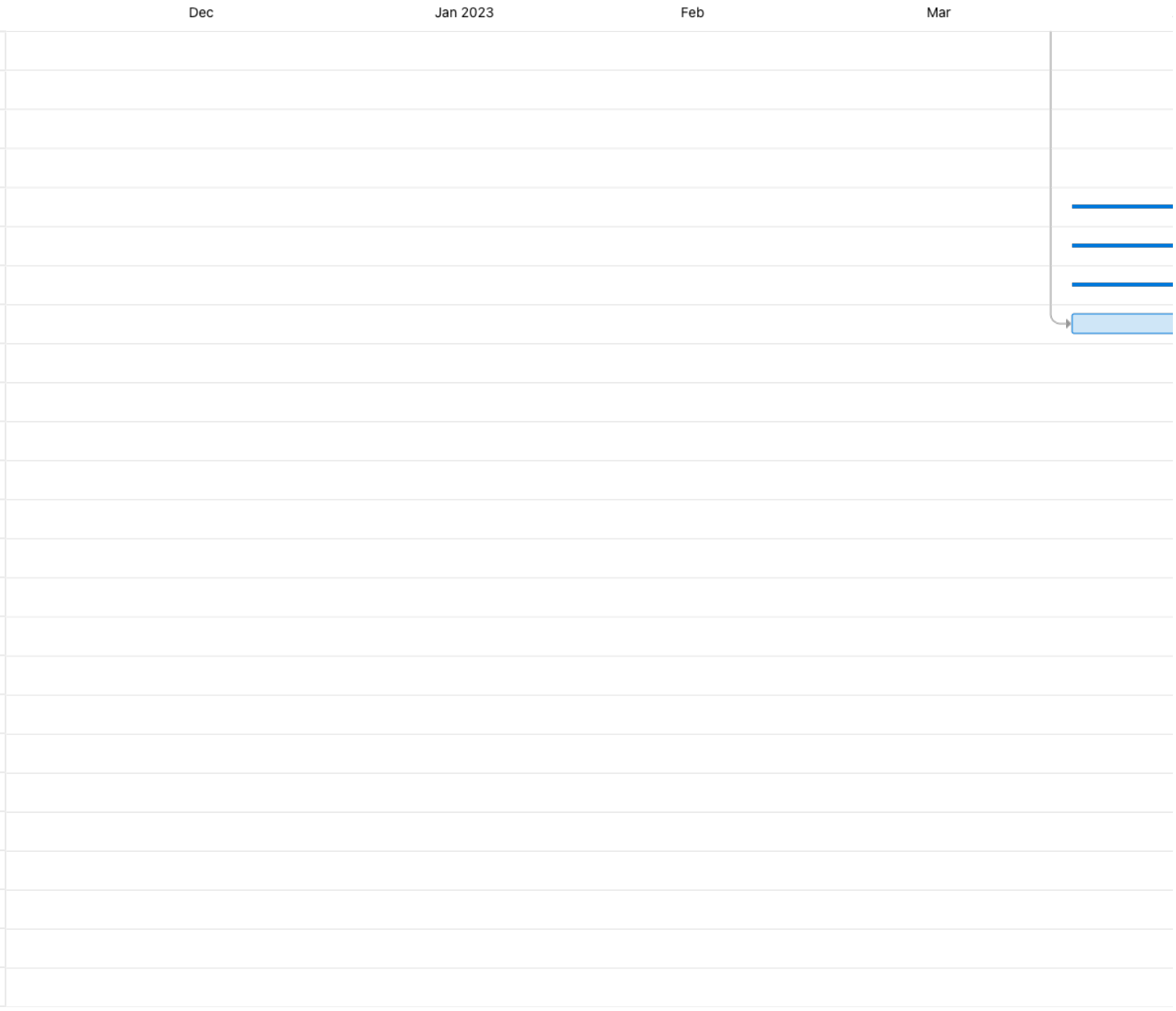
	Name	Sep	Oct	Nov	Dec	Jan 2024
176	MTX Response					
177	NLCC Close-Out Review (FINAL)					
178	**System Configuration - Deliverable 16**					
179	Execute System Configuration and Unit Testing					
180	Demonstrate Final System Configuration to NLCC					
181	**System Configuration Report**					
182	Prepare System Configuration Report					
183	Submit To NLCC					
184	NLCC Review - Round 1					
185	MTX Response					
186	NLCC Close-Out Review (FINAL)					
187	**Interface Development - Deliverable 17**					
188	Execute Interface Development and Unit Testing					
189	Demonstrate Interfaces to NLCC					
190	**Interface Development Report**					
191	Prepare Interface Development Report					
192	Submit To NLCC					
193	NLCC Review - Round 1					
194	MTX Response					
195	NLCC Close-Out Review (FINAL)					
196	**Report Development - Deliverable 18**					
197	Execute Report Development and Unit Testing					
198	Demonstrate Interfaces to NLCC					
199	**Report Development**					
200	Generate Reports From System					

	Name	Feb	Mar	Apr	May	Jun
176	MTX Response					
177	NLCC Close-Out Review (FINAL)					
178	**System Configuration - Deliverable 16**					
179	Execute System Configuration and Unit Testing					
180	Demonstrate Final System Configuration to NLCC					
181	**System Configuration Report**					
182	Prepare System Configuration Report					
183	Submit To NLCC					
184	NLCC Review - Round 1					
185	MTX Response					
186	NLCC Close-Out Review (FINAL)					
187	**Interface Development - Deliverable 17**					
188	Execute Interface Development and Unit Testing					
189	Demonstrate Interfaces to NLCC					
190	**Interface Development Report**					
191	Prepare Interface Development Report					
192	Submit To NLCC					
193	NLCC Review - Round 1					
194	MTX Response					
195	NLCC Close-Out Review (FINAL)					
196	**Report Development - Deliverable 18**					
197	Execute Report Development and Unit Testing					
198	Demonstrate Interfaces to NLCC					
199	**Report Development**					
200	Generate Reports From System					

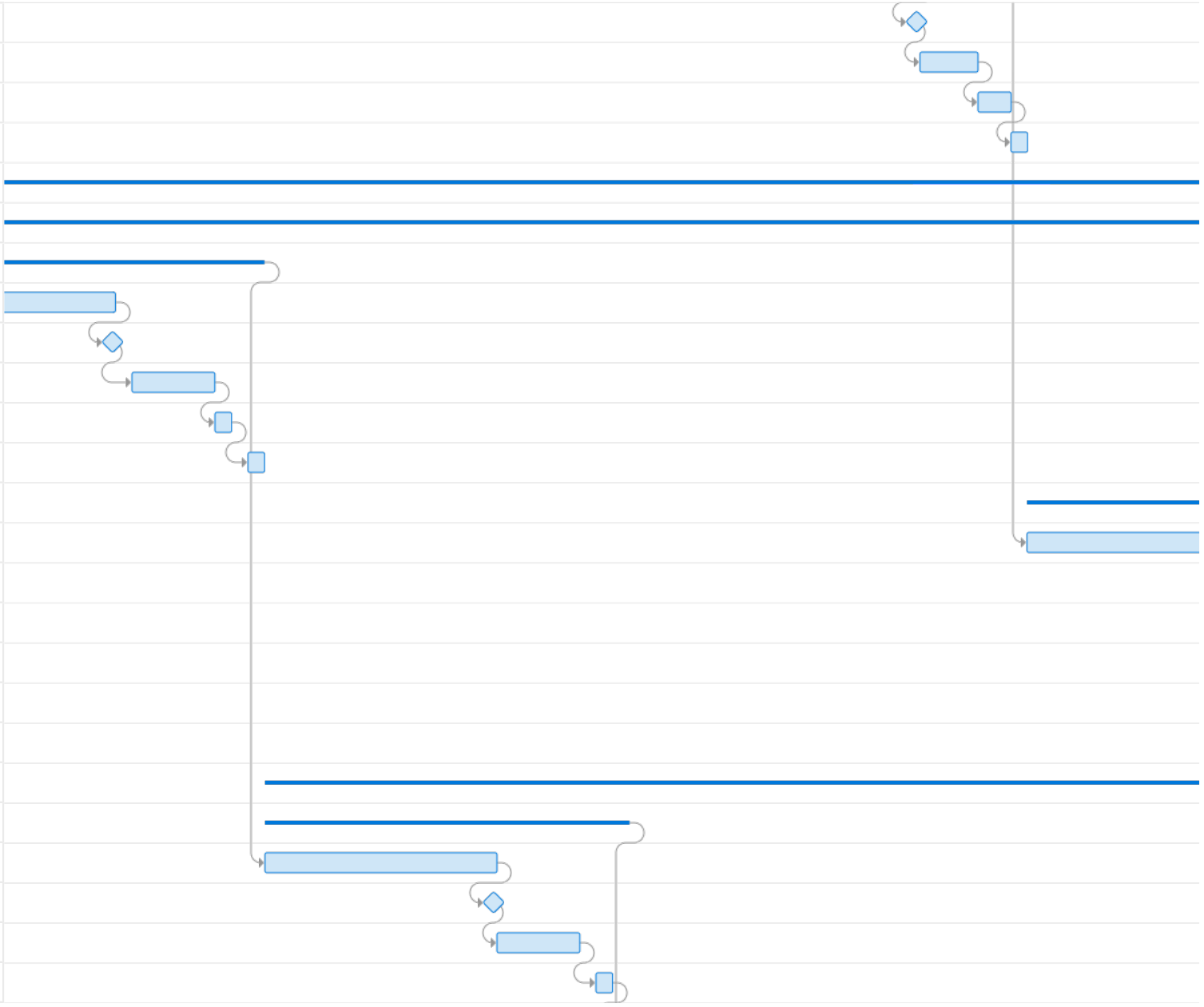
	Name	Assigned to	Start	Finish	% Complete
201	Submit To NLCC		7/20/2023	7/20/2023	0
202	NLCC Review - Round 1		7/21/2023	7/27/2023	0
203	MTX Response		7/28/2023	7/31/2023	0
204	NLCC Close-Out Review (FINAL)		8/1/2023	8/2/2023	0
205	**Testing and Readiness - Milestone 5**		3/20/2023	12/22/2023	0
206	**System Test**		3/20/2023	9/20/2023	0
207	**System Test Plan**		3/20/2023	5/2/2023	0
208	Prepare System Test Plan (DRAFT)		3/20/2023	4/14/2023	0
209	Submit To NLCC		4/14/2023	4/14/2023	0
210	NLCC Review - Round 1		4/17/2023	4/26/2023	0
211	MTX Response		4/27/2023	4/28/2023	0
212	NLCC Close-Out Review (FINAL)		5/1/2023	5/2/2023	0
213	**System Testing - Deliverable 19**		8/3/2023	9/20/2023	0
214	Execute System Testing		8/3/2023	8/30/2023	0
215	Generate System Test Report		8/31/2023	9/4/2023	0
216	Submit To NLCC		9/4/2023	9/4/2023	0
217	NLCC Review - Round 1		9/5/2023	9/14/2023	0
218	MTX Response		9/15/2023	9/18/2023	0
219	NLCC Close-Out Review (FINAL)		9/19/2023	9/20/2023	0
220	**User Acceptance Test (UAT)**		5/3/2023	12/22/2023	0
221	**User Acceptance Test (UAT) Plan**		5/3/2023	6/15/2023	0
222	Prepare User Acceptance Test Plan (DRAFT)		5/3/2023	5/30/2023	0
223	Submit To NLCC		5/30/2023	5/30/2023	0
224	NLCC Review - Round 1		5/31/2023	6/9/2023	0
225	MTX Response		6/12/2023	6/13/2023	0



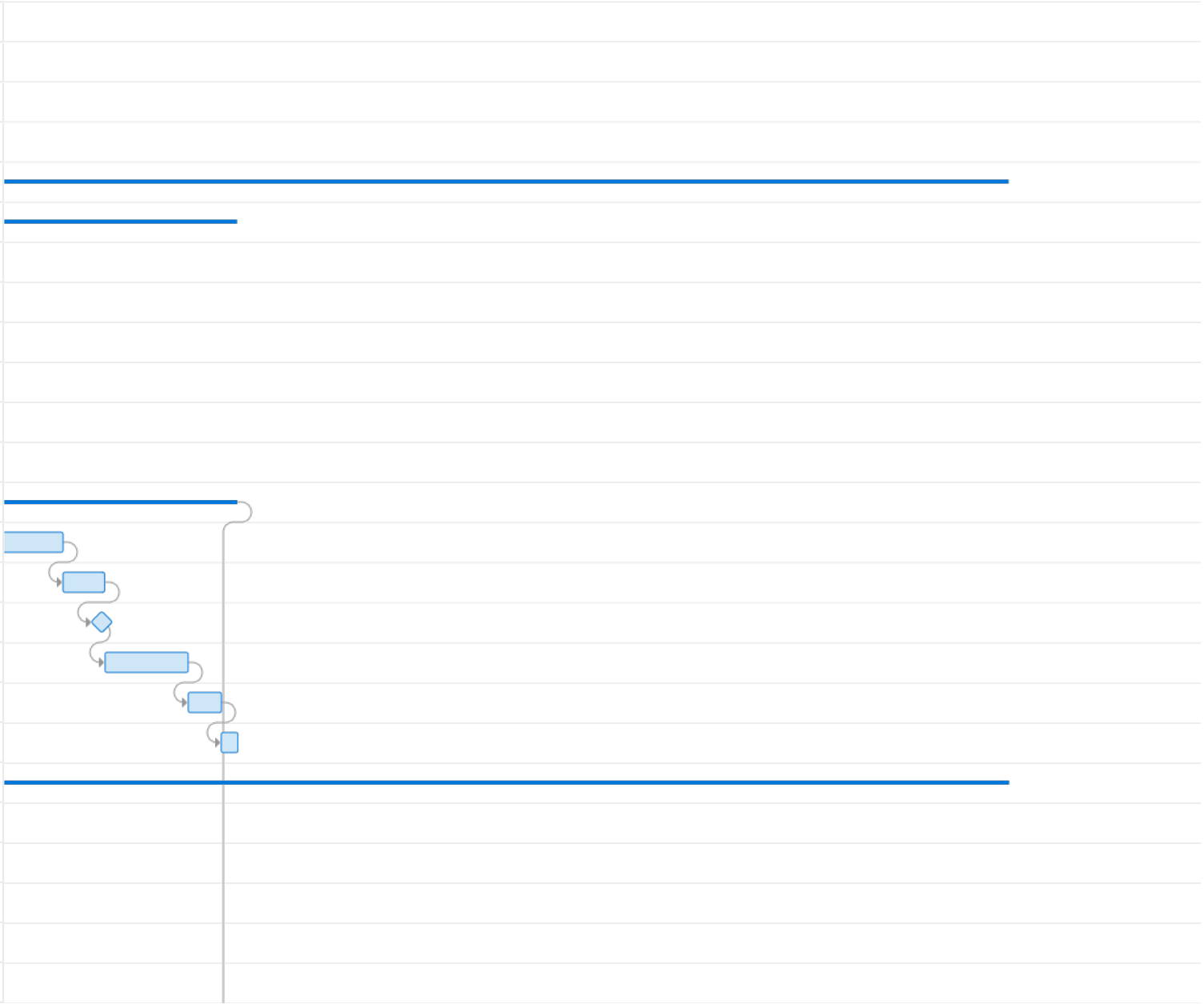
	Name
201	Submit To NLCC
202	NLCC Review - Round 1
203	MTX Response
204	NLCC Close-Out Review (FINAL)
205	**Testing and Readiness - Milestone 5**
206	**System Test**
207	**System Test Plan**
208	Prepare System Test Plan (DRAFT)
209	Submit To NLCC
210	NLCC Review - Round 1
211	MTX Response
212	NLCC Close-Out Review (FINAL)
213	**System Testing - Deliverable 19**
214	Execute System Testing
215	Generate System Test Report
216	Submit To NLCC
217	NLCC Review - Round 1
218	MTX Response
219	NLCC Close-Out Review (FINAL)
220	**User Acceptance Test (UAT)**
221	**User Acceptance Test (UAT) Plan**
222	Prepare User Acceptance Test Plan (DRAFT)
223	Submit To NLCC
224	NLCC Review - Round 1
225	MTX Response



	Name
201	Submit To NLCC
202	NLCC Review - Round 1
203	MTX Response
204	NLCC Close-Out Review (FINAL)
205	**Testing and Readiness - Milestone 5**
206	**System Test**
207	**System Test Plan**
208	Prepare System Test Plan (DRAFT)
209	Submit To NLCC
210	NLCC Review - Round 1
211	MTX Response
212	NLCC Close-Out Review (FINAL)
213	**System Testing - Deliverable 19**
214	Execute System Testing
215	Generate System Test Report
216	Submit To NLCC
217	NLCC Review - Round 1
218	MTX Response
219	NLCC Close-Out Review (FINAL)
220	**User Acceptance Test (UAT)**
221	**User Acceptance Test (UAT) Plan**
222	Prepare User Acceptance Test Plan (DRAFT)
223	Submit To NLCC
224	NLCC Review - Round 1
225	MTX Response

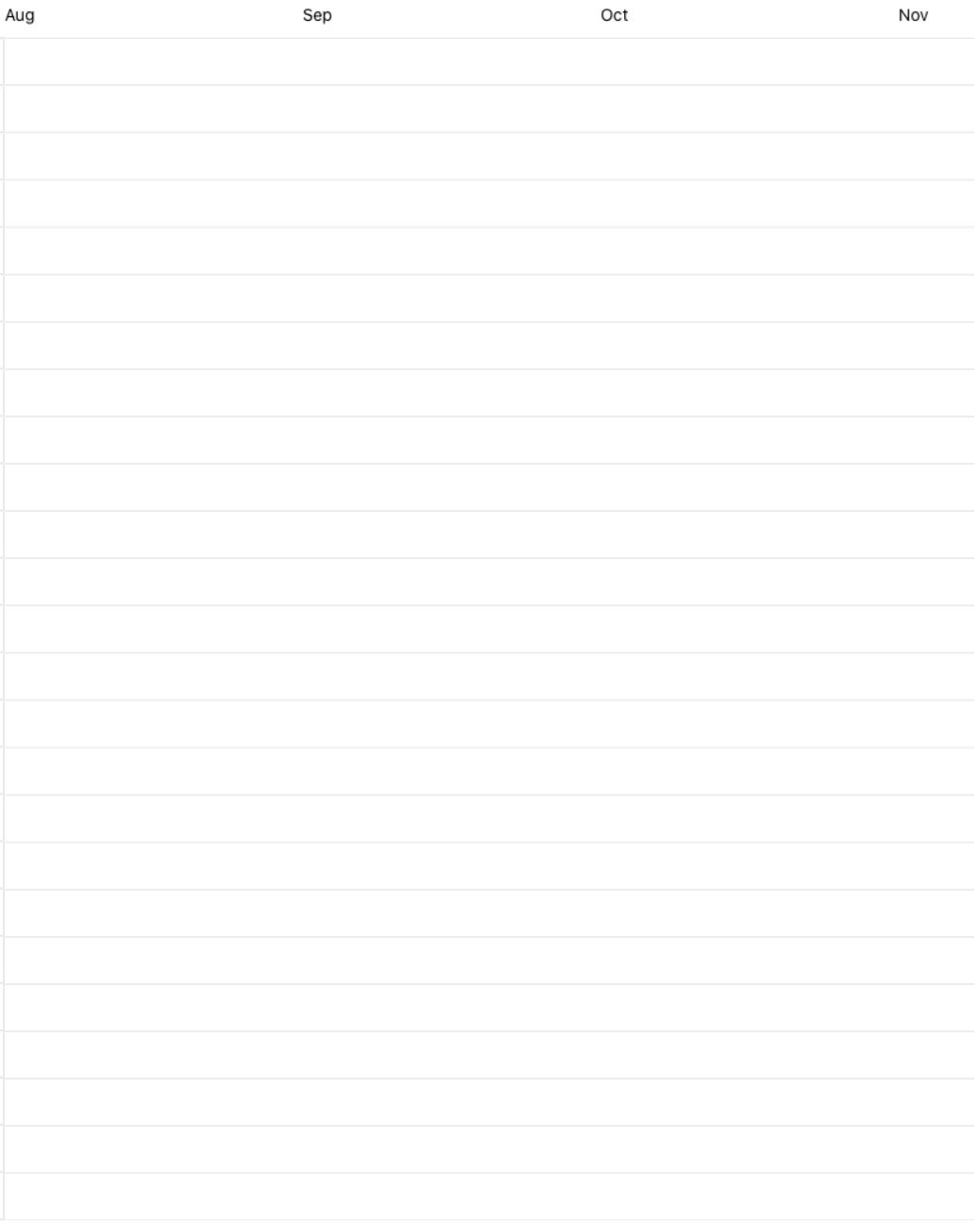


	Name
201	Submit To NLCC
202	NLCC Review - Round 1
203	MTX Response
204	NLCC Close-Out Review (FINAL)
205	**Testing and Readiness - Milestone 5**
206	**System Test**
207	**System Test Plan**
208	Prepare System Test Plan (DRAFT)
209	Submit To NLCC
210	NLCC Review - Round 1
211	MTX Response
212	NLCC Close-Out Review (FINAL)
213	**System Testing - Deliverable 19**
214	Execute System Testing
215	Generate System Test Report
216	Submit To NLCC
217	NLCC Review - Round 1
218	MTX Response
219	NLCC Close-Out Review (FINAL)
220	**User Acceptance Test (UAT)**
221	**User Acceptance Test (UAT) Plan**
222	Prepare User Acceptance Test Plan (DRAFT)
223	Submit To NLCC
224	NLCC Review - Round 1
225	MTX Response



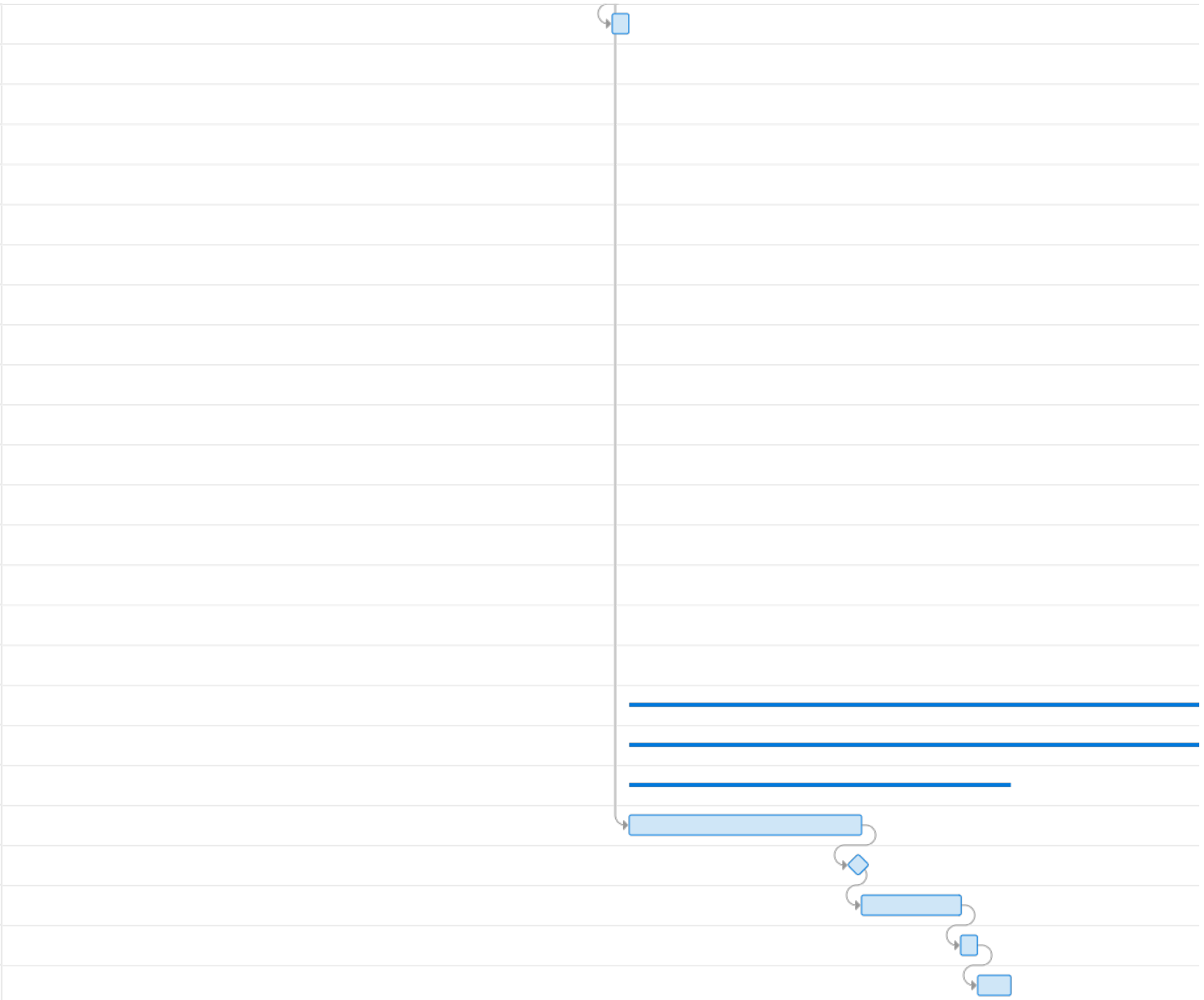
	Name	Feb	Mar	Apr	May	Jun
201	Submit To NLCC					
202	NLCC Review - Round 1					
203	MTX Response					
204	NLCC Close-Out Review (FINAL)					
205	**Testing and Readiness - Milestone 5**					
206	**System Test**					
207	**System Test Plan**					
208	Prepare System Test Plan (DRAFT)					
209	Submit To NLCC					
210	NLCC Review - Round 1					
211	MTX Response					
212	NLCC Close-Out Review (FINAL)					
213	**System Testing - Deliverable 19**					
214	Execute System Testing					
215	Generate System Test Report					
216	Submit To NLCC					
217	NLCC Review - Round 1					
218	MTX Response					
219	NLCC Close-Out Review (FINAL)					
220	**User Acceptance Test (UAT)**					
221	**User Acceptance Test (UAT) Plan**					
222	Prepare User Acceptance Test Plan (DRAFT)					
223	Submit To NLCC					
224	NLCC Review - Round 1					
225	MTX Response					

	Name	Assigned to	Start	Finish	% Complete
226	NLCC Close-Out Review (FINAL)		6/14/2023	6/15/2023	0
227	**User Acceptance Testing (UAT) - Deliverable 20**		9/21/2023	11/8/2023	0
228	Execute UAT		9/21/2023	10/18/2023	0
229	Generate UAT Report		10/19/2023	10/23/2023	0
230	Submit To NLCC		10/23/2023	10/23/2023	0
231	NLCC Review - Round 1		10/24/2023	11/2/2023	0
232	MTX Response		11/3/2023	11/6/2023	0
233	NLCC Close-Out Review (FINAL)		11/7/2023	11/8/2023	0
234	**Training - Deliverable 21**		11/9/2023	12/22/2023	0
235	Execute Core team and IT Training		11/9/2023	11/15/2023	0
236	Execute End User and/or Train-the-Trainer Training		11/16/2023	11/22/2023	0
237	**Customized User Guides (*Optional)**		11/23/2023	12/22/2023	0
238	Prepare Customized User Guides (DRAFT)		11/23/2023	12/6/2023	0
239	Submit To NLCC		12/6/2023	12/6/2023	0
240	NLCC Review - Round 1		12/7/2023	12/18/2023	0
241	MTX Response		12/19/2023	12/20/2023	0
242	NLCC Close-Out Review (FINAL)		12/21/2023	12/22/2023	0
243	**Deployment - Milestone 6**		6/16/2023	4/25/2024	0
244	**Go-Live**		6/16/2023	4/25/2024	0
245	**Deployment Plan (Rollout)**		6/16/2023	7/31/2023	0
246	Prepare Deployment Plan (DRAFT)		6/16/2023	7/13/2023	0
247	Submit To NLCC		7/13/2023	7/13/2023	0
248	NLCC Review - Round 1		7/14/2023	7/25/2023	0
249	MTX Response		7/26/2023	7/27/2023	0
250	NLCC Close-Out Review (FINAL)		7/28/2023	7/31/2023	0

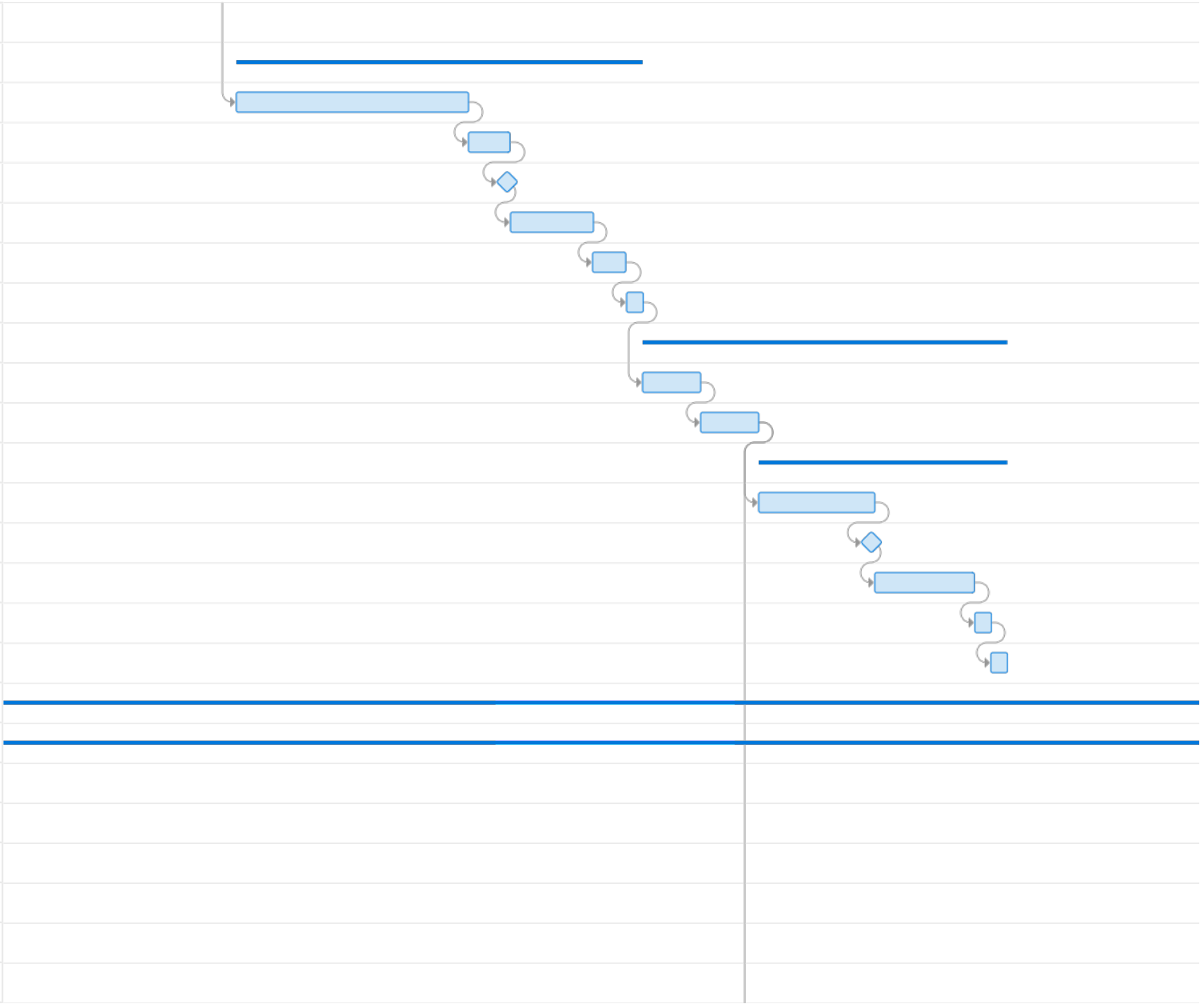


	Name	Dec	Jan 2023	Feb	Mar
226	NLCC Close-Out Review (FINAL)				
227	**User Acceptance Testing (UAT) - Deliverable 20**				
228	Execute UAT				
229	Generate UAT Report				
230	Submit To NLCC				
231	NLCC Review - Round 1				
232	MTX Response				
233	NLCC Close-Out Review (FINAL)				
234	**Training - Deliverable 21**				
235	Execute Core team and IT Training				
236	Execute End User and/or Train-the-Trainer Training				
237	**Customized User Guides (*Optional)**				
238	Prepare Customized User Guides (DRAFT)				
239	Submit To NLCC				
240	NLCC Review - Round 1				
241	MTX Response				
242	NLCC Close-Out Review (FINAL)				
243	**Deployment - Milestone 6**				
244	**Go-Live**				
245	**Deployment Plan (Rollout)**				
246	Prepare Deployment Plan (DRAFT)				
247	Submit To NLCC				
248	NLCC Review - Round 1				
249	MTX Response				
250	NLCC Close-Out Review (FINAL)				

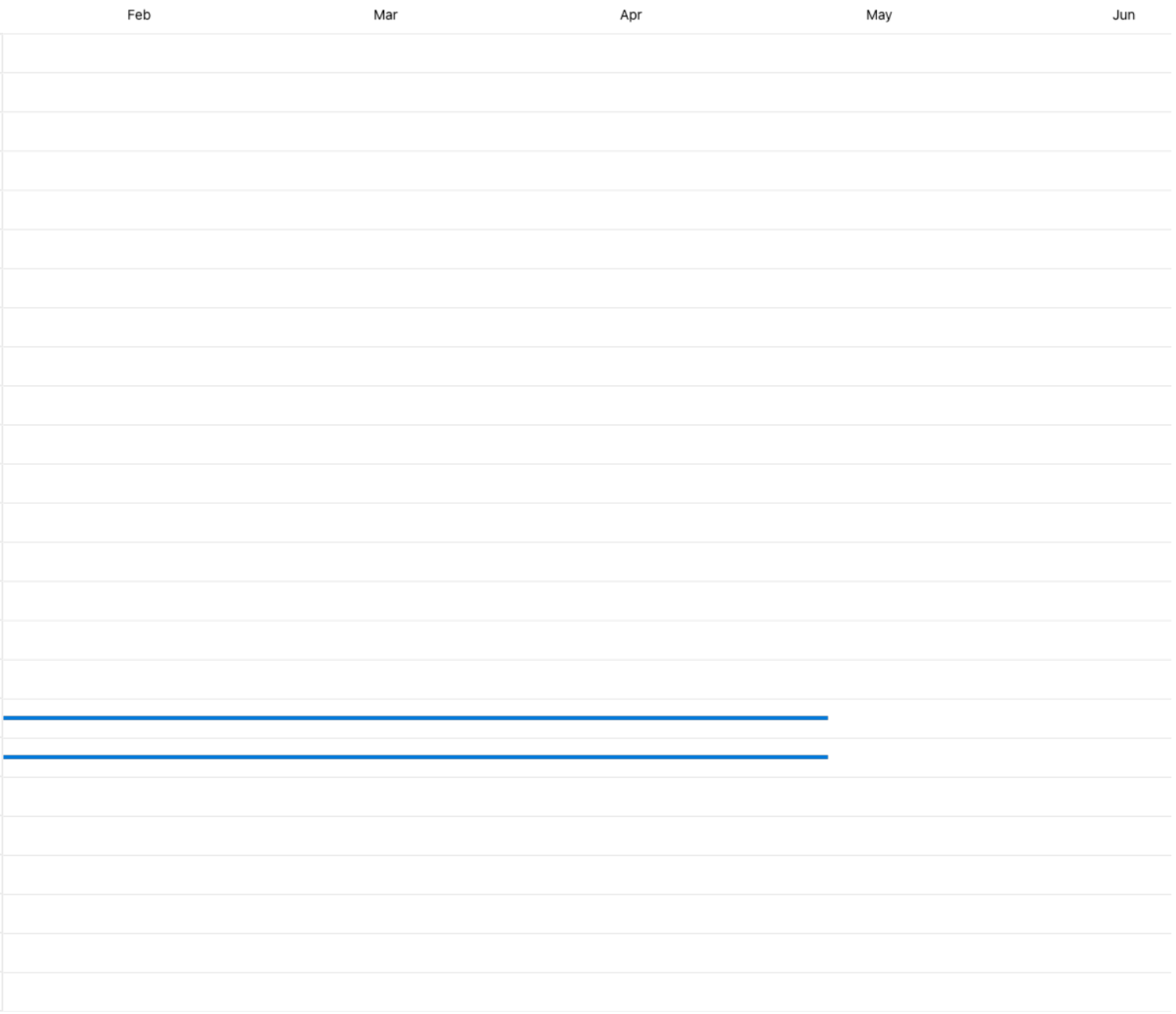
	Name
226	NLCC Close-Out Review (FINAL)
227	**User Acceptance Testing (UAT) - Deliverable 20**
228	Execute UAT
229	Generate UAT Report
230	Submit To NLCC
231	NLCC Review - Round 1
232	MTX Response
233	NLCC Close-Out Review (FINAL)
234	**Training - Deliverable 21**
235	Execute Core team and IT Training
236	Execute End User and/or Train-the-Trainer Training
237	**Customized User Guides (*Optional)**
238	Prepare Customized User Guides (DRAFT)
239	Submit To NLCC
240	NLCC Review - Round 1
241	MTX Response
242	NLCC Close-Out Review (FINAL)
243	**Deployment - Milestone 6**
244	**Go-Live**
245	**Deployment Plan (Rollout)**
246	Prepare Deployment Plan (DRAFT)
247	Submit To NLCC
248	NLCC Review - Round 1
249	MTX Response
250	NLCC Close-Out Review (FINAL)



	Name
226	NLCC Close-Out Review (FINAL)
227	**User Acceptance Testing (UAT) - Deliverable 20**
228	Execute UAT
229	Generate UAT Report
230	Submit To NLCC
231	NLCC Review - Round 1
232	MTX Response
233	NLCC Close-Out Review (FINAL)
234	**Training - Deliverable 21**
235	Execute Core team and IT Training
236	Execute End User and/or Train-the-Trainer Training
237	**Customized User Guides (*Optional)**
238	Prepare Customized User Guides (DRAFT)
239	Submit To NLCC
240	NLCC Review - Round 1
241	MTX Response
242	NLCC Close-Out Review (FINAL)
243	**Deployment - Milestone 6**
244	**Go-Live**
245	**Deployment Plan (Rollout)**
246	Prepare Deployment Plan (DRAFT)
247	Submit To NLCC
248	NLCC Review - Round 1
249	MTX Response
250	NLCC Close-Out Review (FINAL)



	Name
226	NLCC Close-Out Review (FINAL)
227	**User Acceptance Testing (UAT) - Deliverable 20**
228	Execute UAT
229	Generate UAT Report
230	Submit To NLCC
231	NLCC Review - Round 1
232	MTX Response
233	NLCC Close-Out Review (FINAL)
234	**Training - Deliverable 21**
235	Execute Core team and IT Training
236	Execute End User and/or Train-the-Trainer Training
237	**Customized User Guides (*Optional)**
238	Prepare Customized User Guides (DRAFT)
239	Submit To NLCC
240	NLCC Review - Round 1
241	MTX Response
242	NLCC Close-Out Review (FINAL)
243	**Deployment - Milestone 6**
244	**Go-Live**
245	**Deployment Plan (Rollout)**
246	Prepare Deployment Plan (DRAFT)
247	Submit To NLCC
248	NLCC Review - Round 1
249	MTX Response
250	NLCC Close-Out Review (FINAL)



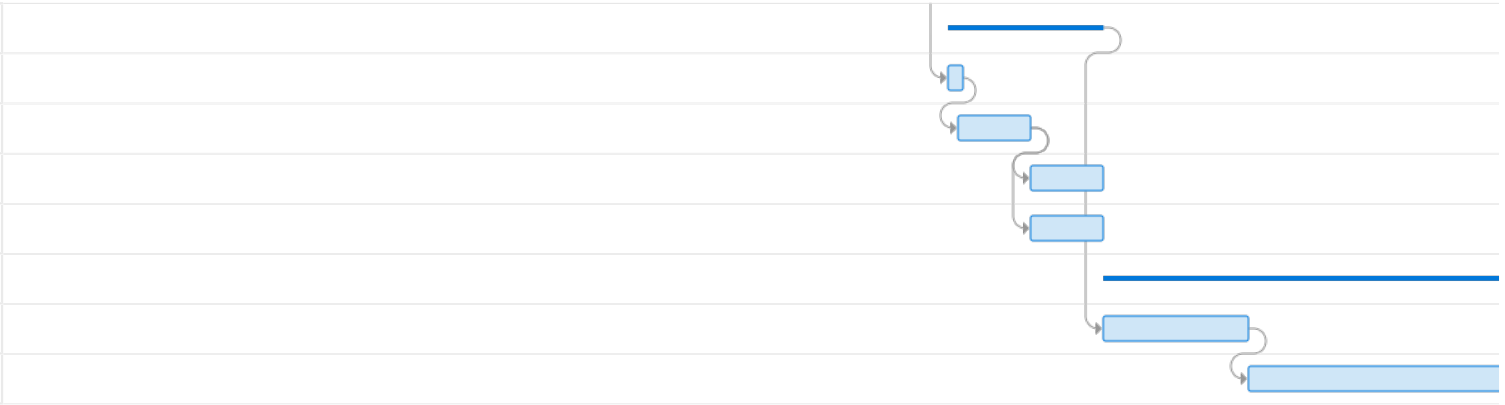
	Name	Assigned to	Start	Finish	% Complete
251	**Go-Live - Deliverable 22**		11/23/2023	12/7/2023	0
252	Make GO/NOGO Decision for Go-Live		11/23/2023	11/23/2023	0
253	Execute Deployment Plan		11/24/2023	11/30/2023	0
254	Provide Onsite Go-Live Support		12/1/2023	12/7/2023	0
255	Provide Help Desk Training		12/1/2023	12/7/2023	0
256	**System Support and Warranty - Deliverable 23**		12/8/2023	4/25/2024	0
257	Provide Post Go-Live System Support		12/8/2023	12/21/2023	0
258	Provide Warranty Support		12/22/2023	4/25/2024	0

	Name	Dec	Jan 2023	Feb	Mar
251	**Go-Live - Deliverable 22**				
252	Make GO/NOGO Decision for Go-Live				
253	Execute Deployment Plan				
254	Provide Onsite Go-Live Support				
255	Provide Help Desk Training				
256	**System Support and Warranty - Deliverable 23**				
257	Provide Post Go-Live System Support				
258	Provide Warranty Support				

	Name	Apr	May	Jun	Jul	Aug
251	**Go-Live - Deliverable 22**					
252	Make GO/NOGO Decision for Go-Live					
253	Execute Deployment Plan					
254	Provide Onsite Go-Live Support					
255	Provide Help Desk Training					
256	**System Support and Warranty - Deliverable 23**					
257	Provide Post Go-Live System Support					
258	Provide Warranty Support					

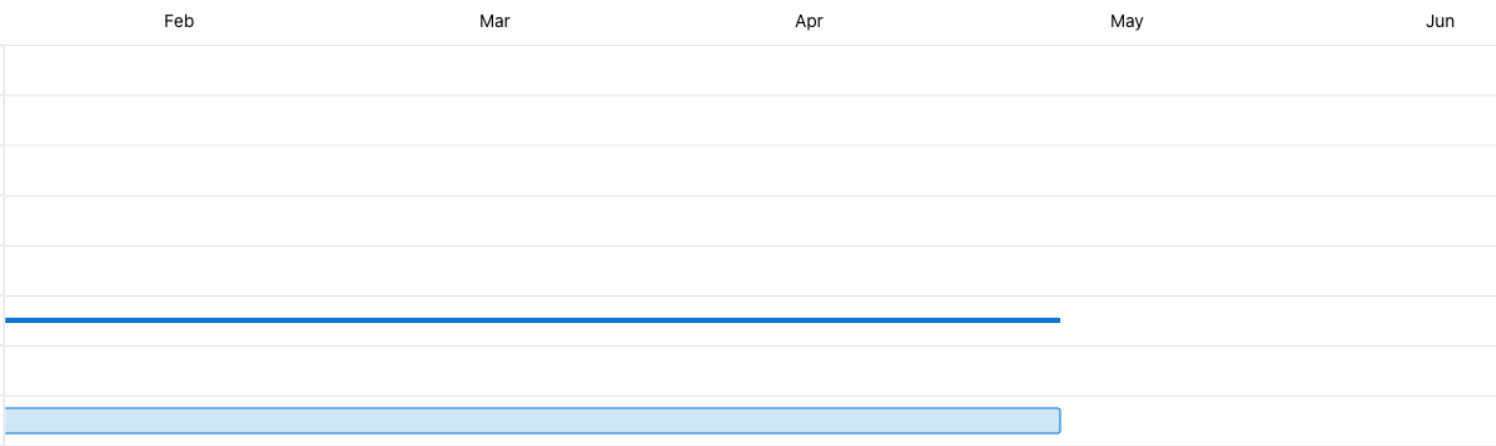
NE LCC Work Plan

	Name
251	**Go-Live - Deliverable 22**
252	Make GO/NOGO Decision for Go-Live
253	Execute Deployment Plan
254	Provide Onsite Go-Live Support
255	Provide Help Desk Training
256	**System Support and Warranty - Deliverable 23**
257	Provide Post Go-Live System Support
258	Provide Warranty Support



NE LCC Work Plan

	Name
251	**Go-Live - Deliverable 22**
252	Make GO/NOGO Decision for Go-Live
253	Execute Deployment Plan
254	Provide Onsite Go-Live Support
255	Provide Help Desk Training
256	**System Support and Warranty - Deliverable 23**
257	Provide Post Go-Live System Support
258	Provide Warranty Support



II. TERMS AND CONDITIONS

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

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

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

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

A. GENERAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

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

These documents constitute the entirety of the contract.

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

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

B. NOTIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

Communications regarding the executed contract shall be in writing and shall be deemed to have been given if delivered electronically or personally or mailed. All notices, requests, or communications shall be deemed effective upon receipt.

Either party may change its address for notification purposes by giving notice of the change and setting forth the new address and an effective date.

C. BUYER'S REPRESENTATIVE

The State reserves the right to appoint a Buyer's Representative to manage [or assist the Buyer in managing] the contract on behalf of the State. The Buyer's Representative will be appointed in writing, and the appointment document will specify the extent of the Buyer's Representative authority and responsibilities. If a Buyer's Representative is appointed, the Contractor will be provided a copy of the appointment document and is required to cooperate accordingly with the Buyer's Representative. The Buyer's Representative has no authority to bind the State to a contract, amendment, addendum, or other change or addition to the contract.

D. GOVERNING LAW (Statutory)

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

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

E. BEGINNING OF WORK

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

F. AMENDMENT

This Contract may be amended in writing, within scope, upon the agreement of both parties.

G. CHANGE ORDERS OR SUBSTITUTIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

The Contractor shall prepare a written description of the work required due to the change and an itemized cost sheet for the change. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices if any, a pro-rated value, or through negotiations. The State shall not incur a price increase for changes that should have been included in the Contractor's proposal, were foreseeable, or result from difficulties with or failure of the Contractor's proposal or performance.

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

In the event any product is discontinued or replaced upon mutual consent during the contract period or prior to delivery, the State reserves the right to amend the contract or purchase order to include the alternate product at the same price.

Contractor will not substitute any item that has been awarded without prior written approval of SPB

H. VENDOR PERFORMANCE REPORT(S)

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

The State may document any instance(s) of products or services delivered or performed which exceed or fail to meet the terms of the purchase order, contract, and/or solicitation specifications. The State Purchasing Bureau may contact the Vendor regarding any such report. Vendor performance report(s) will become a part of the permanent record of the Vendor.

I. NOTICE OF POTENTIAL CONTRACTOR BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

J. BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

Either Party may terminate the contract, in whole or in part, if the other Party breaches its duty to perform its obligations under the contract in a timely and proper manner. Termination requires written notice of default and a thirty (30) calendar day (or longer at the non-breaching Party's discretion considering the gravity and nature of the default) cure period. Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing time to cure a failure or breach of contract does not waive the right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby. OR In case of breach by the Contractor, the State may, without unreasonable delay, make a good faith effort to make a reasonable purchase or contract to purchased goods in substitution of those due from the contractor. The State may recover from the Contractor as damages the difference between the costs of covering the breach. Notwithstanding any clause to the contrary, the State may also recover the contract price together with any incidental or consequential damages defined in UCC Section 2-715, but less expenses saved in consequence of Contractor's breach.

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

K. NON-WAIVER OF BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

L. SEVERABILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

M. INDEMNIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

1. GENERAL

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

2. INTELLECTUAL PROPERTY

The Contractor agrees it will, at its sole cost and expense, defend, indemnify, and hold harmless the indemnified parties from and against any and all claims, to the extent such claims arise out of, result from, or are attributable to, the actual or alleged infringement or misappropriation of any patent, copyright, trade secret, trademark, or confidential information of any third party by the Contractor or

its employees, subcontractors, consultants, representatives, and agents; provided, however, the State gives the Contractor prompt notice in writing of the claim. The Contractor may not settle any infringement claim that will affect the State's use of the Licensed Software without the State's prior written consent, which consent may be withheld for any reason.

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

3. PERSONNEL

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

4. SELF-INSURANCE

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

5. ATTORNEY GENERAL

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

N. ATTORNEY'S FEES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

O. LIQUIDATED DAMAGES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

Contractor understands and agrees that the failure to meet the dates for the deliverables would cause the State to suffer damages that are difficult to ascertain. As such, Contractor agrees that Contractor's failure to meet the dates for the deliverables as agreed upon by the parties may result in an assessment of liquidated damages in the amount of $500.00 per day to NLCC, until the deliverables are submitted and finally approved by NLCC. Contractor will be notified in writing when liquidated damaged will commence. Damages will be assessed against Contractor's subsequent submitted invoice(s). In the event that no further invoices are submitted, Contractor will submit payments with any remaining damages to NLCC.

P. PERFORMANCE REQUIREMENTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

The Contractor must provide a system to track issues with the Web-Based Permit/Licensing system. Such issues must be classified into severity levels based on the requirements of the awarded Contract. The time to repair commences when the issue is entered into the tracking system. The Contractor shall monitor and track each issue, the Incident Time of each issue, and the time the issue was fully resolved. The Contractor shall deliver to the State a detailed and accurate summary of such information for the previous month.

Based on experience with hosted systems for regulatory agencies similar to NLCC, propose a range of severity levels and commensurate response times related to performance issues, incidents and loss of service. Failure to meet the agreed-upon performance requirements may be deemed a breach, as determined by the State. In such event, the State retains all remedies available pursuant to law and this Contract.

Severity Levels

Bidder Response

Q. ASSIGNMENT, SALE, OR MERGER

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

The Contractor retains the right to enter into a sale, merger, acquisition, internal reorganization, or similar transaction involving Contractor's business. Contractor agrees to cooperate with the State in executing amendments to the contract to allow for the transaction. If a third party or entity is involved in the transaction,

the Contractor will remain responsible for performance of the contract until such time as the person or entity involved in the transaction agrees in writing to be contractually bound by this contract and perform all obligations of the contract.

R. CONTRACTING WITH OTHER NEBRASKA POLITICAL SUB-DIVISIONS OF THE STATE OR ANOTHER STATE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

The Contractor may, but shall not be required to, allow other states, agencies or divisions of other states, or political subdivisions of other states to use this contract. The terms and conditions, including price, of this contract shall apply to any such contract, but may be amended upon mutual consent of the Parties. The State of Nebraska shall not be contractually or otherwise obligated or liable under any contract entered into pursuant to this clause. The State shall be notified if a contract is executed based upon this contract.

S. FORCE MAJEURE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

T. CONFIDENTIALITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

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

U. EARLY TERMINATION

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

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.

2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination, the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.

3. The State may terminate the contract immediately for the following reasons:

4. if directed to do so by statute;

5. Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;

6. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;

7. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;

8. an involuntary proceeding has been commenced by any Party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;

9. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;

10. Contractor intentionally discloses confidential information;

11. Contractor has or announces it will discontinue support of the deliverable; and,

12. In the event funding is no longer available.

V. CONTRACT CLOSEOUT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

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

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

III. CONTRACTOR DUTIES

A. INDEPENDENT CONTRACTOR / OBLIGATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

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

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

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

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

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

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

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

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

Contractor shall insure that the terms and conditions contained in any contract with a subcontractor does not conflict with the terms and conditions of this contract.
The Contractor shall include a similar provision, for the protection of the State, in the contract with any subcontractor engaged to perform work on this contract.

B. EMPLOYEE WORK ELIGIBILITY STATUS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

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

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

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

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

D. COOPERATION WITH OTHER CONTRACTORS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

E. DISCOUNTS

Prices quoted shall be inclusive of ALL trade discounts. Cash discount terms of less than thirty (30) days will not be considered as part of the proposal. Cash discount periods will be computed from the date of receipt of a properly executed claim voucher or the date of completion of delivery of all items in a satisfactory condition, whichever is later.

F. PRICES

Prices quoted shall be net, including transportation and delivery charges fully prepaid by the contractor, F.O.B. destination named in the solicitation. No additional charges will be allowed for packing, packages, or partial delivery costs. When an arithmetic error has been made in the extended total, the unit price will govern

All prices, costs, and terms and conditions submitted in the proposal shall remain fixed and valid commencing on the opening date of the proposal until the contract terminates or expires.

The State reserves the right to deny any requested price increase. No price increases are to be billed to any State Agencies prior to written amendment of the contract by the parties.

The State will be given full proportionate benefit of any decreases for the term of the contract.

G. PERMITS, REGULATIONS, LAWS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

H. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

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

I. INSURANCE REQUIREMENTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

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

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

In the event that any policy written on a claims-made basis terminates or is cancelled during the term of the contract or within one (1) year of termination or expiration of the contract, the contractor shall obtain an extended discovery or reporting period, or a new insurance policy, providing coverage required by this contract for the term of the contract and one (1) year following termination or expiration of the contract.

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

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

1. WORKERS' COMPENSATION INSURANCE

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

2. COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE

The Contractor shall take out and maintain during the life of this contract such Commercial General Liability Insurance and Commercial Automobile Liability Insurance as shall protect Contractor and any subcontractor performing work covered by this contract from claims for damages for bodily injury, including death, as well as from claims for property damage, which may arise from operations under this contract, whether such operation be by the Contractor or by any subcontractor or by anyone

directly or indirectly employed by either of them, and the amounts of such insurance shall not be less than limits stated hereinafter.

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

Table 2. Required Insurance Coverage

REQUIRED INSURANCE COVERAGE	
COMMERCIAL GENERAL LIABILITY	
General Aggregate	$2,000,000
Products/Completed Operations Aggregate	$2,000,000
Personal/Advertising Injury	$1,000,000 per occurrence
Bodily Injury/Property Damage	$1,000,000 per occurrence
Medical Payments	$25,000 any one person
Damage to Rented Premises (Fire)	$300,000 each occurrence
Contractual	Included
Independent Contractors	Included
If higher limits are required, the Umbrella/Excess Liability limits are allowed to satisfy the higher limit.	
WORKER'S COMPENSATION	
Employers Liability Limits	$500K/$500K/$500K
Statutory Limits- All States	Statutory - State of Nebraska
USL&H Endorsement	Statutory
Voluntary Compensation	Statutory
COMMERCIAL AUTOMOBILE LIABILITY	
Bodily Injury/Property Damage	$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
UMBRELLA/EXCESS LIABILITY	
Over Primary Insurance	$5,000,000 per occurrence
PROFESSIONAL LIABILITY	
All Other Professional Liability (Errors & Omissions)	$1,000,000 Per Claim / Aggregate
COMMERCIAL CRIME	
Crime/Employee Dishonesty Including 3rd Party Fidelity	$1,000,000
CYBER LIABILITY	
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties	$10,000,000
MANDATORY COI SUBROGATION WAIVER LANGUAGE	
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."	
MANDATORY COI LIABILITY WAIVER LANGUAGE	
"Commercial General Liability & Commercial Automobile Liability policies shall name the State of Nebraska as an Additional Insured and the policies shall be primary and any insurance or self-insurance carried by the State shall be considered secondary and non-contributory as additionally insured."	

3. EVIDENCE OF COVERAGE

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

State Purchasing Bureau
Attn: Joy Fischer
joy.fischer@nebraska.gov

These certificates or the cover sheet shall reference the RFP number, and the certificates shall include the name of the company, policy numbers, effective dates, dates of expiration, and amounts and types of coverage afforded. If the State is damaged by the failure of the Contractor to maintain such insurance, then the Contractor shall be responsible for all reasonable costs properly attributable thereto.
Reasonable notice of cancellation of any required insurance policy must be submitted to the contract manager as listed above when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

4. DEVIATIONS

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

J. ANTITRUST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

K. CONFLICT OF INTEREST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

By submitting a proposal, Bidder certifies that no relationship exists between the Bidder and any person or entity which either is, or gives the appearance of, a conflict of interest related to this Request for Proposal or project.

Bidder further certifies that Bidder will not employ any individual known by Bidder to have a conflict of interest nor shall Bidder take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its contractual obligations hereunder or which creates an actual or appearance of conflict of interest.

If there is an actual or perceived conflict of interest, Bidder shall provide with its proposal a full disclosure of the facts describing such actual or perceived conflict of interest and a proposed mitigation plan for consideration. The State will then consider such disclosure and proposed mitigation plan and either approve or reject as part of the overall bid evaluation.

L. STATE PROPERTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

M. SITE RULES AND REGULATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

N. ADVERTISING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

O. NEBRASKA TECHNOLOGY ACCESS STANDARDS (Statutory)

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

P. DISASTER RECOVERY/BACK UP PLAN

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

Q. DRUG POLICY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

R. WARRANTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

Despite any clause to the contrary, the Contractor represents and warrants that its services hereunder shall be performed by competent personnel and shall be of professional quality consistent with generally accepted industry standards for the performance of such services and shall comply in all respects with the requirements of this Agreement. For any breach of this warranty, the Contractor shall, for a period of ninety (90) days from performance of the service, perform the services again, at no cost to the State, or if Contractor is unable to perform the services as warranted, Contractor shall reimburse the State all fees paid to Contractor for the unsatisfactory services. The rights and remedies of the parties under this warranty are in addition to any other rights and remedies of the parties provided by law or equity, including, without limitation actual damages, and, as applicable and awarded under the law, to a prevailing party, reasonable attorneys' fees and costs.

IV. PAYMENT

A. PROHIBITION AGAINST ADVANCE PAYMENT (Statutory)

Neb. Rev. Stat. §81-2403 states, "[n]o goods or services shall be deemed to be received by an agency until all such goods or services are completely delivered and finally accepted by the agency."

B. TAXES (Statutory)

The State is not required to pay taxes and assumes no such liability as a result of this solicitation. The Contractor may request a copy of the Nebraska Department of Revenue, Nebraska Resale or Exempt Sale Certificate for Sales Tax Exemption, Form 13 for their records. Any property tax payable on the Contractor's equipment which may be installed in a state-owned facility is the responsibility of the Contractor

C. INVOICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

Invoices can be mailed to:

Nebraska Liquor Control Commission
PO Box 95046
Lincoln NE 68509

Invoices can be sent electronically to lcc.frontdesk@nebraska.gov

Invoices must reference an invoice number, date, type of work or description, contract number, and dollar amount.

D. INSPECTION AND APPROVAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

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

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

E. PAYMENT (Statutory)

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2403). The State may require the Contractor to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any goods and services provided by the Contractor prior to the Effective Date of the contract, and the Contractor hereby waives any claim or cause of action for any such services.

F. LATE PAYMENT (Statutory)

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

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

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

H. RIGHT TO AUDIT (First Paragraph is Statutory)

The State shall have the right to audit the Contractor's performance of this contract upon a thirty (30) days' written notice. Contractor shall utilize generally accepted accounting principles, and shall maintain the accounting records, and other records and information relevant to the contract to enable the State to audit the contract. (Neb. Rev. Stat. §84-304 et seq.) The State may audit, and the Contractor shall maintain, the Information during the term of the contract and for a period of five (5) years after the completion of this contract or until all issues or litigation are resolved, whichever is later. The Contractor shall make the Information available to the State at Contractor's place of business or a location acceptable to both Parties during normal business hours. If this is not practical or the Contractor so elects, the Contractor may provide electronic or paper copies of the Information. The State reserves the right to examine, make copies of, and take notes on any Information relevant to this contract, regardless of the form or the Information, how it is stored, or who possesses the Information. Under no circumstance will the Contractor be required to create or maintain documents not kept in the ordinary course of contractor's business operations, nor will contractor be required to disclose any information, including but not limited to product cost data, which is confidential or proprietary to contractor.

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DN			N/A

The Parties shall pay their own costs of the audit unless the audit finds a previously undisclosed overpayment by the State. If a previously undisclosed overpayment exceeds one percent (1%) of the total contract billings, or if fraud, material misrepresentations, or non-performance is discovered on the part of the Contractor, the Contractor shall reimburse the State for the total costs of the audit. Overpayments and audit costs owed to